

Agenda Item 8

Enclosure 4

**Health and Care Professions Council
04 July 2019**

**Chief Executive's organisational performance
report**

For discussion

From Marc Seale, Chief Executive

Chief Executive's report on organisational performance

Executive Summary

This paper provides the Council with updates on:

- Performance indicators.
- Strategic Priorities - key deliverables.
- Financial performance.
- Core regulatory functions and quality assurance activity.
- Chief Executive's engagement activity.

Previous consideration	This report is a standing item, considered at each meeting of Council.
Purpose of report	The Council is asked to discuss the paper.
Next steps	The next report will be received in September 2019.
Strategic priority	All strategic priorities are reported against in this report.
Risk	This report is relevant to all strategic risk areas and agreed levels of risk appetite.
Financial and resource implications	None as a result of this paper.
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Executive summary – 4 July 2019

1. Social Work Transfer

A detailed report on recent developments is included on the meeting's agenda.

2. Performance indicators

The following are some key updates to highlight to the Council.

- **Median length of time from ICP to final Hearing**

Following work with our external legal suppliers, and investing in and improving in our scheduling and hearings quality measures, this KPI is now being met.

We have met or bettered our internal measure for scheduling cases (2 months from receipt from our legal investigators) for 6 consecutive months and we have more than halved the number of cases that are being relisted due to adjournments.

- **Cases per case manager**

Following increased recruitment and the conversion of temporary resource to fixed term contracts, we are now achieving this KPI.

Additionally, we have made structural changes to the investigation team, to group cases into profession-specific teams. This will allow greater familiarity and specialist experience of information collation and closer links with organisations involved in cases.

3. Strategic priorities – key deliverables

- **Strategic priority 1**, Improve our performance to achieve the Professional Standards Authority's Standards of Good Regulation

An initial review of cases managed solely under the Threshold Policy has been undertaken. Of the cases that have closed, the median age to the consideration from receipt is 8 weeks. This compares favourably with the 12 weeks allowed under the Threshold Policy. A formal audit of the policy will take place over the summer.

- **Strategic Priority 2**, ensure our communication and engagement activities are proactive, effective and informed by stakeholder views and expectations.

The working group formed to review the HCPC's approach to Education quality assurance has completed its review. The Education and Training Committee considered and supported the working group recommendations in June.

Given the scale of transformational change being proposed, it has been agreed that a business case should be submitted to consider how these proposals are taken forward. ETC will be proved with a further update on progress in September.

- **Strategic priority 3**: The organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

Discussions continue with the Department for Education to support the HCPC's request for additional grant funding to cover the additional costs incurred as a result of the uncertainty around the formal transfer date for social worker regulation.

As part of work to ensure the HCPC's long term sustainability, budget holders are undertaking a 2019-20 budget refresh exercise as well as developing detailed budgets for 2020-21 and 2021-22. This work is due to complete at the end of July.

4. Finance

- Year to date (YTD) May results show a net deficit of £0.5m against a budgeted deficit of £1.4m. Income YTD is £5.9m, 1% higher than budget. Operating expenditure is 8.5% below budget, however given we are quite early in the 2019 – 20 year, this is likely as a result of timing differences and reversals from the previous year.

5. Departmental reporting

The following are some key activities for the Council's attention.

- **Education programme approval** - In keeping with the agreed transitional arrangements, we are now referring requests for new programme approval to Social Work England (SWE). As part of our support during the transition, we have invited SWE employees to observe some upcoming approval visits
- **FTP concerns** - The total new concerns received continues the trend from 2018-19 but remains within forecast and resource parameters. May was the

first month for over a year where the number of new concerns relating to the other 15 professions was larger than those relating to social workers

- **FTP learning and development** - in June two workshops on 'valuing the patient voice' were delivered for all case management employees. The purpose of these session was to raise awareness around handling of complaints sensitively with service users/patients and families.

Meeting schedule period covering 23 May – 4 July

Chief Executives Steering Group	28 May
Scottish Government Meeting with Scottish Government and Jeane Freeman MSP, Edinburgh	29 May
Professional Standards Authority Chief Executive, Alan Clamp London	30 May
Health and Social Care Regulators forum HCPC	30 May
Joint meeting between Health and Care Professions Council, The Academy for Healthcare Science, Association of Clinical Scientists and Institute of Biomedical Scientists London	11 June
Chartered Society of Physiotherapy Chief Executive, Karen Middleton London	13 June
NHS Employers Assistant Director, Caroline Waterfield Leeds	17 June
Department of Health and Social Care Leeds	17 June
Council on Licensure Enforcement and Regulation Vancouver	24-28 June
British Dietetic Association's Annual Awards & Honours Birmingham	2 July
Department for Education Assistant Director for Social Work Reform Unit, Jonathan Bacon London	3 July
Professions Standards Authority, Department of Health and Social Care, Department for Education and Social Work England London, PSA	3 July

The Inauguration of Mrs Gill Hodges, The Society of Radiographers London	4 July
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Council meeting, 4 July 2019

Performance report

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Council meeting, 4 July 2019

Key Performance Indicators

KEY PERFORMANCE INDICATORS DASHBOARD

TIMELINESS

Fitness to Practise

Measure	Median length of time from receipt of allegation to Investigating Committee Panel (ICP): 33 weeks												Period	April, May
	Strategic priorities: 1 and 3													
Executive commentary	The trend in this key measure continues to be led by the focus on the older cases. As we focus on the conclusion of cases at Investigating Committee, the older cases are included in this arithmetical measure. We have therefore developed some supporting measures that indicate the age of the cases that remain open, and are earlier in the FTP process. These measures take the age of the remaining cases at each stage, but also weight the proportion of the caseload. There are 14% of the caseload about to be considered by ICP. These cases are the oldest, with a median age of 64 weeks. The next group constitutes 39% of the caseload, and has a current median age of 47 weeks. The earliest group of cases in the process constitutes 49% of the caseload, but has a current age of 14 weeks. We are targeting resources to list and conclude these cases over the summer, and expect to see an impact on the KPI in the Autumn.													
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	
	Weeks	64	56											
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Weeks	58	54	56	63	63	53	67	50	58	72	62	84	
Measure	Median length of time from ICP to final Hearing: 39 weeks												Period	April, May
	Strategic priorities: 1 and 3													
Executive commentary	The changes we have made, working with our external legal suppliers, and investing and improving in our Scheduling and Hearings quality measures is giving confidence that we are now meeting this KPI, irrespective of the cases history pre-Investigating Committee. We have met or bettered our internal measure for scheduling cases (2 months from receipt from our legal investigators) for 6 consecutive months. The volumes of cases listed continues to meet our forecast, and we have more than halved the number of cases that are being relisted due to adjournments. Adjournments continue to be the major factor that affects this KPI, as HCPC often have no control of the relisting/availability of the parties.													
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	
	Weeks	32.1	32.6											
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Weeks	54	57	51	55	64	53	53	43	46	42	43	50	

Measure	Median length of time from receipt to final hearing: 73 weeks											Period	April, May	
	Strategic priorities: 1 and 3													
Executive commentary	This KPI is a composite of the pre- and post-ICP timescale. As such, until the pre-ICP cases are concluded, this KPI will continue to remain high. We estimate the lag time for the reduction of the KPI value is 6 months after the ICP conclusion (the time it takes to investigate and list the hearing). As such, we estimate this KPI will report high values until the end of the budget year, though the post-ICP component will remain low, as described above.													
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	
	Weeks	89.6	96.6											
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Weeks	85	105	106	100	113	103	103	85	108	90	112	102	
Measure	Median length of time of interim order cases from receipt to decision: 16 weeks											Period	April, May	
	Strategic priorities: 1 and 3													
Executive commentary	We continue to meet this KPI, assisted by the changes made in immediate risk assessment by Triage team, with transfer to Serious Case Team for any possible interim order matters.													
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	
	Weeks	11.3	11.3											
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Weeks	16	17	19	14	13	41	16	18	23	13	34	34	
Measure	Number of open pre-ICP cases (not including Rule 12 cases*) 1600 open cases by 31/3/19											Period	April, May	
	Strategic priorities: 1 and 3													
Executive commentary	The number of open cases continues to fluctuate, depending on the number of new cases. We have seen greater non-social work case numbers in the last quarter, with no reduction in the volumes of social work cases. The open volume is therefore higher than forecast. However, the case advancement activities and higher closures at all stages has resulted in a younger caseload, with 78% of the open cases received in the last 12 months. Younger cases are more likely to proceed according to expected timescales due to better engagement of parties. Furthermore, 14% of the open caseload is listed to be considered by an Investigating Committee panel in the next 2 months. These cases are generally the oldest open. It should also be noted that the open caseload has dropped again to 1972 at the time of writing this update.													
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	
	Number	1,958	2,003											
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Number	1,721	1,804	1,867	1,946	1,936	1,960	1,939	1,959	1,984	2,008	1,988	1,938	

Registration

Measure	Median processing time for UK graduates: 10 working days												Period	April, May	
	Strategic priorities: 1 and 3														
Executive commentary	This indicator is in line with the optimum figure.														
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20		
Working days		9	2												
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19		
Working days		5	4	6	8	10	10	7	5	7	6	7	10		

Measure	Median processing time for International applications (European Mutual Recognition): 60 working days												Period	April, May	
	Strategic priorities: 1 and 3														
Executive commentary	This indicator is in line with the optimum figure.														
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20		
Working days		38	39												
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19		
Working days		55	56	64	55	40	42	49	46	54	52	55	55		

Measure	Median processing time for International applications (Non-European Mutual Recognition): 60 working days												Period	April, May	
	Strategic priorities: 1 and 3														
Executive commentary	This indicator is in line with the optimum figure.														
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20		
Working days		39	40												
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19		
Working days		51	51	67	45	41	35	49	46	54	51	57	51		

Education

Measure	Median time to produce visitors reports following a visit: one calendar month												Period	April, May	
	Strategic priorities: 1 and 3														
Executive commentary	This indicator is in line with the optimum figure.														
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20		
Days		28	28												
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19		
Days		27	28	28	28	27	27	28	28	28	28	21	22		

FINANCE AND RESOURCES

Finance

Measure	Performance against budgeted operating expenditure in range of 97.5% to 102.5%										Period	April, May	
	Strategic priorities: 3												
Executive commentary	Budgeted expenditure is higher than actual which is mainly due to timing difference. The first two months are not the best indicator for performance as expenditure is normally affected by the reversal of accruals made for the previous year end and because the budget holders tend to overestimate expenditure and activity. This is consistent with last year.												
Year to date	(,000)	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20
	YTD Actual	3,606	2,860										
	YTD Budget	4,016	3,053	3,007	3,052	2,983	3,080	3,030	2,983	2,897	2,856	2,675	2,583
	YTD Forecast												
	YTD Variance	410	193										
	Actual as % of budget	90%	94%										
Previous year	(,000)	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	YTD Actual	3,376	6,299	9,324	12,239	14,910	17,436	20,377	23,398	26,083	28,879	31,522	34,957
	YTD Budget	3,891	6,821	9,656	12,505	15,140	18,079						
	YTD Forecast							20,564	23,671	26,727	29,047	32,151	35,472
	YTD Variance	515	521	332	265	230	642	187	273	644	168	628	516
	Actual as % of budget	87%	92%	97%	98%	98%	96%	99%	99%	98%	99%	98%	98%

Human Resources

Measure	Employee voluntary turnover: 22% (21.8% London average, Xpert HR labour turnover rates, published 5 May 2018)										Period	April, May		
	Strategic priorities: 3													
Executive commentary	Following a peak the first half of 2018/19, turnover has now reduced and has remained below the London average for the last four months.													
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	
	Turnover	19%	21%											
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Turnover	25%	26%	25%	23%	23%	23%	22%	22%	23%	22%	21%	19%	

QUALITY

Fitness to Practise

Measure	Number of cases per case manager: 45										Period		April, May	
											Strategic priorities: 1 and 3			
Executive commentary	We have made structural changes to the investigation team, to group cases into profession-specific teams. This will allow greater familiarity and specialist experience of information collation and closer links with organisations involved in cases. Coupled with recruitment and conversion of temporary resource to fixed term contracts, we are now achieving this KPI.													
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	
	Number	48	45											
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Number	55	54	52	53	54	54	49	54	57	53	49	53	

Registration

Measure	Number of upheld appeals against registration decisions										Period		April, May	
											Strategic priorities: 1 and 3			
Executive commentary														
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	
	Concluded	7	6											
	Upheld	4	5											
	Upheld/ no new info	0	0											
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Concluded	5	6	5	5	4	7	4	6	4	6	5	5	
	Upheld	3	3	2	3	2	4	2	4	1	3	4	2	
	Upheld/ no new info	0	0	0	0	0	0	0	0	0	0	0	0	

INFORMATION TECHNOLOGY

Information technology

Measure	Availability of HCPC websites (including Register and online portal): 99.5%										Period		April, May	
Strategic priorities: 1 and 3														
Executive commentary	The Online Register and Online Renewal services were affected following an issue with a core part of the network. A work-around is in place as we work to replace network components with our external partners.													
Year to date		Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	
	Availability	99.52%	99.4%											
Previous year		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Availability	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	95.6%	99.9 %	100.0%	100.0%	100.0%	

Strategic priority 1: Improve our performance to achieve the PSA's Standards of Good Regulation

Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

*Rule 12 is a designation that is typically applied to cases where there is limited anticipated case activity due to the existence of an on-going Police investigation. The designation allows the Fitness to Practise Department to more accurately monitor case progression and distinguish between cases that can be expeditiously progressed and those cases which cannot be progressed because any progression is dependent on a third-party investigation.

Council meeting, 4 July 2019

Strategic Priorities – progress of key deliverables

Strategic priority 1: Improve our performance to achieve the Professional Standards Authority's Standards of Good Regulation

Area	Key deliverables (and completion by quarter)	Progress
Improve our fitness to practise performance to meet PSA standards	Deliver the programme of work outlined in the Fitness to Practise (FTP) Improvement plan including:	As previously reported to Council, the project is now formally closed. However, a number of ongoing activities will continue to be embedded under business as usual processes.
	Complete the review of case management competency and resource requirements (Q1)	This review is complete, and the final stages of recruitment of new or vacant posts are taking place in June.
	Implementation of case progression strategy including a process for prioritising high risk cases (Q1-4 (ongoing))	This work continues, and feeds our activity relating to preparation for the transfer of social worker cases to Social Work England (which is on target), and projections of length of time for all professions. We are now discussing case studies with SWE, to assist in their planning and a smooth transfer.
	Review of the Standard of Acceptance policy and associated guidance (Q1 – Q2)	We have done an initial review of the cases received by HCPC and managed solely under the Threshold Policy. Of the cases that have closed, the median age to the consideration from receipt is 8 weeks. This compares favourably with the 12 weeks allowed under the Threshold Policy. We are scheduled to do a formal audit of the policy over the summer.
	Revise the FTP quality assurance framework to align with the PSA standards of good regulation (Q1)	This work is essentially complete, though we continue to meet with colleagues from Quality Assurance, to ensure any audit work provides an assessment of our progress.
	Meet with PSA on a quarterly basis to provide progress updates (Q1-4 (ongoing))	We continue to meet with Mark Stobbs, Director of Scrutiny and Quality. Our next meeting is in July. By this time, we should have seen the draft Performance Report for 2018.

Strategic priority 2: Ensure our communication and engagement activities are proactive, effective and informed by stakeholder views and expectations

Area	Key deliverables	Progress
Seek to better understand the preferences, needs and views of our stakeholders	Commission research to better understand the views and expectations of our stakeholders and put in place an action plan as a result of the findings (Q3)	The findings from the commissioned research were reported to Council in March 2019 and actions incorporated into Policy and Communications workplans for 2019-20. The Policy team has engaged SMT to consider our approach to service user engagement and a key focus for the Communications team is registrant engagement.
Strengthen our engagement with stakeholders in the four countries of the UK	Develop a new stakeholder engagement plan to guide our engagement with stakeholders across the four countries (Q1)	A detailed stakeholder registrant engagement plan is currently being developed. This includes identifying frequency, type of contact, engagement opportunities with these key stakeholders and follows detailed work to audit HCPC's key stakeholder relationships and contact points.
	Pilot holding an engagement forum for key stakeholders in one of the UK countries and evaluate its effectiveness (Q4)	Following the pilot event in Edinburgh, similar stakeholder engagement fora have been incorporated into the Communications workplan for 2019-20.
	Work in partnership with education sector stakeholders to review our approach to the quality assurance of education and training programmes (Q2 (planned event) and ongoing)	The working group has now completed its review, with a recommendations paper produced following the third and final workshop held in mid-May. The Senior Management Team and Education and Training Committee considered the working group recommendations in June. Both SMT and ETC supported the recommendations in principle, and agreed further work should be conducted to scope the proposals further. Given the scale of transformational change being proposed, SMT agreed a business case should be submitted to consider how these proposals are taken forward. ETC will be proved with a further update on progress in September.

Strategic priority 3: The organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

Area	Key deliverables	Progress
Keep our financial sustainability under review	Review our cost base and ongoing financial sustainability, consulting if necessary on changes to registration fees (Q2 (and ongoing))	The 2018-19 year end closure and audit of annual accounts has completed and the annual report and accounts is presented to Council in July. Discussions with the Department for Education continue for additional grant monies and budget holders are undertaking a 2019-20 budget refresh exercise as well as developing detailed budgets for 2020-21 and 2021-22. This work is due to complete at the end of July.
Embed a strategic approach to risk and performance management	Develop and agree a strategic approach to risk management by identifying a set of strategic risks (Q1)	The Strategic Risk Register was discussed by SMT at its bi-monthly meeting in May and at Audit Committee in June. Key changes include incorporating the transfer of social workers into strategic risk 1 and updating planned actions for 2019-20. The Audit Committee also considered the Social Work Risk Register at its May meeting.
	Further develop our approach to measuring and monitoring performance	The Head of Fitness to Practise is developing the presentation of fitness to practise data. The aim is to provide clarity on the scale of the work involved the impact the FtP improvement plan is having on timelines and quality of process, and progress to date.
	Review our Key Performance Indicators (KPI) at least once a year (Q4 (and ongoing))	The interim Director of Finance is currently reviewing the finance KPI.
	Review and further refine the existing performance data set considered by the Council (Q2)	See above, and the Director of Finance is currently developing a new style presentation of the financial performance data.
Invest in processes and systems to improve stakeholder experience and drive business efficiencies	Build capacity required to accelerate business transformation (Q2)	<p>FTP Case Management System (CMS) Review: a long list of potential suppliers has been identified using a government framework agreement and the request for tender information is being created in readiness for the supplier selection exercise.</p> <p>Registration transformation: Contract negotiations with the preferred supplier have continued, but are close to conclusion, after which implementation will commence.</p> <p>Education systems major project: deployment and testing of the Microsoft CRM and SharePoint platforms has completed. The second phase will deliver a series of development items to improve processes, service and efficiency. The project remains on track in accordance with budget and timescales.</p>

Strategic priority 4: Make better use of data, intelligence and research evidence to drive improvement and engagement

Area	Key deliverables	Progress
Ability to collect data	Develop a classification system for capturing the characteristics of fitness to practise cases (Q2)	As previously reported, cases that conclude at all stages of the FTP process are now being categorised and FTP are working to ensure data is inputted in to the system. Once we have sufficient data, we will analyse themes.
Research action planning	Deliver a programme of work to deliver the outcomes of the University of Surrey research: (Q1-4 (and ongoing))	We have commissioned the University of Surrey to undertake research into the impact of FTP process has on registrants. Initially, this includes using existing research data to produce a film outlining the benefits of Schwartz Rounds* for health and care professionals. It also involves interviewing registrants and producing a second film to evidence their experiences. We anticipate seeing outputs in Q3 and Q4 *Structured forum where professionals come together regularly to discuss the emotional and social aspects of working in healthcare
	Work to raise awareness on when to self-refer and when to refer with a particular focus on registrants, employers and complainants	Information for registrants has been published to the website, along with case studies and an infographic. We are currently developing dissemination plans to align with our communications workplan.
	Engagement with educators to develop teaching and learning materials for educators using the case studies developed in the research	We are currently reviewing the approach of other organisations (not limited to healthcare regulators) before sharing a draft outline of our proposed approach with a small group of key stakeholders in August.
	Commission a literature review on the characteristics of effective clinical / peer supervision in the workplace and use this to engage with stakeholders including employers on the role of supportive approaches in preventing problems from occurring	We have received an interim report from Newcastle University and continue to liaise with them during the research.
Internal capacity to deliver research activity	Deliver at least one in-house research project: Working in partnership with a professional body or other stakeholder to look at the characteristics of fitness to practise cases in that profession; or if a partner cannot be identified, looking at a cross-profession issue such as the characteristics of cases about internationally qualified registrants. (Q4)	We are currently categorising data and will commence sampling and assessment of closure reason through July, with a view to presenting research findings to SMT early Q3.

Council meeting, 4 July 2019

Finance report

Finance

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Finance Overview

May results show a better than expected position but it's likely to be timing difference. Budget holders have been tasked with a budget refresh exercise for 19/20 as well as develop detailed budgets for 2021 and 21/22 at the time of writing this report. The 3 year forecast once complete will be shared with Council in due course.

Income and Expenditure Account YTD	Actual	Budget	Variance	Full Year Budget
May 31,2019 (TABLE 1)	£	£	£	£
Income (A)	5,891,859	5,662,819	229,040	32,611,424
Expenditure				
Pay costs	2,338,176	2,357,573	(19,397)	14,061,371
Non pay costs	3,970,624	4,562,864	(592,239)	21,267,304
Depreciation	156,877	148,720	8,157	886,844
Total expenditure (B)	6,465,677	7,069,157	(603,480)	36,215,520
Operating Surplus / (Deficit) C= (A-B)	(573,818)	(1,406,338)	832,520	(3,604,096)
Corporation tax	0	-	0	-
Total other expenditure (D)	0	0	0	-
Grant Income	355	-	355	2,064,423
Investment income	19,586	9,560	10,026	50,798
Total other income (E)	19,941	9,560	10,381	2,115,221
Total Surplus/ (Deficit) F=C+D-E	(553,877)	(1,396,778)	842,901	(1,488,875)
Revaluation gain G		-	0	-
Total Surplus/ (Deficit) after revaluation gain H= F-G	(553,877)	(1,396,778)	842,901	(1,488,875)

Summarised financial performance of the HCPC group for the period year to date (YTD) is shown in Table 1 below.

■ In May HCPC income was £5.9m which is 229k (1%) higher than budget.

■ Income is shown in more detail in Table 2.

■ Pay costs are within budget with a variance of only £19k. Pay costs by department is shown in Table 3.

■ Non pay costs are showing a favorable variance of £592k (3%) against budget. Non pay costs are shown in more detail in Table 4.

■ Operating deficit as at month 2 is showing a deficit of £573k as opposed to a budgeted deficit of £1.4m (variance 23%). Overall an improved position to budget but given its only month 2, likely to be mostly timing differences.

■ Investment income is higher than budget by about 20%. The budget was prudent and the actual results are likely to exceed budget going forward.

■ Our total deficit is £554k compared to a budgeted deficit of £1.4m at month 2.

■ Revaluation gain or loss on property is only calculated at year end.

Income

Table 2 compares income by activity against budget for the month of May and YTD and also with the full year budget as approved by Council in March 2019.

Table 2 Income by Activity May 31,2019	Period 2	Year to date				Full Year Budget
	Actual	Actual	Budget	Variance £	Variance %	
Graduate Registration Fees	144,054	290,795	279,943	10,851	4	1,854,157
Readmission Fees	26,595	48,870	22,613	26,257	86	206,456
Renewal Fees	2,487,308	4,974,044	4,973,201	844	0	27,765,776
International Scrutiny Fees	217,305	440,550	270,731	169,819	63	1,641,998
UK Scrutiny Fees	46,259	104,006	87,165	16,841	19	968,036
Registration Income	2,921,521	5,858,265	5,633,652	224,612	4	32,436,424
Other Income	710	4,428	0	4,428	0	0
Rental Income GCC	14,583	29,167	29,167	0	0	175,000
Total Income	2,936,814	5,891,859	5,662,819	229,040	1	32,611,424

Income is on slightly ahead of budget by £229k, 1%, with the highest increase seen in international scrutiny fee. This is mainly due to the higher number of international applicants in April and May. Due to the uncertainty regarding Brexit a more prudent approach was taken at the time of the budget setting.

The international income target to be reviewed if the positive trend continues. Table 2b shows the income by profession in ascending order of annual budget.

Table 2a Income by Profession Budgeted income under 1.5m	Year to date		Full Year Budget
	Actual	Budget	
Prosthetists & Orthotists	18,581	16,814	108,373
Orthoptists	21,848	21,492	138,109
Hearing Aid Dispensers	45,134	41,219	293,016
Arts Therapists	63,600	59,934	412,171
Clinical Scientists	91,875	93,311	605,807
Dietitians	158,219	153,636	974,047
Chiropodists	191,739	187,990	1,181,108
Operating Department Practitioners	196,265	203,728	1,270,562
Total Income	787,260	778,124	4,983,193

Table 2a Income by Profession Budgeted income over £1.5m	Year to date		Full Year Budget
	Actual	Budget	
Speech & Language Therapists	255,782	244,848	1,583,302
Bio-medical Scientists	372,209	357,709	2,237,067
Practitioner Psychologists	377,790	356,910	2,323,303
Paramedics	467,515	403,523	2,730,343
Radiographers	585,581	557,245	3,592,020
Occupational Therapists	621,700	597,890	3,789,856
Physiotherapists	908,988	912,237	5,562,617
Social Workers	1,481,441	1,425,165	5,634,722
Total Income	5,071,005	4,855,528	27,453,231

Pay costs

Table 3 compares pay costs against budget for the month of May and YTD and also with the full year budget as approved by Council in March 2019. Overall pay costs total variance to budget is just under 1%.

Table 3 Payroll Costs May 31,2019	Period 2	Year to date		Variance to Budget		Full Year Budget
	Actual	Actual	Budget	Amount	%	
Chief Executive	64,410	132,938	134,836	(1,898)	-1%	772,051
Communications	39,854	77,420	92,905	(15,485)	-17%	513,825
Data and Intelligence Team - New	-	-	-	-		24,693
Office Services	28,160	54,164	59,837	(5,674)	-9%	362,024
Finance	55,492	99,001	89,482	9,520	11%	562,905
Human Resources	99,582	165,141	131,675	33,466	25%	782,740
Human Resources Partners	13,195	26,291	27,157	(866)	-3%	172,045
IT Department	82,830	136,010	127,714	8,296	6%	850,510
Major Projects: without SW Transfer Costs	5,723	11,446	55,504	(44,058)	-79%	355,504
Social Workers Transfer Costs	46,508	79,100	42,772	36,328	85%	480,646
Project (Managers)	27,617	57,623	63,426	(5,803)	-9%	390,291
Professional Liaison Team - New	-	-	-	-		14,280
Quality Assurance	49,133	99,113	115,226	(16,113)	-14%	617,074
Secretariat	11,464	22,928	31,893	(8,964)	-28%	191,356
Pay cost support departments (A)	523,968	961,175	972,427	(11,252)	-1%	6,089,944
Education	52,058	105,491	112,844	(7,353)	-7%	575,627
Fitness to Practise	463,428	918,378	904,379	13,999	2%	5,163,883
Registration	165,596	323,048	334,382	(11,335)	-3%	2,023,428
Policy	13,434	30,085	33,541	(3,457)	-10%	208,491
Pay cost core regulatory departments (B)	694,516	1,377,001	1,385,146	(8,146)	(0)	7,971,429
				-		
Total Pay costs (C= A+B)	1,218,484	2,338,176	2,357,573	(19,397)	-1%	14,061,373

The support departments overall show a saving against budget of £11k.

Savings are noted in communication, office services, quality assurance and secretariat team.

Finance team costs are higher than budget due to absence cover and increased cost of managing the year end process.

Human resources are than budget due to higher recruitment costs. A review is underway to see if the recruitment fees relating to the SWE project may be transferred over. Projects team and related pay costs is

higher in SWE project but is off set with saving in other projects.

Core regulatory departments pay costs are on budget with a minor saving of under £8k overall.

Non Pay costs

Table 4 compares non pay costs by department against budget for the month of May and YTD and also with the full year budget as approved by Council in March 2019.

Table 4 Non- Payroll costs May 31, 2019	Period 2	Year to date				Full Year Budget
	Actual	Actual	Budget	Variance Amount	Variance £	
Chair	4,924	16,427	14,982	1,445	10%	92,892
Chief Executive	6,636	13,459	13,447	13	0%	76,208
Council & Committee	32,191	51,791	57,403	(5,613)	-10%	319,690
Communications	5,742	16,971	53,632	(36,661)	-68%	316,874
Data and Intelligence Team - New	-	-	-	-		90
Office Services	188,635	395,613	439,432	(43,819)	-10%	2,627,375
Finance	11,803	71,972	105,200	(33,228)	-32%	234,559
Human Resources	50,284	84,503	87,011	(2,508)	-3%	485,965
Human Resources Partners	10,963	22,125	42,100	(19,974)	-47%	214,499
IT Department	192,205	295,210	290,207	5,004	2%	1,796,090
Major Projects: without SW Transfer Cos	1,800	2,442	65,403	(62,961)	-96%	437,565
Social Workers Transfer Costs	2,380	1,738	310,278	(308,540)	-99%	1,583,777
Project (Managers)	157	157	350	(193)	-55%	2,100
Professional Liaison Team - New	-	-	-	-		1,845
Quality Assurance	2,661	13,233	16,243	(3,010)	-19%	63,220
Secretariat	58	441	4,160	(3,719)	-89%	18,860
PSA Levy	-	902,190	902,190	0	0%	902,190
Apprenticeship Levy	3,091	6,186	7,209	(1,023)	-14%	42,814
Total support departments	513,531	1,894,458	2,409,245	(514,787)	-21%	9,216,614
Education	25,985	48,411	69,741	(21,329)	-31%	267,115
Fitness to Practise	981,532	1,800,713	1,872,640	(71,926)	-4%	10,393,260
Registration	38,214	217,917	207,012	10,905	5%	1,284,219
Policy	3,288	9,124	4,226	4,898	116%	106,096
Total core regulatory departments	1,049,019	2,076,166	2,153,618	(77,452)	1	12,050,691
Total Non pay costs	1,562,550	3,970,624	4,562,864	(592,239)	-13%	21,267,304

Overall non pay costs show a saving of £592k, 13% against budget.

The communication budget shows a saving of £37k against budget, this is mainly due to delays in setting up various events as a result of staffing changes. This has now been addressed in the recent refreshing of 19/20 budget which has now been aligned with the revised Communication work plan.

The office services budget shows a saving of £44k against budget; this is mainly due to the lower spend on postage, refurbishment works and electricity. These are mainly timing difference and expected to align to budget in due course.

The saving in finance costs is also due to timing difference.

£372k saving on projects is mainly attributable to timing differences of

expenditure on four projects; Regulation of Social workers costs in April and May is now going to be lower than the budget; this was re-planned in April after the budget was approved with the phasing.

CMS and Reg Transformation and Improvement costs have been deferred slightly due to contract negotiations with IBM taking longer than expected and awaiting the final QA of the product. The project Regulation of physicians which was planned to start in April has not been approved by DoHSC.

£72k saving against budget in Fitness to Practice is mainly due to a successful cost order recovery, lower than budgeted transcript costs due to activity levels and also lower numbers of reviewable sanctions at PSA requests.

Balance Sheet

Table 5 Balance sheet	Actual Period 2	Actual 31 March 2019	Budget 31 March 2019
Total Fixed Assets	7,730,103	7,898,072	9,057,528
Current assets			
Other current assets	1,485,979	2,970,827	2,125,603
Cash & cash equivalents	15,452,115	18,662,518	15,600,889
	16,938,094	21,633,345	17,726,492
Total assets	24,668,197	29,531,417	26,784,019
Current liabilities			
Trade and other payables	797,528	1,578,506	818,360
Other liabilities	1,657,454	1,612,006	2,354,952
Deferred income	18,534,066	22,107,880	19,923,936
Total current liabilities	20,989,049	25,298,391	23,097,248
Liabilities greater than one year	163,052	163,052	220,159
Total assets less liabilities	3,516,097	4,069,974	3,466,613
General fund b/fwd	(3,771,687)	(3,539,747)	(3,539,747)
Rev Res - Land & Building	(298,287)	(298,287)	(22,330)
This periods (surplus)/deficit	553,877	(231,940)	95,464
General fund c/fwd	(3,516,097)	(4,069,974)	(3,466,613)

Table 5 shows the actual and budgeted balance sheet as at May 31, 2019. The table also shows the budgeted position as at March 31, 2020 compared to the actuals as at March 31, 2019.

Movement in fixed assets is a combined effect of depreciation charged and capital additions.

Cash management continues to be string and is considered in more detail in the next section.

Current liabilities continue to exceed current assets.

Long term liability is the dilapidation provision for the leased building 405

Total reserves are expected to reduce with the budgeted/expected loss in year.

Year to date loss of £0.5m has reduced the total reserves by the same amount.

Cash

At end of May 19, our total cash balance was £15.5m, of which £5.4m was held in fixed term deposits (see table below), and £10.1m was in instant access accounts. The interest rate on our main instant access account is 0.65%. This is set to increase to 0.70% from 1st July 2019.

Split of fund at banks is shown in the pie chart below, the split also complies with the investment policy.

Bank	Deposit amount £m	Term Months	Maturity date	Interest rate
Santander	2.3	9	16.9.2019	1.00%
Barclays	3.07	32 days' notice		0.75%
Total	5.37			

A three month rolling forecast is shown in Table 6. This includes actuals for April and May and a forecast till September 2019. Plans are in place to develop and extend the rolling forecast till March 2020 which will then be updated on a daily basis.

The cash flow forecast in Table 6 assumes the following:

- No external financing is assumed.
- No additional grant income is assumed as negotiations (via PWC) are still not finalised.
- Grant income receipt in line with budget is assumed.
- Full payment of all committed expenditure is assumed in the cash flow forecast.
- All known staff costs are included.

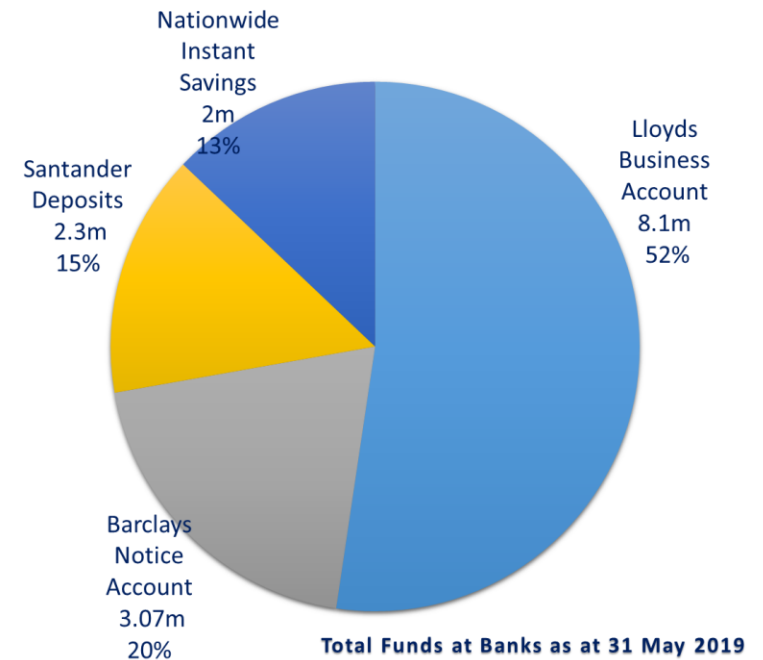


Table 6a shows the split of liquid cash and cash held in deposit. A plan to put more of cash in short term deposit accounts is being developed and will be shared with SMT and Council in due course

Jameela Khan FCCA
21/06/2019

Table 6	
Cash Flow Forecast 2019-2020	
Opening Balance	
Cash in	
Registration Fees	
Investment Income	
Rental income - GCC	
Grant income	
PSA refund	
Total Cash Receipts	
Cash out	
Suppliers runs	
Payments to Partners	
Staff expense	
Capital	
PSA	
Payment to SWE	
Payroll - Salaries	
Payroll - Tax & NI	
Payroll - Pensions	
Payroll - Other	
Total Cash Payments	
Net misc items (Cash Book related corrections)	
Net Cash Flow	
Closing Balance	

Apr-19 Actual	May-19 Actual	Jun-19 Actual/Forecast	Jul-19 Forecast	Aug-19 Forecast	Sep-19 Forecast
18,662,518	16,666,496	15,452,115	15,271,240	14,315,132	16,147,853
1,057,197	1,330,300	2,747,271	1,773,089	4,736,712	3,537,024
7,655	7,967	7,522	7,634	7,715	19,466
-	-	-	43,750	-	-
-	303,549	-	141,000	-	392,307
-	-	-	-	-	-
1,064,851	1,641,816	2,754,793	1,965,473	4,744,427	3,948,797
1,618,810	1,479,178	1,583,764	1,352,664	1,352,664	1,583,764
347,950	350,768	336,000	336,000	336,000	336,000
1,466	2,476	2,800	2,800	2,800	2,800
-	-	70,036	242,475	232,600	258,685
-	-	-	-	-	-
-	-	-	-	-	-
648,588	636,107	636,980	613,333	613,333	613,333
374,104	304,479	234,779	303,000	303,000	303,000
-	81,450	67,000	67,000	67,000	67,000
3,149	4,309	4,309	4,309	4,309	4,309
2,994,067	2,858,767	2,935,668	2,921,581	2,911,706	3,168,891
(66,807)	2,571	-	-	-	-
(1,996,022)	(1,214,380)	(180,875)	(956,108)	1,832,721	779,906
16,666,496	15,452,115	15,271,240	14,315,132	16,147,853	16,927,759

Table 6a	
Investments & Cash Note	
Non-Instant Access Accounts	
Santander Deposit (6mth to Sept)	
Barclays 32 Day Notice Account	
Total Non-Instant Cash	
Instant Access Accounts	
Nationwide Instant Savings Account	
Lloyds per TB (end of period)	
Lloyds	
Barclays & Natwest	
Total Liquid Cash	
Cash Position	

Apr-19 Actual	May-19 Actual	Jun-19 Actual/Forecast	Jul-19 Forecast	Aug-19 Forecast	Sep-19 Forecast
2,295,028	2,295,028	2,295,028	2,295,028	2,295,028	
3,076,666	3,078,562	3,080,650	3,082,850	3,085,150	3,087,550
5,371,694	5,373,590	5,375,678	5,377,878	5,380,178	3,087,550
2,000,000	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000
9,294,450	8,078,199				
9,294,450	8,078,199	7,895,263	6,936,981	8,767,428	11,839,988
351	325	299	273	247	221
11,294,801	10,078,524	9,895,562	8,937,254	10,767,675	13,840,209
16,666,495	15,452,114	15,271,240	14,315,132	16,147,853	16,927,759

Council meeting, 4 July 2019

Department reports

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Education

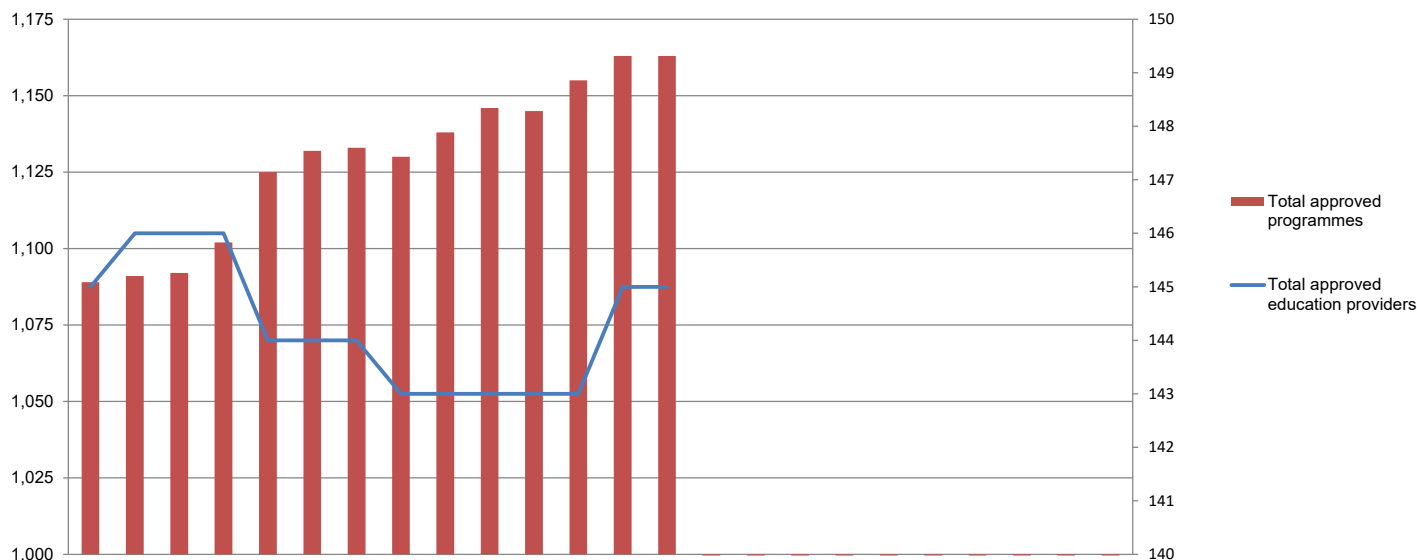
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Education Department – Overview

- **Approvals:** 49 visits are scheduled to complete in the FY, which is 26 less than our forecast. However, our scheduling window is still open from December 2019-March 2020, so we expect this figure to rise over the next few months. We continue to meet our performance target around report generation, indicating timely service is being provided through this process.
- **Social work transfer:** In keeping with the agreed transitional arrangements, we are now referring requests for new programme approval to Social Work England (SWE). This arrangement came into effect at the beginning of May. Our work with systems suppliers to develop migration tools to support the data transfer work remains on track. Regular meetings are being held between the two organisations in relation to education. As part of our support during the transition, we have invited SWE employees to attend some upcoming approval visits. This will include attendance at all meetings, including observing the HCPC visitors making their recommendations regarding programme approval.
- **Podiatric surgery:** The final response to conditions outstanding has now been received and is currently being assessed by visitors. We expect a final recommendation to be considered by the Education and Training Panel in July. The education provider will be able to provide observation to inform the Panel's deliberations regarding programme approval.
- **Education webinars:** Scoping work has commenced around the delivery of webinars for education providers. These will focus on our requirements through annual monitoring and changes made to the standards of education and training. Education and Communications are working together to agree an approach, preferred technology and how the webinars will be structured in practice. We anticipate this method of delivery being more convenient for education providers and scalable for the organisation to deliver regularly.

Number of approved programmes, by profession April 2018 - March 2020

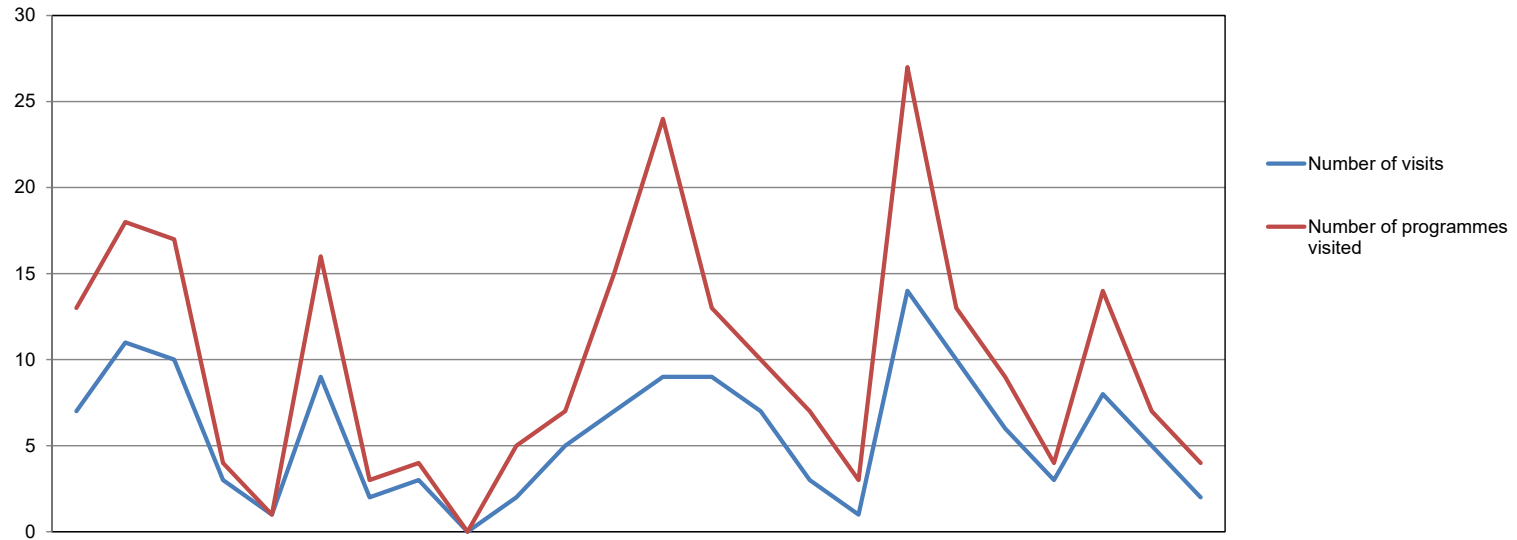


Profession/entitlement	2018			2019												2020											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar			
Arts therapists	28	29	29	31	31	31	31	31	31	31	31	31	31	31													
Biomedical scientists	64	64	64	64	67	71	71	71	71	71	71	71	71	71													
Chiropodists/ Podiatrists	19	19	19	19	19	19	19	18	18	18	18	18	18	18													
Clinical scientists	4	4	4	4	4	4	4	4	4	4	4	4	4	4													
Dietitians	35	35	35	36	39	39	39	39	39	40	40	40	40	40													
Hearing aid dispensers	18	18	18	18	20	20	20	20	20	19	19	19	20	20													
Occupational therapists	73	73	73	74	75	75	75	75	80	81	81	82	84	84													
Operating Department Practitioners	37	37	37	37	39	39	39	38	39	42	42	44	44	46													
Orthoptists	3	3	3	4	6	6	6	6	6	6	6	6	6	6													
Paramedics	76	77	77	76	79	79	79	78	75	74	74	74	74	74													
Physiotherapists	79	79	79	80	83	85	86	87	89	90	90	90	92	92													
Practitioner psychologists	109	109	109	114	114	114	114	114	114	115	115	115	116	116													
Prosthetists/Orthotists	2	2	2	2	2	2	2	2	2	2	2	2	2	2													
Radiographers	58	56	56	56	57	57	57	57	57	57	57	57	57	57													
Social workers in England	253	253	253	254	255	255	255	256	258	260	261	262	265	265													
Speech and language therapists	42	45	45	44	45	46	46	46	46	46	46	48	49	49													
Prescription only medicine - administration	4	3	3	2	2	2	2	2	2	2	2	2	2	2													
Prescription only medicine - sale / supply (CH)	5	5	5	5	5	5	5	5	5	5	4	4	4	4													
Prescription only medicine - sale / supply (OR)				1	4	4	4	4	4	4	4	4	4	4													
Supplementary prescribing	49	49	49	49	49	49	49	49	49	49	49	50	50	50													
Independent prescribing	96	96	97	98	97	97	97	97	97	98	98	101	99	97													
Approved mental health professionals	33	33	33	32	31	31	31	29	30	30	29	29	29	29													
Podiatric surgery	2	2	2	2	2	2	2	2	2	2	2	2	2	2													
Total approved programmes	1,089	1,091	1,092	1,102	1,125	1,132	1,133	1,130	1,138	1,146	1,145	1,155	1,163	1,163	0	0	0	0	0	0	0	0	0	0			
Total approved education providers	145	146	146	146	144	144	144	143	143	143	143	143	145	145	0	0	0	0	0	0	0	0	0	0			

2016/17 FYE	2017/18 FYE	2018/19 FYE	2019/20 YTD
28	28	31	31
60	64	71	71
17	19	18	18
3	4	4	4
32	35	40	40
18	18	19	20
68	73	82	84
34	37	44	46
3	3	6	6
73	76	74	74
71	78	90	92
102	109	115	116
2	2	2	2
54	58	57	57
252	253	262	265
34	42	48	49
4	4	2	2
6	5	4	4
		4	4
51	49	50	50
95	97	101	97
32	33	29	29
		2	2
1,039	1,089	1,155	1,163
145	143	144	145

CH = Chiropodists / podiatrists
OR = Orthoptists

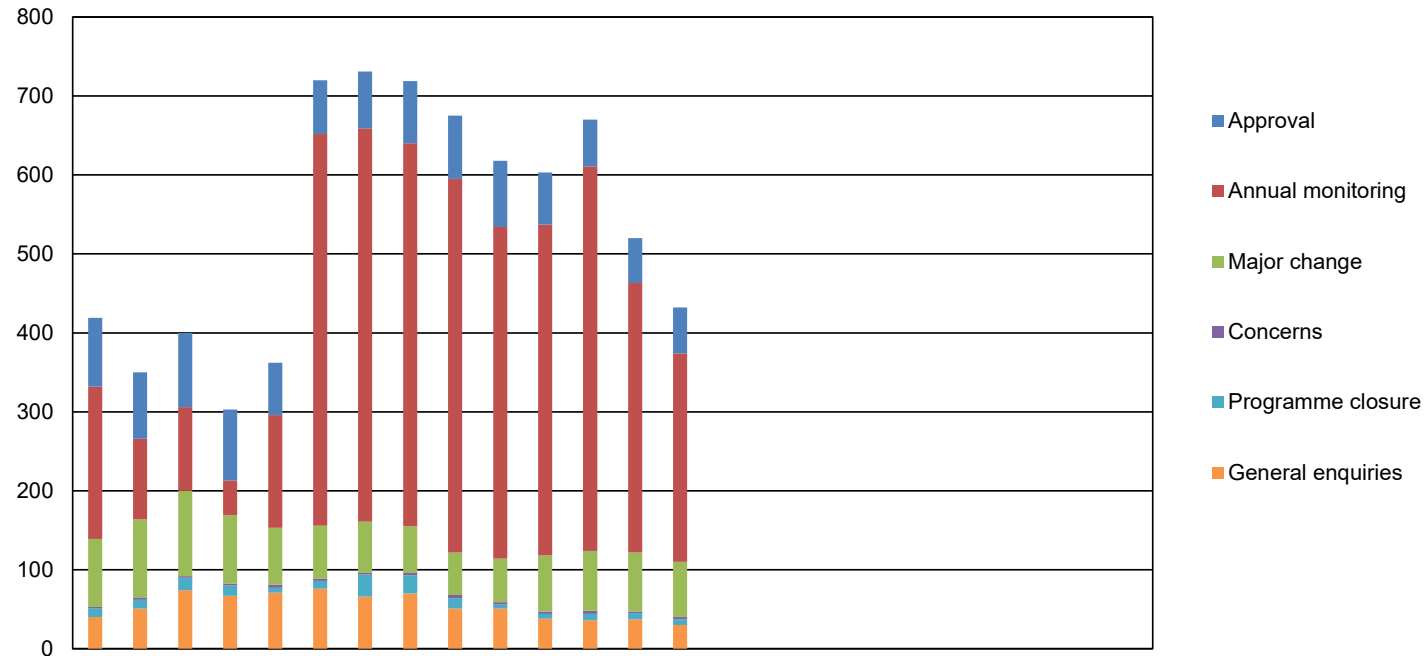
Overview of approval visits April 2018 - March 2020



Overview of approval visits	2018			2019									2020												
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
Number of visits	9	9	7	3	1	14	10	6	3	8	5	2	10	8											
Number of programmes visited	24	13	10	7	3	27	13	9	4	14	7	4	22	9											

2016/17	2017/18	2018-19	2019-20
FYE	FYE	FYE	YTD
44	60	18	18
78	103	31	31

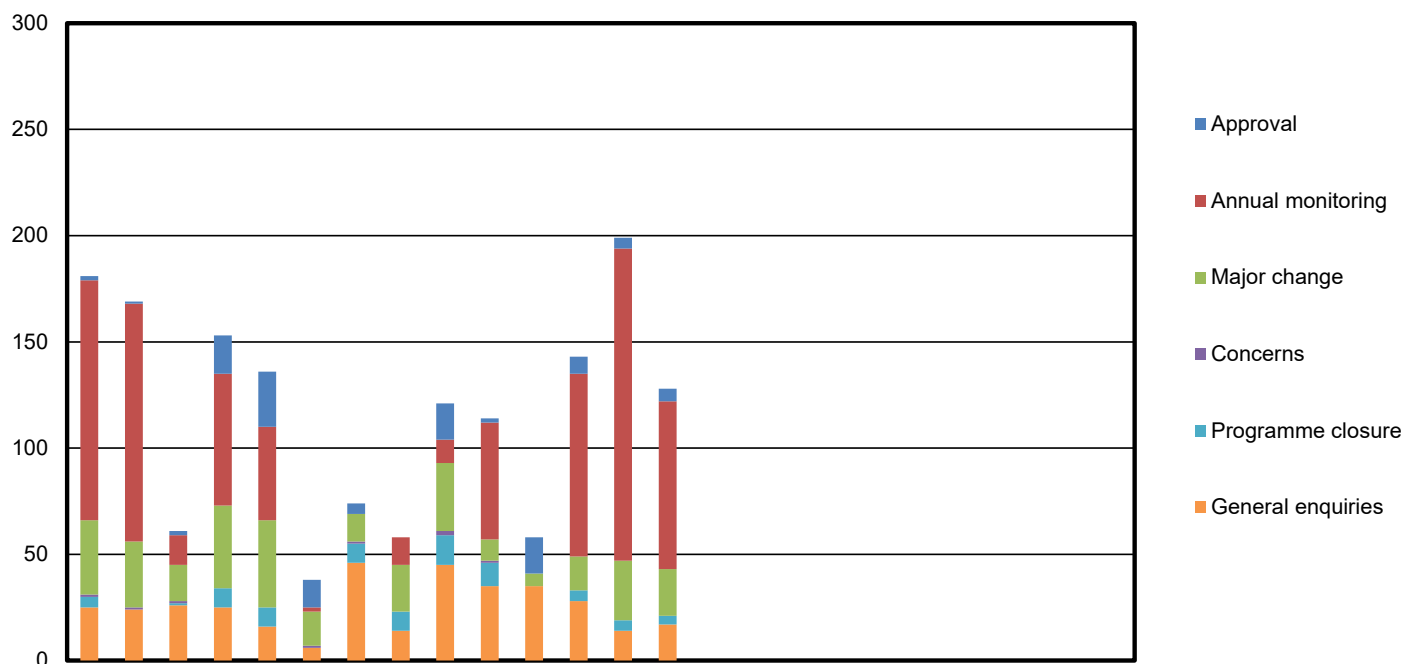
Overview of workload, Number of active cases, April 2018 - March 2020



Work area	2018			2019												2020									
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
Approval	87	84	94	90	66	68	72	79	80	84	66	59	57	58											
Annual monitoring	193	102	106	44	143	496	498	485	473	420	419	487	341	264											
Major change	86	99	108	87	72	67	65	59	54	55	71	76	75	70											
Concerns	2	3	2	2	4	3	2	3	4	3	3	4	2	3											
Programme closure	11	11	16	13	6	10	28	23	13	5	6	8	8	7											
General enquiries	40	51	74	67	71	76	66	70	51	51	38	36	37	30											
Total	419	350	400	303	362	720	731	719	675	618	603	670	520	432	0	0	0	0	0	0	0	0	0	0	0

2016/17	2017/18	2018/19	2019/20
FYE	FYE	FYE	YTD
70	81	94	57
283	292	106	341
57	80	108	75
3	2	2	2
8	9	16	8
31	41	74	37
452	505	400	520

Overview of workload, Number of resolved cases, April 2018 - March 2020



Work area	2018			2019												2020									
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
Approval	2	1	2	18	26	13	5	0	17	2	17	8	5	6											
Annual monitoring	113	112	14	62	44	2	0	13	11	55	0	86	147	79											
Major change	35	31	17	39	41	16	13	22	32	10	6	16	28	22											
Concerns	1	1	1	0	0	1	1	0	2	1	0	0	0	0											
Programme closure	5	0	1	9	9	0	9	9	14	11	0	5	5	4											
General enquiries	25	24	26	25	16	6	46	14	45	35	35	28	14	17											
Total	181	169	61	153	136	38	74	58	121	114	58	143	199	128	0	0	0	0	0	0	0	0	0	0	0

2016/17 FYE	2017/18 FYE	2018/19 FYE	2019/20 YTD
62	87	111	11
762	643	512	226
310	307	278	50
10	10	8	0
31	38	72	9
131	212	325	31
1,306	1,297	1,306	327

Fitness to Practise

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Fitness to Practise: overview

The following report is based on data up to the end of May 2019.

New and open cases

- The total new concerns received continues the trend from 2018-19 but remains within forecast and resource parameters. May was the first month for over a year where the number of new concerns relating to the other 15 professions was larger than those relating to social workers. (See Table 1)
- The total open pre-ICP caseload was continues to fluctuate around the 2000 mark. This is dependent on the number of new cases received. It has remained broadly stable for 11 consecutive months, following 12 consecutive months of increases. Great numbers of closures is leading to a stable caseload, but which is younger. It should also be noted that we are now meeting the KPI on having an average 45 cases per Case Manager in the Investigations stage of the process. (See Table 1)
- The total number of open post-ICP cases has continued to increase since the last performance report, from 329 to 372 cases. This is intended and planned for, as a result of increased activity at the ICP (which has doubled in the last six months as the cases targeted by our improvement work reach the Panel for decision). Of the 372 open cases, 33% have a final hearing listed, 2% have a preliminary hearing listed, 25% are with scheduling and are being listed, and 40% are with our external legal suppliers. These proportions remain in line with our budget and planning assumptions.

Length of time

- The median length of time from receipt for cases to reach an ICP decision has fluctuated through the last year, as we have successfully expedited older cases for consideration by ICP. An explanation of how we measure and project performance in this group of cases is included as part of the KPI narrative. (See Table 2)
- The median length of time for cases to reach the final hearing once referred by the ICP has started to show sustained improvement, following changes in scheduling and case preparation. We are now exceeding the performance required in the KPI. (See Table 3)
- The median length of time to conclude cases at hearing from receipt was 101 weeks across the year and remains higher in the first two months of this year. This figure is a composite of the two previous KPIs, and so is affected when older cases conclude. The KPI narrative explores the weighting of the oldest cases and the time period until they have passed through the process. Our current estimate is that the residual effect of the older, pre-ICP cases, even when combined with a shorter ICP to final hearing time, will continue to remain high beyond the transfer of social work cases to the end of the budget year. (See Table 4)

- Interim order cases progression fluctuates if there is new or significant information on a longstanding case. This can include conclusion of a criminal or employer investigation, on which we depend. In April and May this has not happened, and the KPI is comfortably met. (See Table 5)

Age of open cases

- On quarterly basis, the PSA monitors the number of open cases which are over 156 weeks old, over 104 weeks old and over 52 weeks old. Our target is to bring the number of cases over 156 weeks old to 14, over 104 weeks old to 80 and over 52 weeks to 378, the figures in 2014. Currently, non-Social Work cases broadly meet these levels, meaning we are on track to deliver against PSA expectations after transfer of cases to Social Work England.
- Currently we have 50 cases which were over 156 weeks (up from 42), 169 cases which were over 104 weeks (stable from 169) and 621 cases which were over 52 weeks (up slightly from 596). There has been some fluctuations in these numbers across the year, as we focus on different parts of the process. Adjourned final hearings contribute the most to our oldest cases, with 25 such cases – of which 18 have a future resuming date already agreed. Of the 50 oldest cases, 37 are in the post ICP stage, with 26 listed for a hearing, and the remainder being prepared or listed. (See Table 6)
- The number of total open pre-ICP cases had increased from 1938 in March to 2003 at the end of May, principally due to the number of new cases. This number has already dropped to 1972 in early June as we process them. Out of this number 75% were received in the last 12 months. 12 cases are older than 156 weeks, 66 cases are older than 104 weeks and 429 cases are older than 52 weeks. These proportions have not increased since the last update report. (See Table 1)
- The number of open post ICP cases reflects the higher volume of cases concluding at ICP, having risen to 372 from 329 in March. The case to answer at ICP remains around 63%, so our projections of postICP cases (and therefore hearing activity) remains in line with budget and staffing expectations. Out of this number the number of cases over 156 was 37 (9%), over 104 weeks was 99 (27%) and 170 (46%) over 52 weeks. All categories of cases are stable and within the expected tolerances. (See Table 3)

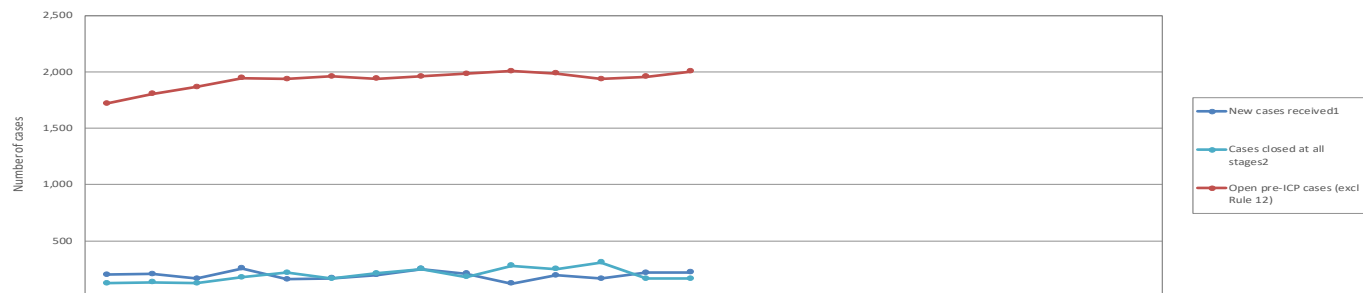
Challenges to Fitness to Practise Decisions

- There have been two appeals against the decision of the Conduct and Competence Committee from registrants or PSA since April 2019. We continue to defend decisions where appropriate, or concede, based on legal advice. We have agreed to concede both appeals and return the cases to be heard by another panel. The proportion of appeals of HCPC's decisions remains low, despite increased activity on older cases. (See Table 7)

Table 1

Fitness to Practise (FTP) Overview - All 16 professions

Fitness to Practise Department



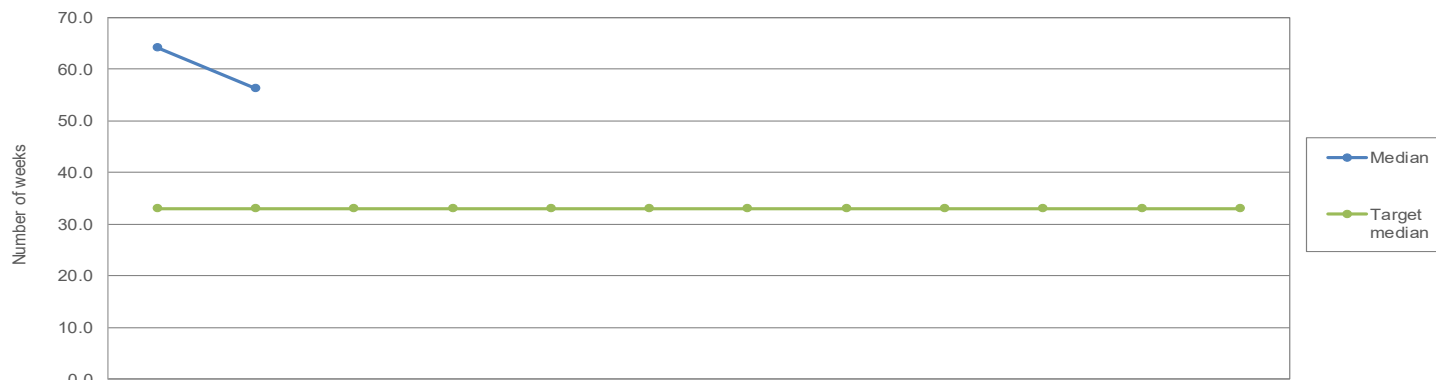
	2019													2020													18/19 Year End 18-19	19/20 Forecast				2019-20 YTD
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Original Forecast	3 month re-forecast		6 month re-forecast	9 month re-forecast			
New cases received ¹	199	205	165	256	158	168	197	250	209	122	195	165	218	220											2,424				438			
Rolling 12 month average New Cases	194	195	194	199	194	195	196	199	205	194	194	191	192	194	Not specifically forecast					194												
Cases closed at all stages ²	123	133	125	176	218	164	211	251	179	280	251	307	165	164											2,418				329			
Cases open at all stages ³	2,123	2,203	2,246	2,310	2,283	2,297	2,286	2,293	2,316	2,355	2,362	2,317	2,357	2,440											2,317				2,440			
Open pre-ICP cases (excl Rule 12)	1,721	1,804	1,867	1,946	1,937	1,960	1,939	1,959	1,984	2,008	1,988	1,938	1,958	2,003											1,938				2,003			
Average cases per Case Manager (PreICP excl Interim Order and Rule 12)	55	54	52	53	54	54	49	54	57	53	42	53	48	45	Not specifically forecast					45												
Number of Case Managers (PreICP excluding Rule 12 only)	16	17	17	18	18	20	22	24	22	26	29	21	22	22	Not specifically forecast					22												
Open Rule 12 Standard cases	42	49	48	46	41	43	44	41	45	44	46	50	27	30											50				30			
Open Rule 12 Serious cases													31	35															35			
Open post-ICP cases	360	350	331	318	305	294	303	293	287	305	328	329	341	372											329				372			
Open restoration cases	5	6	5	4	5	6	4	4	4	5	5	8	7	6	Not specifically forecast					6												
Cases closed pre-ICP (closed at Triage) ⁴													3	5											1,353				18			
Cases closed pre-ICP (does not meet Threshold)	91	97	83	135	164	113	164	188	137	173		130	144	98	94										274				192			
Cases Obs'ed	53	50	54	59	70	53	77	84	41	49	59	73	66	108											722				174			
Cases considered at ICP	34	34	23	41	48	52	64	60	46	80	79	60	84	99											621				183			
Cases closed at ICP (No Case to Answer)	4	10	8	13	22	24	19	24	15	24	27	18	33	30											208				63			
Cases concluded at ICP (Case to Answer)	28	22	13	21	19	22	40	27	25	50	47	34	48	55											348				103			
Cases considered but not concluded at ICP (Further Information) ⁴	2	2	2	7	7	6	5	9	6	6	5	8	3	14											65				17			
% Case to Answer (out of cases concluded)	88	69	62	62	46	48	68	53	63	68	64	65	59	65											63				62			
Cases concluded at Final Hearing	28	26	34	28	32	27	28	39	27	30	22	32	26	30											353				56			
Concluded restoration cases	0	0	1	0	0	1	0	0	1	0	1	1	1	0	Not specifically forecast					1												
Cases in review cycle	232	225	224	220	215	217	208	201	197	193	193	198	191	169											198				169			
Balance between new cases and closed cases	76	72	40	80	-60	4	-14	-1	30	-158	-56	-142	53	56											-142				56			

1 Includes only cases where the 'Created Date' is within the reporting month. This means those cases received at the end of the month and not yet logged on CMS will be picked up in the reporting for the following month.
 2 Includes: Triage not met, Threshold not met, ICP no case to answer, and Cases concluded at FH.
 3 Includes Open pre-ICP, Open post-ICP, and open Rule 12 cases.
 4 From April 2019, includes MIS cases.
 5 Not specifically forecast; obtained by subtracting 'Cases concluded at ICP' from 'Cases considered at ICP'.

Table 2

Length of time from receipt to a decision by an ICP - All 16 professions

Fitness to Practise Department



FTP target: median of 33 weeks

Age Profile: number of concluded cases	2019						2020			2019-20 YTD			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec		Jan	Feb	Mar
<=8 weeks	0	0											0
>8 and <=25 weeks	3	8											11
>25 and <=33 weeks	3	8											11
>33 and <=52 weeks	23	20											43
>52 and <=104 weeks	41	43											84
>104 and <=156 weeks	10	5											15
>156 weeks	1	1											2
TOTAL concluded cases¹	81	85											166
Mean	69	63.0											69
Median	64.0	56.3											64.0

Age Profile: number of open cases (pre-ICP including Rule 12)	2019						2020			2019-20 YTD			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec		Jan	Feb	Mar
<=8 weeks	318	366											366
>8 and <=25 weeks	659	621											621
>25 and <=33 weeks	189	240											240
>33 and <=52 weeks	350	313											313
>52 and <=104 weeks	423	446											446
>104 and <=156 weeks	64	69											69
>156 weeks	13	13											13
TOTAL open cases	2,016	2,068											2,068

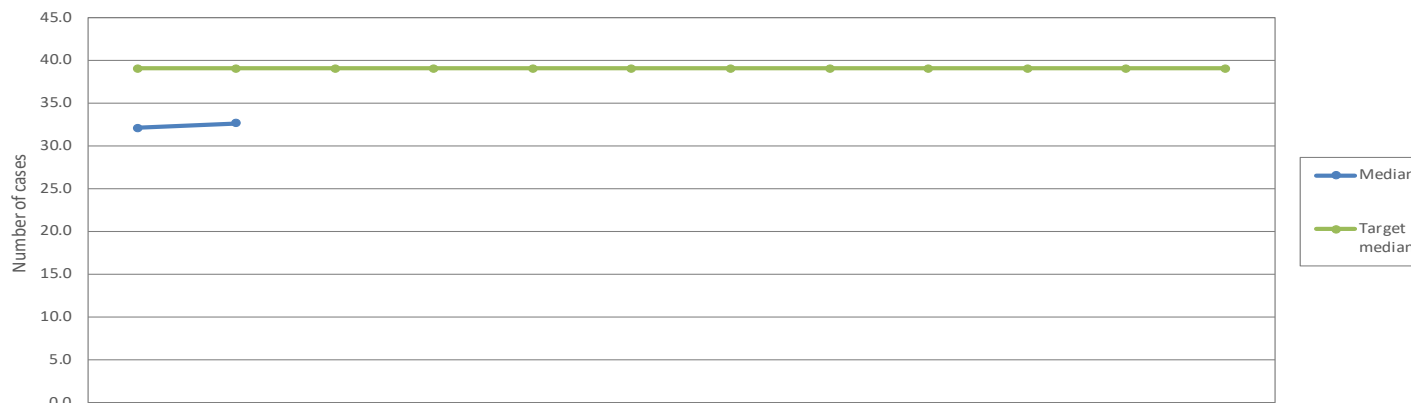
Balance between open cases and concluded cases	1,935	1,983											1,902
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¹ Total concluded cases includes 'Case to Answer' and 'No Case to Answer'.

Table 3

Length of time from ICP to conclusion (Final Hearing) - All 16 professions

Fitness to Practise Department



FTP target: median of 39 weeks

Age Profile: number of concluded cases	2019						2020			2019-20 YTD			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec		Jan	Feb	Mar
<=4 weeks	0	0											0
>4 and <=11 weeks	0	0											0
>11 and <=20 weeks	0	5											5
>20 and <=29 weeks	8	8											16
>29 and <=39 weeks	6	9											15
>39 and <=52 weeks	5	2											7
>52 and <=104 weeks	6	6											12
>104 and <=156 weeks	1	0											1
>156 weeks	0	0											0
TOTAL concluded cases	26	30											56
Mean	42	43.0											42.3
Median	32.1	32.6											32.1

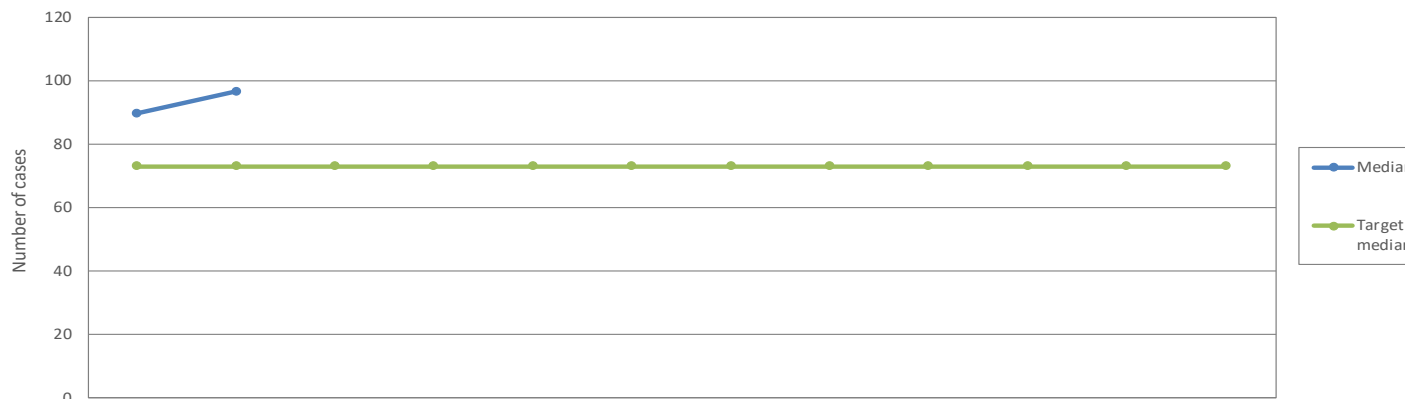
Age Profile: number of open cases post-ICP	2019						2020			2019-20 YTD			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec		Jan	Feb	Mar
<=4 weeks	0	0											0
>4 and <=11 weeks	0	0											0
>11 and <=20 weeks	0	1											1
>20 and <=29 weeks	7	6											6
>29 and <=39 weeks	10	16											16
>39 and <=52 weeks	27	37											37
>52 and <=104 weeks	161	175											175
>104 and <=156 weeks	102	100											100
>156 weeks	34	37											37
TOTAL open cases	341	372											372

Balance between open cases and concluded cases	315	342											316
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Table 4

Length of time from receipt to conclusion (Final Hearing) - All 16 professions

Fitness to Practise Department



FTP target: median of 73 weeks

Age Profile: number of concluded cases	2019						2020						2019-20 YTD
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
<=8 weeks	0	0											0
>8 and <=25 weeks	0	0											0
>25 and <=33	0	0											0
>33 and <=73 weeks	6	4											10
>73 and <=104 weeks	10	14											24
>104 and <=156 weeks	8	10											18
>156 weeks	2	2											4
TOTAL concluded cases	26	30											56
Mean	98.7	110.5											98.7
Median	89.8	96.6											89.8

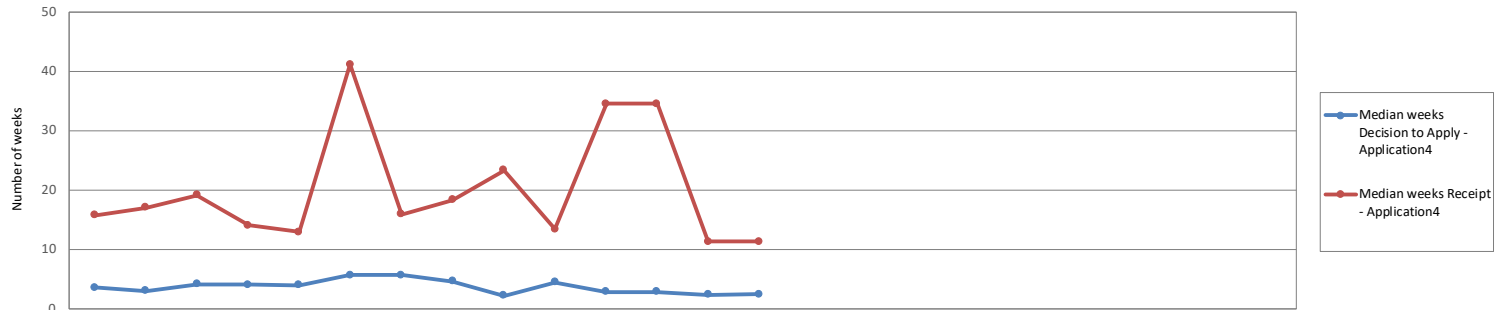
Age Profile: number of open cases since receipt	2019						2020						2019-20 YTD
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
<=8 weeks	318	366											366
>8 and <=25 weeks	660	624											624
>25 and <=33 weeks	197	253											253
>33 and <=52 weeks	385	357											357
>52 and <=73 weeks	313	330											330
>73 and <=104 weeks	271	291											291
>104 and <=156 weeks	166	169											169
>156 weeks	47	50											50
TOTAL open cases	2,357	2,440											2,440

Balance between open cases and concluded cases	2,331	2,410											2,384
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Table 5

Interim Orders breakdown - All 16 professions

Fitness to Practise Department



	2018			2019									2020			16/17	17/18	18/19	19/20																
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD							
Applications considered	17	19	18	20	18	6	13	23	8	6	9	11	9	13														142	164	168	22				
Applications adjourned	1	3	1	1	4	1	2	3	0	0	1	0	0	1																					
Applications granted	13	14	14	15	8	4	8	18	6	5	8	8	7	10																					
Applications not granted	3	2	3	4	6	1	3	2	2	1	0	3	2	2																					
Interim Orders reviewed	18	26	26	19	35	26	32	46	27	37	28	14	21	21																					
Interim Orders revoked	1	4	2	1	3	0	3	3	1	3	2	0	1	3																					
IOs sent to BDB to request High Court extension ¹	4	6	8	4	3	5	3	3	5	10	8	12	2	6																					
Interim Order not imposed at Final Hearing ²	1	0	1	1	0	0	0	0	0	1	0	0	1	1																					
Mean weeks Receipt - Application ³	23	30	29	22	16	52	27	22	32	19	40	40	14	21																					
Median weeks Receipt - Application ⁴	16	17	19	14	13	41	16	18	23	13	35	35	11	11																					
Mean weeks Decision to Apply - Application ³	5	5	5	5	4	6	6	5	2	5	3	3	3	3																					
Median weeks Decision to Apply - Application ⁴	4	3	4	4	4	6	6	5	2	4	3	3	2	2																					

1 This is the number of cases we send to DBD, regardless of whether they go to High Court or not - the latter number is not available.

2 Covers appeal period.

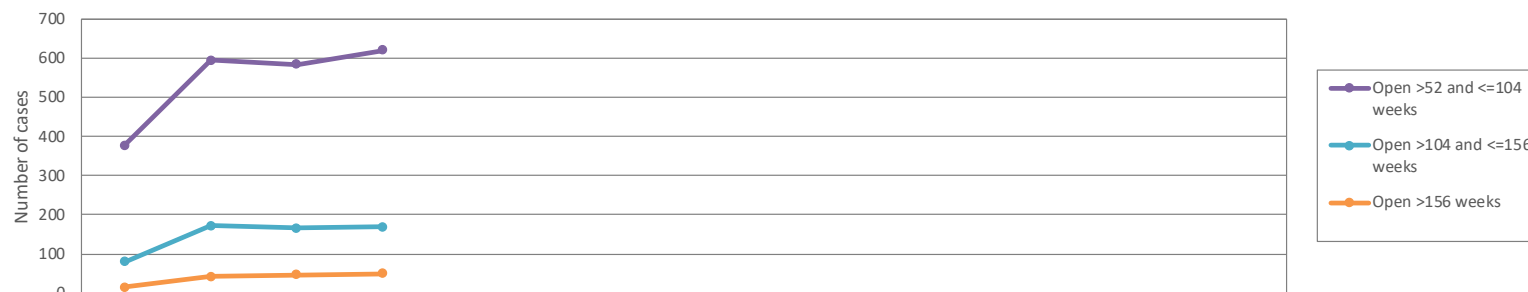
3 From 2017/18, the mean is calculated on year-to-date data, and is not the mean of monthly means.

4 From 2017/18, the median is calculated on year-to-date data, and is not the mean of monthly medians.

Table 6

Key PSA measures - All 16 professions

Fitness to Practise Department



	2019				2020										19/20			
	Target	Mar-19	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	16/17	17/18	18/19	YTD
New cases received		165	218	220											2,259	2,302	316	438
Total open cases (pre- and post-ICP, incl Rule 12)		2,317	2,357	2,440											1,491	2,060	1,212	2,440
Open >52 and <=104 weeks	378	596	585	621											Not previously reported in this way		294	621
Open >104 and <=156 weeks	80	172	166	169													103	169
Open >156 weeks	14	42	47	50													15	50
Open pre-ICP		1,988	2,016	2,068											1,027	1,690	1,063	2,068
Open post-ICP		329	341	372											464	370	149	372

PSA monitors quarterly cases that have been open for longer than 52 weeks, longer than 104 weeks, and longer than 156 weeks.

Table 7

Number of court appeals received against fitness to practise decisions

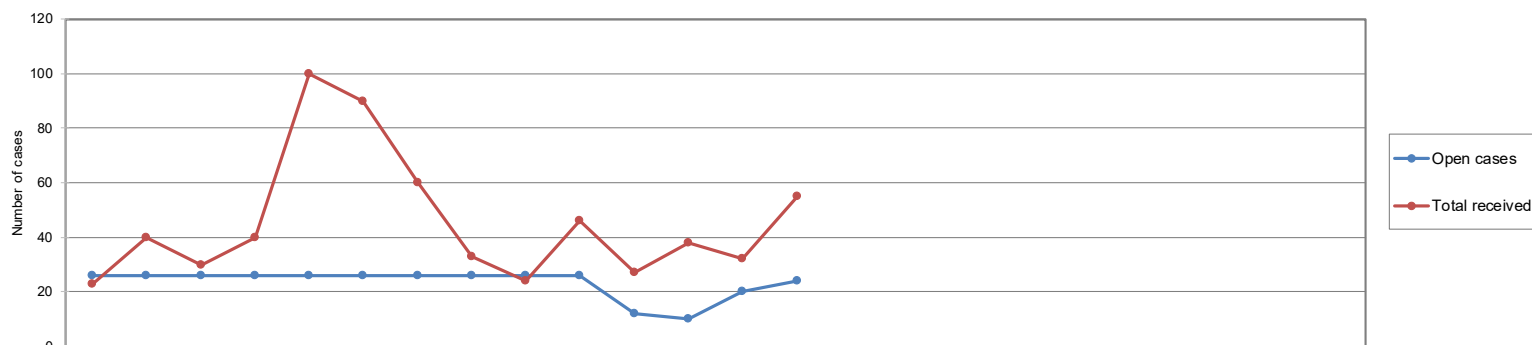


	Mar-19	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	2019-20 YTD
Number of fitness to practise FH decisions	32	26	30											56
Number of registrant appeals	0	0	1											1
Number of PSA appeals	1	0	1											1
Number of Judicial Reviews	0	0	0											0
Total number of appeals	0	0	2											2
Appeals against FTP decisions ratio - %	0.00	0.00	0.07											0.0

Table 8

Health and Character Declarations - All 16 professions

Fitness to Practise Department

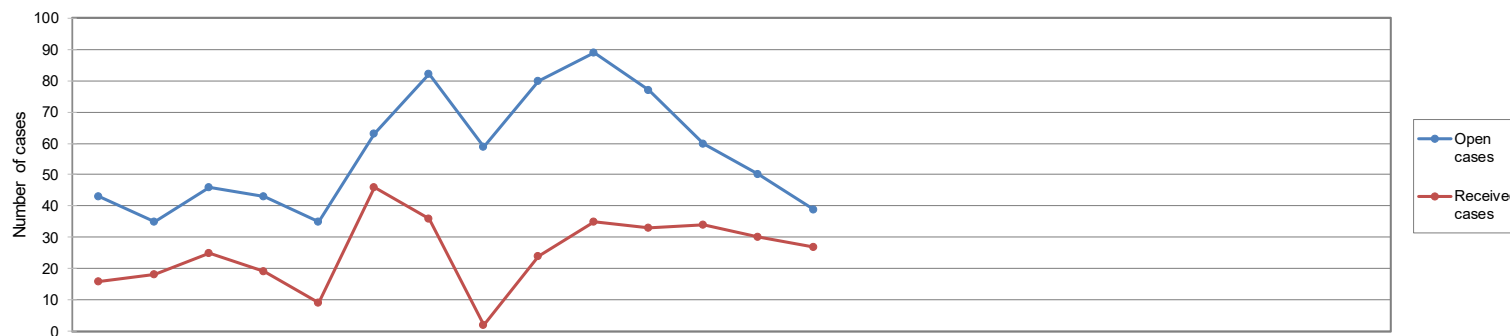


		2018			2019									2020						16/17	17/18	18/19	19/20						
		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD
Received	Renewal	0	1	0	0	0	0	0	0	0	0	0	0	0	0														
	Readmission	4	9	9	1	3	2	2	5	4	17	10	5	10	12														
	Admission	19	30	21	39	97	88	58	28	20	29	17	33	22	43														
	Self-referral	0	0	0	0	0	0	0	0	0	0	0	0	0	0														
	Total received	23	40	30	40	100	90	60	33	24	46	27	38	32	55														
Considered	Admission accepted administratively	23	28	26	14	27	65	58	46	21	47	24	22	18	40														
	Considered by panel	5	11	12	5	14	17	31	20	15	14	11	22	17	12														
	Referred to FTP	0	0	0	0	0	0	0	0	0	0	0	0	0	0														
	Admission rejected by panel	0	1	3	0	0	0	2	1	1	1	0	1	0	0														
	Readmission rejected by panel	0	2	1	2	0	0	0	0	0	0	0	1	3	1														
	Renewal rejected by panel	0	0	0	0	0	0	0	0	0	0	0	0	0	0														
	Not referred to FTP	0	0	0	0	0	0	0	0	0	0	0	0	0	0														
	Admission accepted by panel	5	4	6	1	12	15	27	15	11	7	14	14	10	8														
	Readmission accepted	1	4	2	2	2	2	2	4	3	6	7	6	4	3														
	Renewal accepted	0	0	0	0	0	0	0	0	0	0	0	0	0	0														
Open cases	26	26	26	26	26	26	26	26	26	26	12	10	20	24													10	24	

Table 9

Protection of Title - All 16 professions

Fitness to Practise Department



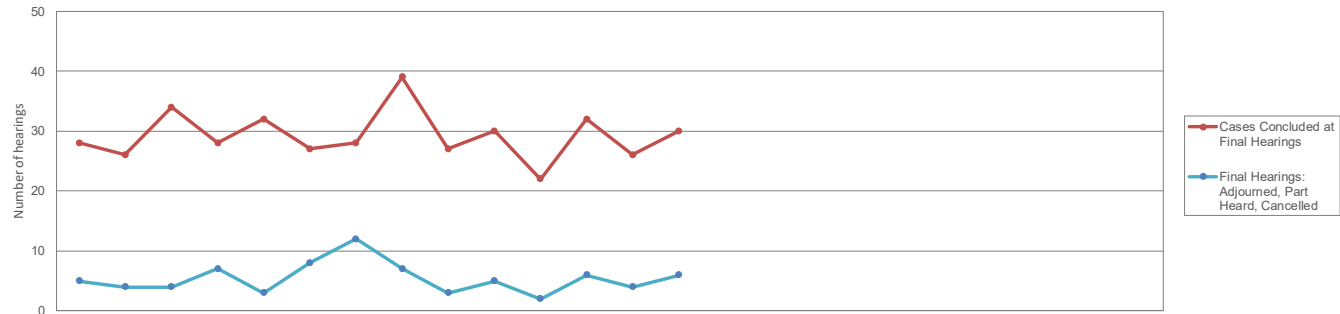
	2018			2019									2020		
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Public	8	10	12	9	4	21	12	1	9	11	16	17	16	16	
Police	0	0	0	0	0	0	0	0	0	0	0	1	0	0	
HCPC Registrant / Internal	6	5	10	4	3	12	16	1	10	18	11	12	10	9	
Anonymous	0	0	0	1	0	2	0	0	0	0	1	0	1	1	
Professional body	2	3	3	5	2	11	6	0	5	6	4	3	2	0	
Other	0	0	0	0	0	0	2	0	0	0	1	1	1	1	
Received cases	16	18	25	19	9	46	36	2	24	35	33	34	30	27	
Open cases	43	35	46	43	35	63	82	59	80	89	77	60	50	39	

	15/16	16/17	17/18	18/19	19/20
	FYE	FYE	FYE	FYE	YTD
	135	94	107	130	32
	2	0	2	1	0
	18	57	76	108	19
	14	20	4	4	2
	112	51	32	50	2
	43	14	3	4	2
	324	236	224	297	57
				60	39

Table 10

Hearings Management Information Summary - All 16 professions

Fitness to Practise Department



	2018												2019												2020												Year End 18/19	19/20				
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar		Original Forecast	3 month re-forecast	6 month re-forecast	9 month re-forecast	YTD Total
Cases Listed for Final Hearings	33	30	38	36	35	35	40	46	30	35	24	38	30	36											420													66				
Cases Concluded at Final Hearings	28	26	34	28	32	27	28	39	27	30	22	32	26	30											353													56				
Final Hearings: Adjourned, Part Heard, Cancelled	5	4	4	7	3	8	12	7	3	5	2	6	4	6											66													10				
% of Hearings Adjourned/Part Heard	15	13	11	19	9	23	30	15	10	14	8	16	22	33											16													15				
Review Hearings Scheduled	21	25	18	18	28	13	33	27	19	16	22	20	15	24											260													39				
Review Hearings Concluded	20	25	21	16	25	13	30	27	18	16	17	19	19	24											247													43				
Cases in Review Cycle	232	233	224	220	215	217	208	201	197	193	193	198	191	181											198													181				
Preliminary Hearings	5	3	2	9	2	5	7	2	2	2	6	0	4	10											5													14				

Registration

Page number

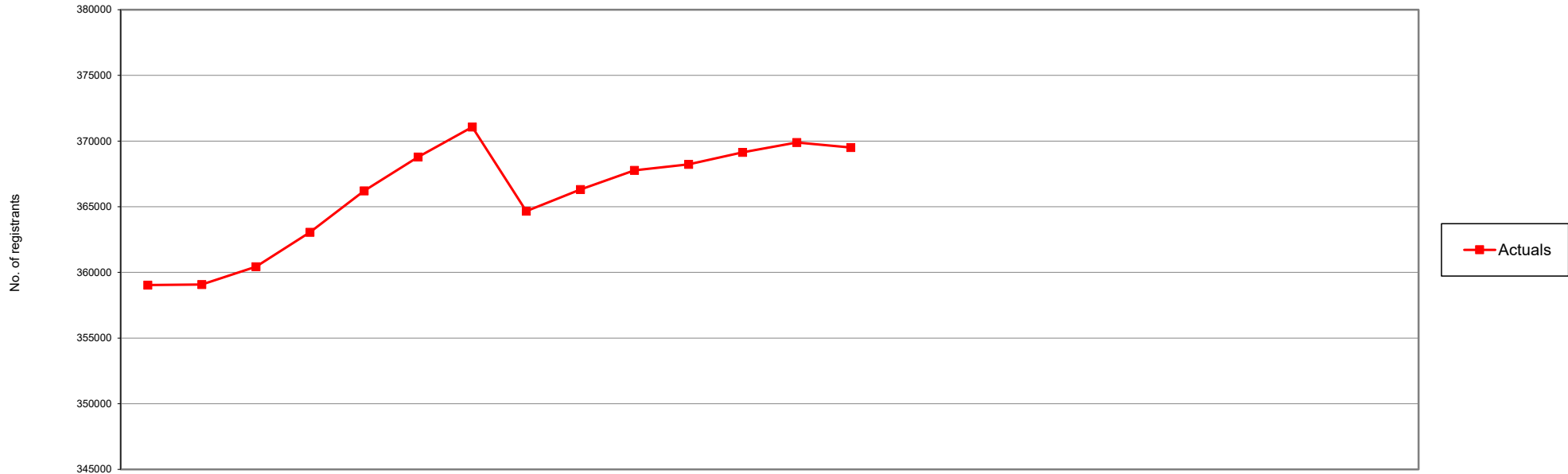
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Registration: overview

- This section provides an update about the work of the Registration Department from April to May 2019. All of the department's service standards were consistently achieved for the period with the exception of answering UK telephone calls, emails and UK correspondence.
- A total of 26,855 UK telephone calls were received which is 8,402 (or 45.5%) more than compared to the same period in 2017 and an average of 77% of UK telephone calls were answered. The shortage of fully trained Registration Advisors attributed to this service standard not being met as well as actively prioritising available resource to fulfil the department's regulatory functions of registering new applicants and managing continuing professional development audits.
- A total of 8,682 UK emails were received which is 1,927 (or 28.5%) more than the same period in 2017. All emails were answered within an average of 3 working days.
- A total of 4,504 international emails were received which is 313 (or 7.5%) more than the same period last year. All emails were answered within an average of 4 working days. There is no single reason for the increase of international email volumes for this period. However, there has been a 21.9% increase of international applications received which may account for the higher number of emails. The shortage of fully trained Registration Advisors attributed to this service standard not being met.
- A total of 1,241 international applications were received which is 223 (or 21.9%) more than compared to the same period last year. For the period from April to May 2019 the key performance indicator was met.
- Recruitment campaigns are being held frequently to ensure vacancies are filled as quickly as possible. No assessment days were held during April and May 2019. At the time of writing this report (11 June 2019), 3 Registration Advisor positions were filled in June and recruitment is ongoing for 3 further vacant Registration Advisor positions with an assessment day being planned for July 2019. A 6 month multi-skilling training programme for all new recruits is being delivered.

Number of Registrants by Profession April 2018 - March 2020

Registration Department

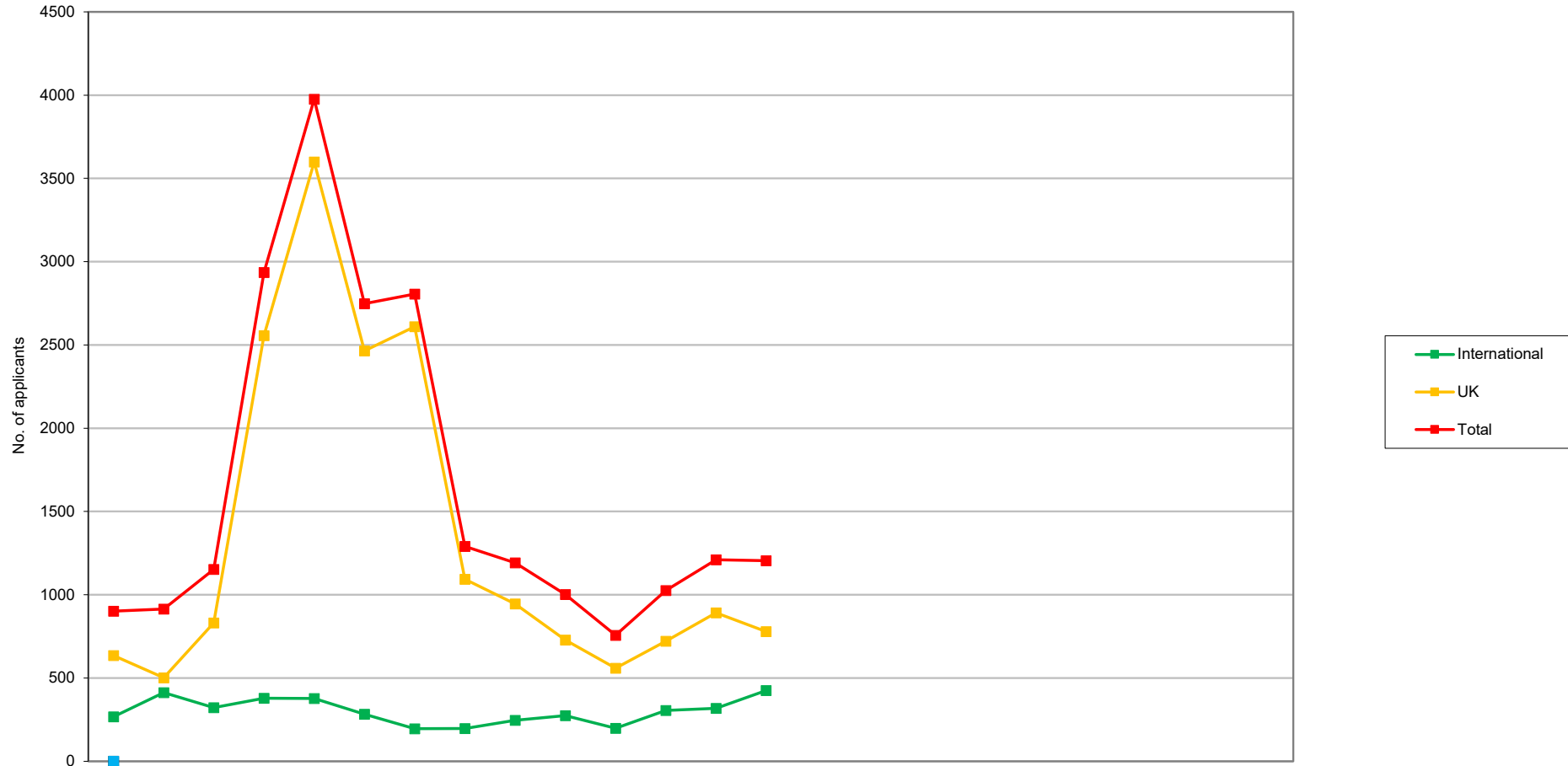


	2018			2019									2020						16/17	17/18	18/19	19/20						
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD
Arts therapists	4,328	3,999	4,073	4,110	4,230	4,291	4,345	4,363	4,380	4,416	4,422	4,432	4,444	4,438											4,026	4,322	4,432	4,438
Bio. scientists	22,491	22,519	22,603	22,693	22,835	22,928	22,990	22,980	23,084	23,194	23,222	23,284	23,328	23,343											22,902	22,395	23,284	23,343
Chirops/ pods	13,101	13,059	13,090	13,206	12,775	12,824	12,845	12,842	12,846	12,826	12,825	12,833	12,828	12,831											12,931	13,115	12,833	12,831
CI scientists	5,854	5,873	5,902	5,917	5,934	5,947	6,052	6,123	6,156	6,183	6,194	6,207	6,232	6,252											5,663	5,818	6,207	6,252
Dietitians	9,611	9,596	9,620	9,381	9,556	9,611	9,648	9,662	9,666	9,685	9,704	9,722	9,738	9,735											9,107	9,585	9,722	9,735
Hearing aid disps	2,927	2,934	2,948	2,962	2,851	2,901	2,936	2,962	2,988	3,010	3,025	3,047	3,063	3,079											2,593	2,908	3,047	3,079
OTs	38,212	38,283	38,370	38,687	39,200	39,440	39,544	39,669	39,750	39,837	39,873	39,925	39,886	39,946											38,080	38,183	39,925	39,946
ODPs	13,657	13,635	13,655	13,731	13,850	14,103	14,173	13,731	13,823	13,877	13,884	13,903	13,913	13,906											13,052	13,639	13,903	13,906
Orthoptists	1,442	1,442	1,445	1,461	1,482	1,489	1,497	1,495	1,493	1,490	1,494	1,496	1,495	1,496											1,451	1,440	1,496	1,496
Paramedics	25,637	25,790	25,856	26,021	26,270	26,699	27,101	27,210	27,374	27,405	27,483	27,686	27,826	27,941											23,992	25,465	27,686	27,941
Physiotherapists	52,440	52,955	53,301	54,009	54,696	54,986	55,125	55,293	55,401	55,514	55,560	55,695	55,671	55,865											52,915	55,132	55,695	55,865
Pract psychs	23,156	23,182	23,237	23,305	23,407	23,584	23,923	24,074	24,151	24,233	24,265	24,290	24,340	23,232											22,604	23,104	24,290	23,232
Prosth/orthotists	1,055	1,056	1,071	1,086	1,095	1,096	1,099	1,098	1,099	1,101	1,100	1,101	1,108	1,109											1,063	1,051	1,101	1,109
Radiographers	32,578	32,662	32,897	33,511	33,888	34,112	34,240	34,286	34,358	34,292	34,329	34,470	34,543	34,619											32,072	32,475	34,470	34,619
Social workers	96,571	96,108	96,350	96,842	97,844	98,419	99,081	92,365	93,206	94,126	94,246	94,453	94,845	95,074											91,944	96,497	94,453	95,074
SLTs	15,977	15,988	16,013	16,133	16,295	16,353	16,470	16,505	16,529	16,581	16,596	16,595	16,637	16,650											15,935	15,932	16,595	16,650
Total	359,037	359,081	360,431	363,055	366,208	368,783	371,069	364,658	366,304	367,770	368,222	369,139	369,897	369,516											350,330	361,061	369,139	369,516

NOTE: Information captured on the last day of each calendar month.

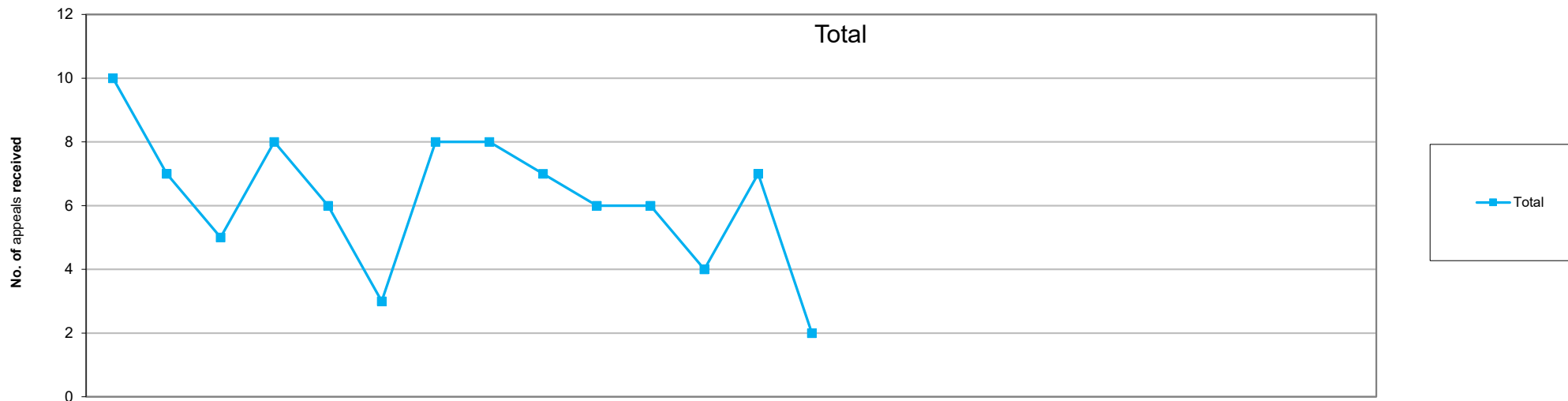
New Registrants April 2018 - March 2020

Registration Department



	2018			2019									2020						16/17	17/18	18/19	19/20								
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD		
International	267	412	322	379	377	283	196	197	246	274	198	305	318	425																
UK	635	502	831	2,556	3,599	2,465	2,610	1,093	946	728	559	721	892	779																
Total	902	914	1,153	2,935	3,976	2,748	2,806	1,290	1,192	1,002	757	1,026	1,210	1,204																

Registration Appeals Received April 2018 - March 2020

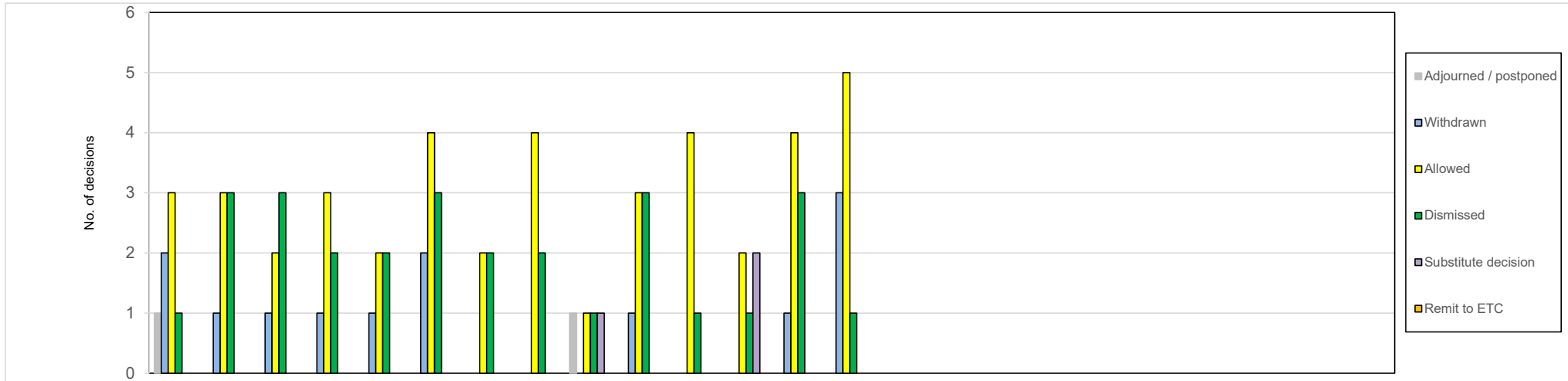


	2017			2018									2019					16/17	17/18	18/19	19/20								
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD	
EMR (1)	2	1	1	1	2	0	2	3	0	0	0	1	2	1															
Non-EMR (2)	4	4	2	4	2	3	5	3	6	5	5	0	4	1															
Visitors (3)	0		0	0	0	0	0	0	0	0	0	0	0	0															
UK (4)	0	0	0	0	0	0	0	0	0	0	0	0	0	0															
Returns to practice (5)	0	0	0	0	0	0	0	0	0	0	0	0	0	0															
CPD (6)	2	0	0	3	1	0	0	2	0	0	0	3	1	0															
Health and Character declarations (7)	2	2	2	0	1	0	1	0	1	1	1	0	0	0															
Total	10	7	5	8	6	3	8	8	7	6	6	4	7	2											56	63	78	9	

- 1 International applications with European Mutual Recognition (EMR) rights.
- 2 International applications without EMR rights.
- 3 Delcarations to be on the Register of visiting health professionals.
- 4 UK applications for registration.
- 5 Applications for readmission to the Register.
- 6 Continuing Professional Development profiles.
- 7 Any application where a positive declaration has been made by the applicant for health and character.

Registration Appeal Decisions April 2018 - March 2020

Registration Department



	2018												2019												2020												16/17	17/18	18/19	19/20
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD
Adjudged / postponed	1	0	0	0	0	0	0	0	1	0	0	0	0	0											0	0											0	3	2	0
Withdrawn	2	1	1	1	1	2	0	0	0	1	0	0	1	3											1	3											16	0	9	4
Allowed	3	3	2	3	2	4	2	4	1	3	4	2	4	5											4	5											9	25	33	9
Dismissed	1	3	3	2	2	3	2	2	1	3	1	1	3	1											3	1											32	25	24	4
Substitute decision	0	0	0	0	0	0	0	0	1	0	0	2	0	0											0	0											2	2	3	0
Remit to ETC	0	0	0	0	0	0	0	0	0	0	0	0	0	0											0	0											5	1	0	0
Hearings held	5	6	5	5	4	7	4	6	4	6	5	5	7	6											7	6											48	56	62	13

Human Resources and Partners

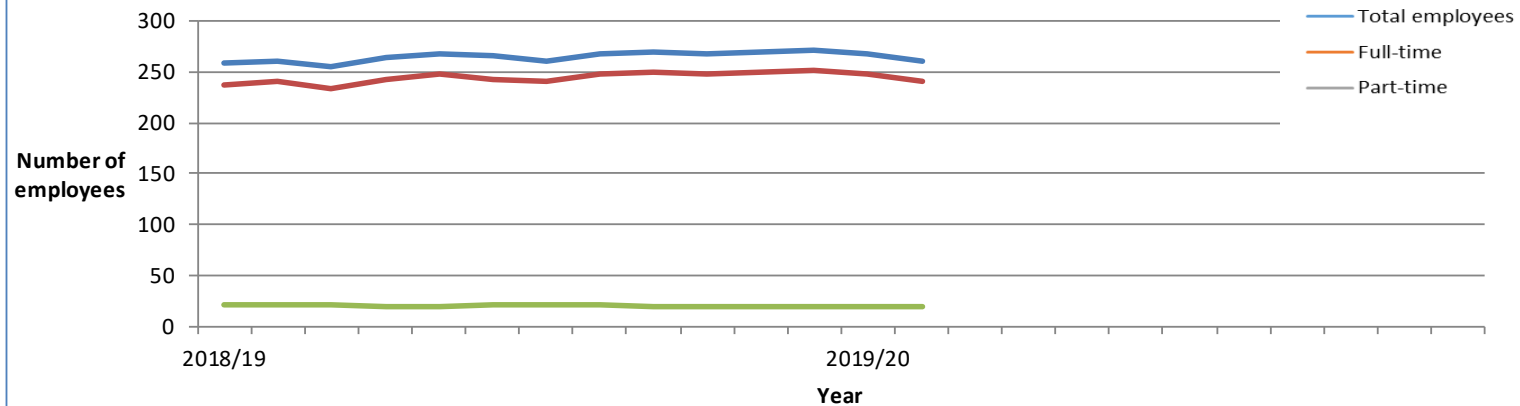
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Human Resources and Partners: overview

- **HR system upgrade project:** Phase two of the project is underway with a number of items delivered. Testing involving business users relating to improvements to the overtime and TOIL claim process is complete. The new process will be rolled out to users at the end of June. Work to deliver enhanced management information has commenced and will continue throughout June.
- **FTP improvement project recruitment:** the majority of new roles have been successfully filled. The few roles that remained unfilled following the first round of recruitment have been re-advertised and are at interview stage.
- **Equality and diversity:** A Live Bias Review Session is taking place on Monday 17 June. This is a cross-departmental initiative with managers from HR, FTP and Registration involved.
- **FTP learning and development:** On 26 June two workshops on 'valuing the patient voice' will be delivered for all case management staff. The purpose of these is to raise awareness around handling of complaints sensitively with service users/patients and families.
- **ELearning:** Information Security training for employees has been delivered using the HCPC's e-learning platform with a 95% completion rate. Additionally a bespoke series of ELearning modules for Registration Assessors and Education Visitors have been delivered using the platform all five modules have a completion rate of 89% or higher.
- **Partner performance review project:** TAC have approved the preferred platform and permission from IT is currently being sought before commencing testing and implementation.
- **Partner Portal upgrade project:** Work will commence in late summer 2019; contractual agreements are currently being considered.
- **Partner recruitment:** There are current open recruitment campaigns for Visitor and FTP panel members

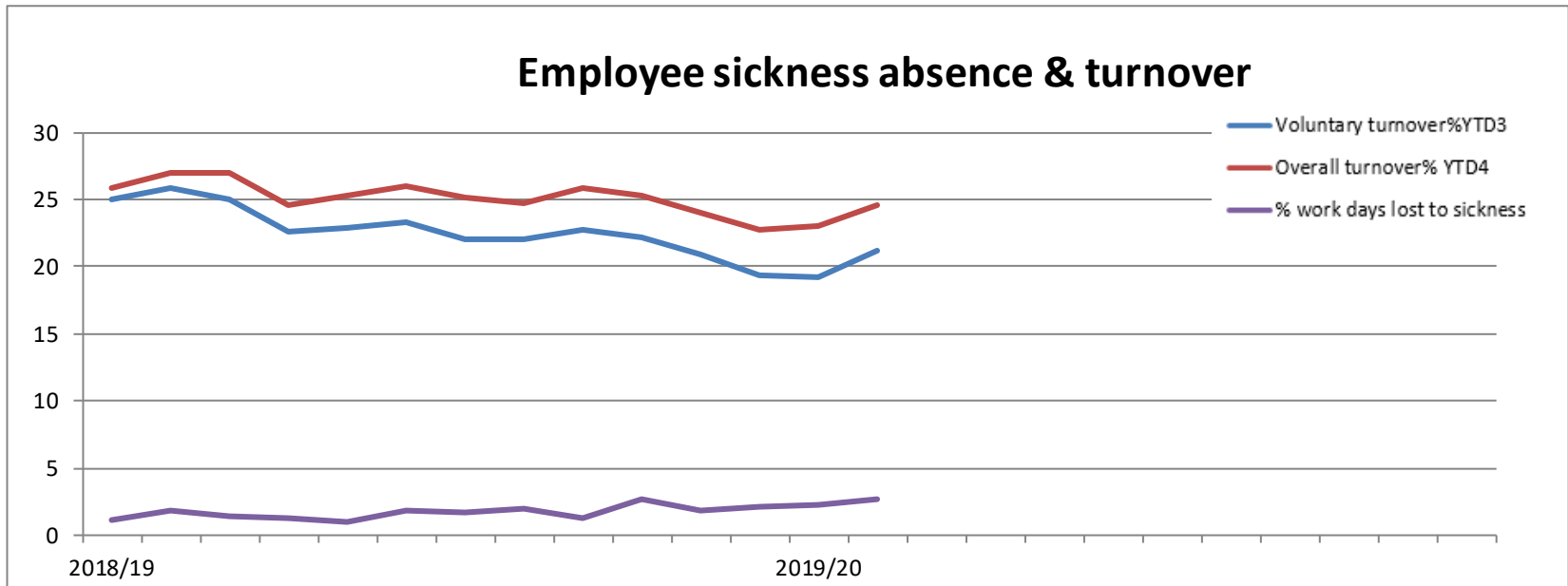
Employee numbers



	2018/19												2019/20												17/18	18/19	18/19
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	YTD
Budgeted employees																											
Budgeted permanent	261	262	262	266	267	266	265	265	266	266	266	267	251	251	251	251	251	251	251	251	251	251	251	251	285	267	251
Budgeted fixed term	20	20	18	16	16	16	16	16	16	16	16	15	43	43	43	43	43	43	43	43	0	0	0	0		15	43
Total employees	258	261	254	263	267	265	261	268	269	267	269	271	267	261											248	271	267
Full-time	237	240	233	242	247	243	240	247	249	248	250	251	247	241											227	251	247
Part-time	21	21	21	20	20	22	21	21	20	19	19	20	20	20											21	20	20
Flexible working*	76	68	66	70	82	74	74	74	74	72	72	78	77	74											74	78	77
FTE*	252	254	248	248	262	259	256	262	264	262	264	266	261	270											242	266	261
Permanent	211	210	206	212	218	216	214	213	210	208	209	206	205	201											202	206	205
Maternity/paternity leave	9	7	6	6	6	10	6	6	4	1	3	4	5	5											11	4	5
Unpaid Sabbaticals	0	0	0	0	0	0	0	0	0	0	0	0	0	0											0	0	0
Fixed-Term Contracts	47	51	48	55	49	49	47	55	60	59	60	65	63	60											46	65	63
Starters (permanent)	9	3	2	2	0	2	2	1	1	3	2	1	0	7											17	28	0
Starters (fixed-term)	4	3	5	5	1	2	0	2	6	3	1	2	6	7											33	12	6
Vacancies	23	21	26	19	16	17	20	13	13	15	13	11	6	14											37	11	6

*Flexible working Includes flexible working arrangements separate or in conjunction with part time working
 *FTE Full-time equivalent, includes maternity/paternity but does not include unpaid sabbaticals

Employee sickness absence & turnover



	2018/19												2019/20												17/18	18/19	19/20
	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	YTD
Voluntary resignations¹	5	3	5	5	5	4	2	3	6	7	2	4	5	8										56	51	5	
Compulsory leavers ²	0	2	3	0	1	1	1	0	1	0	0	1	1	1										5	10	1	
Total leavers (vol. & comp.)	5	5	7	5	6	5	3	3	7	7	2	5	6	9										70	60	6	
Voluntary turnover%YTD	25	26	25	23	23	23	22	22	23	22	21	19	19	21										25	22	19	
Overall turnover% YTD⁴	26	27	27	25	25	26	25	25	26	25	24	23	23	25										27	26	23	
Agency days	697	600	419	499	549	531	692	767	420	581	737	741	662	581										5489	7233	716	
% work days lost to sickness	1	2	1	1	1	2	2	2	1	3	2	2	2	3										2	2	2	
Average sick-days YTD	6	5	5	5	5	5	5	5	5	5	5	5	5	5										8	5	5	
Sick-days	62	102	76	71	60	109	98	114	75	154	106	125	128	153										1533	1152	128	
Occ. Health Referrals	1	2	2	1	1	1	0	1	0	1	0	8	2	6										46	18	2	

¹ **Voluntary Resignations:** Includes resignations of permanent employees, or resignations of fixed term employees prior to the end of their contract

FTE Full-time equivalent

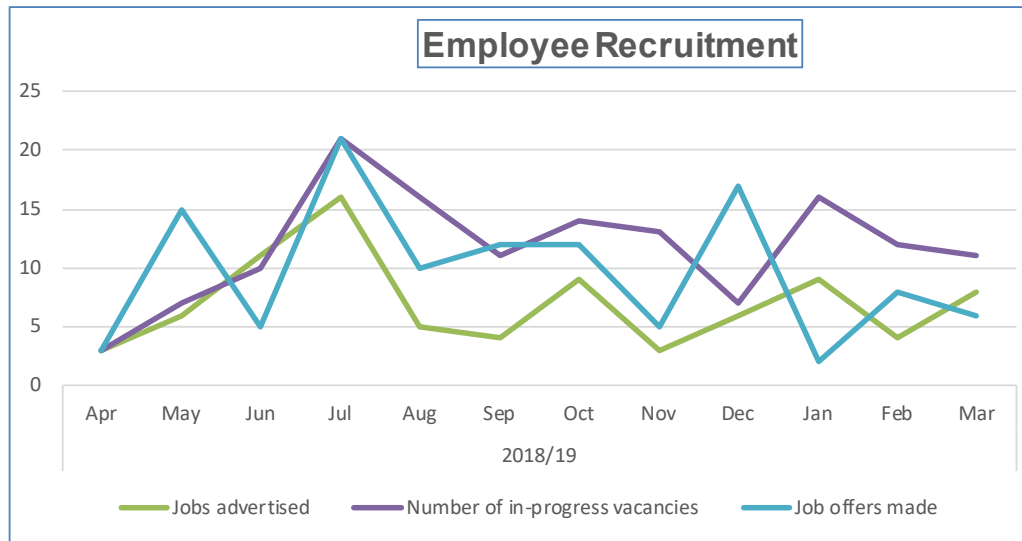
² **Compulsory Leavers:** Records leavers except for resignations. Includes expiries of fixed term contracts, redundancies, dismissals,

YTD Year to Date

³ **Voluntary Turnover YTD:** Shows the year to date turnover percentage (last twelve months) for resignations only

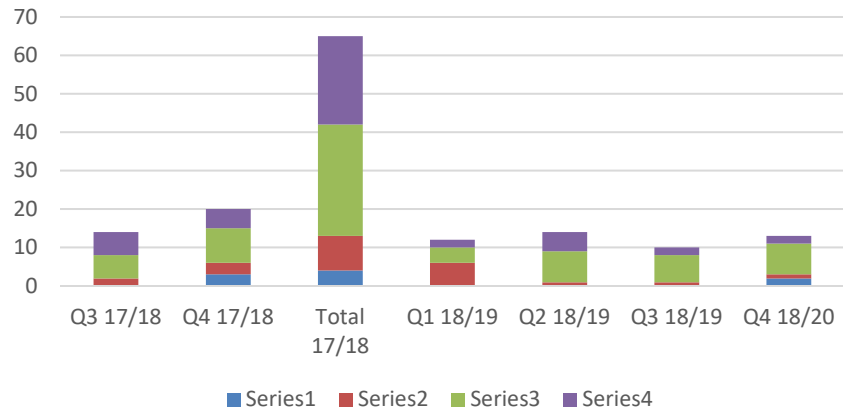
FYE Final Year End

⁴ **Overall Turnover:** Shows the year to date turnover (last twelve months) for all leavers - voluntary and compulsory

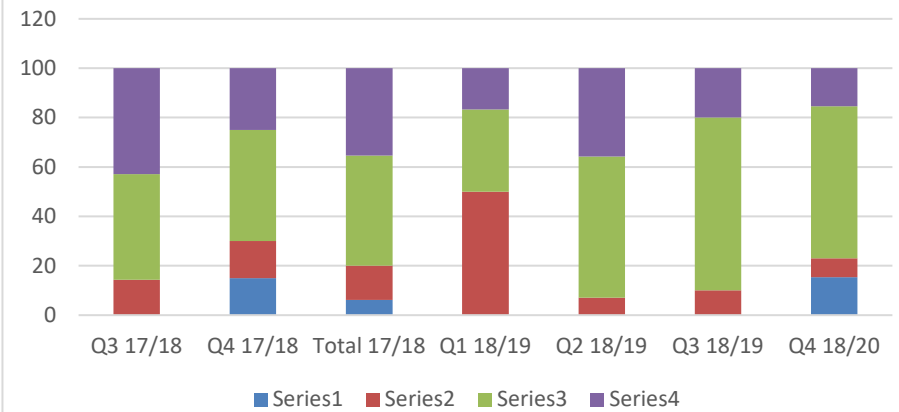


	2018/19												2019/20											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Staff requests received (approved)	7	19	12	17	11	22	10	16	9	15	4	19	2	12										
Staff requests raised (to be approved)	0	6	3	11	0	4	8	0	0	0	2	0	3	9										
Jobs advertised	3	6	11	16	5	4	9	3	6	9	4	8	7	11										
Number of in-progress vacancies	3	7	10	21	16	11	14	13	7	16	12	11	8	14										
Job offers made	3	15	5	21	10	12	12	5	17	2	8	6	17	11										
Offers made to external candidates	2	10	12	15	9	7	9	4	9	2	6	9	15	9										
Offers made to internal candidates	1	1	2	6	1	5	3	1	9	1	2	0	2	2										

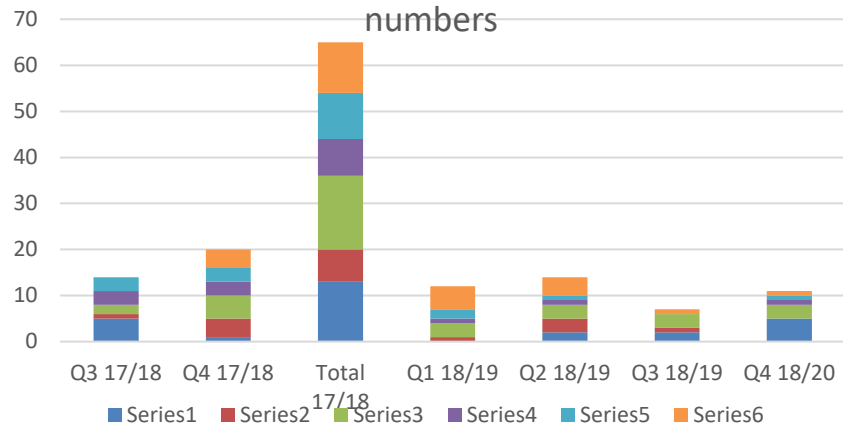
Quarterly leavers by pay band: numbers



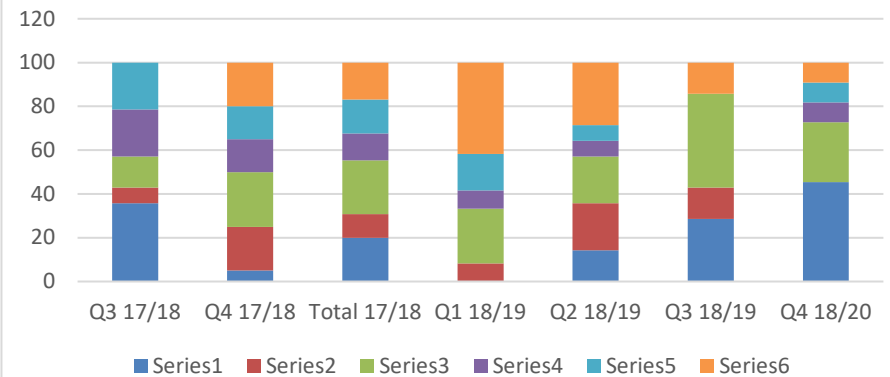
Quarterly leavers by pay band: percentage

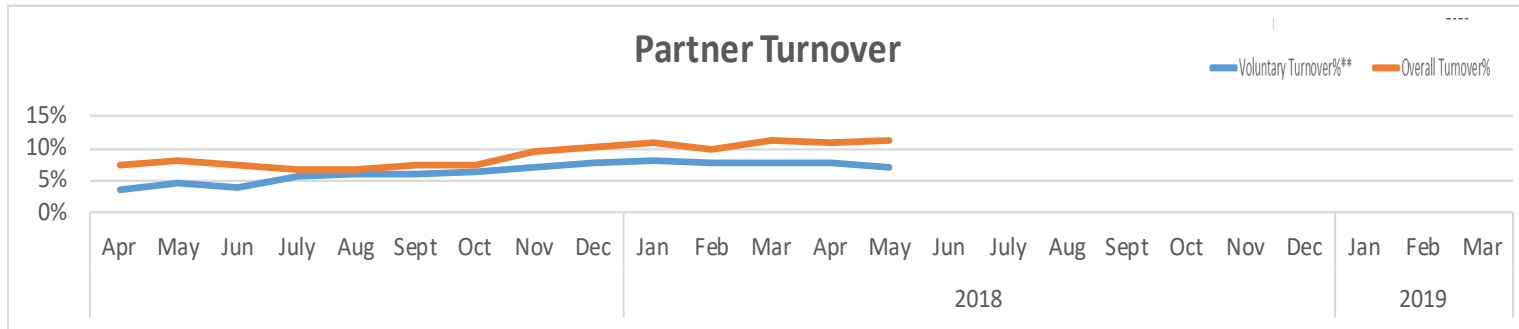


Quarterly leavers by length of service: numbers



Quarterly leavers by length of service: percentage





Partner turnover

	2018												2019									18/19	19/20			
	Apr	May	Jun	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	FYE	YTD
Voluntary Resignations	3	8	0	13	1	3	4	7	5	6	1	3	3	4											54	7
8-year rule*	0	0	0	0	0	3	0	10	0	0	0	9	0	6											22	6
Terminations	1	0	0	0	0	0	0	0	0	1	0	0	0	0											2	0
Total Leavers (Vol & Comp)	4	8	0	13	1	6	4	17	5	7	1	12	3	10											78	13
Partners	700	692	707	708	694	696	723	706	701	700	707	708	707	699											704	703
Voluntary Turnover%**	3%	5%	4%	6%	6%	6%	6%	7%	8%	8%	8%	8%	8%	7%											8%	1%
Overall Turnover%	8%	8%	7%	7%	7%	7%	7%	10%	10%	11%	10%	11%	11%	11%											11%	2%

*Including failed renewal assessment

Turnover information does not capture those Partners who move from one role to another or those who leave one role and remain in another

YTD = Year to date

Quality Assurance

Page number

Overview 68

Quality Assurance Department – overview

Audits completed in this period (April 2019 to May 2019)		
Audit description	Outcomes	Status
<p>Education Programme Records (October 2017 – May 2018) Biannual audit to check the accuracy and status of programme records through a review of specific operational activities.</p>	<p>Two recommendations were made.</p> <ul style="list-style-type: none"> Review the issues relating to the closure of programme records identified in the audit and undertake any required follow on actions. Consider the observations provided in the report in relation to programme records when reviewing and updating operational guidance documents. 	<p>Audit completed, report with Education management to review / agree recommendations</p>
<p>Education Programme Records (June 2018 – January 2019) Biannual audit to check the accuracy and status of programme records through a review of specific operational activities.</p>	<p>One recommendation was made.</p> <ul style="list-style-type: none"> Review the issues relating to the closure of programme records identified in the audit and undertake any required follow on actions. <p>The findings of the audit also supported the following recommendation from the previous audit.</p> <ul style="list-style-type: none"> Consider the observations provided in the report in relation to programme records when reviewing and updating operational guidance documents. 	<p>Audit completed, report with Education management to review / agree recommendations</p>
<p>FTP Non-FTP Cases Audit of recent Protection of title, Health and character declaration cases to assess whether decisions are being made in line with guidance and concerns about registrants / applicants are being managed appropriately.</p>	<p>Two recommendations were made.</p> <ul style="list-style-type: none"> Ensure written guidance and tools are controlled and cover all of the process. Review training and support to improve consistency in applying policy and guidance. 	<p>Audit completed, report with FTP management to review / agree recommendations</p>

Ongoing audits	Status
<p>Education Approval Process Audit on the approval process (focused on areas of medium and high risk identified in previous audits).</p>	<p>Audit completed and report being finalised</p>
<p>FTP Final Hearing Decision Audit of Final Hearing written decisions to determine whether those produced meet the required quality. Includes cases disposed of by means of consent and those where the HCPC have sought to discontinue allegations.</p>	<p>Audit completed and report being finalised</p>

<p>FTP Threshold Audit of decisions made under the newly implemented Threshold Policy to determine whether decisions are being made in line with policy and if the process is being followed.</p>	<p>Audit completed and report being finalised</p>
<p>Registration Appeals Audit on the Registration appeals process and whether guidance is being followed.</p>	<p>Audit completed and report being finalised</p>
<p>Education Major Change Process and Decisions Audit on the major change process (focused on areas of medium and high risk identified in previous audits) and the decisions made by Education Managers.</p>	<p>Audit ongoing</p>
<p>FTP Investigation Committee Panel (ICP) Decisions Audit of recent ICP decisions to assess the quality of written decisions, the impact of ICP-specific Chairs and the introduction of the Fast-Track ICP process.</p>	<p>Audit ongoing</p>

HCPC Strategic Risks

2018-19 to 2022-23

Relationship with strategic priorities

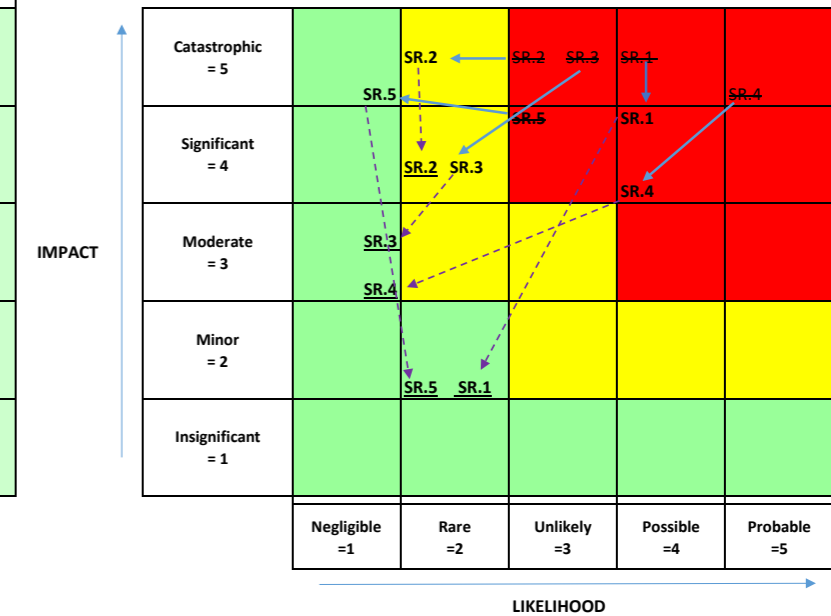
SP1 Perf	SP2 Com	SP3 Adapt	SP4 Evid

Summary of strategic risks

Strategic Risks - High Level	Risk Description	INHERENT RISK	RESIDUAL RISK	EXPECTED RISK*
1. Failure to deliver effective regulatory functions	This includes the inability to fulfill our statutory obligations set out in the Health and Social Work Professions Order and the failure to meet the PSA's Good Standards of Regulation.	20	16	4
2. Failure to anticipate and respond to changes in the external environment	This includes the ability to respond and influence external drivers for change, like the impact of Brexit, devolution or a change in government as well as issues like workforce development, new and emerging professions or government policies affecting professional regulation. It also includes awareness and responsiveness to advances in technology and systems.	15	10	5
3. Failure to be a trusted regulator and meet stakeholder expectations	This risk includes the management of stakeholder engagement and key relationships as well as reputation management.	15	8	5
4. Failure to be an efficient regulator	This risk includes the operational failure of processes, or the inability to manage data efficiently as well the vulnerability of IT security. It also includes financial security, timely and accurate reporting and the recruitment, retention and training of Partners, Council and employees.	25	16	5
5. Failure of leadership, governance or culture	This risk includes the effectiveness of Council, strategy setting and oversight, risk management and business planning. It also covers organisational culture including the existence of relevant policies for whistleblowing or anti-bribery for example and processes for performance development.	12	5	4

* Expected risk score post planned actions

Heat map of strategic risks



STRATEGIC PRIORITIES DEFINITIONS

Strategic priority 1 = Performance = (SP1) Improve our performance to achieve the Professional Standards Authority's Standards of Good Regulation
Strategic priority 2 = Communication = (SP2) Ensure our communication and engagement activities are proactive, effective and informed by the views and expectations of our stakeholders
Strategic priority 3 = Adaptability = (SP3) Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment
Strategic priority 4 = Evidence = (SP4) Make better use of data, intelligence and research evidence to drive improvement and engagement

This strategic risk register matches the current Five Year Plan.

Key

Risk = Impact x Likelihood		
Inherent Risk	SR.x	That level of risk existing before any mitigations were put in place.
Residual Risk	SR.x	That level of risk that the organisation has currently mitigated down to.
Expected Risk	SR.x	That level of risk that the organisation finds desirable but may not have yet attained.

STRATEGIC RISK
1. Failure to deliver effective regulatory functions

RISK OWNER
SMT

Review Date
May-19

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2019-20	Expected risk 2022-23
<p>This includes the inability to fulfill our statutory obligations set out in the Health and Social Work Professions Order and the failure to meet the PSA's Good Standards of Regulation.</p> <p>Specifically, Delivery of statutory obligations Breakdown of regulatory functions Failure to meet PSA standards Transfer of social workers to Social Work England (SWE)</p>	5	4	20	1) Adherence to operational processes and legal powers set out in statutory legislation 2) Regular review of resourcing requirements to ensure they are adequate 3) Regular training for Partners and employees 4) Scheduled Quality assurance and auditing processes 5) Delivery of workplans and monitoring through reporting/metrics 6) Information sharing through Memoranda of understanding 7) Learning through review of PSA performance reviews of other regulators and commissioned reviews within the sector	4	4	16	1) Embedding FtP improvement plan deliverables into business as usual (FtP, ongoing to Q4) 2) Monitoring performance through performance report and KPIs (All, ongoing) 3) Review of education quality assurance arrangements (Education, from Q2 to Q4) 4) Execution of the budget & 5 year plan investment model (Finance, ongoing to Q4) 5) Project management delivery of social workers transfer of regulation (Projects, ongoing to Q3)	4

RELEVANT STRATEGIC PRIORITIES

Strategic Priority 1: Improve our performance to achieve the Professional Standards Authority's Standards of Good Regulation

COMMENTS ON PROGRESS

Update May 2019: The FtP improvement plan project has now completed and the FtP workplan 2019-20 contains actions relating to the monitoring of activities and ensuring the changes have been embedded. The number of new FtP cases continues to increase and is being monitored with performance reported to the SMT and Council. Members of the Executive continue to meet with the PSA's Director of Scrutiny and Quality on a quarterly basis, and have also met with their Performance Review team to explain our data, evidence submission, and describe the changes made during the FTP Improvement Project. Recommendations from the Education QA review working group will be considered by ETC in early June, and the next stage of engagement being carried out between June 2019 and March 2020.

STRATEGIC RISK
2. Failure to anticipate and respond to changes in the external environment

RISK OWNER
SMT

Review Date
May-19

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2019-20	Expected risk 2022-23
This includes the ability to respond and influence external drivers for change, like the impact of Brexit, devolution or a change in government as well as issues like workforce development, new and emerging professions or government policies affecting professional regulation. It also includes awareness and responsiveness to advances in technology and systems.	5	3	15	1) SMT relationship building and liaison with key stakeholders particularly Government Departments, professional bodies, other regulators and suppliers 2) Horizon scanning and intelligence gathering including from relationship building to be aware of external drivers and influencers 3) Continued investment through major project process for the development of business processes and systems 4) Publication of FtP, Education and Registration information and datasets through annual reports and FOI requests	5	2	10	1) Delivery of Communications & Engagement Strategy and communications workplan (Comms, ongoing to Q4) 2) Delivery of research programme set out in Policy & Standards workplan (Policy, ongoing to Q4) 3) Continued collaboration with other regulators, for example MOUs or joint statements (FtP/Policy, ongoing to Q4)	5

RELEVANT STRATEGIC PRIORITIES

Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment
 Strategic priority 4: Make better use of data, intelligence and research evidence to drive improvement and engagement.

COMMENTS

May 2019 update: The Communications workplan for 2019-20 has been agreed. This includes actions identified from the ComRes findings on awareness and perceptions of our stakeholders, and a more detailed stakeholder engagement plan which will be completed in Q2 identifying frequency, type of contact, engagement opportunities for HCPC spokespeople to develop relationships further with influential stakeholders. The Policy & Standards 2019-20 workplan has been agreed. This includes our commitment to continuing research which supports the 'prevention' agenda, for example ftp impact, registrant health & wellbeing and supervision in the workplace. It also sets out how we will develop our approach to scoping and developing the Data & Intelligence team. The Policy & Standards team will be compiling a paper for Council later this year which will focus on operationalising the MOUs we have. The team are also collaborating with other regulators on a joint statement on reflective practise.

STRATEGIC RISK
3. Failure to be a trusted regulator and meet stakeholder expectations

RISK OWNER
SMT

Review Date
May-19

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2019-20	Expected risk 2022-23
<p>This risk includes the management of stakeholder engagement and key relationships as well as reputation management.</p> <p>Specifically, Communication and stakeholder management Intelligence gathering Transparency/openness Stakeholder research PSA relationship and engagement External reporting Data breaches High quality Partners and suppliers Reputation</p>	5	3	15	1) Communications Strategy, underpinned by stakeholder communications and engagement plan with clear deliverables and milestones 2) Adherence to agreed processes and organisational values of transparency, collaboration, responsiveness, high quality service and value for money 3) Regular stakeholder opinion polling to understand needs and expectations 4) Management and response to complaints handling, including Freedom of Information and Subject Access Requests 5) Engagement with appropriate organisations including for example other regulators, Government, professional bodies, trade unions and service user organisations 6) Analysis and action planning from feedback mechanisms including corporate complaints, FtP stakeholder surveys, stakeholder opinion polling and education provider survey	4	2	8	1) Delivery of Communications & Engagement strategy and stakeholder workplan (Comms, Q2 to Q4) 2) Initial planning and development of prevention agenda (Comms/Policy, ongoing to Q3)	5

RELEVANT STRATEGIC PRIORITIES

Strategic priority 2: ensure our communications and engagement activities are proactive, effective and informed by the views and expectations of our stakeholders

Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

COMMENTS

May 2019 update: The Policy team presented the findings of the stakeholder perceptions research to Council in March. As per SR 2, the Communications workplan for 2019-20 has been agreed. This includes actions identified from the ComRes findings on awareness and perceptions of our stakeholders, and a more detailed stakeholder engagement plan which will be completed in Q2 identifying frequency, type of contact, engagement opportunities for HCPC spokespeople to develop relationships further with influential stakeholders. The Communications team will begin the scoping and development work for the professional liaison team in early June following the appointment to the fixed term contract role.

STRATEGIC RISK
4. Failure to be an efficient regulator

RISK OWNER
SMT

Review Date
May-19

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2019-20	Expected risk 2022-23
<p>This risk includes the operational failure of processes, or the inability to manage data efficiently as well as the vulnerability of IT security. It also includes financial security, timely and accurate reporting and the recruitment, retention and training of Partners, Council and employees.</p> <p>Specifically, Operational failure Data management Cyber security Use of technology Financial sustainability Timely and accurate reporting Recruitment/retention/training including partners, employees, Council</p> <p>Financial sustainability, ; transfer of Social Workers timing, inability to secure additional DfE grant income. Uncertainty around Fee Rise or additional grant monies.</p>	5	5	25	1) Adherence to operational processes and policies which are subject to internal and external audit eg ISO 2) Adherence to budgetting and financial management and reporting processes which are subject to internal and external audit eg NAO 3) Adherence to HR processes in relation to recruitment, annual performance development review and and learning and development for Partners and employees 4) Effective IT system design maintaining confidentiality, integrity and availability of data 5) Maintenance of ISO27001 Information Security standard which is subject to external audit 6) Regular independent security assessments of key IT infrastructure 7) Continuous quality improvement quality assurance audits 8) Development and implementation of a corporate strategy 9) Maintenance of business continuity infrastructure and processes	4	4	16	1) Delivery of culture & engagement action plan (HR/Comms, ongoing to Q4) 2) Delivery of systems projects, including FtP CMS and registration transformation (Projects, ongoing to Q4) 3) Investigate financial sustainability (Finance/SMT, ongoing to Q4) 4) Delivery of agreed Quality Assurance frameworks and audits (Quality Assurance, ongoing to Q4)	5

RELEVANT STRATEGIC PRIORITIES

Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

COMMENTS

May 2019 update: An update on the Culture & Engagement action plan was considered by the SMT in May and will be presented to Council at their 22 May meeting. We achieved recertification for the ISO27001 Information Security standard. All desktops have now been upgraded as has the HR system. With the Registration transformation project, the proposal to proceed into phase two was approved at the March Council and the project will formally start once contract negotiations with the preferred supplier have concluded. The Executive continue to monitor parliamentary and stakeholder activity in relation to the fees proposals, with ongoing briefing and discussion with Government officials to support progress through the parliamentary approval process in both Westminster and Scotland. The Chair and Chief Executive will be meeting the Scottish Cabinet Secretary for Health & Sport at the end of May. The Quality Assurance Department workplan for 2019-20 has been agreed. This includes framework agreements and audits to be undertaken for the regulatory departments.

STRATEGIC RISK
5. Failure of leadership, governance or culture

RISK OWNER
Chair and SMT

Review Date
May-19

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2019-20	Expected risk 2022-23
<p>This risk includes the effectiveness of Council, strategy setting and oversight, risk management and business planning. It also covers organisational culture including the existence of relevant policies for whistleblowing or anti-bribery for example and processes for performance development.</p> <p>Effectiveness of Council Organisational structure Appraisal process/performance management Adequate planning Foresight Audit Ethics Anti-bribery Whistleblowing Strategic setting and oversight Risk management Vision mission values</p>	4	3	12	<p>1) Robust and effective Council recruitment processes with appointment against competencies and annual appraisal process</p> <p>2) Well researched and drafted Council & Committee papers with clear, well reasoned decision making</p> <p>3) Training and internal communications to ensure Partners, Council and employees aware of and sensitive to issues including whistleblowing, anti-bribery, equality and diversity</p> <p>4) SMT oversight of HR and internal communications work to support the development of our culture and environment as well as delivering continuous improvement through all employee survey</p> <p>5) Robust audit plans, regular review of risks</p> <p>6) Strategic intent incorporating drivers, vision and values</p> <p>7) Adherence to relevant internal policies including for example anti-bribery, whistleblowing and continued engagement with cross-organisational groups including the Employee Consultation Group and Corporate Social Responsibility</p> <p>8) SMT: meetings held regularly, with well drafted papers and clear decision making communicated; visibility and transparency achieved with meeting papers online and regular round-up on intranet</p>	5	2	10	<p>1) Run appointments process for x3 registrant members of Council (Governance, Q1-2)</p> <p>2) Delivery of Culture & Engagement action plan (Comms/HR, ongoing to Q4)</p> <p>3) Develop new corporate strategy with engagement & dissemination to key stakeholders of final plan (Policy, from Q2 to Q4)</p>	4

RELEVANT STRATEGIC PRIORITIES

Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

Strategic priority 4: Make better use of data, intelligence and research evidence to drive improvement and engagement.

COMMENTS

May 2019 update: The Governance team are currently conducting a recruitment process for 3 registrant Council members. The ED&I policy has been published and information about equality impact assessments has been disseminated across the organisation. An assessment for the fees proposals was completed and noted by the Council at its March meeting. As previously reported, an update to the Culture & Engagement action plan was considered by the SMT in May and will be presented to the Council at their May meeting. Employees will have an opportunity to engage on the organisational values at the all employee development day in July.

RISK MATRIX DEFINITIONS

IMPACT TYPES

LIKELIHOOD AREAS

	Public Protection	Financial	Reputation
	Catastrophic 5	Catastrophic 5	Catastrophic 5
IMPACT ↑	A systematic failure for which HCPC are ultimately responsible for, exposes the public to serious harm in cases where mitigation was expected.	Unfunded pressures greater than £1 million	Incompetence/ maladministration or other event that will destroy public trust or a key relationship
	Significant 4	Significant 4	Significant 4
	A systematic failure for which HCPC are ultimately responsible for, exposes more than 10 people to harm in cases where mitigation was expected.	Unfunded pressures £250k - £1 million	Incompetence/ maladministration that will undermine public trust or a key relationship for a sustained period or at a critical moment.
	Moderate 3	Moderate 3	Moderate 3
	A systemic failure for which HCPC are ultimately responsible for exposes more than 2 people to harm in cases when mitigation was expected.	Unfunded pressures £50,000 - £250,000	Incompetence/ maladministration that will undermine public trust or a key relationship for a short period. Example Policy U-turn
	Minor 2	Minor 2	Minor 2
	A systemic failure which results in inadequate protection for individuals/individual communities, including failure to resolve celebrity cases.	Unfunded pressures between £20,000-£50,000	Event that will lead to widespread public criticism.
Insignificant 1	Insignificant 1	Insignificant 1	
A systemic failure for which fails to address an operational requirement	Unfunded pressures over £10,000	Event that will lead to public criticism by external stakeholders as anticipated.	

	Strategic	Programme / Project	Operational
	Probable 5	Probable 5	Probable 5
LIKELIHOOD ↑	"Clear and present danger", represented by this risk - will probably impact on this initiative - sooner rather than later.	Likely to occur in the life-cycle of the project, probably early on and perhaps more than once.	The threat is likely to happen almost every day.
	Possible 4	Possible 4	Possible 4
	Likely to happen at some point during the next one or two years.	Likely to happen in the life-cycle of the programme or project.	May well happen on a weekly basis.
	Unlikely 3	Unlikely 3	Unlikely 3
	May well occur during the lifetime of the strategy.	May occur during the life of the programme or project.	May well happen on a monthly basis.
	Rare 2	Rare 2	Rare 2
	Only small chance of occurring in the lifetime of the strategy.	Not likely to occur during the lifecycle of the programme of project.	Does not happen often - once every six months.
Negligible1	Negligible1	Negligible1	
Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.	Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.	Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.	

Risk = Impact x Likelihood
 Low risk = 1 to 5; Medium risk = 6 to 10, High risk = 11 to 25