
Appendix 1

Regulation & Assurance Committee Annual Report 2020/21 to the Board of Directors

2. Introduction

Good practice states that the Board of Directors (the Board) should review the performance of its Committees annually to determine if they have been effective, and whether further development work is required.

The period reported on is from 25 March 2020 to 31 March 2021.

2.03 Impact of Covid-19 and review of Committee Structure

During 2020/21 the Trust made significant changes to its Board and Committee governance structure. In response to the Covid pandemic, Committee meetings were suspended initially. In their place a Regulation & Assurance (R&A) Committee was established to streamline governance processes and include a focus on Covid-19 and the Trust's response (NB the Committee was originally called the Executive and Non Executive Regulation Committee, but was re-named as the Regulation & Assurance Committee from September 2020, as part of the governance review). Any urgent items that required Board oversight and assurance which ordinarily went to a Committee were escalated where required to the R&A Committee.

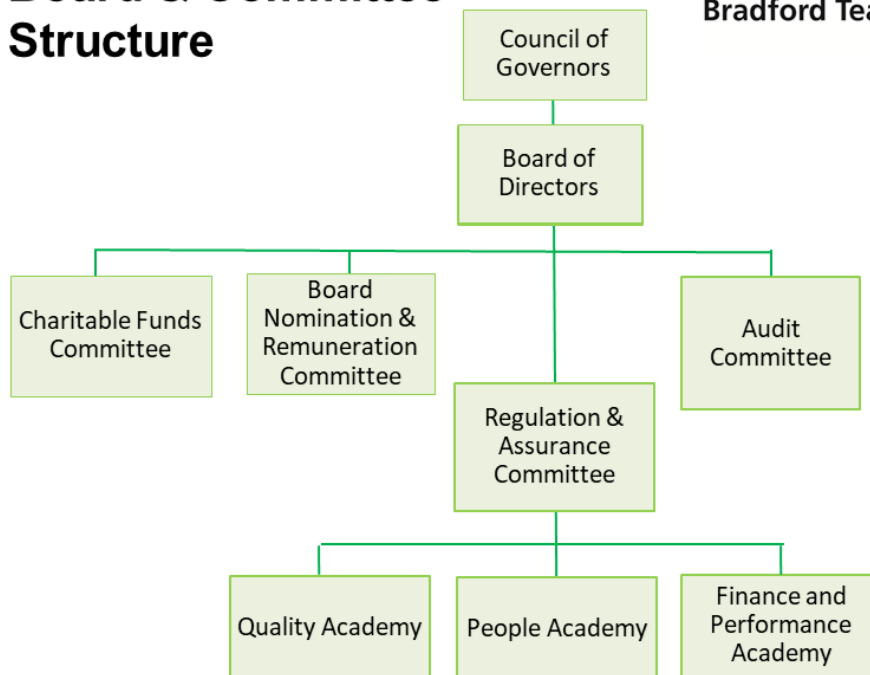
The Trust was previously considering a review of its governance structure and used this opportunity to review its Committees and capitalise on the learning and efficiencies made during the first wave of Covid. The Board considered a new approach involving academies, which would focus on learning and improvement as well as assurance. An independent review was commissioned to develop this proposal and ensure that the transition to a new governance model was managed appropriately. The review was undertaken during the Summer of 2020 including discussions and workshops with Board members. The outcome of the review was presented to the R&A Committee in October where it was agreed to implement the new approach. An action plan and timeline have since been developed, to ensure the effective implementation of the changes. It is acknowledged that it will take up to a year for the new approach to become fully developed and embedded. Regular progress updates are presented to the R&A Committee. An interim review of the approach will be considered at the Board Development session in October 2021, with a full review taking place during January – March 2022.

The implementation of the new model was initially delayed due to the ongoing impact of Covid, however the R&A Committee has continued to meet on a regular basis. A new cycle of meetings was agreed in December, to ensure the flow of information from academies, to the Regulation & Assurance Committee, to the Board.

Work plans and terms of reference for the academies were developed, and the existing work plan and terms of reference for the R&A Committee were reviewed and updated. These were considered at the R&A Committee meeting in March 2021 and were agreed subject to any final comments from Committee members being received. The R&A Committee terms of reference and work plan are being presented to the Board for approval on 20 May 2021.

The new structure is outlined below:

Board & Committee Structure



1.2 Scope of this Annual Report

This annual report incorporates an outline of the activities of the Regulation & Assurance Committee which was in existence from March 2020.

2. Regulation & Assurance Committee

The Committee was established in March 2020, initially in response to the Covid-19 pandemic. The inaugural meeting of the Committee took place on 25 March 2020.

2.1 Responsibilities

The purpose of the Committee is to seek assurance that the Trust is properly governed and is achieving its strategic objectives and meeting its statutory responsibilities.

Initially, the Committee's Terms of Reference included the following duties and responsibilities:

- To receive and review the strategic objectives of the Foundation Trust and ensure decision making in relation to key controls brought by exception are proportionate and effective
- To receive and review the Strategic Risks (with a risk score of 12 or more) or any other risks identified or being managed by the Trust allocated to it by the Board of Directors or escalated by Executive Directors

- Maintaining a strategic oversight of key areas of risk associated with the delivery of the Trust's Strategic Objectives across the Foundation Trust; as escalated by the Executive Directors or as determined by the Board of Directors for inclusion.

Following a review of the terms of reference in March 2021, the Committee is now responsible for the following duties:

- Through receipt of a Chair's report and supporting documents from the Quality, People and Finance & Performance Academies, seek assurance that there is appropriate oversight of the achievement of strategic objectives, statutory responsibilities and risks aligned to the Academies.
- To seek assurance and maintain oversight in relation to the achievement of any strategic objectives, statutory responsibilities and risks that are not aligned to an Academy.
- To receive and review the Strategic Risks (with a risk score of 12 or more) or any other risks identified or being managed by the Trust allocated to it by the Board of Directors or escalated by Executive Directors. The Committee will seek assurance as to the completeness, accuracy and currency of the Strategic Risks including remedial actions and timescales. In relation to risks aligned to an Academy, the Committee will seek assurance through reports from the Academy.
- Through regular review of the Board Assurance Framework (BAF), maintain a strategic oversight of key areas of risk associated with the delivery of the Trust's Strategic Objectives across the Foundation Trust. The Committee will seek assurance as to the completeness, accuracy and currency of the BAF.

2.2 Committee membership and attendance record

The Committee met on a monthly basis during 2020-21 (with the exception of May and August 2020 and January 2021). From March 2021 onwards, the Committee will meet every two months in line with the new meeting schedule. During the reporting period the Committee met 10 times.

Membership and attendance is recorded in the table below.

MEMBERS	25.03.20	29.04.20	18.06.20	29.07.20	23.09.20	14.10.20	18.11.20	16.12.20	17.02.21	10.03.21	TOTAL
Maxwell Mclean (Chair)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	10 of 10
Trudy Feaster-Gee	✓	✓	✓	✓	✓	✓	✓	✓			8 of 8
Mohammed Hussain	✓	✓	✓	✓	✓	✓	X	✓	✓	✓	9 of 10
Julie Lawreniuk	✓	✓	✓	✓	X	✓	✓	✓	✓	✓	9 of 10
Jon Prashar	✓	✓	✓	✓	✓	X	✓	✓	✓	✓	9 of 10
Altaf Sadique								X	✓	✓	2 of 3
Barrie Senior	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	10 of 10
Laura Stroud	X	✓	✓	✓	✓	✓					5 of 6
Selina Ullah	✓	✓	✓	✓	X	✓	X	✓	✓	✓	8 of 10
Karen Walker									✓	✓	2 of 2
Mel Pickup	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	10 of 10
Sajid Azeb							✓	✓	✓	✓	4 of 4
Pat Campbell	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	10 of 10

MEMBERS	25.03.20	29.04.20	18.06.20	29.07.20	23.09.20	14.10.20	18.11.20	16.12.20	17.02.21	10.03.21	TOTAL
Karen Dawber	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	10 of 10
Cindy Fedell	✓	✓	✓	✓	✓						5 of 10
Bryan Gill	X	✓	✓	✓	✓	X*	✓				5 of 7
John Holden	✓	✓	✓	X*	✓	✓	✓	X	✓	✓	8 of 10
Mark Holloway							✓	✓	✓	X	3 of 4
Matthew Horner	✓	✓	✓	✓	✓	✓	✓	✓	✓	X*	9 of 10
Paul Rice									✓	✓	2 of 2
Sandra Shannon	✓	✓	✓	✓	✓	✓					6 of 6
Ray Smith								✓	✓	X*	2 of 3
Paul Southern (Representing informatics)						✓	✓	✓			3 of 3

✓ = Attended	X = Apologies sent	* = Deputy attended
	Denotes period when not a member of the Committee	

2.3 Reporting to the Committee

The Committee has reviewed the following routine items from the work programme during the reporting period.

- Matters escalated from executive directors
- Maternity Services updates
- Staff wellbeing and resilience
- Finance Update*
- Performance Update*
- Integrated Dashboard*
- Serious Incident Report*
- Quality Oversight & Exception Profile (from July onwards)*
- Re-establish and recovery report – September 2020 (from September onwards)*
- Strategic Risk Register
- Board Assurance Framework
- Covid-19 Vaccination Programme Update (from December onwards)
- Infection Prevention & Control – Quarterly Updates and Board Assurance Framework
- Guardian of Safe Working Hours Quarterly Report*
- Palliative Care Team Annual Report July 2019 – July 2020*
- Winter Operational Readiness
- Governance Review – Update (from December onwards)
- Data Protection & Security Toolkit
- National Inpatient Survey*
- Health and Safety Annual Report*
- Freedom to Speak up Annual Report*
- Partnerships committee annual report 2019/20
- Integrated governance and risk committee annual report 2019/20
- Quality committee annual report 2019/20
- Workforce committee annual report 2019/20
- Nurse staffing data
- Annual report on digital

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- Digital Services bi annual report*
 - Quality Account 2019/20
 - Equality update: WRES and WDES action plans*

** = Items which are now presented to the Committee as reference documents, after being considered by the relevant Academy*

During the reporting period the Committee also received and discussed in detail, by way of exception, the following items.

- Covid-19 response update
- CQC Report: Moving to Outstanding
- CQC Action Plan
- CQC Statement of Purpose
- Quality Oversight during Covid-19
- Patient Safety Incident and Health and Safety Management and Compliance Report Q4 2019/2020
- Organisation-wide procedural document, local guidelines and Trust wide clinical guideline compliance - 2019/20 Quarter 4
- Regulation 28: notification and response
- Implementation of ResPECT
- Maternity Electronic Patient Record
- Future Governance Arrangements
- Health Services for people with Haemoglobin disorders – peer review
- Diabetes pumps and consumables business case
- Restart of Mandatory and Statutory Training (MaST)
- Ockenden Assurance Submission
- Parliamentary Health Service Ombudsman Report
- COVID-19 – Operational Update
- Update on assurance & progress of the Internal Audit Plan

From January 2021, after each meeting, the Committee reported to the next Board of Directors meeting by way of a summary report of the key points discussed. Once the Committee meeting minutes were agreed by the Committee, a copy was submitted to the subsequent Board of Directors meeting.

Minutes included a description of the business conducted, risks identified and key actions agreed.

2.4 Cycle of Business

The Committee keeps under review its own working arrangements and agreed an annual work plan in March 2021.

2.5 Conclusion

The Committee believes it has taken all reasonable steps to perform its duties as delegated by the Board and mandated in its Terms of Reference and in accordance with good governance arrangements.

Dr Maxwell Mclean
Chair, Regulation & Assurance Committee