



BUSINESS PLAN 2008-09

Background to the Regulation and Quality Improvement Authority

The Regulation Quality and Improvement Authority (RQIA) is a non-departmental public body, sponsored by the Department of Health, Social Services and Public Safety (DHSSPS), 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. The Authority was established in April 2005. More information can be found at 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 Plan 2006-09

The Authority's Board agreed a three year Corporate Plan on 11 May 2006. This Corporate Plan sets out the goals and objectives through which it will be accountable for ensuring that health and social care in Northern Ireland are available and provided, to the highest standards possible, for everyone who needs them.

The Corporate Plan 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.

Progressing the Future - Phase 1

In December 2007, RQIA recommended a number of steps to take forward its Organisational Development Strategy in a paper entitled 'Progressing the Future - Phase 1'. This included:

- new management principles
- planned improvements to human resources policies
- new initiatives in relation to partnership working
- developments in the methodology of inspection
- an improved approach to investigations
- development of a new 'matrix' management structure

This paper was agreed with the DHSSPS in December 2007 and is now being implemented. The new management principles have been agreed with the Authority's staff, key human resources policies have been reviewed and improved, work is well underway on the development of a new methodology of inspection and a new 'matrix' management structure has been in place since February 2008.

Business Plan 2008-09

A Business Plan is prepared for each year of the corporate strategy. This is the third business plan and was approved by the Authority's Board on 11 December 2007. 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 2008-09 to deliver the corporate objectives of the Authority. Where appropriate, additional funding required is listed along side the action point.

RQIA requires additional funding in 2008-09 of approximately £0.98 million. This additional funding will enable RQIA to:

- finalise project planning for the implementation of the new methodology for inspection by 1 April 2009
- complete a comprehensive programme of clinical and social care governance reviews
- undertake an annual clinical and social care governance programme in primary care
- provide more robust, accurate and reliable information management
- complete a full programme of announced and unannounced inspections of all regulated services, including those new to regulation
- undertake meaningful engagement with stakeholders
- implement RQIA's organisational development strategy

The Authority will report on performance on a quarterly basis at public Board meetings, through the publication of an Annual Report and through annual accountability review meetings at the DHSSPS. (Quarterly Reports and Annual Reports can be found at www.rqia.org.uk)

To give a complete picture of the Authority's work in 2008-09, this Business Plan should be read in conjunction with the Corporate Risk Register which includes risks in relation to the delivery of corporate objectives and how these risks will be managed.

This Business Plan was approved by the DHSSPS on 15 April 2008 and a financial allocation letter for 2008-09 was received on 29 April 2008.

Further information

For further information on the Business Plan 2008-09 or Corporate Risk Register please contact John Stewart, Director of Corporate Services, RQIA tel. 028 90 517480 or email john.stewart@rqia.org.uk

Key strategic theme 1 – raising quality and improving performance

Objective 2006-2009		Action 2008-09		Outcomes	Responsibility	Completion date	Additional resources required
1	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.	1.1	Develop an agreed methodology of inspection for areas new to regulation and plan for its implementation in April 2009.	Finalise project planning process for new methodology and implement phase 1 by March 2009.	Director of Quality Assurance	Phase 1 - March 2009 (areas new to regulation)	Regulation Improvement Officer (Band 8A) - £45,917 System Improvement Officer (Band 7) - £37,937 Goods and services £8,400
		1.2	Commission and support research in the area of regulation, review and inspection to inform the framework (three year programme - see 1.1).	Research findings which can inform the work of RQIA.	Director of Quality Assurance		Goods and services - £20,000

Objective 2006-2009		Action 2008-09		Outcomes	Responsibility	Completion date	Additional resources required
2	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.	2.1	<p>Review the clinical and social care governance arrangements in HSC trusts and agencies using an agreed methodology.</p> <p>To include a review of:</p> <ul style="list-style-type: none"> ○ Paediatric IV infusions (hyponatraemia) ○ Healthcare Acquired Infection (desktop review) ○ Medical Consultant appraisal (desktop review) ○ Mixed gender accommodation (survey of HSC trusts) 	Organisational Governance Review reports 2007-08.	Director of Operations	June 2008	<p>Additional project management posts (Band 7) x 2 - £74,022</p> <p>Goods and services £7,400</p>
		2.2	Service Review - Blood Safety April - August 2008.	Service review report blood safety.		August 2008	

Objective 2006-2009		Action 2008-09		Outcomes	Responsibility	Completion date	Additional resources required
		2.3	Joint Service Review Mental Health May - October 2008 (in conjunction with the Mental Health Commission).	Service review report mental health.		October 2008	
		2.4	Commissioned review of the outbreak of clostridium difficile as outlined in the agreed terms of reference Phase 1 - March 2008 - May 2008 Phase 2 - September 2008 - December 2008	Commissioned review potential significant service failure/ wider thematic service review.		Phase 1 May 2008 Phase 2. December 2008	
		2.5	RQIA involvement in the strategic oversight of a review of two maternal deaths in the Northern HSC Trust and a wider service review of maternity services in the Trust.	Strategic oversight of a Trust - serious adverse incident /service review.		May 2008 (dependent on Trust deadlines)	

Objective 2006-2009		Action 2008-09		Outcomes	Responsibility	Completion date	Additional resources required
		2.6	Wider service review of maternity services across HSC trusts - focus on safety and effectiveness.	Planned service review of maternity services based on regional/ national guidelines.		June 2009	
		2.7	Review of the governance arrangements in boards and trusts in relation to the use of independent service providers in contracted HSC provision.	Report on governance arrangements.		Date to be discussed and agreed with DHSSPS	
		2.8	Service review of child protection - December 2008 - July 2009.	Service review report child protection.		July 2009	
		2.9	Develop methodology for annual clinical and social care governance reviews in primary care and begin to undertake reviews in primary care.	A programme of annual clinical and social care governance reviews in primary care.	Director of Service Improvement	September 2008	Primary Care Adviser (Consultant Non-clinical) £96,644 Project Manager Band 7 £37,937 Goods & services £13,300

Objective 2006-2009	Action 2008-09		Outcomes	Responsibility	Completion date	Additional resources required
	2.10	Develop a standard protocol (between DHSSPS, RQIA, other regional bodies as appropriate) for the process to manage service failure reviews.	Agreed process to manage service failure reviews.	Director of Service Improvement		
	2.11	<p>To prepare a report for publication on the overall assessment of the quality and availability of health and social services in Northern Ireland (2007-08) using data/ information received from:</p> <ul style="list-style-type: none"> ○ regulated sector inspection and outcomes ○ governance and service reviews ○ appropriate external sources of relevant data and information sources 	To publish annual overall assessment.	Director of Service Improvement	July 2009	

Objective 2006-2009		Action 2008-09		Outcomes	Responsibility	Completion date	Additional resources required
3.	To monitor and evaluate the impact of the work of the Authority.	3.1	Agree terms of reference and appropriate external source of quality assurance.	Identification of appropriate external source. Board approval of terms of reference.	Director of Quality Assurance	March 2009	
		3.2	Develop and improve RQIA methodologies through preparation of a 'Framework for Better Governance'.	Evidence that the Authority is encouraging improvement, better internal standards and audit.	Director of Quality Assurance	September 2008	

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

Objective 2006-2009		Action 2008-2009		Outcomes	Responsibility	Completion date	Additional resources required
4.	To establish a robust and effective information system to assist the Authority to assess and describe the quality of health and social care.	4.1	Implement Information Management Strategy (approved by the Board on 13 November 2007).	More robust, accurate and reliable information management.	Director of Corporate Services	September 2009	£80,000 (capital funding) Registration Manager (Band 5) £25,737 Administrative support (Band 3) £18,365
	To provide appropriate and timely information to the DHSSPS, the public and other stakeholders.	4.2	Develop and implement an Information Systems Strategy and an ICT Strategy.	Full implementation of the Authority's Information Management Strategy.	Director of Corporate Services	March 2009	Goods and services £4,400
5.	To ensure the achievement of minimum standards through compliance with regulations.	5.1	Carry out and report on a full programme of announced and unannounced inspections of all regulated services.	1,726 inspections completed. Outcomes of inspections used in the production of an overall assessment of the quality of health and social care in Northern Ireland.	Director of Operations	31 March 2009	Pharmacy Inspectors X 3 £119,610 Goods and services £12,000

Objective 2006-2009		Action 2008-2009		Outcomes	Responsibility	Completion date	Additional resources required
6.	Publish an annual report on the Authority's work.	6.1	Draft report for 2007-08, seek Board approval and submit to NI Audit Office (external auditor) and DHSSPS.	In accordance with appropriate DHSSPS circular and agreement with NI Audit Office.	Director of Corporate Services	June 2008	

Key strategic theme 3 – developing people and partnerships

Objective 2006-2009		Action 2008-2009		Outcomes	Responsibility	Completion date	Additional resources required
7.	To agree strategic partnerships with other regulators, public representatives and service users to ensure a sensitive, service-user focus.	7.1	Prepare for the transfer of functions of the Mental Health Commission to RQIA under the 'Review of Public Administration'.	Successful transfer of functions in accordance with the agreed project plan.	Director of Operations	April 2009	To be confirmed
		7.2	Develop and implement a Public Participation Strategy for the Authority.	Meaningful engagement of stakeholders (people with an interest in health and social care in NI) in the Authority's work.	Director of Corporate Services	September 2008 (publication of completed strategy)	Goods and services £30,000

Objective 2006-2009		Action 2008-2009		Outcomes	Responsibility	Completion date	Additional resources required
		7.3	Continue developing and establishing memoranda of understanding with other regulators.	Memoranda of understanding agreed with HM Prisons Inspectorate, Criminal Justice Inspectorate and the Health and Safety Agency. Review existing memoranda of understanding.	Appropriate director		
8.	To put in place clear and effective human resources and organisational development strategies.	8.1	Implement the Authority's Organisational Development Strategy (approved by the Board on 19 July 2007) and 'Progressing the Future - Phase 1' (December 2007).	A different way of working that overarches what the Authority does - a way that embodies vision and values.	Director of Corporate Services	September 2008	Human Resources Officer (Band 7) £37,937 Goods and services £3,800
		8.2	Introduce 'Agenda for Change' and 'Knowledge Skills Framework'.	All staff assimilated onto new pay bands. Appraisal policy introduced and fully implemented.	Director of Corporate Services		

Objective 2006-2009		Action 2008-2009		Outcomes	Responsibility	Completion date	Additional resources required
				All line managers trained in the new appraisal process.			
		8.3	Review disciplinary and grievance procedures.	More effective human resources policies and procedures.	Interim Chief Executive	April 2008	

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

Objective 2006-2009		Action 2008-2009		Outcomes	Responsibility	Completion date	Additional resources required
9.	To achieve year on year improvements in the way that the Authority uses its resources.	9.1	Develop existing resources and capacity for new shared services arrangements.		Director of Corporate Services		
10.	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.	10.1	Develop a new Corporate Plan for the period 2009-12.	A three year framework for action setting out the Authority's purpose, vision, values, principles and how these will be achieved.	Director of Corporate Services	March 2009	
		10.2	Embed a risk management strategy with the Board based on best practice and guidance.	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		

Objective 2006-2009		Action 2008-2009		Outcomes	Responsibility	Completion date	Additional resources required
		10.3	Develop and maintain a register of interests for all staff at the Authority.	Meet external audit recommendation.	Director of Corporate Services	May 2008	
		10.4	Survey Authority Board members and staff on their knowledge and understanding of ethical standards.	Meet external audit recommendation.	Director of Corporate Services	May 2008	Goods and services £5,000
		10.5	Agree a budget for 2008-09 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 2008	

Objective 2006-2009		Action 2008-2009		Outcomes	Responsibility	Completion date	Additional resources required
11.	To develop flexible and modern support services for its staff to enable them to undertake their duties confidently and competently.	11.1	Review office accommodation.	Analysis of findings from post occupancy survey and Equality Impact Assessment.	Director of Corporate Services	May 2008	£20,000 (capital funding) Goods and services £5,000
		11.2	Make further improvements to facilities management including the development of a business continuity plan covering ICT and office facilities.	Business Continuity Plan in place.	Director of Corporate Services	June 2008	To be confirmed

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.

On 28 April 2008, the DHSSPS notified RQIA of a financial allocation (revenue) of £5.05m for 2008-09. A capital allocation is still to be agreed with the DHSSPS.

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
Existing functions – recurrent funding agreed with the DHSSPS in letter of 18 October 2007		
Pay	4,349,575	
Non-pay	1,288,425	
Total		5,638,000
Cost of new management structure	4,213,986	
LESS existing management structure	4,349,575	
Savings		-135,589
Revised total		5,502,411
Additional functions – per Business Plan 2008-09		
Pay	495,958	
Non-pay	79,300	
Total		575,258
TOTAL RECURRENT EXPENDITURE		6,077,669
LESS		
Income from fees 2008-09 (projection)		-790,000

RECURRENT FINANCING REQUIRED 2008-09

ADD
 NON-RECURRENT EXPENDITURE 2008-09
 CAPITAL EXPENDITURE:
 Annual Requirement
 Additional Requirement 2008/09
 TOTAL CAPITAL
 TOTAL FINANCING REQUIRED 2008-09

FINANCING PROVIDED IN 2007-08

 Revenue
 Capital
 TOTAL

ADDITIONAL RECURRENT FINANCING REQUIRED
TOTAL ADDITIONAL FINANCING REQUIRED 2008-09

£m	£m
	5,287,669
	30,000
100,000	
100,000	
	200,000
	5,517,669
	4,534,000
	853,669
	983,669



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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