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## Fitness to Practise Improvement Plan - Progress update

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### Executive Summary

This paper is to update Council on the progress of the Fitness to Practise (FtP) Improvement Plan.

It includes an update of the project status for each of the 16 projects, the benefits realisation map for the FtP Improvement Plan and a detailed look at projects nearing conclusion or those entering the benefits realisation stage.

Overall, the programme is progressing well with seven projects completed and/or entering the benefits realisation phase. These have been completed on time. There are four projects due to be completed in May/early June (one of these is delayed go-live of the new case management system (see below). A further four projects are to be completed by July. One project (tone of voice) has been paused and will begin again in July.

The main area of concern is the delayed go-live of the new case management system. This is one of four projects not progressing to plan or on hold. We provide Council with an update on these projects and the mitigations we have put in place.

This paper also includes analysis of our performance in FtP for March and April 2021.

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<b>Previous consideration</b>	New standing item at Council (as of February 2021) to update Council on the progress of the FtP Improvement Plan.
	Oversight of the progress of our FtP Improvement Programme is also provided by the FtP Improvement Board.
<b>Decision</b>	Council is asked to note the update.
<b>Next steps</b>	The next report on progress will be provided to Council on 1 July 2021.
<b>Strategic priority</b>	Strategic priority 1: Improve our performance to achieve the Professional Standards Authority's Standards of Good Regulation.

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Financial and  
resource  
implications

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None as a result of this paper.

Author

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Andrew Smith, Executive Director of Regulation  
[Andrew.smith@hcpc-uk.org](mailto:Andrew.smith@hcpc-uk.org)

Laura Coffey, Head of Fitness to Practise  
[Laura.coffey@hcpc-uk.org](mailto:Laura.coffey@hcpc-uk.org)

## Fitness to Practise Improvement Plan - Progress update

### 1. Introduction

- 1.1 Improving our performance in Fitness to Practise (FtP) is the priority for the HCPC in 2021. This means improving the quality and pace of our management of FtP cases. The HCPC has an FtP Improvement Plan in place and we are taking action in 2021 to accelerate and augment our improvement work.
- 1.2 To do this we have prioritised 16 key projects to be delivered between January and July 2021. This paper provides a progress update to Council since the last meeting in March 2021 (including the status of each project), a more detailed look at some key projects that have recently concluded (including the expected benefits of those projects) and the overall benefits plan for the FtP Improvement Programme.

### 2. Progress since March 2021

- 2.1 In April we appointed a new Programme Manager on a fixed term basis to run the programme governance at the end of the PwC contract. The new Programme Manager joined the team at the start of May and is working closely alongside PwC to ensure a detailed and thorough handover.

#### FtP Improvement Programme – Projects current status

- 2.2 Since we last reported to Council in March 2021, 7 projects have completed and moved into the benefits realisation stage. Further details of those projects are set out below.
- 2.3 We also provided an update on the four projects that are tracking as red, amber or on hold. Appendix 1 provides the status update as of 19 May 2021.

#### A detailed look at key projects that have been completed / in benefits realisation phase

- 2.4 In this section we provide an overview for Council on some of the key projects that have completed since our last report where the focus is turning to benefits realisation.

Improving the age profile of cases: Threshold (project 5) and Serious Case Team (SCT) (Project 6)

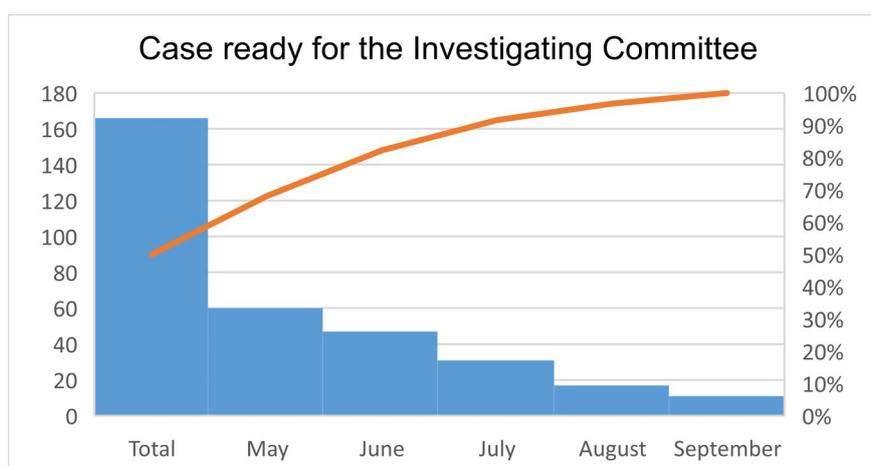
- 2.5 In February we handed over 280 of our oldest threshold cases to external law firms to increase our capacity to progress cases (Project 5). Following the

onboarding and transfer of cases, this project now enters the benefits realisations stage of helping us manage our oldest cases at these stages and reducing our age profile at the threshold stage of the FtP process.

- 2.6 The legal firms have now reviewed and progressed the cases allocated to them and have provided revised forecasts of the estimated number of cases that will meet the threshold and go the Investigating Committee (ICP). We originally forecasted that 30% of these cases would be closed at the threshold stage. This was a conservative estimate for Investigating Committee capacity planning purposes. We are now forecasting this to be 41% of cases, based on the legal firms' investigations to date. Of those anticipated closures, 66 cases have been approved for closure by our Senior Decision Making team with a further 48 due to be returned to our Senior Decision Making team.
- 2.7 Based on the revised forecast of case outcomes, we are now expecting 166 cases to go the Investigating Committee, compared with our earlier forecast of 200 cases. We are on track for the majority of cases to be returned by August 2021 in line with the SLA for all firms. Indeed, the first cases have already been heard by the Investigating Committee in May. There are a small number of cases (11) which we now expect to be returned in September 2021 following further investigation (see Figure 1). We will keep this under review as the law firms progress more cases.

**Figure 1: Projected time to conclude or progress our oldest 280 threshold cases**

Month	Cases ready for ICP listing	% Total for ICP
May-21	60	36%
Jun-21	47	28%
Jul-21	31	19%
Aug-21	17	10%
Sep-21	11	7%
Total	166	100%



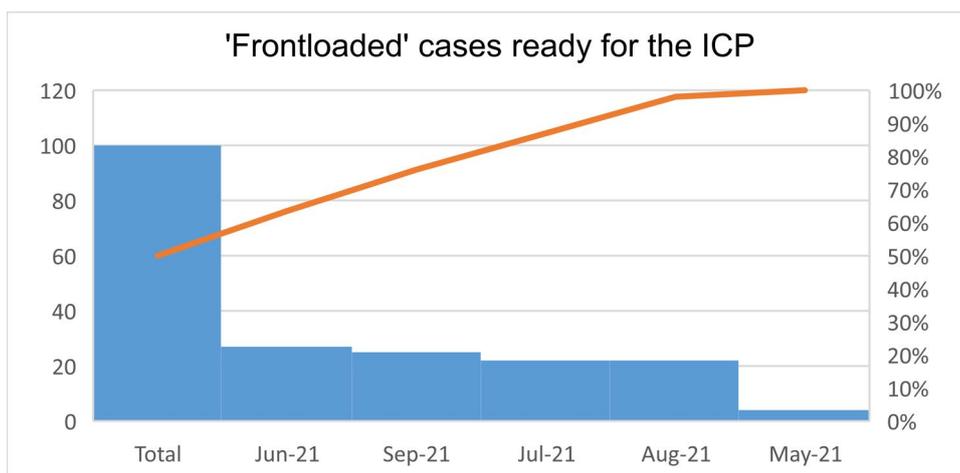
- 2.8 As shown in Appendix 2, of the 490 cases currently remaining in the threshold team in house, 52% are within KPI. The number of cases in the threshold stage has increased since last month and the proportion within KPI has decreased. In response we have undertaken a rapid review of the older cases in-house and 60 cases that will meet our threshold criteria will be advanced to the

Investigations team, where there is capacity to take on these cases. The rapid review process will be undertaken again in June and July to make sure we use resource across FtP as effectively as possible.

- 2.9 In addition, new people will be joining the HCPC from the start of June following the successful recruitment campaign. We will use this additional capacity to support the threshold stage cases in the first instance.
- 2.10 In February we also allocated 80 cases from our Serious Case Team (SCT) to external law firms (Project 6). The law firms are investigating these on a 'front-loaded' basis, which means that they will be prepared for ICP to be ready for a final hearing should the ICP decide there is a case to answer.
- 2.11 In the three months between February and April 2021 inclusive, we also allocated a further 20 serious concerns to the law firms. These were cases that we received in those months and were identified as being serious at the outset. Cases were allocated to the legal firms at the point the Triage test was met. Based on the current assessments of the legal firms, all cases are forecast to be returned for an ICP by the end of September 2021 in line with the SLA.

Figure 2: Projected time to conclude or progress our SCT cases selected for the frontloading pilot

Month	Cases ready for ICP listing	% Total ICP
May-21	4	4%
Jun-21	27	27%
Jul-21	22	22%
Aug-21	22	22%
Sep-21	25	25%
Total	100	100%



*The serious case graph is presenting case returns in descending order of level of cases by month.*

- 2.12 As set out in Appendix 2, of the serious cases remaining with our in-house team, 41% are within KPI. Of those outside of KPI (59% or 39 cases) at the time of writing this report, all but 12 are subject to an ongoing third-party investigation. Of those 12, six are listed for a future ICP.

2.13 For all those cases that we have allocated to external law firms, we are working with them to ensure insights from their work feeds into training for our in-house case teams.

#### Legally qualified ICP Chairs (Project 8)

2.14 In March 2021 we completed the recruitment of new legally qualified Chairs for the Investigating Committee. 11 candidates were appointed into the role.

2.15 One of our legal providers led a one-day training session for our newly appointed ICP Chairs on 15 April. The training covered a variety of key topics from policies and processes to quality decision making and determination drafting. Our new Chairs fully engaged and shared their prior knowledge and experience. The feedback was positive with attendees feeling supported and prepared for their new role.

2.16 The new Chairs started sitting on Investigating Committees from 20 April 2021. It is taking a little longer for the new Chairs to get through the agenda for each panel day as the Chairs settle into their new roles. We expect the number of cases considered at each ICP meeting to increase as the new Chairs gain more experience.

2.17 We will continue to seek feedback from ICP Chairs and other stakeholders to inform the content and delivery of follow up training planned for July 2021.

2.18 A fortnightly Quality Review Group has been established to review the decisions and provide feedback on any quality issues for both the Chairs and the case teams. Our Hearings Team Manager for the ICP Chairs also holds a debrief with each Chair following an ICP to seek their feedback and provide support as they settle into their role. Our review process has already identified a noticeable improvement in the quality and structure of the ICP Chair's written decision making.

2.19 One of the key benefits of introducing the ICP Chairs is an expected reduction in the number of cases that are not well found at final hearing (on facts or grounds), or are discontinued in full. Due to the time it can take to complete a post-ICP investigation and case preparation, we do not expect to see these benefits realised until Q4 of the current financial year.

#### Targeted training for HCPTS Panel Chairs and Legal Assessors on decision drafting (Project 13)

2.20 During April, our external legal provider facilitated a series of five interactive half-day training sessions for our Panel Chairs and Legal Assessors. The training focused on the quality of written panel determinations, drawing on feedback from the PSA and learning points highlighted by recent cases.

2.21 The training was well received and the level of engagement was high. Both panel Chairs and legal assessors welcomed the opportunity for joint training; this was the first time both groups had been trained together.

- 2.22 We expect the training to support Chairs and Legal Assessors to deliver high quality written determinations and improve the consistency of decision making at final hearing. Attendees said they felt more confident in identifying areas where additional detail and reasoning are required (such as factual determinations on dishonesty or sexual motivation and the panel's consideration of the wider public interest).
- 2.23 Our learning from the planning and delivery of this training has been useful for informing the work we are undertaking to review our scheduled training programme for all panel members later this year.
- 2.24 We expect the benefits in terms of improved quality of decision making to start to be realised from May 2021. A key measure will be the number of learning points we receive from PSA about the quality of panel decisions, which we expect to decrease as a result of this training.
- 2.25 We have been working with colleagues in our Quality Assurance team to improve how we collect and respond to feedback about hearing decisions, including how we track the themes arising from PSA learning points going forward in particular. A quarterly trends analysis report will be presented to our Decision Review Group from July 2021 onwards. In addition, we are establishing a monthly Decision Appeal Group to review referrals where there is a serious public protection concern following decisions made by panels of the HCPTS. The group will also review any key learning arising from any High Court appeals.

#### Quality assurance of Senior Decision Maker decisions at Threshold stage (Project 12)

- 2.26 The HCPC's Quality Assurance (QA) team has completed a review of new first line quality assurance checks introduced in the threshold process. The purpose of this review was to ensure that the quality checks completed by the FtP team assess decisions made by Senior Decision Makers accurately and are fit for purpose.
- 2.27 This is part of a new way of working with our QA team whereby the QA team review new processes very soon after they have been implemented so any early lessons can be learned and any improvements can be rapidly made. It also provides assurance on how the changes we are making are being embedded. This is particularly important given the number of changes we are making in FtP.
- 2.28 The report was very positive and in particular provided assurance that the new processes are embedded. The report highlighted a team culture that was open to feedback and continuous improvement.
- 2.29 There were five recommendations which have all been implemented already. These related to areas such as improving the recording of dip checks and ensuring there is clear criteria for when there may be implications or learning for other departments within the HCPC outside of FtP.
- 2.30 A further QA review of the decision made by our Senior Decision Making team against our threshold criteria has just been completed and we expect the report

later in May. We also have a plan of future QA reviews to align with the go-live of new processes e.g. the new risk assessment tool.

#### Recruitment and retention (Project 7)

- 2.31 In April we completed the case manager recruitment process. This project had previously been tracking as amber due to the large volume of applications (over 270) we received for the posts. We have made offers to 15 candidates.
- 2.32 We are also finalising the new two-week induction programme all new starters will undertake. New starters will receive training on core departmental and role-specific skills, customer service, FtP standards and SLAs, as well as technical, process and systems training before they start working on cases.
- 2.33 We are currently finalising the start dates for the new candidates but we expect to have two intakes, one at the start of June and another later that month.
- 2.34 New starters have a six-month probation period in the role and we therefore expect the benefits to be realised as our new team members reach the end of their probation period. Key benefits will be increased capacity across the team to support improved timeliness and quality case management. This is particularly important once the additional external legal support ends and we use the lessons learnt to increase the throughput of cases.
- 2.35 We have started an evaluation of the recruitment campaign and interview and assessment process, which colleagues in HR are supporting us on.

#### Corrective case plans (Project 10)

- 2.36 Corrective case plans are used when a case reaches KPI and is not yet ready to be referred to a Senior Decision Maker (in the Threshold team) or the Investigating Committee (in the Investigations team). The plan requires case managers to provide a summary of the issues hindering case progression and timetable the actions required to progress the case to the relevant decision point. Case plans are prepared on a monthly basis and reviewed by the Operational Manager or Head of Fitness to Practise, depending on the age of the case.
- 2.37 The key benefit of corrective case plans is to provide enhanced oversight of old cases and focus understanding of the steps required to progress the case. The case plans allow us to identify potential blockages and escalate these, as well recognise any common themes e.g. difficulties in obtaining information from a particular organisation.
- 2.38 This will reduce the number of cases we have over KPI in both the Threshold and Investigations, and resolve older cases more quickly.

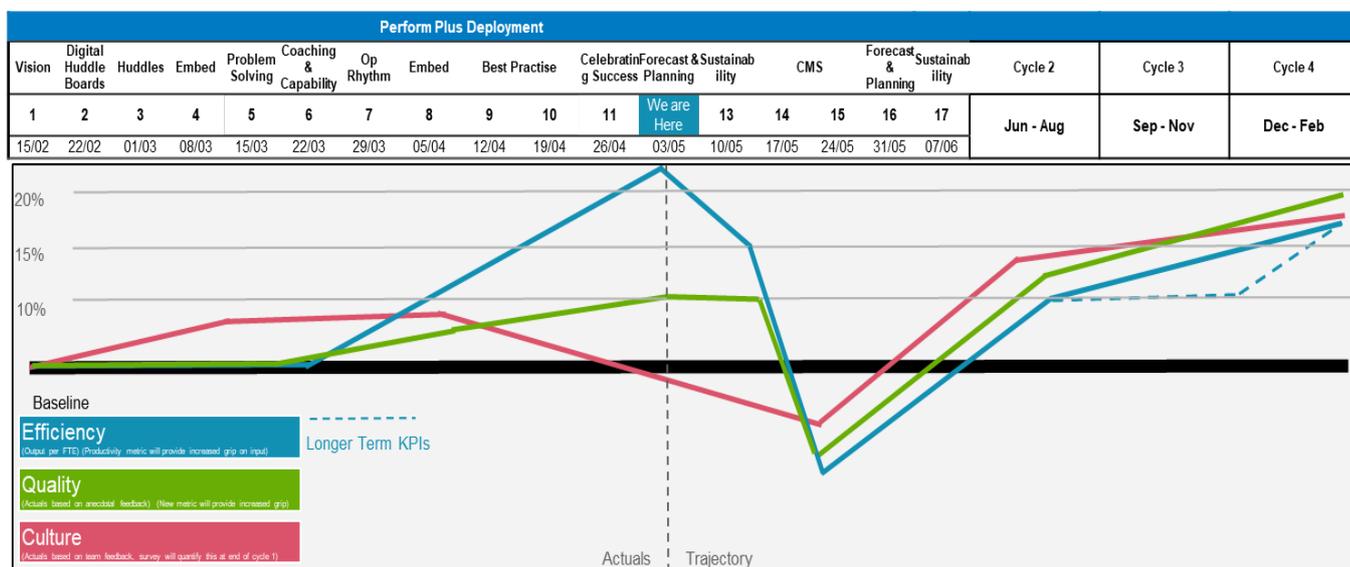
#### Update on the Perform Plus programme

- 2.39 This section provides an update on the status of the Perform Plus Programme and the early benefits that are being realised.

Perform Plus – Development of our managers and improved team productivity (Project 15)

- 2.40 PwC’s Perform Plus programme has been running 13 of 18 weeks. As explained in our March update, the Perform Plus programme aims to create a more proactive culture of collaboration, problem solving and celebrating success in order to generate a sustainable performance uplift across FtP.
- 2.41 The Perform Plus programme has been extended by two weeks from the initial 16 week programme to provide extra support for the teams around the implementation of the new case management system.
- 2.42 We have seen performance uplifts across all teams to date which we expect to balance at a long-term uplift in productivity of around 10-15% (See Figure 3).
- 2.43 Immediate productivity gains have been more successful than initially envisaged. However, the strain on the teams has caused a slight cultural dip (see Figure 3). This has been caused by the extended user acceptance testing (UAT) for the new case management system and the number of projects that have recently completed and are nearing completion.
- 2.44 We are also gaining a tighter grip on both efficiency and quality through the introduction of our new productivity tool and process confirmation. The latter is the means by which we quality assure in live cases the consistent adherence to the Best Practice Standards for key processes and activities. Process confirmation thereby provides ‘real-time’ quality data which allows us to address any issues as they emerge, as opposed to a more traditional retrospective audit of case work.

Figure 3 –Perform Plus benefits trajectory



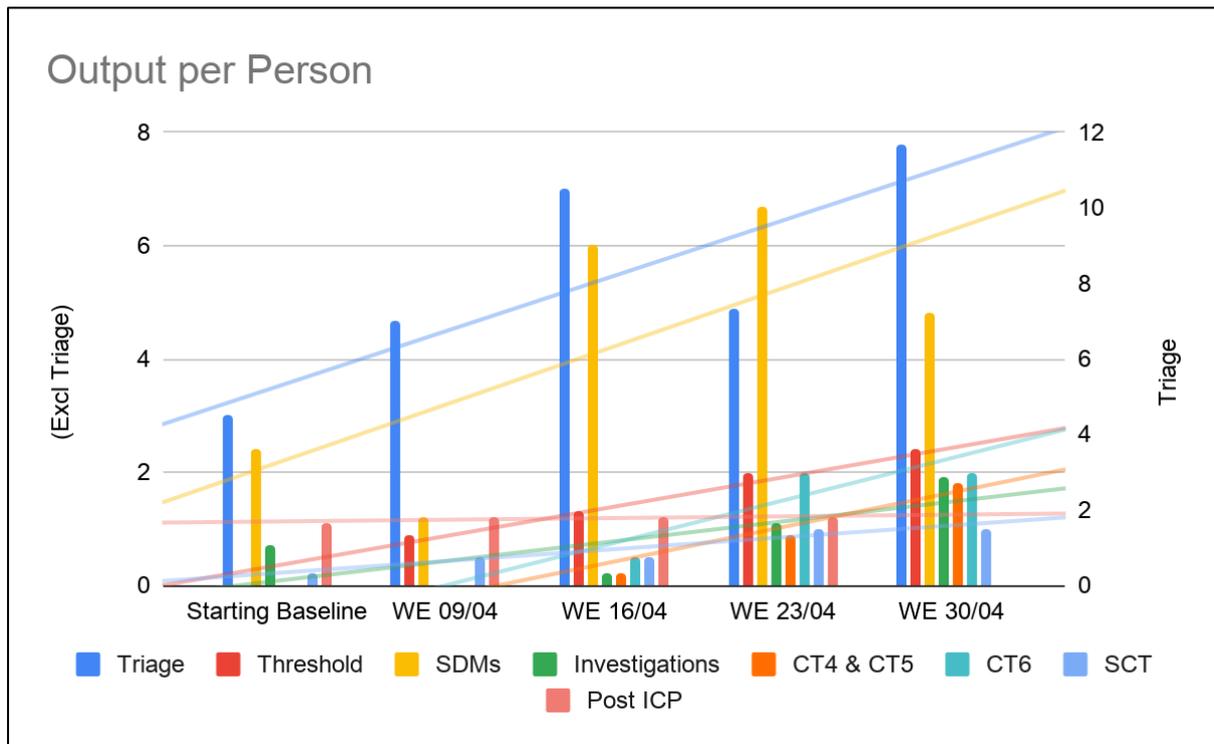
2.45 At the last meet Council asked for an update on the impact this work is having on team performance and productivity.

2.46 Since weekly KPI data has been tracked through the Perform Plus programme we have seen a significant improvement in productivity across all FTP teams.

Figure 4 shows the increase in output per full time equivalent (FTE) since our starting point in the programme. This is showing a sustained uplift across FTP. When considering the significant number of projects that the team are working on and the time dedicated to UAT for the new case management system this increase in productivity is particularly promising.

2.47 However, we do still forecast performance to temporarily dip when the new case management system is launched and the teams transition to the new system.

Figure 4 – Team productivity by FTE



*Note - Triage on separate axis due to higher volumes of outputs*

### A look at key projects that are tracking red, amber or on hold

2.48 In this section we provide an update on those projects that have a red or amber status on the programme summary report in Appendix 1.

#### New Case Management System (Project 1)

2.49 At the last Council meeting we explained that UAT had identified a number of issues that required fixing before further meaningful UAT could continue. Therefore, the go-live of the new system would be delayed by between 2-3 weeks to allow the corrections to the system to be made by the IT provider before UAT restarted and the system signed-off.

2.50 These fixes have now been made and at the time of writing this paper UAT is at the final stages. When UAT restarted it continued to identify some issues (but much less significant than previously and more in line with what is expected from UAT). As a result the users and Project Board were not able to sign-off the

system after the 3 week delay. Further improvements have continued to be made and the new CMS is now due to go-live on 7<sup>th</sup> June. This is eight weeks later than planned (inclusive of the original 2-3 week delay described above).

2.51 Projects with a dependency on the new CMS (e.g. the new risk assessment tool (Project 2), new case plans (Project 3) and updated standard operating procedures (Project 4)) are also delayed. As the delay remains relatively short, mitigations we have planned, such as a paper-based process for the new risk tool have not been put in place. However, these mitigations remain an option in the event of any further delays.

#### Increase to 500 hearings (Project 16)

2.52 This project remains amber due to the ongoing impact and uncertainty presented by the pandemic. We are planning to return to holding in-person hearings from October 2021, when our emergency powers that provide the express provision to hold remote hearings are due to end unless the provisions are extended. We are reviewing how we can continue to offer remote or hybrid hearing activity after that time.

2.53 We successfully recruited the additional hearings officers and scheduling officer posts we require to support the increase in hearing activity. However, some of our existing members of the hearings and scheduling teams have been successful in other internal recruitment and we will therefore need to carry out further recruitment in both areas to fill the new vacancies that have been created.

2.54 Our hearing capacity for July and August is lower than we had planned due to panel member availability, as the easing of restrictions coincides with the holiday period. We are looking to prioritise shorter one or two day hearings during these months to maximise the number of hearings we can complete in the available hearing days.

#### Tone of voice review (Project 14)

2.55 The Tone of Voice project that is being led by the Policy & Standards team has been paused until Q2 2021-22, due to resource constraints.

2.56 To mitigate the delay, we are delivering customer service training (across the HCPC) and the first session will be held in May as a pilot. Members of the FtP team will be involved in that pilot.

2.57 We are also delivering two other key activities focused on customer service and improved communications within FtP. The first of these is the development of an FtP Customer Service Charter, which will be rolled out across the teams in June. The second is the introduction of new stakeholder support plans and guidance. Whilst the stakeholder support plans will be rolled out with the introduction of the new case management system, training on stakeholder support has been provided during May and the principles can be put into practice straightaway.

### 3. FtP performance dashboard

- 3.1 See Appendix 2 for the FtP Performance dashboard. This shows the data for March and April 2021 and includes analysis of the data.

### 4. Benefits plan for the FtP Programme

- 4.1 Each project has its own benefits plan including the metrics that will be used to track the benefits of the project. The benefits are grouped into the following categories:
  - 4.1.1 Improved timeliness of case management
  - 4.1.2 Improved risk management of cases
  - 4.1.3 Improved quality, consistency and customer service
  - 4.1.4 Improved age profile of cases
  - 4.1.5 Increased efficiency.
- 4.2 Appendix 3 provides an overview of the benefits map for the full FtP Programme.
- 4.3 These project benefits will feed into an improved FtP performance dashboard. Due to the timescales before cases are concluded and therefore metrics, such as the age profile of case, improve there will be a lag time of up to 12 months between individual project benefits being realised at a project and team level and that resulting in an improved dashboard for the end-to-end FtP process.

### 5. Next steps

- 5.1 Council will be updated on the progress against our plan at each meeting in 2021.

## Appendix 1: Project status report

	Project	RAG	Key points to note	R&I	Plan
1	New CMS	Red	UAT was paused while issues identified were fixed by the IT supplier. These changes have been made and UAT has restarted and nearing completion. There remain some outstanding issues on data reporting that must be fixed before go-live.	Red	Red
2	New risk tool (embedded with CMS)	Green	The tool is ready, training has been delivered and guidance notes completed. Go-live is pending deployment of new case management system ((CMS) -project 1). Overall project is green as the work in the project has been completed on time and the tool is ready to go but is dependent on the go-live of the new CMS.	Green	Red
3	New tailored case plans (embedded within the new CMS)	Green	The new case plans are ready and have been through the HCPC's internal QA process. Training on using the new case plans has been completed. Overall project is green as the work in the project has been completed on time and the tool is ready to go but is dependent on the go-live of the new CMS.	Green	Red
4	Update SOPs and guidance for new CMS and related process changes (including staff training)	Green	The new SOPs have been through the HCPC's internal QA process. Best Practice standards and process confirmations are in development and will be continued after the new case management system has gone live.	Green	Red
5	Targeted support to improve the age profile of cases at threshold stage	Green	All cases transferred and beginning to be returned. Final cases will be received back by September. Benefits have been baselined and will be tracked through to September.	Green	Green
6	Targeted support to accelerate old cases from SCT and Investigations team - including pilot of 'frontloading' for appropriate cases.	Green	All cases transferred and beginning to be returned. Final cases will be received back by September. Benefits have been baselined and will be tracked through to September.	Green	Green
7	FtP recruitment and retention strategy	Green	Offers have been made and accepted with new starters onboarding in June. New staff will be tracked against baselined turnover rates to clarify impact of new recruitment and onboarding process. Additional 'retention' benefits will be tracked as a result of the whole FtP programme.	Green	Green
8	Introduce legally qualified ICP chairs	Green	Legally qualified chairs have been onboarded and started sitting at ICP Chairs. Benefits have been baselined and will be tracked for progress.	Green	Green
9	New listings/scheduling process for HCPTS	Orange	Revised process has been drafted and reviewed internally. Union reps feedback session scheduled for June in addition to a briefing deck for external legal providers. Initial cases expected to arrive with ICP by July. Plans in place to train Scheduling Officers on new process. Still on track to be ready to implement process in July but sessions with stakeholders scheduled later than planned and feedback may give rise to further work that needs to be undertaken and risk of delay.	Green	Orange
10	Corrective case plans for all cases past KPI	Green	All relevant cases now have a corrective case plan in place. Benefits have been baselined and are being tracked.	Green	Green
11	Quality audit of SDM threshold decisions	Green	Audit has completed. Awaiting final report.	Green	Green
12	Quality audit of SDM team QA process	Green	QA Team have completed their review of the process by which the SDMs quality assure their own decisions. Recommendations have been implemented.	Green	Green
13	HCPTS panel member training	Green	Training completed. Learning from training will inform the review of ongoing panel member training scheduled to commence from September	Green	Green
14	Tone of voice review	On Hold	Project has been placed on hold by the wider HCPC delivery team. FtP currently investigating potential solutions that can be implemented specific to FtP. As a mitigation customer service training is being delivered and the customer charter and stakeholder support plans will be introduced.	White	White
15	Perform Plus development of people	Green	Programme is at week 13 of an 18 week programme. All but two elements have been fully delivered. Additional support is being provided through the programme for CMS go live and the order of delivery of elements within the programme has been changed to mitigate the impact of the delays with the new case management system which risks delaying realising the benefits of the programme.	Orange	Green
16	Increase hearings to 500 hearings starting April 2021 (subject to COVID-19 restrictions)	Orange	Team will be operating at a reduced capacity due to recent promotions within FtP. However July and August will target consent hearings as a means of meeting the target of 40 cases per month. Additional resources will be required by Sept and recruitment is underway.	Orange	Green

## Appendix 2: FtP Performance Report for March, April and May (1 – 14<sup>th</sup> May) 2021

### Case volumes and case flow

Case Volumes at each stage of the process.					
Month	Triage	Threshold	Investigations	SCT	Post-ICP
Current (May)	6 Cases	686 Cases	345 Cases	162 Cases	480 Cases
Prior (Apr)	12 Cases	698 Cases	356 Cases	150 Cases	470 Cases
Two Months Prior (Mar)	7 Cases	655 Cases	363 Cases	140 Cases	457 Cases

Case Split	2021-05		2021-04	
	Difference (May vs April)	Median number of weeks within current team	Difference (April vs March)	Median number of weeks within current team
ICP	-17	21	38	22
Triage	-6	0	7	2
Threshold	-12	14	29	15
External Law Firms	-16	35	-46	35
In-house	4	10	75	10
Investigations	-11	32	-15	31
External Law Firms	0	6	25	5
In-house backlog team	0	54	-16	53
In-house case teams	21	13	-21	12
Pending ICP	-32	26	-3	28
SCT	12	39	17	40
External Law Firms	-1	47	10	45
In-house SCT	18	25	7	35
Pending ICP (Internal)	-5	28	0	45
ICP	10	38	11	40
<b>Total</b>	<b>-7</b>	<b>123</b>	<b>49</b>	<b>128</b>

### Analysis

#### Threshold

- The number of open cases in the Threshold team at the end of April has decreased slightly from the end of the previous month but is higher than the end of March. This number also includes threshold stage cases outsourced to our legal providers. The overall case flow balance of in-house threshold cases has increased, whilst the external cases have decreased as the legal firms have closed a number of cases.
- The case remaining in the HCPC's Threshold team have a median age of 10 weeks, which is a decrease from 17 weeks in March. This reflects the increase in new cases received into the team and the work done to move the oldest cases out of the team.
- The number of cases in the Threshold stage has increased since last month but the proportion within KPI has decreased (next page). In response we have undertaken a rapid review of the older cases in-house and 60 cases that will meet our threshold criteria will be advanced to the Investigations team, where there is capacity to manage the ongoing investigations. The rapid review process will be undertaken again in June and July. In addition, the new people recruited will be joining the team from the start of June following the successful recruitment campaign will be focused on threshold stage cases in the first instance.

#### Investigations

- The HCPC's Investigation teams is performing relatively well as the number of cases in the team continues to decrease and more cases leave the team than enter (though this is in part due to cases not moving through from Threshold). The median age of case in that team is 12 weeks (8 weeks under the 20 week KPI). This is despite the age of the oldest case in the team increasing, which indicates the team are progressing cases across the age spectrum.
- The internal HCPC 'backlog' team caseload has remained steady. This is because the team are not taking any new cases and no cases have moved out of the team in period 1-14 May.

#### SCT

- In April the Serious Case Team resumed receiving new cases from Triage. Previously these had been allocated to external firms as part of the frontloading pilot. This accounts for the rise in cases in the in-house team. The median age of cases within SCT is 25 weeks (5 weeks over the 20 week KPI) but ten weeks lower than the previous month. It's also 13 weeks lower than March.

## Performance against KPIs

### Current Cases Compared To Targets

Team - Ordered	Target (Weeks)	Ahead of Target	% Ahead	Behind Target	% Behind
1. Triage	2	5	83.3%	1	16.7%
2. Threshold	10	258	37.6%	428	62.4%
External law firms	★ 10	1	0.5%	195	99.5%
Inhouse	★ 10	257	52.4%	233	47.6%
3. Investigations	20	142	41.2%	203	58.8%
External law firms	★ 20	38	92.7%	3	7.3%
In-house backlog team	★ 20	8	5.7%	133	94.3%
In-house case teams	★ 20	78	66.7%	39	33.3%
Pending ICP (Internal)	★ 20	18	39.1%	28	60.9%
4 SCT	20	49	30.2%	113	69.8%
External law firms	★ 20	21	23.1%	70	76.9%
In-house SCT	★ 20	27	40.9%	39	59.1%
Pending ICP (Internal)	★ 20	1	20.0%	4	80.0%
5. Post-ICP	39	250	52.1%	230	47.9%
External law firms	★ 39	17	100.0%		
Inhouse	★ 39	233	50.3%	230	49.7%
<b>Total</b>	<b>20</b>	<b>704</b>	<b>41.9%</b>	<b>975</b>	<b>58.1%</b>

## Analysis

### Triage

- The one case behind target is actually a data error. The case has met triage and is with the Threshold team but there was an error in the case status on the case management system. The case has now been updated.

### Threshold

- In February, 280 of our oldest cases at threshold were given to external law firms to manage. A newer case is also with the law firms as it is linked to an older case allocated to them.
- There has been an increase in the proportion of the in-house Threshold case load being outside of KPI. It is now just under half of the caseload at 47.6%. We have undertaken a rapid review of the older cases in-house and 60 cases that will meet our threshold criteria will be advanced to the Investigations team, where there is capacity to manage the ongoing investigations. In addition, the new people recruited will be joining the team from the start of June following the successful recruitment campaign will be focused on threshold stage cases in the first instance.
- A number of problem solving sessions have been held within the team and with the SDMs to identify more efficient ways of working across teams and resolve quick wins,

### Investigations

- The HCPC's Investigation team managing the normal flow of cases is performing relatively well with 67% of cases within KPI. This is a small increase from 63% last month, A sizeable proportion of the team's cases both within and over KPI are pending an ICP (39% and 61% respectively). The in-house team have a relatively small active caseload and for that reason we have re-balanced the caseload via the rapid review of the Threshold cases.
- The HPC's backlog team (that was created in September 2020) is reported separately as by the very nature of this team the cases are older. At its inception the backlog team took on some aged cases from the Threshold team which when transferred to Investigations sat within the latter team's KPI.

### SCT

- Of the in-house SCT cases behind target, only 12 are not subject to a third party investigation. Six of those are due to be prepared for the ICP in May.

## Age range of case

### Number of Weeks at Each Stage (Case age looks only at cases in their current state)

Ref Date Pre/Post ICP	May				April				March	
	Target Weeks	Median	Max Weeks With Team	Min Weeks with Team	Median	Max Weeks With Team	Min Weeks with Team	Median	Max Weeks With Team	Min Weeks with Team
<b>Pre-ICP</b>		<b>21</b>	<b>209</b>	<b>0</b>	<b>22</b>	<b>207</b>	<b>0</b>	<b>23</b>	<b>202</b>	<b>0</b>
<b>1. Triage</b>	<b>2</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>2</b>	<b>16</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>0</b>
<b>2. Threshold</b>	<b>10</b>	<b>14</b>	<b>85</b>	<b>0</b>	<b>15</b>	<b>84</b>	<b>0</b>	<b>18</b>	<b>78</b>	<b>0</b>
External Law Firms	10	35	85	7	35	84	7	29	78	4
In-house	10	10	72	0	10	69	0	8	58	0
<b>3. Investigations</b>	<b>20</b>	<b>32</b>	<b>148</b>	<b>0</b>	<b>31</b>	<b>147</b>	<b>0</b>	<b>31</b>	<b>158</b>	<b>0</b>
External Law Firms	20	6	56	1	5	55	1	1	49	0
In-house backlog team	20	54	147	10	53	146	10	49	140	23
In-house case teams	20	13	148	0	12	147	0	10	141	0
Pending ICP	20	26	106	3	28	105	3	23	158	4
<b>4. SCT</b>	<b>20</b>	<b>39</b>	<b>209</b>	<b>0</b>	<b>40</b>	<b>207</b>	<b>0</b>	<b>42</b>	<b>202</b>	<b>0</b>
External Law Firms	20	47	140	2	45	139	2	43	133	0
In-house SCT	20	25	209	0	35	207	0	31	202	8
Pending ICP (Internal)	20	28	55	18	45	198	18	47	72	10
<b>Post ICP</b>	<b>39</b>	<b>38</b>	<b>293</b>	<b>0</b>	<b>40</b>	<b>292</b>	<b>0</b>	<b>37</b>	<b>286</b>	<b>0</b>

#### Analysis

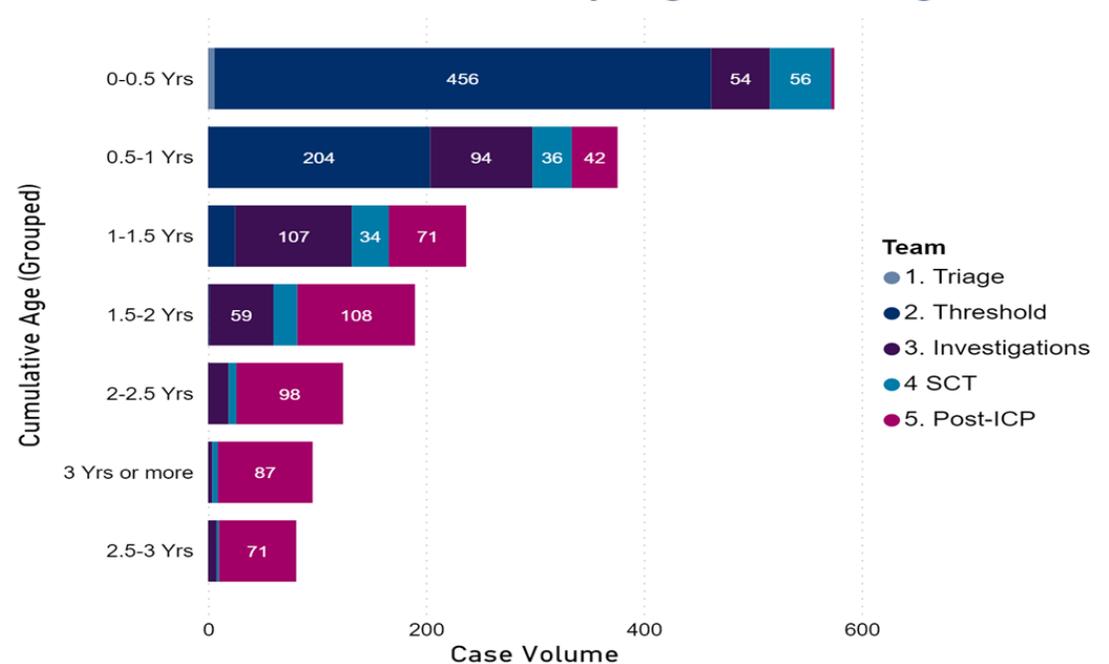
- **Triage:** The oldest case in Triage (3 weeks) was a case where the status had not been updated as it moved to the Threshold team. This has now been amended.
- **Threshold:** The oldest case in the in-house Threshold team (72 weeks) has been delayed to the impact of the pandemic on the employer who has been unable to provide us with information within our usual timeframes earlier in the year. Median age for the in-house cases remains at KPI of 10 weeks.
- **Investigations:** The current oldest in-house case (148 weeks) is a reduction on the position in February (192 weeks – not shown above). The current oldest case was considered by the ICP in April and adjourned for further investigation. In-house median age is well within KPI (at 13 weeks compared to a target of 20 weeks)
- **SCT:** The SCT have seen a number of their oldest cases conclude at ICP, bringing the age of the oldest case pending ICP down to 55 weeks. The oldest case in-house (209 weeks) is subject to a third party investigation. In-house SCT median is coming down (currently at 25 weeks in May compared to 35 weeks in April and 31 weeks in March).

## Cumulative age of cases

### Overall Cumulative Age (Weeks)

Team	Cumulative Target	Median Cumulative Age	Max Cumulative Age	Min Cumulative Age
1. Triage	2	0	3	0
2. Threshold	12	14	86	0
External law firms	12	36	86	7
Inhouse	12	10	73	0
3. Investigations	32	56	270	7
External law firms	32	40	75	29
In-house backlog team	32	75	270	37
In-house case teams	32	30	156	8
Pending ICP (Internal)	32	61	136	7
4 SCT	22	44	244	0
External law firms	22	53	199	3
In-house SCT	22	31	244	0
Pending ICP (Internal)	22	31	55	19
5. Post-ICP	71	108	384	12
External law firms	71	82	173	32
Inhouse	71	108	384	12

### Volume of cases by age and stage

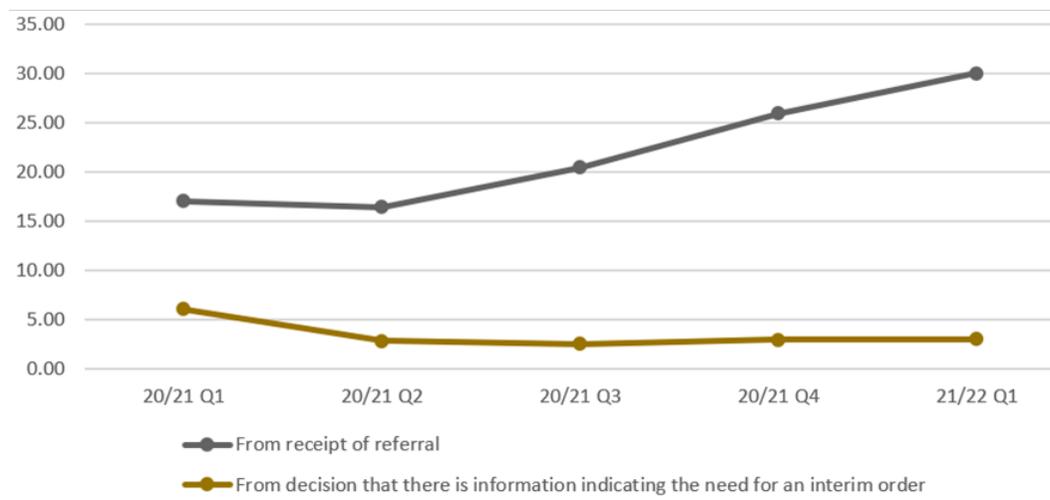


#### Analysis

- Looking at the median age of cases the performance of case progression through the FtP process positive for triage and reasonable for in-house threshold and investigations teams but not where we want to be in the future. As we would expect, the majority of our caseload is at the earliest stages in the process, and most of our oldest cases are in the post-ICP stage.
- There are a number of older cases within the pre-ICP stage of the process that are adversely impacting the aged profile in these areas. This is why a significant number of the projects in the FtP Improvement Plan are aimed at improving the age profile of cases and targeting the oldest cases in the process (e.g. adding additional capacity through external law firms to assist with our oldest threshold and SCT investigations, and creating the in-house 'backlog' team).
- Post-ICP the median age of cases is noticeably above KPI. This reflects the ongoing impact of the pandemic on our ability to conclude final hearings last year. We would expect the median age of cases post ICP to remain above KPI as the aged cases from earlier in the process move through to the final hearing stage.

**Note:** Data presented excludes Rule 12 cases which are cases we are unable to progress due to ongoing criminal investigations. Except for IO cases relating to criminal investigations where these are included due to ensure enhanced monitoring and oversight.

## Interim order performance



### Analysis

- This data shows the length of time (in weeks) it has taken us to seek an interim order from a panel. It reflects how quickly we take action when we identify that a registrant may present a serious or immediate risk to public safety, the public interest or their own interest.
- The length of time it has take from receipt of a concern to consideration by the panel has increased over the last year. Not all cases that require an interim order appear serious on receipt and this measure includes time when we would have been investigating a case in line with our standard processes. In cases where there is an ongoing criminal investigation, we need to await a charging decision or a conviction before we can apply for an interim order.
- Our new risk assessment tool and enhanced guidance will support the teams to recognise and prioritise potential interim order cases where possible and seek relevant information to confirm the seriousness and risk of the case as quickly as possible.
- The length of time it has taken for a interim order to be considered by a panel once we have received information that gives rise to the need for an interim order has halved over the last year and remained consistent over the last six months.
- This quarterly data is provided to the PSA as part of the dataset. We aim to produce month on month data for Council going forward so we can more easily track current performance.

	20/21 Q1	20/21 Q2	20/21 Q3	20/21 Q4	21/22 Q1
From receipt of referral	17.00	16.43	20.43	25.93	30.00
From decision that there is information indicating the need for an interim order	6.03	2.79	2.51	2.92	3.00

## Protection of Title (POT) cases

	Open cases	Open over KPI (60 days)	Closed in April	Average Length of time receipt to closure	Shortest time to closure	Longest time to closure
Protection of title cases	74	36	28 weeks	27 weeks	7 days	195 weeks

### Analysis

- This data shows performance against KPI of our protection of title (POT) caseload at the end of April 2021.
- The number of cases open over KPI includes two cases which are pending prosecution. The impact of the pandemic on the court system has caused significant delay to these cases. COVID has also impacted our ability to progress a number of POT cases as a number of the premises we have been writing to as the official address of a respondent have been closed during the various lockdowns over the last year. Whilst our average length of time from receipt to closure is well within our KPI, we will be focusing on reducing the oldest open cases.
- This is the first time we have reported on this data to Council. The end of April data will provide a benchmark and comparative month on month performance will be provided to Council at future meetings.

## Appendix 3: Project benefits map

Goal	Benefit	Projects Impacting
Timeliness of case management	Overall reduction in the average age of cases and those falling outside of KPIs	4 5 6 10
	Increased capacity within the team leading to increased throughput of cases	4 7
	Reduce cost per case	3 4 6
Improve risk management of cases	Clear measures to identify early warning signs for high risk / IO cases	1 2
	Critical decisions (e.g. to seek an IO) made earlier in case lifecycle	2 4 6
	Better data and information for decision making	1 2 11 12
Improve quality, consistency and customer service	Improved consistency and quality in case management and resolution	3 4 11 12
	Improve overall quality of investigation leading to fewer Adjournments, Prelims due to amendments and NWF conclusions at final hearing	3 4 6 8
	Reduce the number of Corrective Case Plan cycles a case goes through before completion	10
	Assurance over the quality of Senior Decisions Maker team decisions.	11 12
	Targeted recommendations for improvement for FtP to take forward.	11 12
	Reduce Number of Learning Points returned from PSA	3 4 13
	Consistency in tone, approach and language across all FtP processes and documents.	3 4 14
An improved experience for all external stakeholders who interact with HCPC and specifically the FtP department.	4 9 14	
Improve age profile of cases	Reduction in backlog of cases/increased throughput on cases.	5 6 10 16

Increase efficiency	Better user experience (driven by consistency in approach and efficiency in data collection and processing)	3	4		
	Lessons learnt from external providers approach - increased throughput after the targeted support period ends.	5	6	7	10
	Reduction in staff turnover within the FtP department.	7			
	Cost benefit of not having to continually refill roles due to reduced turnover	7			
	Increased case resolution pre-hearing	5	6	8	10
	Increased throughput of cases by maximising capacity and efficiency of scheduling processes across FtP.	9			
	Alignment with best practice through benchmarking of case management processes with other regulators for scheduling.	9			
	Increased throughput and volume of hearings	9	13	16	
	Improved structure and approach in case management for FTP staff (reduced ambiguity and clearer process)	1	3	4	

#### Project list

- 1 = New CMS
- 2 = New Risk Tool
- 3 = New tailored case plans
- 4 = Updated SOPs and guidance
- 5 = Targeted support to improve age profile of cases at threshold
- 6 = Targeted support to accelerate old cases from SCT and Investigations teams
- 7 = FtP Recruitment and Retention Strategy
- 8 = Introduce legally qualified ICP Chairs
- 9 = New listings / scheduling process for HCPTS
- 10 = Corrective case plans for all cases past KPI
- 11 = Internal quality audit of new threshold process
- 12 = Internal quality audit of Senior Decision Maker team decisions
- 13 = HCPTS panel member training
- 14 = Tone of voice review
- 15 = Perform Plus – Development of our people supported by PwC
- 16 = Increase hearings to 500 starting from April 2021.