

**Health Professions Council
Education and Training Committee 28th March 2007**

**CONTINUING PROFESSIONAL DEVELOPMENT PROGRESS REVIEW
(CPD)**

Executive Summary and Recommendations

Introduction

Since January 2007 the CPD project has been managed by Claire Phillips (HPC Project Manager) and the project led by Richard Houghton (Registrations Manager, Operations), with Greg Ross-Sampson (Director of Operations) responsible for the overall sponsorship of the project.

Decision

The Committee is requested to note the document. No decision is required.

Summary

There has been a considerable amount of work undertaken during 2007 which has involved:

- Formally organising, agreeing and setting up of a cross functional project team with representation from all required areas across HPC.
- Designing a project plan with deliverables and timescales.
- Agreeing the operational CPD process in a number of meetings attended by representatives from Digital Steps Ltd, our software provider, and Bircham Dyson Bell, our legal advisors.
- Documenting the CPD operational process flows.
- Commencing the analysis work needed to design the LISA (Registrations system) development.
- Defining the CPD communication needs and including these within the Communications Department's workplan for 2007 – 2008.
- Finalising the CPD assessor recruitment process and timescales.

Project management

1 of 4 pages

Date
2007-03-15

Ver.
a

Dept/Cmte
POL

Doc Type
PPR

Title
CPD ETC 28th March

Status
Draft
DD: None

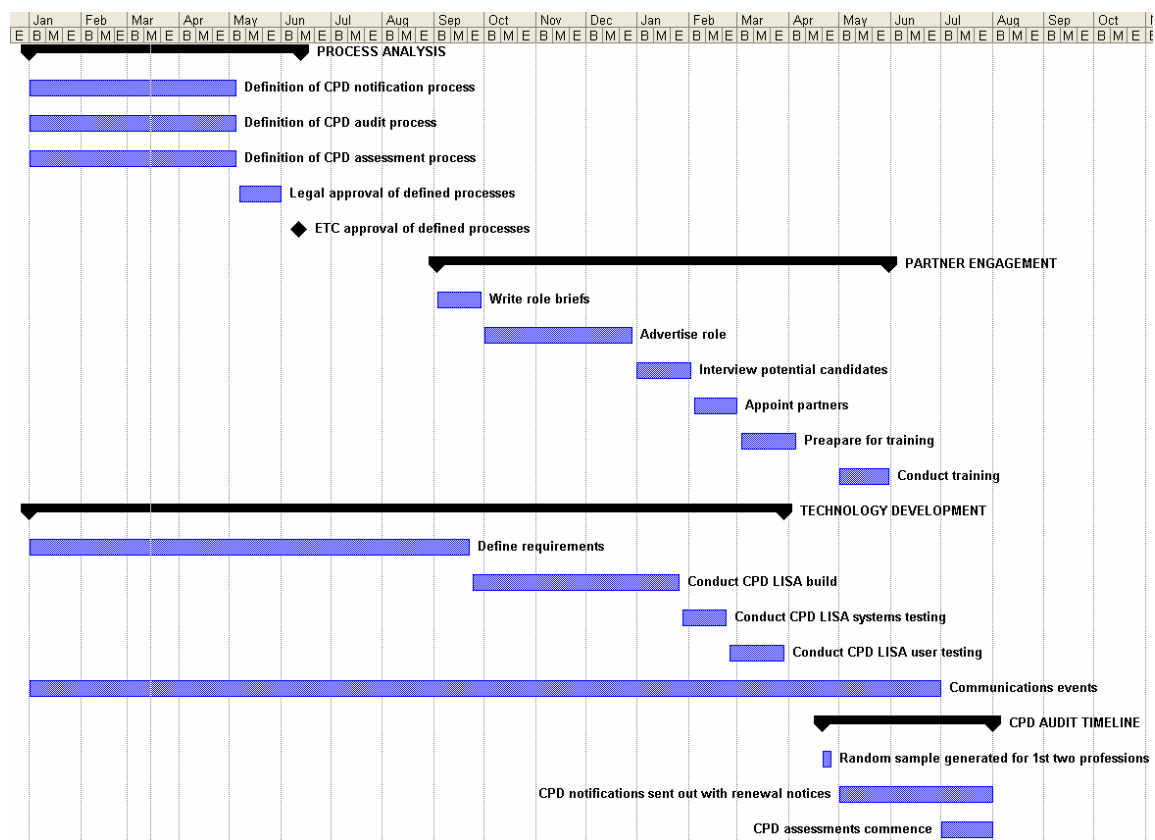
Int. Aud.
Public
RD: None

As mentioned above, there have been a series of meetings held with the key CPD stakeholders to define and fully scope out the tasks required to roll out the new process.

The key areas that have been identified are:

- Process definition
- Partner engagement
- Technology development
- Communications events

Following this initial analysis the following broad-strokes project plan has been drawn up.



Process analysis

Extensive analysis work has been completed over the past three months in order to define both the CPD notification process and the CPD audit and assessment process. These processes are complex to implement due to the nature of the policy and the legal implications associated with this.

The results of the analysis work are included as Appendices 1 and 2.

These workflows, plus more detailed flows are currently with Digital Steps for technical analysis.

During the course of the analysis, the following discussion points have arisen, which will need resolution prior to implementation. These points are currently under scrutiny both within the organisation and with our legal representatives. Once a potential solution has been agreed upon the options will be brought to ETC for approval:

- If a registrant is denied the right to defer their CPD assessment, should they have the ability to appeal the decision?
- If a registrant lapses after having been selected for CPD but then applies to return to the register within 2 years, should they be requested to demonstrate their CPD?
- If a registrant lapses after having been selected for CPD but then applies to return to the register after 2 years, should the Return to Practise policy take precedence over CPD?
- At any point during the CPD process if a registrant were to have an allegation made against them all CPD processing would cease until the allegation had been resolved?
- If a registrant were to fail CPD but had not yet been removed from the register and were to have an allegation made against them in the interim, all CPD processing would cease, the F2P case would be heard and a decision would then be made regarding CPD?
- What would happen in the case where a registrant had failed CPD, but had not been removed from the register, an F2P case then found that they must remain on the register with conditions of practise? This would effectively mean that the CPD decision had been annulled.
- If a registrant were to be selected for CPD, then had an allegation made against them that did not result in them being removed from the register, they would not be requested to complete their existing CPD assessment, but would be marked to be automatically selected during the next audit period?

Registrations system development

Following the process analysis work that was completed internally, a workshop was held with Digital Steps to begin the requirements gathering for the LISA development. Appendix 1 was used to facilitate understanding of the proposed processes. Following this discussion Appendix 3 has been compiled to further understanding of the expected systems behaviour.

Background papers

1. Continuing professional development and your registration
2. Your guide to our standards for continuing professional development

3. Continuing Professional Development – Consultation paper
4. Continuing Professional Development – Key decisions

Appendices

Appendix 1 – CPD Notification process

Appendix 2 – CPD audit and assessment process

Appendix 3 – Possible CPD LISA statuses

Date of paper

14th March 2007

Appendix 1 – CPD Notification process

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2007-03-15	a	POL	PPR	CPD Notification process	Draft DD: None	Internal RD: None

Day 0
New professional cycle



-3 months
Send renewal form & notification

-1 month
Send final renewal form & reminder

+7 days
Send 1st reminder
“You have 28 days to comply”

+35 days
Send 2nd reminder.
“You have 14 days before you are lapsed”

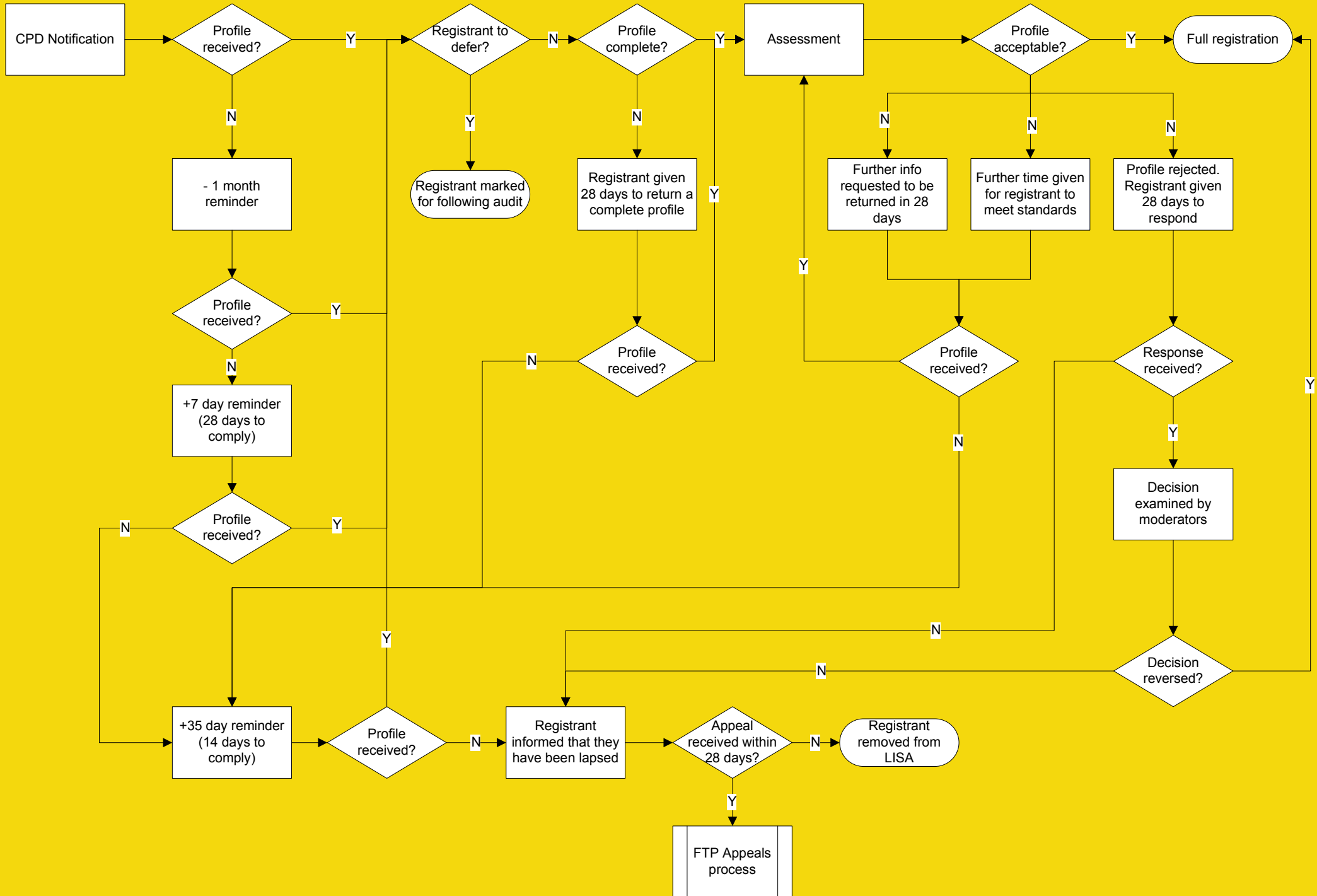
+49 days
Send lapsing letter.
“You have been lapsed you have 28 days to appeal”

+77 days
Registrant removed from LISA

Appendix 2 – CPD Audit and Assessment Process

v1.1

CPD Processing - High Level



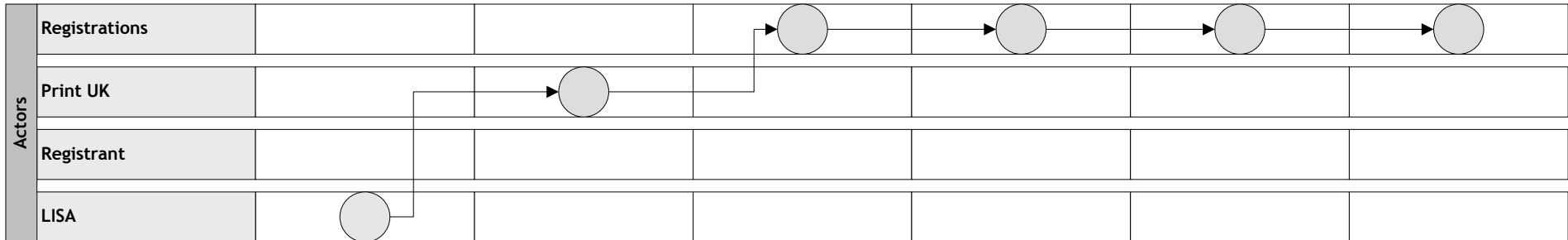
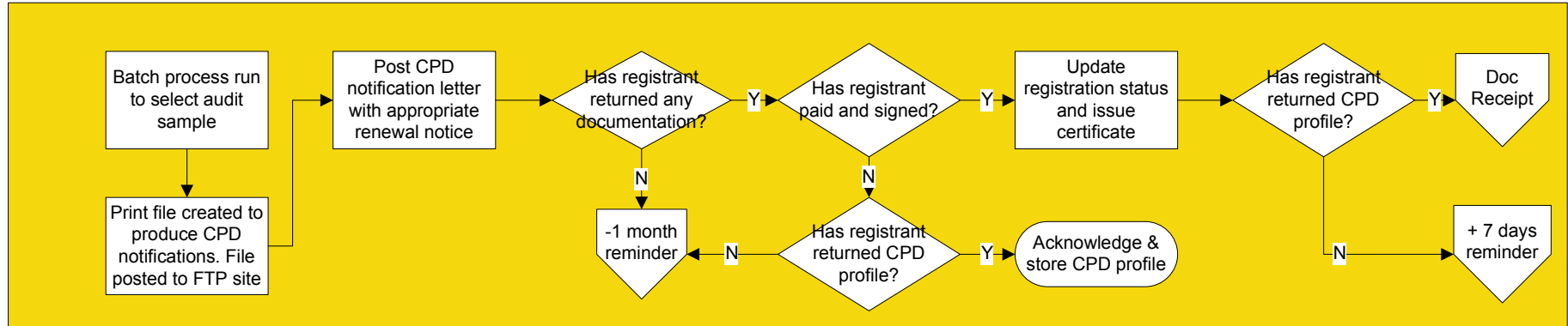
CPD Processing

Level 1

Process runs at any time between -3 months and -1 month

CPD Notification

Level 2



Narrative	<p>Automated Batch process run on renewing profession. Process will select random sample of either 2.5% or 5% from registrants who have been on the register for 2 years or more. Process will, in addition to the audit sample, select all registrants who have deferred in a previous CPD cycle.</p> <p>LISA record stamped with unique CPD number. Only one CPD number per registrant</p>	<p>Notification letter will explain process and will include a proforma for the registrant to fill in - this will be stamped with CPD number.</p> <p>LISA moves CPD progress tracking status to -3 month notification sent</p>	<p>Registrant continues along standard renewal route, but will also receive a CPD reminder</p>	<p>If a registrant fails to pay and sign they will continue along the standard renewal route.</p> <p>If they submit a CPD profile when returning an incomplete renewal form this will be acknowledged and stored but will progress no further until renewal is complete.</p> <p>If no CPD profile is received they will receive an additional reminder with the final renewal notification</p>	<p>All registrants selected for CPD will be registered conditionally until the CPD assessment is complete & once they have paid and signed. LISA must be able to recognise whether a registrant has been selected for CPD as this will drive the status they go into when they renew through the ICR process.</p> <p>LISA will reflect this status, but it will not be evident on the online register or on the certificate.</p>	<p>Once the registrant has successfully completed CPD, LISA will be updated.</p> <p>If the registrant loses their proforma they will be able to request a new proforma as they can request a new renewal form</p>
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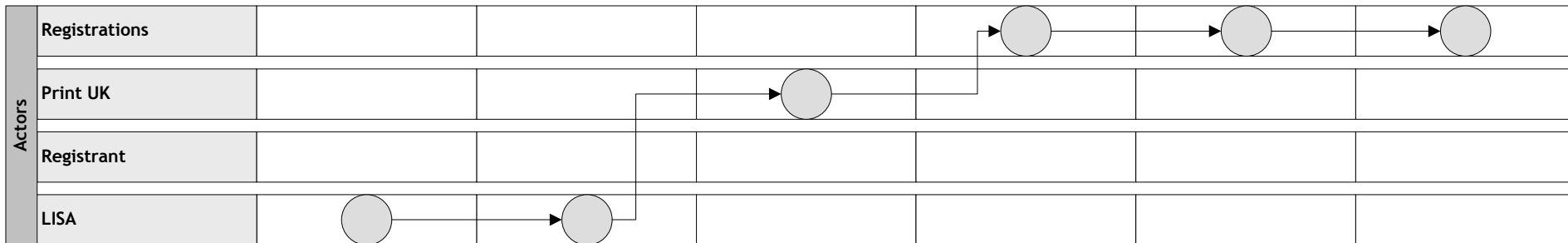
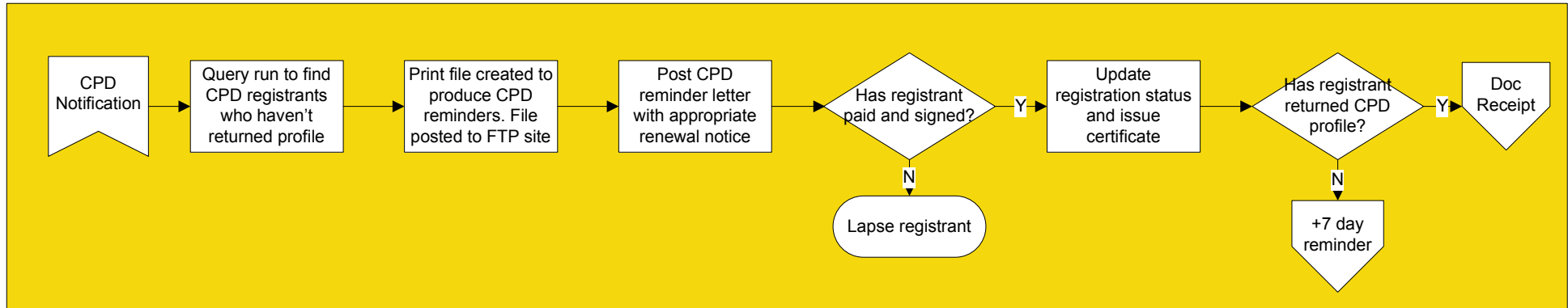
CPD Processing

Level 2

Process runs at any time between -1 month and day 0

-1 month CPD reminder

Level 3



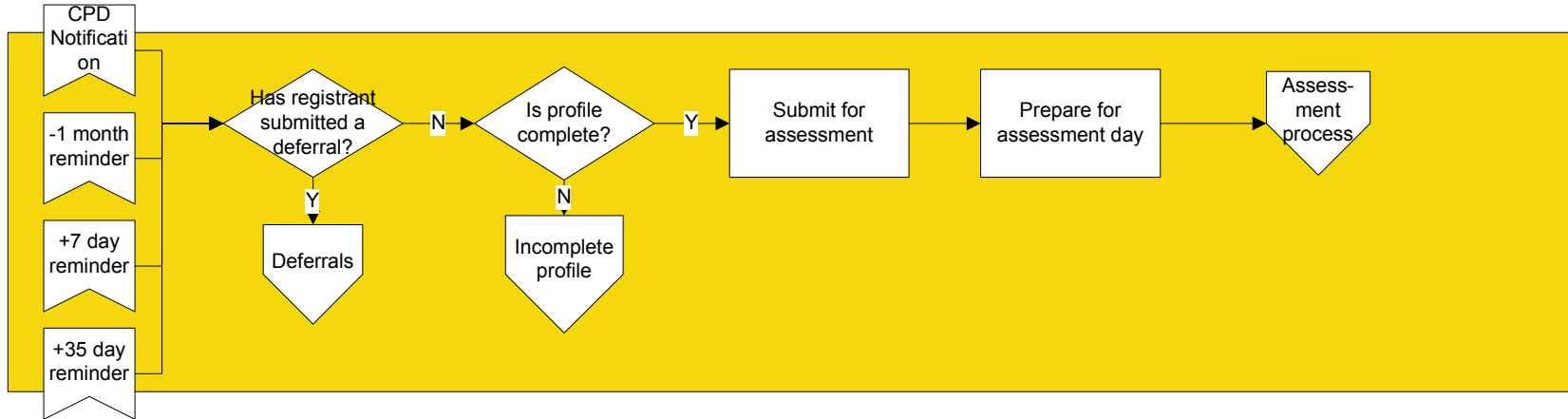
Narrative	Query will pick up all registrants that have not returned a CPD profile.	LISA moves CPD progress tracking status to -1 month notification sent	Reminder letter and new proforma will be sent	Regardless of whether a registrant has returned a CPD profile, if they do not pay and sign they will be lapsed on day 1 of the new professional cycle as per usual	All registrants selected for CPD will be registered conditionally until the CPD assessment is complete. LISA and the certificate will reflect this status, but it will not be evident on the online register. Once the registrant has successfully completed CPD, LISA will be updated

CPD Processing

Level 2

Document receipt

Level 3

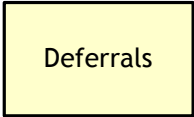


Actors	Registrations	●	→ ●	→ ●	→ ●	
	Partner Manager				→ ●	
	Automated Process				→ ●	
	CPD assessor					

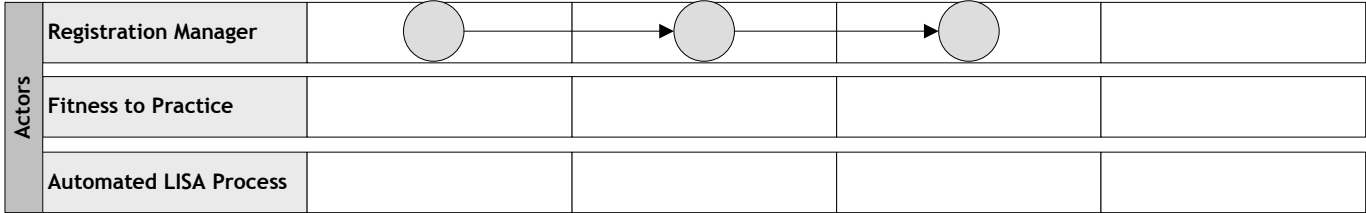
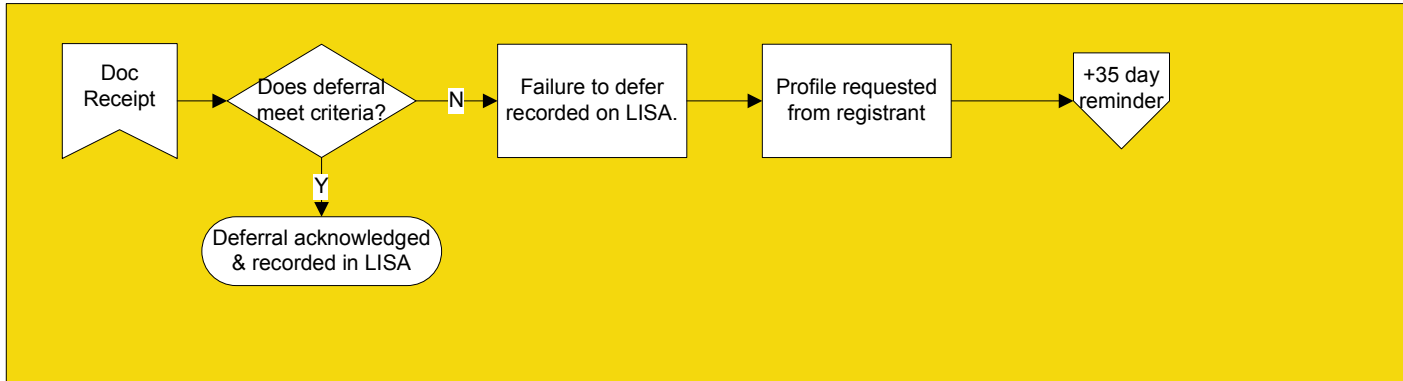
Narrative	<p>If registrant has submitted a request for a deferral this is assessed by HPC.</p>		<p>Standard letter sent to registrant informing them that profile has been received.</p> <p>CPD progress tracking status changed to Complete profile received & tracking date stamped by LISA</p> <p>Profile scanned and uploaded to registrant's record</p>	<p>Date of assessment input into LISA query & stored on control sheet</p> <p>Query run on LISA to select X number of profiles (dependent on number of profiles that can be done in one day)</p> <p>2 assessors assigned to each registrant (1 same part of register) dependent on availability of assessors & number of assessments that can be done in 1 day - names of assessors recorded on control sheet</p>	<p>Profiles of registrants selected downloaded into a printable file.</p> <p>CPD progress tracking status changed to Under scrutiny</p>
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CPD Processing

Level 2



Level 3



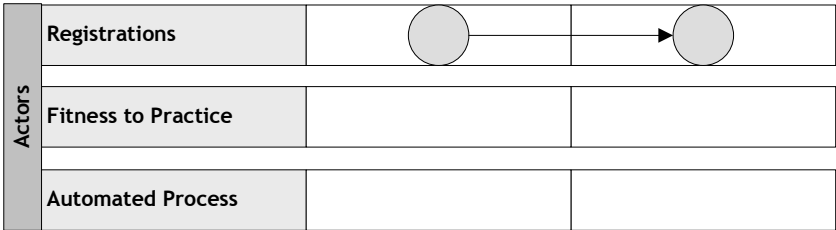
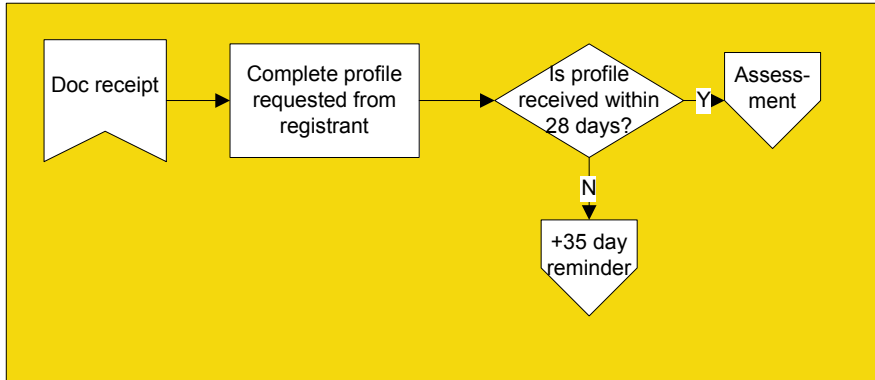
Narrative	<p>Registration Manager scans & uploads deferral letter & chooses Deferred as the CPD status. This status will only be accessible by Reg Managers. Status date stamped by LISA.</p> <p>Record greyed out. Only FTP and Reg managers can change status to reactivate record. Persists until next professional cycle.</p> <p>All registrants who defer will automatically be chosen for audit in the next professional cycle</p>	<p>Deferral rejection reason entered into free text field, CPD progress tracking changed to deferral rejected. Tracking date stamped by LISA.</p> <p>All reminders will be sent based on tracking date NOT professional cycle date.</p>	<p>Standard letter selected and relevant tick boxes selected</p> <p>Letter printed and posted to registrant.</p> <p>Registrant effectively returns to the beginning of the cycle.</p>	
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CPD Processing

Level 2

Incomplete profile

Level 3



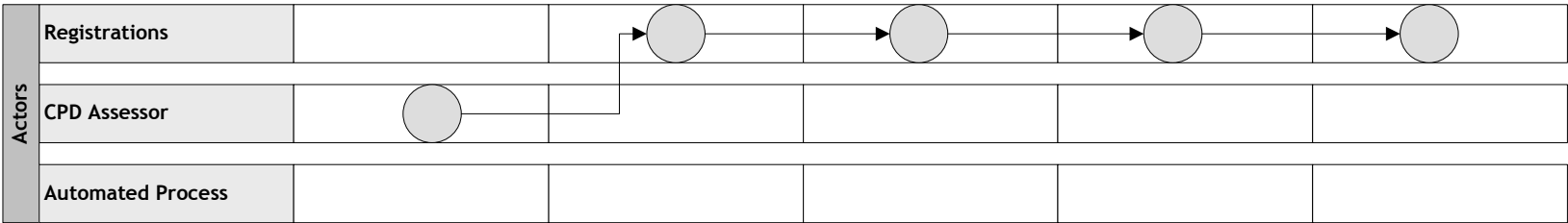
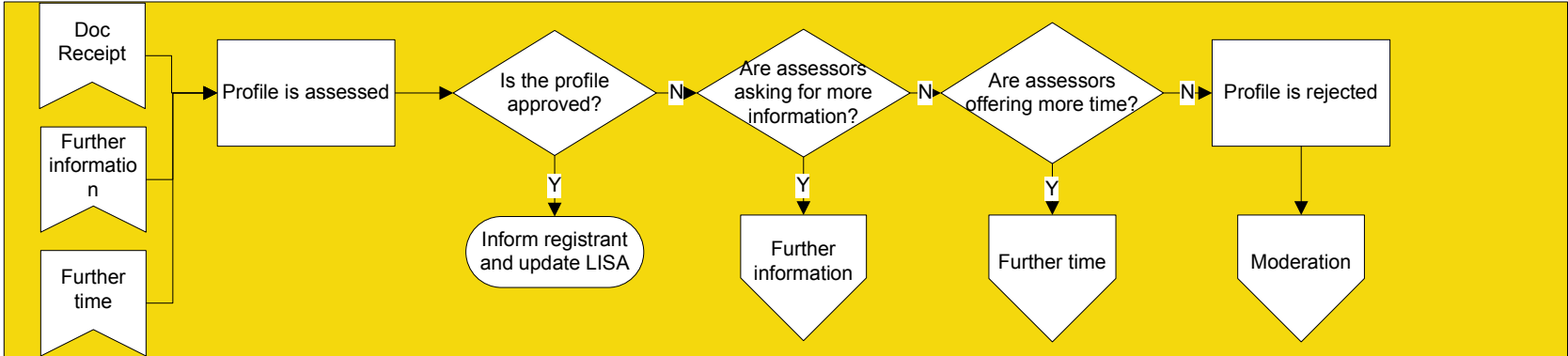
Narrative	<p>Standard letter template accessed. Information missing tickboxes selected.</p> <p>Letter printed and posted back to registrant with profile.</p> <p>Change CPD progress tracking status to Incomplete profile received and tracking date stamped by LISA</p>	<p>Reminders will be sent out based on the date that is entered NOT on the professional cycle date</p> <p>Registrant effectively returns to the beginning of the cycle.</p>
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CPD Processing

Assessment process

Level 2

Level 3

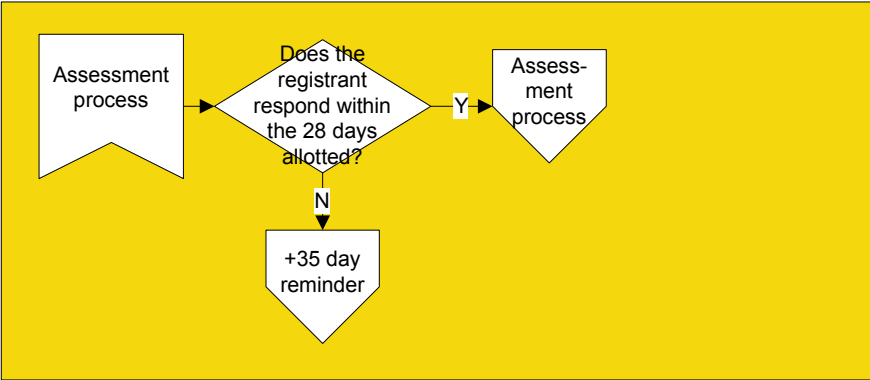


Narrative	<p>The profile is assessed by 2 CPD assessors.</p> <p>One of the assessors will be from the same profession as the registrant.</p>	<p>CPD status changed to accepted.</p> <p>LISA marks registrant to be included in batch run to send out CPD accepted letter.</p> <p>LISA automatically updates registration status to Registered rather than Conditionally Registered.</p>	<p>If the assessors are unable to make a decision based on the information provided they will ask for more information to be submitted so a decision can be reached.</p> <p>Standard letter sent to registrant informing them of information required. Tracking status changed to Under Scrutiny - Further Information. Tracking status date stamped by LISA.</p> <p>All reminders based on the tracking date NOT professional cycle.</p>	<p>An assessor will decide to give up to a further 3 months.</p> <p>Standard letter sent to registrant informing them they have x amount of time to meet standards. Date of Further time deadline entered. Tracking status changed to Under Scrutiny - Further Time. Tracking status date stamped by LISA.</p> <p>All reminders based on the tracking date NOT professional cycle.</p>	<p>If the assessors feel that the profile does not meet the standards, and feel additional time would not be sufficient to bring it up to standard it will be rejected.</p> <p>Standard letter sent to registrant informing them of outcome. Tracking status changed to Rejected awaiting comment. Tracking status date stamped by LISA.</p> <p>All reminders based on the tracking date NOT professional cycle.</p>
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CPD Processing

Further information

Level 2



Level 3

Actors	Registrations	●	
	CPD Assessor		
	Automated Process		

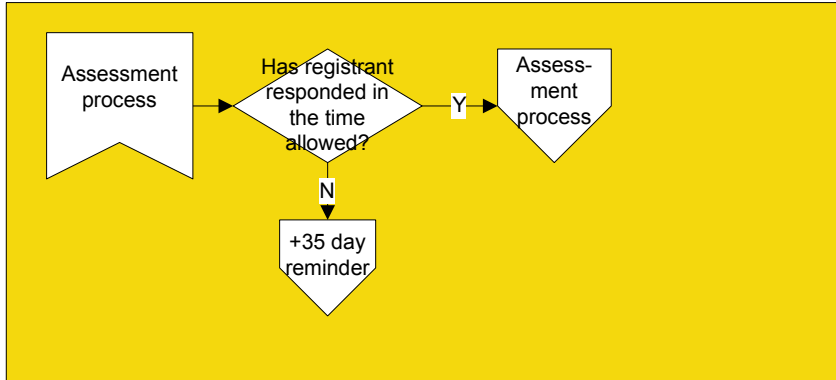
Narrative		
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CPD Processing

Level 2

Further time

Level 3



Actors	Registrations		
	Print UK		
	Registrant		

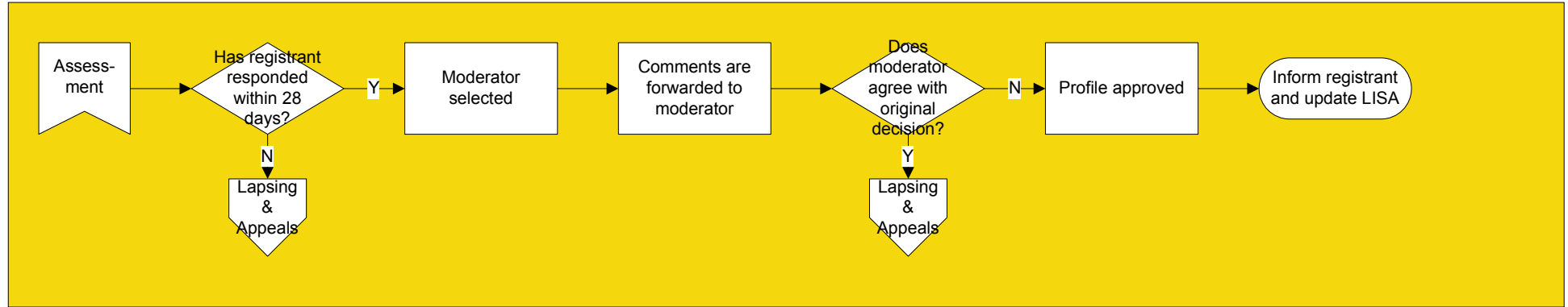
Narrative		
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CPD Processing

Level 2

Moderation

Level 3



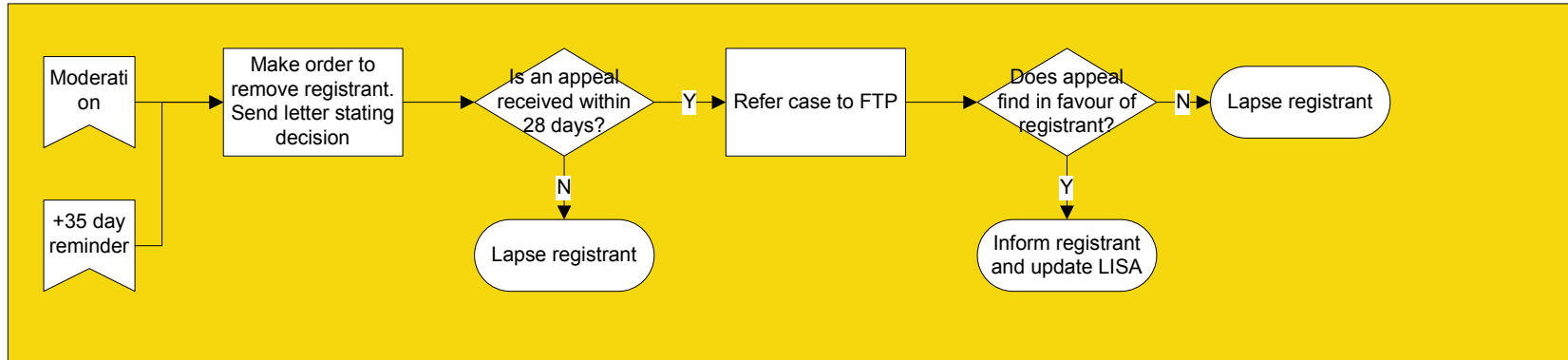
Actors	Registrations					
	Moderator					
	Registrant					

Narrative	<p>Batch run moves all registrants into CPD progress tracking status Rejected - 28 day appeal period.</p> <p>Anyone in this CPD progress tracking status will be immune from 'administrative' lapsing (same behaviour as those under investigation)</p>	<p>Comments scanned and uploaded into LISA</p> <p>Moderator name stored in LISA.</p> <p>CPD progress tracking status changed to Rejected under moderation. Date stamp entered into Date sent for moderation field</p>	<p>Moderator provided with CPD profile and proforma for comments and decision</p>	<p>Moderator proforma scanned and uploaded</p> <p>CPD progress tracking status changed to Rejected - 28 day appeal period.</p> <p>Anyone in this CPD progress tracking status will be immune from 'administrative' lapsing (same behaviour as those under investigation)</p>	<p>Decision recorded in free text field</p>	<p>Standard letter sent to registrant.</p> <p>CPD progress tracking status changed to Complete</p> <p>CPD status changed to Accepted.</p> <p>LISA automatically moves registration status to Registered, rather than Conditionally registered</p>
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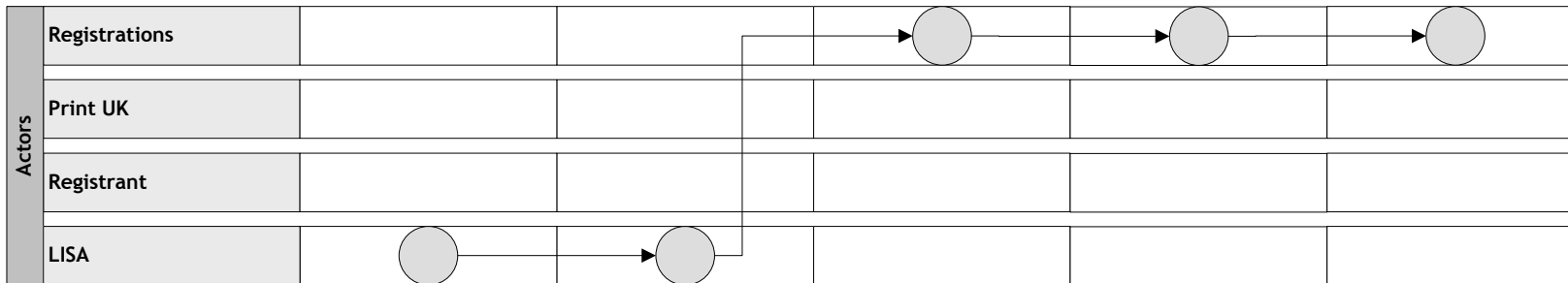
CPD Processing

Level 2

Lapsing & Appeals



Level 3



Narrative	<p>Query will pick up all registrants with the following CPD progress tracking statuses:</p> <ul style="list-style-type: none"> +35 day reminder sent Incomplete profile reminder sent Deferral rejected reminder sent Under assessment - Further info reminder sent Under assessment - Further time reminder sent Rejected - 28 day appeal period <p>LISA will create print file for all above registrants to receive a 'Lapsing' letter (notifying them of appeal process) and will change all CPD progress tracking statuses to Rejected - 28 day appeal period.</p> <p>CPD record is greyed out. To reactivate only Reg Manager or FTP manager must change CPD status</p>	<p>If no appeal is received after 28 days CPD progress tracking status changed to Complete and CPD status changed to Rejected & Lapsed. Registrant status changed to Lapsed.</p>	<p>Change CPD progress tracking status to Rejected - Under appeal. CPD record re-activates.</p>	<p>Appeal decision scanned and uploaded</p> <p>If appeal finds in favour of registrant CPD status changed to Accepted.</p> <p>LISA automatically changes CPD progress status to Complete and Registrant status to Registered, rather than Conditionally Registered.</p>	<p>If appeal finds against registrant CPD status changed to Rejected & Lapsed under appeal.</p> <p>LISA automatically changes CPD progress status to Complete and Registrant status to Lapsed.</p>
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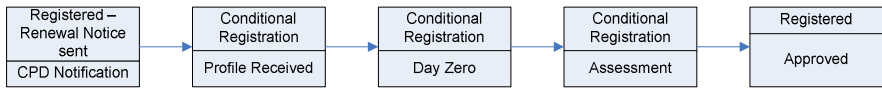
Appendix 3 - Possible Registrations System Statuses

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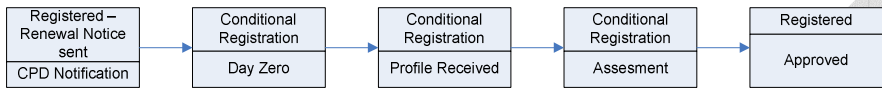
Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2007-03-15	a	POL	PPR	Possible LISA CPD statuses	Draft DD: None	Public RD: None

Straight-forward processing

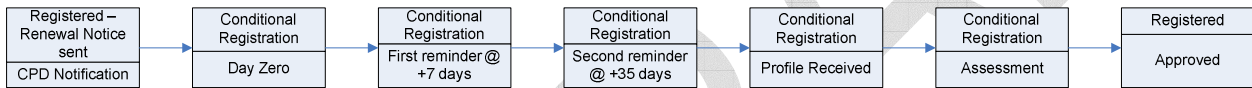
Straight forward registration with profile received before day zero



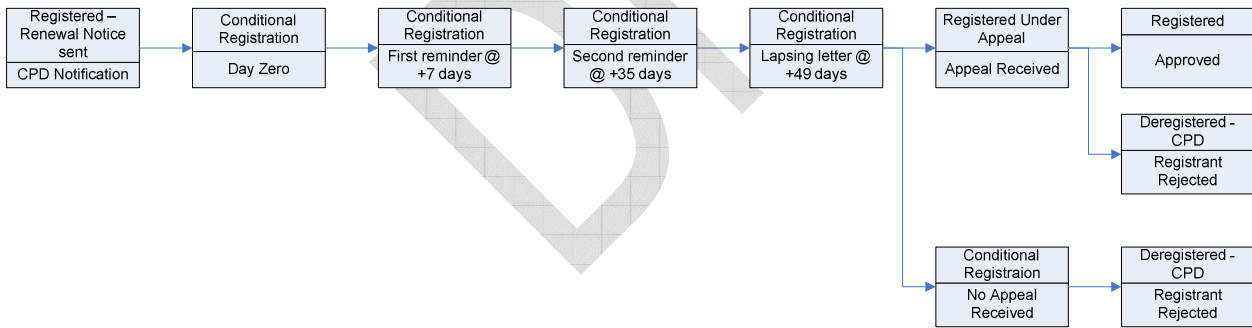
Straight forward registration with profile received after day zero



Straight forward registration where reminders need to be sent after day zero

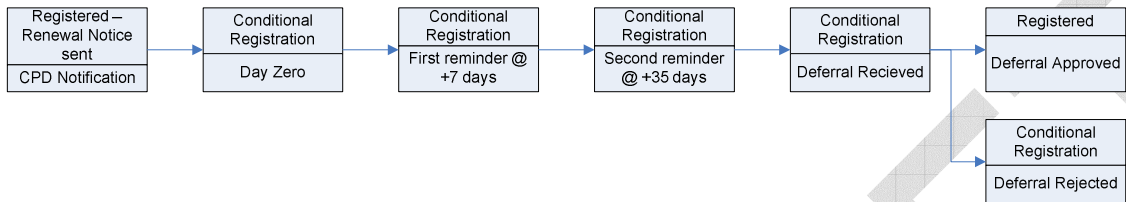


Registrant fails to submit a profile but appeals when receives notification of deregistration

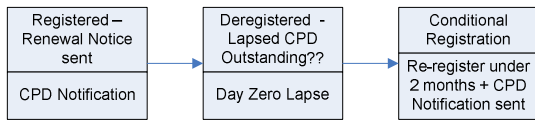


Deferrals and Lapsing

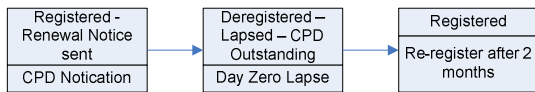
Registrant submits a deferral



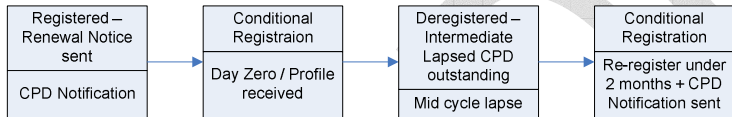
Registrant lapses at the end of the professional cycle and returns to the register in under 2 months



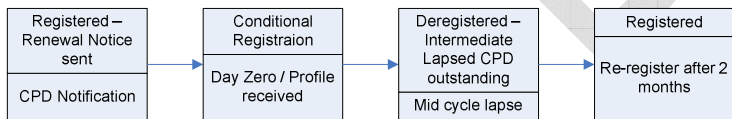
Registrant lapses at the end of the professional cycle and returns to the register in over 2 months



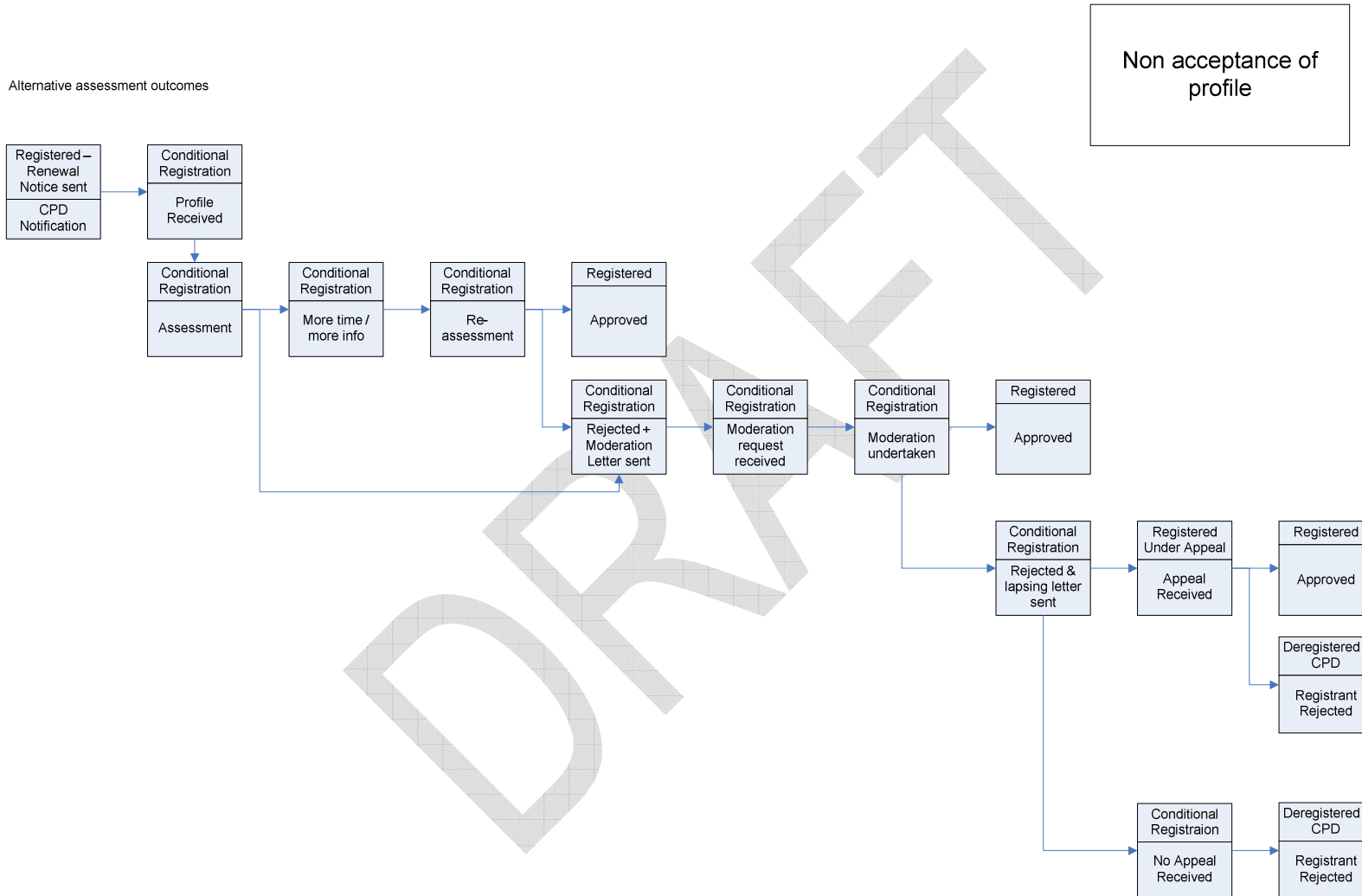
Registrant lapses mid - cycle and returns to the register in under 2 months



Registrant lapses mid - cycle and returns to the register in over 2 months



Alternative assessment outcomes



Non acceptance of profile

Date
2007-03-15

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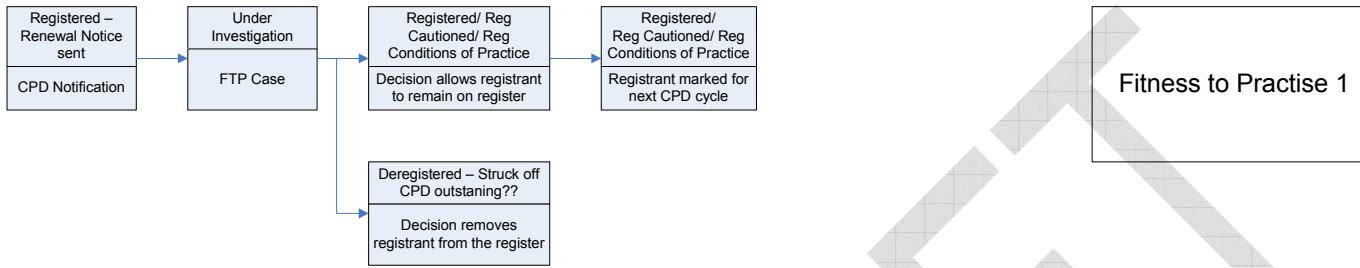
Doc Type
PPR

Title
Possible LISA CPD statuses

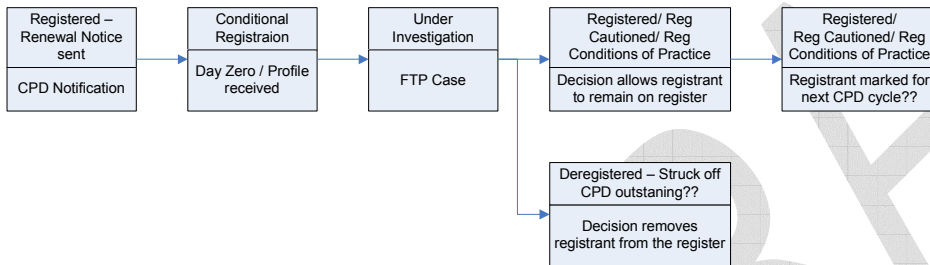
Status
Draft
DD: None

Int. Aud.
Public
RD: None

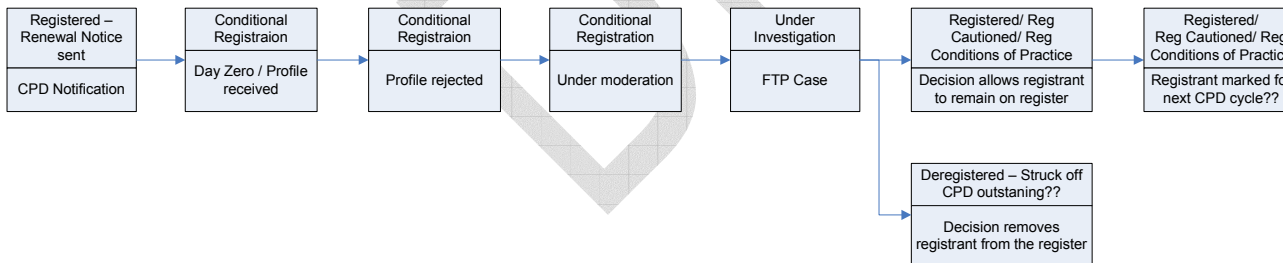
Registrant goes into FTP before a profile is received and whilst in renewal



Registrant goes into FTP after the profile has been received or after the end of the professional cycle



Registrant goes into FTP once the profile has been rejected and is being moderated



Date
2007-03-15

Ver.
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Dept/Cmte
POL

Doc Type
PPR

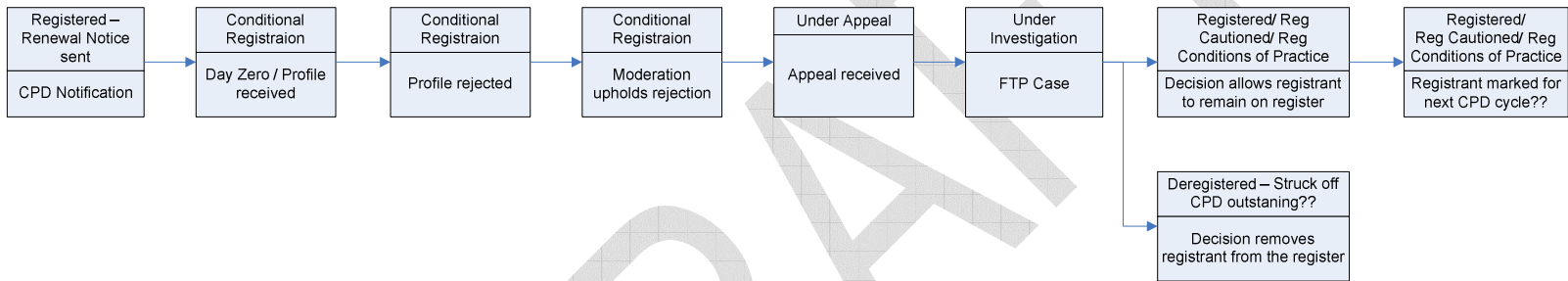
Title
Possible LISA CPD statuses

Status
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DD: None

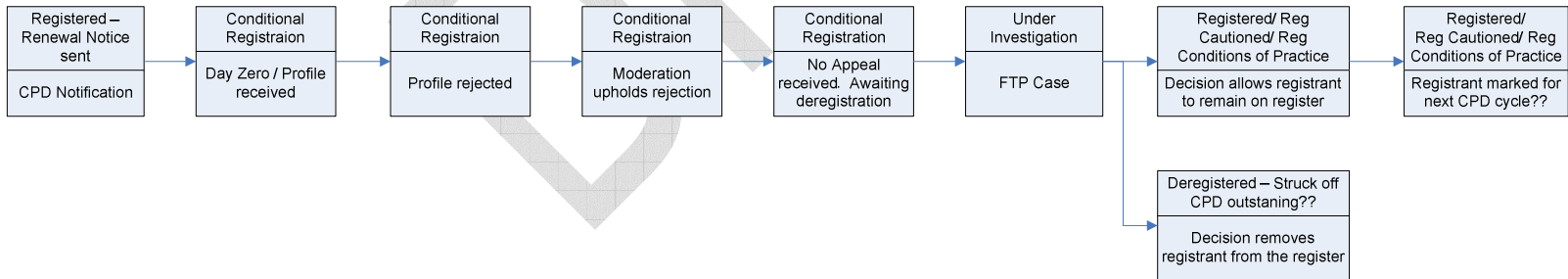
Int. Aud.
Public
RD: None

Fitness to Practise 2

Registrant goes into FTP when appealing decision to be de-registered due to an inappropriate profile



Registrant goes into FTP whilst awaiting to be de-registered due to an inappropriate profile (28 day appeal period)



Date
2007-03-15

Ver.
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Dept/Cmte
POL

Doc Type
PPR

Title
Possible LISA CPD statuses

Status
Draft
DD: None

Int. Aud.
Public
RD: None