

## **Staffordshire and Stoke-on-Trent Joint Archives Committee**

Thursday, 22 October 2015

**10.30 am**

Staff meeting Room (Floor 1),  
City Central Library, Bethesda Street, Hanley,  
Stoke-on-Trent ST1 3RS

John Tradewell  
Director of Democracy, Law and Transformation  
14 October 2015

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### **A G E N D A**

1. **Apologies**
2. **Declarations of Interest in accordance with Standing Order 16**
3. **Minutes of the meeting held on 16 July 2015** (Pages 1 - 6)
4. **Staffordshire History Centre: consultation findings and update** (Pages 7 - 38)  
  
Joint report of the Acting Director for Place (Staffordshire County Council) and Director of People – Assistant Chief Executive (Stoke-on-Trent City Council)
5. **Predicted Outturn 2015/16** (Pages 39 - 44)  
  
Joint report of the Acting Director for Place (Staffordshire County Council) and City Director of Resources – Assistant Chief Executive (Stoke-on-Trent City Council)
6. **Review of Fees and Charges 2016/17** (Pages 45 - 56)  
  
Joint report of the Acting Director for Place (Staffordshire County Council) and City Director of Resources – Assistant Chief Executive (Stoke-on-Trent City Council)
7. **Appraisal and Disposal Policy** (Pages 57 - 68)  
  
Joint report of the Acting Director for Place (Staffordshire County Council) and Director of People – Assistant Chief Executive (Stoke-on-Trent City Council)
8. **Date of next meeting - 18 February 2016 at the County Records Office, Eastgate Street, Stafford**

## 9. 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”.

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### **PART TWO**

(All reports in this section are on pink paper)

Nil

<b>Membership</b>	
Ben Adams (Chairman)	<b>Substitute</b>
Terry Follows (Vice-Chairman)	Mark Winnington
Ian Parry	Mike Lawrence
Mike Davies (Observer)	Janine Bridges

### **Note for Members of the Press and Public**

#### **Filming of Meetings**

The Open (public) section of this meeting may be filmed for live or later broadcasting or other use, and, if you are at the meeting, you may be filmed, and are deemed to have agreed to being filmed and to the use of the recording for broadcast and/or other purposes.

#### **Recording by Press and Public**

Recording (including by the use of social media) by the Press and Public is permitted from the public seating area provided it does not, in the opinion of the chairman, disrupt the meeting.

### Minutes of the Staffordshire and Stoke-on-Trent Joint Archives Committee meeting held on 16 July 2015

Present: Ben Adams (Chairman), Terry Follows (Vice-Chairman), Ian Parry and Mike Davies (Invitee/Observer)

#### PART ONE

##### 1. Appointment of Chairman and Vice-Chairman

The Committee noted changes to the City Council's membership of the Joint Archive Committee following the recent elections and subsequent changes to its Cabinet and welcomed Terence Follows to the meeting. They noted the change of substitute member to Janine Bridges (in place of Adrian Knapper) to represent the City Council in the event that Mr. Follows was unavailable, but would only assume voting rights in his absence.

(a) **RESOLVED** - That Ben Adams be appointed Chairman of the Staffordshire and Stoke-on-Trent Joint Archives Committee up to the annual meeting of the Joint Committee in 2016.

##### Ben Adams took the Chair

(b) **RESOLVED** – That Terence Follows be appointed Vice-Chairman of the Staffordshire and Stoke-on-Trent Joint Archives Committee up to the annual meeting of the Joint Committee in 2016.

##### 2. Declarations of Interest in accordance with Standing Order 16

No declarations at this meeting.

##### 3. Minutes of the meeting held on 26 March 2015

**RESOLVED** – that the minutes of the meeting held on 26 March 2015 be agreed and signed by the Chairman.

##### 4. Joint Archive Services: Annual Report 2014/15

The Committee considered the Annual Report for 2014/15 (schedule 1 to the signed minutes) providing an account and review of the work and performance of the Staffordshire and Stoke-on-Trent Archive Service for the financial year from April 2014 to March 2015.

The Committee were aware that the terms of the Joint Agreement for Archive Services between Staffordshire County Council and Stoke-on-Trent City Council required an annual report of the Joint Archive Service to be brought to the Annual Meeting in June, to give them a full overview of the range of activities, progress and performance of the Service.

The year 2014/15 was the final year in the current three-year planning cycle for the Joint Archive Service. This 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, 2012-2015.

The annual report demonstrated a very productive year for the Joint Archive Services in terms of its performance, achievements and associated activity. The most notable successes included: the delivery of two grant funded projects to catalogue the Bradford Archive and to digitise the Staffordshire Manorial Documents Register. The service was also successful with its bid to the Heritage Lottery Fund to digitise and index the rare Military tribunal records. The service also launched the first phase of the Staffordshire Collection with Find My Past. Almost three million records went online at the launch and celebration event held on July 2014 at the Staffordshire Record Office for volunteers who worked with the service. The Committee acknowledged that all these projects relied on volunteer support to make them happen and widen access to the collections.

The Stoke Archives had received some exciting new collections which would form major projects for 2015/16, these included the Michelin Archive (deposited in December 2014) and the Minton Archive (March 2015). The greatest disappointment of the year was the rejection of the Heritage Lottery Fund (HLF) bid to extend Staffordshire Record Office. However the feedback from HLF was used to develop a new plan for the service and, with the support of consultants, a new vision was developed.

The Committee noted the public service statistics detailed in the report, and that they had achieved a 100% customer satisfaction rating in the national Public Services Quality Group User Survey. It also maintained its Customer Service Excellence award retaining its two compliance plus ratings. The Committee also noted the service continued to change and was developing a new vision which moves away from building based services. Overall it was a very successful year for the Service and they continue to meet high standards whilst also developing a new ten year vision to adapt to changing demands.

The Chairman asked that the thanks of the Committee be passed to the volunteers; Friends of the Archive Services; and staff for their hard work and dedication to the service. Arrangements would be made for Terry Follows and Mike Davies to have a tour of the Stafford Record Office and store.

**RESOLVED** - That the annual report on the work of the Staffordshire and Stoke-on-Trent (Joint) Archive Service for the period April 2014 to March 2015 be received and approved.

## **5. Joint Archive Service: Revenue Outturn 2014/15**

The Committee considered a joint report presenting the final outturn for the Joint Archive Service for 2014/15 (Schedule 2 to the signed minutes).

The outturn showed that the service had a net spend of £661,544 compared with an approved budget of £682,250 giving an underspend of £20,706 which was transferred to the General Reserve at the end of the financial year. The General Reserve now had a balance of £120,655. The Archive Acquisition Reserve had a balance of £57,542 towards the purchase of new collections for the benefit of archive users in the County and City. It was noted that final income levels were also up by £7,986, due to increased sales and fees charged.

The Committee were reminded that this was the final year that the Joint Archives Committee was required to complete the Small Bodies in England Annual return for the year ended 2015. The return had been completed and would be available for the Chairman to sign, when approved. The new Local Audit and Accountability Act 2014 means that Joint Committees would no longer be required to have their accounts separately prepared and audited. Government had made this change as the appropriate parts of the financial results of Joint Committees were reported in the accounts of their constituent bodies and so were audited by auditors appointed by those local bodies.

The Chairman commented on the amount in the General Reserve and was reminded that £50,000 was earmarked as matched funding towards the Heritage Lottery Fund (HLF) bid. It was noted that some reserve was required for emergency use but extra matched funding could be requested when the design brief for the HLF bid was finalised.

**RESOLVED** – (a) That the report be received;

(b) That approval be given for the Chairman to sign the completed Small Bodies Return for 2014/15 for submission.

## **6. Progress report on options for Staffordshire History Centre and Consultation**

The Committee considered a joint progress report on the Staffordshire History Centre and consultation. Members were aware that the Archives and Heritage Vision was approved at the Joint Archive Committee on 26 March 2015 and they noted that The William Salt Library Vision was approved by the Trust at their Annual General Meeting on 11 May 2015. Both bodies agreed the next stages of developing delivery options and consulting formally in the summer.

On 9 March a stakeholder workshop was held to identify options for the delivery of the Vision. Nine options were identified (detailed in Appendix 2 to the report) and subsequently written up and developed to be appraised by a wider group of stakeholders in May. The consultants had now analysed the results of the workshops and the Project Board recommended four options to consult on and these included:

- Option 1– Create the Staffordshire History Centre Project with external funding. This was the preferred option of both groups.
- Option 5 – Staffordshire History Centre plus museum storage/exhibition & Lottery funding (i.e. Option1 plus Museum). This ranked second from both groups.
- Option 7 – Staffordshire Archives and Heritage – retain all sites & achieve budget savings required. This represents the no change option but still implements the savings required.
- Option 9 – Staffordshire History Centre with (Heritage Lottery Fund) HLF funding on a new site. This ranked fourth overall.

The Committee noted that consultation had started on 19 June 2015 and a press release had been issued to inform people about the new vision and the consultation process would be completed this summer. Information about the consultation was being added to the Vision page on the Archive Service website and continued to be updated as new information becomes available.

### **Next Steps**

The results of the consultation would be collated and analysed during the remainder of August. It was agreed that the consultants complete the analysis and feedback the results to the Project Board, stakeholders and partners. This additional work would cost an estimated £3,000 to cover approximately 6-7 days of work. The preferred option would be identified and the design brief developed. The brief will then be issued as part of a competitive design process to identify a preferred design before submission of the bid in December.

It was hoped that the final sign off from the Joint Archive Committee and the Strategic Property Board would be obtained during October / November. It was suggested that arrangements are made for the Committee to meet in October to consider the design brief before its submission. The legal issues concerning the William Salt Library Trust and the lease of the building to the County Council would also be progressed to ensure a workable solution was identified before the bid was submitted.

**RESOLVED** – (a) that the progress report is noted, for information.

(b) that the Joint Archive Committee approves use of the Archive Service reserves to fund support for the analysis of consultation results at an estimated cost of £3,000.

## **7. Minton Archive Project**

The Committee received a joint report updating them on the gift of the Minton Archive to Staffordshire and Stoke-on-Trent Archive Service by the Art Fund. The complex ownership and custodial history of the archive was reported to its meeting on 26 March 2015. Subsequently the Art Fund completed the purchase of the archive from Waterford Wedgwood Royal Doulton (WWRD) for £1.65M on 31 March 2015 and by immediate gift transferred ownership to the Archive Service. This transaction however was not a simple donation and the Archive Service and the City Council took on certain obligations, detailed in the report, as conditions of the gift.

The gift of the Minton Archive to the Staffordshire and Stoke-on-Trent Archive Service by the Art Fund had created opportunities and obligations which the Archive Service was collectively undertaking under the title of the Minton Archive Project. This activity was funded, where there were costs, by the Art Fund.

It was noted that the concentrations of Stoke-on-Trent City archive's resources on this important archive was only possible because external support was available, and also some extra costs were being borne by the Art Fund.

**RESOLVED** – That the report be noted.

**8. Date of next meeting - Thursday 19 November 2015 at Stoke-on-Trent (venue to be confirmed)**

Following discussion regarding the need to sign off the final design brief for the Staffordshire History Centre it was agreed that arrangements are made for the Committee to meet in October to consider the design brief before its submission in December.

**RESOLVED** – That arrangements be made for a meeting of the Staffordshire and Stoke-on-Trent Joint Archive Committee on a date to be agreed in October 2015 in Stoke-on-Trent, at a venue to be confirmed.

**Chairman**





<b>Local Members Interest</b>
N/A

## **Staffordshire and Stoke on Trent Joint Archive Committee 22 October 2015**

### **Staffordshire History Centre consultation findings and update**

#### **Recommendation(s)**

- 1a. That the results of the consultation are accepted and noted by the Committee.
- 1b. That the Joint Archive Committee approves the development of Option A for first stage submission to the Heritage Lottery Fund (HLF) in December 2015.

#### **Report of the Acting Director for Place (Staffordshire County Council) and Chief Operating Officer – Resources Directorate (Stoke on Trent City Council)**

#### **Reasons for Recommendations**

##### **Section 1 – Background and context**

2. Following the development of a 10 year vision for the service in conjunction with staff, partners, Friends' groups, local history groups and volunteers of Staffordshire Archives and Heritage, nine initial options for delivery were reduced to four options which were taken forward for wider public consultation over the summer of 2015. This took place over eight weeks from 19 June – 14 August.

3. The four options which were consulted on were:

- **Option A** – Create the Staffordshire History Centre Project with HLF funding. This option proposed redeveloping the Staffordshire Record Office and William Salt Library site to create a new centre. It would put the collections from the Library and Lichfield Record Office into new storage in the correct conditions and create a new browsing space and a programme of activities to engage people. It would use the upper floors of the William Salt Library building to for income generation and would create a new access point for Lichfield.
- **Option B** – Create the Staffordshire History Centre plus museum storage/exhibition with external funding.

This option also proposed redeveloping the Staffordshire Record Office and William Salt Library site to create a new centre as Option A above and a new access point for Lichfield. In addition the County Museum collections would be included in the redevelopment of the site.

- **Option C** - Staffordshire Archives and Heritage – retain all sites & achieve budget savings required. This option retained all current sites and replaced the air conditioning at Lichfield Record Office. However in order to achieve the savings the opening hours at each site were reduced to 15 hours per week at Stafford and 6 hours per week at Lichfield. The William Salt Library building would be retained for storage only with advance ordering required and access delivered at

Staffordshire Record Office. No activity programme would be delivered and there would be no external funding bid.

- **Option D** - Staffordshire History Centre with HLF funding on a new site. This option would develop a History Centre on an entirely new site in the county, either developing an existing building or a new-build. It would include an engagement and activity programme with an application made for HLF funding.

4. Responses to the options were gathered via a survey, which also gathered information about priorities for the future service. The survey was also discussed with 450 people at 11 drop in sessions at public venues and with a forum of representatives from organisations that have archives deposited with the service (21 attendees). Promotion of the process was wide with 10,000 leaflets and 1000 posters distributed at community venues across all 8 districts, local press coverage and extensive social media coverage as well as links from the Service's online pages.

5. The consultation survey reached a variety of users and non-users of the service and a large number of representatives of community and partner organisations from across Staffordshire. In total 539 surveys were completed, with the majority of these being from individuals. The consultation was promoted across the county and city areas with drop-in sessions held at public arenas including markets, libraries and museums.

6. The consultation was commended by the National Archives for the lengthy period and extensive process undertaken by the County Council.

## **Section 2 - Findings of the consultation**

7. The response rate to the Consultation was as follows –

- 539 questionnaires submitted
- 11 drop-in sessions delivered with around 450 people attending
- 21 people at the depositor forum in Lichfield
- The number of completed responses represented 20% of registered users of the Archive Service (currently 1,414 ) and an attendance of 33% of invited depositors (64 invited) to the forum in Lichfield. 18% of respondents were non users of the Service.

8. The response significantly exceeds a previous consultation on a different delivery option carried out in 2014. The current consultation has received more than double the number of responses reflecting a longer time period, increased promotion of the consultation and great engagement with non-users rising from 3% of responses in January 2014 to 18% of responses in 2015.

9. We asked respondents about the type of activities they would be most interested in using/visiting. The most popular choice was attending an exhibition (76%), followed by using a café (57%) or attending a talk (56%). We also asked people about how they would like to be involved with the Service. Most people wanted to support the Service by helping to plan for the future (47%), followed by transcribing and indexing records (46%) and helping to research and create exhibitions (39%).

10. When we asked people the location that they would prefer to use the Service 75% of people wanted to use the Service in Stafford followed by 37% at Lichfield, 24% at Stoke and 6% at Burton. We also asked people about online services and how they would prefer to use them. Most people wanted to use online services prior to a visit and not instead of a visit. The most popular online services were the online catalogue, online indexes and digitised collections. There was considerable interest in development of an online advice service with 61% of people saying they would use the 'Ask the Archivist' service if it was provided.

11. We then asked people to state their preference for the use of Service resources. Respondents showed strong support for one site with more services and an activity programme (over 70%). There was also support from more than three quarters of people (77%) for one site with longer opening hours.

12. The final section of the survey asked people to respond to the four options proposed giving them space to make comments and suggestions about the option. The response showed overwhelming support for Option A and a high degree of rejection for Option C. When asked to rank each option in order of preference Option A had more support than the other three options put together (53%). Option B came next with 23% followed by Option D (15%) and finally Option C (9%).

13. When the results were analysed by type of respondent almost all groups put Option A as their preferred option. This included community groups, voluntary organisations, current users of the service, interested members of the public and residents not currently using the service. Similarly when the data was analysed by district every district except Cannock Chase placed Option A as their preferred option. The highest response rate by district was Stafford (33%) followed by Lichfield (18%) with the lowest response rate being Tamworth (4%).

14. A large number of comments were made on each of the options and on the proposals as a whole. The majority of responses for Option A were overwhelmingly supportive with 196 people commenting that the option was good, realistic or viable. The next popular comment was that it was important to retain the character of and access to the William Salt Library. However people did express concerns around travelling to Stafford and parking in the town. There was also disappointment that the current Lichfield Record Office would close although the replacement access point was welcomed.

15. The majority of comments for Option B were also supportive valuing the addition of the Museum Service to the proposal. Popular comments welcomed the emphasis on community engagement and the idea of securing the future of both the Archive and Museum Service. However some people felt it would be too expensive and overly ambitious.

16. Comments for Option C were not supportive stating it would be a disaster and could not happen.

17. People were also generally not supportive of Option D seeing it as a riskier, more expensive option which would take longer to deliver and potentially offer poor value for money.

18. When asked for alternative suggestions for the project the responses were varied. The most popular comments were to digitise more, work in more partnerships, explore other sources of income and fundraising, keep Lichfield Record Office, increase outreach, value staff and also use volunteers more.

19. Extended responses to the questionnaire were received in the form of letters from four groups – the William Salt Library Trust, Lichfield Civic Society, the Pipe Green Trust, and Beacon Street Area Residents' Association from Lichfield. The National Archives also made an official response.

20. The William Salt Library Trust supported Option A as the best option for delivering the vision of the Trust and developing a new use for the townhouse in which the Library collection is currently stored. The National Archives supported either Option A or B but did not support Option C as it would not achieve the Archives Accreditation standard. They felt there was less need for Option D if either A or B could go ahead offering better value. Lichfield Civic Society and Beacon Street Residents Association both supported Option D as the most attractive option. They both expressed concerns about other options and about the consultation process. The Pipe Green Trust thought Option D was an attractive option but supported Option A albeit with reservations and expressed a desire to know more about the access point in Lichfield. The responses are summarised in the full consultation report at Appendix two.

21. The conclusions from the consultation clearly point to a preference for Option A and a centralised service. There was also support for an outreach and activity programme and more digitisation. Other suggestions were to explore charging for services and work with other partners more especially libraries and health providers. Issues were raised around retaining access to original documents,

22. The findings from the consultation have been shared with the Project Board who recommended the development of Option A and a fall back option should the Heritage Lottery Fund application be unsuccessful. Representatives from the groups who had shortlisted the nine options down to four in May 2015 were invited to a stakeholder meeting on 17<sup>th</sup> September to hear the headline results from the consultation. They were also asked to discuss the plans for the activity and outreach programme to help inform its development.

### **Section 3 - Preferred option and Heritage Lottery Fund submission**

23. Since the Project Board meeting in early September Option A has been developed further to add more detail to the proposal. The William Salt Library Trust (the main project partner) is currently receiving mentoring and support from the Princes Regeneration Trust (PRT). PRT facilitated a workshop with trustees, Friends of the William Salt Library, representatives from Stafford Borough Council (for planning and building conservation), and architect from a local firm working pro bono and some Archive Service staff to look at the options for the site in the light of Option A as the preferred option. The workshop explored the issues facing the service and also the space in Stafford town centre identifying challenges and opportunities for the project.

24. The workshop identified the following key requirements in development of the brief for the architect:

- Create new storage at the rear of Staffordshire Record Office to store collections from the William Salt Library, Lichfield Record Office and provide expansion space.
- Refurbish both the William Salt Library and Staffordshire Record Office.
- Create a link between the Library and Record Office site to provide bright welcoming new spaces. These spaces would be used for activity by volunteers, audience engagement, and schools. An exhibition area, café/shop and browsing space for the service to offer an easy entry point for new users would also be created.
- The William Salt Library building would be re-purposed for a range of uses including community activity, office space, and possibly residential use. The community uses would link to the Staffordshire History Centre and also enable the Library to provide lettable rooms for income generation. The Trust is pursuing an option to provide office space for small businesses on the upper floors in a co-working type space/enterprise hub which again would generate income to support the Library.
- The current changes to Stafford town centre were identified as an opportunity to develop new audiences for heritage.

25. The Archive Service management team have also developed an outline proposal for the activity programme for the Staffordshire History Centre based on the feedback from the consultation and stakeholders at the September meeting. The outline programme covers:

- **Community offer** to include exhibitions developed with partners, volunteers, and groups. An accredited volunteer scheme and more space for volunteers both at the Staffordshire History Centre and also new Community History Centres in Lichfield and Burton. New community roadshows, projects and schools offer would be developed to promote the collections more widely.
- **Digital offer** to include the current project to digitise Staffordshire Tithe Maps which the Friends of Staffordshire & Stoke on Trent Archive Service are already fundraising for. Encourage other community groups to fundraise to digitise other key collections. Establish digital displays at Lichfield and Burton to promote the collections identified by local groups. Delivery of new engaging, user friendly front end to the online catalogue to deliver access to collections more effectively. Develop an online advice service to support distance users of collections and supplement the digital offer. The work with Find My Past will continue however although complementary, it is separate to the HLF project.
- **Community History Centre** to be developed at Lichfield Library and to rejuvenate the current Local and Family History Centre in Burton Library. This would include working with local groups to develop and deliver the new centres and retain access to online collections, microfilm and microfiche, and local studies books. The Centres would act as new hubs for volunteer programmes and spaces for local and family history groups.
- **Exhibitions offer** to include onsite exhibitions at the Staffordshire History Centre to display archives, books and objects together. To offer a shop window for the collections, security to enable regional and national loans. Wider access for oral history collections and film archives will be explored through the creation of dedicated spaces. Onsite exhibitions would be created in a way that elements could tour to Community History Centres, libraries and other local venues. Loans from core collections to suitable venues across the county would also be supported.

26. A fall back option will be developed in parallel with Option A to include:

- **Prioritising securing the collections** by identifying alternative storage either through offsite storage, leased storage, or cheaper new build storage outside of the town centre. New discussions would open with the William Salt Library Trust about the future of the Library.
- **The public service would be remodelled** based on operating from one site in Stafford. A smaller access point would be created in Lichfield Library. The staffing structure would also be reorganised to deliver this model and the MTFS savings.
- **A new business case would be made** to retain the matched funding to deliver some physical changes to the Service to enable a smaller outreach and exhibition programme to be delivered. Smaller bids would be made to grant giving bodies to deliver elements of the activities programme.
- **The digital offer** would still be developed with fundraising for the tithe map digitisation continuing. The work with Find My Past will also continue. Smaller bids for digitising key collections and developing a new front end for the online catalogue would also be considered.

#### **Section 4 – Proposed process and next steps**

27. Following a competitive process the architects Roberts Limbrick have been appointed to develop the design and feasibility study for the preferred option for the stage 1 HLF application. They have previous experience of working with listed buildings, archive services, and HLF applications.

28. The architects will work with the main partners, staff of the Archive and Heritage Service and Project Team to develop the design. The draft designs will also be shared with stakeholders to gather their feedback. The design will be costed to enable the HLF application to be completed with all the required supporting information.

29. The activity programme will continue to be developed with partners, staff, and the Project Team to support the HLF application. The costs of this programme are being established to the level required for a stage 1 HLF bid.

30. Both elements of the bid are being based on an indicative cost of around £4million for the whole project. The matched funding agreed by the County Council is £412,000 with an additional £50,000 approved from the Joint Archives Committee reserve. A further request to use an additional £50,000 from the reserve is being made under the Finance report to the Committee.

31. A target of £150,000 from other grants, foundations and charitable trusts has also been set to raise between now and stage 2 of the project. The Friends of Staffordshire and Stoke on Trent Archive Service are half way towards their fundraising target of £18,000 to digitise the tithe maps. They have achieved this by seeking sponsorship of maps from local history groups, parish councils, businesses, and individuals. The Friends will continue to fundraise. The William Salt Library Trust has also committed to making a cash contribution to the project. The Trust, Friends groups and volunteers will also support the project with their time and skills counting as in kind contributions. Other partners will be approached for their support with either cash or in kind contributions. Approximately 20-30% of matched funding will be raised through the project.

32. The HLF application will be submitted by 10 December 2015 led by the Archives and Heritage team with support from Strategic Property, our consultants and architects, partners, and Project Team. A Project Enquiry form has been submitted which will enable the team to receive advice from HLF. After the bid has been submitted HLF will assess the bid and it will be considered by the Board in March 2016 with a decision made soon after.

## **Appendix 1**

### **Equalities implications:**

The consultation was widely advertised and promoted across the county with drop in sessions and events to attract participation. The response rate indicates a broad range of participation from a variety of groups and individuals. The comments and feedback will be used to help shape the bid and deliver access in different ways.

### **Legal implications:**

Discussions will continue between the County Council and William Salt Library Trust regarding the lease and the potential for a new agreement between the two bodies. A partnership agreement was signed in 2014 to enable the submission of a joint bid. This agreement is still in place.

### **Resource and Value for money implications:**

The Vision and development of option A will be used to help restructure and transform the Archive and Heritage Service to ensure that it has the right roles and skills for delivery and sustainability in the future. It will enable delivery of savings identified in the MTFs of £155,000 and take into account future anticipated savings. Staff and trade union representatives will continue to be engaged in the development of this work and consultation will be entered into as appropriate

### **Risk implications:**

The project is not fully funded and depends on securing external funding, income generation and other fundraising. Options for delivering the project without major HLF funding will continue to be developed in parallel with the preferred option

### **Climate Change implications:**

The project balances online access and physical access to services and collections to offer options for remote use and not necessarily travel to multiple locations. Any new buildings will be compliant with modern standards for energy efficiency and minimise impacts on climate change.

### **Health Impact Assessment screening:**

The project offers opportunities for volunteers to get involved and add value to the service with support and accredited training programmes from staff. Volunteering provides many social benefits for individuals which can impact positively on health.

### **Report author:**

Author's Name: Joanna Terry, Head of Archives and Heritage  
Telephone No: (01785) 278370  
Room No: Staffordshire Record Office

### **List of Background Papers - Nil**

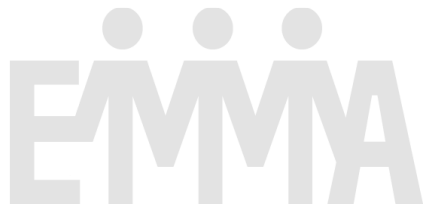




September 7, 2015

# Findings of the Staffordshire Archives & Heritage consultation on the options for the service

Presented to the Project Board September 2015



Janice Tullock Associates Limited

Presented by: Janice Tullock and Emma Parsons

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## Executive Summary

### The consultation

This consultation was developed in conjunction with the staff, partners, Friends' groups, local history groups and volunteers of Staffordshire Archives and Heritage. Following the development of a 10 year vision for the service, 9 initial options for delivery were cut to 4 options which were taken forward for wider public consultation over the summer of 2015.

The 4 options consulted on were:

**Option A** – Create the Staffordshire History Centre Project with HLF funding

**Option B** – Create the Staffordshire History Centre plus museum storage/exhibition with external funding.

**Option C** - Staffordshire Archives and Heritage – retain all sites & achieve budget savings required.

**Option D** - Staffordshire History Centre with HLF funding on a new site.

Responses to the options were gathered via survey, which also gathered information about priorities for the future service. The survey was also discussed with 450 people at 11 drop in sessions at public venues and with a forum of representatives from organisations that have archives deposited with the service (21 attendees). Promotion of the process was wide with 10,000 leaflets and 1000 posters distributed at community venues across all 8 districts, local press coverage and extensive social media coverage as well as links from the Service's online pages.

### Survey findings

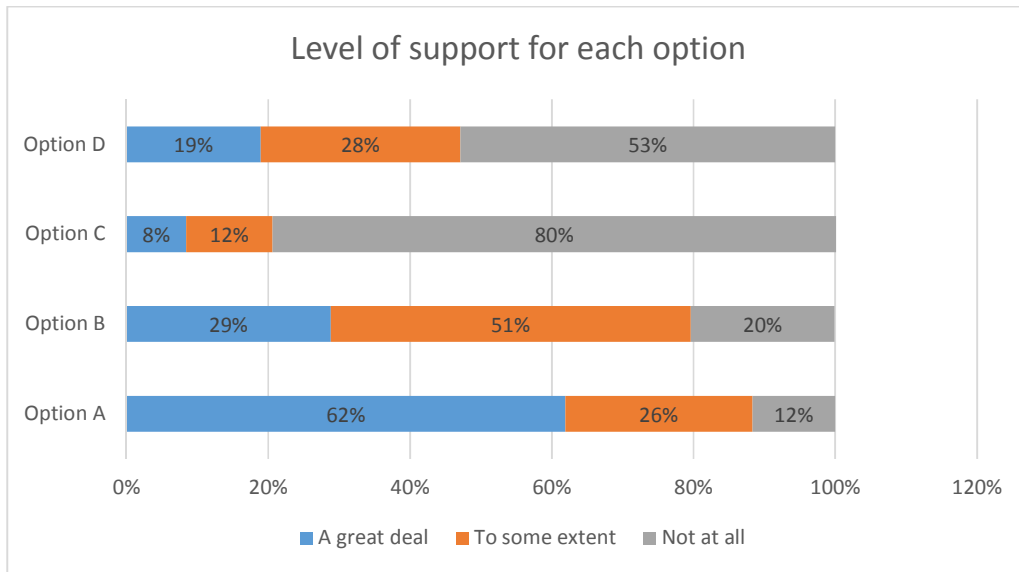
The consultation survey reached a variety of users and non-users of the service and a large number of representatives of community and partner organisations from across Staffordshire. In total 539 surveys were completed, with the majority of these being from individuals. The consultation was promoted across the county and city areas with drop-in sessions held at public arenas including markets, libraries and museums.

We asked respondents how they would like to use the service in the future. There was a high level of support for a variety of activities such as undertaking a course, but the majority (361) of people were keen to attend exhibitions. We asked people about their interest in a number of types of engagement with the service. The most popular choice (127) was to help to plan the future of the service with transcribing, and indexing records being a close second choice.

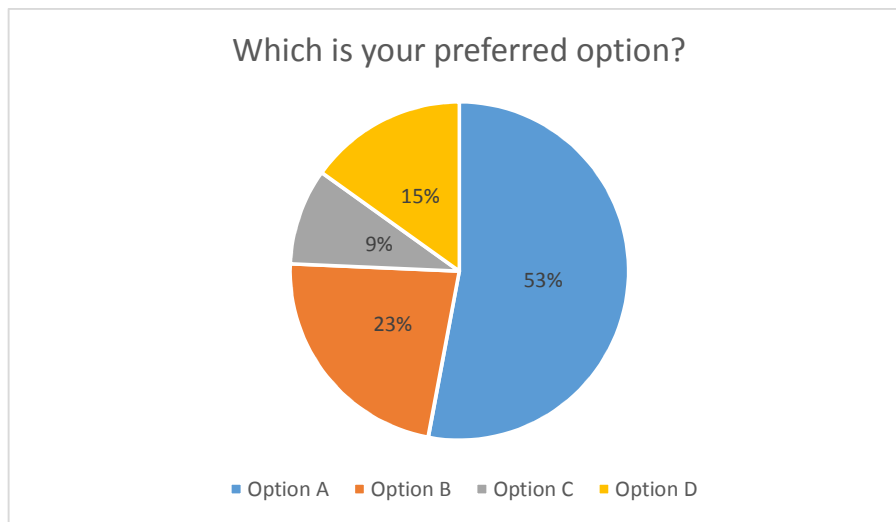
We then asked people about their preferences for the use of service resources:

- Over 70% of people said that they would prefer more services on one site and a strong activity programme than services across multiple sites and a smaller activity programme.
- Over 77% of people said that they would prefer longer opening hours on fewer sites than retaining multiple sites with much shorter opening hours.

The final section of the survey asked people about their levels of support for each option. These questions show strong support for Option A and a high degree of rejection for Option C.



We then asked people to identify their preferred option for the delivery of the service. 53% of the respondents preferred Option A, which had a greater level of support than all the other options put together.



These preferences were equally expressed across different groups of respondents and most locations of residents.

#### Responses at drop in sessions

At 11 drop in sessions, the SCC Archives and Heritage team spoke to around 450 people and their responses are mainly collected via survey responses. A variety of concerns were expressed alongside a number of ideas for future development by the service.

## Responses at depositor forum

A forum for depositors was held in Lichfield and attended by 21 people representing 20 depositing organisations. The options were presented and a question and answer session followed with attendees encouraged to complete the questionnaire separate to the session.

## Conclusions

The consultation has been successful in gathering views from across a wide range of people and locations in Staffordshire and beyond, with more non-users represented than in previous consultation.

Key findings were :

- Option A was the preferred choice of 53% of the respondents.
- There was support for more services on 1 site with a stronger activity plan (71%) and for longer opening hours on fewer sites (77%).

Our recommendations to the Board are therefore to take these consultation findings into account and:

- to be sure that all feasible options for future delivery have been considered;
- decide on their preferred option to be developed further;
- develop a 'fallback' option to deliver if HLF funding is not secured.

It is also recognised that much more work and detail needs to be developed on costs, activities, digitization and timeframes for the preferred option, and that continued consultation and involvement of the public is essential.

As such we also recommend that the Board –

- agree that the Project team work to develop the plans and costings for the preferred option in line with the needs of a stage 1 application for a Major Grant from HLF;
- that the stakeholder group continues to be involved and that the active participation of members of the public continues in the project and is a key part of a HLF development phase.

## The Consultation

Over the winter and spring of 2014/15, Staffordshire Archives and Heritage has been working with staff, partners, Friends' groups, local history groups and volunteers to develop a new 10 year vision to create a service for the future. With the new vision agreed in the spring, the next step was to explore delivery options for the service. Working with a group representing stakeholders, the team identified 9 potential delivery options which were then discussed at length at 2 stakeholder workshops in Lichfield and Stafford in May. We then developed the option descriptions further, examining how each option could be delivered. A shortlist of 4 delivery options was then taken forward for wider public consultation over the summer. The 4 options shortlisted were:

- **Option A** – Create the Staffordshire History Centre Project with HLF funding. Create the Staffordshire History Centre Project with external funding:
  - Creating an expanded programme of activity
  - Redeveloping current Staffordshire Record Office to store collections currently held at Lichfield Record Office and William Salt Library. This would provide new public areas for exhibition, events and activities, volunteering and research and provide storage to put collections currently at Lichfield and William Salt Library into the correct conditions AND allows for the acquisitions of new collections for around a 20-25 year period.
  - New service browsing space would be estimated to be open 37 hours per week and during at least 21 hours (ideally more) providing a search room service for archive/rare book access which would be staff run with support from volunteers.
  - Replace the current Lichfield Record Office with a new access point to the collections at a town centre venue in Lichfield with some of the activity programme delivered there.
  - Joining the current William Salt Library (WSL) building to the redeveloped Staffordshire Record Office
  
- **Option B** – Create the Staffordshire History Centre plus museum storage/exhibition with external funding. This Option is the same as Option A but includes the Museum Service as part of the Centre.
  
- **Option C** - Staffordshire Archives and Heritage – retain all sites & achieve budget savings required. In this option the service would retain all its current sites. It would replace current air conditioning at Lichfield Record Office. William Salt Library building would be retained as a collections storage site, with access via the Staffordshire Record Office (advance ordering). Savings would be made by reducing staffing and opening times substantially across all sites. It is likely that Staffordshire Record Office would be open around 15 hours a week and Lichfield Record Office 6 hours a week. There would not be funding bid.
  
- **Option D** - Staffordshire History Centre with HLF funding on a new site. This option would develop a History Centre on an entirely new site in the county, either developing an existing building or a new-build. It would include an engagement and activity programme with an application made for HLF funding.

The public consultation process lasted 8 weeks from 19 June 2015 through to 14 August 2015 and was based around a questionnaire which gathered responses to each option and asked respondents what elements of the service they were most interested in using in the future, and where. The questionnaire also captured the respondents past use of the service and some basic demographic information. It was available both as paper copies and online and is shown in full in the report appendix.

The questionnaire was accompanied by detail about each option and the implications of each, alongside contextual information outlining the key trends in archive use and the financial and budgetary constraints in which the service will operate over the coming years.

The survey aimed to gather responses from a range of existing users and potential users and was promoted as follows –

- To around 450 people at 11 drop-in sessions in public venues such as libraries, markets and museums across the county (Leek, Lichfield, Museum of Cannock Chase, Newcastle, Perton, the Potteries Museum, Shugborough, Stone, Burton, Stafford, Tamworth);
- With stakeholder groups and volunteers;
- Online on the SCC website with 2,518 visitors to the 'Our Vision' pages;
- In local press across the county area;
- With 10,000 printed leaflets distributed across all 8 districts into libraries, record offices and community venues
- 1,000 posters distributed across all 8 districts as above
- 63 separate tweets and facebook posts with a combined reach of 522,100 working through the SCC, Archives and Libraries social media accounts.

The process also included an event for depositors to gather their feedback to the options. Feedback to the plans was also gathered from the sector body The National Archives, which has oversight of Places of Deposit for Public Records such as this service.

The response rate was as follows –

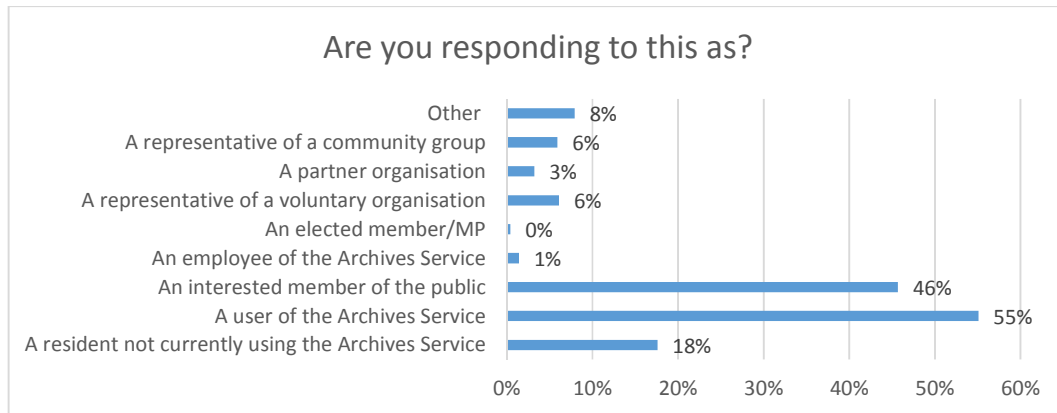
- 539 questionnaires submitted
- 11 drop-in sessions delivered with around 450 people attending
- 21 people at the depositor forum in Lichfield
- The number of completed responses represented 20% of registered users of the Archive Service (currently 1,414 ) and an attendance of 33% of invited depositors (64 invited) to the forum in Lichfield. 18% of respondents were non users of the Service.

The response significantly exceeds a previous consultation on a different delivery option carried out in 2014. The 2014 consultation ran for four weeks from 6 – 31 January and received 241 responses overall plus submissions from the Diocese of Lichfield, National Archives, friends groups, and other organisations. The current consultation has received more than double the number of responses reflecting a longer time period, increased promotion of the consultation and great engagement with non-users rising from 3% of responses in January 2014 to 18% of responses in 2015.

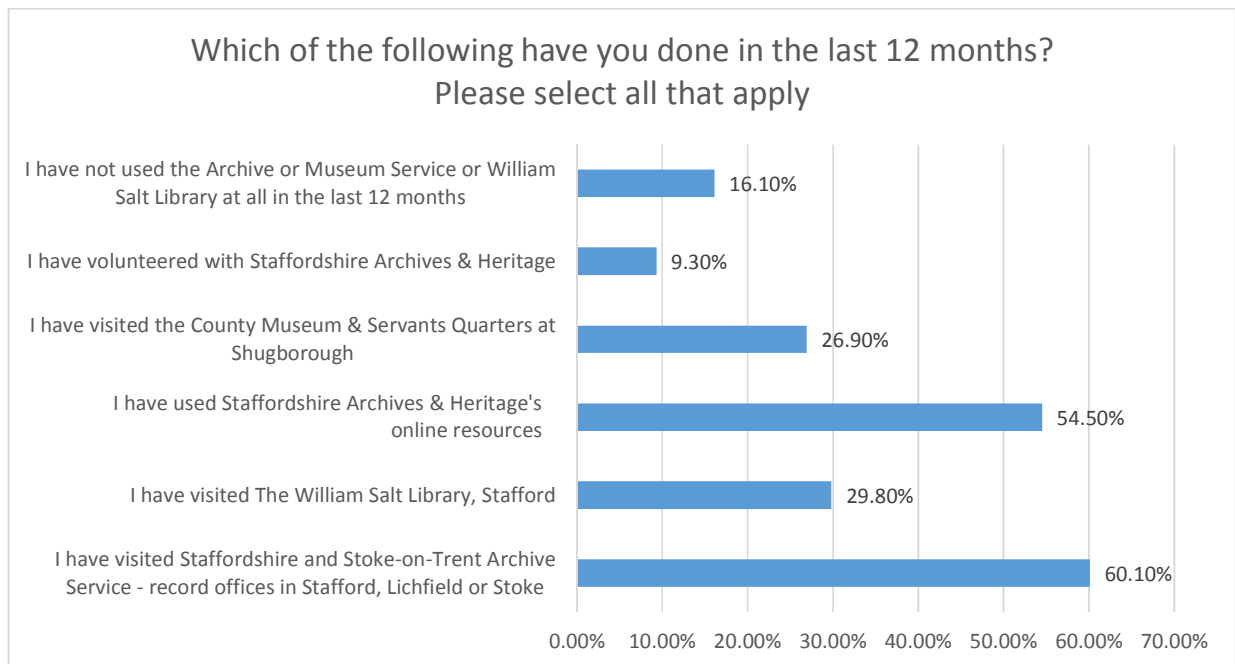
## Survey findings

### The respondents to the consultation survey

The consultation survey reached a variety of users and non-users of the service and a large number of representatives of community and partner organisations. In total 539 surveys were completed, with the majority of these being from individuals.



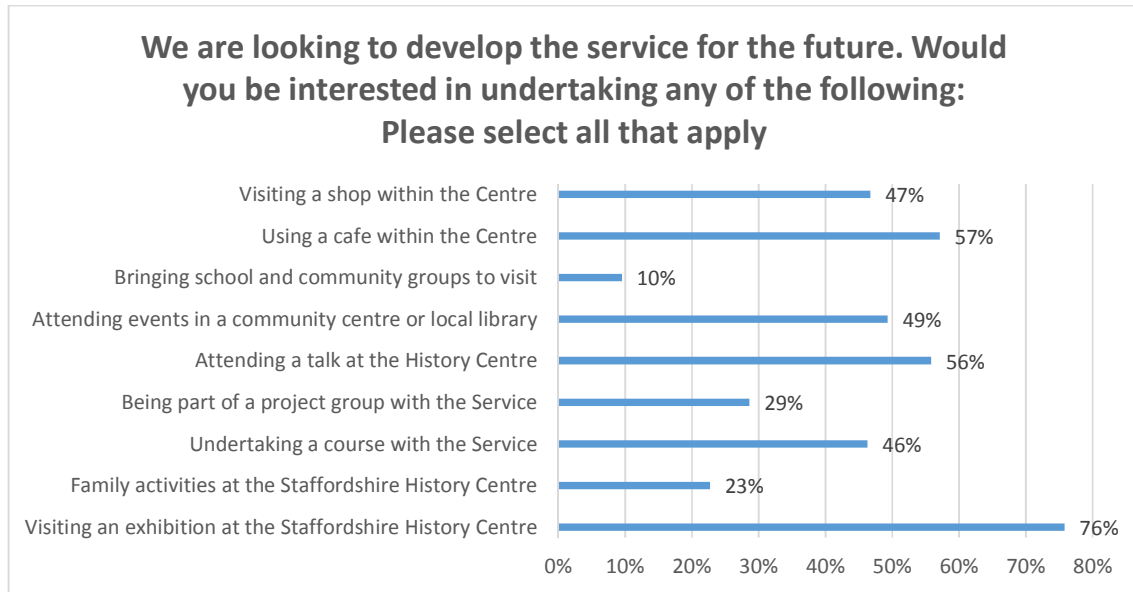
Survey respondents had engaged in the activities of the service in a variety of ways and at a number of locations, with the majority visiting the record offices in the last 12 months. Note that respondents can tick more than 1 option so responses total more than 100%.



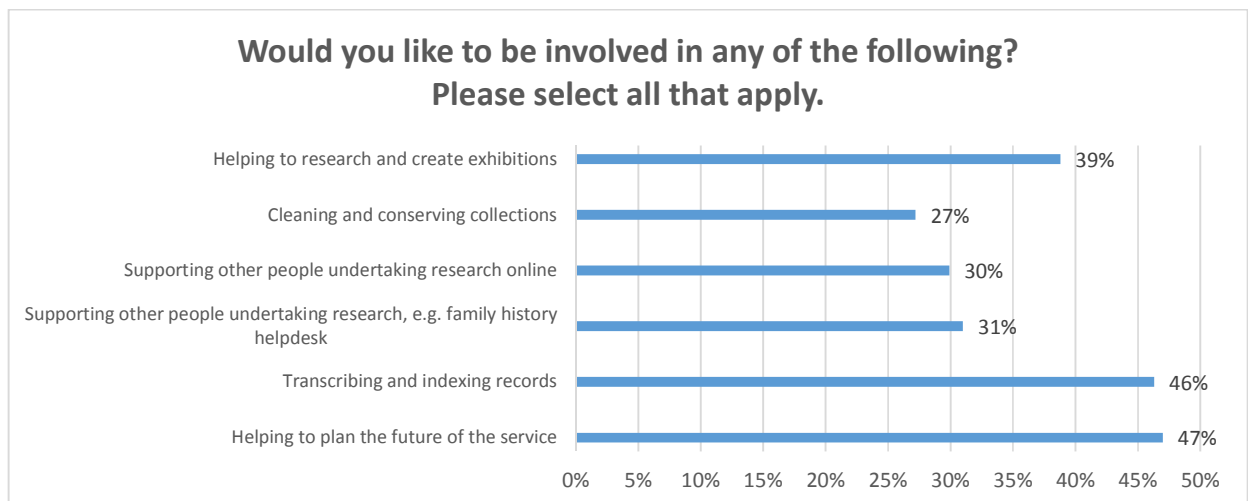


## How respondents would like to participate in the service in the future

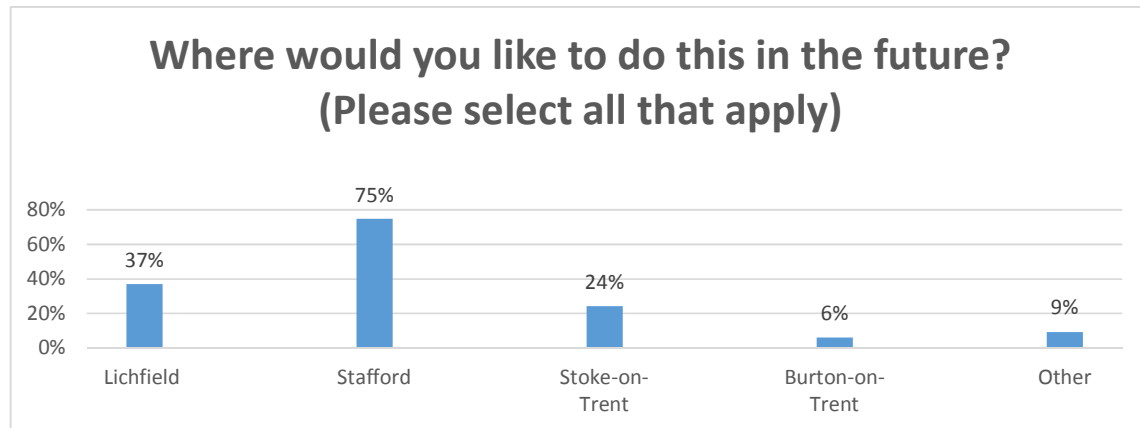
The first section of the survey asked respondents how they would like to use the service in the future. We looked at levels of support for activities beyond research services. There was a high level of support for visiting exhibitions, attending talks and using a café at a future service. The least popular option was bringing school and community groups to visit, probably because we did not consult with teachers specifically at this stage.



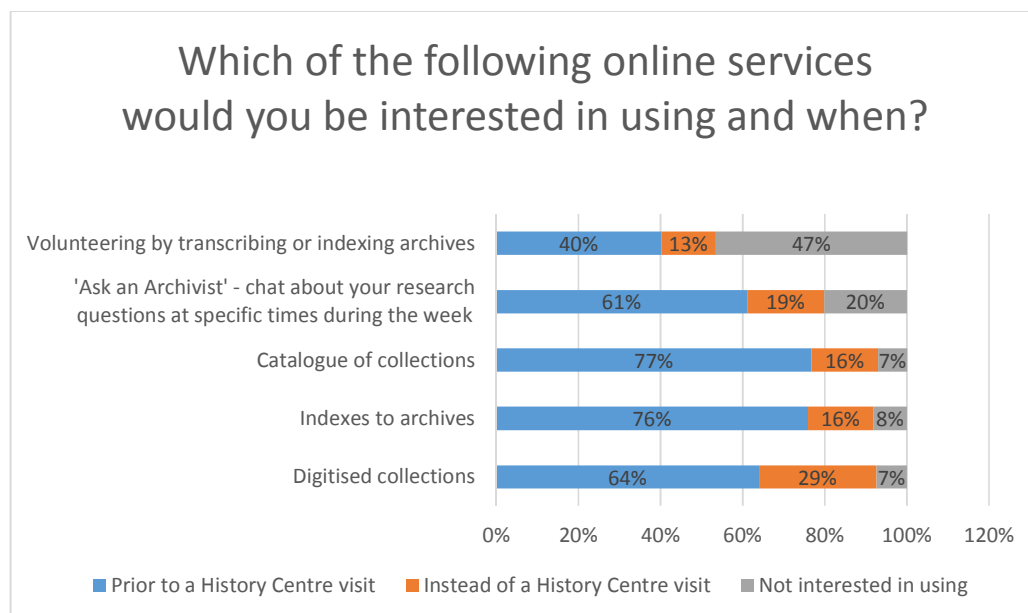
We asked people about their interest in a number of types of engagement with the service. The most popular choice was to help to plan the future of the service (127) with transcribing and indexing records being a close second choice.



We asked people which location they would like to use the services in the future. The majority of people (371) wanted to use services at Stafford with Lichfield (182) and Stoke-on Trent (120) coming second and third respectively in popularity. Note that 18% of respondents were from Lichfield (97 people), 7% from Stoke-on-Trent (38 people).



Next we asked people which online services they would be interested in using and when.

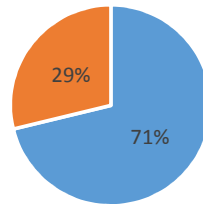


Finally we asked people about their preferences for the use of services resources. We firstly asked people whether they would prefer:

- More Services on one site and a strong activity programme
- Or
- Services across multiple sites and a smaller activity programme

Over 70% chose more services on one site.

The future service needs to make the most of limited resources, therefore we can't deliver everything and keep the service as it is. Would you prefer that the service had:



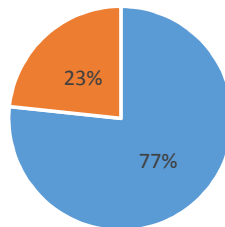
- More services on one site and a stronger activity programme
- Services across multiple sites and a smaller activity programme

We then asked people whether they would prefer:

- Longer opening hours on fewer sites
- Retaining multiple sites with much shorter opening hours

77% chose longer opening hours on fewer sites -

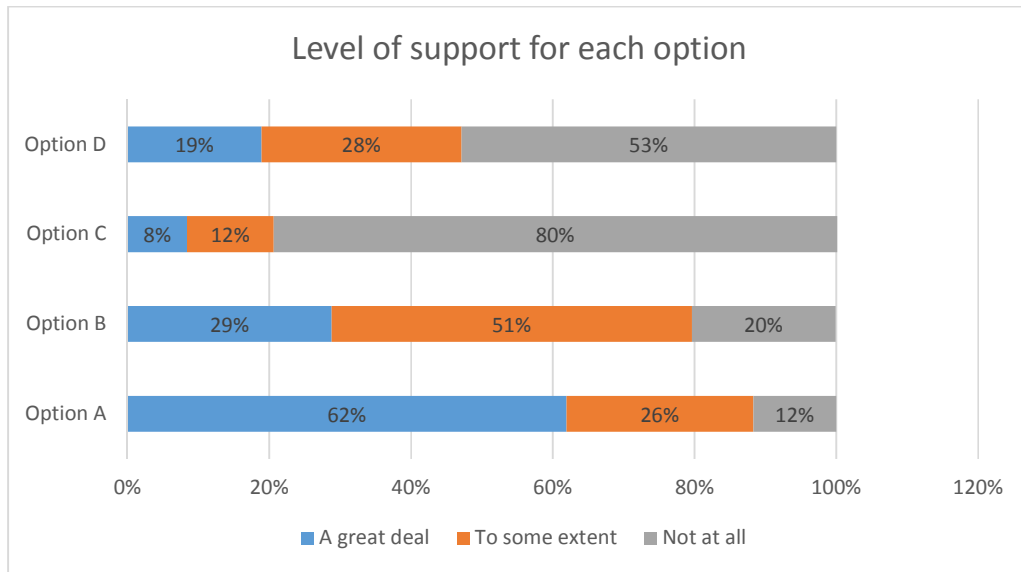
There are a number of ways that we can make the most of our resources. Would you prefer that the service had:



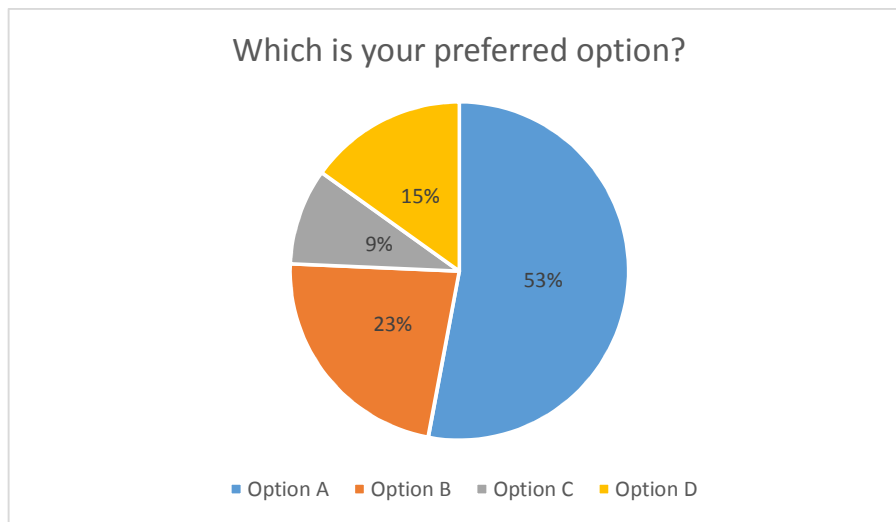
- Had longer opening hours on fewer sites
- Retained multiple sites with much shorter opening hours

## Responses to the options for delivery of the service

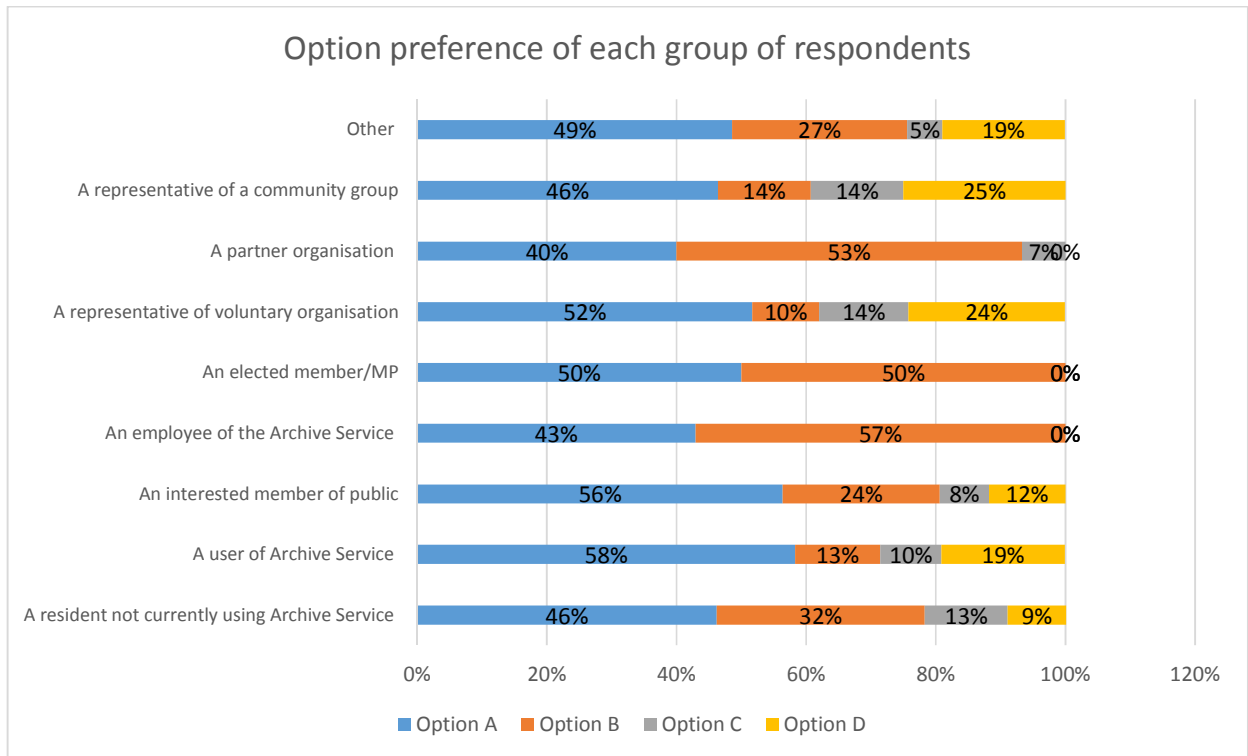
The final section of the survey asked people about their levels of support for each option. These questions show overwhelming support for Option A and a high degree of rejection for Option C.



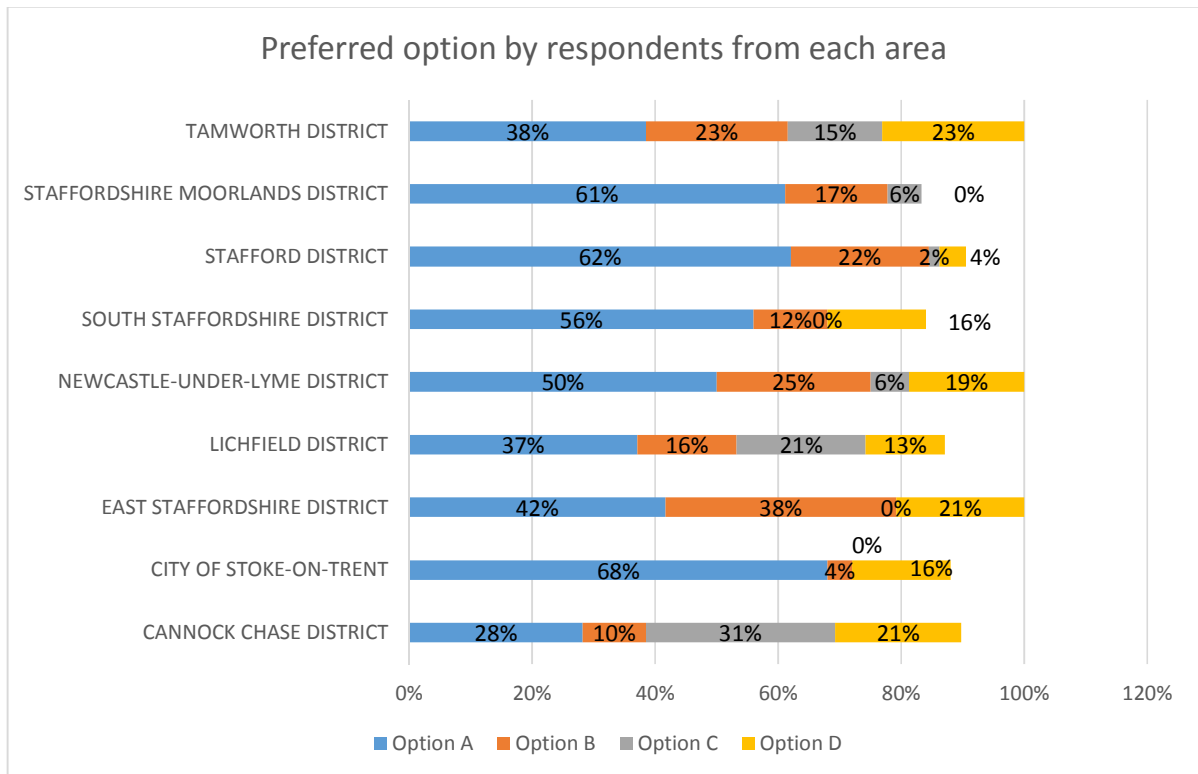
We then asked people to identify their preferred option for the delivery of the service. 53% of the respondents preferred Option A, which had a greater level of support than all the other options put together.



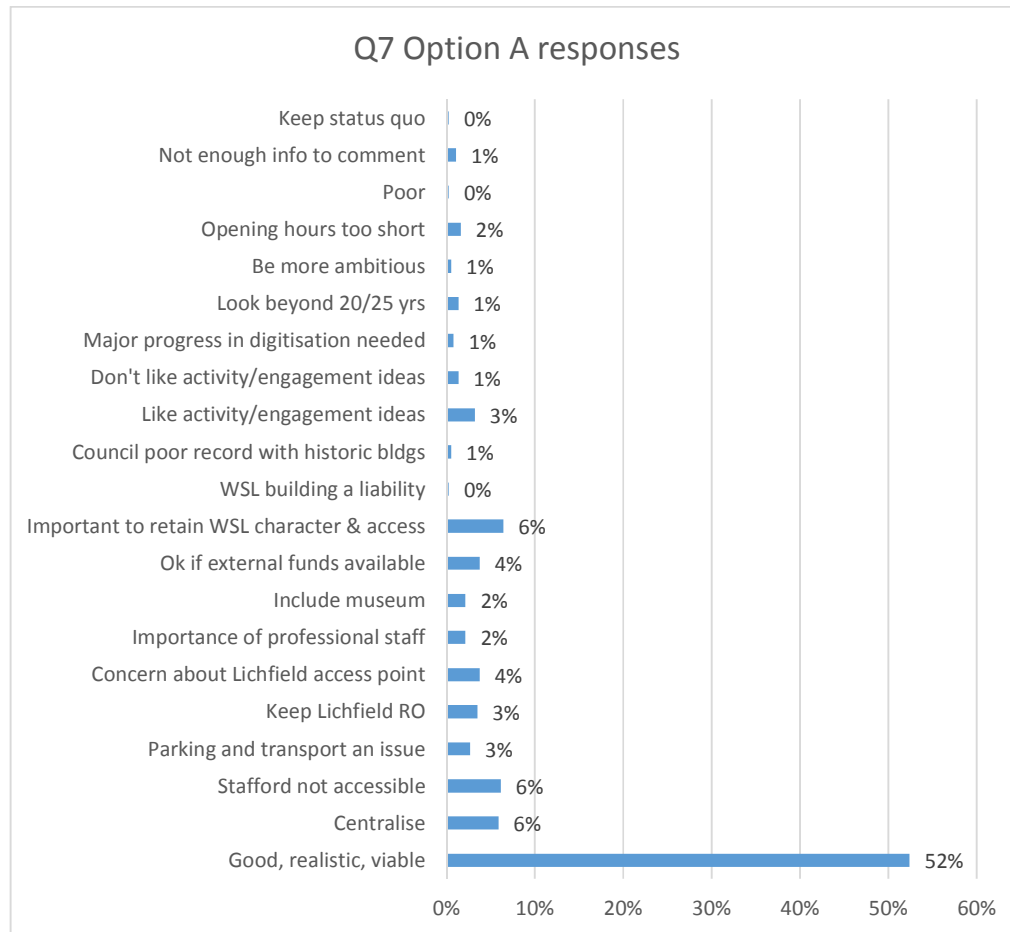
As a part of the analysis we looked at whether the different groups of respondents preferred different options. Firstly we looked at whether users/non users/community groups had different preferences.



Secondly we looked whether residents of different locations had different preferences.



In addition to expressing their preferences on each option, respondents were able to comment on each option. We have read and analysed each option, producing an overview of comments on each option below.



The majority of responses to Option A were overwhelmingly supportive with 196 people commenting that the option was Good, realistic or viable. The next popular comment was that it was important to retain the character of and access to the William Salt Library

The most popular responses on option A are reflected in these comments –

*“This look sensible and makes the most of existing sites. I think multiple sites are confusing for people. More interested in exhibitions and talks.”*

*“This seems ok but Stafford is not the easiest place to get to from South Derbyshire/East Staffordshire by public transport and what about parking?”*

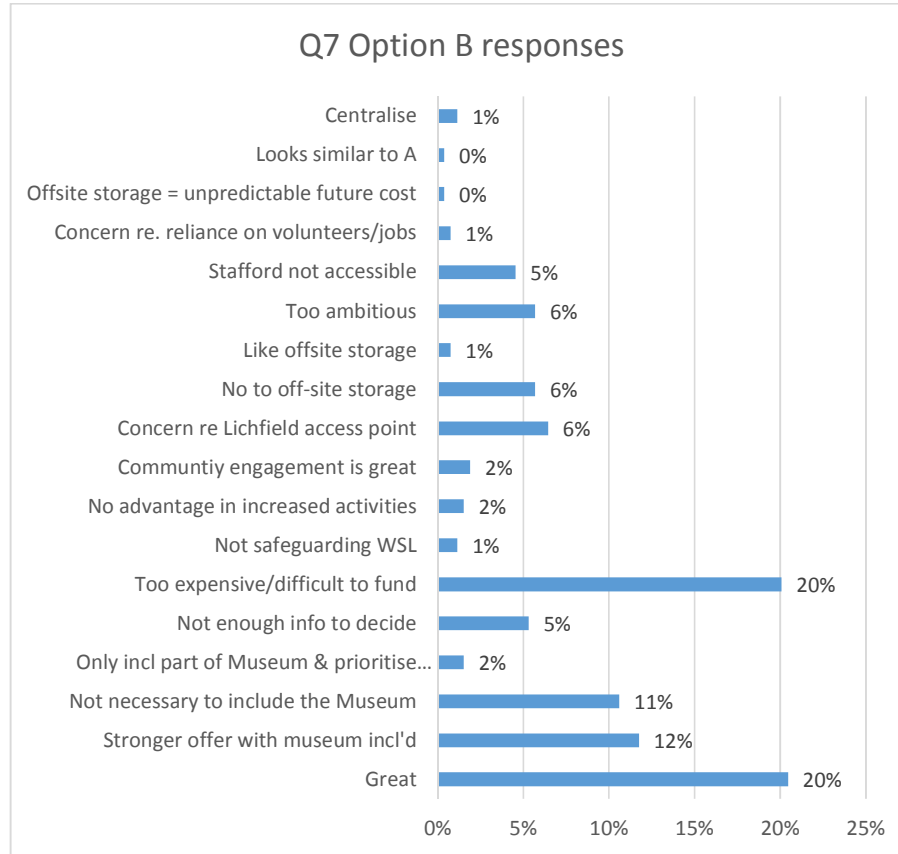
*“Like expanded activity and extensive opening hours. Disappointing that Lichfield Record Office would close but encouraging that there would still be some access to collections in Lichfield.”*

*“Collections held at LRO are Diocesan records so should remain in Lichfield. A new access point at Lichfield would be costly and not contain original documents.”*

*“Would really prefer sites, staffing & opening hours to remain as they are but in the circumstances outlined feel that this is the best option.”*

*“A good idea to have a more central service and replicate the 'feel' of the WSL in this site.”*

The majority of responses to Option B were supportive. People valued the strong offer that including the museum provided.



The most popular comments in response to option B are reflected below –

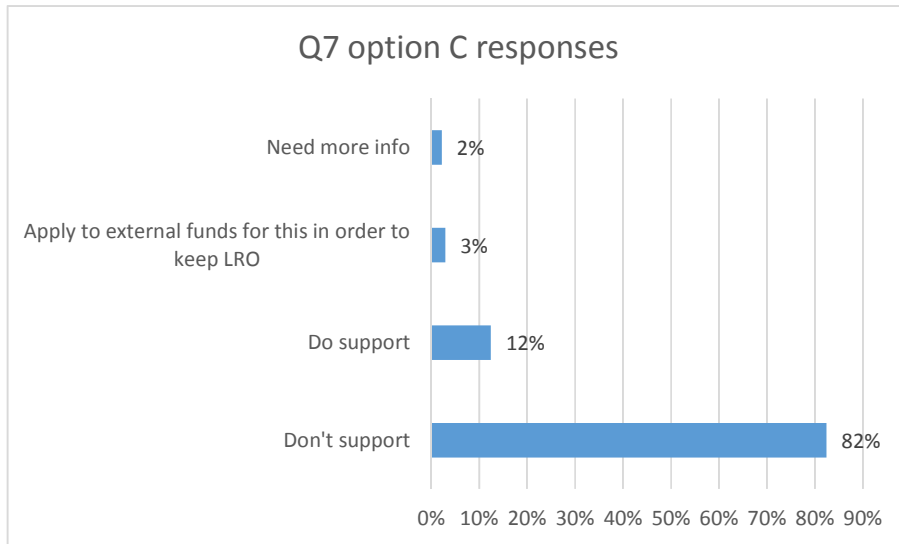
*“This option is the most sustainable and realistic, and takes into account all of the valuable services - I am very glad to see the museum service included in this option, and the emphasis on community engagement which Stafford excels at.”*

*“If it helps to secure the future of the Archives and the Museum then it is a good idea.”*

*“Whilst the similarity to A makes this an attractive option I think including the Museum service will dilute the effectiveness, add confusion and cost more money...however, it is essential that the two work together closely.”*

*“Too ambitious.”*

The majority of responses to Option C were not supportive.

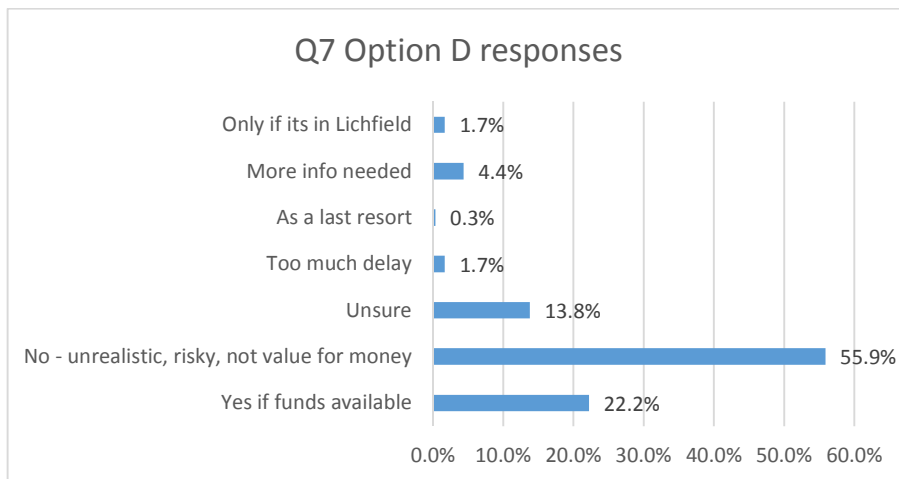


The most used comments under option C responses were –

*“Absolutely not. This cannot happen.”*

*“The drastic reduction in opening hours and numbers of staff would be very, very regrettable. Having such limited access opportunities for both research and volunteer activities would severely undermine the whole purpose of the Archive Service.”*

The majority of responses to Option D stated that they thought it was unrealistic, risky or not value for money.



The most frequently given comments for option D were –

*“This seems very expensive and unlikely to get funded. What would happen to the old sites would they be just left empty?”*

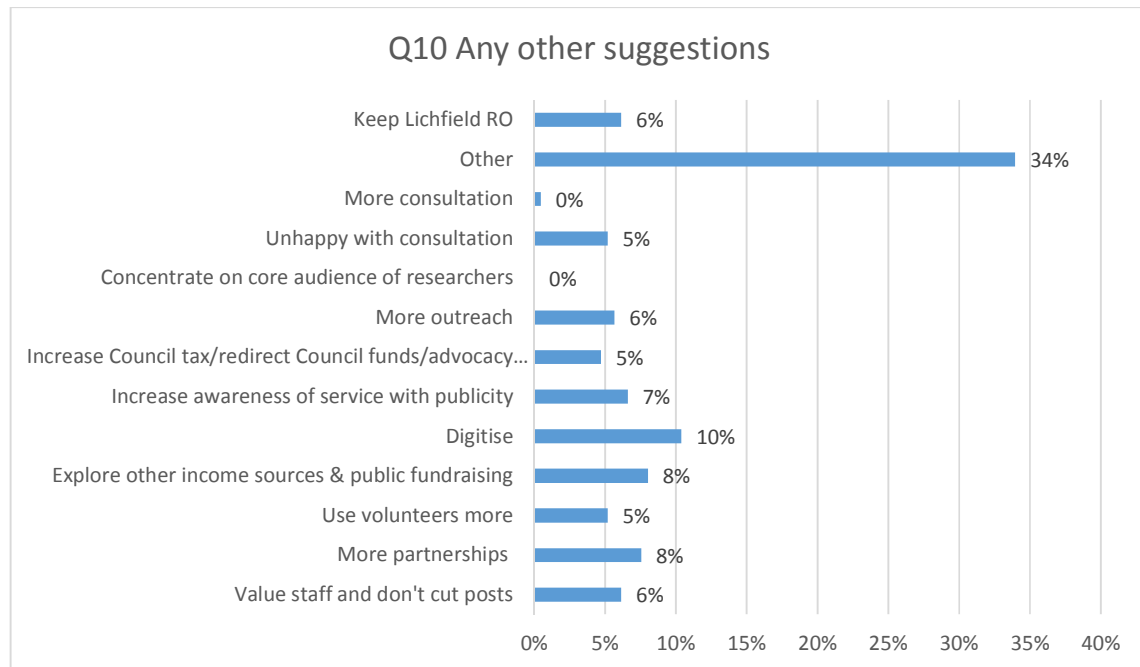
*“Sounds really good, but probably not feasible in current economic climate.”*



*"I think using current facilities but improving the building and resources would be better than this."*

*"Pie in the sky. Would delay things too long, unless a site is actually unmentioned but available. If so, where? Parochial loyalties would be raised, and decisions delayed"*

Finally, we asked respondents whether they had any suggestions for the project or service and these are summarized below:



The comments here were extremely varied. Examples of the themes most quoted are given below –

*"Digitisation is the future."*

*"Worst case scenario charge non-Staffordshire council tax payers a fee per visit or a season ticket as per Devon Archives in Exeter Archives. After all you have something we want. "*

*"Extend partnerships with online providers to generate income. Look into private investment."*

*"Greater engagement and collaborative projects with a variety of audiences including academic".*

*"To see them advertised more."*

*"More staff to help and longer opening hours."*

Extended responses to the questionnaire were received in the form of letters from 4 groups – the William Salt Library Trust, Lichfield Civic Society, the Pipe Green Trust, and Beacon Street Area Residents' Association from Lichfield.

## Response to the consultation by The National Archives

The service received a letter commenting on the consultation from The National Archives Head of Archive Sector Development and Secretary to the Historical Manuscripts Commission, Isobel Hunter. This is pertinent to the consultation given that TNA is the national professional body for archives, and manages and delivers the accreditation programme which sets and monitors professional standards.

The letter recognises the challenge facing archives and the wider heritage sector in relation to the ongoing reduction of resources and the need to find alternative ways of delivering services. They advise that *“the preservation and integrity of collections, and the provision of public access to their contents, should be paramount when undertaking such a review of service delivery....[and] that any solution considered is appropriate to the local circumstances, is sustainable, and is in the best interests of the collections and their continued use.”*

In this context, The National Archives advise that options A and B be considered for future development and would recommend that option C not be adopted. They outline that given the Stafford Record Office (SRO) currently provides suitable storage and was approved as a Place of Deposit for public records in 2013 this reduces the need for option D.

The letter ends *“We would welcome the opportunity to continue to engage with Staffordshire County Council on this matter and would like to commend the lengthy and extensive period of consultation being undertaken.”*

## Responses at drop in sessions

The SCC Archives and Heritage team delivered 11 drop in sessions across the county and spoke to around 450 people in the process. The sessions aimed to encourage the public to complete a questionnaire to capture their responses to the options, but also to raise awareness of the service and of its potential future development.

Comments to staff were recorded in addition to questionnaire responses and are shown below.

Responses to options –

- General support for the consultation process and the drop-in sessions;
- Value shown for the knowledge of the staff with concern about potential loss of posts;
- Concern about access in Stafford in terms of parking and traffic;
- Support for a centralized service with outreach and digitization;
- Support for much more outreach in areas away from towns with Record Offices;
- Lack of awareness of archives amongst many;
- More volunteering opportunities needed;
- A wish to see an increase in use by students.

Ideas for future development –

- Use Community Infrastructure Levy funds to support access in Lichfield;
- Local groups could fund digitization on demand;
- More promotion of the service to increase awareness and use;
- Better broadband across the county would encourage more digital access from home;
- More partnerships, particularly with libraries;
- Use the Old Treasurers’ Building in Stafford;
- The potential to work with dementia groups and in care and residential settings;
- Join up with the Black Country archives.

## Responses at depositor forum

A forum for depositors was held in Lichfield and attended by 21 people representing the following organisations:

Ansons LLP	Lichfield Constituency Labour Party
Burton Civic Society	Lichfield Greenhill Bower
Christ Church	Lichfield Municipal Charities
City of Lichfield Townswomen's Guild	Lichfield Science and Engineering Society
Diocese of Lichfield	Michael Lowe's & Associated Charities
Dr Milleys Hospital	Pipe Green Trust
Lichfield Bowling Club	St. John's Lodge
Lichfield Cathedral	Swinfen Broun Charitable Trust
Lichfield Civic Society	The Mary Slater Charity
Lichfield Conduit Lands Trust	Wade Street Church

The options were presented and a question and answer session followed with attendees encouraged to complete the questionnaire separate to the session.

Questions were asked around the following areas –

- Potential to charge for online access
- What the access point(s) would deliver
- The ease of withdrawing items pertaining to Lichfield if records are moved to Stafford
- The option and cost of addressing the air conditioning at Lichfield
- The need to maintain access to originals
- The likely digital service on offer and ease of searching
- The cost of improving the conditions at the William Salt Library and the potential to sell the building
- The likelihood of securing HLF funding
- The trend in using archive records
- Whether 25 years of growing space is too little and too short-term
- The future of the Burton History Centre.

Comments were made concerning the sadness of the potential loss to Lichfield of the Record Office (from the Mary Slater Charity and Lichfield Civic Society) and the wish to explore options to retain records in Lichfield.

Mithra Tonking from Lichfield Diocese attended and commented that *“the Diocesan Registrar would want to ensure safe future access to material in the best conditions possible. There are significant benefits to only having to go to one place.”*

## Conclusions

The consultation process has gathered responses from a range of people from across the county area. There was a particularly high level of response from those not currently using the service.

The key finding is around preferences for the 4 options with option A being the preferred choice of 53% of respondents, followed by option B with 23%, option D with 15% and option C with 9%. More people expressed a preference for Option A than supported all the remaining options put together.

These preferences are similar wherever the respondent is located except in the case of Cannock which is the one area where option A is not the top preference, instead the locals opted for option C.

The National Archives recommend developing options A & B and to reject option C given it would not deliver a service to accreditation standards.

In abstract, there is overwhelming response for more services on 1 site with a stronger activity plan (71%) and for longer opening hours on fewer sites (77%).

The open comment boxes enabled respondents to give more detail to their responses. Whilst these allowed for a huge range of comments, the most quoted issues raised were –

- Support for a centralized service on one accessible site
- Access to Stafford in terms of parking and traffic;
- The need to maintain staff posts and an acknowledgement of the benefits to the public of the existing knowledgeable staff;
- Concern that more volunteers would mean replacing staff posts;
- Support for outreach activities and programmes to diversify users and reach across the county;
- The need to maintain access to original documents;
- Retaining records and access to staff in Lichfield;
- The physical constraints of the Stafford site which may mean no future expansion is possible when space runs out;
- What would happen without HLF funding;
- The need for more information and detail to make decisions on the future.

The most quoted suggestions for the future were –

- Support for digitization;
- Exploring charging for services;
- Exploring other sources of income generation and funding;
- To work with partners even more, particularly libraries and health providers.

Concerns were raised about the lack of an option to retain and improve Lichfield Record Office and a few comments on the consultation process.

Our recommendations to the Board are to take these consultation findings into account and :

- to be sure that all feasible options for future delivery have been considered;
- decide on their preferred option to be developed further;
- develop a 'fallback' option to deliver if HLF funding is not secured.

It is also recognised that much more work and detail needs to be developed on costs, activities, digitization and timeframes for the preferred option, and that continued consultation and involvement of the public is essential.

As such we also recommend that the Board:

- agree that the Project team work to develop the plans and costings for the preferred option in line with the needs of a stage 1 application for a Major Grant from HLF;
- that the stakeholder group continued to be involved and that the active participation of members of the public continues in the project and is a key part of a HLF development phase.

## Appendix One – Summary of extended responses received

### Lichfield Civic Society

#### Comments on option A –

- The physical constraints of the SRO site mean that the plan is too short-term and will need addressing again in 20-25 years when space runs out again;
- Traffic congestion and lack of parking near the SRO limit its accessibility and it is not easily reached from Lichfield;
- Clarification is needed as to how the activities will be funded beyond the Heritage Lottery Fund (HLF) grant and whether the concerns raised by HLF have been taken into account (eg. only 1 year revenue funding);
- Need to understand the extent of digitization and where the digitised records will be available, the timeframes and management of this process;
- Will Lichfield Record Office (LRO) records be digitised before any move and would they be held on external websites;
- Concern regarding the impact on the city of Lichfield with the loss of LRO and need for an impact evaluation to be done;
- Wish for the Diocesan records to stay in Lichfield;
- Believe that LRO is losing potential collection deposits now because of the uncertainty around its future;
- Suggest the incorporation of William Salt Library into Stafford Record Office could go ahead without the Lichfield collection moving there which would free up space at Stafford and make the site more viable long-term.

#### Comments on option B –

- See comments on the Stafford site and the activities above. In addition, option B further constraints the Stafford site by incorporating more collections and displays on the one site (from the Museum).

#### Comments on option C –

- This would not allow the service to achieve Accreditation and is therefore not viable. It should not have been included as an option if Staffordshire County Council (SCC) is not prepared to offer an un-accredited service.

#### Comments on option D –

- The best option long term but there needs to be research in to potential new sites to fully assess its viability as an option.
- Comments on option A re. audience development, digitization and online access still apply.

General comments on future delivery are outlined with the key point that none of the options deal with the concerns of Lichfield Record Office users who wish to retain LRO. The comments are given under 3 main headings below.

#### Consultation process –

- The process has been confined to commenting on options that were already agreed without the chance to add others in. The option to retain and improve LRO should have been on the longlist at the May workshops and would have been if stakeholders had been allowed to see the longlist before the workshop.

Janice Tullock and Emma Parsons

- Workshops should be extended to include user groups beyond Staffordshire to better reflect users.

Sale of property and reinvestment –

- The decision by SCC to sell Lichfield Library and Record Office was not put out to public consultation. Requests to find out when the decision was made have not been answered. This intention to sell should have been clear in this recent consultation process. There is potential to use capital receipts from The Friary disposals to improve LRO or secure a local replacement for it.

Finance

- There has been limited financial information available to assess the options, for example what savings would be made from centralizing the service. What happens beyond HLF funding with the work to continue to digitise and improve online access?

The Society's suggestions for more ideas for delivery (Q10 in survey) were included in the letter but have been incorporated into the overall responses to that question.

### Pipe Green Trust

The Trust's extended response showed concern that a 5<sup>th</sup> option was not included in the public consultation to retain "less important records relevant to Lichfield heritage in Lichfield."

Their responses to each option are summarised here.

Comments on option A –

- Preferred option but the constraints of the physical site and its lack of a long term solution to space is a concern;
- Site access within busy Stafford is a problem;
- Concerns regarding the priority given to a digital service;
- Support the idea of an access point in Lichfield but want to have more details as to what this could be.

Comments on option B –

- Same physical constraints on the site as with option A are made worse with more collections there from the Museum.

Comments on option C –

- Not viable.

Comments on option D –

- Attractive option.

### Beacon Street Area Residents Association, Lichfield

The Association reports it is unhappy with the consultation process as it doesn't feel that the process or the options on offer are responding to the comments given by HLF in relation to the earlier stage 1 funding application.

Comments pertaining to all options –

Janice Tullock and Emma Parsons

- The emphasis on digitization and online access points are not in line with the statistics that show that over 65-year olds still have less confidence and access to online services and that this age group is growing in Staffordshire;
- Lack of information on how all options will be financed.

Comments on option A –

- Physical constraints of the SRO site rule out future expansion and give a lack of options for design and therefore likely higher building costs;
- The SRO site is not an accessible location in terms of traffic and parking;
- No detail given on how the William Salt Library would be used, what the Lichfield access point would be, the criteria for usability of digital tools and the likely coverage of digitization.

Comments on option B –

- A better offer with the Museum collections but given the site constraints its life would be shorter with more collections;
- In favour of off-site storage and question why it has not been suggested to extend the life of the Lichfield Record Office.

Comments on option C –

- Not meeting accreditation standards.

Comments on option D –

- Best option.

#### William Salt Library Trust

The Trust stated its interest as a joint partner of the County Council in submitting a Heritage Lottery Bid and its close relationship with the Council.

Comments on option A –

- Represents the Trust's vision for the Library;
- Improves storage conditions and allows collection to grow;
- Enthusiastically supports this as the best option.

Comments on option B –

- Might increase offsite storage;
- Higher costs;
- Does not support this option.

Comments on option C –

- Not an option.

Comments on option D –

- Higher cost and longer to implement;
- Future of the Library's town house unsecure;
- Does not support this option.



Local Member Interest
N/A

**Staffordshire and Stoke-on-Trent Joint Archives Committee  
22 October 2015**

**JOINT ARCHIVE SERVICE – PREDICTED OUTTURN 2015/16**

**Recommendation(s)**

1. That this report informing the Committee on the predicted outturn for the Joint Archive Service for 2015/16 is received and noted.
2. That the request to use a further £50,000 from the Joint Archive Service General Reserve to support the current Heritage Lottery Fund (HLF) bid be considered and approved.

**Joint report of the Director of Finance & Resources and the City Director of Resources - Assistant Chief Executive**

**Reasons for Recommendations**

3. The Joint Archive Service budget for 2015/16 is predicted to be underspent by £4,357. The General Reserve currently has a balance of £122,659 and the Archive Acquisition Reserve has a balance of £57,542.

**Background**

4. The predicted outturn for the Joint Archives Service is set out in Appendix 2. It is expected that the service will spend £686,463 compared to its current approved budget of £690,820. This gives an overall underspend of £4,357 which will be transferred to the General Reserve at the end of the financial year.
5. Of this underspend further assessment indicates that by the year end, savings on staff, travel and equipment will be offset by an under-recovery of income resulting in a forecast overall underspend of £4,357.
6. There are currently two Reserves which are held by the Joint Archive Service, these being the General Reserve and the Archive Acquisition Reserve. The balances on these two Reserves are set out in Appendix 3. The General Reserve currently has a balance of £122,659 and the Archive Acquisition Reserve has a balance of £57,542. The Archive Acquisition Reserve enables the Joint Archive Service to purchase collections for the benefit of archives users in both the City and the County.
7. Permission is sought from the Joint Archive Committee to use a further £50,000 of the Archives General Reserve (initially £50,000 had been approved and ear marked) to increase the Joint Archives 'match funding' contribution to £100,000 in total towards the current Heritage Lottery Fund (HLF) bid.

## **Appendix 1**

### **Equalities implications:**

No significant implications.

### **Legal implications:**

The Joint Agreement budget is no longer subject to an annual small bodies audit from 2015/16.

### **Resource and Value for money implications:**

The Joint Agreement budget is monitored regularly throughout the year.

### **Risk Implications:**

No significant implications.

### **Climate Change Implications:**

No significant implications.

### **Health Impact Assessment screening:**

No significant implications.

### **Report author:**

Author's Name: John Broad, Principal Accountant (Place)  
Telephone No: (01785) 854861  
Room Number: Staffordshire Place 2

### **List of Background Papers**

Joint and other Archive Services 2015/16 file.

Joint Archives Service  
Predicted Outturn Position 2014-15

APPENDIX 2

	Core Services			Staffordshire County Sites and Public Services			Stoke City Sites and Public Services			Total for service		
	Current Estimate 2015/16 £	Actual Expenditure as at Oct 2015 £	Predicted Outturn 2015/16 £	Current Estimate 2015/16 £	Actual Expenditure as at Oct 2015 £	Predicted Outturn 2015/16 £	Current Estimate 2015/16 £	Actual Expenditure as at Oct 2015 £	Predicted Outturn 2015/16 £	Current Estimate 2015/16 £	Actual Expenditure as at Oct 2015 £	Predicted Outturn 2015/16 £
<b>Expenditure</b>												
Employment	349,520	178,910	348,278	235,200	116,806	234,612	96,880	44,944	90,960	681,600	340,660	673,850
Travel	1,200	681	800	0	0	0	870	0	870	2,070	681	1,670
Transport	1,900	171	852	200	39	170	300	3	300	2,400	213	1,322
Supplies and Services	5,740	-2,447	2,265	28,070	8,490	26,604	19,150	19,211	19,150	52,960	25,254	48,019
<b>Total Expenditure</b>	<b>358,360</b>	<b>177,315</b>	<b>352,195</b>	<b>263,470</b>	<b>125,335</b>	<b>261,386</b>	<b>117,200</b>	<b>64,158</b>	<b>111,280</b>	<b>739,030</b>	<b>366,808</b>	<b>724,861</b>
<b>Income</b>												
Grants & Reimbursements										0	0	0
Sales				12,180	4,392	11,045				12,180	4,392	11,045
Fees & Charges				19,740	7,289	15,373	6,190	1,737	3,970	25,930	9,026	19,343
Miscellaneous	3,060	0	2,000	2,140	358	1,810				5,200	358	3,810
Transfers from reserve				4,900	277	4,200				4,900	277	4,200
<b>Total Income</b>	<b>3,060</b>	<b>0</b>	<b>2,000</b>	<b>38,960</b>	<b>12,316</b>	<b>32,428</b>	<b>6,190</b>	<b>1,737</b>	<b>3,970</b>	<b>48,210</b>	<b>14,053</b>	<b>38,398</b>
<b>Net Expenditure</b>	<b>355,300</b>	<b>177,315</b>	<b>350,195</b>	<b>224,510</b>	<b>113,019</b>	<b>228,958</b>	<b>111,010</b>	<b>62,421</b>	<b>107,310</b>	<b>690,820</b>	<b>352,755</b>	<b>686,463</b>

PREDICTED UNDERSPEND

-4,357



**JOINT ARCHIVES GENERAL RESERVE****APPENDIX 3**

06 October 2015

	<b>Staffordshire County Council £</b>	<b>Stoke on Trent City Council £</b>	<b>Total £</b>
<b>Balance brought forward 1 April 2015</b>	<b>109,200</b>	<b>16,459</b>	<b>125,659</b>
	0	0	0
	<b>109,200</b>	<b>16,459</b>	<b>125,659</b>
Transfer to/(from) reserve 31.3.14	-3,000	0	-3,000
<b>Balance Available (as at 31 March 2015)</b>	<b>106,200</b>	<b>16,459</b>	<b>122,659</b>

**JOINT ARCHIVES ACQUISITION RESERVE**

<b>Balance brought forward 1 April 2015</b>	<b>62,342</b>	<b>0</b>	<b>62,342</b>
<b>2014/2015</b>			
The Geoffrey Godden Archives	4,800	0	4,800
<b>Balance Available (as at 31 March 2015)</b>	<b>57,542</b>	<b>0</b>	<b>57,542</b>



<b>Local Members Interest</b>
N/A

## **Staffordshire and Stoke on Trent Joint Archive Committee 22 October 2015**

### **Review of Fees and Charges 2016-2017**

#### **Recommendation(s)**

1. That the fees and charges proposed in Appendix two to this report be approved for introduction by the Joint Archive Service from April 2016.

#### **Report of Acting Director for Place (Staffordshire County Council) and Chief Operating Officer – Resources Directorate (Stoke on Trent City Council)**

#### **Reasons for Recommendations**

2. The Archive Service fees and charges have been reviewed on an annual basis for a number of years to allow the Service to adapt its services according to demand and cost of provision. The proposed fees and charges are recommended for approval as they represent a fair and reasonable increase.

#### **Background**

3. The standard sources for income generation for the Archive Service are: a range of copying services; the sale of photographic permits; research, transcription and certification services; sales of publications; donations; and fees for talks by and group visits to the Archive Service. In addition from 2014 the Archive Service has benefitted from income from its partnership with a commercial provider to make key archive collections available online. Each year the Service reviews its fees and charges based on:

- Staff time to deliver the service
- Cost of equipment and associated maintenance
- Postage costs
- Economic climate
- Changing technology
- Availability of resources online

4. The review is intended to be a balanced approach which encourages use of services whilst still ensuring that income is generated to support the running of such services.

5. This year the main change to the fees and charges has been the increase of the research fee as this involves staff time. This fee is the basis for other charges and means there have been increases to other fees summarised below:

- Research fee

- Quick research fee and Hospital Records search fee
- Marriage bond search fee
- Certification fee
- Copies of wills
- In house photography charge
- Publication fees
- Talks and visits charges

6. The research fee was increased last year after being held for three years. Despite the availability of parish registers online since July 2014 some researchers still request a search by staff. Since August 2015 90% of the parish registers are now online and the wills and marriage bonds are due to go online by the end of the year. The Service will continue to advise users to take advantage of the online service either free at a library in the County or City, however a request for a research by staff will incur a fee based on the time taken to search and download, print or copy the relevant document and advise on the next steps for research.

7. The use of microfiche of parish registers has reduced in some of the Service reading rooms and has meant a fall in the number of research orders compared to the same period last year. The number of orders will continue to be monitored in terms of resourcing the service in the future.

8. The charge for copies of will has been increased as by April 2015 this collection will be available online through Find My Past. Therefore requests for copies of original wills will be directed, as far as possible, via the online service. The increase in the fee sets it on a similar basis to the research fee and transcription fee for the Staffordshire Name Indexes website.

9. The publication fees have also been reviewed and increased again this year. Requests to reproduce items from collections can be time consuming involving clearing permissions with document owners and often responding at short notice. The fees charged for commercial use have been increased to take account of these factors. The community publication fees have been held to continue to support local groups who use our collections to promote awareness and understanding of the history of the county.

10. The fees for talks to groups and group visits to the Service have also been increased this year again. This involves staff time to prepare, deliver and in the case of talks travel to the venue. Talks are also beneficial in enabling the Service to engage with local groups and promote the collections and work of the Service, however the time involved does need to be reflected in the charge.

11. The review has been carried out following a benchmarking exercise with neighbouring archive services and in consultation with frontline staff and public service managers.



## **Appendix 1**

### **Equalities implications:**

In reviewing its fees the Archive Service has continued to maintain its lower research fee for people with disabilities.

### **Legal implications:**

The content of this report complies with the joint agreement governing the work of the Joint Archive Service.

### **Resource and Value for money implications:**

Overall the Joint Archive Service has income targets of £48, 210 which breaks down to £6,190 for the City service and £42,020 for the County service.

This report introduces new fees which offer more choice for users of the service and also represent good value for money.

### **Risk implications:**

At this point in the year income is under target for research but photocopying is holding up. Other sources of income include the vending machine at Stafford, charges for storage of Public Records transferred early and for provision of conservation training for other archive services. These areas will help to contribute to income targets but the charges are made towards the end of the financial year.

### **Climate Change implications:**

No significant implications.

### **Health Impact Assessment screening:**

No significant implications.

### **Report author:**

Author's Name: Joanna Terry, Head of Archives and Heritage  
Telephone No: (01785) 278370  
Room No: Staffordshire Record Office

### **List of Background Papers**

Papers	Contact/Directorate/ext number
Joint Archive Service Scale of Fees and Charges, 2015/2016	Joanna Terry/Place/ x278370
Orders and income ledgers, 2015/2016	



**STAFFORDSHIRE AND STOKE- ON- TRENT ARCHIVE SERVICE****REVIEW OF FEES AND CHARGES, 2016/2017**

The current fees and charges and proposed changes are set out below. The proposed new charges would apply from 1 April 2015.

FEE/CHARGE	CURRENT	PROPOSED		COMMENTS
<b>RESEARCH FEES</b>				
<p><b>1. Research fees</b> Includes searches in original documents such as parish registers, calendars of wills, wills, census returns, tithe and enclosure maps, manorial and estate records and local newspapers.</p> <p><b>1.1 Quick research fee</b> A 15 minute look up of a single item in a record e.g. electoral register, parish register or other records and a single copy of an entry where applicable. This does not include searching catalogues.</p> <p><b>1.2 Hospital records search fee</b> This fee is based on the standard photography charge and quick search fee using indexes to locate entries in hospital records. Digital images of the records are included in the fee.</p>	<p>£26-00 per hour to include the cost of up to 4 copies and UK/EU postage</p> <p>Minimum charge- £13-00 to include the cost of 2 copies and UK postage</p> <p>£17.50 per hour to include the cost of up to 4 copies and UK postage for people with disabilities.</p> <p>£6.50 (£5.41 + £1.09 VAT) First class postage charged additionally. £4 for people with disabilities.</p> <p>£26-00 (£21-60 + £4-40 VAT) plus £6.50 (£5.41 + £1.09 VAT) search fee</p>	<p>EU orders: increase</p> <p>£28-00 (£23-33 + £4-67 VAT)</p> <p>First class postage charged additionally. £19-00 for people with disabilities</p> <p>£7.00 (£5.83 + £1.17 VAT) First class postage charged additionally. £4-70 for people with disabilities</p> <p>£28-00 (£23-33 + £4-67 VAT) plus £7.00 (£5.83 + £1.17 VAT) search fee</p>	<p>Non-EU orders: increase</p> <p>£28-00</p> <p>Non EU postage charged additionally</p> <p>£7-00</p>	<p>This fee was increased for the first time in three years last year and is increased this year to reflect the fact that online access is now available to the parish registers with other sources soon to be available. Several other charges are based on this fee and therefore they are increased.</p> <p>This service was introduced to enable requests for single entries to be dealt with and encourage some income where an enquirer is reluctant to place an order for an hour of research. Confirming the availability of records from the catalogues is still provided free of charge. It goes up in line with the research fee.</p>

FEE/CHARGE	CURRENT	PROPOSED		COMMENTS
<p><b>2. Marriage Bond Searches</b></p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 50</p>	<p>£13-00 (£10.83 + £2.17 VAT) for up to 2 searches and including provision of up to 4 copies of marriage licence records. UK postage included. Overseas postage charged at current rates.</p> <p>Single search £6.50 (£5.21 + £1.04 VAT) and provision of single copy. First class postage charged additionally.</p>	<p>EU Orders:</p> <p><b>£14-00 (£11.66 + £2.34 VAT)</b> for up to 2 searches and including provision of up to 4 copies of marriage licence records. Standard UK/EU postage included. First class postage charged additionally.</p> <p><b>£7.00 (£5.83 + £1.17 VAT)</b> and provision of single copy. First class postage charged additionally.</p>	<p>Non-EU orders:</p> <p><b>£14-00</b> for up to 2 searches including provision of 4 copies of marriage licence records. Non EU postage charged additionally</p> <p><b>£7.00 (£5.83 + £1.17 VAT)</b> and provision of single copy. First class postage charged additionally.</p>	<p>This fee is set in line with the standard research fee.</p>
<p><b>3. Search and supply of copy of individual's baptism / marriage entry for official purposes</b></p>	<p>Successful search with copy supplied £10.00</p> <p>Unsuccessful search £6-50</p>	<p>Successful search with copy supplied <b>£10.50 (£7.00+£3.50)</b></p> <p>Unsuccessful search <b>£7.00 (£5.83 + £1.17 VAT)</b></p>		<p>This fee is set in line with research fees and copying charges.</p>
<p><b>4. Transcription fee for documents identified in online indexes</b></p>	<p>£7.00</p>	<p>EU orders No change £7-00 (£5.84 + £1.16 VAT) Includes standard UK/EU postage</p>	<p>Non EU orders No change £7-00</p> <p>Non EU postage charged additionally</p>	<p>This fee covers a range of sources which are copied or transcribed from the Staffordshire Name Indexes website. It is held in line with research fees this year.</p>

FEE/CHARGE	CURRENT	PROPOSED		COMMENTS
5. Certification fee	£13-00 per document	£14-00		The certification fee is linked to the research fee and therefore goes up. Certifications are hand-written by the Head of Service and often at very short notice to meet administrative / ecclesiastical /legal requirements.
COPYING CHARGES	CURRENT	PROPOSED		COMMENTS
6. Photocopies identified and ordered in reading rooms	60p per copy A4/A3 (B&W)  £1.50 per copy A4/A3 colour ( £1.25 + 25p VAT)	EU orders: No change	Non EU orders: No change	This fee was increased in 2012 and is held this year.
Page 51 Photocopies ordered by post	First copy, incl. UK postage and packing £3-50 (£2.92 + £0.58 VAT)  First class postage charged additionally.  Successive copies on same order - £1-00 (£0.83 + £0.17 VAT) per copy	EU orders: No change	Non EU orders: No change  Non EU postage charged at current rates	The charges were increased in 2013 and aligned with the charge for scans under as the two services were brought together.
8. Photocopies of wills by post- staff assisted	Flat rate of £5-50 per will irrespective of the number of photocopies and to include UK post and packing        Flat rate of £7-50 for international orders to include postage	EU orders: No change Flat rate of £7-00 per will to include UK standard post and packing  First class postage charged additionally	Non-EU orders: No change Flat rate of £7-50 including non-EU postage	The UK fee was last increased in Jan 2011. The fee was increased for non-EU orders in 2012. The wills are due to go online with Find My Past by the end of 2015. Therefore people will be able to access these documents online themselves at home or in a Staffordshire or Stoke Library. Requests for staff to provide copies will be charged in line with the Quick Research.

COPYING CHARGES	CURRENT	PROPOSED		COMMENTS
9. Microform print outs : self service in reading rooms	60p- self service	No change		This fee was increased in 2010 to take account of assistance given to customer and the increase in VAT. It is held this year to keep it in line with photocopies.
10. Microform print-outs by post	£3-50 (£2.08 + £0.42 VAT) for first copy £1.00 for each additional print-out First class postage charged additionally Non EU postage charged additionally	EU orders:  No change	Non-EU orders:  No change	The first copy price was increased last year is held along with the additional print cost.
11. Computer print outs on site	10p	No change		This charge has been held in line with Library Service fees in the County and the City.
12. In-house Photography Charges	£26 per hour fee for photography including prints  Additional charge of £13-00 per half hour on any order involving conservation team	EU customers  £28-00 (£23-33 + £4-67 VAT) £14-00 (£11.66 + £2.34 VAT) per half hour	Non EU customers  £26-00 (£21-60 + £4-40 VAT)	The scanning and photography charges were substantially reviewed in 2012. The fee goes up in line with the research fee.
13. Permit Fees for Use of Digital Camera	£7-00 daily fee £50-00 annual fee	£7-00 daily fee £50-00 annual fee  No change		The daily and annual fees were increased in 2012. The fees are held this year.
14. Photography on Archive Service premises	Proportion of additional staff time required to facilitate and supervise photography based on current research fee scale	No change		This charge is linked to the research fee.

COPYING CHARGES	CURRENT	PROPOSED		COMMENTS
<b>15. Photographic and microfilming orders handling fee for commercial orders</b>	Flat rate of £50-00	EU orders:  No change £50-00 (£41.67 + £8.33 VAT)	Non EU orders:  £50-00	The Archive Service uses the nearest archive service which offers this service and which can provide the requisite security and quality standards. However this necessitates a greater input of staff time in transporting documents for filming.

<p><b>16. Publication fees for the reproduction of documents in: exhibitions, hard copy or online publications or media broadcasting.</b></p>	<p>Sliding scale of charges according to the nature of the publication, print run or broadcast</p> <p>Community /academic journal publication/ website/ exhibition/ DVD: £10-00 for first item, plus £5-00 for each additional item</p> <p>Commercial publication: hard copy/exhibition/ website: £35-00 for first item, plus £15-00 for each additional item</p> <p>Commercial publication: hard copy/exhibition/ website and e-book rights £60-00 for first item and £25-00 for each additional item as a wrap up fee for both hard copy and e-book rights</p> <p>TV broadcast and onsite filming and world wide web publication: standard fee set at £170 for world wide rights for first item; £65-00 for each additional item. Filming on site only £170 per half day.</p>	<p>No change</p> <p>£40-00 for first item, plus £20-00 for each additional item Commercial publication: hard copy/exhibition/ website and e-book rights £70-00 for first item and £35-00 for each additional item as a wrap up fee for both hard copy and e-book rights</p> <p>£180 for world-wide rights for first item; £75-00 for each additional item. Filming on site only £180 per half day.</p>	<p>These fees are held for this year.</p> <p>These fees were last increased in 2015 and are increased for commercial use this year.</p> <p>Again these fees are increased for commercial use. Meeting film companies deadlines and supervising filming takes a lot of staff time and supervision.</p>
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OUTREACH SERVICES	CURRENT	PROPOSED	COMMENTS
<p data-bbox="91 212 517 276"><b>17. Talks to / visits by external organisations and groups</b></p> <p data-bbox="91 675 129 818" style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 55</p> <p data-bbox="91 906 582 970"><b>18. Use of meeting room (LARC) at Staffordshire Record Office</b></p>	<p data-bbox="730 212 1003 276">£45-00 County/City £50-00 out of county</p> <p data-bbox="730 483 1014 547">Saturday group visits: £50-00</p>	<p data-bbox="1131 212 1404 276">£50-00 County/City £55-00 out of county</p> <p data-bbox="1131 483 1415 547">Saturday group visits: £55-00</p> <p data-bbox="1131 619 1594 818"> (£5 extra for out of county groups) £55-00 group visit including tour of strongrooms £60 -00 group visit including tour of strongroom and also visit to conservation workshop</p> <p data-bbox="1131 922 1413 954">Per four hour session</p> <p data-bbox="1131 994 1563 1121">£20 SCC meetings, adult education, local history and other societies, non-profit making local organisations or individuals</p> <p data-bbox="1131 1161 1491 1193">£58 commercial companies</p>	<p data-bbox="1617 212 2179 451">These fees were last increased in 2013 and at the recommendation of the JAC travel expenses for out of county talks were added on. This fee is increased to keep pace with the charge for research as it also involves staff time to prepare and deliver the talk or group visit.</p> <p data-bbox="1617 483 2179 683">Fees may be waived for retired / disabled groups at the discretion of the Archive Service. The proposed fees are in line with the County Museum scale of fees. Group visits on Saturdays require additional staffing.</p>



Local Members Interest
N/A

## **Staffordshire and Stoke on Trent Joint Archive Committee 22 October 2015**

### **Appraisal and Disposal Policy**

#### **Recommendation(s)**

1. That the Appraisal and Disposal Policy proposed in Appendix two to this report be approved for introduction by the Joint Archive Service.

#### **Report of Acting Director for Place (Staffordshire County Council) and Chief Operating Officer – Resources Directorate (Stoke on Trent City Council)**

#### **Reasons for Recommendations**

2. The Archive Service has recently revised its existing internal Appraisal Policy to take account of new guidance produced in 2015 by the National Archives on Deaccessioning and Disposal. The existing policy has been substantially revised and extended to become a policy statement as well as setting out guidelines for professional staff. This policy will also support Service's work towards achieving Archives Accreditation.

#### **Background**

3. The policy provides a framework to enable archivists to use professional judgement in making decisions about the permanent preservation of records within the context of the Archive Service Collections Development Policy and Strategy (approved in 2013). Appraising collection decisions are made on how far a collection meets the Service's policy and whether it is worthy of permanent preservation. In making these decisions archivists will also bear in mind current and potential use of collections for research using their familiarity with recent research to inform this practice.

4. Assessment of collections has always taken place primarily at the initial stage of deposit or donation. Before a collection is formally accessioned it will be assessed by an archivist to remove material that does not fit the Collections Development Policy or is duplicated or held elsewhere. Material is either returned to the depositor/donor, another repository or as a last resort destroyed.

5. This assessment of collections is completed in the context of current archival and related legislation such as the Public Records Acts, Data Protection Act, Freedom of Information Act and others. It will also take account of any current or previous government inquiries which necessitate the retention of records to aid investigations. In this context the Service would err on the side of retention to ensure all information were available to assist such inquiries.

6. There are some collections which the Archive Service holds where an initial appraisal has not taken place and the collection has not been catalogued. In this

instance the policy allows for archivists to continue using current practice of assessing the collection prior to cataloguing and following the practice of returning to the depositor/donor.

7. However there are other collections which have been held and catalogued by the Archive Service for a number of years. The initial appraisal may not now meet the current selection criteria in the Collection Policy or a more suitable repository may now be available. In this instance a retrospective appraisal or reappraisal may be suitable for these collections.

8. An example of where this might occur would be in relation to records taken in before archive services were established in the parts of Staffordshire now in the West Midlands. A reappraisal would enable a discussion with another archive repository to take place and agree a transfer to that service if the owner was in agreement. This has happened in the past for some Public Records in agreement with the National Archives.

9. This policy also proposes the development of a programme of reappraisal or retrospective appraisal of collections agreed by the Service management team. The National Archives guidance provides a decision tree to aid the process of assessing suitability for deaccessioning and the tree is added as an appendix to the Appraisal and Disposal Policy. As this could involve re-visiting previous decisions made by archivists it is recommended that this is signed off as a delegated decision by the relevant member of the Staffordshire and Stoke on Trent Joint Archives Committee.

10. All such decisions would be clearly documented and the evidence retained in accordance with Freedom of Information legislation. As far as possible the Service will seek to transfer to another repository, return to the owner/donor, and only as a last result dispose of by destruction.

11. The approval of this policy is recommended to support the work towards achieving Archive Accreditation for the Service.

## **Appendix 1**

### **Equalities implications:**

Appraisal and reappraisal of collections will be done in accordance with the service Collections Policy which includes identifying areas that are currently under represented within the service's holdings.

### **Legal implications:**

Any reappraisal or retrospective appraisal will be carried out in accordance with relevant information legislation and mindful of any current or ongoing inquiries which may require access to historic records.

### **Resource and Value for money implications:**

A programme of work will be identified by the Management Team to be a rolling programme and will be delivered within existing resources. This work will also ensure that storage space is used effectively.

### **Risk implications:**

For some collections there is no current contact for the original owner and in such circumstances archivists will seek further advice before proceeding with a final decision on an item.

### **Climate Change implications:**

No significant implications.

### **Health Impact Assessment screening:**

No significant implications.

### **Report author:**

Author's Name: Joanna Terry, Head of Archives and Heritage  
Telephone No: (01785) 278370  
Room No: Staffordshire Record Office

### **List of Background Papers**

Papers	Contact/Directorate/ext number
The National Archives, <a href="#">'Deaccessioning and disposal: Guidance for archive services'</a> 2015.	Joanna Terry/Place/ x278370



## STAFFORDSHIRE AND STOKE ON TRENT ARCHIVE SERVICE APPRAISAL and DISPOSAL POLICY

### 1. INTRODUCTION

- 1.1 This Appraisal and Disposal Policy has been drawn up in accordance with best practice as exemplified in The National Archives *Appraisal Policy* (2012) and *Deaccessioning and Disposal* (2015). It operates in conjunction with the Staffordshire and Stoke on Trent Archive Service's *Collections Development Policy and Strategy* (revised 2013) and is supported by in-house appraisal guidelines for specific collection types. The policy and guidelines are intended to aid, rather than replace, the professional judgement of archivists, who operate according to the Archives and Records Association *Code of Conduct*, and to offer ethical guidance. Disposal decisions will be made according to the table in Appendix I. The Appraisal and Disposal Policy underpins and supports the philosophy of the Joint Archive Service, which has a rich and diverse archival legacy inherited from past generations. Our responsibility is to ensure that this legacy is preserved and made as accessible as possible and that we make proper provision for the preservation of the archives created from the present day.

### 2. SERVICE AIMS

- 2.1 The aims of the Staffordshire and Stoke on Trent Archive Service are:

- *To ensure that the archives of Staffordshire County Council and the City of Stoke on Trent are preserved for present and future use by their administrations and by the public, and to advise both authorities on archive issues*
- *To locate, collect and preserve irreplaceable archive collections relating to the past and present life and work of the people of the County of Staffordshire and the City of Stoke on Trent and to preserve and make accessible the archives of the Diocese of Lichfield, thereby contributing to the national network of archive care*
- *To provide and promote high quality services to readers which enable and encourage the use of archive collections held by the Joint Archive Service*
- *To build formal and informal partnerships which promote the information, practical and heritage value of archives and which extend their use to the public*

### 3. CONTEXT

- 3.1 The Staffordshire and Stoke on Trent Archive Service is a multi-repository service, serving the communities of the County of Staffordshire and the City of Stoke on Trent. Its role is not confined to historical, academic or learning communities because archives can be a powerful tool in helping to foster a sense of community, continuity and belonging. They can stimulate an interest and enjoyment in learning about the past at all levels.
- 3.2 The Archive Service operates within a framework of archive legislation and other legislation which governs record-keeping.

## **4. POLICY STATEMENT**

- 4.1 ***The Staffordshire and Stoke on Trent Archive Service seeks to ensure that its archive collections reflect the broadest range of the life and work of the people of Staffordshire and Stoke on Trent, past and present. In addition, the Archive Service has a responsibility to ensure that the archive can be maintained within available resources and is sustainable in the long term. To this end, it is necessary to make decisions about which records to retain. The Appraisal and Disposal Policy supports this by providing a framework for the selection of records, and reappraisal, retrospective appraisal and deaccessioning of existing collections.***
- 4.2 Appraisal is a process of determining which records are of long-term historical value and are worthy of permanent preservation as archives, irrespective of medium.
- 4.3 Deaccessioning takes place after re-appraisal or retrospective appraisal of existing collections. Records selected for disposal are either returned to the depositor, offered to another suitable repository or destroyed confidentially
- 4.4 This policy is based on the Appraisal Values set out in Appendix 2 of The National Archive's *Appraisal Policy* (2012) and the regulatory framework and principles for deaccessioning and disposal set out in The National Archives' *Deaccessioning and Disposal, guidance for archives* (2015).

## **5. POLICY AIMS**

- 5.1 To ensure that appraisal and disposal practice is informed by current archival legislation and other legislation relating to the keeping of records.
- 5.2 To ensure that appraisal and disposal practice supports the aim of the Archive Service to reflect the broadest range of the life and work of the people of Staffordshire and Stoke on Trent, past and present, through its archives.
- 5.3 To assist archivists in selecting records of the highest value in terms of their evidential, administrative or historical importance.
- 5.4 To assist the Archive Service in managing its available storage capacity and financial resources.
- 5.5 To promote objective, structured and open decision-making about appraisal and disposal.

## **6. METHOD OF APPRAISAL**

- 6.1 The method adopted by the Archive Service is macro-appraisal based on functional analysis. Macro-appraisal entails the decision to retain, destroy or sample records at series level (or above) rather than assessing individual documents. This is the most appropriate approach given the available resources. Functional analysis identifies the functions of organisations and is used to select series of records of high informational value for permanent preservation.



- 6.2 There will be occasions when this method is inappropriate, for example records of private individuals. It will also be appropriate on occasions to make a more detailed check to weed out duplicates, ephemeral or non-archival records. Archivists should use their professional judgement at all times. Prior to carrying out a reappraisal and retrospective appraisal programme, appraisal guidelines will be developed to assist archivists and added to the *Staffordshire and Stoke on Trent Archive Service Cataloguing Manual*.
- 6.3 Archivists must be aware of current archival legislation and any other related legislation which impacts upon record keeping. The Archive Service will ensure that staff training includes legislative changes.
- 6.4 Archivists should be aware that there are constraints and limits to our implementation of this policy. The agreement of depositors in relation to the appraisal and destruction of records is sought at the time of deposit where possible but there will always be occasions when the Archive Service does not have the permission to destroy records in a deposited collection, particularly for collections deposited some years previously. However there is always the option of returning records to their depositors.

## **7. IMPLEMENTATION: APPRAISAL, RE-APPRAISAL, RETROSPECTIVE APPRAISAL AND DEACCESSIONING**

- 7.1 Key decisions about a collection are taken prior to deposit and accessioning in accordance with the Collecting Policy. However, on first cataloguing a collection, whether soon or several years later, it may become apparent that further appraisal is required. Appraisal and disposal decisions should be taken by archivists in accordance with this policy and the decision tree in Appendix 1. Member approval for disposal is not required at the first cataloguing stage as this represents standard professional practice.
- 7.2 The Staffordshire and Stoke-on-Trent Archive Service holds some collections that are known to hold material that does not meet the current selection criteria in the Collecting Policy. It is probable that these collections were not fully appraised on accessioning or cataloguing. Past local government reorganisation has also changed the collecting boundaries since some collections were deposited. The Archive Service will undertake a review of existing holdings and identify collections that require re-appraisal or retrospective appraisal.
- 7.3 As part of a programme approved by the Archives and Heritage Management Team, the Service will carry out re-appraisal or retrospective appraisal of collections in accordance with the regulatory framework and principles for deaccessioning and disposal set out in The National Archives' *Deaccessioning and Disposal, guidance for archives* (2015). The aim will be to weed duplicates, ephemera and records outside the Archive Service's current collecting criteria. Following re-appraisal or retrospective appraisal a summary list of records proposed for disposal will be presented to the relevant member of the Staffordshire and Stoke-on-Trent Joint Archives Committee for approval prior to deaccessioning and disposal as a delegated decision.
- 7.4 Appraisal decisions and disposal methods must be documented to leave an audit trail and retained as a permanent record in the deposit file for the collection and the Freedom of Information Legislation file. This is a requirement under the Freedom of Information Act, 2005. (See Appendix 1 for template)

## 8 IMPLEMENTATION: DISPOSAL OF COLLECTIONS

- 8.1 Staffordshire and Stoke-on-Trent Archive Service reserves the right to refuse, return or recommend the destruction of any material not deemed to be appropriate for permanent preservation. Such decisions will be made in accordance with the Archive Service's *Collections Development Policy and Strategy* (revised 2013)
- 8.2 The Service may also transfer collections with the agreement of the depositor to other archive or local studies repositories if this is considered to be more appropriate.
- 8.3 The Staffordshire and Stoke-on-Trent Joint Archives Committee accepts the principle that collections in its ownership will not be sold as stated in the Service's *Collections Development Policy and Strategy* (revised 2013).
- 8.4 These conditions are reiterated in the Terms of Deposit of Staffordshire and Stoke-on-Trent Archive Service (revised March 2008).
- 8.5 Where re-appraisal and retrospective appraisal has taken place, disposal decisions must be approved by the relevant member of the Staffordshire and Stoke-on-Trent Joint Archives Committee as a delegated decision.

## 9 DEFINITIONS AND CATEGORIES

- 9.1 In the context of this policy, archives are defined as:

*“materials created or received by a person, family or organisation, public or private, in the conduct of their affairs and preserved because of the enduring value contained in them or as evidence of the functions and responsibilities of their creator, especially those materials maintained using the principles of governance, original order and collective control: permanent records”<sup>1</sup>*

- 9.2 Archives may be in any format including paper, parchment, digital media, microform, photographic or analogue tape. In the case of digital media and analogue tape, the long-term preservation status of such materials is not yet proven. The Archive Service reserves the right to adopt suitable migration policies, if necessary in partnership with other archive bodies, which will ensure the readability and long term preservation of the information contained in such media.
- 9.3 The key definitions in the National Archives' guidance are:
- Appraisal – the process of deciding whether an item or group of items has continuing value in accordance with the collecting organisation's mission statement.
  - Deaccessioning - the formal, documented removal of a collection or item from the accession register or custody of the archive service.
  - Reappraisal – a renewed process of appraisal for collections or items which have previously been appraised.
  - Retrospective appraisal – appraisal of collections or items where evidence of previous appraisal to an approved standard is not apparent.

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<sup>1</sup> The National Archives, [‘Deaccessioning and disposal: Guidance for archive services’](#) p 30.

- Disposal – the physical act of transferring the collection or item from the archive service to another destination. This covers transfer to another repository, return to depositor or donor and as a last resort, destruction. Also called removal.<sup>2</sup>

## 10. REVIEW

- 10.1 This Appraisal and Disposal Policy will be reviewed within five years. It is however a working document and, depending on local circumstances, may be subject to modification, before a formal review.

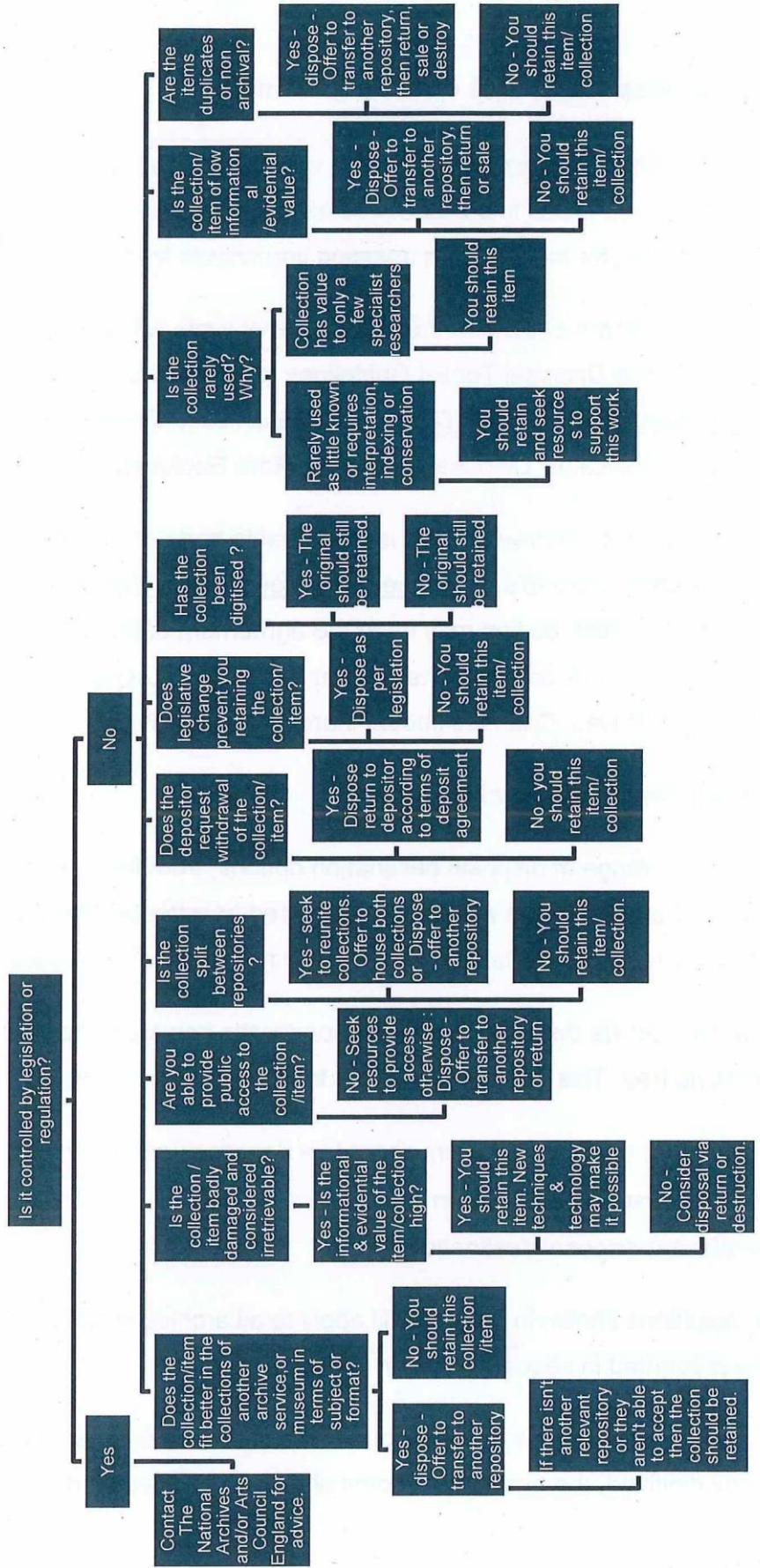
**Reviewed September 2015**

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<sup>2</sup> The National Archives, ['Deaccessioning and disposal: Guidance for archive services'](#) p 8.

Disposal Destinations include: Transfer; Return to Depositor/donor; Sale; Destruction.

Disposal destination decision tree



**STAFFORDSHIRE AND STOKE ON TRENT ARCHIVE SERVICE**

**REAPPRAISAL AND DISPOSAL RECORD SHEET**

**PART ONE: COLLECTION INFORMATION**

Staffordshire Record Office / Lichfield Record Office / Stoke on Trent City Archives  
(delete as appropriate)

**Collection reference:**

**Collection title:**

**Date of deposit or donation:**

**Ownership:**

(indicate if owned by the Archive Service/governing body, privately owned by identified individual(s) or continuing organisation, or if current owner cannot be identified)

**Legal obligations and conditions of acquisition/grants:**

(indicate whether under Acceptance in Lieu scheme, or subject to purchase or cataloguing grant, etc. Also check if there is a record of any previous appraisal process)

File in appropriate deposit file, and Freedom of Information Legislation file

PART TWO: APPRAISAL INFORMATION

**Date of appraisal:**

**Appraisal decisions:**

A. Records to be returned to depositor or transferred:

Quantity:

Reasons:

To whom returned/transferred:

Date returned/transferred:

B. Records to be destroyed:

Quantity:

Reasons:

Permission gained from owner or permission not required (please specify):

Date of destruction:

Deaccessioned in paper accessions register and on CALM accessions database

Paper and online catalogues removed or updated

The National Archives notified

**Signature of Archivist:**

**Date:**

**Signature of member of Joint Archives Committee:**

**Date:**

File in appropriate deposit file, and Freedom of Information Legislation file