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

RQIA Business Plan | 2016-17

Assurance, Challenge and Improvement in Health and Social Care

Our Vision, Purpose and Values

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, and capture what we do when we are at our best:

- **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

This comes 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 2016/17. These are derived from the four stakeholder outcomes and the strategic themes 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. The Health and Personal Social Services (Quality Improvement and Regulation) (Northern Ireland) Order 2003 describes the functions of RQIA as conducting reviews, carrying out inspections and investigations for the purposes of monitoring and improving the quality of health and social services. In 2016/17 RQIA will inspect over 1400 registered establishments and agencies.

Our three year review programme describes the planned reviews we will undertake this year.

We have specific statutory responsibilities under the Mental Health (NI) Order 1986 to protect the interests of patients.

RQIA is one of four designated national preventive mechanisms (NPM) under the United Nations Optional Protocol to the Convention Against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment (OPCAT). RQIA will continue to exercise its duties as a designated NPM by visiting places of detention, including psychiatric hospitals and prisons, to assess whether those detained are subject to humane treatment.

We are also a designated authority under the Public Interest Disclosure (NI) Order 1998 to whom employees of health and social care bodies may make a protected whistleblowing disclosure.

We will continue to deliver a rolling programme of inspections of acute hospitals focusing on the patient experience. This programme commenced in October 2015 following extensive preparation, including pilot inspections.

We work within a prescribed budget and must achieve break-even year on year. Our budget for 2016/17 has been reduced by 3%. We have responded to the departmental requirement to submit proposals to work to a reduced budget, which will require an adjustment of our work programme this year. We will continue to use our existing resources to best effect to maintain a robust programme of regulation and inspection.

We are committed to excellence and are implementing a strategic improvement programme 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 latest European Foundation for Quality Management (EFQM) assessment, completed in

2015. We were delighted to have been awarded the prestigious 4 star award recognised for excellence in December 2015. This is testament to the commitment of our staff to aspire for excellence in all that we do.

We remain committed to achieving an appropriate balance between our focus on quality assurance and quality improvement. We will continue to be proactive in developing the quality improvement agenda in line with 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. GAIN transferred to RQIA in April 2015 from its previous location within DHSSPS. There is clear synergy between the work of RQIA and GAIN. In 2016/17 we will take forward a programme of audit and guidelines and will continue to support a journey of continuous improvement in association with the improvement institute signposted by the Minister in his statement on 12 November 2015.

We will implement our workforce plan including 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 performance management and robust staff appraisal systems to support our business needs and requirements going forward.

RQIA has a responsibility to manage its resources and discharge its responsibilities in an effective, efficient and sustainable manner.

In 2016/17 RQIA will appoint a new Chief Executive to take over the responsibilities of leading the organisation through the next phase of its continuing development and improvement.

Corporate Strategy 2015-18

This Business Plan has been developed within the context of the RQIA Corporate Strategy.

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 four key stakeholder outcomes:

- Is Care Safe?
- Is Care Effective?
- Is Care Compassionate?
- Is the Service Well-led?

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 services are well-led and 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.

Stakeholder Outcomes

Is Care Safe?
Avoiding and preventing harm to patients and clients from the care, treatment and support that is intended to help them

Is Care Effective?
The right care, at the right time in the right place with the best outcome

Is the Service Well-led?
Effective leadership, management and governance which creates a culture focused on the needs and experiences of service users in order to deliver safe, effective and compassionate care

Is Care Compassionate?
Patients and clients are treated with dignity and respect and should be fully involved in decisions affecting their treatment, care and support

RQIA Strategy Map 2015-18

Figure 1

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

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

Our stakeholders require us to make independent and robust assessments to determine:

Is Care Safe?
Avoiding and preventing harm to patients and clients from the care, treatment and support that is intended to help them

Is Care Effective?
The right care, at the right time in the right place with the best outcome

Is Care Compassionate?
Patients and clients are treated with dignity and respect and should be fully involved in decisions affecting their treatment, care and support

Is the Service Well-led?
Effective leadership, management and governance which creates a culture focused on the needs and experiences of service users in order to deliver safe, effective and compassionate care

To deliver our corporate strategy over the next three years, RQIA will focus on the following 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 work-streams

Focus Improvement Activities on Outcomes
Pursuing opportunities to drive quality improvement across health and social care

Develop and Enhance Effective External Relationships
Communicating effectively with all our stakeholders and sharing information with other organisations

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

Independence ◆ Inclusiveness ◆ Integrity ◆ Accountability ◆ Professionalism ◆ Effectiveness

Vision | Purpose | Stakeholder Outcomes | Strategic Themes | Values

What We Do

RQIA is an independent regulator tasked with bringing about measurable and enduring improvements in the safety and quality of health and social care services in Northern Ireland.

RQIA does this through a programme of inspections, investigations and reviews of health and social care bodies and recommends actions to improve the quality and availability of services.

RQIA advises DHSSPS and the general public on the safety, quality and availability of health and social care. We use our powers and influence to drive up quality, recognise and celebrate best practice and build public confidence in health and social care. We also take steps to address and eliminate poor practice and to reduce the likelihood of harm to patients and service users.

RQIA uses evidence-based practice to inform an overall assessment of health and social care in Northern Ireland.

During our inspections we assess the quality of the services provided against four key domains; safe, effective, compassionate care and leadership. 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 2015 the following services were registered with RQIA.

Type of Service	Number of Registrations
Nursing homes	265
Residential care homes	197
Children's homes	49
Independent clinics	6
Independent hospitals	48
Independent hospitals - dental treatment	372
Independent Medical Agencies	5
Nursing agencies	34
Day Care Settings	183
Domiciliary Care Agencies - Conventional	120
Domiciliary Care Agencies - Supported Living	188
Residential Family Centres	1
Adult Placement Agencies	4
Voluntary Adoption Agencies	4
Overall Total	**1476**

RQIA acts to protect the rights of all vulnerable people by taking account of the principles of Human Rights and Equality and by discharging our statutory functions under the Mental Health (Northern Ireland) Order 1986. These duties and 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 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. This programme takes into consideration relevant standards and guidelines, the views of the public, health care experts and current research. In 2016-17 RQIA will take forward eight thematic reviews as part 2 of its new three year review programme.

RQIA undertakes planned inspections at a range of health and social care facilities, including hospital wards and clinical areas. In 2016-17 we will continue a rolling programme of inspections of acute hospitals focused on the patient experience.

The Guidelines and Audit Implementation Network (GAIN) joined RQIA in 2015. GAIN's role is to promote leadership in safety and quality care in health and social care. Through the development and integration of regional guidelines and audit, and their implementation, outcomes for patients, clients and carers are improved.

Financial Context 2016-17

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 2016-17 are set out in the finance section of the Business Plan **(see Appendix 1).**

Confirmation of the 2016-17 RRL was received from DHSSPS on 16 March 2016. A budget cut of 3% has been applied to the opening 2016-17 position which equates to a reduction of £207,078. The 2016-17 expenditure allocation for RQIA is £6,843,741.

The estimated income from charges in 2016-17 which is based on the current fees and frequencies regulations and includes estimates in relation to registered places and registration fees is £909,000.

RQIA is developing a Savings Plan 2016-17 in order to achieve the savings target of 3% through workforce controls, 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 are working with DHSSPS to review the Fees and Frequency of Inspections Regulations (NI) 2005 in order that we may target our inspection capacity on those services which are assessed as high risk.

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 provide effective regulatory oversight of all regulated services.

Business Plan 2016-17

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 bi-annual 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 2016-17 was approved by the RQIA Board on 18 February 2016.

Further Information

For further information on the Business Plan 2016-17 or the Corporate Risk Assurance Framework, please contact:

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RQIA Strategic Themes

1

Deliver Operational Excellence

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

2

Develop and Execute New Capabilities

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

3

Use Resources Effectively

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

4

Continuously Improve Key Systems and Processes

Developing and delivering quality improvement workstreams

5

Develop and Enhance Effective External Relationships

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

6

Focus Improvement Activities on Outcomes

Pursuing opportunities to drive quality improvement across health and social care

7

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 care, effective care, compassionate care and well-led service 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 2016-17	Intended Outcome / Output	Measures	Action Owner	Timescale
1.1[1] Plan, implement and evaluate a programme of quality improvement initiatives focused on the core functions of registration and inspection	A risk based proportionate/regulatory system	Evaluation of year 2 actions successfully implemented and monitored through the Corporate Performance Report	Director of Regulation and Nursing	Quarters 1 - 4
	An efficient and effective inspection process which maximises the use of available resources	Attainment of satisfactory assurance through the internal audit of inspection systems and processes		Quarter 4
	Introduce and evaluate an inspection methodology to assess is care safe, is care effective, is care compassionate and is the service well-led?	Analysis of the outcomes of inspections against the achievement matrix		Quarter 4
		Number of inspections above the statutory minimum undertaken to respond to concerns		Quarters 1 - 4
	Introduce and evaluate an evidence based outcomes framework to report on inspection findings	Demonstrate the outcomes and impact of the PPI approaches utilised through the involvement of relevant service users, carers or family members in the delivery of this action		Quarter 4

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[1] 1.1 – Also relates to Strategic Theme 7

Actions 2016-17	Intended Outcome / Output	Measures	Action Owner	Timescale
1.2 Complete the planned programme of activity for 2016/17 in respect of the following areas: • Reviews • Infection & Hygiene • Acute Hospitals • Ionising & Radiation • GAIN Programme • MHLD • Regulated Services	All review reports completed and published within the specified timeframe, in line with the Reviews Directorate quality assurance process An agreed programme of inspections of statutory healthcare completed and published (including MHLD, infection prevention and hygiene, augmented care, prison healthcare and IR(ME)R) Complete the planned programme of inspections as per the fees and frequencies regulation and as per the targets set in each directorate All GAIN work streams completed within specified timeframes in line with the appropriate Quality Assurance process	Reviews progress on planned activity for the year Infection & Hygiene progress on planned inspection activity for the year Acute Hospitals progress on planned inspection activity for the year Ionising Radiation progress on planned inspection activity for the year GAIN Programme progress on milestones MHLD progress on planned inspection activity for the year Number of inspections undertaken in regulated services as per the statutory requirement Demonstrate the outcomes and impact of the PPI approaches utilised through the involvement of relevant service users, carers or family members in the delivery of this action	Director of Reviews and Medical Director, Regulation and Nursing and Director of MHLD	Quarters 1 - 4 Quarters 1 - 4 Quarters 1 - 4 Quarters 1 - 4 Quarters 1 - 4 Quarters 1 - 4 Quarters 1 - 4 Quarter 4
1.3 Assess the impact of RQIA review activities in driving quality improvement in HSC Services	An agreed approach to monitoring progress on the implementation of recommendations from RQIA reviews	Take forward the lessons learnt from the agreed approach with DHSSPS to monitoring progress on the implementation of recommendations from RQIA reviews	Director of Reviews and Medical Director	Quarter 1

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:
- 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
- Engage with DHSSPS to support the extension of 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 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
2.1[2] Engage with DHSSPS and other stakeholders, as and when required, to review the legislative framework and standards for regulation of health and social care in Northern Ireland	RQIA make full use of available powers to fulfil its' statutory roles and responsibilities The quality of health and social care assessed against regionally established standards	The Draft Mental Capacity legislation developed Updated care standards for residential care homes Registration of fostering agencies following the introduction of relevant regulations The outcome of the DHSSPS led review of the Fees and Frequencies of Inspections regulations (2005) Work with DHSSPS on the review of the Quality, Improvement and Regulation (Northern Ireland) Order 2003	Chief Executive and Director of MHLD Social Work, Director of Regulation and Nursing and Director of Reviews and Medical Director	Quarter 4 Quarters 1 - 4 Quarters 1 – 4 Quarter 4 Quarter 4

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[2] 2.2 - Also relates to Strategic Theme 3

Actions 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
2.2 RQIA/GAIN deliver additional DHSSPS commissioned projects in relation to learning from Serious Adverse Incidents	Revised regional arrangements to maximise learning from the investigations of incidents	Project milestones delivered on target	Director of Reviews and Medical Director	Quarters 1 - 4
2.3 Contribute to the development of the new Mental Capacity legislation and associated codes of practice and devise a plan for its implementation	The Draft Mental Capacity legislation is developed and will become law in 2016/17	Assessment of the impact of the new Mental Capacity legislation, regulations and associated code of practice on RQIA's role and functions	Director of MHLD and Social Work	Quarter 4

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 users

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
- Engage with DHSSPS with the review of 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 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
3.1 Work closely with BSO to deliver a range of outsourced corporate services functions	Adoption of a service delivery model for the most effective and efficient provision of a range of corporate functions in line with available resources	Progress in outsourcing the following corporate functions: - Health & Safety - Premises Management - Information Governance (including Records Management) - Finance - Administration of Income - ICT - Organisational Development - Enhanced Equality/DDO service	RQIA Chief Executive and Director of Corporate Services	Quarters 1- 4
3.2 Finalise and implement the workforce plan	A skilled and balanced workforce with the capacity and capability to deliver our business requirements now and into the future	Finalise and commence implementation of the recommendations of the workforce plan 2016/17. Updated workforce plan for 2017/18	Chief Executive & all Directors	Quarters 2 - 4 Quarter 4

Actions 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
3.3 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 2016-17	Effective and efficient use of financial resources to support RQIA's strategic priorities and maintain financial balance	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 2 Quarters 1 - 4 Quarter 4 Quarter 4
3.4 Fulfil RQIA's statutory obligation as a designated authority to whom whistle-blowers can make a protected disclosure	A timely and comprehensive response to the information received from whistle-blowers	The nature and extent of whistleblowing disclosures made to RQIA and a summary (anonymised) report of how RQIA responded to whistleblowing disclosures Assessment of the implementation of any recommendations for RQIA arising from the Departmental review of whistleblowing	Chief Executive	Quarter 4 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 continued use of the EFQM Excellence Model
- 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 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
4.1 Make appropriate use of information and intelligence from external sources to support inspection and review processes	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 RQIA's inspections focused where they are most needed to ensure an effective and timely response to all relevant concerns	Evaluation of the pilot of the use of the information from the Data Warehouse Project in the Nursing and Residential Teams and implementation of next steps Implementation of the recommendations from the Information Sources Project	Chief Executive and Director of Corporate Services and Director of Reviews and Medical Director	Quarters 1 - 4 Quarter 4

Actions 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
4.2 Commence roll out of iConnect web portal.	To enable registered providers to submit and access information for registration and inspection on-line	Progress in implementing the web portal roll out plan Number of providers registered with and using the web portal system	Director of Corporate Services	Quarters 1 - 4 Quarters 1 - 4
4.3 Initiate a project to develop and implement an integrated MHLD information system to replace the existing legacy systems	A person centred information system that supports the business needs of the MHLD Directorate	Progress in implementing the MHLD information system project plan	Director of Corporate Services and Director of MHLD and Social Work	Quarters 1 - 4
4.4 Undertake the initial phase of preparations for ISO9001:2015 Certification leading to the development of a robust and flexible Quality Management System which will improve organisational performance	Assessment of RQIA's state of readiness to apply for independent certification under ISO9001:2015	An initial diagnostic of RQIA's level of compliance against the ISO9001:2015 criteria Action Plan in place to address the gaps identified in the diagnostic exercise	Director of Corporate Services and the Executive Management Team	Quarter 3 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 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
5.1 Implement the recommendations from the external review of PPI, completed in 2015, taking account of the new PPI Standards	Continued improvements in the embedding of PPI into RQIA's culture and practice in terms of: i. Standard 1 – Leadership ii. Standard 2 – Governance iii. Standard 3 - Opportunities and Support for Involvement iv. Standard 4 – Knowledge and Skills v. Standard 5 – Measuring Outcomes	Successful implementation of the 13 recommendations from the external review of PPI which demonstrates continued improvements in the embedding of PPI into RQIA's culture and practice based on the adoption of the new PPI Standards across the organisation	Director of Corporate Services and the Executive Management Team	Quarters 1 - 4

Actions 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
5.2 Position RQIA as an effective, reputable independent regulator	Raise RQIAs profile with the general public, service users and their carers Engage effectively with independent and elected representatives	Progress in implementing the RQIA communications and stakeholder engagement plan Annual survey of public opinion focusing on their knowledge of RQIAs role and function in support of RQIA's PPI obligations Evidence of engagement with DHSSPS concerning key strategic decisions about the future of health and social care in NI	Chief Executive	Quarters 1 – 4 Quarter 3 Quarters 2 -3
5.3 Review the effectiveness of the current working arrangements with other regulatory organisations and arms-length bodies (ALB)	Agreed working arrangements with all relevant systems regulators for example Criminal Justice Inspection, Education Training Inspectorate and Her Majesty's Inspectorate of Prisons Working effectively with professional regulators such as general Medical Council, General Dental Council, Nursing and Midwifery Council, NI Social Care Council and Health and Care Professions Council Working effectively with the Children's Commissioner and Older Person's Commissioner on matters of mutual interest and concern	Revise and update existing MoUs and Information Sharing agreements with other statutory organisations and regulatory bodies Assessment of the effectiveness of the current working arrangements	Chief Executive	Quarter 3 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 four stakeholder outcomes of safe care, effective care, compassionate care and well-led service

Actions 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
6.1 Evaluate and agree the future use of lay assessors and peer reviewers in the delivery of RQIA's inspection and reviews programme	Lay assessors and peer reviewers are engaged appropriately in RQIA inspections, including children's services The views of service users are captured and reported on in individual inspections and reviews, where appropriate	The number of inspections and reviews which have involved lay assessors and peer reviewers Completed evaluation of the experience of lay assessors engaged in inspections and reviews and take forward the areas for improvement Evaluation of the role and contribution of peer reviewers in the RQIA inspection programme and take forward the areas for improvement	Chief Executive and the Executive Management Team	Quarters 1 - 4 Quarter 4 Quarter 4

Actions 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
6.2 Actively engage with HSC organisations to promote initiatives to improve the quality of health and social care in Northern Ireland	Extend our contribution to quality improvement initiatives in health and social care Actively engage with stakeholders in service quality and safety issues e.g. as highlighted by Donaldson report	Evidence of RQIA's involvement in Quality 2020 work-streams where appropriate Evidence of engagement with the developing Improvement Networks for Northern Ireland	Chief Executive	Quarter 4 Quarters 1 - 4
6.3 Publish information about the impact of RQIA's programmes of work on Health and Social Care in N.I.	Embed a culture which focuses our work on improving outcomes for service users and their families	RQIA will strengthen our collection of information on outcomes to inform our reporting about the impact of our work programmes in our reports to the public.	Chief Executive	Quarter 2

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 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
7.1 Develop and produce a Corporate Strategy 2017-21	RQIA's future strategic direction and objectives agreed and informed by engagement and consultation with our key stakeholders and the general public RQIA's Corporate Strategy to align with the NI Programme For Government cycle	Production and approval of RQIA's Corporate Strategy 2017-21	Director of Corporate Services	Quarter 4
7.2[3] Develop and take forward a programme of key strategic and quality improvement work streams taking account of external benchmarks including the Ireland Excellence Award (EFQM) Feedback Report	Continuous improvement of our systems, procedures and processes Effective delivery of RQIA's Corporate Strategy and Business Plan through strong leadership and clear strategic direction	Progress in implementing the EFQM identified improvements, following assessment in 2015, through the EMT and the Corporate Performance Report Production of RQIA's Quality Report 2015/16	Chief Executive & Director of Corporate Services	Quarters 1 - 4 Quarters 1 - 4 Quarter 2

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[3] 7.2- Also relates to Strategic Theme 4

Actions 2016-17	Intended Outcome / Output	Measure	Action Owner	Timescale
7.3 Implement a robust Risk Management Strategy	Identification and management of all potential risks facing RQIA in delivering our strategic objectives	Attainment of substantive compliance with the Risk Management Controls Assurance Standard Revised Risk Management Strategy approved by the Audit Committee and RQIA Board	Director of Corporate Services	Quarter 1 Quarter 2
7.4 Agree and deliver a risk based Internal Audit Plan	Internal audit programme linked to RQIA's overall risk management framework Enables internal audit to provide assurance to the RQIA board that the organisation is managing risks effectively	RQIA Internal Audit Plan successfully delivered on target Implementation of the recommendations from a programme of risk based internal audits focused on the operational work of RQIA	Director of Corporate Services	Quarters 1 - 4 Quarters 1 - 4

Evaluating and Measuring Impact

RQIA will measure our impact against the key stakeholder outcomes of safe, effective and compassionate care and well-led service.

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 2016-17 RRL was received from DHSSPS on 16 March 2016:

	£
Recurrent Allocation Baseline	6,843,741
Clinical Excellence award	38,076
Total RRL Allocation 2016/17	6,881,817

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 2016/17 is £909,000. 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 2016/17 is therefore estimated as follows

	£'000
Estimated RRL Allocation 2016/17	6,882
Estimated Income from Charges	909
Total Permitted Gross Revenue Expenditure	7,791

4. Capital Resource Limit (CRL)

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Glossary of Abbreviations and Terms

DDO   Disability Discrimination Order
DHSSPS   Department of Health, Social Services and Public Safety
EFQM   European Foundation for Quality Management
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

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

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

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