

**MANAGEMENT BOARD (MB) PERFORMANCE MEETING MINUTES – 12.5.14**

**DATE:** Monday 12th May 2014    **TIME:** 11.30am    **LOCATION:** G18

**ATTENDEES:** Richard Sanders, Chief Executive (RS)  
 Sarah Glasspool, Finance Director (SMG)  
 Robert Gunn, Director, Programmes & Estate (RG)  
 Richard Frewin, Director, Enforcement (RF)  
 Paul Dixon, Director, Certification Services (PRD)  
 Lynnette Falk, Director, Regulation (LF)  
 Tania Raynor, CE's Office, Secretariat (TR)

**OBSERVER:** Wei Ji

**ON CALL FOR ITEM 5:** Peter Sayce, Security and Governance Officer (PS)

Please note actions appear in **BLUE**

**1. Apologies for Absence/Substitutions:**

Jo Symons (JS)

**2. Minutes of the Last Meeting (12.5.14)**

The Minutes of the last meeting were approved with no amendments.

**3. Matters/Actions Arising From Last Minutes**

The following actions remained open, and the following comments were noted:

- Document control issues had been discussed the previous month and PEM had commented that if NMO's ISO9001 accreditation had run out it needed to be removed from the Agency letterhead accordingly. **Send out reminder to all staff to use the new letter-head proforma (SMG/NRB, May)**
- **Confirm list of activities that will require auditing as part of the Internal Audit Schedule for endorsement at the next Audit Committee, and investigate costs involved with obtaining the necessary BIS laptops to access the BIS intranet and provide an update next month (SMG, April).** This action would be carried forward to June. Mannie Panesar and Brian Gregory had proposed a draft Internal Audit Schedule. **Examine this schedule to avoid duplication and to decide which audits could be passed to BIS (SMG/PRD/ML, June).** Final draft Audit Schedule would go to the NMO Audit Committee for approval.
- **Include report of Steering Board discussion in the Annual Report & Accounts foreword [this would keep NAO formally informed] (SMG, May).** The Board had asked TR to change the due date of this action from March to May, and the action remained open to be carried over to June.
- The following actions that had emerged from the review of the risk register would be reviewed at Agenda Item 4 later on in the meeting:
  - **CorpServ 8: Review this further next month and consider if the "Probability" had decreased to 2, and the risk drop off the register (MB, May).**
  - **C&D 1 and C&D: 2 Discuss at the next month's meeting (MB, May).**
  - **EST 5: Discuss further at the May meeting when RG would be present (MB, May).**
  - **SER 16: MB agreed to review this risk when PRD was present at the meeting (MB, May).**
- All the Management Board confirmed that they had now endorsed by correspondence QP2420 for Procurement and Payment. **Publish QP on the Agency Quality System (SMG, May).**
- **Formulate IDP User Group to see how the Agency could establish a more fitting IDP Form (DB, April).** It was agreed that DB should press on and progress this (taking into account the views of the SFG), irrespective of the Civil Service review. **Report back on progress at June BTM (DB, June).** The Board then discussed the new IDP form and agreed that it did not adequately reflect NMO's needs. The MB agreed to encourage the SFG/user group to revisit the new standard form and come up with something more appropriate.

#### 4. Agency Risk Register (including risks elevated from BTM)

The following actions emerged from detailed review of the NMO Key Risks Summary:

- RF raised the risk from BTM level of the potential new transfer of enforcement work and the impacts of any further delay in the decision by BIS to go ahead, which is compromising our ability to meet implementation, and impacting upon staff morale and motivation. This was considered by the Board, but the impact was deemed to be small Agency-wide, and not suitable for the register at this stage. However, it would be reviewed in light of any BIS strategic decision.
- **CorpServ 5:** It was noted that the Finance Team were stretched and vulnerable in times of sickness. The Financial systems were updated in March and Jack Gibson (JG) had been helping with y/e. An apprentice was due to start in September, and once up to speed, this should help the team considerably. *Devise control strategy wording for this risk (SMG/PS, May).*
- **CorpServ 8:** This risk was reviewed and it was agreed that an extra line should be added to the control strategy; "Usage of interns where appropriate". *Add this extra line to the control strategy accordingly and change first paragraph under Control Strategy to "To maintain certification to ISO18001 in order to ensure awareness and that systems were being maintained to continued compliance" (SMG/PS, May).*
- **CorpServ 4:** *Take a more substantive look at NMO security measures (MB, TBC). Change Control Strategy to "IT laptops and USB sticks containing sensitive data encrypted (PS to check this with Dan Shipp). All mobiles secured", Insert date of planned audit to be carried out by PS (SMG/PS, May)*
- **EST1:** XDIAS visited the Agency to review contingency planning. Some changes had been made and some areas for improvement were identified. It was recognised that some more work was required of the Management Board on this.
- **CorpServ 3:** In light of the imminent withdrawal of RITE tokens, it was agreed that the probability should be increased from 1 to 2. *(i) Amend probability accordingly, (ii) delete first paragraph under Control Strategy and replace with "SMG will retender NMO's IT support contract via proper procurement process", (iii) add to Control Strategy "NMO were considering succession to TRIM", and (iv) insert date of new annual IT disaster recovery test (PS, May).*
- **C&D1 and C&D2:** *It was agreed to review these risks the following month when JS would be present and to copy BIS K&I in on any changes to this risk accordingly*
- **EST3, 4 & 5:** *Combine into single new risk now that the AML project was being refined and the building respecified (RG/PS, May)*
- **CE 18:** *Change risk wording to "The future of BIS and the future shape of NMO Projects may affect the future of NMO". Change Control Strategy to "NMO had signed up for the BIS corporate services best practice group and were feeding into future of BIS Project work streams and working closely with NMO's sponsor to ensure they fully understand what the Agency does" (PS, May)*
- **SER 16:** *Insert "Impact" of 3 and "Probability" of 4 (PS, May)*

#### 5. Draft Quality Objectives and Draft Quality Policy

PRD explained that as part of an annual process he had modified these papers to reflect the fact that the Agency was no longer ISO 9001 certified and to align with the new Corporate Plan. Despite no formal Quality Plan, it was considered good practice to maintain the quality objectives listed within the document. The Management Board approved the NMO Quality Objectives and the NMO Quality Policy subject to one amendment to the Policy as follows: *Amend bullet point 6 to read "an effective enforcement authority is provided to the satisfaction of our MoU clients (BIS, DEFRA, DECC and DfT) [PRD, May].*

#### 6. AOB

None

#### 7. Date of next meeting: **Thursday 12<sup>th</sup> June 2014**

## Action List

Date of Meeting	Action	Action Officer	Date	Progress	Open or Closed
12.2.14	Confirm list of activities that will require auditing as part of the Internal Audit Schedule for endorsement at the next Audit Committee	SMG/PRD	June	MP/BG had proposed a draft Internal Audit Schedule. This schedule would be examined by SMG/PRD/ML to avoid duplication and to decide which audits could be passed to BIS. Final draft Audit Schedule would go to the NMO Audit Committee for approval.	Open
23.4.14	Send out reminder to all staff to use the new headed paper	SMG/NRB	June		Open
14.3.14	Check the status of the following action on RG: SDAP – Update the purchasing/procurement from UKSBS	TR	April	RG had confirmed that the action had been discharged	Closed
14.3.14	Include report of Steering Board discussion in the Annual Report & Accounts forward [this would keep NAO formally informed]	SMG	May		Open
14.3.14	<p><u>CorpServ 4:</u></p> <ul style="list-style-type: none"> <li>Take a more substantive look at NMO security measures</li> <li>Change Control Strategy to “IT laptops and USB sticks containing sensitive data encrypted (PS to check this with Dan Shipp). All mobiles secured”, Insert date of planned audit to be carried out by PS</li> </ul> <p><u>CorpServ 5:</u> Devise control strategy wording for this risk</p> <p><u>CorpServ 8:</u> Add extra line to the control strategy; “Usage of interns where appropriate”. Also change first paragraph under Control Strategy to “To maintain certification to ISO18001 in order to ensure awareness and that systems were being maintained to continued compliance”</p> <p><u>C&amp;D 1 and C&amp;D 2:</u> Discuss at the next month’s meeting when a team representative would be present</p> <p><u>EST3, 4 &amp; 5:</u> Combine into single new risk now that the AML project was being refined and the building respecified</p> <p><u>SER 16:</u> Insert “Impact” of 3 and “Probability” of 4</p> <p><u>CorpServ 3:</u></p> <p>(i) Increase probability from 1 to 2  (ii) delete first paragraph under Control Strategy and replace with “SMG will retender NMO’s IT support contract via proper procurement process”  (iii) add to Control Strategy “NMO were considering succession to TRIM”, and (iv) insert date of new</p>	<p>MB</p> <p>PS</p> <p>PS</p> <p>PS</p> <p>MB</p> <p>RG/PS</p> <p>PS</p> <p>PS</p>	<p>TBC</p> <p>June</p> <p>June</p> <p>June</p> <p>June</p> <p>June</p> <p>June</p> <p>June</p>		Open

	annual IT disaster recovery test <u>CE 18</u> : Change risk wording to “The future of BIS and the future shape of NMO Project may affect the future of NMO”. Change Control Strategy to “NMO had signed up for the BIS corporate services best practice group and were feeding into future of BIS Project work streams and working closely with NMO sponsors to ensure they fully understand what the Agency does” <u>SER 16</u> : Insert “Impact” of 3 and “Probability” of 4	PS  PS	June  June		
14.3.14	Publish QP on the Agency Quality System	SMG	May	All the Management Board confirmed that they had now endorsed by correspondence QP2420 for Procurement and Payment	Open
14.3.14	Formulate IDP User Group to see how the Agency could establish a more fitting IDP Form, and report back on progress at June BTM having taken into account the views of the SFG	DB	June	It was agreed that DB should press on and progress this (taking into account the views of the SFG), irrespective of the Civil Service review	Open
12.5.14	<u>Draft Quality Objectives and Draft Quality Policy</u> : Amend bullet point 6 to read “an effective enforcement authority is provided to the satisfaction of our MoU clients (BIS, DEFRA, DECC and DfT)	PRD	June		Open