

Authority Paper

Committee:	Authority
Meeting Date:	9 December 2009
Agenda Item:	529
Paper Number:	7a
Paper Title:	Business Plan 2009/10: 6 Month Review
Author:	Paula Robinson
For information or decision?	Decision
Resource Implications:	Within budget.
Implementation	Remainder of 2009/10 business year
Communication	Update to 2009/10 Business Plan to be published on HFEA website.
Organisational Risk	Low. This update reflects in-year changes to the business plan.
Recommendation to the Committee:	The Authority is asked to note this review of progress and timescales in the 2009/10 Business Plan, and to agree that an updated version reflecting these revisions should be published on the website.
Annexes	A: Revised Objectives Section of 2009/10 Business Plan

1. Introduction

- 1.1. Each year, we review dates and actions in the current business plan after 6 months of delivery. If there are changes to be made, we then publish an updated version of the business plan on the website.
- 1.2. This exercise also serves as a useful review and assurance purpose for the Authority, even if there are no major changes.

2. Progress This Year

- 2.1. Annex A shows the objectives section of the current business plan, including aims, actions, measurables and timescales. A further column has been added showing the current status of each item. A tick indicates that the action has been delivered or else is on track as planned for a future delivery date. Other text shows where timelines have been extended or where wording needs to be revised to show in-year changes.
- 2.2. Some items will extend into the 2010/11 business plan (e.g. document management, the fees review). In some cases, there are external dependencies which have extended the timescale (e.g. actions awaiting Hampton recommendations). A few items have been added, because they have risen in priority during the year (e.g. the SEED review, case-by-case PGD decision-making).
- 2.3. Overall, progress against the business plan has been excellent, and most aims have been achieved or are on track for their planned timelines. This has been (and still is) an extremely challenging year, particularly the six months up to 1 October which are the subject of this review. While there is still much to deliver in the remaining months of the business year, progress so far indicates that the HFEA is successfully delivering the large programme of work set out in the 2009/10 business plan.

3. Recommendation

- 3.1. The Authority is asked to agree the changes to the current business plan indicated in the Annex.
- 3.2. The objectives section of the business plan will then be amended accordingly, and the current version on the website will be replaced with the updated version.

Business Objectives for 2009/10

The objectives outlined above are a clear statement of the strategy the HFEA is following over the coming year, and beyond. In 2009/10 there are specific and tangible outcomes expected. To ensure that these are met, the HFEA has agreed the following activities and deliverables under each objective.

Objective 1: Better regulation and regulatory compliance

To address and balance the regulatory implications of the 1990 Act (as amended), the Regulatory Enforcement and Sanctions (RES) Act 2008 and the Better Regulation agenda.

Regulation under the 1990 Act (as amended):

The HFEA will finalise and implement new licensing and appeals processes, including new directions and licence conditions. The inspection process and aspects of research regulation and licensing will also be reviewed. The HFEA will continue to deliver its full annual inspection programme before and after commencement of the amended Act.

New powers under the RES Act 2008:

The HFEA will ~~address~~ consider any recommendations arising from the Hampton review of compliance with the Regulator's Compliance Code, so as to ensure the organisation would be eligible to apply for new powers. **The Authority will subsequently consider whether and when to make such an application.**

Better Regulation:

The HFEA will continue to meet the requirements of the government's Better Regulation agenda. This will include providing required information on regulatory budgets and contributing to Department of Health simplification plans.

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Heading	Aim	Actions and Outputs	Measurables and Outcomes	Timescale	Status
Regulation under the 1990 Act (as amended)	To contribute as needed to the finalisation of Regulations governing HFEA regulation and compliance activities.	Continued liaison with Department of Health.	The HFEA contributes as needed to Department of Health drafting work.	Up to October 2009	✓
		Regulations finalised and in place.	Certainty regarding content of most new Regulations.	October-December 2009	✓
			Regulations on providing information for researchers.	-	April 2010
	To pilot and implement new licensing processes.	Licensing processes developed and finalised.	Processes exist and are in accordance with Regulations.	By July 2009	✓
		New licensing processes piloted.	Shadow Executive Licensing Panel established and staff trained. Processes successfully tested and improved if necessary.	July-September 2009	✓
		Executive Licensing Panel commenced.	Executive Licensing Panel makes all routine and uncontentious licensing decisions.	October 2009	✓
	To establish a new appeals process for licensing decisions.	Appeals arrangements finalised and external Appeals Committee members appointed.	Appeals Committee formally constituted and positions filled; Appeals Committee able to meet as needed.	October 2009	✓
	To establish new Directions and licence conditions in	Directions and licence conditions reviewed against legislation,	Definitive set of Directions and licence conditions established,	May 2009	Sep

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	keeping with the revised legislation.	amended and rationalised.	giving clarity as to what is in force. Improved clarity in requirements for centres, making it easier for them to comply with them.		2009
		New Directions published.	New Directions available on website with the new Code of Practice.	July 2009	Sep 2009
Regulation under the 1990 Act (as amended)		Licence condition changes implemented.	New licence offers sent to centres. Representations from centres heard as applicable. New licences in force.	July 2009 August September 2009 October 2009	Sep 2009 ✓
	To ensure inspection processes are consistent and in line with revised legislation.	Review, piloting and implementation of new inspection processes.	Clear standard operating procedures; better tools; improved treatment centre and research centre inspection notebooks for inspectors.	Piloting July 2009 Implementation October 2009	March 2010
		Inspectors working towards standard competencies in inspection processes.	Improvement in quality and consistency of inspections.	June 2009	March 2010
		Development of a new inspection priority risk tool.	Tool tested. Tool implemented for 2010/11 inspection plan.	July-September 2009 October 2009	March 2010 April 2010

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Regulation under the 1990 Act (as amended)		Establishing coherence with the 8 th Code of Practice and ensuring there are procedures in place for compliance and enforcement.	Clear and consistent procedures in place. Demonstrable coherence with Code of Practice.	September 2009	✓
	To deliver the HFEA's annual inspection programme.	132 inspections of licensed clinics (47 renewals, 85 interims ¹).	Inspection programme delivered. Inspection reports provided to centres within 28 days of each inspection.	Throughout year	✓
		Continued work with clinics that were newly regulated under EUTCD (European Union Tissue and Cells Directive), to ensure that they improve towards the regulatory compliance standards of the rest of the sector.	Thematic review of inspection findings will give us a first-audit baseline from which to see whether newer clinics are measurably improving to match rest of sector.	November 2010	➔ 10/11 Bus. Plan
	To review specific aspects of research regulation and licensing.	Review of research regulation process and documentation. Review of research licensing.	Improved processes. Improved documentation. HFEA is prepared for newly licensable activities (research involving admixed embryos or alteration of the genetic structure of embryonic cells).	Piloting July 2009 Implementation October 2009	✓

¹ These figures will change during the year. This is for several reasons: (i) Additional inspections will be needed, for example for centres moving premises or applying for a variation to their licence in-year; (ii) Some centres may decide during the year not to renew their licence, and hence will not require an inspection; (iii) When the final outcomes of all the inspections from the last quarter of 2008/09 are known, centres eligible for inspection holidays will be identified. It is likely that about one third of centres will qualify for an inspection holiday, which will reduce the number of inspections.

Heading	Aim	Actions and Outputs	Measurables and Outcomes	Timescale	Status
		Development of a specific licensing process for centres where embryos may be used for training purposes.	Documentation developed. Guidance to clinics. New process implemented. Licence condition to be added to Centrepede database	June 2009 July 2009 October 2009 December 2009	✓ Added
	Continued HFEA participation in the EUSTITE project to establish Europe-wide inspection standards.	Integration of EUSTITE work with HFEA compliance vision.	Consistency between European standards and requirements and the HFEA's future compliance practices.	October 2009	✓
		Implementation by EUSTITE of European-wide guidance and training on undertaking inspections under the EUTCD.	The HFEA adds value to the EUSTITE work and continues to produce returns required under European law.	January 2010 and ongoing	✓
		Development of European-wide standards and a tool for reporting certain adverse incidents to the European Commission (EC).			
		Annual return to EC on licensed activities.			
Regulation under the 1990	Joint work with regulators and other agencies.	Joint investigations and inspections in keeping with the Concordat.	Investigations and inspections done jointly as the need arises.	Throughout year	✓
		Work with other agencies (including the Medicines and Healthcare Products Regulatory Agency and	Relationships with other agencies maintained.	Throughout year	✓

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		the Care Quality Commission) to encourage safe and continually improving treatments.			
New powers	To consider the recommendations in the Hampton report, when published, and give future consideration to seeking increased powers (in England and Wales) under the RES Act 2008.	Hampton report received and acted on.	Hampton Report published Any actions necessary after Hampton Review recognised and implemented. HFEA ensures it is eligible for increased powers.	By August 2009	3 Dec 2009 March 2010
		Post-Hampton recommendations and draft tariffs to Compliance Committee.	Tariffs for enforcement sanctions Actions in response to recommendations agreed.	September 2009	March 2010
		Authority approves application for powers.	Authority approval obtained.	December 2009	×
Better Regulation	The HFEA achieves ongoing compliance with the Regulators' Compliance Code.	Not yet known (Hampton dependent).	Ongoing monitoring of compliance as part of Quality Management System (to be established during 2009/10).	Not yet known (pending receipt of the HFEA's Hampton Review report)	→ 10/11 Bus. Plan

Heading	Aim	Actions and Outputs	Measurables and Outcomes	Timescale	Status
	To better understand the impact of regulation on the sector.	Meeting the requirements of the Government's Better Regulation agenda by supplying required regulatory budget data, contributing to Department of Health simplification plans and conducting regulatory and other impact assessments as needed.	The HFEA can respond effectively to the Government's Better Regulation agenda and meet targets.	Throughout the year	✓
	To ensure that new PRs receive appropriate support and training to enable them to meet HFEA requirements.	Revise and publish PR Entry Programme (PREP) in line with new Code of Practice and legislation.	PR Entry Programme revised and aligned with new requirements.	October 2009	✓

Objective 2: Information provision and usage

To review and improve the ways in which the HFEA collects, uses and provides its information, for the benefit of patients, the public, donors, donor-conceived people and the sector.

Information collection and analysis:

The HFEA will complete its review of the treatment data we collect, the way we analyse it, and the information that is provided using the data. Our aim will be to ensure the data we collect can be used constructively both externally, to inform our various audiences, and internally, to inform regulatory processes such as inspection, licensing and operational audit.

Information provision for the sector:

The HFEA will address the new statutory requirements enabling greater disclosure of Register data to researchers. We will establish a unique identification system for the data submitted to us by clinics about all patients, donors, and donor-conceived people, so that our policies can be more accurately monitored and enforced. We will also improve online access to HFEA forms and other information for clinics.

Information for patients, the public, donors and donor-conceived people:

The HFEA will improve the relevance and accessibility of the information it provides to patients, the public, donors and donor-conceived people. We will continue to develop our website and other publications, including the Choose a Fertility Clinic function on the website, to ensure that the information provided is useful to patients and enhances patient choice. The HFEA will also prepare to respond to new enquiries arising from the widening of access to Register information under the 1990 Act (as amended).

Heading	Aim	Actions and Outputs	Measurables and Outcomes	Timescale	Status
Information collection and analysis	To review the HFEA's publication of clinic information and performance data.	Outcomes of public consultation considered. Options considered by Authority following public consultation.	Options for future presentation of information developed. Authority agreement on what clinic information and performance data should be published and in what format.	May 2009	✓
		Enhancements to published data implemented.	Long term data analysis publication.	From April 2009	✓
			More national data available through website.	From October 2009	✓
		New policy implemented.	Revised Find a Clinic published ('Choose a Fertility Clinic'). Greater usability of performance information for the sector, and for patients.	October 2009	✓
		Thematic review of treatment centre inspection findings produced.	Driving sector performance improvement and raising clinics' self-awareness of their own relative performance. Three year picture presented encompassing change period from the introduction of EUTCD to implementation of the new compliance cycle.	March 2010	× → 10/11 Bus. Plan

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	To review the HFEA's data collection, analysis and report production.	Authority decision on data set.	Information collected reflects consultation outcomes and Authority's agreed approach	February 2010	TBD - CMG paper Dec 2009
		New forms and IT infrastructure developed.	Forms and infrastructure able to be put in place in April 2011, preceded by a 6 month lead-in time for clinics to adapt their own IT systems.	March 2010 onwards	✓
For the sector	To address new statutory requirements to disclose Register data to researchers under new legislation.	Policy developed on releasing Register data to researchers, and related consent issues.	Authority policy decision. Full implementation; new statutory requirements addressed and revised policy and consent arrangements in place, following finalisation of Regulations.	May 2009 October-December 2009	Jan 2010 April 2010
		IT project on capturing consent data under the new requirements.	Form field changes and other related IT system changes made.	May-September 2009	Jan-April 2010

Heading	Aim	Actions and Outputs	Measurables and Outcomes	Timescale	Status
For the sector	To achieve a unique identification system for data relating to individual patients, donors, and people born as a result of treatment, so that HFEA policies can be accurately monitored and enforced.	HFEA identification (ID) system developed and introduced for donors.	To ensure that data about patients and donors is correctly recorded and that each individual can be uniquely identified regardless of centres used.	By June 2009	✓
	To improve online access to HFEA forms and information for centres.	Project on online applications.	Application forms for licences, preimplantation genetic diagnosis (PGD) and imports/exports can be submitted online. Online annual EUTCD returns relating to IUI treatment cycles and embryo disposal. Clinics can access and update their own database details.	April-October 2009 for first tranche of work; remainder of online forms by end March 2010	✓ +

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For patients and others	To review and address information issues raised by the 1990 Act (as amended), including the widening of access to the Register.	Revised policy on opening up access to Register information to donors, donor-conceived people and their parents.	Opening the Register policy in place.	October 2009	✓
		Establishment of a voluntary sibling contact register for donor-conceived people ² .	Individuals who have opted in can supply personal details which the HFEA may disclose to siblings on request. This will include contact details and preferred method of contact.	March 2010	✓
	To provide information that is useful to patients and enhances patient choice.	Quarterly rolling updates of outcome data and early pregnancy rates, through Choose a Fertility Clinic.	Updates are published quarterly.	From April 2009 onwards	✓
		Continued development of HFEA website content, including information for researchers and donors, new information for patients, publication of HFEA policies, and more patient experience data.	New website goes live, with publication of national data. Improved information provision through the website. New version of Find A Clinic ('Choose a Fertility Clinic') and national data on website.	April 2009 April-September 2009 (and ongoing) October 2009	✓

² This will not be a brand new Register, but effectively a secondary Register using a data subset taken from the main HFEA Register.

Objective 3: Policy development and implementation

To ensure that the Code of Practice and other HFEA policies are in keeping with the new requirements of the 1990 Act (as amended), are evidence-based and are informed by consultation and joint working with the public, the sector and other stakeholders.

Code of Practice (8th Edition):

In 2009/10 the HFEA will review the format and effectiveness of the Code of Practice, informed by feedback from a public consultation exercise which ended early in 2009. The new Code of Practice will be published in July, and will include guidance for centres on the provision to patients of written costed treatment plans so that patients receive clearer information about treatment costs. The Code will be accompanied by a guide to inspection and licensing for clinic staff, and revised consent forms reflecting the requirements of new legislation and HFEA policies.

Evidence-based policies:

The HFEA will monitor the implementation of its policy to reduce the incidence of multiple births. In January 2010 a new, lower, limit will be set for the multiple birth rate for the second year of this policy's implementation. We will also publish clear criteria and a decision-making process for the licensing of pre-implantation genetic diagnosis (PGD), and review the practical operation of the policy limiting the number of families that can be created from one donor's gametes.

Consultation and joint working:

The HFEA will aim to increase public understanding about, and engagement in, its work and current issues in treatment and research. We will continue to maintain our dialogue, partnership working and general communications with key professional stakeholders from the sector and patient organisations, and to consult widely on new issues and policies as they emerge.

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8th Code of Practice	To publish and implement the 8 th Code of Practice.	Development and publication of the 8 th Code of Practice, including a review of format and effectiveness, informed by feedback from public consultation.	Better compliance and greater consistency in enforcement. Clearer Code of Practice, specifying which aspects are mandatory and which are guidance. Clarity for the sector about what constitutes a breach and how the HFEA will deal with it. Web and print versions of the Code published.	Development until June 2009 Publication July 2009 Implementation October 2009	✓
		Guidance for centres on the provision to patients of written costed treatment plans.	Guidance included in Code of Practice. Patients receive clearer information about treatment costs.		
		Guide to inspection and licensing (to be produced as a companion document for the Code of Practice).	Clarity for the sector regarding new inspection and licensing procedures. Clarity for centres about the impact of the new legislation on their work.		

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		Information workshops for inspectors and clinics on the new Code.	Increased understanding and awareness of new requirements.	April-October 2009	✓
	To address changes to consent requirements.	Development of revised consent forms and accompanying guidance.	Consent forms which reflect the requirements of new legislation and HFEA policy.	Development until June 2009 Publication July 2009 Implementation October 2009	✓
Evidence-based policies	To reduce the incidence of multiple births across all centres.	Implementation and monitoring of Authority policy through inspections.	Information gained from inspections helps to evaluate effectiveness of policy and maximum rates.	April-December 2009	✓
		Ongoing monitoring of multiple birth and pregnancy rates.	Reduction in multiple birth rate and maintenance of live birth rate.	April-December 2009	✓
		Review of the maximum rate and evaluation of policy.	Authority able to set achievable second year upper limit for the multiple birth rate.	January-March 2010	✓
	To establish clear pre-implantation genetic diagnosis (PGD) criteria and a decision-making process.	Finalise the decision-making process for use by Licence Committee (developed during the latter part of the 2008/09 business year).	Consistency in Licence Committee approach to PGD decisions.	October 2009	✓

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Evidence-based policies	To evaluate sperm, egg and embryo donation (SEED) policies and intrafamily donation.	Project to evaluate the practical impacts of the SEED policies that were developed from a review in 2005/06.	Authority able to set scope and objectives of future policy work.	December 2009	+
	To review the practical operation of the HFEA's policy limiting the number of families that can be created from one donor's gametes.	Project to assess effectiveness of current monitoring system and consider whether changes to the registration of donors and monitoring of gamete usage are needed.	Improved ability to ensure compliance with policy.	October 2009 – March 2010	✓
	To consider the benefits and drawbacks of continuing to license certain categories of Preimplantation Genetic Diagnosis (PGD) on a case-by-case basis.	Project to evaluate licensing 'later onset' and 'lower penetrance' categories of condition and tissue typing on a case-by-case basis.	Authority able to assess whether licensing these case-by-case basis remains a proportionate system, compared with other examples of PGD licensing.	Authority able to assess whether licensing these case-by-case basis remains a proportionate system, compared with other examples of PGD licensing.	January 2010
	To support evidence-based decision making by the Authority.	Continued work with Scientific and Clinical Advances Advisory Committee, gathering expert knowledge and evidence of emerging scientific and clinical issues.	Supplying expert knowledge and input on key Authority issues.	Throughout year	✓

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Heading	Aim	Actions and Outputs	Measurables and Outcomes	Timescale	Status
		Horizon-scanning exercise for 2010/11 involving external panel of experts.	Emerging research and treatments considered and anticipated. Future licensing decisions informed by work.	November 2009	✓
	To ensure that legal, ethical and social issues are considered in Authority policy making and licensing decisions.	Continued work through the Ethics and Law Advisory Committee, gathering expert knowledge and evidence on ethical, social and legal issues.	Supplying expert knowledge and input on key Authority issues. Policies are in line with legislation and ethically consistent.	Throughout year	✓
Joint working	Effective communication and consultation with key stakeholders and organisations.	Maintaining ongoing joint working, dialogue and general contact with key professional stakeholders from the sector and patient organisations (including the Donor Conception Network, National Gamete Donation Trust, RCN Fertility Nurses Group, Human Genetics Commission, British Infertility Counselling Association and Project Group on Assisted Reproduction.).	3 Licensed Centres Panel meetings held in the year. Positive feedback from PRs following inspections. Continued contact with patient organisations.	Throughout year	✓

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		Continuing to consult on current fertility services and new developments, and to gather views from key audiences and stakeholders.	2 online surveys of the Fertility Views Panel in the year. Patient questionnaires as part of inspection process. More responsive information and policies developed.		
	Improving the HFEA's dialogue with the public.	Effective communication and engagement with the public during the development and implementation of new policies.	Increase in public understanding of the HFEA's work and current issues in treatment and research.	Throughout year	✓

Objective 4: Equipping the organisation for delivery of the revised HFE Act

To complete, implement and monitor the operational infrastructure and processes developed to deliver all of the requirements of the 1990 Act (as amended) and other legislation, and to ensure that the HFEA's workforce is trained to deliver the new ways of working.

The HFEA's operational infrastructure:

We will establish an operating model that equips the HFEA for delivery of its future role, including the embedding of programme management as an effective way of managing cross-organisational projects. We have developed values and agreed 'new ways of working' with our staff to help us to embed all the changes. We will also **begin to** develop an updated fee structure to reflect the new legislation and ensure the organisation is financially equipped to deliver its regulatory business.

Processes to deliver new legislation:

Most of our internal procedures have been reviewed as part of the change management process. Many internal processes and policies will change as a natural result of the deliverables from all the other projects described in the business plan. This will include our HR policies, IT processes, workflow models, quality management, policy development process, financial and accounting procedures, and any internal work initiated following our Hampton review, to ensure we meet Regulators' Compliance Code requirements.

Developing our workforce:

The HFEA will provide formal training and induction for Authority Members, including an introduction to the revised licensing process, ongoing legal training, and the introduction of a formal system of appraisal, to enable better usage to be made of Authority Members' skills. We will also ensure our staff are appropriately trained and equipped for delivery of the new legislation.

Heading	Aim	Actions and Outputs	Measurables and Outcomes	Timescale	Status
Infrastructure	To establish an operating model that equips the HFEA for delivery of its future role.	Operating model established, embedding revised compliance structure and approach.	Organisation is structured so that form enables function.	By October 2009	✓
	Creation of a fee structure that reflects new powers and equips the HFEA financially to deliver its business.	Development of an updated fee structure to reflect the new legislation	A future fee structure that will support the HFEA's work, and will be compliant with legislation, consistent and efficient.	From April to December 2009	➔ 10/11 Bus. Plan
		Consultation with the sector and other stakeholders ³ .	Improved transparency and clarity about fees within the sector.	February May 2010	➔ 10/11 Bus. Plan
		Charges in place for researchers and others, for provision of certain Register information.	Clear charging structure and fee levels for information provision.	October 2009	March 2010
	Creation of a Voluntary Contact Sibling Register for donor conceived genetic siblings.	Development of IT system and internal processes for dealing with requests.	System designed to allow donor conceived genetic siblings to share contact details by mutual agreement.	March 2010	+

³ In the next business year, Treasury and Department of Health approval will be sought and centres will be informed about the new fee structure. ~~We currently expect this to be implemented in April 2011.~~

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Processes	The HFEA is equipped and ready to take on additional responsibilities relating to the 2008 Act and the 1990 Act (as amended).	Change programme to develop new policies and internal procedures in readiness for implementation of the new legislation.	New policies, procedures and ways of working in place to deliver the new legislation (as described throughout this business plan).	By October 2009 (and other dates, relating to the enactment dates of various aspects of the legislation)	✓
	Equipping the workforce	Authority Members are equipped and prepared to implement additional responsibilities related to the new legislation.	Ongoing legal training for Members. Formal induction, including an introduction to the revised licensing process. Specific training for Appeals Committee Members. Introduction of a formal system of appraisal and better usage of Authority Members' skills.	Authority Members and Appeals Committee Members are appropriately trained to deliver their role. Members' individual skills are best used in Authority work. Revised Committee structure evaluated.	September 2009 (and ongoing) January 2010
Staff are trained and equipped for delivery of the new legislation.		New ways of working established.	Staff surveys indicate increased levels of satisfaction with ways of working.	October 2009	March 2010
		Training for Compliance Directorate.	Training for inspectors in new methods and tools.	September 2009	March 2010
		Awareness sessions for other staff on all relevant aspects of the new legislation, and on the new compliance model.	Staff are confident with procedures and changes, and can work confidently with stakeholders under the new ways of working.	September 2009	March 2010

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Objective 5: Improving the HFEA's internal procedures

To develop the HFEA into a more effective organisation and employer by improving our internal procedures and knowledge management, including our document and information management systems.

Developing the HFEA as an organisation and as an employer:

We will continue to work with staff to embed our new ways of working. We will build upon the success of our new internal communication strategy, including regular staff surveys, an e-magazine update, lunchtime seminars and face-to-face sessions with Directors and the Chief Executive. We will be reviewing all our HR policies and working with staff and managers to ensure we have the most efficient policies in place both to support managers and to ensure the HFEA is seen as a model employer. We will participate in the ALB talent management programme and we will undertake an external Investors in People (IiP) audit with the aim of seeking accreditation in 2010.

Improving our internal procedures:

We will review and improve our information governance and document management processes, and ensure that recent Cabinet Office security requirements are addressed. Quality management and procedures will also be reviewed, so that tools and methodologies are holistic and internally consistent. The HFEA will also improve the way in which internal administration and task management are accomplished, through the use of workflow processes. To help staff to understand their role and responsibilities, we will roll out a comprehensive management skills training and continue to embed Programme and Project Management (PPM) throughout the organisation. Key pieces of work will be project managed and reported through Directors and the Chief Executive.

Knowledge and information management:

The HFEA will define and develop its customer service ethos, and will implement its external stakeholder development strategy. This will include further refinement of the HFEA's Customer Relationship Management software in order to increase our organisational intelligence about external contacts and communications. We will also review the information and data needed to support all of the HFEA's internal functions.

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Developing the HFEA	To develop the HFEA as an organisation.	Implement internal communications strategy.	Staff survey conducted. Lunchtime seminars held on topics of interest to staff. Intranet developed further. Regular all staff meetings led by the Chief Executive.	Throughout the year	✓
		Build on the existing work on HFEA ways of working (an agreed list of the attitudes and qualities we value) by fully embedding this into the organisation's culture.	HFEA is a more effective, confident organisation.	October 2009	✓
		Proactively seek ongoing innovation and improvement by visiting working collaboratively with organisations from other sectors and backgrounds, so as to share ideas, learn from their best practice and incorporate this learning into the HFEA.	Three visits by HFEA staff to Working with other organisations, to seek new ideas and innovations, and reciprocal sharing of information, leading to identifiable improvements (e.g. through the Talent Management Programme).	March 2010	✓
		Leadership development programme established.	Leadership potential in organisation recognised and developed.	Throughout the year	✓
		Participation in Talent Management Programme across all Arm's Length Bodies.	Improved development opportunities for HFEA staff.	Throughout the year	✓

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Developing the HFEA	To develop the HFEA as an employer.	Updated Human Resources (HR) policies and procedures on areas including: The recording of sick leave and annual leave Recruitment process review HR policy handbook Rewards policy Training and development	HFEA able to attract, retain and make best use of its staff. Clear set of accessible policies. Training and development plans are in place and being delivered.	March 2010	✓
		Preparatory audit for Investors in People (IiP) application planned for 2010/11 business year.	HFEA is able to prepare for IiP application and has an action plan in place.	March 2010	✓
		Rolling training programme established for managers and other groups of staff.	Specific training for managers and others delivered (e.g. on selection and interviewing, appraisals, and mandatory financial training). Improved staff management and staff development. Decreased turnover. Improved budget and contract management. Improved readiness for IiP requirements.	March 2010	✓

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Heading	Aim	Actions and Outputs	Measurables and Outcomes	Timescale	Status
Internal Procedures	To improve the HFEA's information governance and ensure that security requirements are addressed.	Activities to safeguard information security, including training for Information Asset Owners and all other staff.	Compliance with Cabinet Office rules on information governance and security.	October 2009	✓
		Rolling programme of training for staff in Freedom of Information (FOI) requirements and procedures.	Staff aware of requirements. Training forms part of standard induction process. FOI requests dealt with appropriately and within time limits.	March 2010	✓
		Rolling programme of training for staff in the HFEA's electronic document management system (TRIM).	All staff proficient in use of the system. Training forms part of standard induction process.	June 2009	✓
		Document management processes reviewed and improved.	Documents are well-managed, accurately filed, accessible, and not held in duplicate. Increase in proportion of documents scanned and stored electronically, resulting in a decrease in the volume of papers in hard storage. Version control in place for all relevant document types.	March 2010	→ 10/11 Bus. Plan ✓ ✓

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		Implementation of updated storage and retention schedule for documents.	Documents appropriately stored and managed. Documents destroyed once retention period has expired.	Throughout year.	✓
Internal Procedures	To ensure the HFEA meets the same quality standards asked of centres.	Review and improve the Compliance Directorate's Quality Management System (QMS).	New tools developed. Standard Operating Procedures (SOPs) and methodologies in place.	September 2009	March 2010
	To improve the way in which internal administration and task management are accomplished in the HFEA.	Workflow system developed (e.g. for absence and annual leave processes).	Workflow system able to be implemented for a range of different processes.	From April 2009 onwards	✓
		Workflow implemented for inspection process, electronic returns for online documentation, and other key business priorities.	Formal documentation of processes. Consistency, timeliness and management visibility of process delivery.	From April 2009 onwards	✓
		Project and programme management and reporting approach embedded into core ways of working.	Improved management of projects and internal interdependencies. More efficient working.	March 2010	✓

Heading	Aim	Actions and Outputs	Measurables and Outcomes	Timescale	Status
Knowledge and information management	Improving the ways in which the HFEA manages, utilises and disseminates the information and knowledge it holds.	Project on the capturing, monitoring and storage of stakeholder information and intelligence.	Coordinated communication through the introduction of CRM. Improved customer service. More effective intelligence gathering and sharing mechanisms. Knowledge and Information Strategy agreed by Authority.	January 2010	✓
		Best practice in policy embedded so that the HFEA continually learns from its stakeholders through consultations, surveys and general contact.	Policies are effectively developed and evaluated. Policy development is informed by stakeholder engagement.	March 2010	✓
Knowledge and information management		Customer service policy and approach developed.	Increased effectiveness in dealing with enquiries from the public, patients, centre staff, donors, offspring, the media, and central Government. HFEA reputation enhanced.	March 2010	➔ 10/11 Bus. Plan
		External stakeholder development strategy implemented, and the HFEA's Customer Relationship Management software developed and improved.	Improved CRM functionality and reports. Increase in organisational intelligence about external contacts and communications.	Throughout the year.	✓

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Heading	Aim	Actions and Outputs	Measurables and Outcomes	Timescale	Status
		Reporting project to review the information and data needed to support all of the HFEA's internal functions.	Clarity about information requirements for inspection, licensing, finance, policy, governance, accountability, planning and other functions.	March 2010 (and beyond)	✓
		Policy process review.	Clear and consistent process for developing policies.	October 2009	March 2010
	Continuing to respond to requests for information from the Register of treatments and outcomes (including information about patients, donors and donor-conceived people) and ensuring that data held is accurate.	'Opening the Register' requests met in a timely and sensitive manner and within required time limits.	20 working days, excluding time for counselling.	Throughout year	✓
	Continuing to respond to other requests for information.	Continuing information provision in response to Freedom of Information (FOI), Data Protection Act (DPA), Environmental Information Regulations (EIR) requests, and Parliamentary Questions.	FOI requests – 20 working days; DPA requests – 40 working days; EIR requests – 40 working days; Parliamentary Questions – varying deadlines, set by the Department of Health on a case-by-case basis.	Throughout year	✓