



PUBLIC SESSION MINUTES

RQIA Board Meeting

Board Room, Riverside Tower, Lanyon Place, Belfast

10 May 2012, 3:00pm

Present

Ian Carson (Chairman)
Richard Adams
Geraldine Donaghy
Sarah Havlin
Lilian Jennett
Ruth Laird
Allen McCartney
Patricia McCoy
Una O'Kane
Denis Power
Colin Reid
Austin Smith
Lindsey 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

None

Apologies

None

12.55 Item 1 - Welcome and Chairman's Remarks

12.55.1 The Chairman welcomed Board members and Officers of the Board to the meeting. There were no apologies.

12.56 Item 2 - Minutes of the meeting of the Board held on Thursday 8 March [Paper min/Mar12/public]

12.56.1 The Board **APPROVED** the minutes of the Board meeting held on 8 March.

Resolved Actions

- **Minutes to be formally signed off by the Chairman**

12.57 Item 3 - Matters arising from minutes

12.57.1 There were no matters arising from the minutes.

12.58 Item 4 - Declaration of Interests

12.58.1 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.

- 12.58.2 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.
- 12.59 Item 5 - Chairman's report - Chairman [Paper B/03/12]**
- 12.59.1 The Chairman presented his report to the Board and noted that he had attended 6 meetings on behalf of RQIA since the previous Board meeting.
- 12.59.2 The Chairman said that, along with the Chief Executive, he had met with Mike Ritchie and Walter Jeanty from the International Committee of the Red Cross. He said that they were interested in RQIA's work in prisons and its responsibilities under OPCAT.
- 12.59.3 The Chairman said that he felt that the Board workshop in April was a very successful event and that the Board could review the outputs of that workshop at the next workshop in June. He added that following the panel discussion on Transforming Your Care, the Chief Executive had written to the Permanent Secretary expressing the view that RQIA should be involved in the implementation programme. He said that a meeting with the Permanent Secretary would take place shortly.
- 12.59.4 The Board **NOTED** the Chairman's Report.
- 12.60 Item 6 - Chief Executive's Report - Chief Executive [Paper C/03/12]**
- 12.60.1 The Chief Executive presented his Report to the Board and began by giving an overview of key meetings. He said that at the end of March he had attended a meeting regarding the feedback of the recent joint inspection of Maghaberry Prison.
- 12.60.2 The Chief Executive said that he had spoken at an AgendaNI event and he also attended a workshop organised by ARC (Association for Real Change). He finished by saying that he had attended the most recent meeting of the UK Heads of Inspectorate forum.
- 12.60.3 The Director of Reviews gave an update on the review programme. He said that RQIA was currently finishing the work on the 2009/12 programme of reviews and would shortly be commencing the work on the 2012/15 programme.
- 12.60.4 The Director of Regulation advised the Board that RQIA had completed its statutory minimum programme of inspections for 2011/12 and that the 2012/13 inspection programme had commenced. He gave an overview of the recent enforcement activity, and noted an increase in the number of children's homes that were operating outside their statement of purpose and function.

- 12.60.5 The Director of Regulation told the Board that the number of dental practices which had not commenced the process of registration with RQIA had reduced to 20. He moved on to give an update on the work carried out in respect of the regulation of supported living and explained that there was on-going dialogue between RQIA, the Department of Social Development and the Northern Ireland Housing Executive. He added that this work was important in the context of the recent Transforming Your Care review.
- 12.60.6 The Director of Mental Health and Learning Disability informed the Board that following a recent inspection in Lagan Valley Hospital (Ward 12), concerns were escalated to the Trust Chief Executive in a range of areas including fire safety, vulnerable adults issues and hygiene and infection control. She said that an action plan had been received from the Trust and that a follow up inspection would take place in the near future. A Board member asked about the role of the Northern Ireland Fire and Rescue Service in such cases. The Chief Executive explained that the Trust would regularly check fire alarms, smoke detectors and fire extinguishers and that the NIFRS would attend call outs as necessary. A Board member asked if there were governance issues and if this inspection highlighted more endemic concerns. The Chief Executive explained that the issues raised weren't likely to be common across all wards as this inspection focused on a mental health ward.
- 12.60.7 The Director of Corporate Services told the Board that RQIA had recently appointed a Project Manager for the CIMS project. He added that the procurement strategy was currently being developed but that final approval from the Department of Finance and Personnel (DFP) had not yet been obtained. He said that with regard to the ICT Project, RQIA was moving ahead to implement an in-house solution.
- 12.60.8 The Director of Corporate Services said that the Corporate Improvement and Public Engagement officer had progressed RQIA's Public and Personal Involvement (PPI) work and that an action plan for 2012/13 had been developed.
- 12.60.9 The Director of Corporate Services said that the Improvement and Efficiency Operational Plan had been developed for 2012/13 and had been brought to the Audit Committee. He also said that with regard to EFQM, RQIA was planning to make a submission to the Ireland Quality Awards in 2012.
- 12.60.10 The Director of Corporate Services gave an overview to the Board of the Business Services Transformation Programme and explained that he was a member of the Regional Organisations Project Board, but that RQIA also had an in-house team to take forward this work.
- 12.60.11 A Board member asked if the Board would see the Improvement and

Efficiency Operational Plan. It was explained that this would form a standing agenda item at Audit Committee meetings. The Director of Corporate Services said that the Executive Team wished to avoid “double reporting” and after further discussion, the Chairman agreed that this should be a standing item at the Board only.

- 12.60.12 The Chief Executive said that following recent correspondence from the Minister to the service, RQIA had received an increased number of calls from whistleblowers. A Board member asked if this increase in work would have an impact on RQIA’s staffing resources. The Chief Executive said that this was a concern and that he would bring this to the attention of DHSSPS at the next meeting.
- 12.60.13 A Board member asked if RQIA would review each of the instances of whistleblowing for patterns or themes. The Director of Regulation said that all of the information would be fed into RQIA’s Inspection Planning Approach tool and would help inform future inspections.
- 12.60.14 A Board member added that the increase in enforcement activity would also have an impact on resources. The Director of Regulation said that there were capacity issues and that this issue would be raised at RQIA’s next Accountability Review meeting.
- 12.60.15 The Chief Executive told the Board that RQIA’s new Corporate Strategy and Three Year Review Programme for 2012/15 were now available on the RQIA website.
- 12.60.16 The Board **NOTED** the Chief Executive’s report.

12.61 Item 7 - Finance Report – Director of Corporate Services [Paper D/03/12]

- 12.61.1 The Director of Corporate Services advised the Board that RQIA had received a circular from DHSSPS regarding the definition of break even and that this was set at $\pm 0.25\%$ of the revenue resource limit or $\pm £20k$, whichever is greater, therefore RQIA’s range is $\pm £20k$. He added that there is a projected overspend of £2k, but that this is a provisional figure and will be finalised following the completion of the work on the accounts on 18 May.
- 12.61.2 The Director of Corporate Services advised the Board that with regard to capital expenditure, there was a small underspend.
- 12.61.3 The Board **NOTED** the Finance Report.

- 12.62 Item 8 – Corporate Performance Report – Director of Corporate Services [Paper E/03/12]**
- 12.62.1 Prior to the presentation of the final Corporate Performance Report of 2011/12, the Chairman acknowledged the publication of an article written by the Director of Corporate Services regarding the development of RQIA’s Performance Management Framework.
- 12.62.2 The Director of Corporate Services acknowledged the work undertaken by RQIA during 2011/12 and the significant achievements and work undertaken over this period. He noted that in addition to completing the programme of inspection activity, RQIA had been involved in significant enforcement activity. Furthermore, RQIA had been successful in managing the process of registrations of private dental practices.
- 12.62.3 The Director of Corporate Services noted that during 2011/12, RQIA had developed a new Corporate Strategy and Three Year Review Programme and this had involved a process of collaborative engagement with stakeholders through various consultation events. He said that RQIA had implemented a new structure which was delivering benefits, an Improvement and Efficiency Plan had been developed to meet CSR efficiency targets and we are projecting break-even. He added that RQIA had appointed a User Consultation Officer and had used LEAN methodologies to reviews its inspection processes.
- 12.62.4 The Director of Corporate Services said that, in terms of influencing policy, RQIA had highlighted issues within the current regulatory and legislative framework to DHSSPS.
- 12.62.5 The Director of Corporate Services said through a series of high profile reviews conducted during the past year, RQIA’s public profile had increased significantly.
- 12.62.6 The Director of Corporate Services explained that the exception report contained those actions which were rated “red” at the year-end but he assured the Board that these would be carried forward into 2012/13.
- 12.62.7 A Board member commended the work of the staff in completing the work outlined in the report. The Board member sought clarity on some of the outstanding actions, firstly the delay in embedding the Inspection Planning Approach in independent healthcare settings. In response, the Director of Regulation explained that the nature of the work of the independent healthcare team made the adoption of the IPA tool slightly more difficult but he anticipated that this would be completed by the end of September.
- 12.62.8 A Board member asked about the progress of the Corporate

Research Strategy. The Chief Executive said that he had discussed this with the Director of Reviews. He explained that RQIA is not a research organisation but is seeking to apply evidence from research of best practice to underpin the findings and recommendations of reviews and inspections.

12.62.9 A Board member said that RQIA should review how it describes its objectives as some of those which have been rated “red” were due to factors outside RQIA’s control and therefore should not be deemed as failures.

12.62.10 A Board member commended the report but felt that an Executive Summary highlighting the main achievements would be useful. A Board member said that the report demonstrated the maturity of RQIA as an organisation and clearly showed how RQIA is making a difference. The Board member said that RQIA’s priorities should now include benchmarking. The Chairman concurred and said that as part of a future Board workshop, the Board may wish to consider the recent peer review of the Norwegian healthcare regulator. He added that RQIA should also review the recommendations of the recent Department of Health Performance and Capability Review of CQC to see if there are areas that RQIA could learn from.

12.62.11 The Chairman noted the importance of the report for assisting the Appointments and Remuneration Committee to determine performance against strategic objectives.

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

12.63 Item 9 - Corporate Risk Assurance Framework Report – Director of Corporate Services [Paper F/03/12]

12.63.1 The Director of Corporate Services advised the Board that the Executive Team had reviewed the Corporate Risk Assurance Framework Report and that the updated report had been presented to the Audit Committee at its meeting on 23 April.

12.63.2 The Director of Corporate Services gave an overview of the three risks which are currently on the register and advised that since the last meeting, one risk had been removed. He drew members’ attention to the change log.

12.63.3 A Board member commented that there were a low number of risks on the register. The Chairman reminded Board members that at the Board workshop in April, the Board had a discussion on what new risks should be added and that the EMT would consider these areas and bring this back to the Board.

12.63.4 A Board member added that following the discussion at the last workshop it was important that the Board could be assured that risks

at directorate level were being managed appropriately and there was clear links between the directorate and corporate risk registers.

12.63.5 Following an issue raised by a Board member, the Chairman said that, at the next Accountability Review meeting, he would ensure that the recruitment process for new RQIA Board members would be initiated shortly.

12.63.6 The Board **APPROVED** the Corporate Risk Assurance Framework Report.

12.64 Item 10 - Audit Committee Update - Committee Chair [Paper G/03/12]

12.64.1 The Chair of the Audit Committee advised the Board that the Committee had met on 23 April and gave an overview of the main issues discussed at the meeting.

12.64.2 The Committee Chair said that the Chief Executive had been asked to consider how the Board and Audit Committee could gain a better understanding of the role of representation panels formed under the RQIA Enforcement Policy.

12.64.3 The Committee Chair said that the Committee had considered the end of year update on the Audit Action Plan and confirmed that all recommendations had been rated as "green". She commended the work of the staff to achieve this outcome.

12.64.4 The Committee Chair said that three audits had been completed since the last meeting on inspection, risk management and registration and that a satisfactory level of assurance had been given with no Priority One recommendations being made. With regard to the audit on inspection, she said that the Committee had felt that the Serious Concerns and Complaints Group should review its workload and consider how issues from the Group are brought to the consideration of the Audit Committee and Board.

12.64.5 The Committee Chair said that Internal Audit had validated RQIA's assessment of substantive compliance with five Controls Assurance Standards. She moved on to say that the Committee had considered the latest Corporate Risk Assurance Framework Report which was presented to the Board earlier in the meeting.

12.64.6 The Committee Chair said that the Committee had received a very useful presentation on Information Governance but expressed concern that not all staff had completed online ICT Security training.

12.64.7 The Committee Chair advised that an update was presented on the Improvement and Efficiency Plan and said that the Committee remained exercised that RQIA had not secured recurrent funding for

dental regulation. She said that the Committee wished the Chairman to raise this issue directly with DHSSPS. Following endorsement by the Board, the Chairman **AGREED** to do this.

12.64.8 The Committee Chair said that the Anti-Fraud Policy had been considered by the Committee but would be brought back to the next meeting. She completed her update by saying that the Committee had considered a report on sickness absence.

12.64.9 A Board member asked whether it would be possible to review the schedule of Audit Committee dates so that the Board could receive draft minutes in future. The Committee Chair **AGREED** to consider this.

12.64.10 The Board **NOTED** the update from the Committee Chair.

12.65 Item 11 - Appointments and Remuneration Committee Business – Chair

12.65.1 The Chairman advised that during the private session the Board had endorsed the recommendations of the Appointments and Remuneration Committee regarding the pay awards for Senior Executives following the receipt of Circular HSC (SE) 1/2012.

12.66 Item 12 - Whistleblowing Policy – Director of Corporate Services [Paper H/03/12]

12.66.1 The Director of Corporate Services presented the updated Whistleblowing Policy and Procedure to the Board and advised that the policy had been developed in line with DHSSPS guidance. He said that the policy was straightforward and clearly outlined the process to be followed by RQIA staff should they wish to report any issue under the policy.

12.66.2 The Board **APPROVED** the Whistleblowing Policy and Procedure.

12.67 Item 13 - Any Other Business

12.67.1 There was no other business and the Chairman drew the public session to a close at 5:25pm.

**Date of next meeting:
Thursday 5 July 2012, Board Room, Riverside Tower**

Signed 

Dr Ian Carson
Chairman

Date 5/07/12