

Council, 22 March 2016

Secretariat Department Work Plan 2016-2017

Executive summary and recommendations

Introduction

The Secretariat Department Work Plan for the period 1 April 2016 to 31 March 2017 is attached.

Decision

The Council is invited to discuss and agree the attached document.

Background information

None

Resource implications

The resourcing of the Department is set out in the attached workplan.

Financial implications

The financial implications of the planned work are accounted for in the Secretariat and Council budgets for 2016-2017.

Appendices

See paper.

Date of paper

25 February 2016

Secretariat Department

2016-2017 Work plan

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1. Introduction

About this document

- 1.1 The Secretariat work plan details the main areas of work for the financial year 2016-2017 and updates on progress made against objectives for the year 2015-2016.

Strategic intent 2016-2020

- 1.2 The strategic intent identifies the organisation's vision and key strategic objectives for 2016 to 2020. The strategic objectives particularly relevant to the work of the Secretariat are set out below:

To maintain, review and develop good corporate governance

- Continue to invest in training of employees and Council members to develop skills.
- Continue to operate the annual performance review of Council members and Chair.

To maintain and develop efficient business processes throughout the organisation

- Maintain, review and develop standards and processes as required across the functions.
- Ensure continued compliance with external quality assurance frameworks.
- Maintain, review and develop organisation-wide policies including equality and diversity and corporate social responsibility policies.

To increase understanding and awareness of regulation amongst all stakeholders

- Extend engagement with the public through improved access to information about the HCPC.

2. Resources

2.1 The Department currently consists of four employees:

Louise Lake	Director of Council and Committee Services
Giba Begum	Secretariat Team Administrator
Ruth Cooper	Service and Complaints Manager
Claire Amor	Information Governance Manager

2.2 However, since Louise Lake will be on maternity leave from March 2016-February 2017, alternative arrangements have been put in place within the department as follows:-

- Kelly Holder was appointed Secretary to Council by Council in February 2016 and will undertake duties associated with that role from March 2016-February 2016;
- Claire Amor (Information Governance Manager) will assist Kelly Holder in her role as Secretary to Council;
- A fixed term post of 'Information Governance Officer' will be appointed to free up some of Claire Amor's time to allow her to assist Kelly with Council matters and undertake duties associated with Committees;
- Jacqueline will oversee the Strategic Away Day and have responsibility for the Complaints and feedback function;
- Teresa Haskins will undertake those duties aligned to the HR function e.g. appointment and reappointment of Council members and Council member training.

Risk management

2.3 The risks managed by the Department are outlined in appendix 1.

3. Main operational processes

- 3.1 There are eight main processes which generate the majority of the department's work and these are detailed below.

Council/Committee meetings and Professional Liaison Groups (PLGs)

- 3.2 The organisation of the calendar of meetings and the provision of support of Council and Committee meetings and PLGs. This includes, the timely preparation of papers for the meetings, the production of the minutes and the procedural advice during the course of the meeting to the Chairs.
- 3.3 In 2015-2016, the Department will support the PLG established to review the Standards of Education and Training.

Freedom of Information/Data Protection

- 3.4 Co-ordination of the Freedom of Information (FOI) and data protection system (DPA), ensuring that legislation is adhered to across the organisation and responses to FOI and subject access requests are logged, responded to within the prescribed timeframe and are in accordance with the FOIA/DPA.

Appointment and re-appointment of members

- 3.5 The process of appointing and reappointing the Chair of Council, Council members and the independent member of the Audit Committee is managed by the Secretariat Department.

Customer service feedback

- 3.6 Manage customer service function, working with the other departments to manage, log, analyse and report on complaints and feedback about the work of the HCPC.

Member Training

- 3.7 The organisation of induction programmes for newly-appointed members and the provision of on-going training of members as agreed with the Chair and members, through internal training and attendance at conferences, together with council-wide training.

Members' self-assessment

- 3.8 Each year, members undertake a self-assessment which is combined with the appraisal of the Chair, with a report outlining feedback received submitted to a meeting of Council for information. The self-assessment process is organised and run by the Secretariat, with the report drafted in conjunction with the Chair.

Council Away Day (now known as ‘The Strategic Away day’)

- 3.9 Organise the annual council away day in one of the four countries. In 2016, this will take place at a location in Scotland.

Annual report

- 3.10 Co-ordinate and oversee the production of the annual report in accordance with the Health and Social work Professions Order 2001.



4. Progress made against projects 2015-2016

- 4.1 There were three areas of significant work planned for 2015-2016 as outlined in the work plan 2015-2016.

Appointments

- 4.2 In 2014-15, the Department managed the process of appointing 4 members of Council to commence their terms of office from 1 January 2015.
- 4.3 In 2015-2016, the Department will continue the process for the appointment of a new Chair of Council, to commence from 1 July 2015.
- 4.4 Should an existing member of Council be appointed as Chair, the Department will need to commence a process to appoint a member of Council at the earliest opportunity.

Progress made: During 2015-2016, the Secretariat undertook two appointments process, firstly to appoint the Chair of Council and secondly, to appoint a member of Council as a result of the vacancy created when an existing Council member was appointed as Chair.

These appointments processes were carried out resulting in the positions being filled within the required timeframe. There were learning points arising from these exercises and these will inform future processes.

Chair Induction

- 4.5 In July 2015, a new Chair of Council will take post. Part of the work of the Secretariat will be to provide the Chair with a thorough induction and integration programme.

Progress made: This was undertaken and the Chair has been integrated into her post. Some consideration will be given to the production of a more formal 'guidance document' for the Chair.

Review of Member appraisal

- 4.6 The current member appraisal system was reviewed in 2010 and positive feedback was received in relation to the process which fed into the reappointments process undertaken by the Appointments Commission.
- 4.7 However, with a reduction in the size of Council and a reduction in the number of Committees, it is now necessary to review the existing process to ensure that it is up to date and fit for purpose so that it can be meaningfully used to inform the reappointment process.

Progress made: A new system was approved by Council at their meeting in February 2016.

Data Protection (DPA) and Freedom of Information (FOI)

- 4.8 The Department has seen an increase in the number of DPA and FOI requests it handles. During 2015-2016 the Secretariat will commence a review of its relevant documents, such as policies, procedures, standards and guidelines related to FOI and DPA and implement any necessary improvements.

Progress made: This was deferred since existing resource was required in relation to the development of the process for managing 'Information incident' reports. However, with additional resource agreed for this area of work, this project will be undertaken in 2016-2017.

5. Projects 2016-2017

Since Louise Lake, Director of Council and Committee Services, will be on maternity leave for the period of this workplan, plans have been put in place to cover the existing workload and these are set out earlier in the document. As a result, there will only be two additional projects this year:-

Data Protection (DPA) and Freedom of Information (FOI)

- 5.1 The Department has seen an increase in the number of DPA and FOI requests it handles. During 2016-2017, the Secretariat will commence a review of its relevant documents, such as policies, procedures, standards and guidelines related to FOI and DPA and implement any necessary improvements.

Council reappointments

- 5.2 This is the first time that the HCPC will have undertaken a reappointments process under the new process. The HCPC will make a recommendation to the Privy Council and the process which has been followed will be overseen by the Professional Standards Authority who will provide assurance to the Privy Council in advance of a decision being made by them.

Category	ISMS Risk	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2016	Likelihood before mitigations Jan 20	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2016	RISK score after Mitigation Jul 2015
Corporate Governance		4.1	Council inability to make decisions Links to 4.4	Director of Council & Committee Services, & Chair	3	1	3	Regular meetings, agendas and clear lines of accountability between Council and committees	Well researched and drafted decision papers at meetings	Attendance by external professionals as required	Low	Low
Corporate Governance		4.2	Council members conflict of interest	Chair	4	3	12	Disclosure of members' interests to the Secretariat and ongoing Council & committee agenda item	Annual reminder to update Register of Interests	Member induction and training	Low	Low
Corporate Governance		4.3	Poor Council decision-making due to conflicting advice or decision process	Chair	4	1	4	Well-researched & drafted decision papers, Clear lines of accountability and scheme of delegation	Chair facilitates well reasoned decisions	Attendance by external professionals, as required.	Low	Low
Corporate Governance		4.4	Failure to meet Council/Committee quorums / failure to make quorate decisions Links to 4.1	Director of Council & Committee Services	4	3	12	Clear communication of expectations of Council members' duties upfront	Adequate processes notifying Council & committee members of forthcoming meetings prior to meeting including confirmation of attendance		Low	Low
Corporate Governance		4.5	Members' poor performance	Chair	4	1	4	Appointment against competencies	Annual appraisal of Council members	Removal under Sch 1, Para 9(1)(f) of the HSWPO 2001	Low	Low
Corporate Governance		4.6	Poor performance by the Chair	Council	5	1	5	Appointment against competencies	Power to remove the Chair under Sch 1, Article 12(1) C of the HSWPO 2001	-	Low	Low
Corporate Governance		4.7	Poor performance by Chief Executive	Chair	5	1	5	Performance reviews and regular "one to ones" with the Chair	Contract of Employment	-	Low	Low
Corporate Governance		4.8	Improper financial incentives offered to Council members/employees	Chair and Chief Executive	4	2	8	Gifts & Inducements policy	Council member code of conduct	Induction training re:adherence to Nolan principles & Bribery Act 2010	Low	Low
Corporate Governance		4.9	Failure to ensure the Health & Safety of Council Members ? Should this be HCPC wide? Links to 6.3	Director of Council & Committee Services , Facilities Manager & Finance Director	4	2	8	Safety briefing at start of each Council or Committee meeting.	H&S information on Council Extranet	Personal Injury and Travel insurance	Low	Low
Corporate Governance		4.10	Establishing appropriately constituted Council Links to 6.1, 11.13	Chair	4	2	8	Robust and effective recruitment process	Use of skills matrix in recruitment exercise	Induction of Council members	Low	Low
Corporate Governance		4.11	Expense claim abuse by members	Director of Council & Committee Services	4	2	8	Members Code of Conduct (public office)	Clear and comprehensive Council agreed policies posted on the Council member Extranet and made clear during induction	Budget holder review and authorisation procedures	Low	Low
Corporate Governance		4.12	To ensure Section 60 legislation is operationalised effectively	Council	5	2	10	Scheme of delegation	Council Reporting	Quality Management Processes (ISO9001)	Low	Low
Corporate Governance		4.13	Failure to comply with DPA 1998 or FOIA2000, leading to ICO action	Director of Council & Committee Services	3	3	9	Legal advice	Clear ISO processes	Department training	Low	Low
Corporate Governance	I	4.15	Failure to adhere to the requirements of the Bribery Act 2010	Chair, & Director of Council & Committee Services	4	2	8	Suite of policies and processes related to the Bribery Act	Quality Management Systems	Oversight of EMT, Internal Audit & External Audit	Low	Low
Corporate Governance		4.16	PSA fails to recommend appointment of Council members to the Privy Council	Director of Council & Committee Services	1	5	5	Sign off of high level process by Council	PSA comments on advance notice of intent acted on appropriately	PSA informed of any deviations from agreed process at earliest opportunity	Low	Low
Corporate Governance		4.17	Failure to meet requirements of the constitution order	Director of Council & Committee Services	3	1	3	Scrutiny of advance notice of intent	Targeted advertising strategy	-	Low	Low
Policy & Standards		14.3	Changing/evolving legal advice rendering previous work inappropriate	Policy & Stds Director	4	2	8	Use of well-qualified legal professionals. Regular reviews.	Legal advice obtained in writing.	Appropriately experienced and trained members of Policy team and others eg HR.	Low	Low
Policy & Standards		14.5	PLG member recruitment without requisite skills and knowledge	Policy & Stds Director HCPC Chair, Director of Council & Committee Services(?)	4	1	4	Skills and knowledge identified in work plan	Recruitment policy	Council Scrutiny of PLG result	Low	Low