



Norfolk Record Office

Norfolk Records Committee

Date: Friday, 13 January 2017

Time: 10:30

Venue: Green Room, Archive Centre, County Hall,
Martineau Lane, Norwich, Norfolk, NR1 2DH

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

Membership

Mr D Bradford		Norwich City Council
Mrs J Brociek-Coulton	<i>Substitute: Mr M Sands</i>	Norfolk County Council
Mr D Buck	<i>Substitute: Mr S Dunn</i>	Broadland District Council
Michael Chenery of Horsbrugh (Vice-Chairman)	<i>Substitute: Mr B Iles</i>	Norfolk County Council
Mrs M Coleman		Great Yarmouth Borough Council
Mr P Duigan	<i>Substitute: Cllr M Chapman-Allen</i>	Breckland District Council
Dr C J Kemp (Chairman)		South Norfolk District Council
Mrs E A Nockolds		King's Lynn and West Norfolk Borough Council
Mr D Raby		Norwich City Council
Mr P Smyth	<i>Substitute: Mr F Agnew</i>	Norfolk County Council
Ms V Thomas		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

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

Hollie Adams on 01603 223029
or email committees@norfolk.gov.uk

A g e n d a

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

2. Minutes

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To review the minutes of the meeting of the Norfolk Records Committee held on the 28 October 2016.

3. Matters of Urgent Business

4. Declarations of Interest

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.

District Council representatives will be bound by their own District Council Code of Conduct.

5. Organizational Development

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A report by the Executive Director of Community and Environmental Services

A report by the Executive Director of Community and Environmental Services

Date of Future Meetings

Date	Time	Venue
31 March 2017	10:30am	Green Room, Norfolk Record Office, County Hall
30 June 2017	10:30am	Green Room, Norfolk Record Office, County Hall

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

Date Agenda Published: 05 January 2017



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Norfolk Records Committee

Minutes of the Meeting held at the Norfolk Records Office on 28 October 2016 at 10:30am

Present:

Norfolk County Council

Michael Chenery of Horsbrugh

Norwich City Council

Mr D Bradford

Mr D Raby

Broadland District Council

Mr D Buck

South Norfolk District Council

Dr C J Kemp

Borough Council of King's Lynn and West Norfolk

Mrs E A Nockolds

Breckland Council

Mr P Duigan

Non-Voting Members

Co-Opted Members

Mr M R Begley

Prof. R Wilson

Representative of the Norwich Record Society

Dr G A Metters

Observer

Dr V Morgan

Representative of the Bishop of Norwich

Revd. C Read

Others Present

Cllr M Dewsbury, Chairman of the Communities Committee

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

- 1.1 Apologies were received from Prof. C Rawcliffe, Mr P Smyth, Ms V Thomas, Mrs Brociek-Coulton, Mrs Robinson-Payne and Mr Jewson.

2. Minutes

- 2.1 The minutes of the meeting held on the 01 July 2016 were agreed as an accurate record and signed by the Chairman, subject to a correction in paragraph 2.1 to read "Michael Chenery of Horsbrugh".

3. Items of Urgent Business

- 3.1 There were no items of urgent business.

4. **Declarations of Interest**

- 4.1 Mr Buck declared a “non-pecuniary interest” as Chairman of the Hellesdon History Group. The Chairman and Michael Chenery of Horsbrugh both declared an “other interest” as trustees of Norfolk Archives and Heritage Development Foundation (NORAH) in relation to item 7.
- 4.2 After discussion around the process, the Committee Officer agreed to circulate information to members on declaration of interests to Committee members.

5. **Co-option of Non-voting Members**

- 5.1 According to part 4.3, 2b (i) of the Constitution, the Norfolk Records Committee has “non-voting members as follows:-
- Custos Rotolorum
 - A representative of the Bishop of Norwich
 - A representative of the Norfolk Records Society
 - 3 co-opted members.”
- 5.2.1 Following receipt of letters seeking their expression of interest to continue on the Committee for the forthcoming year, Mr Begley, Prof. Rawcliffe, and Prof. Wilson confirmed their willingness to continue as co-opted members. Dr Morgan confirmed his willingness to continue as an Observer.
- 5.2.2 The Chairman clarified that Mr Jewson was a non-voting member of the Committee by virtue of his post as Custos Rotolorum, as was the representative of Norwich Records Society, Dr. Metters.
- 5.2.3 Having been contacted prior to the meeting, the Bishop of Norwich had confirmed that Revd. Read would continue as his non-voting representative on the Committee.
- 5.3.1 The Committee **AGREED** to:
- co-opt Mr M R Begley, Professor C Rawcliffe and Professor R Wilson to the Committee for the forthcoming year;
 - confirm Dr V Morgan as an Observer for the forthcoming year.
- 5.3.2 The committee **NOTED** that:
- Mr R Jewson would continue as a non-voting member of the Committee by virtue of his position as Custos Rotolorum;
 - Dr G Metters would continue as the representative for the Norfolk Records Society for the forthcoming year;
 - and
 - By agreement of the Bishop, Revd. C Read would continue as the representative of the Bishop of Norwich for the forthcoming year.

6. Performance report 1 April – 30 September 2016

- 6.1.1 The Committee received and **NOTED** the report introduced by the County Archivist providing information on the activities of the Norfolk Records Office and its performance against its services plan during the period between 1 April and 30 September 2016.
- 6.2.1 During discussion the following points were noted:
 - 6.2.2 Changes made to the Norfolk Records Office were discussed. The new “glass room” had been used as a breakout space, for groups, such as the Change Minds group, and for training sessions
 - 6.2.3 The Committee noted that when the Assistant Director Community and Environmental Services (Cultural Services) and Head of Libraries and Information retired, she transferred item number 2016/156 to the archive, “files relating to the Norfolk Library Fire and the development of the Forum”.
 - 6.2.4 The County Archivist noted that use of microfilms had declined since online availability had increased, however, use of original documents remained stable. He had noticed a change in archive user culture, with some taking photographs of information when visiting to refer to during future research. This also affords opportunities for income generation, as academics from abroad were willing to pay for digital images to be sent to them.
 - 6.2.5 The County Archivist clarified that there was still great room for improvement of online discovery tool, but statistics from family history websites showed an huge increase in the use of online sources.
 - 6.2.6 Members felt it was unclear for users which information was on the Norfolk Records website and which was on the Norfolk Studies website, with some users unaware of Norfolk Studies as a source of archive information. The County Archivist recognised there was a need to bring the information together.
 - 6.2.7 The County Archivist was continuing to play a role in the development of a new national archive policy, a consultation draft of which had been produced.
 - 6.2.8 The County Archivist confirmed that links were made with the library service through the Norfolk Heritage Centre; tours had been given of the Archive Centre to library staff to help them cascade information to library users, and posters circulated to libraries.
 - 6.2.9 A discussion was held over district and parish council record keeping and retention. The County Archivist clarified that information had been cascaded to parish councils such as an information on keeping of digital records.
 - 6.2.10 The County Archivist discussed the process model “open archive information system” (OAIS), which was followed to archive digital files and documents and ensure they remained in an accessible format. The programme “Archivematica” provided a workbench which carried out this process.

- 6.2.11 It was confirmed that selected account rolls from the Great Hospital would be digitised as part of the 'God's House Unlocked'
- 6.2.12 The Committee wished to congratulate the Conservator mentioned in paragraph 5.1 of the report for her attendance and participation at the Archives and Records Association conference.
- 6.2.13 The County Archivist updated the Committee that he would be attending a consultation day on new Government Archive policy in December, talking at a conference on digital preservation in London, and teaching students on the Archive course at UCL. He clarified that staff attendance at conferences where they were speaking was usually funded by the conference, ensuring this was manageable under the budget.
- 6.2.14 The box making process was discussed as primarily an effective way to support making more efficient use of existing space as well as providing an opportunity to generate further income, which had trebled over the past year.
- 6.2.15 Dr Metters shared that the Norfolk Records Society had gifted to the Kings Lynn Borough Archive a copy of every extant volume of their publications and he hoped that the archive would become a corporate member of the Norfolk Records Society. The Committee thanked the Norfolk Records Society.
- 6.3 The Committee **CONSIDERED** performance against the 2016/17 service plan.

7. Norfolk Archives and Heritage Development Foundation

- 7.1.1 The Committee received and **NOTED** the report introduced by The County Archivist giving an update on Norfolk Archives and Heritage Development Foundation (NORAH), its recent fundraising and support for purchasing documents. Examples of some of the items purchased were displayed.
- 7.2.1 During discussion the following points were noted:
- 7.2.2 It was confirmed that individuals and organisations had been thanked for their donations. Once signed up to "gift aid", NORAH could claim retrospectively for donations received; this was likely to bring in a further £3,000-£4,000 approximately.
- 7.2.3 The trustees were seeking to recruit further trustees to NORAH, aiming for a position where County members did not account for majority membership.
- 7.2.4 A fundraising strategy was being prepared for NORAH and would be brought to the Committee for consultation once completed.
- 7.2.5 The County Archivist had been contacted by a number of people who purchased archives at the sale.
- 7.2.6 It was agreed that item 1393 "alphabetical list of freemen in the Borough of Kings Lynn" could be stored in the King's Lynn Borough Archive.

8. Finance and Risk

- 8.1.1 The Committee received the report introduced by The County Archivist giving information on the forecast financial position and risk management for the Norfolk Records Committee in 2016/17 as at 30 September 2016.
- 8.1.2 During discussion the following points were noted:
- 8.2.1 It was clarified that the 500% premises cost indicated related to building work undertaken at the Norfolk Record Office and King's Lynn Borough Archives. Further overspend indicated related to the purchase of the Morningthorpe documents.
- 8.2.2 The risk register was circulated to Members (see Appendix 1)
- 8.2.3 With regard to risk RM13959, "Loss of or reduction in funding", the County Archivist shared that further ways to link to family history websites were being looked into as ways to generate further funding.
- 8.2.4 It was confirmed that the next update to the risk register indicated on Appendix 1 should read 2017.
- 8.3 The Committee:
- **CONSIDERED** performance with the revenue budget and reserves and provisions for 2016/17;
 - **NOTED WITH SATISFACTION** that the bottom line was clearly on target; and
 - **NOTED** the reserve position.
 - **NOTED** the management of risk for 2016/17 and that it was largely unchanged.
- 8.4 The Committee learned with great regret of the passing of their former colleague Cllr John Bracey, and commended his service as an example for them all to follow. Members shared memories of working with Cllr Bracey over the years.
9. **Future Meetings:** 13 January 2017
31 March 2017

The meeting ended at: 12:06 PM

The meeting was followed by a tour of the Archive Centre.

Christopher Kemp, Chairman of the Committee



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Appendix A																					
Risk Register - Norfolk County Council																					
Risk Register Name		Norfolk Record Office										Red									
Prepared by		Gary Tuson										Amber									
Date updated		October 2016										Green									
Next update due		April 2016										Met									
CDG/STP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Inherent Likelihood	Inherent Impact	Inherent Risk Score	Current Likelihood	Current Impact	Current Risk Score	Tasks to mitigate the risk	Progress update	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Risk Owner	Reviewed and/or updated by	Date of Review and/or update
S	Norfolk Record Office	RM13959	Loss of or reduction in funding	Loss of or reduction in levels of external funding, including NCC, could lead to a reduced capacity to deliver the service, threaten business viability and infringe Heritage Lottery Fund conditions of grant.	31/03/2009	4	4	16	2	4	8	Continued development of efficient and prioritised working practices Ensure staff are in place to maintain income generating activities Continue to explore opportunities for income generation	Income generation targets on course CIO established Additional material for licencing being prepared Estimates being prepared for new digitization projects	2	3	6	31/03/2017	Amber	Gary Tuson	Gary Tuson	01/10/2016
S	Norfolk Record Office	RM13963	Inability to continue collecting archives	An increased level of accessions has reduced available space in strongrooms more quickly than planned and there may be further, unexpected increased levels.	27/02/2014	2	3	6	2	3	6	Actions to mitigate risk to be included in forthcoming service plans	Target reached in 2015/16 Additional space identified in King's Lynn	2	2	4	31/03/2017	Green	Gary Tuson	Gary Tuson	01/10/2016
S	Norfolk Record Office	RM14164	Failure to meet growing public expectations on access	Public are not able to access collections as easily as they expect through modern technologies	27/02/2014	3	3	9	3	3	9	• Use of commercial partnerships to improve access • Planning for access to digital images in searchroom under way	Streaming server down and options being explored for updating	2	3	6	31/03/2017	Green	Gary Tuson	Gary Tuson	01/10/2016
S	Norfolk Record Office	RM14165	Failure to collect, preserve and make accessible new formats of archive	Increasingly records are born digital and must be preserved in a digital format. The NRO is not in a position to fully managed digital records in line with the OAIS model.	27/02/2014	3	5	15	3	5	15	• Collaborative project for delivery of digital preservation • Develop staff skills • Continue to develop in-house procedure for handling digital objects	Pilot project in progress	3	3	9	31/03/2017	Amber	Gary Tuson	Gary Tuson	01/10/2016
S	Norfolk Record Office	RM14167	Collection at risk through unexpected events	Provision beyond the council continuity planning needs to be made due to special nature and extent of the NRO collection	27/02/2014	1	5	5	1	5	5	• Disaster / emergency plan training to be rolled out	New starters at Record Office all trained in Emergency Plan procedures This risk needs to be constantly managed and further review and training will be required in 2017/18	1	5	5	31/03/2018	Green	Gary Tuson	Gary Tuson	01/10/2016

NORFOLK RECORDS COMMITTEE

Item No.....

Report title:	Organizational Development
Date of meeting:	13 January 2017
Responsible Chief Officer:	Tom McCabe - Executive Director, Community and Environmental Services
Strategic impact Enhancing access to the NRO's Collection will promote the positive benefits of using archives in terms of education and community engagement. The work described in this report also supports a major strand of service development aimed at involving local communities in the collection and care of their own heritage.	

Executive summary

Since 2014, substantial progress has been made towards the NRO's five long-term strategic priorities detailed in its Service Plan. Work is ongoing across all five of these areas but two in particular require further development: Alternative Methods of Service Delivery and Fundraising.

This report outlines the progress made towards these long-term priorities and then focuses on the two areas requiring further development.

Recommendations:

That committee approves this area of work and the use of funds as detailed in the report.

1. Proposal

That the organizational development work described in this report forms a prioritized area of work in the forthcoming NRO Service Plan and that £85K of reserves be used to support it and future grant applications.

2. Evidence

2.1 Background

- 1.1 The Norfolk Record Office Service plan outlines five long-term strategic priorities for the service.
 - i. Accommodation
 - ii. Audience Development and Engagement
 - iii. Income Generation and Fundraising
 - iv. Digital Preservation
 - v. Alternative Methods of Service Delivery
- 1.2 Over the past two years actions have been taken to help meet these long terms

priorities. These include:

- i. The creation, year on year, of 30m³ space in the strongrooms with the aim of extending the ability of the service to collect archives until at least 2023. Service plans from 2020 onwards will need to consider the storage needs of the service beyond 2023.
- ii. A number of projects aimed at bringing new users into the archive including volunteer programmes, partnerships with mental health charities and educational programmes.
- iii. A sizable increase in income generation and the establishment of a new fundraising charity
- iv. A regional pilot developing digital preservation solutions in partnerships with other archive services
- v. The hosting of hundreds of thousands of images on commercial web sites and the creation of the 2nd Air Division Digital Archive.

1.3 This paper looks at the fifth of the strategic priorities, Alternative Methods of Service Delivery, and in particular those areas relating to:

- i. Archive discovery
- ii. Work with community archives and local history groups

1.4 It also looks at ways of supporting this work, and other areas of archive development, through the continued development of fundraising capacity.

3. Archive Discovery

3.1 In the last eighteen months, the Norfolk Record Office has entered into contracts with family history web sites to mount hundreds of thousands of images. These contracts include provision for indexing the records thereby enabling users to search at transaction level (i.e. a name can be entered and all the records that contain it, or its variants. located). As well as generating income, these contracts have made the records accessible all over the world. However, these images represent only a tiny fraction of the NRO's collection (in the region of 1%) and, whilst plans are in place to continue licencing images, it will never cover anything but a small proportion of the Collection.

3.2 With a few exceptions, the remainder of the Collection is accessed through the NRO's online catalogue, NROCAT. This is used both by remote users and by those in the searchroom. The creation of this catalogue has been a major task over the last decade and represents a huge amount of data (over 812,000 catalogue entries) ready to be discovered. This has been a hugely important work stream providing the top down information required to find out what the NRO holds and enabling the service to better manage its Collection. However,

- i. The existing system has limited search functionality
- ii. It does not come close to releasing the full research potential of the collection

Search Functionality

3.3 The current online catalogue is based on CALM software. This became the most widely adopted archive description and management system in the late 1990s / early 2000s and, at the time, was a significant step forward. However, since then user expectations

have significantly advanced and the system's limitations have become increasingly apparent. Therefore, the NRO needs to consider modernising its user interface through migration to a new system or systems.

- 3.4 The NRO also needs to consider new ways in which its metadata may be used in the future. This needs to embrace the description of digital archives, interoperability of data and developments in the semantic web.

Releasing Research Potential

- 3.5 In many ways, the tool that sits on top of the Record Office's metadata is of secondary importance. Software systems will change over time but, although rekeying has been required, much of the descriptive metadata in NROCAT was generated decades ago.
- 3.6 Provenance based, structured, hierarchical cataloguing is the basis of archive description. This is long established practice and is enshrined in ISAD(G) (the General International Standard on Archive Description) to which the NRO currently adheres. There is always a need to catalogue collections to make them accessible and decisions on what is catalogued and to what level of description (e.g. collection level, series level, item level) have to be based on resource availability and importance / anticipated demand. For example, the current work on the Great Hospital has been prioritised because of the importance of the collection (recognized by its inscription in the UNESCO Memory of the World Register) and because external grant money has been secured to resource the work.
- 3.7 Once a collection has been catalogued, it can be linked to a series of authority files. These authority files act as an alternative means of access to free text searching or staff mediation. Authority files cover places, names (corporate, personal and family) and subjects. Using a predefined structure means that authority files can also help in the reuse of the metadata in new ways. Currently, authority file indexing is carried out on a very limited basis, usually only at the upper levels of description and without an adequate thesaurus or taxonomy.
- 3.8 Of course, the most important factor to be taken into account is the needs of the user and, in many ways, archive catalogues fail to provide the level of information they require. Whilst ISAD(G) description is essential the resultant catalogues only represent a collection and its series or components. However, many users want to access information at the transaction level and if this ease of access can be achieved the potential for use increases massively. For example
 - i. In 2015 over 29,000 document productions were made from the NRO stongrooms.
 - ii. In the four months from July to October 2016, on one family history website, transcriptions and images of NRO documents were viewed 1.2 million times.

Whilst these two statistics do not directly correspond, they do indicate the vast potential for use of archives after metadata is enriched.

The NRO does not, and never will, have the resources required to create this rich metadata for all of its Collection and needs to approach this challenge in creative ways including crowd sourcing, volunteer projects and work with community groups. However, as part of this, two important areas of development work are required:

- i. An options appraisal on the archive software used by the service and, should this conclude that a different system is required, development of a business plan for migration.
- ii. Development of authority file resources.

4. Working with Community Groups

- 4.1 Norfolk has an incredibly rich archive heritage and new accessions come into the Record Office on a daily basis. However, this represents a small proportion of the records worthy of permanent preservation that exist in the county. The Norfolk Record Office needs to find ways of working with local communities to help them rescue, preserve, describe and make accessible this rich archival heritage.
- 4.2 The NRO will be holding its second Exploring Your Community Conference in February. This follows an Archives Skills day for community groups in October. These sessions have demonstrated that there is a clear need for skills development, shared tools and professional support in the community; something the Record Office is not in a position to provide.
- 4.3 These cover areas such as
- i. Documentation so that terms of holding and provenance are established
 - ii. Software for archive description and web mounting of catalogues
 - iii. Authority files for places, subjects and names
 - iv. Digitization, description and web mounting of images in a sustainable way
 - v. Preservation, cleaning and packaging of documents
 - vi. Collecting and describing oral histories.
 - vii. Training and support for cataloguing
 - viii. Archive research and interpretation
 - ix. Mining the resources at the NRO
- 4.4 In the longer term, the NRO can offer sustainability to these groups and their donors who may not have the organizational longevity that a county archive offers. In such cases the NRO could be receiving documents which, as well as having their provenance documented and immediate preservation needs dealt with, have been catalogued by people with local knowledge and passion at a level of description that the NRO could not achieve.

5. Fundraising

- 5.1 As previously reported to the Records Committee, the Norfolk Archives and Heritage Development Foundation (NORAH) was established in 2016. Although still in its development phase, it has successfully raised funds for the purchase of documents at the recent Morningthorpe Manor Country House Sale.
- 5.2 The NORAH trustees met in December and decided that the next priority for the charity's development was recruitment of additional trustees; advertisements are due to be placed in January.
- 5.3 There is still considerable work for the NRO in supporting NORAH. A report will be presented to the next Records Committee meeting for consultation on the charity's fundraising strategy for the current year. This is likely to include such actions as setting up a patron's scheme and a number of fundraising events.

6. Conclusion

- 6.1 Much of the work above will only be achievable with external financial support. Therefore certain aspects of the work especially, that with community groups, will need

to be developed into funding applications. To support this it is proposed that reserves are used to continue the role of Partnership and Development Manager for 18 months and to provide match funding for grant applications.

7. Financial Implications

7.1 It is estimated that this will require £85,000 from reserve funding.

8. Issues, risks and innovation

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

Officer Contact

If you have any questions about matters contained or want to see copies of any assessments, eg equality impact assessment, please get in touch with:

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

Officer Name: Gary Tuson **Tel No:** 01603 222599

Email address: gary.tuson@norfolk.gov.uk



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Norfolk Records Committee

Item No.....

Report title:	Finance and Risk
Date of meeting:	13th January 2017
Responsible Chief Officer:	Tom McCabe – Executive Director, Community and Environmental Services
Strategic impact	
This report covers the forecast financial position and risk management for the Norfolk Records Committee in 2016/17 as at 30 th November 2016	

Executive summary

This report covers the financial forecast for the Norfolk Record Office (NRO) budget out-turns for 2016/17. Section 1 covers progress with the NRO revenue budget for 2016/17, reserves and provisions. Section 2 provides the Committee with an update on the service risk register.

The main issues for consideration by this Committee are:

- Progress with NRO Revenue budgets and Reserves and Provisions indicates that the service should achieve a break-even position at the year-end
- Progress with risk management for NRO.

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

- **Performance with the revenue budget and reserves and provisions for 2016/17**
- **Management of risk for 2016/17**

1. Revenue Budget

1.1 Financial Performance 2016/17

1.1.1 At the end of 2016/17, the NRO expects to deliver an outturn balanced to budget. This is summarised in the table below.

Service	Approved budget £m	Forecast 2016/17 Outturn £m	+Over/- Underspend £m	Variance to budget
Salary	0.822	0.770	-0.052	6.3%
Premises	0.004	0.043	0.039	975%
Travel	0.003	0.004	0.001	33%
Supplies & Services	0.063	0.088	0.025	39%

Support Services	0	0.002	0.002	100%
Capital*	0.206	0.206	0	0%
Income	-0.289	-0.304	-0.015	17%
Total	0.809	0.809	0	0%

* Local authority capital accounting adjustments that relate to historic capital expenditure

1.1.4 The additional premises and supplies and services costs relate to: building works at the Archive Centre, the digital preservation project and purchases made at the Morningthorpe Manor Sale. These are expected to be covered by additional income the source of which is grants from the East of England Regional Archive Council and from the Norfolk Archives and Heritage Development Foundation and a slightly higher level of income generation than anticipated through digitization projects.

1.1.5 Norfolk County Council continues to face significant financial pressures and funding reduction and the Norfolk Record office continues to look for ways to support the authority in meeting those financial challenges. The Service has been highly successful in increasing its external funding and income streams and are proposing to increase its income targets by a further £20k.

1.2 Capital programme

1.2.1 There is no capital programme for 2016/17.

1.3 Reserves and Provisions

1.3.1 The table summarising the 2016/17 position appears below.

- The Residual Insurance reserve is planned to be used in the year to support project development and other income raising activities. This includes administrative support to the Norfolk Archives and Heritage Development Foundation and the development of joint funding applications.

Reserves and Provisions 2016/17	Balances at 01Apr 16	Forecast Outturn at 31Mar 17	Change
	£m	£m	£m
Norfolk Record Office			
Residual Insurance and Lottery Bids	0.205	0.205	0.000
Unspent Grants & Contributions Reserve	0.012	0.017	0.005
Service Total	0.217	0.222	0.005

2. Risk Management

2.1 The service continues to manage the risks to its objectives both internal and external. The risk register is reviewed and updated on a quarterly basis and was last reported to this Committee at the last meeting. A summary of the risk register based on the most recent review of October 2016 appears at Appendix A.

- 2.2 The register contains five key risks, four of which are currently assessed as a 'medium' level risk, while one is assessed as 'low'.
- 2.3 All risks are being well managed. Two of the risks are showing 'Green – on schedule' progress towards achieving their target risk scores, and the other three are showing 'Amber' and with further planning should be met.
- 2.4 The impact of the unmet risks on the budget has been assessed as follows:
- 2.4.1 For RM13959 'Loss of or reduction in funding', if this external funding was lost then the service would need to reduce spending in line with the reduction of funding. This risk is classed as 'Amber' however additional income streams have been identified in 2016/17. The risk is mitigated by continuing to apply for external funding and explore income generating opportunities.
- 2.4.3 For RM13963 'Inability to continue collecting archives', an increased level of accessions would reduce the available space more quickly than planned. Records are kept of the amount of additions and available space and bespoke packaging is used to reduce the amount of space needed. There is also work which can be carried out to further increase the capacity of the King's Lynn strong room. This risk is classed as 'green' and is not expected to occur in 2016/17, and so will have no impact on the revenue position.
- 2.4.4 For RM14164 'Failure to meet growing public expectations on access', is the risk that the public can't access collections as easily as they expect to. This could mean demand for our services would reduce. This is mitigated through entering into commercial partnerships to improve access and planning for access to digital images in search room. Plans are in place to increase the amount of digital images available through commercial partnerships. This risk is classed as 'green' and is not expected to occur in 2016/17, and so will have no impact on the revenue position.
- 2.4.5 For RM14165 'Failure to collect, preserve and make accessible new formats of archive', NRO is not in a position to fully manage the preservation and continued accessibility of born digital records. This is mitigated through developing procedures, staff skills and exploring collaborative approaches. This risk is classed as 'Amber' however the NRO is now leading a collaborative regional project to address these issues.
- 2.4.6 For RM14167 'Collection at risk through unexpected events', due to the special nature of the NRO collection the usual NCC continuity planning has to be reviewed and adapted. This is mitigated through the roll out of specific Emergency Plan, in which all staff, including recent recruits, have been trained. This risk is classed as 'green' and is not expected to occur in 2016/17, and so will have no impact on the revenue position.

3. Financial Implications

The implications for resources including, financial, staff, property and IT, where relevant, are set out in Section 1 of this report.

4. Issues, risks and innovation

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. Background

There are no other documents to refer to.

Officer Contact

If you have any questions about matters contained or want to see copies of any assessments, eg equality impact assessment, please get in touch with:

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

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Risk Register - Norfolk County Council

Risk Register Name		Norfolk Record Office														Red					
Prepared by		Gary Tuson								High						Amber					
Date updated		December 2016								Med						Green					
Next update due		April 2017								Low						Met					
CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Inherent Likelihood	Inherent Impact	Inherent Risk Score	Current Likelihood	Current Impact	Current Risk Score	Tasks to mitigate the risk	Progress update	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Risk Owner	Reviewed and/or updated by	Date of Review and/or update
S	Norfolk Record Office	RM13959	Loss of or reduction in funding	Loss of or reduction in levels of external funding, including NCC, could lead to a reduced capacity to deliver the service, threaten business viability and infringe Heritage Lottery Fund conditions of grant.	31/03/2009	4	4	16	2	4	8	Continued development of efficient and prioritised working practices Ensure staff are in place to maintain income generating activities Continue to explore opportunities for income generation	Income generation targets on course CIO established Additional material for licencing being prepared Estimates being prepared for new digitization projects	2	3	6	31/03/2017	Amber	Gary Tuson	Gary Tuson	01/04/2017
S	Norfolk Record Office	RM13963	Inability to continue collecting archives	An increased level of accessions has reduced available space in strongrooms more quickly than planned and there may be further, unexpected increased levels.	27/02/2014	2	3	6	2	3	6	Actions to mitigate risk to be included in forthcoming service plans	Target reached in 2015/16 and on course for 2016/17 Additional space identified in King's Lynn	2	2	4	31/03/2017	Green	Gary Tuson	Gary Tuson	01/04/2017
S	Norfolk Record Office	RM14164	Failure to meet growing public expectations on access	Public are not able to access collections as easily as they expect through modern technologies	27/02/2014	3	3	9	3	3	9	• Use of commercial partnerships to improve access • Planning for access to digital images in searchroom under way	Report to committee on 13 Jan 2017	2	3	6	31/03/2017	Green	Gary Tuson	Gary Tuson	01/04/2017
S	Norfolk Record Office	RM14165	Failure to collect, preserve and make accessible new formats of archive	Increasingly records are born digital and must be preserved in a digital format. The NRO is not in a position to fully managed digital records in line with the OAS model.	27/02/2014	3	5	15	3	5	15	• Collaborative project for delivery of digital preservation • Develop staff skills • Continue to develop in-house procedure for handling digital objects	Pilot project in progress	3	3	9	31/03/2017	Amber	Gary Tuson	Gary Tuson	01/04/2017
S	Norfolk Record Office	RM14167	Collection at risk through unexpected events	Provision beyond the council continuity planning needs to be made due to special nature and extent of the NRO collection	27/02/2014	1	5	5	1	5	5	• Disaster / emergency plan training to be rolled out	New starters at Record Office all trained in Emergency Plan procedures This risk needs to be constantly managed and further review and training will be required in 2017/18	1	5	5	31/03/2018	Green	Gary Tuson	Gary Tuson	01/04/2017