



## RQIA Board Meeting

Date of Meeting	21 January 2015
Title of Paper	Public Session Minutes
Agenda Item	2
Reference	Min / Nov14 / public
Author	Katie Symington
Presented by	Dr Alan Lennon
Purpose	To share with Board members a record of the previous meeting of the RQIA Board.
Executive Summary	The minutes contain an overview of the key discussion points and decisions from the Board meeting on 13 November 2014.
FOI Exemptions Applied	None
Equality Impact Assessment	Not applicable
Recommendation/ Resolution	The Board is asked to <b>APPROVE</b> the minutes of the Board meeting of 13 November 2014.
Next steps	The minutes will be formally signed off by the Chairman and will be uploaded onto the RQIA website.

## **PUBLIC SESSION MINUTES**

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**RQIA Board Meeting**  
**Board Room, 9th Floor, Riverside Tower, Belfast**  
**13 November 2014, 2.00pm**

### **Present**

Dr Alan Lennon OBE (Chair)  
Stella Cunningham  
Sarah Havlin  
Dr John Jenkins CBE  
Gerry McCurdy  
Daniel McLarnon  
Seamus Magee  
Robin Mullan  
Norman Morrow  
Patricia O'Callaghan  
Lindsey Smith

### **Officers of RQIA in attendance**

Glenn Houston (Chief Executive)  
David Stewart (Director of Reviews and Medical Director)  
Maurice Atkinson (Director of Corporate Services)  
Kathy Fodey (Director of Regulation and Nursing)  
Theresa Nixon (Director of Mental Health, Learning Disability and Social Work)  
Malachy Finnegan (Communications Manager)  
Jonathan King (Head of Finance)  
Liz Colgan (Senior Inspector)  
Katie Symington (Board and Executive Support Manager)

### **Apologies**

Professor Mary McColgan OBE  
Denis Power

### **1.0 Agenda Item 1 - Welcome and Apologies**

1.1 The Chairman welcomed all Board members to the meeting. Apologies were noted from Professor Mary McColgan and Denis Power. The Chairman also welcomed two members of the public to this meeting, Mr Magennis and Mr McKee.

### **2.0 Agenda Item 2 - Minutes of the meeting of the Board held on 11 September 2014 (min/Sept14/public)**

2.1 The Board **APPROVED** the public session minutes of the Board meeting held on Thursday 11 September 2014.

### **3.0 Agenda Item 3 - Matters arising from minutes**

3.1 Board members noted that actions 64, 65 and 67 are now completed. Actions 34 and 66 will be carried over to the Board meeting on 21 January 2015. The Chief Executive noted that in relation to action 66, a project is currently being piloted by the United Kingdom Accreditation Service (UKAS) which provides independent assurance to organisations on their operating systems and processes, using ISO standard 17020.

#### **4.0 Agenda Item 4 - Declaration of Interests**

4.1 The Chairman asked Board members if, following consideration of the agenda items, any interests were required to be declared in line with Standing Orders. No declarations of interests were made.

4.2 The Chairman noted the next quarterly update of the Register of Interests, which is due in December 2014.

#### **5.0 Agenda Item 5 - Chairman's Report (A/06/14)**

5.1 The Chairman invited comments on his report from Board members. The Chairman informed Board members that there will be no Board meeting on 11 December 2014, instead members are asked to attend an IT training session.

5.2 The Chairman informed Board members that the January Board meeting will be held in Altnagelvin Area Hospital; the Chief Executive and Chairman of the Western Trust will be in attendance for part of the meeting. The Chairman also informed Board members that the mid-year Accountability meeting has been rescheduled to January 2015.

5.3 The Chairman informed Board members that RQIA has not yet been advised of a publication date for the Hyponatraemia Inquiry.

5.4 The Chairman informed Board members he has nominated two members of the Board, Mr Gerry McCurdy and Mrs Sarah Havlin, to participate in the review of Enforcement Policy and Procedures.

5.5 The Board **NOTED** the Chairman's Report.

#### **6.0 Agenda Item 6 - Chief Executive's Report (B/06/14)**

6.1 The Chief Executive presented his report to Board members and noted the change of format from previous versions of this report, as the Regulation Report is now provided separately and will be dealt with under agenda item 7.

6.2 The Director of Mental Health, Learning Disability and Social Work informed Board members that she has received a letter from the Western Trust in relation to identified areas for improvement at Brooke Lodge and a full update will be provided to Board members at the January Board meeting.

6.3 Clarification was provided to Board members that in relation to whistleblowing disclosures in respect of a health and social care trust, RQIA is able to escalate matters directly to the Chief Executive of a trust. Alternatively correspondence can take place from a director within RQIA to a director within the trust and the issues managed using an agreed process.

- 6.4 A Board member noted the excellent joint inspection report by the RQIA Review Team and the Criminal Justice Inspectorate (CJI) and asked that congratulations are passed on to staff members.
- 6.5 A Board member noted the seven whistleblowing disclosures made to RQIA since the last Board meeting. Confirmation was provided that RQIA may monitor responses to whistleblowing disclosures through the Serious Concerns and Complaints Group (SCCG).
- 6.6 The Board **NOTED** the Chief Executive's report.
- 7.0 **Agenda Item 7 – Director of Regulation's Report (C/06/14)**
- 7.1 The Director of Regulation and Nursing presented the Regulation Report to Board members. This report is presented in three separate sections, Registration, Inspection and Enforcement.
- 7.2 Board members discussed the requirement under the Regulation and Inspection (Fees and Frequencies of Inspection) Regulations (Northern Ireland) 2005 to carry out a minimum of either one or two inspections of all registered services, and noted the need to inspect services on a risk based approach. This issue will be pursued further with DHSSPS.
- 7.3 **Resolved Action (68)**  
**A three year rolling average will be added to Table 7: Inspection activity scheduled against completed**
- 7.4 Board members discussed the need for RQIA to be able to use multiple sources of intelligence to enable a risk based approach to inspection.
- 7.5 Board members raised the issue of the time delay of recent appeals to the Care Tribunal. The Director of Regulation and Nursing confirmed that the Department of Legal Services has been asked to write to the Care Tribunal to request dates for hearings for two appeals which remain outstanding.
- 7.6 A Board member raised the issue of the separation of private and NHS dentistry in terms of regulation issues. The Chief Executive confirmed that RQIA has an agreement with the Health and Social Care Board to notify them of any issues of patient safety in respect of treatment provided under contract on behalf of NHS patients. This is covered under RQIA's Escalation Policy.
- 7.7 **Resolved Action (69)**  
**Director of Regulation and Nursing to consider the addition of information within this report to detail the number of Failure to Comply Notices/ number of repeat inspections per service provider**

**8.0 Agenda Item 8 – Finance Report (D/06/14)**

- 8.1 The Director of Corporate Services tabled a letter from Peter Toogood, DHSSPS, in relation to Current Expenditure Allocations for 2014/15. This letter confirms the 2.5% reduction to RQIA's RRL.
- 8.2 The Director of Corporate Services confirmed that RQIA is currently predicting breakeven for 2014/15 with a £12,000 overspend, however breakeven will depend on receiving the funding for the two additional commissioned reviews. The Chief Executive has written to DHSSPS Sponsor Branch for confirmation of this funding. RQIA has also been informed by DHSSPS that they must pay the £14,500 invoice from BSO for BSTP.
- 8.3 The Director of Corporate Services informed Board members that RQIA has been asked to undertake scenario planning for the 2015/16 financial year for a 5%, 10% or 15% reduction to RRL allocation. The Head of Finance will undertake this exercise for return to DHSSPS.
- 8.4 The Head of Finance informed Board members that it will not be possible to achieve either a 10% or 15% reduction in costs in 2015/16, without recourse to arrangements to facilitate voluntary redundancy or voluntary early retirement. RQIA has already made significant savings in terms of goods and services contracts and therefore a 10% or 15% reduction would impact directly on staff numbers.
- 8.5 Board members were advised that even a 5% reduction would be challenging and could not be achieved without a reduction in the funded establishment.
- 8.6 **Resolved Action (70)**  
**The Chairman and Chair of the Audit Committee will review the scenario planning document, on behalf of the Board, before submission to DHSSPS**
- 8.7 The Head of Finance informed Board members that it has been possible to make the 2.5% reduction within 2014/15 financial year due to slippage; however this will not be the case in 2015/16. The Chief Executive noted that the Vacancy Control Forum has been re-established and that further vacancies will not be filled for the remainder of this financial year.
- 8.8 Board members noted that it is necessary for RQIA to emphasise the impact of the reduction in RRL to DHSSPS. It may also be necessary for RQIA to review how to undertake its core business with a reduced headcount.
- 8.9 Board members **NOTED** the Finance Report.

- 9.0 Agenda Item 9 – Update on Draft Corporate Strategy**
- 9.1 The Chairman informed Board members that the Steering Group will review and finalise the draft Corporate Strategy taking account of all comments from the public consultation and from Board Members. The findings of the RSM McClure Watters Landscape Review also need to be taken into consideration for the 2015/18 Corporate Strategy. This report is currently with the Minister and RQIA would expect to receive the final report once it has been approved for circulation.
- 9.2 The 2015/18 Corporate Strategy will be brought to the January Board meeting for approval.
- 9.3 Board members **NOTED** the update on the Draft Corporate Strategy.
- 10.0 Agenda Item 10 – Corporate Performance Report (Quarter 2) (E/06/14)**
- 10.1 The Director of Corporate Services presented the Corporate Performance Report for the Quarter ended September 2014 to Board members with two corrections. The table on Page 12 should read ‘number’ of services inspected and not percentage of services inspected. The exception report on page 10 detailing the number of completed appraisals should read 74% for quarter one and 96% for quarter two. The Director of Corporate Services noted that 93% of the actions within the report are either green or blue.
- 10.2 Clarification was provided to members by the Director of Regulation and Nursing that although inspection reports should be written within 28 days, any issues identified during an inspection will be raised with the provider at the end of an inspection, before the inspection report is prepared. Enforcement can also proceed before the inspection report has been written. The current format of inspection reports will be reviewed within the Regulation Directorate Improvement Project.
- 10.3 Clarification was provided to Board members that the contract issue in relation to lay assessors should be resolved with BSO by 30 November 2014.
- 10.4 **Resolved Action (71)**  
**Director of Mental Health, Learning Disability and Social Work to ensure that the contract issue for lay assessors is addressed**
- 10.6 **Resolved Action (72)**  
**An update on the HR&OD Strategy will be provided within the headlines section of the Corporate Performance Report, ‘action by’ dates will also be included in the Exception Report.**
- 10.7 Board members **APPROVED** the Corporate Performance Report.

- 11.0 Agenda Item 11 – Corporate Risk Assurance Framework Report (F/06/14)**
- 11.1 The Corporate Risk Assurance Framework Report was presented to Board members. The Chairman noted comments received by a Board member in relation to this report which can be addressed separately with the Director of Corporate Services.
- 11.2 At this point Mr Magennis, member of the public, left the Board meeting.
- 11.3 **Resolved Action (73)**  
**The Chief Executive and Director of Mental Health, Learning Disability and Social Work will review the MHL Business Cases as detailed within the Corporate Risk Assurance Framework Report**
- 11.4 Board members noted that an update on the Part IV Medical Practitioner Panel will be presented at the January Board meeting.
- 11.5 Board members **APPROVED** the Corporate Risk Assurance Framework Report.
- 12.0 Agenda Item 12 – Overview of Hygiene Visits 2013/14 (G/06/14)**
- 12.1 Liz Colgan, Senior Inspector, joined the meeting to discuss the Overview of Hygiene Inspections 2013/14. The Director of Reviews and Medical Director informed Board members that the hygiene inspections in 2013/14 focused on augmented care settings. In 2015/16 the hygiene inspections will be linked with the new hospital inspection programme.
- 12.2 Board members were informed of the improvements as identified by the hygiene team, following the initiation of the hygiene inspections. Board members requested that infection rate data is included within future reports.
- 12.3 Board members noted the need for ownership of the issues identified at Trust level.
- 12.4 Board members were informed that RQIA is undertaking spot checks of hospitals that displayed either high or low compliance during their last hygiene inspection. Clarification was provided to Board members that areas of particularly low compliance are flagged to RQIA's Chief Executive for formal escalation to the Trust Chief Executive. Trusts are also made aware that the identified issues will be escalated during the feedback session by the Hygiene Team. If an escalation is made, a follow up inspection will be undertaken by the Hygiene Team within three months. Confirmation was provided that no escalation letters, in relation to Hygiene inspections, were sent by RQIA to Trusts within the 2013/14 year.
- 12.5 Board members **NOTED** the Overview of Hygiene Inspections 2013/14. It was agreed that this report will be published on the RQIA website.

- 12.6 **Resolved Action (74)**  
**The Overview of Hygiene Inspections 2013/14 will be published on the RQIA website**
- 13.0 **Agenda Item 13 - Governa – Audit Committee Business (H/06/14)**
- 13.1 In the absence of the Audit Committee Chair, a member of the Audit Committee presented the Committee minutes from 26 June 2014 to Board members. Board members noted that RQIA's accounts received an unqualified audit opinion.
- 13.2 Board members were also presented with the minutes of the Bi-lateral meeting, 1 October 2014.
- 13.3 A verbal update of the meeting of 16 October was provided to Board members, by the Chief Executive. Board members were informed that RQIA's annual report is now available online. The mid-year assurance statement was presented to the Audit Committee at this meeting, alongside amendments to be made to Standing Orders, which will be brought to a future Board meeting.
- 13.4 **Resolved Action (75)**  
**Ongoing actions on the Audit Committee action list should be amended to detail a date for completion**
- 13.5 Confirmation was provided to Board members that RQIA is not currently being charged for the delays in prompt payment by BSO. The Director of Corporate Services noted the current improving position of prompt payment.
- 13.6 Board members **NOTED** the approved minutes of the meeting on 26 June, the Bi-lateral minutes of 1 October and the verbal update of the meeting of 16 October.
- 14.0 **Agenda Item 14 – Quality Improvement Steering Group**
- 14.1 The Chair of the Quality Improvement Steering Group provided a verbal update to Board members on the first meeting of this group. The Chair confirmed that the work of this group will fit with the new Corporate Strategy, with mapping of key strategic projects. All new projects will be presented to the Steering Group with a Programme Initiation Document. Steering Group members are currently reviewing the programme governance structure and the draft principles of the group.
- 14.2 The Chair noted the importance of communication surrounding the work of this group, which will be undertaken with the launch of the new strategy.

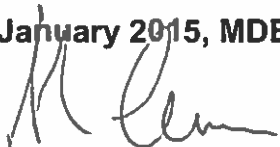


- 14.3 Board members noted that the Steering Group had agreed the Regulation Directorate Improvement Plan, Review of Enforcement Policy, at the meeting on 10 November 2014.
- 14.4 The Chair of the Steering Group noted that work is ongoing on criteria setting and capacity mapping. The associated risks of undertaking or not undertaking pieces of work will be reviewed.
- 14.5 Board members **NOTED** the verbal update on the Quality Improvement Steering Group.
- 15.0 Any Other Business**
- 15.1 Clarification was provided that the January Board meeting will commence in the afternoon, while it is anticipated that the remaining Board meetings will commence at 10:00.
- 15.2 As there was no further business the Chairman brought the public session of the Board to a close at 4.50pm.

**Date of next meeting:**

**Wednesday 21 January 2015, MDEC, Altnagelvin Area Hospital.**

Signed

  
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**Dr Alan Lennon**  
**Chairman**

Date

21st JAN 2015

## **Board Action List**

<b>Action number</b>	<b>Board meeting</b>	<b>Agreed action</b>	<b>Responsible Person</b>	<b>Status</b>
34	14 November 2013	A paper on the implementation of RQIA recommendations following Review Reports will be provided to Board members	Chief Executive	21 January 2015
66	11 September 2014	ISO 17020 to be obtained and analysed for use within RQIA	Director of Regulation and Nursing	21 January 2015
68	13 November 2014	A three year rolling average will be added to Table 7: Inspection activity scheduled against completed	Director of Regulation and Nursing	21 January 2015
69	13 November 2014	Director of Regulation and Nursing to consider the addition of information within this report to detail the number of Failure to Comply Notices/ number of repeat inspections per service provider	Director of Regulation and Nursing	21 January 2015
70	13 November 2014	The Chairman and Chair of the Audit Committee will review the scenario planning document, on behalf of the Board, before submission to DHSSPS	Chairman	21 January 2015
71	13 November 2014	Director of Mental Health, Learning Disability and Social Work to ensure that the contract issue for lay assessors is addressed	Director of Mental Health, Learning Disability and Social Work	21 January 2015
72	13 November 2014	An update on the HR&OD Strategy will be provided within the headlines section of the Corporate Performance Report, action by dates will also be included within the Exception Report	Director of Corporate Services	18 February 2015
73	13 November 2014	The Chief Executive and Director of Mental Health, Learning Disability and Social Work will review the MHLD Business Cases as detailed within the Corporate Risk Assurance Framework Report	Chief Executive/ Director of Mental Health, Learning Disability and Social Work	18 February 2015

74	13 November 2014	The Overview of Hygiene Inspections 2013/14 will be published on the RQIA website	Director of Reviews and Medical Director	21 January 2015
75	13 November 2014	Ongoing actions on the Audit Committee action list should be amended to detail a date for completion	Chair of Audit Committee	26 February 2015

