

Agenda Item 8 (ii)

Enclosure 5

**Health and Care Professions Council
20 March 2019**

Performance report

For discussion

**From Marc Seale, Chief Executive and
Registrar**

Council, 20 March 2019

Performance report

Executive summary and recommendations

Introduction

The performance report sets out key activities and progress across the organisation since the last meeting of Council.

Decision

The Council is requested to discuss the performance report.

Background information

The report has been developed based on feedback from Council, SMT and Heads of Department. It provides Council with information on key performance indicators, progress on the deliverables for our strategic priorities, financial information and data for the core regulatory functions, HR and Quality Assurance.

Resource implications

Any resource implications outlined in the performance report are within the departmental workplans.

Financial implications

None

Appendices

Performance Report.

Date of paper

8 March 2019

Executive summary – 20 March 2019

1. Performance indicators

The following are some key updates to highlight to the Council

- **Fitness to practise timeliness**

The total number of new concerns received continues to be higher than the forecast, increasing from an average of 186 per month in April 2018 to 200 per month in September to 230 per month since October 2018. The largest proportion of this increase continues to relate to social workers in England, although we are seeing an increase from all professions.

The focus continues to be targeting the oldest cases, as well as escalated legal investigation and enhanced scheduling. The new Threshold Policy was launched in January 2019, and we have seen preliminary evidence that supports the aim of reducing the number of open cases. However, we will continue to monitor the impact of this. More detailed information is contained in the KPI dashboard and the Fitness to Practise overview contained in this report.

- **Education timeliness**

Increasingly, education providers are requesting visits be held outside of our internal service standards. As this is outside of our control, we have changed this performance indicator to one which is in line with our statutory obligations under Article 16(10) of the Health & Social Work Professions Order. This sets our commitment to a visitors' report will be considered by the Committee 'not less than one month beginning with the date on which a copy of the report is sent to the institution'. To ensure a timely outcome, we commit to sending visitors' reports to institutions within one month of the conclusion of the approval visit.

We have included figures for the year to date, which demonstrate we have consistently met this measure.

2. Strategic priorities

The Council is requested to note the progress of key deliverables against the strategic priorities, specifically

- **Strategic priority 3**, and the investment in processes and systems to improve stakeholder experience. Activity in this period has included: the initiation of the FtP case management system (CMS) review; the completion of the requirements analysis exercise and the tender exercise for the implementer for the next; and the ongoing upgrades to the Education system.

- **Strategic priority 4**, and the research that has been commissioned to undertake a literature review on the characteristics of effective clinical / peer supervision in the workplace and the in house research project to consider characteristics of fitness to practise cases concluding with no further action. This work is part of the programme of work to take forward the People Like us research and our 'prevention' agenda.

3. Finance

- The month 9 forecast indicates that for the full year, income will be on budget. Overall expenditure is forecast to be £225k below budget and £504k below month 6 forecast, this excludes the costs for the social worker transfer project, which will be reimbursed by the Department of Education; it also includes the additional £500k approved by Council to support the FTP improvement plan. The forecast overall result, excluding any year end revaluation of buildings, and including other income and capital write-off is a surplus of £44k. The original budget for the year was a deficit of £95k and month 6 forecast result was a deficit of £385k.
- For the 10 months to 31 January 2019, income is on track, and operating expenditure is £168k / 0.6% under forecast.

4. Fitness to Practise improvement plan

The Project is due to conclude at the end of March 2019. All work streams have started and are due to conclude by the end of March, or have already delivered. All deliverables have been independently quality assured as meeting the objective of the deliverable in relation to addressing the concerns raised by Professional Standards Authority in the performance review, and have been signed off by the Project Board.

Since last performance report to Council, we have:

- Implemented the new Threshold Policy, including delivering all training to teams, and making changes to our Case Management System.
- Included guidance for revised Health Allegations into our User Manuals, along with revised operational processes.
- Commenced the pilot of ICP specific Chairs, and developed the infrastructure to improve quality of preparation of ICP cases being put to panels.
- Closely monitored progress with the 177 instructed cases to external solicitors, of which 41 have been closed as not meeting the Threshold, and 16 closed by the Investigating Committee as no case to answer. A further 44 are listed for ICP consideration in March and April.
- Continued to use resources flexibly to receive, log, risk assess and stream new cases, responding to the 21% increase when compared to the previous period.

- Concluded the department-wide review of job descriptions and analysis of the time it takes to complete key tasks. This, in conjunction with the analysis of the piloted specialist, technical roles, means we are now commencing a recruitment of permanent and fixed term roles, which will take us beyond the transfer of social work cases.

Work remaining includes:

- Continued focus on the oldest streams of cases, as set out in the case progression strategy for 2018-19. The Case Progression Strategy will be revised to coincide with the open caseload position anticipated at the end of the budget year. This will be signed off by the Project Board as the last deliverable before project closure.

5. Departmental reports

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

- **Education quality assurance review:** this took its first significant step, with the initial meeting of the working group held in early March. The group has membership from the HCPC, the Council of Deans of Health, Deans of Allied Health from across the UK and professional body representation from the Chartered Society of Physiotherapy. Early outputs from discussions held indicate the group is well positioned to provide SMT and the Education and Training Committee with clear recommendations around a preferred strategic approach to education quality assurance for the future. This is likely to include a new quality assurance model, which if implemented, would change our approach to standards and processes.

Council meeting, 20 March 2019

Performance report

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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	Nov, Dec, Jan		
	Strategic priorities: 1 and 3													
Executive commentary	The reason for the increase in this measure is a direct result of targeting older cases, and driving the progression to ICP. A major focus continues to be the drafting of allegations for consideration by ICP. There are 156 cases with a future date, and the median age in weeks is 64. We therefore expect this KPI to remain in the same range until Q1 of 2019-20. Cases awaiting an ICP date have a current mean age of 51 weeks.													
Year to date		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			
Measure	Median length of time from ICP to final Hearing: 39 weeks										Period	Nov, Dec, Jan		
	Strategic priorities: 1 and 3													
Executive commentary	The focus on escalated legal investigation, and enhanced scheduling has reduced this KPI, taking us closer to the measure. Successfully concluding cases that were previously part heard or adjourned has also contributed. Cases with a future hearing date have a current median age of 34 weeks, so the trend of reduction in the time to schedule means we are likely to be meeting the KPI within 2019-20.													
Year to date		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			
Measure	Median length of time from receipt to final hearing: 73 weeks										Period	Nov, Dec, Jan		
	Strategic priorities: 1 and 3													
Executive commentary	This is a composite of the previous two measures, and is driven by the time to ICP element. There is a trend towards the KPI figure which will mirror the ICP KPI performance.													
Year to date		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			

Fitness to Practise (continued)

Measure	Median length of time of interim order cases from receipt to decision: 16 weeks										Period	Nov, Dec, Jan		
	Strategic priorities: 1 and 3													
Executive commentary	This KPI continues to be met. The fluctuation in December was due to HCPC not conducting panel hearings over the Christmas and New Year period.													
Year to data		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			
Measure	Number of open pre-ICP cases (not including Rule 12 cases*): 1600 open cases by 31/3/19										Period	Nov, Dec, Jan		
	Strategic priorities: 1 and 3													
Executive commentary	The caseload is broadly stable, and is affected by the number of newly received cases, which are up 21% on the same period last year. Additionally, the January figure is higher as the Threshold Policy now includes a new category of miscellaneous cases that were previously recorded separately. There is already evidence in February that the Threshold Policy is reducing the number of open cases.													
Year to date		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			

Registration

Measure	Median processing time for UK graduates: 10 working days										Period	Nov, Dec, Jan		
	Strategic priorities: 1 and 3													
Executive commentary	This indicator is in line with the optimum figure.													
Year to date		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			
Measure	Median processing time for International applications (European Mutual Recognition): 60 working days										Period	Nov, Dec, Jan		
	Strategic priorities: 1 and 3													
Executive commentary	This indicator is in line with the optimum figure.													
Year to date		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			

Registration (continued)

Measure	Median processing time for International applications (Non-European Mutual Recognition): 60 working days										Period		Nov, Dec, Jan	
	Strategic priorities: 1 and 3													
Executive commentary	This indicator is in line with the optimum figure.													
Year to date		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			

Education

Measure	Median time to produce visitors reports following a visit: one calendar month										Period		Nov, Dec, Jan	
	Strategic priorities: 1 and 3													
Executive commentary	This figure is in line with our legislative requirement as set out in Article 16(10) of the Health & Social Work Professions Order.													
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Months	27	28	28	28	27	27	28	28	28	28			

FINANCE AND RESOURCES

Finance

Measure	Performance against budgeted operating expenditure in range of 97.5% to 102.5%								Period	Nov, Dec, Jan			
Strategic priorities: 3													
Executive commentary	The month 6 reforecast was produced in October and month 9 reforecast was produced in January to re-allocate budgets across the organisation. The October to December actual performances are compared against the month 6 forecast and January actual is compared to the month 9 forecast. Performances are within the KPI target range. Full financial information is in the Finance section later in this report.												
Year to date	(,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		
	YTD Budget	3,891	6,821	9,656	12,505	15,140	18,079						
	YTD Forecast							20,564	23,671	26,727	29,047		
	YTD Variance	515	521	332	265	230	642	187	273	644	168		
	Actual as % of budget	87%	92%	97%	98%	98%	96%	99%	99%	98%	99%		

Human Resources

Measure	Employee voluntary turnover: 22% (21.8% London average, Xpert HR labour turnover rates, published 5 May 2018)								Period	Nov, Dec, Jan			
Strategic priorities: 3													
Executive commentary	Employee turnover is in line with the national level and within our measure. Detailed datasets have been included in the HR Department report.												
Year to date		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%		

QUALITY

Fitness to Practise

Measure	Number of cases per case manager: 45										Period		Nov, Dec, Jan	
	Strategic priorities: 1 and 3													
Executive commentary	This KPI continues to be affected by the number of new cases received, but the level of activity is manageable. The next phase of the closure and allegation drafting work should see the numbers come down, providing newly receipt cases remain at, the same level, or reduce.													
Year to date		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			

Registration

Measure	Number of upheld appeals against registration decisions										Period		Nov, Dec, Jan	
	Strategic priorities: 1 and 3													
Executive commentary	The increase in upheld appeals is due to the use of the consent process which was implemented in September 2016, which enables an appeal panel to allow the appeal with the consent of all the parties.													
Year to date		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			
	Upheld	3	3	2	3	2	4	2	4	1	1			
	Upheld/ no new info	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	Nov, Dec, Jan		
Strategic priorities: 1 and 3													
Executive commentary	The Online Register and Online Renewal Portal services were unavailable for a period of time over a weekend in November. The monitoring of the services have been refined to improve the alerting for an incident of this type and actions have been taken to reduce the risk of reoccurrence.												
Year to date		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%		

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.

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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
<p>Improve our fitness to practise performance to meet PSA standards</p>	<p>Deliver the programme of work outlined in the Fitness to Practise (FTP) Improvement plan including:</p>	<p>Overall, the project is due to conclude at the end of March 2019. All major deliverables are either completed, or due to conclude within the project lifetime. All major deliverables have passed the internal independent quality assurance process.</p>
	<p>Complete the review of case management competency and resource requirements (Q1)</p>	<p>The review of all FTP job descriptions has concluded. Revised job descriptions are being rolled out across the teams, and new or vacant posts are being recruited to these new documents. Detailed analysis of the time certain activities and tasks take has informed the budget assumptions on caseload, skills and experience required for the role, and removal of certain tasks from existing roles. Additional roles have been formulated, following the project activity, to provide specialist technical advice and escalation, specifically on closures and content of allegations.</p>
	<p>Implementation of case progression strategy including a process for prioritising high risk cases (Q1-4 (ongoing))</p>	<p>This is in place and driving the activity in the teams. Resources have been allocated such that all cases are assessed on receipt, and streamed to a dedicated case team who handle serious or interim order cases. These cases have a shorter escalation lifetime. Since introduction, there has been a reduction of 10% in open interim order cases, due to progression to conclusion.</p>
	<p>Review of the Standard of Acceptance policy and associated guidance (Q1 – Q2)</p>	<p>The Council approved Threshold Policy, which replaces the previous Standard of Acceptance, went live on 14th January 2019. Staff training and guidance has been delivered and implemented. We are reviewing the output of the cases managed under the Threshold Policy carefully, including auditing the decisions made.</p>
	<p>Revise the FTP quality assurance framework to align with the PSA standards of good regulation (Q1)</p>	<p>The framework has been quality assured and signed off as complete by the FTP Improvement Project Board.</p>
	<p>Meet with PSA on a quarterly basis to provide progress updates (Q1-4 (ongoing))</p>	<p>Executive Director of Regulation and Head of FTP continue to meet with the Director of Scrutiny and Quality on a quarterly basis.</p>

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)	Fieldwork has finished. A final report of the findings and next steps will be presented to Council at the March meeting.
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)	This is in development. We will use the findings from stakeholder perceptions polling to further refine and develop the plan.
	Pilot holding an engagement forum for key stakeholders in one of the UK countries and evaluate its effectiveness (Q4)	The engagement forum was held on 5 February and attended by a range of stakeholders. The focus for discussion was the draft corporate strategy and the work we are undertaking on the 'prevention' agenda. The meeting was well received by those who attended. We will evaluate, and consider next steps in the new financial year.
	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)	This is ongoing. An initial workshop was held with stakeholders in late February, and a second workshop will be held in March. More detailed information on this work is in the Executive Summary of this report.

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 five-year financial plan was approved by Council in September 2018. In February 2019, the Council approved proposals to increase our fees. The month 9 financial reforecast was authorised by Council in February 2019. The 2019-20 indicative budget is at the March Council for final approval.
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 continues to be updated by the Executive and the latest version was considered by the Audit Committee in March. The Audit Committee held a workshop on risk appetite in January and developed a detailed risk appetite statement, which was agreed at Council in February.
	Further develop our approach to measuring and monitoring performance	Ongoing – see note below.
	Review our Key Performance Indicators (KPI) at least once a year (Q4 (and ongoing))	We have made adjustments to the KPI dataset, in particular the KPI relating to Education timeliness to ensure it is more in line with legislative obligations. The Executive will review in Q4.
	Review and further refine the existing performance data set considered by the Council (Q2)	Ongoing improvements.
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: the project initiated in January. The objective is to update the business case, document and prioritise the requirements for a replacement CMS and to select a build partner for implementation.</p> <p>Registration transformation: requirements analysis exercise and a tender exercise to select the implementer for the next phase has completed. A proposal is planned to be presented to Council in March 2019.</p> <p>Education systems major project - this is currently ongoing, with suppliers developing functional upgrades which are due to be tested in the coming months. The project remains on track to complete in summer 2019.</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)	This has started to be applied to all closures at each stage of the FTP process, for cases concluding from 1 February 2019.
Research action planning	Deliver a programme of work to deliver the outcomes of the University of Surrey research: (Q1-4 (and ongoing))	Work has been ongoing to deliver this, this is highlighted in the sections below. Our focus, over the coming months, will be to progress the research projects outlined, develop teaching and learning materials, and further stakeholder engagement.
	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 a poster for distribution.
	Engagement with educators to develop teaching and learning materials for educators using the case studies developed in the research	To be progressed late Q4 and ongoing.
	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	This work has been commissioned, the research will commence in March 2019.
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 have commenced work to consider the characteristics of fitness to practise cases concluding with no further action.

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Finance report

Finance

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Finance: Overview

- In the Finance tables, income and expenditure is now compared against the month 9 forecast for 2018-19.

The month 9 forecast indicates that for the full year, income will be on budget. Overall expenditure is forecast to be £225k below budget and £504k below month 6 forecast, this excludes the costs for the social worker transfer project, which will be reimbursed by the Department of Education; it also includes the additional £500k approved by Council to support the FTP improvement plan. The forecast overall result, excluding any year end revaluation of buildings, and including other income and capital write-off is a surplus of £44k. The original budget for the year was a deficit of £95k and month 6 forecast result was a deficit of £385k.

- For the 10 months to 31 January 2019, income is on track, and operating expenditure is £168k / 0.6% under forecast.
- The main departmental variances are:
 - £153k/1.1% over forecast in FTP, this is partly due to an increase in the number of temporary workers recruited to fill roles that have vacated by staff with short notice periods. £85k of the variance relates to additional 12 days of final hearings because of longer, part heard cases. The average hearing duration was also higher than the forecast (4.2 days actual vs 4 days forecast).
 - £143k / 8.8% under forecast in major projects department, which is mainly due to delays in incurring costs for the social worker transfer project, this is caused by uncertainties around the transfer date, delays in recruitment of backfill staff and changes in supplier delivering dates. Variance on this project will not affect the overall position of our accounts at the yearend as we expect to recover all costs incurred through the DfE grant.
 - £62k / 2.4% under forecast in office services, this is mainly due to delays in purchasing furniture for 186KPR seating areas as more options are now considered. The forecasted rent increase from December was also overestimated.
- Operating result for the 10 months to 31 January 2019 was a surplus of £358k, including depreciation and bank interest receivable, compare to £254k YTD deficit per month 9 forecast.
- At 31 January 2019 cash balance was £15.8m, and deferred income was £18.5m.

Variance Commentary					January -19 Comments (Actuals vs 2018-19 M9 Forecast)	
Department	Movement YTD	M9 Forecast YTD	Forecast Variance	Forecast Var %	Variations by Income Type	Variations by Profession
Total Income	28,759,264	28,823,952	(64,688)	(0.2)	On Target or variance below threshold	On Target or variance below threshold
EXPENDITURE						
Department	Movement YTD	M9 Forecast YTD	Forecast Variance	Forecast Var %	Variations on Payroll	Variations on Non-payroll
Chair	49,738	51,682	1,944	3.8		On Target or variance below threshold
Chief Executive and SMT	661,828	666,169	4,341	0.7	On Target or variance below threshold	On Target or variance below threshold
Council	239,356	251,591	12,235	4.9		On Target or variance below threshold
Communications	699,744	702,765	3,021	0.4	On Target or variance below threshold	On Target or variance below threshold
Education	796,796	801,660	4,864	0.6	On Target or variance below threshold	On Target or variance below threshold
Office Services	2,530,313	2,591,984	61,671	2.4	On Target or variance below threshold	£56k under the forecasted figure; this is mainly due to planned expenditure on furniture for 186 KPR seating areas being delayed due to further options being looked at; rent increment back pay for December and January over estimated and a credit from the Insurance claim.

Department	Movement YTD	M9 Forecast YTD	Forecast Variance	Forecast Var %	Variations on Payroll	Variations on Non-payroll
Finance	588,445	589,155	710	0.1	On Target or variance below threshold	On Target or variance below threshold
Fitness to Practise	13,539,052	13,386,465	(152,587)	(1.1)	£47k over the forecasted figure; this is mainly due to the additional temps recruited to fill FTC roles or temps with no notice period that have left the organisation. This is to maintain activity. The FTP Improvement project has just been concluded and substantive recruitment has commenced in Feb and continuing in March which will mitigate the overspend.	£105k over the forecasted figure; £85k is mainly due to the additional 12 days of delayed final hearings as a result of longer, part heard cases that could not be predicted. The average hearing duration was 4.2 days comparable to the budgeted and forecasted duration of 4 days. Additional days is also directly correlated with increase in Partner costs which also included costs from previous periods. The remaining variances were due to high court extensions and additional witness and expert costs due to long standing old cases.
Human Resources	777,210	821,350	44,140	5.4	On Target or variance below threshold	£25k under the forecasted figure; this is mainly due to training and the timing of recruitment invoices. The training department is focussing more on e-learning design and delivery which will reduce cost in the long term.
Human Resources Partners	284,875	284,368	(507)	(0.2)	On Target or variance below threshold	On Target or variance below threshold
IT Department	1,801,742	1,808,933	7,191	0.4	On Target or variance below threshold	On Target or variance below threshold

Department	Movement YTD	M9 Forecast YTD	Forecast Variance	Forecast Var %	Variations on Payroll	Variations on Non-payroll
Major Projects	1,476,848	1,619,592	142,744	8.8	£36k over the forecasted figure. This is mainly due to delays in incurring costs for the social workers transfer project in December 18; this timing change was not included in the 9 months forecast.	£180k under the forecasted figure. This is mainly due to the change of the transfer over date from 1st of October to 1st of December; some of the work forecasted for the final quarter of 18/19 will now be delivered in the new financial year. Also, some resource costs have been coming in lower than originally estimated.
Project (Managers)	240,844	241,739	895	0.4	On Target or variance below threshold	On Target or variance below threshold
Policy	187,472	196,481	9,009	4.6	On Target or variance below threshold	On Target or variance below threshold
Quality Assurance	475,234	487,580	12,346	2.5	On Target or variance below threshold	On Target or variance below threshold
Registration	2,731,827	2,747,063	15,236	0.6	On Target or variance below threshold	On Target or variance below threshold
Secretariat	152,907	152,918	11	0.0	On Target or variance below threshold	On Target or variance below threshold
Depreciation	690,953	690,395	(557)	(0.1)		On Target or variance below threshold

Department	Movement YTD	M9 Forecast YTD	Forecast Variance	Forecast Var %	Variances on Payroll	Variances on Non-payroll
PSA levy	924,000	924,000	0	0.0		On Target or variance below threshold
Apprenticeship levy	30,129	31,220	1,091	3.5		On Target or variance below threshold
Total expenditure	28,879,312	29,047,110	167,799	0.6		

Income and Expenditure

31 January 2019

	Period 10	Year to date				Full Year Forecast (M9)	Full Year Budget
	Actual	Actual	M9 Forecast YTD	Variance v YTD Forecast	Variance v YTD Forecast %		
Income by Activity							
Graduate Registration Fees	150,698	1,477,011	1,472,643	4,368	0	1,762,617	1,804,823
Readmission Fees	58,590	260,145	282,569	(22,424)	(8)	296,769	231,901
Renewal Fees	2,465,431	24,480,682	24,545,245	(64,564)	(0)	29,616,333	29,851,092
International Scrutiny Fees	199,980	1,357,290	1,334,477	22,813	2	1,617,384	1,642,420
UK Scrutiny Fees	44,471	1,004,665	1,011,596	(6,931)	(1)	1,118,143	978,888
Registration Income	2,919,170	28,579,793	28,646,531	(66,738)	(0)	34,411,246	34,509,123
Other Income	4,550	78,339	76,289	2,050	3	81,289	0
Rental Income GCC	14,583	101,132	101,132	0	0	130,299	131,250
Total Income	2,938,304	28,759,264	28,823,952	(64,688)	(0)	34,622,834	34,640,373
Chair	2,356	49,738	51,682	1,944	4	61,912	98,360
Chief Executive	65,066	661,828	666,169	4,341	1	803,881	731,838
Council & Committee	11,191	239,356	251,591	12,235	5	296,851	234,546
Communications	48,832	699,744	702,765	3,021	0	857,850	941,571
Education	72,770	796,796	801,660	4,864	1	982,845	1,025,420
Office Services	213,308	2,530,313	2,591,984	61,671	2	3,158,052	2,903,029
Finance	51,246	588,445	589,155	710	0	722,578	719,889
Fitness to Practise	1,517,943	13,539,052	13,386,465	(152,587)	(1)	16,099,941	15,217,197
Human Resources	79,762	777,210	821,350	44,140	5	1,170,895	1,324,558
Human Resources Partners	24,288	284,875	284,368	(507)	(0)	351,319	466,294
IT Department	206,430	1,801,742	1,808,933	7,191	0	2,299,300	2,412,649
Major Projects	63,179	1,476,848	1,619,592	142,744	9	2,049,167	1,459,682
Project managers	30,199	240,844	241,739	895	0	303,927	566,658
Policy	19,426	187,472	196,481	9,009	5	341,135	367,953
Quality Assurance	51,002	475,234	487,580	12,346	3	615,287	680,052
Registration	248,899	2,731,827	2,747,063	15,236	1	3,376,951	3,411,904
Secretariat	11,817	152,907	152,918	11	0	177,125	203,681
Depreciation	75,469	690,953	690,395	(557)	(0)	840,225	995,747
PSA Levy	0	924,000	924,000	0	0	924,000	924,000
Apprenticeship Levy	2,909	30,129	31,220	1,091	3	39,220	50,810
Operating expenditure	2,796,092	28,879,312	29,047,110	167,799	0.6	35,472,461	34,735,837
Operating surplus/(deficit)	142,212	(120,047)	(223,158)	103,111		(849,628)	(95,464)
Other expenditure							
Projects Capital items Write off	0			0		182,743	0
	0	0	0	0		182,743	0
Other income							
Investment Income	10,154	97,697	96,579	1,118	1	114,651	0
Grant Income	143,620	380,085	380,085	0	0	961,734	0
	153,774	477,782	476,664	1,118		1,076,385	0
Total surplus/(deficit)	295,986	357,734	253,505	104,229		44,014	(95,464)

Payroll costs

31 January 2019

	Period 10	Year to date				9+3 Forecast	
	Actual	Actual	M9 Forecast	Variance	Variance %	Full Year Forecast	Full Year Budget
Chief Executive	62,964	594,229	594,750	521	0.1	721,722	659,798
Communications	37,913	474,752	472,140	(2,612)	(0.6)	562,243	533,416
Education	51,577	561,781	567,544	5,763	1.0	682,226	731,704
Office Services	25,879	293,891	299,493	5,602	1.9	373,470	338,237
Finance	39,739	378,574	377,833	(741)	(0.2)	473,426	494,919
Fitness to Practise	483,067	4,372,990	4,325,883	(47,107)	(1.1)	5,180,956	4,724,761
Human Resources	43,933	515,571	534,311	18,740	3.5	664,767	750,378
Human Resources Partners	12,701	127,259	127,293	34	0.0	152,763	157,022
IT Department	54,659	633,938	644,154	10,216	1.6	786,418	815,936
Major Projects	60,494	744,563	708,402	(36,161)	(5.1)	848,324	303,411
Project (Managers)	29,380	239,834	241,237	1,403	0.6	302,805	555,618
Policy	15,441	135,590	142,833	7,243	5.1	188,202	235,537
Quality Assurance	46,667	421,669	426,122	4,453	1.0	528,362	602,522
Registration	155,805	1,684,421	1,687,316	2,895	0.2	2,047,056	2,053,088
Secretariat	10,488	125,245	125,245	0	0.0	146,221	179,385
Payroll costs	1,130,707	11,304,305	11,274,556	(29,749)	(0.3)	13,658,962	13,135,730

Non-payroll costs

31 January 2019

	Period 10	Year to date				Full year	
	Actual	Actual	M9 Forecast	Variance	Variance %	Full Year Forecast (M9)	Full Year Budget
Chair	2,356	49,738	51,682	1,944	3.8	61,912	98,360
Chief Executive	2,101	67,600	71,419	3,819	5.3	82,158	72,040
Council & Committee	11,191	239,356	251,591	12,235	4.9	296,851	234,546
Communications	10,919	224,993	230,625	5,632	2.4	295,607	408,155
Education	21,193	235,015	234,116	(899)	(0.4)	300,619	293,716
Office Services	187,429	2,236,421	2,292,491	56,070	2.4	2,784,583	2,564,792
Finance	11,507	209,871	211,322	1,451	0.7	249,152	224,970
Fitness to Practise	1,034,876	9,166,062	9,060,582	(105,480)	(1.2)	10,918,985	10,492,436
Human Resources	35,830	261,639	287,039	25,400	8.8	506,128	574,180
Human Resources Partners	11,587	157,616	157,075	(541)	(0.3)	198,557	309,272
IT Department	151,771	1,167,804	1,164,779	(3,025)	(0.3)	1,512,881	1,596,713
Major Projects	2,685	732,284	911,190	178,905	19.6	1,200,844	1,156,271
Project (Managers)	819	1,011	502	(509)	(101.3)	1,122	11,040
Policy	3,985	51,883	53,648	1,765	3.3	152,932	132,416
Quality Assurance	4,335	53,565	61,458	7,893	12.8	86,925	77,530
Registration	93,094	1,047,406	1,059,747	12,341	1.2	1,329,895	1,358,816
Secretariat	1,329	27,662	27,673	11	0.0	30,903	24,296
PSA Levy		924,000	924,000	0	0.0	924,000	924,000
Apprenticeship Levy	2,909	30,129	31,220	1,091	3.5	39,220	50,810
Non-payroll costs	1,589,915	16,884,054	17,082,159	198,105	1.2	20,973,274	20,604,360

Statement of Financial Position

31 January 2019

	Actual Period 10	Month 9 Forecast YTD	Budget 31 March 2019	Month 9 Forecast Full Year	Actual 31 March 2018 Full Year
Non-current assets					
Land & buildings, at cost or valuation	5,517,121	5,515,921	5,605,000	5,515,921	4,975,000
Land & buildings depreciation	(41,459)	(41,460)	(48,620)	(49,752)	0
	5,475,663	5,474,462	5,556,380	5,466,170	4,975,000
Computer equipment, at cost	505,527	524,694	592,287	563,027	485,059
Computer equipment depreciation	(428,277)	(428,311)	(452,974)	(435,491)	(413,244)
	77,250	96,383	139,313	127,536	71,814
Office furniture and equipment, at cost	1,182,330	1,182,330	1,183,115	1,182,330	1,183,115
Office equipment depreciation	(716,642)	(716,639)	(750,421)	(744,287)	(586,033)
	465,688	465,691	432,694	438,043	597,082
Intangible assets	8,139,995	8,121,972	9,628,492	8,145,422	7,525,603
Intangible depreciation	(6,410,969)	(6,410,382)	(6,699,352)	(6,480,542)	(5,956,342)
	1,729,025	1,711,589	2,929,141	1,664,880	1,569,261
Total non-current assets	7,747,627	7,748,125	9,057,528	7,696,628	7,213,157
Current assets					
Other current assets	1,034,300	1,000,987	2,125,603	1,878,132	2,107,123
Cash & cash equivalents	15,789,461	15,420,937	15,600,889	18,197,701	18,892,070
	16,823,761	16,421,924	17,726,492	20,075,833	20,999,194
Total assets	24,571,389	24,170,048	26,784,019	27,772,461	28,212,351
Current liabilities					
Trade and other payables	126,304	216,764	818,360	216,764	818,360
Other liabilities	1,812,752	1,630,445	2,354,952	1,630,445	2,354,952
Deferred income	18,549,470	18,344,206	19,923,936	22,156,109	21,256,802
Total current liabilities	20,488,525	20,191,415	23,097,248	24,003,318	24,430,115
Liabilities greater than one year	163,052	163,052	220,159	163,052	220,159
Total assets less liabilities	3,919,811	3,815,582	3,466,613	3,606,092	3,562,078
General fund b/fwd	(3,539,747)	(3,539,747)	(3,539,747)	(3,539,747)	(4,155,121)
Rev Res - Land & Building	(22,330)	(22,330)	(22,330)	(22,330)	(22,330)
This periods (surplus)/deficit	(357,734)	(253,505)	95,464	(44,014)	615,374
General fund c/fwd	(3,919,811)	(3,815,582)	(3,466,613)	(3,606,092)	(3,562,078)

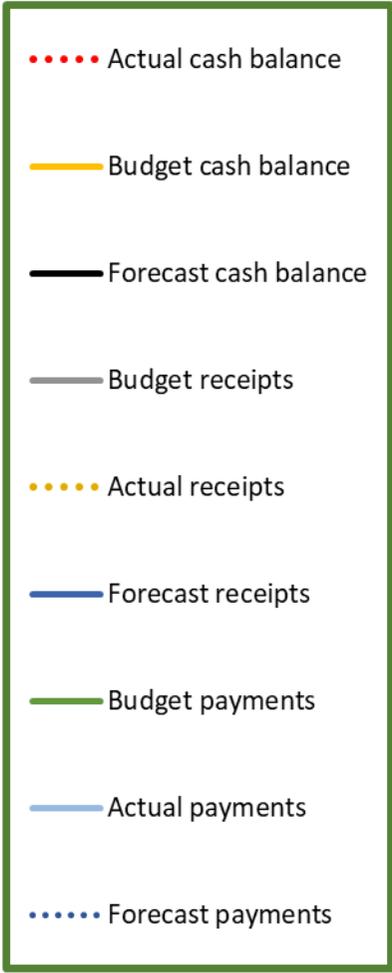
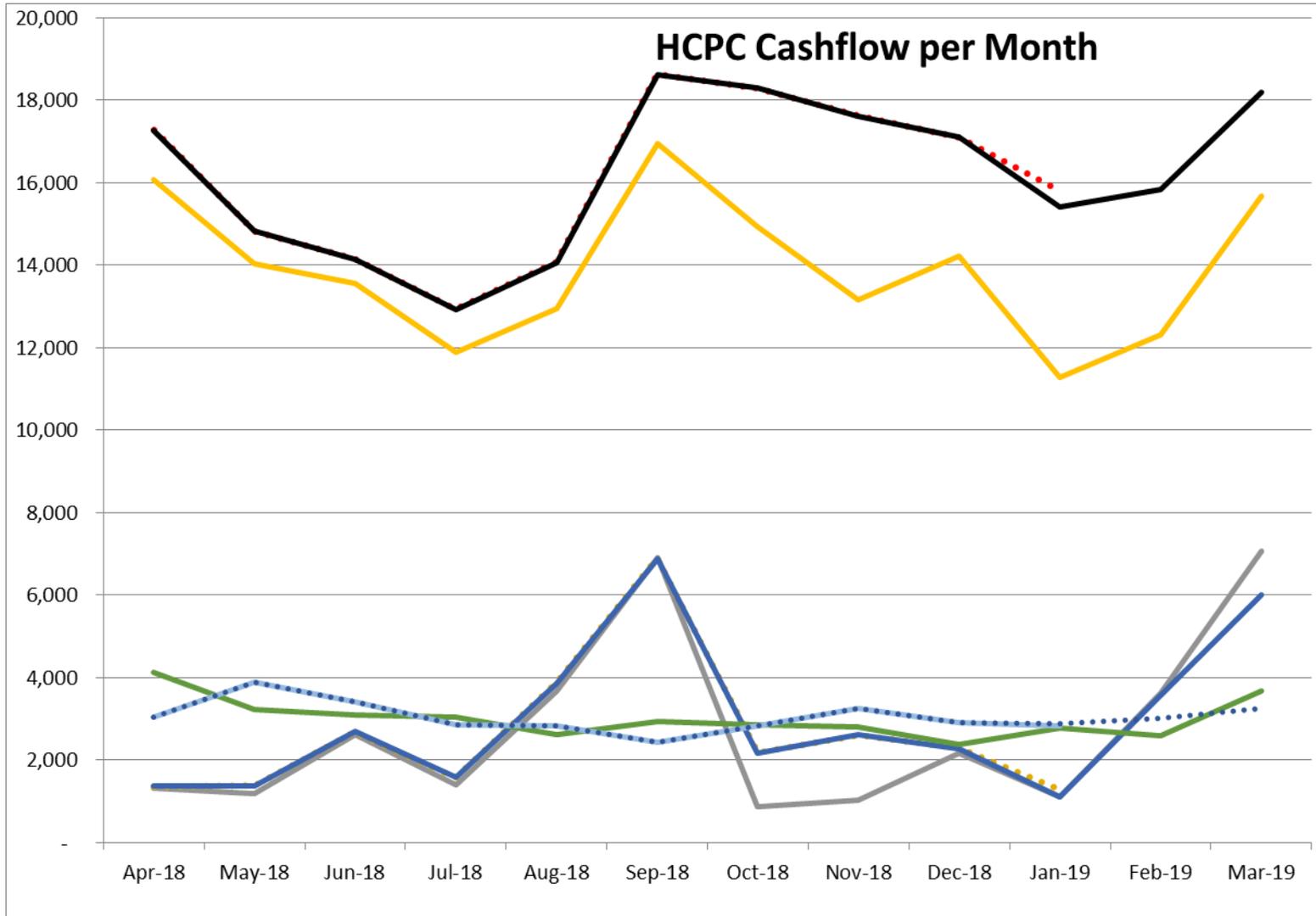
Projects

	Opex			Capex			Opex & Capex			Opex	Capex	Opex	Capex
	Actual	Reforecast	Variance	Actual	Reforecast	Variance	Actual	Reforecast	Variance	Budget	Budget	Reforecast	Reforecast
	YTD £	2018/19 YTD £	£	YTD £	2018/19 YTD £	£	YTD £	2018/19 YTD £	£	2018/19 Full Year £	2018/19 Full Year £	2018/19 Full Year £	2018/19 Full Year £
Reg Transformation and Improvement	6,684	6,684	0	7,704	(456)	(8,160)	14,388	6,228	(8,160)	348,000	882,000	17,602	32,184
HCPC website review and build	72,432	77,626	5,194	255,486	255,486	(0)	327,919	333,112	5,193	104,151	347,583	77,626	255,486
186 Kennington Park Road renovation	627,966	627,966	0	542,122	540,922	(1,200)	1,170,087	1,168,888	(1,199)	420,000	630,000	627,966	540,922
FTP CMS Review	0	0	0	0	0	0	0	0	0	181,500	275,400	7,500	22,200
FTP Improvement project	178,316	178,316	(0)	0	0	0	178,316	178,316	(0)	195,000	0	188,400	0
CPD Online Migraton	104,323	108,832	4,509	148,966	140,326	(8,640)	253,288	249,158	(4,130)	108,155	210,654	111,832	182,966
Education Changes 17/18	0	0	0	0	0	0	0	0	0	2,520	169,084	750	0
Netreg refresh	16,068	18,729	2,661	14,410	14,410	0	30,478	33,139	2,661	20,306	48,119	34,577	14,410
Fee review	0	0	0	0	0	0	0	0	0	2,500	5,750	2,500	5,000
Sage & WAP replacement	0	0	0	0	0	0	0	0	0	76,550	138,000	0	0
Education Changes 18/19			0		11,100	11,100			0	0	0	750	132,185
Registration Analysis	5,541	4,731	(810)	161,263	161,263	(0)	166,804	165,994	(810)	0	0	6,731	163,710
HR system upgrade	10,200	11,200	1,000	10,800	10,800	0	21,000	22,000	1,000	1,000	22,850	11,200	12,960
	1,021,530	1,034,084	12,554	1,140,751	1,133,850	(6,900)	2,162,280	2,156,835	(5,445)	1,459,682	2,729,440	1,087,433	1,362,022
Regulation of Social workers	454,669	585,508	130,839	0	0	0	454,669	585,508	130,839	0	0	961,734	
	1,476,198	1,619,592	143,394	1,140,751	1,133,850	(6,900)	2,616,949	2,742,343	125,394	1,459,682	2,729,440	2,049,167	1,362,022

Cash flow statement

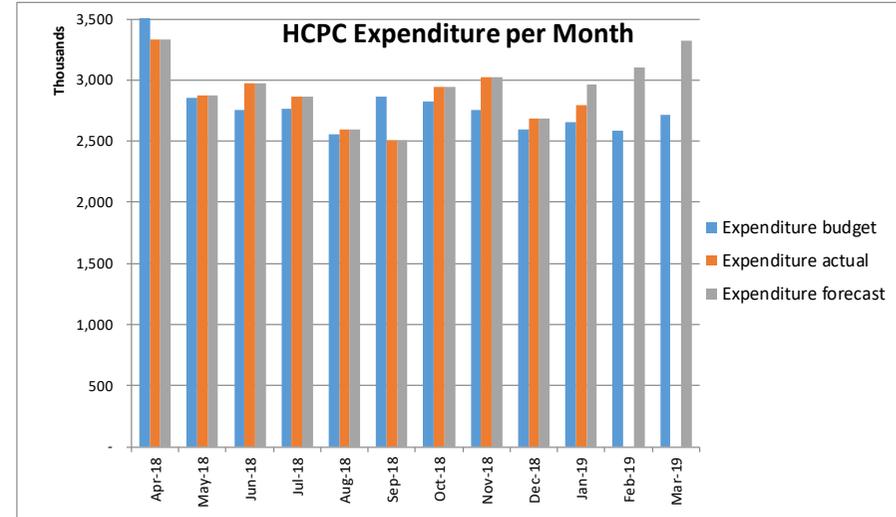
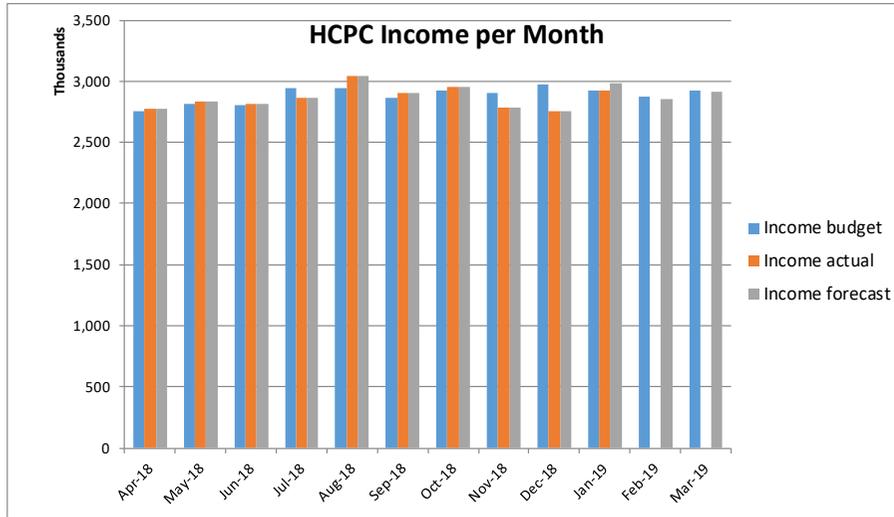
From 1 April 2018

	Year to date actual £	Year to date M9 forecast £	Full year budget £	Full year M9 Forecast £
Operating surplus/(deficit)	(120,047)	(223,158)	(95,464)	(849,627)
Add: Corporation tax	0			
Less: Depreciation	690,953	690,395	995,747	840,225
Grant received from Department of Education	380,085	380,085		961,734
Decrease/(increase) in debtors & prepayments	1,072,823	1,106,136	(18,480)	228,991
Increase/(decrease) in creditors	(1,291,365)	(1,383,210)	0	(1,383,210)
(Decrease)/increase in deferred income	(2,707,333)	(2,912,596)	(1,332,867)	899,306
Net cash in/(out)flow from operating activities	(1,974,884)	(2,342,348)	(451,064)	697,420
Return on investments and servicing of finance				
Investment Income	97,697	96,579	0	114,651
Capital expenditure and financial investments				
Purchase of fixed assets	(1,225,422)	(1,225,366)	(2,840,118)	(1,506,443)
Increase/(decrease) in cash	(3,102,609)	(3,471,133)	(3,291,182)	(694,369)
Cash at beginning of period	18,892,070	18,892,070	18,892,070	18,892,070
Cash at end of period	15,789,461	15,420,937	15,600,889	18,197,701
Cash movement	(3,102,609)	(3,471,133)	(3,291,182)	(694,369)

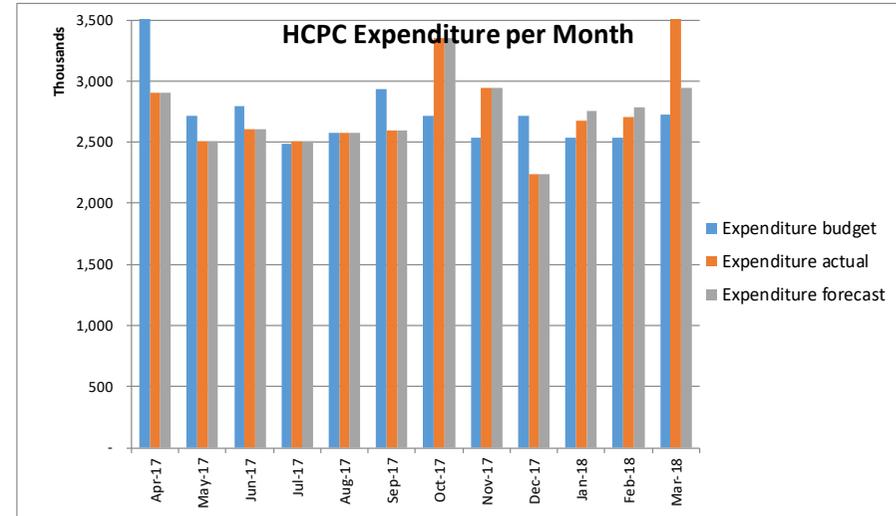
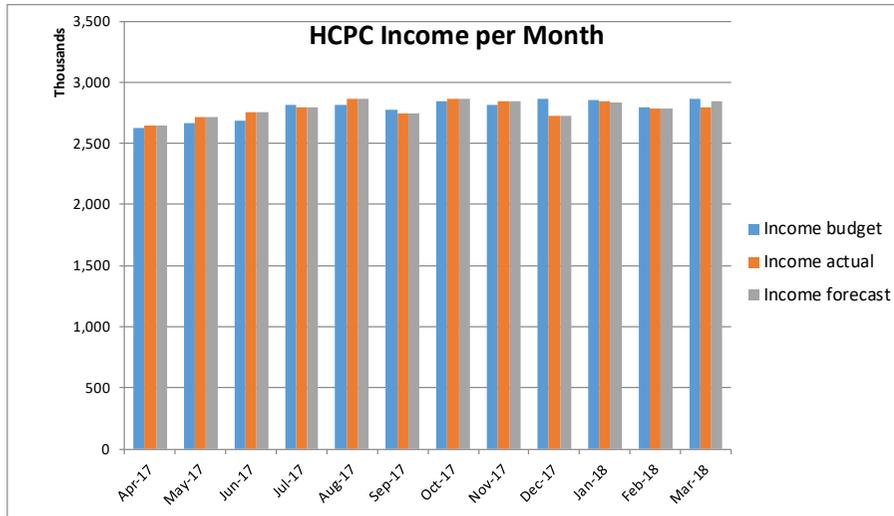


Graphs - Income and expenditure

2018-19

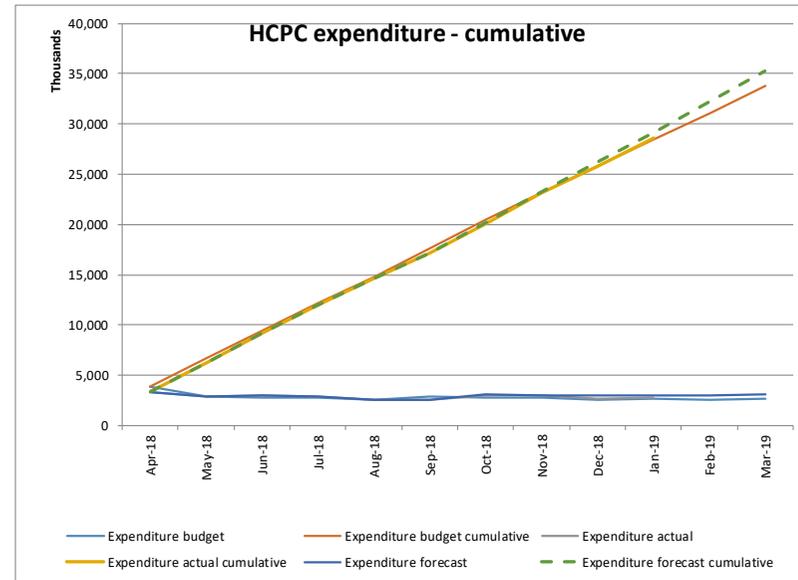
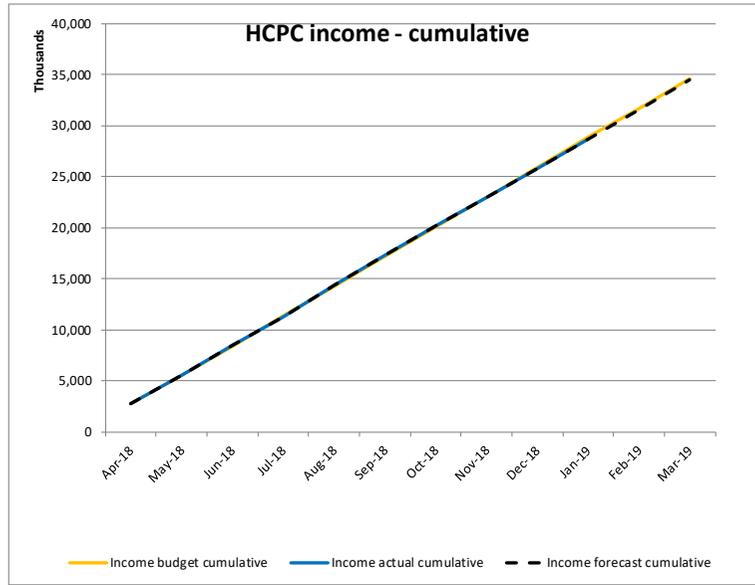


2017-18

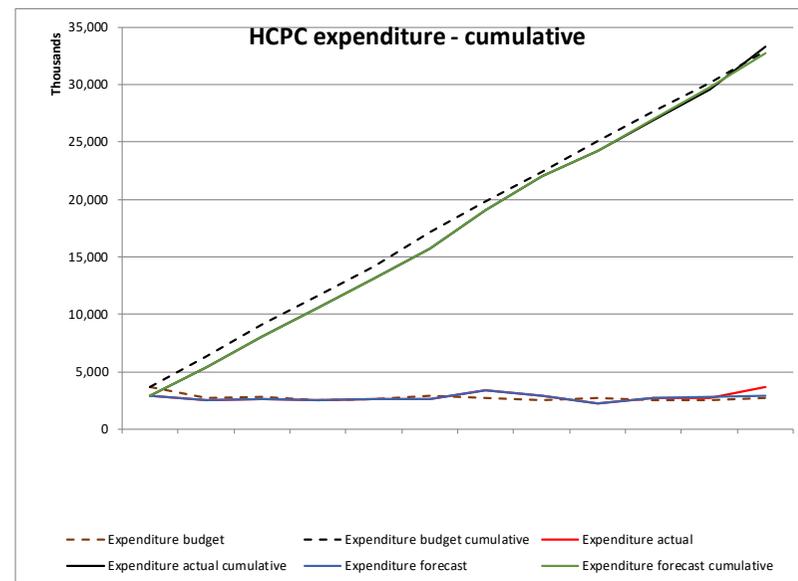
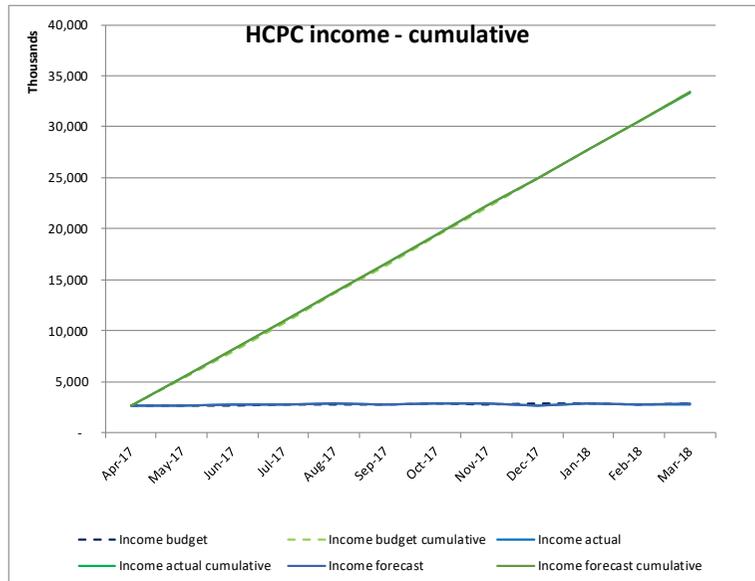


Graphs - Cumulative income and expenditure

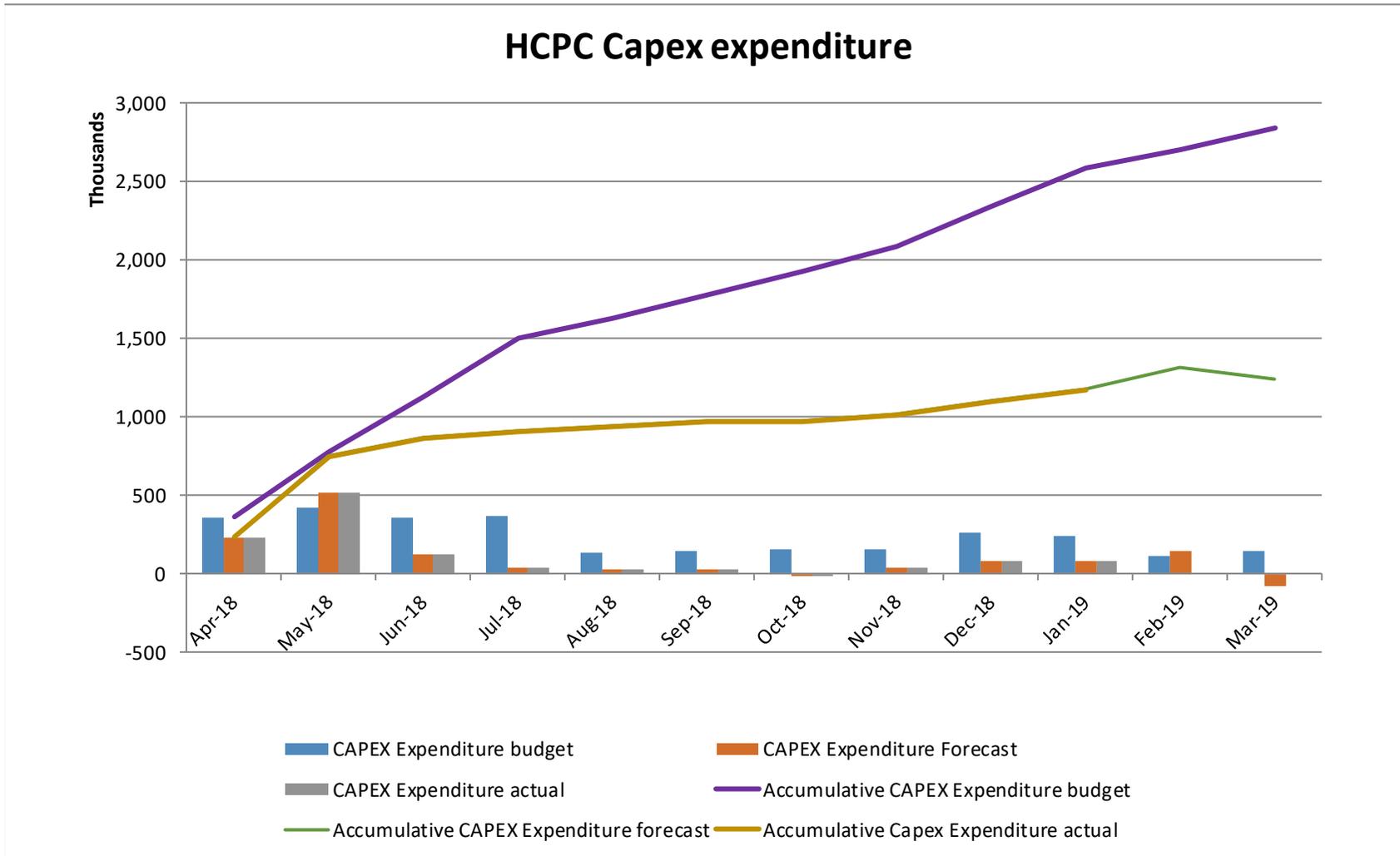
2018-19



2017-18



Graphs - Capital expenditure



Council meeting, 20 March 2019

Department reports

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Education

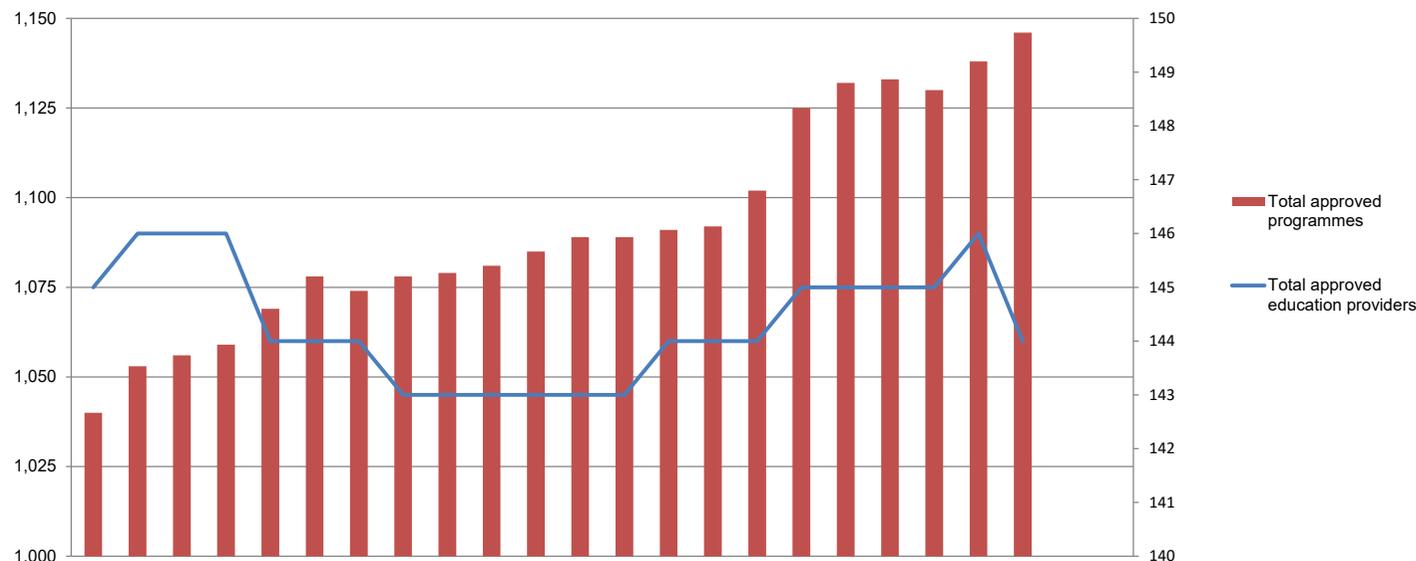
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Education Department – Overview

- **Approvals:** In this financial year we have approved 57 new programmes to date, and 1 new education provider. This indicates a significant appetite for new programme delivery across the sector. We are scheduled to complete 74 approval visits by the end of the financial year, which is slightly less than the budget reforecast of 87. To date, we have cancelled 12 approval visits.
- **Annual monitoring:** We have commenced assessments of audits over this period, which includes visitors working electronically to make their judgements. For the first time, audits include more evidence to demonstrate how practice environments are quality assured, and how service user and carer involvement is being developed. We are also assessing the revised education standards for the first time. We have carried out extensive communication activities to support education providers, including the provision of case study audits to help guide the submission of a complete audit.
- **Podiatric surgery:** Following the previous update to Council, the two programmes being assessed are due to meet conditions outstanding over the next 3-4 months. This will include a further site visit to discuss outstanding issues. Should approval be granted, we are well positioned across the organisation to go live with the annotation later this year.
- **Threshold qualification for paramedics:** All education providers delivering programmes below the revised degree threshold have now confirmed closure of their programmes in time for the deadline set of 1 September 2021.
- **Higher and degree apprenticeships –** We have carried out a [review of our work to approve apprenticeship programmes](#), which was considered by the Education and Training Committee in March. The review suggests our approach is appropriate, and the outcomes reached ensure these programmes meet regulatory standards for education delivery.
- **Review of approval process –** The outputs from our review were formally considered by the Education and Training Committee in March and the recommendation made was approved. The improvements will seek to support education providers early on in the process, and identify significant issues more clearly prior to the visit. We will also transition to an entirely electronic approval process as part of this work. We will implement changes during the 2019-20 financial year.

Number of approved programmes, by profession April 2017 - March 2019

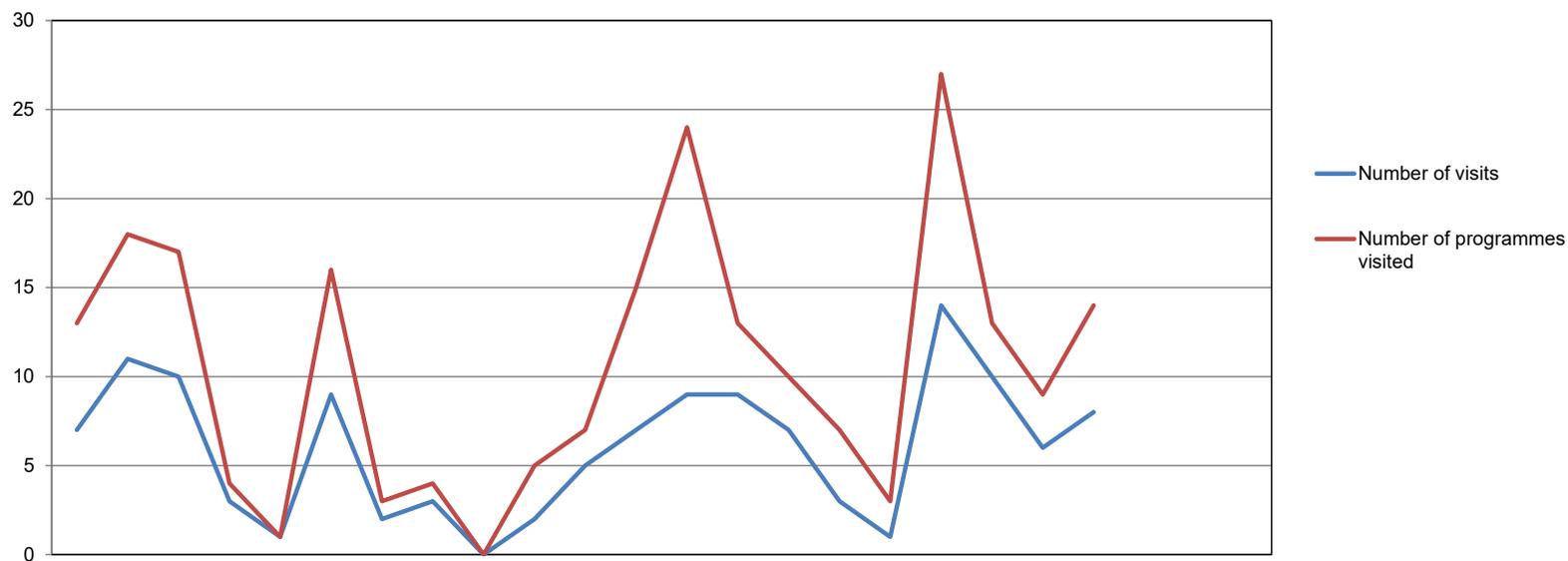


Profession/entitlement	2017			2018												2019								
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Arts therapists	28	28	28	28	28	28	28	28	28	28	28	28	28	29	29	31	31	31	31	31	31	31	31	31
Biomedical scientists	60	60	60	60	64	64	64	64	64	64	64	64	64	64	64	64	67	71	71	71	71	71	71	71
Chiropodists/ Podiatrists	17	17	17	18	18	19	19	19	19	19	19	19	19	19	19	19	19	19	19	18	18	18	18	18
Clinical scientists	3	3	3	3	3	3	3	3	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Dietitians	32	32	32	32	33	33	33	34	34	35	35	35	35	35	35	36	39	39	39	39	39	39	40	40
Hearing aid dispensers	18	18	18	18	18	18	18	19	18	18	18	18	18	18	18	18	20	20	20	20	20	19	19	19
Occupational therapists	68	72	72	72	72	71	71	71	72	73	73	73	73	73	73	73	75	75	75	75	80	81	81	81
Operating Department Practitioners	34	33	33	34	36	36	36	37	37	37	37	37	37	37	37	39	39	39	38	39	42	42	42	42
Orthoptists	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	4	6	6	6	6	6	6	6	6
Paramedics	73	74	75	75	76	74	74	74	72	75	75	76	76	77	77	76	79	79	79	78	75	74	74	74
Physiotherapists	72	76	76	76	75	75	75	77	78	78	78	78	78	79	79	80	83	85	86	87	89	90	90	90
Practitioner psychologists	102	106	104	104	104	108	107	103	103	105	109	109	109	109	109	114	114	114	114	114	114	115	115	115
Prosthetists/Orthotists	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
Radiographers	54	54	54	55	57	57	57	58	58	58	58	58	58	58	56	56	56	57	57	57	57	57	57	57
Social workers in England	252	252	254	254	251	252	251	254	255	253	251	253	253	253	253	254	255	255	256	258	260	260	260	260
Speech and language therapists	34	35	35	35	36	39	39	40	40	40	40	42	42	45	45	44	45	46	46	46	46	46	46	46
Prescription only medicine - administration	4	4	4	4	4	5	5	4	4	4	4	4	4	3	3	2	2	2	2	2	2	2	2	2
Prescription only medicine - sale / supply (CH)	6	6	6	6	6	7	6	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
Prescription only medicine - sale / supply (OR)																1	4	4	4	4	4	4	4	4
Supplementary prescribing	51	51	50	50	50	50	50	50	50	49	49	49	49	49	49	49	49	49	49	49	49	49	49	49
Independent prescribing	95	95	95	95	98	98	98	98	98	96	98	97	96	96	97	98	97	97	97	97	98	98	98	98
Approved mental health professionals	32	32	33	33	33	34	33	33	33	33	33	33	33	33	33	32	31	31	31	29	30	30	30	30
Podiatric surgery			2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
Total approved programmes	1,040	1,053	1,056	1,059	1,069	1,078	1,074	1,078	1,079	1,081	1,085	1,089	1,089	1,091	1,092	1,102	1,125	1,132	1,133	1,130	1,138	1,146	1,146	
Total approved education providers	145	146	146	146	144	144	144	143	143	143	143	143	143	144	144	144	145	145	145	145	146	144	144	

2016/17	2017/18	2018/19
FYE	FYE	YTD
28	28	31
60	64	71
17	19	18
3	4	4
32	35	40
18	18	19
68	73	81
34	37	42
3	3	6
73	76	74
71	78	90
102	109	115
2	2	2
54	58	57
252	253	260
34	42	46
4	4	2
6	5	5
		4
51	49	49
95	97	98
32	33	30
	2	2
1,039	1,089	1,146
145	143	144

CH = Chiropodists / podiatrists
OR = Orthoptists

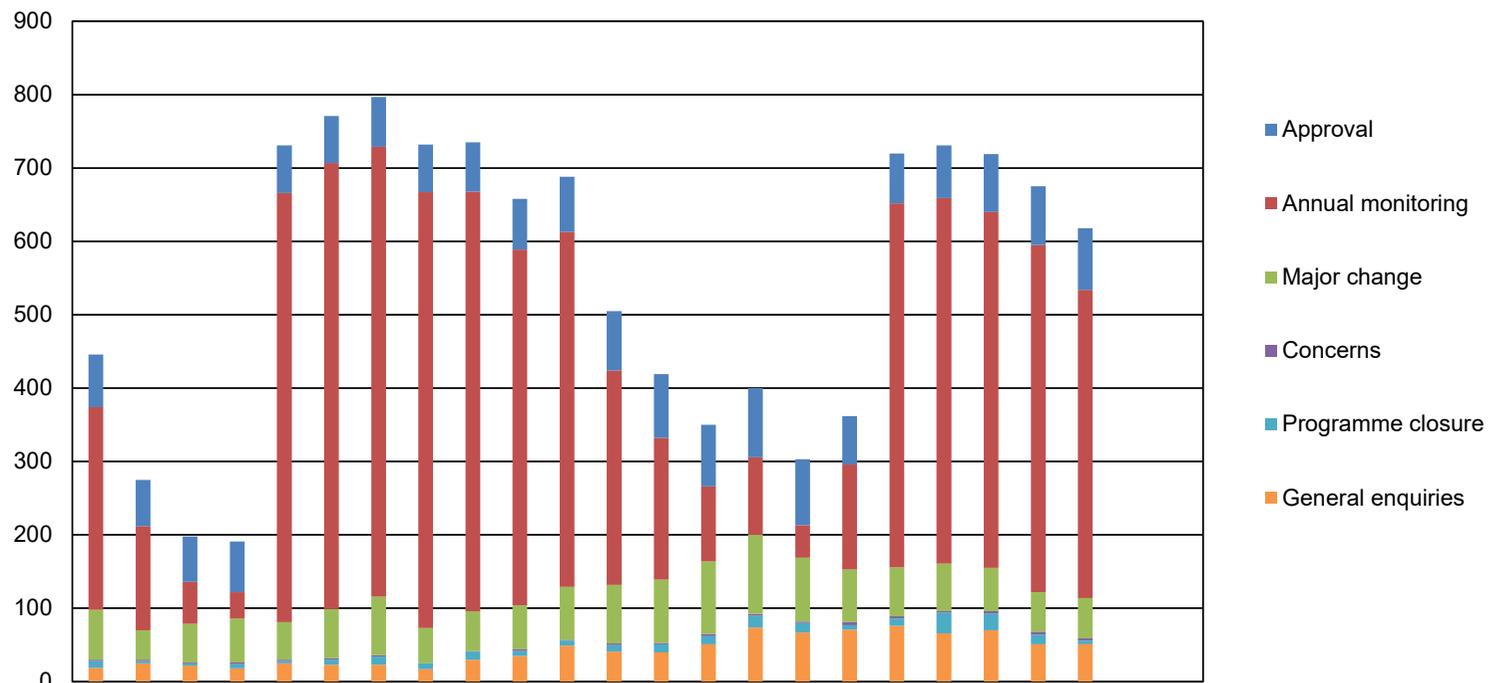
Overview of approval visits April 2017 - March 2019



Overview of approval visits	2017			2018									2019											
	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	7	11	10	3	1	9	2	3	0	2	5	7	9	9	7	3	1	14	10	6	3	8		
Number of programmes visited	13	18	17	4	1	16	3	4	0	5	7	15	24	13	10	7	3	27	13	9	4	14		

2016/17	2017/18	2018-19
FYE	FYE	YTD
44	60	70
78	103	124

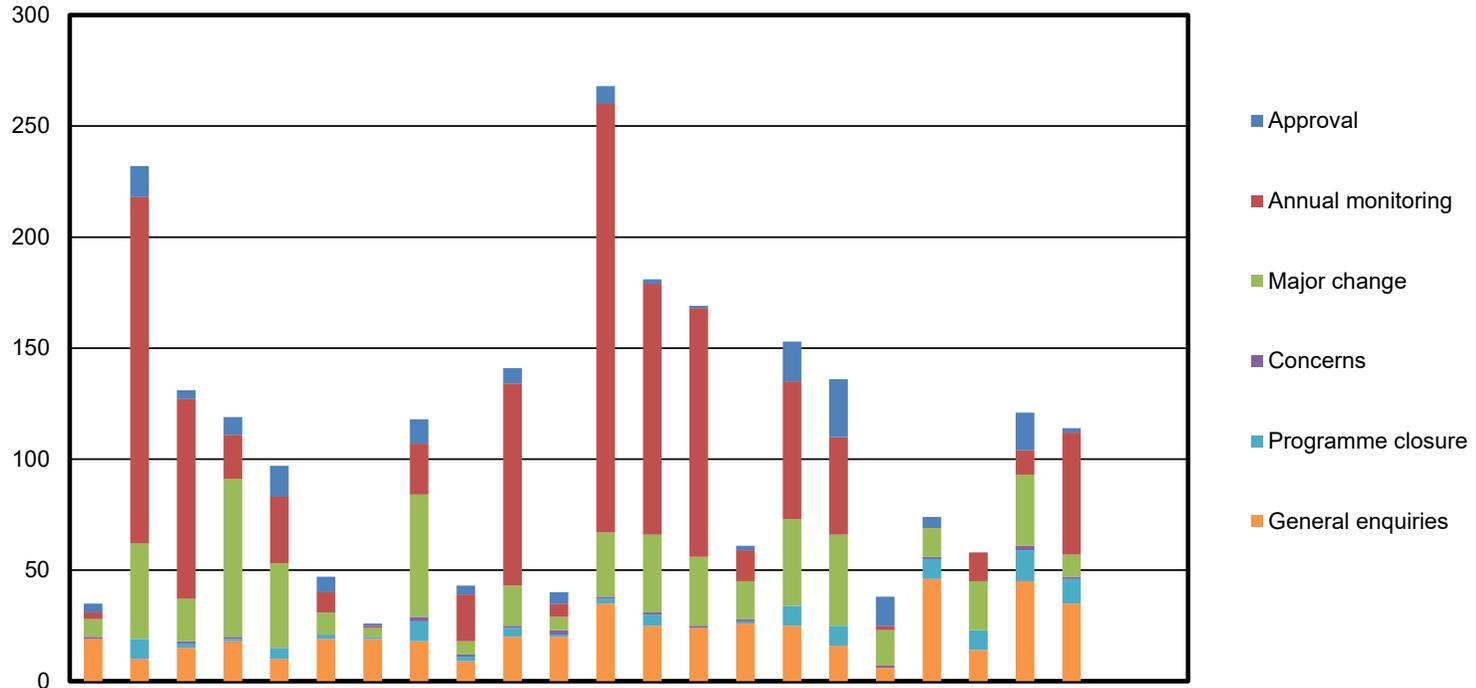
Overview of workload, Number of active cases, April 2017 - March 2019



Work area	2017			2018												2019								
	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	72	63	62	69	65	64	68	65	67	69	75	81	87	84	94	90	66	68	72	79	80	84		
Annual monitoring	276	142	57	36	585	608	613	594	572	485	484	292	193	102	106	44	143	496	498	485	473	420		
Major change	68	40	53	60	51	67	80	48	54	60	72	80	86	99	108	87	72	67	65	59	54	55		
Concerns	2	2	1	2	2	2	2	0	1	2	1	2	2	3	2	2	4	3	2	3	4	3		
Programme closure	9	3	3	6	3	7	11	8	11	7	7	9	11	11	16	13	6	10	28	23	13	5		
General enquiries	19	25	22	18	25	23	23	17	30	35	49	41	40	51	74	67	71	76	66	70	51	51		
Total	446	275	198	191	731	771	797	732	735	658	688	505	419	350	400	303	362	720	731	719	675	618		

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

Overview of workload, Number of resolved cases, April 2017 - March 2019



Work area	2017			2018												2019								
	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	4	14	4	8	14	7	1	11	4	7	5	8	2	1	2	18	26	13	5	0	17	2		
Annual monitoring	3	156	90	20	30	9	1	23	21	91	6	193	113	112	14	62	44	2	0	13	11	55		
Major change	8	43	19	71	38	10	4	55	6	18	6	29	35	31	17	39	41	16	13	22	32	10		
Concerns	1	0	1	1	0	0	0	2	1	1	2	1	1	1	1	0	0	1	1	0	2	1		
Programme closure	0	9	2	1	5	2	1	9	2	4	1	2	5	0	1	9	9	0	9	9	14	11		
General enquiries	19	10	15	18	10	19	19	18	9	20	20	35	25	24	26	25	16	6	46	14	45	35		
Total	35	232	131	119	97	47	26	118	43	141	40	268	181	169	61	153	136	38	74	58	121	114		

2016/17	2017/18	2018/19
FYE	FYE	YTD
62	87	86
762	643	426
310	307	256
10	10	8
31	38	67
131	212	262
1,306	1,297	1,105

Fitness to Practise

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Fitness to Practise: overview

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

New and open cases

- The total new concerns received since the beginning of the reporting year was 2064 (to end January). This is 10% higher than the comparable period, and is higher than the forecast. New cases from all professions have increased, from an average of 186 per month in April 2018, to 200 per month in September, to 230 per month since October. The largest proportion of this increase relates to social workers. (See Table 1)
- The total open caseload was 2,355 in January. The total number of open pre-ICP cases (2,008) has increased slightly since the last performance report. Though we have closed more cases than opened new ones in four of the last five months. The rise in open caseload coincides with a new category of cases (Triage) which were not included in these statistics prior to the implementation of the Threshold Policy. (See Table 1)
- The total number of open post-ICP cases has stayed the same since the last performance report, with newer referrals from Investigating Committee taking the place of concluded hearings. This shows we are keeping pace with ICP activity and not generating an unprocessed wave of referrals to the post-ICP committees. Of the 303 open cases, 33% have a final hearing listed, 2% have a preliminary hearing listed, 36% are with scheduling and are being listed, and 31% 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 gone up to 72.4 weeks in January compared to 66.6 weeks in October (the corporate KPI is 33 weeks). The performance for the year to date is 54.9 weeks, but continues to fluctuate. This is a result of direct targeting of older cases, and driving the progression to the ICP. Of those concluding since the last performance report, 59% were older than 52 weeks from receipt (12 were older than 104 weeks and 2 older than 156 weeks). Concluding cases older than 52 weeks helps to address the key PSA measures in this respect. (See Table 2)
- The median length of time for cases to reach the final hearing once referred by the ICP was 42.1 weeks in January, compared to 53.3 weeks in October (the corporate KPI is 39 weeks). Year to date, the KPI performance is 51.4 weeks. This was a result of concluding older cases. 35% of cases concluded in the period since the performance report to Council were over 52 weeks old from the ICP decision (4 cases were older than 104 weeks, and 2 older than 156 weeks). The stability in this KPI shows that we continue to target the already old cases. This is likely to continue until Q2 of next year, after which, this KPI will be nearer to the target. (See Table 3)

- The median length of time to conclude cases at hearing from receipt was 90.1 weeks in January, compared to 102.6 weeks in October (the corporate KPI is 73 weeks). Across the year to date, the age at conclusion is broadly stable, at 103.1 weeks, partly due to the time accrued in the preICP stage. This is likely to continue to the middle of the next budget year, when it will reduce. As an illustration, the median age of 60% of the preICP cases is 4 months (down from 5 months at the last performance report in October), with the remainder being 10 months. (See Table 4)
- Interim order cases were progressed in a median time of 13.4 weeks from receipt in January. Year to date, the KPI is 15.5 weeks, meaning we continue to meet the KPI of 16 weeks. (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 meet these levels, meaning we are on track to deliver against PSA expectations after transfer of cases to Social Work England.
- In January we had 38 cases which were over 156 weeks, 151 cases which were over 104 weeks and 583 cases which were over 52 weeks. There has been some fluctuations in these numbers across the year, as we focus on different parts of the process, but the two oldest categories have not increased significantly, suggesting that we are keeping pace with conclusions of the oldest cases that are being advanced as a result of our improvement works. (See Table 6)
- The number of total open pre-ICP cases had reduced to 2008 in January. Out of this number 70% were received in the current budget year. 76% of the cases are younger than 52 weeks. 12 cases are older than 156 weeks, 61 cases are older than 104 weeks and 416 cases are older than 52 weeks. (See Table 2)
- The number of open post ICP cases continues to remain stable. The number of open post ICP case was 303 in January, unchanged since October. Out of this number the number of cases over 156 was 26 (8.5%), over 104 weeks was 87 (28%) and 158 (52%) over 52 weeks. All categories of cases are stable and within the expected tolerances. (See Table 3)

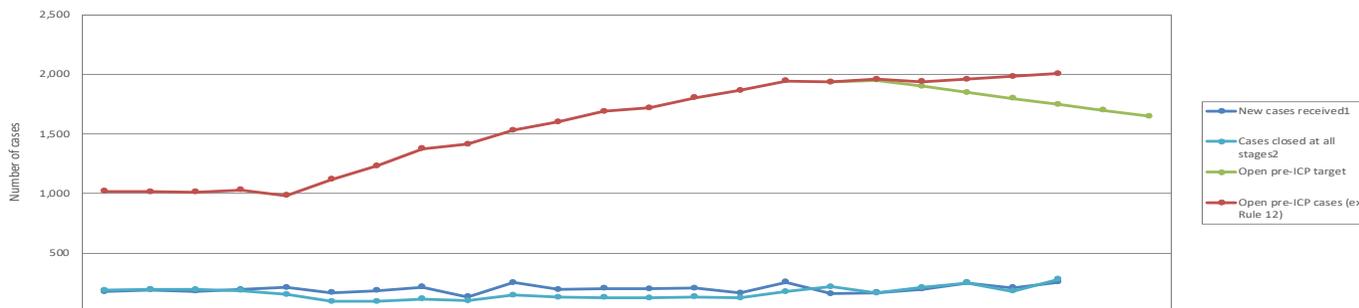
Challenges to Fitness to Practise Decisions

- There have been seven appeals against the decision of the Conduct and Competence Committee from registrants or PSA since April 2018. There is one new appeal since the last Council performance report. Only two of the seven appeals remain live; the remainder having been successfully defended. As such, 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 professions including Social Workers

Fitness to Practise Department



	2018												2019												17/18 Year End 17/18	18/19 Forecast					2018-19 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 received¹	175	192	179	194	212	167	185	214	133	254	195	202	199	205	165	256	158	168	197	250	209	257	2,302	2,239	2,311	2,370	2,064				
Rolling 12 month average New Cases	187	184	183	184	186	183	183	185	184	192	192	192	194	195	194	199	194	195	196	199	205	205	N/A	Not specifically forecast				205			
Cases closed at all stages²	189	193	194	184	152	93	94	114	101	147	130	126	123	133	125	176	218	164	211	251	179	280	1,717	2,123	2,127	2,861	1,860				
Cases open at all stages³	1,518	1,528	1,523	1,545	1,495	1,621	1,716	1,835	1,855	1,957	2,036	2,101	2,123	2,203	2,246	2,310	2,283	2,297	2,286	2,293	2,316	2,355	2,101	2,140	2,186	2,186	2,355				
Open pre-ICP cases (excl Rule 12)	1,018	1,016	1,014	1,031	984	1,118	1,232	1,375	1,414	1,533	1,601	1,690	1,721	1,804	1,867	1,946	1,937	1,960	1,939	1,959	1,984	2,008	1,690	1,663	1,732	1,886	2,008				
Average cases per Case Manager (PreICP excl Interim Order and Rule 12)	Not previously reported on												55	54	52	53	54	54	49	54	57	53	N/A	Not specifically forecast				53			
Number of Case Managers (PreICP excluding Rule 12 only)	Not previously reported on												16	17	17	18	18	20	22	24	22	48	N/A	Not specifically forecast				48			
Open Rule 12 cases	38	44	48	50	46	44	38	34	35	32	40	41	42	49	48	46	41	43	44	41	45	44	41	67	52	47	44				
Open post-ICP cases	462	468	461	464	465	459	446	426	406	392	395	370	360	350	331	318	305	294	303	293	287	303	370	477	454	300	303				
Open restoration cases	Not previously reported on												5	6	5	4	5	6	4	4	4	10	N/A	Not specifically forecast				10			
Cases closed pre-ICP (does not meet SOA)	132	147	139	144	106	90	51	67	71	111	97	79	91	97	83	135	164	113	164	188	137	38	1,234	1,590	1,626	1,606	1,210				
Cases closed pre-ICP (closed at Triage)	Not previously reported on in this way												Not previously reported on in this way										6	6							
Cases closed pre-ICP (does not meet Threshold)	Not previously reported on in this way												Not previously reported on in this way										182	182							
Cases Obs'ed	43	54	63	44	40	29	37	30	32	25	31	35	53	50	54	59	70	53	77	84	41	49	463	759	765	779	590				
Cases considered at ICP	65	56	52	61	55	47	35	27	24	31	49	40	34	34	23	41	48	52	64	60	46	80	542	705	673	643	482				
Cases closed at ICP (No Case to Answer)	15	9	12	14	11	3	8	1	5	5	8	9	4	10	8	13	22	24	19	24	15	24	239	160	152	244	163				
Cases concluded at ICP (Case to Answer)	47	41	34	41	39	40	19	23	18	22	33	26	28	22	13	21	19	22	40	27	25	50	600	474	448	322	267				
Cases considered but not concluded at ICP (Further Information)⁴	3	6	6	6	5	4	8	3	1	4	8	5	2	2	2	7	7	6	5	9	6	6	105	70	74	77	52				
% Case to Answer (out of cases concluded)	76	82	74	75	78	93	70	96	78	81	80	67	88	69	62	62	46	48	68	53	63	68	79	75	75	57	62				
Cases concluded at Final Hearing	42	37	43	28	35	39	34	45	35	31	25	38	28	26	34	28	32	27	28	39	27	30	432	438	402	428	299				
Concluded restoration cases	Not previously reported on												0	0	1	0	0	1	0	0	1	0	N/A	Not specifically forecast				3			
Cases in review cycle	247	231	234	237	231	226	230	243	247	245	245	245	232	225	224	220	215	217	208	201	197	200	245	249	223	214	200				
Balance between new cases and closed cases	-14	-1	-15	10	60	74	91	100	32	107	65	76	76	72	40	80	-60	4	-14	-1	30	-23	585	N/A	N/A	N/A	-23				

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: SOA not met, ICP no case to answer, and Cases concluded at FH.

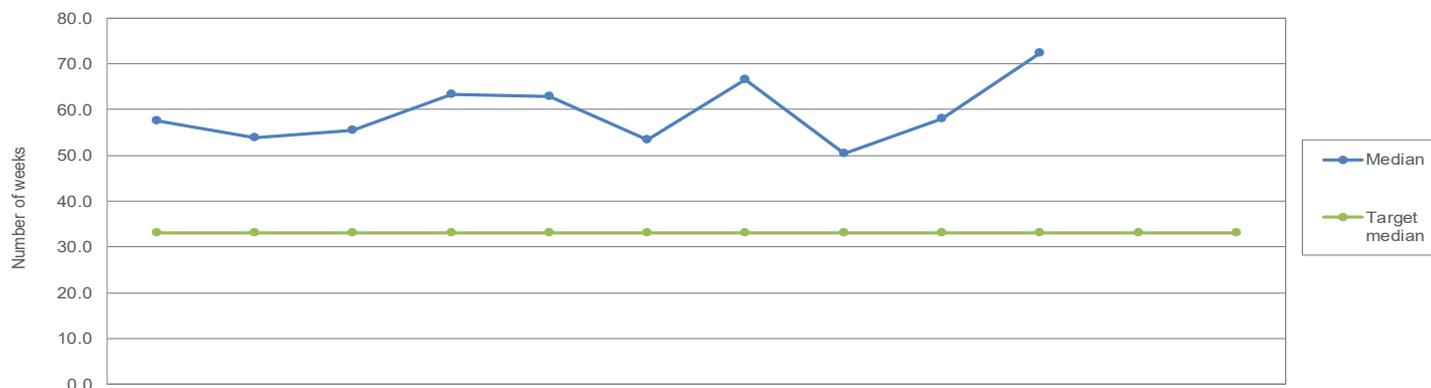
³ Includes Open pre-ICP, Open post-ICP, and open Rule 12 cases.

⁴ 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 (in weeks) - all professions including Social Workers

Fitness to Practise Department



FTP target: median of 33 weeks

Age Profile: number of concluded cases	2018									2019			2018-19 YTD
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
<=8 weeks	0	0	0	0	0	0	0	0	0	0			0
>8 and <=25 weeks	2	4	4	4	2	1	2	2	0	1			22
>25 and <=33 weeks	5	5	3	1	4	2	1	5	3	10			39
>33 and <=52 weeks	7	6	3	9	11	18	12	21	13	13			113
>52 and <=104 weeks	16	14	8	14	22	21	39	22	20	41			217
>104 and <=156 weeks	1	3	2	6	2	4	4	1	4	7			34
>156 weeks	1	0	1	0	0	0	1	0	0	2			5
TOTAL concluded cases¹	32	32	21	34	41	46	59	51	40	74			430
Mean	62.1	56.2	62	66	61	61	72	55	64	70			59
Median	57.5	53.9	55.6	63.4	62.9	53.4	66.6	50.3	58.1	72.4			54.9

Age Profile: number of open cases (pre-ICP including Rule 12)	2018									2019			2018-19 YTD
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
<=8 weeks	363	354	323	388	314	282	312	361	360	369			369
>8 and <=25 weeks	556	570	609	606	624	620	585	558	549	578			578
>25 and <=33 weeks	197	197	208	207	203	237	240	227	228	212			212
>33 and <=52 weeks	350	396	399	385	381	381	373	382	407	391			391
>52 and <=104 weeks	243	278	312	343	390	413	402	401	411	424			424
>104 and <=156 weeks	49	52	58	56	60	63	62	62	64	65			65
>156 weeks	5	6	6	7	6	8	9	9	10	13			13
TOTAL open cases	1,763	1,853	1,915	1,992	1,978	2,004	1,983	2,000	2,029	2,052			2,052

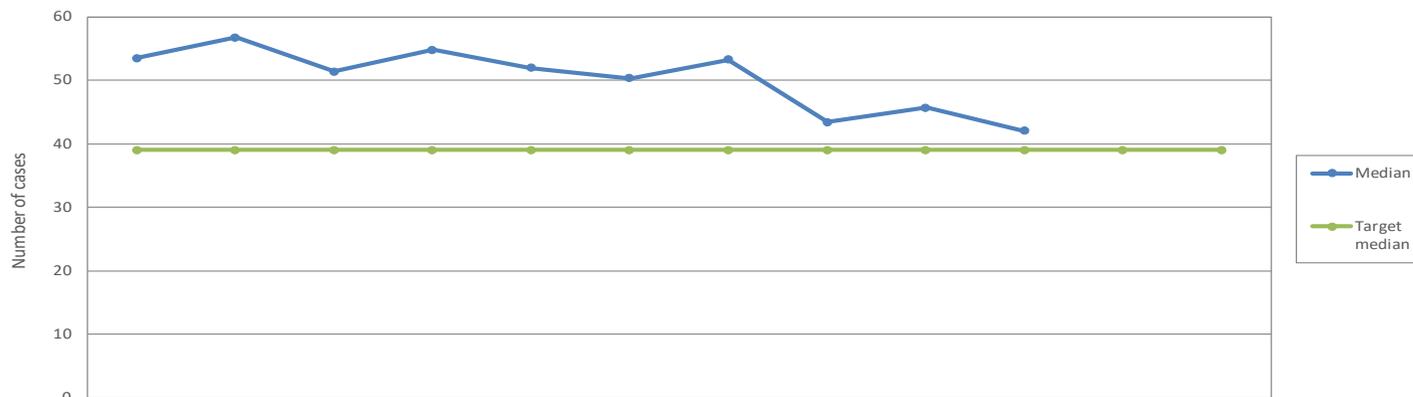
Balance between open cases and concluded cases	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	2018-19 YTD
	1,731	1,821	1,894	1,958	1,937	1,958	1,924	1,949	1,989	1,978			1,622

¹ Total concluded cases includes 'Case to Answer' and 'No Case to Answer'.

Table 3

Length of time from ICP to conclusion (Final Hearing) (in weeks) - all professions including Social Workers

Fitness to Practise Department



FTP target: median of 39 weeks

	2018										2019			
Age Profile: number of concluded cases	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	2018-19 YTD	
<=4 weeks	0	0	0	0	0	0	0	0	0	0			0	
>4 and <=11 weeks	0	0	0	0	0	0	0	0	0	0			0	
>11 and <=20 weeks	0	0	1	2	0	2	0	1	1	1			8	
>20 and <=29 weeks	0	2	3	1	3	1	0	5	2	3			20	
>29 and <=39 weeks	4	3	3	4	7	2	7	10	7	7			54	
>39 and <=52 weeks	10	4	13	3	6	10	7	10	8	7			78	
>52 and <=104 weeks	10	12	13	13	13	10	14	11	6	11			113	
>104 and <=156 weeks	3	5	1	5	3	2	0	1	2	1			23	
>156 weeks	1	0	0	0	0	0	0	1	1	0			3	
TOTAL concluded cases	28	26	34	28	32	27	28	39	27	30			299	
Mean	64.6	66.5	54	63	56	55	56	50	55	50			57.4	
Median	53.5	56.7	51.4	54.8	51.9	50.3	53.3	43.4	45.7	42.1			51.4	

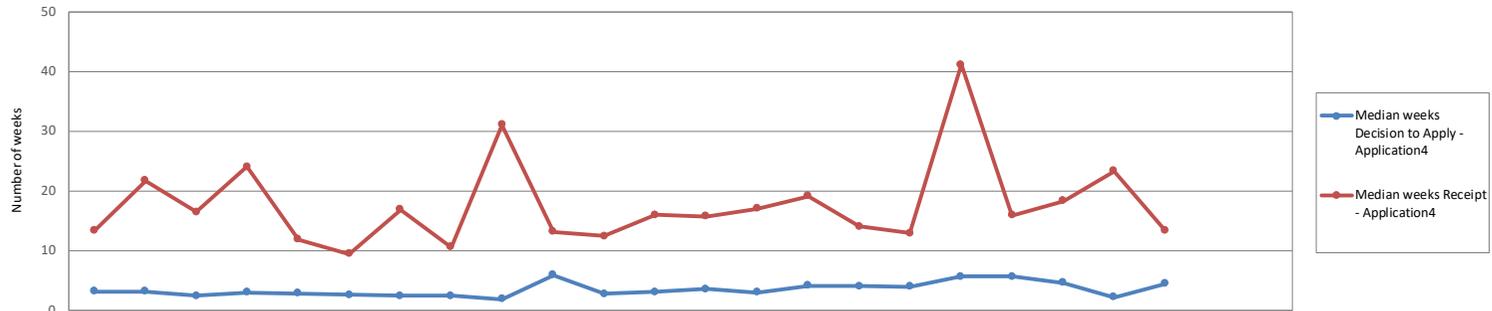
Age Profile: number of open cases post-ICP	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	2018-19 YTD
<=4 weeks	0	0	0	0	0	0	0	0	0	0			0
>4 and <=11 weeks	0	0	0	0	0	0	0	0	0	0			0
>11 and <=20 weeks	0	1	0	0	0	0	0	0	0	0			0
>20 and <=29 weeks	4	2	1	2	2	1	1	1	1	1			1
>29 and <=39 weeks	9	10	8	3	5	5	3	9	8	7			7
>39 and <=52 weeks	38	28	24	24	16	19	18	17	21	25			25
>52 and <=104 weeks	210	205	188	185	185	171	173	163	156	159			159
>104 and <=156 weeks	70	78	83	78	71	72	80	77	78	86			86
>156 weeks	29	26	27	26	26	26	28	26	23	25			25
TOTAL open cases	360	350	331	318	305	294	303	293	287	303			303

Balance between open cases and concluded cases	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	2018-19 YTD
	332	324	297	290	273	267	275	254	260	273			4

Table 5

Interim Orders breakdown (in weeks) - all professions including Social Workers

Fitness to Practise Department



	2017			2018									2019			15/16	16/17	17/18	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	FYE
Applications considered	8	15	16	11	12	19	17	18	5	11	15	17	17	19	18	20	18	6	13	23	8	6	89	142	164	148	
Applications adjourned	Not captured in this way in 2017/18												1	3	1	1	4	1	2	3	0	0	Not captured in this way			16	
Applications granted	7	13	15	10	11	16	14	17	5	8	11	14	13	14	14	15	8	4	8	18	6	5	78	128	141	105	
Applications not granted	1	2	1	1	1	3	3	1	0	3	4	3	3	2	3	4	6	1	3	2	2	1	11	14	23	27	
Interim Orders reviewed	29	33	36	35	46	18	23	29	29	23	28	11	18	26	26	19	35	26	32	46	27	37	261	317	340	292	
Interim Orders revoked	3	0	0	1	1	0	0	0	0	0	2	0	1	4	2	1	3	0	3	3	1	3	7	8	7	21	
IOs sent to BDB to request High Court extension ¹	4	0	9	3	3	0	6	2	5	3	2	7	4	6	8	4	3	5	3	3	5	10	19	23	44	51	
Interim Order not imposed at Final Hearing ²	0	0	0	1	2	1	0	0	2	2	0	1	1	0	1	1	0	0	0	0	0	1	Not reported	1	9	4	
Mean weeks Receipt - Application ³	21	30	23	31	13	26	24	19	40	18	15	23	23	30	29	22	16	52	27	22	32	19	22	29	24	24	
Median weeks Receipt - Application ⁴	13	22	16	24	12	9	17	11	31	13	12	16	16	17	19	14	13	41	16	18	23	13	15	22	14	16	
Mean weeks Decision to Apply - Application ³	4	5	3	3	3	3	3	3	2	6	3	4	5	5	5	5	4	6	6	5	2	5	3	3	4	5	
Median weeks Decision to Apply - Application ⁴	3	3	2	3	3	3	2	2	2	6	3	3	4	3	4	4	4	6	6	5	2	4	2	3	3	4	

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.

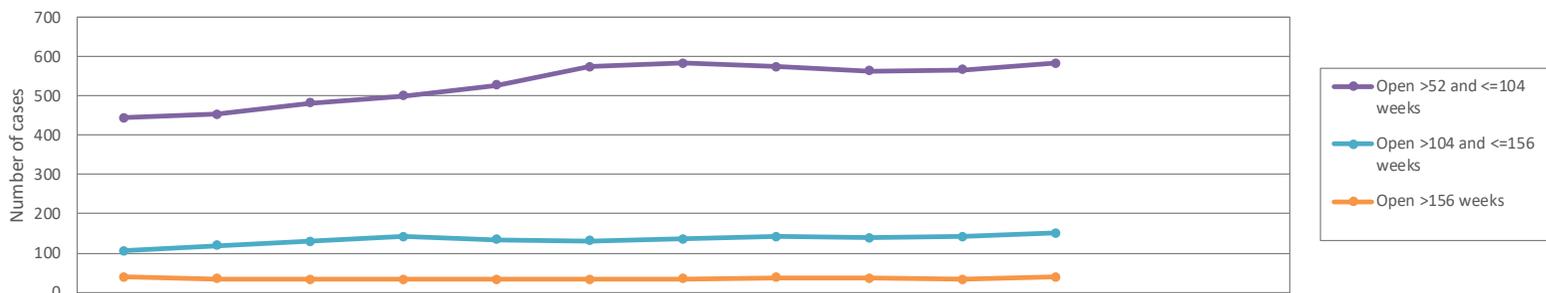
3 From 2017/18, the mean is calculated on year-to-date data, and is not the mean of monthly means.

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 professions including Social Workers

Fitness to Practise Department



	2018													2019				18/19			
	Target	Mar-18	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	15/16	16/17	17/18	YTD			
New cases received		202	199	205	165	256	158	168	197	250	209	287			2,127	2,259	2,302	2,094			
Total open cases (pre- and post-ICP)		2,060	2,123	2,203	2,246	2,310	2,283	2,297	2,286	2,293	2,316	2,355			1,675	1,491	2,060	2,355			
Open >52 and <=104 weeks	378	444	453	483	500	528	575	584	575	564	567	583			Not previously reported in this way			583			
Open >104 and <=156 weeks	80	105	119	130	141	134	131	135	142	139	142	151						151			
Open >156 weeks	14	38	34	32	33	33	32	34	37	35	33	38						38			
Open pre-ICP		1,690	1,763	1,853	1,915	1,992	1,978	2,004	1,983	2,000	2,029	2,052			1,208	1,027	1,690	2,052			
Open post-ICP		370	360	350	331	318	305	294	303	293	287	303			467	464	370	303			

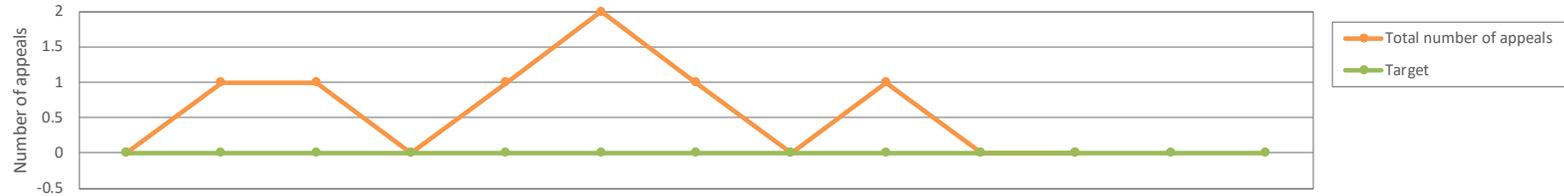
PSA monitors quarterly cases that have been open for longer than 52 weeks, longer than 104 weeks, and longer than 156 weeks.

Our targets are the following number of cases in the relevant brackets:

- >52 and <=104 weeks: 378
- >104 and <=156 weeks: 80
- >156 weeks: 14

Table 7

Number of court appeals received against fitness to practise decisions

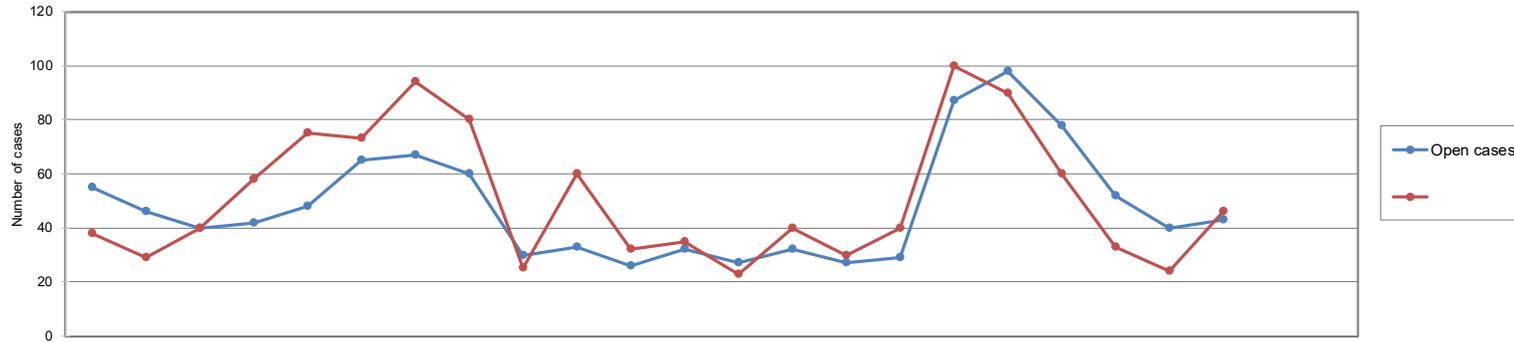


	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	2017-18 YTD
Number of fitness to practise FH decisions	38	28	26	34	28	32	27	28	39	27	30			299
Number of registrant appeals	0	1	1	0	1	2	1	0	1	0	0			7
Number of PSA appeals	0	0	0	0	0	0	0	0	0	0	0			0
Number of Judicial Reviews	0	0	0	0	0	0	0	0	0	0	0			0
Total number of appeals	0	1	1	0	1	2	1	0	1	0	0			7
Appeals against FTP decisions ratio - %	0.00	0.04	0.04	0.00	0.04	0.06	0.04	0.00	0.03	0.00	0.00			0.0

Table 8

Health and Character Declarations - all professions including Social Workers

Fitness to Practise Department

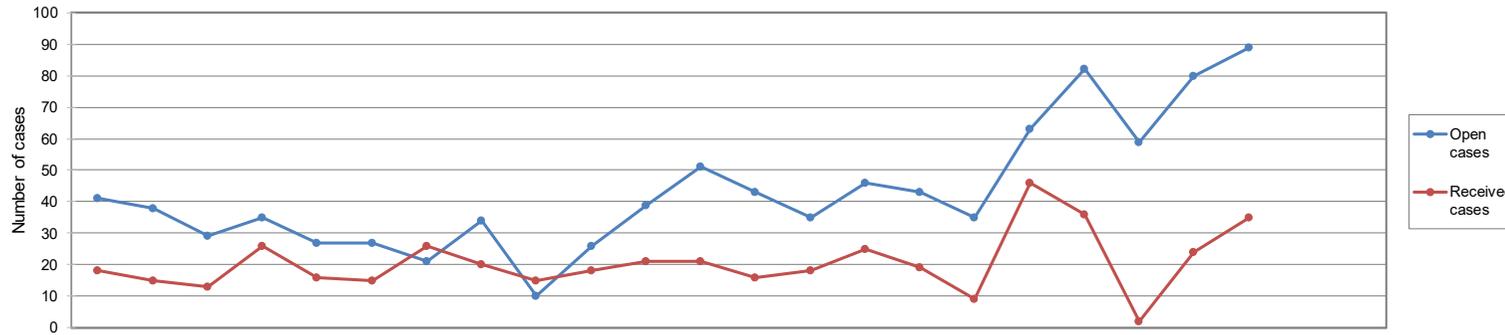


	2017												2018												2019												15/16	16/17	17/18	18/19
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD
Received	Renewal	2	4	0	2	0	0	1	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	36	109	11	1		
	Readmission	7	7	7	5	3	5	3	8	4	5	3	4	4	9	9	1	3	2	2	5	4	17	4	9	9	1	3	2	2	5	4	17	79	101	61	56			
	Admission	29	18	33	51	72	68	90	71	21	54	29	31	19	30	21	39	97	88	58	28	20	29	19	30	21	39	97	88	58	28	20	29	617	499	567	429			
	Self-referral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0			
	38	29	40	58	75	73	94	80	25	60	32	35	23	40	30	40	100	90	60	33	24	46	23	40	30	40	100	90	60	33	24	46	732	710	639	486				
Considered	Admission accepted administratively	33	26	30	40	49	45	77	69	49	42	24	23	23	28	26	14	27	65	58	46	21	47	23	28	26	14	27	65	58	46	21	47	Not previously reported.	285	507	355			
	Considered by panel	11	11	8	9	14	12	13	15	9	17	13	6	5	11	12	5	14	17	31	20	15	14	5	11	12	5	14	17	31	20	15	14	336	127	138	144			
	Referred to FTP	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	0	0			
	Admission rejected by panel	0	1	0	0	2	0	1	1	0	0	2	0	0	1	3	0	0	0	2	1	1	1	0	1	3	0	0	0	2	1	1	1	20	11	7	9			
	Readmission rejected by panel	0	1	1	1	1	2	0	0	1	0	0	0	0	2	1	2	0	0	0	0	0	0	0	2	1	2	0	0	0	0	0	0	0	1	7	5			
	Renewal rejected by panel	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
	Not referred to FTP	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0			
	Admission accepted by panel	6	7	2	1	9	7	11	13	6	12	10	4	5	4	6	1	12	15	27	15	11	7	5	4	6	1	12	15	27	15	11	7	308	126	88	103			
	Readmission accepted	4	1	2	7	0	2	0	1	2	4	1	0	1	4	2	2	2	2	2	4	3	6	1	4	2	2	2	2	2	4	3	6	0	17	24	28			
	Renewal accepted	1	1	2	0	2	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	7	0			
Open cases	55	46	40	42	48	65	67	60	30	33	26	32	27	32	27	29	87	98	78	52	40	43	27	32	27	29	87	98	78	52	40	43								

Table 9

Protection of Title - all professions including Social Workers

Fitness to Practise Department



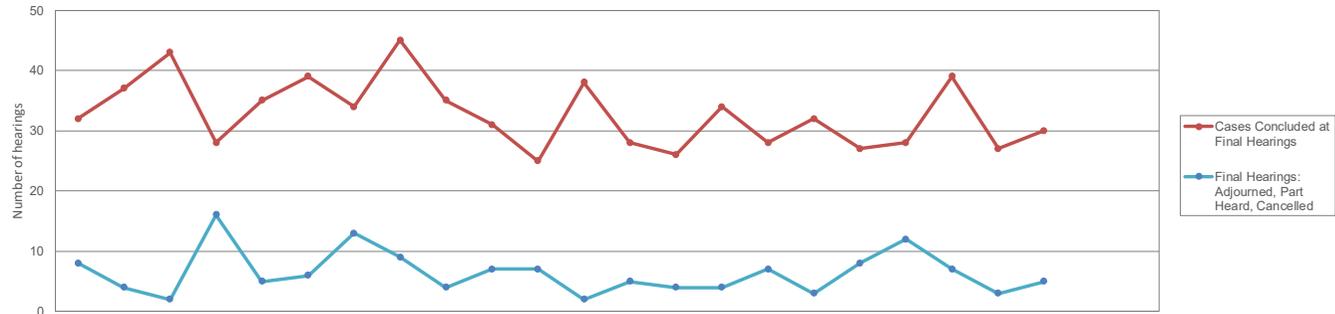
	2017			2018									2019											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Public	13	8	4	7	9	7	13	13	6	9	10	8	8	10	12	9	4	21	12	1	9	11		
Police	0	0	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
HCPC Registrant / Internal	4	6	5	9	4	4	10	5	6	7	7	9	6	5	10	4	3	12	16	1	10	18		
Anonymous	0	0	0	2	1	0	1	0	0	0	0	0	0	0	0	1	0	2	0	0	0	0	0	0
Professional body	0	1	4	6	2	4	1	2	2	2	4	4	2	3	3	5	2	11	6	0	5	6		
Other	1	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	2	0	0	0	0	0
Received cases	18	15	13	26	16	15	26	20	15	18	21	21	16	18	25	19	9	46	36	2	24	35		
Open cases	41	38	29	35	27	27	21	34	10	26	39	51	43	35	46	43	35	63	82	59	80	89		

14/15	15/16	16/17	17/18	18/19
FYE	FYE	FYE	FYE	YTD
150	135	94	107	97
4	2	0	2	0
10	18	57	76	85
14	14	20	4	3
139	112	51	32	43
9	43	14	3	2
326	324	236	224	230

Table 10

Hearings Management Information Summary - all professions including Social Workers

Fitness to Practise Department



	2017			2018			2019						Year End 17/18	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	Original Forecast	3 month re-forecast	6 month re-forecast	9 month re-forecast	YTD Total				
Cases Listed for Final Hearings	41	41	45	44	40	45	47	54	39	38	32	41	33	30	38	36	35	35	40	46	30	35							511	438	402			358
Cases Concluded at Final Hearings	32	37	43	28	35	39	34	45	35	31	25	38	28	26	34	28	32	27	28	39	27	30						432	372	350			299	
Final Hearings: Adjourned, Part Heard, Cancelled	8	4	2	16	5	6	13	9	4	7	7	2	5	4	4	7	3	8	12	7	3	5					78	66	52			58		
% of Hearings Adjourned/Part Heard	20	10	4	36	13	13	28	17	10	18	22	5	15	13	11	19	9	23	30	15	10	14					15	15	13			16		
Review Hearings Scheduled	23	19	24	30	32	15	22	16	20	24	18	29	21	25	18	18	28	13	33	27	19	16					272	296	263			218		
Review Hearings Concluded	23	19	24	16	30	15	22	16	17	22	18	28	20	25	21	16	25	13	30	27	18	16					250	296	265			211		
Cases in Review Cycle	247	231	234	237	231	226	230	243	247	245	245	245	232	233	224	220	215	217	208	201	197	193					245	249	223			193		
Preliminary Hearings	2	9	8	11	6	3	1	4	4	3	5	3	5	3	2	9	2	5	7	2	2	2					59	72	63			39		

Registration

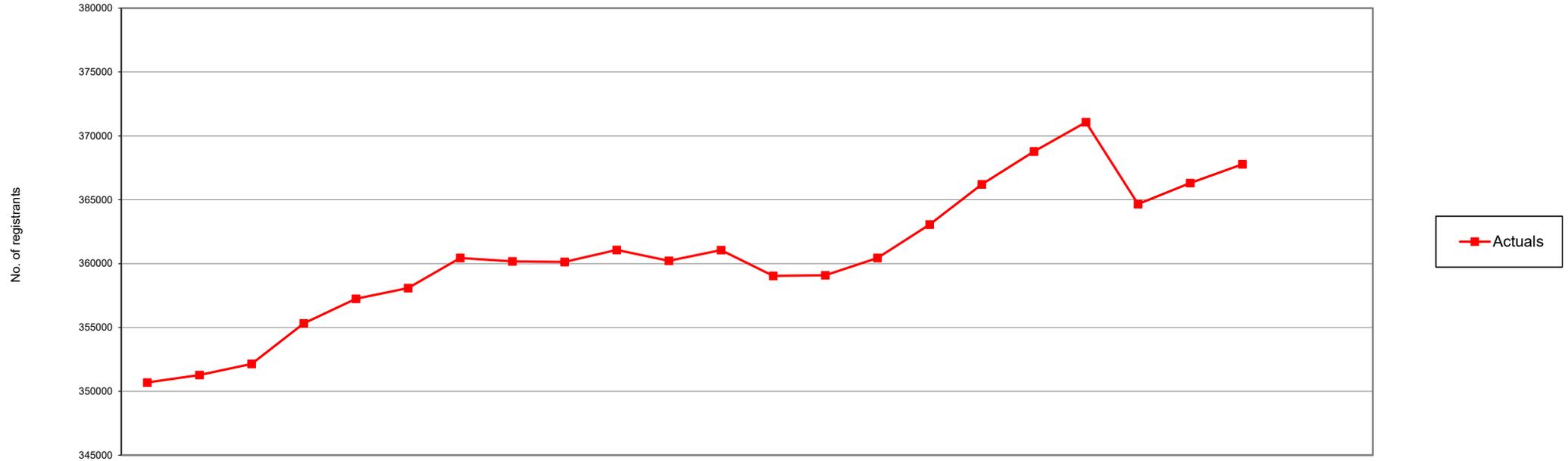
Page number

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Table 2: New registrants	61
Table 3: Registration appeals received	62
Table 4: Registration appeal decisions	63

Registration: overview

- This section provides an update about the work of the Registration Department for January 2019. All of the department's service standards were consistently achieved for the period with the exception of answering UK telephone calls, UK and International emails.
- A total of 11,589 UK telephone calls were received which is 4,053 (or 53.8%) more than compared to the same period in 2017 and an average of 78% 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 4,237 UK emails were received which is 1,990 (or 88.6 %) more than the same period in 2017. All emails were answered with an average of 3 working days. There is no single reason for the increase of UK email volumes for the period.
- A total of 2,803 international emails were received which is 669 (or 31.3%) more than the same period last year. All emails were answered with an average of 4 working days. There is no single reason for the increase of international email volumes for the period. However, there has been a 17.9% increase of international applications received that 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 573 international applications were received which is 87 (or 17.9%) more than compared to the same period last year. For the period of January 2019 the 60 working days service standard was met.
- Recruitment campaigns are being held frequently to ensure vacancies are filled as quickly as possible. We held an assessment day on 28 January 2019 and 1 candidate was successfully recruited to the Registration Advisor role. At the time of writing this report 21 February 2019, recruitment is ongoing for 5 further vacant Registration Advisor positions with an assessment day being planned for March 2019. A 6 month multi-skilling training programme for all new recruits is being delivered.

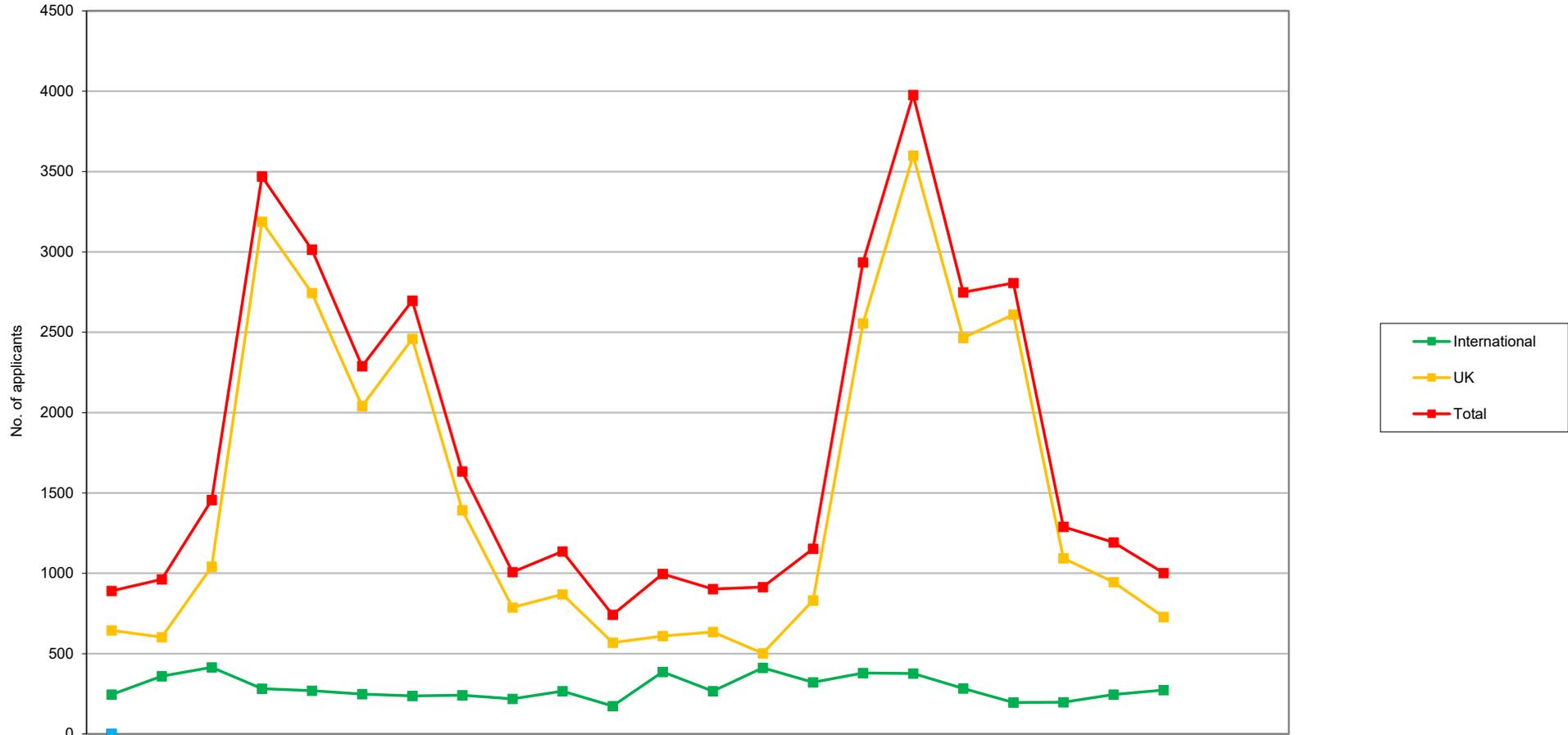
Number of Registrants by Profession April 2017 - March 2019



	2017			2018									2019									15/16	16/17	17/18	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	FYE
Arts therapists	4,040	4,043	4,057	4,099	4,170	4,209	4,262	4,273	4,288	4,311	4,317	4,322	4,328	3,999	4,073	4,110	4,230	4,291	4,345	4,363	4,380	4,416	3,897	4,026	4,322	4,416	
Bio. scientists	22,906	22,879	22,974	23,100	23,172	23,119	23,153	23,142	22,121	22,262	22,335	22,395	22,491	22,519	22,603	22,693	22,835	22,928	22,990	22,980	23,084	23,194	22,154	22,902	22,395	23,194	
Chirops/ pods	12,920	12,914	12,949	13,075	13,128	13,163	13,185	13,186	13,164	13,120	13,122	13,115	13,101	13,059	13,090	13,206	12,775	12,824	12,845	12,842	12,846	12,826	13,121	12,931	13,115	12,826	
CI scientists	5,688	5,713	5,740	5,741	5,738	5,514	5,559	5,675	5,732	5,772	5,799	5,818	5,854	5,873	5,902	5,917	5,934	5,947	6,052	6,123	6,156	6,183	5,376	5,663	5,818	6,183	
Dietitians	9,120	9,131	9,173	9,355	9,464	9,505	9,541	9,556	9,547	9,564	9,566	9,585	9,611	9,596	9,620	9,381	9,556	9,611	9,648	9,662	9,666	9,685	8,986	9,107	9,585	9,685	
Hearing aid disps	2,607	2,627	2,648	2,682	2,726	2,761	2,803	2,836	2,857	2,871	2,889	2,908	2,927	2,934	2,948	2,962	2,851	2,901	2,936	2,962	2,988	3,010	2,442	2,593	2,908	3,010	
OTs	38,047	38,131	38,240	38,579	38,889	38,919	38,969	37,799	37,922	38,027	38,110	38,183	38,212	38,283	38,370	38,687	39,200	39,440	39,544	39,669	39,750	39,837	36,272	38,080	38,183	39,837	
ODPs	13,082	13,086	13,122	13,175	13,289	13,484	13,602	13,595	13,630	13,645	13,640	13,639	13,657	13,635	13,655	13,731	13,850	14,103	14,173	13,731	13,823	13,877	12,811	13,052	13,639	13,877	
Orthoptists	1,448	1,447	1,439	1,450	1,407	1,424	1,432	1,441	1,441	1,441	1,440	1,440	1,442	1,442	1,445	1,461	1,482	1,489	1,497	1,495	1,493	1,490	1,385	1,451	1,440	1,490	
Paramedics	24,084	24,230	24,285	24,459	24,031	24,455	24,722	24,976	25,113	25,217	25,269	25,465	25,637	25,790	25,856	26,021	26,270	26,699	27,101	27,210	27,374	27,405	22,380	23,992	25,465	27,405	
Physiotherapists	52,906	53,057	53,359	54,030	54,532	54,744	54,852	54,980	55,050	55,140	55,177	55,132	52,440	52,955	53,301	54,009	54,696	54,986	55,125	55,293	55,401	55,514	51,662	52,915	55,132	55,514	
Pract psychs	22,544	22,521	21,993	22,085	22,172	22,311	22,695	22,853	22,960	23,017	23,065	23,104	23,156	23,182	23,237	23,305	23,407	23,584	23,923	24,074	24,151	24,233	21,470	22,604	23,104	24,233	
Prosth/orthotists	1,062	1,062	1,072	1,091	1,094	1,037	1,045	1,049	1,050	1,052	1,053	1,051	1,055	1,056	1,071	1,086	1,095	1,096	1,099	1,098	1,099	1,101	1,005	1,063	1,051	1,101	
Radiographers	32,112	32,183	32,469	33,092	33,278	33,451	33,570	33,638	33,618	33,586	32,167	32,475	32,578	32,662	32,897	33,511	33,888	34,112	34,240	34,286	34,358	34,292	30,244	32,072	32,475	34,292	
Social workers	92,181	92,275	92,613	93,183	93,950	94,510	95,380	95,388	95,824	96,175	96,367	96,497	96,571	96,108	96,350	96,842	97,844	98,419	99,081	92,365	93,206	94,126	93,341	91,944	96,497	94,126	
SLTs	15,941	15,967	16,009	16,120	16,200	15,475	15,671	15,785	15,818	15,870	15,898	15,932	15,977	15,988	16,013	16,133	16,295	16,353	16,470	16,505	16,529	16,581	15,199	15,935	15,932	16,581	
Total	350,688	351,266	352,142	355,316	357,240	358,081	360,441	360,172	360,135	361,070	360,214	361,061	359,037	359,081	360,431	363,055	366,208	368,783	371,069	364,658	366,304	367,770	341,745	350,330	361,061	367,770	

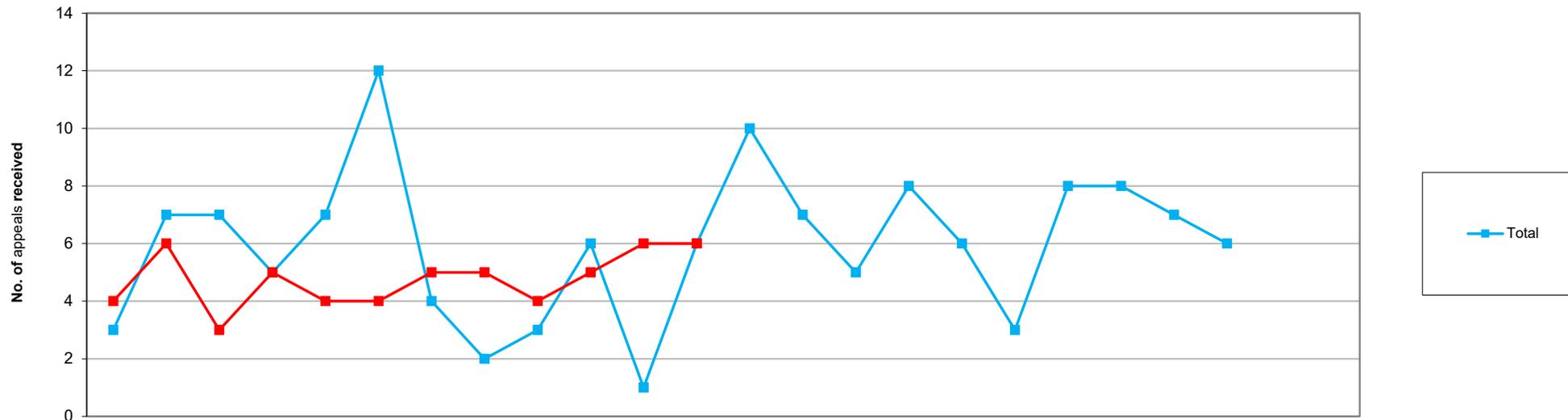
NOTE: Information captured on the last day of each calendar month.

New Registrants April 2017 - March 2019



	2017			2018									2019									15/16	16/17	17/18	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	FYE	YTD		
International	246	360	415	282	269	248	237	241	219	267	174	386	267	412	322	379	377	283	196	197	246	274					2,871	3,905	3,344	2,953
UK	645	602	1,041	3,188	2,745	2,041	2,460	1,393	788	869	568	610	635	502	831	2,556	3,599	2,465	2,610	1,093	946	728					16,468	16,190	16,950	15,965
Total	891	962	1,456	3,470	3,014	2,289	2,697	1,634	1,007	1,136	742	996	902	914	1,153	2,935	3,976	2,748	2,806	1,290	1,192	1,002					19,340	20,095	20,294	18,918

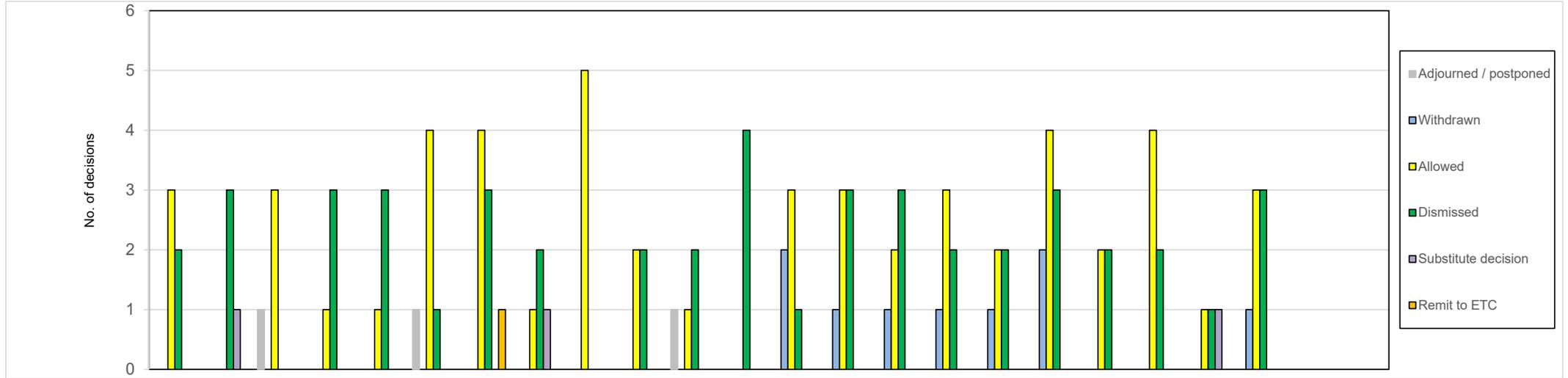
Registration Appeals Received April 2017 - March 2019



	2017			2018									2019						16/17 FYE	17/18 FYE	18/19 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
EMR (1)	2	1	1	3	2	3	1	1	1	4	1	2	2	1	1	1	2	0	2	3	0	0			28	22	12
Non-EMR (2)	1	5	4	1	3	1	0	0	1	1	0	2	4	4	2	4	2	3	5	3	6	5			15	19	38
Visitors (3)	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0			2	1	0
UK (4)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			1	0	0
Returns to practice (5)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			1	0	0
CPD (6)	0	1	2	1	2	4	1	0	1	0	0	1	2	0	0	3	1	0	0	2	0	0			0	13	8
Health and Character declarations (7)	0	0	0	0	0	4	2	1	0	0	0	1	2	2	2	0	1	0	1	0	1	1			9	8	10
Total	3	7	7	5	7	12	4	2	3	6	1	6	10	7	5	8	6	3	8	8	7	6			56	63	68

- 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 2017 - March 2019



	2017			2018									2019						16/17	17/18	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
Adjournd / postponed	0	0	1	0	0	1	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	0	0	3	2	
Withdrawn	0	0	0	0	0	0	0	0	0	0	0	0	2	1	1	1	1	2	0	0	0	1	16	0	9	
Allowed	3	0	3	1	1	4	4	1	5	2	1	0	3	3	2	3	2	4	2	4	1	3	9	25	27	
Dismissed	2	3	0	3	3	1	3	2	0	2	2	4	1	3	3	2	2	3	2	2	1	3	32	25	22	
Substitute decision	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1	0	2	2	1		
Remit to ETC	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	5	1	0	
Hearings held	5	4	4	4	4	6	8	4	5	4	4	4	5	6	5	5	4	7	4	6	4	6	48	56	52	

Human Resources and Partners

Page number

Overview 65

Table 1: Employee numbers..... 66

Table 2: Employee sickness absence and turnover.....67

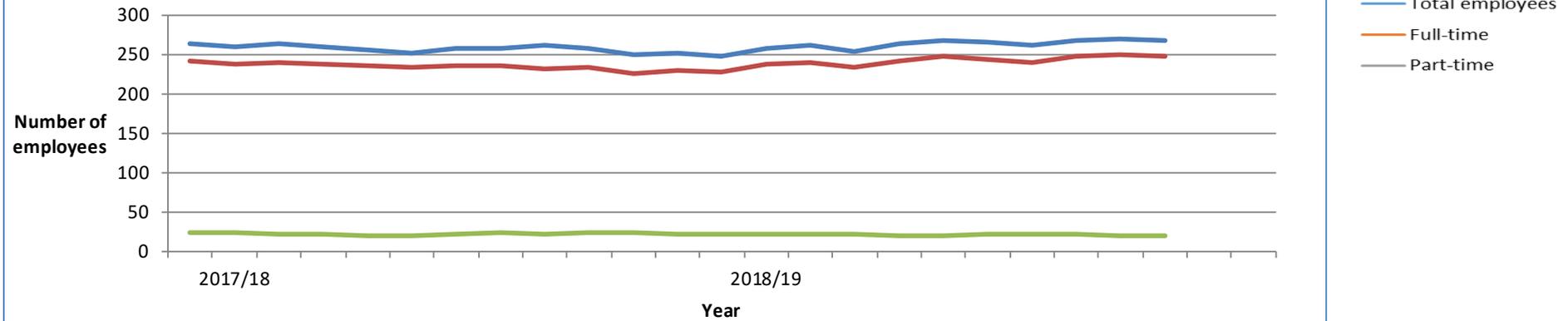
Table 3: Quarterly leavers68

Table 4: Partner turnover.....69

Human Resources and Partners: overview

- **Review of pay and grading:** the HR team is now putting together an implementation plan which will commence in April 2019. This follows Remuneration Committee and Council consideration of the recommendations.
- **HR system:** this was successfully upgraded to the latest version ensuring that it is compliant with legislative updates and security features. The next phase will deliver additional functionality which will ensure significantly enhanced management information.
- **Learning and Development:** 215 Education Visitors are now accessing the Learning Hub for their training, including refresher training. This activity reflects a wider strategy of delivering efficient and cost effective training to our Partner population generally by utilising online and digital platforms.
- **Partner performance review project:** a full review of the current self-assessment and performance review process for FtP partner roles has been conducted and an options paper submitted to the Tribunal Advisory Committee (TAC) for consideration. A working group met to ensure input from panel members and chairs at every stage of the process. Recommendations of the working group have been considered and approved by TAC.
- **Registration assessor training across the UK:** a review has been completed on the registration assessor refresher training pilot delivered across the UK for in 2018. Feedback and further work with the registration department has identified additional improvement options on how to deliver the training effectively going forward.

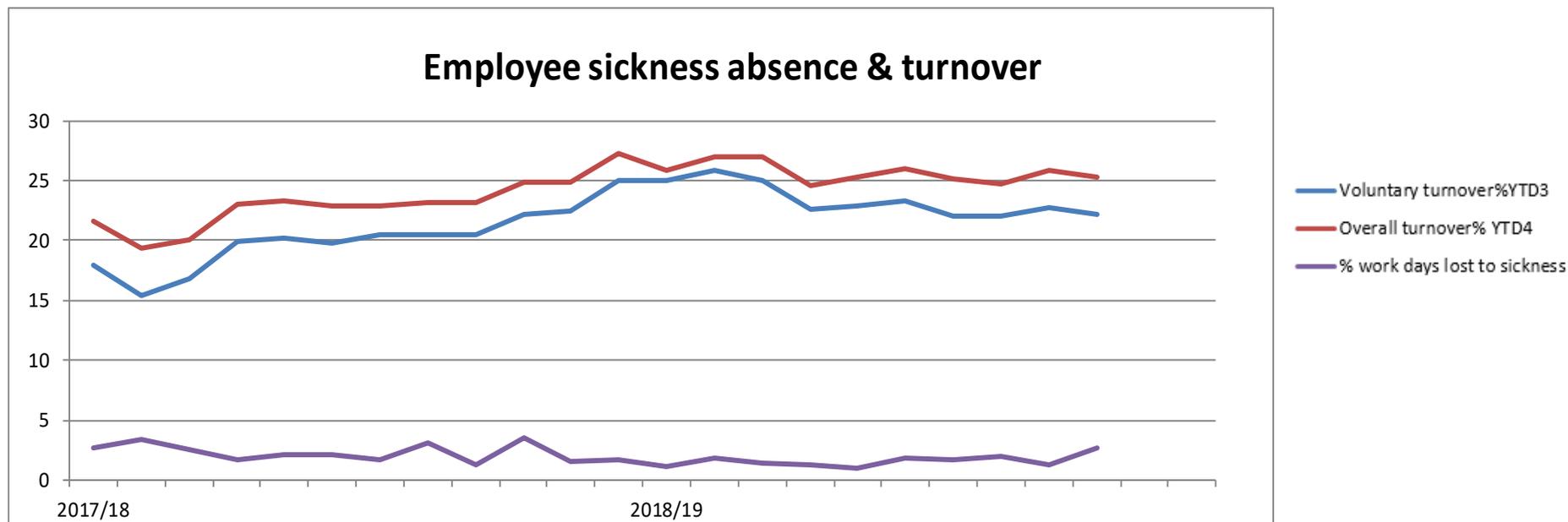
Employee numbers



	2017/18												2018/19												15/16	16/17	17/18	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	FYE	YTD
Budgetted employees																												
Budgetted permanent	285	285	285	285	285	285	285	285	285	285	285	285	261	262	262	266	267	266	265	265	266	266	266	267	255	262	285	267
Budgetted fixed term													20	20	18	16	16	16	16	16	16	16	16	15				15
Total employees	260	263	259	256	252	258	258	261	257	250	252	248	258	261	254	263	267	265	261	268	269	267	234	249	248	261		
Full-time	237	239	238	236	233	236	235	232	234	226	230	227	237	240	233	242	247	243	240	247	249	248	217	226	227	240		
Part-time	23	22	21	20	19	22	23	21	23	24	22	21	21	21	21	20	20	22	21	21	20	19	19	22	21	21		
Flexible working*	75	75	74	77	74	78	79	78	76	76	74	74	76	68	66	70	82	74	74	74	74	72	41	56	74	68		
FTE*	255	256	255	251	247	253	253	249	201	244	246	242	252	254	248	248	262	259	256	262	264	262	230	242	242	254		
Permanent	237	237	228	222	219	214	212	203	205	202	207	202	211	210	206	212	218	216	214	213	210	208	229	234	202	210		
Maternity/paternity leave	9	10	11	14	11	11	11	10	8	7	7	11	9	7	6	6	6	10	6	6	4	1	3	6	11	7		
Unpaid Sabbaticals	2	2	2	2	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		2	0	0		
Fixed-Term Contracts	23	26	31	34	33	44	47	52	52	49	45	46	47	51	48	55	49	49	47	55	60	59	5	15	46	51		
Starters (permanent)	4	2	1	1	1	0	2	0	0	0	2	4	9	3	2	2	0	2	2	1	1	3	44	45	17	25		
Starters (fixed-term)	2	4	1	6	0	4	4	3	4	1	2	2	4	3	5	5	1	2	0	2	6	3	5	23	33	12		
Vacancies	25	22	26	29	33	27	27	24	28	35	33	37	23	21	26	19	16	17	20	13	13	15	5	23	346	183		

*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
 YTD Year to Date

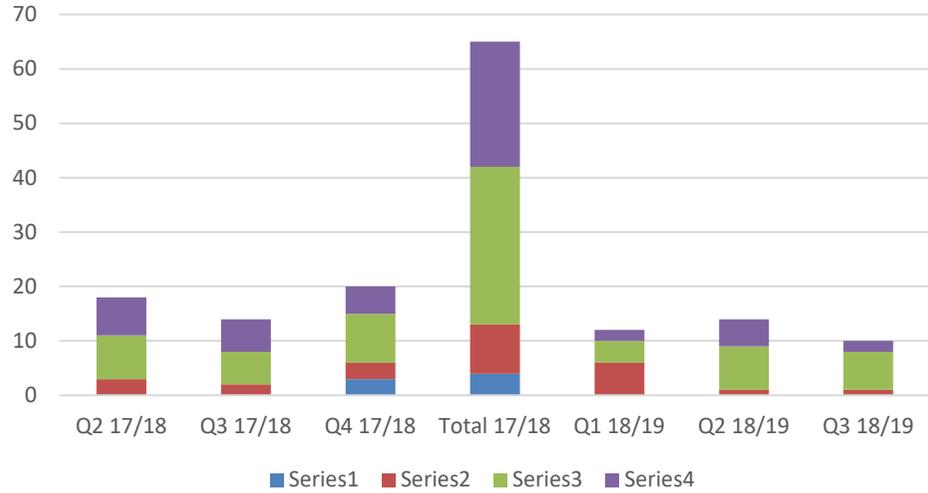
Employee sickness absence & turnover



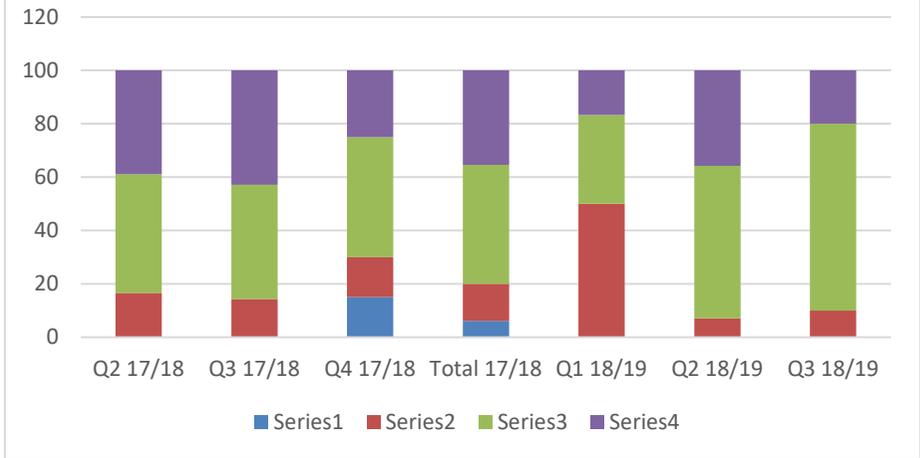
	2017/18												2018/19												15/16	16/17	17/18	18/19
	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD
Voluntary resignations¹	5	1	7	11	4	3	5	3	4	8	5	8	5	3	5	5	5	4	2	3	6	7			29	43	56	45
Compulsory leavers ²	3	1	0	0	0	0	0	1	0	0	0	0	0	2	3	0	1	1	1	0	1	0			4	5	5	9
Total leavers (vol. & comp.)	9	2	7	11	4	3	5	4	4	8	5	8	5	5	7	5	6	5	3	3	7	7			33	48	70	53
Voluntary turnover%YTD	18	15	17	20	20	20	21	20	20	22	23	25	25	26	25	23	23	23	22	22	23	22			20	17	25	22
Overall turnover% YTD⁴	22	19	20	23	23	23	23	23	23	25	25	27	26	27	27	25	25	26	25	25	26	25			15	19	27	26
Agency days	207	332	276	350	342	454	470	582	470	716	641	649	697	600	419	499	549	531	692	767	420	581			3684	4304	5489	5755
% work days lost to sickness	3	3	3	2	2	2	2	3	1	3	1	2	1	2	1	1	1	2	2	2	1	3			2	3	2	2
Average sick-days YTD	7	7	7	7	7	8	7	7	7	7	7	6	6	6	5	5	5	5	5	5	5	5			6	6	8	5
Sick-days	156	197	143	94	118	117	96	176	69	192	82	93	62	102	76	71	60	109	98	114	75	154			1346	1757	1533	921
Occ. Health Referrals	1	4	5	6	7	5	4	2	1	2	2	1	1	2	2	1	1	1	0	1	0	1			23	17	46	10

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

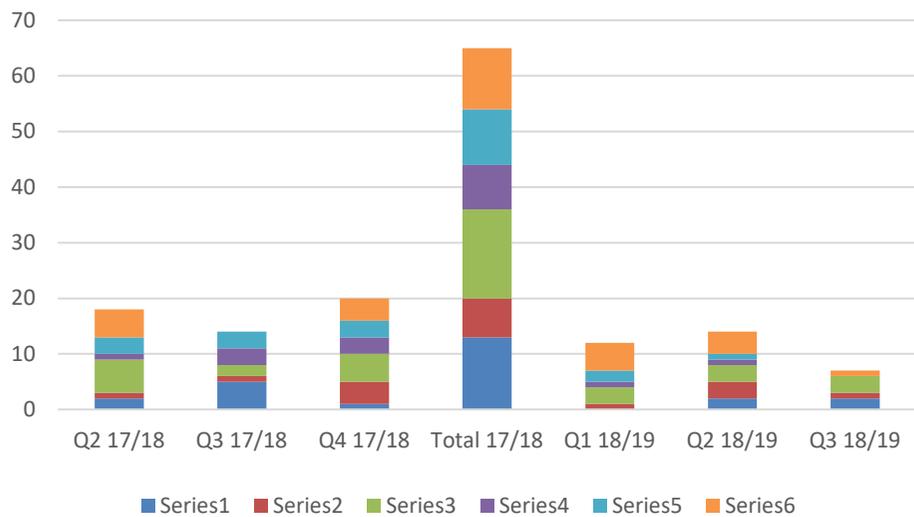
Quarterly leavers by pay band: numbers



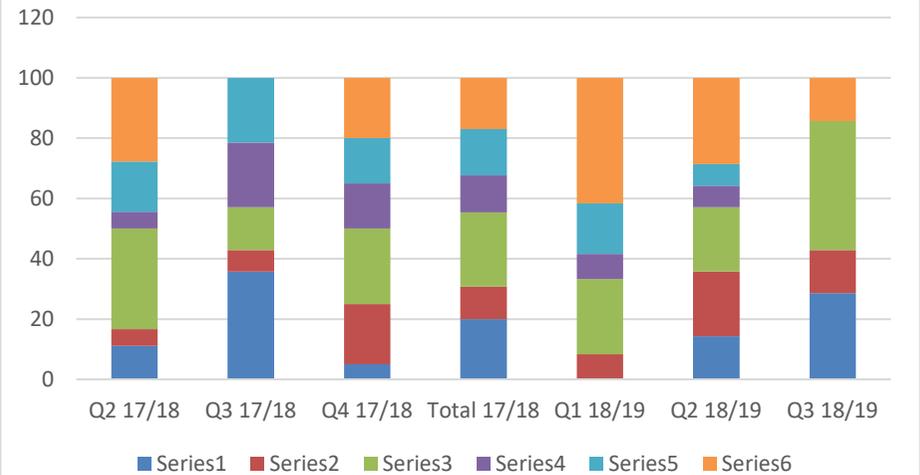
Quarterly leavers by pay band: percentage

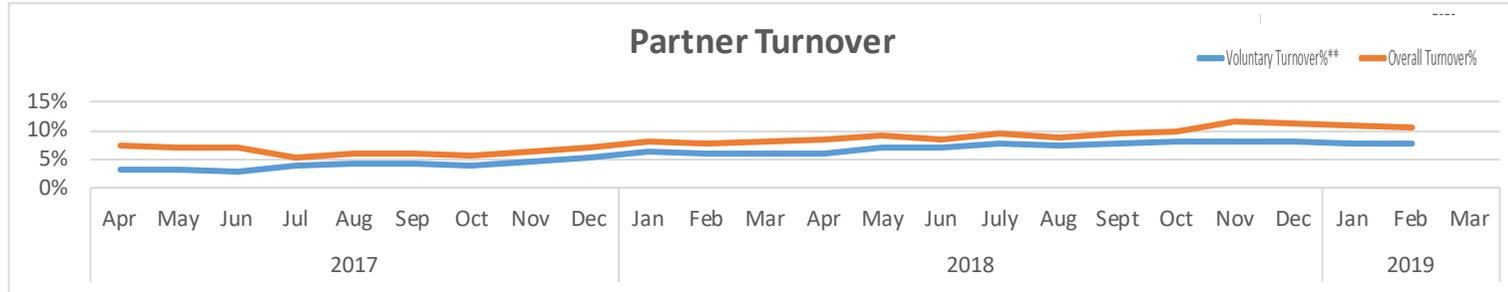


Quarterly leavers by length of service: numbers



Quarterly leavers by length of service: percentage





Partner turnover

	2017			2018									2019									17/18	18/19			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	FYE	YTD
Voluntary Resignations	2	1	0	7	4	1	1	6	6	8	1	3	3	8	0	13	1	3	4	7	5	6	1		40	51
8-year rule*	0	0	4	0	0	0	0	0	0	1	2	5	0	0	0	0	0	3	0	10	0	0	0		12	13
Terminations	1	1	0	0	1	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	0		4	2
Total Leavers (Vol & Comp)	3	2	4	7	5	1	1	6	6	9	4	8	4	8	0	13	1	6	4	17	5	7	1		56	66
Partners	660	670	676	666	670	685	702	698	696	690	689	689	700	692	707	708	694	696	723	706	701	700	707		683	703
Voluntary Turnover%**	3%	3%	3%	4%	4%	4%	4%	5%	5%	6%	6%	6%	6%	7%	7%	8%	7%	8%	8%	8%	8%	8%	8%		6%	7%
Overall Turnover%	7%	7%	7%	5%	6%	6%	6%	6%	7%	8%	8%	8%	8%	9%	9%	9%	9%	9%	10%	11%	11%	11%	11%		8%	9%

*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

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Overview71

Quality Assurance Department – overview

Audits completed in this period (December 2018 to February 2019)		
Audit description	Outcomes	Status
<p>FTP Interim Order (IO) Applications</p> <p>Audit to determine whether decision making followed guidance, was clearly communicated and whether the process was meeting the required timescales. 23 cases where approval for an IO Application had been made between May and July 2018 were audited. This represented 33% of the approval requests made in this period.</p>	<p>Two recommendations were made.</p> <ul style="list-style-type: none"> • Ensure sufficient written guidance is in place for decision makers. • Identify potential efficiencies in the process to reduce the amount of time taken to schedule IO application hearings. 	<p>FTP management agreed the recommendations in full</p>
<p>FTP Investigations Cases</p> <p>Audit on the new investigation planning process introduced in July 2018 to determine whether the process is being followed within the required timescales. 70 cases transferred to the Investigations function in July and August 2018 were audited. This represented 100% of the cases that had been allocated to a Case Manager to investigate in this period.</p>	<p>Two recommendations were made.</p> <ul style="list-style-type: none"> • Ensure that there is clarity in the process. • Ensure that the process is embedded effectively. 	
<p>FTP Investigations Evaluation</p> <p>Audit on the quality of investigation plans being completed in the new process. Focused on assessing whether the plans identify all the potential FTP concerns, and that the investigative steps included in the plan are proportionate and specific. 160 cases transferred to the Investigations function in July August and September 2018 were audited. This represented 100% that had been allocated to a Case Manager to investigate of the cases in this period.</p>	<ul style="list-style-type: none"> • The findings from this audit supported the two recommendations made in relation to the audit above (FTP Investigations Cases). 	
<p>FTP Risk Assessments (RA)</p> <p>Audit to assess the quality, whether guidance is being followed and whether the assessments are completed within the required timescales. 253 cases were audited from all open, pre-ICP cases from 2-24 October 2018 that had an opportunity (a change in the case) for a RA. This represented 13% of open, pre-ICP cases in this period.</p>	<p>Three recommendations were made.</p> <ul style="list-style-type: none"> • Ensure that consideration is given to ongoing training and support to improve consistency in applying the new approach to documenting RA. • Review a section of the process to enable it to be recorded. • Consider feedback provided when reviewing the tool used for completing RA. 	<p>Audit completed, report with FTP management to review / agree recommendations</p>

<p>Registration Comparable Qualifications List (CQL) An audit of the implementation of the CQL process to determine whether the process and guidance is being followed. 76 CQL applications were audited from June 2017 to November 2018. This represented one third of all CQL applications since the introduction of the process.</p>	<p>Four recommendations were made.</p> <ul style="list-style-type: none"> • Ensure that the process is fully documented. • All annual process checks should be carried out. • Any application issues raised in the audit are addressed. 	<p>Registration management agreed the recommendations in full</p>
<p>BSI external audit ISO10002 (21 and 22 February 2019) Annual external audit</p>	<p>Passed - no non-conformances, no opportunities for improvement or observations identified.</p>	<p>Report to SMT and Audit Committee</p>

Audits commenced in this period

Education business process (approval)

Audit on approval business process focused on areas of medium and high risk identified in previous audits.

Education Programme Records (October 2017 – May 2018)

A biannual audit to check the accuracy and status of programme records through a review of specific operational activities.

Education Programme Records (June 2018 – January 2019)

A biannual audit to check the accuracy and status of programme records through a review of specific operational activities.

Registration International and European Mutual Recognition (EMR) Assessment Decisions

Audit on International and EMR assessment decisions process and whether guidance is being followed.

FTP Non-FTP Cases

An audit of recent Protection of title, Health and character declaration, and Miscellaneous enquiry cases to assess whether decisions are being made in line with guidance and concerns about registrants / applicants are being managed appropriately.

FTP Final Hearing Decision

An 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.

FTP Threshold

An 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.

Audits to start in this quarter

Education Programme Contact Records

An audit to check the accuracy and status of programme contact records.

HCPC Strategic Risks

2018-19 to 2022-23

Relationship with strategic priorities

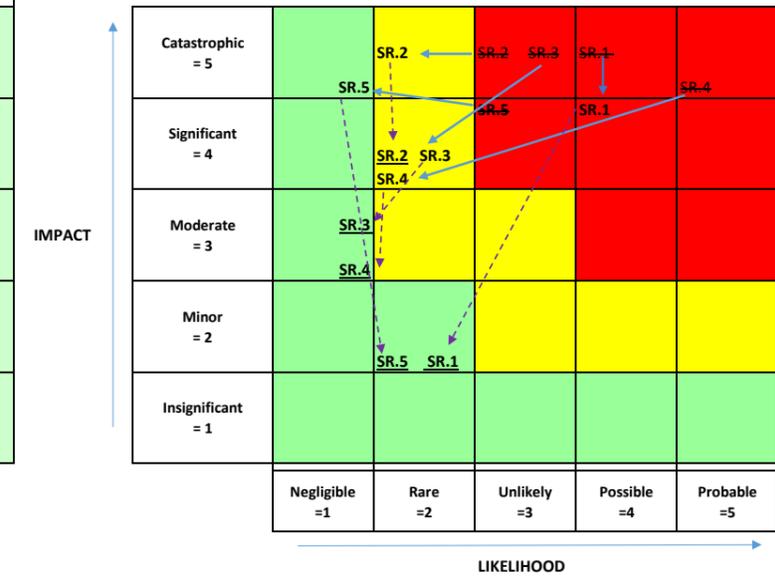
SP1 Perf	SP2 Com	SP3 Adapt	SP4 Evid

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	8	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

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
Feb-19

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2018-19	Expected risk
<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</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) Completion of FtP improvement plan (FtP, Q4) 2) Monitoring performance through performance report and KPIs (All, ongoing) 3) Review of education quality assurance arrangements (Education, from Q4) 4) Execution of the 5 year plan investment model (Finance, from Q2) 5) Proactive engagement with the PSA on the FtP improvement activities (ftP, ongoing) 6) Increased resource allocation to FtP to support open caseload reduction and increase capacity to manage new case fluctuations (FtP, from 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 February 2019: The number of new FtP cases continues to fluctuate and the Department is continually monitoring this to ensure appropriate resources are in place; as previously reported the focus continues on targeting the oldest open cases; the delivery of the FtP improvement plan continues, two notable areas of progress include the launch of the new Threshold Policy and the job descriptions review which has received positive QA; there continues to be a reliance on fixed term contract and temporary staff. Membership has been confirmed for the stakeholder working group to review education quality assurance arrangements and meetings are scheduled for February and March. The CPD online service has soft launched with some operating department practitioners

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

RISK OWNER
SMT

Review Date
Feb-19

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2018-19	Expected risk
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) Development of organisational stakeholder matrix and development of personal engagement plans for SMT (Comms, from Q4) 2) Data strategy and increased capacity for data intelligence and research projects through delivery of 5 year plan investment model (Policy, from Q3) 3) Collaboration with other regulators, for example MOUs or joint statements (FtP/Policy, ongoing)	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

February 2019 update: New Head of Communications taking forward work on the stakeholder matrix and refreshed communications & engagement strategy which will be presented to Council in March; Personal engagement plans for Chair and SMT will be developed in next financial year as part of the Strategy key deliverables; Data, intelligence & research strategy presented to Council in December and Head of Policy developing a workplan for this area in 2019-20; research brief tender for clinical/peer supervision progressing; Chief Executive and ED for Regulation continue to work closely with DHSC and other regulators on policy development for Government's regulatory reform proposals and currently awaiting DHSC published response.

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

RISK OWNER
SMT

Review Date
Feb-19

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2018-19	Expected risk
<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) Development and implementation of an action plan from the stakeholder polling (Comms, from Q3) 2) Implementation of the new stakeholder engagement plan (Comms, from Q4) 3) Further development and application of an organisational and project stakeholder matrix (Comms, from Q3) 4) Development of personal engagement plans for senior managers (Comms, from Q4) 5) Initial planning of prevention agenda through delivery of 5 year plan investment model (Comms/Policy, from 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

February 2019 update: Comres finalising stakeholder report and Policy / Communications developing action plan signposting to work to take forward, this will be presented to SMT and Council in March 2019; work on the refreshed stakeholder engagement plan continues and is being led by the new Head of Communications, this will be presented to OMT and SMT in February/March; personal engagement plans work will be taken forward in Q1 2019-20; the Edinburgh stakeholder engagement forum was held in early February, content focused on the 5 year strategy and the 'prevention' agenda, the Executive are currently evaluating the format and will look at how this can be extended in 2019-20 as part of the annual plan key deliverables; scoping for the professional liaison & data teams have been incorporated into the 2019-20 workplans and indicative budget.

STRATEGIC RISK
4. Failure to be an efficient regulator

RISK OWNER
SMT

Review Date
Feb-19

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2018-19	Expected risk
<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>	5	5	25	1) Adherence to operational processes and policies which are subject to internal and external audit eg ISO 2) Adherence to budgeting 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	2	8	1) Increased capacity in Project delivery team effecting change (Projects, from Q2) 2) Development and delivery of action plan arising from all employee survey (HR/Comms, from Q3) 3) Relevant and planned upgrades to systems eg secure desktop (IT, from Q3) 4) Delivery of registration transformation project deliverable (Projects, ongoing) 5) Secure fees increase and delivery of 5 year investment model (Finance/Policy, from Q2) 6) Development of Quality Assurance function (Quality Assurance, from Q2)	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
February 2019 update: 2019-20 project prioritisation completed and the portfolio for the coming year agreed; the Culture & Engagement action plan has been presented to SMT and Council and is now being considered by OMT; the second phase of the Registration project is progressing and the FtP CMS requirements gathering has initiated; the Quality Assurance Department has framework agreements in place with the regulatory departments; and the fees consultation analysis and proposals were considered and agreed by Council in February; the indicative draft 2019-20 budget was also discussed by Council at the February meeting.

STRATEGIC RISK
5. Failure of leadership, governance or culture

RISK OWNER
Chair and SMT

Review Date
Feb-19

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2018-19	Expected risk
<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 Chair of Council (Governance, Q3-4)</p> <p>2) Implementation of organisation-wide ED&I policy (Policy, from Q3)</p> <p>3) Development and delivery of action plan arising from all employee survey (Comms/HR, from Q3)</p> <p>4) Develop new corporate strategy and engagement with employees on vision and values with dissemination to key stakeholders of final plan (Policy, from Q3)</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

February 2019 update: The new Chair has been appointed and will take up post on 1 March 2019; the Culture & Engagement action plan has been approved by SMT and was discussed at December Council meeting, it is now with OMT for action and review, Council will consider a progress update in mid 2019; the refreshed corporate strategy and annual plan will be considered by SMT in February and Council in March, this incorporates a new vision and set of values which has been developed with input from employees.

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.	