

Council, 26 March 2014

Secretariat Department Work Plan 2014-2015

Executive summary and recommendations

**Introduction**

The Secretariat Department Work Plan for the period 1 April 2014 to 31 March 2015 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 are accounted for in the Council and Committee and Secretariat budgets for 2014-2015.

**Appendices**

See paper.

**Date of paper**

17 March 2014

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## **Secretariat Department**

### **2014-2015 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 2014-2015.

## Strategic intent 2012-2015

- 1.2 The strategic intent identifies the organisation's vision and key strategic objectives for 2012 to 2015<sup>1</sup>. 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.

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<sup>1</sup> HCPC (2012). Strategic intent 2012-2015.  
<http://www.hcpc-uk.org/aboutus/aimsandvision/>

## Resources

1.3 The Department consists of four employees.

Louise Hart	Director of Council and Committee Services (maternity leave to September 2014)
Giba Begum	Secretariat Team Administrator
Ruth Cooper	Service and Complaints Manager
Claire Gascoigne	Secretary to Committees

1.4 The Secretary to Committees has taken on responsibility for various aspects of the Director of Council and Committee Services' role during her maternity leave, including the running of the Council. The Department is being overseen by the Director of Policy and Standards during this period.

1.5 The Executive Assistant to the Chair and Chief Executive will report to the Chief Executive from 1 April 2014.

## Risk management

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

## **2. Main operational processes**

- 2.1 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)**

- 2.2 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.
- 2.3 In 2014-2015, the Department will support the PLG established to review the standards of conduct, performance and ethics.

### **Freedom of Information/Data Protection**

- 2.4 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**

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

### **Customer service feedback**

- 2.6 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**

- 2.7 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**

- 2.8 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**

- 2.9 Organise the annual council away day in one of the four countries. In 2014, this will take place at a location in England.

### **Annual report**

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

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### **3. Projects 2014-2015**

- 3.1 The following outlines three areas of significant work planned for 2014-2015.

#### **Appointments**

- 3.2 In 2013, the Department managed the process of appointing 12 members of the newly reconstituted Council.
- 3.3 In 2014-2015, the Department will manage the process of appointing to the following roles.
- Appointment of the independent member of the Audit Committee.
  - Appointment of three lay members and one registrant member of Council, including members from Wales and Northern Ireland, to commence from 1 January 2015.
  - Appointment of a new Chair of Council, to commence from 1 July 2015.

#### **Customer service feedback**

- 3.4 In early 2013-2014, the customer service feedback function was incorporated into the Secretariat.
- 3.5 In 2014-2015, we will continue to review current arrangements and ask the Executive Management Team (EMT) to consider and agree any improvements to the policy and process.

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

- 3.6 The Department has seen an increase in the number of DPA and FOI requests it handles. During 2014-2015 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 improvements

Appendix 1: Corporate governance risks

Corporate Governance

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2014	Likelihood before mitigations Jan 2014	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2014	RISK score after Mitigation Sept 2013
4	Corporate Governance	4.1	Council inability to make decisions Links to 4.4	Secretary to Council & 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	4	16	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 decision-making eg conflicting advice or conflicting advice and decisions	Chair	4	1	4	Well-researched & drafted decision papers. Clear lines of accountability and scheme of delegation	Chair's involvement in the induction and relevant training of members	Attendance by external professionals, as required.	Low	Low
	Corporate Governance	4.4	Failure to meet Council/Committee quorums Links to 4.1	Secretary to Council	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	Committee secretaries and chairs advised that inquorate meetings must not proceed	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 Links to 6.3, 11.5	Secretary to Council, 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	Member recruitment problem (with the requisite skills) Links to 6.1, 11.13	Chair	4	2	8	Maintenance of a detailed role description for these positional applicants on to HCPC or its committees	Use of skills matrix in recruitment exercise	Induction of panel members	Low	Low
	Corporate Governance	4.11	Expense claim abuse by members	Secretary to Council	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	Operationalise Section 60 legislation	Council	5	2	10	Scheme of delegation	MIS	EMT & CDT	Low	Low
	Corporate Governance	4.13	Failure to comply with DPA 1998 or FOIA 2000, leading to ICO action	Secretary to Council	3	3	9	Legal advice	Clear ISO processes	-	Low	Low
	Corporate Governance	4.14	Transition to smaller Council	Chair & Secretary to Council	3	2	6	Oversight by PSA	Continuity of Chair, (to remain in post for three years)	Core processes to continue unchanged	Low	Low
	Corporate Governance	4.15	Failure to adhere to the requirements of the Bribery Act 2010	Chair & Secretary to Council	4	2	8	Suite of policies and processes related to the Bribery Act	Oversight of HCPC processes that could be vulnerable to bribery, by EMT and Internal Audit	Compliant processes designed for HCPC as a matter of course	Low	Low