

# Minutes

**Title:** Executive Team Meeting  
**Date of Meeting:** 19 November 2014  
**Location:** Blue Room, 1<sup>st</sup> Floor, Kew  
**Attendees:**

Jeff James (JJ - Chair)	TNA	Patrick Mallett (PJM – minutes)	TNA
Clem Brohier (CB)	TNA	Sam Whaley (SW)	
Rachel Murphy (RM)	TNA	Jim Wretham (JW – item 2)	TNA
Mary Gledhill (MG)	TNA	Information Policy Adviser (item 2)	TNA
Carol Tullo (CT)	TNA	Publishing Services Performance Manager (item 2)	TNA
		Lee Oliver (LMO – item 4)	TNA
		Marcia Jackson (MJ – item 6)	TNA
		Standards & Information Policy Manager (item 6)	TNA
		Valerie Johnson (VJ – item 7)	TNA
		Principal Records Specialist Manager, Medieval & Early Modern (item 7)	TNA
		Jane Craigie-Payne (JCP – item 8)	TNA
		HR Manager - Organisational Development & Business Partnering (item 8)	TNA

**Apologies:** Caroline Ottaway-Searle (COS)

		Action
<b>1.0</b>	<b><u>Minutes and Matters Arising</u></b>	
1.1	The minutes of the previous meeting held on the 22 October were reviewed and approved.	
<b>2.0</b>	<b><u>Public Library Subsidy</u></b>	
2.1	Further to discussions in March, options for the future of the scheme were considered.	
2.2	JJ advised that the key aim for The National Archives must be to manage public money well in order to facilitate our public task, much of the information being	

2.3	published was now freely available online. The Executive Team agreed with the approach favoured by the team.	
<b>3.0</b>	<b><u>Executive Team TOR review</u></b>	
3.1	Executive Team reviewed the TOR and the following changes were agreed, all changes to be made by SW :	
3.2	Pages to be numbered.	
3.3	'Working with Management Board' to be added to the first paragraph.	
3.4	'...and legal' to be added to the first bullet.	
3.5	Action 2: SW to investigate the use of 'Corporate Value' in the last bullet point.	SW
3.6	Action 3: TOR to be reviewed again after the Governance review has been completed.	PJM
<b>4.0</b>	<b><u>Quarterly Complaints Review</u></b>	
4.1	LMO presented the report to the Executive Team for them to note and approve. Target dates had now been added.	
4.2	Action 5: JJ requested LMO clearly show changes and progress made since last Executive Team report.	LMO
4.3	Action 6: LMO to use deeper grey tones to improve contrast between greyed out boxes and non-greyed out boxes.	LMO
4.4	The Executive Team noted and approved the report.	
<b>5.0</b>	<b><u>Organisational re-alignment</u></b>	
5.1	JJ updated the Executive Team on the Business Planning process, outlining the planned next stages.	
5.2	Action 7: SW to circulate the current version of the strategic goals to Exec Reports.	SW
5.3	JJ said he planned to hold an all staff meeting on Monday 1 December to outline the Business Plan and organisational re-alignment; this would be followed by an Exec Reports plus workshop the following week.	
<b>6.0</b>	<b><u>IMA update</u></b>	
6.1	MJ updated the Executive Team on the IMA programme and advised that 21 OGDs had signed up to the programme. Recommendations from the Sir Alex Allen report were now beginning to be being implemented.	
6.2	The Standards & Information Policy Manager stated that the Welsh Government had begun its action plan which was born out of the IMA that was completed in March	

	<p>this year.</p> <p>6.3 JW advised that an IMA process review was being conducted to look into any possible improvements to the way the process works and to build in digital continuity work.</p> <p>6.4 CB asked if, with the surge in interest since the PASC visit, there was enough resource to meet increased commitments?</p> <p>6.5 MJ said that there was a degree of flexibility but the situation was being closely monitored.</p> <p>6.6 RM noted that approaching CTOs could aid engagement.</p> <p>6.7 The Executive Team noted the update.</p>	
<b>7.0</b>	<b><u>Grants Panel</u></b>	
7.1	The Principal Records Specialist Manager, Medieval & Early Modern outlined a proposal for partnering in order to design and build a visualisation tool for name rich archival data.	
7.2	Action 8: RM requested that any similar proposals should in future be reviewed by the Technical Design Authority.	VJ
7.3	MG noted that there may well be a degree of crossover with 'Traces through time'.	
7.4	JJ advised of the importance of ascertaining what resource the developer would require from The National Archives.	
7.5	Action 9: MG to invite the developers to the 'Traces through time' workshop planned for January 2015.	MG
7.6	<b>The Executive Team supported the idea in principle but decided to withdraw from this particular proposal, whilst clarifications were sought.</b>	
<b>8.0</b>	<b><u>Staff Survey</u></b>	
8.1	JCP took the Executive Team through the Staff Survey results noting that participation rates had dropped considerably from last year to 49%.	
8.2	JCP advised that the next step was to distribute the staff comments to directors.	
8.3	Action 10: JCP asked Directors to contact her or the HR Manager - Organisational Development & Business Partnering if they required a session to look at their directorates' results.	All
8.4	The Executive Team noted the results.	
<b>9.0</b>	<b><u>Any Other Business</u></b>	

9.1	JJ noted the importance of providing papers on time in order to allow thorough review ahead of meetings. JJ stated there was scope to improve the slickness of operation in this area.	
9.2	JJ advised that he had conducted a telephone conference call with the Non Executive Directors. They had been positive and supported our ambitions.	
9.3	JJ said he planned to hold an all staff meeting on Monday 1 December to outline the Business Plan and organisational re-alignment; this would be followed by an Exec Reports plus workshop the following week.	
9.4	Clore - there is an underspend from the archives' institution consortium award for 2013-14 of c.£2k that can be split into 3 and returned to the sponsors, or we can agree that it be invested for future archives' awards. This has been our practice in the past for small amounts and ET agreed. CT to confirm with Clore.	
9.5	JJ reminded Directors that they needed to provide Management Board pre meet notes by noon on Friday 21 November.	
9.6	<b>There being no other business the meeting was closed.</b>	

**Title:** Executive Team Meeting  
**Date of Meeting:** 26 November 2014  
**Location:** Blue Room, 1<sup>st</sup> Floor, Kew  
**Attendees:**

Jeff James (JJ - Chair)	TNA	Patrick Mallett (PJM – minutes)	TNA
Clem Brohier (CB)	TNA	Sam Whaley (SW)	TNA
Rachel Murphy (RM)	TNA	David Sawyer (DS - items 2,3,89)	TNA
Mary Gledhill (MG)	TNA	Peter Brooker (PB - items 4,5)	TNA
Carol Tullo (CT)	TNA	Baker Tilly Representative (item 5)	TNA
Caroline Ottaway-Searle (COS)	TNA	Valerie Johnson (VJ – item 6)	TNA
		Service Quality and Complaints Manager ( – item 10)	TNA

**Apologies:** None

		<b>Action</b>
<b>1.0</b>	<b><u>Minutes and Matters Arising</u></b>	
1.1	The minutes of the previous meeting held on the 19 November were reviewed and approved. There were no conflicts of interests declared.	
<b>2.0</b>	<b><u>Government Procurement Card Review</u></b>	
2.1	DS advised that the paper he was presenting contained proposals to tighten controls, and reduce the number of cards used in order to further decrease the potential for fraud.	
2.2	JJ requested the phrase 'full time' be replaced with 'permanent' and for DS to return in 6 months with an update.	DS
2.3	<b>The Executive Team endorsed the reviews proposals.</b>	
<b>3.0</b>	<b><u>Review of Temporary Posts</u></b>	
3.1	DS said that there were a number of temporary posts across TNA where there was a desire to extend contracts in order to deliver particular projects or produce other benefits. The Executive Team are being asked to agree a number of such extensions contained in the paper.	
3.2	Post 1: 3 month extension then review a part of ongoing resource planning work.	
3.3	Posts 2 – 7: to be removed and looked at as part of the technology business cases going to ET.	
3.4	Post 8: JCP to check, as there was a need to extend quickly.	JCP
3.5	Post 9: to be changed to run to July / August, CT to confirm date.	CT
3.6	Post 10: JJ advised HR were currently checking commitment in this area.	
3.7	Post 12: 3 month extension then review.	
3.8	Post 13: To extend 3 months then look at as part of review.	
<b>4.0</b>	<b><u>Outstanding Internal Audit Recommendations</u></b>	
4.1	PB presented this paper to the Executive Team seeking sign off ahead of tabling at	

	Audit Committee.	
4.2	<u>Payment Card Industry (PCI) Review</u> <ul style="list-style-type: none"> <li>• Recommendation 3.1 correct typo “Information Library” to “Image Library”</li> <li>• Recommendation 3.2 Amend action wording to clarify which deadline is being worked towards; Revised implementation date of 5<sup>th</sup> December to be added</li> <li>• Recommendation 3.5 PB to flag up at Audit Committee issue of our attempts to implement the action and our being unable to due to lack of response from an external party</li> </ul>	PB PB PB
4.3	<u>Archives Service Accreditation Audit</u> <ul style="list-style-type: none"> <li>• Recommendation 1.1 status to be changed to “Completed”</li> </ul>	PB
4.4	<u>Governance Audit</u> <ul style="list-style-type: none"> <li>• Recommendation 1.1.1 (Management Board ToR) Revised due date of end June 2015 to added, along with explanatory text about current governance review</li> <li>• Recommendation 1.1.3 (Remuneration Committee ToR) Revised due date of end June 2015 to added, along with explanatory text about current governance review</li> <li>• Recommendation 1.2.2 (Exec Team ToR review) status to be changed to “In Progress”; revised due date of end December to be added</li> <li>• Recommendation 1.3.2 Projection of end-November completion queried by COS. COS to follow up.</li> </ul>	PB PB PB COS
4.5	<u>Follow-Up Audit</u> <ul style="list-style-type: none"> <li>• Recruitment &amp; Induction Recommendation 2.7.7: Amber delivery confidence status to be queried. COS to follow up.</li> <li>• Procurement &amp; Contract Management: Amber/Green delivery confidence status to be queried; text explaining current staffing of procurement function to be added. PB to follow up</li> </ul>	COS PB
4.6	<b>The Executive team noted the report.</b>	

5.0	<p><b><u>Internal Audit Progress Report</u></b></p> <p>5.1 The Baker Tilly Representative presented a report for the Executive Team to note and approve. It was noted all assignments were amber / green or better.</p> <p>5.2 <b>The report was noted and approved.</b></p>	-
6.0	<p><b><u>Grants Panel</u></b></p> <p>6.1 VJ outlined an application regarding the CDP programme that provides The National Archives with funded studentships.</p> <p>6.2 JJ requested that VJ organise a feedback session for the Executive Team at a future meeting.</p> <p>6.3 VJ to consult Finance in order to check on possibility of Research centrally holding the funding.</p> <p>6.4 CB noted that if the scheme worked well the possibility of scaling up could be investigated.</p> <p>6.5 <b>The Executive Team supported the proposal.</b></p>	
7.0	<p><b><u>DRI update</u></b></p> <p>7.1 RM updated the Executive Team on DRI progress.</p> <p>7.2 RM advised that the success of DRI was dependant on two factors, (1) BAU – agree business priorities and resource accordingly between now and the end of March 2015 and (2) – Strategic GDS review and recommendations.</p> <p>7.3 CB to discuss project management support with Alison Webster.</p> <p>7.4 MG, COS and RM to meet in order to discuss essential BAU resource requirements between now and the end of March 2015.</p> <p>7.5 <b>The Executive Team noted the update.</b></p>	<p>CB</p> <p>All</p>
8.0	<p><b><u>October Finance Report</u></b></p> <p>8.1 DS advised that the year-to-date overspend is primarily driven by the timing of business-as-usual and investment spend.</p>	

8.2	DS noted that the 6+6 forecast exercise was now complete and little had changed since forecast.	
8.3	Letters were currently being sent out to suppliers outlining our payment terms.	
8.4	<b>The Executive Team noted the report.</b>	
<b>9.0</b>	<b><u>Dashboard / Risk Register</u></b>  <u>November Dashboard</u>	
9.1	<ul style="list-style-type: none"> <li>Tom Gregan to be asked to provide historic data about split of onsite document productions between public/staff/projects.</li> </ul>	COS
9.2	<ul style="list-style-type: none"> <li>Trend graphs for customer satisfaction to results to cover the same comparison period, where possible, for all three customer groups.</li> </ul>	PB
	<u>Strategic Risk Register and Risk Review</u>	
9.3	<ul style="list-style-type: none"> <li>SRR 2 “External Changes to Our Strategy and Positioning” - cause and effect descriptions to be rephrased.</li> </ul>	SW / PB
9.4	<ul style="list-style-type: none"> <li>SRR 3 “Staff, Leadership and Culture” cause and effect descriptions to be rephrased.</li> </ul>	COS
9.5	<ul style="list-style-type: none"> <li>Out of appetite directorate risks paper to be tabled at ET again as soon as possible</li> </ul>	PB/PJM
9.6	<b>The Executive Team noted the Dashboard and Risk Register.</b>	
<b>10.0</b>	<b><u>Customer Service Excellence (CSE)</u></b>	
10.1	The Service Quality and Complaints Manager presented on our recent re-awarding of this national standard.	
10.2	The Service Quality and Complaints Manager advised that CSE is a government set standard which is owned by the Cabinet Office and formally assessed through licenced certification bodies.	
10.3	The Service Quality and Complaints Manager noted that we now hold ten awards for ‘Compliance Plus’, areas where we are considered to be exemplifying best practice.	
10.4	IT service management to be assessed in the future.	
10.5	<b>JJ thanked the Service Quality and Complaints Manager for all the work</b>	



	<b>invested in receiving this award and noted the contribution of the Programme Support Officer over the past 35 years.</b>	
<b>11.0</b>	<b><u>AOB</u></b>	
11.1	CT noted that award logos needed to be in proportion on headed paper.	
11.2	JJ gave an update on the next steps in our business planning process.	
11.3	<b>There being no other business the meeting was brought to a close.</b>	