

Title: Executive Team Meeting

Date of Meeting: 3 October 2018

Attendees:

Jeff James (JJ - Chair)	TNA	Patrick Mallett (PJM – minutes)	TNA
Paul Davies (PD)	TNA	Pauline Moore (PM – item 3 only)	TNA
Caroline Ottaway–Searle (COS)	TNA		
Neil Curtis (NC)	TNA		
Lucy Fletcher (LF)	TNA		

Apologies: Val Johnson (VJ), John Sheridan (JS)

		Action
1.0	<u>Minutes and Matters Arising</u>	
1.1	No conflicts of interest were declared.	
1.2	The minutes of the previous meeting held on 24 September 2018 were reviewed and approved subject to some minor amendments.	
1.3	The action log was reviewed and updated.	
2.0	<u>Executive Team Terms Of Reference (TOR) review</u>	
2.1	Executive Team was asked to review, comment on and approve the TOR.	
2.2	Executive Team reviewed the TOR.	
2.3	Executive Team agreed that the suggested ' <i>Members of SLT...</i> ' is not added.	
2.4	Executive Team suggested in the membership section, ' <i>Any other such persons deemed necessary by Executive Team be invited to attend meetings.</i> ' be added.	
2.5	<u>Action:</u> PJM to check proposed wording with the Head of CEO's Office. Due 09/10/18	PJM
2.6	Executive Team requested a commitment to promoting the culture of the organisation is reflected in the principles section.	
2.7	Executive Team approved the Executive Team TOR subject to the agreed changes being incorporated.	

3.0	<u>Management Accounts</u>	
3.1	The Executive Team was asked to note the August Management Accounts.	
3.2	The Executive Team was also asked to note and comment on the new format and layout of the management accounts.	
3.3	PM took the Executive Team through the August Management Accounts explaining the thinking behind the new format advising that the report included real data and a forecast for the rest of the year.	
3.4	PM stated that a key driver to the financial position was timing and we have attempted to provide a 'rolling out-turn' to better reflect the actual scenario that we will face.	
3.5	Executive Team discussed and agreed that the variance between our HMT funding and the predicted out-turn should be displayed.	
3.6	Executive Team agreed that the narrative should state what had changed from the previous report.	
3.7	<u>Action:</u> PM to update the report ahead of distributing to Board. Due 09/10/18	PM
3.8	PM updated Executive Team on the August Management Accounts.	
3.9	PM noted that the new report layout would highlight overspends so decisions could be made as to whether they needed to be absorbed within individual directorates or covered from budget in another directorate.	
3.10	Executive Team noted the risk around underspend being 'held onto' in directorates and only released late in the year resulting in more difficult reallocation than if released earlier in the year.	
3.11	Executive Team noted the August Management Accounts and the new format.	
4.0	<u>Internal Audit arrangements</u>	
4.1	Executive Team was asked to review and agree the suggestions outlined in the paper.	
4.2	PD noted that there was a drive to have strong engagement from directors' right from the start of the internal audits through to completion.	
4.3	Executive Team noted the importance of clear instruction on what action was required to be taken in terms of internal audit recommendations.	
4.4	<u>Action:</u> NC to review the Internal Audit recommendation workflow's to improve clarity. Due 30/11/18	NC
4.5	Executive Team agreed that Executive Team should not be required to sign off all final reports before they are reviewed by the Audit & Risk Committee.	

4.6	Executive Team agreed that all final reports should be sent to the relevant director for sign off with directors copied in for information.	
4.7	Executive Team agreed the changes outlined above.	
5.0	<u>Risk Appetite</u>	
5.1	Executive Team was asked to consider the proposed changes to Maximum Residual Risk scores set out in the attached paper and the impact on the Corporate Risk Register (CRR).	
5.2	Executive Team approved the scoring set out in the paper with the exception of:	
5.3	Risk 5 - FAILURE TO MEET THE CHALLENGES OF DIGITAL	
5.4	<u>Action:</u> PD to discuss the scoring of this risk with JS. Due 09/10/18	PD
5.5	Risk 11 - THREAT TO ARCHIVES SERVICES	
5.6	<u>Action:</u> PD to discuss the scoring of this risk with VJ. Due 09/10/18	PD
5.7	Executive Team requested this item is brought back for further discussion ahead of submission to Board.	
6.0	<u>AOB</u>	
6.1	<u>1921 Census</u> - NC advised that the 1921 census procurement process had been successful and we were ready to award a contract.	
6.2	NC thanked the team involved for all their hard work in reaching this point.	
6.3	Library and Archives Canada– JJ suggested there could be benefit from closer working with Library and Archives Canada, particularly relating to digitisation and digital preservation.	
6.4	There being no other business the meeting was brought to a close.	

Title: Executive Team Meeting

Date of Meeting: 9 October 2018

Attendees:

Caroline Ottaway- Searle (COS - Chair)	TNA	Kristen Dilworth (KD – minutes)	TNA
Paul Davies (PD)	TNA	David Harding (DH)	TNA
Jeff James (JJ)	TNA	Irene Griffin (IG)	TNA
Neil Curtis (NC)	TNA	Anna Sexton (AS)	TNA
Lucy Fletcher (LF)	TNA	Grants and Funding Manager (GFM)	TNA

Val Johnson (VJ)		Julie Taylor (JT)	TNA
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Apologies: John Sheridan (JS)

		Action
1.0	<u>Minutes and Matters Arising</u>	
1.1	No conflicts of interest were declared.	
1.2	The minutes of the previous meeting held on 3 October 2018 were reviewed and approved subject to some minor amendments.	
1.3	The action log was reviewed and updated.	
2.0	<u>Business Priorities</u>	
2.1	The Executive Team were asked to review and approve the Q2 updates to Business Priorities.	
2.2	Executive Team reviewed and discussed the Business Priorities Report.	
2.3	Action: JJ will meet JS for a briefing on Business Priority 2	
2.4	Executive Team approved the Business Priority report.	
3.0	<u>September Dashboard</u>	
3.1	The Executive Team were asked to review and approve the September Dashboard	
3.2	NC questioned if the digital data ingested represented an up to date picture ie have we taken in all the born digital data we have received?	
3.3	Action: IG stated she would find out.	IG
3.4	NC suggested extending the range of the website data to show trend.	
3.5	PD noted that the team would analyse the website traffic for Board and extend the data to start from April.	
3.6	JJ gave feedback about UK legislation with a suggestion to introduce a trend line-showing % of primary legislation up to date.	
3.7	COS stated it would be useful to look at the number of visitors that use the coffee bar and the shop etc.	
3.8	LF suggested a discussion in the future; on how successful the tracking of Lost Records is and how much digitisation we are doing for government departments.	
3.9	Executive Team approved the September Dashboard.	

4.0	<u>Risk Appetite</u>	
4.1	Executive Team was asked to discuss and agree the residual risk ratings on the Corporate Risk Register following the introduction of an Amber option in the 'Residual risk remains within appetite? Column and the increase in maximum risk appetite scores, both of which were discussed at the Executive Team meeting held on 3 October 18.	
4.2	Executive Team approved the scoring set out in the paper with the exception of:	
4.3	Risk 5 - FAILURE TO MEET THE CHALLENGES OF DIGITAL	
4.4	NC questioned the RAG status of green for the Digital business priorities while the digital risk in the CRR remains Red.	
4.5	Action: PD to review with JS what the status of this risk is, and how it should be communicated/published	PD
4.6	Risk 11 - THREAT TO ARCHIVES SERVICES	
4.7	JJ queried the impact score and suggested a follow up discussion with VJ and PD	VJ/PD
5.0	<u>Diversity at The National Archives</u>	
5.1	AS explained that following significant discussion and questions at the Gerald Aylmer seminar and the Archives and Records Association (ARA) conference this year, she has been considering our track record and the perception of us, as an institution that understands what it means to work towards inclusive practice which truly enables meaningful engagement with BAME communities across our functions as a working archive.	
5.2	AS highlighted a number of recommendations which were discussed by the Executive Team.	
5.3	ET plan to devote an away day to considering the actions we should take now and how that relates to our strategy development.	
6.0	<u>Ongoing Research and Funding Applications</u>	
6.1	The GFM presented a synopsis of a selection of funding proposals, where we are playing a leading role in the research project. The GFM explained that all were at different stages within the application process.	
6.2	The Executive Team suggested some kind of overview could helpfully accompany the paper along with how the projects relate to the research priorities.	
6.3	JJ suggested that a shortened version should be presented at board.	
6.4	VJ asked JC for a general feel of where we are, are applications going up etc.?	

6.5	The GFM stated that we do stand to have more applications this year, of a much larger scale and we hope to do 5 or 6 applications each year, rather than 1 or 2.	
6.6	VJ asked what the challenges are.	
6.7	The GFM advised that not having individuals from a research background to lead on significant projects was one of the challenges.	
6.8	The GFM noted that we are looking to identify early career staff who are able to take things forward and encourage colleagues with potential in the organisation to think about putting applications forward.	
6.9	NC stated that it would be helpful to see how many we have applied for and the conversion rate.	
6.10	JJ requested that the GFM should explain how they link into the Research priorities for the Board paper.	
7.0	<u>AOB</u>	
7.1	<u>1921 Census</u> - NC advised that the Executive Team approved the 1921 census procurement decision by write round.	
7.2	There being no other business the meeting was brought to a close.	

Title: Executive Team Meeting

Date of Meeting: 24 October 2018

Attendees:

Val Johnson (VJ – Chair, except item 3)	TNA	Patrick Mallett (PJM – minutes)	TNA
Neil Curtis (NC- Chair item 3)	TNA	Sam Whaley (SW)	TNA
Caroline Ottaway- Searle (COS)	TNA	Pauline Moore (PM)	TNA
Paul Davies (PD)	TNA	Darren Austin (DA)	TNA
Lucy Fletcher (LF)	TNA	Susan Baccardax (SB)	TNA
Val Johnson (VJ)	TNA	Jane Craigie-Payne (JCP)	TNA
		Partnership and Programme Manager (PPM)	TNA

Apologies: John Sheridan (JS), Jeff James (JJ)

		Action
1.0	<u>Minutes and Matters Arising</u>	
1.1	COS advised that her daughter worked for Kids in Museums. No other conflicts of interest were declared.	

1.2	The minutes of the previous meeting held on 9 October 2018 were reviewed and approved subject to some minor amendments.	
1.3	The action log was reviewed and updated.	
2.0	<u>September Management Accounts</u>	
2.1	The Executive Team was asked to note the September Management Accounts.	
2.2	PM noted that the Accounts were broadly in line with the forecasting.	
2.3	Executive Team noted the September Management Accounts.	
3.0	<u>6+6 Forecast discussion</u>	
3.1	Executive Team was asked to note the 6+6 Forecast and to discuss and agree plans to reallocate underspend.	
3.2	In October 2018 budget holders had been requested to consider how an underspend could be utilised most effectively.	
3.4	PM explained that the Supplementary Estimate allowed us to move Revenue to Capital at one point in the year.	
3.5	Executive Team reviewed suggestions for redistributing the underspend by directorate and rated them as high, medium or low priority	
3.6	SW noted that consideration should be given to any potential for income generation.	
3.7	<u>Action:</u> PM to distribute the outputs of the discussion to the Executive Team. Due 30/10/18	PM
3.8	Executive Team agreed that a second review should take place at the Executive Team on Wednesday 31 October.	
4.0	<u>Travel and subsistence</u>	
4.1	The Executive Team was asked to consider recommendations and options for revising The National Archives Travel & Expenses Policy, and to provide direction on whether, and how, to take those recommendations and options forward.	
4.2	Executive Team reviewed the slide pack that outlined proposed changes.	
4.3	Executive Team discussed the proposed changes to the policy and a number of suggestions were made.	
4.4	JJ advised on many occasions it is necessary to take foreign currency when traveling abroad, the process for doing this seems unnecessarily complicated.	

4.5	<u>Action:</u> DA to investigate alternative methods for the provision of foreign currency. Due 31/10/18	DA
4.6	<u>Action:</u> NC to seek clarity around taxable benefits with the Head of Financial Accounting. Due 31/10/18	NC
4.7	Executive Team requested the policy be updated and return for further discussion.	
5.0	<u>1921 Census digitisation</u>	
5.1	Executive Team was asked to note plans for data storage.	
5.2	Executive Team noted the paper on 1921 Census digitisation.	
5.3	Executive Team agreed that the Memorandum of Understanding between The National Archives and the Office for National Statistics (ONS) be updated to reflect the current position and plans.	
5.4	Executive Team requested that a cover letter be drafted for the ONS to describe plans and the necessary changes that have been made to the MoU.	
6.0	<u>Kids in Museums 'Takeover Day'</u>	
6.1	Executive Team was asked to note plans for Kids in Museums Takeover Day.	
6.2	The PPM described the background to the event and plans for the day advising that we hoped around sixty Year Five children would be onsite on the day.	
6.3	JJ suggested we should consider providing the children with a 'goody bag' as a memento of the day.	
6.4	JJ stated that as he was not going to be in the office on the day, consideration would be given to providing a pre-recorded message.	
6.5	Executive Team noted the plans and agreed to fully support the event.	
7.0	<u>Kids in Museums 'Takeover Day'</u>	
7.1	Executive Team was asked to note plans for Kids in Museums Takeover Day.	
7.2	JC described the background to the event and plans for the day advising that we hoped around sixty Year Five children would be onsite on the day.	
7.3	JJ suggested we should consider providing the children with a 'goody bag' as a memento of the day.	
7.4	JJ stated that as he was not going to be in the office on the day, consideration would be given to providing a pre-recorded message.	
7.5	Executive Team noted the plans and agreed to fully support the event.	

8.0	<u>AOB</u>	
8.1	<u>Virtual Reclosure Panel decisions</u> – Executive Team noted the summary of the decisions.	
8.2	Executive Team praised the commitment of all those involved in this challenging work.	
8.3	<u>ED forum minutes</u> – Executive Team noted the minutes from the Equality and Diversity forum.	
8.4	<u>Wednesday morning colleagues (WMC)</u> – JJ advised that his slot had been cancelled.	
8.5	<u>Car Parking</u> – PD updated on plans to charge users and advised the charging would commence in January 2019.	
8.6	There being no other business the meeting was brought to a close.	

Title: Executive Team Meeting

Date of Meeting: 31 October 2018

Attendees:

Neil Curtis (NC- Chair)	TNA	Patrick Mallett (PJM – minutes)	TNA
Caroline Ottaway- Searle (COS)	TNA	Louisa Green (LG)	TNA
Paul Davies (PD)	TNA	Pauline Moore (PM)	TNA
Lucy Fletcher (LF)	TNA	Darren Austin (DA)	TNA
Val Johnson (VJ)	TNA	Head of Financial Accounting (HFA)	TNA
John Sheridan (JS)	TNA	Helen Potter (HP)	TNA

Apologies: Jeff James (JJ)

		Action
1.0	<u>Minutes and Matters Arising</u>	
1.1	No conflicts of interest were declared.	
1.2	The minutes of the previous meeting held on 24 October 2018 were reviewed and approved subject to some minor amendments.	
1.3	The action log was reviewed and updated.	
2.0	<u>6+6 Forecast discussion part 2</u>	
2.1	Executive Team was asked to discuss and agree plans to reallocate underspend.	

2.2	PM presented the results of the discussion held at Executive Team on the 24 October 2018.	
2.3	PM advised that further analysis had been undertaken to attempt to rebalance funding with the criteria originally agreed.	
2.4	NC advised that he had discussed reallocation with JJ.	
2.5	Executive Team noted the likelihood of continuing financial challenge in 2019-20 and the importance of thoroughly examining if any costs we might face then could be brought forward to this financial year.	
2.6	Executive Team discussed the various component parts of the additional allocation.	
2.7	Executive Team acknowledged that this is the right time to be considering our brand as we develop our next corporate strategy and that they were alive to complimentary discussions that needed to be had and supported with the upcoming establishment of The National Archives' Trust.	
2.8	Executive Team agreed the reallocation of the underspend.	
2.9	<u>Action:</u> PM to contact budget holders with details of the additional allocation.	PM
3.0	<u>Travel and subsistence</u>	
3.1	The Executive Team was asked to consider recommendations and options for revising The National Archives Travel & Expenses Policy that now contained the suggested updates requested at the first review on 24 October 2018.	
3.2	Executive Team reviewed the slide pack that outlined proposed changes and agreed these with minor amendments.	
3.4	The HFA advised on tax implications.	
3.5	<u>Action:</u> DA to adjust departure time to before 6.00am for breakfast to be able to be claimed and to be clear this did not apply if travelling to one's normal place of work. Due 14/11/18	DA
3.6	Executive Team agreed the principles upon which a redrafted policy would be prepared.	
4.0	<u>Freedom Of Information Centre (FOIC) – Management of contingency measures</u>	
4.1	The Executive Team was asked to consider the current FOIC workload pressures as presented and to discuss the options presented and agree actions.	
4.2	HP took Executive Team through the various issues facing the FOIC.	
4.3	The majority of FOI requests handled by TNA are for historical information, transferred from other government departments.	

4.4	As a result, TNA occupy a unique position within government where the duty to consult with the record-creating bodies is a required step within procedures, adding a level of complexity to the process.	
4.5	Executive Team noted that a huge percentage of archival requests were for the full file and that the cost time limit could not be applied for the time taken to redact.	
4.6	Executive Team noted the FOIC workload situation and agreed a thorough process review should be completed.	
4.7	<u>Action:</u> It was agreed that HP would produce a simple service-level agreement for The National Archives departments providing information in response to corporate FOI requests. Due 31/12/18	HP
4.8	<u>Action:</u> PD to discuss potential process review with Internal Audit and consider if it could alternatively be carried out in-house and update Executive Team when timelines were in place. Due 31/12/18	PD
5.0	<u>Departmental Security Committee (DSC)</u>	
5.1	Executive Team was asked to note the DSC agenda and the verbal report of DSC business from PD.	
5.2	PD updated the Executive Team on the main points of the recent DSC meeting.	
5.3	PD advised that Instant Message (IM) history was now retained by the 8x8 Virtual Office IM application.	
5.4	Executive Team noted the increased use across the organisation of IM and cloud based team collaboration tools.	
5.5	Executive Team agreed that a conversation needed to be had around the benefits and potential harms of using such tools.	
5.6	<u>Action:</u> PD to bring a paper to Executive Team looking at the use of IM and cloud based team collaboration tools. Due 12/12/18	PD
5.7	Executive Team noted the DSC agenda and the verbal report of DSC business from PD.	
6.0	<u>AOB</u>	
6.1	<u>Finance Directors meeting</u> - NC updated Executive Team on the recent Post Budget Finance Directors meeting he had attended.	
6.2	<u>The National Archives' Trust</u> – LF stated that the Board of Trustees had met for the first time and the meeting had been very positive, the plan was for a high profile event at a central London venue to raise awareness ahead of the launch.	

6.3	<u>Staff Survey</u> – PD reminded Executive Team that this was the final day for staff to complete the Staff Survey, results and information on numbers completed should be available by mid-November.	
6.4	There being no other business the meeting was brought to a close.	