



NORFOLK RECORDS COMMITTEE

Date: Friday, 16 July 2010

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.



At the seaside, September 1918.

From the illustrated journal for 1918-19 of Hilda Zigomala (1869-1946), daughter of Charles North and Augusta Keppel, and wife of Major John Zigomala, an English cavalry officer of Greek parentage.

NRO, ACC 2009/147/14.

Membership

Mr J W Bracey

Mrs M Coleman

Mr P J Duigan

Mrs V R Gay

Mr S Jeraj

Dr C J Kemp

Mr P Offord

Mr D Murphy

Mrs E A Nockolds

Mr R Rockcliffe

Dr F Williamson

Vacancy

Broadland District Council

Substitute: Mrs S Hayes

Great Yarmouth Borough Council

Breckland District Council

Substitute: Mrs S Matthews

North Norfolk District Council

Norwich City Council

South Norfolk District Council

Norwich City Council

Norfolk County Council

King's Lynn and West Norfolk Borough Council

Norfolk County Council

Norfolk County Council

Substitute: Mr J Joyce

Norwich City Council

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 kristen.jones@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 April 2010.

5. **Matters of Urgent Business**
6. **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.

7. ***Archives for the 21st Century***

Amy Beeson, the Museums, Libraries and Archives Council/The National Archives (MLA/TNA) Development Manager for Archives for the 21st Century, will be attending to explain the wider MLA/TNA thinking on the Action Plan, report on any developments since its introduction in March, and take questions and points from Members, for feedback to MLA/TNA

8. The Norfolk Record Officer's Conservation Unit as a Training Centre

Nicholas Sellwood, Senior Conservator, and Yuki Uchida, Conservator, NRO, will attend to make a presentation.

9. Accounts Approval and Urgent Business Sub-Committee (Page 9)

To re-appoint four Members (two County Councillors and two District Councillors) to service on an Accounts Approval and Urgent Business Sub-Committee.

10. Norfolk Records Committee: Accounts Approval and Urgent Business Sub-Committee (Page 11)

Report of the meeting held on 25 June 2010.

11. Audit of the Statement of Accounts 2008-09 (Page 16)

A report by the Head of Finance.

12. Norfolk Record Office – Performance and Budget Year-end Report 2009/10 (Page 33)

A report by the County Archivist.

13. Date and Time of Next Meeting

The next meeting of the Norfolk Records Committee will take place at **10:30am on Friday, 26 November 2010, in The Green Room, The Archive Centre.**

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

Date Agenda Published: 8 July 2010



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16 July 2010

Item Nos. 2 & 3

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 membership is as follows:

Membership

Mr J W Bracey	Broadland District Council
Mrs M Coleman	Great Yarmouth Borough Council
Mr P J Duigan	Breckland District Council
Mrs V R Gay	North Norfolk District Council
Mr S Jeraj	Norwich City Council
Dr C J Kemp	South Norfolk District Council
Mr P Offord	Norwich City Council
Mr D Murphy	Norfolk County Council
Mrs E A Nockolds	King's Lynn and West Norfolk Borough Council
Mr R Rockcliffe	Norfolk County Council
Dr F Williamson	Norfolk County Council
Vacancy	Norwich City Council

Non-Voting Members

Mr M R Begley	Co-opted Member
Mr R Jewson	<i>Custos Rotulorum</i>
Dr G A Metters	Representative of the Norfolk Record Society
Dr V Morgan	Observer
Prof. C Rawcliffe	Co-opted Member
Revd C Read	Representative of the Bishop of Norwich
Prof. R Wilson	Co-opted Member

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 April 2010

Present:

Norfolk County Council

Mr D Murphy (Chairman)
Mr R Rockcliffe

Breckland District Council

Mr P Duigan

Great Yarmouth Borough Council

Mrs M Coleman

King's Lynn and West Norfolk Borough Council

Mrs E Nockolds

North Norfolk District Council

Mrs V Gay

Norwich City Council

Ms J Divers
Mr S Jeraj
Ms R Makoff

South Norfolk District Council

Dr C J Kemp

Non-Voting Members

Co-Opted Member

Mr M Begley

Representative of the Bishop of Norwich

Revd C Read

Observer

Dr V Morgan

Representative of the Norfolk Record Society

Dr G A Metters

1. Apologies for Absence

Apologies for absence were received from Mr Bracey, Mr Jewson, Prof. Rawcliffe, Dr Williamson, and Prof. Wilson.

2. Minutes

The minutes of the previous meeting held on 15 January 2010 were confirmed by the Committee and signed by the Chairman.

3. Matters of Urgent Business

There were no items of urgent business.

4. Declarations of Interest

There were no declarations of interest.

5. Norfolk Record Office (NRO) – Performance and Budget Monitoring Report

- 5.1 The annexed report (5) by the County Archivist was received. The report provided Members with an update of performance, together with a budget update for the period up to 28 February 2010. Members were asked to consider and comment on the progress with performance and 2009/10 service plans and progress with the

revenue budget and reserves and provisions monitoring position for 2009/10.

5.2 During the discussion the following points were made:

- The Finance and Business Support Manager stated that, as at the end of February 2010, the forecast revenue out-turn for the NRO was for a balanced budget.
- NRO reserves and provisions have been reduced to make provision within the revenue budget for the purchase of manuscripts.
- Performance indicators for the NRO indicated that The Archive Centre had significantly increased audience participation compared to the previous year.

5.3 **Resolved**

- To note the progress with performance and 2009/10 service plans and progress with the revenue budget and reserves and provisions monitoring position for 2009/10.

6. Annual Review of Charges for Services

6.1 The annexed report (6) by the County Archivist was received. The report dealt with the annual review of Record Office charges and recommended certain changes. Members were asked to note the new changes, as shown in the appendices of the report.

6.2 During the discussion the following points were made:

- The County Archivist made a correction at point 2 of the report, changing '2009-10' to '2010-11'.
- It was possible to pay charges by credit card where an invoice was raised; however this was not possible with over-the-counter payments.
- Members asked whether it were possible for the Records Office to use customers' hardware to download digital copies of archives, such as using their own USB flash drives or e-mailing the files. This would save costs of providing CD-ROM disks or other media. The Principal Archivist replied that the NRO was looking into the possibility of e-mailing digital media, although file size might be an issue, especially for customers who did not have broadband. Using outside memory sticks would expose NRO personal computers to the risk of viruses and be contrary to Norfolk County Council's security policy, so would not be possible.
- The County Archivist confirmed that annual charges rose by 2%. However if the cost of materials rose significantly more than this, charges may reflect this.

6.3 **Resolved**

- To note the report and the amended charges for services.

7. Risk Register

7.1 The annexed report (7) by the County Archivist was received. This report asked the Norfolk Records Committee to note the latest version of the Norfolk Record Office's risk register, as revised on 8 April 2010, and invited any Member comments.

7.2 During the discussion the following points were made:

- It was noted that the issue raised at the previous meeting regarding the risks associated with climate change had since been added to the risk register.
- Members strongly voiced their opinion on their preferred framework within which the Norfolk Record Office would operate, following the result of the Local Government Review in Norfolk. The Committee wished for the current framework to be maintained, as it was a system that worked well and delivered the critical mass which had resulted in the Norfolk Record Office's being one of the highest performing archive services in the country.

7.3 Resolved

- The Committee resolved to note the latest version of the Norfolk Record Office's risk register
- To pass on the Committee's comments to Norfolk County Council and the Norwich Implementation Executive Committee regarding the future of the Norfolk Record Office, in the wake of the Local Government Review.
- To receive an indication in future risk register reports which shows the ongoing process to reduce risks.
- To use shading and patterns to distinguish between categories of risks on the risk matrix instead of colour for future reports.
- To arrange risk training for Members of the Committee before the next meeting in July.

8. Norfolk Record Office Service Plan, 2010-13

8.1 The annexed report (8) by the County Archivist was received. This report outlined the service planning priorities for the Norfolk Record Office (NRO) and its key service activities over the next three years. Members were recommended to note the proposed Service Plan, commenting on it and considering whether there were any areas for further consideration.

8.2 During the discussion the following points were made:

- It was highlighted that the NRO had a 98% approval rating from its users with 67% of users saying their experience was 'very good' and 31% saying it was 'good'.

- The County Archivist confirmed that the NRO worked with schools from all areas of Norfolk, including schools in lower income areas of Norfolk. The NRO also produced custom-made packs of information for schools based on their needs and interests and the age of the students.

8.3 **Resolved**

- To note the report and Service Plan.

9. **Archives for the 21st Century**

9.1 The annexed report (9) by the County Archivist was received. This report provided Members with an update on the national strategy for archives set out in a Command Paper recently issued by HM Government, and asked Members to note and comment on it.

9.2 Since the agenda and report were published, The National Archives (TNA) had published the document 'Archives for the 21st Century in Action'. The County Archivist distributed copies of the document to Members of the Committee and discussed the role of key players and the actions they could take to bring archive services into the 21st century.

9.3 During the discussion the following points were made:

- The Committee acknowledged that many of the actions outlined in the document by TNA were already taking place in Norfolk and that some digitization was already taking place.
- The County Archivist made Members aware of proposed funding from The National Archives, of which he had recently become aware, for a national digitization programme for school admission registers from 2870 to 1914. He had already indicated the NRO's keenness to be involved in the project and planned to send a list of such registers held by the NRO to the regional co-ordinator for the project in May.

9.4 **Resolved**

- To note the report and to receive an update at the next meeting in July 2010 and invite officers from The National Archives for this item.
- To agree that the County Archivist produce a bid for funding for the digitization of school registers.

10. **Periodic Report by County Archivist, 1 October 2009 – 31 March 2010**

10.1 The annexed report (10) by the County Archivist was received. This report informed the Committee in detail about the activities of the Norfolk Record Office during the period 1 October 2009 to 31 March 2010, giving Performance Indicators and listing the accessions received during the period. Members were asked to note the report.

10.2 Members wished to highlight the valuable and indispensable service provided by dedicated NRO volunteers. Their hard work helped to make the NRO one of the top archive services in the country and enhanced the resources available to the

people of Norfolk.

10.3 **Resolved**

- To note the report.
- That the Representative of the Norfolk Record Society would pass a list of additional publications to the Committee Officer, to be circulated with the minutes of the meeting.

11. **Annual Report 2009-10**

11.1 The annexed report (11) by the County Archivist was received. This report provided a selective summary of the activities of the Norfolk Record Office during 2009-10, based on two detailed half-yearly reports to the Committee. The Committee was asked to note the report.

11.2 During the discussion the following points were made:

- It was noted that 2009-10 was an unprecedented year for the number of users visiting the Norfolk Record Office and saw an increase to 54,413 from 29,245 in 2008-09. It was thought that this was largely due to the work carried out with the Parliamentary Archives and the interest in the Norfolk Record Office which this generated, both locally and nationally.
- It was noted that the NRO's work with the Parliamentary Archives received the 2012 Olympic Games' INSPIRE mark and that the NRO was one of the first services in Norfolk County Council to receive this status.
- The County Archivist reported that, unfortunately, the NRO had just been informally notified that it had been unsuccessful in its application for the inclusion of the Red Register of Lynn and the medieval archives of St Giles's Hospital, Norwich ('the Great Hospital') in the UNESCO Memory of the World Register for the UK, but that he had been encouraged to resubmit the bid later in 2010. He was also waiting for more detailed feedback on the bid and what could be improved for the next time.

11.3 **Resolved**

- To note the report.

12. **Exclusion of the Public**

12.1 The Committee noted the following reasoning for the exclusion of the public and the conclusion in respect 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 can stand". If prices paid by the NRO for documents were to become generally known publicly, this will have the effect of inflating the market. (Also, persons who might otherwise have donated or deposited documents might feel encouraged to charge for them). 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.

12.2 Resolved

- To exclude the public from the following item.

13. Periodic Report: Appendix: Manuscripts Purchases, 1 October 2009 – 31 March 2010

- 13.1 The report gave details of the documents purchased by the Norfolk Record Office during the period from 1 October 2009 to 31 March 2010. The Committee was asked to note the report.

13.2 Resolved

- To note the report.

14. Date and Time of Next Meeting

- 14.1 The next meeting of the Norfolk Records Committee was planned for 10:30am on Friday, 16 July 2010, in The Green Room, The Archive Centre.
- 14.2 It was noted that the meeting of the Norfolk Records Accounts Approval and Urgent Business Sub-committee was planned for 10:30am on Friday 25 June 2010 in the Colman Room, County Hall.

The meeting ended at 11:50 a.m.

Mr D Murphy, Chairman



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ACCOUNTS APPROVAL AND URGENT BUSINESS SUB-COMMITTEE

Report by Head of Democratic Services

1. In order for the Norfolk Record Office to continue to approve the Statement of Accounts, including the Statement of Internal Control, and to deal with matters of urgent business which require a Committee decision between scheduled meetings of the Records Committee, Members are recommended:

To re-appoint four Members (two County Councillors and two District Councillors) to serve on a Sub-Committee with the following Terms of Reference:

- To exercise all the powers of the main Committee with regard to considering and approving the Annual Statement of Accounts, including the Statement of Internal Control.
- To 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. Mr Derrick Murphy and Mr Richard Rockcliffe (Norfolk County Council), Mr P J Duigan (Breckland District Council) and Mrs E A Nockolds (Borough Council of King's Lynn and West Norfolk) were the previous Members of the Urgent Business Sub-Committee.

S.17 Crime and Disorder Act

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

Financial Implications

4. There are no financial implications in this report.

Property, Staffing and IT Implications

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

Recommendation/Conclusion:

6. That the Committee appoints Members to an Accounts Approval and Urgent Business Sub Committee for 2010/11.

Officer Contact:

Kristen Jones

Tel: 01603 223053



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

A report by the Director of Community Services

This report of gives an account of the Norfolk Records Committee Accounts Approval and Urgent Business Sub-Committee meeting held on 24 June 2010.

1. The Accounts Approval and Urgent Business Sub-Committee received and considered the Norfolk Records Committee Audit Report for 2009-10, the Annual Governance Statement for 2009-10 and the Final Accounts for 2009-10 at its meeting held on 25 June 2010.
2. The minutes of the meeting of 25 June 2010 appear as the Appendix to this report.
- 3 .The Norfolk Records Committee is asked to note the decision of the Accounts Approval and Urgent Business Sub-Committee to approve the 2009-10 Statement of Accounts.
- 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.

Officer Contact

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

Harvey Bullen

Corporate Revenue Manager

Corporate Finance

Tel: 01603 223330

Email: harvey.bullen@norfolk.gov.uk

Norfolk Records Committee

Accounts Approval and Urgent Business Sub-Committee

Minutes of the Meeting held on 25 June 2010

Present:

Mr P Duigan
Mr D Murphy (Chairman)
Mr R Rockcliffe

***** Immediately prior to this meeting, Members of the sub-committee attended a 45-minute training session with finance officers on issues covered in the following reports. *****

1. Apologies for Absence

An apology was received from Mrs E A Nockolds.

2. Election of Chairman

Mr Murphy was elected as Chairman of the sub-committee for the ensuing year.

3. Election of Vice-Chairman

Mr Duigan was elected as Vice-Chairman of the sub-committee for the ensuing year.

4. Minutes

The minutes of the previous meeting held on 24 June 2008 were confirmed by the Committee and signed by the Chairman.

5. Declarations of Interest

There were no declarations of interest.

6. Matters of Urgent Business

There were no matters of urgent business.

7. Norfolk Audit Service Annual Report 2009/10 on the Norfolk Records Committee

- 7.1 The annexed report (7) by the Head of Finance was received. The report introduced the Annual Internal Audit Report which summarised the internal audit

work carried out in 2009-10, reported on Internal Audit's performance, provided assurance that financial, non-financial controls, and risk management arrangements existed and were effective, and provided details of the relevant sections of the Council's 2010-11 internal audit plan.

Resolved

- 7.2 To adopt the Council's Anti-Fraud and Corruption Strategy.
- 7.3 To note the key message from the Records Committee Annual Internal Audit Report for 2009-10 which was "Based on an analysis of the audit work carried out and reports issues, Chief Internal Auditor can assure Committee that, the adequacy and effectiveness of internal control and risk management during 2009-10 was 'acceptable'."
- 7.4 To note that the systems of internal audit and internal control were adequate and effective during 2009-10 for the purpose of the latest regulations.
- 7.5 To note that arrangements for fraud were adequate and had been reviewed in light of the economic downturn.
- 7.6 To note that the content of the 2010-11 Audit Plan forms the Norfolk Audit Service (NAS) Annual Report.

8. Annual Governance Statement

- 8.1 The annexed report (8) by the Head of Finance was received. The report introduced the proposed Annual Governance Statement 2009-10 and provided assurance that the Norfolk Records Committee's governance framework, including the system of internal control, was adequate and effective.
- 8.2 During the discussion, it was noted that since the organisational review of Norfolk County Council, the officer responsible for signing off the Annual Governance Statement would be the Director of Community Services (not the Director of Corporate Resources) and this would need to be amended throughout the document.

Resolved

- 8.3 To support the annual review of the Annual Governance Statement.
- 8.4 To note that the Council's Code of Corporate Governance has been reviewed by the Monitoring Officer and was considered adequate.
- 8.5 To note that the governance arrangements for 2009-10 were considered to be adequate and effective.
- 8.6 To note that, based on the evidence provided and reviewed, the key controls were complete, accurate, and current.

- 8.7 To note that Chief Officers recognised the 'corporate ownership' of the Norfolk Records Committee's governance requirements and they were comfortable with the review approach set out in 4.2 and 4.3 of the report.
- 8.8 To note that the Annual Governance Statement was incorporated into the Annual Statement of Accounts.
- 8.9 To approve the Annual Governance Statement for signing by the Chairman and the Director of Community Services.

9. 2009/10 Final Accounts

The annexed report (9) by the Head of Finance was received. This report detailed the final accounts of the Norfolk Records Committee for 2009-10.

During the discussion the following points were made:

- It was noted that there was a draft agreement which could be amended as needed.
- It was noted that Members had had specific training prior to this meeting regarding issues within the reports.
- As with the above items, it was noted that since the organisational review of Norfolk County Council, the officer responsible for signing off the Annual Governance Statement would be the Director of Community Services (not the Director of Corporate Resources) and this would need to be amended throughout the document.
- A correction was made to page 84 of the agenda within the Statement of Accounts 2009-10, to delete 'Norfolk Highways Agency Joint Committee' and replace this with 'Norfolk Records Committee'.

Resolved

To approve the Joint Committee's Statement of Accounts for 2009-10.

The meeting ended at 11:30am.

Mr D Murphy, Chairman



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Audit of the Statement of Accounts 2008-09

Report by the Head of Finance

This report details the outcome of the audit of the 2008-09 Statements of Accounts by the Audit Commission.

Recommendations

Members are asked to note this report.

1. Introduction

- 1.1 The 2008-09 Statement of Accounts was approved by the Norfolk Records Committee at its meeting on 26 June 2009. The Audit Commission, the Council's External Auditor, have now completed their examination and they have issued an unqualified opinion.
- 1.2 The Annual Governance Report from the Audit Commission and a detailed report on adjustments to the 2008-09 Statement of Accounts were presented to the Norfolk Records Committee. The reports were circulated via email on 25 February 2010 and members approved the changes. The purpose of bringing this report to committee is to make the Audit Commission report available to the public.

2. Key Issues Arising from the Audit

- 2.1 There were no new issues arising from the audit.

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.
- 3.2 Members of the Norfolk Records Committee were informed of and endorsed the adjustments, before the 2008-09 accounts were signed off by the external auditor.

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 2008-09 Statement of Accounts was produced by the end of June 2009, in accordance with statutory regulations. The audit of the accounts is complete and the Committee has received an unqualified audit report.

10. Recommendation

- 10.1 **The Norfolk Records Committee is requested to note this report.**

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	harvey.bullen@norfolk.gov.uk

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Annual Governance Report

Norfolk Joint Records Committee

Audit 2008/09

February 2010

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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.
-

Ladies and Gentlemen

2008/09 Annual Governance Report

I am pleased to present the final version of my report on the results of my audit work for 2008/09.

A draft of the report was discussed and agreed with the Head of Finance.

The report sets out the key issues that you should consider before I complete the audit.

It asks you to:

- consider the matters raised in the report (pages 4 to 7);
- take note of the VFM Conclusion; and
- approve the letter of representation on behalf of the Joint Committee before I issue my opinion and conclusion (Appendix 2).

Yours faithfully

Rob Murray
District Auditor
Date February 2010

Key messages

This report summarises the findings from the 2008/09 audit which is substantially complete. It includes the messages arising from my audit of your financial statements and the results of the work I have undertaken to assess how well you use and manage your resources to deliver value for money and better and sustainable outcomes for local people.

Financial Statements	Results	Page
Unqualified audit opinion	Yes	6
Financial statements free from material error	Yes	6
Adequate internal control environment	Yes	6
Use of resources	Results	Page
Arrangements to secure value for money	Unqualified	7

Audit opinion

- 1 I expect to issue an unqualified opinion on the financial statements before 28 February 2010.

Financial statements

- 2 The financial statements were formally approved by the Norfolk Records Committee on 26 June 2009 in advance of the statutory deadline. The financial statements submitted for audit were substantially complete and were supported by good working papers. I found no material errors in the accounts although the accounts did contain a number of non-trivial errors.

Value for Money Conclusion

- 3 My work on the Joint Committee's arrangements to secure economy, efficiency and effectiveness in its use of resources is now complete. I propose to issue an unqualified value for money conclusion before 28 February 2010.

Next steps

This report identifies the key messages that you should consider before I issue my financial statements opinion, value for money conclusion, and audit closure certificate. It includes only matters of governance interest that have come to my attention in performing my audit. My audit is not designed to identify all matters that might be relevant to you.

4 I ask the Accounts Approval Sub-Committee to:

- consider the matters raised in the report (pages 4 to 7);
- take note of the VFM Conclusion; and
- approve the letter of representation on behalf of the Committee before I issue my opinion and conclusion (Appendix 2).

Financial statements

The Norfolk Records Committee's financial statements and annual governance statement are important means by which the Joint Committee accounts for its stewardship of public funds. As Joint Committee members you have final responsibility for these statements. It is important that you consider my findings before the financial statements are authorised for issue.

Opinion on the financial statements

- 5 I plan to issue my auditor's report including an unqualified opinion on the financial statements. Appendix 1 contains a copy of my draft auditor's report.

Errors in the financial statements

- 6 I identified a number of non-trivial errors in the financial statements which were amended by officers. In addition, a Cash Flow Statement has now been included in the statements following receipt of updated auditor technical guidance.

Material weaknesses in internal control

- 7 I have not identified any material weakness in the design or operation of an internal control that might result in a material error in your financial statements.

Letter of representation

- 8 Before I issue my opinion, auditing standards require me to obtain appropriate written representations from you and management about your financial statements and governance arrangements. Appendix 2 contains the draft letter of representation I seek to obtain from you.

Key areas of judgement and audit risk

- 9 In planning my audit I identify any key areas of judgement and audit risk I need to cover as part of my audit. My review of your business risks did not identify any specific areas of risk, although the extent of our work has been determined by materiality to the accounts.

Accounting practice and financial reporting

- 10 I have no issues to raise with you in respect of the qualitative aspects of your financial reporting.

Use of resources

I am required to conclude whether the Joint Committee put in place adequate corporate arrangements for securing economy, efficiency and effectiveness in its use of resources. This is known as the value for money (VFM) conclusion.

Value for money conclusion

- 11** I assess your arrangements to secure economy, efficiency and effectiveness in your use of resources against criteria specified by the Audit Commission. From 2008/09, the Audit Commission will specify each year, which of the use of resources KLOE are the relevant criteria for the VFM conclusion at each type of audited body.
- 12** I intend to issue an unqualified conclusion stating that the Committee had adequate arrangements to secure economy, efficiency and effectiveness in the use of resources. Appendix 1 contains the wording of my draft auditor's report.

Appendix 1 – Independent auditor’s report to Members of Norfolk Records Committee

Independent auditor’s report to the Members of Norfolk Records Committee

Opinion on the financial statements

I have audited the Joint Committee accounting statements and related notes of Norfolk Records Committee for the year ended 31 March 2009 under the Audit Commission Act 1998. The accounting statements comprise the Income and Expenditure Account, the Statement of Movement on the General Fund Balance, the Balance Sheet, the Statement of Total Recognised Gains and Losses, the Cash Flow Statement and the related notes. These accounting statements have been prepared under the accounting policies set out in the Statement of Accounting Policies.

This report is made solely to the members of Norfolk Records Committee in accordance with Part II of the Audit Commission Act 1998 and for no other purpose, as set out in paragraph 49 of the Statement of Responsibilities of Auditors and of Audited Bodies prepared by the Audit Commission.

Respective responsibilities of the Head of Finance and auditor

The Head of Finance’s responsibilities for preparing the financial statements in accordance with relevant legal and regulatory requirements and the Code of Practice on Local Authority Accounting in the United Kingdom 2008 are set out in the Statement of Responsibilities for the Statement of Accounts.

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 accounting statements present fairly, in accordance with relevant legal and regulatory requirements and the Code of Practice on Local Authority Accounting in the United Kingdom 2008 the financial position of the Joint Committee and its income and expenditure for the year.

I review whether the governance statement reflects compliance with ‘Delivering Good Governance in Local Government: A Framework’ published by CIPFA/SOLACE in June 2007. I report if it does not comply with proper practices specified by CIPFA/SOLACE 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 governance statement covers all risks and controls. Neither am I required to form an opinion on the effectiveness of the Joint Committee’s corporate governance procedures or its risk and control procedures

Appendix 1 – Independent auditor’s report to Members of Norfolk Records Committees

I read other information published with the accounting statements, and consider whether it is consistent with the audited accounting statements. This other information comprises the Explanatory Foreword. I consider the implications for my report if I become aware of any apparent misstatements or material inconsistencies with the accounting statements. My responsibilities do not extend to any other information.

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 accounting statements and related notes. It also includes an assessment of the significant estimates and judgments made by the Joint Committee in the preparation of the accounting statements and related notes, 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 accounting statements and related notes 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 accounting statements and related notes.

Opinion

In my opinion the Joint Committee’s financial statements present fairly, in accordance with relevant legal and regulatory requirements and the Code of Practice on Local Authority Accounting in the United Kingdom 2008, the financial position of the Joint Committee as at 31 March 2009 and its income and expenditure for the year then ended.

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 regularly to 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 Joint Committee has made such proper arrangements. I am not required to consider, nor have I considered, whether all aspects of the Joint Committee’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 having regard to the criteria for other local government bodies specified by the Audit Commission and published in May 2008 and updated in February 2009, and the supporting guidance, I am satisfied that, in all significant respects, Norfolk Records Committee made proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ending 31 March 2009.

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.

Rob Murray
Regus House
1010 Cambourne Business Park,
Cambourne, Cambridge CB23 6DP
[Date]

Appendix 2 – Draft letter of representation

To:

Mr Rob Murray
Audit Commission
Regus House
1010 Cambourne Business Park
Cambourne
Cambridge
CB23 6DP

Norfolk Records Committee - Audit for the year ended 31 March 2009

I confirm to the best of my knowledge and belief, having made appropriate enquiries of other officers of Norfolk Records Committee, the following representations given to you in connection with your audit of the Joint Committee's financial statements for the year ended 31 March 2009.

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 Joint Committee 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 the Joint Committee have been properly reflected and recorded in the accounting records. All other records and related information, including minutes of all Joint Committee 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 employees who have significant roles in the system of internal accounting control;
- irregularities involving other employees 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, employees 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 employees, former employees, 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 Joint Committee.

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.

Appendix 2 – Draft letter of representation

Post balance sheet events

Since the date of approval of the financial statements by Norfolk Records Committee, no additional significant post balance sheet events that have occurred which would require additional adjustment or disclosure in the financial statements.

The 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 Committee

Name

Position

Date

Name

Position

Date

The Audit Commission

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**Norfolk Record Office - Performance and
Budget Year-end Report 2009/10**

A report by the County Archivist

Executive Summary

This report provides performance against service plans and budget out-turns information for 2009/10 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 Panel are:

- At the end of March 2010, the revenue budget out-turn for the NRO was a break-even budget position. Towards the end of 2009 we were able to remove utility costs pressures of £0.100m following a welcome and downward revision of contract prices.
- There are no capital programme matters to report and the position with Reserves and Provisions is mostly unchanged compared to a year ago.
- Performance indicators for the Norfolk Record Office indicate that The Archive Centre significantly increased audience participation compared with last year.
- Performance against 2009/10 service plans was good and is reported in more detail in the accompanying report.

Recommendation

Committee Members are asked to consider and comment on:

- Progress with performance against 2009/10 service plans
- Progress with the revenue budget and reserves and provisions for 2009/10.

1. Performance against Service Plans

1.1 Performance Summary

- 1.1.1 Visitors to the Record Office, to NRO events elsewhere and to exhibitions and events which included NRO items reached a record high in 2009-10, involving 54,413 people, compared with 29,254 in 2008-9, an 86% increase. They included 15,000 visitors to the *People and Parliament: Connecting with Communities* exhibition at Westminster Hall in the summer of 2009 and to Great Yarmouth Maritime Festival in September 2009.

1.2 Norfolk Record Office (NRO) progress

- 1.2.1 On 15 January, the Lord Speaker and the Chairman of the County Council officially opened the *Norfolk, People and Parliament* exhibition at The Archive Centre. The exhibition is part of the NRO's joint project, 'People and Parliament: Connecting with Communities', currently being undertaken in partnership with the Parliamentary Archives and Parliamentary Outreach. In connexion with the exhibition, a series of Parliament-related lunchtime talks began in January and continued into March.
- 1.2.2 As part of a continuing partnership arrangement with The National Archives, in collaboration with UK-based family history website findmypast.com, a second phase of free public access to the 1911 census for NRO visitors began in late March. The Norfolk Record Office is the only archive in the East of England to have this facility, which has proved very popular. Access is via two computers in the NRO's searchroom and copies of census images can be printed at our usual charges.
- 1.2.3 The NRO has been running 'Opening the Door to the Past', a project on refugees, for children at risk of offending. Four children spent six weeks learning about the history of refugees in Norfolk, before working with a local artist to produce a story, imagining what their experiences might be if they became refugees, based on the information they had discovered from these workshops. Each child recorded and edited a podcast. A celebration took place in February, at which the children were given a CD of their podcast, along with a medal and certificate for completing the project. During the celebration, their families and friends were given the opportunity to hear for themselves the products of the children's work. For this project the Norfolk Record Office was awarded the Inspire mark, by London 2012 and the International Olympic Committee. The mark, for projects using funding set aside for the Cultural Olympiad, recognizes the most accessible, participative, inspiring and stimulating projects.

1.3 Conclusion

- 1.3.1 Our conclusion is that this has been a good year for performance and the delivery of Record Office service plans which have benefited the people of Norfolk. We look forward to developing these services further within the framework of the new Community Services Department.

2. Budget Out-turn 2009/10

2.1 Revenue Budget

- 2.1.1 Based on the position at the end of March 2010, the NRO achieved a break-even budget position. The budget out-turn is summarized in the table below. .
- 2.1.2 The budget increased by £0.098m during the year. This was due to capital depreciation of £0.107m less the return of £0.009m in respect of excess pay inflation.
- 2.1.3 Unfunded pressures of £0.100m relating to increased utility costs were brought forward from 2008/09 and fortunately these pressures abated during the year following a downward revision of utility contracts of between 15 and 30%. This had the effect of removing half of those pressures. The remaining £0.050m was removed by virement within the 2010/11 budget process giving the NRO a 'clean sheet' for 2010/11.
- 2.1.4 The table below sets out the net revenue service budgets and out-turn for the NRO.

Service	Approved budget £m	Outturn £m	+Over/- Underspend £m	+Over/Underspend as % of budget	Variance since last report £m
Record Office	1.486	1.486	0	0%	0
Corporate Data Protection	0.055	0.053	0	0%	0
Corporate Freedom of Information	0.090	0.092	0	0%	0
Total	1.631	1.631	0	0%	0

2.2 Capital programme

- 2.2.1 There are no capital programme implications to report for 2009/10 for the Norfolk Record Office.

2.3 Reserves and Provisions

- 2.3.1 There are some changes to reserves and provisions to report. The table summarising the final 2009/10 position appears overleaf.
- The Record Office reserves and provisions have been increased from £0.260m as reported to this Committee in April 2010, to £0.375m at year-end. This includes sums set aside for the purchase of collections in 2010/11, as previously notified to the Norfolk Records Committee.

Reserves and Provisions 2009/10	Balances at 01Apr09	Actual at 31Mar10	Change
	£M	£M	£M
Norfolk Record Office			
Residual Insurance and Lottery Bids	0.308	0.375	0.067
Manuscript Reserve	0.038	0.000	-0.038
ICT Reserve	0.034	0.000	-0.034
Service Total	0.380	0.375	-0.005

4. Resource implications

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

5. Other Implications

- 5.1 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

6. Equality Impact Assessment (EqIA)

- 6.1 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 & belief and sexual orientation.

7. Section 17 – Crime and Disorder Act

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

8. Conclusion

- 8.1 The Norfolk Record Office achieved a break-even budget position for 2009/10. Progress with service plans points to continuing improvement.

9. Recommendation or Action Required

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

- Progress with performance against 2009/10 service plans
- Progress with the revenue budget and reserves and provisions for 2009/10.

Officer Contact

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

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