



## RQIA Board Meeting

Date of Meeting	19 January 2017
Title of Paper	Public Session Minutes
Agenda Item	2
Reference	Min / Nov16 / 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 10 November 2016.
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 10 November 2016.
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**  
**Boardroom, RQIA**  
**10 November 2016, 1.00pm**

### **Present**

Dr Alan Lennon OBE (Chair)  
Patricia O'Callaghan  
Stella Cunningham  
Daniel McLamon  
Lindsey Smith  
Gerry McCurdy  
Sarah Havlin  
Dr John Jenkins CBE  
Dr Norman Morrow OBE  
Denis Power  
Prof Mary McColgan OBE  
Seamus Magee OBE

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

Olive Macleod (Chief Executive)  
Maurice Atkinson (Director of Corporate Services)  
Theresa Nixon (Director of Mental Health, Learning  
Disability and Social Work)  
Kathy Fodey (Director of Regulation and Nursing)  
Hall Graham (Acting Head of Reviews)  
Malachy Finnegan (Communications Manager)  
Katie Symington (Board and Executive Support  
Manager)

### **Apologies**

Robin Mullan

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

1.1 The Chairman welcomed all Board members and officers to the meeting. Robin Mullan offered his apologies for this meeting. The Chairman offered his congratulations to Katie Symington, Board and Executive Support Manager, on the achievement of her new post.

### **2.0 Agenda Item 2 - Minutes of the public meeting of the Board held on Thursday 22 September 2016 (Min/ Sept16/ public)**

2.1 The Board **APPROVED** the minutes of the meeting of the Board held on Thursday 22 September 2016.

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

3.1 Board members noted that in relation to actions 101 and 130, a meeting has been arranged with Board Members, Denis Power and Gerry McCurdy on 14 December 2016 to review the recommendations of the Internal prosecution. The Director of Regulation and Nursing noted that training on the enforcement procedures is currently underway. The enforcement procedures will be reviewed as part of this process. These procedures will be presented to the Board in January 2017 and training will be provided at a Board workshop. Actions 101 and 130 to be amalgamated.

- 3.2 Board members noted that action 127, GAIN presentation, will be scheduled for a future date. Action 131 has now been completed. Action 132, Development of the 2017-21 Corporate Strategy will be discussed within the Chief Executive's update to the Board. Members noted action 133.
- 3.3 The Chair of the Part II/ SOADs Panel noted that further to paragraph 13.1 of the September minutes, where the length of appointment to the register for Part II Doctors/ SOADs was queried; robust policies and procedures are in place and individuals are required to remain licenced with the GMC and undertake an associated appraisal. The maximum appointment time awarded by RQIA is four years and therefore the Panel and Panel Chair are content with the current arrangements. The Chairman noted that he is content with this process.
- 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 were made.
- 5.0 Agenda Item 5 - Chairman's Report**
- 5.1 The Chairman noted that he has had a series of meetings since the last Board meeting and highlighted his attendance at the Perinatal Review Summit, which highlighted the provision of facilities within Northern Ireland. The Director of Mental Health, Learning Disability and Social Work noted that the Belfast Trust is the only trust with facilities and no trusts within Northern Ireland have a mother and baby unit. The Director of Mental Health, Learning Disability and Social Work noted that this report may lead to changes in Perinatal care in Northern Ireland.
- 5.2 The Chairman noted the meeting of the Remuneration Committee on 11 October to review mid-year performance. The Chairman noted that the Chief Executive has been asked to develop and agree personal targets. The Chairman noted that a new member is required to sit on the Appointment and Remuneration Committee. Norman Morrow agreed to join this Committee. Board members agreed this appointment.
- 5.3 The Chair of the Audit Committee highlighted that the Audit Committee, when recently reviewing their Terms of Reference, noted the possibility of Audit Committee members being in-eligible to sit on other panels. This was highlighted as a conflict due to the oversight role of the Audit Committee.
- 5.4 The Chairman agreed to review panel membership and other Committee membership of Audit Committee members.
- 5.5 **Resolved Action (134)**  
**The Chairman will review panel membership and other Committee membership of Audit Committee members.**

- 5.6 The Chairman noted his meeting with the Chief Executive and two members of the Board to discuss a Communications Plan for RQIA. The Chief Executive will receive final comments on this document shortly.
- 5.7 The Chairman noted the recent appointment of Dr Lourda Geoghegan as Medical Director. The Chairman offered his thanks to the members of the Panel both internal and external to RQIA.
- 5.8 The Chairman noted the recent DoH publication of the Review of the fees charged and the frequency of inspections undertaken by RQIA. The Chairman suggested the need to ensure that RQIA's key stakeholders are aware of the publication of this document. The Chief Executive noted the timely nature of this publication, due to RQIA's current review of the Inspection Methodology.
- 5.9 The Chairman noted the initiation of a Board effectiveness committee, which will replace the agenda forming meetings. Two Board members have agreed to join this committee. This committee will focus on the agenda and papers for the Board, ensuring the balance of strategic and operational issues and the quality of board papers. This committee will have its first meeting week beginning 14 November 2016.
- 5.10 The Chairman noted that he will reinstate the session for Board member feedback at the end of each Board meeting in parallel with the establishment of the board effectiveness committee.
- 5.11 The Chairman noted that the Chief Executive is leading an organisational review, which will be undertaken by the HSCLC, to ensure that RQIA is a fit for purpose organisation going forward. Some Board members may be involved within this review as interviewees.
- 5.12 The Board **NOTED** the Chairman's Report.
- 6.0 Agenda Item 6 - Draft Outline Corporate Strategy 2017-21 (B/08/16)**
- 6.1 The Director of Corporate Services presented the outline 2017-21 Corporate Strategy to Board members. The paper details the steps that have been taken to engage with staff in the development of the strategy. A Steering Group is in place and has provided feedback to date on the proposals. The Director of Corporate Services noted that within this strategy four themes have been identified and each theme will have associated priorities.
- 6.2 A Board member suggested that a list of stakeholders are provided at the beginning of this document and thereafter throughout the document are noted as 'stakeholders'. A Board member suggested that the Bengoa Report and the recent statement by Minister are both acknowledged within this report.

- 6.3 The Chairman noted the need for more measurable data on outcomes, to be detailed within this Strategy, to ensure continuous improvement and to allow measurement of the impact of the work of RQIA.  
The Chief Executive noted that currently staff members are being surveyed, to identify possible future measures.
- 6.4 The Director of Corporate Services noted that the draft Corporate Strategy is due to be issued for consultation at the beginning of December 2016. This will be presented to the Board for final approval in March 2017, following the public consultation. A further meeting with the Steering Group will be arranged for the end of November 2016. The Director of Corporate Services noted that following approval of the Corporate Strategy, RQIA's Business Plan for 2017-18 will be completed for the new financial year.
- 6.5 The Board noted the Draft Outline Corporate Strategy 2017-21.
- 7.0 **Agenda Item 7 - Corporate Performance Report (Quarter 2) (C/08/16)**
- 7.1 The Director of Corporate Services presented the Q2 Corporate Performance Report to Board members. Members noted that at the end of Quarter two; one action was red, three actions were amber and 21 actions were green. The exception report details four actions, with associated explanations.
- 7.2 **Resolved Action (135)**  
**The Acting Head of Reviews to distribute the Information Sources Project report to Board members.**
- 7.3 A Board member queried progress on action 3.7, zero based budgeting. The Director of Corporate Services informed Board members that this issue has been discussed with the Director of Finance, Business Services Organisation, who advised that this issue will be revisited in advance of the commencement of the 2017-18 financial year.
- 7.4 Board members **APPROVED** the Corporate Performance Report (Q2).
- 8.0 **Agenda Item 8 – Corporate Risk Assurance Framework Report (D/08/16)**
- 8.1 The Director of Corporate Services presented the risk register to Board members and noted the change log on pages two and three of this document. The Director of Corporate Services noted that actions one and five have been reworded; while two actions for risks five and six have also been revised. There have been no new risks added to the register.
- 8.2 Board members noted that the risk register has been presented to the Audit Committee and was adopted; noting that horizon scanning will take place for all Board members in February 2017.
- 8.3 A Board member noted that the Director of Mental Health, Learning Disability and Social Work has advised members of the Board that the

likelihood of risk three of the register occurring is high and should have a high risk rating overall.

- 8.4 The Director of Mental Health, Learning Disability and Social Work informed Board members that as of 10 November 2016, RQIA has provided 207 second opinions within the first six months of 2016/17. This is work that RQIA is not fully funded for recurrently. The Director of Mental Health, Learning Disability and Social Work advised Board members that currently this work, within 2016/17, amounts to £64,000 and RQIA continue to seek funding for this work within the organisation.
- 8.5 Board members noted the increase in second opinions due to societal change. The issue of the fees paid to Doctors for undertaking this work has been raised with DoH.
- 8.6 The Chairman noted that the Chief Executive is developing a paper, which RQIA will use, when reviewing new work to the organisation.
- 8.7 **Resolved Action (136)**  
**Appraisal paper on new work to be shared with the Board.**
- 8.8 The Chief Executive noted that some help internally has been provided to the Director of Mental Health, Learning Disability and Social Work and once this avenue is exhausted, help will be sought from DoH.
- 8.9 The Chief Executive noted that any vacancies arising within RQIA are being filled using bank or agency staff. The Chief Executive also noted the need to reconcile non-recurrent savings.
- 8.10 A Board member noted the reputational risk and the need to reword this risk, to provide clarity on the strategic delivery.
- 8.11 Board members **APPROVED** the Corporate Risk Assurance Framework Report.
- 9.0 **Agenda Item 9 – Audit Committee Business (E/07/16)**
- **Approved minutes of meeting on 23 June 2016**
  - **Verbal update on meeting on 20 October 2016**
  - **RQIA Mid-Year Assurance Statement**
  - **Audit Committee Terms of Reference**
- 9.1 The Chair of the Audit Committee presented the minutes of the meeting of 23 June 2016 to Board members. These minutes were approved by the Audit Committee at the meeting on 20 October 2016. The Chair of the Audit Committee provided a verbal update to Board members on the meeting of 20 October 2016.
- 9.2 The Chair noted the update from Internal Audit, with two priority two recommendations identified from the Management of Complaints and Whistleblowing audit. The Internal Audit report on GAIN was not available for this meeting. The Acting Head of Reviews noted that this report is

- currently with BSO Internal Audit. The Chair of the Audit Committee noted that the Head of Internal Audit has provided limited assurance to both BSO Recruitment and Payroll.
- 9.3 The Chair of the Audit Committee noted that the final Report to Those Charged with Governance was presented at the Audit Committee meeting.
- 9.4 This document was unchanged from that presented at the June meeting. The Committee noted the mid-year assurance statement, which is presented to Board members for approval. The Terms of Reference of the Audit Committee are also presented to the Board. No changes have been made to this document.
- 9.5 Board members **NOTED** the Audit Committee Business.
- 10.0 Agenda Item 10 – Chief Executive’s Performance Dashboard (F/08/16)**
- 10.1 The Chief Executive presented her report to the Board. The Chief Executive noted that she has also produced a qualitative report for the Board, which was tabled at this meeting. Further to a Board member query, the Chief Executive noted that currently RQIA are holding a number of Band 3 posts. One Band 7 post is also unfilled. The Medical Director post has recently been filled and other vacant posts within RQIA are being filled with bank and agency staff.
- 10.2 Board members noted the publication timescale for the upcoming Acute Hospital inspection reports. The Chairman noted that the timeframe for the completion of the next hospital reports will be shorter. The Chief Executive noted that she was content with the media coverage following the Ulster Hospital inspection report.
- 10.3 The Chief Executive noted the ongoing work on the inspection methodology, which proposes one methodology for inspections within RQIA.
- 10.4 The Chief Executive noted the publication of the Learning Disability and Community Services Review. The Chief Executive noted the publication of the DoH public consultation on Fees and Frequencies. A link to this consultation can be found on RQIA’s website.
- 10.5 The Chief Executive noted the organisational review which will be undertaken by the HSCLC; the output of which will be a report to include a workforce development plan and an organisational development plan. This paper will be brought to the Board.
- 10.6 The Chief Executive also noted the recruitment of bank staff and peer reviewers. A meeting with Trade Union representatives was also highlighted to Board members.
- 10.7 The Chief Executive noted that the recruitment for a replacement Board and Executive Support Manager has commenced.

- 10.8 The Chief Executive noted that a formal post project evaluation will be carried out on the recent movement of RQIA ICT systems to BSO.
- 10.9 The Chief Executive noted that currently all Memorandums of Understanding, held by RQIA, are being reviewed.
- 10.10 The Chief Executive highlighted to the Board three recent successful prosecutions, with associated fines. The Chief Executive also noted that over the last six weeks 1900 pieces of work have been completed by the Registration team.
- 10.11 The Chief Executive highlighted to Board members current consultations which RQIA will be responding to. The Chief Executive also noted her attendance at the Medical Directors Forum where a request for support was made in relation to acute hospital inspections. Board members noted that the Acute Hospital Inspection programme has been revised in terms of length of inspection and the questions posed by RQIA during the inspections. Chief Executives of trusts have been advised of these changes.
- 10.12 **Resolved Action (137)**  
**The evaluation paper on the first five inspections and emerging themes will be shared with the Board and placed on the RQIA website.**
- 10.13 The Chief Executive noted that following a Hospital Inspection, trusts will now be asked to share improvement plans with RQIA. RQIA will also write to trusts asking for information in advance of inspections to allow inspectors time to read this information before inspections.
- 10.14 The Chief Executive noted her meetings with external organisations and the opportunity for learning they present.
- 10.15 The Director of Regulation and Nursing noted that the PPI module has now been launched on iConnect, which can capture patient feedback and will allow trend data to be captured.
- 10.16 The Chief Executive noted the NIAO report on emergency admissions and noted that RQIA was not involved within this report. The Acting Head of Reviews informed Board members that RQIA can discuss future programmes with NIAO, so that each organisations programmes can complement each other. Board members noted this helpful verbal update from the Chief Executive.
- 10.17 Board members **NOTED** the Chief Executive's Performance Dashboard.
- 11.0 Agenda Item 11 – Finance Report (G/08/16)**
- 11.1 The Director of Corporate Services noted that an updated finance paper was presented to the Audit Committee on 20 October 2016. This paper details how RQIA will make future recurrent savings. The financial position presented is that to the end of September 2016. Currently RQIA have a

year to date underspend of £70,000. As agreed by the Audit Committee, income has now been profiled evenly over a 12 month period. RRL income is shown as per the general ledger and the actual Registration Fee income is also shown as per the general ledger.

- 11.2 The Director of Corporate Services noted that RQIA forecast breakeven at year end, based on pay and non-pay assumptions. The Director of Corporate Services noted an overspend in CRL; members also noted that prompt payment targets are now being met and full recovery from debtors is anticipated.
- 11.3 The Audit Committee Chair noted his concern in relation to financial management and reporting with the movement of RQIA finance to BSO. The Director of Corporate Services noted that RQIA will continue to liaise with the transferred RQIA staff member until April 2017, for continuity.
- 11.4 Board members **NOTED** the Finance Report.

**12.0 Agenda Item 12 - Update to Standing Orders (H/08/16)**

12.1 The Director of Corporate Services presented Standing Orders to Board members, with some changes for approval. The Director of Corporate Services noted these as textual changes, a change in relation to enforcement panels and a terminology change.

12.2 Board members **APPROVED** the Update to Standing Orders.

**13.0 Agenda Item 13 – Any Other Business**

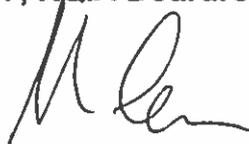
13.1 A Board member noted her interest in the iConnect system for intelligence gathering. The Director of Regulation and Nursing noted that it may be possible to provide further information at a future Board workshop.

13.2 The Chairman extended his good wishes and those of the Board to the Board and Executive Support Manager, in this her last Board meeting.

13.3 As there was no other business, the Chairman brought the public session of the Board to a close at 3.05pm.

**Date of next meeting:**  
**19 January 2017, RQIA Boardroom**

Signed



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

Date

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19th Jan 2017

### Board Action List

<b>Action number</b>	<b>Board meeting</b>	<b>Agreed action</b>	<b>Responsible Person</b>	<b>Date due for completion</b>
101	9 July 2015	The Director of Regulation and Nursing will present the revised Enforcement procedures to the Board within Quarter 2.	Director of Regulation and Nursing	19 January 2017
(130)	22 September 2015	The Director of Regulation and Nursing to ensure that the revised procedures incorporate the recommendations of the Internal Review of Enforcement/ Prosecution Action.		
127	9 June 2016	Board members to receive a presentation, at a future Board meeting, on the work of the GAIN team.	Chief Executive	23 March 2017
132	22 September 2016	Development of 2017-21 Corporate Strategy to be added to the agenda for November, January and March Board meetings.	Chief Executive	10 November 2016
133	22 September 2016	Finalised draft of the 2017-21 Corporate Strategy to be presented at the February Board workshop.	Chief Executive	16 February 2017
134	10 November 2016	The Chairman will review panel membership and other Committee membership of Audit Committee members.	Chairman	19 January 2017
135	10 November 2016	The Acting Head of Reviews to distribute the Information Sources Project report to Board members.	Acting Head of Reviews	19 January 2017
136	10 November 2016	Appraisal paper on new work to be shared with the Board.	Chief Executive	19 January 2017
137	10 November 2016	The evaluation paper on the first five inspections and emerging themes will be shared with the Board and placed on the RQIA website.	Chief Executive	19 January 2017