

Staffordshire and Stoke-on-Trent Joint Archives Committee

Thursday, 17 June 2010

2.00 pm

Twyford Room, Gladstone Pottery Museum, Stoke-on-Trent

John Tradewell
Director of Law and Governance
9 June 2010

A G E N D A

1. Appointment of Chairman and Vice-Chairman

The standing order for the Joint Committee state that: -

“At its annual meeting the Joint Committee shall elect until the date fixed for the next following annual meeting a Chairman and Vice-Chairman from amongst its members (on a rotating basis alternatively between the two Council’s) but so that the Chairman and Vice-Chairman shall not be representatives of the same Council”.

At the Joint Committee meeting on 3 August 2009, Mr. B. Adams was appointed Chairman and Ms. H. Lyth was appointed Vice-Chairman up to the annual meeting of the Joint Committee in 2010.

2. Apologies

3. Declarations of Interest in accordance with Standing Order 16.5

4. Minutes of the meeting held on 16 March 2010 (Pages 1 - 8)

5. Staffordshire and Stoke-on-Trent Archive Service: Annual Report 2009/10 (Pages 9 - 12)

Joint report of the Director of Communities and the Chief Executive’s Office and the Director of Adult Social Care, Health and Communities.

6. Annual Corporate Governance Statement and 2009/10 Statement of Accounts and Financial Outturn (Pages 13 - 36)

Joint report of the Director of Finance and the City Director of Central Services

7. **Audit Requirements** (Pages 37 - 48)

Joint report of the Director of Finance and the City Director of Central Services

8. **Digital Archive Collections: Preservation and Access** (Pages 49 - 52)

Joint report of the Director of Communities and the Chief Executive's Office and the Director of Adult Social Care, Health and Communities.

9. **Date of next meeting - 22 November 2010 (Stafford)**

10. **Exclusion of the public**

The Chairman to move:-

"That the public be excluded from the meeting for the following items of business which involve the likely disclosure of exempt information as defined in the paragraphs of Part 1 of Schedule 12A (as amended) of the Local Government Act 1972 indicated below".

PART TWO

(All reports in this section are on pink paper)

Membership

Ben Adams (Chairman)	Kath Perry
Hazel Lyth (Vice-Chairman)	Liz Staples
Ian Parry	

MINUTES

Staffordshire and Stoke-on-Trent Joint Archives Committee Meeting – 16 March 2010

Present: Ben Adams (Chairman), Derek Capey, Ian Parry and Kath Perry

Apologies for absence: Hazel Lyth

PART ONE

8. Declarations of Interest in accordance with Standing Order 16.5

No declarations at this meeting.

9. Minutes of the meeting held on 3 August 2009

RESOLVED – (a) As agreed at the meeting on 3 August 2009 the City Council nominated Mr. Derek Capey as a substitute member to represent the City Council in the event that Ms. Lyth was unavailable. Mr. Capey was welcomed to the meeting.

(b) That the minutes of the meeting held on 3 August 2009 be confirmed and signed by the Chairman.

10. Annual Implementation Plan, 2009-2010: Predicted Outturn Performance (Schedule 1)

The Committee considered the joint report of the Director of Communities and the Chief Executive's Office and the Director of Audit Social Care, Health and Communities on the predicted outturn against the targets in the Joint Archive Service's Annual Implementation Plan for 2009/10.

The Annual Implementation Plan sets the annual targets for the Joint Archive Service. These targets work towards the overall achievement of the Archive Service's three- year service objectives, which were approved by the Joint Archives Committee and set out in the current Forward Plan, 2009-2012. Members noted that the Archive Service had made good progress against its targets.

The Archive Service was now required to submit its annual Implementation Plan and to report on performance against it as part of The National Archives (TNA) Assessment. Performance against the plan was scored accordingly by TNA.

The year 2008-2010 had seen good progress against the individual targets set in the Archive Service Implementation Plan and positive performance in all areas of activity. The Committee noted the Implementation Plan was on target to be completed with no major shortfalls. They also noted the following main areas of good performance for 2009/10 arranged under the current service objectives for 2009 to 2012 included: (a) to put the customer at the heart of service delivery; (b) to build upon our innovative online presence; (c) to engage with Staffordshire's communities to strengthen their sense of identity and place; (d) to engage people of all ages in activities which celebrate and discover Staffordshire's history; (e) maintain and improve service efficiency, impact and

quality; (f) to improve and promote user access to collections; and (g) deliver high quality care of collections.

Members noted the take-up by schools for out of school study sessions had been disappointing and this was due to schools having to buy in cover for these types of activities. They also noted that the Annual Archive Day School, Towards a City (which had been cancelled owing to unforeseen circumstances) would be rearranged for later in the year.

RESOLVED: That the report be received as a record of the predicted performance of the Joint Archive Service for the year ended 31 March 2010.

11. Predicted Outturn 2009/10 and Proposed Revenue Budget 2010/11 (Schedule 2)

The Committee considered a joint report of the Chief Finance Officer and the City Director of Finance detailing the current predicted outturn for the Joint Archive Service and to consider the budget position for 2010/11.

Members noted that the latest revenue outturn forecast showed an overspend of £2,931 at the end of the financial year. The current balance on the General Reserve was £134,036 of which £51,300 had already been earmarked for increased security at Northfields and Lichfield, alterations/environmental controls at Stoke and microfilming of electoral registers. They also noted that approval was sought to earmark up to £5,000 to support adaptations to accommodation at Lichfield Record Office to facilitate archive service public learning events in Lichfield District, volunteer working and training. In total the Committee were asked to agree earmarking of up to £56,300 towards the following:

Security improvements at Northfields outstore	£800
Fire precautions at Northfield	£8,000
Alterations/environmental controls at Stoke	£30,000
Increased security at Lichfield	£4,500
Microfilming of Staffordshire electoral registers	£8,000
Adaptations to accommodation at Lichfield Record Office	£5,000

They noted that approval was sought to earmark a sum of up to £50,000 to support adaptations to a proposed new out-storage for the Archive Service which was currently under consideration. It was also noted that the total sum of £8,800 earmarked for improvements at Northfield may not be required owing to the possible relocation of the Archive Service from this site.

The Archive Acquisition Reserve had a balance of £61,796 towards the purchase of new collections. The proposed revenue budget for 2010/11 of £1,156,550 would be funded by the County Council (77.54%) and the City Council (22.46%). These percentages reflect the respective population levels of the two authorities at June 2008.

RESOLVED – (a) That the report be received.

(b) That the sum of £56,300 be earmarked from the General Reserves for; security improvements and separate adaptations at Lichfield and the Northfield outstore;

upgrading fire precautions at Northfield; alterations/environmental controls at Stoke; and the continuation of the microfilming programme for Staffordshire electoral registers.

(c) That approval be given in principle to the request to earmark a sum up to £50,000 from General Reserves, to support adaptations to a proposed new out-storage facility for the Archive Service, should this sum be required and that the Head of Archive Services consult with the Chairman and Vice-Chairman of the Committee in this event .

(d) That the revenue budget proposed for 2010/11 be approved and submitted to the County Council and the City Council for consideration.

12. Review of Fees and Charges, 2010/11 (Schedule 3)

The Committee considered a joint report of the Director of Communities and the Chief Executive's Office and the Director of Audit Social Care, Health and Communities for the proposed amendments to the scale of fees and charges to be applied by the Joint Archive Service with effect from 1 May 2010.

The Committee noted that the Archive Service was free at the point of personal use by members of the public visiting its reading rooms. Fees and charges were levied for a variety of additional services which customers choose to use or to buy. The Service uses the income to support its budget and, where possible, any surplus income was re-invested in service improvements.

At its meeting on 23 February 2009, the Joint Committee approved increases in fees and charges to a wide range of services provided by the Archive Service to apply from 1 April 2009. The new level of fees was proposed following a comprehensive review.

In view of the major changes introduced in April 2009 and the relatively low rate of inflation, only limited increases to a few services were proposed for the financial year 2010/2011. The Committee noted the scale of new fees and charges proposed to apply from 1 May 2010 and were informed that they were comparable with other local Archives Services.

RESOLVED – That the fees and charges detailed in Appendix 1 of Schedule 3 to the signed minutes be approved for introduction by the Joint Archive Service for 1 May 2010.

13. Archive Service Buildings (Schedule 4)

The Committee considered a joint report the Director of Communities and the Chief Executive's Office and the Director of Audit Social Care, Health and Communities presenting an overview of the compliance and performance of the buildings used by the Joint Archive Service.

The Joint Archive Service was a multi-repository service consisting of the Staffordshire County Record Office at Stafford, the Lichfield Record Office at Lichfield Library and Stoke-on-Trent City Archives, based in the City Central Library in Hanley. The Archive Service buildings were owned either by the County Council or the City Council. In addition, the Service leases an archive out-store in Stafford from another County Council directorate.

Archive buildings were required to meet national standards in respect of: the quality of storage for archive collections, including designated Public Records; the provision of accommodation for the public consultation of archive collections; and accommodation to enable staff to carry out the various functions associated with archive work. As such, the buildings were regularly assessed and inspected by The National Archives (TNA).

In the most recent assessment of local authority archive services, carried out by TNA in 2008, the Joint Archive Service was judged to be a four-star service. This makes it one of the leading local authority archive services in England and Wales and in the top ten archive services out of 124 assessed.

Of the five functional areas assessed, the least well-performing area for the Service was in buildings and environment, which was rated as three-star. The Committee noted the detailed update report about the Archive Service's buildings requested as a result of the assessment.

The Committee noted that the Archive Service had developed a business case to establish a digital archive repository for the storage of archives being deposited with the Service in electronic form and to ensure public access to such archives. Discussions with the County Council's ICT services were now in progress. The Chairman requested that a further update on progress be brought to the next Committee.

Options were currently being considered around the need to improve the quality of the Service's out-storage. Detailed adaptation costs were currently being prepared for these options and permission had been sought for the use of funding from the General Reserve to support adaptation costs if required (see minute number 11).

RESOLVED - (a) That the report be received.

(b) That the progress and actions in relation to the Archive Service's buildings be noted.

14. Proposed Application for Designation of Collections (Schedule 5)

The Committee considered a joint report the Director of Communities and the Chief Executive's Office and the Director of Audit Social Care, Health and Communities to consider whether an application should be made under the Museums, Libraries and Archives Council Designation Scheme for the designation of the Staffordshire and Stoke-on-Trent Joint Archive Service collections in their entirety.

The Committee noted that the Museums, Libraries and Archives Council (MLA) operate a designation scheme which celebrates collections considered to be of outstanding national, and possibly international, significance.

The scheme was extended in 2005 to include archives and libraries. The primary criteria for designation of collections were Quality and Significance. The secondary criteria were Collections Management and Service to the Public. The benefits associated with designated status include an enhanced ability to attract external funding and a real opportunity to raise the profile of a service. Designated status should also afford an ongoing commitment of support from governing bodies.

Staffordshire and Stoke-on-Trent enjoy an outstanding archival heritage, which constitutes a primary record of over 1,000 years of history. This archival heritage was now in the care of the Joint Archive Service. The core strength of these archive collections lies in their huge variety and diversity, reflecting, as they do, a County which made such a significant contribution to the economic, industrial, political, religious and social history of Britain. There were also many superb individual collections, some of which were internationally renowned.

The quality, range and significance of the collections held by the Joint Archive Service suggest that it would be appropriate to make an application for the designation of the collections in their entirety. The Service believes that it could also demonstrate the necessary commitment to collections management and public access. The Committee agreed that applying for Designation of Collections would show commitment and would be advantageous to, and raise the profile of, the Joint Archive Service in Staffordshire.

RESOLVED – (a) That an application be made under the Designation Scheme for Museums, Libraries and Archives for the designation of the Staffordshire and Stoke-on-Trent Archive Service holdings in their entirety.

(b) That the application be submitted by 27 September 2010 for consideration by the Designation Panel in January 2011.

15. Making A Difference: Revision of Access, Audience Development and Learning Policy and Strategy (Schedule 6)

The Committee considered a joint report the Director of Communities and the Chief Executive's Office and the Director of Community Services seeking approval to the proposed revision to Making A Difference: the Access, Audience Development and Learning Policy and Strategy.

The Committee noted that at its meeting on 15 November 2007, the Joint Archives Committee approved a revised and expanded Access, Audience Development and Learning Policy and Strategy for the Joint Archive Service. Audience development was brought into the remit of the policy because of its close inter-relationship with access and learning.

Access, audience development and learning continues to be one of the most significant and wide-ranging areas of work for the Joint Archive Service, since engagement with archives flows directly from the fundamental collecting activity of the Service.

The policy direction seeks to build on the positive progress, which the Joint Service had made, while also recognising the need to expand locality working and to work as closely as they were able with local communities and community groups. It also reiterates the importance of not neglecting areas of current strength and support, which lie with lifelong learners and older people.

The policy aims were structured to reflect clearly the generic social and learning outcomes of the Museums, Libraries and Archives Council's Inspiring Learning Improvement Framework. The strategic objectives of the policy build upon existing achievements and encapsulate achievable aspirations for the Service.

Following further discussion on the Policy and Strategy for Access, Audience Development and Learning the Committee suggested that there should be a greater emphasis on the supporting links from the policy to the County Council and the City Council's aims and priorities.

RESOLVED – that the revised Policy and Strategy for Access, Audience Development and Learning for the Joint Archive Service be updated following comments made by the Committee and the revised policy be circulated to all Members of the Committee for their approval.

16. Collecting Policy (Schedule 7)

The Committee considered a joint report the Director of Communities and the Chief Executive's Office and the Director of Community Services seeking approval for a revision to the Collecting Policy for Staffordshire and Stoke-on-Trent Archive Services.

The location, collection and preservation of archive collections was a core function of an archive service and a collecting policy was essential to define and support this function. It was especially important for a multi-repository (multi-record office) archive service, as is the Staffordshire and Stoke-on-Trent Archive Service, so that it was clear to the owners of archive collections and the public which of the Archive Service's three record offices were responsible for the collection of archives for particular areas of the County.

National standards for archive services require that a collecting policy be approved by the Service's governing body. The current Collecting Policy for the Archive Service was approved by the Joint Archives Committee at its meeting on 3 September 2008.

Although not yet due for review, the Collecting Policy had been updated in line with current best practice. The substance remains largely unchanged but some paragraphs had been amplified. The policy had also been redrafted in layout and style to match the model guidance issued by the National Archives.

RESOLVED – That the revised Collecting Policy for the Staffordshire and Stoke-on-Trent Archive Service, Appendix 1 of Schedule 7 to the signed minutes, be approved.

17. Preservation and Conservation Policy (Schedule 8)

The Committee considered a joint report the Director of Communities and the Chief Executive's Office and the Director of Community Services seeking approval for a revision to the Preservation and Conservation Policy of the Staffordshire and Stoke-on-Trent Archive Service.

Stewardship, that is the preservation and conservation of archives, was a core function of the Joint Archive Service. These responsibilities follow from the fundamental collecting activity of the Service. The Preservation and Conservation Policy was therefore a key and underpinning policy document.

National standards for archive services require that their preservation policy be approved by the Service's governing body. The last revision was carried out in 2004 with minor amendments in 2009.

The content of the policy remains largely unchanged but it had been redrafted and simplified in layout and style to match the other policies of the Archive Service more closely. There were some additions which reflect recent changes and improvements in service provision.

The Committee noted the revised Preservation and Conservation Policy and the supporting information leaflet, In Safe Keeping, issued to all new users of the Joint Archive Service.

RESOLVED - That the revised Preservation and Conservation Policy for the Staffordshire and Stoke-on-Trent Archive Service, Appendix 1 to Schedule 8 to the signed minutes, be approved.

18. Policy on Use of Archives by the Media (Schedule 9)

The Committee considered a joint report the Director of Communities and the Chief Executive's Office and the Director of Community Services seeking approval for the proposed Policy for the Use of Archives by the Media.

Archives were being used increasingly by different sections of the media to help to illustrate and interpret the past. The Archive Service welcomes media interest in the use of its collections in television programmes, films and articles in the local, national and commercial press.

A number of issues surround the use of archives in this way and at present the Archive Service uses written guidelines to inform the use of archives by the media. This policy draws these issues together in a formal way to provide a clear framework to guide both Archive Service staff and the media.

Advice on the policy had been sought from the respective Heads of Communications in both the County Council and the City Council.

RESOLVED - That the proposed Policy for the Use of Archives by the Media, Appendix 1 to Schedule 9 to the signed minutes, be approved.

19. Date of next meeting – 17 June 2010 (Stoke-on-Trent)

RESOLVED – That the next meeting of the Staffordshire and Stoke-on-Trent Joint Archive Committee be held on Thursday 17 June 2010 at 2.00 pm at the Gladstone Pottery Museum, Longton, Stoke-on-Trent.

**Ben Adams
Chairman**

Documents referred to in these minutes as Schedules are not appended, but will be attached to the signed copy of the Minutes of the meeting. Copies, or specific information contained in them, may be available on request.

Local Members' Interest
N/A

**STAFFORDSHIRE AND STOKE-ON-TRENT JOINT ARCHIVES COMMITTEE
17 JUNE 2010**

**JOINT REPORT OF THE DIRECTOR OF COMMUNITIES AND CHIEF
EXECUTIVE'S OFFICE AND THE DIRECTOR OF ADULT SOCIAL CARE,
HEALTH AND COMMUNITIES**

**STAFFORDSHIRE AND STOKE-ON-TRENT ARCHIVE SERVICE:
ANNUAL REPORT 2009-2010**

1. PURPOSE OF THE REPORT

- 1.1 To present to the Joint Committee the report on the work of the Staffordshire and Stoke-on-Trent (Joint) Archive Service for the period April 2009 to March 2010.

2. SUMMARY

- 2.1 The accompanying Annual Report provides an account and review of the work and performance of the Staffordshire and Stoke-on-Trent Archive Service for the financial year, April 2009 to March 2010.
- 2.2 The Annual Report demonstrates a productive year for the Joint Archive Service in terms of its performance, achievements and other activity. The most notable successes have been: the Staffordshire Quarter Sessions cataloguing project, funded under the National Cataloguing Grants Scheme; the launch of Staffordshire Name Indexes Online; a successful bid to the Heritage Lottery Fund for the Children on the Move project; and the major 'Discovering the Past' exhibition, mounted at the Nicholson Institute in Leek.
- 2.3 The Service made good progress in all its core areas of activity: improving access to collections; the public services; cataloguing; learning; preservation; and conservation. It was a particularly successful year in terms of outreach working with some very positive outcomes for communities. An important new initiative was the implementation of an ongoing survey of records of sports organisations, developed as part of the 2012 Olympics Legacy.
- 2.4 Personal visits to the Service were down by 6%, a trend common to most archive services, although it is pleasing to note that new user numbers were maintained. However, despite recent upward trends, use of the Service's online resources also saw a downturn.

- 2.5 The Annual Report expands of all of this activity. Detailed progress against the targets set in the Service's Implementation Plan for 2009-2010 has already been reported to this Committee at its meeting on 16 March 2010.

3. RECOMMENDATION

- 3.1 That the Annual Report for the Staffordshire and Stoke-on-Trent Archive Service, 2009-2010, be received as a record of the performance of the Service in the year under review.

4. BACKGROUND

- 4.1 The terms of the Joint Agreement for Archive Services between Staffordshire County Council and Stoke-on-Trent City Council require an annual report on the work of the Joint Archive Service to be brought to the Annual Meeting in June. The Annual Report also provides the means by which the Committee can be presented with a full overview and be informed of the full range of activities, progress and performance of the Service over the whole of a year.

- 4.2 The main functions of the Archive Service are the location and acquisition of archive collections; their preservation and conservation; the provision of a wide range of public and learning services to enable the use of collections; developing and encouraging the use of collections; and the promotion of the service through a wide range of outreach activity.

- 4.3 The year 2009-2010 was the first in the current three-year planning cycle for the Joint Archive Service. The year's Annual Report shows both positive achievements and steady progress towards meeting the overall strategic objectives of the Archive Service within the current Forward Plan, 2009-2012. These objectives are:

- To put the customer at the heart of service delivery.
- To build upon our innovative online presence
- To engage with Staffordshire's communities to strengthen their sense of identity and place
- To engage people of all ages in activities which celebrate and discover Staffordshire's history
- To continue to build a well-managed and high performing service
- To improve and promote user access to collections
- To deliver high quality care of our irreplaceable archive collections

- 4.4 In terms of external assessment, there was no National Archives Assessment of Local Authority Archive Services in 2009, so the four-star rating for the Service, achieved in the 2008 assessment, is still in place. The Service will be reassessed in 2010/2011.

4.5 The Joint Archive Service produced good performance results against its local targets for public service delivery and achieved a 98% customer satisfaction rating in the national Survey of Visitors to British Archives carried out in June 2009.

4.6 It was a very active year in terms of online developments, notably the online publication of a major new name index site, and in outreach work. Other areas of notable progress included further inroads into the cataloguing and conservation backlogs. Volunteer and partnership working remained strong throughout the year and it is pleasing to record a total of 4,155 hours of volunteer activity across the Archive Service.

5. FINANCIAL IMPLICATIONS

5.1 The final net revenue outturn for the Joint Archive Service is the subject of a report elsewhere on this agenda.

6. PERSONNEL AND EQUAL OPPORTUNITIES IMPLICATIONS

6.1 This report has been prepared in accordance with the personnel and equal opportunities' policies of the County Council and the City Council.

7 LEGAL IMPLICATIONS

7.1 The work of the Joint Archive Service, as detailed in the Annual Report, is carried out within the framework of existing archive and other related legislation.

Helen Riley, Director of Communities and Chief Executive's Office
Tony Oakman, Director of Social Care, Health and Communities

Contact officer: Thea Randall (01785 – 278370)

Background documents: Staffordshire and Stoke-on-Trent Archive Service: accessions registers; cataloguing record sheets; public service and monitoring statistics, 2009-2010; results of public service surveys, 2009/2010; customer comment forms 2009-2010; conservation records, 2009-2010; Implementation Plan monitoring reports, 2009-2010.

STAFFORDSHIRE AND STOKE ON TRENT JOINT ARCHIVES COMMITTEE 17th June 2010

ANNUAL CORPORATE GOVERNANCE STATEMENT, 2009/10 STATEMENT OF ACCOUNTS & FINANCIAL OUTTURN

Report of the Director of Finance and the City Director of Central Services

1. Purpose of the Report

- 1.1 To present for approval both the Annual Governance Statement and the 2009/10 Statement of Accounts for the Joint Archives Committee and to report the 2009/10 financial outturn position.

2. Recommendation

- 2.1 That the 2009/10 Governance Statement at Appendix 1 be approved.
- 2.2 That the draft Statement of Accounts for 2009-2010 at Appendix 2 be approved.
- 2.3 That the reported outturn position be noted.

3. Annual Governance Statement

- 3.1 Members will be aware that following the requirement to produce a full set of accounts by virtue of turnover exceeding £1m for three consecutive years including 2009/10, there is an additional requirement to produce an Annual Governance Statement which fulfils the Joint Committee's obligation to conduct an annual review of the effectiveness of its governance framework.
- 3.2 The Annual Governance Statement is set out as Appendix 1.
- 3.3 If approved, this statement will be incorporated into the Statement of Accounts.

4. Statement of Accounts

- 4.1 The 2009/10 draft Statement of Accounts has been prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom, and the Best Value Accounting Code of Practice.
- 4.2 The Statement of Accounts is now presented to the Joint Committee prior to the period of Public Inspection and the external audit of the Partnership.
- 4.3 Although the accounts have to be produced in accordance with a range of regulations and reporting standards it is important that they are understandable to the general reader. Accordingly, this report attempts to provide analysis in plain English. Nevertheless, elected members' suggestions of improvements to the presentation of future accounts and explanatory information would be welcome.

5. Interpretation and Comment on Key Financial Information

Financial Outturn 2009/10

- 5.1 The 2009/10 outturn for the Joint Archives Budget is attached as Appendix C. These show a net surplus of £1,361. This surplus has arisen due to savings on staff vacancies and higher than expected income. The savings were partly offset by an overspend on pooled building recharges.

Reserves

- 5.2 The position on the general and acquisition reserves is shown as Appendix 4.
- 5.3 The General Reserve has a balance of £135,397, of which the following sums have already been earmarked:

Alterations/Environmental controls at Stoke	£30,000
Adaptations for New Outstore (if required)	£50,000
Continuation of Microfilming Programme for Staffordshire electoral registers	£ 8,000

- 5.4 The current balance on the second reserve, the Archive Acquisition Reserve, is £65,859. This reserve enables the Archive Service to purchase collections for the benefit of archive users in the County and City.

Balance Sheet

- 5.5 An analysis of the Balance Sheet on Page 4 of Appendix 2 indicates that the total for assets less liabilities has decreased by £1k to £201k. This reflects the reserve movements detailed in Appendix 4 arising from:

Underspend 2009/10	£1,361
Underspend acquisitions budget	£4,062
Expenditure from budget	(£6,500)
Total movement on reserves	(1,077)

6. Audit Arrangements

- 6.1 In accordance with the Accounts and Audit Regulations 2003 (the Regulations) Joint Committee is required to approve the draft Statement of Accounts before the audit commences. The Regulations require that the Chair of the Joint Committee signs and dates the accounts.
- 6.2 The draft accounts will be made available for public inspection from 28th June 2010 to 23th July 2010 and the formal audit will commence on 26th July 2010.

- 6.3 Once the accounts have been formally signed by the External Auditor the final version of the Statement of Accounts will be forwarded to all Joint Committee members. In the event that any material amendment is required to the Statement of Accounts a revised version will be reported to this Committee.

Andrew Burns
Director of Finance
Staffordshire County Council

Paul Simpson
Director of Central Services
Stoke on Trent City Council

Contacts: Kaye Chadwick, Staffordshire County Council (01785 278416)
Mustak Damani, Stoke on Trent City Council (01782 231619)

Annual Governance Statement

1. Area of responsibility

Staffordshire and Stoke-on-Trent Joint Archives Committee is responsible for carrying out its business in line with the law and proper accounting standards, and for using public money economically, efficiently and effectively, and properly accounting for it. We also have a duty under the Local Government Act 1999 to continually review and improve the way we work, while at the same time offering value for money and an efficient and effective service.

To meet this overall responsibility, we have put in place proper arrangements for overseeing what we do (this is what we mean by governance). These arrangements mean that we can carry out our responsibilities effectively, including our arrangements for managing risk.

This governance statement meets the requirements of regulation 4(2) of the Accounts and Audit Regulations 2003, as amended by the Accounts and Audit (Amendment) (England) Regulations 2006.

2. The purpose of the governance framework

The governance framework is basically the systems and processes, and the culture and values, by which we are controlled and through which we answer to, get involved with and lead the Partnership. The framework allows us to monitor the achievement of our long-term objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The system of internal control is an important part of that framework and we have designed it to manage risk to a reasonable level. It cannot remove all risk of failure to achieve policies, aims and objectives, so it can only offer reasonable protection. The system of internal control is based on an ongoing process designed to:

- Identify and prioritise the risks that could prevent us from achieving our policies, aims and objectives;
- Assess the likelihood of those risks happening and the effect if they did; and
- Manage those risks efficiently, effectively and economically.

We have had the governance framework in place for the year ended 31 March 2010 and up to the date the statement of accounts were approved.

3. The governance framework

The Joint Committee's governance framework is established by the Joint Agreement for Archive Services, between Staffordshire County Council and Stoke on Trent City Council. The purpose of the Joint Agreement is to:

- (i) **Enable Staffordshire County Council and Stoke on Trent City Council to discharge their functions with regard to Archive Services for the benefit of citizens and service users and in accordance with:**

- The Local Government Acts, 1972 and 1992
- The Local Government (Records) Act, 1962
- The Public Records Acts, 1958 and 1967
- The Manorial Documents Rules 1959

- The Tithe Rules, 1960
- The Parochial Registers and Records Measure 1978 (amended 1992)
- The Data Protection Act, 1998
- The Freedom of Information Act, 2000
- The National Archives Standard for Record Repositories, 2004

The functions of the Joint Committee are as follows:

- to ensure that the Joint Archive Service delivers its role as defined by the Joint Agreement for Archive Services
- to administer the Staffordshire Record Office, the Lichfield Record Office and Stoke - on -Trent City Archives
- to make recommendations to Staffordshire County Council and Stoke on Trent City Council on revenue and capital estimates
- to determine policies and standards for the Joint Service in accordance with appropriate national and international standards for archives
- to monitor the performance of the Joint Service by means of an Annual Report and other performance reports brought to the Joint Committee
- to determine the collecting policy and to receive information about acquisitions of archives
- to acquire documents by loan, gift or purchase within the collecting policy
- to promote the use and value of archives through a range of public and outreach services
- to facilitate the joint development of the Archive Service to make the best uses or resources through co-ordinated activity, including external bidding where appropriate
- to promote and develop specialised professional and technical services in the cost-effective provision of the Archive Service
- to employ in the Archive Service such staff as the Committee may determine will facilitate the most efficient and effective delivery of archive functions and services
- to undertake any related activities which the joint Committee consider to be of benefit to archives in Staffordshire and Stoke on Trent.

The Joint Committee manages the role of the Archive Service by means of its operational policies and procedures and by regular monitoring. The role of the Archive Service is delivered and progressed by means of a three-year Forward Plan, which is considered and approved by the Joint Committee and which sets out its vision and its strategic objectives for the Archive Service.

The Joint Committee monitors the performance and progress of the Archive Service by means of reporting to its regular meetings. Standing orders for the Joint Committee are set out in the Joint Agreement.

In accordance with the Local Government Act 1972, all media operating in Staffordshire receive each Joint Committee agenda and are invited to attend each meeting.

Support services for the Joint Committee include the provision of financial, legal and administrative services by Staffordshire County Council. Support services for the Archive Service including the provision of financial and legal services are provided by the County Council and the City Council respectively.

(ii) **Review of the Joint Committee's purpose and functions**

The Joint Agreement for Archives Services is a nine-year rolling term agreement. The last formal review of the Joint Agreement was in 2003 when Stoke on Trent City Council changed its Executive Arrangements. There have been no substantive changes or additions to archive legislation which might have impacted on the Joint Committee's governance arrangements.

The Joint Archive Service is a partnership which works hard to deliver an integrated archive service and to ensure that joint working produces measurable and cost-effective outcomes for archive service users. This is regularly demonstrated through the ongoing work carried on by the Archive Service to maintain compliance with The National Archives Assessment and the Customer Excellence Standard (see below).

(iii) **Measure the quality of services for users, and ensure they are delivered in accordance with the Joint Committee's objectives and that they represent the best use of resources**

Performance measurement comprises of:

External assessment:

The National Archives Assessment of Local Authority Archive Services. Currently the Service is rated as a 4* service and 10th out of 124 services (2008 assessment- new assessment due June/ July 2010)

The Customer Service Excellence Standard (CSE). The Charter Mark Standard has been held successively by the Service since 1998. Re-assessment against the newly developed replacement for Charter Mark, the CSE Standard, is due in December 2010.

Customer assessment

The Public Services Quality Group Survey of Visitors to British Archives is carried out every 18 months and provides key measurement information on: advance information; web site; opening hours; physical access to buildings; visitor facilities; catalogues, indexes leaflets; document delivery; microform facilities; copy services; on-site IT facilities; quality of staff's advice; helpfulness and friendliness of staff; and customer satisfaction overall

Key local performance indicators for service provision and delivery also provide information to enable the impact of service developments to be measured. Outcomes from externally funded projects are measured against initial project objectives and reported on to external funders.

(iv) **Ensure the economical, effective and efficient use of resources**

The budget is approved annually by the Joint Committee. Regular reports on the revenue budget are brought to the Committee during the year. The Archive Service adheres to Staffordshire County Council's and Stoke on Trent City Council's procurement strategies, which are instrumental in ensuring value for money in the delivery of the Service's activities. A successful track record of winning external funding has ensured the delivery of large scale projects.

(v) **Define and document roles and responsibilities with clear delegation arrangements and protocols for effective communication**

The Joint Agreement for Archive Services sets out the roles of and relationships between the partners and the financial management arrangements. . It also sets out the delegations of powers to the Head of the Archive Service and other officers. The Agreement requires that all decisions of the Joint Committee, or taken by or on behalf of the Joint Committee, are made in accordance with the principles and standing orders set out in the Joint Agreement.

(vi) Develop, communicate and embed codes of conduct, define standards of behaviour for members and staff

All staff members working for Staffordshire and Stoke-on-Trent Joint Archives Service are Staffordshire County Council or Stoke-on-Trent City Council employees and are therefore subject to the same codes of conduct and standards of behaviour as set out by the two Councils.

Members of the Joint Committee are subject to the codes of conduct and standards of behaviour which have been developed, communicated and embedded by the partner and supporting authorities that they have been elected to represent.

(vii) Review and update standing orders, standing financial instructions, a scheme of delegation and supporting procedure notes/manuals, which clearly define how decisions are taken and the processes and controls required to manage risks

Financial management is based upon Staffordshire County Council and Stoke-on-Trent City Council's framework of regular management information, financial regulations, contract standing orders and a structure of delegation, sub-delegation, and accountability as set out in the Agreement.

The County Council's Director of Finance is responsible for conducting a continuous internal audit in accordance with the Accounts and Audit (Amendment) (England) Regulations 2006. The County Council maintains an adequate and effective internal audit function, which operates in accordance with the CIPFA Code of Practice for Internal Audit in Local Government in the United Kingdom 2006. Specialist services such as computer and contract audit are purchased from the private sector. The Assistant Director (Audit and Risk Management Services) has the right to report directly to the Chairman and to any member of the Joint Committee.

The Joint Committee prepares its accounts in accordance with professional guidance as determined by the County Council's Director of Finance.

The Partnership maintains a Programme Risk Assessment and Risk Management Plan, containing formal risk assessment, risk log, risk mitigation and management plan, supported by a risk profile. It also makes reference to Partnership system and information security and individual project risk assessments, logs and management plans. These are reported annually in full to the Committee.

(viii) Undertake the core functions of an audit committee, as identified in CIPFA's Audit Committees – Practical Guidance for Local Authorities

Following on from the comments made at (vii) above, no formal audit committee is in place. All internal audit reports with a "Limited" Assurance opinion are reported to the Joint Committee for information. The Joint Committee is the body charged with governance of the Partnership.

(ix) Ensure compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful

In its role as Lead Authority, key roles are performed by Staffordshire County Council's statutory officers, including the Head of Paid Service (the Chief Executive), the Monitoring Officer and the Chief Finance Officer (Section 151 Officer).

A programme of work is carried out by Staffordshire County Council's Internal Audit Section, reviewing compliance with established procedures – increasingly this work is being linked to operational risk and not just financial risk. In addition, External Audit reviews the Joint Committee's compliance with policies, procedures, laws and regulations.

(x) Whistle-blowing and for receiving and investigating complaints from the public

Any complaints would be handled in accordance with the County Council and the City Council's formal complaints procedures. Any complaint about an elected member in his/her capacity as a member of Joint Committee would be a matter for the Standards Board for England.

As described at (vi) above, all staff members working for the Joint Archive Service are Staffordshire County Council or Stoke-on-Trent City Council employees and therefore subject to the provisions made with the County Council/City Council Whistle-blowing Policy.

(xi) Identify the development needs of members and senior officers in relation to their strategic roles, supported by appropriate training

The development needs and support for the members of the Joint Committee are provided for by the supporting authorities that they have been elected to represent.

4. REVIEW OF EFFECTIVENESS

This is the first year that an Annual Governance Statement has been prepared for Staffordshire and Stoke-on-Trent Joint Archives Committee.

Signed:

Dated:

Signed:

Dated:

Income & Expenditure Account

2008/09		2009/10
Net		Net
Expenditure		Expenditure
£000		£000
SERVICE EXPENDITURE		
695	Employees	707
199	Premises	238
3	Transport	4
114	Supplies & Services	115
63	Support Service Charges	48
<hr/>		
1,074	Total Expenditure	1,112
<hr/>		
SERVICE INCOME		
(1,027)	Grants and Contributions	(1,053)
(14)	Sales	(15)
(11)	Other	(10)
(29)	Fees & Charges	(33)
<hr/>		
(1,081)	Total Income	(1,111)
<hr/>		
(7)	Net Cost of Services	1
<hr/>		
<hr/>		
(7)	Net (Surplus) / Deficit for Year	1
<hr/>		

Statement of Movement on the General Fund Balance

2008/09		2009/10
£000		£000
(7)	(Surplus) / Deficit for the year on the Income and Expenditure Account	1
-	Net additional amount required by statute and non-statutory proper practices to be debited or credited to the General Fund Balance for the year	-
<hr/>		
(7)	(Increase) / Decrease in General Fund Balance for the year	1
(195)	General Fund Balance brought forward	(202)
<hr/>		
(202)	General Fund Balance carried forward	(201)
<hr/>		

Statement of Total Recognised Gains & Losses

2008/09 £000		2009/10 £000
(7)	(Surplus) / Deficit on the Income and Expenditure Account for the year	1
-	(Surplus) / Deficit arising on revaluation of fixed assets	-
-	Actuarial (gains) / losses on pension fund assets & liabilities	-
<hr/>		
(7)	Total Recognised (Gains) / Losses for the year	1
<hr/>		

Balance Sheet

31 March 2009 £000	31 March 2010 £000
Current Assets	
132 Debtors (<i>includes payments in advance</i>)	132
181 Cash	192
313	324
Less Current Liabilities	
111 Creditors (<i>includes receipts in advance</i>)	123
111	123
202 NET CURRENT ASSETS / (LIABILITIES)	201
202 TOTAL ASSETS LESS CURRENT LIABILITIES	201
202 TOTAL ASSETS LESS LIABILITIES	201
Financed By:-	
202 General Fund Balance	201
202 TOTAL EQUITY	201

Cash Flow Statement

2008/09		2009/10	
£000	£000	£000	£000
REVENUE ACTIVITIES			
Cash Outflows			
695		707	
374		393	
	1,069		1,100
Cash Inflows			
-		-	
-		-	
-		-	
(1,022)		(1,058)	
(59)		(53)	
	(1,081)		(1,111)
(12) Revenue Activities Net Cash Flow		(Note 6) (11)	
RETURNS ON INVESTMENTS AND SERVICING OF FINANCE			
Cash Outflows			
-		-	
Cash Inflows			
-	-	-	-
CAPITAL ACTIVITIES			
Cash Outflows			
-		-	
Cash Inflows			
-		-	
-	-	-	-
(12) Net cash (inflow) / outflow before financing		(11)	
MANAGEMENT OF LIQUID RESOURCES			
-		-	
-		-	
FINANCING			
Cash Outflow			
Repayments of amounts borrowed:			
-		-	
Cash Inflow			
-		-	
-	-	-	-
(12) (Increase) / Decrease in Cash		(Note 6) (11)	

Notes to the Accounts

1. Date Accounts Authorised for Issue

The Statement of Accounts were authorised for issue by Staffordshire County Council's Director of Finance on 9 June 2010. Events after the Balance Sheet date have been considered up to this date in preparing the accounts.

2. Related Party Transactions

The following Councils are partners of the Staffordshire and Stoke-on-Trent Joint Archives Committee: Staffordshire County Council and Stoke-on-Trent City Council.

Members interests are covered by arrangements in partner authorities.

The Joint Committee's General Fund balance of £201,258 at 31st March 2010 is held with Staffordshire County Council (£158,072) and Stoke-on-Trent City Council (£43,186)

Notes to the Accounts

3. Ultimate Controlling Partner

None of the partners has ultimate control of the Partnership.

4. External Audit Fees

Audit Fees payable to the Appointed External Auditor, PricewaterhouseCoopers LLP, for external audit services carried out by the appointed auditor. Under the Audit Commission's Code of Practice in accordance with Section 5 of the Audit Commission Act 1998 and statutory inspection under section 10 of the Local Government Act 1999.

5. Leases

The Partnership has no outstanding lease commitments.

6. Reconciliation of Net Surplus/Deficit to Cash Inflow from Revenue Activities

2008/09			2009/10	
£000	£000		£000	£000
	(7)	General Fund Deficit / (Surplus)		1
		Add		
-		Depreciation	-	
-		Additional charge in respect of MRP	-	
-		Direct revenue financing of capital expenditure	-	
-		Contributions to reserves / other non cash items	-	
-	-	Other expenditure (income) charged outside revenue	-	-
		Less		
(5)		(Increase) / decrease in revenue creditors	(12)	
-		(Increase) / decrease in stock and work in progress	-	
-	(5)	Increase / (decrease) in revenue debtors	-	(12)
		Add		
-		Financing items shown later in Cash Flow Statement	-	
(12)		Revenue Activities Net Cash Flow		(11)

Notes to the Accounts

7. Movement in Cash

As at 31.3.09 £000	As at 31.3.08 £000	Movement during year £000		As at 31.3.10 £000	As at 31.3.09 £000	Movement during year £000
181	147	34	Cash	192	181	11
181	147	34	Net Cash Inflow/(Outflow)	192	181	11

8. Movement in Other Current Assets

As at 31.3.09 £000	As at 31.3.08 £000	Movement during year £000		As at 31.3.10 £000	As at 31.3.09 £000	Movement during year £000
132	132	-	Debtors	132	132	-
(111)	(105)	(6)	Creditors	(123)	(111)	(12)
21	27	(6)	Net Movement in Other Current Assets	9	21	(12)

9. Movement in Net Debt

	As at 31.3.09 £000	Cash Flow £000	As at 31.3.10 £000
	-	-	-
Net Debt	-	-	-

10. Other Government Grants and Reimbursements

An analysis of Other Government Grants and reimbursements is shown below:

	2008/09 £000	2009/10 £000
Staffordshire County Council	795	815
Stoke-on-Trent City Council	232	236
		2
Total Grants & Reimbursements	1,027	1,053

**Joint Archives Service
Outturn Position 2009-10**

	Core Services		Staffordshire County Sites & Public Services		Stoke City Sites and Public Services		Total for service	
	Current Estimate 2009/10	Outturn 2009/10	Current Estimate 2009/10	Outturn 2009/10	Current Estimate 2009/10	Outturn 2009/10	Current Estimate 2009/10	Outturn 2009/10
	£	£	£	£	£	£	£	£
Expenditure								
Employees	296,618	293,174	296,375	287,221	120,322	122,068	713,315	702,463
Training	1,530	1,334			870	2,915	2,400	4,249
Premises			43,720	36,284	50,370	51,085	94,090	87,369
Transport	2,700	2,427	900	720	200	531	3,800	3,678
Supplies and Services	17,700	13,493	37,030	42,304	25,900	24,317	80,630	80,114
Computer Services	2,200	0	31,880	34,162			34,080	34,162
Telephones			7,400	416			7,400	416
Cooled Buildings			128,180	151,003			128,180	151,003
Recharges/Central Support	50,420	48,400					50,420	48,400
Transfers to Reserve		4,062						4,062
Total Expenditure	371,168	362,890	545,485	552,110	197,662	200,916	1,114,315	1,115,916
Income								
Grants & Reimbursements						1,528	0	1,528
Sales			15,800	15,055			15,800	15,055
Fees & Charges			26,910	25,206	6,880	7,645	33,790	32,851
Miscellaneous	4,400	4,100	2,600	6,018			7,000	10,118
Transfers from reserve	6,500	6,500	0	0			6,500	6,500
Total Income	10,900	10,600	45,310	46,279	6,880	9,173	63,090	66,052
Net Expenditure	360,268	352,290	500,175	505,831	190,782	191,743	1,051,225	1,049,864
							VARIATION	1,361

JOINT ARCHIVES GENERAL RESERVE**APPENDIX 4**

	Staffordshire County Council £	Stoke on Trent City Council £	Total £
Balance brought forward 1 April 2009	97,671	42,865	140,536
2009/10			
Microfilming programme for Staffordshire electoral registers	4,000		4,000
Audit Fees	2,500		2,500
	91,171	42,865	134,036
Underspend 2009/10 - Added to reserves	1,042	319	1,361
Balance at 31 March 2010	92,213	43,184	135,397
Earmarked items			
Alterations/Environmental Controls at Stoke		30,000	30,000
Microfilming programme for Staffordshire electoral registers	8,000		8,000
Adaptations for New Outstore	50,000		50,000
Balance available to spend at March 2010	34,213	13,184	47,397

JOINT ARCHIVES ACQUISITION RESERVE

Balance brought forward 1 April 2009	61797	0	61,797
Acquisition budget underspend 2009/10	4062	0	4,062
Balance available to spend at March 2010	65859	0	65859

Local Members' Interest
N/A

**STAFFORDSHIRE AND STOKE-ON-TRENT JOINT ARCHIVES COMMITTEE
17 JUNE 2010**

**JOINT REPORT OF THE DIRECTOR OF FINANCE AND
THE DIRECTOR OF CENTRAL SERVICES**

**STAFFORDSHIRE AND STOKE-ON-TRENT ARCHIVE SERVICE:
AUDIT REQUIREMENTS**

1. PURPOSE OF THE REPORT

- 1.1 To report to the Committee the process for the audit of the accounts of the Joint Archives Committee.
- 1.2 To consider the management of identified risks within the Joint Archive Service.

2. SUMMARY

- 2.1 Under the Audit Commission Act, 1998, and the Accounts and Audit Regulations, 2003, (amended 2009) the Staffordshire and Stoke-on-Trent Archive Service is defined by the Audit Commission as a separate entity for audit purposes.
- 2.2 In 2008 and 2009 an internal audit review of the systems, controls and risks relating to the Joint Committee's accounts was completed in order to comply with Audit Commission regulations. In 2010 the Committee has moved from the limited assurance regime and, under the Audit Commission's Regulations, now requires its own full set of accounts to be completed. The accounts require a full Financial Reporting Standard for Smaller Entities audit, because the Committee's gross expenditure has been over the threshold of £1m for three years. This threshold has been implemented by the Audit Commission.
- 2.3 The Joint Committee's draft accounts have been presented to the Committee at this meeting for approval and some audit work has been started. An internal audit has been completed by KPMG, who were appointed by Staffordshire County Council to carry out a managed audit to assist the external auditors. Price Waterhouse Coopers has been appointed by the Audit Commission as the external auditors. The costs to the Joint Archives Committee are expanded below at paragraph 4.1.
- 2.4 The audit regime already requires the Joint Archive Service to inform the Joint Committee annually of the identified risks to the Service. A full risk register is in place, which sets out the identified risks, the control mechanisms which are in place to manage these risks and the record keeping to support

the management of each risk. The register is updated annually. Summary details of current identified risks are at Appendix 1.

- 2.5 In addition an Annual Governance Statement has been produced as part of the accounts process. This Statement has been presented to the Committee for approval elsewhere on this agenda.

3. RECOMMENDATION

- 3.1 That the report be received.
- 3.2 That the actions taken by the Joint Archive Service to minimise the impact of identified risks be noted.

4. FINANCIAL IMPLICATIONS

- 4.1 The Joint Archive Service budget will incur costs as a result of the increased level of audit. The Service has been advised that the external audit costs will be in the region of £10,000 and the internal audit costs have been confirmed at £3,000. Provision was already made within this year's revenue budget for the internal audit costs. It is anticipated that the external costs can be accommodated in the current financial year. In the County the savings will be met as a result of a flexible retirement to be put into place in this financial year. The City will meet its proportion of the cost in 2010/11 from an un-forecast reimbursement from the previous financial year. Excluding salary and other fixed costs, this will represent a little over 15% of the Stoke Archives budget. In any future years, the external audit costs to the County and the City would have to be met either from the Joint Archive Service reserves or from the Joint Archive Service revenue budget.
- 4.2 Clearly producing the accounts and managing the audit process has a cost attached to it, which will not be passed on the Joint Archive Service. Officers from both the County Council and the City Council will continue to assist the Joint Archive Service through their knowledge and experience of the accounts and audit process.
- 4.3 The requirement to produce full accounts will remain in place as long as the Joint Committee's budget remains over the £1m threshold. It will therefore be repeated in the financial year 2011/2012. Discussions are already in place between officers in the County and the City to determine how this will be managed in future years.
- 4.4 The Directors of Finance in the County Council and the City Council have agreed to make a joint representation to the Audit Commission on this matter.

6. PERSONNEL AND EQUAL OPPORTUNITIES IMPLICATIONS

- 6.1 There are no personnel or equal opportunities implications in this policy.

7. LEGAL IMPLICATIONS

- 7.1 The legal requirements to produce accounts and have them audited have been set out at paragraphs 2.1 and 2.2 of this report.

Andrew Burns, Director of Finance
Paul Simpson, Director of Central Services

Background documents:	Staffordshire and Stoke-on-Trent Archive Service, Risk Register, 2010
Contact officers:	Thea Randall (01785 – 278370) Rachel Spain (01785 - 276011)

Appendix 1

ARCHIVE SERVICE:

SUMMARY OF IDENTIFIED RISKS AND RISK MANAGEMENT CONTROLS

1. Risk Description	Failure of environmental controls / prescribed conditions in Archive Service strong rooms which would result in physical deterioration of collections
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Key Controls and Processes

Control	Process	Records
Continuous monitoring of environmental controls	Daily checking process by conservation team against BS5454 parameters	Condition Records
Quarterly checks of air conditioning equipment	Arranged by through central contracting process- Property Services	Equipment Manuals and Service Reports
Reporting procedure	Through designated staff	Building Report Records
General Risk Assessments for Staffordshire and Lichfield Record Offices	Updated annually by Record Office Manager	Risk records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in corporate resource allocation to maintain adequate servicing	Ensure contingency within Archive Service Budget
2	Major failure of equipment	Ensure sufficient contingency in Archive Service budget reserve

2. Risk Description	Fire in Record Offices
----------------------------	-------------------------------

Key Controls and Processes

Control	Process	Records
Fire detection systems: incl high sensitivity detection in all strongrooms, linked to central monitoring station	Weekly fire testing	Test Records
Fire suppression system in SRO extension strongrooms	Weekly fire testing	Test records
Quarterly checks of fire detection / suppression systems	Arranged by through central contracting process - Property Services	Equipment Manuals and Service Reports
Faults reporting and follow up procedures	Through designated staff	Building Report Records
General Risk Assessments for all Record Offices	Updated annually	Risk assessment records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in corporate resource allocation to maintain adequate servicing	Ensure contingency within Archive Service Budget
2	Major failure of equipment	Ensure sufficient contingency in budget reserve
3	Accidental discharge of Inergen Gas	Ensure sufficient contingency in budget reserve to replace
4	Failure of all communication systems between Record Offices and central monitoring stations resulting in serious loss	Maintain weekly testing Emergency Plan Insurances for conservation treatment as a result of emergency

3. Risk Description	Vandalism at Record Offices
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Key Controls and Processes

Control	Process	Records
Security systems: incl intruder alarm systems linked to central monitoring station, external and internal CCTV systems where appropriate	Ensure intruder alarms are set out of hours	Central monitoring station logs
Physical inspection of buildings	Weekly visual inspection of exterior of building	Building maintenance logs
Six-monthly checks of intruder alarm systems	Arranged by through central contracting process - Property Services	Equipment Manuals and Service Reports
Faults reporting and follow up procedures	Through designated staff	Building Report Records
General Risk Assessments for all Record Offices	Updated annually	Risk assessment records
Insurance for conservation following emergency	Updated annually	Specialist insurance policies

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in corporate resource allocation to maintain adequate servicing	Ensure contingency within Archive Service Budget
2	Major failure of equipment	Ensure sufficient contingency in Archive Service budget reserve
3	Failure of all communication systems between Record Offices and central monitoring stations resulting in serious loss	Emergency Plan Insurances for conservation treatment as a result of emergency caused by vandalism

4. Risk Description	Theft of / damage to archives while in public use
----------------------------	--

Key Controls and Processes

Control	Process	Records
Continuous supervision of reading room by staff	Duty rotas	File copies
CCTV in all reading rooms	Constant monitoring	CCTV tapes
Controlled issue and return of documents	Weighing and checking of documents on issue and return	Production slips retained for 10 years
Registration of readers	Production of proof of ID and address at registration	Registration cards retained for 15 years
Code of Conduct for Readers	Issued at registration of new readers and published on web site	Registration cards
Terms of deposit insurance clause	Owners made aware of insurance position at deposit	Deposit file

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Staff shortages resulting in failure to ensure adequate supervision	Ensure budgetary provision for minimum reading room staffing levels for security

5. Risk Description	Theft of / damage to / loss of archives while in transit between offices
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Key Controls and Processes

Control	Process	Records
Correct manual handling	Instruction of all staff in correct manual handling; use of available equipment (e.g. trolleys)	Training Record
Vehicle security	Instruction to staff to keep transporting vehicle locked or supervised at all times	Staff Information Sheets
Provision of mobile phones for staff use	Instruction to staff to carry mobile phone when working offsite	Staff Information Sheets
Insurance for documents while in transit by staff / others	Updated annually	Specialist Insurance Policies

6. Risk Description	Potential Sale of Collections by Owners
----------------------------	--

Key Controls and Processes

Control	Process	Records
Full documentation of ownership of collections	Accessioning process	Deposit files and accession register
Terms of deposit of collections including compensation clause	Accessioning / deposit process	Signed Terms on file
Archive Service fundraising strategy and guidelines	Use of external funding from appropriate sources to secure collections	Guidelines document
Provision within budget for acquisition	Annual estimate with facility for balance to transfer to reserve	Financial monitoring records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Deposit system	Ensure donation of collections wherever possible
2	High market values / economic climate	Maintain acquisitions reserve
3	Lack of current information about ownership of older deposits	Ongoing follow up work on and recording of status of collections

7. Risk Description	Damage to archives caused by erroneous conservation treatment
----------------------------	--

Key Controls and Processes

Control	Process	Records
Appropriate level of professional knowledge and qualifications of conservators	Formal training of conservators in conservation techniques Continuous professional development (CPD) of conservators Accreditation of Senior Conservator by Institute of Conservation (incl periodic review of CPD paperwork)	Entry qualifications Training record Personal file
Professional supervision of Conservator by Senior Conservator	Senior Conservator required to agree to proposed treatment prior to commencement of work	Conservation Record Sheets
BS 4971 (2002)- Repair and Allied Processes for the Conservation of Documents	All conservation work carried out in accordance with Standard	Conservation Record Sheets

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Idiosyncratic /unanticipated reaction of specific document to any given course of treatment	Exhaustive testing and monitoring of results

8. Risk Description	Risk to staff and members of the public whilst in attendance at Archive Service events at external venues
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Key Controls and Processes

Control	Process	Records
Provision of mobile phones for staff use	Instruction to staff to carry mobile phone when working offsite	Risk Assessment
Assessment of all risks associated with tasks and activities undertaken	Risk assessment of all tasks and activities	Risk Assessment
Liaison with building manager	Site meeting with building manager in advance of event	Risk Assessment
Assessment of risks associated with the venue to be used for the event	Risk assessment of hazards specific to building	Risk Assessment

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Failure of building manager to provide adequate advance information regarding risks	Ensure availability of site manager or substitute during event

9. Risk Description	Lone Working of Staff Offsite
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Key Controls and Processes

Control	Process	Records
Staff Instructions for Lone Working	Issued at induction training and reiterated through staff health and safety training	Training records Staff Information Sheets
Provision of mobile phones for staff use	Instruction to staff to carry mobile phone when working offsite	Staff Information Sheets

10. Risk Description	Risk of harm to children on work placements with the Archive Service
-----------------------------	---

Key Controls and Processes

Control	Process	Records
Enhanced CRB checks on all staff in contact with children	Three-yearly checks for existing staff and check on all new appointments	Personnel files
Induction training	Students are informed of the procedures for emergency evacuation, first aid provision, manual handling, health and safety, guidelines for safe use of equipment	Copy of Placement Record supplied to the school
Assessment of risks associated with tasks allocated	Risk assessment of all tasks allocated	Risk Assessment
Supervision of placement	Students are supervised at a level in accordance with their perceived abilities and the nature of the task being undertaken	Timetable of placement activities
Staff awareness of child protection issues	Specialist training of nominated staff in child protection issues.	Training Record

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Potential immaturity / vulnerability of children accepted for work placement	On-going assessment of capabilities and social awareness of student and tailoring of tasks and level of supervision if considered necessary

11. Risk Description	Impact of flu pandemic on service delivery
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Key Controls and Processes

Control	Process	Records
Dissemination of information re precautions to minimise risks	Staff meeting briefings Information supplied to staff in hard copy and on intranet	Staff Meeting minutes
Minimum level and correct combination of staffing for safe service delivery and security of collections	Application of pairing systems for staffing Normal security procedures	Staff Information Sheets

Reductions in public opening hours, public bookings and other aspects of service delivery	Ongoing situation assessment	Amendments to web site Staff information Sheets
Temporary closure with manning of telephones and computers to deal with distance enquiries	Ongoing situation assessment	Amendments to web site Staff information Sheets Training records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Regular contact of frontline staff with members of the public	Provision of gloves for staff Maintain fresh air flow in public rooms

Local Members' Interest
N/A

**STAFFORDSHIRE AND STOKE ON TRENT JOINT ARCHIVES COMMITTEE
17 JUNE 2010**

**REPORT OF THE DIRECTOR OF COMMUNITIES AND CHIEF EXECUTIVE'S
OFFICE AND THE DIRECTOR OF ADULT SOCIAL CARE,
HEALTH AND COMMUNITIES**

DIGITAL ARCHIVE COLLECTIONS: PRESERVATION AND ACCESS

1. PURPOSE OF REPORT

- 1.1 To inform the Joint Committee of progress made towards provision by the Joint Archive Service for the future preservation of born digital archives and for future public access to them.

2. SUMMARY

- 2.1 Records, especially those of public bodies which are eventually deposited with the Joint Archive Service under legislation, are increasingly being created in digital format. The long-term preservation of these records and ensuring that the public can continue to access them in the future presents an important challenge for the Service.
- 2.2 In preparation for this, in 2007 the Joint Archive Service developed a digital archive policy and strategy. This set out a framework to work towards establishing formal arrangements for the secure storage and proper management of born digital archives. Significant progress has been made in the last three years.
- 2.3 Work has been completed on defining protocols and procedures for the receipt and accessioning of deposited digital archives. In addition, the Archive Service has now reached a major and significant milestone, in having established a digital archive repository, that is the provision of secure server space for the storage of archives in electronic format.
- 2.4 Work is continuing on establishing public access protocols which will be compliant with the County Council and City Council's ICT security requirements.

3. RECOMMENDATIONS

- 3.1 That the actions taken to date in establishing arrangements for the future preservation of deposited digital archive collections be noted.
- 3.2 That discussions continue to take place to identify the long-term funding implications for archive collections in digital format.

4. BACKGROUND

- 4.1 Local authority archive services have a responsibility to provide formal and long-term preservation for records deposited under a wide range of archive legislation and to ensure public access to these records. The legislation includes: the Public Records Acts, 1957 and 1968; the Local Government Act, 1972; and the Parochial Registers and Records Measure, 1978 (amended 1992). In addition the Archive Service is also empowered to collect archive collections from a range of other organisations and individuals under the Local Government (Records) Act, 1962.
- 4.2 Until relatively recently such records have been in hard copy format. However increasingly some archives are now being created as 'born digital' records, that is records which have originated and which only exist in electronic format. This is especially the case with public bodies, although other organisations, such as the Anglican Church and local societies for example, have also begun to create digital records.
- 4.3 The same legislative responsibilities are placed on the Archive Service, irrespective of the format of the archives themselves. The Archive Service must therefore be able to respond to the age of digital record keeping and to ensure that archives are not lost for the future because of they are in electronic format. One of the key recommendations of the new national archive strategy, Archives for the 21st Century, 2009, brought to the Committee at its meeting on 3 August 2009, is to ensure that digital information is accessible now and remains so in the future.
- 4.4 The Archive Service therefore needs to provide both physical and virtual archive storage for the foreseeable future. At the present time, the rate of future accessions deposited in digital form cannot be estimated.
- 4.5 In 2007 the Archive Service developed its first digital preservation policy. This set out the fundamental objective of achieving secure storage and proper management of digital archives, received on deposit from external depositors.
- 4.6 Formal arrangements for the preservation of the County Council's permanent archives in digital format are addressed through the continuing rollout of its electronic document records management system. These processes are managed by the Information Governance Unit. In the City Council, retention schedules are in place for the City Council's records including electronic records.
- 4.7 To date progress has been made on establishing accessioning protocols and drawing up Terms of Deposit for digital records, which mirror the terms used for the deposit of hard copy archives but which also provide essential technical information for intending depositors and for the Archive Service. Advice from Staffordshire ICT has been provided on acceptable file formats for long term storage and migration. In addition a business case setting out the case for a digital archive repository, that is server space to store securely digital archives and to enable their future migration, was also developed.
- 4.8 Given that the physical storage requirements for deposited archives have been met in the past from corporate funding, this raises the question of how virtual storage for deposited digital archives should be funded in the future. This issue has yet to be addressed fully or resolved. However there is some

urgency in moving the digital archive repository forward, as the Archive Service has now started to receive deposits of archives in electronic form.

- 4.9 The Joint Archive Service currently has an allocation of 100 Gigabytes of pre-paid server space, which was negotiated in 2008, primarily for the long-term storage of digitised images created as part of the Sutherland Papers Project. This space has been paid for until December 2018 and provides the following: online storage, on fast network accessible disks with resilience and backup, with offsite storage. There is enough spare capacity (35 Gigabytes) to begin to store deposited digital records from external sources. This has been identified as an immediate solution for the safe storage of digital records, which have been deposited recently with the Joint Archive Service.
- 4.10 The use of this space will allow the Archive Service to manage and store digital deposits of archives likely to be received within the next three to four years. Compression of the Sutherland Project images, already stored in this space, will also enable the server space to be maximised. This solution will also mean that records will be migrated to new electronic formats in the future as part of Staffordshire ICT's ongoing server management.
- 4.11 It is the intention that the public would initially consult deposited archives in electronic format at Staffordshire Record Office in the same way in which they would consult other documents. Work is still continuing to ensure that this can be done in full compliance with ICT security protocols. In the longer term networked or remote solutions may be put in place for Lichfield Record Office and Stoke on Trent City Archives. However, initially access at these offices could be made available by the physical transfer of copy data following agreed security protocols. The Archive Service is also seeking advice from the very few local authority archive services who are making progress on this work.
- 4.12 The work of the Joint Archive Service towards digital preservation is scored as part of the National Archives Assessment of Local Authority Archive Services, due to be carried out again in June/July 2011. Given that the preservation of digital archives is one of the key recommendations of the new national archive strategy, it is therefore important that the Joint Archive Service is able to show that it is making progress in this area of work.

5. FINANCIAL IMPLICATIONS

- 5.1 Staffordshire ICT is in the process of developing models for funding incremental growth of IT services. Currently storage space is funded corporately within a service level agreement. Significant additional storage demands which can not be subsumed within planned storage capacity will require funding.
- 5.2 The principle of whether the costs of storing deposited digital archives in the future are to be met corporately, in the same way that the physical storage of archive collections is currently funded corporately, will therefore require further discussion.
- 5.3 There will be no additional cost to the Archive Service to utilise the space discussed at paragraph 4.7 and this space can be made available immediately.

6. EQUAL OPPORTUNITIES AND PERSONNEL IMPLICATIONS

6.1 There are no equal opportunities implications in this report.

7. LEGAL IMPLICATIONS

7.1 Details of the legislation relating to the preservation of archives is set out at paragraph 4.1. The legislative responsibilities of the Joint Archive Service remain the same, irrespective of the format of the archives.

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Background Documents: Staffordshire and Stoke on Trent Archive Service:
Digital Preservation Policy, 2007, updated 2010
Project Business Case: Archive Service: Digital
Repository, 2009

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