



PUBLIC SESSION MINUTES

RQIA Board Meeting

Medical Education Centre, Erne Hospital, Enniskillen

10 November 2011, 2:15pm

Present

Ian Carson (Chairman)
Richard Adams
Geraldine Donaghy
Lilian Jennett
Allen McCartney
Patricia McCoy
Colin Reid
Austin Smith

Officers of the Board present

Glenn Houston (Chief Executive)
Maurice Atkinson (Director of Corporate Services)
Robert Graham (Committee Services Manager)
Theresa Nixon (Director of Mental Health and
Learning Disability and Social Work)
Phelim Quinn (Director of Regulation and Nursing)
David Stewart (Director of Reviews and Medical
Director)

Apologies

Ruth Laird
Una O'Kane

Apologies

11.115 Item 1 - Welcome and Chairman's Remarks

11.115.1 The Chairman welcomed Board members and Officers of the Board to the meeting. Apologies were noted from Ruth Laird and Una O'Kane.

11.116 Item 2 - Minutes of the meeting of the Board held on Thursday 1 September [Paper min/Sep11/public]

11.116.1 The Board **APPROVED** the minutes of the Board meeting held on 1 September.

Resolved Actions

- Minutes to be formally signed off by the Chairman

11.117 Item 3 - Matters arising from minutes

11.117.1 There were no matters arising from the previous minutes.

11.118 Item 4 - Declaration of Interests

11.118.1 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.

11.118.2 The Chairman asked Board members to ensure that if they were required to update their entry in the RQIA Register of Interests that

they should advise the Committee Services Manager accordingly.

11.119 Item 5 - Chairman's report - Chairman [Paper A/06/11]

11.119.1 The Chairman presented his report to the Board and noted that he had attended 7 meetings on behalf of RQIA since the previous Board meeting.

11.119.2 The Chairman advised the Board that he had attended a NICON development seminar on 4 October which had been very beneficial. He added that NICON was holding its annual conference on 23 February 2012 and that non-executives were invited to attend.

11.119.3 The Chairman informed the Board that over 100 applications had been received for the three vacancies on the Board. Following the interview process, recommendations had been forwarded to the Minister for approval. He said he was confident that, in addition to a lay member, members would be appointed to the Board with expertise in financial and legal matters. He anticipated that an announcement would be in made in December 2011.

11.119.4 The Chairman thanked Colin Reid for participating in the meeting which RQIA held with the HSC Review Team. He said that this meeting had allowed RQIA to comment further on their final submission as a regulator in the context of future change within health and social care.

11.119.5 The Chairman told the Board that RQIA had hosted a very successful European Partnership of Supervisory Organisations (EPSO) event in November 2011 and that there had a good turnout from different countries. He said that both the Minister and the Lord Mayor of Belfast had hosted parts of the event at the Long Gallery and the City Hall. The Chief Executive thanked the work of the Directors who had been involved in organising the event and said that the feedback had been extremely positive.

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

11.120 Item 6 - Chief Executive's Report - Chief Executive [Paper B/06/11]

11.120.1 The Chief Executive presented his Report to the Board and said that the format of the Report was in line with the new organisational structures. He began by giving an overview of the key meetings he had attended.

11.120.2 The Chief Executive told the Board that both he, and the Director of Operations, had appeared on Radio Ulster following the recent media coverage of the Northern Ireland Social Care Council's conduct committee hearings.

- 11.120.3 The Chief Executive informed the Board that he had attended an event at the Law Centre where Baroness Williams was speaking in her role as a member of the Dilnot Commission.
- 11.120.4 The Chief Executive advised the Board that he had, along with other relevant RQIA staff, attended two evidence sessions at the Northern Ireland Assembly, one with the Health Committee regarding the recent Hydebank Wood and Ash House inspection reports; and another with the Committee of the Office of the Minister and Deputy First Minister regarding the role of the Northern Ireland Ombudsman.
- 11.120.5 The Chief Executive gave an overview of the work of the regulation team and began by advising that all of the 26 registered facilities, previously run by the Southern Cross group, had now been re-registered with new providers. He said that during the last quarter, there had been three enforcement notices issued and he updated the Board on the progress of registering private dental practices.
- 11.120.6 A Board member noted that there were 82 applications outstanding from dental practitioners and asked at what stage RQIA would deem these practices as unregulated. The Director of Regulation said that RQIA had begun a process of contacting each practice which had yet to submit an application and he hoped that by 31 March 2012, significant progress would be made. A Board member asked if RQIA was duplicating some of the work of Denplan in this regard. The Director of Regulation said that RQIA had met with Denplan and was assured that there was no overlap in their respective roles but noted that practices registered with Denplan were deemed to be of lower risk.
- 11.120.7 The Chief Executive updated the Board on human resources issues and advised that a Vacancy Control Forum had now been established.
- 11.120.8 The Chief Executive updated the Board on the progress on the business cases for CIMS and the future provision for ICT which had been submitted to DHSSPS. He said that RQIA was currently reviewing the comments received by DHSSPS and DFP concerning these.
- 11.120.9 The Chief Executive gave an overview of the recent work of the mental health and learning disability team, and in particular the increased number of patient experience reviews which had been conducted.
- 11.120.10 A Board member asked if the role of Public Participation Manager had been replaced, with reference to the forthcoming user/carer conference in March 2012. The Director of Corporate Services explained that following the recent restructuring, a member of staff had been identified to take forward the role of public participation.

11.120.11 The Board **NOTED** the Chief Executive's Report.

**11.121 Item 7 - Finance Report – Director of Corporate Services
[Paper C/06/11]**

11.121.1 The Director of Corporate Services presented the Finance Report to the Board and advised that the current projections showed a forecast surplus of £245k. He explained that RQIA had been able to recoup fees owed by the Southern Cross Group on a pro rata basis and that registration fees had been paid by each of the new providers. He added that there were some variables which still have to be taken into account with regard to the forecast surplus, for example the projected income from dental registration fees, staffing costs and the completion of minor works within the office.

11.121.2 The Director of Corporate Services advised the Board that RQIA must make a decision before the end of December with regard to the possible surrender of monies and that some initiatives were currently being finalised before an amount can be finalised.

11.121.3 The Director of Corporate Services told the Board that with regard to capital expenditure there was also a projected surplus but he explained that if RQIA is able to complete some of the minor works to the office this surplus would be cleared. Additional capital would also be required.

11.121.4 The Director of Corporate Services said that following the internal restructuring, work had been completed on the delegation of pay and non-pay budgets.

11.121.5 A Board member pointed out that since the previous meeting the projected surplus had increased from £20k to £245k. The Chief Executive explained that at the time of the last Board meeting, RQIA had been reporting a break even forecast but in the expectation that one-off income, with regard to the fees RQIA would obtain from dental regulation would result in a surplus. The Board member urged RQIA to be cautious with regard to vacancy control. The Chief Executive noted the point and said that RQIA had looked at a range of scenarios and was closely monitoring the situation.

11.121.6 A Board member asked that in future finance reports would contain more detail regarding areas of spend. The Director of Corporate Services explained to the Board that the format of the report was being looked at and that a revised format would be presented in future.

11.121.7 The Board **NOTED** the Finance Report.

11.122 Item 8 - Corporate Performance Report – Director of Corporate Services [Paper D/06/11]

11.122.1 The Director of Corporate Services informed Board members that following the last meeting the format of the Corporate Performance Report had been amended and that a separate sheet detailing the exception reports on the actions rated as “red” or “amber” had been prepared. With regard to the current status, he advised that at the end of the second quarter, 93% of the actions within the Business Plan were rated as “blue” or “green”, 1% as “amber” and 6% as “red”.

11.122.2 The Director of Corporate Services advised the Board that as part of the further development of the format of the report Key Performance Indicators that are flagging up issues may be summarised in the introductory section.

11.122.3 The Board **NOTED** the Corporate Performance Report.

11.123 Item 9 - Corporate Risk Assurance Framework Report – Director of Corporate Services [Paper E/06/11]

11.123.1 The Director of Corporate Services advised the Board that the Audit Committee had considered this revised Corporate Risk Assurance Framework Report at its meeting on 2 November. He explained that the format had been changed to include a more detailed change log at the back of the report. He said that the first four risks had been updated and that a new risk had been added which concerned access to personal and confidential information.

11.123.2 The Chief Executive told the Board that RQIA had arranged a meeting with DHSSPS to highlight some of the issues raised by the new risk.

11.123.3 A Board member sought clarity on whether specific RQIA policies had been brought to the Board for approval. The Director of Corporate Services explained that the Board had approved a scheme of delegation for certain policies to be approved by the Executive Team Policy Group. The Chief Executive said that at a future Board workshop an updated list of all policies and procedures would be brought for discussion.

11.123.4 A Board member sought clarity on the ownership of the Risk Register and the role of the Board. The Chief Executive said that the Risk Register was managed by the Executive Management Team (EMT) but ultimately owned by the Board. The Board member said that the Board should be satisfied that the risks have been correctly assessed by the EMT and that the Board should be content to approve the report. The Director of Corporate Services **AGREED** to amend future reports to reflect this.

11.123.5 The Board **NOTED** the Corporate Risk Assurance Framework Report.

11.124 Item 10 – Audit Committee update – Committee Chairman [Paper F/06/11]

11.124.1 In the absence of the Committee Chair, Committee member Richard Adams updated the Board on the last meeting of the Committee which took place on 2 November 2011. He began by saying that the minutes of the meeting of 28 June 2011 were now approved for noting by the Board.

11.124.2 The Board was informed that the Audit Committee had welcomed Lilian Jennett to her first meeting as Committee member and thanked outgoing member Colin Reid for his contribution to the work of the Committee.

11.124.3 The Committee member said that an update had been received regarding progress against audit recommendations. He said that most of the actions were on schedule but that ICT disaster recovery had yet to be completed. The Director of Corporate Services indicated that ICT Disaster Recovery arrangements should be in place by the end of January 2012.

11.124.4 The Committee member told the Board that Internal Audit had conducted two audits, on finance and mental health detention forms, and that satisfactory assurance had been given and that there were a small number of priority two recommendations.

11.124.5 The Committee member advised the Board that a new audit team from the Northern Ireland Audit Office had attended the meeting and would be presenting their draft Audit Strategy at the next meeting in February 2012.

11.124.6 The Committee member said that the Audit Committee had noted the Mid-Year Assurance Statement which had been amended following the Board workshop and submitted to DHSSPS. He went on to say that the Committee had considered the updated Corporate Risk Assurance Framework Report and Risk Management Strategy, but that further work was required before the Strategy would be brought to the Board for approval.

11.124.7 The Committee member told the Board that the Committee remained concerned with issues around the service level agreement with the Business Services Organisation (BSO) and value for money. The Director of Corporate Services said that since the Committee meeting RQIA had received costs from BSO for the 2011/12 SLA and he added that BSO would be undertaking a series of benchmarking exercise in relation to legal services, finance and human resources.

11.124.8 The Board **NOTED** the Audit Committee update.

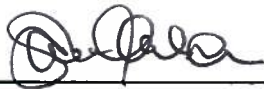
11.125 Item 11 - Any Other Business

11.125.1 There was no other business and the Chairman drew the public session to a close at 3:30pm.

Date of next meeting:

Thursday 9 February 2012, Board Room, Riverside Tower

Signed



Dr Ian Carson
Chairman

Date

9/2/12

