

Name of Sub-Committee:	Research & Innovation Sub-Committee
Chair of Sub-Committee:	Professor Philip Kloer, Medical Director/Deputy Chief Executive
Reporting Period:	June and July 2023
Key Decisions and Matters Considered by the Sub-Committee:	
<p>The purpose of this report is to provide the People, Organisational Development and Culture Committee (PODCC) with an update for information on Research & Development (R&D), TriTech & Innovation Group (TIG) and University Partnership activities as well as governance, and the financial position for assurance. The Research & Innovation Sub-Committee (R&ISC) met on 10 July 2023.</p> <p>The report is also based on meetings and decisions taken at the following:</p> <ul style="list-style-type: none"> • Research Quality & Sponsorship Group (3 July 2023) • Research and Development Leadership Group (21 June 2023) • TriTech & Innovation Group (24 July 2023) • University Partnership activities for the period <p><u>R&I Strategy</u></p> <p>Hywel Dda UHB's Planning Objective 5b sets out the priorities for Research and Innovation (R&I) during 2023/2024, namely delivery of the third year of the R&I Strategy (2021-24) and second year of the five-year TriTech Business Plan.</p> <p>Progress against the Strategy and the associated action plan is routinely monitored at the bi-monthly Delivery Leadership Team meetings and reported to R&D Leadership Group and TriTech and Innovation Group. We are currently on target for delivering the Research and Innovation Strategy 2021-2024. The Year 3 Action Plan has focused on key areas which need to be prioritised to deliver the strategic goals and planning objectives.</p> <p>The 2023/24 priorities against Planning Objective 5b are as follows:</p> <ul style="list-style-type: none"> • Put in place arrangements to grow oncology research trials. • Adequate funding secured through Health and Care Research Wales to support core research delivery establishment. • Complete programme of work to establish 'fit for purpose' research facilities at all Hospital sites. • Increase the number of clinicians with dedicated research time incorporated into their job plans/PADRs. • Achievement of Site Level Research Delivery Plans • Delivery of year two of the TriTech Business Plan objectives • Explore and secure opportunities to diversify the TriTech and Innovation portfolio in view of national and international interest. 	

- Review the size, structure, and capabilities of the TriTech team in view of experience and priorities for the next 12 months.

Governance

Research & Development

Health and Care Research Wales R&D Framework

A new national HCRW R&D Framework was published on 21 July 2023. The Framework outlines what 'research excellence looks like' within NHS organisations in Wales where research is embraced, integrated into services, and is a core part of the organisation's culture. A performance review meeting is scheduled with HCRW on 17 October 2023, an internal assessment of our current position against the ten pillars of the framework will be completed prior and inform discussions. PODCC has received a separate report on the Framework.

Quality Assurance

- Study Sponsorship: No new applications for study sponsorship have been submitted since the last PODCC meeting.
- Audits: No triggered audits have taken place. Two routine monitoring audits have been completed.
- Biobank: A detailed plan for decommissioning and rehoming/destroying samples currently stored for 3 research studies is in progress with advice from the Human Tissue Authority (HTA)/Medicines and Healthcare products Regulatory Agency (MHRA) and Cardiff University Biobank (Material Transfer Agreement being explored). The R&D Division is still on target for ending HTA License by September 2023. The very latest that the Division could end the current license would be 31 March 2024
- An MHRA Inspection Ready internal audit and report progressing as planned, with preliminary findings and a draft audit report due to be submitted to next R&ISC on 11 September 2023

TriTech & Innovation

- Organisational Structure and Staffing: No changes to the organisational structure have been seen over this period.
- Process and Project Tracking Documentation: At the Targeted Intervention Group (TIG) meeting held on 11 April 2023, it was agreed by the TIG that a review of the internal documentation and process within Trittech (particularly in the scoping and project development forms) alongside the project scoping, grants, and active project trackers used by Trittech need review and updating. The formal process was agreed at the meeting on the 22 May 2023 and is currently underway/development.
- QUALITY MANAGEMENT SYSTEM – ISO 13485 Quality and safety standards for the Trittech Institute are part of the new ISO 13485 Quality Management system. The ISO 13485 accreditation was formally delivered and accredited in April 2022 with the BSi formal certificate was received on the 9 Feb 2023. No further issues have arisen. The follow up audit by BSi is due in September 2023.
- Technology Scientific Review Panel (ThoRP) The Technology Scientific Review Panel (ThoRP) has been established; no new projects were reviewed between March 2023 to June 2023

University Partnerships

Nothing to note.

Discussion items

Research & Development

Accommodation

Bronglais Hospital: A newly refurbished space in Ty Aeron at Bronglais General Hospital was opened on 1 June 2023. External cabling works have yet to be completed, however, the Team has relocated and recruitment to portfolio studies has increased.

Withybush Hospital (WH): Following a site visit and discussions with WH leads a space (identified as R156 Cardiac Rehab (40m²) has been agreed for the WH Delivery Team to relocate to in July 2023. The timeline for relocation has yet to be confirmed and is subject to change according to the wider refurbishment plans within the hospital.

TriTech & Innovation

UWSTD collaboration agreement update: At the meeting held on the 22 May 2023 the project lead at UWSTD was asked to provide the TIG with an update and review of the works completed through this collaboration, identifying key deliverables and the future vision of this collaboration.

SU collaboration agreement update: At the meeting held on the 22 May 2023 the project lead at SU was asked to provide the TIG with an update and review of the works completed through this collaboration, identifying key deliverables and the future vision of this collaboration.

Nurokor Project: The current position for Nurokor is that we have still not received the final payment for the Project. Letters and correspondence (with support from Legal and Risk) from HDdUHB have been sent to the company but payment is still not forthcoming. The current situation was discussed at the July TIG meeting. The matter has now been referred to the finance teams with support from the debt collection agency.

University Partnerships

The R&ISC received a verbal update on university partnerships at their July meeting. The Director of Research, Innovation, and Value reported that meetings had taken place with each partner and priorities agreed for 23/24. The PODCC will receive a further update on progress against these priorities following the next round of meetings with university partners in the Autumn.

Assurance Items

Research & Development

HCRW funding update

- The Delivery Spending Plan for 23/24 has been received. The Research Delivery Total for 2023/24 is £1,196,601.
- In the R&D Directors Group, HCRW presented R&D Directors with a proposal to adapt the process for decision-making relating to research delivery funding in 2023/24. The process aims to increase local autonomy in local decision making around the agreed Spending Plan in 23/24, according to criteria set out by HCRW in their All-Wales Research Delivery Funding guidance (v.3). The end of year forecast is to break even. This will depend on our Recruitment to Time and Target key performance indicator (set at 70%) which is tracked by HCRW. A 4% national cost pressure is being applied to the HCRW budget for all R&D

organisations funded, this will need to be managed internally through scrutiny of like for like replacements and fixed term posts.

- Local Risk - The approach also means cost pressures (if they emerge) will need to be applied across local spending plans (which have previously been managed nationally). This will mean that NHS organisations will need to find other sources of funding to meet those costs (e.g. commercial or other income) or have a plan in place to reduce the costs incurred during the year so that the outturn position of every plan is balanced to zero. As the Health Board manage the local budgets very carefully through monthly meetings, and strict management of costs, then this risk has been assessed as minimal but is recorded through the DATIX system.

TriTech & Innovation

TriTech & Innovation Finance Update

- M2 Report 2023/24 – Month 2 position (May 2023) is showing the closing balance as £396,731 underspend with a forecast end of year balance as £83,891 underspend. The underspend in month is mainly attributable to grants being awarded in full in advance of spend against the relevant projects. All grant income is fully committed, and the underspend is deferred into the next reporting period. The TriTech Business Plan projects a forecasted return of £84,694 for 23/24, therefore the forecast is on target with the Plan.
- **TriTech Key Performance Indicators (KPI(s)) report:** all performance indicators, with the exception of two, are currently on target. A separate KPI report has been provided to PODCC.

University Partnerships

Nothing to report.

Information items

Research & Development

Performance KIs for HCRW are on target:

- Recruiting to Time & Target (RTT) - Closed non-commercial portfolio studies 2023/2024 = 100%
- RTT – Open Commercial studies 33% (2 studies open)
- Closed RTT – Trend Data = 80% 2022/2023 (minimum 70% HCRW needed for local autonomy under the new funding arrangements)
- Data completeness is 98%

The ‘Out of Hospital/Primary Care’ research proposal: the proposal submitted to HCRW in collaboration with Powys and Aberystwyth University is on-hold due to the current financial position. Primary Care research is being supported by sites where capacity is available.

Regional Research Collaboration: We continue to work with the wider R&D community and clinical colleagues to resolve some challenges in increasing our commercial and oncology studies. Our Clinical R&D Director is working closely with Swansea Bay’s JCRF around the oncology and diabetes portfolio.

Freezer On-Call: Non-pay costs are currently being reviewed by HCRW, as part of this process R&D are reviewing the current arrangements for managing the on-call costs for R&D freezers based at all 4 localities (hospital sites).

Communications: A post funded jointly by R&I Divisions (Band 5 Communications Officer) is in progress.

TriTech & Innovation

TriTech & Innovation Group National Developments: Innovation RoadMap for Wales and the All-Wales

Adoption Tool: During the development and release of the Welsh Government Innovation Strategy for Wales (2023) ([Innovation strategy for Wales | GOV.WALES](#)), TriTech & Innovation in conjunction with the Innovation Leads Group (Wales) have been involved in producing a ‘roadmap’ for the innovation process in Wales. In addition, as part of this work Welsh Government have also commissioned Trittech to develop an ‘All Wales Innovation Adoption Tool’.

University Partnerships

University Partnership Planning: the planning approach will focus on 2-3 areas/topics which have been collaboratively agreed with each university partner. This will support the HB’s university status and reporting to Welsh Government which will be due in the Autumn.

Matters Requiring People Planning and Performance Assurance Committee Level Consideration or Approval:

PODCC are asked to take assurance from Research & Development (R&D), TriTech & Innovation Group (TIG) and University Partnership activities and decisions reported.

Risks / Matters of Concern:

R&D risk:

Total Number of Risks		3
New risks		0
Closed/Archived risks		2
No change in risk score →		2
Increase in risk score ↑		0
Reduction in risk score ↓		1

Risk Reference and Title	Date Risk Identified	Executive Director	Current Risk Score	
1161 – Lack of research leadership (Service Level)	07/08/2018	Dr Philip Kloer	6	Risk score is at Board tolerance level (6). Risk to be archived for now with possibility of reopening at a later date if needed.
1035 – Lack of research facilities in Bronglais Hospital (Service Level)	26/05/2016	Dr Philip Kloer	4	Staff have relocated and official opening 1 st June 2023. Agreed at R&I Sub Committee meeting to close risk.

1160 – Lack of research leadership (Directorate Level)	07/08/2018	Dr Philip Kloer	9	In May 2023, the Likelihood score was reduced in view of increased numbers of staff with research leader time awards.
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TriTech & Innovation risk:

Total Number of Risks	6
New risks	0
Closed/Archived risks	0
No change in risk score →	6
Increase in risk score ↑	0
Reduction in risk score ↓	0

Risk Reference and Title	Date Risk Identified	Executive Director	Current Risk Score	
1508 – Lack of Clinical Leads to support TriTech Projects	31.08.2022	Dr Philip Kloer	6	<p>Have implemented monitoring of clinical investigators into KPIs.</p> <p>Targeting various medical meetings with clinicians and have also sent out comms via Global.</p>
1509 - risk of other institutions developing a similar model to TriTech Institute, which could dilute the opportunities of working with commercial partners across the UK.	31.08.2022	Dr Philip Kloer	6	<p>Progress completed to implement the above KPIs into the QMS. Currently on progress for 100% project deliverables on time 2023.</p> <p>The agreed design project as outlined in the corrective action plan is on target. Design review 3 to be carried out 24/10/22 to review the verification and validation process steps for the device. The project is complete.</p>
1510 - risk of projects not meeting the legally agreed delivery timescales	31.08.2022	Dr Philip Kloer	6	<p>Customer complaints process and monitoring currently being integrated into the QMS (18/10/22).</p> <p>Monitoring of deliverables currently being integrated into QMS (18/10/22). Currently</p>

				100% of contracted deliverables delivered on time.
1511 - risk of the regulatory framework within the UK impacting upon the opportunity to innovate.	31.08.2022	Dr Philip Kloer	6	Close out visit arranged with BIS for 15/11/22. Correction action plan accepted and ISO13485 design and development achieved. Performance of the QMS is assessed quarterly through QMS review meetings. Ongoing action.
1507 - risk that the TriTech Institute generates insufficient income to cover its cost recovery targets.	31.08.2022	Dr Philip Kloer	4	KPIs have been developed, monitoring and integration of KPIs into working practices is complete. On track to meet business plan objectives.
1506 - risk of recruitment and staff retention impacting upon project deliverables.	31.08.2022	Dr Philip Kloer	4	Away day took place in January 2023.

Since the previous PODCC report, no new risks have been added or closed on the TriTech & Innovation risk register and the current risk score remains unchanged for all risks. All risks are at Service Level with a current score of 6 or lower. The TriTech & Innovation risk register was last reviewed on 20th June 2023 and all risks will be due for review on.

Planned Sub-Committee Business for the Next Reporting Period:

Future Reporting:

- RESEARCH & DEVELOPMENT– Quality, Performance & Finance
- R&D Team Activity Report*
- R&D Performance*
- R&D Risk Register*
- R&D Governance from RQSG*
- R&D Financial Report*
- HCRW / National Developments*
- Any Other R&D Papers*
- INNOVATION – Strategy & Futures
- TriTech & Innovation Activity Report*
- TriTech Risk Register*
- TriTech Financial Report*
- National Developments*
- Any Other Innovation Papers*
- Reports on Strategy Progress
- Strategy Action Plan for 23/24 & progress report

- University Partnerships
- Update from Partnership Meetings

Date of Next Meeting:

11 September 2023