Dear Councillor,

You are invited to attend a meeting of the **GWENT ARCHIVES JOINT COMMITTEE** which will be held in the Gwent Archives, Ebbw Vale, NP23 6AA on **Friday, 14 June 2019** at **10.00am** to consider the business set out in the attached agenda.

You are welcome to use Welsh at the meeting, a minimum notice period of 3 working days is required should you wish to do so. A simultaneous translation will be provided if requested.

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Estynnir gwahoddiad i chi fynychu cyfarfod y **CYDBWYLLGOR ARCHIFAU GWENT** yn Archifau Gwent, Glyn Ebwy, NP23 6AA ar **Dydd Gwener, 14 Mehefin 2019** am **10.00am** i ystyried y materion a nodwyd yn yr agenda sydd ynghlwm.

Mae croeso i chi siarad yn Gymraeg yn y cyfarfod a bydd angen rhybudd o o leiaf 3 diwrnod gwaith os ydych yn dymuno gwneud hynny. Bydd gwasanaeth cyfieithu ar y pryd yn cael ei ddarparu ar gais.

Yours sincerely

Yn gywir

Alison Ward CBE,
Chief Executive / Prif Weithredwr

**CIRCULATION:**

Relevant Members
Appropriate Officers

**AELODAU:**

Aeladou Perthnasol
Swyddogion Priodol
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MEETING OF THE GWENT ARCHIVES JOINT COMMITTEE
held on Friday, 15 March 2019 at 10.00am
in the Gwent Archives, Ebbw Vale, NP23 6AA

ATTENDANCE

Councillors:
Councillor J Millard, Blaenau Gwent County Borough Council
Councillor J Higginson, Monmouthshire County Council
Councillor J Guy, Newport City Council
Councillor D Mayer, Newport City Council
Councillor V Crick, Torfaen County Borough Council
Councillor N Waite, Torfaen County Borough Council

Co-opted Members:
Mr J Evans, Friends of Gwent Record Office
Mr P Strong, Gwent County History Association

Ex-officio Member:
Mr J Hanbury-Tenison, Deputy Lord Lieutenant of Gwent

Officers:
Rachel Beale, Senior Business Support Officer, Torfaen County Borough Council
Tony Hopkins, County Archivist, Gwent Archives
Lynne Jones, Accountancy Support Officer, Torfaen County Borough Council
Dave Lilly, Head of Financial Services, Torfaen County Borough Council

The Chair informed the Committee of the death of Bill Baker who was the County Archivist of the Monmouthshire Record Office from 1952 until he retired in 1983. A minute silence was held.

The County Archivist had been asked to write an obituary, he told the Committee that Bill was an influential figure and was very passionate about Archives and was instrumental in locating and rescuing archives from all parts of the county and ensuring their survival.

1 Apologies

1.1 Apologies were received from the following:
Councillor D Davies, Blaenau Gwent County Borough Council
Councillor B Jones, Caerphilly County Borough Council
Councillor S Woodhouse, Monmouthshire County Council
Canon Arthur Edwards, Diocese of Monmouth
Professor Russell Deacon, Coleg Gwent
2 Declarations of Interest

2.1 There were no interests declared.

3 Minutes of meeting held on 14/12/2018

3.1 Councillor Mayer pointed out that he had attended the previous meeting, however his attendance was not recorded in the minutes.

3.2 An amendment was made to paragraph 4.1 of the minutes, the minutes stated that the Service would be left with a pressure of £24,000 against the £95,000 however it should read that there was a pressure of £26,000.

3.3 Subject to the two above amendments the minutes of the meeting held on 14th December 2018 were agreed as a true and accurate record.

3.4 The Chair asked for an update on the proposals agreed at the last meeting as budget savings.

3.5 The County Archivist stated that Torfaen County Borough Council (TCBC) Officers were liaising with Asset Management in Blaenau Gwent County Borough Council (BGCBC) and were trying to get a breakdown for the costs on a room by room basis. He had ideas for how the Service was going to utilise the existing space but did not want to vacate the rooms until it was certain what rooms they were vacating.

3.6 The Head of Financial Services added that he had spoken to Asset Management at TCBC who were in discussions with BGCBC. BGCBC indicated that their preferred option would be for Gwent Archives to vacate the whole suite of outside rooms, but it was explained to them that Gwent Archives wanted to keep the Education Room and vacate the other three rooms. There was also an ongoing discussion regarding the network cabinet in the “public” room that Gwent Archives wanted to vacate, SRS have estimated that it could cost £7,000 to remove it. Officers were currently trying to determine whether it was used by the whole of the building or just by Gwent Archives. There had been no update on amending the lease, however the level of insurance had been reduced as agreed by committee.

3.7 The Chair pointed out that the Gwent Archives Committee paid for the area of space to the side of the building which the Service did not use and the College were utilising, she said that negotiations were needed in order to make a saving. The Head of Financial Services responded stating that the County Archivist would need to liaise with TCBC Asset Management regarding that.

3.8 It was mentioned that car parking was an issue for the Service, people had arrived to visit Gwent Archives but could not park and had to leave. Councillor Millard reported that there was a lack of policing of car parking in the area,
however BGCBC would be taking over the responsibility of parking enforcement from the Police and would hopefully be able to resolve the current parking issues.

3.9  It was re-affirmed by the Committee that the rooms would be vacated as part of the budget process and it needed to be done as soon as possible so it did not affect the balance of the budget. The Chair asked the County Archivist to develop a plan to start moving items from the offices that were being vacated in to the alternative rooms as quickly as possible.

3.10  It was decided that a Working Group meeting would be arranged to work on addressing the outstanding issues prior to the next committee meeting. It was agreed that a Senior Officer from BGCBC and an officer for TCBC’s Asset Management would be invited to the working group meeting.

4  Quarterly Bulletin of Gwent Archives

4.1  The County Archivist informed Members of activities during the quarter from 1 December 2018 – 28 February 2019 highlighting the following:

- The visitor figures were stark and showed a downturn in footfall. During the quarter March 2017 to May 2017 there was a high number of visitors which was as a result of a lot of events being organised for the WW1 Centenary.
- There were a number of reasons that the visitor figures were declining which was due to the pressure on parking, the failing IT and the ongoing work on the Heads of the Valleys Road.
- He felt that the car parking situation was detrimental and parking enforcement was required.
- The Service was having issues with the IT and two out of three of the public computers were out of order. The public were struggling to carry out work on their family trees due to the problems on the computers. He had reported the issue to the SRS and had been told there was a solution however the issues were not easy to resolve. There was a new Officer in BGCBC with the responsibility for IT, he had met with her and she had been in favour of Gwent Archives dealing directly with the SRS. He had since emailed the Director at the SRS to ask for Gwent Archives to have their own Service Level Agreement with the SRS.
- The ongoing work on the Heads of Valleys Road was causing problems, last Saturday the building was open, however the Heads of the Valleys Road was shut which prevented members of the public from visiting.
- The visitor figures included the two week closure of the building for a stock take.
- The number of visits to the Social Media pages and the Website were however increasing.
- To attract more visitors to the Research Room the Service was trialling a new initiative where a location within the county was selected and the public would be encouraged to find out about its history and the sources available for that area. Tredegar had been chosen as the first place to look at. Members of the public and organisations would be encouraged to visit Gwent Archives and look at the relevant archives available for that specific area.
Gwent Archives had a quiet quarter engaging with Schools and Pupils in Higher Education, however it had been the Christmas quarter. The Service would be launching a project with the local schools over the next three years and had received a donation to cover the cost for the school transport for pupils to attend Gwent Archives. As part of the project Gwent Archives would host one school visit from each of the 5 Local Authority areas per year. The Service had experience of working with local schools and had enjoyed working with Ysgol Bryn Onnen on the William O’Brien Project. The teacher at Ysgol Bryn Onnen had said that the project work with the Service had been one of the best pieces of work he had carried out in 25 years and felt that it would make a lasting impression on the children.

The Service had worked with 561 under 18s during the quarter, exceeding the target of 500. The Service had worked with 161 Adult Learners during the quarter bringing the total to 687, the target for the year was 700.

The Gwent Living Levels Project was currently at the delivery stage and would be a two year project.

The number of archive volunteers had reduced, however the number of conservation volunteers had increased. The volunteers that had worked on the NMCT project had requested to continue volunteering as they had found it rewarding; a programme of work had been planned for them.

The Wellcome Trust Project was due to come to an end next month.

To conclude the project Gwent Archives would be hosting ‘Public Health Care in Monmouthshire: An Historical Perspective’ on 11th April 2019. There would be three guest speakers Professor Keir Waddington, Cardiff University, Dr Steve Thompson, Aberystwyth University and, Dr Peter Dickson, Swansea University.

The cataloguing and transcription work for the Unlocking the Chartist Trails Project had been completed. The transcripts were currently being checked for accuracy. The Service were looking to use its website as the final destination for the completed project.

Gwent Archives were still waiting for the transfer of the National Library website, the Service had purchased the domain and were paying £60 a year and would like it to be available for use. The website would have a search facility and would be a promising resource.

Gwent Archives had received 30 accessions in the last quarter which was a smaller amount than usual.

The County Archivist had collected four boxes of material in the last week from the Earl of Oxford and Asquith’s Somerset estate with documents dating back to 1508, the documents included deeds and wills. It would provide at least a years’ worth of work to sort and archive appropriately. He had also been asked to attend their office to assess the conservation work, he would provide them with a quote for possible work to be undertaken.

One of the interesting accessions that Gwent Archives had received was a number of letters from Walter Matthews to his wife dating back to 1872. One of the letter was five pages long detailing all his ailments and his visit to Matlock Spa.

The completed final report of the ‘Sporting Chance Project had been sent off and the Service should now receive the final 50% of the grant funding.

In early February interviews were held for the position of County Archivist with
four candidates being interviewed. It was a very searching and fair process. Lisa Snook gave an excellent interview and had since been appointed. Lisa was currently the User Services Manager at Worcestershire Archive. Lisa had glowing references, was a good leader and was very creative. She had a degree, masters and a PhD and was highly qualified in archives, trained in project management and led on GDPR in her current post. She would start in June.

4.2 A correction was made to section 4.1 of the report which should state the visitor figures were from December 18 to February 19 not December 19 to February 20.

4.3 In response to questions and comments by the Committee the County Archivist gave the following replies:

- The visitor figures were always lower during the Christmas quarter.
- He would be liaising with the SRS to ensure that the Service Level Agreement was in place as soon as possible.
- The event that Gwent Archives were hosting on the 11th April had been advertised on their Social Media Channels.
- Gwent Archives currently had a young person who was not in education or employment on a Welsh Government funded placement for three months. She was pleased that she had been given the opportunity and was growing in confidence. She would receive a certificate for her placement.

4.4 Councillor Mayer pointed out that the Gov.Wifi connection was strong in the Gwent Archives Building and was easy to access and it would be worth giving visitors access to it. The Head of Financial Services provided the Committee with an update on Gov.Wifi and explained that Newport City Council had gone live with it and TCBC would also be going live shortly. It was a UK wide public sector Wifi which allowed staff and visitors in government organisations to connect to a secure Wifi service.

4.5 Councillor Mayer informed the Committee that he was on the SRS Board and would discuss with the County Archivist ways in which he could help move things forward in relation to the IT problems the Services was receiving.

4.6 The Head of Financial Services added that he would also speak to the Chief Operating Officer at the SRS in relation to progressing with the Service Level Agreement.

4.7 Councillor Mayer suggested that Gwent Archives should advertise their events on the Facebook Events page as it was an open page, specific to events and would get more views.

4.8 Members added that the day of interviews was very worthwhile and Gwent Archives had a very interesting and fruitful future to look forward to.

4.9 The Joint Committee agreed to note the contents of the report.

5 Gwent Archives Service Plan 2019/20
5.1 The County Archivist presented the report and commented on the following:

- Gwent Archives should be in the second stage of the Strategic Plan 2018-21 however it was deferred last year due to the pressures on the budget and it was felt it was not the right time to produce this year whilst the service was pending a new County Archivist and it had been deferred for a further year. He wanted the new County Archivist to be able to shape her own vision for taking the service forward to meet the challenges.
- He had produced a Service Plan for April 2019 to March 2020. The Service Plan set out the key elements for the Service for the following year.
- There were 14 sections included in the plan which fitted in with Gwent Archives Mission Statement.
- The key priorities for the Service for the year ahead included income generation, the development of the Service, increasing Gwent Archives profile and attracting more visitors and ensuring that the accreditation status was renewed.
- The Service was going to place more emphasis on income generation to try to address the financial problems that they were experiencing and had expanded the table of charges to include conservation advice, conservation work and transcription service. He had tried to look at skills within the Service which were marketable in order to increase the income.
- The table of charges reflected the need to make an income. The charges were fair and were in line with other offices that offered the same service.
- The amount charged for holding an event had been increased, however was not overpriced and was in line with the market. Tours of Gwent Archives would now be charged per person rather than a fixed price per tour, however School tours would not be charged.
- The Service had introduced a donation box for visitors.
- The Education Room was going to be promoted more for people to hire. It was already going to be heavily used in April.
- Gwent Archives would be hosting a Creative Writing Workshop shortly and were trying to use Archives to inspire creative writing, the Service was hoping to be able to host it on a regular basis.
- Gwent Archives were trying to stretch the parameters of the Service to generate an income and were looking at hosting coffee mornings, book sales and were also considering the possibility of introducing an online shop, SRS would need to be asked if they could support it. There would be an upfront cost for the introduction of the online shop.
- The Service currently took online payments and the process was supported by BGCBC, the income received through the till was banked monthly via TCBC. It was dependant on the source of income of which Council supported the Service.
- The online shop would sell digital images, the images would be displayed on the website in low resolution and anyone who wanted to purchase the image would be sent a high resolution electronic copy of the image. The Service would need to ensure that they had copyrights for the images.
- The online shop would also sell books but initially would start will digital images and it would be unique to Gwent Archives and the images would be
one off images. The shop would need to be included in the risk register.

- The risk register attached to the report highlighted the risk level to the service and the mitigating actions.

5.2 It was suggested placing watermarks on the digital images to prevent people trying to copy the images.

5.3 In response to a question the County Archivist stated that he did a lot of the transcribing for the Service as he was versed in Latin. There were other members of staff with similar skills to some extent. He added that there was less emphasis on transcribing now in archive training, however traditional skills were still needed.

5.4 Cllr Mayer offered to speak to SRS regarding their support with the online shop, as he was a Member of the SRS Board.

5.5 The Head of Financial Services advised that the Service would need to ensure the money generated by sales was received in a secure way and it would need to go through BGCBC as it was via an IT system.

5.6 The Chair stated that a risk assessment would need to be carried out to ensure the money was handled correctly, the online shop should also be included in the risk register. She asked that the County Archivist also included the office moves in the service plan and risk register.

5.7 The Joint Committee agreed to note the contents of the report and approved the appendices attached to the report.

6 Annual Governance Statement 2018/19

6.1 The Head of Financial Services introduced the report which outlined the requirements to prepare an Annual Governance Statement for 2018/19.

6.2 In order to facilitate the completion of the 2018/19 Annual Governance Statement the Joint Committee’s external auditors, Grant Thornton, had provided a copy of the Annual Return document for the year ended 31st March 2019 prior to it being formerly issued.

6.3 The Head of Financial Services took members through the questions and the committee completed the Annual Governance Statement as outlined below.

6.4 It was recognised that Question 4 was answered as a negative, but that in line with the audit requirements the audited and agreed return would be made available for inspection after approval.

Annual Governance Statement (Part 1)

We acknowledge as the members of the Gwent Archives Joint Committee, our responsibility for ensuring that there is a sound system of internal control, including the preparation of the accounting statements. We confirm, to the best of our
knowledge and belief, with respect to the accounting statements for the year ended 31 March 2019, that:

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<th>Agreed?</th>
<th>‘YES’ means that the Committee:</th>
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<td>1.</td>
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<tr>
<td></td>
<td>Yes</td>
<td>No*</td>
<td>Properly sets its budget and manages its money and prepares and approves its accounting statements as prescribed by law.</td>
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<td></td>
<td>Yes</td>
<td>No</td>
<td>Made proper arrangements and accepted responsibility for safeguarding the public money and resources in its charge.</td>
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<td></td>
<td>Yes</td>
<td>No</td>
<td>Has only done things that it has the legal power to do and has conformed to codes of practice and standards in the way it has done so.</td>
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<td>Yes</td>
<td>No</td>
<td>Has given all persons interested the opportunity to inspect the body’s accounts as set out in the notice of audit.</td>
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<td>Yes</td>
<td>No</td>
<td>Considered the financial and other risks it faces in the operation of the body and has dealt with them properly.</td>
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<td>6.</td>
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<td></td>
<td>Yes</td>
<td>No</td>
<td>Arranged for a competent person, independent of the financial controls and procedures, to give an objective view on whether these meet the needs of the body.</td>
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<td>Yes</td>
<td>No</td>
<td>Disclosed everything it should have about its business during the year including events taking place after the year-end if relevant.</td>
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<td>Yes</td>
<td>No</td>
<td>Considered and taken appropriate action to address issues/weaknesses brought to its attention by both the internal and external auditors.</td>
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<td>9.</td>
<td>Trust funds – in our capacity as trustee, we</td>
<td>Yes</td>
<td>No</td>
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Note: *N/A denotes not applicable.
have:
- discharged our responsibility in relation to the accountability for the fund(s) including financial reporting and, if required, independent examination or audit.

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Annual Governance Statement (Part 2)

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<tr>
<td>1. We have adopted standing orders and financial regulations as appropriate.</td>
<td>Yes</td>
<td>Has properly established its internal rules setting out how it will conduct its business.</td>
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<td>2. We have ensured that the Council’s standing orders and financial regulations have been followed for all relevant transactions.</td>
<td>Yes</td>
<td>Has followed its internal rules and reviewed its compliance with those rules</td>
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<td>3. All committees and sub-committees of the council have been properly established and provided with appropriate terms of reference setting out the delegated responsibilities to make decisions or recommendations.</td>
<td>Yes</td>
<td>Has ensured that where applicable, the Council has properly delegated its responsibilities to committees</td>
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6.5 The Joint Committee agreed to:

(i) Complete the Annual Governance Statement (AGS) to facilitate the approval process of the 2018/19 Annual Return in June 2019;

(ii) Note that the signature of the Chair of the Joint Committee will be required following the financial year end to confirm approval of the AGS and accounting statements for 2018/19 prior to the 30th June 2019.

7 Any Other Business

7.1 There were no items of any other business discussed.

8 Date of Next Meeting - 14/06/2019

8.1 The Chair informed the Committee that the next meeting would take place on Friday 14th June 2019, however the Working Group would hold a meeting before the Easter break.

8.2 The Committee noted that the new County Archivist would be in post at the next meeting and gave thanks to Tony for all his hard work over the years.

Agreed?

‘YES’ means that the Committee:

Yes | No* | N/A
---|---|---

Chair………………………………………………………..Date…………………………

Minutes written by Rachel Beale, Senior Business Support Officer (Democratic Services)
DYWEDODD Y CADEIRYDD WRTH Y PWYLLGOR AM FARWOLAETH BILL BAKER A OEDD YN ARCHIFYDD SIROL SWYDDFA COFNODION SIR FYNWY O 1952 TAN IDDO YMDDEOL YN 1983. CAFWYD MUNUD O DAWELWCH.

Roedd yr Archifydd Sirol wedi cael cais i ysgrifennai ysgrif goffa, dywedodd wrth y Pwyllogor fod Bill yn ffigrwr dylanwadol ac yn frwd iawn dros Archifau ac roedd yn flaenllaw wrth ohinhain ac achub archifau o bob rhan o’r sir a sicrhau eu bod yn goroesi.

1. Ymddiheuriadau

1.1 Derbynwyd ymddiheuriadau gan y canlynol:

Y Cynghorydd D Davies, Cyngor Bwrdeistref Sirol Blaenau Gwent
Y Cynghorydd B Jones, Cyngor Bwrdeistref Sirol Caerffili
Y Cynghorydd S Woodhouse, Cyngor Sir Fynwy
Canon Arthur Edwards, Esgobaeth Mynwy
Yr Athro Russell Deacon, Coleg Gwent
Mr Steve Duffin, Coleg Gwent

2. Datganiadau o Fudd

2.1 Ni roddwyd unrhyw ddatganiadau o fudd.

3. Cofnodion y cyfarfod a gynhaliwyd ar 14/12/2018

3.1 Nododd y Cynghorydd Mayer ei fod wedi mynychu’r cyfarfod blaenorol, serch hynny nid oedd cofnod o hyn yn y cofnodion.
3.2 Diwygiwyd paragraff 4.1 y cofnodion, roedd y cofnodion yn dweud y byddai gan y Gwasanaeth bwysau o £24,000 yn erbyn y £95,000 serch hynny dylai ddamhos fod yna bwysau o £26,000.

3.3 Gyda’r ddau ddiwygiad yna cadarnhawyd bod cofnodion y cyfarfod a gynhaliwyd ar 14th Rhagfyr 2018 yn gywir.

3.4 Gofynnodd y Cadeirydd am ddiweddaradeg ar yr argymhellion a gytunwyd yn y cyfarfod diwethaf ar arbedion yn y gyllideb.

3.5 Dywedodd yr Archifydd Sirol fod Swyddogion Cyngor Bwrdeistref Sirol Torfaen (CBST) yn cysylltu gyda Rheoli Asedau yng Nghyngor Bwrdeistref Sirol Blaenau Gwent (CBSBG) ac yn ceisio cael dadansoddiaid o’r costau ar sail pob ystafell yn unigol. Roedd ganddo syniadau am sut yr oedd y Gwasanaeth yn mynd i ddefnyddio’r gofod presennol ond doedd e ddim am adael yr ystafelloedd tan eu bod yn gwybod pa ystafelloedd y bydden nhw’n gadael.

3.6 Ychwanegodd y Pennaeth Gwasanaethau Ariannol ei fod wedi siarad â Rheoli Asedau CBST a oedd yn trafod gyda CBSBG. Roedd CBSBG wedi dweud mai’r opsiwn ffafriedig ganddyn nhw oedd i Archifau Gwent adael y gyfres o ystafelloedd alanol i gyd, ond esbionwyd wrthyn nhw fod Archifau Gwent am gadw’r Ystafell Addysg a gadael y tair ystafell arall. Roedd yna drafodaeth yn parhau hefyd ynglŷn â’r cabinet rhwydwaith yn yr ystafell “gyhoeddus” yr oedd Archifau Gwent am adael, mae’r Gwasanaeth Adnoddau a Rennir (SRS) wedi amcangyfrif y gallai gostio £7,000 i’w dynnu oddi yno. Roedd Swyddogion wrthi’n ceisio penderfynu a oedd yn cael ei ddefnyddio gan yr adelad cyfan neu dim ond gan Archifau Gwent. Doedd dim diweddarad wedi bod ar ddiwygio’r brydles, serch hynny roedd lefel yr yswiriant wedi gostwng yn unol â chytundeb y Pwyllgor.

3.7 Nododd y Cadeirydd fod Pwyllgor Archifau Gwent yn talu am y rhan i’r ochr o’r adeilad nad oedd y Gwasanaeth yn ei defnyddio ac roedd y Coleg yn ei defnydio, dywedodd fod angen trafodaethau er mwyn gwneud arbedion. Atebodd y Pennaeth Gwasanaethau Ariannol trwy ddweud y byddai angen i’r Archifydd Sirol gysylltu â Rheoli Asedau CBST ynglŷn â hynny.

3.8 Soniwyd fod parcio i geir yn broblem i’r Gwasanaeth, roedd pobl wedi dod i ymweld ag Archifau Gwent ond wedi methu parcio ac wedi gorfod gadael. Dywedodd y Cynghorydd Millard fod yna ddifffyg plismona ar barcio i geir yn yr ardal, serch hynny bydai CBSBG yn cymryd drosodd y cyfrifoldeb am orfodaeth parcio oddi wrth yr heddlu a’r gobaith oedd y bydlen nhw’n gallu datrys y problemau parcio presennol.

3.9 Cadarnhaodd y Pwyllgor y byddai’r ystafelloedd yn cael eu gadael fel rhan o brosses y gyllideb ac roedd angen gwneud hyn cyn gynted â phosibl fel nad oedd yn effeithio cydwysedd y gyllideb. Gofynnodd y Cadeirydd i’r Archifydd Sirol i ddatblygu cynllun i ddechrau symud eitemau o’r swyddfeydd a oedd yn cael eu gadael i’r ystafelloedd eraill cyn gynted ag y bo modd.
3.10 Penderfynwyd y byddai cyfarfod o’r Gweithgor yn cael ei drefnu i weithio ar fynd i’r afael â phroblemau oedd yn dal yn bod cyn cyfarfod nesaf y Pwyllgor. Cytunwyd y byddai Uwch Swyddog o CBSBG a swyddog o adran Rheoli Asedau CBST yn cael eu gwahodd i gyfarfod y gweithgor.

4. **Bwletin Chwarterol Archifau Gwent**

4.1 Dywedodd yr Archifydd Sirol wrth Aelodau am weithgareddau yn ystod y chwarter rhwng 1 Rhagfyr 2018 a 28 Chwefror 2019 gan bwysleisio’r canlynol:

- Roedd y ffygryrau ar gyfer ymwelwyr yn llwm ac yn dangos gostyngiad yn nifer yr ymwelwyr. Yn ystod y chwarter Mawrth 2017 hyd Mai 2017 roedd yna nifer uchel o ymwelwyr o ganlyniad i nifer o ddigwyddiadau ar gyfer canmlwyddiant y Rhyfel Mawr.
- Roedd yna nifer o resymau pam fod nod yr ymwelwyr yn gostwng sef y pwysau o ran parcio, TG yn methu a’r gwaith a oedd yn parhau ar ffordd Blaenau'r Cymoedd.
- Roedd yn teimlo nod o sefyllfa o ran parcio i geir yn niweidiol ac roedd angen gorfodaeth ar barcio.
- Roedd y Gwasanaeth yn cael trafferth gyda TG a doedd dau allan o dri o’r cyfrifiaduron cyhoeddus ddim yn gweithio. Roedd y cyhoedd yn cael trafferth gwneud gwaith ar eu hachâu teuluo oherwydd y problemâu gyda’r cyfrifiaduron. Roedd wedi sôn wrth SRS am y problem ac wedi cael gwybod bod yna ateb ond nad oedd y problemâu’n hawdd eu datrys. Roedd yna swyddog newydd yn CBSBG gyda chyfrifoldeb am TG, roedd wedi cwrd â hi ac roedd hi o blaid bod Archifau Gwent yn delio’n unig Gymrychol a’r SRS. Ers hynny roedd wedi danfon e-bost at y Cyfarwyddwr yn SRS i ofyn bod Archifau Gwent yn cael eu Cytundeb Lefel Gwasanaeth eu hunain gyda SRS.
- Roedd y gwaith ar ffordd Blaenau’r Cymoedd yn achosi trafferthion, Dydd Sadwrn diwethaf roedd yr adeilad ar agor ond roedd ffordd Blaenau’r Cymoedd ar gau ac roedd hyn yn rhwystro’r cyhoedd rhag ymweld.
- Roedd y ffygryrau ar gyfer ymwelwyr yn cynnwys cyfnod cau’r adeilad am bythefnos ar gyfer arolwg stoc.
- Roedd nifer yr ymweliadau â’r tudalennau Cyfringau Cymerthasol a’r Wefan yn cynnydd serch hynny.
- Er mwyn denu mwy o ymwelwyr i’r Ystafell Ymchwil roedd y Gwasanaeth yn rhoi tro ar fenter newydd ble fyddai lleoliad yn y sir yn cael ei ddewis a byddai’r cyhoedd yn cael eu hannahog i chwilio mwy am hanes y lleoliad hwnnw a’r ffynnonellau sydd ar gael ar gyfer yr ardal yna. Dewiswyd Tredegar fel y man cytaf i edrych arno. Byddai aelodau’r cyhoedd a sefylliauau yn cael eu hannahog i ymweld ag Archifau Gwent ac edrych ar yr archifau perthnasol sydd ar gael ar gyfer yr ardaloedd benoedol honno.
- Roedd Archifau Gwent wedi cael chwarter tawel wrth ymgysylltu ag Ysgolion a Disgyblion mewn Addysg Uwch, serch hynny chwarter y Nadolig oedd hyn. Byddai’r Gwasanaeth yn lansio cynllun gyda’r ysgolion lleol dros y tair blynedd nesaf ac wedi derbyn rhodd i dalu cost trafnidiaeth i ddisgyblion gael mynyachu Archifau Gwent. Fel rhan o’r cynllun bydd Archifau Gwent yn croesawu un ysgol o
bob un o’r 5 ardal Llywodraeth Leol pob blwyddyn. Roedd gan y Gwasanaeth brofiad o weithio gydag ysgolion lleol ac wedi mwynhau weithio gydag Ysgol Bryn Onnen ar Gynllun William O’Brien. Roedd yr athro o Ysgol Bryn Onnen wedi dweud mai’r gwaith prosiect gyda’r Gwasanaeth oedd un o’r darnau gorau o waith yr oedd wedi gwneud mewn 25 mlynedd ac roedd yn teimlo y byddai’n gadael ei ôl ar y plant.

- Roedd y Gwasanaeth wedi gweithio gyda 561 o bobl ifanc dan 18 oed yn ystod ychwarter, yn uwch na’r targed o 500. Roedd y Gwasanaeth wedi gweithio gyda 161 o Ddysgwyr o blith Oedolion yn ystod y chwarter gan dddod â’r cyfanswm at 687. Y targed ar gyfer y flwyddyn oedd 700.

- Roedd Prosiect Lefelau Byw Gwent ar hyn o bryd yn y cam cyflenwi a byddai’n brosiect dwy flynedd.

- Roedd nifer y gwirfoddolwyr yr yn archif wedi lleihau, serch hynny roedd nifer y gwirfoddolwyr ar gyfer prosiect NMCT wedi golofn i gael eu bod wedi cael y profiad yn un mor werthfawr; roedd rhaglen o waith wedi ei chynllunio ar eu cyfer.

- Byddai Prosiect Ymddiriedolaeth Wellcome yn dod i ben i ben fis nesaf.


- Roedd y gwaith catalogio a thrawsgrifio ar gyfer Prosiect Datgloi Treialon y Siartwr wedi ei gwblhau. Roedd yr Adysgrifiadau yn cael eu gwirio. Roedd y gwasanaeth yn edrych ar y posibl o ddefnyddio’i wefan fel y cyrchfan terfynol ar gyfer yr ymdrech terfynol pan fydd wedi ei gwblhau.

- Roedd Archifau Gwent yn dal i aros am drosglwyddo gwefan y Llyfrgell Genedlaethol, roedd y Gwasanaeth wedi prynu’r parth, yn talu £60, a hoffan nhw iddo fod ar gael i’w ddefnyddio. Byddai gan y wefan gyfleuster chwilio a byddai’n adnodd addawol.

- Roedd Archifau Gwent wedi derbyn 30 ychwanegiad yn ystod y chwarter diwethaf a oedd yn llai na’r arfer.

- Roedd yr Archifydd Sirol wedi casglu pedwar blwch o ddeunydd yn ystod yr wythnos diiwethaf o ystâd larll Rhydychen ac Asquith yng Ngwlad yr Haf gyda dogfennau’n dyddio’n ôl i 1508, roedd y dogfennau’n cynnwys gweithredoedd ac ewyllysiau. Byddai’n waith blwyddyn i ddodioli a rhoi’r archif briddol. Roedd hefyd wedi cael cais i fynychu eu swyddfia er mwyn asesu’r gwaith cadwraeth, byddai’n rhoi dyfynbris iddyn nhw am y gwaith y bydd posibl o ddod â’r ymgymryd ag e.

- Un o’r ychwanegiadau diddorol yr oedd Archifau Gwent wedi derbyn oedd nifer o lythryau gan Walter Matthews at ei wraig yn dyddio’n ôl i 1872. Roedd un o’r llythryau’n bum tudalen ac yn rhoi manylion ei holl anhwyllerau a’i ymweliad â Ffynhonnau Matlock.

- Roedd adroddiad terfynol Prosiect ‘Tan Gamp’ wedi ei ddanfon a dylai’r Gwasanaeth nawr dderbyn y 50% terfynol o’r arian grant.

4.2
Cywirwyd adran 4.1 yr adroddiad a ddylai ddweud fod y ffigyrau ar gyfer ymwelwyr o Ragfyr 18 hyd Chwefror 19 nid Ragfyr 19 hyd Chwefror 20.

4.3
Wrth ateb cwestiynau a sylwadau’r Pwyllgor rhoddodd yr Archifydd Sirol yr atebion canlynon:

- Roedd y ffigyrau ar gyfer ymwelwyr bob amser yn is yn ystod chwater y Nadolig.
- Byddai’n cysylltu â SRS er mwyn sicrhau bod y Cytundeb Lefel Gwasanaeth mewn gryn cyn gynted â phosibl.
- Roedd digwyddiad Archifau Gwent ar 11 Edrych wedi cael ei hysbysebu trwy’r Cyfryngau Cymdeithasol.
- Roedd gan Archifau Gwent berson ifanc nad oedd mewn addysg na gwaith ar hyd o bryd ar leoliad a ariannwyd gan Lywodraeth Cymru am dri mis. Roedd yn falch ei bod wedi cael y cyfle ac roedd yn magu hyder. Byddai’n derbyn tystysgrif am y lleoliad.

4.4
Nododd y Cynghorydd Mayer fod y cysylltiad diwifr i Gov.Wifi yn gryf yn Adeilad Archifau Gwent ac roedd yn hawdd mynd iddo a byddai’n werth gadael i ymwelwyr fynd ato. Rhoddodd Pennaeth y Gwasanaethau Ariannol ddiweddarad i’r Pwyllgor ar Gov.Wifi ac esboniodd fod Cyngor Dinas Casnewydd wedi mynd yn fwy gyda’r system a byddai CBST yn mynd yn fwy cyn hir. Roedd yn wasanaeth diwifr yn y sector cyhoeddus ar draws y DU a oedd yn caniatâu i staff ac ymwelwyr mewn sefydliadau yn y llywodraeth i gysylltu â gwasanaeth diwifr diogel.

4.5
Dyweddodd y Cynghorydd Mayer wrth y Pwyllgor ei fod ar Fwrdd SRS a byddai’n trafod gyda’r Archifydd Sirol ffyredd o symud pethau ymlaen mewn perthynas â phroblemau TG y Gwasanaeth.

4.6
Ychwanegodd Pennaeth y Gwasanaethau Ariannol y byddai hefyd yn trafod gyda’r Prif Swyddog Gweithredol yn SRS mewn perthynas â symud ymlaen gyda’r Cytundeb Lefel Gwasanaeth.

4.7
Awygrymodd y Cynghorydd Mayer y dylai Archifau Gwent hysbysebu digwyddiadau ar dudalen Facebook Events gan ei bod yn dudalen agored, yn benodol at gyfer digwyddiadau a byddai mwy yn ei weld.

4.8
Ychwanegodd yr Aelodau fod diwrnod y cyfweliadau’n werth chweil ac roedd gan Archifau Gwent ddyfodol diddorol a ffrwythlon o’u blaenau.
4.9 Cytunodd y Cydbwyllgor i nodi cynnwys yr adroddiad.

5. Cynllun Gwasanaeth Archifau Gwent 2019/20

5.1 Cyflwynodd yr Archifydd Sirol yr adroddiad a gwnaeth sylw ar y canlynol:

- Dylai Archifau Gwent fod yn ail ran y Cynllun Strategol 2018-21 serch hynny gohiriwyd hyn llynedd oherwydd y pwysau ar y gyflymdeb a’r teimlad oedd nad dyna oedd yr amser i gynhyrchu gan nad roedd yr amser i gynhyrchu eleni tra bod y gwasanaeth yn disgwyl Archifyydd Sirol newydd ac roedd wedi ei ohirio am flywyddyn bellach. Roedd am i’r Archifyydd Sirol newydd fod yn gallu ffurfio ei gweledigaeth ei hun ar gyfer symud y gwasanaeth ymlaen a gwrd â’r heriau.

- Roedd wedi cynhyrchu Cynllun Gwasanaeth ar gyfer Ebrill 2019 hyd Fawrth 2020. Roedd y Cynllun Gwasanaeth yn gosod yr elfennau allweddol am y gwasanaeth ar gyfer y flwyddyn bellach ac roedd wedi ei ohirio am flwyddyn bellach. Roedd am i’r Archifyydd Sirol newydd fod yn gallu ffurfio ei gweledigaeth ei hun ar gyfer symud y gwasanaeth ymlaen a gwrd â’r heriau.

- Roedd yna 14 adran yn y cynllun a oedd yn cyd-fynd â Datganiad o Genhadaeth Archifau Gwent.

- Roedd y blaenoriaethau allweddol ar gyfer y gwasanaeth yn y flwyddyn i ddod yn cynnwys creu incwm, datblygiad y gwasanaeth, cynyddu profyl Archifau Gwent a denu mwy o ymwelwyr a sicrhau adnewyddu’r statws achredu.

- Roedd y Gwasanaeth yn mynd i roi mwy o bwyslais ar greu incwm er mwyn ceisio mynd i’r afael â’r problemâu ariannol a oedd ganddynt nhw ac roedd hen nhw wedi ehangu tabl y costau i gynnwys cyngor ar gadwraith, gwaith cadwraith a gwasanaeth trawsgrifiwn. Roedd wedi ceisio edrych ar y sgiliau oddi mewn i’r Gwasanaeth yr oedd modd eu marchnata er mwyn cynyddu’r incwm.

- Roedd y costau’n deg ac yn cyfateb i swyddfeydd eraill a oedd yn cynnig yr un gwasanaeth.

- Roedd y swm ar gyfer yr Archifau Gwend wedi codi, serch hynny, nid oedd yr pris yn ormodol ac roedd yr oedd yr pris yn yr oes ac roedd yr Archifau Gwend wedi codi, serch hynny, ni fyddai tâl am deithiau gan Ysgolion.

- Roedd yr Ystafell Addysg yn mynd i gael ei hyrwyddo’n fwy ar gyfer y gwasanaeth gan bobl. Roedd yr oedd yr oedd yr pris yn yr oes ac roedd yr Archifau Gwend wedi codi, serch hynny, ni fyddai tâl am deithiau gan Ysgolion.

- Roedd Archifau Gwend wedi ceisio ymestyn paramedraur Gwasanaeth er mwyn creu incwm ac roedd nhw’n ceisio mynd i gael ei defnyddio’r Archifau i ysbyrdoli ysgrifennu creadigol, roedd y Gwasanaeth yn gobeithio gallu cynnal hyn yn rheolaidd.

- Roedd Archifau Gwend wedi ceisio ymestyn paramedraur Gwasanaeth er mwyn creu incwm ac roedd nhw’n ceisio mynd i gael ei defnyddio’r Archifau i ysbyrdoli ysgrifennu creadigol, roedd y Gwasanaeth yn gobeithio gallu cynnal hyn yn rheolaidd.

- Roedd Archifau Gwend wedi ceisio ymestyn paramedraur Gwasanaeth er mwyn creu incwm ac roedd nhw’n ceisio mynd i gael ei defnyddio’r Archifau i ysbyrdoli ysgrifennu creadigol, roedd y Gwasanaeth yn gobeithio gallu cynnal hyn yn rheolaidd.
copi electronig eglurder uchel o’r llun. Byddai angen i’r Gwasanaeth sicrhau fod ganddyn nhw hawlfraint ar gyfer y lluniau.

- Byddai’r siop ar-lein hefyd yn gwerthu lluniau ond i dddechrau byddai’n dechrau gyda lluniau digidol a byddai’n unigryw i Archifau Gwent a byddai’r lluniau rhai un tro. Byddai angen i’r siop gael ei chynnwys yn y gofrestr risg.
- Roedd y gofrestr risg a atodwyd i’r gofrestr yn dangos y lefel risg i’r Gwasanaeth a’r camau lleddydd.

5.2 Awgrymwyd gosod dyfnod ar y lluniau digidol i rwystro pobl rhag copïo’r lluniau.

5.3 Mewn ateb i gwestiwn dywedodd yr Archifydd Sirol ei fod yn gwneud llawer o’r trawsgrifio ar ran y Gwasanaeth gan ei fod yn hydysg mewn Lladin. Roedd yna aelodau eraill o staff oedd â sgiliau tebyg i’w rhaid i ryw raddau. Ychwanegodd ei bod llai o bwyslais nawr ar drawsgrifio mewn hyfforddiant archif, serch hynny roedd angen sgiliau traddodiadol o hyd.

5.4 Cynigiodd y Cyng. Mayer siarad â SRS ynglŷn â u cefnogaeth gyda’r siop ar-lein, gan ei fod yn Ælod o Fwrd SRS.

5.5 Dywedodd y Pennaeth Gwasanaethau Ariannol y byddai angen i’r gwasanaeth sicrhau bod yr arian a gafwyd trwy werthiannau yn cael ei dderbyn mewn ffordd ddiogel a byddai angen iddo fynd trwy CBSBG gan ei fod trwy system TG.

5.6 Dywedodd y Cadeirydd y byddai angen cwblhau asesiad risg er mwyn sicrhau bod yr arian yn cael ei drin yn gywir, dylid cynnwsy y siop ar-lein hefyd yn y gofrestr risg. Gofynnodd i’r Archifydd Sirol gynnws symud y swyddfeydd hefyd yng nghynllun y gwasanaeth a’r gofrestr risg.

5.7 Cytunodd y Cydwblwg i nodi cynnwys yr adroddiad a chymeradwydd yr atodiadau i’r adroddiad.

6. Datganiad Llywodraethu Blynyddol 2018/19

6.1 Cyflwynodd y Pennaeth Gwasanaethau Ariannol yr adroddiad a oedd yn amlinellu’r gofynion i gynhyrchu Datganiad Llywodraethu Blynyddol ar gyfer 2018/19.

6.2 Er mwyn hwyluso cwblhau Datganiad Llywodraethu Blynyddol 2018/19 roedd archwiliwyd allanol y cydwblwg, Grant Thornton, wedi rhol copi o’r ddodfren Cyfrifon Blynyddol ar gyfer y llwyddyn hyd at 31st March 2019 cyn iddi gael ei hyhoeddi’n ffurfiol.

6.3 Aeth y Pennaeth Gwasanaethau Ariannol ag aelodau trwy’r cwestiynau a chwblhaodd y Pwyllgor y Datganiad Llywodraethu Blynyddol fel amlinellir isod.

6.4 Cydnabyddwyd fod Cwestiwn 4 wedi ei ateb yn negyddol, ond yn unol â gofynion yr archwiliad byddai’r adroddiad wedi ei archwiliwio ac wedi ei gytwrnod ar gael ar gyfer archwiliad ar ôl iddo gael ei gymeradwyo. Datganiad Llywodraethu Blynyddol (Rhan 1)
Rydym yn cydnabod fel aelodau Cydbwyllgor Archifau Gwent, ein cyfrifoldeb dros sicrhau bod yna system wydn o reolaeth fewnol, gan gynnwys paratoi cyfrifon. Rydym yn cadarnhau, hyd eithaf ein gwybodaeth a’n cred, mewn perthynas â’r cyfrifon ar gyfer y flwyddyn hyd 31 March 2019:

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<th>Cytunwyd?</th>
<th>Mae ‘IE’ i’n golygu bod y Pwylgor:</th>
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1. Rydym wedi rhoi mewn grym trefniadau ar gyfer:
   - rheolaeth ariannol effeithiol yn ystod y flwyddyn; a
   - paratoi a chymeradwy o’r cyfrifon.
   - Yn gosod cyllideb yn gywir ac yn rheoli ei arian ac yn paratoi a chymeradwy ei gyfrifon yn unol â’r gyfraith. 6, 12

2. Rydym wedi cynnal system foddhaol o reolaeth fewnol, gan gynnwys mesurau i atal ac datguddio twyll a llgregg ac wedi adolygu ei heffethlonrwydd.
   - Wedi gwneud trefniadau priodol a derbyn cyfrifoldeb am ddiogel arian ac adnoedd trwy chymeradwyo a mae’n gyfrifol amdanyn nhw. 6, 7

3. Rydym wedi cymryd pob cam rhesymol i sicrhau ni’n hunain nad oes unrhyw faterion o ddifffygydymfurfyliaid gwirioneddol neu bosib gyda chyfreithiau, rheoliadau a chodau ymmerfer a allai gael effaith ariannol arwyddocoal ar allu Cydbwyllgor Archifau Gwent i drefnu ei fusnes nac ar ei arian.
   - Wedi gwneud dim ond y pethau hynny y mae ganddo’r grym cyfreithiol i wneud ac mae wedi cydymfurflio â chodau ymmerfer a safonau wrth wneud hynny. 6

4. Rydym wedi darparu cysylltuodd priodol ar gyfer cwrdd â hawliau etholwyr yn unol â gofnion Rheoliadau Cyfrifon ac Archwilio (Cymru) 2014.
   - Wedi rhoi i bob person sydd â ddiweddarac â cysylltiad â archwilio cyfrifon y corr fel nodwyd yn yr hysbyciad o archwilio. 6, 23

5. Rydym wedi cwbllhua asesiad o’r risgiau sy’n wynebu Cydbwyllgor Archifau Gwent ac wedi cymryd camau priodol i reoli’r risgiau hynny, gan gynnwys cyflwyno rheolaeth fewnol a/neu yswiriant allanol ble bo’r angen.
   - Wedi ystyried risgiau ariannol ac eraill y mae’n eu hwynebu wrth weithredu’r corff ac wedi ymdrin â nhw’n gywir. 6, 9

6. Rydym wedi cynnal system ddigonol ac effeithiol o archwilio mewnol o’r cyfrifon a systemau rheoli trwy gydol y flwyddyn ac wedi derbyn adroddiad o’r archwiliwydd mewnol.
   - Wedi trefnu i berson cymwysedig, sy’n annibynnol o’r rheolaethau a gweithredu ariannol, roi barn wrthrychol ar p’un a yr rhain yn cwrdd ag anghenion y corff. 6, 8

7. Rydym wedi ystyried a yw unrhyw achos llwy, dyfedion neu ymrwymiadau, digyddiadau neu drafodion, sy’n digwedd naill ai yn ystod neu ar ôl diweddi y flwyddyn, yn cael effaith ariannol ar Gydbwyllgor Archifau Gwent ac, ble bo hynny’n briodol, wedi eu cynnwysyn y mewnol.
   - Wedi datgelu pob dim y dylai ynglŷn â’i fusnes yn ystod y flwyddyn gan gynnwys digyddiadau ar ôl diweddi y flwyddyn, os yw hynny’n berthur i ymhlith y corff. 6

8. Rydym wedi cymryd camau priodol mewn perthynas â’r holl faterion a gafodd eu codi mewn adroddiadau blaenorol o archwiliad mewnol ac allanol.
   - Wedi ystyried ac wedi camau priodol i fynd i’r afael â’r problemau/gwendidau sydd wedi dod i’w sylw trwy’r archwiliwyd mewnol ac allanol. 6, 8, 23
9. Cronfeydd Ymddiriedolaeth – yn rhinwedd ein swyddogaeth fel ymddiriedolwyr, rydym wedi:
   • cyflawni'n cyfrifoldeb mewn perthynas ag atebolrwydd am y Gronfa/cronfeydd gan gynnwys adrodd yn ariannol ac, os oes angen, archwiliad annibynnol.

<table>
<thead>
<tr>
<th>Cyfunwyd?</th>
<th>Mae ‘le’ ‘n golygu fod y Pwyllgor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>le</td>
<td>Na</td>
</tr>
</tbody>
</table>

| 1. | Rydym wedi mabwysiadu rheolau sefydlog a rheoliadau ariannol fel y bo hynyn'n briodol. | Wedi sefydly eu reolau mewnol yn gosod allan sut y bydd yn ymdrin â'i fusnes yn iawn. |
| 2. | Rydym wedi sicrhau bod rheolau sefydlog a rheoliadau ariannol y Cyngor wedi cael eu diilyn ar gyfer pob trafodaeth berthnasol. | Wedi dilyn eu reolau mewnol ei hun ac wedi adolygu eu gydymffurfiaid gyda'r rheolau hynny. |
| 3. | Mae holl Bwyllgorau ac is-bwylgorau'r cyngor wedi eu sefydlu'n gywir ac wedi cael clych gorchwyl priodol sy'n gosod allan y cyfrifoldebau dirprwyedig i wneud penderfyniadau neu argymhellion. | Wedi sicrhau bod y Cyngor, ble bo hynyn'n briodol, wedi dirprwyo'i gyfrifoldebau yn gywir i Bwyllgorau. |

6.5 Cyfunwyd y Cydbwylgor i:

i. Gwblihau’r Datganiad Llywodraethu Blynyddol (DLIB) i hwyluso gymeradwy’r Adroddiad Blynyddol 2018/19 yr Mehefin 2019;

ii. Nodi y bydd angen llofnod Cadeirydd y Cydbwylgor ar ôl diwedd y fwyddyn ariannol er mwyn cadarnhau cymeradwyeth o’r DLIB a’r cyfrifon ar gyfer 2018/19 cyn 30th Mehefin 2019.

7. Unrhyw Fusnes Arall

7.1 Ni chafwyd trafodaeth ar unrhyw faterion eraill.

8. Dyddiad y Cyfarfod nesaf - 14/06/2019

8.1 Dywedodd y Cadeirydd wrth y Pwyllgor y byddai’r cyfarfod nesaf ar ddydd Gwener 14eg Mehefin 2019, serch hynny byddai’r Gweithgor yn cynnal cyfarfod cyn y Pasg.

8.2 Nododd y Pwyllgor y byddai’r Archifydd Sirol newydd yn ei swydd erbyn y cyfarfod nesaf a rhoddodd y Pwyllgor ddiolch i Tony am ei waith caled dros y blynyddoedd.

Cadeirydd............................................................Dyddiad............

Cofnodion gan Rachel Beale, Uwch Swyddog Cefnogi Busnes (Gwasanaethau Democrataidd)
1. **Area Affected**

1.1 The geographical area of Gwent as defined for the purposes of the Gwent Archives Joint Committee.

2. **Purpose of Report**

2.1 The purpose of the report is to present the Gwent Archives Joint Committee accounts for the year ended 31st March 2019 and to inform members of the financial position of the Joint Committee. Torfaen CBC, as the host Authority, has carried out the work on behalf of the Joint Committee.

3. **Key Messages**

- The operating budget showed an over spend of £19,338.
- An under spend against employee costs and additional income substantially reduced the £64,000 originally budgeted to be funded from reserves.
- The Joint Committee’s General Reserves balance is £267,653 at the 31st March 2019.

4. **Introduction**

4.1 The Joint Committee is required by the Accounts and Audit (Wales) Regulations 2014 to publish its accounts. In order to discharge this requirement the Joint Committee, as a small body, completes an Annual Return containing the accounting statement, the governance statement and the internal audit report. This formal document is subject to certification by Grant Thornton, the external auditors appointed by the Wales Audit Office.

Members considered the Committee’s annual governance statement (AGS) at the March 2019 Joint Committee meeting. At that time the Joint Committee’s external auditors, Grant Thornton, had provided a copy of the Annual Return document for the year ended 31st March 2019 prior to it being formerly issued in order to facilitate the completion of the 2018/19 AGS. Members should note that the 2018/19 Annual Return subsequently issued by the WAO, and relevant to the Joint Committee, is different to the one considered in March in respect of the AGS. There is, however, nothing new for the Joint Committee to consider as it is only required to complete the statements 1 to 8 in the AGS section of the Annual Return applicable to minor joint committees with income and expenditure below 2.5 million.

The full Annual Accounting return for 2018/19 is attached at Appendix III and requires approval by the Joint Committee before 15th June. Further details are provided in section 7 of the report.

4.2 The Joint Committee’s financial performance for the year ended 31st March 2019 is analysed in this report and the figures are shown in the attached Appendix I. The
5. **Income and Expenditure Account**

5.1 The financial performance of the Joint Committee in 2018/19 is summarised in the table below and shows the two discrete operating areas:

<table>
<thead>
<tr>
<th></th>
<th>Budget</th>
<th>Net Spend</th>
<th>Variance to Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Account</td>
<td>£939,400</td>
<td>£958,738</td>
<td>£19,338</td>
</tr>
<tr>
<td>Grant Accounts</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>£939,400</td>
<td>£958,738</td>
<td>£19,338</td>
</tr>
</tbody>
</table>

5.2 The following paragraphs provide a narrative on the key activities affecting the out-turn position.

5.2.1 **Operating account**

The main operating account shows a deficit £19,338, or approximately 2% when the net out turn of £958,738 is compared against the original net budget of £939,400. However it should be noted that the initial budget assumed a £64,095 contribution from the Joint Committee’s reserve. Appendix 1 provides an objective analysis of the out-turn position and the following table provides a commentary on the headline variations. The deficit has been set against the Joint Committee’s reserve.

<table>
<thead>
<tr>
<th></th>
<th>£</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employees</td>
<td>(34,864)</td>
</tr>
<tr>
<td>Premises</td>
<td>(5,178)</td>
</tr>
</tbody>
</table>

- **Employees**
  - The under spend has mainly resulted from part year vacancy savings.
  - Managed staff turnover in respect of an Archivist post and two Archive Assistant posts gave savings of circa £16,000 and £10,000 respectively.
  - An insurance claim of over £6,000 in compensation of staff time lost also helped to offset employee expenditure.

- **Premises**
  - The majority of the under spend in this area was realised against utility expenditure, both heat (gas) and electricity, with a combined saving of £17,000 against the budget. A comparison of the kwh consumption levels for heat and electricity shows that there was a reduction of approximately 9% over the previous year which contributed to the saving.
  - Utility savings were largely offset by service charges which were overspent by £13,000. The “on account” payment of £29,231 made in respect of the 2017/18 service charges, and which were based on an average of charges for the last three years, fell short of the actual service costs of £41,692 as notified by the landlord Blaenau Gwent in the latter part of 2018/19. This was mainly due to roof works to replace stolen lead and the increase in the caretaker recharge due to revised job descriptions and job evaluation.
A nil spend against the separate maintenance budget produced a saving of £2,000 which helped to mitigate the increased service charges costs.

<table>
<thead>
<tr>
<th>Supplies &amp; Services</th>
<th>5,514</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expenditure included £10,847 for the purchase of IT equipment. This was a planned refresh of IT hardware which the Committee had previously agreed could be funded from reserves. An under spend against other supplies and services lines, however, helped to reduce the overall cost giving a net figure of £5,514 requiring funding from reserve.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Support Services</th>
<th>(5,228)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The under spend related to IT recharges from Blaenau Gwent and was due to some items of equipment being removed from the IT recharge schedule a couple of years ago. There was also a 10% reduction, equating to £1,602, against the brought forward accrual for the 2017/18 bill in recognition of a period of disruption to the ICT service.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Year End Adjustment</th>
<th>6,120</th>
</tr>
</thead>
<tbody>
<tr>
<td>This figure represents the transfer of monies received via a private donation to help fund school visits to the Gwent Archives over a three year period. There was no expenditure for this programme in 2018/19, hence the monies were moved to the balance sheet at year end to be held for use in future financial years.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Income</th>
<th>(10,873)</th>
</tr>
</thead>
<tbody>
<tr>
<td>There was a boost to income in 2018/19 due to an increase in donations. As referred to above, a private donation of £6,120 was received to support the cost of transport associated with a school visits programme. Furthermore, a one off voluntary donation from an engineering company (Mabey) of £5,000 was received in respect of the receipt and storage of archives relating to their projects. The additional donations served to offset the shortfall of just over £3,400 against the fees and charges budget. Other funding totalling £2,929 included a contribution of £1,321 from the National Archives for “new burdens” – for taking in public records, and £1,608 from minor Archives and Records Council Wales (ARCW) grants via the National Library of Wales for costs relating to the Archives and Records Association (ARA) conference expenses and an Archives card joining fee.</td>
<td></td>
</tr>
</tbody>
</table>

5.2.2 Grant Accounts

Two grant funded projects which commenced in 2017/18 were completed during 2018/19. There was one new grant project in 2018/19.

The residual monies of £1,465 relating to the Heritage Lottery funded First World War project “Sharing Private O’Brien” were largely spent on staging a grand finale event to celebrate the project. The final total spend for the project was £9,312,
leaving a small balance of £88 against the original grant allocation of £9,400. The balance will be returned to the grantor if required.
The project “A Sporting Chance”, funded by the National Manuscripts Conservation Trust to preserve the records of Newport Rugby and Athletic Club, also came to an end in 2017/18. An amount of £9,127 was spent in 2018/19 for project staffing costs, conservation consultation, preservation materials and sundries bringing the total spend for this project to £14,765 in line with the grant award.

A grant of £38,729 was awarded by the Wellcome Trust in 2018/19 for the project “From ‘A Penny in the Pound’ to ‘Free at the Point of Delivery’: Cataloguing the pre and post 1948 hospital records of Monmouthshire.” Expenditure of £35,412 was incurred against this project in 2018/19 mainly for staffing costs for a Project archivist and a Preservation Assistant. The project commenced in May 2018 so will continue into the early part of the next financial year. A grant instalment of £34,857 representing 90% was received in 2018/19 with the remaining 10% to be paid on the successful completion of the project.

5.3 Reserve Position

5.3.1 The accumulated reserve position of the Joint committee can be summarised as follows, and takes account of the 2018/19 out-turn position above.

<table>
<thead>
<tr>
<th></th>
<th>Operational reserve £</th>
</tr>
</thead>
<tbody>
<tr>
<td>Balance as at 31st March 2018</td>
<td>286,991</td>
</tr>
<tr>
<td>2018/19 surplus/(deficit)</td>
<td>(19,338)</td>
</tr>
<tr>
<td>Balance as at 31st March 2019</td>
<td>267,653</td>
</tr>
<tr>
<td>Assumed usage 2019/20 to find IT projects</td>
<td>(12,062)</td>
</tr>
<tr>
<td>Assumed usage 2019/20 to fund relocation costs</td>
<td>(10,000)</td>
</tr>
<tr>
<td>Balance as at 31st March 2020</td>
<td>245,591</td>
</tr>
</tbody>
</table>

5.3.2 The current level of the reserve stands at £267,653 and is higher than the forecast level of the reserve in the medium term financial forecast for the end of 2018/19 at the time of the 2019/20 budget build (the table shown at 8.1 in the 2019/20 Estimates report presented to the December 2018 Joint Committee meeting refers) which was £255,613. The latter figure assumed utilising £31,378 of reserve funding, £20,440 for the revised budget deficit in addition to £10,938 for the IT refresh spend. The actual deficit at the end of the financial year was £19,338, inclusive of £10,847 for the one off IT expenditure, meaning that the call on reserves was even further reduced.

The updated medium term reserve position, taking into account the out-turn position for 2018/19 is as follows:

<table>
<thead>
<tr>
<th></th>
<th>2018/19</th>
<th>2019/20</th>
<th>2020/21</th>
<th>2020/21</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opening</td>
<td>286,991</td>
<td>267,653</td>
<td>245,591</td>
<td>226,228</td>
</tr>
<tr>
<td>In year use</td>
<td>(19,338)</td>
<td>(22,062)</td>
<td>(19,363)</td>
<td>(37,388)</td>
</tr>
<tr>
<td>Closing</td>
<td>267,653</td>
<td>245,591</td>
<td>226,228</td>
<td>188,840</td>
</tr>
</tbody>
</table>
6 Conclusion

6.1 The 2018/19 out turn position was an over spend of £19,338 which has been set against the Joint Committee reserve. This is far less than the expected use of reserve amount of £64,095 in the original budget estimate due to the under spends across the budget particularly employees, as well as additional income from donations.

7 Annual Return - Governance & Reporting arrangements

7.1 Gwent Archives, as a small body, has completed a summary annual accounts return since revised governance and reporting arrangements came into force in 2014/15. The Annual Return for the year ended 31 March 2019 comprises four main areas:

- Accounting Statements
- Annual Governance Statement
- Committee approval and certification
- Annual internal audit report

As outlined earlier the Joint Committee approved the governance statement at its March 2019 meeting using a version of the 2018/19 form provided by Grant Thornton which was pending formal issue at that time. The Annual Return subsequently issued for completion in respect of the 2018/19 accounts includes a shorter annual governance statement, i.e. there is no part 2. This has been confirmed as correct with the Committee’s external auditor’s Grant Thornton.

Members are reminded that a negative response has been given under point 4 of the AGS. It refers to the assertion concerning the proper opportunity for the exercise of electors’ rights and has been answered in the negative because the Joint Committee has been instructed by the Wales Audit Office that it must approve the Annual Return before the accounts and supporting documents are made available for public inspection under section 30 of the Public Audit (Wales) Act 2004.

Hence, the notice of the audit of accounts has been posted on both the Gwent Archives and the Torfaen County Borough Council websites, as well as on notice boards in the respective buildings, with a date of between 1st July 19 and 26th July 19 as the period in which electors may exercise their rights.

The full annual return for the year ended 31 March 2019 is attached at Appendix III. The required sections of the return have been completed, and it has been signed by the responsible financial officer (RFO), i.e. Torfaen’s section 151 Officer, in accordance with the accounts and audit arrangements process. The Annual Return and corresponding evidence has been forwarded to the external auditors for certification.

7.2 The reporting process requires the Joint Committee to approve the Annual Return before 15th June 2019 and the Chair is requested to sign in the section following the annual governance statement.
8 Recommendations

8.1 It is recommended that the Joint Committee:-
   i) receive the 2018/19 final accounts for the Gwent Archives service outlined
      within this report and at Appendix I;
   ii) note the financial position as at 31st March 2019 and the balance of the Joint
       Committee’s reserve as shown in Appendix II;
   iii) approve the Annual Return for the year ended 31 March 2019;
   iv) authorise the Chairperson to sign the Annual Return.

<table>
<thead>
<tr>
<th>Appendices</th>
<th>Appendix I - Gwent Archives Joint Committee Income and Expenditure Account 2018/19, Appendix II – Gwent Archives Joint Committee Balance Sheet 2018/19; Appendix III – Gwent Archives Annual Return for the year ended 31 March 2019.</th>
</tr>
</thead>
</table>

 |                   | b) Gwent Archives Joint Committee report dated 14th December 2018; Gwent Archives Service Budget Monitoring 2018/19 & Estimates 2019/20 | 

| For a copy of the background papers or for further information about this report, please telephone: | David Lilly, Head of Financial Services 01495 742624 (Ext 2624), Lynne Jones, Accountancy Support Officer, 01495 766127 (Ext 6127). |
## GWENT ARCHIVES COMMITTEE
### Income and Expenditure Account

#### Operational budget

<table>
<thead>
<tr>
<th></th>
<th>Actuals 2017/18</th>
<th>Original Estimate 2018/19</th>
<th>Revised Estimate 2018/19</th>
<th>Actuals 2018/19</th>
<th>Variance to original</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EXPENDITURE</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Employees</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salaries</td>
<td>343,579</td>
<td>358,863</td>
<td>329,324</td>
<td>325,048</td>
<td>(33,815)</td>
</tr>
<tr>
<td>National Ins</td>
<td>31,589</td>
<td>33,095</td>
<td>30,917</td>
<td>33,231</td>
<td>136</td>
</tr>
<tr>
<td>Super An.</td>
<td>67,325</td>
<td>70,437</td>
<td>69,798</td>
<td>69,817</td>
<td>(620)</td>
</tr>
<tr>
<td>Post Entry Training</td>
<td>189</td>
<td>500</td>
<td>660</td>
<td>640</td>
<td>140</td>
</tr>
<tr>
<td>Other Expenses</td>
<td>282</td>
<td>840</td>
<td>673</td>
<td>135</td>
<td>(705)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>442,963</td>
<td>463,735</td>
<td>431,373</td>
<td>428,871</td>
<td>(34,864)</td>
</tr>
<tr>
<td><strong>Premises</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rent for new accommodation Ebbw Vale</td>
<td>311,335</td>
<td>311,335</td>
<td>311,335</td>
<td>311,335</td>
<td>0</td>
</tr>
<tr>
<td>Planned &amp; Reactive Maintenance</td>
<td>0</td>
<td>2,000</td>
<td>231</td>
<td>0</td>
<td>(2,000)</td>
</tr>
<tr>
<td>Service Charges</td>
<td>25,023</td>
<td>35,000</td>
<td>35,971</td>
<td>48,431</td>
<td>13,431</td>
</tr>
<tr>
<td>Utility Costs</td>
<td>24,302</td>
<td>40,000</td>
<td>28,706</td>
<td>22,569</td>
<td>(17,431)</td>
</tr>
<tr>
<td>NNDR</td>
<td>89,820</td>
<td>92,155</td>
<td>92,520</td>
<td>48,431</td>
<td>13,431</td>
</tr>
<tr>
<td>Cleaning</td>
<td>5,968</td>
<td>6,000</td>
<td>6,433</td>
<td>6,457</td>
<td>457</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>456,448</td>
<td>486,490</td>
<td>475,195</td>
<td>481,312</td>
<td>(5,178)</td>
</tr>
<tr>
<td><strong>Transport</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Car allowances/Staff Public Transport/Vehicle Hire</td>
<td>1,857</td>
<td>2,000</td>
<td>2,000</td>
<td>1,752</td>
<td>(248)</td>
</tr>
<tr>
<td><strong>Supplies &amp; Services</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Furniture and equipment</td>
<td>4,138</td>
<td>7,300</td>
<td>4,300</td>
<td>3,626</td>
<td>(3,674)</td>
</tr>
<tr>
<td>Stationery/General Office Expenses</td>
<td>5,166</td>
<td>5,000</td>
<td>4,790</td>
<td>4,523</td>
<td>(477)</td>
</tr>
<tr>
<td>Fees</td>
<td>114</td>
<td>1,000</td>
<td>1,005</td>
<td>249</td>
<td>(751)</td>
</tr>
<tr>
<td>IT hardware/software</td>
<td>40</td>
<td>0</td>
<td>10,938</td>
<td>10,847</td>
<td>10,847</td>
</tr>
<tr>
<td>Courses and conferences</td>
<td>149</td>
<td>500</td>
<td>705</td>
<td>654</td>
<td>154</td>
</tr>
<tr>
<td>Audit fee</td>
<td>460</td>
<td>1,000</td>
<td>1,000</td>
<td>460</td>
<td>(540)</td>
</tr>
<tr>
<td>Insurance</td>
<td>6,594</td>
<td>8,000</td>
<td>8,000</td>
<td>7,954</td>
<td>(46)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>16,661</td>
<td>22,800</td>
<td>30,738</td>
<td>28,314</td>
<td>5,514</td>
</tr>
<tr>
<td><strong>Support Services</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finance/Employee Services/HR/Legal</td>
<td>23,470</td>
<td>23,470</td>
<td>23,470</td>
<td>23,470</td>
<td>0</td>
</tr>
<tr>
<td>IT Support (Blaenau Gwent)</td>
<td>16,022</td>
<td>20,000</td>
<td>20,000</td>
<td>14,772</td>
<td>(5,228)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>39,492</td>
<td>43,470</td>
<td>43,470</td>
<td>38,242</td>
<td>(5,228)</td>
</tr>
<tr>
<td><strong>Year End Adjustment</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transfer</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>6,120</td>
<td>6,120</td>
</tr>
<tr>
<td><strong>GROSS EXPENDITURE</strong></td>
<td>957,422</td>
<td>1,018,495</td>
<td>982,777</td>
<td>984,611</td>
<td>(33,884)</td>
</tr>
</tbody>
</table>

#### Income

<table>
<thead>
<tr>
<th></th>
<th>Actuals 2018/19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operational Income</td>
<td>(12,026)</td>
</tr>
<tr>
<td>Donations/Gifts</td>
<td>(113)</td>
</tr>
<tr>
<td>Grants &amp; Contributions</td>
<td>0</td>
</tr>
<tr>
<td>Use of reserve</td>
<td>0</td>
</tr>
<tr>
<td><strong>Net Income</strong></td>
<td>945,282</td>
</tr>
</tbody>
</table>

#### Joint Authority Contributions

<table>
<thead>
<tr>
<th></th>
<th>Actuals 2018/19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Blaenau Gwent CBC</td>
<td>142,789</td>
</tr>
<tr>
<td>Caerphilly CBC</td>
<td>137,152</td>
</tr>
<tr>
<td>Monmouthshire CC</td>
<td>182,244</td>
</tr>
<tr>
<td>Newport CBC</td>
<td>289,335</td>
</tr>
<tr>
<td>Torfaen CBC</td>
<td>187,880</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>939,400</td>
</tr>
</tbody>
</table>

#### Net Expenditure

<table>
<thead>
<tr>
<th></th>
<th>Actuals 2018/19</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Net Expenditure</strong></td>
<td>5,882</td>
</tr>
</tbody>
</table>

Page 27
### WW1 Private O’Brien Project

<table>
<thead>
<tr>
<th></th>
<th>Actuals 2017/18</th>
<th>Original Estimate 2018/19</th>
<th>Revised Estimate 2018/19</th>
<th>Actuals 2018/19</th>
</tr>
</thead>
<tbody>
<tr>
<td>EXPENDITURE</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Premises</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>310</td>
</tr>
<tr>
<td>Supplies &amp; Services</td>
<td>7,935</td>
<td>0</td>
<td>1,465</td>
<td>1,067</td>
</tr>
<tr>
<td></td>
<td>7,935</td>
<td>0</td>
<td>1,465</td>
<td>1,377</td>
</tr>
<tr>
<td>GROSS EXPENDITURE</td>
<td>7,935</td>
<td>0</td>
<td>1,465</td>
<td>1,377</td>
</tr>
<tr>
<td>Income</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grant Income</td>
<td>(7,935)</td>
<td>0</td>
<td>(1,465)</td>
<td>(1,377)</td>
</tr>
<tr>
<td>NET EXPENDITURE</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### A Sporting Chance Project

<table>
<thead>
<tr>
<th></th>
<th>Actuals 2017/18</th>
<th>Original Estimate 2018/19</th>
<th>Revised Estimate 2018/19</th>
<th>Actuals 2018/19</th>
</tr>
</thead>
<tbody>
<tr>
<td>EXPENDITURE</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employees</td>
<td>4163</td>
<td>5,453</td>
<td>5,116</td>
<td>6336</td>
</tr>
<tr>
<td>Supplies &amp; Services</td>
<td>1,475</td>
<td>0</td>
<td>2,789</td>
<td>2,790</td>
</tr>
<tr>
<td></td>
<td>5,638</td>
<td>5,453</td>
<td>7,905</td>
<td>9,127</td>
</tr>
<tr>
<td>GROSS EXPENDITURE</td>
<td>5,638</td>
<td>5,453</td>
<td>7,905</td>
<td>9,127</td>
</tr>
<tr>
<td>Income</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grant Income</td>
<td>(5,638)</td>
<td>(5,453)</td>
<td>(7,905)</td>
<td>(9,127)</td>
</tr>
<tr>
<td>NET EXPENDITURE</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### Wellcome Project - A Penny in the Pound

<table>
<thead>
<tr>
<th></th>
<th>Actuals 2017/18</th>
<th>Original Estimate 2018/19</th>
<th>Revised Estimate 2018/19</th>
<th>Actuals 2018/19</th>
</tr>
</thead>
<tbody>
<tr>
<td>EXPENDITURE</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employees</td>
<td>0</td>
<td>0</td>
<td>34,735</td>
<td>35,306</td>
</tr>
<tr>
<td>Supplies &amp; Services</td>
<td>0</td>
<td>0</td>
<td>122</td>
<td>106</td>
</tr>
<tr>
<td></td>
<td>0</td>
<td>0</td>
<td>34,857</td>
<td>35,412</td>
</tr>
<tr>
<td>GROSS EXPENDITURE</td>
<td>0</td>
<td>0</td>
<td>34,857</td>
<td>35,412</td>
</tr>
<tr>
<td>Income</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grant Income</td>
<td>0</td>
<td>0</td>
<td>(34,857)</td>
<td>(35,412)</td>
</tr>
<tr>
<td>NET EXPENDITURE</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
## Balance Sheet as at 31 March 2019

<table>
<thead>
<tr>
<th></th>
<th>31 March 2018</th>
<th>31 March 2019</th>
<th>£</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current Assets</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash in Hand</td>
<td>341,962</td>
<td>341,962</td>
<td></td>
</tr>
<tr>
<td>Debtors</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Local Authorities</td>
<td>691</td>
<td>606</td>
<td></td>
</tr>
<tr>
<td>Sundry Debtors</td>
<td>0</td>
<td>555</td>
<td>1,162</td>
</tr>
<tr>
<td><strong>Current Liabilities</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grant receipts in advance</td>
<td>(3,210)</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Creditors</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Local Authorities</td>
<td>(51,853)</td>
<td>(27,771)</td>
<td></td>
</tr>
<tr>
<td>Sundry Creditors</td>
<td>(600)</td>
<td>(7,128)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(52,452)</td>
<td>(34,899)</td>
<td></td>
</tr>
<tr>
<td><strong>Total Assets Less Liabilities</strong></td>
<td>286,991</td>
<td>267,653</td>
<td></td>
</tr>
<tr>
<td><strong>Financed By</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Reserve</td>
<td>(286,991)</td>
<td>(267,653)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(286,991)</td>
<td>(267,653)</td>
<td></td>
</tr>
</tbody>
</table>
This page is intentionally left blank
Smaller relevant local government bodies in Wales
Annual Return for the Year Ended 31 March 2019

THE ACCOUNTS AND AUDIT PROCESS

Section 12 of the Public Audit (Wales) Act 2004 requires local government bodies in Wales to make up their accounts each year to 31 March and to have those accounts audited by the Auditor General for Wales. Regulation 14 of the Accounts and Audit (Wales) Regulations 2014 states that smaller local government bodies i.e. those with annual income and expenditure below £2.5 million must prepare their accounts in accordance with proper practices.

For minor joint committees with income and expenditure below £2.5 million, proper practices are set out in the One Voice Wales/Society of Local Council Clerks publication ‘Governance and accountability for local councils in Wales – A Practitioners’ Guide’ (the Practitioners’ Guide). The Practitioners’ Guide requires that they prepare their accounts in the form of an annual return. This annual return meets the requirements of the Practitioners’ Guide.

The accounts and audit arrangements follow the process as set out below.

RFO/Clerk prepares accounting statements and Annual Governance Statement. Internal audit completes internal audit report. RFO certifies return (below Part 2 of the Annual Governance Statement) before 15 June and presents the return to the body.

The body approves the Annual Return by 15 June. This is evidenced by the Chair signing the box below Part 2 of the Annual Governance Statement. RFO/Clerk sends the Annual Return and copies of requested evidence to the external auditor acting on behalf of the Auditor General for Wales.

External auditor completes audit and:

Either:
If no amendments are required, certifies the Annual Return and sends it back to the body for publishing by 15 September.

Or:
If amendments are required, reports issues (including amendments) to the body. The body amends the Annual Return, the RFO re-certifies and the body re-approves before sending it back to the auditor. The auditor then certifies the Annual Return and sends it back to the body for publishing by 15 September.

Please read the guidance on completing this Annual Return and complete all sections highlighted in red including the Annual Governance Statement.

APPROVING THE ANNUAL RETURN

There are two boxes for certification and approval by the body. The second box is only required if the annual return has to be amended as a result of the audit. You should only complete the top box before sending the form to the auditor.

The committee must approve the annual return BEFORE the accounts and supporting documents are made available for public inspection under section 30 of the Public Audit (Wales) Act 2004.

The Auditor General for Wales’ Audit Certificate and report is to be completed by the auditor acting on behalf of the Auditor General. It MUST NOT be completed by the Clerk/RFO, the Chair or the internal auditor.

Audited and certified returns are sent back to the body for publication and display of the accounting statements, Annual Governance Statement and the Auditor General for Wales’ certificate and report.
Accounting statements 2018-19 for:

Name of body: Gwent Archives Joint Committee

<table>
<thead>
<tr>
<th>Year ending</th>
<th>Notes and guidance for compilers</th>
</tr>
</thead>
<tbody>
<tr>
<td>31 March 2018 (£)</td>
<td>31 March 2019 (£)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1. Balances brought forward</th>
<th>292,874</th>
<th>286,991</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total balances and reserves at the beginning of the year as recorded in the financial records. Must agree to line 7 of the previous year.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. (+) Income from local taxation/levy</th>
<th>939,400</th>
<th>939,400</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total amount of income received/receivable in the year from local taxation (precept) or levy/contribution from principal bodies.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. (+) Total other receipts</th>
<th>25,713</th>
<th>71,789</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total income or receipts recorded in the cashbook minus amounts included in line 2. Includes support, discretionary and revenue grants.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4. (-) Staff costs</th>
<th>448,546</th>
<th>471,252</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total expenditure or payments made to and on behalf of all employees. Include salaries and wages, PAYE and NI (employees and employers), pension contributions and related expenses eg. termination costs.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5. (-) Loan interest/capital repayments</th>
<th>0</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total expenditure or payments of capital and interest made during the year on external borrowing (if any).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>6. (-) Total other payments</th>
<th>522,450</th>
<th>559,275</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total expenditure or payments as recorded in the cashbook minus staff costs (line 4) and loan interest/capital repayments (line 5).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>7. (=) Balances carried forward</th>
<th>286,991</th>
<th>267,653</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total balances and reserves at the end of the year. Must equal (1+2+3) – (4+5+6).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Statement of balances**

<table>
<thead>
<tr>
<th>8. (+) Debtors and stock balances</th>
<th>691</th>
<th>1162</th>
</tr>
</thead>
<tbody>
<tr>
<td>Income and expenditure accounts only: Enter the value of debts owed to the body and stock balances held at the year-end.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>9. (+) Total cash and investments</th>
<th>341,962</th>
<th>301,390</th>
</tr>
</thead>
<tbody>
<tr>
<td>All accounts: The sum of all current and deposit bank accounts, cash holdings and investments held at 31 March. This must agree with the reconciled cashbook balance as per the bank reconciliation.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>10. (-) Creditors</th>
<th>55,662</th>
<th>34,899</th>
</tr>
</thead>
<tbody>
<tr>
<td>Income and expenditure accounts only: Enter the value of monies owed by the body (except borrowing) at the year-end.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>11. (=) Balances carried forward</th>
<th>286,991</th>
<th>267,653</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total balances should equal line 7 above: Enter the total of (8+9-10).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>12. Total fixed assets and long-term assets</th>
<th>0</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>The asset and investment register value of all fixed assets and any other long-term assets held as at 31 March.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>13. Total borrowing</th>
<th>0</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>The outstanding capital balance as at 31 March of all loans from third parties (including PWLB).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Annual Governance Statement

We acknowledge as the members of the Committee, our responsibility for ensuring that there is a sound system of internal control, including the preparation of the accounting statements. We confirm, to the best of our knowledge and belief, with respect to the accounting statements for the year ended 31 March 2019, that:

<table>
<thead>
<tr>
<th></th>
<th>Agreed?</th>
<th>‘YES’ means that the Committee:</th>
<th>PG Ref</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>![Yes] ![No]</td>
<td>Properly sets its budget and manages its money and prepares and approves its accounting statements as prescribed by law.</td>
<td>6, 12</td>
</tr>
<tr>
<td>2.</td>
<td>![Yes] ![No]</td>
<td>Made proper arrangements and accepted responsibility for safeguarding the public money and resources in its charge.</td>
<td>6, 7</td>
</tr>
<tr>
<td>3.</td>
<td>![Yes] ![No]</td>
<td>Has only done things that it has the legal power to do and has conformed to codes of practice and standards in the way it has done so.</td>
<td>6</td>
</tr>
<tr>
<td>4.</td>
<td>![Yes] ![No]</td>
<td>Has given all persons interested the opportunity to inspect the body’s accounts as set out in the notice of audit.</td>
<td>6, 23</td>
</tr>
<tr>
<td>5.</td>
<td>![Yes] ![No]</td>
<td>Considered the financial and other risks it faces in the operation of the body and has dealt with them properly.</td>
<td>6, 9</td>
</tr>
<tr>
<td>6.</td>
<td>![Yes] ![No]</td>
<td>Arranged for a competent person, independent of the financial controls and procedures, to give an objective view on whether these meet the needs of the body.</td>
<td>6, 8</td>
</tr>
<tr>
<td>7.</td>
<td>![Yes] ![No]</td>
<td>Disclosed everything it should have about its business during the year including events taking place after the year-end if relevant.</td>
<td>6</td>
</tr>
<tr>
<td>8.</td>
<td>![Yes] ![No]</td>
<td>Considered and taken appropriate action to address issues/weaknesses brought to its attention by both the internal and external auditors.</td>
<td>6, 8, 23</td>
</tr>
</tbody>
</table>

* Please provide explanations to the external auditor on a separate sheet for each ‘no’ response given; and describe what action is being taken to address the weaknesses identified.
Committee approval and certification

The Committee is responsible for the preparation of the accounting statements in accordance with the requirements of the Accounts and Audit (Wales) Regulations 2014 and for the preparation of the Annual Governance Statement.

<table>
<thead>
<tr>
<th>Certification by the RFO</th>
<th>Approval by the Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td>I certify that the accounting statements contained in this Annual Return presents fairly the financial position of the Committee and its income and expenditure, or properly presents receipts and payments, as the case may be, for the year ended 31 March 2019.</td>
<td>I confirm that these accounting statements and Annual Governance Statement were approved by the Committee under minute reference:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RFO signature:</th>
<th>Chair of meeting signature:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nigel Aurelius</td>
<td>Name:</td>
</tr>
<tr>
<td>Date: 06/06/2019</td>
<td>Date:</td>
</tr>
</tbody>
</table>

Committee re-approval and re-certification (only required if the annual return has been amended at audit)

<table>
<thead>
<tr>
<th>Certification by the RFO</th>
<th>Approval by the Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td>I certify that the accounting statements contained in this Annual Return presents fairly the financial position of the Committee, and its income and expenditure, or properly presents receipts and payments, as the case may be, for the year ended 31 March 2019.</td>
<td>I confirm that these accounting statements and Annual Governance Statement were approved by the Committee under minute reference:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RFO signature:</th>
<th>Chair of meeting signature:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
<td>Name:</td>
</tr>
<tr>
<td>Date:</td>
<td>Date:</td>
</tr>
</tbody>
</table>
Auditor General for Wales’ Audit Certificate and report

The external auditor conducts the audit on behalf of, and in accordance with, guidance issued by the Auditor General for Wales. On the basis of their review of the Annual Return and supporting information, they report whether any matters that come to their attention give cause for concern that relevant legislation and regulatory requirements have not been met.

We certify that we have completed the audit of the Annual Return for the year ended 31 March 2019 of:

---

External auditor’s report

[Except for the matters reported below]* On the basis of our review, in our opinion, the information contained in the Annual Return is in accordance with proper practices and no matters have come to our attention giving cause for concern that relevant legislation and regulatory requirements have not been met.

[[These matters along with] * Other matters not affecting our opinion which we draw to the attention of the body and our recommendations for improvement are included in our report to the body dated ________________ .]

Other matters and recommendations

On the basis of our review, we draw the body’s attention to the following matters and recommendations which do not affect our audit opinion but should be addressed by the body.

(Continue on a separate sheet if required.)

External auditor’s name:

External auditor’s signature: Date:

For and on behalf of the Auditor General for Wales

* Delete as appropriate.
Annual internal audit report to:

Name of body: Gwent Joint Archives Committee

The Committee’s internal audit, acting independently and on the basis of an assessment of risk, has included carrying out a selective assessment of compliance with relevant procedures and controls expected to be in operation during the financial year ending 31 March 2019.

The internal audit has been carried out in accordance with the Committee's needs and planned coverage. On the basis of the findings in the areas examined, the internal audit conclusions are summarised in this table. Set out below are the objectives of internal control and the internal audit conclusions on whether, in all significant respects, the following control objectives were being achieved throughout the financial year to a standard adequate to meet the needs of the Committee.

<table>
<thead>
<tr>
<th>Agreed?</th>
<th>Outline of work undertaken as part of the internal audit (NB not required if detailed internal audit report presented to body)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>No*</td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Not covered**</td>
<td></td>
</tr>
</tbody>
</table>

1. Appropriate books of account have been properly kept throughout the year.

   No specific audit of the Gwent Archives function was carried out during 2018/19. The current approach is to carry out a systems audit once every three years, with a follow up audit in the following year and in the third year there is usually no audit carried out. This is a risk based judgement based on the audits performed previously.

   An audit of the Gwent Archives systems was undertaken in 2016/17 and the overall opinion provided was that SUBSTANTIAL assurance was provided to management. 51 controls were tested and only 6 recommendations for improvement were made. During 2017/18 a follow up audit was undertaken to check on the progress of implementing the agreed recommendations. The outcome of the audit was SATISFACTORY in that four of the six recommendations had been fully implemented with progress being made on the other two.

   Given these results and adopting a risk based approach, I see no reason to deviate from the current frequency of a full internal audit once every three years with a follow up audit in the following year.

2. Financial regulations have been met, payments were supported by invoices, expenditure was approved and VAT was appropriately accounted for.

   No audit carried out –see narrative in 1 above.

3. The body assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.

   No audit carried out –see narrative in 1 above.
<table>
<thead>
<tr>
<th></th>
<th>Agreed?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Yes</strong></td>
<td><strong>No</strong></td>
</tr>
<tr>
<td>4. The annual precept/levy/resource demand requirement resulted from an adequate budgetary process, progress against the budget was regularly monitored, and reserves were appropriate.</td>
<td><img src="image" alt="Diagram" /></td>
</tr>
<tr>
<td>5. Expected income was fully received, based on correct prices, properly recorded and promptly banked, and VAT was appropriately accounted for.</td>
<td><img src="image" alt="Diagram" /></td>
</tr>
<tr>
<td>6. Petty cash payments were properly supported by receipts, expenditure was approved and VAT appropriately accounted for.</td>
<td><img src="image" alt="Diagram" /></td>
</tr>
<tr>
<td>7. Salaries to employees and allowances to members were paid in accordance with minuted approvals, and PAYE and NI requirements were properly applied.</td>
<td><img src="image" alt="Diagram" /></td>
</tr>
<tr>
<td>8. Asset and investment registers were complete, accurate, and properly maintained.</td>
<td><img src="image" alt="Diagram" /></td>
</tr>
<tr>
<td>9. Periodic and year-end bank account reconciliations were properly carried out.</td>
<td><img src="image" alt="Diagram" /></td>
</tr>
<tr>
<td>10. Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments/income and expenditure), agreed with the cashbook, were supported by an adequate audit trail from underlying records, and where appropriate, debtors and creditors were properly recorded.</td>
<td><img src="image" alt="Diagram" /></td>
</tr>
</tbody>
</table>
For any risk areas identified by the Committee (list any other risk areas below or on separate sheets if needed) adequate controls existed:

<table>
<thead>
<tr>
<th></th>
<th>Agreed?</th>
<th>Outline of work undertaken as part of the internal audit (NB not required if detailed internal audit report presented to body)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes</td>
<td>No*</td>
</tr>
<tr>
<td>11. Insert risk area</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. Insert risk area</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. Insert risk area</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* If the response is 'no', please state the implications and action being taken to address any weakness in control identified (add separate sheets if needed).

** If the response is 'not covered', please state when the most recent internal audit work was done in this area and when it is next planned, or if coverage is not required, internal audit must explain why not.

**Internal audit confirmation**

I confirm that as the Committee’s internal auditor, I have not been involved in a management or administrative role within the body (including preparation of the accounts) or as a member of the body during the financial years 2017-18 and 2018-19. I also confirm that there are no conflicts of interest surrounding my appointment.

Name of person who carried out the internal audit: **Peter Williams**

Signature of person who carried out the internal audit: **[Signature]**

Date: **7/6/2019**
1. **Area Affected**

   The geographical area of Gwent as defined for the purposes of the Gwent Joint Archives Committee.

2. **Purpose of Report**

   To inform members of the Committee on the range of activities during the quarter 1 March 2019 – 31 May 2019.

3. **Recommendation**

   That members note the content of this report, comment on it and agree any proposals.

4. **Access: On Site**

4.1 **Research Room Visitors**

<table>
<thead>
<tr>
<th>Mar 17 To May 17</th>
<th>Jun 17 To Aug 17</th>
<th>Sep 17 To Nov 17</th>
<th>Dec 17 To Feb 18</th>
<th>Mar 18 To May 18</th>
<th>Jun 18 To Aug 18</th>
<th>Sep 18 To Nov 18</th>
<th>Dec 19 To Feb 20</th>
<th>Mar 19 To May 19</th>
</tr>
</thead>
<tbody>
<tr>
<td>568</td>
<td>466</td>
<td>416</td>
<td>329</td>
<td>357</td>
<td>420</td>
<td>326</td>
<td>297</td>
<td>370</td>
</tr>
</tbody>
</table>

4.2 **Documents Produced**

   Over the past quarter we have produced 803 documents (compared to 538 in the previous quarter)

5. **Access: Remote**

5.1 **No. of enquiries**

<table>
<thead>
<tr>
<th>Jun 17 To Aug 17</th>
<th>Sep 17 To Nov 17</th>
<th>Dec 17 To Feb 18</th>
<th>Mar 18 To May 18</th>
<th>Jun 18 To Aug 18</th>
<th>Sep 18 To Nov 18</th>
<th>Dec 18 To Feb 19</th>
<th>Mar 19 To May 19</th>
</tr>
</thead>
<tbody>
<tr>
<td>210</td>
<td>236</td>
<td>197</td>
<td>217</td>
<td>273</td>
<td>260</td>
<td>272</td>
<td>281</td>
</tr>
</tbody>
</table>

5.2 **Website and social media**

   Website – 2,733 visits (see above)
Facebook – 1,682 likes (1,559 in the previous quarter)
Twitter – 1,814 followers (1,767 in the previous quarter)

5.3 ICT and Digital Preservation

There has been no progress with the Gwent Archives website rebuild or the transfer of the Chartist Trials website. A meeting has been held with Blaenau Gwent and SRS to discuss establishing an SLA and a direct relationship between Gwent Archives and SRS which would be a major step towards a more effective ICT service for us.

6. Learning, Workshops, Classes, Group Visits and talks

6.1 School and Further Education (Under 18s)

Gwent Archives has had a quiet quarter – however we are optimistic that this will pick up later in the year. The Archives has begun to contact schools with regards to the education service and transportation grant. It is hoped that we will see an increase in visits in the autumn term, if not sooner.

The Archive has had two school visits this term. One from Blaenavon VC School when a group of ten pupils came to the Archives to find out about the history of their town. The pupils compared different maps of Blaenavon to see how the town has grown and used various photographs and adverts to find out about the different businesses in the town. This visit was arranged by the Education Officer for Llantarnam Grange Arts Centre and is part of the ‘Townscape Heritage Programme.’

We have also been visited by pupils from Sofrydd Primary, who came to the Archives as part of the community launch for Head4Arts ‘Exhibition in a Box’. The pupils had participated in and contributed to the project and even produced their own Exhibition in a Box which was put on display at Gwent Archives, alongside Head4Arts’s exhibition.

_The Archive has worked with 40 under 18s this quarter, bringing the current total to 40. Our target for the year is 500._

6.2 Widening Access Research and Mentoring (WARM)

The Pen-y-Fal Study Group are continuing to visit Gwent Archives during our Saturday openings. We have recently seen more new members join the group and are continuing to explore funding streams for the project.

6.3 Adult Learners

The Archives have delivered talks and tours for Derwen Cymru, Blackwood Family History Society, Cwmdulais Local History Society, Ebbw Vale University of the Third Age, and Oxford House, Risca. We have also provided introductory sessions to the Archives for Tredegar House research volunteers, University of South Wales second year History students, the Canal River Trust’s Hinterlands project and to the Research volunteers for the Gwent Living Levels project. We are continuing to provide family history drop-in sessions for Usk and Gilwern Libraries on an every-other-month basis. We have continued to work with Coleg Gwent – delivering sessions on researching Victorian and Edward Crime, and Palaeography.

We have also delivered a number of events this quarter – to begin with, we held a series of ‘public health in Monmouthshire’ talks to mark the end of the Wellcome Trust funded project, ‘A Penny in the Pound’. We also hosted our first Creative Writing workshop which was delivered by Patrick Jones and was very well received. Following on from February’s ‘The World We Have Lost: the Value of Local and Community
History’ talk, we delivered our ‘Discover Tredegar’ talk in April and ‘Discover the History of Your House’ in May. We also launched our first Wiki-editathon workshop, in partnership with the Western Front Association – articles that were edited include Gwent Archives, St Woolos Cemetery, Annie Brewer, and the South Wales Argus.

This quarter has also seen the return of our Past and Present Walks. This year we will be delivering walks at Ebbw Vale, Abergavenny, Pillgwenlly, Blackwood, and Pontypool

The Archives has worked with 367 Adult Learners visit this quarter, bringing the current total to 367. Our target for the year is 700.

6.4 Outreach
This quarter the Education and Outreach Archivist has attended handover meetings for the Cultural Ambitions project. From January to April, we were joined by our first placement in the project who has now left to continue her training at Blaenavon for two months; she will complete her final three months at Tredegar Park. In April, we were joined by our second placement who had already completed three months at Torfaen Heritage. He will be with us until July.

The Learning Archivist has also attended meetings relating to Blaenau Gwent Destination Management and Head4Arts ‘Exhibition in a Box’, and met with a representative of Elite Supported Employment.

6.5 Work Experience and Volunteers
This quarter, the Archives are continuing to work with volunteers in Conservation. A few volunteers have dropped out or left us for other projects and we now have four spaces available – 2 on a Monday morning, 1 on a Wednesday morning and 1 on a Thursday morning.

During this period, we also arranged placements with Bridges to Work and GOWales (University of South Wales).

The Archives has had 5 work experience placements this quarter, bringing the current total to 5. The target for the year is 10.

6.6 Projects

Wellcome Trust Cataloguing Project

See Update Report, Appendix 1

Unlocking the Chartist Trials Project

The Chartist ‘Trails to Trials’/ ‘Unlocking the Chartist Trials’ Project consists of c.3,500 digitised images (27 volumes) of witness statements and legal depositions – relating to the Chartist ‘Treason Trial’ of 1839-40.

This was commenced as an online Public Transcription Project in 2016. Initially a HLF funded project with two part time (technical and outreach) staff. This now has no separately paid staff. The project is now at the ‘Transcript Review’ stage. About 9 of the 27 volumes require substantial review and editing.

At present there is one volunteer and one member of Gwent Archives staff actively
engaged in the review process. Progress statement at 20/5/19 attached. The resource at present is on the National Library of Wales IT system. Gwent Archives purchased the Domain name for the project in 2018- with the view of it being permanently transferred to Gwent Archives control.

The Project also developed ‘learning resources’ for Chartism which are displayed on the Gwent Archives website.

7. Learning: Volunteers

This quarter we have had 12 archive volunteers who have contributed 110 hours.

8. Collection: Developing the Gwent Archives Collection
ACCESSIONS 1/3/19-28/5/19

<table>
<thead>
<tr>
<th>Accession</th>
<th>Collection Title</th>
<th>Description of Records</th>
<th>Date Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>6468</td>
<td>Ynysddu Board School</td>
<td>Log Book</td>
<td>1877-1898</td>
</tr>
<tr>
<td>6469</td>
<td>Mells Estate, Somerset</td>
<td>Deeds and documents relating to various properties in Gwent, mainly in the Usk and Llanbadoc area</td>
<td>1508 - mid 19th century</td>
</tr>
<tr>
<td>6471</td>
<td>Parish Churches of Trelleck and Penallt</td>
<td>Parish registers and facsimile copies of registers, etc.</td>
<td>c.1870-c.2018</td>
</tr>
<tr>
<td>6473</td>
<td>Llantilio Crossenny</td>
<td>Deposition for the Court of Chancery, made by John Williams, farmer, of Llantilio Crossenny</td>
<td>1808</td>
</tr>
<tr>
<td>6474</td>
<td>Lordship of Monmouth</td>
<td>Quitclaim</td>
<td>c.1481</td>
</tr>
<tr>
<td>6475</td>
<td>Newport Deeds</td>
<td>Title Deeds</td>
<td>c.1900-c.1970</td>
</tr>
<tr>
<td>6476</td>
<td>Abergavenny Local History Society</td>
<td>DVD containing a database of Abergavenny Old Hereford Road Cemetery Burials and Headstones, 1855-1938</td>
<td>2019</td>
</tr>
<tr>
<td>6477</td>
<td>Blaenavon Hospital Welfare Society</td>
<td>Account Book (additional item, to be catalogued with D6421)</td>
<td>c.1978-c.1982</td>
</tr>
<tr>
<td>Reference</td>
<td>Description</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------</td>
<td>-------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6478</td>
<td>New Inn Congregational Church, New Inn</td>
<td>Deacons' Minutes, Cash Books, etc.</td>
<td>1935-2010</td>
</tr>
<tr>
<td>6479</td>
<td>Newport Register Office</td>
<td>Duplicate Marriage Registers for: Caerleon Methodist Church, Church Street, Caerleon, 1992-2003; Cromwell Road Methodist Church, Newport, 1989-1993</td>
<td>1989-2003</td>
</tr>
<tr>
<td>6480</td>
<td>Cwmbran Council of Churches</td>
<td>Minutes</td>
<td>1987-1993</td>
</tr>
<tr>
<td>6481</td>
<td>Abergavenny, Pictorial</td>
<td>Postcards and photographs of Abergavenny, including the redevelopment of the town centre c.1980</td>
<td>c.1910-c.1980</td>
</tr>
<tr>
<td>6482</td>
<td>Tredegar Estate</td>
<td>Specifications and plans for laying a new sewer at Tredegar Park; architectural plans re Peach House, Holly House Rhiwderin, Coedkernew Cottages, Craig-yr-Haul Castleton and Lord Tredegar's Home Farm Mansion.</td>
<td>c.1910-1930</td>
</tr>
<tr>
<td>6483</td>
<td>Dyffryn School, Cwm</td>
<td>Small Diary/Calendar (sold 'In aid of Dyffryn Schools' Xmas Funds')</td>
<td>1938</td>
</tr>
<tr>
<td>6484</td>
<td>National Coal Board</td>
<td>Colliery Underground Plans; Rescue Station and Recreation Ground Building Plans; Plans of Estate Boundaries; Lime Book. (Records transferred from Glamorgan Archives)</td>
<td>c.1877, c.1904, 1908-13, 1960's-1980's</td>
</tr>
<tr>
<td>6485</td>
<td>Archaeological Perspectives Analysis Consultancy Ltd</td>
<td>Printed Reports by Archaeological Perspectives Consultancy (APAC) Ltd. re archaeological sites in the Gwent area</td>
<td>2015-2019</td>
</tr>
<tr>
<td>6486</td>
<td>Ebbw Vale Works Archive Trust</td>
<td>'The History of Quoits in Wales', by A. Baker (Abertillery, 1949)</td>
<td>1949</td>
</tr>
<tr>
<td>6487</td>
<td>Newport County Borough Council</td>
<td>Borough Engineer: Annotated O.S. Plan showing water supply for Newport</td>
<td>c.1900</td>
</tr>
<tr>
<td>6488</td>
<td>William (Bill) Price of Usk, Letters</td>
<td>Letters from W.T. Price, Ministry of Munitions of War, London, to his family in Usk, giving details of his search for his deceased brother's effects and papers, and describing the Armistice celebrations in London.</td>
<td>1917-1918</td>
</tr>
<tr>
<td>6489</td>
<td>Paul Flynn, MP, Newport, Papers</td>
<td>Papers relating to the late Paul Flynn's career as an MP, including correspondence with the Parliamentary Labour Party, and files for numerous political campaigns. Some files are of specific local interest, including the Newport Ship and the</td>
<td>c1980s-2019</td>
</tr>
</tbody>
</table>
Interesting Accessions

6470 An unusual item was the programme for ‘The Arcadians’ by Newport Operatic Society at the Lyceum Theatre in 1951. This was an Edwardian musical comedy which first appeared at the Shaftesbury Theatre, London in 1909, then opened on Broadway, New York in 1910, and was made into a (silent) film in 1927. It was popular with amateur theatre groups.

6473 A Deposition made by John Williams of Llantilio Crossenny in 1808 alleged that the Curate of the parish, Thomas Price, was more attached to the Dissenters than to the Church.

6488 Following the centenary of the 1918 Armistice we have received letters giving a first-hand account of the Armistice celebrations in November 1918, from the viewpoint of a government building in Whitehall. The collection also includes a copy of a letter describing the difficulties in obtaining information about the writer's brother who served with the Australian forces and was killed in France in August 1916.

6489 Papers of Paul Flynn, MP. Paul Flynn was the Labour MP for Newport West constituency from 1987 until his death in 2019; he had previously served on Newport Borough Council and Gwent County Council. Mr. Flynn was a committed campaigner for many causes including nuclear disarmament, and was a champion for the use of the Welsh language. He had a lifelong interest in his native Newport and supported many local activities. His papers will be a lasting testament to his career as an MP and a local politician.

9. Preservation

Treatment
In the past quarter the Conservator worked on some of the Barons Raglan archive (D3135), removed documents from frames and repackaged them. She also removed damaging sticky tac and Velcro from photographs. Private work (for income generation) was carried out on a WW1 death certificate which she cleaned, humidified and repaired with Japanese papers before repackaging. She also cleaned and packaged two boxes of uncatalogued material.

Consultancy and training
The Conservator hosted Pembrokeshire Archives’ trainee conservator for 3 days as part of her ARA ACTS course. She also provided advice on the Wellcome Trust project and liaised with the project’s Preservation Assistant cleaning and packaging the material. The Conservator also visited the premises of a local newspaper and advised on its collection of glass negatives and other photographic material. She continued to oversee the conservation volunteers’ work (4 times a week) and gave
document handling training to the Cultural Ambition placement and oversaw his work in the conservation studio.

| 10. **Recommendation**: That members note the contents of this report. |
|-----------------------------|---------------------------------------------------------------|

**Appendices**

<table>
<thead>
<tr>
<th></th>
<th>1. Wellcome Trust Project update report, June 2019</th>
</tr>
</thead>
</table>

**Background Papers**

| none |

**For further information about this report, please telephone: Tony Hopkins, County Archivist on 01495 353363 or by email to tony.hopkins@gwentarchives.gov.uk**
Appendix 1

Wellcome Trust Cataloguing Project: Update Report, June 2019

Our twelve month Wellcome Trust funded cataloguing project (hospital records) came to an end in May. The work of the project archivists has enabled the completion of the following catalogues which will be added to our website shortly:

D5922 Aneurin Bevan University Health Board
D6132 Monmouth General Hospital
D4947 Caerphilly District Miners’ Hospital
D5081 Pen-Y-Fal Hospital
D5080 St Cadoc’s Hospital
D5093 Newport, East Monmouthshire and Caerphilly NHS Records
D5175 NHS Hospital Plans
C/HCM Monmouthshire Midwifery Service
D5109 Patient Records, North Monmouthshire Hospitals
D3246 Tredegar Working Men’s Medical Aid Society (Retro-conversion)
C/HC Council Health Committee Records (Retro-conversion)
CD/AA Abergavenny Asylum Deeds (Retro-conversion)

A handlist of the health and hospital records held at Gwent Archives has been produced by Clare Jeremy and will also be made available on the website.

An end-of-project event, ‘Public Health in Monmouthshire: An Historical Perspective’ took place on Thursday 11th April 2019. It featured three academic speakers from Welsh universities on health history in the county and was promoted to local history contacts, local healthcare groups and through academic channels. The event was well attended.

An accompanying bilingual exhibition, ‘Healthcare in Monmouthshire: A History in Records’, displaying material from the archives’ medical collections was put together by project archivist Dr Lucy Smith and was displayed at the event.

Recent blog posts on the project and event have been produced for the Archives Wales blog (https://archives.wales) and the University of Portsmouth English Blog (the former university of the project archivist: http://englishliterature.port.ac.uk).
1 Purpose of Report

1.1 To inform members that Gwent Archives is due to renew its accredited status and to seek approval for seven new policies and one strategy written to meet the Accreditation Standard.

2 Background

2.1 Gwent Archives was awarded Accreditation in March 2016. The award is valid for three years and is due for renewal in June 2019.

2.2 Archive Service Accreditation is the UK standard for archive services. It defines good practice and identifies agreed standards, thereby encouraging and supporting development.

Accreditation is a quality Assurance scheme that helps archive services to demonstrate their value by externally validating and accrediting achievement and supporting improvement. The award by The National Archives is a badge of recognition marking full acknowledgement that Gwent Archives has attained the required professional level of the care and conservation needs of the collections.

The Archive Service Accreditation Standard is made up of three Sections: Organisational Health, Collections, Stakeholders and their experiences. Organisational Health covers our governance and management structure, our financial basis, premises and workforce. The Collections section embraces how we manage, develop and care for our collections and how we present information about them and how we make them available for users. To make our compliance with the requirements of this section more complete we have amended the following policies and strategy:

- Collections Management
- Collections Information
- Appraisal
- Collections
- Disability
- Access
- Collections Care and Conservation
- Digital Preservation Strategy

(Appendices 1-8 respectively). The third and final section of the Standard addresses stakeholders and how we provide access to our collections for them.
3  Recommendations

That members

i    note the contents of this report

ii   approve the seven policies and strategy attached, appendices 1-8.

Background papers: Archive Service Accreditation, a report taken to the
     GAJC 18 March 2016

For further Information about this report, please telephone: Tony
     Hopkins, County Archivist (01495) 353365
Appendix 1  

COLLECTIONS MANAGEMENT POLICY

Mission Statement

Gwent Archives’ mission is to collect, preserve and make available for research the historical records relating to the area it serves.

We are a regional archives service, working on behalf of the local authorities of Blaenau Gwent, Caerphilly, Monmouthshire, Newport and Torfaen. Gwent Archives’ priority is the management of Gwent’s documentary heritage, so that it is preserved for current and future generations. For the continuance and growth of the Archive Service for the area it covers, Gwent Archives has its 2019-2020 Service Plan.

By collecting archival records, Gwent Archives helps provide evidence for the accountability of public institutions, decision-makers and opinion-formers thereby helping safeguard the democratic and legal rights of the citizen.

Policy Aims

Gwent Archives makes records accessible to its stakeholders in multifarious ways, including: onsite visits to a Research Room, electronically through finding aids, by way of a paid research service, via outreach, an education service and social media.

The principal aim of this policy is to demonstrate the co-ordinated approach taken by Gwent Archives towards Collection Management. The Archives Team along with the conservator are responsible for collection management, a process that involves the accessioning, cataloguing, storing and conservation of all archives received. To ensure a coordinated approach to Collections Management, the policies and procedures which underpin Gwent Archives’ management of its collections are interrelated. The Archives Team works closely with the Research Room Team, the Education and Outreach Officer and the Record Information and Data Manager (RIDM) to ensure that planning for collections development, cataloguing, collections care and conservation, and digitisation is fully coordinated.

Statutory and Legal Status

Gwent Archives was established in 1938 with the appointment of a consulting archivist and became the Monmouthshire Record Office in 1952, serving the ‘old’ county of that name. In 1974, following local government reorganisation, it became the Gwent County Record Office. Further local government changes in 1996 divided the county of Gwent into five unitary authorities. With a move of premises in 2011 to Ebbw Vale, the new record office took the name of Gwent Archives.

Under the statutory framework for defining the archives and records to be accepted, Gwent Archives is: a recognised place of deposit for public records; the authorised repository for local government records; and is approved by the Master of the Rolls for the deposit of Manorial and Tithe records.
Collections Management

Our Collections Management Policy draws together the following elements reflected in the Mission Statement:

- Actively collects the archival records of the Greater Gwent area, which are managed, catalogued, preserved and made available for public consultation
- Works on behalf of five authorities, who make up our Governing Body, to ensure that Gwent Archives supports current council policies

Standards

The following standards are applicable to Gwent Archives’ Collections Management policy:

- EN16893:2018 – Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections
- BS4971:2002 - Recommendations for Repair and allied processes for the conservation of documents

Inter-relationships

Gwent Archives’ coordinated approach to collection management is better comprehended with an appreciation of the inter-relationships, which exist within the service

- Deposits of records: these enter Gwent Archives in various ways: through routine accrual (sometimes through legal necessity) and passive activity. The service has started to analyse its holdings, and has identified areas where the collection needs to be actively developed. Potential deposits are assessed against our Collections Policy to ensure effective use of resources, and that material can be appropriately managed within our existing frameworks.
- New accessions: these are initially assessed for preservation/conservation needs prior to entering the strong rooms. Accessions will then be prioritised for cataloguing and conservation work, to ensure that they are made accessible as soon as possible. In managing the cataloguing backlog, Gwent Archives endeavours to provide opportunities for staff to gain further learning opportunities and volunteers to gain work experience.
- Use: demand from users of the service informs priorities for cataloguing. In addition to conservation assessments, user interest drives conservation priorities. The provision of surrogates (including digitisation) may be considered to enhance access and help ensure the long-term preservation of material in high demand.
• Digital records: the acquisition of digital archival material is moderated through the Digital Preservation Strategy. Gwent Archives is part of the ARCW Digital Preservation Consortium and is working with this group on All-Wales Digital Preservation solutions.
• Disaster planning: Gwent Archives’ Emergency Preparedness Plan provides a strategy with procedures for managing the risks to the service’s collections on-site.

Links

Collections Policy
Collections Information Policy
Appraisal Policy
Collections Care and Conservation Policy
Digital Preservation Strategy
Emergency Preparedness Plan

This Policy was rewritten in May 2019. It will be presented for approval by the Gwent Archives Joint Committee on 14 June 2019. It will be reviewed in April 2023 or sooner if circumstances dictate.
Appendix 2

COLLECTIONS INFORMATION POLICY

Introduction

Gwent Archives is a regional archives service, working on behalf of the local authorities of Blaenau Gwent, Caerphilly, Monmouthshire, Newport and Torfaen (hereafter called ‘the governing body’). The service’s priority is the management of Gwent’s documentary heritage, so that it is preserved for current and future generations. For the continuance and growth of the Archive Service for the area it covers, Gwent Archives has its 2019-2020 Service Plan.

By collecting archival records, Gwent Archives helps provide evidence for the accountability of public institutions, decision-makers and opinion formers thereby helping safeguard the democratic and legal rights of the citizen.

Aims

Gwent Archives’ mission is to collect, preserve and make accessible records relating to the area it serves. The service makes records accessible to its stakeholders in multifarious ways, including: onsite visits to its Research Room, electronically through finding aids, by way of a paid research service, via outreach, an education service and social media.

This Policy describes the information that Gwent Archives collects about the collections it receives. It summarises the previous history of cataloguing within the service, and the current standards being employed. Gwent Archives acknowledges that a large backlog of un-catalogued collections has accrued, which has been an obstacle to access. As a result stakeholders may have been unaware that relevant records existed; or had issues locating relevant records within a collection which has not been fully catalogued. This may hinder the service’s ability to comply with the Freedom of Information Act 2000 and Data Protection legislation. Ultimately, this has an impact on the service which the depositor expects from Gwent Archives.

The following Policy explains why this situation came about and declares Gwent Archives’ intention to reduce the backlog.

Gwent Archives recognises that the data captured about collections empowers it to fulfil its responsibilities under the Freedom of Information Act 2000 and Data Protection legislation. The service aims to prioritise collection of Public Records and Governing Body records in response to the UK Government’s transition to the 20-year rule. In addition Gwent Archives will continue to prioritise collections of national or particular heritage significance.

Regarding the deposit of Digital Records, Gwent Archives participates in the ARCW collaboration looking at Digital Preservation and how its challenges will be met going forward. At present the service has a separate Digital Records Deposit form, which captures information for Born Digital records as well as Digital Access copies. Whilst the ARCW collaboration is taking place, Gwent Archives is temporarily operating
under an Interim Digital Preservation Policy. As of 14 June 2019, this policy will be replaced by the Digital Preservation Strategy.

Gwent Archives aims to review and streamline all of its Collections Information procedures to ensure that only essential and efficient procedures take place.

Collections Information

Gwent Archives employs the lifecycle model. Information is captured at the point of deposit, sometimes before, through to cataloguing and beyond.

Information is gathered:

- Sometimes prior to deposit
- At the point of deposit
- During cataloguing and indexing
- Through location control
- About Demand/Usage
- About Physical condition/Preservation measures

Information about this is recorded and maintained in:

- Accessions Register
- Accessions Database
- Deposit Agreements placed within Deposit files
- Archivists’ Toolkit
- Finding Aids, Indices and Handlists, some of which have been mounted on Gwent Archives’ website
- Location Database
- Research Room Log for Document Requests
- Document Request slips
- Document Issue Database

Point of Deposit and Accessioning

Until 2009 a formal receipt was issued by Gwent Archives at the point of deposit. The file copy was then filed in a generic file for that class of records (with the exception of a few large collections which had their own separate files in the filing system). However, this only recorded the receipt of a deposit, and no legal agreement was entered into by the Depositor.

From 2009 formal, written Deposit Agreements were introduced along with a guide explaining the Terms of Deposit for depositors to keep. The Deposit Agreements record the legal status of collections, including ownership and access to the collection. One copy is kept by the depositor; the other is retained permanently by Gwent Archives as evidence of title. The Terms of Deposit also for the first time explained Gwent Archives’ right to levy a charge for work done with collections, and empower the service to produce surrogate copies. The Deposit files enable staff to locate easily the correspondence and any notes made concerning a deposit. In addition to this an Accessions Database was established in 2012 to run alongside
the hardcopy Accessions Register. This also records progress with and highlights work remaining on any collection.

The current Deposit Agreement captures the following information:

- Date of Deposit
- Name and Contact Details of Depositor
- Description of Records being deposited including date range and extent
- Custodial History (Optional)
- Administrative History (Optional)
- Restrictions on access or Closure Periods

Depositors are encouraged to box list collections prior to deposit, but this is not mandatory. Copies of these lists are retained in the Deposit file.

As regards digital material, there is a separate Accessions form. In the case of a Hybrid collection, both forms are issued. At present for Digital Accessions the following information is captured, in addition to what is captured on the standard Deposit Agreement:

- The creator of the records
- Medium data is on
- Quantity of data
- Program used to create data
- On what platform it was created
- Any compression of data
- Any encryption of the data
- Any password protection

Gwent Archives places retroconverted archival catalogues on its own website. It also contributes to The National Archives’ annual Accessions to Repositories Survey, enabling up-to-date information to appear on Discovery. Collection level descriptions have previously been placed on the Archives Wales’ website.

**Cataloguing and Indexing**

Since 2009, all cataloguing has been completed using the Archivists’ Toolkit Freeware. Gwent Archives uses the mandatory elements of the International Council on Archives, General International Standard of Archival Description ISAD[G]. Finding aids will also be developed to meet the standard ISAAR(CPF).

Before this, cataloguing followed an in-house developed classification scheme. Some collections possess basic summary lists completed by archive staff or volunteers. In some instances, this enables researchers to consult a collection prior to completion of cataloguing. These collections will eventually be catalogued to at least file level description in accordance with ISAD[G]. The fact that no cataloguing took place around the time of the move to new premises in 2011, coupled with the volume of collections presented to Gwent Archives, has meant that the backlog has increased substantially.
Accruals

Accruals to existing collections are generally catalogued as separate collections with cross-referencing to related material within another collection. There are examples of collections where later records have been added to an earlier deposit.

In the case of parish records, of which the service receives regular accruals, the sequence is treated as a continuation from the first deposit, and not as a separate collection.

Cataloguing Prioritisation and User Demand

A prioritisation scheme has been introduced to assess un-catalogued material. This will enable Gwent Archives to target cataloguing time at selected collections and provide a rationale for decisions. Collections are scored according to their ownership status, Freedom of Information and Data Protection considerations, anticipated demand and potential usage, physical condition, size and complexity. The scoring matrices for each collection are retained.

Staff Involvement in Cataloguing

Prior to 2009, cataloguing was mainly completed by Archivists. In rare instances cataloguing was completed by work experience students under the supervision of an archivist. Since 2009, only Archivists catalogue records fully. Archivists may ask for assistance from Research Room Assistants and Volunteers when carrying out cataloguing, such as taking basic preservation measures or box listing. Volunteers will only work with non-sensitive collections.

At an Accessions Meeting the Archivists come to a consensus as to who will deal with a particular collection. Every accession that comes in is entered in the Accessions Register and added to the Accessions Database. The Accessions Database is updated as work on the accession progresses. This allows the County Archivist to monitor what work is left on a given accession.

Regarding Digital Records, the RIDM (Record Information and Data Manager) will work alongside the Archivists. The Archivists take responsibility for dealing directly with the depositor and cataloguing the records; while the RIDM deals with storage and advises on the minutiae of the technology, including capturing relevant metadata.

Indexing (including Authority Indexing)

All indexing is completed using handwritten cards. The current index is broken up into the traditional Personal Names, Topographical Place and Subject indices (with the Subject Index being backed up by a typed Index of Terms/Thesaurus). Gwent Archives aims to establish Authority Files using the Archivists’ Toolkit in the future.
Gwent Archives’ manual for cataloguing using the Archivists’ Toolkit includes the use of Authority files. The service aims to train staff in the use of Authority files to develop consistency of practice.

**Online Catalogue and Finding Aids**

In 2012, Gwent Archives established the GAVCAT (Gwent Archives Volunteer Catalogue) project. As a result a substantial number of the service’s finding aids have now been retro converted and placed on the Gwent Archives website. The coordination of this was carried out by an Archivist, who put together a large group of volunteers, and provided training in Archival hierarchy. The Archivist would then mark up the old catalogues using colour coding denoting the hierarchy and draw up all the pertinent information to go in the fonds level description. Volunteers would input data at lower levels of the hierarchy. The Archivist would then proofread the catalogues prior to them being web mounted. All these catalogues were completed using ISAD[G].

Since the completion of the GAVCAT project, all catalogues produced by archivists continue to be web mounted on to the *Our Collection* section of the Gwent Archives’ website.

In addition there are examples of images of catalogues (Non-ISAD[G] compliant) on the Discovery section of TNA’s website; as well as Collection Level Descriptions on the Archives Wales website.

**Restrictions and Closure Periods**

Collections at Gwent Archives include records subject to access restrictions or periods of closure. These may be observed for a number of reasons including:

- Data Protection Legislation
- Advice and Guidance from parent bodies, namely the Governing Body
- Advice and Guidance from TNA
- Advice and Guidance from the Information Commissioner’s Office
- Depositor’s own criteria agreed with Gwent Archives

In 2011 the service drew up its own guide to *Document Closure Periods and Access to Restricted Records*. This is for use by all staff: both those cataloguing and those dealing with enquiries. Catalogues containing records with restrictions are marked as such, referring the researcher to our Access Policy.

**Physical Condition, Preservation and Conservation**

Either at the point of deposit or prior to this, a collection’s physical condition will be assessed, with further assessments during cataloguing. Archivists will complete a Conservation Priority form to alert the Conservator that a collection (or parts of it) requires attention.
Any permanent condition affecting the document will be noted on the Archivists’ Toolkit and any hardcopy catalogues produced. Preservation and Conservation work undertaken is recorded by the Conservator. (See Preservation Policy)

**Locations and Movement Control, including Loans**

Gwent Archives aims to have full intellectual and physical control over the records it holds. On arrival at Gwent Archives the temporary location of any new accession is recorded on the Accessions Database and in the newly created deposit file. Once the records have been catalogued and found a permanent home, then this is recorded on the Accessions Database; a permanent home meaning that the records have been cleaned, appropriately packaged, barcoded and added to the Locations Database.

The production of a document is recorded in the Research Room Log, which permanently records when it was produced, when it was returned and the name of the researcher who was consulting it. During the use of an archival document, researchers obey strict Research Room Rules. Document requisitions slips are retained for three years.

Gwent Archives has a facility for Depositors to withdraw their records temporarily. The depositor must provide proof of identification, and complete a *Temporary Withdrawal* form confirming: contact details, exact details of items being withdrawn, reason for withdrawal and agreed date of return. In addition, handling and storage guidelines are issued to the depositor, in accordance with the Preservation Policy. Once completed the *Temporary Withdrawal* form is filed, and then on return, moved to a separate file. Document requisition slips also display to those retrieving documents that item(s) have been temporarily withdrawn.

In the rare instance of a document being missing, a log is completed and the extent of the search carried out by a member of staff is recorded. The log also records the date a document has been located.

**Usage**

To enable an analysis of usage, since April 2017, Gwent Archives has used its Document Issue Database. The information is drawn from the Research Room Log and added to the database by the Research Room Assistants at the end of each day. This database provides the following data:

- Issue Date for Document
- Document Reference
- Document Type, e.g. Deposited Parish Collection, Quarter Sessions, Manorial, etc.
- Quantity and Quantity type, e.g. 1 volume, 2 plans, etc.
- Whether document has:
  - been used by a Volunteer
  - been photocopied/photographed by Gwent Archives staff or a researcher
  - been used for a group visit
The main purpose of the database is to examine usage and use the data for future strategic planning, e.g. digitization projects. It also is a useful tool in locating missing documents and compiling statistics for quarterly and annual reports.

**Disposals and Permanent Withdrawals**

At the point of deposit, Gwent Archives captures any permissions given by the depositor for records to be destroyed or transferred to another archive if the records fall outside our *Collection Policy*. The service also offers the depositor a return of any records falling outside our *Collections Policy*. Permission to transfer records to another archive is reconfirmed prior to disposal. A Transfer form is then completed in duplicate, with one copy going with the pertinent document(s), and the other being placed in the appropriate deposit file, along with any further paperwork or correspondence.

In the instance of a permanent withdrawal: this will be recorded in the catalogue on the Archivists' Toolkit and any hardcopy catalogues available for public consultation will be updated. There will be written confirmation that a document has been withdrawn and this will be placed in the deposit file. Depositors are made aware at the point of deposit that the Archives reserves a right to levy a charge for any work that has taken place on a particular collection, i.e. cataloguing, preservation and conservation.

**Funding for Cataloguing Activities**

Gwent Archives has benefited over the years from short-term, grant-funded cataloguing projects. April 2019 saw the completion of Gwent Archives’ project: *From a “Penny in the Pound” to “Free at the Point of Delivery”: Cataloguing the pre- and post-1948 hospital records of Monmouthshire*. This it had been able to do after it had secured a Wellcome Trust Research Resources Grant of £38,729.

In the current financial climate, this method of resourcing cataloguing activity is probably going to become increasingly important, especially for addressing larger and more complex collections.

This policy was rewritten in May 2019 and will be presented for approval by the Gwent Archives Joint Committee on 14 June 2019. It will be reviewed in April 2023 or sooner if circumstances dictate.
Appendix 3

APPRAISAL POLICY

Introduction

Gwent Archives collects, preserves and makes accessible archival records relating to the area it serves. Considerable resources are spent on the preservation of records and it is essential that these finite resources are directed effectively. Only those records which have enduring value will be selected for permanent preservation.

Selection for preservation is a difficult but central duty of Gwent Archives. If records of limited enduring value are selected it puts future collection of important documents at risk.

Criteria for Preservation

Records are selected for preservation because of:

Primary Value: Those records which provide the most complete and concise documentation of significant organisational functions.

Secondary Value: Either because of the information research value or their intrinsic value largely based upon historical associations.

The emphasis of appraisal will be on justifying decisions to keep, not on justifying decisions to destroy.

Primary Value will largely be assessed through macro-appraisal. Whilst some series will be retained in their entirety other series will be the subject of selective, structured or random sampling. To maximise the opportunities for record linkages, where appropriate, sampling will take into account census years or other significant classes of record.

Secondary Value, especially where a backlog of appraisal exists, will be dealt with largely by micro-appraisal aimed at file level. Only in exceptional circumstances will appraisal be carried out at a level lower than this.

Procedures for Appraisal

Archive appraisal will be carried out by archivists or under the supervision of an archivist.

All material which has not been selected for permanent preservation will be disposed of appropriately. This may involve it being offered back to the depositor or being disposed of as confidential waste.

New accessions will be appraised at source or upon receipt.
Primary Value

The aim of selection based on primary value is to preserve a record of the significant activities of the creating body. In the case of transfer of local authority records this should be a by-product of the records life cycle or records continuum approach.

Emphasis will be on the selection of records which contain summary information. Examples of this are:

School Records: Admission registers will be retained but attendance registers will not. Where there are no admission registers a sample of attendance registers may be taken.

Financial Records: Annual accounts will be preserved but most lower-level financial records will be destroyed. A sample of these accounts may be made if they significantly add to an understanding of the activities of the organisation and its role within the community.

The condition of records and the ease with which significant information can be extracted from them will be taken into account in selection.

Definitions of Secondary Value

Whilst it is not possible to provide a comprehensive list of all criteria which might be applied for assessment of secondary value the list below gives indicative criteria.

Records:

- Containing significant information on notable events and persons
- That relate to major trends and developments in the political, legal, social, economic or cultural history of Gwent
- That relate to significant scientific, technological, ecological or medical developments

Records will not be preserved which are:

- Duplicates
- Ephemera of no intrinsic value
- Material available elsewhere (For example Home Office circulars will be held by The National Archives)
- Publications available elsewhere

This Policy was rewritten in May 2019. It will be presented for approval by the Gwent Archives Joint Committee on 14 June 2019. It will be reviewed in April 2023 or sooner if circumstances dictate.
Appendix 4

COLLECTIONS POLICY

Introduction

Gwent Archives’ mission is to collect, preserve and make accessible records relating to the area it services. This policy lays out in detail:

- Why Gwent Archives collects archives
- What archives Gwent Archives will collect
- How it collects these archives

Why We Collect

Gwent Archives collects archives to:

- Provide evidence for the accountability of public institutions, decision-makers and opinion formers thereby helping safeguard the democratic and legal rights of the citizen.
- To provide the public with evidence on all aspects of life in the region, past and present.

For this to happen it is imperative that access is available to the Collection. How this is provided is detailed in the Gwent Archives Access Policy. How this access will be sustained for future generations is detailed in the Gwent Archives Collections Care and Conservation Policy.

What We Collect

Gwent Archives collects archives from any date. Archives are media in any format which are generated by an organisation or an individual during the course of their business or activities.

Gwent Archives collects archives which relate wholly or primarily to the area it services. This area is that covered by Monmouthshire County Council; Blaenau Gwent and Torfaen County Borough Councils, Newport City Council and that part of the Caerphilly County Borough Council which comprises the former Islwyn Borough Council.

In addition, it will collect records of ecclesiastical parishes within the Diocese of Monmouth and of those parishes of the Diocese of Swansea and Brecon which fall within the present county of Monmouthshire, in accordance with agreements made between the Representative Body of the Church in Wales and relevant local authorities in Wales, and such parishes as fall outside of these areas but within the local authority areas it serves.

Material with a wider coverage shall not, as a rule, be accepted.
The Collection will cover as objectively as possible all aspects of the Gwent area past and present.

The Archives will not normally accept archives and records which are of a particularly specialist nature, requiring skills or equipment beyond the office’s resources to preserve, exploit or interpret. Where appropriate such material will be transferred to another institution.

Gwent Archives may also collect material whose purpose is to assist the public in its use of the Collection. This will not be subject to the same policies as its archive collection.

Gwent Archives will not collect:

- Records which fall outside the stated geographical collection area of the Archives, unless forming an integral part of a collection which cannot be divided without loss of archival value, or relating primarily to the Gwent area.
- Artefacts, three-dimensional objects and works of art. Only where there is a special relationship between an artefact and the associated archives will the Archives seek to keep the material together.
- Frames, tin trunks, deed chests and other containers – these will be disposed of by the Archives (with permission) or returned to the donor.
- Material judged not to be of permanent historical value.

**Statutory Framework**

The statutory framework for the defining of archives and records to be accepted by the Archives includes:

- the Law of Property Act, 1922 (manorial records);
- the Tithe Act, 1936 (tithe records);
- the Public Records Acts, 1958 and 1967 (public records of a local nature);
- the Local Government (Records) Act, 1962 (records of private individuals or organisations which an Archive Service may acquire by gift, purchase or deposit);
- the Local Government Act, 1972 (records of local authorities);
- the Local Government (Wales) Act, 1994 section 60.

As part of the processing of collections of records, either before or after deposit, appraisal will take place to ensure that no unnecessary duplication of information takes place, or records of limited value are kept. Details of this are contained in the Gwent Archives Appraisal Policy.

**How We Collect**

**Acquisitions**

The Archives will acquire records worthy of permanent preservation in the following categories:
- Records of past and present local authorities and statutory bodies
- Public records offered to the Archives under the terms of the Public Records Act 1958
- Records of organisations, businesses, individuals, societies, public and private institutions, and other activities relevant to the history and life of the Gwent area

Gwent Archives will acquire records by: gift (including bequest); purchase; deposit on indefinite loan; statutory deposit; official transfer.

The Archives will only accept records that will be open for public access either immediately, after processing work or after a fixed period of time, agreed in consultation with the owner or depositor. Any restriction must comply with relevant legislation.

Gwent Archives reserves the right to refuse records that do not fall within the remit of our collection policy, or where there is concern over the legal ownership of the records.

Collections Development

Gwent Archives will engage in activities where it actively pursues the acquisition of certain records. In line with subsection 9.3 on the Annual Service Plan, 2019-2020, Gwent Archives will be concentrating on revisiting its Archives Pending Schedule.

The strengths of Gwent Archives’ Collection include its local authority holdings, landed estates and ecclesiastical records. Relatively less abundant are the records of small businesses and local clubs and societies, for example, and this is an area to actively collect in the future. There are plenty of examples of these sorts of records amongst the outstanding deposits.

Co-operation

Gwent Archives will work closely with other archive repositories including the National Library of Wales to ensure that all records are placed in the most appropriate home, and to avoid competition, conflict and duplication of effort.

In particular within the County Borough of Caerphilly, Gwent Archives shall administer and manage the archives and records of the former Islwyn Borough Council, Glamorgan Archives carrying out the same functions in respect of the former Rhymney District Council. Caerphilly County Borough Council reserves to itself matters relating to the accruing records of Caerphilly County Borough Council.

Gwent Archives will work closely with those responsible for creation and management of records to ensure the continued acquisition of archival records and to maintain the relevance of the Collection.
This Policy was rewritten in May 2019. It will be presented for approval by the Gwent Archives Joint Committee on 14 June 2019. It will be reviewed in April 2023 or sooner if circumstances dictate.

Appendix 5

DISABILITY POLICY

Gwent Archives is committed to providing both equality of service and a welcoming, accessible environment for all staff, visitors and service users. To achieve this Gwent Archives will aim to remove any physical, sensory and intellectual barriers to access.

The Equality Act 2010

Gwent Archives accepts the service obligations as established by the Equality Act 2010.

The Equality Act is a piece of legislation designed to ‘protect people from discrimination in the workplace and in wider society’.

The Equality Act defines a person as being disabled if they have a physical or mental impairment that has a ‘substantial’ and ‘long-term’ negative effect on their ability to do normal daily activities. The Act obliges employers and public goods and service providers to make ‘reasonable adjustment’ in order to accommodate the needs of those who identify with this criterion.

The ‘Social Model’ of Disability

Gwent Archives upholds the ‘Social Model’ of disability which adopts the position that people are not disabled by their impairment (the 'Medical Model'), but by the social structures and barriers that prevent or hinder equality of access and/or engagement. These include attitudes to disability, physical barriers and organisational barriers.

Policy Objectives

- To ensure that Gwent Archives complies with the aforementioned legislation.

- To demonstrate Gwent Archives’ commitment to the equality statements and objectives of its governing authorities: Blaenau Gwent County Borough Council, Caerphilly County Borough Council, Monmouthshire County Council, Newport City Council and Torfaen County Borough Council.

- To positively demonstrate and promote Gwent Archives’ commitment to making ‘reasonable adjustments’ as required by the Equality Act 2010.

- To provide a working equality framework for all staff members and volunteers.

- To actively encourage and inform disabled staff and service users.

THE POLICY

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1. Staff and Volunteers

1.1 A designated member of the professional staff will act as a representative for disability matters and promote awareness of any issues or changes in legislation amongst staff members. Senior management will hold primary responsibility for this role, but may delegate it to a member of the professional staff.

1.2 All staff members have a responsibility to act in a professional manner to ensure that an accessible service is provided. Gwent Archives staff and volunteers will be encouraged to engage with this policy and raise any issues or ideas they have to improve the service for disabled users.

1.3 All members of staff will be offered disability awareness training. New starters will be briefed on disability access provision during their induction.

1.4 No direct or indirect disability discrimination by a member of staff towards a service user, other member of staff, volunteer or visitor will be tolerated. This policy also extends to discrimination on grounds of gender, race, colour, nationality, religion, age and sexual orientation.

1.5 Any complaints will be dealt with in line with the Gwent Archives complaints procedure.

1.6 Gwent Archives will make reasonable adjustments and offer positive support for newly recruited disabled staff members and those who might become disabled whilst in post.

2. Service Users

2.1 Guide dogs will be permitted access to all public areas.

2.2 A private, quiet work space can be provided for search room users on request. This facility will be advertised onsite and on our website.

2.3 Accessible language and clear print will be used at all times. Recommendations issued by the RNIB will be made available to all staff and volunteers.

2.4 Information leaflets, or any other types of written communication, will use accessible text and outline any services and/or provision for disabled users. Large print and audio copies will also be made available.

2.5 Gwent Archives will consult with local disability organisations and disabled service users to determine what access improvements can be made. This will be reviewed in line with current and future government legislation.

2.6 Any new technology and equipment will be purchased with disabled users in mind. Gwent Archives will obtain appropriate software and adaptive
technology to improve and maintain accessibility to our electronic resources.

2.7 All equipment, technology and services provided for disabled users will be clearly advertised onsite, on our website and in newsletters and/or information leaflets.

2.8 This document, the Gwent Archives’ Disability Policy, will be published on our website and made available for staff, volunteers, service users and visitors to view onsite.

3. **Wider Audience**

   3.1 Participants in any outreach activities organised by, or in partnership with, Gwent Archives will be routinely asked if they have any specific access requirements. Necessary support will be consistently provided.

   3.2 Gwent Archives will seek to ensure representation of disability culture in our collections, talks, exhibitions and general service output.

   3.3 Sign language interpreters will be provided if necessary.

   3.4 Carers and/or helpers accompanying disabled service users will be made welcome at all times. There will be no extra charge for these people (up to two) at ticketed events.

   3.5 Access issues will be taken into account when considering the use of rooms and venues, both internally and externally, for planned events, talks and exhibitions.

   3.6 Gwent Archives website will meet the W3C Web Content Accessibility Guidelines (WCAG).

   3.7 To develop and share professional practice, Gwent Archives will commit to recording any future experiences of organising and hosting events for disability groups.

4. **Buildings Management**

   4.1 Gwent Archives will work with Blaenau Gwent County Borough Council to both raise awareness of, and seek a resolution to, any building access issues.

   4.2 Any new equipment or technology purchase that might benefit access for staff or service users will be advertised.

   4.3 Gwent Archives will ensure that external contractors are disability friendly and demonstrate a commitment to equality of access for our disabled service users.
Policy Monitoring

- This policy will be reviewed by the designated staff representative every two years and, if required, will be amended to reflect any new professional guidelines or equality legislation.

- Any pressing issues or suggestions for implementation will be discussed at staff meetings.

- Access feedback forms will be available in public areas for comments and suggestions. These forms will be monitored by the designated staff representative.

This Policy was rewritten in May 2019. It will be presented for approval by the Gwent Archives Joint Committee on 14 June 2019. It will be reviewed in April 2023 or sooner if circumstances dictate.
Appendix 6

ACCESS POLICY

Gwent Archives collects, preserves and makes accessible archives relating to the area it serves. Gwent Archives collects and preserves in order to make the Collection accessible now and in the future.

Gwent Archives will provide access to its Collection:

- To individuals visiting Gwent Archives
- To groups visiting Gwent Archives
- Offsite through the use of ICT and other media
- Offsite through partnerships with individuals and organisations

Gwent Archives aims to provide access to people from all sectors of the community in ways which meet and go beyond its statutory obligation to eliminate unlawful discrimination. It aims to make its Collection accessible to people in all areas but in particular to people in the five local authority areas it serves.

To ensure that the Collection is available to future generations, access needs to be provided in a sustainable way. Therefore, the needs of access must be balanced against the needs of preservation as detailed in the Gwent Archives Collections Care and Conservation Policy.

Individuals and Groups

Gwent Archives aims to provide access to its whole Collection in the research room, on demand, free of charge. However this access will be limited by:

- Statutory requirements such as the General Data Protection Regulation 2016/679, (GDPR)
- The condition of documents
- Availability of resources

Where documents are in a poor condition the conservator may be called upon to take remedial action or to assist in making the document accessible.

Efforts will be made to maximise research room opening hours. These will be regularly reviewed in line with user demand.

Finding aids will be available in the Research room. These will be developed to meet archival standards such as ISAD(G) and ISAAR.¹

To assist individuals in the use of the Collection, staff will be available to provide advice and support in the research room.

¹ International Standard on Archive Description (General) and International Standard Archive Authority Record
Copies will be provided for a fee within the bounds of the Collections Care and Conservation Policy. Those requesting copies will be asked to sign a declaration that they will comply with copyright legislation.

Documents will normally be produced within 10 minutes of their being ordered unless there is a query relating to their condition or the sensitivity of the data they contain.

All visitors to the research room will be required to register. This will require production of ID, and signing a declaration that they will adhere to Gwent Archives rules and that any information they have access to will be used in line with the requirements of the General Data Protection Regulation 2016/679 (GDPR), and any other legislative requirements including copyright.

Gwent Archives will provide services for groups of learners including schoolchildren, students, teachers and adult education classes and encourage them to visit the office. A fee may be charged for this service.

**Offsite Access**

Gwent Archives aims to be innovative in its approach to providing offsite access to its Collection. It will need to operate within the legal framework of the GDPR, copyright law and other relevant legislation.

Gwent Archives will provide information on its holdings by telephone, post and email. Basic enquiries will be answered immediately and all responses will be answered within 10 working days.

Gwent Archives will aim to make digital copies of records and finding aids available online.

Gwent Archives will aim to maximise the use of partnerships to improve the ways in which this offsite access is provided.

**Audience Development**

In order to raise awareness of the Gwent Archives Collection and services the office will engage in promotional and outreach activities. Outreach and promotional activities will have the objective of increasing use of the Archives by the general public and by specific target audiences.

**Consultation**

To assist in ensuring Gwent Archives is responsive to user demand and reacts to any problems a system for recording user feedback will be in place.

This Policy was rewritten in May 2019. It will be presented for approval by the Gwent Archives Joint Committee on 14 June 2019. It will be reviewed in April 2023 or sooner if circumstances dictate.
Appendix 7

COLLECTIONS CARE AND CONSERVATION POLICY

Mission Statement

Gwent Archives’ mission is to collect, preserve and make accessible records relating to the area it serves.

Gwent Archives collects archives to:

- Provide evidence for the accountability of public institutions, decision-makers and opinion-formers thereby helping safeguard the democratic and legal rights of the citizen
- Provide the public with evidence on all aspects of life in the region, past and present

For this to happen it is imperative that access is available to the Collection. How this is provided is detailed in the Gwent Archives Access Policy. How this access will be sustained for future generations is detailed in the Gwent Archives Collections Care and Conservation Policy.

Policy Aims

This document sets out the Collections Care and Conservation Policy for Gwent Archives and states the principles that guide the preservation activities of the service in fulfilling its statutory duties. It presents clearly the aim of Gwent Archives to promote the use of records whilst ensuring safe storage, handling, substitution of original material and remedial conservation.

Preservation is a fundamental responsibility through which Gwent Archives ensures the authenticity and accessibility of the records it holds. Gwent Archives recognises that preservation should be a pervasive function and works to ensure that it remains an integral part of all activities. Without preservation there can be no access.

This policy supports our Mission Statement as set out above and should be seen in conjunction with Gwent Archives’ Service Plan, Emergency Preparedness Plan, Guidelines for Handling, Copying and Packaging, and other relevant policy documents.

Authorities

Gwent Archives has a statutory duty to preserve for future generations the unique records in its care under the following legislation:

- Public Records Act 1958;
- Local Government Act 1972;
Gwent Archives has adopted the Archive Service Accreditation Standard.

**Definitions**

Preservation is the passive protection of archives in which no physical or chemical treatment is used.

Conservation involves the protection of archives by minimal physical and chemical treatments designed to resist further deterioration and make material available for use.

**Roles and Responsibilities**

All Gwent Archives staff are required to assist in implementing the preservation policy as appropriate to their roles and responsibilities.

The conservator is responsible for managing preservation activities.

**Preservation Management**

Established work procedures are in place to ensure minimal degradation of records. Constituent aspects will be monitored regularly and analysed to seek improvement.

All new members of staff will be given preservation training and appropriate refresher training will be provided for existing staff. Staff are currently given Document Handling training and Damage Awareness training.

Gwent Archives conforms to relevant standards and best-practice guidelines including:

- EN16893:2018 – Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections
- BS4971:2002 - Recommendations for Repair and allied processes for the conservation of documents.

Gwent Archives will review its conservation programme annually.

**Acquisition**

Gwent Archives’ Collections Policy places limits on the types of material collected with regard to the resources of the service to catalogue, preserve and store.

The service seeks to stimulate good practice by depositors of records to ensure that documents chosen for permanent preservation are on good quality material and in appropriate condition when transferred.
All records are checked on arrival to assess their physical condition and to ensure that mould and/or pests are not introduced into the Strong Rooms and other areas of the building.

**Accommodation, Security and Environment**

Gwent Archives seeks to ensure appropriate and secure accommodation for all its holdings whether they are in storage, being processed or in use. This includes storage in controlled environments conforming to EN16893:2018. Temperature and Relativity Humidity Levels within the strong rooms are closely monitored and recorded in order that a stable storage environment can be maintained.

Storage also takes into account the size, condition, intrinsic value and use of each item. All collection items are provided with archival quality secondary packaging; where appropriate custom-made packaging is used.

The service keeps and will regularly update an Emergency Preparedness Plan to ensure that in a disaster situation the archive holdings have the best possible chance of survival with minimal damage.

Gwent Archives maintains a regular cleaning regime for Strong Room areas. Each Strong Room has a deep clean biannually and spot-cleaning is done as and when needed. A Pest Management Programme has been established with quarterly inspections being carried out and recorded.

The building is well maintained to ensure that risks to the collection are minimised. Key protection services are regularly tested.

**Access**

Wherever possible Gwent Archives will develop record descriptions for the catalogues and detailed index entries that avoid unnecessary or incorrect requests for the production of records.

Public access to original documents will be in the controlled conditions of an invigilated Research Room. Gwent Archives will promote good handling practice by the provision of protective equipment e.g. book rests; polyester film for maps, plans and drawings; protective sleeves for photographs. Written handling guidelines are provided in the Research Room and staff will advise and monitor public handling of the records.

Records may be withdrawn from public access if their physical condition places them at risk from handling. In special circumstances such records may be viewed under individual supervision. Reader demand for withdrawn material will increase its priority for conservation treatment.
Where a surrogate is available it must be used by readers and staff in preference to the original. Document use is recorded and periodically assessed to inform planning for digitisation and other surrogacy provision.

Copying

Where the condition of original documents is fragile or when frequent actual or anticipated use is liable to put them at risk, surrogates will be provided if possible.

All copies kept by Gwent Archives have preservation value because they:

- Reduce the movement and exposure of archival records;
- May be designated the archival record if the original is lost or damaged;
- May constitute proof of condition and legal ownership

All preservation copying using digital processes will conform to appropriate standards.

Copying of electronic records may be carried out to meet requirements for media refreshment, security, disaster recovery and access.

Restrictions are in place to ensure that copying at user request should not endanger the archival record (see Access Policy).

Conservation

Conservation treatments undertaken accord with nationally recognised and agreed ethical and technical standards including:

- BS4971:2002 Recommendations for the repair and allied processes for the conservation of documents;
- European Confederation of Conservators-Restorer’s Organisations (ECCO) Code of Ethics 2002;

Technical developments will be regularly assessed and where suitable incorporated into established practices.

Priorities for conservation will be determined using the following criteria:

- Document demand, which is recorded and periodically assessed, and anticipated demand;
- Significance;
• Degree of existing damage and potential future deterioration and degradation;
• Status of deposit.

All conservation treatment will be undertaken with the intention of preserving the maximum degree of evidential value and the minimum impact on the authenticity of the record.

**Exhibition**

Gwent Archives encourages the use of facsimiles for both in-house and external displays. Archival documents selected for internal displays will be inspected by the conservator beforehand and monitored for degradation. In the case of depositors withdrawing their own documents, advice on handling, display and storage / security is issued along with *Temporary Withdrawal forms*.

This Policy was rewritten in May 2019. It will be presented for approval by the Gwent Archives Joint Committee on 14 June 2019. It will be reviewed in April 2023 or sooner if circumstances dictate.
## Appendix 8

**DIGITAL PRESERVATION STRATEGY 2019**

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1. Introduction and Context

1.1 The Definition and Role of Archives was given by Archives for the 21st century (The National Archives, 2009) as follows: ‘Archives are the record of the everyday activities of governments, organisations, businesses and individuals. They are central to the record of our national and local stories and are vital in creating cultural heritage and supporting public policy objectives. Their preservation ensures that future generations will be able to learn from the experiences of the past to make decisions about the present and future’.

1.2 Archives are our collective memory and heritage. They are for everyone to use - including professional researchers, family historians, school groups, students, legal investigators and council officers. They are especially important for learning: they inspire young people and help those of all ages develop new research skills. They also provide authoritative evidence to help solve problems and defend rights, and encourage pride in individual and community identities.

1.3 Archives begin life as documents that are created during the course of everyday activities. Over time, these records acquire a historical perspective, offering us a personal connection with past events and previous generations. The archives (paper, parchment, maps, plans, photographs, films and now electronic media) give an unrivalled insight into the historical development of places and people’s daily lives.

1.4 Since 1938 Gwent Archives has ensured the protection of Gwent’s archival heritage, in order to safeguard these irreplaceable assets for current and future use by means of correct management of the archives to professional standards. We protect, preserve, and make accessible the archival legacy of the former county of Gwent/Monmouthshire from the 12th century. We also help the five authorities, served by Gwent Archives to achieve their priorities as identified in their individual Corporate Plans, especially with regard to sustainable development, a strong economy, better education and skills and independent healthy living; and we act as part of the corporate memory to enable the councils to carry out their functions.

1.5 Statutory framework for the archive service is provided under:

- Parochial Registers and Records Measure 1978
- Constitutional Reform and Governance Act 2010.

2. **Authorities**

2.1 Gwent Archives has a statutory duty to preserve for future generations the unique records in its care under the following legislation:

- Public Records Act 1958;
- Local Government Act 1972;
- Local Government (Wales) Act 1994;

2.2 Gwent Archives has adopted the Archive Service Accreditation Standard.

3. **Strategy Aims**

3.1 This document sets out the Digital Preservation Strategy for Gwent Archives (hereafter “GA”) and states the principles that guide the digital preservation activities of GA in fulfilling its statutory duties. It presents clearly the aim of GA to promote the use of digital records whilst ensuring safe and appropriate storage and preservation of digital records.

3.2 Preservation is a fundamental responsibility through which GA ensures the authenticity and accessibility of the records it holds. GA recognises that digital preservation should be a pervasive function as without successful preservation there can be no access to digital records.

3.3 This strategy supports our Mission Statement which is to collect, preserve and make accessible, records relating to the area it serves. It should be seen in conjunction with GA’s Strategic Plan, Disaster Control Plan and other relevant policy documents.

3.4 This strategy sets out what GA intends to do to preserve digital materials over the next three years. It aligns with the *National Digital Preservation Policy for Wales* and the technical appendix thereto.

4. **Nature of digital records collected**

4.1 The digital records collected by GA include, or potentially include, the following as of 14 June 2019. This list may expand in future as increasing numbers and types of digital records are collected:

- Digital surrogates of analogue material in GA collections resulting GA digitisation programmes

- Blaenau Gwent County Borough Council, Caerphilly County Borough Council (former Islwyn Borough area), Monmouthshire County Council, Newport City Council and Torfaen County Borough Council’s corporate records

- Website and social media content
- Archival collections which include a digital element, including software and hardware, either in whole or part

- Other digital objects such as digital mapping products or digital photographs

4.2 For preservation purposes the GA collection is not considered to include digital materials that can be accessed at GA but which are not held by GA (e.g. reference sources such as Ancestry.com and Findmypast.co.uk). Access to these materials is usually covered by subscription and licensing agreements, on the termination of which access to the resource is ended. GA cannot be responsible for long-term preservation and maintained access to such resources.

5. Digital Preservation objectives

5.1 The objectives of the strategy are to ensure that digital resources remain reliable, authentic and useable for as long as required. This will be done via the following means:

5.1.1 Providing a robust, reliable and scalable and secure technical infrastructure for storing digital material, in-house or in partnership with other bodies

5.1.2 Ensuring the long-term sustainability of those digital assets which have been selected for preservation

5.1.3 Liaising with the ICT providers to help ensure management of other GA digital assets is carried out in an appropriate manner according to significance and use, facilitating the eventual permanent preservation of these deemed significant, from an archival perspective

5.1.4 Providing public access to digital objects held in the digital asset management system, where rights allow

5.1.5 Implementing efficient workflows for the management of the life-cycle of digital material, with automated processes.

5.1.6 Encouraging staff to innovate, develop expertise and transfer skills and provide the environment to enable this to happen

5.1.7 Embedding digital preservation into GA activities

5.1.8 Collaborating with other bodies to preserve Welsh digital assets

6. Standards and Systems

6.1 GA will conform with the recognised standards for digital preservation.
6.2 The National Library of Wales (NLW) and the all-Wales Digital Preservation Group have developed an OAIS-compliant systems infrastructure for preservation based upon the ingest of digitised assets into NLW’s Digital Assets Management System, Fedora.

6.3 GA will utilise this system as part of the all-Wales digital preservation project, with Gwent digital material being stored by NLW.

6.4 GA will continue to contribute towards the development of the Archivematica pathway (the software vehicle select by the all-Wales Digital Preservation Group for the preservation of born digital assets).

7. **Workflows and Procedures**

7.1 GA will liaise with NLW and the all-Wales Digital Preservation Group and will, upon completion and readiness of the system, begin transfer of digital records into the Archivematica based Digital Asset Management System and will use this system for the management of its digital assets.

7.2 Digital content will be copied from storage media on which it is stored when deposited at GA, and eventually for ingest into the preservation system at NLW when available.

7.4 Upon ingest, file fixity and virus checking will be carried out; file fixity will be regularly monitored and write-blockers will be used on content.

7.5 Technical, descriptive and preservation metadata will be created, maintained and stored to enable sustainability.

7.6 Rights information will be gathered to enable formats of digital objects to be changed on accession and migration, when necessary, and to manage access.

7.7 Public access to the digital content will be provided via GA’s catalogues and other appropriate resource discovery systems.

7.8 Data security will be ensured in line with NLW’s Information Security Policies. Digital records will be held in accordance with relevant Information Security Legislation including the Data Protection and Freedom of Information acts.

7.9 File formats will be monitored and appropriate migration actions undertaken where necessary to ensure continued accessibility to digital records.

7.10 In partnership with the NLW and all-Wales Digital Preservation Group, sufficient storage capacity will be provided for digital content.
7.11 Preservation planning and risk assessments will be undertaken to assess preservation actions.

7.12 Staff skills and knowledge will be enhanced via training and knowledge transfer.

8. **Roles and Responsibilities**

8.1 Responsibility for implementing the strategy will reside with Gwent Archives.

8.2 Operational aspects of the strategy will be led by GA’s Records, Information, and Data Manager, with all GA staff required to assist in implementation as appropriate to their roles and responsibilities. New members of staff will be provided with training as appropriate.

8.3 GA will continue to work and liaise with NLW and the all-Wales Digital Preservation Group and will collaborate on amendments and improvements to Digital Preservation best practice, workflow and procedures.

8.4 The strategy will align with relevant policies, including GA’s Collections Information Policy, Collections Care and Conservation Policy, and Collections Management Policies.

9. **Resources, Sustainability and Risks**

9.1 GA will continue to seek sufficient resources to implement the strategy and sustain the digital resources, in partnership with other Welsh archive bodies.

9.2 If GA does not implement and develop this strategy to ensure the long term sustainability of the digital records in its care, it may:

- lose integrity as an approved place of deposit
- fail to meet the expectations of its users
- face increased costs in restoring digital assets and services
- not be able to contribute to, or take advantage of, collaborative initiatives

10. **Accommodation, Security and Environment**

10.1 Although digital records will, as described above, be ingested into the preservation system at NLW, GA will also maintain and store the original formats of deposited digital material within its own storage facilities.

10.2 GA keeps and will regularly update an Emergency Preparedness Plan to ensure that in a disaster situation the archive holdings have the best possible chance of survival with minimal damage.
10.3 The building is well maintained to ensure that risks to the collection are minimised. Key protection services are regularly tested.

11. **Review of Strategy**

11.1 This strategy will be reviewed at least every five years. The strategy was written in 2019 and will be presented for approval by the Gwent Archives Joint Committee on 14 June 2019. It will be reviewed in April 2023 or sooner, if circumstances dictate.
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