

MINUTES

RQIA Board Meeting
Board Room, Portadown Health and Care Centre, Portadown
8 July 2010, 2:30pm

Present

Ian Carson (Chairman)
Richard Adams
Geraldine Donaghy
Ruth Laird
Allen McCartney
Una O'Kane
Colin Reid
Austin Smith
Lilian Jennett

Officers of the Board present

Glenn Houston (Chief Executive)
Maurice Atkinson (Director of Corporate Services)
Robert Graham (Committee Services Manager)
Phelim Quinn (Director of Operations)

Apologies

Patricia McCoy

Apologies

Theresa Nixon (Director of Quality Assurance)
David Stewart (Director of Service Improvement)

PUBLIC SESSION

10.80 Welcome and Chairman's Remarks

10.80.1 The Chairman welcomed Board members and Officers of the Board to the meeting. He noted apologies from Board member Patricia McCoy and from Officers of the Board Theresa Nixon and David Stewart.

10.81 Minutes of the meeting of the Board held on Thursday 13 May [Paper min/May/10]

10.81.1 The Board **APPROVED** the minutes of the Board meeting held on 13 May.

Resolved Actions

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

10.82 Matters arising from minutes

10.54.2 Vacancies on RQIA Board

10.82.1 The Chairman advised that there was no update on the recruitment for the three vacancies on the RQIA Board.

10.83 Declaration of Interests

10.83.1 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.

10.84 Chairman's report - Chairman [Paper I/04/10]

10.84.1 The Chairman presented his report to the Board and made reference to some of the key meetings he had attended. He began by saying that he felt that the reputation of RQIA had been enhanced following the recent lay advocacy training. He added that he had received positive feedback on the event.

10.84.2 The Chairman informed Board members that he, along with the Chief Executive, Director of Operations and Director for Service Improvement, had attended the Ulster Obstetric and Gynaecological Society meeting in June where a presentation and panel discussion had taken place on the recent RQIA Review of Intrapartum Care.

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

10.85 Chief Executive's Report - Chief Executive [Paper J/04/10]

10.85.1 The Chief Executive began by outlining some of the key meetings he had attended since the previous Board meeting. He acknowledged the work of Phelim Quinn and Virginia McVea in organising the lay advocacy training event. He told Board members he had met with the CAMHS review team and had been impressed with the work completed so far in that review.

10.85.2 The Chief Executive advised Board members that RQIA had received confirmation of its financial allocation for 2010/11. He said that the total allocation was £6.273m, which represented a 9% (approximately) reduction on the 2009/10 allocation. He advised that more information would be presented as part of the financial update (cf. para 10.86.1)

10.85.3 The Chief Executive updated the Board on the current review programme and said that he hoped the draft reports on the Child Protection Review Stages IV and V and the Northern Ireland Ambulance Service Review would be ready by September.

10.85.4 The Chief Executive informed the Board that following the development of draft standards, RQIA was conducting inspections in facilities for care leavers operating within the Interim Joint Commissioning Framework. He also updated the Board on the progress in the registration of day care centres and advised that the numbers of centres with outstanding registration issues had decreased to nine.

- 10.85.5 The Chief Executive concluded his report by advising that RQIA had made significant progress in revising the draft Complaints Policy taking account of the comments received from Board members and that the updated policy would be brought to a future Board meeting for approval.
- 10.85.6 The Board **NOTED** the Chief Executive's Report.
- 10.86 Financial Outlook 2010/11 - Director of Corporate Services [Paper K/04/10]**
- 10.86.1 The Director of Corporate Services shared with Board members correspondence sent by RQIA to DHSSPS in March 2010 outlining potential savings in 2010/11. He added that in the absence of confirmed funding, a directive had been sent to all staff regarding cost saving measures. He advised that on 30 June 2010 RQIA received its allocation of £6.273m and that the Finance Manager had undertaken a preliminary analysis which showed that whilst the additional savings represented a significant challenge to RQIA, the potential shortfall against forecast expenditure was £164k.
- 10.86.2 The Chief Executive noted that the reduction in the revenue resource limit (RRL) amounted to around 9%. He explained that the shortfall does not allow for RQIA to recruit any new staff and the Director of Operations added that it did not allow for any current vacancies to be filled. The Chief Executive advised that the Executive Team would prepare a gap analysis and present this to the Board in September which would include a list of all current vacancies and where the vacant posts are situated within the organisational structure.
- 10.86.3 Board members expressed concern at the severity of the reduction and queried if this was equitable across other HSC organisations. The Chief Executive said he was not privy to the extent of the savings targets imposed on other arms length bodies but had raised this in recent discussions with sponsor branch. A Board member asked if RQIA could increase its fee income. The Chief Executive advised that this would be unlikely to happen in 2010/11 but he noted that in Wales, fees were being re-introduced.
- 10.86.4 A Board member expressed concerns that a reduction in spending on training would have an impact on the continuing professional development of RQIA staff and he asked if RQIA could renegotiate its baseline. The Chief Executive stressed that RQIA had taken steps to limit expenditure across a range of activities, including recruitment and attendance at courses and conferences outside Northern Ireland. He advised that staff could still attend courses in Northern Ireland following approval by their Line Manager. With regard to renegotiating the baseline, he expressed the view that in the event of RQIA taking on additional regulatory responsibilities,

funding would have to be provided for these.

- 10.86.5 The Chief Executive undertook to obtain clarification from the DHSSPS on RQIA's baseline at the request of the Board.
- 10.86.6 The Board **NOTED** the update on the financial position.

Resolved Actions

- **Executive Team to prepare gap analysis in advance of September Board meeting**
- **Chief Executive to obtain clarification from DHSSPS regarding RQIA's baseline position**

**10.87 Audit Committee Business - Committee Chairman
[Paper L/04/10]**

- 10.87.1 The Audit Committee Chairman informed the Board that the Committee had met on 1 July 2010 to consider the Annual Report and Accounts which were being presented at the Board today for approval.
- 10.87.2 The Committee Chairman informed the Board that the internal auditors had given RQIA a satisfactory audit opinion following substantive compliance with the controls assurance standards. She added that two Priority 1 recommendations would be carried forward into 2010/11 and monitored. She noted that the internal audit work programme would be more evenly spread throughout the year.
- 10.87.3 The Committee Chairman advised that there had been delays in the completion of the external audit report due to a range of factors. She added that three key issues had been raised and these were being taken forward by the Executive Team.
- 10.87.4 The Committee Chairman presented the Audit Committee Report for 2009/10 to the Board and highlighted some of the key achievements during the year which included the development of the new Corporate Risk Assurance Framework Report, the approval of a new Counter Fraud Policy, the approval of a new methodology for value for money reviews and the development of a new report detailing matters of interest for the Audit Committee.
- 10.87.5 The Committee Chairman expressed her thanks to the previous Chairman and to the staff at RQIA for their support during the year and also to the representatives from internal and external audit for their support.
- 10.87.6 The Board **NOTED** the update from the Audit Committee Chairman.

**10.88 Business Plan 2010/11
Approval of Business Plan 2010/11 - Director of Corporate Services [Paper M/04/10]**

- 10.88.1 The Director of Corporate Services advised the Board that following confirmation of RQIA's allocation for 2010/11 the Business Plan, previously presented to the Board in March, had been updated. He added the KPQs and KPIs had also been updated following the last Board workshop.
- 10.88.2 A Board member noted that some of the actions within the plan were due to be completed by June 2010 and these should be reviewed. The Director of Corporate Services agreed to undertake this.
- 10.88.3 A Board member expressed concern at the KPI identified in relation to the development of an overall assessment of health and social care by 2012. It was agreed that the Director for Service Improvement, working in conjunction with other members of the Executive Team, would begin work on the development of a template for the overall assessment and bring this to a future workshop.
- 10.88.4 The Director of Corporate Services advised Board members that, if appropriate, KPI owners would identify targets for KPIs through the completion of a KPI template.
- 10.88.5 The Board **APPROVED** the Business Plan for 2010/11.

Resolved Actions

- **Director for Service Improvement to take the lead in developing template for an overall assessment to bring to a future Board workshop**
- **Director of Corporate Services to review completion dates of actions identified in the Business Plan**

**10.89 Business Plan 2010/11
Review of KPQs/KPIs and Quarterly Report - Director of Corporate Services [Paper N/04/10]**

- 10.89.1 The Director of Corporate Services explained to Board members that a Steering Group consisting of Board members and RQIA staff had carried out a review of the KPQs and KPIs and following this work, a new template for a Corporate Performance Report had been developed. He added that the Report would use a RAG (red/amber/green) rating system in conjunction with exception reporting and KPIs. He concluded by saying that the first report would be presented to the Board in September.
- 10.89.2 A Board member noted that the new report template was excellent and represented a good starting point.

- 10.89.3 The Chairman expressed his thanks to the Board members who had participated in the Group.
- 10.89.4 The Board **NOTED** the review of KPQs and KPIs and the template for the new Corporate Performance Report.
- 10.90 Corporate Risk Assurance Framework - Director of Corporate Services [Paper O/04/10]**
- 10.90.1 The Director of Corporate Services presented the updated Corporate Risk Assurance Framework to the Board, following its consideration by the Audit Committee. He noted that the narrative on Risk 4 had been changed and that the rating of Risk 8 had been increased following discussion at the Audit Committee.
- 10.90.2 The Board **NOTED** the Corporate Risk Assurance Framework.
- 10.91 Draft Risk Management Strategy - Director of Corporate Services [Paper P/04/10]**
- 10.91.1 The Director of Corporate Services advised the Board that RQIA had developed a Risk Management Strategy which had been approved by the Audit Committee on 1 July. He explained that this was a gap in RQIA's corporate governance arrangements and was a requirement within the risk management controls assurance standard. He gave an overview of the document and explained the roles and responsibilities as well as the proposed schedule for bringing updated risk registers to the Board and Audit Committee. He added that the Strategy covered all levels of the organisation and that risk co-ordinators had been identified in each directorate to take forward the outworking of the Strategy.
- 10.91.2 A Board member commented that the document was excellent but he felt that further detail was required in terms of the definition of risk management and the role of the Board in identifying risks. He added that the role of the Audit Committee was to ensure that the processes are right and verifying the evidence and that the role of the Board was to agree the ratings. Another Board member added that the role of the Board in annually reviewing the risk register was an important consideration.
- 10.91.3 A Board member suggested that there should be a clear link between the risk register and the Statement on Internal Control and that this should feature in the Strategy.
- 10.91.4 The Director of Corporate Services agreed to update the Strategy following comments received by Board members and to distribute the document electronically for comments by Board members.

- 10.91.5 Subject to the proposed amendments outlined above the Board **APPROVED** the Risk Management Strategy.

Resolved Actions

- **Director of Corporate Services to amend Risk Management Strategy and circulate to Board members for comment**

10.92 Capital Programme 2010/11 - Director of Corporate Services [Paper Q/04/10]

- 10.92.1 The Director of Corporate Services shared the capital programme with the Board and advised that RQIA would not use its full allocation of £50k. He explained that as part of the agreement with ITS, RQIA would be given new computers and laptops.

- 10.92.2 Board members queried the use of video conferencing and expressed concerns that it did not represent value for money. The Chief Executive advised that part of the rationale for this was to enable staff based in the Omagh office to link into the monthly staff meeting without having to travel to Belfast. Suggestions were made as to other forms of communication e.g. use of Skype technology or telephone conference calls. The Executive Team agreed to reconsider the necessity to obtain videoconferencing.

- 10.92.3 Subject to a final decision on video conferencing, the Board **APPROVED** the capital programme for 2010/11.

Resolved Actions

- **Executive Team to reconsider option of video conferencing as part of capital programme**

10.93 RQIA Staff Survey 2009 Report and Action Plan - Director of Corporate Services [Paper R/04/10]

- 10.93.1 The Director of Corporate Services advised the Board that RQIA had participated as one of 16 organisations in the HSC staff survey in 2009. He added that RQIA had the highest response rate but noted that RQIA was the only organisation to complete the survey online.

- 10.93.2 The Director of Corporate Services told the Board that following the publication of the survey results for RQIA, a series of internal focus groups had been set up. He said that there were many positive results for RQIA in that a high percentage of staff felt they received the right training to do their job, that their Line Manager urged them to work as part of a team, that they had planned objectives and that they were trusted to do their job. He noted, however, that there were areas of concern, for example, only half of staff had had an appraisal during the last year.

- 10.93.3 A Board member asked if RQIA had been able to compare its results with other organisations. The Director of Corporate Services advised that RQIA had only recently received the results for the HSC as a whole and had not yet done a comparison. He added that comparing RQIA to a Trust would not be a meaningful exercise. The Chief Executive added that it was important to note that the majority of respondents in RQIA were administrative staff. He said that some of the outcomes were not surprising and it was important that RQIA continued the work it was doing to make improvements.
- 10.93.4 A Board member said that it would be useful for RQIA to compare itself with other organisations and if there were areas of weakness, it could learn from another organisation which performed strongly in the same area.
- 10.93.5 A Board member said that it was important for RQIA to bear in mind that following the recent appointment of an HR Manager, work in some areas could now be progressed more quickly. However, she expressed her view that as a learning and development organisation, the percentage of staff with personal development plans was disappointingly low and that the target should be between 90% and 95%. The Director of Corporate Services advised that at the beginning of 2010/11 a memo had been sent to all managers asking that appraisals be completed within two months and that an initial survey of managers suggested that improvement in this area was necessary.
- 10.93.6 The Chief Executive noted that there were both positive and negative outcomes but he hoped that the work commenced on EFQM would further highlight areas for improvement.
- 10.93.7 A Board member suggested that Board members could provide assistance in some areas including staff recognition and other HR issues.
- 10.93.8 The Chairman sought clarity on the status of the report. The Director of Corporate Services confirmed that the report was on the RQIA website but that the Action Plan had not yet been shared with staff but this would happen following the Board meeting.
- 10.93.9 The Board **NOTED** the RQIA staff survey and action plan.
- 10.94 Mental Health and Learning Disability / Update on a Rights Based Approach - Director of Operations [Paper S/04/10]**
- 10.94.1 The Director of Operations updated the Board on the work of the mental health and learning disability team. He began by giving an overview of the Serious Adverse Incidents (SAIs) and advised the Board that from 1 May 2010 SAIs are reported to both RQIA and the HSC Board.

- 10.94.2 The Director of Operations advised that the percentage of errors in prescribed forms had reduced but he wished to see further improvement. He went on to say that meetings with Trusts directors had recommenced. He added that the Patient Experience Reviews were continuing and that the inspection programme would be commencing shortly. He said that the Guardianship and Medical Panels were continuing to meet.
- 10.94.3 The Director of Operations informed the Board that the first draft of the Child and Adolescent Mental Health Services (CAMHS) review would be available by September. He also said that the Expert Advisory Panel was due to meet on 21 July to consider a draft strategy for the mental health and learning disability team.
- 10.94.4 In response to queries about the number of errors in prescribed forms, the Director of Operations advised that there was no clear indication as to why there was a variance across the Trusts but he noted that there had been significant improvement in recent months.
- 10.94.5 A Board member asked if RQIA could assess improvements within mental health services. The Director of Operations said that he could not make an assessment at this stage but that following the completion of the first series of inspections, a better assessment could be made.
- 10.94.6 The Board **NOTED** the update on mental health and learning disability.
- 10.95 RQIA Publication Scheme - Director of Corporate Services [Paper T/04/10]**
- 10.95.1 The Director of Corporate Services advised the Board that RQIA had developed a Publication Scheme in line with legislative requirements but that there were five areas which required further consideration to decide whether the information should be published on the RQIA website or should only be disclosed under Freedom of Information, where exemptions may apply.
- 10.95.2 The Director of Corporate Services took each of the five areas in turn. The first concerned the expenses of staff and Board members it was recommended that these should be disclosed only under Freedom of Information. Board members sought clarity on whether the information would be disclosed on an individual basis but the Director of Corporate Services noted this would be determined by the nature of the information request. After some discussion, it was agreed that the information should be made available on request.
- 10.95.3 The second area concerned the capital spend; it was agreed that this should only be made available on request. In relation to the release

of information concerning contracts it was agreed that, following procurement advice, this should not be disclosed. The Board further agreed that internal and external audit reports should only be available on request.

10.95.4 The final area concerned the publication of minutes of meetings. The Director of Corporate Services explained that it was necessary to be able to justify why certain documents were only discussed in the private session. A Board member added that RQIA should in future list the Board papers and explain which ones are private and which are public and detail the exemptions relating to the private papers. The Director of Corporate Services advised that the Information Manager and Committee Services Manager would consider how this could be implemented at future Board meetings. The Board approved the recommendation that all information from Board meeting should be made publicly available with the exception of the wholly private business.

10.95.5 The Board **APPROVED** the five recommendations on the Publication Scheme.

Resolved Action

- **Committee Services Manager / Information Manager to look at the classification of private and public Board papers and provisions for open publication**

10.96 Any Other Business

10.96.1 There was no other business and the Chairman drew the public session to a close at 5:10pm.

**Date of next meeting:
Thursday 2 September 2010, Board Room, Riverside Tower**

Signed 
Dr Ian Carson
Chairman

Date 2 Sept 2010