

Title: Executive Team Meeting
Date of Meeting: 1 February 2017
Time of meeting: 10.00 – 13.00
Location: Blue Room, 1st Floor, Kew
Attendees:

Jeff James (JJ – chair)	TNA	Patrick Mallett (PJM - minutes)	TNA
Carol Tullo (CT)	TNA	Sam Whaley (SW)	TNA
Neil Curtis (NC)	TNA	David Sawyer (DS)	TNA
Val Johnson (VJ)	TNA	Jane Craigie-Payne (JCP)	TNA
Caroline Ottaway-Searle (COS)	TNA	Finance Business Partner (FBP)	TNA
John Sheridan (JS)	TNA	Corporate Performance and Transparency Manager (CPTM)	TNA
Paul Davies (PD)		Collections Knowledge Manager (CKM)	TNA

Apologies:

		Action
1.0	<u>Minutes and Matters Arising</u>	
1.1	No apologies were received.	
1.2	VJ declared an interest on the Hague Convention item (7) due to her membership of the Arts Council Designation Panel, there were no other conflicts of interest declared.	
1.3	The minutes of the previous meeting held on 25 January 2017 were reviewed and approved subject to minor amendment.	
1.4	The actions log was reviewed.	
2.0	<u>Interim allocation of Capital / Revenue Spend plus verbal budget update</u>	
2.1	The 9+3 forecast pack presented on 25/01/17 showed that owing to careful cost control we have spare funding available to allocate to both capital and revenue. It was agreed that ET would approve the items of spend to be allocated additional funding.	
2.2	Including the assumption that only 70% of the remaining Public Space Programme spend will be incurred and some other smaller movements, Finance have prioritised	

	the options and proposed five capital and five resource areas of spend that could be allocated the funding.	
2.3	The Executive Team was asked if they agreed to the proposals, or if they would prefer different areas of spend to be prioritised.	
2.4	<u>Capital: Section A</u>	
2.5	JS noted that Item 1 (Dark Archive upgrade) should not go ahead as it would not provide good VFM at this time.	
2.6	Items approved were: 2, 3, 4, 5	
2.7	<u>Capital: Section B</u>	
2.8	Items approved were: 5, 9	
2.9	<u>Action:</u> NC to ask The Interim Head of Commercial to discuss current scanner use options with the Head of Document Services (relating to item 9). Due 08/02/17	
2.10	PD to request the Interim Head of Estates produce a list of staff area improvement works if additional spend becomes available. Due 15/02/17	
2.11	<u>Resource: Section A</u>	
2.12	Items approved were: 1 (DS to make provision for 50% of the spend), 2, 3, 4, 5	
2.13	<u>Resource: Section B</u>	
2.14	Items approved were: 12, 16, 17	
3.0	<u>EBC LPA issues</u>	
3.1	Across the organisation there are over 70 staff who are employed on FTA/LPA contracts, the reasons for which include maternity cover, short term project (EBC) work, funded posts, backfilling of seconded staff, as well as appointments made on a short term basis as a means of managing headcount whilst the organisation undertakes resource realignment.	
3.2	The Executive Team are requested to consider extending the contracts of a number of temporary staff, whose posts are due to come to an end in the next 6-months.	
3.3	JJ asked that this item be brought back next week for the Executive Team to have clear sight of all posts, posts that were being reviewed today, those that were coming to an end on 31/03/17 and those other posts that fell into neither of these categories. A list to be compiled providing details of which managers would be speaking to each individual staff member.	
3.4	<u>Action:</u> PD, JCP, PM to produce the paper requested above. Due 08/02/17	
3.5	The Executive Team discussed the posts detailed in the attached paper.	

3.6	Posts approved: 1, 2, 3, 4, 9, 10, 11, 12, 24, 26, 27	
3.7	Implementation Team to investigate: Posts 5, 6	
3.8	<u>Action:</u> PD to discuss post with the Head of Programmes & Strategy with the possibility of making permanent. Due 08/02/17	
3.9	<u>Action:</u> COS to clarify with the Head of Document Services how many posts are not being extended. Due 08/02/17	
3.10	JJ advised that we needed to be clear that each time a post was extended this would inhibit our ability to implement the wider change programme.	
3.11	<u>Action:</u> JCP / COS to change end date to 31/03/18. Due 08/02/17	
3.12	<u>Action:</u> COS to examine options around a Temporary promotion post being offered. Due 15/02/17	
4.0	<u>Vacancy Management</u>	
4.1	The Executive Team reviewed a number of recruitment requests.	
4.2	CORE1 – Head of Finance – Approved.	
4.3	CORE2 – Online Managing Editor – Approved.	
4.4	CORE3 – Head of Estates and Facilities – Approved.	
4.5	CORE4 – Safety, Health and Environment Manager – Approved.	
4.6	CORE5- Head of Procurement and Contract Management – Approved.	
5.0	<u>RRP update</u>	
5.1	The RRP began in June 2016 with the remit to look at how The National Archives is organised to deliver current/future services and whether this is the best design for the organisation, how work flows into and through the organisation and whether resources are in the right places to support Archives Inspire.	
5.2	PD gave the Executive Team an update on the project's progress and outlined key milestones.	
5.3	PD noted that since the all staff meeting conversations had begun at Directorate and team level.	
5.4	JJ suggested that quarterly review of progress by directors may be useful.	
5.5	VJ pointed out the need for clear external messaging on the Resource Realignment project.	

5.6	JJ stated that a standard statement would be produced outlining the changes the organisation was undergoing and why, this could then be tailored as required for each of the audience groups and other stakeholders.	PD
5.7	<u>Action:</u> PD and the Implementation Team to prepare standard statement. Due 15/02/17	
5.8	JJ noted the importance of focusing on successes and to elevate to a corporate level all progress towards our shared goals.	
5.9	The Executive Team noted the update.	
6.0	<u>Risk Appetite discussion</u>	
6.1	The Executive Team was asked to note the outcome of the Risk Appetite Matrix review by the Senior Leadership Team, and to agree next steps, prior to this being presented to the Audit & Risk Committee on 20 February 2017.	
6.2	PD said that there was a question as to whether we continued with the current matrix or whether a new one should be developed.	
6.3	The Executive Team discussed.	
6.4	NC asked if we needed to have a Risk Appetite Matrix as it was difficult to see how different risks could be quantified and that it was difficult to see the value added.	
6.5	The CPTM advised that Audit Committee had encouraged the use and review of the Risk Appetite Matrix.	
6.6	The Executive Team noted the outputs of the SLT meeting, decided against redeveloping the current matrix or adding any new categories, noted a desire to increase the appetite for taking risks and noted the CPTM would report back to the Audit and Risk Committee.	
7.0	<u>Hague Convention - Changes / potential implications</u>	
7.1	The Hague Convention on the Protection of Cultural Property in Armed Conflict provides for a system of general and special protection of cultural property in situations of international and non-international armed conflict. It dates from 1954 but the UK Government has only now brought forward legislation to ratify it.	
7.2	The Executive Team was asked to note the changes and opportunities presented to The National Archives by the UK ratification of the Convention and to agree the recommendations set out for our role post-ratification.	
7.3	JJ thanked the CKM for a very clearly written paper.	
7.4	JJ asked how we would leverage Archive Service Accreditation.	
7.5	The CKM noted that we were aware that accreditation required particular standards to be reached and while it was unrealistic to expect these to always be met in the	

<p>7.6</p> <p>7.7</p> <p>7.8</p> <p>7.9</p> <p>7.10</p> <p>7.11</p>	<p>short term we did hold the expectation that organisations would be travelling on the right path towards achieving those standards.</p> <p><u>Action:</u> JJ requested that recommendations include consulting the Forum on Historical Manuscripts and Academic Research. Due 15/02/17</p> <p>NC asked if there were any resource implications to The National Archives?</p> <p>The CKM noted that no additional burdens are foreseen.</p> <p>JS asked if there had been any thought given to digital collections.</p> <p>JJ noted the difficulties in classifying digital assets and the fact that they generally consisted of series.</p> <p>The Executive Team noted the changes and opportunities presented and approved the recommendations with the addition detailed above.</p>	<p>CKM</p>
<p>8.0</p> <p>8.1</p> <p>8.2</p> <p>8.3</p> <p>8.4</p> <p>8.5</p> <p>8.6</p> <p>8.7</p>	<p><u>Revisiting TNA 2020</u></p> <p>TNA 2020 was a 2009 exercise, carried out pro bono by Deloitte, examining The National Archives' options for its future operating model. In Autumn 2016 this exercise was revisited to test whether the assumptions it made and the conclusions drawn from it still held good seven years on.</p> <p>The Executive Team was asked to note and comment on the findings.</p> <p>SW took the Executive Team through the updated findings of the exercise. The original exercise was broadly sound using appropriate evidence and drawing reasonable conclusions. The option chosen to rework Kew was the only tenable option. Investment in Kew has generated significant savings. From a 2016 vantage point Kew was the best strategic and value for money fit.</p> <p>The Executive Team discussed the report.</p> <p>SW noted that there had been a significant increase in the percentage of documents produced on site that were for staff.</p> <p>SW highlighted the key themes discussed at the Board away day in December 2016.</p> <p>The Executive Team noted the findings.</p>	
<p>9.0</p> <p>9.1</p>	<p><u>Any Other Business</u></p> <p>There being no other business the meeting was brought to a close.</p>	

Title: Executive Team Meeting
Date of Meeting: 8 February 2017
Time of meeting: 10.00 – 13.00
Location: Blue Room, 1st Floor, Kew
Attendees:

John Sheridan (JS - chair)	TNA	Patrick Mallett (PJM - minutes)	TNA
Carol Tullo (CT)	TNA	Sam Whaley (SW)	TNA
Neil Curtis (NC)	TNA	David Sawyer (DS)	TNA
Val Johnson (VJ)	TNA	Jane Craigie-Payne (JCP)	TNA
Caroline Ottaway-Searle (COS)	TNA	Finance Business Manager (FBP)	TNA
Paul Davies (PD)	TNA	Corporate Performance and Transparency Manager (CPTM)	TNA
Jeff James (JJ – item 9 onwards)	TNA	RSM representative	RSM

Apologies: Val Johnson (VJ)

		Action
1.0	<u>Minutes and Matters Arising</u>	
1.1	The minutes of the previous meeting held on 1 February 2017 were reviewed and approved subject to minor amendment.	
1.2	The actions log was reviewed.	
2.0	<u>Business Priorities – Capital Spend</u>	
2.1	The current capital plans as part of the business planning cycle are not affordable within our current funding settlement. The paper laid out the position, and provided the Executive Team with options around prioritisation of IT and Estates and public facing work.	
2.2	The Executive Team agreed that there would be no budgeting of any buffer and that the Digital Records Infrastructure project spend is a priority and should be funded in full for 17/18.	
2.3	The Executive Team discussed the options for funding projects in 2017/18.	
2.4	The Executive Team approved the capital allocation for 2017/18.	

<p>3.0</p> <p>3.1</p> <p>3.2</p> <p>3.3</p> <p>3.4</p> <p>3.5</p>	<p><u>Strategic Risk Register Review</u></p> <p>The Executive Team was asked to review the Strategic Risk Register and the current risk scores, to review amendments to the text and mitigation measures and suggest appropriate updates.</p> <p>PD advised that two new risks were also proposed.</p> <p>The Executive Team discussed.</p> <p>Risk 3 (reduction in Government Funding) was now considered stable.</p> <p>The Executive Team approved the Strategic Risk Register, with the amendments and the new risks.</p>	
<p>4.0</p> <p>4.1</p> <p>4.2</p> <p>4.3</p> <p>4.4</p>	<p><u>Vacancy Management</u></p> <p>The Executive Team reviewed a number of recruitment requests.</p> <p>CORE1 – Senior Developer - Approved</p> <p>CORE2 – Senior Developer - Approved</p> <p>CORE3 – Sector Grants and Development Manager - Approved</p>	
<p>5.0</p> <p>5.1</p> <p>5.2</p> <p>5.3</p> <p>5.4</p>	<p><u>Developing our Future Workforce - update</u></p> <p>PD updated on the work of the newly formed Developing our Future Workforce team.</p> <p>PD advised that there had been a productive meeting with the Senior Leadership Team (SLT) and that they had been made aware that they would be called upon for assistance with the project. Those areas where there was less change planned would still be required to aid the drafting of job descriptions and the recruitment processes and it was possible that a collective objective would be issued for the SLT.</p> <p>PD said that there had been a request for a 'run list' of new roles becoming available with short descriptions of what would be involved so as to allow staff to have sight of opportunities that would be available; the team will explore this request.</p> <p>The Executive Team noted the update.</p>	
<p>6.0</p> <p>6.1</p> <p>6.2</p>	<p><u>LPA / FTA review</u></p> <p>The Executive Team were requested to review the updated LPA / FTA report and make outstanding decisions on contract extensions based on this data.</p> <p>This report contains all LPA / FTA contracts currently employed by TNA, and gives information on the number and phasing of possible post savings that could be gained.</p>	

6.3	The Executive Team discussed.	
6.4	The Executive Team approved a number of changes to contract end dates.	
6.5	<u>Action:</u> JCP to update the report with the agreed changes and distribute to the Executive Team. Due 17/02/17	JCP
7.0	<u>RSM update and plans for 2017/18</u>	
7.1	The Executive Team was asked to review the Annual Internal Audit Report 2016-17 from RSM, and suggest any amendments prior to these being presented to the Audit & Risk Committee on 20 February 2017.	
7.2	The RSM Tenon representative took the Executive Team through the report.	
7.3	The RSM Tenon representative noted that all was on track for completion in year apart from the Cyber Security and Software Applications (6.16/17) which PD would be updating on later in the meeting.	
7.4	The Executive Team noted the report and the one planned request for an extension.	
7.5	The Executive Team was asked to review the Draft Internal Audit Strategy 2017/18 – 2019/20.	
7.6	The Executive Team reviewed the plans.	
7.7	<u>Action:</u> JJ requested further clarification on the proposed Places of Deposit audit. The CPTM to discuss with VJ. Due 15/02/17	CPTM / VJ
7.8	<u>Action:</u> RSM representative to change ‘Resource Realignment’ to ‘Developing our Future Workforce’. Due 13/02/17	RSM Rep
7.9	PD noted that Human Resource is already subject to a good degree of scrutiny and questioned the value of an audit of this area.	
7.10	<u>Action:</u> PD to ask NC to raise this issue at the A&R committee meeting. Due 20/02/17	PD / NC
7.11	JJ questioned if we needed to have an audit of Business Planning.	
7.12	<u>Action:</u> RSM representative to investigate when this was last looked at. Due 15/02/17	RSM Rep
7.13	JJ suggested that potential areas might be <i>Archives Inspire</i> progress and issues around the impact of Brexit.	
7.14	<u>Action:</u> RSM representative to add above to provisional items. Due 15/02/17	RSM Rep
7.15	JJ stated that in cases where a ‘lead’ director had items on the agenda of A&R committee but would not be present they should instruct a director to support the item on their behalf at A&R committee as he sat in an observational capacity as	

7.16	Accounting Officer at the committee and should not therefore act to support items. The Executive Team approved the Draft Internal Audit Strategy 2017/18 – 2019/20 subject to the agreed changes being incorporated.	
8.0	<p><u>Outstanding internal audit</u></p> <p>8.1 The Executive Team was asked to review the status of internal audit recommendations arising from the 2016-17 Internal Audit plan, and suggest any amendments prior to these being presented to the Audit & Risk Committee on the 20 February 2017.</p> <p>8.2 The Executive Team reviewed and discussed the report.</p> <p>8.3 JJ noted that for item 5.16/17 (Verification of Accounting Officer Certificate) we needed to demonstrate that there is a checklist and that it is being used by HR. Formal extension to deadlines to be requested at A&R committee.</p> <p>8.4 PD advised that item 6.16/17 (Cyber Security and Software Applications) would be covered as a separate agenda item.</p> <p>8.5 <u>Action:</u> The CPTM to update the report with a number of minor changes. Due 10/02/17</p> <p>8.6 The Executive Team approved the changes to the update paper, prior to it being presented to the Audit & Risk Committee on 20 February.</p>	CPTM
9.0	<p><u>Cyber security update</u></p> <p>9.1 PD advised that there had been a delay with RSM and the Business Impact Assessment. The necessary re-audit had also been delayed.</p> <p>9.2 PD explained that the Head of IT Operations had produced a detailed report and we were now just waiting for the Business Impact work to be done before this would be completed.</p> <p>9.3 The Executive Team noted the update.</p>	
10.0	<p><u>Any Other Business</u></p> <p>10.1 CT noted that the Government Transformation Strategy would be launched on 09/02/17 and she would flag to the media team in order that any enquiries could be fielded.</p> <p>10.2 NC noted the increase in Internal Audit fees and advised this would be raised with RSM.</p> <p>10.3 JJ advised of a recent constructive meeting with the Secretary of State in which records management issues were discussed.</p> <p>10.4 There being no other business the meeting was brought to a close.</p>	

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Title: Executive Team Meeting
Date of Meeting: 15 February 2017
Time of meeting: 10.00 – 13.00
Location: Blue Room, 1st Floor, Kew
Attendees:

Jeff James (JJ – chair)	TNA	Patrick Mallett (PJM - minutes)	TNA
Carol Tullo (CT)	TNA	Lucy Fletcher (LF)	TNA
Neil Curtis (NC)	TNA	Isobel Hunter (IH)	TNA
Val Johnson (VJ)	TNA	Strategic Engagement Manager (SEM)	TNA
Caroline Ottaway-Searle (COS)	TNA	David Sawyer (DS)	TNA
Val Johnson (VJ)	TNA	Corporate Performance & Transparency Manager (CPTM)	TNA
John Sheridan (JS)	TNA	Jane Craigie-Payne (JCP)	TNA
		Finance Business Partner (FBP)	TNA
		Caroline Pegden (CP)	TNA

Apologies: Paul Davies (PD)

		Action
1.0	<u>Minutes and Matters Arising</u>	
1.1	The minutes of the previous meeting held on 8 February 2017 were reviewed and approved subject to minor amendment.	
1.2	Post meeting update (17/02/17): The Executive Team agreed an FTA extension to 31 Dec 2017 via email after budget confirmation was received.	
1.3	The actions log was reviewed.	
2.0	<u>Archive Sector Vision</u>	
2.1	The Executive Team was asked to note progress with the development of the vision, and to approve the approach taken with audience, pitch, core themes and visual design.	
2.2	VJ advised that this would be going to the Board next week for comment and suggestions.	
2.3	IH noted the successful collaborative approach with the sector in pulling this draft	

	together.	
2.4	CT asked if the document would meet accessibility guidelines.	
2.5	The SEM confirmed that it did.	
2.6	JJ noted that in a similar way to how drafting was progressed with iterations of <i>Archives Inspire</i> to ensure greatest impact.	
2.7	JJ advised on keeping the version being reviewed today in the Board packs for the Board next Monday.	
2.8	IH stated that they wished to table the latest design version at the Board on 20/02/17.	
2.9	The SEM noted that there had been a challenge around the fact that this work needed to engage both the archivist audiences and wider audiences too.	
2.10	CT highlighted an opportunity to use language that speaks to people on a personal level and really grabs the reader, the use of corporate speak needed to be avoided.	
2.11	JJ said that all the images in the document needed to look professional.	
2.12	NC asked if there was any crossover to the HLF funding work stream?	
2.13	COS confirmed that the Vision did form part of the planned presentation to HLF.	
2.14	<u>Action:</u> JJ instructed IH to arrange for some time to be diarised to review the final version on 21/02/17. Due 21/02/17	IH
2.15	JJ thanked all those involved and noted the contribution they had all made to what was an impressive piece of work.	
2.16	The Executive Team noted progress of the Vision.	
3.0	<u>January Management Accounts</u>	
3.1	The Executive Team was asked to note the January Management Accounts.	
3.2	DS summarised the January Management Accounts noting that a number of areas were undergoing change and this was being managed carefully.	
3.3	NC stated that there needed to be greater clarity around the level of scrutiny applied to the Procurement report, the plan would be to get tough on issues around Purchase Orders (PO) particularly the use of retrospective PO.	
3.4	JJ advised that we should allocate some contingency so that we are able to finish a number of small projects. There was a reputational risk that a number of unfinished projects would not project a suitable image for The National Archives.	
3.5	<u>Action:</u> JJ requested DS to work with the interim Head of Estates and start to cost out the necessary works. Due 01/03/17	DS

3.6	The Executive Team noted the January Management Accounts.	
4.0	<p><u>Dashboard</u></p> <p>4.1 The Dashboard provides an easy reference of how the Performance Indicators for The National Archives have performed in the month and alerts the Executive Team to those areas where achievement is under threat and where some remedial action may be necessary.</p> <p>4.2 The Executive Team was asked to note the Corporate Dashboard for the month of January 2017.</p> <p>4.3 NC stated that the Documents Delivered Online metric could be improved as it included both documents that were downloaded and ‘page views’.</p> <p>4.4 JJ said that in this year’s Annual Report we should report using the current measure and in a disaggregated manner and to review methodology from next year.</p> <p>4.5 JJ suggested that a downloads figure seemed more comparable with physical delivery and clearer.</p> <p>4.6 NC noted a gap in Discovery usage metrics at Corporate Dashboard level</p> <p>4.7 JS said that a workshop was planned in March that would look at web analytics. We have a real opportunity now to compute the new data we have available and drive out useful statistics to better understand our audiences and their behaviours.</p> <p>4.8 NC advised that progressing work on metrics was of great importance and a necessary foundation to help inform our new Commercial Strategy.</p> <p>4.9 JJ stated that the focus should be on what the metrics used next year would be.</p> <p>4.10 <u>Action:</u> The CPTM to provide the Executive Team with a paper outlining plans for next year’s metrics for approval. Due 31/03/17</p> <p>4.11 The Executive Team noted the January Dashboard and the work being done to enhance metrics.</p>	CPTM
5.0	<p><u>Commercial strategy - first thoughts / think piece</u></p> <p>5.1 The Executive Team was asked for initial feedback to inform further iterations before formal submission of the first draft to the March Board.</p> <p>5.2 JJ noted that income was tracking at a lower level than submitted in the CSR.</p> <p>5.3 JS stated that we needed to explore what the right mix was between what we deliver through a concessionary set up and what we do ourselves.</p> <p>5.4 CT mentioned that our Public Task’ was the starting point for defining how we operate.</p>	

5.5	JJ noted that some of the relatively small deals negotiated in the past had provided lucrative income streams.	
5.6	VJ noted that commercial opportunities & potential in the research space should be explored with NC.	
5.7	The Executive Team noted the presentation.	
6.0	<u>Developing our Future Workforce - update</u>	
6.1	CP updated on the work of the newly formed Developing our Future Workforce team.	
6.2	CP noted that these regular updates should occur before any Vacancy Management discussions at the Executive Team.	
6.3	JCP advised that planned apprentice positions brought a number of new challenges and would need to be reported on in a new way.	
6.4	JS said that he would soon be completing work on an analysis of all the posts in his directorate as it was of key importance to understand what the 'start' position is so as to have clarity during this period of change.	
6.5	JJ stated that there would be no benefit to managers in holding on to posts, any vacant posts needed to be released back into the centre to be used according to corporate need.	
6.6	CP said that there were a number of issues ongoing that were being progressed.	
6.7	CP noted that a new matching process was currently awaiting Trades Union approval.	
6.8	JCP advised that there had been much interest in the planned new posts.	
6.9	The Executive Team noted the update.	
7.0	<u>Any Other Business</u>	
7.1	VJ advised of a Grants Panel application concerning a research residency and workshop which we might apply for, and which represented something we had not done before.	
7.2	<u>Action:</u> VJ to send the application to the Executive Team for comment. Due 01/03/17	VJ
7.3	There being no other business the meeting was brought to a close.	