

**CONFIRMED MINUTES OF THE 124<sup>TH</sup> BOARD MEETING  
TUESDAY 4 DECEMBER 2018 AT HOLLY WALK, LEAMINGTON SPA**

<b>Present:</b>	Justin McCracken (JM) (Acting Chair) Anna East (AE) Jon Carlton (JC) Gerry McCormack (GM) Christopher Welford (Chief Executive)
<b>In attendance:</b>	Alison Bennett (Deputy Chief Executive Officer) Jess O'Brien (Communications Manager)
<b>Apologies:</b>	Dr Ann Limb CBE DL (AL) (Chair) Tim Smith (TS) (HMRC)
<b>Board secretary:</b>	Helen Maccallum (HM)

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## **1 Introduction**

1.1 The Acting Chair welcomed everyone to the 124<sup>th</sup> Board meeting.

## **2 Apologies**

2.1 Apologies were received from the Chair, Dr Ann Limb and Tim Smith from HMRC.

## **3 Declaration of Interests**

3.1 The Acting Chair reminded Board Members that if a topic was discussed during the meeting in which they had an interest, that this should be declared.

## **4 Minutes of last meeting**

4.1 The minutes of the 123<sup>rd</sup> meeting held on 26 September 2018 were approved as being an accurate record.

## **5 Action points**

5.1 The Board noted the work that had been completed to deliver the previous action points.

5.2 Administration Costs and Unspent Funds Framework – The Board noted that the Framework had been published on the ENTRUST website.

## **6 HMRC Update**

**Addendum item for the Board.**

## **7 Audit Committee**

7.1 GM provided an overview of the items discussed by the Committee earlier in the day, including:

- Business Continuity Plan amended with a minor change, which the Committee approved;

- Management Assurance Framework which provided an overall **SATISFACTORY** assurance level;
- An update on the 2018/2019 Quality Assurance (QA) programme;
- Findings of the latest QA reviews:
  - A follow up review of Compliance, which gave a **SUBSTANTIAL** assurance level;
  - A full review of the General Data Protection Regulations implementation had been completed and gave a **SUBSTANTIAL** assurance level;
- It was noted that the Penetration Test will be carried out after the new servers have been installed;
- The review of ENTRUST/HMRC's Evidence Standards which had been submitted to HMRC for their approval; and
- Hospitality and Senior Staff Travel registers were noted.

## **8 Human Resources and Remuneration Committee**

- 8.1 As all of the Non-Executive Directors (NEDs) had attended the Human Resources and Remuneration Committee there was no need for a verbal update.

## **9 Board Members updates on meetings with Environmental Bodies and Landfill Operators**

### **Addendum item for the Board**

## **10 Enrolment and Revocations**

- 10.1 The Deputy Chief Executive (DCEO) introduced this paper which reported that one Environmental Body (EB) had enrolled during the period 1 September to 31 October 2018.
- 10.2 The Board formally noted the enrolment and ratified the list of voluntary revocations for the period 1 September to 31 October 2018.

## **11 2018/2018 Form 4 Strategy**

- 11.1 The DCEO introduced the 2018/2019 Form 4 Strategy, which reflects the key points of the 2017/2018 strategy. The DCEO drew the Board's attention to the number of missing Statutory Annual Returns (Form 4s) for 2017/2018 which had reduced from 58 to 19.
- 11.2 The Board also noted that the mid-year contact to EBs had been issued to validate individuals details. The DCEO also advised that we have a small number of EBs without main contacts, or where the new contact has not been nominated and the Registrations Team is in the process of contacting the EBs for these details. The Board approved the Strategy.

## **12 Interim review of the 2018/2019 Compliance Programme**

- 12.1 The DCEO updated the Board on the six month review of the Compliance Programme, which the Board had agreed in April 2018. The Board thanked her for the update and noted that the programme was on track to be delivered.
- 12.2 However, they also raised the issue of the increase in desktop reviews being carried out, but the DCEO reassured them that while there was an increase it was entirely as set out in the

plan and as a direct result this was leading to an increase in targeted inspections and the identification of non-compliant issues.

### **13 ENTRUST Regulator Standards**

13.1 The DCEO introduced this paper which gave the Board an assessment of the organisation's performance against the ENTRUST Regulator Standards (ERS) during the past six months.

13.2 She also explained that in accordance with our Key Performance Indicator (KPI) reports had been issued within the required timescale. Furthermore the Value for Money (VfM) report has been published on the ENTRUST website.

### **14 Corporate Support**

**Addendum item for the Board.**

### **15 Compliance**

15.1 The DCEO informed the Board that the Compliance 2018/2019 programme is running smoothly, and that the number for reviews is slightly ahead of the cumulative year to date target. Reviews have been planned through December 2018 and two have had to be rescheduled due to the absence of one Compliance Inspector. For the Board's information a review is classed as being carried out when the draft report has been sent.

**Addendum items for Board**

### **16 Enforcement**

16.1 The DCEO provided the Board with an update on enforcement issues and the increase in serious enforcement cases, which ENTRUST were now managing.

16.2 She went on to advise that there were 19 EBs on the Frozen list, due to their failure to submit annual returns for 2017/2018.

**Addendum item for the Board.**

### **17 Regulations and Registrations**

17.1 The DCEO drew the Board's attention to the following issues:

- The ENTRUST Administration Costs and Unspent Funds framework was published in November 2018;
- The Contributing Third Party (CTP) report was sent to HMRC; and
- The consultation exercise on the provision of information on the operation of the Fund had closed.

### **18 Communication**

18.1 The Communications Manager (CM) introduced this paper which detailed the communications activity during the period 1 September to 19 November 2018, which included

- New page on ENTRUST website for administration costs and unspent funds which has been communicated to the EBs;
- Quarterly briefing to the top ten EB Chairs; and

- Supplier privacy policy and procurement policy;

**19 Any other Business**

19.1 No items were raised.

**20 Date of next meeting**

20.1 The next meeting will be held on 27 March 2019, at 60 Holly Walk, Leamington Spa.

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CHAIR'S SIGNATURE

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DATE: