



NORFOLK RECORDS COMMITTEE

Date: Friday 27 June 2014
Time: 10.30am
Venue: 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.

Please note:

**After the meeting, there will be a talk from a conservator on;
‘A conservation challenge: the Aylsham Lancaster Court Roll,
1509-46’**

Membership

Mr J W Bracey	Broadland District Council
Mr D Bradford	Substitute: Mr D Buck
Ms D Carlo	Norwich City Council
Mrs A Claussen-Reynolds	Norwich City Council
Michael Chenery of Horsburgh	North Norfolk District Council
	Norfolk County Council
	Substitute: Mr B Iles
Mrs M Wilkinson	Norfolk County Council
	Substitute: Deborah Gilhawi
Dr C J Kemp	South Norfolk District Council
	Substitute: Mr T Blowfield
Mr R Kybird	Breckland District Council
	Substitute: Cllr M Chapman-Allen
Mrs E A Nockolds	King's Lynn and West Norfolk Borough Council
	Great Yarmouth Borough Council
Ms K S Robinson-Payne	Norfolk County Council
Mr P Smyth	Substitute: TBC
	Norwich City Council
Ms V Thomas	

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

Non-Voting Cabinet Member

Mrs M Wilkinson

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

Norfolk County Council
Communities

**For further details and general enquiries about this Agenda
please contact the Committee Officer:**
Nicola Tuck on 01603 223053
or email committees@norfolk.gov.uk

A g e n d a

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

(Page 5)

To confirm the minutes of the meeting of the Norfolk Records Committee held on 1 May 2014.

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

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

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

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

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

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

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

7. **Norfolk Record Office Finance and Risk Report 2013/14**

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Report by the County Archivist

8. **Norfolk Record Office Policy Report**

(Page 16)

Report by the County Archivist

9. Future Meetings

Date	Time	Venue
Friday 28 November 2014	10:30am	The Green Room, Archive Centre

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

Date Agenda Published: 19 June 2014



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Norfolk Records Committee

Minutes of the Meeting held on 1 May 2014

Present:

Norfolk County Council

Michael Chenery of Horsbrugh
Mr P Smyth
Ms D Gihawi

Broadland District Council

Mr J Bracey

King's Lynn and West Norfolk Borough Council

Mrs E Nockolds

Great Yarmouth Borough Council

Mrs Robinson-Payne

Norwich City Council

Mr D Bradford

South Norfolk District Council

Dr C J Kemp

Breckland Council

Mr R Kybird

Non-Voting Members

Co-Opted Member

Mr M Begley
Professor R Wilson

Observer

Dr V Morgan

Representative of the Norfolk Record Society

Dr G A Metters

Representative of the Bishop of Norwich

Revd C Read

Non-Voting Cabinet Member

1. Apologies for Absence

Apologies for absence were received from Ms D Carlo, Mrs A Claussen-Reynolds, and Mr R Ginn.

2 Minutes

- 2.1 The minutes of the meeting held on 3 January 2014 were confirmed as an accurate record of the meeting and signed by the Chairman.

3. Matters of Urgent Business

- 3.1 The Chairman advised that the retirement gift for the previous Principal Archivist, Sue Maddox had collected £130. The Chairman had received a thank you letter from Mrs Mace which indicated that she had used the money to enhance the new printer and scanner that her fellow staff had bought her to aide her research into King's Lynn. The thank you letter was circulated amongst Members.

4. Members to Declare any Interests

- 4.1 No interests were raised.

5. Norfolk Record Office Performance Report 1 October 2013 - 31 March 2014.

5.1 The Performance Report 2013/14 (item 5) by the County Archivist was received. This provided information on the activities of the Norfolk Record Office showing performance against the service plan.

5.2 During the discussion the following points were noted:-

- The number of twitter followers of the Record Office was considered impressive.
- The positive comments received from users were not un-common and the Committee recognised that the staff worked hard to provide high levels of customer service.
- The Record Office had secured deposit of the school log book relating to the Burston School Strike. The log book had been digitised to enable a copy to be available at the Strike Museum.
- The Senior Archivists within the staff structure had changed from specific document type specialisms to specific functional areas of responsibility within the service plan

RESOLVED

5.3

- That the report be noted

6. Norfolk Record Office Finance and Risk Report 2013/14.

6.1 The Finance and Risk Report 2013/14 (item 6) by the County Archivist was received. This provided information on performance against budget and risk for 2013/14 as at 28th February 2014.

6.2 During the discussion the following points were noted:-

- The Norfolk Record Office was predicting a break-even revenue budget outturn.
- The current risk score was calculated by the likelihood multiplied by the impact.
- It was noted that the premises costs were 33% higher than anticipated. This was due to premises costs varying from year to year.

RESOLVED

6.3

- That the report be noted.

7. Norfolk Record Office Service Plan 2014 - 2015

7.1 The Service Plan 2014-2015 for the Norfolk Record Office report (item 7) by the County Archivist was received. This provided details of the Norfolk Record Office Service Plan for the year 2014 to March 2015.

7.2 The County Archivist reported that the Service Plan had been developed after consultation with staff. There were three overarching strands running through the plan; efficiency, audience development and income generation.

7.3 During the ensuing discussion the following points were noted:-

- A definite date had not been arranged for the registrar's service papers to be held within the Record Office, but the County Archivist had been working alongside Caroline Clarke from the Registrars Service to achieve this.
- Modern adoption records would not be held within the Record Office.
- There was an emphasis on developing the parish records into digital format.
- Accreditation from the National Archives is going to be applied for
- Due to the reduction of archivists resources were tighter and needed to be used effectively. Therefore the service plan included the development of a cataloguing priority scheme.

RESOLVED

- 7.4 • That the report be noted

8 Norfolk Record Office Volunteer Policy

- 8.1 The Norfolk Record Office Volunteer Policy report (item 8) by the County Archivist was received. This provided the outlines of the roles and responsibilities of both the Record Office and those who wish to volunteer.

- 8.2 During the discussion the following points were made:-

- The training for each volunteer depended on the role being undertaken, although training could be spread over a period of time.
- Each volunteer role required specific qualities and attributes and these are matched up with the volunteers. A review process was put in place and if needed the volunteer could change roles.
- Little could be done to support the volunteers financially
- There could be the possibility of volunteers working from home but this would depend on the role and would need development in the future. There had been interest from people living abroad to volunteer.

8.3 RESOLVED

- To approve the Volunteer policy.

9. Norfolk Record Office Review of Norfolk Record Office Charges

- 9.1 A review of the Norfolk Record Office Charges (item 9) by the County Archivist was received. This contained a set of revised charges for the Norfolk Record Office.

- 9.2 During the ensuing discussion, the following points were made;

- The charges had been simplified for the benefit of the service users.
- The Record Office would continue to digitalise documents. and was looking into partnerships for online mounting of images.
- The national contract for the school records had been agreed through a competitive tender process.

9.3 RESOLVED

- To approve the charges and implement them from 1 June 2014.

10. Document Purchases, 1 April 2013 – 31 March 2014

- 10.1 The Norfolk Records Office document purchases report (item 10) by the County Archivist was received. This detailed the documents purchased by the Norfolk Records Office during the period 1 April 2013 – 31 March 2014.
- 10.2 During the ensuing discussion, the following points were made;
- The Collection Development role in the new management team structure included responsibility for assessing potential purchases which would then be decided with the County Archivist.
 - **RESOLVED** that the report be noted.
 - **AGREED** the recommendation that future purchases over £500 only would be brought to the Committee.

11. Future Meetings

The dates of future meetings were noted.

Date	Time	Venue
Friday 27 June 2014	10.30am	The Green Room, Archive Centre
Friday 28 November 2014	10.30am	The Green Room, Archive Centre

The meeting concluded at 11:50am.

Dr C. J. Kemp, Chairman of the Committee



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Norfolk Record Office

Finance and Risk Report 2013/14

A report by the County Archivist

Executive Summary

This report provides information on performance against budget and risk for 2013/14 as at 31st March 2014 for the Norfolk Record Office (NRO), and includes a breakdown of the 2014/15 revenue budget. Section 1 covers financial performance, and Section 2 covers risk.

The main issues for consideration by this Committee are:

- As at the end of March 2014, the NRO delivered an underspend of £49k.
- Management of risks for the NRO.

Action Required

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

- Performance with the revenue budget and reserves and provisions for 2013/14.
- Management of risk for 2013/14.

1. Revenue Budget

1.1 Financial Performance 2013/14

- 1.1.1 At the end of 2013/14, the NRO delivered an underspend of £49k. The budget out-turn is summarised in the table below.

Service	Approved budget £m	Forecast 2013/14 Outturn £m	+Over/- Underspend £m	Variance to budget
Salary	0.824	0.775	-0.049	-6%
Employee Related	0.010	0.005	-0.005	-50%
Premises	0.003	0.004	0.001	+33%
Travel	0.004	0.004	0.000	0%
Supplies & Services	0.111	0.164	0.053	+48%
Support Services	0.497	0.465	-0.032	-6%
Capital	0.210	0.210	0.000	0%
Income	-0.167	-0.184	-0.017	-10%
Total	1.492	1.443	-0.049	3%

1.1.4 For 2013/14 revenue budget savings, also agreed within the Big Conversation consultation, amount to £0.065m and come from staffing reductions (£0.045m), archive storage services (£0.010m) and energy savings (£0.010m). These savings have been achieved.

1.1.5 Savings have been delivered on Salaries through management of vacancies, on Support Services through a lower than expected accommodation recharge and generation of additional income. The overspend on Supplies & Services reflects higher archiving materials costs.

1.2 Capital programme

1.2.1 The only expenditure on the Capital programme relates to final costs for the CCTV system upgrade. This is funded from 2012/13 slippage.

1.3 Reserves and Provisions

1.3.1 The table summarising the 2013/14 position appears below.

- The Unspent Grants and Contributions Reserve balance of £0.049m has been reduced by £0.038m for 13/14 contributions for multi-year projects.
- The Residual Insurance reserve was used in the year to support the Manorial Records, Horner Cataloguing, Accessioning and re-cataloguing of Norwich City Records projects. A contribution to the reserve has been made to support digitisation and other income raising activities in 2014/15. To secure the best income from providing digital access in this way will require the NRO to undertake significant work to

prepare existing digital assets, assemble of metadata and undertake in-fill digitization. It will also require some legal support. Therefore, it proposed that £35,000 will be used from the NRO reserves to support this work.

Reserves and Provisions 2013/14	Balances at 01Apr13	Outturn at 31Mar14	Change
	£m	£m	£m
Norfolk Record Office			
Residual Insurance and Lottery Bids	0.370	0.423	+0.053
Unspent Grants & Contributions Reserve	0.046	0.012	-0.034
Service Total	0.416	0.435	+0.019

1.4 2014/15 Revenue Budget

1.4.1 The table below sets out the 2014/15 revenue service budgets for the NRO by category of spend:

Service	Approved budget £m
Salary	0.725
Employee Related	0.003
Premises	0.004
Travel	0.004
Supplies & Services	0.103
Support Services	0.481
Capital	0.096
Income	-0.194
Total	1.221

1.4.2 For 2014/15 revenue budget savings amount to £0.273m and come from Restructuring (£0.070m), Energy Savings (£0.020m), Income Generation (£0.030m), Changed Opening Hours (£0.012m) and Administrative savings (£0.027m). There is also a reduction in Capital related costs of (£0.114m).

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 in January 2014. A summary of the risk register based on the most recent review of 13 March 2014 appears at Appendix A.
- 2.2 The register contains three key risks, two of which are currently assessed as a 'medium' level risk, while one is assessed as 'low'. 5 additional risks have now been identified and are currently being assessed for the likelihood and impact of these occurring.
- 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 one is met.
- 2.4 The impact of the two 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 have to choose between ceasing activities or continuing and incurring an overspend. The service has budgeted for £8k of Grant income in 2013/14. This risk is classed as 'green' and is not expected to occur in 2013/14, and so will have no impact on the revenue position. The risk is mitigated by continuing to apply for external funding and explore income generating opportunities.
 - 2.4.2 For RM13960 'A lack of clarity in roles and responsibilities', could mean that we are not able to access external funding. For 2013/14, the budget for this totals £8k for Grants and £2k for Donations. This risk is classed as 'green' and is not expected to occur in 2013/14, and so will have no impact on the revenue position. The risk is mitigated through the restructuring process that is currently ongoing.

3. Resource implications

- 3.1 The implications for resources including, financial, staff, property and IT, where relevant, are set out in Sections 1 and 2 of this report.

4. Other Implications

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

5. Equality Impact Assessment (EqIA)

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

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

6. Section 17 – Crime and Disorder Act

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

7. Conclusion

7.1 The Norfolk Record Office delivered an underspend of £0.049m for 2013/14.

7.2 The total Reserve balance at the end of 2013/14 was £0.435m.

7.3 The net Revenue budget for 2014/15 is £1.221m

8. Recommendation or Action Required

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

- Performance with the 2013/14 service plans
- Performance with the revenue budget and reserves and provisions for 2013/14.

Officer Contact

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 (Summary)

Risk Register Name		Norfolk Record Office											Red		
Prepared by		Gary Tuson and Stephen Andreassen											High		
Date updated		13 March 2014											Med		
Next update due		31 May 2014											Low		
Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Risk Owner	Date of Review and/or update	
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	3	4	12	2	2	4	31/03/2017	Green	Gary Tuson	25/10/2013	
Norfolk Record Office	RM13960	A lack of clarity in roles and responsibilities	A lack of clarity in roles and responsibilities in our working relationships with other organisations could lead to capacity issues and potential drains on business as usual. This results in negative reputation and knock-on effects in relation to funding.	31/03/2009	2	3	6	2	2	4	31/03/2015	Green	Gary Tuson	25/10/2013	
Norfolk Record Office	RM13963	Long-term staff shortage	Due to our low levels of staff any long term shortage in key areas for whatever reason could lead to premises closure, support service downtime, increased backfill costs and loss of income. This could result in public services being unavailable and would negatively impact on our reputation.	31/03/2009	1	4	4	1	4	4	31/03/2014	Met	Gary Tuson	25/10/2013	
14															

Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Risk Owner	Date of Review and/or update
Norfolk Record Office	TBA	Inability to continue collecting archives	Increased level of accessions reduces available space in strongrooms more quickly than planned	27/02/2014	2	3	6	0	0	0	TBA	TBA	TBA	TBA
Norfolk Record Office	TBA	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	0	0	0	TBA	TBA	TBA	TBA
Norfolk Record Office	TBA	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	27/02/2014	3	5	15	0	0	0	TBA	TBA	TBA	TBA
Norfolk Record Office	TBA	Failure of KLWNDC bid to HLF for Kings Lynn Borough Archives	Conditions in King's Lynn are not suitable for preservation of the important archive housed there. This situation will be rectified if bid to HLF is successful. If	27/02/2014	1	5	5	0	0	0	TBA	TBA	TBA	TBA
Norfolk Record Office	TBA	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	0	0	0	TBA	TBA	TBA	TBA

NORFOLK RECORDS COMMITTEE

27 June 2014

Item no. 8.

Norfolk Record Office Policy Report

A Report by the County Archivist

Executive Summary

This report provides members with information on a review of policy and strategy documents being undertaken by the Norfolk Record Office. It presents:

A framework of NRO policy and related documents and information on their review

Details of three policies:

Access Policy
Collection Care Policy
Record Appraisal Policy

Action Required

The Norfolk Records Committee is asked to note the contents of this report, comment accordingly and approve the adoption of the policies it details.

- 1.1 The Norfolk Record Office provides a service which is broadly defined in its mission statement:

The Norfolk Record Office (NRO) collects and preserves records of historical significance for the county of Norfolk and makes them accessible to as wide a range of people as possible

- 1.2 Below this sit a suite of policy and strategic documents which further detail how the NRO will achieve its mission.

- 2.1 The existing policies of the NRO are now being reviewed and combined into a framework. At the top level of this sit three documents dealing with

- Collection
- Access
- Collection Care

Each of these high level policy documents is then the subject of subsidiary policy and/or strategy documents which detailed narrower areas of the NRO's work. Below this sit another series of documents which deal with specific activities and areas of work.

The Policy Framework Diagram shows how these documents relate to one another. At the bottom level they show some of the related documents which are either in place or will be developed to help the NRO work efficiently and effectively.

3 Equality Impact Assessment (EqIA)

- 3.1 This would not more adversely affect one group than another based on disability, gender, race, religion and belief, and sexual orientation.

4 Section 17 – Crime and Disorder Act

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

5 Recommendation or Action Required

- 5.1 The Norfolk Records Committee is asked to note the contents of this report, comment accordingly and approve the adoption of the policies it details

Officer Contact

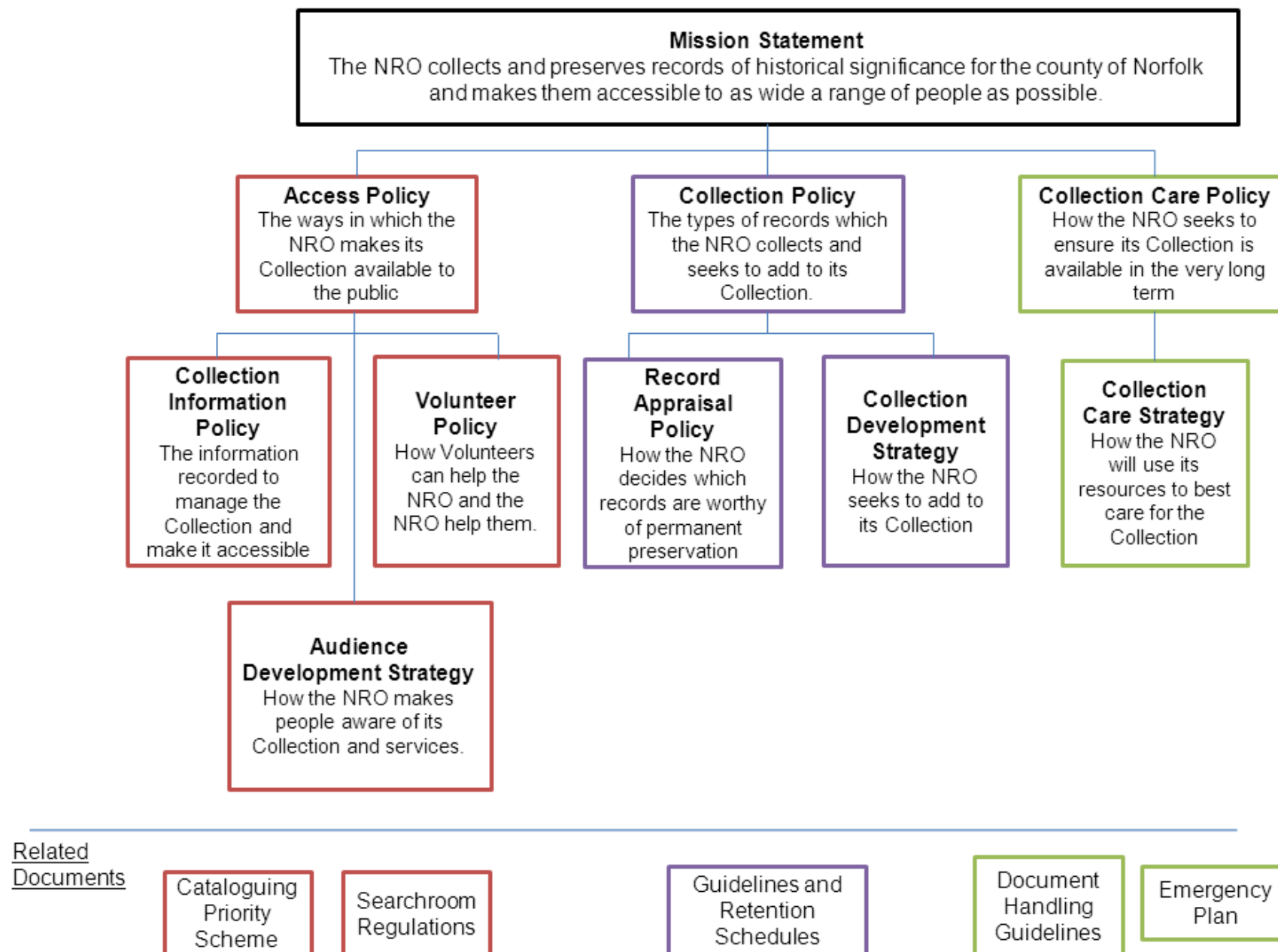
If you have any questions about matters contained in this paper please get in touch with:

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Appendix 1: Norfolk Record Office Policy Framework



ACCESS POLICY

- 1 The Norfolk Record Office (NRO) collects and preserves archives relating to Norfolk and makes them accessible to a wide range of people. This policy deals with the final element of this mission – ‘making them accessible to as wide range of people as possible.’ In the context of this policy access covers:
 - 1.1 • Direct use of the Collection
 - 1.2 • Information about the Collection
 - 1.3 • Development of skills and learning relating to archives
 - 1.4 • Raising awareness of the Collection and the services of the NRO

Searchroom Access

- 2 The NRO provides onsite public access in three locations:
 - 2.1 • The Archive Centre, Martineau Lane, Norwich
 - 2.2 • The Norfolk Heritage Centre in the Millennium Library, Norwich
 - 2.3 • The King's Lynn Borough Archive in the Town Hall, King's Lynn
- 3 The NRO aims to help people get the best from their visit. An important element in achieving this is the provision of guidance to visitors. This will, within the availability of resources, be provided free of charge. Where in-depth support is required this may incur a charge.
- 4 The NRO will provide access to documents and surrogates at these locations free of charge. Visitors will be required to provide proof of identity and to register as users. Original documents will only be produced in the searchroom of the building in which they are stored.
- 5 The NRO aims to retrieve documents from the strongrooms within 30 minutes of the advertised order times. However, whilst every effort will be made to produce documents in a timely fashion, the needs of preservation, tracking and security may slow down the rate at which documents can be issued to users.
- 6 Document copying services will be provided by the NRO subject to copyright legislation. These will include the ability to purchase licences for self-service photography. In all cases the preservation needs of the documents will determine the appropriate way in which copies can be taken.
- 7 In order to increase accessibility to documents in poor condition a conservator may be asked to take remedial action or to assist in making the documents viewable. Where this is practically achievable users may need to arrange a separate date to view the documents.

Remote Access

- 8 The NRO will provide access to information on what it holds via its online catalogue free of charge. It will also provide information on what records it holds by telephone, post and other electronic media. Responses will be provided within the timeframes laid out in the NCC Standards of Service.
- 9 Enquiries which require the extraction of information from the Collection will be provided within the paid remote access services. This will include a search and a reprographic service.

Learning and Educational Activities

- 10 Archives have enormous potential to support learning for people of all ages. The NRO recognises the importance of this and aims to realise this in a number of ways by providing:
- 10.1 • Archive activities, events and course aimed at children and families.
 - 10.2 • Workshops, classes and lectures aimed at adult learners
 - 10.3 • Displays and exhibitions
 - 10.4 • Volunteering opportunities
- 11 Some of these will be provided off-site, however, the emphasis will be placed on encouraging people to visit the NRO and use its Collection. There will be a charge for some these activities.

Audience Development

- 12 In order to raise awareness of the Collection and the services the NRO provides, the NRO will engage in promotional activities. A strategy will be in place to guide this work and measure the impact of various activities.

Limitations on Access

- 13 **Preservation:** To ensure that the Collection is available for future generations, access needs to be provided in a sustainable way. Therefore, the needs of access must be balanced against the needs of preservation as detailed in the NRO Collection Care Policy.
- 14 **Restricted Access Periods:** The NRO operates within a legislative framework which includes the Data Protection Act. This will apply to some of the records it holds. The NRO will make information on these restricted access periods available through its website and catalogue.

Consultation

- 15 To assist in ensuring the NRO is responsive to user needs and reacts to any problems a system for recording user feedback will be in place.

COLLECTION CARE POLICY

1 This Collection Care policy provides details of how the Norfolk Record Office will care for its Collection, both actively and passively, so that it can continue to make it accessible to the public.

2 The NRO recognises that to be effective a strategic approach to collection care is essential. A preservation strategy and conservation plan will be in place and will be reviewed on a regular basis.

Definitions

3 Conservation: The active intervention to repair and stabilise documents which have been damaged.

4 Preservation: Measures taken to minimise the deterioration or loss of records

5 Digital Preservation: The measures taken to ensure continued accessibility to digital records.

Conservation

5 NRO recognises that at times the only way of making archives accessible is through conservation. This requires treatments to be carried out by professional conservators. All conservation work will be carried out to the standards specified in BS4971 Parts 1 and 2 (Repair and allied processes for the conservation of documents) and the European Confederation of Conservators Organisations guidelines.

6 Work will be prioritised and planned as part of service planning taking into account such factors as the needs of users, likelihood of further deterioration and resource requirements.

7 Simple conservation treatments may also be carried out on an ad hoc basis to improve the accessibility of the Collection.

Preservation

8 NRO recognises that preservation is an important and effective means of slowing the deterioration of archives to a minimum.

Storage

9 Facilities for archival storage will meet PD5454: 2012 (Guide to the storage and exhibition of archival materials). In line with this:

- 9.1 • Temperature and relative humidity will be constantly monitored and adjustments made as required
- 9.2 • Records selected for permanent preservation will be cleaned and packaged in suitable archival quality materials before being placed in permanent storage
- 9.3 • All documents will be stored in secure areas with non-staff access to

repositories supervised

- 9.4
- A continuing programme of packaging, repackaging and cleaning of the Collection will be in place

Document Use and Handling

- 10 Documents are in greatest danger when they are in use. Correct handling techniques, tracking and security measures are essential to prevent damage and loss.
- 11 NRO will ensure that
- 11.1
- All members of staff and volunteers are trained in document handling techniques
- 11.2
- Researchers are provided with information and advice on the correct way to handle documents
- 11.3
- Suitable equipment, such as document sofas, weights and protective coverings are used in the searchrooms
- 11.4
- Documents which, if handled, would deteriorate are declared unfit for production. This information will be fed into the conservation plan.
- 11.5
- A system is in place for recording document usage by staff and public
- 11.6
- Security measures are in place to prevent the theft of documents
- 11.7
- For sound recording and documents subject to heavy use surrogate copies will be provided for use in place of the originals
- 11.8
- Documents are consulted under staff supervision at all times and never left unattended in non-secure areas.

Copying

- 21 Copies of documents will not be taken where there is a risk of damage to the original documents. In line with this, archival books will not be copied on a flatbed scanner or photocopiers and flash photograph will not be permitted. Sound recordings will be copied according to the relevant IASA (International Association of Sound and Audiovisual Archives) guidelines.

Exhibitions and Loans

- 13 Only surrogate copies of documents will be used for exhibitions unless the facilities for their display are in line with the requirements of PD5454:2013.
- 14 When documents are temporarily withdrawn, guidance will be provided on display, storage and security.

Emergency Planning

- 15 An emergency plan will be in place which will provide information on appropriate responses to different types of emergency. All staff will be aware of this plan and adequately trained in its implementation.

Digital Preservation

- 16 The NRO collects records in all formats including digital archives. It will have a strategy in place compliant with the OAIS (Open Archive Information System) which will ensure continued access to these records.

RECORD APPRAISAL POLICY

Introduction

- 1 Norfolk Record Office collects and preserves archives of historical significance for the county of Norfolk and makes them accessible to as wide a range of people as possible in a sustainable way.
- 2 Considerable resources are spent on the preservation of archives and it is essential that these finite resources are directed effectively. This means that only those records which have enduring value will be selected for permanent preservation as archives.
- 3 Selection for preservation is a difficult but central professional duty of Norfolk Record Office. If records of limited evidential value are selected it puts future preservation of important documents at risk.

Criteria for Selection

- 4 Records are selected for preservation because of:
 - 4.1
 - Primary Value: Those records which provide the most complete and concise documentation of significant functions and activities of their creator.
 - 4.2
 - Secondary Value: Either because of their informational research value or their cultural significance largely based upon historical associations.
- 5 The emphasis of appraisal will be on justifying decisions to keep, not on justifying decisions to destroy.
- 6 Primary Value will largely be assessed through macro-appraisal. Whilst some series will be retained in their entirety other series will be the subject of selective, structured or random sampling. To maximise the opportunities for record linkages, where appropriate, sampling will take into account census years or other significant classes of record.
- 7 Secondary Value, especially where a backlog of appraisal exists, will be dealt with largely by micro-appraisal aimed at file level. Only in exceptional circumstances will appraisal be carried out at a level lower than this.

Procedures for Appraisal

- 8 Archive appraisal will be carried out by archivists or under the supervision of an archivist.
- 9 All material which has not been selected for permanent preservation will be disposed of appropriately. This may involve it being offered back to the depositor or being disposed of as confidential waste.

- 10 New accessions will be appraised at source or upon receipt whenever possible.

Primary Value

- 11 The aim of selection based on primary value is to preserve a record of the significant activities of the creating body. This will include records relating to policy, administration and finance. The creating body may be an organisation, a family or an individual.
- 12 Emphasis will be on the selection of records which contain concise and/or summary information. Examples of this are:
- 12.1 School Records: Admission registers will be selected for preservation but not attendance registers. For schools where there are no admission registers a sample of attendance registers may be taken.
- 12.2 Financial Records: Annual accounts will be preserved but lower level financial records will be subject to further analysis prior to a decision to retain being made. A sample of these accounts may be made if they significantly add to an understanding of the activities of the organisation and its role within the community.
- 13 The condition of records and the ease with which significant information can be extracted from them will be taken into account in selection.

Definitions of Secondary Value

- 14 It is not possible to provide a comprehensive list of all criteria which might be applied for the assessment of secondary value. However, the list below provides some of the main examples. Records will be retained where they:
- 14.1
 - Containing significant information on notable events and people
- 14.2
 - That relate to trends and developments in the political, legal, social, economic or cultural history
- 14.3
 - That relate to scientific, technological, ecological or medical developments
- 15 Records will not be preserved which are:
- 15.1
 - Duplicates
- 15.2
 - Ephemera of no intrinsic value
- 15.3
 - Material preserved elsewhere by the appropriate body (For example Home Office circulars will be held by the National Archives)