

Council, 25 March 2015

Education Department Work plan 2015-16

Executive summary and recommendations

**Introduction**

The attached document is the Education Department's proposed work plan for 2015–16. It details the Department's main areas of work and priorities for the financial year April 2015 – March 2016 and includes a progress report on the 2014–15 work plan. The work plan is intended to supplement the Council's strategic intent document and sits alongside other departmental level strategy and work plan documents. It is a working document and is therefore always under review.

**Decision**

The Council is asked to discuss and approve the Education Department Work plan 2015-16 (subject to minor editing and any agreed changes).

**Background information**

None.

**Resource implications**

The resource implications have been incorporated into the draft HCPC budget 2015–16.

**Financial implications**

The costs associated with all activities outlined in the work plan have been incorporated into the draft HCPC budget 2015–16.

**Appendices**

Education Department work plan 2015–16

# Education Department Work plan 2015-16

## Introduction

This work plan document outlines the resources, responsibilities and priorities of the Education Department for the financial year April 2015 – March 2016.

## About this document

This document is divided into three sections.

- Section one outlines the key responsibilities for the Education Department and resources in 2015–16.
- Section two summaries the key activities and priorities in 2015–16
- Section three outlines potential activities for the period 2016-2017 to 2017-2018.

There are three appendices to this document.

- Appendix 1 provides a summary of activities delivered in 2014–15.
- Appendix 2 provides a summary of the activities proposed in 2015–16.
- Appendix 3 provides a summary of risks owned by the Education Department.

## Main operational processes

There are four main operational processes which generate the majority of the Education Department's work. These are listed below –

### **Approval process**

This activity focuses on the management and assessment of requests from programmes seeking approval for the first time, as well as existing programme seeking re-approval for significant changes. Primarily it centres on a face-to-face visit to the education provider and a decision about whether a programme meets our standards. This activity includes the organisation, scheduling and attendance of approval visits; preparation/presentation of reports to education providers and Committee/Panel; partner/education provider liaison and provision of guidance to partners/education providers.

### **Annual monitoring process**

This activity focuses on the management and assessment of audit and declaration submissions from existing approved programmes. This documentary activity takes place every year to ensure existing approved programmes retain their ongoing approval. This activity includes the organisation, scheduling and attendance of assessment days; partner/education provider liaison, provision of guidance to partners/education providers and preparation/presentation of reports to Committee/Panel.

### **Major change process**

This activity focuses on the management and assessment of notifications and submissions from existing approved programmes. All programmes are expected to inform us of significant changes so that a decision can be made about whether a programme continues to meet our standards. This is a documentary activity and does not include a face-to-face visit to education providers. This activity includes the organisation, scheduling and assessment of submissions; partner/education provider liaison, provision of guidance to partners/education providers and preparation/presentation of reports to Committee/Panel.

### **Education provider concerns process**

This activity focuses on the management and assessment of concerns raised about approved programmes. Anyone can raise a concern about an approved programme. This activity includes investigating concerns and managing them through to their conclusion. It can involve partner/education provider liaison, provision of guidance to partners/education providers and preparation/presentation of reports to Committee/Panel.

## Other activities

There are a number of other areas and activities which support and affect the main operational processes operated by the Education Department. These activities primarily aim to raise awareness of our operational processes amongst key education stakeholders and help promote an open, transparent and collaborative approach to approval, monitoring and raising concerns. The following paragraphs summarise these activities –

### **Register of approved programmes**

Members of the Department oversee the maintenance and development of the on-line register of approved programmes. This includes approved programmes which are both open and those which are closed, but retain approval for historical periods. The register is primarily used by prospective applicants to programmes and the register to check that their education and training provides eligibility to register with the HCPC.

### **Partner recruitment, selection and training**

Members of the Department, work with the Partners Department, to appoint, reappoint, appraise and train our team of lay and registrant visitors.

### **Publications**

Members of the Department, work with the Communications and Policy & Standards Departments, to ensure that our suite of publications aimed at education providers and stakeholders is reviewed, updated and promoted regularly. The set of publications ranges from the annual report and brochures explaining the operational processes through to review reports on new professions and initiatives and the newsletter, Education Update.

### **Web and digital**

Members of the Department, work with the Communications Department, to ensure that the education related information available online and digitally is reviewed, updated and promoted regularly. This includes information on our main operational processes and the register of approved programmes on the HCPC website; as well as videos available on the HCPC YouTube channel.

### **Events**

Members of the Department, work with the Communications and Policy & Standards Department, to design and deliver events for education providers and stakeholders. This includes annual region seminars and individual topic based events.

### **Stakeholder engagement**

Members of the Department meet regularly with a wide range of stakeholders across the education, health and care sectors to develop a better understanding of our role and processes and learn from the experiences of others. This includes regular and ad-hoc meetings with educators, professional bodies and associations, commissioning and funding bodies and other regulators. It also includes participation in working and advisory groups and work related to our formal memorandum of understandings with the Care Councils and CQC.

## **Communications**

Members of the Department, work with the Communications Department, to help promote our role and processes with education providers and stakeholders as well as to help raise the profile of education with registrants, the public and external stakeholders, such as employers. This includes the identification and promotion of education related content in HCPC In-Focus, social media, HCPC blog, online news articles and press releases.

## **Systems**

The new Systems & Quality Team will oversee the maintenance, development and integration of a wide range of information systems used by department members. This primarily centres on the Microsoft Dynamics and SharePoint system, but also includes the information systems used for registration, finance, website production and email services.

## **Quality**

The new Systems & Quality Team will oversee the development and delivery of an internal programme of quality compliance and assurance. This activity will include audits and reviews and focus on compliance and decision making associated with our legislation, rules, policies and processes. It will also include compliance with our legislation obligations in respect of information sharing (e.g. Freedom of Information and Data Protection Acts).

## **Development**

Members of the Department, work with the Policy & Standards Department, to prepare, review and implement new and revised approaches to our role in professional regulation. This activity includes periodic reviews to our standards, new professions joining the Register and the development of new initiatives linked to legislative and policy changes.

## **Major projects**

Members of the Department contribute towards major projects that are being delivered at an organisational level. The level of involvement varies depending on the scale, scope and impact of the project on the department. The initiation and priority of these major projects is determined by the Executive Management Team.

## Resources

This work plan is based on the assumption of a team of 19 employees and an overall budget of approximately £1,100,000.

### Human resources

The Department will operate under a new structure from the start of the year. It will comprise of two core functional teams – one focusing on service delivery and development and the other on systems and quality. The department will continue to be led by the Director of Education who has overall responsibility for the management and leadership of the department.

The service delivery and development function is led by the Head of Educational Development and comprises of 3 Education Managers, 6 Education Officers, 2 Education Administrators and 1 Team Administrator. The function is responsible for the delivery of our approval and monitoring processes as well as the development and enhancement of educational and communication initiatives with education providers and stakeholders.

The systems and quality function is led by the Head of Education Systems and Quality and comprises of 1 Systems and Quality Manager and 2 Systems and Quality Officers. This newly formed function will become responsible for the maintenance, development and integration of our information systems alongside the delivery of an internal programme of quality compliance and assurance. The establishment of this function will take place over this year, with a gradual increase in resources and breadth of work.

It is anticipated that there will be 19 posts in the Education Department by the end of the year.

<u>Job title</u>	<u>Number of posts</u>
Director of Education	1
PA to Director	1
Head of Educational Development	1
Education Manager	3
Education Officer	6
Education Administrator	2
Team Administrator	1
Head of Education Systems and Quality	1
Systems and Quality Manager	1
Systems and Quality Officer	2

### Financial resources

It is anticipated that there will be a department budget of approximately £1.1million to support the activities in the 2015–16 financial year.

The following key assumptions have been made when preparing the budget:

- The HCPC approves pre-registration programmes in sixteen professions.
- The public health specialist part of the register will open in the 2015–16 financial year.
- The HCPC approves post-registration programmes in five existing areas and is developing in another (podiatrists practicing podiatric surgery).
- The approval visit schedule is relatively fixed in quarters one and two due to the six month notice period.
- The approval visit schedule in quarter one is affected by the requirement to visit social worker and approved mental health professional programmes.
- 65% of the approval visit schedule is to new programmes seeking approval.
- 35% of the approval visit schedule is to existing programmes making significant changes.
- The number of new programmes for paramedics, operating department practitioners and educational psychologists is likely to be slightly higher than other professions due to wider changes and initiatives within the profession and/or funding regime.
- 95% of approval visits take two days and involve 3 partners.
- 5% of approval visits take three days and involve 5 partners.
- All programmes are expected to engage with the annual monitoring process, apart from the year of and the year after an approval visit.
- 50% of all programmes engaged with annual monitoring submit an audit submission; the other 50% submit a declaration.
- The preferred and most effective method of assessing annual monitoring audits is on an assessment day.
- Each annual monitoring assessment day considers, on average, 40 audit submissions.
- 65% of annual monitoring assessment days involve 10 partners.
- 35% of annual monitoring assessment days involve 8 partners.
- Each annual monitoring considered by correspondence involves 2 partners.
- 15% of existing programmes submit a major change notification each year
- 25% of major change notifications are channelled into the approval or annual monitoring for further consideration.
- 75% of major change notifications continue through the full major change process, involving partner assessment.
- 60% of major change submissions involve two partners.
- 40% of major change submissions involve one partner.
- 0.01% of programmes receive a concern each year.
- 80% of concerns are investigated by the executive.
- 20% of concerns are assessed by two partners.
- 60 general enquiries received each month
- There are ten meetings of the Education and Training Panel each year

The budget is therefore based on the forecast that there will be:

- 46 approval visits;
- 11 annual monitoring assessment days;
- 26 annual monitoring assessments by correspondence;
- 127 major changes submissions; and
- 10 concerns.

## Priorities for 2015–16

As in previous years, the main priority for the Department is the day-to-day operation of the approval and monitoring processes. The impact of regulating social workers in England will continue to influence our work in this area. We will complete the three year approval visit schedule in 2015–16 and carry out a comprehensive review of our experience. We will also support a significant number of social worker programmes engaging with our monitoring processes for the first time.

This year, the Department will also progress with the implementation of initiatives that seek to approve new programmes in podiatric surgery and existing programmes in prescribing for additional professions. This activity, in turn, will lead to new annotations for chiropodists, dietitians, orthoptists, paramedics and radiographers.

The Department will continue to support colleagues in the Policy and Standards Department as the on-going review of the standards of education and training and its guidance develops and moves from the initial research and stakeholder engagement phase to the formal working group.

Finally, the Department will focus a great deal of resource on reviewing and improving internal business processes following the initial launch of the Microsoft Dynamics and SharePoint information system in March 2015. Associated to this is the internal restructure and development of an internal quality compliance and assurance function.



## Risk management

The Department will continue to manage those organisational risks that are primarily concerned with:

- Employees within the Department (issues such as turnover, skills development and managing performance); and
- Education providers (issues such as compliance with our processes, communication and support).

Activities outlined in this work plan also help mitigate organisation risks managed by other departments. These areas include project management and the recruitment, training and on-going support of both employees and partners.

See appendix three for more detailed information.

## Equality and diversity

The Department will continue to scrutinise and monitor all activities in this work plan with a view to identifying and where possible, mitigating any adverse impact to some groups, compared to others. It will continue to aim to improve accessibility to the main operational processes and supporting activities.

## Information security

The Department will continue to scrutinise and review all activities in this work plan in line with the organisation's information security policy and preparations for the adoption of ISO27001 (information security). It will continue to identify and where possible, mitigate any key information security risks.

## 2016-2017 to 2017-2018

The anticipated activities for the department beyond the 2015–16 financial year are –

- On-going work assessing the changes to programmes as a result of revised standards of proficiency and the requirement for service user and carer involvement.
- On-going work implementing new initiatives and professions, including public health specialists, podiatrists practising podiatric surgery and extensions to prescribing and exemptions.
- On-going development work with the Policy & Standards Department related to the reviews of the standards of education and training, standards of proficiency for social workers and guidance on conduct and ethics for students.
- On-going work to develop our e-communications and web and digital activities to reach and work with our stakeholders in a more effective manner.
- Review of our approach to approval and monitoring, including role of lay visitors and alignment to external quality assurance regimes.
- Raising the profile of research and review outcomes with education providers and stakeholders, including disengagement, interprofessional education and preparedness to practice.
- Further development of feedback mechanisms.
- On-going major project work.

## Appendix 1 - 2014–15

The following table summarises the progress in delivering the 2014–15 work plan. As anticipated, the Department had to adopt a flexible approach to the delivery of last year's work plan in order to respond accordingly to internal and external factors.

	Area of work	Start Date	End Date	Progress report (5 March 2015)
<b>Operations</b>				
<b>Approval process</b>	Approval process	April 2014	Mar 2015	Estimated approval visits = 85 Scheduled approval visits = 69 Variance = -19%
	Review of year two of social worker approval visits	Aug 2014	Nov 2014	Complete <ul style="list-style-type: none"> <li>Published in Jan 2015</li> </ul>
	Review of year one of AMHP approval visits	Aug 2014	Nov 2014	Complete <ul style="list-style-type: none"> <li>Published in Jan 2015</li> </ul>
	Review of SPIP activity in 2013-14	April 2014	Nov 2014	Complete <ul style="list-style-type: none"> <li>Published in Jan 2015</li> </ul>
<b>Annual monitoring process</b>	Annual monitoring process	April 2014	Mar 2015	Estimated assessment days = 9 Scheduled number = 4 Variance = -56%  Estimated assessments by post = 40 Scheduled number = 24 Variance = -40%
	Revised SOPs assessment	April 2014	Mar 2015	On-going into 2015-16
	Review of PP / HAD annual monitoring	Jan 2015	Mar 2015	On-going into 2015-16
	Review of SW annual monitoring	Jan 2015	Mar 2015	On-going into 2015-16
	Major change process	April 2014	March 2015	Estimated notifications = 113

	Area of work	Start Date	End Date	Progress report (5 March 2015)
<b>Major change process</b>				Scheduled number = 208 Variance = +84%  Estimated submissions = 87 Scheduled number = 124 Variance = +43%
	Major change refresh	Sept 2014	March 2015	Deferred to 2015-16
<b>Concerns process</b>	Concerns process	April 2014	March 2015	Estimated enquiries = 12 Scheduled number = 10 Variance = -17%  Estimated concerns = 4 Scheduled number = 7 Variance = +75%
	Concerns communications campaign	Sept 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>Initial feature in Education Update in January 2015</li> <li>On-going updates to concerns web page</li> </ul>
<b>Supporting activities</b>				
<b>Publications</b>	Annual report 2014	Aug 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>Report approved by Committee in March 2015. Due for publication in May 2015.</li> </ul>
	A disabled person's guide	April 2014	March 2015	Complete <ul style="list-style-type: none"> <li>Consultation promoted via Education Update in October 2014 and meetings with stakeholders</li> </ul>
<b>Website</b>	Website review and maintenance	April 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>On-going revisions to education web pages</li> </ul>
<b>Seminars</b>	Education seminars	April 2014	March 2015	Complete

	Area of work	Start Date	End Date	Progress report (5 March 2015)
				<ul style="list-style-type: none"> <li>• 2 social worker &amp; AMHP seminars delivered</li> <li>• 6 service user and carer seminars delivered</li> </ul>
<b>Visitors</b>	Visitor recruitment	Sept 2014	Dec 2014	Complete <ul style="list-style-type: none"> <li>• 14 new visitors recruited in December 2014</li> </ul>
	Visitor training	April 2014	March 2015	Complete <ul style="list-style-type: none"> <li>• 5 one day refresher sessions held in Autumn /Winter 2014-15</li> <li>• 1 two day session for new visitors held in February 2015</li> </ul>
<b>Council &amp; Committee</b>	Education & Training Committee	April 2014	March 2015	Complete <ul style="list-style-type: none"> <li>• ETP training for new members in March 2015</li> </ul>
<b>Stakeholder engagement</b>	Education update	April 2014	March 2015	Complete <ul style="list-style-type: none"> <li>• Three editions published and format revised.</li> </ul>
	HCPD organisation wide communications	April 2014	March 2015	Complete <ul style="list-style-type: none"> <li>• Three HCPD In-Focus articles; four on-line news stories, three blog articles and a range of social media activity.</li> </ul>
	Stakeholder meetings	April 2014	March 2015	Complete <ul style="list-style-type: none"> <li>• Regular meetings and presentations with education stakeholders</li> </ul>
<b>Development work (current professions)</b>				
	Standards of education and training	April 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>• Supporting the work of the Policy &amp; Standards Department</li> </ul>
	Extension and changes of prescribing rights	April 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>• Supporting the work of the Policy &amp; Standards Department</li> </ul>
	SET 1	April 2014	March 2015	On-going into 2015-16

	Area of work	Start Date	End Date	Progress report (5 March 2015)
				<ul style="list-style-type: none"> <li>Supporting the work of the Policy &amp; Standards Department</li> </ul>
<b>Development work (new professions)</b>				
	Herbal medicine practitioners	April 2014	March 2015	On hold
	Public health specialists	April 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>Major project initiated in December 2014.</li> </ul>
	Annotation of qualifications in podiatric surgery	April 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>Supporting the work of the Policy &amp; Standards Department</li> </ul>
	Adult social care workforce in England	April 2014	March 2015	On hold
<b>Major projects</b>				
	Education system build	April 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>Phase 1 complete – live system in March 2015.</li> </ul>
	Web deployment	April 2014	March 2015	Not yet initiated
	Net Regulate changes	Nov 2014	March 2015	Not yet initiated
	HR & Partner systems build	Nov 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>Supporting the work of the Partners Department</li> </ul>
	Registration process and system review	May 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>Supporting the work of the Registration Department</li> </ul>
	Finance process and system review (SAGE and PRS upgrade)	May 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>Supporting the work of the Finance Department</li> </ul>
	Stakeholder relationship management system	Dec 2014	March 2015	On-going into 2015-16

	Area of work	Start Date	End Date	Progress report (5 March 2015)
				<ul style="list-style-type: none"> <li>Supporting the work of the Communications Department</li> </ul>
	Domino to Exchange	Dec 2014	March 2015	On-going into 2015-16 <ul style="list-style-type: none"> <li>Supporting the work of the IT Department</li> </ul>
<b>Business-as-usual projects</b>				
	Service user involvement in education and training	April 2014	March 2015	Complete <ul style="list-style-type: none"> <li>Approval visit agenda amended to include meeting with service users and carers</li> <li>Briefing on new requirements sent to existing visitors</li> <li>Internal training for Department employees in August 2014</li> <li>Specific web pages created</li> <li>Revised SETs guidance published in August 2014</li> <li>Article in Education Update in October 2014</li> </ul>
	Lay visitors	April 2014	Sept 2014	Complete <ul style="list-style-type: none"> <li>Seventeen lay visitors recruited in June 2014</li> <li>All visitors trained in July 2014</li> <li>All visits in 2014-15 academic year assigned a third, lay visitor to the panel</li> <li>Internal training for Department employees in August 2014</li> <li>Article in Education Update in October 2014</li> </ul>
	Partnership with professional and system regulators	April 2014	March 2015	On-going into 2015-16

## Appendix 2 - 2015–16 Detailed activities

The following table details the activities anticipated and planned for in 2015–16. As with previous years, the Department will adopt a flexible approach to the delivery of the work plan and respond accordingly to internal and external factors.

Activity	Description	Timescale
<b>Regulatory operations</b>		
Approval process	Completion of third and final academic year of approval visits to social worker programmes.	Quarters 1-4
	Completion of second and final academic year of approval visits to approved mental health professional programmes.	Quarters 1-4
Annual monitoring process	On-going assessment of revised standards of proficiency by the annual monitoring process.	Quarters 1-4
	Initial assessment of new service user and carer requirements by the annual monitoring process.	Quarters 3-4
	On-going integration of social worker programmes into the annual monitoring process.	Quarters 1-4
	Initial integration of approved mental health professional programmes into the annual monitoring process.	Quarters 3-4
<b>Policy and process development</b>		
Standards and guidance reviews and implementation	Publicise the revised standards of proficiency for practitioner psychologists and associated changes to programmes.	Quarter 1



Activity	Description	Timescale
	<p>Publicise the revised guidance for disabled persons.</p> <p>Assist the Policy &amp; Standards Department in the on-going review of the standards of education and training and their guidance, primarily in the area of stakeholder engagement support.</p> <p>Assist the Policy &amp; Standards Department in the review of the guidance on conduct and ethics for students, primarily in terms of education provider communication.</p> <p>Assist the Policy &amp; Standards Department in the review of the standards of proficiency for social workers, primarily in terms of education provider communication.</p>	<p>Quarters 1-2</p> <p>Quarters 1-4</p> <p>Quarters 3-4</p> <p>Quarters 1-4</p>
New professions and initiatives	<p>Comprehensive review of the three academic years of approval visits to social worker programmes.</p> <p>Preparation for register opening for public health specialists in July 2016, including liaison with education providers.</p>	<p>Quarters 2-3</p> <p>Quarters 1-4</p>
New initiatives	<p>On-going support and communication to education providers in relation to our service user and carer requirements in programmes.</p> <p>On-going monitoring, support and review of new lay visitor arrangements.</p>	<p>Quarters 1-4</p> <p>Quarters 1-4</p>

Activity	Description	Timescale
	Preparation and implementation of approval process for programmes for podiatrists practising podiatric, including visitor recruitment.	Quarters 1-4
	Preparation and implementation of approval process for programmes linked to extensions of prescribing rights and exemptions, including adaptations to process and visitor allocation, if required.	Quarters 1-4
	Assist the Registrations Department in the work on comparable qualifications.	Quarters 1-4
<b>Service improvement</b>		
Quality assurance reviews and reports	Publication of Education annual report 2014.	Quarters 1-2
	Preparation of Education annual report 2015, including review of format and associated communication.	Quarters 3-4
	Review of year three of social workers approval visits.	Quarter 3
	Review of year two of approved mental health professional approval visits.	Quarter 3
	Review of year one of social workers annual monitoring engagement.	Quarter 3
Internal operating processes	Review and development of internal business processes, practices and guidelines, following	Quarters 1-4

Activity	Description	Timescale
	adoption of new Microsoft Dynamics and SharePoint system.	
Feedback mechanisms	Biennial survey of education providers.	Quarters 1-3
	Review approach to gathering feedback from education providers.	Quarters 3-4
<b>Service support</b>		
Partners	On-going recruitment and training programme to ensure sufficient numbers of visitors, including anticipated recruitment of 10-20 new visitors.	Quarters 1-3
	On-going refresher training programme, including 4-5 anticipated sessions.	Quarters 3-4
<b>Communications</b>		
Website maintenance and development	Develop and implement cyclical review of education content of webpages, ensuring links with feedback, reports and new initiatives.	Quarters 1-4
Print, digital and on-line content	Refresh introductory information available to new stakeholders.	Quarters 3-4
	Refresh information available on annual monitoring, major change and concerns processes.	Quarters 3-4
	Review usage and production of publications, videos and on-line content to ensure a range of accessible and utilised information.	Quarters 3-4
Research	Dissemination of research findings (disengagement, interprofessional education,	Quarters 3-4

Activity	Description	Timescale
	preparedness to practice) to education providers and stakeholders, including, for example, seminars, newsletter content.	
Education Update	Review, monitor and maximise opportunities with current newsletter.	Quarters 1-4
<b>Systems</b>		
Microsoft Dynamics and SharePoint system	Consolidation of new system, including roll out of new functionality and end user training and support.	Quarters 1-2
	On-going maintenance and development of system	Quarters 3-4
Education systems build major project (phase two)	Integration with other internal systems.	Quarters 1-2
<b>Quality compliance and assurance</b>		
Quality compliance and assurance frameworks	Develop and implement framework and take action as required to improve processes and service	Quarters 1-4
Management information	Review management information and reports, following adoption of new Microsoft Dynamics and SharePoint system.	Quarters 1-4
<b>Major projects</b>		
Participation in major projects <ul style="list-style-type: none"> <li>- Public health specialists</li> <li>- SAGE/PRS upgrade</li> <li>- Domino to exchange</li> <li>- Fees review</li> <li>- HR &amp; Partners build</li> <li>- Registrations review and build</li> </ul>	Varying levels of involvements, primarily linked to preparing department employees for system usage and/or communicating key messages to education providers and their students.	Quarters 1-4

Activity	Description	Timescale
<ul style="list-style-type: none"><li>- Netregulate changes</li><li>- Stakeholder relationship management system</li></ul>		

## Appendix 3 – Department risks

Assurance Status Flag; Good, Medium, Poor.	R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score	RISK score
												after Mitigation Jan 2015	after Mitigation Jul 2014
G	7	Education	7.1	Failure to detect low education providers standards	Director of Education	4	2	8	Operational processes (approval, monitoring and complaints about an approved programme)	Regular training of employees and visitors	Memorandums of understandings with other regulators (e.g. CQC and Care Councils)	Low	Low
				Links to 1.1, 4.3, 6.4									
G		Education	7.2	Education providers refusing visits or not submitting data	Director of Education	3	2	6	Legal powers (HSWPO 2001)	Delivery of Education Dpt supporting activities as documented in regular work plan	-	Low	Low
				Links to 1.1									
G		Education	7.3	Inability to conduct visits and monitoring tasks	Director of Education	4	2	8	Adequate resourcing, training and visit scheduling	Approvals & monitoring processes	Temporary staff hire to backfill or clear work backlogs	Low	Low
				Links to 1.1, 6.1, 11.2 & 11.3									
G		Education	7.4	Loss of support from Education Providers	Chief Executive or Director of Education	5	2	10	Delivery of Education strategy as documented in regular work plan	Partnerships with Visitors and professional groups.	Publications, Newsletters, website content, inclusion in consultations and relevant PLGs, consultations with education providers	Low	Low
				Links to 1.1, 14.2									
G		Education	7.5	Education database failure	Director of IT	3	2	6	Effective backup and recovery processes	In house and third party skills to support system	Included in future DR/BC tests	Low	Low
G		Education	7.6	Loss or significant change to funding, commissioning and placement opportunities for approved programmes	Director of Education	3	2	6	Operational processes (approval, monitoring and complaints about an approved programme)	Partnerships with Visitors and professional groups.	Regular training of employees and visitors	Low	Low

Assurance Status Flag; Good, Medium, Poor.	R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score	RISK score
												after Mitigation Jan 2015	after Mitigation Jul 2014
G	6	Partners	6.1	Inability to recruit and retain suitable Partners Links to 4.10, 11.3, 7.3, 18.1	Partner Manager	3	3	9	Targetted recruitment strategy.	Appropriate fees for partner services and reimbursement of expenses.	Efficient and effective support and communication from the Partner team.	Low	Low
G		Partners	6.2	Incorrect interpretation of law and/or SI's resulting in PSAHSE review	Director of FTP, Director of Education, Head of Registration, Partner Manager	2	4	8	Training	Legal Advice	Regular appraisal system	Low	Low
G		Partners	6.3	Health & Safety of Partners Links to 4.9, 11.5	Partner Manager	3	2	6	H&S briefing at start of any HCPC sponsored event.	Liability Insurance	-	Low	Low
G		Partners	6.4	Partners poor performance	Director of FTP, Director of Education, Head of Registration, Partner Manager	4	3	12	Regular training	Regular appraisal system	Partner Complaints Process & Partner Code of Conduct	Low	Low
G		Partners	6.5	Incorrect interpretation of HSWPO in use of Partners	Director of FTP, Director of Education, Head of Registration, Partner Manager	3	2	6	Correct selection process and use of qualified partners	Daily Email notificaton of partner registrant lapse	-	Low	Low
G		Partners	6.6	Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration	3	2	6	Regular review of availability of existing pool of partners to ensure requirements are met.	Annual forecasting of future partner requirements to ensure that they are budgetted for.	Staggered partner agreements across professions for Panel Member and Panel Chair to ensure adequate supply in line with the eight year rule.	Low	Low
G		Partners	6.7	User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration	3	3	9	Notification of partner resignations to user departments.	Current partner lists available to user departments on shared drive.	-	Low	Low
G		Partners	6.8	Expense claim abuse by Partner	Partner Manager, Director of FTP, Director of Education, Head of Registration	2	2	4	Budget holder review and authorisation process	Comprehensive Partner agreement	Challenge of non standard items by Finance department and Partner Department	Low	Low

Assurance Status Flag; Good, Medium, Poor.	R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the on-going risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score	RISK score
												after Mitigation Jan 2015	after Mitigation Jul 2014
G		Project Management	8.13	Failure to build a system to the the Education departments requirements	Director of Education Project Portfolio Manager	3	4	12	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	Ensure robust testing including load	Low	Low

G	Finance	15.2	Unexpected rise in operating expenses	EMT	4	1	4	Budget holder accountability for setting budgets and managing them. Timely monthly reporting and regular budget holder reviews held. EMT review of the monthly variances year to date.	Six and nine month reforecasts with spending plan revisions as feasible and appropriate. FTP costs mainly incurred towards the end of the lifecycle of a case, so increase in case pipeline would give early warning of rise in FTP costs.	Capped FTP legal case costs.	Low	Low
			Link to 13.1									
G	Finance	15.3	Major Project Cost Over-runs	Project Lead / EMT	4	2	8	Effective project specification including creating decision points. Effective project management and timely project progress reporting (financial and non financial).	Project budgets have 15% contingency. Project exception reports including revised funding proposal is presented to EMT for approval.	EMT review of the project spending variances to date	Low	Low

Assurance Status Flag; Good, Medium, Poor.	R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2015	RISK score after Mitigation Jul 2014
G	17	Information Security	17.1	Loss of information from HCPC's electronic databases due to inappropriate removal by an employee	EMT, Director of IT and Director of Operations	5	3	15	Access is restricted to only the data that is necessary for the performance of the services. Employment contract includes Data Protection and Confidentiality Agreement	Adequate access control procedures maintained. System audit trails.	Laptop encryption. Remote access to our infrastructure using a VPN. Documented file encryption procedure	Low	Low
				Links to 5.3. Incl old 17.6									
G		Information Security	17.2	HCPC Document & Paper record Data Security	EMT; Head of Business Improvement	5	3	15	Use of locked document destruction bins in each dept. Use of shredder machines for confidential record destruction in some depts e.g. Finance.	Data Protection agreements signed by the relevant suppliers. Dept files stored onsite in locked cabinets. Training where appropriate (Employees & Partners)	Regarding Reg Appln forms processing, employment contract includes Data Protection Agreement	Low	Low
				Links to 15.7									
G		Information Security	17.3	Unintended release of electronic or paper based information	EMT, Director of IT and Director of Operations	5	3	15	Access is restricted to only the data that is necessary for the performance of the services.	Effective system processes including secure data transfer and remote access granted only on application and through secure methods. Training where appropriate Employees & (Partners)	Data Processor agreements signed by the relevant suppliers.	Low	Low
G		Information Security	17.7	Incorrect risk assessment of Information Assets	Hd of Business Process Improv & Asset Owners	4	2	8	Identification and collection of information risk assets	Regular audit and review of information risk assets by Hd of BPI	Regular identification and review of information risk assets by Hd of BPI	Low	New
G		NEW Information Security	17.8	Loss of personal data by an HCPC Contractor or Partner providing application support in the performance of their support services (specific risk).	Director of IT and Director of Operations, Director of Education, Director of Fitness to Practice	5	3	15	Access to and export of personal data is restricted to only that which is necessary for the performance of the services.	Effective system processes including secure data transfer and remote access granted only on application and through secure methods.		Low	