

NORFOLK RECORDS COMMITTEE

Date: Friday 11 January 2013

Time: 10.30am

Venue: The Green Room, The Archive Centre
County Hall, 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.



HMS *Investigator* and HMS *Enterprise* cutting through the ice to enter into Port Leopold, at the north-east tip of Somerset Island, Nunavut, Canada, in 1848, during the expedition led by Sir James Ross to search for the missing Franklin expedition. Watercolour by Samuel Gurney Cresswell of King's Lynn, who was serving as a Sub-Lieutenant aboard *Investigator*. From the album entitled 'Sketches in the Arctic Regions by Captⁿ S. Gurney Cresswell, R.N., 1848, 49, 50, 51, 52, 53' (NRO, ACC 2012/248), in the Samuel Gurney Cresswell archive. The archive was acquired in December 2012, with generous support from the V&A Purchase Grant Fund and the Friends of the National Libraries.

Membership

Mr J W Bracey

Ms D Carlo

Mrs A Claussen-Reynolds

Mr P J Duigan

Dr C J Kemp

Mrs E A Nockolds

Ms K S Robinson-Payne

Mr M Sands

Ms V Thomas

Mr T Wright

Vacancy

Vacancy

Broadland District Council

Substitute: Mr D Ward

Norwich City Council

North Norfolk District Council

Norfolk County Council

Substitute: Mrs J Leggett

South Norfolk District Council

Substitute: Mr T Blowfield

King's Lynn and West Norfolk Borough Council

Great Yarmouth Borough Council

Norwich City Council

Norwich City Council

Norfolk County Council

Substitute: Mrs J Leggett

Breckland District Council

Substitute: Mrs S Matthews

Norfolk County Council

Substitute: Mr J Joyce

Non-Voting Members

Mr M R Begley

Mr R Jewson

Dr G A Metters

Dr V Morgan

Prof. C Rawcliffe

Revd C Read

Prof. R Wilson

Co-opted Member

Custos Rotulorum

Representative of the Norfolk Record 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 committees@norfolk.gov.uk

A g e n d a

1. **To receive apologies and details of any substitute members attending.**
2. **Election of Chairman** (Page 1)
3. **Election of Vice-Chairman** (Page 1)
4. **Minutes** (Page 3)

To confirm the minutes of the meeting of the Norfolk Records Committee held on 23 November 2012.

5. **Matters of Urgent Business**
6. **Members to Declare any Interests**

If you have a **Disclosable Pecuniary Interest** in a matter to be considered at the meeting and that interest is on your Register of Interests you must not speak or vote on the matter.

If you have a **Disclosable Pecuniary Interest** in a matter to be considered at the meeting and that interest is not on your Register of Interests you must declare that interest at the meeting and not speak or vote on the matter.

In either case you may remain in the room where the meeting is taking place. If you consider that it would be inappropriate in the circumstances to remain in the room, you may leave the room while the matter is dealt with.

If you do not have a Disclosable Pecuniary Interest you may nevertheless have an **Other Interest** in a matter to be discussed if it affects:

- your well being or financial position
- that of your family or close friends
- that of a club or society in which you have a management role
- that of another public body of which you are a member to a greater extent than others in your ward.

If that is the case then you must declare such an interest but can speak and vote on the matter.

7. **Norfolk Records Urgent Business Sub-Committee** (Page 9)
Report by the Head of Democratic Services

8. Norfolk Record Office - Performance and Budget Report (Page 10)
2012/13

Report by the County Archivist

9. Service and Budget Planning 2013-15 for the Norfolk Record Office (Page 15)

Report by the County Archivist

10. Review of Norfolk Record Office's Standards and Policies (Page 23)

Report by the County Archivist

11. Exclusion of the Public

The committee is asked to consider excluding the public from the meeting under section 100A of the Local Government Act 1972 for consideration of the item below on the grounds it involves the likely disclosure of exempt information as defined by Paragraph 3 of Part 1 of Schedule 12A to the Act, and that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

12. Exempt Minutes (Page 43)

To confirm the exempt minutes of the meeting of the Norfolk Records Committee held on 23 November 2012.

13. Future Meetings

Date	Time	Venue
Friday 26 April 2013	10:30am	The Green Room, Archive Centre
Friday 28 June 2013	10:30am	The Green Room, Archive Centre
Friday 22 November 2013	10:30am	The Green Room, Archive Centre

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

Date Agenda Published: 3 January 2013



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ELECTION OF CHAIRMAN AND VICE-CHAIRMAN

Report by the Head of Democratic Services

In connection with the election of Chairman and Vice-Chairman, the Committee will wish to note that the current voting membership is as follows:

Membership

Mr J W Bracey	Broadland District Council
Ms D Carlo	Norwich City Council
Mrs A Claussen-Reynolds	North Norfolk District Council
Mr P J Duigan	Norfolk County Council
Ms K S Robinson-Payne	Great Yarmouth Borough Council
Dr C J Kemp	South Norfolk District Council
Mrs E A Nockolds	King's Lynn and West Norfolk Borough Council
Mr M Sands	Norwich City Council
Ms V Thomas	Norwich City Council
Mr T Wright	Norfolk County Council
Vacancy	Breckland District Council
Vacancy	Norfolk County Council

Officer Contact:

Kristen Jones

Committee Officer, Democratic Services

Tel: 01603 223053



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Norfolk Records Committee

Minutes of the Meeting held on 23 November 2012

Present:

Norfolk County Council

Mr T Wright
Mrs J Leggett

Great Yarmouth Borough Council

Ms K Robinson-Payne

Breckland District Council

Mr P Duigan

Norwich City Council

Ms D Carlo

Broadland District Council

Mr J Bracey

King's Lynn and West Norfolk Borough Council

Mrs E Nockolds

South Norfolk District Council

Dr C J Kemp (Vice-Chairman)

Non-Voting Members

Co-Opted Member

Mr M Begley
Dr G Metters

Observer

Dr V Morgan

Representative of the Bishop of Norwich

Revd C Read

Dr C Kemp (Vice-Chairman) in the Chair.

1. Apologies for Absence

- 1.1 Apologies for absence were received from Mr D Murphy (Mrs J Leggett substituted), Professor C Rawcliffe, Mrs A Claussen-Reynolds, Prof. R Wilson, Mr R Jewson and Ms V Thomas.

2. Minutes

- 2.1 The minutes of the meeting held on 22 June 2012 were confirmed by the Committee and signed by the Vice-Chairman.

3. Matters of Urgent Business

- 3.1 There were no items of urgent business.

4. Declarations of Interest

- 4.1 There were no declarations of interest.

5. Norfolk Record Office – Performance and Budget Report 2012/13

- 5.1 The annexed report (5) by the County Archivist was received. The report provided information on performance against service plans and budget out-turn information

for 2012/13 for the Norfolk Record Office (NRO).

5.2 During the presentation of the report, the Committee were asked to note that the first bullet point in the Executive Summary of the report should read:

- At the end of September 2012, the NRO is predicting a small budget underspend of £0.034m which related to staff vacancies within the Corporate Freedom of Information Team, which is housed in The Archive Centre and managed by the County Archivist.

5.3 The following points were noted in response to questions from the Committee:

- There was no means of identifying if the recorded visitor numbers were new visitors or repeat visitors. The information was based on how many visitors attended the Norfolk Record Office on any particular day and therefore they could have been counted more than once if they were return visitors.
- The reduction in visitor numbers could in part be attributed to the amount of material which was now available on the internet and that people researching family history and genealogy were able to access information without needing to visit the Norfolk Record Office.

RESOLVED

5.4 To note the performance with the 2012/13 service plan and the performance with the revenue budget and reserves and provisions for 2012/13.

6. Service and Budget Planning 2013-15 for the Norfolk Record Office

6.1 The annexed report (6) by the County Archivist was received by the Committee. The report set out the financial and planning context for the authority and gave specific service information for the Norfolk Record Office for the next financial year.

6.2 The report covered the period 2013-14, as no corporate information was yet available beyond 2014 and no changes from the Big Conversation, undertaken in 2010, had been carried forward.

6.3 The following points were noted in response to questions from the Committee:

- Norfolk Record Office had made a commitment to ensuring as much information as possible was accessible on line, therefore the increased access to the digital information at the Norfolk Record Office was considered an opportunity rather than a threat to services.
- Negotiations were currently taking place with a number of companies to determine financial arrangements for digitising additional information and making it accessible via the website. There was always a likely risk of an adverse impact on income generation with the availability of digital information on line. When the digitising programme had initially been established in 1997 the County Council's priority was to make as much information as possible available to everyone, rather than to make a profit. If the project were being instigated today, it was likely a more commercial approach would be adopted with regard to accessing the on-line information.

- Family history researchers remained the largest users of the service and the majority of the on line digital information and material was aimed at family historians.

6.4 **RESOLVED** to

- a) Agree the revised service and financial planning context and assumptions and
- b) Note the revised spending pressures and savings for the Norfolk Record Office arising from those assumptions.

7. **Risk Register**

7.1 The annexed report (7) by the County Archivist was received by the Committee. The report set out the latest version of the Norfolk Record Office's risk register and invited comments from the Committee.

7.2 The Committee noted that two principal risks (RM13964 – A lack of effective site security and RM14077 – Failure to follow data protection procedures) had met their targets since the last review.

7.3 The following points were noted in response to questions from the Committee:

- With regard to RM13964 (A lack of effective site security), there had been no incidents to compromise site security, but the risk had been added to the register to raise consciousness of those possible risks. Although the target had now been met, it remained on the register as a reminder of the need to be vigilant.
- RM14077 (Failure to follow data protection procedures) was a Norfolk Record Office version of a corporate risk, bespoke versions of which now appeared on local risk registers throughout the County Council.
- With regard to RM13963 (Long-term staff shortage), the Norfolk Record Office was taking steps to ensure succession planning took place so that the skills mix was continued. This was a potential medium to long-term risk. Currently there were five archivists on the staff who could read documents in Latin, including the project archivists working on The National Archives-funded project on the Norfolk Manorial Documents Register.
- Dr Kemp suggested that a recognised form of hatching with a coded key should be used in all performance reports to distinguish the different levels of risk rather than using solid colours. He added that this way of doing things had been done in the past and that examples could be found in documents in the Norfolk Record Office. This suggestion would be considered and a response provided to Dr Kemp.

7.4 **RESOLVED** to note the report.

8. **Periodic Report, 1 April – 30 September 2012**

8.1 The annexed report (8) by the County Archivist was received by the Committee. The report set out the activities of the Norfolk Record Office during the period,

giving Performance Indicators and listing the accessions received during the period.

8.2 The report showed that the Norfolk Record Office had a very successful half year in terms of the acquisitions they had made.

8.3 The following points were noted in response to questions from the Committee:

- Norfolk Record Office offered a free service to undertake surveys of archives and carry out site visits to look at archival material.
- Mr Duigan wished to express his formal thanks to Susan Maddock for the work she had completed for the Dereham Antiquarian Society's store at East Dereham.
- The survey carried out at Norwich City Hall did not include any material from the Police Station at Bethel Street. Any archive material from the Police Authority tended to be acquired from Police Headquarters at Wymondham or from other Police sources, such as officers who had retired from the service.
- The Fire Service had also donated material about Norfolk Fire and Rescue Services from the Headquarters at Hethersett and Bethel Street Fire Station.
- Members congratulated the Norfolk Record Office on their significant achievement of the retro-conversion of records acquired by Norwich Public Library before 1963 which had converted cards in the searchroom, filed by place, person and subject into a draft catalogue, 70% of which was now available via the Record Office's online catalogue, NROCAT.
- The retro-conversion was a major project which had refocused the efforts of the Norfolk Record Office on cataloguing. The 208 new catalogues represented some 25cubic metres of files, which was a significant achievement.
- The County Archivist would find out how work on conserving the Bergh Apton tithe map was progressing and let the Committee know. Note: Following the meeting, the County Archivist confirmed that the conservation work on the Bergh Apton tithe map had been completed.
- The list of publications on pages 46 and 47 of the report was a selection of the titles published during the last six months and was indicative of the amount of research carried out in the Norfolk Record Office. Members' attention was drawn to an article about *The Whirlpool of Misadventures. Letters of Robert Paston, First Earl of Yarmouth, 1663-79* which had appeared in the Eastern Daily Press on 23 November.
- To indicate the wide variety of research completed at the Norfolk Record Office, members requested a board displaying book covers be put on show in the Archive Centre showcasing the books by the authors who had completed their research at the Norfolk Record Office. The County Archivist said he would investigate the possibility, but thought that, due to possible copyright problems, a list of all publications could be provided instead.

- Norfolk Record Office did not have a copy of the accompanying DVD to the book by S Spooner entitled *Sail and Storm – The Aylsham Navigation*, although a copy of the book itself was available in Norfolk Record Office.
- The records from the Colman site remained unavailable in Norfolk, following their removal by Unilever to the Wirral when they took over the site. Unilever had also refused to allow the Norwich Society to digitise the records, although they had agreed to make an on-line catalogue available. NROCAT did have a catalogue of some of the records available, although anyone wishing to view the actual records would need to travel to Port Sunlight to do so.
- The Law Society had issued guidance about receiving archival material from solicitors such as the records received from White and Pomeroy, solicitors at Wymondham. The Principal Archivist had confirmed that the Norfolk Record Office was aware of the guidance, but the accessions from White and Pomeroy were from a very long time ago and were not likely to be covered under the guidance.
- The Norfolk Record Society was pleased to report that Professor A Hassell Smith of Norwich, who was a former member of the Committee, had donated all his research papers to them following his recent house move to Bristol.
- Members asked if scholars could be encouraged to donate their research materials to the Norfolk Record Office. The County Archivist said the Record office already held examples of such archives from academics and anyone wishing to deposit their materials could speak to the County Archivist for guidance.
- The Committee noted the extensive range of talks and lectures that had been given from 1 April to 30 September 2012.

8.4 **RESOLVED** to note the report.

9. **Exclusion of the Public**

9.1 The Committee was asked to consider excluding the public from the meeting under Section 100A of the Local Government Act 1972 for consideration of the item below, on the grounds it involved the likely disclosure of exempt information as defined by Paragraph 3 of Part 1 of Schedule 12A to the Act, and that the public interest in maintaining the exemption outweighed the public interest in disclosing the information.

9.2 The County Archivist presented the following conclusion of the public interest test:

The NRO bids at auctions and acquires by private treaty sales documents of relevance to Norfolk, which fit within its Collections Policy. The prices of documents are increasing all the time, particularly because dealers' attitudes are "to charge what the market will pay". If prices paid by the NRO for documents were to become generally known publicly, this will have the effect of inflating the market. Since public funds are involved in its purchases, the NRO operates a strict value for money policy and strives to pay no more than is necessary, while, at the same time, trying to ensure that no important documents are lost to Norfolk. Releasing information about prices paid for documents would have a significant detrimental impact on NCC's commercial revenue and might put documents out of the NRO's

financial reach, thereby losing part of the county's written heritage. It was therefore not in the public interest to release information about prices paid for document purchases.

RESOLVED

9.3 That the public be excluded from the following item.

10 Periodic Report: Appendix Manuscripts Purchased, 1 April – 30 September 2012

10.2 The annexed report (10) by the County Archivist was received by the Committee. The report gave details of the documents purchased by the Norfolk Record Office during the period.

10.2 **RESOLVED** to note the report.

11. Future Meetings

Date	Time	Venue
Friday 11 January 2013	10:30am	The Green Room, Archive Centre
Friday 26 April 2013	10:30am	The Green Room, Archive Centre
Friday 28 June 2013	10:30am	The Green Room, Archive Centre
Friday 22 November 2013	10:30am	The Green Room, Archive Centre

The meeting concluded at 11:35am.

Dr C Kemp, Vice-Chairman



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NORFOLK RECORDS URGENT BUSINESS SUB-COMMITTEE
Report by Head of Democratic Services

1. The Norfolk Records Committee is asked to appoint a County Councillor to fill the Norfolk County Council vacancy and a District Councillor to fill a district council vacancy on the Sub-Committee. The Sub-Committee would exercise all the powers of the main Committee in dealing with matters which are urgent (having been agreed as such by the Head of Democratic Services and the Chief Officer(s) concerned) and which fall, partly or wholly, within the Terms of Reference of the Committee
2. The two vacancies on the Sub-Committee have arisen following Mr D Murphy stepping down from the Records Committee. Mr P J Duigan, a Member of the Sub-Committee who serves as a councillor for both Breckland District Council and Norfolk County Council, has now filled the Norfolk County Council vacancy on the full Committee but would need to be formally appointed to the Norfolk County Council Sub-Committee vacancy.
3. Mr T Wright (Norfolk County Council) and Mrs E A Nockolds (Borough Council of King's Lynn and West Norfolk) are the two current remaining Members of the Urgent Business Sub-Committee.

S.17 Crime and Disorder Act

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

Financial Implications

5. There are no financial implications in this report.

Property, Staffing and IT Implications

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

Recommendation/Conclusion:

7. The Norfolk Records Committee is asked to appoint one County Councillor and one District Councillor to fill the two vacancies on a Sub-Committee.

Officer Contact:

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Tel: 01603 223053



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**Norfolk Record Office - Performance and
Budget Report 2012/13**

A report by the County Archivist

Executive Summary

This report provides information on performance against service plans and budget out-turn information for 2012/13 for the Norfolk Record Office (NRO). Section 1 covers service performance information in the context of delivering service plans, and Section 2 covers financial performance.

The main issues for consideration by this Committee are:

- At the end of November 2012, the NRO is predicting a break-even revenue budget outturn.
- Performance indicators for the Norfolk Record Office show that during the year The Archive Centre has continued to increase its range of audience participation, although numbers are down compared with the same period in 2011/12.
- Performance against the 2012/13 service plan has been good and is reported in more detail in the accompanying report.

Action Required

The Norfolk Records Committee is asked to consider and comment on:

- Performance with the 2012/13 service plan
- Performance with the revenue budget and reserves and provisions for 2012/13.

1. Performance against Service Plan

1.1 Performance Summary

1.1.1 In the period April-November 2012, visits to the Record Office have been made by 13,697 people (compared with 13,095 in the same period in 2011), and the service has continued to attract new audiences among all age groups.

1.2 Norfolk Record Office (NRO): some example of progress

1.2.1 Women's Institute's 'Year of Archives'

To mark the Women's Institute's 'Year of Archives', the NRO was invited to speak to members at four autumn meetings across the county, organized by the Norfolk Federation. Presentations about the care of, and value of archives, were given to well over 500 WI members.

1.2.2 Great Yarmouth Microfilming

The NRO has just completed a project to microfilm 57 Great Yarmouth, St Nicholas (now the Minster Church of St Nicholas in Great Yarmouth) parish registers, many of which were badly damaged when the church was bombed during the Second World War, and which have not since been available for the public to consult. Copies of the microfilms are also being provided for the Norfolk Heritage Centre and Great Yarmouth Library.

1.2.3 Phase 2 of The National Archives' (TNA) Manorial Documents Register (MDR) for Norfolk

As previously reported, the second phase of this joint project, involving the NRO and TNA, began in October, with the appointment of two project archivists on one-year contracts. By the end of November, over 1,000 MDR entries for Norfolk had been checked.

1.2.4 The T.C. (Tom) Eaton Cataloguing Project

On 29 October, the completion of the T.C. (Tom) Eaton Cataloguing Project was celebrated by an event in the Green Room at The Archive Centre. This eleventh-month project, undertaken in association with the Norwich Town Close Estate Charity, the Freeman of Norwich and the Eaton family, and wholly externally funded, had as its aim the production of a catalogue of the extensive and diverse archive of Tom Eaton (1918-2010) and his family, which dates from the 15th to the 21st centuries, and which is held at Norfolk Record Office. The catalogue is now available *via* NROCAT, the NRO's online catalogue, with a hard copy also available in the NRO's searchroom. At the event, a hard copy of the catalogue was also presented to the Eaton family.

1.2.5 200th Anniversary Assembly at Dereham St Nicholas Junior School

The NRO's Education and Outreach team attended the 200th anniversary assembly at Dereham St Nicholas Junior School, as part of the project marking the bi-centenary of a church school in Dereham. The assembly, also attended by the Bishop of Norwich, included a presentation by the children on what they had discovered in the school's log-books, as well as their recounting their experience of coming into The Archive Centre. The ceremony was also used as an opportunity for the school to hand over a number of documents, including the log-books, to the NRO. The event had coverage in the *Eastern Daily Press*.

1.3 Conclusion

1.3.1 Our conclusion is that this has been a good year for performance so far and the delivery of Record Office service plans are benefiting the people of Norfolk.

2. Budget Out-turn 2012/13

2.1 Revenue Budget

2.1.1 At the end of November 2012, the NRO is predicting a break-even revenue budget outturn. The previous report indicated a small underspend of £0.035m. This was due to staff vacancies in the Freedom of Information/Data Protection unit which comes under the Norfolk Records Office. The posts had been held vacant whilst the NCC review of Information Management was carried out. It has now been agreed corporately that this funding can be used to support the implementation of the Information Management Shared Service. The budget out-turn is summarised in the table below.

2.1.2 The budget has been reduced by £0.009m during the year. This was due to the claw back of the budgeted 1% pay award.

2.1.3 2012/13 revenue budget savings agreed as part of the Big Conversation consultation are on track to be achieved for a total of £0.057m from a combination of reductions to staffing and energy efficiencies.

2.1.4 The table below sets out the net revenue service budgets and out-turn for the NRO.

Service	Approved budget £m	Forecast Outturn £m	+Over/- Underspend £m	Variance since last report £m
Record Office	1.438	1.438	0	0%
Corporate Data Protection	0.054	0.054	0	0%
Corporate Freedom of Information	0.096	0.096	0	0%
Total	1.588	1.588	0	0%

2.1.5 For 2013/14 revenue budget savings, also agreed within the Big Conversation consultation, amount to £0.065m and will also come from staffing reductions (£0.045m), archive storage services (£0.010m) and energy savings (£0.010m). We will report progress with these savings targets in future Performance and Finance reports.

2.2 Capital programme

2.2.1 There are two capital projects for The Archive Centre that will be completed in 2012/13:

- £0.007m Inverters for Fan Speed Control funded from the Carbon Energy Reduction Fund (CERF).
- £0.008m CCTV System upgrade funded from an 11/12 revenue contribution.

2.3 Reserves and Provisions

2.3.1 The table summarising the 2012/13 position appears below.

- The Unspent Grants and Contributions Reserve balance of £0.073m has been increased by £0.014m for 12/13 contributions for multi-year projects. A balance of £0.087m is expected at 31st March 2013 with the main funders being National Manuscripts Conservation Trust, Town Close Estates and The National Archives. Residual Insurance Reserve funds of £0.108m will be used for the Manorial Records and Accessioning Projects and the Cresswell Gurney purchase.

Reserves and Provisions 2012/13	Balances at 01Apr12	Forecast Outturn at 31Mar13	Change
	£M	£M	£M
Norfolk Record Office			
Residual Insurance and Lottery Bids	0.373	0.265	-0.108
Manuscript Reserve	0.000	0.000	0.000
ICT Reserve	0.000	0.000	0.000
Unspent Grants & Contributions Reserve	0.073	0.087	0.014
Service Total	0.446	0.352	-0.094

3. Resource implications

3.1 The implications for resources including, financial, staff, property and IT, where relevant, are set out in Section 2 of this report.

4. Other Implications

4.1 Officers have considered all the implications which members should be aware of. Apart from those listed in the report (above), there are no other implications to take into account

5. Equality Impact Assessment (EqIA)

5.1 The Norfolk Record Office's Service Plan 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.

6. Section 17 – Crime and Disorder Act

6.1 There are no direct implications for Crime and Disorder within this report.

7. Conclusion

7.1 The Norfolk Record Office is on track to achieve a balanced revenue budget position for 2012/13. Progress with service plans points to some continuing improvement.

8. Recommendation or Action Required

8.1 The Norfolk Records Committee is asked to consider and comment on:

- Performance with the 2012/13 service plans
- Performance with the revenue budget and reserves and provisions for 2012/13.

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
Service and Budget Planning 2013 to 2015**

Report by the County Archivist

Executive Summary

At its November meeting, the Norfolk Records Committee considered a report on proposals for service and financial planning for 2013-14. This report updates the Committee on further information and changes affecting proposals. It includes an update from the Chancellor's Autumn Statement and confirmation of the Provisional Finance Settlement, updated information on revenue budget proposals and capital funding bids and the latest information on the cash limited budget for the services relevant to this Committee.

Action Required

Members are asked to consider and comment on the following:

- a. The provisional finance settlement for 2013-14;
- b. The updated information on spending pressures and savings for the Norfolk Record Office and the cash limited budget for 2013-14;
- c. The proposed list of new and amended capital schemes.

1 Background

- 1.1 The Council is almost at the end of the second year of its three-year programme of work, to reshape the role of the County Council and to deliver savings needed to meet the Government's planned spending reductions. In November, Committee members considered, not only the progress that this Committee had made within the programme, but also the key issues facing the service and the revised planning assumptions including changes to cost pressures and savings for 2013-14. Members considered a detailed list of the updated cost pressures for the Norfolk Record Office (NRO) and a list of updated proposals for savings.
- 1.2 On 7 November 2012 a comprehensive review of the authority's functions was announced. The Enterprising Norfolk review aims to identify recommendations to enable the organisation to manage further grant reductions and increases in demands for services from 2014 onwards by creating a more self sufficient organisation in funding terms, with a stronger business like focus which demonstrates both innovation and flexibility of service delivery. Outcomes from the review will be announced in spring 2013, covering how the Council plans to meet the continued challenges and changing context for the authority expected from the next Comprehensive Spending Review. The review does not detract from the concurrent and continued transformation programme of work underway to support changes needed to deliver 2012-13 and 2013-14 savings that reflect Years Two and Three of the current three year programme.
- 1.3 This paper brings together for consideration and comment by Committee Members, the latest financial context for the County Council, following the Government's Provisional Finance Settlement, any further planning revisions and the expected cash limited budget for the service for 2013-14.

2 Managing Change

- 2.1 Cultural Services continues to implement a wide range of efficiencies involving reduced and restructured staffing in libraries and museums, the relocation of collections, and rationalisation of buildings.
- 2.2 The Cultural Services programme for 2012/13 involves further efficiencies and a savings target of £0.835m. Within this figure the NRO savings are 0.057m and come from a combination of reductions to staffing and energy efficiencies.
- 2.3 The overall assessment of the Cultural Services transformation programme is green.
- 2.4 Further information on current progress is contained within the Integrated Performance and Finance reports which are presented quarterly to this Committee.

3. Provisional Local Government Finance Settlement 2013/14 and 2014/15 and the Autumn Statement 2012

- 3.1 The Chancellor of the Exchequer announced his Autumn Statement on 5 December, reaffirming the Government's commitment to reduce the deficit. The national context remains difficult and the Chancellor announced reduced growth forecasts from the Office of Budget Responsibility, with 1.2% growth now forecast in 2013, rising to 2% in 2014 and 2.3% in 2015.
- 3.2 The chancellor also set out the Governments plans for investment, with an extra £5bn capital investment, supporting new development including free schools, academies and road infrastructure. A replacement for PFI was also announced with the aim of sharing risk and reward between private and public sector.
- 3.3 The spending announcements made in the Autumn Statement are cost neutral and amongst other savings the Chancellor announced further reductions to government departments of 1% in 2013-14 and 2% in 2014-15, with protection for Health and Schools. As Local Government budgets have already been reduced to deliver the freeze in council tax, the Chancellor announced that there would be no change to Local Government departmental spending limits in 2013-14 and therefore our planning assumptions remain unchanged. It was announced that there will be an additional 2% reduction to Local Government departmental spending limits in 2014-15, which will further increase the funding gap for that year.
- 3.4 The next Spending Review, setting out detailed plans for 2015-16, will be announced in the first half of 2013, but total spending for the three years 2015-2018 is planned to continue to fall at the same rate as the current spending review.
- 3.5 The Secretary of State for Communities and Local Government, announced the provisional Local Government Finance Settlement for 2013-14 and 2014-15 on 19 December 2012. At the time of writing this report, further detail explaining the full technical breakdown of the settlement was still awaited. However, the following headline information from the provisional finance settlement is set out below.
- 3.6 Revenue funding within the Local Government Finance Settlement for 2013-14 will be received through either the Business Rates Retention Scheme (BRRS) or specific grants. The majority of funding is through BRRS, as many grants have been rolled into the calculation of the baseline funding for the new scheme. These are Council Tax Freeze Grant for 2011-12; Learning Disabilities and Health Reform

Grant; part of the Early Intervention Grant and part of the Lead Local Flood Grant.

- 3.7 The new Business Rates Retention Scheme includes three key streams of funding; our local share of business rates; a top-up payment to make up the shortfall between the local share of business rates and our baseline funding from business rates and the Revenue Support Grant.

3.8 **Business Rates**

For the purposes of the BRRS, the forecast collected business rates for Norfolk in 2013-14 is £124,973,507. This is calculated based on each billing authority's proportionate share (based on a two year average) of forecast national business rates for 2013-14 following the removal of 50% central share, which is paid back to central government. Under the Business Rates Retention Scheme, Norfolk County Council will receive 20% of the local share of the collected rates forecast as £24,997,701. However, the actual figure that will be received in 2013-14, is subject to final forecasts by district councils and these will be finalised by 31 January 2013.

3.9 **Top Up**

The funding formula that has been used in previous years to calculate formula grant has been updated for 2013-14 data and to reflect particular changes announced by the Secretary of State, including providing additional weighting for those authorities that have more reliance on government grant due to lower council tax bases. In particular, for Norfolk, damping continued to be applied to the funding formula. For 2013-14 this formula will be used to provide a basis for calculating both the business rates funding baseline and for the allocation of the Revenue Support Grant. The forecast local share of nationally collected business rates has been allocated based on the funding formula in order to derive a business rates funding baseline – effectively calculating how much of the national local share each authority would require based on its need. The difference between the baseline funding and the retained business rates is set at the outset of the BRRS as either a top-up or a tariff payment. Norfolk County Council will receive a top-up payment of £110,429,264, which will be fixed until 2020 and increased each year in line with the small business rates multiplier – in previous years this has increased in line with RPI.

3.10 **Revenue Support Grant**

The national amount available for Revenue Support Grant is calculated based on the National Spending Control Totals and after removing the expected local share of business rates. This total is then allocated based on the formula based shares.

- 3.11 The headline amounts within the Business Rates Retention Scheme for 2013-14 and 2014-15 are summarised below. The figures for 2014-15 are indicative only and in particular are subject to change from both RPI and any change in the amount of business rates collected.

	2013-14 £m	2014-15 (all subject to change) £m
Top Up payment	110.429	113.816(subject to RPI)
Business rates (subject to change)	24.995	25.761
Revenue Support Grant	203.562	173.937
	338.986	313.514

3.12

Specific Grant

In addition, the Government has announced the following specific revenue grants for Norfolk County Council in 2013-14 and 2014-15.

	2013-14 £	2014-15 £
Local Reform and Community Voices Grant (including funding for Local Healthwatch, Deprivation of Liberty Safeguards in Hospitals, Independent Complaints and Mental Health Advocacy Services)	731,858	754,702
Lead Local Flood Grant (£199,000 rolled into BRRS)	311,000	311,000
Inshore Fisheries Conservation Grant	151,999	151,999
Fire Revenue Grant - Firelink	125,000	142,000
Fire Revenue Grant – New Dimension	966,000	968,000
Council Tax Freeze Grant (2013-14)	3,477,901	3,477,901
Social Fund – Programme	1,905,516	1,905,516
Social Fund - Administration	402,650	369,072
Community Right to Challenge	8,547	8,547

3.13

The funding announcement for Public Health services transferring to local government has been delayed and a two year funding settlement is now expected in January.

4 Consultation

4.1

Prior to setting the budget for 2011-12, Norfolk County Council undertook its largest ever public consultation – ‘The Big Conversation’, which set out proposals for meeting the expected reductions in funding over the period 2011-14. This reflected significant changes proposed by the Council to its core role and to services commissioned or delivered. Overall, around 9,000 individuals and organisations were involved, representing Norfolk’s diverse population and many different communities and stakeholders. Full details can be found in Appendix J to the County Council Plan & 2011-14 Budget Report received by Cabinet on 24 January 2011.

4.2

In setting the budget for 2013-14 no additional public consultation directly relevant to the Record Office was required.

4.3

Representatives of non-domestic ratepayers

4.3.1

The Council has a statutory duty under Section 134 of the Local Government Act to consult with representatives of non-domestic ratepayers. A meeting with representatives of the business sector is scheduled for XX **(to be completed when known)**. A verbal update will be provided to Cabinet on 28 January 2013.

5 Norfolk Records Committee Comments

- 5.1 In the light of the overall financial planning context for 2013-14 and the proposals set out in the Big Conversation, Panels and Committees in November considered proposed savings and issues of particular significance for the services covered by this Committee. At that meeting the following were noted:
- a. Norfolk Record Office had made a commitment to ensuring as much information as possible was accessible on line, therefore the increased access to the digital information at the Norfolk Record Office was considered an opportunity rather than a threat to services.
 - b. Negotiations were currently taking place with a number of companies to determine financial arrangements for digitising additional information and making it accessible via the website. There was always a likely risk of an adverse impact on income generation with the availability of digital information on line. When the digitising programme had initially been established in 1997 the County Council's priority was to make as much information as possible available to everyone, rather than to make a profit. If the project were being instigated today, it was likely a more commercial approach would be adopted with regard to accessing the on-line information.
 - c. Family history researchers remained the largest users of the service and the majority of the on line digital information and material was aimed at family historians.
- 5.2 Earlier comments and any arising from this meeting will be reflected in the budget report to Cabinet on 28 January 2013

6 Revenue Budget Proposals

- 6.1 Appendix A1 sets out the proposed cash limited budget for 2013-14, based on the cost pressures and budget savings reported to this Committee in November.
- Appendix A shows:
- a. Total Cost pressures which impact on the Council Tax
 - b. Total Budget Savings
 - c. Any transfers of grant and transfers of responsibility from Central to Local Government affecting this Committee
 - d. Cost neutral changes i.e. budget changes which across the Council do not impact on the overall Council Tax, but which need to be reflected as part of each service's cash limited budget. Examples are depreciation charges, budget transfers between services and changes to office accommodation charges.
- 6.2 All budget planning proposals have been considered in the light of their impact on the Council's core role, objectives, performance, risk, value for money, equality, community cohesion and sustainability. Key implications for consideration were reported to this Committee in November
- 6.3 There are some risks within the Norfolk Record Office budget which were included in the report to the November Committee. These are reiterated below:

- a. As mentioned in the Service and Budget Planning reports for previous years, the NRO relies on visitors to generate income from the various services it provides and charges for. Any reduction in visitor engagement with the NRO could impact adversely on income targets making savings harder to achieve.
- b. By March 2014 we will have saved £0.098m from staffing budgets, achieved £0.070m of energy savings and increased income targets by £0.030m. As the NRO budget is primarily made up of fixed costs it will become more difficult to make savings that don't impact directly on service provision.

7 Capital Programme

- 7.1 As in previous years it is proposed that Government allocation of capital grant will be earmarked to the services for which the grant has been made. In this there are no implications for the Norfolk Record Office.
- 7.2 In accordance with the Capital Strategy, departments have submitted bids for corporate capital funding or prudential borrowing to the Corporate Capital and Asset Management Group (CCAMG). These bids relate in the main to schemes or services for which the Government support is available but which are nevertheless considered to be a priority.
- 7.3 CCAMG has reviewed new bids and consider them appropriate for consideration by this Committee. There are no schemes relevant to this Committee. In addition long term bids considered in previous years covering 2013-14 have been brought forward. The detailed prioritisation model used prior to 2012-13 for assessing capital bids, has again not been needed this year due to the small number of bids, in part due to the requirement for Services to fund additional borrowing costs. As Government makes new announcements of capital grant for 2013-14, sources of funding for schemes will be re-assessed to ensure the most cost effective use of capital funding. Any changes to the submitted bids may reduce the need for prudential borrowing proposed. Cabinet will consider the bids on 28 January 2013, alongside revenue requirements and the level of funding that can be made available to fund the bids, and will recommend to Council which bids are included in the capital programme.

8 Equality impact assessment

- 8.1 Prior to agreeing the budget and County Council Plan for 2011-14, Norfolk County Council undertook its largest ever public consultation with protected groups – part of 'The Big Conversation' – to inform a major equality impact assessment of all budget proposals. This reflected the significant changes proposed by the Council to its core role and services commissioned or delivered. The findings of equality impact assessments informed the final County Council Plan and budget for 2011-14, and in addition, a number of mitigating actions were agreed where potential adverse impact was identified.
- 8.2 In setting the budget for 2013-14 no amendments to the equality impact assessments have been identified. Full details of all equality impact assessments and the outcome of public consultation with protected groups can be found in Appendix K to the County Council Plan and 2011-14 Budget Report received by Cabinet on 24 January 2011, or alternatively, please contact the Planning, Performance and Partnerships team.

9 Section 17 – Crime and Disorder Act

- 9.1 There are no direct implications for Crime and Disorder within this report.

10 Resource implications

- 10.1 The implications to resources including, financial, staff, property and IT are set out in Sections Three to Five of this report and within Appendix A1.

11 Staffing implications

- 11.1 Staffing implications of the budget proposals are being reviewed as part of workforce planning activity carried out across the authority. Changes to service delivery will have the potential to impact upon staff. This will be managed throughout the process.

12 Risk assessment

- 12.1 Known areas of potential risk are covered within section Six of this report. An assessment of risk will be carried out as part of the service planning process.

13 Action required

- 13.1 Members are asked to consider and comment on the following:
- a. the revised service and financial planning context and assumptions;
 - b. the revised spending pressures and savings for Community Services.

14 Officer Contact

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

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Community Services Department
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Proposed Budget Changes 2013-14

		2013-14
	Community Services – Records Office	£m
	Base Budget	1.597
	ADDITIONAL COSTS	
	Basic Inflation – Pay (2013/14 – 1%)	0.009
	Basic Inflation - Prices (General 2%, School and social care passenger transport 4%)	0.012
	Sub total Additional Costs	1.618
	BUDGET SAVINGS	
Ref		
	Norfolk Record Office	
C7	Reduced staffing in Record Office	-0.045
	Other savings proposals	
	Energy savings	-0.010
	New income from archive storage services	-0.010
	Total Record Office savings	-0.065
	<u>Other savings proposals within Medium Term Financial Plan</u>	
	Support Services adjustment	-0.001
	Removal of budget for 2012-13 1% pay award	-0.009
	Total Savings Proposals	-0.010
	COST NEUTRAL ADJUSTMENTS, i.e. which do not impact on the overall Council Tax	
	*Depreciation charges	0.004
	Debt Management Charges (£180)	
	Amendment to inflation balance for DCS support (£540)	
	Sub Total Cost Neutral Adjustments	0.004
	Cash Limited Budget	1.547

*These changes are required to comply with the Local Authority Accounting Code of Practice but do not impact on the Council Tax calculation.

Note 1: REFCUS is the abbreviation for Revenue Expenditure Funded by Capital Under Statute. This is expenditure that legislation allows to be classified as capital for funding purposes when it does not result in the expenditure being carried on the Balance Sheet as a fixed asset, for example improvement grants.

REVIEW OF THE NORFOLK RECORD OFFICE'S STANDARDS AND POLICIES

Report by the County Archivist

The Norfolk Record Office reviews its standards and policies from time to time and brings them before the Norfolk Records Committee for consideration. This report recommends that the revised versions of the standards and policy documents at Appendixes 1-5 should be adopted and be subject to further review within five years.

1. Following best professional practice, as defined in *The National Archives (TNA) Standard for Record Repositories* (revised edn., London, 2004) and other guidelines, the Norfolk Record Office (NRO) has a range of published standards and policies which ensure the quality of its services.
2. It is deemed advisable for the standards and policies for archive services to be subject to regular reviews.
3. The NRO's standards and policies which are the subjects of this report were last reviewed, variously, between 2004 and 2007. They are:
 - Standards of Service
 - Schedule of General Conditions for Deposit of Archives
 - Archive Collecting Policy
 - Norfolk Sound Archive Collecting Policy
 - Norfolk Sound Archive: Terms of Agreement for the Deposit of Records
4. These documents now need to be amended to take account of:
 - The publication of *Archives for the 21st Century*. Command paper presented to Parliament by the Lord Chancellor and the Secretary of State for Justice, November 2009 (CM 7744) and its associated action plan, *Archives for the 21st Century in Action* (March 2010).

- The demise of the Museums, Libraries and Archives Council in March 2012 and the transfer of the 'Designation' scheme to the Arts Council England
 - The National Archives' inspection régime
 - Changes within the departmental structure of Norfolk County Council
5. Proposed revised and updated versions of these documents, which take into account the elements itemized in paragraph 4 above, appear as Appendixes 1-5 below. The changes between the proposed revised versions and the previous versions are indicated using the 'track changes' facility.

6. Resource Implications

6.1. Finance

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

6.2. Property, Staffing and IT Implications

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

7. Other Implications (where appropriate)

7.1. Equality Impact Assessment (EqIA)

7.1.1. The legislation and statutory codes of practice informing the Council's work on equality impact assessments recommended that consultation with relevant groups should form a core part of the evidence used to prepare an equality impact assessment. These consultations were carried out from October 2010 to January 2011.

7.1.2. A full equality impact assessment report was published alongside the Cabinet budget papers in January 2011. In all their decisions and functions public authorities must give due weight to the need to promote disability equality in relation to the six parts of the general duty:

- a. Promote equality of opportunity between disabled people and other people
- b. Eliminate unlawful discrimination
- c. Eliminate harassment of disabled people that is related to their disabilities
- d. Promote positive attitudes towards disabled persons

- e. Encourage participation by disabled people in public life
- f. Take account of disabled people's disabilities, even where that involves treating disabled people more favourably than others.

7.1.3. Where the Council identifies potential adverse impact on protected groups, it must do two things. Firstly, it must consider whether to go ahead with the proposal, or amend it in some way, with a view to promoting equality and tackling disadvantage for the protected group affected. There is action in place to mitigate the adverse effects. See full Equality Impact Assessment for details.

7.2. Section 17 – Crime and Disorder Act

The NRO is working hard to help address the issues of social exclusion, one of the key triggers for crime and disorder. The NRO provides services that are accessible to local people, encourage participation in cultural activities by people who are at risk of offending. Through these and many other projects the NRO is using its resources to contribute towards reducing crime and disorder in Norfolk. There are no specific implications of this report for the Crime and Disorder Act.

7.3. Risk assessment

No particular risks and issues associated with these proposals in this report have been identified.

8. Recommendations


- 8.1. That the amended versions of the standards and policies at Appendixes 1-5, be adopted.
- 8.2. That the revised standards and policies at Appendixes 1-5 should be subject to further reviews, at intervals of no longer than five years.

Officer Contact:

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	<p>If you need this Agenda in large print, audio, Braille, alternative format or in a different language please contact the County Archivist on 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.</p>
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Norfolk Record Office Standards of Service

These standards are additional to Norfolk County Council's general, corporate Customer Care Standards.

We welcome visitors to the [Norfolk](#) Record Office ([NRO](#)) and are committed to:

- Providing facilities conforming to British Standards for the secure storage, conservation and exhibition of records given to or deposited on long-term loan with the Record Office.
- Giving written acknowledgement of their receipt [of donated or deposited records as soon as possible, or, in any case, within ten days](#). Deleted: either immediately or within ten days
- Producing ~~detailed~~ lists and catalogues of records as soon as possible. [These may be either summary or detailed, and will normally added to the NRO's online catalogue, NROCAT.](#)
- Providing adequate and supervised searchroom facilities for public consultation of records held by the Record Office, or facsimile copies of them, which are not subject to statutory closure periods or restrictions imposed by their depositors, or are not so fragile that handling them would cause further deterioration.
- Producing catalogued original records, of which access copies do not exist, to people who provide acceptable proof of identity and agree to observe the searchroom regulations, within half an hour of specified production times.
- Offering advice and information on relevant sources for research, use of the Record Office and record preservation and storage.
- Providing ~~photo~~copying services appropriate to the format of records, subject to copyright restrictions, the owner's consent and the need to protect originals from damaging processes.
- Supplying most photocopying, [photography](#) and print-out orders within ten working days and microfilm orders within three months. Orders for duplicates of existing microfilm and fiches will mostly be supplied within ~~3~~[three](#) weeks.

- Publishing information about our opening hours and conditions of access, and information about our research and copying services, including charges.
- [Responding positively to comments and suggestions for improvement to the service and Consulting users as far as possible about projected changes to service provision.](#)

These Standards were approved by the Norfolk Records Committee on [11 January 2013](#)~~2 July 2004~~.

Norfolk Record Office Schedule of General Conditions for Deposit of Archives

1. The Norfolk Record Office accepts records of public interest relating to Norfolk for care and preservation, and for the benefit of research, either as a gift or on deposit. Where records are on deposit, the depositor retains the right to withdraw all or part of the collections deposited by them upon reasonable notice and at their own charge, subject to the conditions following, or to any special conditions agreed upon at the time of the deposit.
2. Records accepted by the Record Office will be produced for study by any *bona fide* researcher under conditions of supervision similar to those provided for the Record Office's own records and during normal opening hours. Special conditions may be agreed between the Record Office and the depositor at the time of the deposit.
3. All reasonable care is taken of records placed in the custody of the Record Office, but no liability for loss or damage to documents on deposit is accepted.
4. The Record Office may take such measures for the administration of deposited or loaned records, as are professionally acceptable. This includes marking or numbering documents, arranging, packing or sorting them, and their disposition in storage areas as may be suitable or convenient.
5. Records in need of conservation treatment may be included in the Record Office's conservation programme. [NOTE: The text of paragraphs 5 and 6 was wholly contained in paragraph 5 in the previous version. The part of the text referring to reimbursement has now been put into a separate new paragraph 6, for emphasis, and the subsequent paragraphs re-numbered.]
6. In the case of records being permanently withdrawn by owners or depositors, the Record Office reserves the right to claim reimbursement of expenses incurred in storage, conservation, listing or administration of those records.
- 6.7. Records produced to searchers are so produced in accordance with the Record Office's rules for the public use of records and archives.

| 7.8. Records may be reproduced for purposes of study, subject to copyright restrictions. Where records are reproduced by mechanical, photographic, or other means, the office will decide what means are appropriate and permissible.

| 8.9. Records may be removed from the office by:

- i) the depositor, under the conditions laid down here or in any special agreement made at the time of the loan
- ii) staff of the Record Office for any of the following purposes:
 - a) for conservation treatment
 - b) for the making of photographic or other facsimile copies for the purpose of preservation, exhibition or otherwise, the records remaining in the custody of a member of staff, or in the custody of some body or person appointed for this purpose by the Record Office.
 - c) for the purpose of exhibition arranged by the Record Office, the records remaining in the custody of a member of staff, or in the custody of some body or person appointed for this purpose by the Record Office
 - d) for deposit in other institutions offering similar standards, for the purposes of exhibition, etc., subject to the consent of the depositor.
 - e) for production in a court of law, subject to the consent of the depositor.

Norfolk Record Office Archive Collecting Policy

1. This policy statement relates to the Norfolk Record Office, The Archive Centre, Martineau Lane, Norwich NR1 2DQ.
2. The Norfolk Record Office is part of Norfolk [Cultural Services, within Norfolk](#) County Council's Department of [Community Cultural Services](#). [Cultural Services, which](#) also encompasses the Norfolk Library and Information Service, Norfolk Museums and Archaeology Service, Norfolk Arts Service, Norfolk Adult Education Service, ~~and~~ Norfolk Guidance Service, [and Active Norfolk](#). [The Norfolk Record Office](#) is a joint service of the County Council and the councils of the City of Norwich, the boroughs and the districts in Norfolk, all of which are represented on the Norfolk Records Committee, ~~through~~ [via](#) which the Record Office is democratically accountable. Other stakeholders, with non-voting representatives on the Records Committee, are the Bishop of Norwich, the Norfolk Record Society and the *Custos Rotulorum* ([i.e., 'the Keeper of the Rolls': historically, the Lord Lieutenant was Keeper of the Rolls and Records of the County](#)) (together with three co-opted members and an observer, who represent a wide range of interests within the county).
3. The Norfolk Record Office is the only public archive service in the county of Norfolk. It collects and preserves records of historical significance relating to [all aspects of](#) the county of Norfolk and makes them available to as many people as possible.
4. [The Norfolk Record Office's collection has been 'Designated' in its entirety as being of outstanding international importance by the Museums, Libraries and Archives Council \(now the Arts Council England\)](#). ~~The Museums, Libraries and Archives Council has 'Designated' the Norfolk Record Office's collection in its entirety as being of outstanding international importance.~~ The Norfolk Record Office is rated by The National Archives as a ~~four-star~~[three-star](#) archive service (the highest category). [Some of the Norfolk Record Office's records have been inscribed in the UNESCO UK Memory of the World Register as being of outstanding importance and value to the United Kingdom.](#)
5. The Record Office seeks to abide by all relevant archive legislation, including the following:
 - The Public Records Act, 1958, Section 4.
 - The Manorial Documents Rules, 1959 and 1967.

- The Tithe Rules, 1960 and 1963.
- The Local Government (Records) Act, 1962.
- Sections 224-9 of the Local Government Act, 1972.
- The Parochial Registers and Records Measure, 1978 and 1993.
- The Local Government (Access to Information) Act, 1985.
- The Data Protection Act, 1998.
- The Freedom of Information Act, 2000.

6. The Norfolk Record Office is appointed by the Lord Chancellor as a place of deposit for public records and is recognized by The National Archives: Historical Manuscripts Commission in respect of tithe and manorial records. [The Norfolk Record Office is also a 'The National Archives approved repository' under The National Archives' inspection régime.](#)
7. The Norfolk Record Office is designated by the Bishop of Norwich as the Norwich Diocesan Record Office in respect of diocesan and parochial records (including Lothingland deanery in Suffolk) and by the Bishop of Ely as the Diocesan Record Office in respect of diocesan tithe maps for Norfolk parishes in the Diocese of Ely and parochial records from parishes in the [deanerydeaneries](#) of Feltwell and Fincham. [The Norfolk Record Office also collects records relating to other religions and beliefs.](#)
8. 'Records' are documents of any date created or accumulated by organizations or individuals during the conduct of their affairs. They may include manuscript, printed, typescript and computer-generated text, musical and other notation, maps, plans, drawings and photographs, and documents in digital formats.
9. The Record Office will acquire and preserve records of any date assessed as being worthy of permanent preservation. [These include, but are not limited to the following; including those of the following:](#)
 - Norfolk County Council and its predecessors.
 - Local authorities in respect of which the County Council is the statutory archive authority.
 - Statutory bodies operating within Norfolk
 - Public records offered to the Norfolk Record Office under the Public Records Acts.
 - Manorial and tithe records.
 - The Diocese of Norwich.
 - Ecclesiastical parishes in respect of which the Record Office is the Diocesan Record Office.
 - Organizations, businesses, families and individuals.

- Sound recordings and related material, in connexion with the Norfolk Sound Archive (which has its own Collecting Policy).
10. The Record Office recognizes that people from many different cultural backgrounds have played a significant rôle in the history and culture of Norfolk and will bear this in mind when collecting material.
 11. Records will be accepted by transfer from the constituent authorities of the joint records service and by donation, deposit or purchase. Priority in acquiring records will be given to those which are at risk of loss, destruction or damage.
 12. Records relating to places which, during the period when the records were created or accumulated, were not in the county of Norfolk nor created by bodies or individuals based in Norfolk will only be acquired if they are part of an archive group which does relate to such a place, body or individual. The Record Office recognizes that the integrity of archival groups should be preserved as far as practicable, and will consult, where appropriate, with other record repositories in respect of archives which relate partly to other counties, in seeking to ensure that they are housed in the most appropriate repository.
 13. Records are acquired with the intention that they shall be preserved permanently, but, exceptionally, they may be reviewed at a later date: for example, in relation to subsequent accessions of or relating to the same body or individual. No deposited records will be destroyed or transferred to another repository without the permission of the owner or depositor.
 14. It is a condition of acceptance that records will be available for public access (subject to their being fit for production) either immediately or from a specified date, which may be at the end of a statutory period of closure or agreed in respect of non-official records between the County Archivist and the depositor.
 15. The Record Office does not actively seek to acquire copies or transcripts of documents, historical and genealogical notes and pedigrees. It may, however, accept such material as part of a larger archival group or if it complements another archive held by or likely to be acquired by the Record Office. Copies or transcripts may also be accepted if the original is unavailable or is believed to be at risk.
 16. The Record Office does not seek to acquire photographs, paintings, prints, engravings, newspapers, published material¹ including ephemera

¹ The Record Office does acquire published material for its own reference library.

or films, but will accept such material if it was created or collected by an archive-creating body or individual, usually, though, not exclusively, as part of a larger archival group.

17. The Record Office will not normally acquire records in a format or language which require for their preservation, consultation or interpretation, storage conditions or specialist skills or equipment which the Record Office does not, or does not plan to, provide. If such records are at risk of loss or destruction, however, they may be accepted on a temporary basis until a suitable repository for them can be identified.
18. When assessing potential donations or deposits, the Record Office will, when appropriate, advise owners and custodians of other record repositories and of museums and libraries with relevant collecting policies. In particular, films will be referred to the East Anglian Film Archive, published material and purely photographic collections to Norfolk Library and Information Service, and paintings and objects to Norfolk Museums and Archaeology Service.
19. This policy statement was approved by the Norfolk Records Committee on ~~19 January 2007~~11 January 2013. It will be reviewed as necessary and not later than five years from this date.

Norfolk Sound Archive Archive Collection Policy

1. This policy statement relates to the Norfolk Sound Archive, The Archive Centre, Martineau Lane, Norwich, NR1 2DQ.
2. The Norfolk Sound Archive's collection policy is based on paragraph 3.2 of Historical Manuscripts Commission, *A Standard for Record Repositories*, ([revised 3rd](#) edition, London, [2004](#)~~2001~~).
3. The Norfolk Sound Archive is administered by the Norfolk Record Office for Norfolk County Council and is democratically accountable [through](#)~~via~~ the Norfolk Records Committee. The Norfolk Record Office is part of Norfolk [Cultural Services within Norfolk](#) County Council's Department of [Community](#)~~Cultural~~ Services. [Cultural Services](#), ~~which~~ also encompasses Norfolk Library and Information Service, Norfolk Museums and Archaeology Service, ~~and~~ Norfolk Arts Service [Norfolk Adult Education Service, Norfolk Guidance Service, and Active Norfolk](#). The Norfolk Records Committee contains representatives from Norfolk County Council, the councils of the City of Norwich, the boroughs and the districts in Norfolk. Other stakeholders, with non-voting representatives on the Records Committee, are the Bishop of Norwich, the Norfolk Record Society and the *Custos Rotulorum* ([i.e., 'the Keeper of the Rolls': historically, the Lord Lieutenant was Keeper of the Rolls and Records of the County](#)), together with three co-opted members and an observer, who represent a wide range of interests within the county.
4. The Norfolk Sound Archive is the only public archive service in the county of Norfolk whose intention is the collection and preservation of sound recordings relating to the history and culture of Norfolk. The Norfolk Sound Archive will also make the recordings available for consultation and study to as wide a range of people as possible. Hereafter, the term 'record', relates to sound recordings and any associated documentation.
5. The Norfolk Sound Archive seeks to abide by all relevant legislation, including the following:
 - The Public Records Act, 1958, Section 4.
 - The Local Government (Records) Act, 1962.
 - Sections 224-9 of the Local Government Act, 1972.
 - The Local Government (Access to Information) Act, 1985.

- The Data Protection Act, 1998.
- The Freedom of Information Act, 2000.
- Race Relations (Amendment) Act, 2000.

6. The Norfolk Sound Archive will acquire sound recordings relating to, but not limited to the following subject areas:
 - Oral history.
 - Music.
 - Broadcast material.
 - Events.
 - Family recordings.
 - Drama, literature, art and performance.
 - Dialect.
 - Sounds of industry, transport, wildlife and other sounds occurring in Norfolk.
7. The Norfolk Sound Archive recognises that people from many different cultural backgrounds have played and are playing a significant role in the history and culture of Norfolk and will bear this in mind when collecting material.
8. The Norfolk Sound Archive will work with the East [of England](#) ~~Anglian~~ Sound Archive initiative as required.
9. The Norfolk Sound Archive may acquire appropriate equipment for accessing all types and formats of sound recordings.
10. Copies will be made on standardised modern formats for research use and preservation reasons.
11. Photographs, research and production notes, documents and ephemera directly associated with sound recordings will be collected whenever possible and stored in appropriate conditions.
12. The Norfolk Sound Archive endeavours to acquire material by gift or long-term deposit, but will also borrow and copy items which otherwise could not be preserved. It may be appropriate to purchase material in certain circumstances. Priority in acquiring records will be given to those which are at risk of loss, destruction or damage.
13. Records relating to places which, during the period when the records were created or accumulated, were not in the county of Norfolk nor created by bodies or individuals based in Norfolk will only be acquired if they are part of an archive group which does relate to such a place,

body or individual, subject to the requirements under paragraph 8. The Norfolk Sound Archive recognises that the integrity of archival groups should be preserved as far as practicable, and will consult, where necessary, with other record repositories in respect of archives which relate partly to other counties, in seeking to ensure that they are housed in the most appropriate repository.

14. Records are acquired with the intention that they shall be preserved permanently, but, exceptionally, they may be reviewed at a later date: for example, in relation to subsequent accessions of or relating to the same body or individual. No deposited records will be destroyed or transferred to another repository without the permission of the owner or depositor.
15. It is a condition of acceptance that records will be available for public access (subject to their being fit for production) either immediately or from a specified date, which may be at the end of a statutory period of closure or agreed in respect of non-official records between the County Archivist and the depositor.
16. The Norfolk Sound Archive does not actively seek to acquire copies or transcripts of records, historical and genealogical notes and pedigrees. It may, however, accept such material as part of a larger archival group or if it complements another archive held by or likely to be acquired by the Norfolk Sound Archive. Copies or transcripts may also be accepted if the original is unavailable or is believed to be at risk.
17. The Norfolk Sound Archive does not seek to acquire photographs, paintings, prints, engravings, newspapers, textual records, published material including ephemera or films, but will accept such material if it was created or collected by an archive creating body or individual, usually, though, not exclusively, as part of a larger archival group.
18. The Norfolk Sound Archive acquires records in a format or language which require, for their preservation, consultation or interpretation, storage conditions or specialist skills or equipment which the Norfolk Sound Archive does not, or has not planned to provide, the Norfolk Sound Archive will make every endeavour to acquire those storage conditions, skills and or equipment or find an organisation or person who has them. If such records are at risk of loss or destruction, however, they may be accepted on a temporary basis until a suitable repository for them can be identified or until the necessary skills, equipment and/or storage conditions have been acquired. If the Norfolk Sound Archive does not possess the necessary skills to store and access certain sound recording formats then advice will be sought from

the National Sound Archive or other specialist person or body. In such circumstances a copy may be made for access purposes at the Norfolk Sound Archive whilst the original will be stored in an appropriate repository. The depositor will be consulted in such circumstances.

19. When assessing potential donations or deposits, the Norfolk Sound Archive will, when appropriate, advise owners and custodians of other record repositories and of museums and libraries with relevant collecting policies. In particular, films will be referred to the East Anglian Film Archive, published material and purely photographic collections to Norfolk Library [and](#) Information Service, paintings and objects to the Norfolk Museums [and Archaeology](#) Service and textual records to the Norfolk Record Office.
20. The Norfolk Sound Archive will encourage the present-day production of sound recordings to supplement its holdings. The staff will provide advice and where appropriate an equipment loan facility for groups and individuals interested in recording oral history.
21. The Norfolk Sound Archive may create original recordings to supplement its holdings as a result of project work, for instance the gathering of oral histories.
22. The terms of agreement for the deposit of records in the Norfolk Sound Archive are attached as an appendix to this document.
23. The Norfolk Sound Archive has discretion to refuse to accept material for the Norfolk Sound Archive.
24. The Norfolk Records Committee approved this policy statement on 17 January 2003. It was revised by the Norfolk Records Committee on 21 January 2005 in accordance with recommendations made by the Norfolk Sound Archive's Equality Impact Assessment, version 1.0. [It was revised again by the Committee on 11 January 2013.](#) It will be reviewed as necessary and not later than five years from this date.

**Norfolk Sound Archive:
Terms of Agreement for the Deposit of Records**

1. Deposit

- (i) In these terms of agreement, the word 'depositor' shall mean either the person who places sound records on deposit, or his/her lawful heir or successor in title, as the context demands and the words 'the Sound Archive' shall mean the Norfolk County Council (acting through the Norfolk Sound Archive, which is part of the Norfolk Record Office) or any successor body who shall, from time to time, be authorised, by statute or otherwise, to keep and preserve records.
- (ii) The word 'deposit' shall mean that the party named overleaf as the depositor has placed the records listed in the Schedule hereto in the custody of the Sound Archive, but that this in no way alters or otherwise affects the ownership of the records. It is agreed that while the period of custody is herein unspecified, the records shall remain deposited in the custody of the Sound Archive for a period sufficient to justify the Sound Archive's expenditure on cataloguing, copying and conserving them. In normal circumstances, this would be for a minimum of twenty years.
- (iii) Records may be reclaimed by the depositor on the terms specified in section 6 below.
- (iv) The Sound Archive reserves the right to return to the depositor any records deemed to be of no historical interest or, with the consent of the depositor, to transfer them to a more appropriate place of deposit or to destroy them.
- (v) Any change in the ownership of the records or in the name or address of the owner or depositor of the records shall be notified to the County Archivist. The Sound Archive will not accept responsibility for any consequences which may arise from the failure to notify such changes.

2. Preservation

- (i) The records will be stored in the premises of Norfolk Sound Archive in appropriate environmental conditions with protection against fire and intruders.
- (ii) The Sound Archive will take all reasonable precautions to preserve the records from damage, loss or theft, but shall not otherwise be liable beyond this to the depositor for any damage to or loss or theft of them.

3. Conservation

The Sound Archive will be entitled in their absolute discretion to take any of the following actions in respect of the deposited records:

- (i) To make security and viewing/listening copies: the ownership of all such copies to be vested in the Sound Archive.
- (ii) To number them with a finding reference for their identification and safe-keeping.
- (iii) To carry out such work in regard to the conservation of the records as may from time to time be considered desirable and practicable by the Archivist within the overall conservation programme of the Norfolk Record Office.
- (iv) To withhold public access to them if in a fragile condition until all practicable and necessary conservation work on them has been completed, or until a viewing/listening copy has been made.

4. Listing

The records will be listed as part of Norfolk Sound Archive's programme of listing all collections in its custody and in accordance with the Norfolk Record Office's current practice. A copy of the list will be provided free of charge to the depositor and to such other persons as the Archivist considers appropriate and the ownership of and copyright in all such lists and other finding aids shall vest in the Sound Archive.

5. Access

- (i) Subject to any exemptions agreed under 5(ii) below and having regard to the provisions of the Copyright Acts for the time being in force, it is agreed that the records may be made

available to the public and other interested bodies for the purposes of research and private study, educational use, broadcasting and cable programme services, publication, public performance and display and exhibition in accordance with Norfolk Sound Archive's Policy Guidelines. Access for research and private study and for educational use on Archive premises shall be free of charge.

- (ii) By agreement between the depositor and the Sound Archive (acting through the County Archivist), restrictions may be placed on public access to the records and the purposes for which the records shall be available.
- (iii) Having regard to the provisions of the Copyright Acts for the time being in force, copies of records may, at the discretion of the Archivist, be made to be supplied to members of the public or other interested bodies on payment of an appropriate charge for any of the purposes in 5(i) above. No further reproduction of such copies shall be allowed without the County Archivist's consent.
- (iv) The County Archivist will grant consent to the publication or the broadcasting or use in a cable service programme of deposited records in whole or in part on condition that appropriate acknowledgement is made by the broadcaster to the depositor and the Norfolk Sound Archive.
- (v) While all reasonable care shall be taken by the Sound Archive to ensure that copyright or moral rights in the material are not infringed, neither the Sound Archive, nor the Norfolk Record Office, nor Norfolk County Council shall not be held liable for any infringement of copyright or moral rights.
- (vi) Any request for the production of the records which the County Archivist has reason to believe may lead to their use in legal proceedings will be notified to the depositor and shall not be granted without the consent of the depositor, except where a court orders their production.

6. Withdrawals

- (i) The depositor may exercise his/her right to reclaim the deposited records at any time, after giving one calendar month's notice of his/her intention to do so, or such longer period as may be required by specific statutory provision.

- (ii) During such period of notice the Sound Archive will be entitled to copy records by such method as is deemed appropriate by the Archivist and to retain the copy as the property of the Sound Archive after the removal of the records. The Sound Archive will continue to make such copies accessible to the public, subject to the conditions and limitations set out in section 5 above.
- (iii) The depositor or any other person requiring removal of the deposited records whether temporarily or permanently must, whether an owner or agent, prove his/her entitlement to receive the records to the satisfaction of the Sound Archive.
- (iv) Where collections which have been deposited for less than twenty years (see 1(iii) above) are withdrawn, a charge may be made to cover part of the cost of any conservation work carried out on items within the collection; where the deposit is for less than one year, this charge will be the full cost of the conservation work; in other cases, it will be reduced by 5% of the original cost for each full year the collection has been on deposit.

7. Gifts, Bequests and Purchases

Records stated overleaf to have been received as a gift, bequest or purchase shall become the outright property of the Norfolk Sound Archive. These terms of agreements shall not be deemed to apply to such gifts, bequests or purchases.

8. Approval

These terms of agreement were approved by the Norfolk Records Committee on ~~17 January 2003~~ 11 January 2013.