



## PUBLIC SESSION MINUTES

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### RQIA Board Meeting

Board Room, The Cottage, NHSCT Headquarters, Ballymena

8 November 2012, 2:00pm

#### 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 RQIA present

Glenn Houston (Chief Executive)  
Maurice Atkinson (Director of Corporate Services)  
Muriel Dickson (Acting Director of Regulation and Nursing)  
Theresa Nixon (Director of Mental Health and Learning Disability and Social Work)  
David Stewart (Director of Reviews and Medical Director)

#### In attendance

Malachy Finnegan (Communications Manager)  
Christine Goan (Corporate Improvement & Public Engagement Manager)  
Bill Norris (Office Manager)  
Katie Symington (Board and Executive Support Manager)

#### Apologies

None

#### 12.99 Item 1 - Welcome and Chairman's Remarks

12.99.1 The Chairman welcomed Board members and Officers of the Board to the meeting. No apologies were noted.

#### 12.100 Item 2 - Minutes of the meeting of the Board held on Tuesday 4 September [Paper min/Sept12/public]

12.100.1 The Board **APPROVED** the minutes of the Board meeting held on 4 September.

#### Resolved Actions

- Minutes to be formally signed off by the Chairman

#### 12.101 Item 3 - Matters arising from minutes

12.101.1 **12.80.3 Accountability Review meeting**  
The next Accountability Review meeting with the DHSSPS is scheduled for 26.11.12.

- 12.101.2 **12.90.2 Inspection of Maghaberry Prison**  
 A Board member enquired as to whether the report of the joint inspection of Maghaberry Prison had been published.  
 It was noted that this report has not yet been published but will be highlighted to Board members once it is made available.
- 12.101.3 **12.90.8 Backlog of x-rays in Belfast Trust**  
 The report by the BHSCT is not yet available, however it is anticipated that feedback will be provided to the Board at the meeting on 17 January 2013.
- 12.102 Item 4 - Declaration of Interests**
- 12.102.1 The Chairman asked Board members if, following consideration of the agenda items, any interests were required to be declared in line with Standing Orders. A Board member advised of two recent appointments and these will be recorded on the Register of Interests.
- 12.102.2 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 Board & Executive Support Manager.
- 12.103 Item 5 - Chairman's report - Chairman [Paper B/06/12]**
- 12.103.1 The Chairman presented his report to the Board and noted that he had attended 5 meetings on behalf of RQIA since the previous Board meeting.
- 12.103.2 Notable was the meeting with Brian Rowntree, Chairperson, Northern Ireland Civil Service Commissioners, and the meeting with Sue McAllister, Director General, Northern Ireland Prison Service.
- 12.103.3 The Board **NOTED** the Chairman's Report.
- 12.104 Item 6 - Chief Executive's Report - Chief Executive [Paper C/06/12]**
- 12.104.1 The Chief Executive advised the Board that the 2013/14 business planning process was now underway. The draft business plan is to be approved by the RQIA Board and submitted to DHSSPS by the end of January 2013.
- 12.104.2 The Director of Corporate Services informed the Board that the DHSSPS has shared draft Departmental priorities for inclusion in RQIA's Business Plan 2013/14. This is a new departure, which will need to be taken into consideration during the drafting of the Business Plan.
- 12.104.3 The Director of Corporate Services informed the Board that the CIMS project has changed its name to Regulation Information System

Change Project (RISCP). This project is currently on target.

- 12.104.4 The Chief Executive advised the Board that RQIA has published a number of 2011-12 review reports since the last Board meeting, while work has also begun on the first suite of the current 3 year programme of reviews. The Chief Executive thanked Board members who have read and commented on the draft review reports, stating that this appears to be a more efficient system for completion.
- 12.104.5 The Chief Executive advised the Board that there has been significant media interest in the publication of RQIA's overview of Infection Prevention and Hygiene Inspections 2011-12.
- 12.104.6 The Acting Director of Regulation and Nursing informed the Board that currently just one dental registration was outstanding. A summons has been served and a date has been set for the hearing.
- 12.104.7 The Acting Director of Regulation and Nursing informed the Board that in addition to those dental practices which have already completed registration, approximately 65 dental registrations are currently being processed.
- 12.104.8 The Chief Executive noted that no new complaints have been received by RQIA since the September Board meeting; while four incidents of whistleblowing in relation to Regulated Services have been received in that timeframe.
- 12.104.9 The Chief Executive advised the Board of current HR issues. Phelim Quinn, Director of Regulation and Nursing left RQIA on 31 October 2012. Recruitment is underway to appoint a successor and Mrs Muriel Dickson is covering the vacancy in an acting capacity. Katie Symington has taken up appointment as Board & Executive Support Manager and Brian Parks has commenced as ICT Delivery Manager; interviews for the post of Human Rights Advisor have been scheduled for 16 November 2012, and a report will be made at the next meeting of the Board.
- 12.104.10 The Chief Executive advised the Board that the newly opened Marie Stopes Clinic has prompted some Assembly questions, as well as both media and public interest. Current legal advice is that the clinic does not fall to be registered. However, the clinic's registration status will be kept under review.
- 12.104.11 The Chief Executive informed the Board that RQIA had encountered some difficulties with the website; however these problems have now been resolved. The Chief Executive also drew attention to the number of visitors to RQIA's website; during the period 4 September to 31 October 2012, RQIA's website received over 30,000 visitors.

- 12.104.12 The Chief Executive informed the Board that he along with the Director of Regulation and the Corporate Communications Manager had attended the recent EPSO Conference. Two presentations from RQIA covered the handling of media with regard to the Pseudomonas outbreak, and another on service user involvement in inspections.
- 12.104.13 The Chief Executive drew the attention of the Board to the enforcement actions listed in the appendix to his report. A Board member stated that it would be helpful if the on-going enforcement activities were 'highlighted' and requested that key points are identified.
- 12.104.14 A Board member queried as to whether anyone had contacted RQIA regarding the Pseudomonas outbreak in England? It was stated that although no direct contact was made, a link to the report completed by RQIA is available on the HPA website.
- 12.104.15 The Chairman congratulated the Chief Executive on his appointment to the EPSO Board.
- 12.104.16 The Board **NOTED** the Chief Executive's report.
- 12.105 Item 7 – Review of Standing Orders / Revised Terms of Reference of the Audit Committee – Audit Committee Chair. Director of Corporate Services [Paper D/06/12]**
- 12.105.1 The Chair of the Audit Committee commended the revised terms of reference of the Audit Committee for Board approval and invited comments from the Board. The Director of Corporate Services stated that the other proposed changes to Standing Orders were of a minor nature and once agreed the updated Standing Orders would be placed online.
- 12.105.2 A discussion followed regarding the membership and appointment to working groups and panels. The Chair proposed a short life working group to consider this. The agreed members of the panel are; Geraldine Donaghy, Lilian Jennett, Colin Reid and Lindsay Smith.
- 12.105.3 The Board **APPROVED** the Review of Standing Orders / Revised Terms of Reference of the Audit Committee.
- 12.106 Item 13 – Audit Committee Business – Committee Chairman [Paper I/06/12]**
- 12.106.1 The Board **APPROVED** the minutes of June meeting.
- 12.106.2 The Chair of the Audit Committee provided a verbal update on the meeting of 25.10.12. The Committee noted a short life working group on consent, with the Board updated on the work of this group.

- 12.106.3 The Committee was pleased to note completion of ICT online training at 100% of available staff and commended RQIA staff. The Committee congratulated the Executive Management Team on the audit action plan update.
- 12.106.4 The Committee noted two matters as listed on the Audit action plan as not completed on target; firstly the policy in relation to the Inspector Rotation, and secondly; inconsistencies in the structure of files held by the registration team.
- 12.106.5 The Chair of the Audit Committee raised with the Chief Executive the recruitment of expert and lay reviewers. The Chief Executive has agreed to review this area in consultation with the Executive Management Team.
- 12.106.6 The Chair of the Audit Committee raised the issue of the non-completion of some planned reviews. It was noted that this is a capacity issue, with planned work giving way to urgent commissioned work. The Chief Executive stated that the Reviews Directorate had found the comments of the Audit Committee helpful. The team has changed the way in which reviews are scheduled, to have a shorter period from start to finish. Board members contributions have helped recently in speeding reviews through to completion.
- 12.106.7 It was suggested that the DHSSPS could be asked to provide additional resources to RQIA, when necessary. The Chairman stated that these concerns had been raised previously with DHSSPS but can be raised again as an Audit Committee concern.
- 12.106.8 The Chair of the Audit Committee stated that three risks were noted on the Corporate Risk Register. It was also noted that the Committee would request that two additional items, as raised at the April Board workshop, be added to the risk register, namely Talent Management and Management of unplanned work.
- 12.106.9 A Board member queried whether the new format of the Chief Executive's report would cover all issues detailed previously in the Matters for the attention of the Audit Committee report. The Chief Executive provided an assurance that the revised report format would facilitate reporting of all matters of strategic interest which needed to be escalated to the Board.
- 12.106.10 The Board **NOTED** the Audit Committee Minutes of 28 June 2012.
- 12.107 Item 9 – Ireland Quality Awards (EFQM) – Corporate Improvement and Public Engagement Manager**
- 12.107.1 The Chairman welcomed Christine Goan to the Board meeting. Christine drew the Board's attention to the formal submission to the

Ireland Quality Awards. She distributed a draft schedule for the EFQM assessors visit on 19 & 20 November 2012.

12.107.2 It was stated that the report from the assessors would inform RQIA's business plan and also allow an improvement plan to be produced. The assessors report will be considered by the Judging Panel on 6 December 2012 and RQIA should be formally notified of the outcome of the assessment within two weeks from the meeting of the Panel.

12.107.3 The Chairman invited any Board members to attend RQIA on 19 November to meet with the EFQM assessors and thanked Christine for addressing the Board.

**12.108 Item 8 – Finance Report – Director of Corporate Services [Paper E/06/12]**

12.108.1 The Director of Corporate Services advised that RQIA is forecasting a break even position at the year end. However, he informed the Board that bids had been invited from each of the directorates for use of non-recurring slippage and the projected end-of-year position assumes expenditure against these bids. Decisions in relation to revenue and capital easements if required will be taken in January. It was also noted that RQIA is up to date with prompt payment compliance and that RQIA is continuing to address the issue of outstanding fees/ debtors.

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

**12.109 Item 10 – Anti-Fraud Policy and Plan – Director of Corporate Services [Paper F/06/12]**

12.109.1 The Director of Corporate Services informed the Board that the Audit Committee had agreed the Anti-Fraud Policy and Plan. The policy and plan have now been brought to the Board for approval.

12.109.2 It was noted that the Anti-fraud policy has changed its name from Counter Fraud policy and now incorporates reference to bribery and corruption, based on recent DHSSPS guidance. The Fraud Response Plan has also replaced the previous Counter Fraud Plan.

12.109.3 The Board **APPROVED** the Anti-Fraud Policy and Plan subject to agreed revisions.

12.109.4 This policy will be reviewed by the Board in 3 years' time.

**12.110 Item 11 - Corporate Performance Report – Director of Corporate Services [Paper G/06/12]**

12.110.1 The Director of Corporate Services presented the Corporate Performance Report to the Board. It was noted that the Business

plan actions rated green should read 61% and not 52%, as stated in the covering page.

- 12.110.2 The acting Director of Regulation and Nursing stated that there has been an increased volume of inspections and enforcement actions, with a reduced staff complement. The Board congratulated the acting Director of Regulation on the volume of work completed to date and sought assurance that RQIA would deliver the statutory minimum number of inspections to all regulated agencies and establishments. The Director of Regulation advised of plans to recruit additional part-time lay inspectors to support the work of the core teams.
- 12.110.3 It was noted that Point 1.2.1, Inspection Reports, Performance Exception Report, should be completed by March 2013.
- 12.110.4 It was stated that Point 7.1.1, Evidence Based Practice, Performance Exception Report, should be completed by the next meeting of the Board in January 2013.
- 12.110.5 The Board **NOTED** the Corporate Performance Report.
- 12.111 Item 12 - Corporate Risk Assurance Framework Report – Director of Corporate Services [Paper H/06/12]**
- 12.111.1 The Corporate Risk Assurance Framework report was presented to the Audit Committee on 25 October 2012.
- 12.111.2 The Director of Corporate Services presented the Corporate Risk Assurance Framework report to the Board.
- 12.111.3 The Director of Corporate Services drew the Board's attention to the three risks listed in Executive Summary and to the Risk Log which highlights the main changes made to the Corporate Risk Assurance Framework Report. The risk in relation to the provision of recurring funding for dental regulation has been removed from Report, as recurring funding had been obtained.
- 12.111.4 The Director of Corporate Services stated that it is planned to submit business cases to DHSSPS in December in relation to Risk 1 in order to address capacity issues.
- 12.111.5 The Chairman asked that the Executive Management Team look again at Risk 1- in terms of categorising the risk and report back to the Board.
- 12.111.6 The Board **APPROVED** the Corporate Risk Assurance Framework Report.

- 12.111.7 The Board's attention was also drawn to two new potential risks as highlighted at previous Board and Audit Committee meetings. Succession planning/ Talent Management and the Management of unplanned work.
- 12.111.8 The Board was informed that with regard to succession planning/ talent management, a draft Human Resources and Organisational Development strategy would be brought to the Board in January 2013 for approval. This strategy is closely aligned to work in relation to the achievement of liP accreditation.
- 12.111.9 The Board requested that Succession Planning / Talent Management and the Management of unplanned work be added to the Corporate Risk Assurance Framework Report. It was suggested that the Executive Management Team give further consideration to these two potential risks. The revised corporate risk assurance framework report will be brought to the Board in January 2013.

**12.112 Item 14 - Any Other Business**

- 12.112.1 A board member requested sight of the Prison inspection report (Maghaberry Prison) before publication. The Chief Executive stated that as this report was produced jointly with 3 other bodies on behalf of the Department of Justice, the report belongs to the Department of Justice. It would not therefore be possible for the RQIA Board to comment on or amend the report. The section produced by RQIA can however be shared with the Board for information purposes.
- 12.112.2 A Board member requested that the DHSSPS be asked to revise the Minimum Standards for Nursing homes, as these were last published in 2005. The acting Director for Regulation and Nursing informed the Board that a working group had been set up to look at these regulations and had advised the DHSSPS that they be revised and updated, taking account of the recommendations contained in the recent Northern Ireland Human Rights Commission report.
- 12.112.3 The Chief Executive advised the Board that this matter would be discussed at the bi-monthly meeting with the DHSSPS.
- 12.112.4 The Chairman stated that the next Board workshop would be held on 13 December and would include an IT Training session.
- 12.112.5 There was no other business raised and the Chairman thanked the Board members for their attendance and drew the public session to a close at 4.45pm.



**Date of next meeting:**  
**Thursday 17<sup>th</sup> January 2013, Board Room, Riverside Tower.**

Signed   
**Dr Ian Carson**  
**Chairman**

Date 17/1/13