

**MANAGEMENT BOARD (MB) OPERATIONAL MEETING MINUTES – 12.5.15****DATE:** Tuesday 12<sup>th</sup> May 2015 **TIME:** 11.00am**ATTENDEES:** Richard Sanders, Acting Chief Executive (RS)  
Sarah Glasspool, Director, Finance (SMG)  
Paul Dixon, Director, Certification Services (PRD)  
Lynnette Falk, Director, Regulation Policy (LF)  
Tania Raynor, NMO Secretariat (TR)**ROOM:** G18**ON CALL FOR ITEM 4:** Alastair Hooley (AH), Commercial Manager**OBSERVER:** Simon Trevena (ST), Support Manager, Enforcement*Please note actions appear in **BLUE***

1. **Apologies for Absence/Substitutions:** Richard Frewin (RF), Director Enforcement.
2. **Minutes of the Last Meeting (09.04.15)** - The minutes of the last meeting were approved with no amendments.
3. **Matters/Actions Arising From Last Minutes** - All actions had been discharged. The following action was carried forward to June:  
***Circulate list of new enforcement staff (their responsibilities and contact details) [RF, April].***
4. **Agency Risk Register (including risks elevated from BTM)**  
The Agency Risk Register was fully reviewed and all revisions were noted by AH who joined the meeting for this item. ***Update and incorporate any changes to the register accordingly (AH, May):***  
There were three reputational risks raised by LF for elevation. The MB assessed and agreed the criteria for these REG/POL risks as follows:

<b>DESCRIPTON</b>	<b>IMPACT</b>	<b>PROBABILITY</b>	<b>RISK ASSESSMENT</b>	<b>ALIGNED WITH DESIRED RISK</b>	<b>CONTROL STRATEGY</b>
Interpretation of WM1001 guidance on petrol pumps.	4	3	<b>HIGH</b>	<b>NO</b>	<ul style="list-style-type: none"> <li>• Discuss with stakeholders to gage level of risk.</li> <li>• Regular review of options.</li> </ul> <b><i>(Desired Risk 4, 2)</i></b>
NMRO being able to operate as Notified Body & Designated Authority.	5	3	<b>HIGH</b>	<b>NO</b>	<ul style="list-style-type: none"> <li>• Robust separation of duties between Notified Body and Designated Authority functions.</li> <li>• Consider moving designated function to BIS to allow Notified Body activity to continue.</li> </ul> <b><i>(Desired Risk 5, 2)</i></b>
Approved verification requirements in the Guidance.	4	3	<b>HIGH</b>	<b>NO</b>	<ul style="list-style-type: none"> <li>• Review the Guidance.</li> <li>• Monitor the market.</li> <li>• Consult with BIS Legal for advice.</li> <li>• Consult with other member states and ACBs.</li> </ul> <b><i>(Desired Risk 4, 2)</i></b>

- ***CorpServ 5: Liaise with SMG to update 'Description' wording.***
- ***CE19: Update fifth sentence in the 'Control Strategy' to "Where appropriate, use interns, apprentices, secondments, temps and fixed term contracts" (AH, May).***
- ***CorpServ 10:***
  - ***Amend 'Description' to "NMRO does not continue effectively as a result of a business interruption [excluding IT].***
  - ***Increase 'Probability' to 2.***
- ***CorpServ 3:***
  - ***Update 'Description' to "ICT fails to support business due to loss or failure including cyber attacks".***
  - ***Increase 'Probability' from 2 to 3.***
  - ***'Control Strategy' –Delete sixth sentence and replace with "Review adequacy/capacity and propose urgent alternative solution e.g. increased broadband width.***
- ***CE 20:***

- *Change 'Description' to "Litigation, financial & personal injury risks arising from major staff accident in NMRO"*
- *Increase 'Probability' from 1 to 2*
- *'Control Strategy' – add "Attend H&S Management Meeting with FM contractor to ensure H&S obligations are met. H&S Manager to be more proactive in promoting H&S across the Agency".*
- *CorpServ 4: Update 'Description' to "Loss of sensitive equipment or information under our control causes personal impact and/or reputation damage".*
- *CE 21:*
  - *Update 'Description' to "Agency risk to long term sustainability as a result of Government funding cuts due to next Spending Review".*
  - *'Control Strategy': Amend second sentence to "Directors/BTMs to draw up scenario plans for potential Government funding reductions while preparing the business case for retaining existing funding – deadline for Directors/BTMs end June".*
- *Update/edit RM8 Assessment of Risks issue date.*

5. **Finance Report** - There was no finance report that month due to financial year end.

6. **AOB**

- LF reported that there would be an accommodation meeting with IMcD and RS the following Thursday.
- ST asked about forward planning. RS explained that the new administration was all about the business agenda. It would be important for NMRO to maintain a good working relationship with the press and to ensure ministers' priorities are implemented.

7. **Date of next meeting:** *Tuesday 9<sup>th</sup> June 2015.*

**Action List**

Date of Meeting	Action	Action Officer	Date	Progress	Open or Closed
9.4.15	Page 2, Item 7 AOB: Delete final action and replace with "RF/PRD were authorised to amend the access list held by Peter Sayce".	TR	April		Closed
9.4.15	<p><u>Update Risk Register in accordance with comments emerging from MB APRIL review:</u></p> <ul style="list-style-type: none"> <li>• CorpServ 5 – Control Strategy: <ul style="list-style-type: none"> <li>○ Delete "Apprentice has joined finance team" and replace with "Apprentice now helping out with financial processes".</li> <li>○ Add the following sentence "Managers have a chance to challenge the Board at BTM meetings".</li> </ul> </li> <li>• CorpServ 3 – Control Strategy: <ul style="list-style-type: none"> <li>○ Delete "to integrate VCA into NMO's IT infrastructure" and replace with "Ensure ongoing continuity of NMRO's IT external infrastructure".</li> <li>○ Delete "NMO's IT system capacity originally set up to handle approximately 55 staff. Would it be adequate to handle increase in staff numbers to 100+ staff....." and replace with "Continuation of the adequacy to handle increase in staff numbers to 100+ staff...."</li> </ul> </li> <li>• CE 20 – Change 'NMO' to 'NMRO' and add the following sentence to the Control Strategy: "Monthly QH&amp;S Report to the BTM meeting as a standing agenda item".</li> <li>• C&amp;D 1 - Remove this risk accordingly.</li> <li>• C&amp;D 3 – Remove this risk accordingly.</li> <li>• EST 6 - Remove this risk accordingly.</li> <li>• EST 7 - Remove this risk accordingly.</li> <li>• CE 21 – Control Strategy: <ul style="list-style-type: none"> <li>○ Delete "Future Shape of NMO confirmed" and replace with "Status of</li> </ul> </li> </ul>	SMG/PS	Ongoing	Standing action item	Closed

	<p>NMRO as Executive Agency confirmed”.</p> <ul style="list-style-type: none"> <li>○ Add “by end June” to second sentence.</li> <li>● C&amp;D 4 – Remove this risk accordingly.</li> </ul>				
12.5.15	<p><u>Update Risk Register in accordance with comments emerging from MB MAY review:</u></p> <ul style="list-style-type: none"> <li>● Insert three reputational risks LEG/POL risks raised by LF for elevation as per table above.</li> <li>● CorpServ 5: Liaise with SMG to update ‘Description’ wording.</li> <li>● CE19: Update fifth sentence in the ‘Control Strategy’ to “Where appropriate, use interns, apprentices, secondments, temps and fixed term contracts”.</li> <li>● CorpServ 10: <ul style="list-style-type: none"> <li>○ Amend ‘Description’ to “ NMRO does not continue effectively as a result of a business interruption [excluding IT].</li> <li>○ Increase ‘Probability’ to 2.</li> </ul> </li> <li>● CorpServ 3: <ul style="list-style-type: none"> <li>○ Update ‘Description’ to “ICT fails to support business due to loss or failure including cyber attacks”.</li> <li>○ Increase ‘Probability’ from 2 to 3.</li> <li>○ ‘Control Strategy’ –Delete sixth sentence and replace with “Review adequacy/capacity and propose urgent alternative solution e.g. increased broadband width.</li> </ul> </li> <li>● CE 20: <ul style="list-style-type: none"> <li>○ Change ‘Description’ to “Litigation, financial &amp; personal injury risks arising from major staff accident in NMRO”</li> <li>○ Increase ‘Probability’ from 1 to 2</li> <li>○ ‘Control Strategy’ – add “Attend H&amp;S Management Meeting with FM contractor to ensure H&amp;S obligations are met. H&amp;S Manager to be more proactive in promoting H&amp;S across the Agency”.</li> </ul> </li> <li>● CorpServ 4: Update ‘Description’ to “Loss of sensitive equipment or information under our control causes personal impact and/or reputation damage”.</li> <li>● CE 21: <ul style="list-style-type: none"> <li>○ Update ‘Description’ to “Agency risk to long term sustainability as a result of Government funding cuts due to next Spending Review”.</li> <li>○ ‘Control Strategy’: Amend second sentence to “Directors/BTMs to draw up scenario plans for potential Government funding reductions while preparing the business case for retaining existing funding – deadline for Directors/BTMs end June”.</li> </ul> </li> <li>● Update/edit RM8 Assessment of Risks issue date.</li> </ul>	AH	June		Open
9.4.15	Refresh Management meetings TORs to reflect Agency name change and changes to quorum, and re-circulate for comment.	RS	April		Closed
9.4.15	Lengthen meeting time on all future MBPOL agendas.	TR	April		Closed
9.4.15	Circulate list of new enforcement staff (their responsibilities and contact details) by end of week.	RF	June		Open

9.4.15	Further discuss accommodation issues with IMcD	LF	April	Meeting arranged for Thursday 14 <sup>th</sup> April 2015.	Closed
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