



The **Regulation and
Quality Improvement
Authority**



RQIA Business Plan | 2015-16

Assurance, Challenge and Improvement in Health and Social Care

Vision

To be a driving force for improvement in the quality of health and social care in Northern Ireland.

Purpose

The Regulation and Quality Improvement Authority (RQIA) is the independent health and social care regulator in Northern Ireland. We provide assurance about the quality of care, challenge poor practice, promote improvement, safeguard the rights of service users and inform the public through the publication of our reports.

Values

RQIA has a shared set of values that define our culture:

- **Independence** - upholding our independence as a regulator
- **Inclusiveness** - promoting public involvement and building effective partnerships - internally and externally
- **Integrity** - being honest, open, fair and transparent 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 and progressive regulator - forward-facing, outward-looking and constantly seeking to develop and improve our services

These come together in RQIA's Culture Charter, which sets out the behaviours that are expected when employees are living our values in their everyday work.

Foreword

This Business Plan sets out RQIA's key business objectives and priorities for 2015/16. These are derived from the three key stakeholder outcomes and the seven strategic priorities described in our Corporate Strategy 2015 - 2018.

The Business Plan identifies the things we must do to meet our statutory responsibilities. In addition, it sets out the actions and deliverables designed to ensure quality improvement, and to achieve best practice in regulation and inspection.

As a regulator we inspect over 1400 registered establishments and agencies each year. We have a statutory duty to carry out inspections, investigations and reviews of services, including services delivered by the health and social care trusts. We have specific statutory responsibilities under the Mental Health (NI) Order 1986 to protect the interests of patients. We are also a designated authority under the Public Interest Disclosure Order (NI) Order 1998 to whom employees of health and social care bodies may make a protected whistleblowing disclosure.

Our three year review programme describes the planned reviews we will undertake this year. We have been asked by the Minister to introduce from April 2015, a rolling programme of inspections of acute hospitals focusing on the patient experience. This development is also endorsed by a specific recommendation from the Sir Liam Donaldson's review 'The Right Time at the Right Place' (December 2014).

RQIA has considered the findings and recommendations of this report and has responded to the Department with specific proposals to improve the regulatory framework in Northern Ireland.

We work within a prescribed budget and must achieve break-even year on year. Our budget for 2015/16 has been reduced by 3%. We have responded to the departmental requirement to submit proposals to work to a reduced budget, which may require an adjustment of our work programme going forward. We will continue to use our resources to best effect to maintain a robust programme of regulation and inspection.

In 2014/15 RQIA was subject of an independent evaluation, or landscape review. The final report includes recommendations to strengthen and improve internal operating systems and processes. It also identifies issues which will require engagement with DHSSPS, such as the need to consider revising inspection frequencies going forward. This report will be a useful reference in delivering effective regulation of health and social care.

We are committed to excellence and have developed a strategic improvement programme which will impact across all aspects of our work. We will improve the way we conduct inspections, how we report the findings of inspections and how we assess the quality of care provided in registered services. Our improvement journey continues, facilitated through our STEPs to Excellence Improvement Programme (STEP); where staff take responsibility and lead on improvement initiatives identified in our first European Foundation for Quality Management (EFQM) assessment,

completed in 2012. We will make our second application to EFQM in 2015, further demonstrating our commitment to continuous improvement and to achieving an enhanced level of recognition.

In the current business year we will commit to achieving a better balance between our focus on quality assurance and quality improvement. We will be proactive in developing the quality improvement agenda through Quality 2020.

The Guidelines and Audit Implementation Network (GAIN) was established in 2007 to support the development of clinical and social care audit and the production of regional guidelines in Northern Ireland. The Minister has confirmed that GAIN will transfer to RQIA in April 2015 from its present location within DHSSPS. This is a welcome development, as there is clear synergy between the work of RQIA and GAIN. We will facilitate a seamless transfer, making sure that GAIN continues to operate within RQIA as a catalyst for quality improvement in health and social care.

We will implement an improvement plan based on the feedback from the successful Investors in People accreditation in 2014, taking further steps to improve the leadership, management and development of our staff. We will assess the capacity and capabilities of the workforce to undertake the core activities required of us as a regulator and maintain a robust workforce planning process to support our business requirements going forward.

We expect 2015/16 to be a seminal year for RQIA as a result of a programme of improvements which will deliver better

outcomes for people who rely on us to provide independent assurance about the quality and availability of health and social care.

Corporate Strategy 2015-18

This Business Plan has been developed within the context of the RQIA corporate strategy, which sets the strategic direction for RQIA.

RQIA's strategy map (**Figure 1**) serves as a roadmap to guide the activities of the organisation for the period 2015-18. It is a visual representation of our strategy.

RQIA's strategy map identifies three key stakeholder outcomes:

- Is Care Safe?
- Is Care Effective?
- Is Care Compassionate?

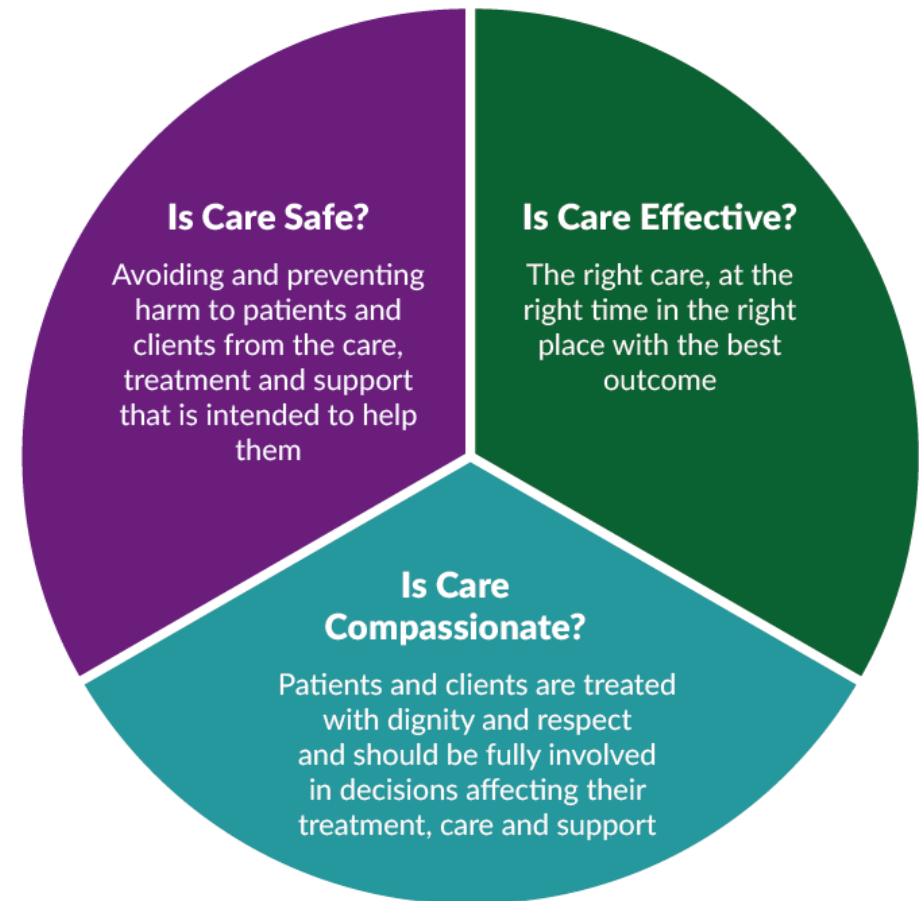
These define how we intend to demonstrate our effectiveness and impact as a regulator:

These stakeholder outcomes have been aligned with the DHSSPS strategy, Quality 2020. Our intention is to engage stakeholders when making independent and robust assessments to determine whether care is being provided safely, effectively and compassionately.

These stakeholder outcomes and the seven strategic themes represent the pillars on which we will continue to build our success and achieve our vision. This will be underpinned by the EFQM Quality Excellence Framework.

The strategy map will be kept under review to ensure that we can respond flexibly to emerging challenges.

Stakeholder Outcomes





What We Do

RQIA works to bring about measurable and enduring improvements in the safety and quality of health and social care services for the people of Northern Ireland by undertaking an agreed programme of service reviews and inspections.

RQIA reports on the results of its investigations into and reviews of, specific health and social care services and recommends actions to improve the quality of these services.

RQIA publicly reports and advises DHSSPS and the general public on the safety, quality and availability of health and social care and use our powers and influence to raise service standards, sustain good practice and build public confidence. RQIA uses evidence-based practice to inform an overall assessment of health and social care in Northern Ireland.

RQIA registers and inspects a wide range of health and social care services. Through our inspections, we aim to ensure the safety, comfort and dignity of those using these services.

During our announced and unannounced inspections we assess the quality of the services provided against regulations and minimum care standards. Following an inspection we ask the service provider to make any changes we consider necessary through the quality improvement plan and we

publish this information in a report of our findings, available on our website, www.rqia.org.uk.

As at 31 December 2014 the following services were registered with RQIA.

Type of Service	Number of Registrations
Nursing homes	268
Residential care homes	203
Children's homes	49
Independent clinics	7
Independent hospitals	47
Independent hospitals - dental treatment	375
Independent Medical Agencies	5
Nursing agencies	33
Day Care Settings	187
Domiciliary Care Agencies - Conventional	123
Domiciliary Care Agencies - Supported Living	182
Residential Family Centres	1
Adult Placement Agencies	4
Voluntary Adoption Agencies	4
Overall Total	1488

RQIA acts to protect the rights of all vulnerable people using health and social care services by taking account of the principles of Human Rights and Equality and by discharging its statutory functions under the Mental Health (Northern Ireland) Order 1986. Our responsibilities include promoting good practice; preventing ill treatment; remedying any deficiency in care or treatment; terminating improper detention in a hospital or guardianship; and preventing or redressing loss or damage to a patient's property.

We work to assure the quality of services commissioned by the Health and Social Care (HSC) Board and delivered by HSC trusts and agencies through our programme of reviews. Our review programme takes into consideration relevant standards and guidelines, the views of the public, health care experts and current research. In 2015-16 RQIA will take forward 9 thematic reviews as part 1 of its new three year review programme.

RQIA undertakes announced and unannounced infection prevention / hygiene inspections at a range of health and social care facilities, including hospital wards and clinical areas. In 2015-16 we will develop this programme to include a new series of inspections focused on the patient experience.

Financial Context 2015-16

RQIA derives its income from a recurring allocation (revenue resource limit) from DHSSPS and through income generated from the Regulation and Improvement Authority (Fees and Frequency of Inspections) Regulations (Northern Ireland) 2005. In addition, RQIA receives a capital allocation each year from DHSSPS.

Details of RQIA's funding requirements in 2015-16 are set out in the finance section of the Business Plan (see Appendix 1).

Confirmation of the 2015-16 RRL was received from DHSSPS on 9 February 2015. As a result of the Guidelines and Audit Implementation Network (GAIN) transferring to RQIA on 1 April 2015 we have received an allocation of £400,000. A budget cut of 3% has been applied to the opening 2015-16 position which equates to a reduction of £201,112. The 2015-16 expenditure allocation for RQIA is £6,902,617.

The estimated income from charges in 2015-16 which is based on the current fees and frequencies regulations and includes estimates in relation to registered places and registration fees is £895,000.

At the request of DHSSPS, RQIA developed a Savings Plan 2015-16, to meet the 3% reduction of £201,112 through workforce controls, and review and control of non-pay spend.

Capacity and Capability

RQIA must complete the statutory minimum number of inspections of all regulated services. In addition, RQIA must increase its regulatory oversight of agencies or establishments found to be in breach of regulations and/or the minimum standards.

RQIA has limited capacity to undertake additional unscheduled inspections in response to increased concerns. Therefore, in order to respond more effectively to whistleblowing and public concerns RQIA will be obliged to make strategic choices in determining how best to deploy its available capacity to best effect. We will work with DHSSPS to review the Fees and Frequency of Inspections Regulations (NI) 2005, to move to intelligence led model of regulation and the introduction of a revised scheme of charges.

RQIA has submitted business cases for additional capacity to DHSSPS in relation to Regulation and Nursing and Mental Health and Learning Disability Directorates. An additional business case has been submitted to DHSSPS in relation to the Independent Provision of a Second Opinion in cases of detention under the Mental Health (NI) Order 1986 where consent is not provided. The context and rationale for these business cases remain valid. RQIA will continue to make the case for additional investment to meet the public expectation that we continue to provide effective regulatory oversight of all regulated services.

Business Plan 2015-16

This Business Plan sets out how RQIA intends to deliver its strategic objectives, the timescale for action and how it intends to use the resources at its disposal. Measures of success have been identified to monitor progress in achieving our strategic objectives.

RQIA will report on performance at public Board meetings, and through the publication of an annual report and accounts, and an annual quality report (these reports are available at www.rqia.org.uk). RQIA will also provide reports of its activities through the biannual accountability review meetings with DHSSPS.

This plan should be read in conjunction with the Corporate Risk Assurance Framework, which identifies risks in relation to the delivery of corporate objectives and how these risks are managed.

The Business Plan 2015-16 was approved by the RQIA Board on 25 March 2015.

Further Information

For further information on the Business Plan 2015-16 or the Corporate Risk Assurance Framework, please contact:

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RQIA Strategic Themes



Deliver Operational Excellence

Improving the delivery of our core functions, taking account of best practice



Develop and Execute New Capabilities

Adapting our inspection and review programmes to address emerging needs and priorities



Use Resources Effectively

Concentrating our talents and resources where they are most required, in activities which have the greatest impact for service users



Continuously Improve Key Systems and Processes

Developing and delivering quality improvement workstreams



Develop and Enhance Effective External Relationships

Communicating effectively with all our stakeholders and sharing information with other organisations



Focus Improvement Activities on Outcomes

Pursuing opportunities to drive quality improvement across health and social care



Actively Lead Change and Manage Risk

Implementing RQIA's strategic change programme, whilst managing known risks and maintaining a strong focus on our core activities.

Strategic Theme 1 - Deliver Operational Excellence

Strategic Priorities 2015-18

Improve the delivery of our core functions, taking account of best practice

Our Strategic priorities:

- Complete a strategic review of inspection systems and processes to create a more agile inspection regime
- Redesign our inspection and review reports to better demonstrate our assessment of the delivery of safe, effective and compassionate care and to make our reports easier to read and understand
- Strengthen our internal quality assurance systems and processes to improve the quality of our inspection and review reports

Actions 2015-16	Intended Outcome / Output	Measures	Action Owner	Timescale	
1.1 ¹ Implement a strategic review of inspection systems and processes as set out in the Regulation Directorate Improvement Plan	Inspection system which better informs service providers about the quality and safety of regulated services	Evaluation of year 1 actions successfully implemented and monitored through the Strategic Improvement Steering Group	Director of Regulation and Nursing	Quarters 1 - 4	
	Improved inspection methodology embedded within the regulation directorate	Level of inspector and service provider satisfaction with new inspection methodology (baseline 80% satisfaction)		Quarters 1 – 4	
	Improved inspection productivity and more agile inspection systems and processes	Increase the number of unannounced inspections of care homes to a target of 80% of all inspections			Quarters 1 – 4
		All draft inspection reports completed within the 28 day timescale (target 100%)			Quarters 1 – 4
		Attainment of satisfactory assurance through the internal audit of inspection systems and processes			Quarter 4
		A revised system of reporting compliance with requirements and recommendations			Quarter 4

¹ 1.1 – Also relates to Theme 7

Actions 2015-16	Intended Outcome / Output	Measures	Action Owner	Timescale
1.2 Complete the planned programme of reviews set out for 2015-16 in the 3 Year Review Programme 2015-18	All review reports completed and published within the specified timeframe, in line with the Reviews Directorate quality assurance process	All reviews completed within the specified timeframe for each review The recommendations to improve services, as set out in RQIA review reports endorsed by the Minister for implementation	Director of Reviews and Medical Director	Timeframe agreed Quarter 1 Progress reported Quarters 2 - 4
1.3 Complete the planned programme of inspections of statutory healthcare	An agreed programme of inspections of statutory healthcare completed and published (including infection prevention and hygiene, augmented care, prison healthcare and IR(ME)R)	An annual inspection plan developed for 2015-16 100% of inspections carried out as set out in the annual inspection plan.	Director of Reviews and Medical Director	Quarter 1 Quarter 4
1.4 Carry out a baseline review of systems and processes of quality improvement in HSC organisations	A strategic focus on assessing the capacity of HSC organisations to deliver improvements in the safety, effectiveness and experience of care	A baseline assessment of the current systems and processes which support quality improvement within HSC organisations	Director of Reviews and Medical Director	Quarter 4
1.5 Assess the impact of RQIA Reviews in driving quality improvement in HSC services	An agreed system developed for prioritising review recommendations Improved quality of care for the services subject to review	A system for prioritisation of review recommendations agreed 100% of review reports from 2015-16 will contain recommendations prioritised in line with the agreed system To evaluate the impact of the system for prioritisation of review recommendations	Director of Reviews and Medical Director	Quarter 1 Quarters 2 – 4 Quarter 4
1.6 Redesign the format of review and inspection reports to better reflect the 3 stakeholder outcomes, safe care, effective care and	Service users, their families and service providers have access to comprehensive reports on the safety, effectiveness and compassion of care Service providers, service users and their families will have a better understanding of the significance and	Evaluation report of the benefits of the revised inspection and review reports (80% user satisfaction) 100% of RQIA inspection reports contain requirements and recommendations prioritised in respect of the potential to impact on safe, effective and compassionate care	Chief Executive	Pilot methodology Quarters 1 - 2 Complete evaluation Quarter 4

compassionate care	<p>impact of the recommendations included within the reports</p> <p>Actions required to address shortfalls or non-compliance in service delivery are prioritised for service providers</p>	100% of RQIA review reports contain recommendations themed and prioritised in respect of their potential to impact on safe, effective and compassionate care		
Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
<p>1.7</p> <p>Introduce and pilot the new inspection methodology in MHL D facilities, providing an rating for quality against the 3 stakeholder outcomes</p>	<p>Patients, their relatives and service providers informed of the level of RQIA's assessment of MHL D services</p> <p>The revised MHL D inspection methodology fully incorporated into the RQIA MHL D inspection programme</p> <p>Shorter inspection reports accompanied by easy read versions</p> <p>Inspection recommendations themed according to areas that require improvement</p> <p>Patients directly engaged with lay assessors in the inspection process</p>	<p>Introduced and piloted a revised inspection methodology</p> <p>Pilot inspection methodology formally evaluated</p> <p>Establish baseline performance of services inspected in 2015-16 using the revised methodology against the new MHL D Rating System</p> <p>Introduce a revised system of reporting compliance with recommendations</p> <p>100% of MHL D inspection reports to be available in draft within 28 days, and returned to RQIA with a completed quality improvement plan within 56 days from the date of the inspection</p> <p>100% of MHL D inspection reports accompanied by an easy read version available on the RQIA website</p> <p>A minimum of one inspection of all MHL D wards completed by year end</p> <p>Patients subject to detention interviewed as part of the inspection process (% of detained patients interviewed per ward)</p>	<p>Director of Mental Health, Learning Disability and Social Work</p>	<p>Quarter 2</p> <p>Quarter 4</p> <p>Quarter 4</p> <p>Quarter 4</p> <p>Quarters 1 – 4</p> <p>Quarters 1 - 4</p> <p>Quarters 1 – 4</p> <p>Quarter 4</p>
<p>1.8</p> <p>Improve RQIA's internal quality</p>	RQIA's registration, inspection and reviews systems and processes delivered to an appropriate standard of	Revised and robust quality assurance framework approved by the RQIA Board	Chief Executive	Quarter 1

assurance systems and processes for inspection and review reports	quality	Agreed year 1 actions from the quality assurance framework successfully delivered on target		Quarters 2 - 4
		Evaluation of the effectiveness of the year 1 actions		Quarter 4

Strategic Theme 2 - Develop and Execute New Capabilities				
Strategic Priorities				
We will adapt our inspection and review programmes to address emerging needs and priorities				
Our strategic priorities:				
<ul style="list-style-type: none"> • Develop and roll out a new programme of hospital inspections, with a specific focus on standards relating to safe, effective and compassionate care to improve the quality of the patient experience • Extend our regulatory oversight to include new service delivery models which are not currently subject to independent regulation • Design new and improve existing inspection methodologies to discharge our core responsibilities more efficiently and effectively • Respond to regulatory requirements of the new Mental Capacity Bill to make an assessment of the safety and well-being of those who lack capacity • Engage with DHSSPS to extend our range of regulatory functions to address gaps in the current regulatory framework 				
Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
2.1 Develop and implement the new hospital inspection methodology and programme	RQIA has introduced a new rolling programme of inspection of acute hospitals to provide enhanced assurance on patient safety, clinical effectiveness and patient experience	The methodology for a new programme of hospital inspections formally agreed	Director of Reviews and Medical Director	Quarter 2
		Evaluate the pilot of the new hospital inspection methodology to inform roll out of the programme		Quarter 2
		An acute hospital in each HSC trust subject to an inspection using the agreed methodology enabling baseline levels of compliance to be established		Quarters 4

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
2.2² Proactively engage with DHSSPS and other stakeholders in the processes to review the legislative framework and standards for regulation of health and social care in Northern Ireland	RQIA has the appropriate legislative powers to fulfil its' statutory roles and responsibilities RQIA's regulatory roles extended into relevant areas of service provision e.g. independent fostering agencies and supported accommodation for young people leaving care RQIA can assess the quality of health and social care using regionally established standards	RQIA's proposals to amend the legislation to enable us to deliver an intelligence and risk based regulatory system are accepted by DHSSPS RQIA's contribution to the development of new and revision of existing DHSSPS minimum quality standards which underpins RQIA regulatory activities	Chief Executive	Initiate Engagement Quarter 1 Quarter 2
2.3 Complete a programme of inspections of all regulated sector services using the new inspection methodology	Evidence based and timely assessments of the quality of care delivered in regulated services An improved assessment framework for inspection of all registered services Increased compliance with regulations and standards	All registered providers to receive at least one or two inspections in line with the statutory minimum frequencies (target 100%) Number of recommendations and requirements restated at the time of the next inspection Number of service providers subject to enforcement	Director of Regulation and Nursing	Progress reported Quarters 1 - 4

² 2.2 - Also relates to Theme 3

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
<p>2.4 Contribute to the development of an effective regional response to the recommendations identified in the Donaldson report (The Right Time, The Right Place December 2014)</p>	<p>RQIA has engaged effectively with DHSSPS in reviewing the legislation which applies to the regulation of HSC Trusts</p> <p>RQIA will have a more robust framework for the regulation and inspection of HSC Trusts</p> <p>RQIA contributes to effective processes for capturing and acting on information and intelligence about patient safety</p>	<p>Evidence of participation in DHSSPS led working groups</p> <p>Evidence of proposed changes to the legislative framework impacting on Regulation of HSC Trusts</p>	<p>Chief Executive</p>	<p>Quarter 3</p> <p>Quarter 3</p>
<p>2.5 Contribute to the development of the new Mental Capacity legislation and associated codes of practice and agree a plan for its introduction</p>	<p>RQIA is in the state of readiness to undertake the additional duties and responsibilities required of it and staff have received the appropriate skills training</p> <p>RQIA protects the interests of individuals who lack capacity</p>	<p>Evidence of RQIA's influence with the development of the legislative framework and the associated codes of practice from its participation in multi-agency working groups</p> <p>The degree to which RQIA staff have attended training in the correct legal application of the Mental Capacity Act (as the codes and regulations are developed)</p> <p>Evaluation of state of readiness and identification of any risks which might impede effective delivery</p>	<p>Director of Mental Health, Learning Disability and Social Work</p>	<p>Progress reported Quarters 2 – 4</p>
<p>2.6 Transfer and clarify the roles and responsibilities of GAIN into RQIA and deliver an agreed and effective programme of GAIN guidelines and audits in the first year following its transfer</p>	<p>The functions of GAIN, following its transfer to RQIA, make a significant contribution to improve quality of health and social care services</p> <p>A programme of guidelines and audits developed, approved and implemented, with appropriate quality assurance measures established</p>	<p>Proposals for revised arrangements for carrying out the functions of GAIN, following transfer of responsibility to RQIA, have been endorsed by key stakeholders following consultation.</p> <p>An assessment of progress towards achievement of NICE accreditation for GAIN guidelines</p>	<p>Director of Reviews and Medical Director</p>	<p>Transfer to take effect Quarter 1</p> <p>Progress reported Quarters 2 - 4</p>

Strategic Theme 3 - Use Resources Effectively

Strategic Priorities

We will concentrate our resources where they are most required, in activities which have the greatest impact for service user

Our strategic priorities:

- Respond effectively to emerging risks by focusing inspection activities where they are most needed to drive improvements and promote compliance with the regulations and minimum standards
- Make recommendations to the DHSSPS to review the Fees and Frequency of Inspections Regulations (NI) 2005 to move to an intelligence based model of inspection
- Develop and maintain a competent, engaged and high performance workforce able to respond effectively to strategic change
- Undertake an analysis of workforce capacity and make decisions about how RQIA's workforce will respond to future needs and requirements

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
3.1 Pilot and evaluate a revised intelligence and risk based approach to inspection of regulated services	RQIA responds appropriately to emerging concerns in regulated services	New system of risk assessment developed	Director of Regulation and Nursing	Quarter 1
	Outcomes for service users are improved as a result of timely intervention	Training for regulation staff completed		Quarter 4
		Evaluation and review of pilot		Quarter 4
		Number of unscheduled inspections undertaken in response to public concerns and whistleblowing		Quarters 3 - 4
3.2 Improve inspection productivity of regulated services	Enhanced safety effectiveness and compassion for service users			
	More effective use of inspection resource and capacity	A framework for assessing inspection productivity	Chief Executive	Quarter 3
An agreed framework for measuring inspection productivity benchmarked against appropriate peer organisations	An initial assessment of productivity using an agreed matrix	Quarter 4		

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
3.3 Proactively engage with DHSSPS to review the Fees and Frequency of Inspections Regulations (NI) 2005	RQIA has engaged effectively with DHSSPS in reviewing the scheme of charges in the Fees and Frequency of Inspections Regulations (NI) 2005	Evidence of engagement with DHSSPS to revise the scheme of charges in the Fees and Frequency of Inspection Regulations	Chief Executive and Director of Regulation and Nursing	Initiate engagement with DHSSPS Quarter 1 Progress reported Quarters 2 - 4
3.4 Develop and commence implementation of a Human Resources and Organisational Development (HR&OD) Annual Plan (2015-16) to support RQIA's changing business needs	To develop and maintain a competent, engaged and high performance workforce in order to fulfil RQIA's purpose and vision To increase RQIA's organisational effectiveness through systematic processes of implementing effective organisational change, organisational design, capacity and resource planning to achieve our strategic goals.	A HR&OD Annual Plan (2015-16) approved by the RQIA Board % of Year 1 actions of the HR&OD Annual Plan (2015-16) successfully implemented by year end Results of annual staff pulse survey	Director of Corporate Services	Quarter 1 Quarters 2 - 4 Quarter 4
3.5 Produce an agreed budget and savings plan based on a 3% reduction to our RRL and manage RQIA's finances within the revenue resource limit for 2015-16	Effective and efficient use of financial resources to support RQIA's strategic priorities and maintain financial balance Business plan objectives and resources are consistent	Resource needs are established with DHSSPS Directorate and team budgets established Regular monthly monitoring reports provided to all budget owners Deliver savings and achieve an end-of-year break-even position on income and expenditure Achieve an unqualified audit opinion of final accounts	Director of Corporate Services	Quarter 1 Quarter 2 Quarters 1 - 4 Quarter 4 Quarter 4

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
3.6 Establish a workforce plan to deliver the organisation's key strategic and business objectives	Have identified the human resource requirements to successfully deliver the business objectives and informed by the zero based budget for 2016-17 A skilled and balanced workforce with the capacity to deliver our business requirements now and into the future	A workforce plan for 2016-17 approved by the RQIA Board	Director of Corporate Services	Quarter 4
3.7 Produce a zero based budget for 2016-17	Key activities and associated roles identified and costed Budgets aligned to the strategic needs and priorities of the organisation	Zero based budget 2016-17 approved by the RQIA Board Revised directorate and team budgets established	Chief Executive	Quarter 4

Strategic Theme 4 - Continuously Improve Key Systems and Processes

Strategic Priorities

We will develop and deliver quality improvement work-streams to improve our internal systems and processes

Our strategic priorities:

- Lead and coordinate strategic change and improvement through the RQIA Strategic Improvement Steering group
- Make better use of information and intelligence from external sources to improve our ability to assess risk, prioritise inspection activity and respond to public concern
- Improve analysis of available information to generate intelligence to support our inspection and review processes
- Optimise the use of information, communication and technology to enable RQIA to be more efficient and effective in delivering its current and future priorities
- Implement a programme of continuous improvement of internal operating systems and processes to streamline activity and reduce unnecessary bureaucracy

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
4.1 ³ Implement a programme of key strategic and quality improvement work streams	Enhanced performance across RQIA's core functions in particular: <ul style="list-style-type: none"> • Inspection methodology (regulated sector) • Inspections of Acute Hospitals • Readiness for implementation of Mental Capacity Legislation Internal systems and processes subject to appropriate benchmarking	Attainment of core objectives in each strategic work stream Evidence of improved performance in measuring safe, effective and compassionate care impacting on outcomes for service users Attainment level achieved in the EFQM assessment in 2015-16 (Baseline: Bronze 2012 / target Gold 2016)	Chief Executive	Quarter 2 Quarter 4 Quarter 3

³ 4.1- Also relates to Themes 1 and 2

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
<p>4.2 Enhance our capacity and capability to access and act on information and intelligence</p>	<p>RQIA's inspections and reviews informed by robust intelligence and information, including from 3rd parties, such as the regulated sector, Public Health Agency and other professional regulators</p> <p>RQIA's inspections focused where they are most needed to ensure an effective and timely response to all relevant concerns</p> <p>Capability to extend RQIA's information sharing role in providing evidence of best practice</p> <p>Improved suite of management reports covering key information in respect of incident reports, whistle-blowing and complaints</p>	<p>RQIA receiving and analysing relevant information and intelligence</p> <p>RQIA implementing new data related services meeting the needs of all staff</p> <p>RQIA disseminating information appropriately to other HSC organisations and to regulated services</p> <p>Independent audit providing a satisfactory level of assurance of RQIA's internal systems and processes</p> <p>quantitative and qualitative analysis of notifiable events, complaints and whistleblowing disclosures reviewed prior to inspection</p>	<p>Chief Executive</p>	<p>Establish current position and action plan Quarter 2</p> <p>Progress reported Quarters 2 - 4</p>
<p>4.3 Develop and commence implementation of a new Information and ICT Plan 2015-16</p>	<p>An Information and ICT service which continues to support the delivery of RQIA's core activities and which is responsive to emerging business needs</p>	<p>Information and ICT Plan 2015-16 approved by the RQIA Board</p> <p>% of Information and ICT actions successfully implemented</p> <p>% of staff satisfaction with the Information and ICT service</p>	<p>Director of Corporate Services</p>	<p>Quarter 1</p> <p>Quarters 2 - 4</p>
<p>4.4 Implement the Sustainability Action Plan 2015-16</p>	<p>RQIA has integrated sustainable practice across the organisation</p>	<p>approved by RQIA Board</p> <p>% of actions in the Sustainability Action Plan successfully implemented</p>	<p>Director of Corporate Services</p>	<p>Quarter 1</p> <p>Quarters 2 - 4</p>

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
4.5 Implement an agreed action plan to take forward the recommendations in the Independent Landscape Review of RQIA commissioned by DHSSPS	Demonstrated to DHSSPS a managed process and progress in responding to the recommendations identified as part of this independent review	% of actions in the Action Plan, that are under RQIA's direct control, successfully implemented	Chief Executive	Quarter 4
4.6 Contribute to the development and improvement of DHSSPS regional policies and standards	Policy and standards applied appropriately to improve safe, effective and compassionate care	Evidence of RQIA utilising the revised policies and standards for regulation of health and social care	Chief Executive	Quarter 4

Strategic Theme 5 - Develop and Enhance Effective External Relationships

Strategic Priorities

We will communicate and engage effectively with people who use services, and collaborate with other HSC bodies, regulated services, and other regulators to share information and intelligence

Our strategic priorities:

- Engage and involve service users, carers and the public to obtain their views on the standard of care provision within health and social care services
- Develop our external communication systems and processes to provide the public with clearer information about our role and responsibilities
- Develop stronger partnerships with independent, voluntary and community groups to improve communication and drive improvements for service users
- Strengthen our links with other regulators, professional bodies and organisations to share intelligence to ensure that safety concerns are heard and acted upon
- Engage effectively with other organisations to deliver the aims and objectives of Quality 2020
- Strengthen our focus on quality improvement by disseminating the learning from our inspections, investigations and reviews

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
5.1 ⁴ Embed Personal and Public Involvement (PPI) into RQIA's core activities	Clear and meaningful involvement and engagement processes with service users, carers and the public in our activities	Personal and Public Involvement (PPI) Action Plan 2015-16 approved by the RQIA Board % of 2015/16 actions in the PPI plan successfully implemented on target	Director of Corporate Services	Approved by the RQIA Board in Quarter 1 Progress reported Quarters 2 - 4

⁴ 5.1 – Also relates to Theme 1

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
5.2 Develop an effective communications and stakeholder engagement plan	Enhanced public profile of RQIA and better understanding of RQIA's roles and responsibilities by key stakeholders Better public access to information about the roles and responsibilities of RQIA Improved outward facing communication and engagement	Revised communication framework developed by EMT and approved by RQIA Board	Chief Executive	Quarter 1
		DHSSPS approval of the RQIA business case for new website		Quarter 1
		Survey of public opinion about awareness of roles and responsibilities of RQIA to establish baseline		Quarter 3
		A new RQIA website is operational		Quarter 4
5.3⁵ Disseminate evidence of best practice through the delivery of roadshows, seminars and conferences for key stakeholders	Improve quality of care for patients and clients Improved engagement with key stakeholders Dissemination of evidence of best practice in aspects of health and social care	Number of stakeholder engagement interactions undertaken by RQIA	Chief Executive	Baseline agreed Quarter 1
		Degree of participant satisfaction as captured through attendance surveys		Progress reported Quarters 2 - 4
5.4 Develop and implement a revised framework for engagement and collaborative working with other relevant regulatory organisations	Agreed working arrangements with all relevant systems and professional regulators Arrangements in place for risk summits involving other regulators and HSC organisations, where necessary and appropriate	A framework agreed setting out how RQIA will engage with each relevant organisation	Chief Executive	Quarter 2
		Individual agreements (MoUs / information sharing agreements) with relevant supervisory organisations		Quarter 4
		A framework to convene a risk summit and to agree key actions		Quarter 4
		Benchmark RQIA's effectiveness as an NPM		Quarter 1
		Outcome of the benchmarking published in the NPM Annual Report		Quarter 4

⁵ 5.3 – Also relates to Theme 2

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
5.5 Establish effective outcome focussed relationships and functions with related ALBs	A joined up approach to supporting Quality and Safety Improvement in service delivery	The quality and quantity of engagement with other ALB's	Chief Executive	Establish baseline Quarter 2 Progress reported Quarters 3 - 4
5.6 Participate appropriately to deliver the aims and objectives of Quality 2020	RQIA contributes effectively the Quality 2020 vision that HSC is 'to be recognised internationally, but especially by the people of NI, as a leader for excellence in HSC'	RQIA's participation in Quality 2020 work streams documented in the RQIA Annual Quality Report	Chief Executive and RQIA directors of Regulation and Nursing; Mental Health, Learning Disability and Social Work; Reviews and Medical Director; and Corporate Services	Quarter 4

Strategic Theme 6 - Focus Improvement Activities on Outcomes

Strategic Priorities

We will pursue opportunities to drive quality improvement across health and social care

Our strategic priorities:

- Use the experiences of service users and carers to inform the findings of inspections and reviews
- Use external expertise to identify evidence of best practice and areas of improvement in health and social care
- Actively participate in regional and national initiatives to ensure that our work is appropriately benchmarked and aligned with evidence of best practice
- Shift the balance of performance measures from internal processes and outputs to outcome measures based on the three stakeholder outcomes of safe, effective and compassionate care

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
6.1 Involve lay assessors in the service user aspects of RQIA inspections and reviews	The views of patients and clients about their experiences of care and treatment are appropriately included in inspection and review reports Lay assessors fully engaged in RQIA's inspections and providing evidence to support inspectors in making assessments about safe, effective and compassionate care	The number of inspections and reviews which have involved lay assessors Survey evaluating the experience of lay assessors engaged in inspections and reviews	Chief Executive	Initiate use of lay assessors in Regulation Quarter 1 Quarter 4
6.2 Use external expertise to identify evidence of best practice and areas of improvement in health and social care	RQIA's assessments of services during our thematic reviews and acute hospital inspection programmes are informed by relevant external expertise	Survey of the experience of external experts engaged in RQIA reviews and inspections	Director of Reviews	Results of survey reported Quarters 2 - 4

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
6.3 Work jointly with the HSC Leadership Centre and relevant academic institutions and other organisations to extend our contribution to the health and social services body of knowledge	Contribute to strategic thought leadership in respect of quality improvement in health and social care Actively engage with stakeholders in service quality and safety issues e.g. as highlighted by Donaldson report	Level of internal or available expertise Contributions through seminars, papers and reports Feedback from service delivery staff and stakeholders	Chief Executive	Establish baseline Quarter 2 Progress reported Quarters 3 - 4
6.4 Prepare for formal accreditation with the International Standard EN ISO/IEC 17020:2012	RQIA's regulatory systems and processes streamlined and improved	Assessment of readiness to apply for accreditation against the International Standard EN ISO/IEC 17020:2012	Chief Executive	Quarter 4
6.5 Research and develop an agreed approach to conducting an overall assessment of health and social care in NI	An agreed methodology for providing an overall assessment of the delivery of health and social care against the three key stakeholder outcomes of safe, effective and compassionate care	An appropriate methodology identified and agreed with DHSSPS and the RQIA Board A timeframe for completion of an overall assessment identified and agreed with the RQIA Board	Chief Executive	Quarter 4 Quarter 4

Strategic Theme 7 - Actively Lead Change and Manage Risk

Strategic Priorities

We will invest capacity in developing and leading RQIA's strategic change programme, whilst managing known risks and maintaining a strong focus on our core activities

Our strategic priorities:

- Develop and strengthen our leadership capacity and capability to respond effectively to changing needs and priorities
- Identify and manage known and emerging risks which impact on our core functions to maintain operational effectiveness
- Identify and escalate risks in the services we regulate in order to safeguard and protect service users
- Make better use of performance data and intelligence to further strengthen our oversight and governance processes

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
7.1 Implement a robust Risk Management Strategy	Identification and management of all potential risks facing RQIA in delivering our strategic objectives	Revised Risk Management Strategy approved by the Audit Committee and RQIA Board Attainment of substantive compliance with the Risk Management Controls Assurance Standard Implementation of the recommendations from a programme of risk based internal audits focused on the operational work of the RQIA	Director of Corporate Services	Quarter 1 Quarter 4 Quarters 1 - 4
7.2 Implement revised enforcement and escalation policies and procedures, taking account of the learning from previous experience	Appropriate and timely interventions in response to identified failings in service provision	Number of formal enforcement actions taken Number of improvement notices issued Number of escalations to HSC bodies Numbers of relevant staff trained in the application of the new policies	Chief Executive	Implementation Quarter 1 Progress reported Quarters 2 - 4

Actions 2015-16	Intended Outcome / Output	Measure	Action Owner	Timescale
7.3 Review effectiveness of all Board committees and working groups	Effective use of skills of all Board members Appropriate balance of executive and non-executive participation in committees and working groups	Recommendations for improvement in relation to committees, working groups and performance reporting agreed at Board level and implemented Board and executive feedback on the implementation of these recommendations Completed annual Board Effectiveness Survey	RQIA Chair	Quarter 2 Quarter 4 Quarter 4
7.4 Using evidence from available sources and drawing from our own experiences, and from the experiences of other UK regulatory authorities, devise and test a new performance rating system in residential care and nursing homes using the three outcomes of safe, effective and compassionate care.	Provide service users and their families with a clear and concise summary of inspection findings of residential care and nursing homes Provide commissioners (HSC Board and Trusts) with a clear and concise summary of the performance of residential care and nursing homes	Draft paper on a new performance rating system for reporting the outcomes of inspections of residential care and nursing homes A timeframe approved by the RQIA Board and agreed with DHSSPS to consult stakeholders on the option of introducing a new performance rating system in residential care and nursing homes.	Chief executive and Director of Regulation and Nursing	Quarter 2 Quarter 3
7.5 Review and revise RQIA's Performance Management Framework	Improved quarterly reporting and effective performance assured by RQIA's Board and Improved process for the development and deployment of the corporate strategy and business plan Successful governance, management of	Revised performance management framework approved by RQIA's Board	Director of Corporate Services	Quarter 3

Evaluating and Measuring Impact

RQIA will measure our impact against the three stakeholder outcomes of safe, effective and compassionate care.

We will report our performance through monthly reports to our Board and will publish these reports on our website.

Measures of impact describe the qualitative and quantitative data that helps RQIA to make informed decisions and improve performance.

The measures of impact developed by RQIA as an integral part of our Corporate Strategy and annual Business Plan will include:

- Building our capacity to apply evidence from research in measuring the impact of regulation in driving improvements in the quality, safety and effectiveness of health and social care.
- Building our capacity to turn information into useful intelligence to inform the basis of our inspections.
- Positioning RQIA as a competent and well respected regulator of health and social care in Northern Ireland.
- Working in partnership with relevant organisations, including other regulators, academic bodies and health and social care improvement organisations to strengthen our capacity to assess the impact of quality improvement across the system.
- Improving inspection productivity, making best use of available resources, focusing inspection activity where it is most needed and making sure that registered services address non-compliances effectively and in the shortest possible timeframe.
- Measuring trends in the number and nature of requirements and recommendations arising from inspections of regulated services.
- Monitoring the impact of new activities, including the transfer of GAIN, and the implementation of the new rolling programme of inspections of acute hospitals on improving health and social care.

Appendix 1 – Finance Section

1. Revenue Resource Limit (RRL)

Confirmation of the 2015-16 RRL was received from DHSSPS on 9 February 2015:

	£'000
Recurrent Allocation Baseline	6,902
Clinical Excellence award	<u>38</u>
Total RRL Allocation 2015/16	<u><u>6,940</u></u>

This position represents a real term reduction as inescapable cost pressures such as pay awards, incremental drift, and non-pay inflationary pressures are assumed not to be funded.

2. Estimated Income from Charges

The estimated income from charges in 2015/16 is £805K.

This figure is based on the current fees and frequencies regulations and includes estimates in relation to registered places and registration fees.

3. Total Permitted Gross Revenue Expenditure

The total permitted gross revenue expenditure in 2015/16 is therefore estimated as follows

	£'000
Estimated RRL Allocation 2015/16	6,940
Estimated Income from Charges	<u>895</u>
Total Permitted Gross Revenue Expenditure	<u><u>7,835</u></u>

4. Capital Resource Limit (CRL)

The outward facing portal phase of the iConnect project is due to complete in quarter 4 of 2015/16. A further CRL allocation of £93K is required in 2015/16 to complete this phase. An addendum to the Business Case will be submitted to cover this additional requirement.

We will also submit a business case in relation to the development of the Enforcement Module within iConnect. This is estimated to cost £19K.

In 2015/16 we also plan to replace our website. The business case for this development is currently being prepared but an early estimated puts the CRL requirement for 2015/16 at £40K.

Finally we require £102K CRL in 2015/16 to complete the next phase in our rolling ICT hardware refresh programme. This

will facilitate the refresh our Desktop PC's. RQIA's estimated total CRL requirement for 2015/16 is therefore £254K.

Glossary of Abbreviations and Terms

BCP	Business continuity plan
DDO	Disability Discrimination Order
DHSSPS	Department of Health, Social Services and Public Safety
EFQM	European Foundation for Quality Management
EPSO	European Partnership for Supervisory Organizations in Health Services and Social Care
FOI	Freedom of information
HSC	Health and social care
iConnect	Corporate Information Management System
ICT	Information communications technology
IIP	Investors in People
IR(ME)R	Ionising Radiation (Medical Exposure) Regulations
MHLD	Mental health and learning disability
MHO	Mental Health (Northern Ireland) Order 1986
MOU	Memorandum of understanding
NIAO	Northern Ireland Audit Office
NISSC	Northern Ireland Social Care Council
NPM	National preventive mechanism
OPCAT	Optional Protocol to Convention Against Torture
PPI	Personal and public involvement
SAI	Serious adverse incidents
Lay Assessor	A member of the public who brings their own experience, fresh insight and a public focus to our inspections and reviews on a voluntary basis
Peer Reviewer	An individual with a particular skillset or an in-depth understanding of a particular service area and is engaged by RQIA to support its review and inspection programmes



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