



## **BUSINESS PLAN 2007-08**

## **Background to the Regulation and Quality Improvement Authority**

The Regulation Quality and Improvement Authority is a non-departmental public body, sponsored by the Department of Health, Social Services and Public Safety, with overall responsibility for monitoring and inspecting the availability and quality of health and social care services in Northern Ireland and encouraging improvements in the quality of those services. More information on the Authority can be found at [www.rqia.org.uk](http://www.rqia.org.uk).

### Purpose

To monitor the availability, provision and quality of health and personal social services in Northern Ireland and to be a driving force in promoting improvements in the quality of these services.

### Vision

Safe, effective and high quality health and personal social services for everyone in Northern Ireland.

### Values

The Authority is:

- independent
- accessible
- inclusive
- accountable
- honest
- fair

## Principles

The Authority will:

- respect every person's right to timely, high quality care
- promote choice
- listen to and work with service users and providers
- encourage learning and innovation
- challenge practice where the need for change is demonstrated
- operate with integrity

## **Introduction**

### Corporate Strategy 2006-09

The Authority has prepared a three year corporate strategy. This corporate strategy sets out the goals and objectives through which it will be accountable for ensuring that health and social services in Northern Ireland are available and provided, to the highest standards possible, for everyone who needs them.

The corporate strategy for 2006-09 includes the following four key strategic themes to provide a framework for corporate planning within which all departments will target activities towards measurable outcomes:

#### 1. Raising quality and improving performance

The Authority will work to bring about measurable and enduring improvements in the quality of health and social services for the people of Northern Ireland.

#### 2. Informing, influencing, monitoring and enforcing

The Authority will share information, provide advice, monitor service provision and use its powers to raise service standards, sustain good practice and build public confidence.

### 3. Developing people and partnerships

The Authority will provide an environment which promotes learning, growth and development to secure success and sustained improvement.

### 4. Managing resources effectively, efficiently and economically

The Authority will manage and deploy its resources well in support of overall policy and strategy.

### Business Plan 2007-08

A business plan will be prepared for each year of the corporate strategy. This is the second business plan. It sets out how the Authority intends to deliver in relation to corporate objectives, and will define responsibilities, the timescale for action and what resources are available. The tables in the following pages set out the action that will be taken in 2007-08 to deliver the corporate objectives of the Authority. Where appropriate, additional funding required is listed along side the action point.

The Authority will report on performance through the publication of an Annual Report. The Authority will also prepare a corporate risk register which will include risks in relation to the delivery of corporate objectives and how these risks will be managed.

**Key strategic theme 1 – raising quality and improving performance**

<b>Objective 2006-2009</b>	<b>Action 2007-2008</b>	<b>Outcomes</b>	<b>Responsibility</b>	<b>Completion date</b>	<b>Additional resources required in 2007-2008</b>	<b>Link to Corporate Risk Register</b>
To introduce a framework for the assessment of quality and availability of health and care services across all sectors that is fair, objective and sensitive to the needs of service users and fit for purpose.	Introduce a new evidence based methodology for the inspection of regulated services and facilities.	All quality reviewers using the new methodology as their inspection process.	Director of Operations (Social Services) and Director of Operations (Nursing)	April 2007		<This column will be completed following work on the corporate risk register by PricewaterhouseCoopers>
	Extend regulation to a wider range of care services in 2007-08.	Registration completed for all domiciliary care agencies; day care settings; fostering agencies; voluntary adoption agencies.  Inspections completed on all new care services.	Director of Operations (Social Services), Director of Operations (Nursing)	March 2008		

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-2008	Link to Corporate Risk Register
<p>To carry out and report on the outcomes of an agreed programme of clinical and social care governance reviews of health and personal social services organisations against specific, required quality standards.</p>	<p>Review the clinical and social care governance arrangements in all HSS boards, trusts and agencies using a self-assessment questionnaire and visits by peer and lay reviewers against three of the Quality Standards for Health and Social Care (DHSSPS, 2006)</p> <p>a) accessible, flexible and responsive services b) promoting, protecting and improving health and well-being; and</p>	<p>Reviews conducted in the 5 trusts , boards and agencies. Publication of a report outlining findings following the review.</p> <p>Review of the methodology by an external reference group leading to further refinement.</p>	<p>Director of Operations (Nursing), Director of Operations (Social Services)</p>	<p>May 2008</p>	<p>Additional staff – 2 Project Managers (Band 7) £74,022</p> <p>2 Project Administrators (Band 3) £35,048</p> <p>Goods and services £11,000</p> <p>Total: £120,070</p>	

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-2008	Link to Corporate Risk Register
	c) effective communication and information.					
To report on the results of investigations into, and reviews of, specific service failures in health and personal social services and recommend action to improve the quality of these services.	Introduce a new complaints procedure.	Complaints procedure published. Communicated widely to service users, stakeholders and the general public.	Director of Operations (Social Services)	From April 2007		
	Undertake major reviews initiated by the RQIA.	Reviews conducted and completed within the terms of reference. Reviews initiated through evidence based need.	Appropriate director			
	Carry out major reviews commissioned by the DHSSPS.	Reviews conducted and completed within the terms of reference.	Appropriate director			

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-2008	Link to Corporate Risk Register
	Develop and implement peer and lay review across the regulated sector as part of the review and investigation process.	Recruit peer and lay reviewers. Complete peer and lay reviewer training for the regulated sector.	Director of Operations (Social Services) and Director of Operations (Nursing)	September 2007		
	Development and implementation of a patient/client survey.	Project successfully commissioned. Findings of patient/client survey published. Patient/client survey forms part of the overall assessment of health and social care in NI.	Executive Team	April 2008	Estimate £40,000 per annum	

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-2008	Link to Corporate Risk Register
	Development and implementation of an HPSS staff survey	Project successfully commissioned. Findings of patient/client survey published. Patient/client survey forms part of the overall assessment of health and social care in NI.	Executive Team	September 2008	Estimate £40,000 per annum	
	Governance review of child protection and vulnerable adult procedures in mental health and learning disability hospitals	Publication of findings. Implementation of recommendations.	Director of Operations (Nursing)	September 2007	Additional staff - Assistant Director Mental Health and Learning Disability (Band 8a) £43,942	

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-2008	Link to Corporate Risk Register
	Review of mental health risk assessment and management in adult mental health services	Publication of findings. Implementation of recommendations.	Director of Operations (Nursing)	September 2007	Goods and services £4,400  Total: £48,342	
To publish annual overall assessments on the quality and availability of health and personal social services in Northern Ireland.	Undertake agreed programme of clinical and social care governance reviews, inspections, investigations and produce an overall assessment of health and social care.	Publication of (a) clinical and social care governance review report (2006-07 programme) and (b) overall assessment of health and social care.	Executive Team	March 2008		Availability of sufficient funding, appropriately trained staff and/or partners outside the Authority e.g. universities.

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-2008	Link to Corporate Risk Register
To monitor and evaluate the impact of the work of the Authority.	Agree terms of reference and appropriate external source of quality assurance.	Identification of appropriate external source. Board approval of terms of reference.	Chief Executive, Director of Corporate Services	November 2007		Availability of sufficient funding and partners outside the Authority.
	Work with peer organisations to develop process for external assessment.	Meet with appropriate person at the Healthcare Commission, CISW, HIW, QIS and Care Commission. Paper outlining approach approved at Board level.	Director of Corporate Services	September 2007		
	Begin preparation for use of EFQM model and Investors in People application.	Draft project plan as to how Authority will plan to use EFQM and apply for Investors in People.	Director of Corporate Services	December 2007		

**Key strategic theme 2 – informing, influencing, monitoring and enforcing**

<b>Objective 2006-2009</b>	<b>Action 2007-2008</b>	<b>Outcomes</b>	<b>Responsibility</b>	<b>Completion date</b>	<b>Additional resources required in 2007-08</b>	<b>Link to Corporate Risk Register</b>
	Creation and maintenance of a single, web-based register.	General public able to access register information online.	Director of Corporate Services	September 2007	£30,000 (capital)  Goods and services £8,000	
	Development of an intranet.	Authority staff and board members able to access register, operational and governance information online.	Director of Corporate Services	March 2008	£50,000 (capital)	
To establish a robust and effective information system to assist the Authority to assess and describe the quality of health and social care.	Implement information strategy.	Information strategy approved at Board level.	Director of Corporate Services	September 2007		

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-08	Link to Corporate Risk Register
To ensure the achievement of minimum standards through compliance with regulations.	<p>A full programme of announced / unannounced inspections will be carried out of all regulated services and outcomes.</p> <p>Feedback and recommendations within agreed timescales to services and early alerts to DHSSPS as appropriate. Composite overview of outcomes of all inspections will be reported on in the annual report.</p>	<p>Estimated 1320 inspections completed</p> <p>Inspection reports drafted and issued to providers within 20 days.</p> <p>Access to inspection reports online within 30 days.</p> <p>Quarterly report to Board.</p> <p>Annual report submitted on 27 July 2007.</p>	Director of Operations (Social Services), Director of Operations (Nursing)	March 2008		Delay in the publication of new care standards by DHSSPS.

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-08	Link to Corporate Risk Register
	Follow up training for the regulated sector on new regulations and new care standards following their publication.	Regional training programme completed; Feedback questionnaire indicating clear understanding of the new regulations and new care standards.	Director of Operations (Social Services)	September 2007		
	Development of strategic partnerships with NICE and SCIE.	Memoranda of understanding agreed with both organisations. Programme of joint work established.	Director of Operations (Nursing) and Director of Operations (Social Services)	September 2007		
To provide appropriate and timely information to the DHSSPS, the public and other stakeholders.	Implement the communications strategy based on an analysis of stakeholders needs.	Series of public participation workshops.	Director of Corporate Services	June 2007		

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-08	Link to Corporate Risk Register
Publish an annual report on the Authority's work.	Draft report for 2006-07, seek board approval and submit to NI Audit Office (external auditor) and DHSSPS.	In accordance with circular HSS(F) 06/2007-timetable for 2006/2007 accounts.	Director of Corporate Services	August 2007		

### Key strategic theme 3 – developing people and partnerships

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-08	Link to Corporate Risk Register
To agree strategic partnerships with other regulators, public representatives and service users to ensure a sensitive, service-user focus.	Prepare for the transfer of functions of the Mental Health Commission to the Regulation and Quality Improvement Authority in 2008 under the 'Review of Public Administration'.	Functions of Mental Health Commission identified. Recruitment of a temporary Project Manager. Project plan for transfer of functions drafted and approved at Board level.	Director of Operations (Nursing), Director of Corporate Services	March 2008	Additional staff - temporary Project Manager (Band 6) £30,995  Goods and services £3,100  Total: £34,095	

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-08	Link to Corporate Risk Register
	Develop and implement a public participation strategy for the Authority.	Public Participation Strategy approved at Board level. Publication of a consultation scheme.	Director of Operations (Nursing)	May 2007		
	Development of reference groups e.g. clinical reference groups, special interest groups.	The establishment of at least three reference groups.	Executive Team	September 2007		
	Continue developing and establishing memoranda of understanding with other regulators	Memoranda of understanding agreed with, at minimum, GMC, CJI, HSE and HFEA.	Chief Executive	September 2007		

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-08	Link to Corporate Risk Register
	Host a joint conference with other allied stakeholders in Northern Ireland	Attendance by key stakeholders. Post conference questionnaires completed with positive feedback.	Executive Team	March 2008	Estimate of £50 per head for 200 delegates. Cost to be underwritten: £10,000.	
	Joint inspectorate work with Criminal Justice Inspectorate and Her Majesty's Inspectorate of Prisons	Completion of at least one inspection of health care provision in a prison setting in partnership with the CJI and HMIP.	Director of Operations (Nursing)	September 2007	0.5 W.T.E Quality Reviewer (Band 7) £18,506  Goods and services £2,000  Total: £20,506	
To put in place clear and effective human resources and organisational development strategies.	Review impact of the implementation of organisational development strategy.	Assess effectiveness of new team structure through establishment of key performance indicators. Staff and stakeholder survey.	Director of Corporate Services	March 2008		

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-08	Link to Corporate Risk Register
	Review impact of the implementation of the learning and development strategy	RQIA staff survey. Completion of the post graduate certificate in Regulation, Inspection and Improvement by two inspectorate staff. Induction programme established and completed by 100% new starts, 75% current staff.	Director of Corporate Services	March 2008		
	Review office accommodation.	Analysis of findings from post occupancy survey.	Director of Corporate Services	June 2007		
	Introduce Knowledge Skills Framework as part of Agenda for Change.	Appraisal policy introduced and full implemented. All line managers trained in the new appraisal process.	Director of Corporate Services	October 2007		

**Key strategic theme 4 – managing resources effectively, efficiently and economically**

<b>Objective 2006-2009</b>	<b>Action 2007-2008</b>	<b>Outcomes</b>	<b>Responsibility</b>	<b>Completion date</b>	<b>Additional resources required in 2007-2008</b>	<b>Link to Corporate Risk Register</b>
To achieve year on year improvements in the way that the Authority uses its resources.	Develop resources and capacity for new shared services arrangements	Conduct an option appraisal. Liaise with NISCC and NIGALA.	Director of Corporate Services	September 2007		
To employ robust systems of governance to ensure that the Authority is led and managed well and makes the most effective use of its resources.	Embed a risk management strategy with the board based on best practice and guidance. Prepare and maintain a corporate risk register.	Training on risk management received by all staff and Board members; all Authority staff and Board members involved in risk identification process.	Director of Corporate Services	April 2007		

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-2008	Link to Corporate Risk Register
	Agree a budget for 2007-08 with the DHSSPS, monitor the trend and variability of fee income and ensure sound financial monitoring.	Identification of all ongoing and new Authority work. Business plan approved at Board level.	Director of Corporate Services	April 2007		Careful monitoring of service level agreement with Finance Directorate, Central Services Agency and regular reporting to the board through the Audit Committee.
	Analysis of future trends in fee income	Ensure careful recording of bed numbers and registrations. Compare quarter by quarter information.	Director of Corporate Services	February 2008		

Objective 2006-2009	Action 2007-2008	Outcomes	Responsibility	Completion date	Additional resources required in 2007-2008	Link to Corporate Risk Register
To develop flexible and modern support services for its staff to enable them to undertake their duties confidently and competently.	Implement a new pay system for Authority staff – ‘Agenda for Change’.	Banding completed for all administrative and clerical staff. Job evaluations completed for inspectors.	Director of Corporate Services	September 2007		
	Ensure sufficient resources for new areas of work.	Secure funding from DHSSPS. Ensure fees are received from all registered organisations. Introduction of a business case proforma and business process to bid for resources.	Director of Corporate Services	From April 2007		

## Financial context

The Regulation and Quality Improvement Authority is a non-departmental public body which is sponsored by the Department of Health and Personal Social Services (DHSSPS). The Authority is funded by the DHSSPS and through annual fees and fees for registrations from care providers. The Authority is required to operate and manage its funds within a framework set out in the Management Statement and Financial Memorandum agreed with DHSSPS together with the Financial Reporting Manual. The following table provides a breakdown of the funds available for the functions which have been carried out to date and the additional funds required in order to deliver further requirements of legislation on a recurrent basis:

	£m	£m
<b>Existing functions – per Business Plan 2006-07</b>		
Pay	4.118	
Non-pay	1.257	
<b>Total</b>		5.374
<b>Additional Functions – per Business Plan 2007-08</b>		
Pay	0.203	
Non-pay	0.119	
<b>Total</b>		0.322
<b>TOTAL RECURRENT FUNDING REQUIREMENT</b>		<b>5.696</b>
Funding per Department 2006/07	3.850	
Income from fees	0.750	
<b>TOTAL INCOME 2006/07</b>		<b>4.600</b>
<b>ADDITIONAL RECURRENT FUNDING REQUIRED</b>		<b>1.096</b>



The Regulation and Quality Improvement Authority is an independent organisation which aims to ensure the public in Northern Ireland has access to the best possible standards of health and social care.

The Authority was set up by the Department of Health, Social Services and Public Safety in 2005. It has a remit to regulate, inspect, and monitor statutory, private and voluntary sector bodies which provide health and social care services and to promote, and in certain areas enforce, improved standards wherever they are needed.

If you have any comments or complaints about the work of the Authority, you should contact:

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