

NORFOLK RECORDS COMMITTEE

Date: Friday, 05 July 2019
Time: 10:30am
Venue: Green Room, Archive Centre, County Hall, Norwich

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

Membership

Cllr Sally Button		Norwich City Council
Cllr Alan Waters		Norwich City Council
Cllr Grant Nurden	<i>Substitute: Cllr David King</i>	Broadland District Council
Cllr Nigel Utton		Norwich City Council
Cllr Michael Chenery of Horsburgh	<i>Substitute: Cllr Brian Iles</i>	Norfolk County Council
Cllr Trevor Wainwright		Great Yarmouth Borough Council
Cllr Phillip Duigan	<i>Substitute: Cllr Brian Iles</i>	Norfolk County Council
Cllr Virginia Gay		North Norfolk District Council
Cllr Barry Duffin	<i>Substitute: Cllr Libby Glover</i>	South Norfolk District Council
Cllr Robert Kybird		Breckland District Council
Cllr Elizabeth Nockolds		King's Lynn & West Norfolk Borough Council
Cllr David Rowntree	<i>Substitute: Cllr Mike Sands</i>	Norfolk County Council

Non-Voting Members

Mr Michael Begley	Co-opted Member
Sir Richard Jewson	<i>Custos Rotulorum</i>
Dr G. Alan Metters	Representative of the Norfolk Record Society
Dr Victor Morgan	Observer
Prof. Carole Rawcliffe	Co-Opted Member
Revd. Charles Read	Representative of the Bishop of Norwich
Mr Alan Steynor	Co-opted Member

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

Hollie Adams on 01603 223 029
or email committees@norfolk.gov.uk

Under the Council's protocol on the use of media equipment at meetings held in public, this meeting may be filmed, recorded or photographed. Anyone who wishes to do so must inform the Chairman and ensure that it is done in a manner clearly visible to anyone present. The wishes of any individual not to be recorded or filmed must be appropriately respected.

A g e n d a

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

2. Election of Chairman

To elect a Chairman for the municipal year 2019-20

3. Election of Vice-Chairman

To elect a Vice-Chairman for the municipal year 2019-20

4. Minutes

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To confirm the minutes of the meeting of the Norfolk Records Committee held on Friday 5 April 2019

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.

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

7. Norfolk Record Office: A Briefing (Presentation)

7.1 Presentation by the County Archivist

8. Finance and risk

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8.1 A report by the Assistant Director, Culture and Heritage

9. Future Meetings:

Date	Time	Venue
08 November 2019	10.30	Green Room, NRO, Archive Centre
07 February 2020	10.30	Green Room, NRO, Archive Centre
03 April 2020	10.30	Green Room, NRO, Archive Centre

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

Date Agenda Published: 27 June 2019



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Norfolk Records Committee

Minutes of the Meeting held at the Norfolk Records Office on 05 April 2019 at the Archive Centre, County Hall

Present:

Norfolk County Council

Cllr P Duigan (Vice-Chairman)

Norwich City Council

Cllr D Bradford

Broadland District Council

Cllr D Buck

South Norfolk District Council

Dr C J Kemp (Chairman)

Borough Council of King's Lynn and West Norfolk

Cllr E A Nockolds

Breckland Council

Cllr R Kybird

Non-Voting Members

Co-Opted Members

Prof. C Rawcliffe

Representative of the Norwich Record Society

Dr G A Metters

Observer

Dr V Morgan

Others Present

Mr G Tuson, the County Archivist

Ms Catherine Collins; trainee

1. Welcome and Introduction

- 1.1 The Chairman welcomed Catherine Collins, a digital skills trainee, to the meeting; as part of her training Ms Collins was looking at how stakeholders contributed to the work of the Norfolk Record Office and as such was observing the meeting.
- 1.2.1 This was the last meeting of Cllr David Bradford and Cllr Danny Buck as they were not standing for re-election in the upcoming District Council Elections; the Chairman thanked them for their work as Members of the Committee over the years.
- 1.2.2 David Bradford thanked the Chairman and said he had enjoyed being a member on the Norfolk Records Committee.
- 1.3 It was pointed out that the Agenda should now read "Sir Richard Jewson"; Cllr Bradford noted that he had obtained an MBE for services to organisations over his years working in the sector.

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

- 2.1 Apologies were received from Mr M Begley, Mr A Steynor, Cllr R Hanton, Sir Richard Jewson, Cllr D Rowntree, Cllr Claussen-Reynolds and Cllr M Coleman, Revd Read. Also absent were Cllr S Button and Cllr Brociek-Coulton,

3. Minutes

- 3.1 The minutes of the meeting held on the 11 January 2019 were agreed as an accurate record and signed by the Chairman.

4. Declarations of Interest

- 4.1 There were no interests declared

5. Items of Urgent Business

- 5.1 There were no items of urgent business discussed

6. Financial Report

- 6.1.1 The Committee received the report outlining the forecast financial out-turn for the Norfolk Record Office (NRO) for 2018/19, the NRO revenue budget for 2018/19, reserves and provisions, an update on the service risk register and proposals relating to the Committee to help manage future budget challenges for Norfolk County Council

- 6.1.2 The County Archivist introduced the report:
- Some of the underspend reported on staff and supplies was due to funding from grants not yet having been spent
 - An expenditure of -£18,000 was seen at the beginning of the financial year, 2019
 - Processes were being developed to ensure archives could continue to be collected moving forward
 - Norfolk County Council had business continuity plans in place, however, the Norfolk Record Office also had plans which covered the recovery of documents in the case of a disaster

- 6.2 The following points were discussed and noted:
- There were around 840,000 records held in the CALM system; to mitigate against long-term risk of data loss, data was being cleansed and improved ready for export to a new system. This would also create back-end access to the data

- 6.3 The Committee **CONSIDERED** and **NOTED** the position on:
- Forecast position of the revenue budget, reserves and provisions for 2018/19
 - Management of risk for 2018/19

7. Service Plan 2019-2020

- 7.1.1 The Committee discussed the report providing details of the Norfolk Record Office (NRO) Service Plan for April 2019 to March 2020 outlining goals for the coming year 2019-20.

- 7.1.2 The County Archivist introduced the report
- The target for educational activities had been reduced slightly due to the impact of the recent reduction in service on the education and outreach team
 - Work was underway to fund educational activities in different ways such as through grants obtained by NORAH
 - Around £70,000 income would be generated from the copy birth, death and marriage certificate service

- 30m³ of space had been the target over the past years; as space was becoming harder to find, the target had been halved
- Storage options would be appraised to come up with options for future storage of documents

7.2 The following points were discussed and noted:

- There were around 26 NORAH (Norfolk Archives and Heritage Development Foundation) supporters and plans were in place to increase this
- The “delivery of 100 activities” covered the service as a whole and therefore included the King’s Lynn Archive
- There was a set, statutory fee for copy birth, death and marriage certificates; the 15-working-day service cost £11 and the priority, next day service was £35. Most applications were received for legal rather than family history reasons
- The copy certificates service did not generally lead to access of other parts of the Record Office as most applications were received through remote access; access to the building by Members of the public for registrar services increased leaflet pick-up
- Working with registrars for transfer of records had been very positive and resulted in efficiency savings for the County
- ‘Such Facts as Seem to Throw Light Upon Each Other’ Conserving the Papers of Dr Richard Bright project was on target and the second stage application had been sent in to seek funding for completion of the conservation and an archivist to complete cataloguing
- A discussion was held about providing information to District Councils for new Councillors’ induction to raise awareness of the service; it was suggested that raising awareness in the wider public would also be useful to increase support for the work of the Norfolk Record Office
- It was suggested that the television programme “Who Do You Think You Are” could be a way to generate interest in the Record Office
- A joint approach for new Members across both the Museums and Records Committee was suggested as beneficial
- It was noted that Members would find it beneficial to know what percentage of King’s Lynn records were housed in the Norwich Archive
- The County Archivist suggested hosting induction / information sessions for new councillors at the Norfolk Record Office would be most beneficial and **agreed** to set something up
- The Vice-Chairman suggested that sending new Members a link to the NRO blog, or a behind the scenes video, might raise interest about the Record Office’s work
- The County Archivist **agreed** to provide an organisational chart in future reports

7.3 The Committee **CONSIDERED** the Service Plan, and **APPROVED** its adoption for the coming year (2019-20)

8. Performance Report; 1 October 2018 – 25 March 2019

8.1.1 The Committee considered the report giving information on work carried out by the Norfolk Record Office (NRO) over the last six months including educational activities, volunteer work, collection development, conservation and public access.

8.1.2 The County Archivist introduced the report

- The report covered slightly less than a 6-month period due to timing of the meeting
- Written enquiries had been increasing due to an increase in people using the

online enquiry service

- Klucel was a thickening agent used by conservators when treating documents

8.2 The following points were discussed and noted:

- A discussion was held about sending information on the Record Office's work out to local papers to raise awareness more widely across the County
- In the long term, the catalogue of the Norfolk and Norwich Archaeological Society library may be included in the NRO catalogue
- "Adopt an object" was an approach which may be looked at as part of the fundraising strategy in the future
- Selling Christmas cards had not raised much revenue in the past; it was suggested that this could be outsourced to a card company to provide a higher revenue
- It was noted that parish registers were accessible via the three main family history websites; ancestry.co.uk, findmypast.co.uk and thegenealogist.co.uk; it was suggested that this information should be more widely advertised. The County Archivist reported that after migration of data onto the new online catalogue, there would be flexibility to update the data to indicate this
- The accession of papers of the former Committee Member Raymond Frostick was noted


8.3 The Committee **CONSIDERED** and **NOTED** performance against the 2018/19 service plan

Future Meetings:

Date	Time	Venue
5 July 2019	10:30	Green Room, Norfolk Record Office, Archive Centre, County Hall
8 November 2019	10:30	Green Room, Norfolk Record Office, Archive Centre, County Hall
7 February 2020	10:30	Green Room, Norfolk Record Office, Archive Centre, County Hall

The meeting ended at: 11.41

**Christopher Kemp,
Chairman of the Committee**

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Norfolk Records Committee

Item No. 8

Report title:	Finance and Risk
Date of meeting:	5 July 2019
Responsible Officer:	Steve Miller – Assistant Director, Culture and Heritage
Strategic impact This report provides information on the final out-turn position for 2018/19 and an overview on the forecast year end position for the Norfolk Records Committee for 2019/20.	

Executive summary

This report covers the financial out-turn for the Norfolk Record Office (NRO) for 2018/19. Section 1 covers the NRO revenue budget for 2019/20, capital programme and 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, capital programme and Reserves and Provisions indicates that the service is forecasting a balanced position.
- Progress with risk management for NRO.

Recommendations:

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

- **Forecast position of the revenue budget, capital programme, reserves and provisions**
- **Management of risk for 2019/20**

1. Revenue Budget

1.1. Financial Performance 2018/19

1.1.1 The final out-turn position for 2018/19 was, as forecast, a balanced budget. This is summarized in the table below.

Service	Current budget £	2018/19 Outturn £	+Over/- Underspend £
Salary	965,480	908,335	(57,145)
Premises	3,810	4,097	287
Travel	7,020	3,341	(3,679)
Supplies & Services	78,190	20,963	(57,227)
Support Services	1,070	2,383	1,313

Capital	272,090	272,092	0
Income	(472,500)	(356,050)	116,450
Total	855,160	855,160	0

- 1.1.3 The budget for 2019/20 is £799,520. And is summarised in the table below. We are at the very early stages of the year and we are currently forecasting a balanced position

Service	Current budget £	2019/20 forecast Outturn £	Forecast +Over/- Underspend £
Salary	858,460	897,363	38,902
Premises	3,870	5,778	1,908
Travel	2,240	3,600	1,360
Supplies & Services	47,770	51,552	3,782
Support Services	1,090	1,450	360
Capital	271,990	271,990	0
Income	(385,900)	(432,517)	(46,617)
Total	799,520	799,264	(256)

1.2 Capital programme

- 1.2.1 At the full council meeting in February 2019 Norfolk County Council approved £75,000 of capital funding for the Metadata Migration Management project. This project will allow the NRO to provide the information on its Collection in a way which meets growing user expectations. As well as quantity and quality of data the NRO needs to move towards an authority file, linked data approach to its catalogues. Traditionally, archivists have catalogued records and then created indexes to help locate catalogues. To meet the needs of future users, archivists need to take a more structured approach in effect creating catalogues featuring an assembly of controlled linked data terms.

1.3 Reserves and Provisions

- 1.3.1 The table summarising the position appears below.

Reserves and Provisions	Balances at 01Apr 19	Forecast Balance at 31 Mar 20	Planned Change
	£	£	£
Norfolk Record Office			
Residual Insurance and Lottery Bids	153,584	128,315	(25,269)
Unspent Grants & Contributions Reserve	3,857	3,857	
Service Total	157,441	132,315	(25,269)

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 reviews appears at Appendix A.
- 2.2. The register contains six key risks, three 'high' level, two of which are currently assessed as a 'medium' level risk, while one is assessed as 'low'.
- 2.3. All risks are being well managed. One of the risks is assessed as being met and is shown as green whilst another is shown as 'Green – on schedule' progress towards achieving target risk score, 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 2019/20 aimed at maintaining levels of income. The risk is mitigated by continuing to apply for external funding and explore income generating opportunities
 - 2.4.2 For RM13963 'Inability to continue collecting archives', an increased level of accessions would reduce the available space more quickly than planned. Additional space is being created to reduce this risk, but this work will not provide a long-term solution to the space issue. The 2019-20 Service Plan includes provision for carrying out an options appraisal on storage needs. The risk is classified as Green as it will not have an impact on the financial position in the coming year and so will have no impact on the revenue position.
 - 2.4.3 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 and the benefits of using archives not be realised. This is mitigated through entering into commercial partnerships to improve access and planning for access to digital images in search room. This risk is classed as 'green' and is not expected to occur in 2019-20, and so will have no

impact on the revenue position.

- 2.4.4 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 taking action to ensure the infrastructure and skills are in place.
- 2.4.5 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, are trained. New staff are included in training plans for 2019-20. This risk is classed as 'met' but will continue to be reviewed.
- 2.4.6 For RM14291. 'Long-term sustainability of metadata'. The NRO relies on a large set of metadata, which is used as a gateway to the Collection (the catalogue of over 700,000 records) and for managing the collection (accession records and location data). Some of this data is irreplaceable. Where it could be recreated, the cost would be millions of pounds. The NRO needs to ensure that this data is sustainable in the long-term and, when necessary, can be migrated to other systems. The metadata is in the process of being migrated to meet this risk.

3. Issues, risks and innovation

- 3.1. 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.

4. Background

- 4.1. There are no other documents to refer to.

Officer Contact

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

Officer name : Andrew Skiggs, Finance Business Partner **Tel No. :** 01603 223144

Email address : andrew.skiggs@norfolk.gov.uk

Officer name : Gary Tuson, County Archivist **Tel No. :** 01603 222003

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



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Norfolk Records Office Risk Register - Norfolk County Council
Appendix A

Risk Register Name			Norfolk Records Office Risk Register																Red			
Prepared by			Gary Tuson																Amber			
Date updated			March 2019																Green			
Next update due			September 2019																Met			
CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original 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 Additional material for licencing ready for issue	2	3	6	31/03/2020	Amber	Gary Tuson	Gary Tuson	01/10/2018	
S	Norfolk Record Office	RM13963	Inability to continue collecting archives	The NRO was designed to accommodate 15 years of expansions space starting from 2003. There has also been an increased level of accessions. Actions have been taken to make storage more efficient but this is not a long term solution.	27/02/2014	2	3	6	3	3	9	Service plan for 2019-20 includes: I. Creation of 15m ³ of stoarge space II Undertaking storage options appraisal	Additional storage space targets have been met since 2014	3	2	6	31/03/2020	Green	Gary Tuson	Gary Tuson	01/10/2018	
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		Planning for access to digital images in searchroom under way Project to enhance metadata under way	2	3	6	31/03/2020	Green	Gary Tuson	Gary Tuson	01/10/2018	
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	4	5	20	3	5	15	• Develop staff skills • Continue to develop in-house procedure for handling digital objects	Tools for digital preservation have been evaluated Environment for local hosting of tools being prepared	2	5	10	31/03/2020	Amber	Gary Tuson	Gary Tuson	01/10/2018	
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. Further review and training will be required in 2019/20	1	5	5	31/03/2020	Green	Gary Tuson	Gary Tuson	01/10/2018	
S	Norfolk Record Office	RM14291	Long Term Sustainability of Metadata	NRO is not able to maintain long-term accessibility and functionality of its own metadata. Evidential value of archives would be damaged. Recreation of metadata would cost millions of pounds.	13/06/2017	4	5	20	3	5	15	Project to migrate metadata has now started	Migration work is under way	1	5	5	31/03/2020	Amber	Gary Tuson	Gary Tuson	01/10/2018	