



# **RQIA Draft Corporate Strategy 2009-2012**

**Version 1.2; 18 May 2009**



The **Regulation** and  
**Quality Improvement**  
Authority

## Our Vision

*To be a driving force for positive change in health and personal social services in Northern Ireland*

## Our Mission ("Value Proposition")

*RQIA provides independent assurance about the quality, safety and availability of health and social care services in Northern Ireland, encourages continuous improvement in these services and safeguards the rights of service users*

## Our Values

- **Independence** - *upholding our independence as a regulator in order to maintain public confidence in the services we deliver*
- **Inclusiveness** - *promoting public participation and building effective partnerships internally and externally*
- **Integrity** - *being honest, open, transparent and consistent in all our dealings with our stakeholders*
- **Accountability** - *being accountable and taking responsibility for our actions*
- **Professionalism** - *providing professional, effective and efficient services in all aspects of our work (internally and externally)*
- **Effectiveness** - *being an effective regulator - forward-facing, outward-looking and constantly seeking to develop and improve our services*

## Contents

<b>1. Foreword</b>	<b>i</b>
<b>2. Executive Summary</b>	<b>iii</b>
<b>3. Introduction</b>	<b>1</b>
<b>4. Strategic Context</b>	<b>2</b>
<b>5. Delivering Value to Our Stakeholders</b>	<b>6</b>
<b>6. Strategic Objectives and Initiatives</b>	<b>9</b>
<b>7. Delivering the Strategy and Managing Performance</b>	<b>27</b>

## Foreword



Dr Ian Carson,  
RQIA Chairman



Glenn Houston  
Chief Executive

The Regulation and Quality Improvement Authority (RQIA), was established on 1 April 2005. It is an independent, non departmental public body which monitors and inspects the quality and availability of health and social care services in Northern Ireland. The mandate is set out in the Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003, which requires RQIA to inform the Department of Health and Personal Social Services (DHSSPSNI) of its findings.

From 1 April 2009, RQIA assumed additional responsibilities under the *Health and Social Care (Reform) Act (Northern-Ireland) 2009*. RQIA is now responsible for the delivery of a range of important functions for people with mental ill health and / or a learning disability. These functions were formerly carried out by the Mental Health Commission and are defined within the Mental Health (Northern Ireland) Order 1986.

There are many challenges facing the health and social care economy, in Northern Ireland, including the need to deliver safe and effective services. RQIA has made, and will continue to make, a significant contribution to improving health and social care for everyone in Northern Ireland, through its programme of inspections and reviews. Recent review activity includes breast screening services, Clostridium difficile and adult mental health services.

RQIA has a responsibility to inspect and review services and to be fair and proportionate in all its activities. RQIA has a duty to focus on service improvement and to make sure that the learning from inspections and reviews is disseminated widely.

We make use of the information gathered during the course of inspections and reviews to inform the DHSSPSNI and the wider public of the quality of health and social services. We use this information to identify areas where further improvement is required. We aim to make all our information accessible to the public.

RQIA has powers to take enforcement action and uses these powers to protect the public interest. Enforcement action is taken when there are serious deficiencies in services which present a risk to the public.

RQIA works closely with other regulatory bodies. For example, we liaise with the Education and Training Inspectorate (ETI) in respect of services to children and young people, including Early Years provision, and we work in conjunction with Criminal Justice Inspectorate (CJI) in respect of prison health and social care. We also liaise closely with health and social care regulators across the UK and in Europe and draw from their experiences and expertise.

The four key strands of our corporate strategy are:

- improving care;
- informing the population;
- safeguarding rights; and
- influencing policy.

RQIA will make best use of its resources to make sure that it continues to be an effective regulator and that its inspections and review reports are used to improve quality across the regulated and statutory sectors.

Looking ahead, we are facing a number of major challenges, with an increasing range of health and social care services now subject to regulation - including day care settings and domiciliary care agencies.

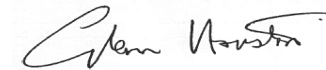
We are also currently undertaking major reviews in activities such as child protection, maternity services and blood safety.

RQIA's Corporate Strategy 2009-2012 has been developed in consultation with stakeholders and guidance from RQIA's Board and staff. We are committed to continuing a dialogue with service users and carers, service providers and public representatives about the quality and safety of health and social care services in Northern Ireland.

Our Corporate Strategy sets out our key priorities for the next three years and details how we intend to achieve our strategic objectives. It should be read in conjunction with our annual business plan.



**Dr Ian Carson**  
**Chairman**



**Glenn Houston**  
**Chief Executive**

## Executive Summary

This is our three-year Corporate Strategy for the period 2009 to 2012.

Our vision is to be a driving force for positive change in health and personal social services in Northern Ireland. We will accomplish this by focusing on the delivery of a robust quality and regulatory framework which is fit for purpose. This means providing independent assurance about the quality, safety and availability of health and social care services in Northern Ireland; encouraging continuous improvements in those services; and safeguarding the rights of service users.

This Corporate Strategy highlights the key internal and external issues and challenges facing RQIA. It provides the context for the representation of RQIA's strategic priorities in the form of a "Value Creation Map", together with corresponding objectives and initiatives.

We have identified four "core activities" which are critical to the success of RQIA and the delivery of the strategy.

These are:

- **Improving Care:** we encourage and promote improvements in the safety and quality of services through the regulation and review of health and social care.
- **Informing the Population:** we publicly report on the safety, quality and availability of health and social care.
- **Safeguarding Rights:** we act to protect the rights of all vulnerable people using health and social services.
- **Influencing Policy:** we influence policy and standards in health and social care.

In order to deliver the strategy RQIA will develop an annual Business Plan setting out our key business objectives and describing how we will deploy our staff and financial resources to best effect in achieving these objectives. Performance against the strategy will be monitored on a regular basis and progress will be reported to the RQIA Board.

The strategic direction we have identified represents an exciting and challenging agenda for the organisation and our staff over the next three years.



## Introduction

This is our Corporate Strategy for the period 2009 to 2012. Its purpose is to define our strategic objectives, the key outcomes we deliver to our stakeholders and how we will focus and deploy our resources over the next three years.

The initiatives identified within this strategy indicate how we intend to deliver our statutory duties and meet the challenges facing the organisation.

The strategy highlights the key issues and challenges facing the Regulation and Quality Improvement Authority (RQIA). This provides the context for the definition and representation of RQIA's strategy in the form of a "Value Creation Map" together with corresponding objectives and initiatives.

The strategy sets out how we will deliver on our key strategic objectives through a robust annual business and financial planning cycle.

It also indicates how progress in delivering the strategy will be monitored and reported to the Board.

## Strategic Context

This section describes how we will meet the key challenges and business drivers facing RQIA over the next three years:

### Quality and Service Improvement

A key driver for the work of RQIA is the rapidly increasing focus on safety and quality of health and social care. International, national and regional initiatives are underway to improve patient and client safety. Service improvement initiatives are increasingly being targeted at enhancing the quality and availability of care across all sectors and there has been an exponential rise in the development of standards and guidelines. Recent high profile cases of service failure have highlighted issues of accountability for quality and safety. They have also resulted in an increased emphasis on the need to ensure high standards of clinical and social care governance.

Against this background, the role of RQIA in providing independent assurance of standards of clinical and social care is of increasing importance. To respond effectively to the opportunities which arise, RQIA will need to be aware of and make best use of emerging evidence on effective

methodologies of regulation. We must continue to develop our approaches to reviewing the availability of care as a key domain of quality. We require effective partnership arrangements with other organisations in Northern Ireland who have emerging roles in the drive towards improved safety and quality including GAIN, the HSC Safety Forum and the new HSC Board and Public Health Agency.

### Regulation

RQIA has a statutory duty to provide assurance as to the quality and availability of services. This statutory duty is carried out by applying a regulatory framework that relies on the principles of fairness, proportionality, accountability, consistency and transparency.

In addition, RQIA believes that any measure of quality should be reflected in the outcomes of care and treatment as experienced by people in receipt of services provided in either the regulated or statutory sectors.

This approach will be demonstrated through reliance on and use of evidence based inspection processes within acute hospitals, other statutory health and social care facilities, as well as in the independent sector. Inspection activity will focus on areas such as environmental cleanliness and infection control.

There is an increasing focus on the rights of service users to experience respectful and professional care, in a considerate and supportive environment, where privacy is protected and dignity maintained.

RQIA continues to develop its range of regulation methods. These methods centre on:

- improvements in the services regulated
- outcomes for service users
- user experience
- ongoing assessment of risk within services
- continued encouragement of self assessment
- validated and credible evidence
- continuous learning for service providers
- safeguarding the rights of vulnerable people
- the use of appropriate enforcement action, and
- value for money

The development of the Quality Standards for Health and Social Care, the Minimum Care Standards for a range health and social care services and the emerging Service Frameworks, gives the public in Northern Ireland an indication of what they should expect from care providers. These standards also provide RQIA with a framework against which to assess quality.

## **Complexity of Health and Social Care Delivery**

The population profile of Northern Ireland is changing. The population exceeded 1.75 million in mid-2007, having increased by 1.0% over the previous year. But, during 2007, there was a 5 per cent increase in the number of births. And, between mid-2006 and mid-2007, it is estimated that 32,300 people came here to live, with a significant number coming from the eight new accession countries that joined the EU in May 2004. Population projections predict an increase of 70,000 people by 2011. Over the next 15 years it is predicted that the older population will increase by around 40% with the number of children remaining at current levels. (Reference: NISRA 86th Annual Report of the Registrar General for Northern Ireland, 10th December 2008).

Health and social care is becoming increasingly complex: it is being delivered in a wider range of settings with new technologies and models of delivery. Developments in information and communication technologies have the potential to revolutionise approaches to the delivery and monitoring of care with, for example, possibilities for delivery of increasingly complex care at home. The development of Regional Service Frameworks create the opportunity for coordinated approaches to the achievement of improvements in the availability and quality of care to help achieve the strategic vision set out in "A Healthier Future".



These changes and developments create new challenges and opportunities for RQIA. For example, we must ensure that our inspection and review programmes evolve to meet the changing environment, and that we are equipped to take on new roles such as the Ionising Radiation (Medical Exposure) Regulations 2000 inspections.

## **Political and Organisational Landscape**

The environment within which we operate is changing with power devolved to the Northern Ireland Assembly. In addition under the Health and Social Care (Reform) Act (Northern Ireland) 2009, which restructures health and social care in Northern Ireland, the functions of the Mental Health Commission transferred to RQIA on 1 April 2009. RQIA has a new range of responsibilities for people with mental ill health and those with a learning disability. These duties and responsibilities are defined in the Mental Health (Northern Ireland) Order 1986.

Three new HSC organisations have been established under the Health and Social Care (Reform) Act (Northern Ireland) 2009, namely the Health and Social Care Board, the Public Health Agency and the Business Services Organisation. Consequently, we need to ensure that RQIA's work fits within a whole systems approach to

commissioning, service delivery, regulation and performance management.

Over the next three years there will be a need to support leadership development and the enhancement of management skills, to recognise the requirement to deliver our services efficiently and within a confirmed budget. We will also need to be fully cognisant of the importance of having effective clinical and social care governance arrangements in place and the need to modernise the way RQIA operates. For example, the use of ICT and information systems together with the ability to interrogate and analyse data will be of critical importance to the effectiveness of our organisation over the course of this strategy.

A critical success factor in ensuring RQIA's continuous improvement and high levels of organisational performance over the next three years will be the investment we make in supporting the development and lifelong learning of our staff.

## **Involving the Public**

Our purpose as a regulator is to encourage improvement in health and social care services in Northern Ireland. To support improvement we must understand the expectations of service users and carers. We recognise that by engaging effectively with the public and with all of our stakeholders, through all aspects of our work, we will achieve improvements in quality across all health and social care services.

In 2008 RQIA involved members of the public in the development of its Public Participation Strategy. The implementation of this Strategy will enable us to fully engage users in the planning and delivery of our work. An advisory group was set up to guide the development and implementation of this strategy and its associated action plan. The advisory group included membership from specific interest groups representing children, older people, carers, charities, mental health and learning disability groups.

RQIA values the input of the public and we will engage meaningfully with the public using methods that meet their varied needs.

## **Meeting these Challenges**

RQIA's Corporate Strategy is centred on the assurance that our health and social care services are subject of a robust system of registration and regulation. RQIA exists to be an effective regulator, to promote quality by identifying and celebrating good practice, to reduce risk by exposing deficiencies where they exist and to improve outcomes for service users by helping to bring about the necessary improvements.

RQIA's stated purpose is to use its regulatory powers and influence to improve care and treatment across both the statutory and regulated sectors. It is necessary therefore for RQIA to achieve a balance between focusing on quality and addressing risk. It is also increasingly important for RQIA to focus its limited resources on those areas where reviews and inspections can make a real difference in reducing harm and in improving outcomes for service users.

## Delivering Value to Our Stakeholders

The strategy poses the question of what value RQIA delivers to its stakeholders and how that can best be achieved. A "value mapping" approach was therefore adopted as the basis for developing RQIA's corporate strategy. At the heart of this approach and, as a first step, a corporate Value Creation Map (VCM) was developed.

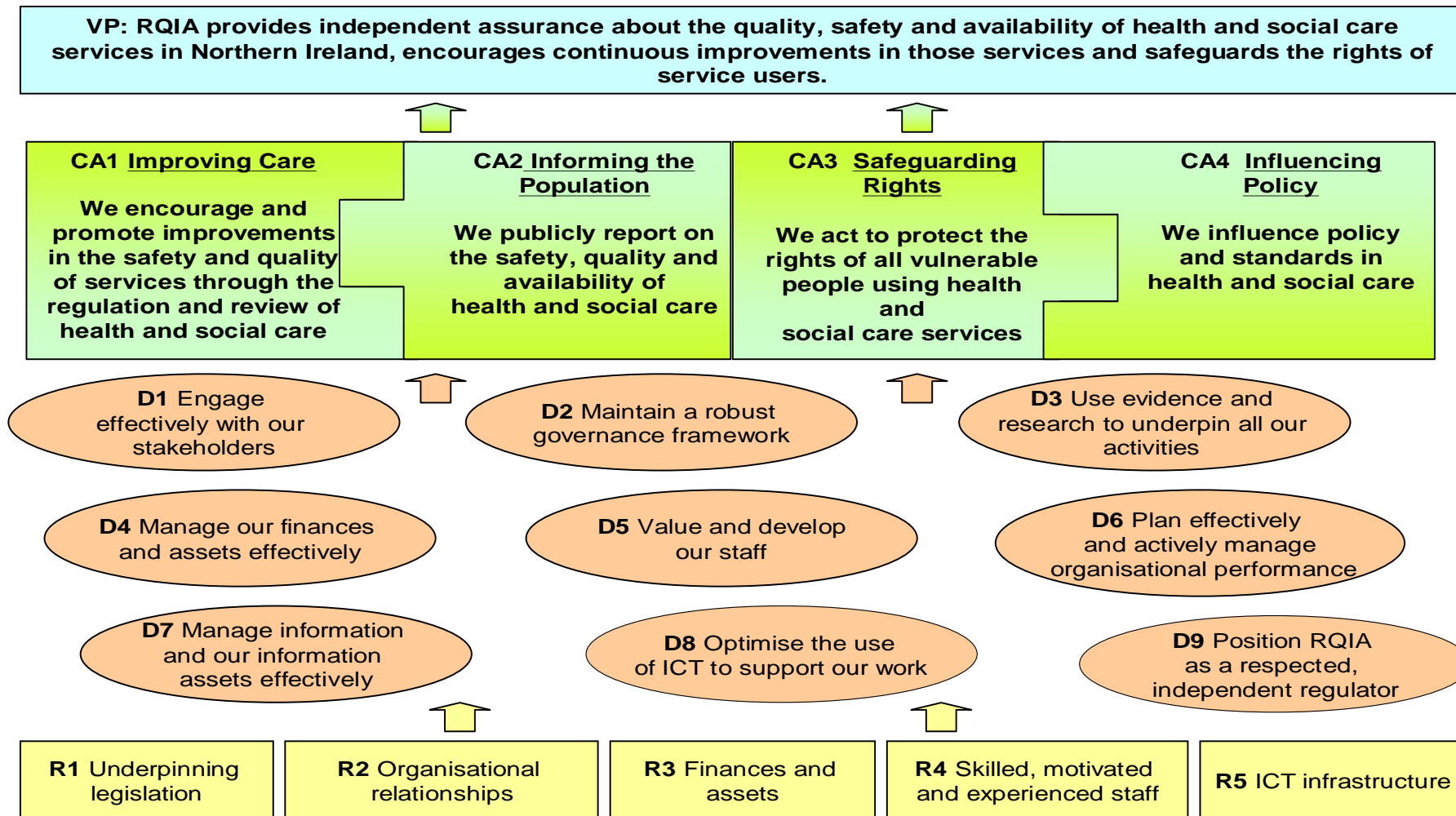
The Value Creation Map (Figure 1) is a visual representation – **on one page** – of our strategy. It defines how RQIA will achieve value for its stakeholders and provides clarity on our strategic direction.

The map shows how RQIA derives value out of its resources in order to meet its core activities and ultimately deliver value to its stakeholders.

The map consists of four key elements:

- The **Value Proposition (VP)** answers the question why RQIA exists and what our roles and deliverables are. Essentially it defines the value we are delivering to our stakeholders.
- **Core Activities (CA)** are the vital activities at which RQIA must excel in order to effectively deliver the value proposition. The core activities define what we must focus on and what differentiates RQIA from other organisations.
- **Value Drivers (D)** represent activities linked to RQIA's financial, physical and intangible resources which need to be in place to deliver the strategy.
- **Resources (R)** which underpin the work of RQIA have been identified.

**Figure 1 - RQIA 'Value Creation Map'**



**Key**

VP = Value Proposition

CA = Core Activities

D = Value Drivers

R = Resources

## What the Map Means

RQIA aims to deliver independent assurance about the quality, safety and availability of health and social care services in Northern Ireland, encourage continuous improvements in those services and safeguard the rights of service users.

To achieve our mission and purpose we must focus on the delivery of four core activities:

- encouraging and promoting improvements in the safety and quality of services, through the regulation and review of health and social care,
- publicly reporting on the safety, quality and availability of health and social care,
- acting to protect the rights of all vulnerable people using health and social care; and,
- influencing the development of national and regional policies and improving standards in health and social care.

RQIA's success in delivering on these core activities for its stakeholders is dependent on driving value out of our resources in nine key areas, known as value drivers, and shown on the value creation map.

We have a wide range of stakeholders and we recognise the need to engage effectively with them to inform the direction and delivery of our work. Opportunities to work in partnership with other organisations will be actively explored.

At the heart of the way we work is the need for accountability, probity and openness in our systems, processes and behaviours. To achieve this we maintain a robust governance framework and strive to implement best practice standards.

RQIA recognises the importance of the effective management and sharing of information to support decision-making, performance management and influence quality improvement. To do this, and to support the wider work of RQIA, it is essential that we make better use of technology. Furthermore, the use of evidence and research must underpin all our activities and support RQIA's policies, practices and procedures.

To realise our vision we must have a coherent and responsive strategic planning process underpinned by active performance management at all levels of the organisations and fully aligned to our resource allocation and financial management. This will ensure that RQIA takes appropriate and timely decisions about priorities, resources and structures to enable high performance and organisational learning.



In delivering our strategy we will have increased public confidence and positioned RQIA as a respected, independent regulator. This can only be achieved if we ensure the development, participation and motivation of our staff to enhance their knowledge and skills in order to improve their performance and that of the organisation as a whole.

## **Strategic Objectives and Initiatives**

Each element of the Value Creation Map has been defined, and strategic objectives with linked with initiatives have been developed. Key Performance Indicators (KPIs) based on asking Key Performance Questions (KPQs) have been developed which allow us, in turn, to measure our performance against our strategic objectives.

These objectives, initiatives, Key Performance Questions and Key Performance Indicators are presented below for each of the Core Activities and Value Drivers on the map.

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<b>CA1</b>	<p><b>Improving Care:</b> We encourage and promote improvements in the safety and quality of services through the regulation and review of health and social care</p> <p><i>RQIA use evidence-based best practice in its approaches to service inspection and review with a strong focus on identifying and addressing areas where the quality, safety or availability of services can be enhanced for patients and clients.</i></p>
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<b>Strategic Objectives By 2012 we will have:</b>		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
CA1.1	Completed a prioritised and focused programme of service reviews and inspections to inform our overall assessment of health and social care in Northern Ireland	<ul style="list-style-type: none"> <li>• Criteria-based prioritisation of service reviews</li> <li>• Identification of themes for regulated services inspection</li> </ul>	<ul style="list-style-type: none"> <li>• How effective are we at delivering a programme of service reviews and inspections which lead to demonstrable improvement in services across Northern Ireland?</li> </ul>	<ul style="list-style-type: none"> <li>• Percentage of governance and service reviews and inspections completed in line with the agreed Terms of Reference each year</li> </ul>

Strategic Objectives By 2012 we will have:		Initiatives to Achieve Strategic Objectives	Key Performance Questions (KPQ's)	Key Performance Indicators (KPI's)
CA1.2	Improved local and national methods for the inspection and review of services	<ul style="list-style-type: none"> <li>• The New Inspection Methodologies for Regulated Services Project</li> <li>• Inventory and review of all methodological approaches used in the assessment of statutory HSC services</li> <li>• Develop Internal and External Quality Assurance (QA) arrangements across the work of RQIA</li> <li>• Develop and promote lay involvement in the work of RQIA</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent are the methodologies we use effective, based on evidence and recognised as best practice?</li> </ul>	<ul style="list-style-type: none"> <li>• Annual report of outcomes and recommendations of quality assurance activity</li> </ul>
CA1.3	Evidenced that the results of our programme of inspections and reviews is having a demonstrable impact on service improvement	<ul style="list-style-type: none"> <li>• Plan and carry out an impact analysis of the work of RQIA</li> </ul>	<ul style="list-style-type: none"> <li>• What difference is our programme of inspections and reviews making to the quality, safety and availability of health and social care in Northern Ireland?</li> </ul>	<ul style="list-style-type: none"> <li>• Annual analysis of the impact of regulation and review activity on the improvements in the quality and safety of health and social care services</li> </ul>

<b>CA2</b>	<p><b><u>Informing the Population:</u> We publicly report on the safety, quality and availability of health and social care</b></p> <p><i>RQIA makes easily available to everyone the outcomes of its programme of inspections and service reviews and its independent assessments of the current state of safety, quality and availability of health and social care in Northern Ireland. RQIA maintains an accessible live register of regulated establishments and agencies.</i></p>
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<b>Strategic Objectives By 2012 we will have:</b>		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
CA2.1	Made available our Register of Regulated Establishments and Agencies, our programme of work and all inspection and review reports in easy, accessible and available formats.	<ul style="list-style-type: none"> <li>• Establish performance management systems for the timely public reporting of inspection and review activity</li> <li>• Develop a web-based version of Register of Regulated Establishments</li> <li>• Publish our planned 3-year programme of Review activity after consultation with our stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• How relevant and accessible is our information about the safety, quality and availability of health and social care?</li> <li>• How do we know people are using our information about the safety, quality and availability of health and social care?</li> </ul>	<ul style="list-style-type: none"> <li>• Percentage of establishments and agencies whose most recent reports are published through the web-based Register and in a range of accessible formats</li> <li>• A survey to assess the extent to which people are using our information about the safety, quality and availability of health and social care</li> </ul>
CA2.2	Used our information to provide an overall assessment of the state of health and social care in NI	<ul style="list-style-type: none"> <li>• Design and publish an overall assessment based on our 3-year programme of reviews and inspections</li> </ul>		

<b>CA3</b>	<p><b><u>Safeguarding Rights:</u> We act to protect the rights of all vulnerable people using health and social services</b></p> <p><i>RQIA uses all its statutory powers and mandate under the Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003, Mental Health (Northern Ireland) Order 1986 and other associated legislation to protect the rights and interests of all vulnerable people.</i></p>
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<b>Strategic Objectives By 2012 we will have:</b>		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
CA3.1	Ensured all RQIA work takes account of the principles and legislative basis of Human Rights and Equality	<ul style="list-style-type: none"> <li>• Develop strategic alliances with organisations with a specialist role in Human Rights and equality</li> <li>• Carry out an Accessibility Audit across all aspects of our work</li> <li>• Undertake a full programme of work to assess health and social care organisations' approaches to the protection of all vulnerable people</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent do we demonstrate good practice in promoting human rights and equality?</li> </ul>	<ul style="list-style-type: none"> <li>• Six-monthly self-assessment of RQIA functions against an validated assessment tool</li> <li>• Evidence of having appropriate links to and joint activity with both the Human Rights and Equality Commissions.</li> </ul>
CA3.2	Incorporated and discharged our functions under the Mental Health (Northern Ireland) Order 1986	<ul style="list-style-type: none"> <li>• Develop and refine our capacity and capabilities to fulfil our responsibilities under the Mental Health Order</li> </ul>	How effectively are we discharging our functions under the Mental Health (Northern Ireland) Order 1986?	<ul style="list-style-type: none"> <li>• Quarterly report on the discharge of functions under the Mental Health (Northern Ireland) Order 1986 by RQIA</li> </ul>

<b>CA4</b>	<p><b><u>Influencing Policy:</u> We influence policy and standards in health and social care</b></p> <p><i>RQIA uses the experience gained from its investigations and reviews to impact on the development of national and regional policies and the improvement of standards to enhance the quality, safety and availability of health and social care.</i></p>
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<b>Strategic Objectives By 2012 we will have:</b>		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
CA4.1	Contributed to the development and improvement of regional policies and standards	<ul style="list-style-type: none"> <li>• Ensure all RQIA reviews have an assessment of implications for policies and standards</li> <li>• Establish a process with DHSSPS to review legislation, regulations and standards in the light of our experience</li> <li>• Develop a "Standards' Directory" in relation to HSC</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent does RQIA impact on regional and UK-wide national standards for health and social care?</li> <li>• To what extent does RQIA impact on regional policy to improve the safety, quality and availability of health and social care in NI?</li> </ul>	<ul style="list-style-type: none"> <li>• Annual summary of RQIA's impact on policy, standards and guidelines</li> </ul>

<b>D1</b>	<p><b>We engage effectively with our stakeholders</b></p> <p><i>RQIA talks with and listens to its stakeholders in order to inform the direction and delivery of its work and seeks opportunities to work in partnership.</i></p>
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<b>Strategic Objectives By 2012 we will have:</b>		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
D1.1	Developed effective communication methods to meet the complex and varied needs of the Northern Ireland public	<ul style="list-style-type: none"> <li>• Implement Public Participation Strategy and develop and review associated Action Plans</li> <li>• Develop and implement a new Communication Strategy</li> <li>• Update and upgrade website on ongoing basis</li> <li>• Develop intranet site for staff</li> </ul>	<ul style="list-style-type: none"> <li>• How effective are we in engaging with the public?</li> <li>• How is our practice changing in relation to internal and external communication activity?</li> </ul>	<ul style="list-style-type: none"> <li>• Six monthly progress Report on the implementation of the Public Participation Strategy</li> <li>• Six monthly progress Report on the implementation of the Communications Strategy</li> </ul>
D1.2	Developed strategic partnerships with stakeholder bodies to support improvement in the quality of health and social care in Northern Ireland	<ul style="list-style-type: none"> <li>• Develop a range of Memorandums of Understanding (MOUs) with organisations relevant to our work</li> <li>• Pilot implementation of new standards for revalidation with professional regulators</li> <li>• Carry out joint reviews with partner inspectorate bodies</li> </ul>		

<b>D2</b>	<p><b>We maintain a robust governance framework</b></p> <p><i>RQIA has in place an adequate and effective system of internal control covering financial, organisational and other systems and processes to ensure that they meet the required standards of accountability, probity and openness. Risks which may impact on the delivery of RQIA's objectives are actively managed and controlled.</i></p>
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	<b>Strategic Objectives By 2012 we will have:</b>	<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
D2.1	Met legislative requirements and best practice in relation to governance, risk management and independent assurance	<ul style="list-style-type: none"> <li>• Fully implement revised DHSSPS Assurance Framework including regular reporting to the Board</li> <li>• Establish a project to achieve full compliance with relevant controls assurance standards</li> <li>• Embed risk management processes throughout RQIA</li> <li>• Complete review of the Management Statement and Financial Memorandum</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent are we operating to high standards of governance?</li> <li>• How effectively are we managing risk?</li> </ul>	<ul style="list-style-type: none"> <li>• Mid-Year Assurance Statement and End-of Year Statement of Internal Control</li> </ul>

<b>D3</b>	<p><b>We use evidence and research to underpin all our activities</b></p> <p><i>RQIA continuously develops and evaluates its approaches to inspection and review so that it can justify the recommendations it makes and the regulatory actions it takes.</i></p>
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<b>Strategic Objectives</b> By 2012 we will have:		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
D3.1	Developed an evidence based culture to our practice across all the functions of RQIA	<ul style="list-style-type: none"> <li>• Establish training of relevant staff in RQIA on the utilisation of evidence based approaches.</li> <li>• Carry out an assessment of the evidence base to support our policies, practices and procedures</li> <li>• Develop a research policy and strategy for RQIA</li> <li>• Promote RQIA as environment for learning and development</li> <li>• Incorporate user/carer focused research when planning reviews and inspections</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent can we demonstrate that our practices are based on sound evidence?</li> <li>• How are we using the outcomes of our work to build the evidence base for regulation and review activity?</li> </ul>	<ul style="list-style-type: none"> <li>• % of reviews using a methodology appropriately referenced against an evidence-based framework</li> <li>• % of recommendations in inspection reports which were based on appropriate evidence (information to be gathered via sample audit)</li> <li>• Annual report on lessons learned in relation to RQIA's experience of using methodologies for inspections and reviews</li> </ul>

<b>D4</b>	<b>We manage our finances and assets effectively</b>  <i>RQIA has clear financial planning systems and processes to enable it to deliver its strategic and operational priorities within budget.</i>
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<b>Strategic Objectives By 2012 we will have:</b>		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
D4.1	Aligned the financial and business planning processes of RQIA to ensure our resources are focused on strategic priorities and we achieve Value for Money	<ul style="list-style-type: none"> <li>• Identify and secure the resources required to meet existing and emerging business needs</li> <li>• Maintain a budgetary reporting system and develop the provision of financial management information</li> <li>• Develop and review relevant policies and procedures</li> <li>• Review the finance function in the context of new Business Support Organisation</li> <li>• Establish continuing VFM and efficiency programmes</li> </ul>	<ul style="list-style-type: none"> <li>• How effective are our processes to identify existing and emerging resource requirements?</li> <li>• How effective are we in managing our budget?</li> <li>• How successful are we at delivering our work programme efficiently and cost-effectively?</li> </ul>	<ul style="list-style-type: none"> <li>• Regular reports on financial performance</li> <li>• Breakeven on income and expenditure</li> <li>• Achievement of the necessary CSR efficiency savings and other cost reductions on a recurring basis</li> </ul>



Strategic Objectives By 2012 we will have:		Initiatives to Achieve Strategic Objectives	Key Performance Questions (KPQ's)	Key Performance Indicators (KPI's)
D4.2	Maintained and made best use of RQIA's non-financial assets	<ul style="list-style-type: none"> <li>• Continuously review RQIA's accommodation requirements</li> <li>• Develop and implement a Corporate Business Continuity Plan</li> </ul>	<ul style="list-style-type: none"> <li>• How effective are we in utilising our assets?</li> </ul>	<ul style="list-style-type: none"> <li>• Total property costs (occupancy, operational and management) per square metre (Audit Commission)</li> <li>• Total office accommodation (square metre) per staff full-time equivalent (FTE) (Audit Commission)</li> <li>• Space use efficiency:               <ul style="list-style-type: none"> <li>○ Workstations per FTE</li> <li>○ Area (square metres) per workstation</li> </ul> </li> </ul>

<b>D5</b>	<p><b>We value and develop all our staff</b></p> <p><i>RQIA ensures the development, participation and motivation of its staff to enhance their knowledge and skills to improve their performance and that of the organisation.</i></p>
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<b>Strategic Objectives By 2012 we will have:</b>		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
D5.1	Continued to ensure that we have a professionally competent workforce delivering on the objectives set out in the Corporate Strategy	<ul style="list-style-type: none"> <li>• Develop and implement a Learning and Development Strategy</li> <li>• Establish a range of mechanisms to engage, communicate and receive feedback from staff</li> <li>• Fully implement the Knowledge and Skills Framework (KSF) and ensure all staff agree annual Personal Development Plans (PDPs) as part of a robust appraisal process</li> <li>• Review Human Resources and related policies and procedures</li> </ul>	<ul style="list-style-type: none"> <li>• How effective are we at communicating with our staff?</li> <li>• How good are we at training and developing staff?</li> </ul>	<ul style="list-style-type: none"> <li>• % of staff who are satisfied with communication from the Executive Team</li> <li>• % of staff who are satisfied with the opportunities available to engage with their Line manager:               <ul style="list-style-type: none"> <li>• Access to Line Manager</li> <li>• Regular Team Meetings</li> </ul> </li> <li>• % of staff with PDPs linked to KSF</li> <li>• Average days per full-time employee per year invested in learning and development</li> </ul>



Strategic Objectives By 2012 we will have:		Initiatives to Achieve Strategic Objectives	Key Performance Questions (KPQ's)	Key Performance Indicators (KPI's)
		<ul style="list-style-type: none"> <li>• Develop appropriate Human Resources and Organisational Development strategies</li> <li>• Establish a project to achieve and maintain Investors in People accreditation</li> <li>• Promote and develop public participation with our staff through a range of training and awareness raising activities</li> </ul>	<ul style="list-style-type: none"> <li>• How good are we at recruiting and retaining staff?</li> </ul>	<ul style="list-style-type: none"> <li>• Average working days per employee (FTE) per year lost through sickness absence</li> <li>• Stability Index 1 (the percentage of staff who were in substantive posts at [date] that year and who were still in substantive posts in RQIA a year later)</li> <li>• Stability Index 2 (the percentage of staff who were in substantive posts at [date] that year and who were still in substantive posts in RQIA two years later)</li> <li>• Turnover Rate (the number of 'leavers' in the last year as a % of the average total staff)</li> </ul>

<b>D6</b>	<p><b>We plan effectively and actively manage organisational performance</b></p> <p><i>RQIA has a coherent and responsive strategic planning process underpinned by active performance management at all levels of the organisation. This ensures RQIA takes appropriate and timely decisions about priorities, resources and structures to enable high performance and organisational learning.</i></p>
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<b>Strategic Objectives By 2012 we will have:</b>		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
D6.1	Developed a fully integrated planning and performance management cycle enabling improved organisational decision-making and learning	<ul style="list-style-type: none"> <li>• Develop, implement and continuously review the new corporate strategy</li> <li>• Develop and implement annual business plans aligned to the corporate strategy</li> <li>• Review RQIA's performance management processes and identify a range of strategic performance measures</li> <li>• Further develop performance monitoring and reporting</li> <li>• Establish mechanisms to ensure that organisational performance is continuously reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent do we have in place clear strategic and planning priorities which are understood by all staff?</li> </ul> <hr/> <ul style="list-style-type: none"> <li>• To what extent do we have a fully integrated and effective planning and performance management cycle?</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Business Plan aligned to three year Corporate Strategy</li> <li>• % of staff with personal objectives clearly linked to RQIA's strategic objectives</li> </ul> <hr/> <ul style="list-style-type: none"> <li>• Regular reports to the Board on performance against strategic objectives</li> </ul>



Strategic Objectives By 2012 we will have:		Initiatives to Achieve Strategic Objectives	Key Performance Questions (KPQ's)	Key Performance Indicators (KPI's)
D6.2	Improved our performance through benchmarking with other organisations involved in regulation and standard setting	<ul style="list-style-type: none"><li>• Explore and enhance new operational relationships with regulators across the UK and Ireland</li></ul>		

<b>D7</b>	<p><b>We manage information and our information assets effectively</b></p> <p><i>RQIA manages and shares information and intelligence to support effective decision-making, robust performance management and influence quality improvement. RQIA manages our information assets securely and effectively.</i></p>
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<b>Strategic Objectives By 2012 we will have:</b>		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
D7.1	Implemented a strategic approach to information management that supports RQIA's strategic and operational objectives	<ul style="list-style-type: none"> <li>• Further develop and implement an Information Management Strategy</li> <li>• Establish a project to procure and implement a Corporate Information Management System (CIMS)</li> <li>• Develop and implement a Records Management Strategy</li> <li>• Establish a corporate Electronic Records Management System (ERMS)</li> <li>• Identify and secure access to relevant external sources of information</li> </ul>	<ul style="list-style-type: none"> <li>• How effective are we in implementing the Information Management Strategy?</li> </ul>	<ul style="list-style-type: none"> <li>• Six monthly progress Report on the implementation of the Information Management Strategy</li> </ul>
D7.2	Complied with best practice and the highest standards of information governance	<ul style="list-style-type: none"> <li>• Develop and review policies and procedures in compliance with current legislation and guidance on information governance</li> </ul>	<ul style="list-style-type: none"> <li>• How effective are we at managing and protecting our information assets?</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance with relevant aspects of Controls Assurance Standards e.g. Governance, ICT, Records Management</li> </ul>

<b>D8</b>	<p><b>We optimise the use of ICT to support our work</b></p> <p><i>RQIA exploits Information and Communication Technology (ICT) to support, improve and enable the delivery of its aims and objectives on a cost-effective basis.</i></p>
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<b>Strategic Objectives By 2012 we will have:</b>	<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
D8.1 A reliable, appropriate and effective ICT infrastructure that makes best use of emerging technology and is aligned to RQIA's changing business needs	<ul style="list-style-type: none"> <li>• Develop and implement an ICT strategy</li> <li>• Develop and review relevant policies and ensure staff are appropriately trained</li> <li>• Review internal capacity and existing and future contractual arrangements for ICT support</li> <li>• Implement and maintain contingency and disaster recovery arrangements</li> <li>• Develop robust and secure systems to facilitate changing working practices</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent are we making the best use of ICT to meet changing organisational requirements?</li> </ul>	<ul style="list-style-type: none"> <li>• Six monthly progress Report on the implementation of the ICT Strategy (when developed)</li> </ul>



<b>D9</b>	<p><b>Position RQIA as a respected, independent regulator</b></p> <p><i>RQIA is recognised for its positive influence in the wider field of health and social care regulation locally, nationally and internationally.</i></p>
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<b>Strategic Objectives By 2012 we will have:</b>		<b>Initiatives to Achieve Strategic Objectives</b>	<b>Key Performance Questions (KPQ's)</b>	<b>Key Performance Indicators (KPI's)</b>
D9.1	Increased awareness of the work of RQIA and achieved public and peer recognition as an organisation leading regulatory practice	<ul style="list-style-type: none"> <li>• Compile and disseminate a body of evidence on the regulation and review of health and social care in Northern Ireland</li> <li>• Establish knowledge transfer arrangements with appropriate academic partners to help build the evidence base for our work</li> <li>• Respond to emerging regulatory requirements of DHSSPS</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent is the work of RQIA recognised locally, nationally and internationally?</li> </ul>	<ul style="list-style-type: none"> <li>• Self-assessment against a defined template</li> </ul>



## Delivering the Strategy and Managing Performance

In order to deliver the strategy RQIA will develop an annual Business Plan linked to its financial allocation.

Performance against the strategy will be monitored on a regular basis and progress will be reported to the RQIA Board.

The strategy will be kept under continuous review in order to ensure that it remains relevant to the changing environment in which RQIA will operate over the next three years.

The strategic direction we have identified represents an extremely exciting and challenging agenda for the organisation and our staff over the next three years.

## Contact us

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