

# Minutes

**MEETING:** Agency Board  
**DATE:** Thursday 20 June 2013  
**TIME:** 2.00 pm  
**VENUE:** Boardroom, Beechill House, NIMDTA

## Present

### Members

Mr A Joynes (Chair)  
Mr D Morrice  
Mr L Wilson  
Mr G Smyth

### Officers

Professor K Gardiner (Chief Executive/Postgraduate Medical Dean)  
Professor D Hussey (Postgraduate Dental Dean)  
Ms M Roberts (Administrative Director)  
Mr T Hutchinson (Finance Manager)  
Ms R Campbell (Human Resources Manager)  
Mr M McCarey (Corporate Governance Manager)

### In Attendance

Mrs P Dardis (Corporate Services)

## 1 APOLOGIES

Dr C Loughrey (Director of Postgraduate GP Education)  
Mr D Maguire (Non-Executive Member)

## 2 DECLARATION OF MEMBERS INTERESTS

None declared.

## 3 ANNOUNCEMENTS

### Membership of the Agency Board

Members discussed the possible expansion to the membership of the Agency Board to include the Associate Dean for Foundation

Senior  
Management

and Associate Dean and Director for Postgraduate Hospital Specialty Training. It was noted this would require amendment to the Senior Management Committee Standing Orders (Schedule 3). The Chair, Mr Joynes, requested that this be taken forward by Senior Management at their next meeting.

#### Achievements of Senior Officers

The Chair was pleased to announce that Dr John Collins (Associate Dean for Careers and Personal Development) had successfully completed and been awarded his MA degree in 'Managing Medical Careers' from the University of Brighton.

Professor Gardiner, Chief Executive, also announced the award of a Masters in Medical Education from Queen's University to Dr Stan Craig (Head of School for Paediatrics).

It was agreed that awards and achievements should be documented in future annual reports.

#### **4 MINUTES OF PREVIOUS MEETING (Paper B13/28)**

Minute of the meeting held on 25 April 2013, copies of which had been circulated prior to the meeting, were approved.

#### **5 MATTERS ARISING**

Dealt with under the Agenda

#### **6 REPORT FROM THE AUDIT SUB-COMMITTEE**

##### **6.1 Audit Sub-Committee Annual Report (Paper B13/29)**

Members received and discussed the Annual Report from the Chair of the Audit Sub-Committee the purpose of which was to report to the Board on the work undertaken by the Committee in 2012/13. Mr Morrice, Chair of the Audit Sub-Committee, informed the members this was the first time an annual report had been produced and was a requirement of the Audit Committee's Self-Assessment Checklist.

##### **6.2 Unconfirmed Minute of the Meeting held on 22 May 2013 (Paper B13/30)**

Members received and noted the unconfirmed minute from the meeting of the Audit Sub-Committee held on 22 May 2013. Mr Morrice highlighted the following:

## Internal Audit Report to the Audit Sub-Committee

It was noted that all internal audit work had now been completed and a Progress Report from the Head of Internal Audit had given an overview of the results from the completed Audit Reports. Mr Morrice explained the background to the one Priority One finding which had been noted in the Financial Review. It was noted that this related to a stock transaction that had been uploaded to the Finance, Procurement & Logistics (FPL) system in error by the Business Services Organisation (BSO). It was explained that though the error lay outwith the Agency, it was still considered a Priority One. The Financial Review had received a satisfactory level of assurance.

It was noted that a review of the outstanding internal audit recommendations had been completed and ninety-seven percent of the recommendations were found to be implemented and three percent, which equated to one recommendation, had been partially implemented. Mr Morrice commented that this was an excellent result.

It was also noted that the opinion of the Head of Internal Audit in the Internal Audit Annual Report, confirmed that the Agency had met the DHSSPS requirement for compliance with the six identified standards.

## Draft Annual Report 2012/13

The Committee had received and considered the first draft of the Annual Report which had been submitted to the Department within the deadline of 17 May 2013. The Committee had suggested a number of amendments.

## Draft Financial Statements for Year Ended 31 March 2013

The Committee had also received and considered the draft Financial Statements for the Year Ended 31 March 2013. It was noted that the accounts would have met the breakeven target if it had not been for the late return to the Agency of £185k in relation to the GP Trainer Superannuable Pay Accrual. Mr Morrice had requested that a note be added to the Statements in order to explain the circumstances around the repayment and that it had been out-with the Agency's control.

### **6.3 Dates for 2013**

Mr Morrice informed the members that the next meeting of the Audit Sub-Committee had been confirmed for 4 July 2013 at 11.00

am. The main business of the meeting would be to consider the revised Annual Report and Accounts with a view to recommending their approval to the Board.

A further meeting of the Audit Sub-Committee had been confirmed for the 24 October 2013.

*Mr Joynes wished to congratulate the Audit Sub-Committee for their work over 2012/13. Mr Morrice informed the Chair that it had been a team performance.*

## **7 REPORT FROM GOVERNANCE & RISK SUB-COMMITTEE**

### **7.1 Governance & Risk Sub-Committee Annual Report (Paper B13/31)**

Members received and discussed the Annual Report from the Chair of the Governance & Risk Sub-Committee, the purpose of which was to report to the Board on the work undertaken by the Committee in 2012/13. It was noted that the report was an outcome from the Board Governance Self-Assessment Checklist.

### **7.2 Minute of the Meeting of Governance & Risk Committee held on 26 March 2013 (Paper B13/32)**

Members received and noted the minute of the meeting of 26 March 2013. A minor amendment to point 7, date of next meeting, was noted.

### **7.3 Meeting of the Governance & Risk Committee held on 28 May 2013**

The Chair informed the Board that the focus of the meeting had been primarily on the review of the Corporate Risk Register. It was noted that Professor Gardiner (Chief Executive), Ms Roberts (Administrative Director) and Mr McCarey (Corporate Governance Manager), had undertaken to review the Register with a view to aligning the risks with the four accountability domains and the strategic objectives contained within the Business Plan for 2013/14. The amended Register would be presented for consideration to the August meeting of the Governance & Risk Committee. Mr McCarey informed the members that it was hoped that a final draft would be forwarded to the September Board meeting.

Corporate  
Governance  
Manager

## **8 DRAFT ANNUAL REPORT 2012/13 (Paper B13/33)**

Members received and discussed the draft Annual Report 2012/13.

The Chair, Mr Joynes, requested members comments.

Mr McCarey informed the members that the current draft was version five. Amendments had been received and incorporated from External Audit and the Northern Ireland Audit Office and those previously suggested at the May meeting of the Audit Sub-Committee. It was noted Internal Audit had asked for additional information to be included on how the Agency had performed against their Key Performance Indicators (KPIs) during the year.

Corporate  
Governance  
Manager

The Chair commented that it was important that we measure what we are delivering. The welcome addition of the strapline 'Enhancing Patient Care Through Training' to the bottom of the Annual Report was noted.

Additional minor amendments and small typographical errors were highlighted by the members. Mr McCarey would incorporate these into the final draft before forwarding to the July meetings of the Audit Sub-Committee and Agency Board for approval.

Corporate  
Governance  
Manager

*The Chair wished to thank Senior Management for their input into the Report.*

## **9 FINANCIAL UPDATE**

### **9.1 Financial Update**

Members received and discussed the Financial Update (Paper B13/34) from the Finance Manager.

Mr Hutchinson (Finance Manager) summarised the key points within the report which was based upon information currently available and relied upon compliance with procurement procedures and accurate identification by budget holders of outstanding financial commitments.

#### **9.1.1 Breakeven**

Mr Hutchinson asked the members to note that at this stage of the financial year the current reporting period covered only one month. Based upon current expenditure patterns the projected outturn equated to a surplus of 0.2% (£114k) which fell within the breakeven target.

#### **9.1.2 Prompt Payment Compliance**

Mr Hutchinson informed the members that the level of compliance achieved for the period 1 April – 30 April 2013, using the target of

95% of payments to commercial suppliers within thirty days had been 94.38%. It was noted that 77.44% had met the target of 65% of commercial payments to be made within ten working days, as set by the Agency Board.

### **9.1.3 Headcount Controls**

It was noted that the current balance under the headcount control stood at 75.66 i.e. 1.34 posts below the Agency's limit of seventy-seven.

### **9.1.4 General Practice Training**

The increased demand for extended training in General Practice continued to be highlighted as a potential significant financial risk for the Agency. Members noted the increase from April 2012. Mr Hutchinson advised that the budget for GP Specialty Training had been uplifted to reflect the increased demand for Less Than Full-Time Training.

### **9.1.5 Business Services Transformation Programme (BSTP)**

Mr Hutchinson updated members on the current status of the FPL (Finance Procurement & Logistics) and HRPTS (Human Resources, Payroll, Travel & Subsistence) systems.

It was noted that the go-live date for FPL of 1 July 2013 had been postponed until September and the proposed date for HRPTS may be subject to change but currently remained as November 2013.

Mr Hutchinson advised that current systems continued to be used for study leave with a monthly data extraction and upload to the FPL system.

It was noted that the Agency would require a Service Level Agreement with the Business Services Organisation (BSO) for the delivery of financial services. Members discussed the possible costs associated and the extent of the services yet to be determined.

## **9.2 Review of Management Costs and Efficiency Savings Plan**

Members received and discussed the NIMDTA Review of Management Costs and Efficiency Savings Plan which had been brought to the Board for approval before forwarding to the Department. It was assumed that the deadline for return to the Department was the 30 June.

Finance  
Manager

Members agreed to approve the paper subject to the Finance Manager incorporating any further suggestions which should be emailed for inclusion before the deadline.

### **9.3 Draft Financial Statements for Year Ended 31 March 2013 (Paper B13/35)**

Members received and discussed the draft Financial Statements which had been discussed under the Audit Sub-Committee Report.

## **10 REPORT FROM THE CHIEF EXECUTIVE/POSTGRADUATE MEDICAL DEAN (Paper B13/36)**

The Board received and discussed the report from the Chief Executive/Postgraduate Medical Dean. Attention was drawn to the following and the accompanying paper received:

- GMC National Training Survey 2013: Summary Report for Northern Ireland

### **10.1 Quality Management**

Professor Gardiner (Chief Executive/Postgraduate Medical Dean) informed members that the Quality Management Group continued to meet on alternate weeks. The Group had met on four occasions since the April meeting of the Agency Board.

It was noted that the Deanery report to the General Medical Council (GMC) had been submitted on 30 April 2013.

Professor Gardiner drew the members attention to the GMC National Training Survey 2013: Summary Report for Northern Ireland. It was noted that the Survey had received a 98.5% response rate which was an increase from 93.9% in 2012. Members discussed the results of the survey and possible areas for concern which had been highlighted. Professor Gardiner informed the members that the Deanery had coordinated responses to the GMC on twenty-one immediate patient safety concerns arising from the Survey. A further sixty-four non-immediate concerns required a response by 18 July. There were also a number of poor clinical environment and undermining issues to assess which required a response.

Members discussed the continuing service pressures and resulting requests received from the Trusts. At Professor Gardiner's request a meeting had been organised via the Health & Social Care Board (HSCB,) to take the issue of service pressures and trainee numbers

forward. The initial meeting would also include representation from HSCB, the Public Health Agency (PHA) and BLG.

Professor Gardiner provided an overview of planned visits for June through to October 2013. It was noted that the Quality Management Group had also embarked on a series of Specialty School Reviews. Both Emergency Medicine and Pathology had been completed.

## **10.2 Hospital Specialty Team Meetings**

Meetings of the Hospital Specialty Team had taken place in May and June at which the outcomes of the School Reviews were being considered. Professor Gardiner highlighted the shortfalls in recruitment for Core Psychiatry, Core Surgery and Emergency Medicine. It was noted that a third round of recruitment was planned for these specialties. A review of Specialty recruitment was planned for 25 June.

## **10.3 Faculty Development**

A number of events/workshops had been planned for May and June. Future events included the Annual Lead Educator's day which was confirmed for 27 September.

## **10.4 Trainee Support**

The Trainee Support Group continues to meet on a monthly basis.

## **10.5 Revalidation**

The Revalidation Steering Group had held a 'Trainee Awareness Session' on Revalidation on 10 May, led by Dr Claire Loughrey (Director for Postgraduate General Practice Education). A further session led by Dr Ian Steele (Associate Dean) was planned for 21 June.

## **10.6 Staffing**

The following appointment had been made since the April meeting of the Board:

- Dr C Barton (Training Programme Director in Old Age Psychiatry)



The following events had taken place:

- Briefings on the new policy for the Management of Senior Educators (7 & 9 May)
- Briefing Update to Administrative Staff (13 May)
- Senior Management Away Day (7 June)

## **10.7 Representation/Meetings/Training**

Members noted the ongoing events attended by the Chief Executive/Postgraduate Medical Dean.

## **11 REPORT FROM THE ADMINISTRATIVE DIRECTOR (Paper B13/37)**

Members received and discussed the report from the Administrative Director. Attention was drawn to the following and the accompanying papers received:

- Report on Complaints/Incidents/Accidents (April/May 2013)
- Training Gaps Spreadsheet
- Progress Against Objectives Set (2012/13)

### **11.1 Senior Management Team**

The Senior Management Team had met on two occasions since the April meeting of the Board.

#### **11.1.1 Business Services Transformation Project**

The implementation dates for the new FPL and HRPTS systems had been discussed under the Finance Manager's report to the Board. There had been no further communication in relation to the implementation of Shared Services which is dependent on the roll out of the systems.

#### **11.1.2 Review of NIMDTA**

There had been no further developments in relation to the Review. The Review would be discussed with the Permanent Secretary at the Assurance and Accountability Year End Review confirmed for 17 June 2013.

#### **11.1.3 Beechill House Lease**

Ms Roberts informed the members that the meeting scheduled for 3 June 2013 in order to progress matters had been postponed. A new date was being sought, but with the upcoming holiday period

PA – Corporate Services

it was likely to be September before it could be rearranged.

Mr McCarey and Ms Roberts advised the members that Land and Property Services (LPS) were currently looking at a possible five year lease extension with a three year break clause.

#### **11.1.4 Senior Management Planning Day**

A Senior Management Away Day to review goals, aims and strategic objectives, had been held on 7 June 2013 and facilitated by Oliver Boylan.

### **11.2 Risk Management**

#### **11.2.1 Complaints/Accidents/Incidents/Information Requests**

Members received and discussed the reports for April and May 2.13.

Ms Roberts tabled a copy of the full response in relation to the Ministerial correspondence received in April. Mr McCarey would update the report accordingly.

Corporate  
Governance  
Manager

It was noted that the Agency had now received a third Tribunal Claim from the same claimant. The case management discussion in relation to the previous claim had been deferred until August 2013 due to the ill health of the claimant.

It was noted that two Assembly Questions had been received and responded to in May.

#### **11.2.2 Recruitment and Junior Doctor Vacancies**

Members received and discussed the training gaps spreadsheet which showed the position as of the 14 June. It was noted that recruitment for entry into core and specialty training programmes, including Locum Appointments for Training (LATs), continued for a small number of specialties and, as mentioned in the report from the Chief Executive, a small number of specialties would be subject to a third round of recruitment.

#### **11.2.3 Corporate Risk Register**

Covered under the Governance & Risk Committee Report.

#### **11.2.4 Audit Reports**

The report from the Administrative Director gave an update on the

completed audits. It had previously been brought to the attention of the Board that limited assurance had been received for the Management of Educator Staff. It was noted that audit recommendations had been implemented and in line with the audit plan for 2013/14 the Management of Educator Staff will be followed up by Internal Audit to verify that controls are in place.

#### **11.2.5 Internal Audit Plan**

It was noted that the final audit plan for 2013/14 would need to be agreed with Internal Audit before the next Audit Sub-Committee meeting scheduled for 4 July.

The DHSSPS's Internal Audit had indicated to the Sponsor Branch that the Agency would be the subject of a review in 2013/14.

#### **11.2.6 Review of Study Leave**

It was noted that a review of the arrangements for the management and approval of study leave had commenced with a view to ensuring consistency across specialties.

### **11.3 Performance Management**

#### **11.3.1 Business Plan – 2012/13**

Members received and discussed the report summarising NIMDTA's performance against business objectives for 2012/13 which had been reported to the Assurance & Accountability meeting on 17 June.

### **11.4 Information Governance**

#### **11.4.1 Review of Policies and Procedures**

It was noted that a number of trainee policies/procedures were to be reviewed for application across all specialties. These would include Management of Study Leave, Management of Trainees Requiring Support, Less Than Full-Time Training and Appeals processes for Recruitment and ARCPs.

It was also noted that the Information Governance Risk Register would be considered by the Governance & Risk Committee on a quarterly basis.

#### **11.4.2 Medical and Dental Recruitment System (MDRS)**

Ms Roberts informed members that NIMDTA had been advised by

the Deputy Chief Medical Officer to engage with Health Education England's work on a new IT solution for the delivery of medical and dental recruitment and selection. It was noted that the new system required all devolved administrations to buy-in to the new system if it was to operate for all four countries. The cost to the devolved administrations was yet to be identified and it had not been decided by the Department whether Northern Ireland will run with the MDRS system.

#### **11.4.3 Generic Email Address for Trainees**

Ms Roberts informed members that a proposal to provide all doctors and dentists in training with an official email address for the duration of their training had been resurrected and was being taken forward by the Business Services Organisation (BSO). Issues around information security were being considered, however, the email address would enable effective communication between NIMDTA and trainees and also between the trainees and the Trusts.

### **12 REPORT FROM THE DIRECTOR FOR POSTGRADUATE GENERAL PRACTICE EDUCATION (Paper B13/38)**

Members received and discussed the report from the Director for Postgraduate General Practice Education and attention was drawn to the following:

#### **12.1 Representation/Meetings/Training**

Members noted the extensive number of commitments attended by Dr Loughrey (Director for Postgraduate General Practice Education) since the Board had last met in April.

#### **12.2 Specialty Training**

The Chair drew the members attention to the statistics quoted within the report and the number of General Practice trainees which were categorised as 'Out of Sync'.

#### **12.3 Continuing Professional Development**

It was also noted that the uptake for CPD events remained low. The Chair enquired as to the future of CPD within General Practice? Professor Gardiner advised that he was currently organising a Joint General Practice/Dental Workshop to discuss CPD.

## 13

### **REPORT FROM THE POSTGRADUATE DENTAL DEAN (Paper B13/39)**

Members received and discussed the report from the Postgraduate Dental Dean. Attention was drawn to the following and the accompanying document received:

- COPDEND – Standards for Dental Educators

#### **13.1 COPDEND – Standards for Dental Educators**

Members received and discussed the report produced by COPDEND and launched by the Chief Dental Officer for Wales at the COPDEND educational event which he had attended on 16 May. Professor Hussey (Postgraduate Dental Dean) informed members that the report had been developed to allow educators to be measured against the standards.

Ms Roberts enquired as to the need to amend the Agency Business Plan to reflect the standards. Professor Hussey advised that the standards were aspirational and not mandatory. It was agreed that the standards should be referred to in future Business Plans.

Corporate  
Governance  
Manager

#### **13.2 Dental Foundation**

Professor Hussey informed the members that the current cohort of trainees were due to complete their training by the end of July.

Professor Hussey also advised that the four vacant Dental Foundation posts should be filled via the clearing process.

#### **13.3 Continuing Education Issues**

Professor Hussey informed the members that it was planned to increase charges for the Continuing Education Programme from September. He advised that the first five year cycle of continuing professional development for Dental Care Professionals was due to be completed by the end of July. Those who had not completed one hundred and fifty hours of activity would be given a limited period to gain the required CPD or would not be able to remain on the register and unable, therefore, to work.

#### **13.4 Hospital Dentistry**

Professor Hussey informed the members that the post of Hospital Adviser had been re-advertised. It was hoped that the vacancy would be filled.

It was noted that there had been a high level of interest in the Specialist Registrar posts. Interviews were due to take place on 27 June for positions in Restorative Dentistry, Oral Surgery, Special Care Dentistry and Orthodontics.

Professor Hussey further informed the members that a training day had been arranged for Specialty Trainers and Training Programme Directors for 21 June. Dr Nigel Fisher, Associate Dean for Specialty Training in the London Deanery, would be facilitating a morning workshop covering the topics of Workplace Based Assessments, ARCPs in Dentistry and E-Portfolios.

## **14 REPORT FROM HUMAN RESOURCES MANAGER (Paper B13/40)**

Members received and discussed the report from the Human Resources Manager. Attention was drawn to the following and the accompanying papers received:

- Equality of Opportunity
- Flexible Working Policy

### **14.1 Resourcing**

Senior Management had reviewed the administrative vacancies within the Agency at their June Meeting. Three Band 4 posts had been filled on a temporary basis until 31 March 2014. It was noted that these posts could not be filled on a permanent basis until the FPL system had been implemented allowing those staff who may be affected by shared services the chance to, if necessary, be redeployed within the Agency.

Ms Campbell (Human Resources Manager) further advised that interviews for a Band 3 post, approved by Senior Management, would take place on 26 June. There had been a high level of interest in the post.

### **14.2 Resignations**

Ms Campbell updated the members on the recent resignations received within the Hospital and General Practice Departments.

### **14.3 Recruitment**

It was noted that interviews had taken place on 29 April for F2 posts and on 15 May for DF2 posts.

Further to the report from the Chief Executive which had already

informed the members of the appointment of Dr C Barton to position of Training Programme Director for Old Age Psychiatry, the following additional appointments as General Practice Advisers had also been made since the April meeting of the Board:

- Dr E Lawrence
- Dr C Condon
- Dr C McLaughlin
- Dr P Cook
- Dr G Maxwell

#### **14.4 Specialty Recruitment Complaints**

A complaint regarding an interview for a LAT post in Occupational Medicine held in May had been received on 3 June. The complaint had been reviewed by an appropriate senior member of NIMDTA staff. It was noted that as no evidence had been provided the complaint had not been accepted.

#### **14.5 Human Resources, Payroll, Travel & Subsistence System (HRPTS)**

It was noted that the Human Resources Manager and Administrative Director had met with Mr Conor Price, newly appointed Head of Recruitment for Shared Services, on 14 May. The purpose of the meeting was to discuss the possible impact on NIMDTA of the introduction of Shared Services.

#### **14.6 Recruitment and Selection Training**

It was noted that the Human Resources Manager had delivered training to ENT Panel Members on 3 May and to Dental Trainers on 11 June.

#### **14.7 Administrative Staff Meeting**

It was further noted that Ms Campbell had provided a presentation to administrative staff on 13 May in order to explain where the Agency stood in terms of administrative staffing and the provision of the new staff handbook.

#### **14.8 Introduction of Appraisal System for Dental Trainers**

It was noted that Ms Campbell was working with the DF1 Advisers in Dentistry to produce an appraisal system for Dental Trainers. It had been agreed to introduce the system as a pilot with a number of Dental Trainers from August 2013.

## **14.9 Medical HRPTS Meetings**

Ms Campbell and the Hospital Training Co-ordinator had met with representatives from the five Trusts Medical HR Departments on 12<sup>th</sup> and 18<sup>th</sup> June. The purpose had been to update Trusts on information regarding doctors being rotated to their Trust from August 2013 and the fill rate for posts.

## **14.10 Policies for Review**

### Equality of Opportunity

Members received, discussed and approved the Equality of Opportunity Policy.

### Flexible Working Policy

Members received, discussed and approved the Flexible Working Policy subject to the following amendments:

- Title of the Policy to be amended to: Flexible Working Policy for Administrative Staff
- Page 22 - Para 4 last word should read 'week'
- Page 25 – Para 1 should specify the agreement of the Team Leader and colleagues
- Page 26 – Para 1 to be amended to read ... who are required by their Head of Department to undertake ... and ... if agreed in advance with the Head of Department and HR Manager who will be responsible ...

## **15 CORRESPONDENCE/REPORTS/PAPERS (Paper B13/41)**

The Board received and noted the following:

- Internal Audit Opinions - HSC(F)32/2013 – (Correspondence from DHSSPS – 3.6.13)

## **16 ANY OTHER BUSINESS**

There was no further business.

## **17 DATE OF NEXT MEETING**

- Thursday 4 July 2013 – Boardroom (Extraordinary Meeting)

### Confirmed Dates for 2013

- Thursday 26 September 2013 - Boardroom



- Thursday 28 November 2013 - Boardroom

*All formal meetings unless otherwise advised will commence at 2.00 pm with a Pre-Lunch Meeting of Non-Executive Board Members at 1.00 pm.*

#### Non-Executive Members Workshops

- Thursday 29 August 2013 - Boardroom
- Thursday 24 October 2013 - Boardroom

*The above issue led Workshops will commence at 1.30 pm with a Pre-Lunch Meeting. Workshop business to commence at 2.30 pm*

#### Schedule of Meetings for 2014

Members received and noted the schedule of meetings of the Agency Board for 2014. The Chair requested that members note the dates in their schedules.