



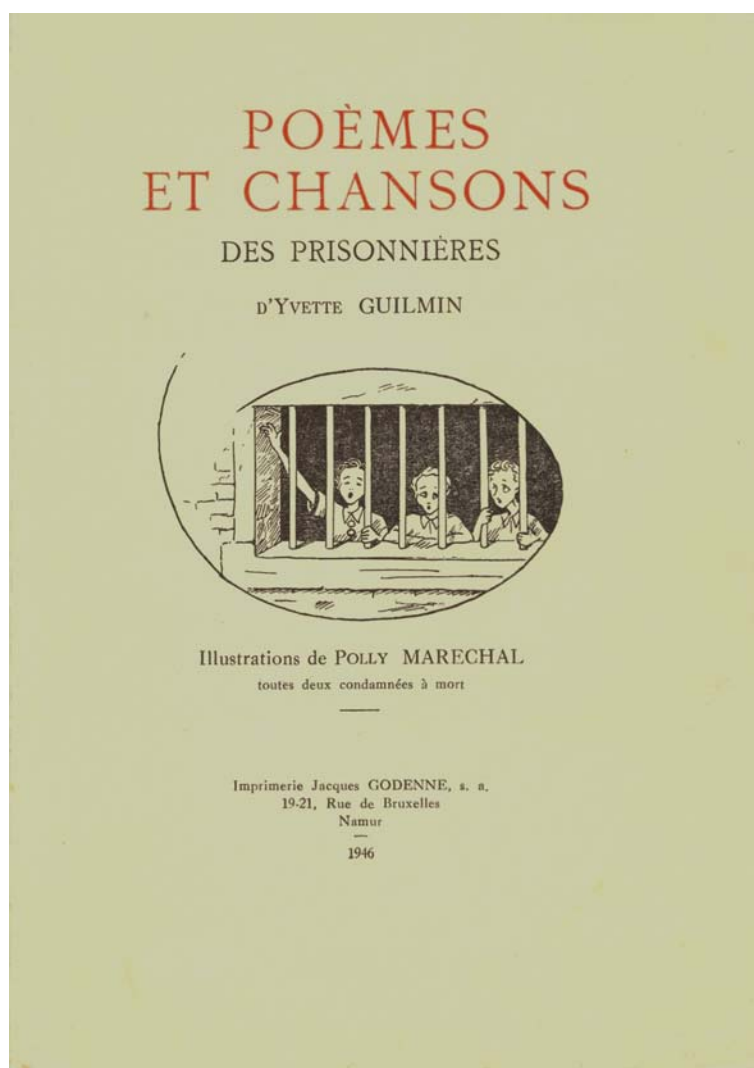
# NORFOLK RECORDS COMMITTEE

Date: Friday, 16 January 2009  
Time: 10.30am  
Venue: The Green Room, Norfolk Record Office  
The Archive Centre, Martineau Lane, Norwich

## Please Note:

Arrangements have been made for committee members to park on the county hall front car park (upon production of the agenda to the car park attendant) provided space is available.

**Persons attending the meeting are requested to turn off mobile phones.**



Title page of a book of poems and songs by Belgian female prisoners in German concentration camps, illustrated by Polly Maréchal (NRO, KHC 114).

Polly Maréchal, raised as Elsie Bell in Great Yarmouth, and her Belgian husband, Georges, helped Allied airmen, who had been shot down, to evade capture and make their way back to England. For this, Georges was executed and Elsie, with her small daughter, spent the rest of the war in prison and in camps at Ravensbrück and Matthaussen.

Holocaust Memorial Day, on 27 January 2009, commemorates the victims of racial murder, both in the twentieth century and in earlier times.

## **Membership**

Mr R Blower  
Mr J W Bracey  
Mrs M Coleman  
Mr P J Duigan  
Mrs V R Gay  
Mr S Jeraj  
Mr C J Kemp  
Mr C B A Lloyd Owen (Chairman)  
Ms R Makoff  
Mrs E A Nockolds

Mr J R Shrimplin  
Mr M Taylor

Norwich City Council  
Broadland District Council  
Great Yarmouth Borough Council  
Breckland District Council  
North Norfolk District Council  
Norwich City Council  
South Norfolk District Council  
Norfolk County Council  
Norwich City Council  
King's Lynn and West Norfolk Borough Council  
Norfolk County Council  
Norfolk County Council

## **Non-Voting Members**

Mr M R Begley  
Mr R Jewson  
Dr G A Metters

Dr V Morgan  
Prof. C Rawcliffe  
Revd Charles Read  
Prof. R Wilson

Co-opted Member  
*Custos Rotulorum*  
Representative of the Norfolk Records Society  
Observer  
Co-opted Member  
Representative of the Bishop of Norwich  
Co-opted Member

**For further details and general enquiries about this Agenda  
please contact the Committee Officer:**

Kristen Jones on 01603 223053  
or email [kristen.jones@norfolk.gov.uk](mailto:kristen.jones@norfolk.gov.uk)

## **A g e n d a**

- 1 To receive apologies and details of any substitute members attending.**

- 2 Minutes** (Page 1)

To confirm the minutes of the meeting of the Norfolk Records Committee held on 21 November 2008.

- 3 To Note Whether Any Items Have Been Proposed as Matters of Urgent Business**

- 4 Members to Declare any Interests**

Please indicate whether the interest is a personal one only or one which is prejudicial. A declaration of a personal interest should indicate the nature of the interest and the agenda item to which it relates. In the case of a personal interest, the member may speak and vote on the matter. Please note that if you are exempt from declaring a personal interest because it arises solely from your position on a body to which you were nominated by the County Council or a body exercising functions of a public nature (e.g. another local authority), you need only declare your interest if and when you intend to speak on a matter.

If a prejudicial interest is declared, the member should withdraw from the room whilst the matter is discussed unless members of the public are allowed to make representations, give evidence or answer questions about the matter, in which case you may attend the meeting for that purpose. You must immediately leave the room when you have finished or the meeting decides you have finished, if earlier.

These declarations apply to all those members present, whether the member is part of the meeting, attending to speak as a local member on an item or simply observing the meeting from the public seating area.

- 5 Norfolk Record Office Financial Monitoring Report** (Page 9)

A report by the County Archivist

- 6 Service and Budget Planning, 2009-12** (Page 12)

A report by the County Archivist

- 7 Audit of the Statement of Accounts, 2006-07** (Page 19)

A report by the Head of Finance

(Page 43)

## Report by the County Archivist

**9 Date and Time of Next Meeting**

The next meeting of this committee will take place at 10:30am on the Friday 1 May 2009 in The Green Room.

**10 To Answer Formal Questions (if any) of Which Due Notice Has Been Given**

**11 Any Item of Urgent Business** which the Chairman decides should be considered as a matter of urgency pursuant to Section 100B(4)(b) of the Local Government Act 1972.

**Chris Walton**  
**Head of Democratic Services**  
County Hall  
Martineau Lane  
Norwich  
NR1 2DH

Date Agenda Published: 8 November 2008



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## NORFOLK RECORD OFFICE FINANCIAL MONITORING REPORT

### A Report by the County Archivist

This report provides the Norfolk Records Committee with a progress report on the NRO revenue budget and reserves and provisions for 2008/09.

## 1. Background

- 1.1 This is the Norfolk Record Office budget monitoring report for 2008/09 and shows progress with the revenue budget and the movement on reserves and provisions.

## 2. Financial Monitoring of the Revenue Budget

- 2.1 Based on the position to the end of November 2008, the service net expenditure budget is forecast to break-even for 2008/09, see table below.

Revenue Budget	Actuals To Date	Forecast	Variance
£1,596,020	£602,155	£1,596,020	£0

- 2.2 The 2008/09 budget is made up of:

- Record Office budget £1,452,740
- Corporate Data Protection budget £51,280
- Corporate Freedom of Information budget £92,000
- Total Revenue budget £1,596,020

- 2.3 Net expenditure to the end of November 2008 is £602,155 and is generally in line with anticipated spending within the service noting that significant costs to do with recharges for premises costs appear at year-end. The above figure includes spending on Freedom of Information and Data Protection staffing costs.
- 2.4 Previously reported Inflationary pressures of £71,000 for 2008/09 relating to utility forecasts have been reduced to £50,000 following further information from Norfolk Property Services (NPS).
- 2.5 We have been closely monitoring progress with NRO income from service charges and based on performance to date, income could be £47,000 less than budgeted for. Income from lettings, general income and donations are

lower than expected at this time of year.

- 2.6 The budget shortfalls for utilities and income amount to £97,000 and are being met by NRO savings of £47,000 together with a transfer of £50,000 from Cultural Services relating to support savings. The NRO can therefore continue to report a break-even budget position.
- 2.7 A verbal update was provided to this committee on 21 November regarding progress with the Business Rates and we can now report that an increased inflationary uplift of £31,000 will be included in the 2009/10 budget resolving this issue. This represents the NRO share of the Business Rate reduction achieved by combining TAC and County Hall into one valuation.

### **3. Capital Programme**

- 3.1 There is currently no Record Office capital budget for 2008/09.

### **4. Reserves and Provisions**

#### **4.1 Residual Insurance and Lottery Bids**

Balance at 1 April 2008	£316,000
Forecast at 31 March 2009	£296,000

This reserve is to fund Records Conservation and final Archive Centre costs from the original earmarked reserve following the Library fire. Provision of £19,600 has been made for further conservation work within this reserve.

#### **4.2 Manuscript Reserve**

Balance at 1 April 2008	£38,000
Forecast at 31 March 2009	£38,000

This reserve is to fund the cost of manuscripts that may become available. Currently the budget shows no commitments.

#### **4.3 ICT Reserve**

Balance at 1 April 2008	£30,000
Forecast at 31 March 2009	£30,000

This reserve is to enable the cost of replacements to be managed across financial years. Provision is being for replacements that will be required from 2008/09 as part of an ongoing programme at The Archive Centre.

### **5. Equality Impact Assessment**

- 5.1 The Norfolk Record Office Service Plan together places diversity, equality and community cohesion at the heart of service development and service delivery. It aims to ensure that activities included in the service plan are accessible to diverse groups in Norfolk and that all policies, practices and

procedures undergo equality impact assessment. These assessments help the service focus on meeting the needs of customers in relation to age, disability, gender, race, religion & belief and sexual orientation.

## **6. S17 Crime and Disorder Act**

6.1 There are no implications of this report for the Crime and Disorder Act.

## **7. Resource implications**

(a) <u>Finance</u>	The revenue budget for 2008/09 is projected to break even. Progress with reserves and provisions is satisfactory.
(b) <u>Property</u>	None
(c) <u>Staff</u>	None
(d) <u>Information Technology</u>	None

## **8. Recommendations/Conclusions**

The Norfolk Records Committee is requested to:

- Note the Norfolk Record Office's projected revenue out-turn for 2008/09 and progress with reserves and provisions.

### **Officer Contact**

If you have any questions about matters contained in this paper please get in touch with:

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Norfolk Record Office  
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## **Service and Budget Planning 2009 – 2012**

### **A report by the County Archivist**

This report updates the Norfolk Records Committee on proposals for service planning for 2009/10 to 2011/12. It includes updated information on the Provisional Grant Settlement, revenue budget proposals and capital funding bids. The Committee is asked to consider the contents of the report and to feed back comments to inform Cabinet discussion at its meeting on 26 January 2009.

## **1. Background**

- 1.1 Budget planning is part of an integrated approach to overall service planning, including reviewing and updating the County Council Plan. The proposals in this paper are part of that overall approach.
- 1.2 Review Panels and Joint Committees received service and budget planning reports in November 2008 identifying key contextual issues and service challenges together with Chief Officer proposals towards delivering the County Council's Objectives within the agreed financial planning framework. Planning carried out during the year and prior to the announcement of the Provisional Grant Settlement has been based on financial planning assumptions, which included a 3% uplift for Children's Services, Adult Social Services, Planning and Transportation, Waste and Environment and Fire and 2.5% for all other services. Decisions on the final allocation of resources will reflect the delivery of the County Council's Objectives and improvement priorities. At the committee meetings in November, Members were asked to consider and comment on the revenue and capital proposals in light of the information then provided on corporate issues, performance, value for money, risk management and funding to help inform Cabinet members' discussions.
- 1.3 This paper updates Members on the Government's financial settlement for Norfolk. It also reports further work to prioritise bids for capital funding. Committees are again asked to consider the implications in relation to their own service areas for report back to and consideration by Cabinet in January 2009.

## **2. Council Objectives**

- 2.1 The Committee regularly receives performance information against the current corporate objectives, relevant to this Panel. In addition, progress against actions in the County Council Plan 2008-11 and service plans was reported in November.



- 2.2 The Norfolk Record Office service plan will form the framework for managing service delivery, performance and budget monitoring in 2009/10. The NRO service plan will be drafted during January 2009 and will be made available to Committee Members during March 2009. It is expected that the County Archivist will sign-off service plans by 31 March 2009.

### **3. Provisional Local Government Finance Settlement 2008/09**

- 3.1 The Provisional Settlement was announced on 26 November 2008 covering the two years 2009/10 to 2010/11. It has been issued for consultation with responses due back to the Department of Communities and Local Government by 7 January 2009. The final Settlement is usually announced towards the end of January/early February.

- 3.2 For Norfolk, the position is set out in the table below:

	2009/10	2010/11	2009/10	2010/11
	%	%	£M	£M
Shire Counties	4.2	4.0	+154.9	+152.9
Shire Districts	1.4	1.3	+22.1	+22.3
Unitaries	3.4	3.0	+141.9	+131.2
England	2.8	2.6	+780.1	+747.5
Norfolk	5.9	5.3	+12.7	+12.0

- 3.3 This confirms the position for Norfolk County Council announced in the three-year settlement in January 2008 and previously reported to this Review Panel. The only change relates to some redistribution of the funding totals for shire counties and districts reflecting local government restructuring decisions. This has not affected the Norfolk total.

### **4. Update on Financial Planning Position for 2009/10**

#### **4.1 Icelandic Investments**

As has been reported previously, we currently have £32.5m of assets frozen in the accounts of three Icelandic banks. The banks have now been put into administration and we are working with the administrators, and all other local authorities with exposure to Icelandic banks, to recover in full the investments at risk. The position regarding the timing and the extent that the investment will be returned remains unclear. The Minister for Local Government, John Healey, announced in his statement to the House of Commons on 26 November that a new Regulation is to be made, which will mean that we, and other Councils, will not need to make provision in our 2009-10 budget for any loss on these investments. This will provide additional time to obtain a clearer view on reaching a resolution and subsequently, to assess a more accurate view of any requirements within our medium term financial plan.

#### 4.2 Inflation 2008/09

Due to the increase in inflation experienced mid way through the current financial year, it was reported to November Review Panels and Joint Committees that the situation would be reviewed and an assessment made as to how this could be managed and the likely impact on future years. All services have identified some increased costs during the year due to inflation, primarily affecting fuel costs and utilities including gas, oil, electricity and oil related costs affecting highways maintenance materials. These additional costs have been managed by Chief Officers during the year within their respective cash limited budgets. For 2009-10, commentators are projecting a significant reduction to the levels of inflation experienced in 2008-09. This is evidenced already by the reduction in the price of oil over recent months. It is recognised that whilst this change to inflation may not impact immediately in all areas, for example, fixed contracts and contracts for supplies where there is normally a delay in price reductions, such as gas, it is considered that the total provision for inflation within these proposals is adequate.

### **5. Norfolk Records Committee Comments**

- 5.1 On the basis of the agreed financial planning uplift, proposals and issues of particular significance for this Committee including risks and key efficiencies were considered in November. At that meeting, the following issues were identified as having particular impact on service delivery and achievement of the Council's priorities.
- 5.2 The key issues considered by this Committee in November included:
- There is potential with current economic factors, the 'credit crunch', inflationary pressures and the possibility of a recession, to impact on service performance. The risks are of reduced Record Office visitors with a corresponding reduction in VFM performance. This could lead to an increasing risk with our ability to maintain income levels from service charges.
  - The pressure to fund 2009/10 utility and other inflationary cost pressures (forecast £0.086m) is in addition to 2008/09 figures (£0.050m), these pressures in total are equal to 9% of the net annual service budget. The risk comes from the increasing proportion of fixed costs within the Record Office budget leading to a reduction of flexibility in managing services and delivering savings that do not impact on service delivery.
  - Our proposals to use service reserves to balance the 2009/10 budget is a holding position until 2010/11 when we will need to have found alternative savings or to have made sufficient progress with the implementation of an energy reduction programme to significantly reduce energy consumption. The risk is that reserves are not a replacement for base budget and can only be used until they are exhausted. Alternatively this may also be argued as a flexible budgeting approach since these are forecasts and market conditions may alter in our favour potentially reducing our reliance on reserves.

- After discussion, the committee resolved to recommend to Cabinet that The Archive Centre had a special need in regards to utility budget pressures and hoped that this could be recognised in the next budget round.

## **6. Revenue Budget Proposals**

- 6.1 The attached proposals set out the proposed cash limited budget and individual budget proposals for the key service budgets for this Committee appear at Appendix A.

The Appendix listed above shows:

- Cost pressures which impact on the Council Tax
- Budget Savings
- Transfer of specific grants to Area Based Grant (if applicable)
- Transfers of responsibility from Local to Central Government
- Cost neutral changes i.e. budget changes across the Council that do not impact on the overall Council Tax

- 6.2 All budget-planning proposals have been considered in the light of impact on corporate objectives, performance, risk, value for money, equalities and community cohesion and sustainability. This has included a high-level single impact assessment. Key implications for consideration are identified against each item within the tables in Appendix A, which provides a summary of the information for the service.

## **7. Capital Programme**

- 7.1 In accordance with the Capital Strategy, departments have submitted bids for capital funding to the Corporate Capital and Asset Management Group (CCAMG). No capital bids from the NRO were submitted for CCAMG to consider.

## **8. Recommendations by the County Archivist**

- 8.1 Members are asked to consider and comment on the proposals contained within this paper and to consider the prioritised bids for capital funding, in order to inform Cabinet discussion at its meeting on 26 January.

## **9. Equality Impact Assessment**

- 9.1 The Norfolk Record Office places diversity, equality and community cohesion at the heart of service development and service delivery. It aims to ensure that activities included in the service plan are accessible to diverse groups in Norfolk and that all policies, practices and procedures undergo equality impact assessment. These assessments help the service focus on meeting the needs of customers in relation to age, disability, gender, race, religion and belief, and sexual orientation.

## **10. S17 Crime and Disorder Act**

- 10.1 The Norfolk Record Office helps to address the issues of social exclusion, one of the key triggers for crime and disorder. The Norfolk Record Office provides services that are accessible to local people, encourage participation in cultural activities by people who are at risk of offending, engage offenders through a range of cultural projects, assist schools in improving pupil attainment and deliver opportunities to increase the number of people who are in education, employment or training. Through these and many other projects the Norfolk Record Office is using its resources to contribute towards reducing crime and disorder in Norfolk.

### **Officer Contact**

If you have any questions about matters contained in this paper please get in touch with:

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**Revenue Budget Planning – Budget Estimates 2009-12****Norfolk Record Office**

Ref	<b><u>Revenue Budget Estimates</u></b>	<b>2009-10 £'000</b>	<b>2010-11 £'000</b>	<b>2011-12 £'000</b>
	<b>2008-09 Original Budget</b>	<b>1,596</b>	<b>1,533</b>	<b>1,570</b>
	<b>Adjustments to Base</b>			
<b>A</b>	Additional Cost Pressures	129	108	57
<b>B</b>	Budget Savings	-61	-71	-20
	<b>Sub-total</b>	<b>1,664</b>	<b>1,570</b>	<b>1,607</b>
	Budgetary Planning Uplift (difference between sub-total above and 2008-09 Original Budget)	68	37	37
	<b>Service Adjustments</b>			
1	Transfer of Arts and Cultural Grants budget saving to the Record Office	10		
	<b>Cost Neutral Changes</b>			
2	Depreciation Charges	-144		
3	Grant and Contributions Deferred	3		
	<b>Total cost neutral changes and adjustments</b>	<b>-131</b>		
	<b>Cash Limited Budget</b>	<b>1,533</b>	<b>1,570</b>	<b>1,607</b>

**Reference Notes**

A and B are referenced to Appendices A2 and A3

1. The transfer of budget from Arts and Cultural Grants
2. Depreciation Charges – The cost of an asset that is written off over its life
3. Grant and Contributions Deferred - Grant written off to Revenue over the asset life.

## APPENDIX A2

### Revenue Budget Planning - Spending Pressures and Savings 2009-12

#### Norfolk Record Office – Spending Pressures

Ref	Description of cost pressures or service improvement - shown against the key driver	2009-10 £k	2010-11 £k	2011-12 £k	Summary assessment of positive or negative impact on performance; corporate objectives; value for money, equalities and sustainability
	<b>COST PRESSURES AND SERVICE IMPROVEMENTS</b>				
1	<b>Basic Inflation - Pay</b>	28	28	28	
2	<b>Basic Inflation - Prices</b>	5	5	5	
	<b>Additional Inflation - Pay</b>				
3	Local Government Pension Scheme	10	10	10	
	<b>Additional Inflation - Prices</b>				
4	Additional premises running costs (utilities)	86	14	14	
	<b>Costs specific to meeting Service Strategies and Improvement</b>				
5	Committed costs met from reserves in prior years		51		
	<b>Sub total Service Improvement</b>		<b>51</b>		
<b>A</b>	<b>TOTAL COST PRESSURES AND SERVICE IMPROVEMENT</b>	<b>129</b>	<b>108</b>	<b>57</b>	

## APPENDIX A3

#### Norfolk Record Office – Savings

Ref	Proposed action	2009-10 Estimated Saving (£k)	2010-11	2011-12	Summary assessment of positive or negative impact on performance; corporate objectives; value for money, equalities and sustainability
	<b>Savings that do not impact on current policy</b>				
6	Transfer from reserves	51			No immediate on CC objectives.
7	Transfer of Arts and Cultural Grants budget saving to the Record Office	10			Withholding inflation on Arts and Cultural Grants may lead to minor pressures from Arts organisations and possibly some adverse press.
8	Savings yet to be found		71	20	The service continues to work on providing savings for future years.
	<b>Savings that impact on current policy</b>				
	-	-	-	-	
<b>B</b>	<b>TOTAL SAVINGS</b>	<b>61</b>	<b>71</b>	<b>20</b>	

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## **Audit of the Statement of Accounts 2006-07**

Report by the Head of Finance

This report details key issues identified during the audit of the 2006-07 Statements of Accounts by the Audit Commission.

### **1. Introduction**

- 1.1 The 2006-07 Statement of Accounts was approved by the Norfolk Records Committee - Accounts Approval and Urgent Business Sub Committee at its meeting on 29 June 2007. At that time the Audit Commission, the Council's External Auditor, had not started examining the accounts. Their examination is now complete and they have issued an unqualified opinion.
- 1.2 This report sets out the key issues arising from the audit and the proposed action to address these points.
- 1.3 The Annual Governance Report from the Audit Commission and a detailed report on adjustments to the 2006-07 Statement of Accounts were presented to the Norfolk Records Committee – Accounts Approval and Urgent Business Sub-Committee. The reports were circulated via email as no meeting was called and all members were happy to approve the changes.

### **2. Key Issues Arising from the Audit**

- 2.1 There are two key issues arising from the audit, these are that there is no signed formal agreement and the committee needs to confirm that it agrees to abide by Norfolk County Council's governance arrangements. These are detailed in the Annual Governance Report shown in Appendix 1.
- 2.2 With the impending announcement on Local Government Review it is proposed to wait until a final decision is known before requesting Legal Services to draw up a formal agreement. Once the government has decided whether unitary local government is to be introduced in Norfolk or not, a decision will be made as to whether a formal legal agreement is still required.

- 2.3 It is too late to include the committee's endorsement of the use of the County Council's governance arrangements in the 2007-08 Statement of Accounts as these have already been approved. The Annual Governance Statement for 2008-09, subject to Members approval, will include confirmation that the Norfolk Records Committee agrees to abide by Norfolk County Council's governance arrangements.

### **3. Adjustments Arising from the Audit**

- 3.1 During the period of the audit, the Audit Commission identified a number of adjustments to correct non-trivial errors within the financial statements and associated notes, which are mainly presentational. Prior to submitting the accounts to the committee on 29 June 2007, officers discussed the format and content of the accounts with the Audit Commission, however the audit identified some required changes to comply with Best Practice.
- 3.2 Members of the Norfolk Records Committee – Accounts Approval and Urgent Business Sub Committee were informed of and endorsed the changes recommended by the Head of Finance, before the 2006-07 accounts were signed off by the external auditor. (See Appendix 2)
- 3.3 The presentational amendments identified during the audit have already made to the 2007-08 Statement of Accounts before these were approved in June 2008.

### **4. Resource Implications**

- 4.1 There are no finance, staff, property or IT implications arising from this report.

### **5. Other Implications**

- 5.1 There are no legal, human rights, and communications implications arising from this report. The contents of this report do not directly impact on equality, in that it is not making proposals that will have an impact on equality of access or outcomes for diverse groups.

### **6. Risk Implications/Assessment**

- 6.1 There are no risk implications arising from this report.

### **7. Section 17 Crime and Disorder Act**

- 7.1 There are no implications of this report for the Crime and Disorder Act.

### **8. Alternative Options**



- 8.1 There are no alternative options that the Norfolk Records Committee needs to consider.

## **9. Conclusion**

- 9.1 The 2006-07 Statement of Accounts was produced by the end of June 2007, in accordance with statutory regulations. The audit of the accounts is now complete and the Committee has received an unqualified audit report. There are two key issues arising from the audit, these are that there is no signed formal agreement and the committee needs to confirm that it agrees to abide by Norfolk County Council's governance arrangements.

## **10. Recommendation**

- 10.1 The Norfolk Records Committee is requested to note this report; note the comments in the 2006-07 Annual Governance Report in Appendix 1; and endorse the proposed actions in paragraphs 2.2 and 2.3 to address key issues as recommended by the Head of Finance.**

### **Officer Contact**

If you have any questions about matters in this paper please get in touch with:

Name	Telephone Number	Email address
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**If you need this statement in large print, audio, Braille, alternative format or in a different language please contact Hazel Eyre on 01603 222828 or textphone 0844 8008011, and we will do our best to help.**



# Annual Governance Report

Norfolk Joint Records Committee  
Audit 2006/07  
December 2008

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## **Status of our reports**

The Statement of Responsibilities of Auditors and Audited Bodies issued by the Audit Commission explains the respective responsibilities of auditors and of the audited body. Reports prepared by appointed auditors are addressed to non-executive directors/ members or officers. They are prepared for the sole use of the audited body. Auditors accept no responsibility to:

- any director/member or officer in their individual capacity; or
- any third party.

# Summary

## Purpose

**1** This report summarises the findings from our 2006/07 audit, which is substantially complete. It identifies the key issues that you should consider before we issue our opinion, conclusion and certificate.

**2** This report includes only matters of governance interest that have come to our attention in performing our audit. Our audit is not designed to identify all matters that might be relevant to you.

## Financial statements

**3** We intend to issue an unqualified audit opinion on the financial statements before the 19 December 2008. A number of material amendments to the Statements were required.

## Value for Money

**4** Our work on the Council's arrangements to secure economy, efficiency and effectiveness in its use of resources is now complete. We propose issuing an unqualified value for money conclusion before 19 December 2008.

## Next steps

**5** We ask the members of the Norfolk Records Committee - Accounts Approval and Urgent Business Sub-Committee to:

- consider the matters raised in the report before approving the financial statements
- approve the representation letter on behalf of the Joint Committee before we issue our opinion, conclusion and certificate; and
- agree the proposed action plan.

# Financial statements and Statement of Internal Control

**6** The Joint Committee's financial statements and Statement of Internal Control (SIC) are important means by which the Joint Committee accounts for its stewardship of public funds. As Joint Committee members you have final responsibility for the financial statements and SIC. It is therefore important that you consider our findings before we issue our opinion and certificate.

**7** In planning our audit we identified specific risks and areas of judgement that we have focused on during our audit. We report to you the findings of our work in those areas.

**8** In addition, auditing standards require us to report to you:

- the draft representation letter which we are asking management and you to sign;
- our views about the Joint Committee's accounting practices and financial reporting;
- errors in the financial statements;
- any expected modification to our report;
- weaknesses in internal control; and
- certain other matters.

## **Key areas of judgement and audit risk**

In planning our audit we identify any key areas of judgement and audit risk that we needed to consider as part of our audit. In this the first year of auditing the accounts of the Joint Committee we have conducted a wider ranged audit to familiarise ourselves with your business rather than focus on specific areas of risk, although the extent of our work has been determined by materiality to the accounts.

## **Draft representation letter**

**9** Before we issue our opinion, auditing standards require us to obtain from you and management, written representations that:

- you acknowledge your collective responsibility for preparing financial statements in accordance with the applicable financial reporting framework;
- you have approved the financial statements;
- you acknowledge your responsibility for the design and implementation of internal controls to prevent and detect fraud and error;
- you have told me the results of your assessment of the risk that the financial statements might be materially misstated because of fraud;

- you have told me any actual or suspected fraud by management, employees with significant roles in internal control or others (where the fraud could have a material impact on the financial statements);
- you have told me of any allegations of fraud, or suspected fraud, affecting the financial statements communicated by employees, former employees, regulators or others;
- you have told me about all known actual or possible non-compliance with laws and regulations whose effects should be considered when preparing financial statements;
- you have assessed the reasonableness of significant assumptions;
- you are satisfied that all related parties requiring disclosure in the financial statements have been disclosed and that the disclosure is adequate; and
- cover areas where other sufficient appropriate evidence cannot reasonably be expected to exist, for example the completeness of the disclosure of contingent liabilities.

**10** Appendix 1 contains the draft of the letter of representation we seek from you.

### **Accounting policies and financial reporting**

**11** We considered the qualitative aspects of your financial reporting and have not identified any significant issues to raise with you.

### **Errors in the financial statements**

**12** We identified errors in the financial statements (other than those of a trivial nature) and reported these to management. These errors have been amended and are included in the re-statement of the stock balance, reclassification of the Cash balance as a debtor, deletion of the Cash Flow Statement and supporting note and restatement of the Income and expenditure account to show the contribution from Norfolk County Council below the Net Cost of Services.

**13** We have not identified any errors (other than those of a trivial nature) that management has declined to correct.

### **The Audit report**

**14** We plan to issue an unmodified report including an unqualified opinion on the financial statements. Appendix 2 contains a copy of our draft report.

### **Material weaknesses in internal control**

**15** We have not identified any weakness in the design or operation of internal controls that might result in a material error in your financial statements of which you are not aware.

**16** We have not provided a comprehensive statement of all weaknesses which may exist in internal control, nor of all improvements which may be made. We have reported only those matters which have come to our attention because of the audit procedures we have performed.

### Other matters

**17** We have identified the following matters that we require you to consider.

**Table 1 Other matters**

Issue or risk	Finding
<p>There is an unsigned Constituting Agreement which sets out the nature of the agreement between the Joint Committee partner authorities. This document states [para 10(a)] that ‘the annual expenses of the Joint Committee shall be apportioned between the eight authorities except the County Council on the basis of their respective rateable values and shall be levied by the means of the County Council's rate precept’.</p> <p>However, we have been informed that a verbal agreement is in place which reflects the current practice of 100 per cent funding by Norfolk County Council.</p>	<p>In the absence of a formal agreement we are not able to validate the presentation of the funding contribution in the Joint Committee's Income and Expenditure account.</p>
<p>Specific governance arrangements have not been adopted by the Norfolk Records Joint Committee.</p>	<p>The CIPFA CJC Guide to Partnerships and Partnering states that it is prudent for Joint Committees to have written agreement with their members covering:</p> <ul style="list-style-type: none"><li>• their own standing orders and financial regulations; and</li><li>• procedures for wind-up.</li></ul>

### Recommendation

**R1** The Constituting Agreement of the Norfolk Records Joint Committee should be formalised as soon as possible and should include the funding arrangements that are actually in place.

**R2** The Joint Committee should review its governance arrangements and as a minimum confirm whether those by which it is currently governed (which are the arrangements in place for Norfolk County Council) are appropriate or put in place specific arrangements where this is felt necessary.

# Value for money

**18** We are required to conclude whether the Joint Committee put in place adequate corporate arrangements for securing economy, efficiency and effectiveness in its use of resources. We assess your arrangements against nine criteria specified by the Commission for other local authorities.

**19** We have assessed the arrangements of the Joint Committee as adequate in all nine areas and we therefore propose to issue an unqualified conclusion.



# Formal audit powers

**20** We have:

- a power to issue a public interest report. We do so where we believe this is necessary to draw a matter to your attention, or to that of the public;
- a power to apply to court for a declaration that an item in the Joint Committee's accounts is contrary to law;
- a power to issue an advisory notice. An advisory notice requires the Joint Committee to meet and consider the notice before:
  - making a decision that might give rise to unlawful expenditure; or
  - taking an unlawful course of action that would give rise to a loss; or
  - making unlawful entry in the accounts; and
- a power to seek judicial review of a decision of the Joint Committee.

**21** We have not and do not propose to exercise these powers.

# Independence

**22** The Code of Audit Practice and the APB's Ethical Standards with which auditors must comply require that auditors act, and are seen to act, with integrity, objectivity and independence.

**23** We confirm that we comply with the APB's Ethical Standards, that we are independent and that our objectivity is not compromised.

**24** We communicate to you:

- any relationships between us and the Joint Committee, its members and senior management that might affect our objectivity and independence and any safeguards put in place;
- total fees charged to you for audit and non-audit services; and
- our arrangements to ensure independence and objectivity.

## Relationships with the Joint Committee

**25** We have identified no relationships that might affect objectivity and independence. We have comprehensive procedures to ensure independence and objectivity. These are outlined in Table 2.

**Table 2 Arrangements to ensure independence and objectivity**

Area	Arrangements
Independence policies	<p>Our policies and procedures ensure that professional staff or an immediate family member:</p> <ul style="list-style-type: none"><li>• do not hold a financial interest in any of our audit clients;</li><li>• may not work on assignments if they have a financial interest in the client or a party to the transaction or if they have a beneficial interest in a trust holding a financial position in the client; and</li><li>• may not enter into business relationships with UK audit clients or their affiliates.</li></ul> <p>Our procedures also cover the following topics and can be provided to you on request:</p> <ul style="list-style-type: none"><li>• the general requirement to carry out work independently and objectively;</li></ul>

	<ul style="list-style-type: none"> <li>• safeguarding against potential conflicts of interest;</li> <li>• acceptance of additional (non-audit) work;</li> <li>• rotation of key staff;</li> <li>• other links with audited bodies;</li> <li>• secondments;</li> <li>• membership of audited bodies;</li> <li>• employment by audited bodies;</li> <li>• political activity; and</li> <li>• gifts and hospitality.</li> </ul>
Code of Conduct	The Code of Conduct forms part of the terms and conditions of all Audit Commission employees. The Code of Conduct states that staff have to comply with ethical guidance issued by their relevant professional bodies.
Confidentiality	All staff are required to sign an annual undertaking of confidentiality as a condition of employment.

### Audit fees

**26** Our audit fee for 2006/07 will be £13,500.

# Appendix 1 – Draft Letter of Representation

To:

Mr A Perrin  
Audit Commission  
Regus House  
1010 Cambourne Business Park  
Cambourne, Cambridge  
CB23 6DP

## **Audit of Norfolk Records Joint Committee for the year ended 31st March 2007**

I confirm to the best of my knowledge and belief, having made appropriate enquiries of other officers of the Council, the following representations given to you in connection with your audit of Norfolk Records Joint Committee's financial statements for the year ended 31 March 2007.

### **Compliance with the statutory authorities**

I acknowledge my responsibility under the relevant statutory authorities for preparing the financial statements in accordance with the Code of Practice for Local Authority Accounting in the United Kingdom: A Statement of Recommended Practice which present fairly the financial position and financial performance of the Council and for making accurate representations to you.

### **Supporting records**

All the accounting records have been made available to you for the purpose of your audit and all the transactions undertaken by Norfolk Records Joint Committee have been properly reflected and recorded in the accounting records. All other records and related information, including minutes of all members' meetings, have been made available to you.

### **Irregularities**

I acknowledge my responsibility for the design and implementation of internal control systems to prevent and detect fraud or error.

There have been no:

- irregularities involving management or staff who have significant roles in the system of internal accounting control;

- irregularities involving other staff that could have a material effect on the financial statements; or
- communications from regulatory agencies concerning non-compliance with, or deficiencies on, financial reporting practices which could have a material effect on the financial statements.

I also confirm that I have disclosed:

- my knowledge of fraud, or suspected fraud, involving either management, staff who have significant roles in internal control or others where fraud could have a material effect on the financial statements; and
- my knowledge of any allegations of fraud, or suspected fraud, affecting the entity's financial statements communicated by staff, former staff, analysts, regulators or others.

### **Law, regulations, contractual arrangements and codes of practice**

There are no instances of non-compliance with laws, regulations and codes of practice, likely to have a significant effect on the finances or operations of the Council.

### **Contingent liabilities**

There are no other contingent liabilities, other than those that have been properly recorded and disclosed in the financial statements. In particular:

- there is no significant pending or threatened litigation, other than those already disclosed in the financial statements;
- there are no material commitments or contractual issues, other than those already disclosed in the financial statements; and
- no financial guarantees have been given to third parties.

### **Related party transactions**

I confirm the completeness of the information disclosed regarding the identification of related parties.

The identity of, and balances and transactions with, related parties have been properly recorded and where appropriate, adequately disclosed in the financial statements.

### **Post balance sheet events**

Since the date of approval of the financial statements by Members of the Accounts Approval and Urgent Business Sub Committee, no additional significant post balance sheet events that have occurred which would require additional adjustment or disclosure in the financial statements.

Norfolk Records Joint Committee has no plans or intentions that may materially alter the carrying value or classification of assets and liabilities reflected in the financial statements.

Signed on behalf of Norfolk Records Joint Committee

Signed

Name

Position

Signed

Name

Position

Date

# Appendix 2 – Auditor's Report

## **Independent auditor's report to the Members of Norfolk Records Joint Committee Opinion on the financial statements**

I have audited the financial statements of Norfolk Records Joint Committee for the year ended 31 March 2007 under the Audit Commission Act 1998, which comprise the Explanatory Foreword, Income and Expenditure Account, Statement of the Movement on the General Fund Balance, the Balance Sheet, the Statement of Total Recognised Gains and Losses and the related notes. These financial statements have been prepared under the accounting policies set out within them.

This report is made solely to Norfolk Records Joint Committee Joint Committee in accordance with Part II of the Audit Commission Act 1998 and for no other purpose, as set out in paragraph 36 of the Statement of Responsibilities of Auditors and of Audited Bodies prepared by the Audit Commission.

### **Respective responsibilities of the Chief Finance Officer and auditors**

The Chief Finance Officer's responsibilities for preparing the financial statements in accordance with applicable laws and regulations and the Statement of Recommended Practice on Local Authority Accounting in the United Kingdom 2006 are set out in the Statement of Responsibilities.

My responsibility is to audit the financial statements in accordance with relevant legal and regulatory requirements and International Standards on Auditing (UK and Ireland).

I report to you my opinion as to whether the financial statements presents fairly the financial position of the Joint Committee in accordance with applicable laws and regulations and the Statement of Recommended Practice on Local Authority Accounting in the United Kingdom 2006.

I review whether the statement on internal control reflects compliance with CIPFA's guidance 'The statement on internal control in local government: meeting the requirements of the Accounts and Audit Regulations 2003' issued in April 2004. I report if it does not comply with proper practices specified by CIPFA or if the statement is misleading or inconsistent with other information I am aware of from my audit of the financial statements.

I am not required to consider, nor have I considered, whether the statement on internal control covers all risks and controls. I am also not required to form an opinion on the effectiveness of the Joint Committee's corporate governance procedures or its risk and control procedures.

### **Basis of audit opinion**

I conducted my audit in accordance with the Audit Commission Act 1998, the Code of Audit Practice issued by the Audit Commission and International Standards on Auditing (UK and Ireland) issued by the Auditing Practices Board. An audit includes examination, on a test basis, of evidence relevant to the amounts and disclosures in the financial statements. It also includes an assessment of the significant estimates and judgments made by the Joint Committee in the preparation of the financial statements, and of whether the accounting policies are appropriate to the Joint Committee'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 are free from material misstatement, whether caused by fraud or other irregularity or error. In forming my opinion I also evaluated the overall adequacy of the presentation of information in the financial statements.

### **Opinion**

In my opinion the financial statements present fairly, in accordance with applicable laws and regulations and the Statement of Recommended Practice on Local Authority Accounting in the United Kingdom 2006, the financial position of the Joint Committee as at 31 March 2007 and its income and expenditure for the year then ended.

Andy Perrin  
District Auditor  
Audit Commission  
Regus House,  
1010 Cambourne Business Park  
Cambourne,  
Cambridge CB23 6DP

Date



## **Conclusion on arrangements for securing economy, efficiency and effectiveness in the use of resources**

### **Joint Committee's responsibilities**

The Joint Committee is responsible for putting in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources, to ensure proper stewardship and governance, and to regularly review the adequacy and effectiveness of these arrangements.

### **Auditor's responsibilities**

I am required by the Audit Commission Act 1998 to be satisfied that proper arrangements have been made by the Joint Committee for securing economy, efficiency and effectiveness in its use of resources. The Code of Audit Practice issued by the Audit Commission requires me to report to you my conclusion in relation to proper arrangements, having regard to relevant criteria specified by the Audit Commission for other local government bodies. I report if significant matters have come to my attention which prevent me from concluding that the authority has made such proper arrangements. I am not required to consider, nor have I considered, whether all aspects of the authority's arrangements for securing economy, efficiency and effectiveness in its use of resources are operating effectively.

### **Conclusion**

I have undertaken my audit in accordance with the Code of Audit Practice and I am satisfied that, having regard to the criteria for other local government bodies specified by the Audit Commission and published in September 2005, in all significant respects, Norfolk Records Joint Committee made proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ending 31 March 2007.

### **Certificate**

I certify that I have completed the audit of the accounts in accordance with the requirements of the Audit Commission Act 1998 and the Code of Audit Practice issued by the Audit Commission.

Andy Perrin  
District Auditor  
Audit Commission  
Regus House,  
1010 Cambourne Business Park  
Cambourne,  
Cambridge CB23 6DP

Date

## Appendix 3 – Action Plan

Page no.	Recommendation	Priority 1 = Low 2 = Med 3 = High	Responsibility	Agreed	Comments	Date
6	R1 The Constituting Agreement of the Norfolk Records Joint Committee should be formalised as soon as possible and should include the funding arrangements that are actually in place.	3				
6	R2 The Joint Committee should review its governance arrangements and as a minimum confirm whether those by which it is currently governed (which are the arrangements in place for Norfolk County Council) are appropriate or put in place specific arrangements where this is felt necessary.	3				

**Report to Norfolk Records Committee - Accounts Approval  
and Urgent Business Sub Committee**

**Amendments to the Statement of Accounts 2006-07**

Report by the Head of Finance

<p>This report details issues identified since the approval of the 2006-07 Statements of Accounts and recommends proposed changes by the Head of Finance</p>
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**1. Introduction**

- 1.1 The 2006-07 Statement of Accounts was approved by the Norfolk Records Committee - Accounts Approval and Urgent Business Sub Committee at its meeting on 29 June 2007. At that time the Audit Commission, the Council's External Auditor, had not started examining the accounts. Their examination is now substantially complete and there is a separate report from them.
- 1.2 This report sets out the adjustments required to be made to the accounts arising from the audit. As 2006-07 was the first year of producing accounts for the Norfolk Records Committee it was anticipated that there would probably be some changes that needed to be made.
- 1.3 The Audit Commission classify accounting adjustments into three categories:
  - Material adjustments – These are adjustments that if uncorrected would lead to a material misstatement in the accounts.
  - Non-Trivial adjustments – The Audit Commission set a limit where adjustments are required to the accounts. These are not material adjustments but by making the changes the overall quality of the accounts is improved.
  - Trivial adjustments – These are items that require no amendments to the accounts but may be issues that need to be reviewed to improve the quality of future years accounts.
- 1.4 From discussions with the External Auditor, the Head of Finance anticipates that the Committee will receive an unqualified audit opinion on the 2006-07 Statement of Accounts.

- 1.5 During the period of the audit, the Audit Commission identified a number of adjustments to correct non-trivial errors within the financial statements and associated notes, which are mainly presentational. Prior to submitting the accounts to the committee on 29 June 2007, officers discussed the format and content of the accounts with the Audit Commission, however the audit identified some required changes to comply with Best Practice.
- 1.6 The presentational amendments identified during the audit have already made to the 2007-08 Statement of Accounts before these were approved in June 2008.
- 1.7 The amendments to the 2006-07 Statement of Accounts identified in item 1.5 above are detailed below:

## **2. Adjustments arising from the Audit of the Accounts**

- a) When the accounts were approved in June 2007, the responsible finance officer was the Director of Finance (Bob Summers). Following the audit of the accounts and the adjustments made as a result, the responsible finance officer is now the Head of Finance (Paul Brittain). All references to the Director of Finance in the 2006-07 accounts have been changed to Head of Finance.
- b) The joint committee does not operate its own bank account and does not have a separately identifiable cash balance. Therefore the amount previously shown as Cash in the Balance Sheet has been added to the Debtors total to reflect that the cash is due to the committee, not held by it.
- As a result of this no Cash Flow Statement is required and this has been removed from the accounts along with the relevant note.
- c) The wording in the first paragraph of the Overview has been changed to clarify where internal and external funding comes from.
- d) Norfolk Records Committee does not have any borrowings so the accounting policy regarding interest payable & receivable on borrowings has been removed.
- e) The contribution from Norfolk County Council is classified as funding, not income and is now shown below Net Operating Expenditure in the Income & Expenditure Account
- f) Additional money received from Cultural services during the year is to be accounted for as part of the Norfolk County Council contribution. This reduces income and increases the Net Cost of Services by £52k.

- g) During the audit an error was identified in the total Stock value in the Balance Sheet for 2005/06. This led to the values of Stock in 2005/06 and 2006/07 being reduced by £6k
- h) In June 2007 the audit costs were unknown so could not be included in the Statement of Accounts. Note 3 has been updated to reflect the cost for the 2006-07 audit of £13,500.
- i) An additional note, Note 11, has been included with the date the accounts were authorised for issue as required by the Statement of Recommended Practice.

### **3. Resource Implications**

- 3.1 There are no finance, staff, property or IT implications arising from this report.

### **4. Other Implications**

- 4.1 There are no legal, human rights, and communications implications arising from this report. The contents of this report do not directly impact on equality, in that it is not making proposals that will have an impact on equality of access or outcomes for diverse groups.

### **5. Risk Implications/Assessment**

- 5.1 There are no risk implications arising from this report.

### **6. Section 17 Crime and Disorder Act**

- 6.1 There are no implications of this report for the Crime and Disorder Act.

### **7. Alternative Options**

- 7.1 There are no alternative options that the Norfolk Records Committee - Accounts Approval and Urgent Business Sub Committee needs to consider.

### **8. Conclusion**

- 8.1 The 2006-07 Statement of Accounts was produced by the end of June 2007, in accordance with statutory regulations. The audit of the accounts is now substantially complete and it is anticipated the Committee will receive an unqualified audit report. There are some adjustments to be made to the 2006-07 accounts which, the Head of Finance has agreed with the Audit Commission, will be amended before the 2006-07 Statement of Accounts is published.

## **9. Recommendation**

- 9.1 The Norfolk Records Committee - Accounts Approval and Urgent Business Sub Committee is requested to note this report and endorse the changes to the 2006-07 Statement of Accounts recommended by the Head of Finance.**

### **Officer Contact**

If you have any questions about matters in this paper please get in touch with:

Name	Telephone Number	Email address
Harvey Bullen	01603 223330	<a href="mailto:harvey.bullen@norfolk.gov.uk">harvey.bullen@norfolk.gov.uk</a>

**If you need this statement in large print, audio, Braille, alternative format or in a different language please contact Hazel Eyre on 01603 222828 or textphone 0844 8008011, and we will do our best to help.**



**THE NATIONAL ARCHIVES' SELF-ASSESSMENT PROGRAMME  
FOR LOCAL AUTHORITY ARCHIVE SERVICES, 2008**

**Report by the County Archivist**

This report, which the Committee is asked to note and comment upon, gives information about The Norfolk Record Office's performance in The National Archives' self-assessment of local authority archive services in 2008.

1. Following the introduction of the pilot scheme in 2006 and the running of the first exercise proper in 2007, The National Archives (TNA) repeated their programme of self-assessment for local authority archive services in 2008. TNA sent out the questionnaires on 2 June 2008 and required their return by 1 August.
2. On 22 December 2007, TNA issued its final report on the performance of the Norfolk Record Office (NRO), details of which are included in this report. It also advised that over 90% of the local authority archive services in England and Wales, which were required to participate, actually responded.
3. The questionnaire was arranged into five main sections and the scores which the NRO achieved on each section, compared with the averages for the East of England region, other county archive services, and the UK national averages, appear in the following table. The scores for 2007 are given in brackets after the scores for the current year.

	<b>Score for NRO</b>	Average score in East of England region	Average score of county council services	Average score in the UK
Section 1: governance	<b>93%</b> <b>(92.5%)</b>	73% (70.5%)	73.5% (71.5%)	62.0% (64.0%)
Section 2: documentation of collections	<b>84%</b> <b>(79.5%)</b>	69% (66%)	66.5% (64%)	59.0% (57.0%)
Section 3: access and outreach services	<b>72%</b> <b>(75.5%)</b>	64.5% (57.5%)	64.5% (58.5%)	57.0% (52.5%)

Section 4: preservation and conservation	<b>93%</b> <b>(81.5%)</b>	73% (70%)	76% (74%)	65.0% (62.0%)
Section 5: buildings, security and environment	<b>96.5%</b> <b>(93%)</b>	73.5% (69%)	71% (67%)	64.5% (60.5%)
Overall score	<b>85.5%</b> <b>(84%)</b>	70% (65.5%)	69% (65.5%)	61.0% (58.0%)

4. The table shows that the NRO was consistently well above the averages for each of the three categories. County archive services, as a group, scored more highly than the national average, which was lowered by the performance of some London boroughs and unitary authorities, many of which, because of their smaller size, do not have the critical mass of resources needed to meet the required standards.
5. In addition to scoring the questionnaires, TNA banded the results for each section into four performance bands (one-star; two-star, three-star and four-star), with approximately the top 10% of scores on each section of the questionnaire being rated as four-star, the bottom 10% as one-star, and the remaining 80% being divided equally between one-star and two-star ratings.
6. There has been a change in the star rating system from that of 2007, when the performance bands were labelled no-star, one-star, two-star and three-star, so that a three-star performance in 2008 is the equivalent of a two-star performance in 2007, and so on.
7. The performance bands for the overall score take into account both the absolute score achieved and the consistency of performance on the five sections of the questionnaire. The boundary scores between the performance bands for the overall score do not simply reflect the overall score rankings, but are based on the boundary scores set in 2007, slightly adjusted to reflect minor changes in the questionnaire. This is intended to allow services to show progression and improvement in their overall performance banding from year to year.
8. Services which have a particular area of weak performance are held down to a lower performance band than their overall score would otherwise warrant. In addition to meeting the score required to reach the overall star ratings, those services which scored less than 35% on any area of the questionnaire were held down to a one-star rating; less than 45% on any area kept the overall rating down to a two-star performance; and a score under 55% on any areas of the questionnaire meant being held down from a four-star rating to a three-star. These thresholds remain the same as in 2007.
9. In the 2008 assessment, the NRO, with its overall score of 85.5%, was judged by TNA to be a four-star service.



10. The score is an improvement over last year's overall score of 84%, when the NRO was the highest performing archive service in the country.
11. The NRO's performance bands for its score on each section of the 2008 questionnaire were as follows:

Section number	Performance Band
1	****
2	****
3	***
4	****
5	****
<b>Overall</b>	****

12. Archive services which have concerns about their results are able to appeal against them to the Self-Assessment Panel before the end of January. Once the results of any appeals have been determined, the scores, performance bands and direction of travel for each service and authority will be published by TNA.
13. In response to comments from authorities, and to give time for the results of improvement plans to be demonstrated before the next self-assessment exercise is held, the next programme will be run in 2010. TNA intend, however, to publish an analysis of the 2007 and 2008 data in 2009.
14. TNA welcome further feedback from repositories on the self-assessment process. They hope not to make too many changes to the process between 2008 and 2010, in order to continue to build up time-series data which demonstrate the direction of travel of each service. However, in the next exercise, they intend to look in some detail at the questions on preservation and conservation, and buildings, security and the environment.

## **15. Equality Impact Assessment**

The NRO places diversity, equality and community cohesion at the heart of service development and service delivery. It aims to ensure that activities included in its service plan are accessible to diverse groups in Norfolk and that all policies, practices and procedures undergo equality impact assessment. These assessments help the service to focus on meeting the needs of customers in relation to age, disability, gender, race, religion and belief, and sexual orientation.

## **16. S.17 Crime and Disorder Act**

The NRO helps to address the issues of social exclusion, one of the key triggers for crime and disorder. The NRO provides services which are accessible to local people, encourage participation in cultural activities by people who are at risk of offending, engage offenders through a range of cultural projects, assist schools in improving pupil attainment and deliver opportunities to increase the number of people who are in education,

employment or training. Through these, and many other projects, the NRO is using its resources to contribute towards reducing crime and disorder in Norfolk.

## **17. Financial Implications**

Any financial implications in this report are covered by existing budgetary provision.

## **18. Property, Staffing and IT Implications**

Property, Staffing and IT matters are not specifically considered in this report.

## **19. Recommendation**

Members are asked to note this report and to comment on it.

### **Officer Contact:**

Dr John Alban  
County Archivist  
Norfolk Record Office  
The Archive Centre  
Martineau Lane  
Norwich NR1 2DQ  
Tel.: 01603 222599; Fax: 01603 761885; e-mail: [jr.alban@norfolk.gov.uk](mailto:jr.alban@norfolk.gov.uk)



If you need this report in large print, audio, Braille, alternative format or in a different language please contact the County Archivist on 01603 222599 and we will do our best to help.