

**Board meeting**  
Public minutes of the meeting  
17 March 2021



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**Approved Minutes of the Board meeting, 17 March 2021**

**Present**

Caroline Corby (Chair)  
Alan Clamp (Chief Executive)  
Renata Drinkwater (RD)  
Moi Ali (MA)  
Frances Done (FD)  
Antony Townsend (AT)  
Tom Frawley (TF)  
Marcus Longley (ML)

**In Attendance**

Christine Braithwaite  
Mark Stobbs  
Jane Carey  
Graham Mockler  
Douglas Bilton  
Marija Hume  
Daisy Blench  
Dinah Godfree  
Melanie Venables  
Esther Akinfenwa  
Melanie Hueser (Secretariat)

**Observers**

Silvia Dominici (Nursing and Midwifery Council)  
Jonathan Fields (General Medical Council)  
Tom Matthews (General Medical Council)  
Janet Collins (General Pharmaceutical Council)

**1. Welcome and Introductions & Declarations of Interest**

- 1.1 The Chair welcomed everyone to the meeting including members of staff and external observers Silvia Dominici (NMC), Jonathan Fields (GMC), Tom Matthews (GMC) and Janet Collins (GPhC).
- 1.2 AT declared that he was selected as Chair of the SME Liaison Panel of the Business Banking Resolution Service.

**2. Apologies**

- 2.1 There were no apologies received.

**3. Minutes of meeting held on 20 January and matters arising**

- 3.1 The minutes of the last Board meeting held on 20 January 2021 (Paper 01) were accepted as a true and correct record and approved, with these corrections:
- 3.2 **Item 1.2:** MA was elected Chair of Action Against Medical Accidents (AvMA).

3.3 **Item 5.7: Dighton case legal cost:** This item will be discussed at the June Finance Committee meeting.

#### 4. Chair's report (Paper 02)

4.1 This was the first meeting as Chair for Caroline Corby. She gave an update of her main activities since writing the report.

4.2 She commended the Welsh seminar, which was attended by 85 people.

4.3 She had met with the NMC, the GOsC and the HCPC. A meeting with the GMC was planned for the afternoon after the Board meeting. The meetings had been very cordial and complimentary about the Authority. Updates on how the regulators were coping with the Covid-19 pandemic were discussed at the meetings.

4.4 Two of the Board committee members will swap roles from April 1 2021: ML will become a member of the Scrutiny Committee and TF will become a member of the Audit and Risk Committee.

4.5 AT will be taking on the role of Deputy Chair.

#### 5. Executive report (Paper 03)

5.1 The Chief Executive introduced the paper.

5.2 He reminded the Board that the deadline for feedback on the Learning from Covid-19 review was Friday, 19 March 2021. The paper will be published by end of March.

5.3 The dates for the Board strategic planning workshop were being planned for between end of April and mid-May. The agendas will soon be discussed with the Chair, and the Chief Executive invited the Board to send in suggestions.

5.4 AC will speak at the Westminster Health Forum, which will have regulatory reform as a theme.

5.5 S29 cases: The team had a successful appeal in the Hanson case and the registrant will be erased.

5.6 A larger than usual number of case meetings was coming up over the next couple of weeks.

5.7 The Board agreed to discuss the Authority's position on lay vs registrants for regulator Chair positions and will produce a statement.

**Action:** Director of Scrutiny and Quality to send correspondence with the Board members on how to produce this statement.

5.8 The Board requested details on whether the Authority emphasised EDI concerns in the appointment processes for the regulators. The Director of Scrutiny and Quality confirmed that EDI best practice was addressed in the Authority's guidelines. The Authority will consider additional recommendations with the lessons learned from the EDI project.

5.9 The Director of Standards and Policy highlighted the work of her team around regulatory reform and Accredited Registers review.

- 5.10 A number of publications will be published at the end of March/beginning of April.
- 5.11 The Director of Corporate Services confirmed that an ICT update will be submitted to the May Board meeting and a Cloud strategy to the Finance Committee.
- 5.12 System security has been improved after the cyber security exercise in December.
- 5.13 The business plan, which was approved by the Board, will be circulated soon.

## **6. Finance report (Paper 04)**

- 6.1 The Director of Corporate Services presented the paper. The report had been discussed by the Finance Committee and improvements had been made.
- 6.2 The Board noted the report and confirmed that they were content with the new format and the progress that had been made. The Board confirmed that the information was much easier to follow now.
- 6.3 The Board noted that because of the reporting conventions it could be difficult to show the actual amounts of the Authority's surplus clearly. It was agreed that more explanation would be added for clarity.  
**Action:** Add additional narrative to explain the position of reserves.
- 6.4 The Chair of the Finance Committee thanked the Finance team for the hard work that has gone into the report.

## **7. Finance Committee report (Paper 05)**

- 7.1 The Chair of the Finance Committee introduced the paper, confirming that the Committee was content with the proposals in the document.
- 7.2 The Board discussed the processes of delegation and the ability of the Directors Group (which includes the Chief Executive) to move amounts up to £100,000 around in the budget. The Board was content, due to the visibility the Board has of processes, that any significant changes during the year would be brought before the Board in any case.
- 7.3 The Board approved Annexes A and B.

## **8. Audit and Risk Committee report (Paper 06)**

- 8.1 The Chair of the Audit and Risk Committee introduced the paper.
- 8.2 The Board noted the report.

## **9. Scrutiny Committee report (Paper 07)**

- 9.1 The Chair of the Scrutiny Committee introduced the report. Two points were highlighted.
- 9.2 The Committee will have oversight of all performance issue escalations. It will decide for each regulator whether or not any issues warranted escalation to the Board.

9.3 Much work has been done on the Accredited Registers review and the review was now in a good place for further decision making.

9.4 The Board approved the changes to the escalation process.

## **10. Governance and Assurance Framework (Papers 08 + 09)**

10.1 The Chief Executive introduced the papers.

10.2 The Governance Framework was approved by the Board in 2020. The auditors confirmed that it was a model of good practice. A few changes had been made and were suggested by the Board:

- The insertion of the role of the deputy Chair, which will need to be mentioned in a few other places in the document.
- The notice period for the Chair and Board members are to be added.
- The scheme of delegation should be included as an appendix.
- For the Finance Committee, a note will be included regarding the production of an annual report.
- Committee membership will be reviewed by the Chair periodically.

10.3 Subject to these minor amendments, the Board approved the Governance Framework.

10.4 The Assurance Framework was audited in the same way. It was overall found to be satisfactory, but a couple of areas from the Governance Framework should be reflected.

10.5 The format has been changed to reflect the “three lines of defence” model. Most of the information remained the same but it was set out differently.

10.6 The Board requested that something be added about the process for serious untoward events and lessons learned.

10.7 The Board requested that EDI assessment be added to the framework.

10.8 Subject to the amendments, the Board approved the Assurance Framework.

**Action:** Director of Corporate Services to make these changes.

## **11. EDI Project (Paper 10)**

11.1 The Director of Scrutiny and Quality introduced the paper. The EDI report was expected to be finalised by the end of March/early April.

11.2 The EDI consultant will be leading a discussion with the Board on 29 March.

11.3 And EDI action plan will be brought back to the Board for approval.

## **12. Questions from Members of the Public**

12.1 There were no questions from members of the public.

12.2 The Chair thanked the observers for their interest in the Authority.

## **13. Private session of the Board**

13.1 The Board went into the private session of the meeting.

*Candice Cowby*

**Signed by Chair**

**Date 19/05/21**

## Board meeting

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### Action Log

In Progress Overdue Delayed Complete

Mtg. Date	Item No.	Action point	Owner	Date required	Action progress	Status
25 March 2020	8.3	Paid events to be investigated as revenue stream.	CB	17 March 2021	To be considered as part of business planning 2021/22; options will be considered this year.	In Progress
17 March 2021	5.7	Correspond with Board to produce a statement on lay vs registrants for regulator Chair positions	MS	21 July 2021	Proposed to put to Scrutiny Committee in June for further consideration and report to July meeting.	In Progress
17 March 2021	6.3	Add additional narrative to explain the reserves position.	JC	19 May 2021	Complete	Complete
17 March 2021	10.8	Make amendments to the Governance Framework and Assurance Framework.	JC	15 April 2021	Complete	Complete