

---

## Professionalism and Prevention Framework

---

### Executive Summary

There is an expectation and desire to change the way we regulate, adopting an upstream approach that supports registrants to achieve the highest standards and prevent harm.

Our new Corporate Strategy 2021-26 clearly identifies our ambitions around learning and prevention and we have developed a professionalism and prevention framework to support the delivery of these.

The Professionalism and Prevention Framework identifies the developments we plan to achieve in the next two years and provides clear objectives, deliverables and timeline in the action plan appended to the Framework.

---

Previous consideration	Council has considered and contributed to the development of the Framework in <a href="#">July</a> and <a href="#">September</a> 2020 Education and Training Committee contributed to its development in <a href="#">November</a> 2020
Decision	The Council is asked to approve the Framework.
Next steps	The Executive will deliver the action plan, reporting on progress at future Council meetings.
Strategic priority	The strategic priorities set in 2018 are no longer current. We are developing a new strategy that we aim to confirm at the end of 2020.
Financial and resource implications	Financing for this work will be drawn from existing and future departmental budgets, as identified in the action plan appended to the Framework.  Resourcing is identified in the action plan appended to the Framework.
Author	Kellie Green, Professionalism and upstream regulation lead <a href="mailto:kellie.green@hcpc-uk.org">kellie.green@hcpc-uk.org</a>
Sponsor	Jacqueline Ladds, Executive Director of Policy and External Relations <a href="mailto:jacqueline.ladds@hcpc-uk.org">jacqueline.ladds@hcpc-uk.org</a>

---

## Professionalism and Prevention Framework

### 1. Introduction

- 1.1 The HCPC has developed its first Professionalism and Prevention Framework. This framework identifies how we will support professionalism and help to prevent harm. It outlines the developments we plan to take in the next two years to support our shift away from the traditional thinking and approach to regulation.
- 1.2 The Council has previously provided a steer to the Executive in developing the Framework, most recently taking part in a workshop in October 2020.
- 1.3 In developing the HCPC's first framework the Executive were able to draw on the experiences and learning of the GMC and NMC in establishing their own prevention approaches.

### 2. Links to other Strategies and Frameworks

- 2.1 Assuming the approval of our Corporate Strategy 2021-26, the following strategies are engaged:
  - Continuously improve and innovate
  - Develop insight and exert influence
  - Promote and role model high quality professional practice
  - Be visible, engaged and informed
  - Promoting the value of regulation

In addition, this Framework should be considered alongside our Health and Wellbeing and Equality, Diversity and Inclusion strategies.

### 3. EDI

- 3.1 An equality impact assessment is provided at Annex B. This identifies that groups should see a positive impact through development of revised standards and professional liaison work, which has an increased emphasis on equality, diversity and inclusion. Each specific project within the framework, including the development of standards, our new QA approach and the development of CPD, requires its own equality impact assessment.

### 4. Risk

- 4.1 The framework will contribute to our mitigation of strategic risks 2 and 3: failure to anticipate and respond to changes in the external environment and failure to be a trusted regulator and meet stakeholder expectations

- 4.2 Our appetite for risk is [changing](#) to allow for greater innovation in the way that we regulate and achieve public protection. Adopting an upstream approach to regulation is new. There is, however, a growing body of evidence to support the effectiveness of this approach to achieve public protection.
- 4.3 The developments outlined in the professionalism and prevention framework aim to support the effectiveness of our existing regulatory functions and enable us to meet the change in emphasis to regulation that can be anticipated by regulatory reforms. It will increase our engagements with stakeholders, enabling us to better understand and meet their expectations. The developments are proportionate and phased in over a period of time to enable controlled financial investment and evaluation of impact.
- 4.4 Continuous evaluation of the developments and their impact will support the management of risks as they arise, allowing for mitigation and changes in approach where necessary.

## **5. Appendices**

- Appendix A: Professionalism and prevention framework
- Appendix B: Equality impact assessment

## Appendix A

# Professionalism and prevention framework

### Introduction

1. Professionalism and prevention represents our move away from the traditional thinking and approach to regulation to one that provides greater influence of, collaboration with and support for our stakeholders.
2. By promoting professionalism, ethical behaviours and enabling current and future registrants to embed and achieve high professional standards, we aim to prevent things from going wrong and protect service users from harm.
3. This framework identifies how we will support professionalism and help to prevent harm. It outlines the developments we plan to take in the next two years to support our shift away from the traditional thinking and approach to regulation.

### Success criteria

4. We will know we have achieved our aim when:
  - a. We understand the root causes of unprofessional behaviours and risk of harm and how these can be managed and prevented
  - b. We are able to identify and assess the risks that arise from the different kinds of professional practice we regulate
  - c. We are working in collaboration with and influencing stakeholders across the UK to help to reduce harm.
  - d. We have influenced the creation of supportive cultures and working environments within registrants' workplaces
  - e. Our registrants understand the Standards and are able to embed and achieve them in practice
  - f. Our education providers are able to deliver learning on professionalism, standards and regulation
  - g. Our continuing professional development Standards and requirements encourage self-reflection, improve professionalism, embed Standards and help to reduce harm.
  - h. We see a relative change in the nature and volume of received fitness to practise concerns.
5. We will measure our success using a range of methods, including surveying our stakeholders to establish benchmarks where necessary and to measure impact and change, analysis of data to monitor and track changes in received fitness to practise cases; questionnaires and feedback from engagement and learning events, and research.

## Insights and knowledge

6. Our work enables us to collect a wealth of information about our professions: the effectiveness of their education; their diversity and demographics; their working locations and approach to practise; and the risks that they present. The ability to identify, capture, extract, analyse and share our learning from this information is crucial to our public protection role.

## What we have achieved

7. Our research history is strong and has advanced our knowledge about professionalism, preventing small problems from becoming big problems, the prevalence of fitness to practise concerns and effective clinical and peer supervision in the workplace. Data from our registration, fitness to practise and education work also informs our and others' work.
8. Our previous commitment to make better use of data, intelligence and research evidence led to the development of a new classification system to capture and record greater details of the concerns that we receive about registrants. In time this data will provide useful insights and develop our understanding of the nature of fitness to practise and trends and risks for different professions.
9. Research into registrants' experiences of fitness to practise and supporting health and wellbeing, completed in 2020, has informed the development of a health and wellbeing strategy.

## What we will do next

10. We are developing our next research strategy for 2021-2025, which will ensure that we continue to commission and undertake research that develops our and others' understanding of the root causes of unprofessional behaviours, risk of harm and how these can be managed and prevented. This strategy will be fully developed by Q4 2020/21 and the research identified within it will commence in 2021/22.
11. We will also continue to develop our knowledge and insights through improvements in our ability to identify, collect and analyse the wealth of information and intelligence we own that relates to the practice of our professions. This will include the development of our systems to enable the collection of data and intelligence, the creation of a new insights and intelligence function, and development of an insights and intelligence strategy.
12. These developments will enable us to develop a coherent way of assessing the risks that arise from the different kinds of professional practice we regulate. This will enhance our understanding of the risks we are seeking to manage and harms we are seeking to prevent and to improve our ability to measure how well we are protecting the public.
13. System development has already commenced and developments needed to ensure we can extract and interrogate the information we hold will be in place by Q3 2021/22. The new insights and intelligence function will be fully resourced by Q1 2021/22 and the strategy will be developed by Q3 2021/22.

## Professional liaison

14. As our knowledge and insights grow, we will use it to influence our stakeholders to create cultures and working environments that promote and support our registrants' professionalism.

### What we have achieved

15. A Professional Liaison Service was established in 2020 and, enabling us to increase our engagements with our stakeholders. Through education and influence the Service aims to empower employers, registrants and other stakeholders to create working environments and practices that enable registrants to embed and achieve high professional standards.
16. We introduced and have published three editions of the employer e-newsletter to increase our engagements with and support for employers. The first e-newsletter promoted the launch of our Employer hub, a dedicated area on our website providing updates, learning and guidance for employers.
17. We developed and delivered the #MyHCPCstandards workshop programme for registrants, and a range of resources to support registrants to understand and meet the Standards. Workshops exploring the CPD Standards and audits have also continued to be delivered.

### What we will do next

18. The Professional Liaison Service will be developed in a phased approach. Learning from its first year will inform its future development and it is anticipated that it will grow in size and capacity in 2021/22 and 2022/23.
19. We will increase our support for and engagements with employers. From Q3 2020/21 we will begin working in collaboration with identified employers to support and complement the development of supportive cultures, wellbeing and professionalism. To extend our reach to and support for all employers, we will develop further the Employer hub section of our website, our employer e-newsletter and programme of employer events. This work will commence in Q3 2020/21 and continue into 2021/22.
20. Our engagements with and support for registrants will also increase, allowing us to use and raise awareness of existing and new guidance and other practical learning tools to empower, educate and support our registrants to meet their Standards. We began a new programme of #MyHCPCstandards webinars from Q3 2020/21, building on those already delivered and achieving our aim of bringing the Standards to life.
21. The Professional Liaison Service will also collaborate with other regulators on upstream regulation activities, sharing our knowledge and insights, and seeking opportunities to share platforms and lead discussions about upstream regulation and professionalism and prevention. Strong working relationships already exist and these will be built upon during 2021/22.

## Standards, guidance and tools

22. Our Standards form the foundation for how we regulate, explaining what we expect of our registrants and education and training programmes. We set and publish four sets of Standards:
- Standards of conduct, performance and ethics, which provides the ethical framework within which our registrants must work
  - Standards of proficiency for each profession, which sets the professional standards all registrants must meet in order to become registered and remain on the register
  - Standards of continuing professional development, which outlines our expectations for registrants to demonstrate continuing learning and development
  - Standards of education and training, which are the standards we use to assess education and training programmes.

### What we have achieved

23. We have an established programme of review and development for all our Standards. Registrants are supported by a range of guidance, information and tools enabling them to meet the Standards. This includes guidance and regular workshops on continuing professional development. Guidance and information on the more challenging areas of practice, including guidance on the use of social media, record keeping and scope of practice. To support our aim of bringing the standards to life, a series of videos and blogs have also been published.
24. During the COVID-19 pandemic, information sheets supporting registrants to meet the Standards in those particularly challenging times were published. A special edition of the #MyHCPCStandards webinar was delivered to explore those areas presenting most challenge, which included scope of practice, managing risk and adapting practice. The content of this webinar was informed by the nature and volume of registrant requests for advice received, and responded to, by our Policy team.
25. Much of this work is publicised through our regular communications with registrants, including on our main website and registrant hub, as well as in the registrant quarterly e-newsletter InFocus.

### What we will do next

26. We are revising our Standards of proficiency, which set the professional standards necessary for safe and effective practice. Registrants must meet the Standards of proficiency for their profession and pre-registration education is designed to equip them with the necessary skills and knowledge.
27. Stakeholder engagement, surveys, workshops and meetings held in 2019 identified changes to the Standards of proficiency that will bring them up to date, reflect modern practice and the development of the professions. Changes proposed and consulted on include the role of equality, diversity and inclusion,

the central role of the service-user, the importance of maintaining fitness to practise, the role and importance of leadership and the need to keep up to date with digital skills and new technologies. The intention is to place a greater focus across the generic Standards of proficiency to improve consistency across multidisciplinary teams.

28. The consultation on the revised Standards of proficiency commenced in Q2 2020/21. Council will be invited to approve new Standards of proficiency in Q1 2021/22. Publication and implementation will follow throughout 2021/22. A review of the Standards of conduct, performance and ethics will commence in 2021/22.
29. We will continue to develop tools and resources to support registrants to understand and meet the Standards. Work to develop toolkits and resources exploring effective supervision and professionalism will commence in Q3 2020/21. The Professional Liaison Service will use and promote these and other resources through its engagements and work.

## Education

30. We have a statutory duty to approve UK based education and training programmes, which professionals must complete in order to register with us. To become approved, a programme must demonstrate that it meets our Standards of education and training (SETs).
31. The SETs ensure learners are prepared for safe and effective practice. A programme which meets the SETs allows a learner who completes that programme to meet the Standards of proficiency, which set out the knowledge, skills and understanding needed for safe and effective practice. The SETs also make sure that learners are able to meet our Standards of conduct, performance and ethics, the ethical principles and expectations of a professional's behaviour.

## What we have achieved

32. Research into the role of the SETs in ensuring that newly qualified professionals were fit to practise was published in 2016. This identified that generally newly qualified professionals were regarded as adequately prepared for practice, albeit with some concerns about the ability of some to relate to service users and carers. The current SETs were published in 2017 and were informed by this research.
33. Our People like us? Research identified some inconsistent or inadequate education outside of clinical practice. These areas included professionalism, the role of the regulator, self-care and fitness to practise and ethics. To address this, it was recommended that the HCPC work with education providers to develop learning and teaching materials for use with students on pre-registration programmes. The development of learning resources for students commenced in early 2020.

## What we will do next

34. We are changing our quality assurance of education model. Following a review of the current model and engagement and consultation with relevant

stakeholders, we are developing a new model that will be piloted in 2021 with the aim of implementing a new model by Q1 2222/23. This new model aims to provide a flexible, intelligent approach that is data led and risk based.

35. We aim to increase our ability to gather and use data and insights to inform our decisions and understanding of risk within the provision of education, and also to gain greater understanding of the preparedness for practice of those completing their education and becoming registrants. Creating healthy dialogue with providers will be at the heart of the new model enabling conversations about identified risks and issues and increased support.
36. The development of learning resources for students commenced in early 2020. The materials being developed will support learning for those areas identified in the research, and will be made available through a dedicate student website hub that will be developed in 2020/21 and launched in Q4 2020/21.
37. We will increase our engagement with education providers and support them with tools and materials to aid learning on pre-registration programmes around professionalism and the embedding of professional values and behaviours. We will also continually share our developing knowledge and insights with providers enabling the use of the information to inform and develop their programmes. Engagement with a targeted group of education providers commenced in Q1 2020/21 and development of learning materials will commence in Q3 2020/21. We aim to trial the developed learning materials with a targeted group of education providers from Q4 2020/21.
38. Development of the education provider website hub to house the new materials and tools and data and insights will commence in Q1 2021/22, which will enable all providers to access and use the information and tools.

## **Registration**

39. We currently hold a register of 15 different professions and we enter onto the Register those health and care professionals who can demonstrate that they meet our Standards and who are fit to practise.
40. Initial applications for registration can be made through the UK application route or an international application route. Both routes require applicants to demonstrate that they meet the Standards of proficiency for their profession and that they are of good character and health.
41. Once registered, registrants are required to renew their registration every two years. This includes them making a professional declaration, which confirms that they continue to meet the Standards of proficiency for their profession and the Standards for continuing professional development, and that there has been no change relating to their good character or any changes to their health which might affect their ability to practise safely and effectively.
42. Continuing professional development (CPD) is a requirement for all registrants. To meet the CPD Standards, a registrant needs to carry out regular CPD activities of different kinds that might improve their practice and benefit their service users. Registrants need to keep a continuous record of the activities

carried out, and which may be subject to an audit when they renew their registration.

#### What we have achieved

43. Research exploring the evidence for assuring continuing fitness to practise of HCPC registrants, based on the continuing professional development and audit system was published in 2017. This identified that the CPD and audit system had driven professionalism and produced changes in practice and benefits for service users. Identified strengths in the approach included development of a culture whereby CPD was considered part of regular practice, driving up standards of practice and that it demanded a deeper engagement with CPD compared with other models. Recommendations to improve the CPD and audits system were made, which included steps to improve or streamline the process of accessing and recording CPD and encouraging employers to provide protected CPD time. These recommendations led to improved guidance on CPD.
44. We commenced a review of the Health and Character guidance to support the professional declarations applicants and registrants make at the point of registration or at renewal. We have engaged internal and external stakeholders to develop our proposed changes, which will be presented to Council in Q3 2020/21.

#### What we will do next

45. We will ensure that our continuing professional development requirements continue to encourage self-reflection, improve professionalism, embed Standards and help to reduce harm.
46. In 2021/22, we will use our growing knowledge and insights to inform further research into the effectiveness of CPD to achieve these desired aims. This research, and our work on advanced practice, will inform a review of our existing CPD Standards in 2022/23.
47. In Q4 2020/21 we will consult on proposed changes to the Health and Character guidance, with a view to publishing the revised version in 2021/22.

#### Fitness to practise

48. Fitness to practise is the process that is used to receive, investigate and determine concerns that are raised about our registrants' fitness to practise. A very small percentage of registrants are subject to a concern and even less subject to a sanction. For those that are, however, the process can be very stressful and traumatic.

#### What we have achieved

49. Our research into registrants' experiences of the fitness to practise process allows us to better understand the experiences and challenges of registrants being reported to the HCPC and attending fitness to practise hearings. It reveals that the process can be long and disproportionate, having a great impact on registrants' mental health, personal finances and careers. A number of recommendations are made for improvements.

50. A comprehensive programme to transform the way we deliver our fitness to practise work is already underway. This aims to deliver process as well as cultural improvements. Improvements to process, proactive case management and increased transparency and engagement with parties will enable us to adopt a more enquiring and resolution focused investigation approach, and proactively seek effective resolution of cases at an early stage through increased transparency and engagement with parties. This programme of work will conclude in Q4 2021/22.

#### What we will do next

51. A tone of voice review will commence in Q1 2021/22 to ensure that the language we use across all of our regulatory functions is clear, public-focused and avoids the use of technical language where possible. This will include a review of correspondence and written communications, as well as embedding a change of language with our staff and partners.
52. Our engagements and work with employers will allow us to encourage early local resolution of registrant mistakes, and help to ensure that our fitness to practise process is only engaged for those cases that require regulatory action. We will develop our support service for employers providing fitness to practise advice and supporting their decisions about what and when to refer a concern to us. Workshops on understanding fitness to practise will be delivered to both registrants and employers from Q4 2020/21.
53. The process and approach taken to fitness to practise is heavily governed by legislation and case law. Whilst we aim to do everything we can to improve our performance and registrants' experiences of fitness to practise within our existing legislative framework, it is legislative reform that will enable us to achieve a modern, risk based approach. We will, therefore, continue to be a strong advocate for and push for legislative reform.

## Action plan

Insights and knowledge			
Corporate strategy: develop insight and exert influence			
Budget: funding for this work will be drawn from Policy and Standards and Data and Intelligence department budgets			
Main resources: Director of Digital Transformation; Head of Policy and Standards; Data and Intelligence Manager and Data and Intelligence Officer.			
Deliverable	Owner	Objective	Milestones
Consistent repeatable reporting of organisation data.	Director of Digital Transformation	To enable the capture, extraction and analysis of organisational data to deliver new insights into the professions we regulate.	High level Design and architecture to be completed by Q4 2020/21  Other milestones to be determined.
Research strategy 2021-25	Head of Policy and Standards	To ensure the research we commission and undertake develops our and others' understanding of the root causes of professional behaviour, risk of harm and how these can be managed and prevented.	Strategy developed by Q4 2020-21  Research to commence Q1 2021/22
Insights and Intelligence function	Head of Policy and Standards	To identify and assess the risks that arise from the different kinds of professional practice we regulate  To inform our understanding of the root causes of unprofessional behaviours and risk of harm	Insight and Intelligence Manager in post by Q4 2020/21  Insight and Intelligence Officer in post by Q1 2021/22

			Insight and intelligence function fully resourced by Q1 2021/22
Insights and intelligence strategy	Head of Policy and Standards	<p>Improve our ability to identify, collect and analyse the information and intelligence we own that relates to the practice of our professions.</p> <p>Develop a coherent way of assessing the risks that arise from the different kinds of professional practice we regulate and use that information to inform our regulatory approach.</p>	Strategy developed by Q3 2021/22

<b>Professional liaison</b>			
Corporate strategy: promote and role model high quality professional practice; be visible, engaged and informed; promoting the value of regulation			
Budget: funding for this work will be drawn from Professionalism and Upstream Regulation and Communications department budgets			
Main resources: Professionalism and Upstream Regulation Lead; Professional Liaison Consultants; Professional Liaison Officer; Digital Communications Manager; Events and Communications Officer; Digital Communication Officer.			
<b>Deliverable</b>	<b>Owner</b>	<b>Objective</b>	<b>Milestones</b>
Professional Liaison Service	Professionalism and Upstream Regulation Lead	Increase our engagements with and, through education and influence, empower employers, registrants and other stakeholders to create working environments and practices that enable registrants to embed and achieve high professional standards.	<p>Evaluation of initial year completed by Q1 2021/22</p> <p>Service developed and expanded from Q2 2021/22</p>

Partnership support for identified employers	Professionalism and Upstream Regulation Lead	Work in collaboration with identified employers to support and complement the development of supportive cultures, wellbeing and professionalism.	<p>Work in collaboration with two identified employers from Q4 2020/21</p> <p>Evaluate impact and learning Q2 2021/22</p> <p>Increase partnership support provision by 65% from Q3 2021/22</p> <p>Increase partnership support provision by 40% from Q1 2022/23</p>
Employer e-news	Professionalism and Upstream Regulation Lead	Develop employers' understanding of the HCPC role, their responsibilities as an employer and the support and resources available from HCPC.	<p>Develop the e-newsletter and content plan for 2021-23 in Q3 2020/21</p> <p>Develop a promotional plan to raise awareness of employer resources and increase subscription and use by Q3 2020/21</p> <p>Promote and distribute e-newsletter throughout 2021/22 and 2022/23</p> <p>Evaluate use and impact Q4 2021/22</p>
Employer hub	Professionalism and Upstream Regulation Lead	Develop employers' understanding of the HCPC role, their responsibilities as an employer and the support and resources available from HCPC.	Planning and development for future content to commence in Q3 2020/21

			Ongoing development of content from Q1 2021/22 Evaluate use and impact Q4 2021/22
Employer events programme	Professionalism and Upstream Regulation Lead	Develop employers' understanding of the HCPC role, their responsibilities as an employer and the support and resources available from HCPC.	Planning and development of content to commence in Q4 2020/21 Delivery of events to commence in Q1 2021/22.
#MyHCPCstandards	Professionalism and Upstream Regulation Lead	Develop registrants' understanding of the Standards and support them to embed and achieve the Standards.	Deliver a new programme of workshops from Q3 2020/21 Evaluate impact Q4 2021/22

## Standards, guidance and tools

Corporate strategy: continuously improve and innovate; promote and role model high quality professional practice;

Budget: funding for this work will be drawn from Policy and Standards and Communications department budgets

Main resources: Head of Policy and Standards; Policy Manager; Policy Officer; Events and Communication Officer; Digital Communications Officer; Digital Communications Manager

Deliverable	Owner	Objective	Milestones
Standards of proficiency	Head of Policy and Standards	Ensure that the Standards of proficiency for each provision remain robust, up to date, reflect modern practice and the development of the professions.	Consultation on revised Standards concludes in Q3 2020/21

			<p>Council invited to approve new Standards in Q1 2021/22</p> <p>Publication and promotion of new Standards to commence in Q1 2021/22</p>
Standards of conduct, performance and ethics	Head of Policy and Standards	Ensure the Standards of conduct, performance and ethics remain robust, up-to-date, reflect modern practice and support professionalism.	<p>Scoping and topic development for review to commence in Q4 2021/22</p> <p>Stakeholder engagement Q2-3 2022/23</p> <p>Development and consultation preparation Q2 2022/23</p>
Professionalism toolkit	Head of Policy and Standards	To support registrants' professionalism.	<p>Development and stakeholder engagement completed Q1 2021/22</p> <p>Revisions and publication Q2 2021/22</p> <p>Promotion Q2 2021/22</p>
Supervision toolkit	Head of Policy and Standards	To increase understanding and the use of effective supervision.	<p>Initial engagement and content planning Q4 2020/21</p> <p>Drafting and governance Q1 2021/22</p>

			<p>Consultation on draft guidance Q2-3 2021/22</p> <p>Review, development and approval Q3-4 2021/22</p> <p>Publication by Q1 2222/23</p>
--	--	--	--

<b>Education</b>			
Corporate strategy: continuously improve and innovate; promote and role model high quality professional practice; be visible engaged and informed			
Budget: funding for this work will be drawn from Education, Policy and Standards, Communications and Professionalism and Upstream Regulation department budgets			
Main resources: Education Manager, Education Officer; Policy Manager; Digital Communications Manager; Events and Communications Officer; Digital Communication Officer			
<b>Deliverable</b>	<b>Owner</b>	<b>Objective</b>	<b>Milestones</b>
New approach to QA of education	Head of Education	To ensure our regulatory processes are proportionate and based on identified risks	<p>Development of new approach Q3 2020/21</p> <p>Piloting of the new approach to conclude Q2 2021/22</p> <p>Full implementation of new model Q4 2021/22</p>
Learning materials for students	Head of Policy and Standards	To support students' learning about professionalism, regulation and standards	Development of hub and phase 1 materials completed by Q3 2020/21

			<p>Launch and promote hub and materials Q4 2020/21</p> <p>Development of phase 2 materials by Q4 2020/21</p> <p>Evaluation Q3 2021/22</p>
Learning tools and materials for use by providers	Professionalism and Upstream Regulation Lead	To support our education providers to deliver learning on professionalism, standards and regulation.	<p>Development of learning materials to commence in Q4 2020/21</p> <p>Trial developed learning materials with a targeted group from Q1 2021/22.</p> <p>Evaluation Q2 2021/22</p> <p>Further development to commence in Q3 2021/22</p> <p>Wider role out of materials to education providers to commence in Q3 2021/22</p>
Education providers hub	Professionalism and Upstream Regulation Lead	To support our education providers to deliver learning on professionalism, standards and regulation.	<p>Development of hub to commence in Q1 2021/22</p> <p>New content developed in Q1 and Q2 2021/22</p> <p>New hub launched in Q3 2021/22</p> <p>Evaluation Q1 2222/23</p>

## Registration

Corporate strategy: continuously improve and innovate; promote and role model high quality professional practice

Budget: funding for this work will be drawn from Policy and Standards and Data and Intelligence department budgets

Main resources: Policy Manager; Data and Insights Manager

Deliverable	Owner	Objective	Milestones
Research into effectiveness of CPD	Head of Policy and Standards	To ensure our continuing professional development Standards and requirements encourage self-reflection, improve professionalism, embed standards and help to reduce harm	Scoping to be completed by Q1 2021/22 Research to commence in Q2 2021/22
Continuing Professional Development Standards	Head of Policy and Standards	To ensure our continuing professional development Standards and requirements encourage self-reflection, improve professionalism, embed standards and help to reduce harm	Scoping to commence in Q4 2021/22

## Fitness to practise

Corporate strategy: continuously improve and innovate; be visible, engaged and informed; promoting the value of regulation

Budget: funding for this work will be drawn from Policy and Standards and Fitness to Practise department budgets

Main resources: Policy Manager; Senior Policy Officer; Professional Liaison Consultant; FTP Operational Managers, FTP Triage team

<b>Deliverable</b>	<b>Owner</b>	<b>Objective</b>	<b>Milestones</b>
Tone of voice review	Heads of regulatory functions	To ensure that language used across our regulatory functions is clear, public-focused and avoids the use of technical language where possible	As set out in the Health and Wellbeing Strategy and to be completed by Q1 2222/23
Support service for employers	Head of Fitness to Practise	To ensure that employers make the right fitness to practise referrals, at the right time and with the right information.	<p>Understanding fitness to practise workshops delivered to employers from Q3 2020/21.</p> <p>Review current advice and support available to employers Q2 2021/22</p> <p>Scoping of enhanced service Q2 2021/22</p> <p>Development of new service by Q4 2021/22</p>

## Equality Impact Assessment (Level 2)

### Section 1: Project overview

<b>Project title: Professionalism and prevention framework</b>	
<b>Name of assessor: Kellie Green</b>	<b>Version: 1</b>

#### What are the intended outcomes of this work?

The Professionalism and prevention framework aims to:

- improve our understanding of the root causes of unprofessional behaviours and risk of harm, and how these can be managed and prevented, and enable us to identify and assess the risks that arise from the different kinds of professional practice we regulate
- increase our engagements with and influence and education of stakeholders, enabling current and future registrants to embed and achieve high professional standards.
- support education providers to deliver learning on professionalism, standards and guidance.
- ensure that we set robust by achievable Standards and the guidance and tools we provide support registrants to embed and achieve these Standards.
- ensure our continuing professional development Standards and requirements encourage self-reflection, improve professionalism, embed Standards and help to reduce harm.

#### Who will be affected?

- the public, including service users and colleagues in health and care
- registrants and potential registrants, including students or trainees
- education and training providers
- health and care providers

### Section 2: Evidence and Engagement

#### What evidence have you considered towards this impact assessment?

- HCPC equality, diversity and inclusion data 2020 report
- Proposed HCPC EDI strategy and future action plan 2021-23
- Outcome of EDI focus group meetings 2020
- EDI data collected at Professional liaison events
- Equality impact assessment for Standard of proficiency review 2019/20
- Equality impact assessment for new education QA model pilot and implementation

- Team discussions

### **How have you engaged stakeholders in gathering or analysing this evidence?**

The evidence we have considered towards this impact assessment is identified above and included workshops to inform the development of standards and EDI focus groups.

## **Section 3: Analysis by equality group**

### **Age** (includes children, young people and older people)

We hope to see positive impacts through revised approach to EDI in Standards, placing greater emphasis on the need for registrants to practise in a non-discriminatory and inclusive manner and be aware of the impact of culture, equality and diversity on practice. This includes, where relevant, additional standards that make specific reference to vulnerable groups such as children and neonates. Our professional liaison work aims to support registrants to embed and achieve these standards. We have, for example, explored challenges around confidentiality when consulting/treating younger people remotely, who may not have access to private space if living in shared accommodation or at home with parents.

An equality impact assessment will be undertaken as part of the delivery of specific projects identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements.

### **Disability** (includes physical and mental health conditions. Remember 'invisible disabilities')

EDI data from professional liaison engagements is collected and evaluated on an ongoing basis to ensure that we remain accessible and reach people within this group. Currently, our engagements are being delivered online only because of COVID-19 restrictions, which can present some challenges. EDI data collected from these online events does demonstrate that we are currently reaching people within this group. Delegates are invited to notify us of any reasonable adjustments prior to the event.

We hope to see positive impacts through revised approach to EDI in Standards, placing greater emphasis on the need for registrants to practise in a non-discriminatory and inclusive manner and be aware of the impact of culture, equality and diversity on practice. This includes disability as a factor which might impact on the characteristics and consequences of verbal and non-verbal communication. Our professional liaison work aims to support registrants to embed and achieve these standards and has included, for example, content exploring the challenges of communicating with service users with hearing loss when using PPE.

An equality impact assessment will be undertaken as part of the delivery of specific projects identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements.

**Gender reassignment** (consider that individuals at different stages of transition may have different needs).

We hope to see positive impacts through revised approach to EDI in standards, placing greater emphasis on the need for registrants to practise in a non-discriminatory and inclusive manner and be aware of the impact of culture, equality and diversity on practice. Our professional liaison work aims to support registrants to embed and achieve these standards.

An equality impact assessment will be undertaken as part of the delivery of specific projects identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements.

**Marriage and civil partnerships** (includes same-sex unions)

We hope to see positive impacts through revised approach to EDI in standards, placing greater emphasis on the need for registrants to practise in a non-discriminatory and inclusive manner and be aware of the impact of culture, equality and diversity on practice. Our professional liaison work aims to support registrants to embed and achieve these standards.

An equality impact assessment will be undertaken as part of the delivery of specific projects identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements.

**Pregnancy and maternity** (includes people who are pregnant, expecting a baby, up to 26 weeks post-natal or are breastfeeding)

We hope to see positive impacts through revised approach to EDI in standards, placing greater emphasis on the need for registrants to practise in a non-discriminatory and inclusive manner and be aware of the impact of culture, equality and diversity on practice. Our professional liaison work aims to support registrants to embed and achieve these standards.

An equality impact assessment will be undertaken as part of the delivery of specific projects identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements.

**Race** (includes nationality, citizenship, ethnic or national origins)

EDI data from professional liaison engagements is collected and evaluated on an ongoing basis to ensure that we remain accessible to and reach people within this group. EDI data collected from online events to date does demonstrate that we are currently reaching people within this group, including registrants who have joined the register via the international registration route. Data also shows us that registrants are joining from all four UK countries.

We hope to see positive impacts through revised approach to EDI in Standards, placing greater emphasis on the need for registrants to practise in a non-discriminatory and inclusive manner and be aware of the impact of culture, equality and diversity on practice. Our professional liaison work aims to support registrants to embed and achieve these

standards and will include a specific programme for new registrants who have joined the register through the international route.

An equality impact assessment will be undertaken as part of the delivery of specific projects identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements.

**Religion or belief** (includes religious and philosophical beliefs, including lack of belief)

We hope to see positive impacts through revised approach to EDI in standards, placing greater emphasis on the need for registrants to practise in a non-discriminatory and inclusive manner and be aware of the impact of culture, equality and diversity on practice. Our professional liaison work aims to support registrants to embed and achieve these standards.

An equality impact assessment will be undertaken as part of the delivery of specific projects identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements.

**Sex** (includes men and women)

We hope to see positive impacts through revised approach to EDI in standards, placing greater emphasis on the need for registrants to practise in a non-discriminatory and inclusive manner and be aware of the impact of culture, equality and diversity on practice. Our professional liaison work aims to support registrants to embed and achieve these standards.

An equality impact assessment will be undertaken as part of the delivery of specific projects identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements.

**Sexual orientation** (includes heterosexual, lesbian, gay, bi-sexual, queer and other orientations)

We hope to see positive impacts through revised approach to EDI in standards, placing greater emphasis on the need for registrants to practise in a non-discriminatory and inclusive manner and be aware of the impact of culture, equality and diversity on practice. Our professional liaison work aims to support registrants to embed and achieve these standards.

An equality impact assessment will be undertaken as part of the delivery of specific projects identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements.

**Other identified groups**

We hope to see positive impacts through revised approach to EDI in standards, placing greater emphasis on the need for registrants to practise in a non-discriminatory and inclusive manner and be aware of the impact of culture, equality and diversity on practice. Our professional liaison work aims to support registrants to embed and achieve these standards. We have, for example, explored the challenges for some groups to access

health services online or through remote consultations because of a lack equipment or technology required.

#### **Four countries diversity**

A success criterion for the Framework is that we are working in collaboration with and influencing stakeholders across the UK. To achieve this, we aim to improve our relationships and engagements with stakeholders in Northern Ireland, Scotland and Wales. Such engagements will enhance our knowledge of challenges and barriers and how we can overcome those and ensure equality for our stakeholders across the UK.

Our standards apply equally to all four countries, but challenges to meet them vary in location. Our professional liaison work aims to support registrants to embed and achieve these standards regardless of location.

EDI data from professional liaison engagements is collected and evaluated on an ongoing basis. To date this does demonstrate that we are reaching registrants from all four UK countries

## **Section 4: Welsh Language Scheme**

### **How might this project engage our commitments under the Welsh Language Scheme?**

Products from this work including Standards, guidance and educational materials will meet the bi-lingual requirements set out in our Welsh Language Scheme. Translations will, therefore, be made available on request.

## **Section 5: Summary of Analysis**

### **What is the overall impact of this work?**

- All groups should see a positive impact through our revised standards and professional liaison work.
- Challenges exist with the requirements to continue working remotely and delivering engagements online at present. These are highlight, explored and overcome where possible.
- Our presence in the across the UK, including in the devolved nations, should increase.
- Equality impact assessment need to be undertaken as part of the delivery of specific projects identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements.

## **Section 6: Action plan**

Summarise the key actions required to improve the project plan based on any gaps, challenges and opportunities you have identified through this assessment.

Include information about how you will monitor any impact on equality, diversity and inclusion.

**Summary of action plan**

- Ongoing collection, monitoring and responding to EDI data for professional liaison work.
- Completion of equality impact assessment for each specific project identified within the Framework, including the development of standards, our new QA approach and development of our CPD requirements
- Evaluation of impact to include an evaluation of impact on EDI.

**How will the project eliminate discrimination, harassment and victimisation?**

Development of the standards and the professional liaison service work to support registrants to embed the standards, and the development of support for education providers to teach professionalism and the standards, should increase understanding of needs and challenges for different groups and how to overcome these in practice.

**How will the project advance equality of opportunity?**

Placing a greater emphasis on the importance of equality, diversity and inclusion within the standards, and embedding this through our professional liaison work, should help to advance equality of opportunity.

**How will the project promote good relations between groups?**

Placing a greater emphasis in the standards on the importance of equality, diversity and inclusion, respect for colleagues and working within multidisciplinary teams, and embedding this through our professional liaison work, should help to promote good relations between groups.

Reflection completed by Kellie Green

Date: 24 November 2020