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### Chief Executive's report on organisational performance December 2022

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#### Executive Summary

This paper provides the Council with updates on the organisation's performance since the September 2022 Council meeting.

The report includes narrative updates on specific projects and activities for the Council to note, stakeholder engagement activity, regulatory development, organisational development and an update on Covid temporary registration.

As this is a quarterly edition of the report, it includes KPI, Corporate Plan and Strategic Risk reporting.

#### Appendices

- A – List of the Chief Executive's meetings in the reporting period
- B – KPI dashboard and performance data
- C – Corporate Plan 2022-23 deliverables tracker update
- D – Strategic Risk Register November 2022

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Previous consideration	This is a standing item, considered at each Council meeting. As previously agreed by Council the March, July, September and December reports contain KPI data as well as the Strategic Risk Register and Corporate Plan tracker.
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Purpose of report	The Council is asked to discuss the report.
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Next steps	The next report will be received in March 2023.
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Strategic priority	This report is relevant to all strategic priorities.
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Financial and resource implications	None as a result of this paper.
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## Chief Executive's Performance Report - December 2022

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## 1. Chief Executive's Organisational Assessment

Good progress is being made against most of the key Corporate Plan milestones. There are no significant changes since the previous September report, with the exception of the review of the Standards of Education and Training which will no longer initiate this year. This is to allow the Executive to reconsider the timing of this work in the context of regulatory reform.

### ***Improving our core regulatory functions***

There is sustained improvement with our international registration application performance against service standards and KPIs, with the median time for processing applications to first assessment decision continuing to be within the service standard. This is against a backdrop of a continuation of the high volume of applications being received.

Our performance for processing UK applications has been maintained through the summer peak, with applications being processed well within our service standard. On renewals, we continue to proactively engage with professional bodies to support the timely conclusion of the renewal process. At the time of writing, Operating Department Practitioners are due to complete their renewals. This is the first profession that has renewed for the second time using the online portal. It is evident through our tracking of the renewal data that a larger proportion of registrants are renewing earlier in the renewal cycle when compared to previous renewal cycles.

Our service responsiveness, in particular answering telephone calls, has continued to improve with the KPI being met in October and expected to be met in November. This is a product of investing in the cloud telephony system and training more colleagues to be able to handle phone calls.

The education quality assurance activities are now consistently meeting KPIs, with the time taken to provide reports to education providers following the conclusion of quality activities being well within the 30 day KPI at 21 days.

With regards to Fitness to Practise, colleagues have been working closely with the Professional Standards Authority in support of the Authority's audit of FTP cases as part of the current performance review. But in summary, there continues to be consistent improvement against both quality and timeliness measures.

### ***Collaboration and engagement***

Much of our engagement focus since September has been on our financial sustainability plans and proposed fees consultation, with intensive engagement activity with registrants, professional bodies and trade unions. This has included dedicated engagement across the four nations.

I had the pleasure of attending the Scottish Regulatory conference in Edinburgh and contributed to a panel discussion with the Chief Executives of the GCC and SSSC on *How does health and social care regulation learn from the pandemic?* The Cabinet Secretary of Health and Social Care, Humza Yousaf gave the keynote address which recognised the valuable contribution of the health and social care regulators during the pandemic and in responding to the current workforce pressures.

In November I attended a conference convened by the Professional Standards Authority to explore the themes and recommendations of their recently published report *Safer care for all – solutions from professional regulation and beyond*, and presented on the theme of tackling health inequalities.

### ***Organisational culture***

Improvement against our employee sickness and turnover metrics continues, with the reduction in voluntary turnover being sustained over two consecutive quarters.

Following extensive piloting of hybrid working arrangements, the new way of working has now been made permanent. Desk utilisation is being monitored closely. This indicates there is scope for more colleagues to attend the office to connect with their teams and to work collaboratively. Managers have been asked to consider how this can be achieved. Additionally, colleagues are attending the office for team meetings or training but don't need to book a desk via the desk booking app.

Staff pulse surveys indicate that the move to hybrid working in the way we have is highly valued by employees and has already become a key element of HCPC's 'offer' when attracting new talent to the organisation.

The Executive will need to consider carefully striking the right balance between offering individual flexibility with business need and overall organisational cohesion and culture.

## 2. Stakeholder engagement summary

### 2.1 Public Affairs

Public affairs engagement in the reporting period has been largely focused on the HCPC's fees consultation, to ensure the HCPC remains financially viable and can meet its statutory obligation of protecting the public. As part of our programme of engagement with government, the devolved administrations, professional bodies, trade unions and other key stakeholders, myself and the Chair met with Humza Yousaf MSP, Scottish Cabinet Secretary for Health and Social Care, to discuss the HCPC's key priorities, our improvement journey as an organisation, and our fee rise consultation.

Our Chair also met with the lead researcher to Feryal Clark MP, Shadow Minister for Primary Care and Patient Safety. In addition to the HCPC's proposals for a fee rise, the discussion covered Labour's priorities for the health and care and workforce and the HCPC's improvement programme.

We also wrote to Liz Twist MP (Labour) after she had tabled parliamentary questions to the Department of Health and Social Care on the subject of the HCPC's proposed fee rise.

#### *Other engagement*

Congratulatory letters were sent from the Chair to the Rt Hon Steve Barclay MP, following his appointment as Secretary of State for Health and Social Care, and to Will Quince MP, following his appointment as a Minister at the Department of Health and Social Care with responsibility for workforce and professional regulation.

The Chair also wrote two letters to Robert Jenrick MP. The first welcomed him to his ministerial role (then Minister of State at the Department of Health and Social Care with responsibility for professional regulation). The second responded to a letter from Mr Jenrick confirming the government's extension of the HCPC's temporary register provisions under the Coronavirus Act 2020.

### 2.2 Stakeholder engagement

#### *Fees*

The HCPC's fees consultation is currently live and we continue to actively engage with our stakeholders to promote awareness of the consultation and communicate why the increase is required. Engagement has included a series of dedicated webinars hosted by myself and the Executive Directors, during which we were able to directly respond to questions from registrants about their concerns. Across the three-month period over 500 people signed up for these events and the questions and comments have been collated and will feed into the wider consultation work.

During this period the HCPC has also met with Trade Unions, government officials, and professional bodies, and all of these discussions encompassed some discussion around fees and the current consultation proposals. The main feedback from all bodies has been on the question of timing, through the webinars, meetings, and in the consultation document itself we have been able to explain the rationale and the

'why now', and many now understand our position, although the majority of responses so far received do not support the proposed increase.

Following the closure of the consultation in December we will bring a decision-making report to Council in February. The focus will then be on engaging decision-makers in government.

### *Professional Body Quarterly Forum*

Our September Professional Body forum was attended by 17 organisations, the highest attendance of the year and owing to the expansion of reach to a greater number of clinical science bodies

The meeting itself centred mainly on fees, as it was timed with the opening of the consultation. Many professional bodies are concerned about their own fees having to be increased at the same time, and if this will reduce their membership as registrants feel unable to pay for both increases at this time.

## **2.3 Communications**

Our September edition of 'In Focus', our registrant newsletter, focused on the launch of the fees consultation and associated webinars. It also promoted our #myhpcstandards webinar series.

We have enhanced our online content for registrants on the value of registration by launching new video content on '[why your registration matters](#)' where a number of registrants share their reflections on being a regulated professional.

Key external communication published on our website during this period included:

### *News and resources*

- [HCPC launches consultation on changes to fees](#)
- [Extension of the COVID-19 Temporary Register](#)
- [HCPC joins healthcare regulators to publish latest whistleblowing report](#)
- [HCPC joins lay advocacy service POhWER](#)
- [HCPC launches consultation on preceptorship](#)
- [Continuing our improvement journey: A statement from the Chair of the HCPC](#)
- [Operating department practitioner renewals - window closing soon](#)
- [Statement on English language proficiency requirements for internationally trained health and care professionals](#)
- [AHP Support and Supervision: The Scotland Story](#)
- [The benefits of supervision - an employer's perspective](#)
- [Annual report and accounts 2021-22](#)

### *Blogs*

- [Beyond Barriers – helping our diverse workforce thrive](#)
- [How to choose your CPD activities](#)
- [HCPC launches search for its next Council Apprentices: could it be you?](#)

## 3. Regulatory Development

### 3.1 Registration

#### *UK applications to join our Register*

I am pleased to report that the team continue to manage UK applications to join our Register, from new graduates from our approved programmes, within service levels at all times. The team continues to realise the benefits of online applications and a dedicated UK applications team to manage this process. Performance against the KPI for UK applications has been consistently met this financial year.

#### *International applications to join our Register*

There continues to be a high volume of new online international applications, with an average of c.250 per week being received in the last three months. As at the end of October 2022, we have registered 6,457 international applicants compared to 4,687 for the entire 2021-22 financial year. Despite the high demand, we have continued to meet our service level performance target for median processing of applications to a first assessment decision within 60 days between September-October (and we have been within this service standard since June). This indicates the changes we made at the start of the year continue to have the desired impact. We have more work to do internally to ensure we maintain this performance and achieve a steady state across all parts of the international process and continue to manage the high level of demand for this service.

#### *Service responsiveness*

The performance in our contact centre has improved as a result of new call handler training and the introduction of the new cloud-based telephone system, which enables the team to answer calls both from within the office and at home providing greater flexibility. The telephone call answer rate was 96% in October, achieving our KPI, with this level of service continuing in November.

Our improved performance in responding to emails has been sustained at 3 working days in September and 2 working days in October. The KPI has been met since June 2022.

#### *Registration renewals*

The renewal rate for operating department practitioners as at 23 November 2022 is 93.1%. At the same point in their previous renewal cycle in 2020, their renewal rate was 91%. We continue to engage with the relevant professional bodies before and during the renewal windows, this includes us sharing renewal rates periodically and providing information to support registrants to renew their registration throughout the renewal window.

### 3.2 Fitness to Practise

The Professional Standards Authority are currently undertaking our performance review which includes an audit of FtP cases. We will report to Council the outcome of that review. In addition to the KPI dashboard we have provided Council with an overview of the key metrics relating to our FtP performance, these are the main

metrics Council are familiar with from our performance and progress reporting at every public meeting of Council since the start of 2020.

### Interim Order performance

One of the measures of how effectively we complete and keep up to date the risk assessment of our FTP cases is the time it takes to apply for an interim order. We have consistently met our target to progress a matter to an interim order within 3 weeks once we have identified the need for an interim order (orange line).



The blue line shows how quickly we progress a matter to an Interim Order hearing following receipt of a concern. Our target for this measure is 12 weeks. Performance against this second measure can be impacted by ongoing third-party investigations which must either be concluded or reach an appropriate evidentiary stage before we can apply for an interim order. Most often these are criminal investigations and/or ongoing court proceedings. The grey line shows our performance when third party investigations are excluded from the data.

In August and September, we met our KPI when third party investigations were not a factor. In October our performance was impacted by a case at final hearing stage where new information was received which increased the risk profile of the case and required consideration for an order.

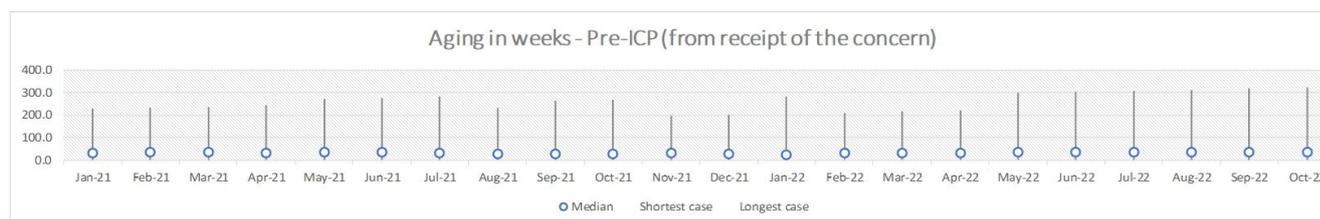
### Age profile of the live caseload

We know that improving the age profile of cases takes time, particularly when measuring to the point a case is concluded at the ICP stage or HCPTS panel. Looking at the median age of our live caseload gives a more rounded picture of our performance.

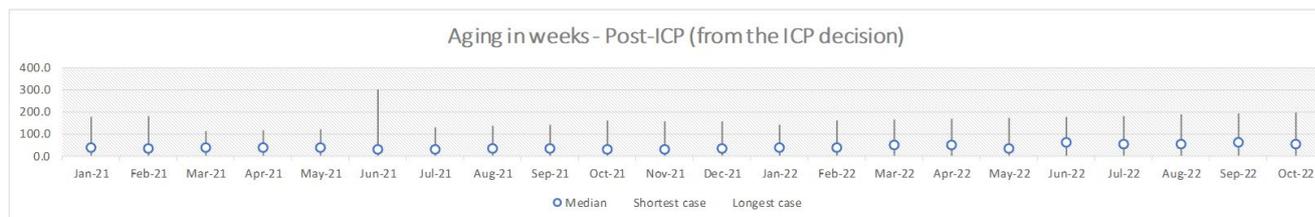
The figures below show the median age of cases in the pre-ICP and post-ICP teams respectively. The median age of our pre-ICP caseload has remained consistently at 37 weeks (4 weeks over the 33 week KPI) since May 2022. This is due to a third party investigation being taken out of the on hold status in May.

The median age of the post-ICP caseload is 55 weeks. This is above the KPI of 39 weeks but continues a lower trend we have seen since June 2022. We would expect to see the age profile of the post-ICP caseload increase as older cases are progressed through the process.

### median age of the live pre-ICP caseload



## median age of the live post-ICP caseload



### 3.3 Education

In this reporting period, we have continued to focus on service for our stakeholders, with the launch of our education provider self-service portal. This allows providers to access live assessment information, submit documentation, and communicate with us through a simple interface.

We are also continuing to proactively support providers to engage with and meet our standards, with a highlight being webinars on key areas of our education work which were well attended.

### 3.4 Regulatory reform

Continued changes to the political landscape throughout October and November have contributed to delays in government announcements relating to regulatory reform and the launch of the legislative framework for Anaesthesia Associates and Physicians Associates consultation (which would act a blueprint for other regulators' legislation).

Throughout this period, we have maintained close engagement with DHSC and other regulators. We have also been considering our approach to responding to the upcoming consultation, including engagement with our stakeholders, and considering the resources needed to support our ongoing work on regulatory reform as we begin to move into the next phase of activity.

### 3.5 Policy and Standards

#### *Standards of Conduct Performance and Ethics*

At its meeting in September 2022 the Council agreed the intended approach to reviewing the HCPC's standards of conduct performance and ethics (SCPE), at that time the intention was to seek Council approval for a consultation at the December 2022 meeting. However due to resource prioritisation within the policy team, it has not been possible to maintain this timeline and the Executive will now present this consultation launch decision at the Council's February 2023 meeting. This change to the timeline should not overall impact on the intended publication dates (September 2023) or implementation dates (September 2024) for the revised standards (September 2023).

We intend to commission dedicated research activity alongside the consultation to ensure that service user engagement forms part of the review activity.

## *Preceptorship*

Following Council approval at its meeting in October 2022, the HCPC's consultation on preceptorship principles launched on 26 October and will run for 8 weeks closing on 21 December. As of 21 November, we have received 654 consultation responses from across all 15 professional groups.

In collaboration with Health Education England (HEE) colleagues we are holding two webinars to support the consultation, as well as various other methods of promotion to increase the consultation reach. Analysis of the survey responses and proposed principles for approval are intended to be presented to the Council at its February 2023 meeting.

## *Professional Qualifications Act*

The Professional Qualifications Act creates a new framework for recognising the qualifications of professionals outside of the UK and replaces the UK's previous recognition framework with the European Union. The act received Royal Assent in April 2022 and all elements of the act came into force at the end of October. The HCPC had to undertake minimal work to be compliant with the new act, which included adding additional information to our website.

We continue to engage in developments around recognition of professional qualifications through the Regulated Professions Advisory Forum, including those which may arise from trade negotiations.

## *Welsh Language Standards*

In July 2022, the Senedd passed new Welsh Language Standards for health and social care regulators. These standards will replace the HCPC's current Welsh Language Scheme, which has been in place since 2011. We have worked with other regulators to understand the implication of the standards and to engage with the Welsh Language Commissioner.

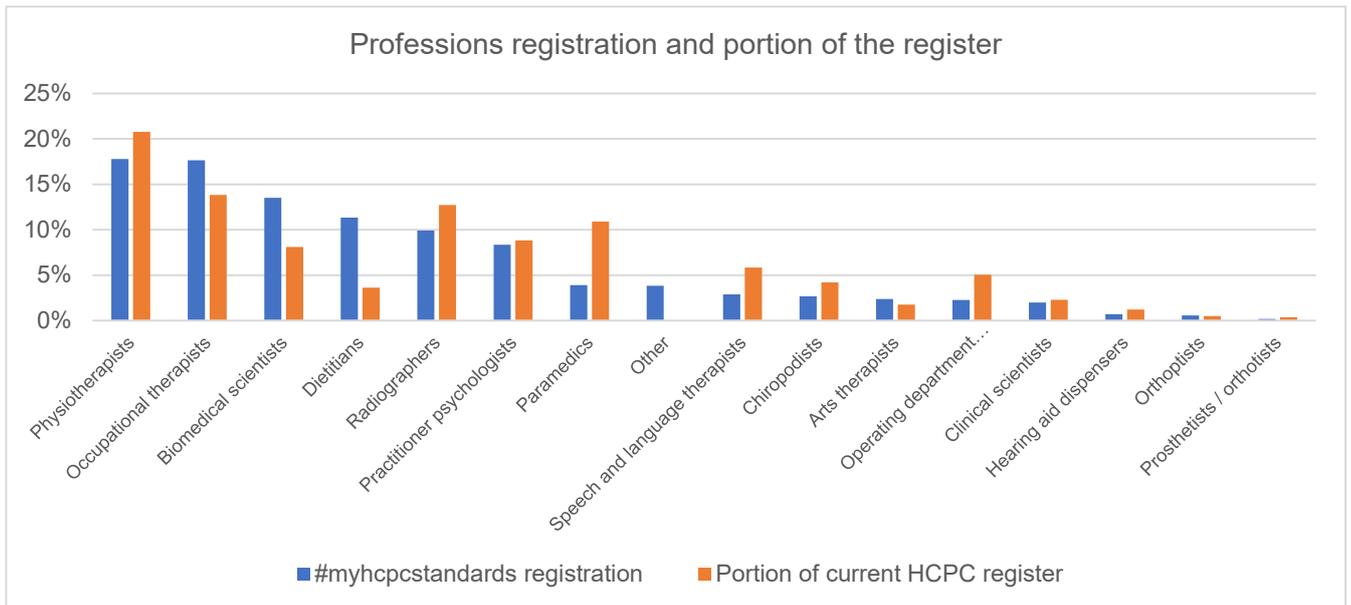
The HCPC's Welsh Language Scheme already offers equity in service to members of the public who speak Welsh and offers registrants based in Wales the opportunity to have an FTP process take place in Welsh. This comprehensive offering makes the HCPC among the regulators best prepared for the implementation of new standards. Even so, we have continued to raise concerns about the impact of certain standards which may require substantial investment to implement and would require careful planning of resources. We expect to receive a draft compliance notice from the Commissioner before the end of 2022.

## **3.6 Professionalism and Upstream Regulation**

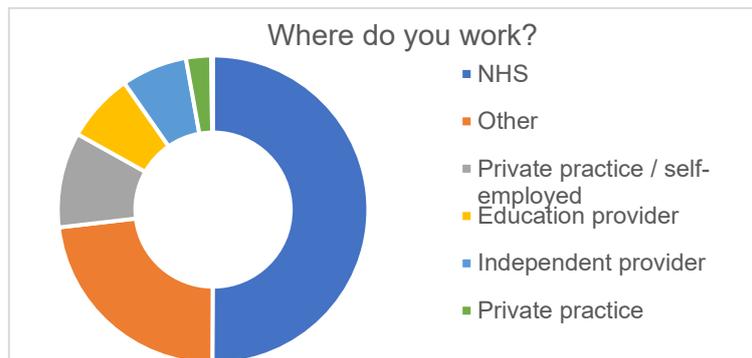
### *Review of 2022 #myhpcstandards webinars*

Our programme of #myhpcstandards webinars for 2022 has completed with 10 webinars being delivered. To support the implementation of the revised standards of proficiency, five of the webinars explored each of the new generic standards: equality, diversity and inclusion; maintaining fitness to practise; technology and digital; leadership; and service user engagement. The remaining webinars focused on reflective practice; duty of candour; safeguarding; and supervision.

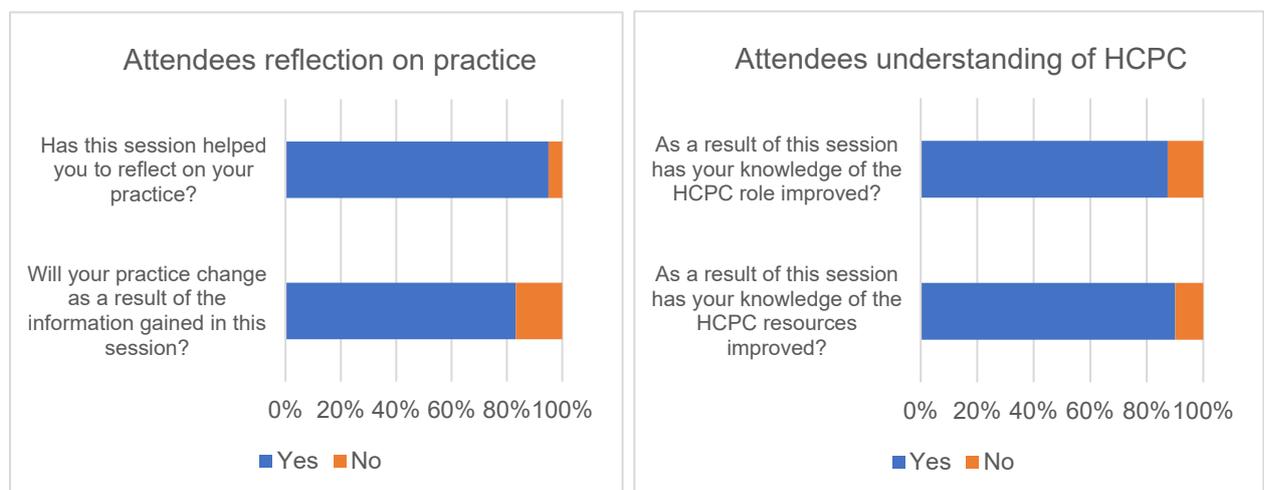
6670 people registered for this series of webinars, and they were able to provide data around their profession and where they work. The graph below shows we were able to reach all HCPC professions to register for the series.



We were also able to see that we had reached a wide range of sectors in which our registrants were practicing:



A total of 2941 registrants attended the webinars, and we received the following evaluation feedback:



## Joining the UK workforce

Due to demand and the increasing numbers of international registrants, we delivered three sessions of joining the UK workforce in September and October 2022. 950 registrants attended and 99% of those rated the session as good or excellent, 98% said the session helped them to reflect on their practice and 89% said they would change their practice as a result of the information gained in the session.

## Students

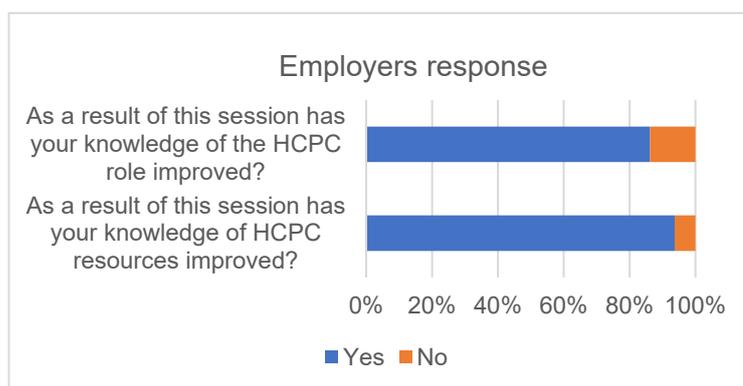
The HCPC's first student competition closed in September 2022, and we have now completed the judging of the entries received. We will announce the winners at Council in December 2022.

## Employers

We attended and presented at the Specsavers Professional Advancement conference in Birmingham on 16 October 2022. The HCPC's presentation explored FTP and continuing professional development.

We concluded our programme of Employer Insights webinars in November 2022. This was a programme of three webinars for those who employ and manage our registrants. We explored the revised Standards of Proficiency, registration and learning from fitness to practise, all with a focus on how employers and managers can support registrants.

The webinars were attended by 261 employers and managers, and 96% said that the webinars will help them to support their registrants to embed HCPC standards. They also improved their knowledge of the HCPC's role and resources.



## Compassionate regulation

In October 2022, we presented at the Scottish Regulatory Conference. Our presentation explored the learning from our research into registrants' experiences of the FTP process, what changes we have and are making to embed a more compassionate approach and what opportunities existing in regulatory reform.

We also met with some of the registrants who took part in the research to provide an opportunity for them to watch the film that had been produced, explore the learning from the research and hear about the steps being taken by HCPC as a result.

Draft guidance articulating our new compassionate and inclusive tone of voice has been produced and is close to completion. This will inform the changes we make to our template documents in fitness to practise, which will help to embed the new tone.

In November, we commissioned Purple Leaf to deliver a two-day training course on embedding the lessons learned from sexual abuse. Colleagues from our Policy and Standards, Professionalism and Upstream Regulation, Fitness to Practise and

Quality Assurance teams completed the training. The group also heard from an NMC colleague whose role includes supporting witnesses involved in FTP cases. An internal working group has been formed to take forward the learning.

### **3.7 Equality Diversity and Inclusion**

#### *Data*

Registrants are now asked to provide their EDI data as an integrated step in the renewal process which has significantly improved the percentage of data held. We now have information for 44% of registrants. As this work progresses, we continue to develop the systems needed to introduce EDI monitoring at the point of application, ensuring that we can understand the impact of one of our core regulatory functions; the decision to accept an application to join the register.

#### *EDI Forum*

In October, we held a meeting of our external EDI forum, where registrants and their professional bodies met with the HCPC to discuss EDI issues, and to provide input and challenge on work that requires a specific EDI consideration. The forum provided valuable commentary and insight on the impact of preceptorship to support groups who might otherwise experience challenges in their early careers, and on how HCPC could consider mitigating against the impact of proposed changes to fees.

### **3.8 Insights and Analytics**

Since presenting our analysis on retention rates for HCPC's 15 professions to Council in September, the team has completed and quality assured 15 profession specific profiles which are in the process of being shared with key stakeholders. We were delighted to have received very positive feedback about this work, and the related preceptorship work being undertaken in the Policy team. This includes a message of thanks from Sir David Behan, Chair of Health Education England, where the analysis is being used to support HEE's work with AHPs and Healthcare Scientists. The profiles and summary report are due to be published in early December.

Our EDI analysis continues, as we have been gathering additional data. We are currently updating our profession-specific EDI factsheets as the volume of our data increases and our knowledge improves. The team are also providing supporting analysis relating to our fees consultation and have completed a first internal draft of our recent 'Year in Graduation' Survey (previously New Graduate Survey), to support the work of the Education team.

## 4 Covid Response

### 4.1 Temporary Register

The table below sets out the number of temporary registrants on each of the registers as of 25 November 2022. In summary there are 10,012 temporary registrants.

	Temporary registrants					
	England	Scotland	Wales	Northern Ireland	Other*	Total
AS	34	8	1	0	0	43
BS	1221	167	94	50	7	1539
CH	169	26	9	5	1	210
CS	241	36	13	5	0	295
DT	119	22	5	5	0	151
HAD	18	1	0	0	0	19
ODP	376	23	19	2	2	422
OR	75	8	6	1	0	90
OT	1516	177	85	52	11	1841
PA	791	168	139	35	12	1145
PH	763	114	44	18	17	956
PO	37	14	3	2	0	56
PYL	572	56	35	18	4	685
RA	1410	151	92	64	6	1723
SL	680	86	37	33	1	837
<b>Total</b>	<b>8022</b>	<b>1057</b>	<b>582</b>	<b>290</b>	<b>61</b>	<b>10012</b>

\*Crown dependencies

As reported at the last meeting of Council government has confirmed that the temporary registers will remain open for a further two years. The Executive are preparing a paper on the ongoing management of the temporary registers for discussion with Council in the new year.

## 5 Organisational development

### 5.1 People and Culture

#### *Pulse survey*

Improving organisational culture is a challenge to any organisation. HCPC has a number of initiatives and programmes in place to advance our culture and make it more aligned to the organisational values and behaviours.

To ensure our values and behaviours are central to our culture it is important for HCPC to get a temperature check on how employees are feeling about the organisation, what they value most about HCPC and provide insight into where improvements can be made.

The organisation is now assessing employee engagement through quarterly pulse surveys. The results from the quarter 1 survey were discussed with the People and Resources Committee in November (this paper can be read [here](#)). The report highlights the following areas as strengths:

- a high level of understanding of how individuals' work contributes to delivery of HCPC's strategic objectives,
- staff feeling valued and supported by their line managers and
- staff seeing HCPC as a diverse and inclusive employer.

With a range of results for different departments, opportunities for development include increasing the visibility of senior managers, concerns on work-life balance and staff feeling recognised for the work they do. Q2 results are now being analysed and will be compared against Q1 as well as with benchmarks from comparable sectors.

Another indicator of cultural health is our turnover rate. I am pleased to report that overall turnover in the last 12 month rolling period has been decreasing since the beginning of the financial year: the provisional KPI result for Q3 is 17%; our target is to maintain turnover below 21%.

#### *Beyond Barriers Mentoring Programme*

The first cycle of our Beyond Barriers mentoring programme has completed with very positive feedback from participants. Our People Strategy's key strategic theme is to become a high performing, capable and skilled organisation. Beyond Barriers is one of the approaches we are using within this strategic theme to develop talent internally, retain talent and skills for a longer period of time and help the HCPC make progress against its equality objectives.

The aim of the programme is to support individuals in building and progressing their careers with particular emphasis on equipping those colleagues from under-represented, ethnic minority backgrounds to progress their careers within the workplace.

I am grateful to the learning and development team as well as all participants for making our first cycle of the scheme a great success. More detail can be found in the

review paper presented to the People and Resources Committee [here](#). The report includes reflections from participants such as the below

*"The programme has really increased my confidence in a short space of time – I'm more willing to put myself out there and ask to get involved, even beyond my current department. My mentor has been supportive and encouraging since our first meeting. I know I can trust my mentor to have an honest conversation with me, and we can formulate clear steps forwards".*

## **5.2 Hybrid Working & Estates**

### *Hybrid working*

The HCPC's pilot of hybrid working has now concluded with hybrid working becoming our business as usual. To support this we are rolling out interactive audio-visual technologies and furnishings to facilitate improved hybrid collaborative working, where some participants are onsite and some are remote. Feedback from the pilot phase made it clear that without such equipment, the experience and ability of remote participants to actively participate in meetings and workshops can be significantly impacted.

Office space utilisation reporting, measured by the numbers of staff accessing the building daily, shows that there is capacity for utilisation to increase. Increased utilisation provides an opportunity for more productive formal and informal collaborative working and would help us secure value from our office space. To improve the attractiveness to staff and productivity of onsite working within our overall hybrid working policy, we are adapting our physical spaces to better facilitate collaborative working. Additionally, the HR business partners are engaging with individual teams to explore the scope for an increased onsite presence in line with our policies and business need. This process also provides an opportunity to better understand team perspectives. We will continue to monitor, and continuously improve our approach to hybrid working.

### *Estates and Sustainability*

HCPC has appointed sustainability consultants to assist with the development of our sustainability plan, including defining metrics against which we can measure our progress towards improving the impact our operations have on the environment and society.

For example, utilities usage are an important contributor to our organisational carbon footprint. At the start of the new financial year, we will work with our utilities framework provider to move all of our electrical services across to net zero nuclear supplies.

In November, Council and the Executive took part in a workshop on sustainability, with guest speakers Acclaro Advisory, who focused on good corporate practice and Linda Hindle, Deputy Chief Allied Health Professions Officer for England who spoke to us about the NHS greener AHP hub and the importance of sustainable health care. Council member Steven Vaughan also led a session on the professional and regulatory considerations for HCPC. The climate crisis is also a health crisis and this requires all parts of the healthcare sector to engage and work together to promote

sustainable models of care that focus on prevention. I am grateful to all speakers for the thought-provoking session.

### **5.3 Finance**

Our project to implement a modern IT system for financial management has commenced with the selection of a supplier and finalisation of a contract. The project is taking longer to implement than originally planned but it is right to ensure strong foundations to ensure that we secure the planned benefits. The Business Central Implementation Project will replace the use of multiple systems, which pose a risk to data accuracy and financial control, as well as involving inefficient duplication of effort. The project will also ensure the registration and finance processes are streamline and integrated as well as improving reporting and audit capabilities.

A full finance report is on this meeting's agenda along with a review of the HCPC's investment policy.

### **5.4 Corporate Planning and Business Change**

Our corporate planning process for 2023-24 has commenced with all heads of function and the ELT taking part in a full day workshop in October to review strategy progress and an updated gap analysis for where we want to be at the end of the strategy period in 2026.

We are improving on the process from last year by better integrating business change investment consideration with a focus on benefits realisation and return on investment. The Business Change team have held a series of clinics to support employees across the organisation to develop proposals for investment in 2023-24 for the ELT to consider and prioritise. To further strengthen our approach to business change, the HCPC's internal auditors BDO will be running a workshop on best practice in this area.

**Chief Executive – John Barwick**

**Meeting schedule period covering 29 September – 6 December 2022**

Northern Ireland Government Meeting: Peter Barbour, Aislinn McAlister	29 September
British and Irish Orthoptic Society meeting to discuss initial proposals for registrant fee	29 September
Chief Executives Steering Group	30 September
Australian Health Practitioner Regulation Agency (AHPRA) review of research and evaluation function	30 September
British Psychological Society meeting with Sarb Bajwa CEO to discuss initial proposals for registrant fee	03 October
Department of Health and Social Care: Phil Harper catch up	06 October
Scottish Government - Meeting with Cabinet Secretary, Mr Humza Yousef	11 October
Registrant fees proposals consultation webinar	18 October
AHP Strategy II Programme Board Q2	19 October
Autumn Regulated Professionals Advisory Forum – Department for International Trade	20 October
Care Quality Commission The State of Health Care Launch event	21 October
Scottish Regulatory Conference - Edinburgh	24 October
British Psychological Society 6 monthly meeting	31 October
Registrant fees proposals consultation	1 November
Royal College of Speech and Language Therapists 6 monthly meeting	3 November
Health and Social Care Regulators Forum - CQC	3 November
Professional Standards Authority Safer Care for All Conference	9 November
Academy of Healthcare Scientists meeting with Janet Monkman, Chief Executive	10 November
Registrant fees proposals consultation	11 November
Fees consultation webinar (Scotland)	15 November
Carolyn McDonald, Chief Allied Health Professions Officer (Scotland)	16 November
Allied Health Professions Federation Scotland	16 November
Professional Standards Authority Business Plan meeting: Alan Clamp, CEO	17 November
Advancing Healthcare Awards Cymru & Ruth Crowder Chief Allied Health Professions Adviser (Wales) and Dr Dee Ripley, Deputy Chief Scientific Adviser (Health)	18 November
NHS England Long Term Workforce Plan engagement meeting	21 November
NHS England - Steve Tolan, Deputy Chief Allied Health Professions Officer	22 November
National Joint Strategic Oversight meeting	28 November
HCPC/Scottish Government meeting: Jason Birch	28 November
Health Improvement Scotland: Ann Gow, Deputy Chief Executive	29 November
Association of Clinical Psychologists	1 December

AHP Directors Scotland	1 December
College of Operating Department Practitioners	1 December
2022 Health Education England Stakeholder Survey Interview	2 December
Royal College of Occupational Therapists	2 December
PSA Chair and Chief Executive meeting	6 December

## Chief Executive's report on organisational performance – December 2022

### Appendix B

- Key Performance Indicators Dashboard
- Register Demographics
- Media Reach Metrics

## Key Performance Indicators dashboard

### FTP

<b>Measure</b>	<b>KPI 1 - the proportion of cases concluded at each stage that are within KPI</b>											<b>Period</b>	Nov 22
<b>What it tells us</b>	<p>1.70% of cases concluded pre-ICP (threshold and ICP decisions) within 33 weeks of receipt                  2.70% of cases concluded at a final hearing (including cases resolved by consent) within 39 weeks of the decision by the ICP that there is a case to answer.</p> <p>This provides a view of the age profile of cases that have progressed through the fitness to practise process and the timeliness of how cases are progressed to a final decision point. Metrics relating to the age profile of our open caseload are reported separately to Council in the FtP Performance reports. RAG: R: &lt;60% A: 60-70% G: &gt;70%</p>												
<b>Reporting period commentary</b>	Closures at the pre-ICP stage of the process have remained under 50% over the last year. This reflects our focus on balancing the progression of both the older and younger cases in the system. At final hearing stages, more older cases are being concluded at a final hearing and we would therefore expect the proportion of cases concluded within KPI to be lower.												
<b>2022</b>		Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	
1: Pre ICP	%	40%	56%	44%	44%	46%	36%	21%	31%	27%	34%		
2: Final Hearing	%	38%	0%	6%	0%	19%	21%	16%	22%	24%	10%		
<b>2021</b>		Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21
1: Pre ICP	%	N/A	N/A	N/A	N/A	N/A	51%	48%	55%	48%	48%	37%	51%
2: Final Hearing	%	N/A	N/A	N/A	N/A	N/A	29%	4%	13%	7%	6%	5%	27%

<b>Measure</b>	<b>KPI 2 - S.29 appeals and learning points</b>											<b>Period</b>	Nov 22
<b>What it tells us</b>	<p>This includes data and narrative on the number of final fitness to practise decisions appealed to the High Court by PSA under their S29 powers and the number of new PSA s29 learning points received. This provides a view of the quality of our fitness to practise decisions and assurance that those decisions are sufficient to protect the public.</p>												
<b>Reporting period commentary</b>	<p>In July, we received notification that the PSA had applied to the High Court to appeal a final hearing decision. This matter is still at an early stage of the appeal process.</p> <p>Last quarter we received three learning points from the PSA in their quarter end digest. We did not receive any formal learning point letters from PSA. In this quarter to date we have not received any learning points from the PSA. PSA issue learning points to highlight areas for improvement in the quality of final hearing decisions. This is the lowest number of learning points we have received in a quarter. Improving the quality of our final hearing decisions has been a key element of our improvement programme.</p>												
<b>2022-23</b>		Q1 Apr-Jun			Q2 Jul-Sep			Q3 Oct-Dec			Q4 Jan-Mar		
S.29 Appeals	Number	0			1			0 - provisional					
PSA Learning Points	Number	11			3			0 - provisional					
<b>2021-22</b>		Q1 Apr-Jun			Q2 Jul-Sep			Q3 Oct-Dec			Q4 Jan-Mar		
S.29 Appeals	Number	1			0			0			0		
PSA Learning Points	Number	10			5			7			7		

## Education

<b>Measure</b>	<b>KPI 3 - Education Quality and Timeliness</b>												<b>Period</b>	Nov 22
<b>What it tells us</b>	<b>1. Less than 20% of assessments resulting in conditions / formal requirements</b> <b>2. 30 days or less to provide process reports to the education provider from conclusion of quality activities</b>													
	Measure 1 will tell us whether we have worked effectively to help providers meet our standards and frontloaded addressing issues with providers, rather than setting formal requirements later in the process. RAG rating: R >25%, A 20-25%, G <20%  Measure 2 will tell us whether we have Met legislative requirements to deliver reports to providers in a timely manner and have a team in place which is capable and supported to produce high quality reports. RAG rating: R >36, A 31-35, G <30  Note the new Education Quality Assurance process launched in September 2021, data commences from this date.													
	<b>Reporting period commentary</b> September measures are marked as N/A because we did not conclude any relevant assessment relevant to the KPIs in September. Our performance on setting conditions remains good – our processes are set up to manage and deal with potential risks and issues against the standards as early as possible, rather than resorting to formal requirements through conditions at the end of the process													
		Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	
1	%	0	0	0	0	0	0	0	0	0	8	N/A	0	
2	days	15	N/A	29	52	8	25	35	41	40	30	N/A	21	

## Registration

<b>Measure</b>	<b>KPI 4 – Registration responsiveness</b>												<b>Period</b>	Nov 22
<b>What it tells us</b>	<b>1 - Decision on 95% of all UK registration applications within 10 working days</b> <b>2 - Decision on 95% of all international registration applications within 60 working days</b> <b>3 - Answer 90% of telephone calls</b> <b>4 - Respond to emails within 5 working days</b>													
	Responsiveness provides Council with a view of the customer service (timeliness) received by registrants. The breakdown of the register is included in the accompanying performance data to enable Council to maintain awareness of the size and make up of our registrant population. ETC receive more detailed Registration performance data.  KPI 1 and 2 R: <80%, A: 81-94%, G: >95% KPI 3. R: <70%, A: 70-89%, G: >90% KPI 4 R: >11 days, A: 6-10 days, G: <5 days													
	<b>Executive commentary</b> <b>UK applications:</b> Performance against our service standard for UK applications has been consistently met since February 2022 and throughout the summer peak. The monthly performance median has remained within the 10-working day service standard. Moving to online applications and establishing a dedicated UK application team has contributed to this performance.  <b>International applications:</b> We continue to receive high volumes of international applications, with 1,999 received in September and October 2022, an increase of 86% on the same period last year. As reported to ETC we have continued to meet our public service level performance target for median processing of applications to a first assessment decision within 60 working day target since June 2022. This positive progress is as a result of the surge capacity support introduced between February and August 2022, the introduction of online applications and setting up a dedicated international registration team. As at the end of October 2022, we have registered 6,457 international applicants compared to 4,687 for the entire 2021/2022 financial year. The percentage of applications processed within 60 working days (as provided in the table below) has increased during the course of the year (as a result of the changes made outlined above). In October this was 71%. This reflects that some applications do get assessed													

	<p>outside of our 60 working day service standards. However, when considered alongside the median (which is well within our service standard) this provides assurance that we are keeping pace with the high demand for this service.</p> <p><b>Calls:</b> The telephone call answer rate was 85% in September. It increased to 96% in October 2022. This is our best two months' performance in over a year. We are continuing to train up more people to be able to take phone calls and this is having a positive impact on performance. Our performance has remained within our service standard during November.</p> <p><b>Emails:</b> Our improved performance against our target of 5 working days for emails has been sustained at 3 working days in September 2022 and 2 working days in October 2022. We have been achieving the KPI for emails since June 2022.</p>												
<b>2022</b>		<b>Mar-22</b>	<b>Apr-22</b>	<b>May-22</b>	<b>Jun-22</b>	<b>Jul-22</b>	<b>Aug-22</b>	<b>Sep-22*</b>	<b>Oct-22</b>				
<b>1: UK registration</b>	%	96	100	100	99.5	99	100	100	99				
<b>2: Int registration</b>	%	0	16	33	58	74	77	68	71				
<b>3: Calls</b>	%	69	73	75	75	62	81	85	96				
<b>4: Emails</b>	working days	17	9	8	2	3	2	3	2				

## Customer Service

<b>Measure</b>	<b>KPI 5 - Customer service: Number of complaints and % upheld</b>											<b>Period</b>	Nov 22	
<b>What it tells us</b>	This provides insight into potential customer service and performance issues. Narrative will be vital for Council to probe and should include information on corrective action taken.													
<b>Executive commentary</b>	The number of complaints received has settled over the last few months since the spike in complaints in May and June. This reflects an improvement in the service provision in the Registration department and in particular in relation to international applications. These still comprise the majority of the complaints received for Registration, but they have reduced since the onset of online international applications and many still relate to older paper applications, this is the reason for the continuing higher upheld rate.													
<b>Year to date</b>		<b>Jan-22</b>	<b>Feb-22</b>	<b>Mar-22</b>	<b>Apr-22</b>	<b>May-22</b>	<b>Jun-22</b>	<b>Jul-22</b>	<b>Aug-22</b>	<b>Sep-22</b>	<b>Oct-22</b>			<b>Monthly average</b>
	<b>Number</b>	63	46	49	40	127	74	48	51	49	54			59
	<b>% upheld</b>	72	54	59	59	42	60	54	62	61				53
<b>Previous years</b>		<b>Jan-21</b>	<b>Feb-21</b>	<b>Mar-21</b>	<b>Apr-21</b>	<b>May-21</b>	<b>Jun-21</b>	<b>Jul-21</b>	<b>Aug-21</b>	<b>Sep-21</b>	<b>Oct-21</b>	<b>Nov-21</b>	<b>Dec-21</b>	<b>Monthly average</b>
	<b>Number</b>	56	38	66	57	43	78	50	68	56	63	95	39	59
	<b>% upheld</b>	44	60	62	63	55	33	48	53	66	53	42	44	52

## Professional practice and insight

<b>Measure</b>	<b>KPI 6 - Professional practice and insight: 60% of registrants said their practice would change as a result of information gained through a professional liaison learning event</b>											<b>Period</b>	Nov 22
<b>What it tells us</b>	This measure focuses on outcomes which highlight the impact of our engagement. Engagement and media reach dashboard to be provided in performance report.												
<b>Executive commentary</b>	During September and October, we delivered three sessions of Joining the UK workforce, a webinar specifically around supporting new international registrants in preparation for practicing in the UK. During this period, we also continued to deliver webinars in the #myhpcstandards series.												
<b>Year to date</b>		Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22		
%		71	81	89	88	81	90	94	N/A	81	90		
		Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21
%		43	56	54	47	49	N/A	85	N/A	80	100	70	N/A

## Finance

<b>Measure</b>	<b>KPI 7 - Finance: Performance against budgeted operating expenditure in range of 97.5% to 102.5%</b>											<b>Period</b>	Nov 22
<b>What it tells us</b>	Indicates the grip and control in place and accuracy of forecasting. Measure will be the full-year forecast variance against the full-year budget moving from YTD.												
<b>Executive commentary</b>	As at 30 Sept; (Oct-22 figures still being finalised) <b>£16k underspend</b> on payroll and <b>£229k underspend on non-pay expenditure</b> . This results in operating expenditure for Sept-22 year to date being <b>£0.25m favourable</b> against budget. The underspends are mainly in professional fees, property and training costs.												
<b>Year to date</b>	(,000)	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22		
YTD Actual		25,305	28,134	31,688	-	5,260	8,458	10,680	13,738	16,435			
YTD Budget		25,631	-	-	-	5,753	8,483	-	-	-			
YTD Forecast		-	28,557	31,788	-	-	-	11,069	14,196	16,680			
YTD Variance		326	423	100	-	493	24	389	458	245			
Actual as % of budget		98.7%	98.5%	99.7%	-	91.4%	99.7%	96.5%	96.8%	98.5%			
<b>Previous year</b>	(,000)	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21
YTD Actual		21,346	23,904	28,062	2,407	5,002	7,768	10,060	12,957	15,752	18,134	20,989	23,429
YTD Budget		-	-	-	2,924	5,757	8,721	10,328	13,092	15,998	18,397	20,816	23,211
YTD Forecast		21,944	24,339	26,744	-	-	-	-	-	-	-	-	-
YTD Variance		598	750	(1,318)	517	755	953	268	135	245	263	(173)	(218)
Actual as % of budget		97.3%	98.2%	104.9%	82.3%	86.9%	89.1%	97.4%	99.0%	98.5%	98.6%	100.8%	100.9%

## Information technology

<b>Measure</b>	<b>KPI 8 - Availability of core IT systems Target: &gt;99.5%</b>											<b>Period</b>	Nov 22
<b>What it tells us</b>	Measure is based on actual hours of availability per month vs total number available. Given the reliance of our core functions on IT systems, this measure indicates the reliability of the IT infrastructure. Additionally, our registrants and stakeholders predominately interact with us via our IT systems, and we have a statutory duty to ensure our online register is consistently available.												
<b>Executive commentary</b>	There was approximately 10 hours of downtime in October for the Virtual Private Network that provides secure remote access for employees. However, workarounds were available throughout this period. A replacement VPN is in the process of being tested ready for deployment.												
<b>Year to date</b>		Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22		
	Availability %	100.00	100.00	100%	100%	99.4%	99.99%	99.9%	100%	99.9%	99.7%		
<b>Previous year</b>		Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21
	Availability %	100.00	100.00	99.98	99.98	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00

<b>Measure</b>	<b>KPI 9 – Security Score Target: &gt;80%</b>											<b>Period</b>	Aug 22
<b>What it tells us</b>	Secure Score in Microsoft Defender for Cloud is a metric used to score the overall Azure Resources/On-prem Server security posture for HCPC. The changes in the "Defender score" needs to be taken into context, as a change to the score could relate to new updates, security framework changes or Infrastructure changes within the HCPC's environment.												
<b>Executive commentary</b>	The Azure Security Score is now at 93%, the highest score yet achieved. While the intention will always be to maximise this score, maintaining the score above 90% will require ongoing effort, which needs to be balanced against work required for major IT projects.												
<b>Year to date</b>		Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22		
	Availability %	78%	83%	77%	89%	80.5%	89%	88%	91%	93%	93%		

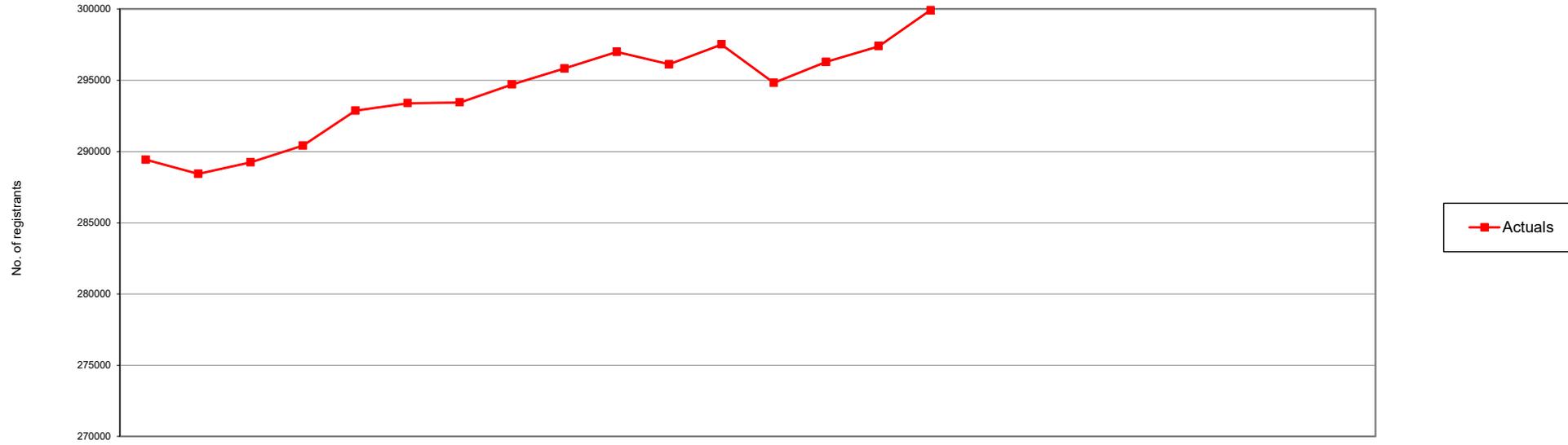
## HR

<b>Measure</b>	<b>KPI 10 - Voluntary staff turnover Target: &lt;21%</b>											<b>Period</b>	Nov 22
<b>What it tells us</b>	This will be based on permanent establishment leavers and not FTCs. This provides an indicator that could point to cultural issues. PRC considers more detailed HR and internal EDI metrics. (Figure is a rolling year to date total not the turnover in that quarter in isolation) Green 21% or less / Amber 22% - 27% / Red 28% or over												
<b>Executive commentary</b>	We continue to see a reduction in voluntary turnover compared to the data from Q1. However, as we are still within Q3, the data may change. However, the reduction in turnover is a positive step and illustrates the stability we are heading towards. We hope to be able to continue in that direction and further reduce staff turnover.												
<b>FY 2022-23</b>		<b>Q1</b>			<b>Q2</b>			<b>Q3</b>			<b>Q4</b>		
	%	23			16			17					
<b>FY 2021-22</b>		<b>Q1</b>			<b>Q2</b>			<b>Q3</b>			<b>Q4</b>		
	%	20			25			24			26		

Measure	KPI 11 – Recruitment and onboarding efficiency				Period	Nov 22
What it tells us	Time to hire is based on the advert going live to the appointee’s offer date. This measures how effective HCPC is in attracting and making an offer to the right talent, which has been an area of challenge in a competitive job market. Green 41 days or less / Amber 42 days – 52 days / Red 53 days or over					
Executive commentary	There has not been any movement on average days to hire between Q1 and Q2. However, we anticipate that we will see a reduction in Q3 due to filling roles quickly. The aim is to reach 41 days or less as a good measure of average days to hire					
FY 2022-23		Q1	Q2	Q3	Q4	
	Average (days)	59	59	40		
FY 2021-22		Q1	Q2	Q3	Q4	
	Average (days)	81	65	44	27	

Number of Registrants by Profession April 2021 - March 2023

Registration Department



Actuals

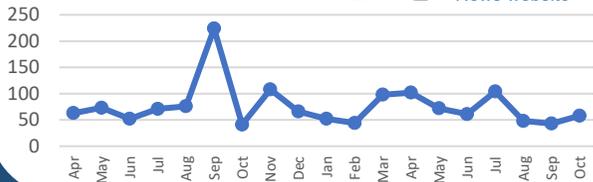
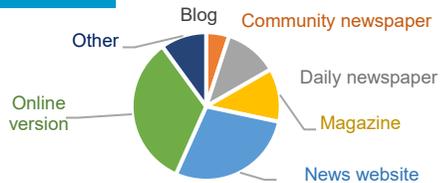
	2021			2022									2023						16/17	17/18	18/19	19/20	20/21	21/22	22/23						
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	FYE	FYE	FYE	YTD
<b>Arts therapists</b>	4,811	4,823	4,836	4,851	4,934	5,018	5,097	5,144	5,171	5,187	5,206	5,216	5,211	4,908	4,939	4,957	5,071	5,136	5,202						4,026	4,322	4,432	4,784	4,805	5,216	5,202
<b>Bio. scientists</b>	23,875	23,973	24,102	24,198	24,384	24,417	24,569	23,061	23,457	23,729	23,915	24,109	24,246	24,458	24,572	25,047	25,413	25,652	25,919						22,902	22,395	23,284	23,064	23,807	24,109	25,919
<b>Chirops/ pods</b>	12,389	12,376	12,371	12,400	12,489	12,527	12,553	12,549	12,541	12,531	12,526	12,522	12,479	12,452	12,444	11,796	11,901	11,939	11,966						12,931	13,115	12,833	13,039	12,394	12,522	11,966
<b>CI scientists</b>	6,707	6,724	6,740	6,733	6,743	6,327	6,496	6,640	6,683	6,731	6,775	6,806	6,837	6,855	6,895	6,917	6,938	6,963	7,156						5,663	5,818	6,207	6,344	6,675	6,806	7,156
<b>Dietitians</b>	10,192	10,208	10,231	10,294	10,427	10,497	10,549	10,640	10,668	10,692	10,723	10,744	10,739	10,743	10,268	10,462	10,582	10,636	10,747						9,107	9,585	9,722	10,207	10,161	10,744	10,747
<b>Hearing aid disps</b>	3,390	3,411	3,421	3,431	3,461	3,496	3,528	3,554	3,559	3,579	3,611	3,631	3,635	3,639	3,661	3,477	3,568	3,622	3,686						2,593	2,908	3,047	3,338	3,377	3,631	3,686
<b>OTs</b>	41,338	41,380	41,413	41,473	41,863	41,978	39,225	40,492	40,690	40,886	41,028	41,142	41,210	41,287	41,419	41,750	42,228	42,518	42,768						38,080	38,183	39,925	40,062	41,290	41,142	42,768
<b>ODPs</b>	14,473	14,473	14,471	14,497	14,588	14,691	14,851	14,953	14,964	14,999	15,023	15,052	15,068	15,089	15,116	15,195	15,309	15,469	15,640						13,052	13,639	13,903	14,421	14,449	15,052	15,640
<b>Orthoptists</b>	1,512	1,509	1,507	1,503	1,424	1,445	1,453	1,460	1,466	1,474	1,476	1,480	1,480	1,481	1,482	1,495	1,507	1,518	1,526						1,451	1,440	1,496	1,489	1,514	1,480	1,526
<b>Paramedics</b>	31,137	31,244	31,262	31,413	30,701	31,201	31,705	31,922	31,988	32,186	32,284	32,440	32,531	32,673	32,915	33,275	33,781	34,206	34,495						23,992	25,465	27,686	29,139	30,965	32,440	34,495
<b>Physiotherapists</b>	58,348	58,478	58,596	58,813	59,872	60,374	60,868	61,152	61,289	61,467	61,625	61,773	58,461	59,441	59,903	60,801	62,017	62,756	63,361						52,915	55,132	55,695	58,133	58,223	61,773	63,361
<b>Pract psychs</b>	25,935	24,379	24,717	24,940	25,117	25,275	25,695	25,926	26,034	26,109	26,181	26,278	26,336	26,399	26,481	26,553	26,689	26,895	27,244						22,604	23,104	24,290	24,783	25,894	26,278	27,244
<b>Prosth/orthotists</b>	1,114	1,115	1,117	1,126	1,157	1,072	1,089	1,098	1,100	1,102	1,104	1,105	1,107	1,108	1,113	1,123	1,142	1,152	1,163						1,063	1,051	1,101	1,090	1,113	1,105	1,163
<b>Radiographers</b>	36,959	37,085	37,218	37,516	38,268	38,585	38,865	38,985	39,004	39,039	37,330	37,871	38,098	38,351	38,725	39,514	40,332	40,876	41,305						32,072	32,475	34,470	35,002	36,877	37,871	41,305
<b>Social workers</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0						91,944	96,497	94,453	0	0	0	0
<b>SLTs</b>	17,241	17,250	17,242	17,235	17,444	16,488	16,906	17,136	17,219	17,279	17,321	17,346	17,376	17,409	17,453	17,551	17,798	17,930	18,080						15,935	15,932	16,595	16,572	17,231	17,346	18,080
<b>Total</b>	289,421	288,428	289,244	290,423	292,872	293,391	293,449	294,712	295,833	296,990	296,128	297,515	294,814	296,293	297,386	299,913	304,276	307,268	310,258						350,330	361,061	369,139	281,467	288,775	297,515	310,258
<b>Forecast</b>																										352,166	361,158	359,081			

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

## Media coverage

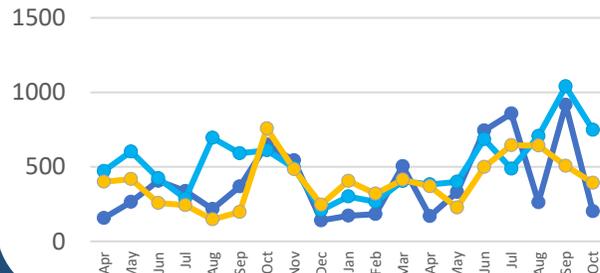
48 mentions

48 mentions

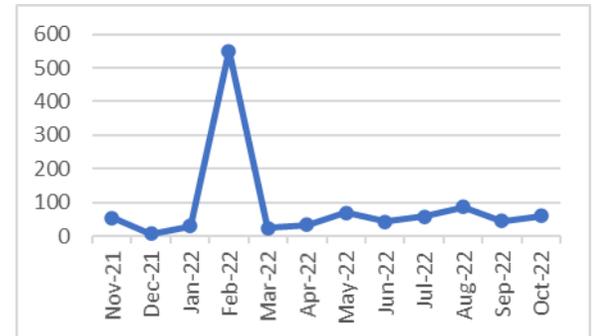


## Social media engagement

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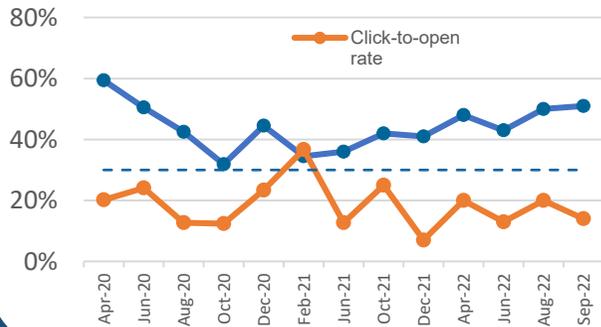
## Policy queries



## In Focus email

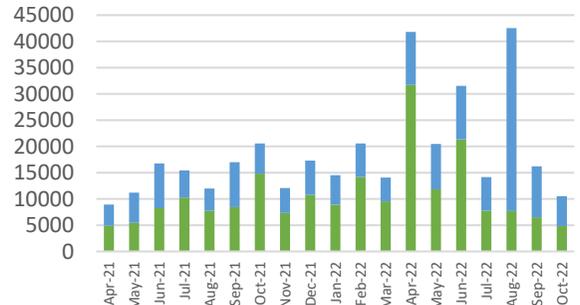
Open rate

Click-to-open rate



## Blog & news views

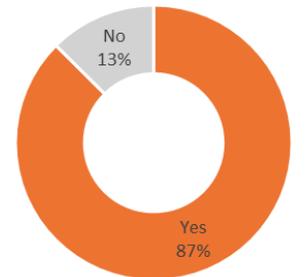
Blogs    News



## Event feedback

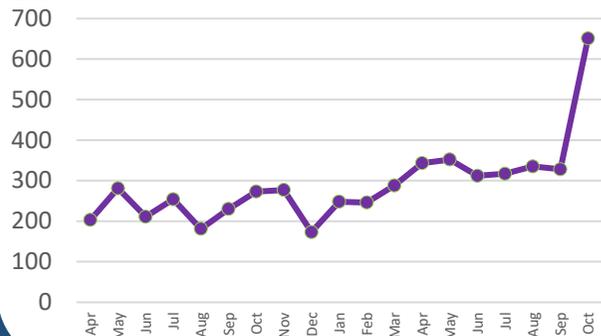
## #myhpcstandards

Will your practice change as a result of the information gained in this session?



## Employer hub

Visits



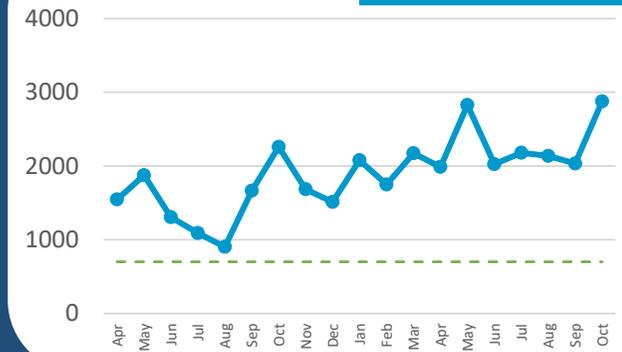
## Employer email

635 subscribers



## Student hub

Visits    Target



Chief Executive's report on organisational performance – December 2022

Appendix C

Corporate Plan 2022-23 - Deliverables Progress Report December 2022

Strategic theme 1- Continuously improve and innovate			Target delivery (Q)	Benefit measure	Benefit target (Q)	Rag and comment
		Key milestones				
Continuing improvement of our regulatory operating models	A1	Continuing to improve the quality and timeliness of case management: 1. Transition to frontloading (gathering more evidence earlier on in the FtP process) of case management with external legal provider(s) 2. Build capability and capacity to deliver frontloading in-house. 3. Commence frontloading of cases in-house.	1. Q1 2. Q1-Q3 3. Q4	<ul style="list-style-type: none"> <li>Reduction in length of time from ICP to final hearing for frontloaded cases (target 26 weeks compared to current 29 weeks from ICP)</li> <li>Reduction in number of preliminary hearings and not well found cases where quality of evidence is a factor in the decision (reduction by 70% in year one for those cases that are frontloaded).</li> <li>Improved timeliness in the flow of cases out of triage</li> <li>Improved quality of case presentation and panel decisions measured through a reduction in PSA s29 learning points and DRG feedback.</li> </ul>	Q4 for external legal provider managed frontloaded cases.  From Q1 2023-24 for in-house managed frontloaded cases.	On track for delivery Q4.  Appointed external legal providers and currently working with them to design front loading criteria and process went live in July, now in place.  Commenced planning for in house managed front loaded cases including looking at operating model.
	A2	Protection of Title (POT) review: 1. Review and benchmarking of current POT case management process. 2. Development of new process and KPIs 3. Delivery of training and guidance for teams	1. Q1 2. Q2 3. Q3	<ul style="list-style-type: none"> <li>Streamlined and efficient process that delivers proportionate investigation and improved partnership working</li> <li>Reduction in length of time to conclude a POT case (where there is no prosecution)</li> </ul>	Q3  Q4	Delayed. Work not started due to operational demands and priorities. Anticipate being in a position to commence in Q4.
	A3	Consolidating the benefits from the new Education QA model: 1. Review, quantify and report on the benefits of the new QA model, once it has operated through an academic year 2. Develop and report on a regular basis to ETC on quality measures. 3. Data model and process outcomes used to inform performance review selection for the 2022-23 academic year	1. Q3 2. Q3-4	<ul style="list-style-type: none"> <li>Site visits only conducted where needed to assess standards, and in 10% or less of cases</li> <li>Fewer cases where conditions applied - approval process outcomes reduce from 9 months to 6 months</li> <li>Assessment of provider performance provides clear rationale for risk assessment <ul style="list-style-type: none"> <li>Observations in 25% or less of cases</li> <li>Case outcomes accepted by the ETC panel in 90% of cases</li> </ul> </li> </ul>	Q2-Q4	Ongoing. Evaluation complete and benefits reported to ETC (Sept), developed incremental reporting with support of I&A.

	A4	Deliver future Registration Operating Model which includes the implementation of revised processes and an operating structure and better guidance on our registration processes.	Q1-4	<ul style="list-style-type: none"> <li>For UK and readmission applications - achieve 10-day service standard throughout the year.</li> <li>For international applications achieve 60-day service standard from receipt of complete application to first assessment decision.</li> <li>Increase in service satisfaction amongst applicants and wider sector stakeholders.</li> </ul>	Q2 onwards  Q3 onwards	In progress. Pilot to ringfence an international team and UK applications team commenced and reporting benefits to ETC in terms of our improved performance.
Pursuing technology enhancements to streamline key regulatory processes	B1	Delivery of education provider self-service portal: 1. Pilot and improve MUP portal 2. Develop support materials for external stakeholders 3. Launch portal to manage all provider interactions	1. Q1-2 2. Q2 3. Q3	<ul style="list-style-type: none"> <li>Improved provider understanding of case / provider status</li> <li>Reduction in provider queries related to case progression matters</li> <li>Reduction in time spent managing documentation</li> </ul>	Q4	Ongoing. Education provider portal launched on 1 November.
	B2	Expand delivery of online Registration services to include UK and readmission applicants.	Q1- Q3	<ul style="list-style-type: none"> <li>Improved user experience for UK Applicants and those applicants returning to the Register</li> <li>Increased EDI data capture</li> <li>More efficient registration processing, reduction of temporary employee contracts / overtime needed to cover the peak UK application process for 6 months over the summer period (circa £100k savings)</li> </ul>	Q4	<b>Completed.</b> UK Online portal launched 15.06. The mandatory integrated EDI collection for Registrants implemented, and EDI capture for Online Concerns form planned for end of calendar year. Readmissions process redesign currently on hold and will be implemented in the next release cycle and will now be linked to RtP policy review.
	B3	Delivery of Phase 2 of FtP Case Management System. Including: <ul style="list-style-type: none"> <li>Streamlined workflows for all case types including support for frontloading</li> <li>Improved reporting functionality</li> <li>Online FtP concerns form</li> </ul>	Q1-2	<ul style="list-style-type: none"> <li>Improved internal user experience, and external user experience for those referring concerns.</li> <li>Improved operational data and management information.</li> <li>EDI data capture relating to complainants</li> </ul>	Q3-Q4	In progress. Delivery of all sprint work to be completed end of February. Phase 2 commenced and will complete by end of the calendar year. Online Concerns portal (and EDI capture) are included in the scope of delivery and will complete by the end of the Calendar year.

Strategic theme 2 – Promote high quality professional practice			Target delivery (Q)	Benefit measure	Benefit target (Q)	RAG and comment
		Key milestones				
Maintaining and promoting high-quality professional Standards	C1	Publication and implementation of revised Standards of Proficiency (SoPs)	Q1	<ul style="list-style-type: none"> <li>Updated SoPs improve clarity about our expectations for registrants and other stakeholders and support improved public safety</li> <li>Updated SoPs support our commitment to improving EDI in regulatory policy and ensure we are appropriately responding to public inquiries and developments in practice, including in relation to the impact of the pandemic.</li> </ul>	Q1 (publication)  Q3 23-24 (implementation)	Revised SOPs published, implementation underway.
	C2	Review of Standards of Conduct, Performance and Ethics (SCPE) and launch consultation on any proposed revisions.	Q2 - Q3	<ul style="list-style-type: none"> <li>SCPEs are up-to-date and continue to be fit for purpose, maintain registrants' high standards and help to secure public trust, confidence and expectations</li> <li>Ensuring appropriate EDI expectations in our SCPEs in line with the ambitions of our EDI strategy.</li> </ul>	Q3-Q4  Q1 2023-24 (publication)	Delayed due to resource pressures and competing priorities, scheduled for Council approval to launch consultation February 2023.
	C3	Initiate review of Standards of Education and Training	Q4	<ul style="list-style-type: none"> <li>Stakeholder mapping and early engagement to ensure our review of SETs in 2023-24 is well planned and broadly informed</li> </ul>	Q3 2023-4	Work not yet started. This is now anticipated to form part of the 2023-24 Corporate Plan.
	C4	High quality programme of #myhpcstandards events to promote excellence in professional practice, e.g., duty of candour, sexual misconduct, reflective practice, supervision and professionalism, and some profession specific events based on evidence of risk	Q4	<ul style="list-style-type: none"> <li>Increased engagement with registrants across our professions</li> <li>Registrants' understanding and embedding of standards improved, including new SoPs and guidance</li> <li>Supports HCPC's effective response to public inquiries in topics focused on</li> </ul>	Q1 2023-24	Ongoing. Programme of #myhpcstandards webinars commenced beginning of June with a full programme planned and promoted up to the end of calendar year. A total of 1411 attendees.
Regulatory policy	D1	Engagement with DHSC on regulatory reform as they develop GMC's legislation as a blueprint for our own.	Q2	<ul style="list-style-type: none"> <li>Legislation drafting takes account of HCPC's views, reducing the risk of an unworkable approach for the HCPC.</li> <li>Assurance that HCPC is effectively prepared and engaged for the revision of our own legislation, rules, processes, guidance, policies and operational changes</li> </ul>	Q4	Indicative timetabling outcomes received from DHSC 20-21 consultation to inform resourcing, maintaining engagement with stakeholders.

Expanding our Professional	D2	Carry out preparedness for practice research	Q2-Q4	<ul style="list-style-type: none"> <li>• Research will inform the joint HEE/HPCPC preceptorship project.</li> <li>• Better understanding of the registrant experience entering the workplace for HCPC and stakeholders, to inform future activity</li> <li>• Identification of any professions with specific issues relating to readiness for practice within the preceptorship stage.</li> </ul>	Q4 2022-23 and 2023-24	Tender process complete, research process now underway with University of Plymouth, expecting interim report March 2023.
	D3	Engagement and consultation on the development of preceptorship guidance	Q3-4	<ul style="list-style-type: none"> <li>• Improved support for registrants as they enter practice</li> <li>• Value of regulation demonstrated to registrants at an early stage in their career</li> <li>• Established approach to successful joint working.</li> </ul>	Q4 onwards	Public consultation launched (November), final principles to be discussed with ETC (Feb 2023) and to Council post this for approval to publish. Complementary analysis piece of work completed by I&A team and presented to Council (October).
	D4	Review social media guidance and develop and consult on revised approach as required	Q3	<ul style="list-style-type: none"> <li>• Registrants have a clearer understanding of our expectations in relation to the adherence to our standards and social media use</li> <li>• Improved evidence-base for decision making in relevant cases</li> </ul>	Q3 onwards	Now incorporated into the SCPEs review so will be subject to C2 update, with plan to review guidance after initial standards consultation. Looking at extent to which could bring forward implementation of revised guidance ahead of all changes in SCPEs review, discussions underway with FtP.
	E1	Expanded Professional Liaison Service, achieving presence in each UK nation.	Q3	<ul style="list-style-type: none"> <li>• Increased engagement, education and influence of employers, registrants and other stakeholders across the UK.</li> <li>• Improved awareness and understanding of the delivery of health and social care in devolved nations enabling greater responsiveness.</li> </ul>	Q4	In progress – Scotland consultant in post, completed recruitment for NI, joining in January, second round of recruitment for consultant post in Wales commenced.

E2	Development of employer hub and increase in subscriptions to Insights for employers (e-newsletter)	Q3	<ul style="list-style-type: none"> <li>Enhanced support for, and influence with, employers.</li> </ul>	Q4	Published October newsletter and developing further communication plan for promotion of the resources and subscriptions to newsletter.
E3	Partner with identified employers and deliver a programme of employer events	Q4	<ul style="list-style-type: none"> <li>HCPC is able to influence the creation of supportive cultures and working environments for registrants</li> <li>Better quality referrals from relevant employers</li> </ul>	2023-24	3 employer insights webinars delivered in Autumn 2022. Engaged with and agreed to partner with three identified employers.
E4	Increased number of 'Joining the UK workforce' events	Q1-Q4	<ul style="list-style-type: none"> <li>Improved support for international registrants in applying our Standards</li> <li>Greater understanding of our Standards amongst those entering the UK workforce</li> </ul>	Q1-Q4	4 Joining the UK workforce webinars delivered in Q3.

Strategic theme 3 – Develop insight and exert influence			Target delivery (Q)	Benefit measure	Benefit target (Q)	RAG and comment
		Key milestones				
Launching our Programme for Data Excellence	F1	Agreed and assured official data set(s) incorporating all aspects of HCPC business.	Q4	<ul style="list-style-type: none"> <li>Single version of data for official statistics.</li> <li>Mechanism for enabling and replicating cross functional data view in place.</li> <li>Enabling key I&amp;I framework analysis</li> <li>Reduced reliance on, and costs of, external IT providers for certain data reporting tasks.</li> </ul>	Q3 onwards	Delivery dependent on F2. Foundations of modern data platform now in place. Rolling programme underway and key elements will become on track from Q3 onwards. Core registration data set in place and work underway for renewals. Unified EDI data set.
	F2	Agreed definitions, standards, processes and procedures for data.	Q3	<ul style="list-style-type: none"> <li>Improvements to data quality.</li> <li>Analysis production time efficiency gains.</li> <li>Preparedness for future digital transformation work such as a data platform.</li> </ul>	Q3 onwards	Recruitment for data standards officer underway.
	F3	Production of public facing dashboards and reports using assured data (F1) and agreed standards (F2).	Q4	<ul style="list-style-type: none"> <li>Better public visibility of HCPC data.</li> <li>Improved stakeholder relations through more timely meeting of data/analysis needs.</li> <li>Increased value of investment in PowerBI software.</li> </ul>	Q4 onwards	Public facing reports using assured data and agreed data standards to be produced from Q4 onwards.
Delivering our Insight and Intelligence Framework	G1	Expand Insight & Analytics team through the establishment of a new data scientist degree apprenticeship	Q2	<ul style="list-style-type: none"> <li>Sought after talent secured</li> <li>Improved analytical capability</li> </ul>	Q3	<b>Complete</b> – Apprentice in post (since September).
	G2	Analysis of FtP outcomes by diversity characteristics, focusing on age and sex, where data is available	Q1-Q2	<ul style="list-style-type: none"> <li>Identification of potential unintended systematic EDI disadvantages in the FtP process for further exploration</li> <li>Analysis to inform our EDI action plan and priorities</li> </ul>	Q4	Integrated EDI collection went live 06/09 at renewal. Cleansing of FtP data completed. Completed second round of analysis
	G3	Use FtP and other data to explore risks and establish characteristics of ‘high-risk’ registrants	Q1-Q4	<ul style="list-style-type: none"> <li>Analysis enables more targeted upstream regulation and policy activities for HCPC and communication externally so others, including employers, can address key risk areas</li> </ul>	2023/24	In progress - analysis work to understand risk of leaving registration complete, pending full follow up period for remaining professions. Replicating an Australian analysis of risks in Q4.

Strategic theme 4 – Be visible, engaged and informed			Target delivery (Q)	Benefit measure	Benefit target (Q)	RAG and comment
		Key milestones				
Strengthening our organisational approach to equality, diversity and inclusion	H1	EDI action plan launched with suitable internal EDI oversight group	Q1	Realisation of the HCPC EDI strategic objectives.	Q1 onwards	<b>Complete</b> - action plan underway with regular monitoring via EDI working group and directorate EDI leads.
	H2	Internal audit of our organisation-wide approach to EDI, with actions to address any recommendations	Q4	Scrutiny of our work informs future planning and we are assured that we have robust plans to meet our objectives	2023/24	Audit completed (October), final report expected imminently.
	H3	Introduce analysis of our Staff Survey results by protected characteristics	Q3	We understand how our workplace initiatives are experienced differently by groups of people who share protected characteristics	Q4 onwards	<b>Complete</b> – staff surveys (including hybrid working and pulse surveys) are now analysed by protected characteristics.
	H4	Introduce formal consideration of impact on our EDI objectives for all relevant ELT and Council decisions	Q2	Every relevant decision taken by HCPC leadership and Council is made with full understanding of its impact on our EDI objectives, and every opportunity to develop our EDI agenda will be utilised	Q2 onwards	<b>Complete</b> - all papers are asked to include a brief commentary on EDI issues, seminar delivered to Council on EDI in June focusing on this piece.
Increase partnership working with our stakeholders	I1	Expansion of devolved relationships management model to cover a wider range of stakeholders and 4 country relationship management	1. Q2	<ul style="list-style-type: none"> <li>Improved responsiveness to stakeholders through formal structures and proactive relationship management</li> <li>Greater visibility and engagement with HCPC for key stakeholders in each of the four nations</li> </ul>	Q3 onwards	<b>Complete</b> - Strategic Relationships Lead in post refreshed key messages document for Relationship Management and providing proactive reports into ELT's Strategy & Planning meetings.
	I2	Complete evaluation of initial year of devolved relationship management model	Q4	<ul style="list-style-type: none"> <li>Learning and impact from first year identified and used to inform development of our strategic approach to stakeholder relationships management.</li> </ul>	2023/24	Strategic Relationship Lead has commenced this piece of work, full review planned for end of year.
	I3	Planning and scoping for service user engagement project	Q3	<ul style="list-style-type: none"> <li>A service user perspective will ensure that we are hearing from this hard to reach groups.</li> </ul>	2023/24 onwards	Commenced the work (October), joined cross regulator service user engagement group.

Strategic theme 5 – Build a resilient, healthy, capable and sustainable organisation			Target delivery (Q)	Benefit measure	Benefit target (Q)	RAG and comment
		Key milestones				
Delivering year one of our new People Strategy	J1	Develop a comprehensive, strategic workforce plan which encompasses: <ul style="list-style-type: none"> <li>Enabling agile response to resource demand</li> <li>Skills gap analysis</li> <li>Succession planning</li> <li>Increasing apprenticeships</li> </ul>	Q3	<ul style="list-style-type: none"> <li>There is continuity of delivery</li> <li>Staff are motivated as they can see clear progression paths and are trained appropriately</li> <li>HCPC has the right skills in the right roles, with the number of vacancies reduced and less reliance on temporary staff in permanent roles.</li> <li>Turnover no higher than for other benchmark regulators. An increase in motivation and engagement as measured by the annual staff survey.</li> </ul>	2023/24	Workforce and succession planning discussions ongoing with departments. Four apprentices in post.
	J2	Review and relaunch our recruitment processes and induction programme to streamline onboarding and attract the right talent, as well as enhancing user experience and our employer brand.	Q2	<ul style="list-style-type: none"> <li>Enhancing the pool of diverse candidates</li> <li>reducing dependency on Agency staff reduce onboarding time.</li> <li>new starters are given the right level of support through their induction.</li> </ul>	Q4	Review of induction programme complete, including update of e-learning induction, review of recruitment processes underway, workshops held – system dependent.
	J3	Introduce Aspiring Leaders programme to develop our future leaders to ready them for management roles.	Q3	<ul style="list-style-type: none"> <li>A year-on-year improvement in progression within the organisation by under-represented groups.</li> <li>The programme supports succession planning</li> </ul>	2023/24	Secured 3 candidates, programme to go live in January.
Establishing our future hybrid working environment	K1	Undertake Hybrid Working pilot: <ul style="list-style-type: none"> <li>Establish the desired future ways of working for HCPC, and the facilities and technologies needed to enable these</li> <li>Introduce a Hybrid working policy and supporting guidance</li> </ul>	Q2	<ul style="list-style-type: none"> <li>Embedding an agile and new ways of working culture that support the health and wellbeing of employees,</li> <li>improve business performance</li> <li>enhance the employer brand</li> </ul>	Q3-4	<b>Complete</b> - Policies all in place for hybrid working (HR). Office space being reconfigured to support pilot and HCPC laptops have been rolled out to all staff.
	K2	Review and update the Digital Transformation Strategy	Q3	<ul style="list-style-type: none"> <li>An updated and agreed strategy that provides a blueprint and roadmap for how technology and digital services will better enable HCPC to deliver its purpose and vision, improve the user experience of our registrants and improve efficiency and security.</li> </ul>	2023/24	In progress - paper presented to PRC in September to revisit vision statement and level of digital ambition, paper to be presented to Council in December.

	K3	Modernisation of our IT infrastructure including: <ul style="list-style-type: none"> <li>The organisation's technical security framework and policies.</li> <li>Business continuity and disaster recovery arrangements</li> <li>Migration to a cloud- and mobile-first approach.</li> </ul>	Q3-4	<ul style="list-style-type: none"> <li>We enable collaborative and partnership working and improve the resilience and cyber security of HCPC's systems and registrants' data.</li> <li>More productive and flexible collaborative working is enabled through the roll-out of industry-standard technology, embedding learning from HCPC's response to the pandemic.</li> </ul>	Q4	In progress - work underway to modernise security policies, laptops and server usage to ensure work in cloud-based way – business continuity and disaster recovery also included.
<b>Ensuring our organisational sustainability</b>	L1	Implement an upgrade to our financial system, so that we have a resilient, fit for purpose system that enables strong financial control and accountability and is better integrated with our core operational systems	Q4	Improvements in financial control and management, as measured by progress against internal and external audit recommendations. Clean statutory accounts delivered on time [not strictly delivered by the BC project, but a core priority]	2023-24	Some delays to implementation. Procurement complete, project initiated Q3.
	L2	Develop a Financial Sustainability Strategy	Q2	Financial Sustainability Strategy agreed, setting out projections for expenditure, income from fees and efficiencies, to ensure financial sustainability	Q3	In progress –public consultation live.
	L3	Establish a framework for change and benefits management	Q2	Qualitative and quantitative benefits of change and investment projects defined and tracked.	Q3	Approach for Benefits and Change framework identified and shared with PRC, implementation and wider comms now underway in conjunction with corporate plan and budget development.
	L4	Develop an Environmental Sustainability Strategy and implement baseline analysis	Q3	Baseline defined for measuring future improvements in our environmental impact; reduction achieved in year including from impact of utilities usage.	Q4	Council seminar (November) on sustainability. Current works planned to run through into Q4.

Strategic theme 6 – Promote the value of regulation		Target delivery (Q)	Benefit measure	Benefit target (Q)	RAG and comment	
Key milestones						
Improving registrant communications	M1	Develop a registrant communications strategy including mapping of registrant user journeys relating to communication and improving registration information and guidance	Q2-4	<ul style="list-style-type: none"> <li>Clear and consistent approach to compassionate and inclusive registrant communication throughout the registrant journey</li> <li>Fewer contacts in relation to registration processes</li> <li>Perceptions survey outcomes in 2023/24</li> </ul>	Q4	On track for Q4 delivery. Have made various changes to our information/guidance on registration processes, including a whole new website content for UK and international applications, as well as improved support for those going through renewals.
	M2	Promote high quality professional practice through the development of our digital content and digital audience hubs for students and employers	Ongoing	<ul style="list-style-type: none"> <li>Increased registrant and student engagement with our digital content, improving understanding of the standards and the role of HCPC in promoting public safety</li> <li>Increased engagements with and online support for employers</li> </ul>	ongoing	In progress/ongoing. The student competition drives registrants/students to relevant content (i.e meeting our standard page and student hub).
	M3	Deliver our first student competition	Q3	<ul style="list-style-type: none"> <li>Greater awareness amongst students of HCPC, our role and value</li> <li>Improved understanding of HCPC standards in the next generation of registrants, supporting high-quality professional practice</li> <li>Increased visitors to our student hub, improving understanding of our Standards</li> </ul>	Q4	<b>Complete.</b> Student competition launched in May, closed in September.
Delivering the second year of our Registrant health & wellbeing strategy	N1	Increased support available for registrants involved in FtP cases, including development of a registrant support line	Q3-4	<ul style="list-style-type: none"> <li>Improved information and support for registrants in the FtP process, including underrepresented registrants, promoting their wellbeing.</li> </ul>	From Q1 2023/24	Begun to research what support already exists to inform what may be required.
	N2	Lay Advocacy support provision for members of the public and witnesses (including registrants)	Q2	<ul style="list-style-type: none"> <li>Enhanced support for members of the public and witnesses to participate in the FtP process.</li> </ul>	Q3 onwards	<b>Complete.</b> Lay Advocacy Service is now live.
	N3	Review of the HCPC's FtP tone of voice to be more compassionate and accessible.	Q1-Q3	<ul style="list-style-type: none"> <li>Clearer and more compassionate communications with registrants and other parties involved in FtP, supporting registrant wellbeing.</li> </ul>	Q3 onwards	Appointment of expert resource from fellow regulator delayed, due to start on 1 December. Amber rating given as work will complete in Q1 of next FY.
	N4	Educating and influencing employers in relation to FtP to make the right referrals and provide better support to those involved in FtP cases	Q3	<ul style="list-style-type: none"> <li>Increased support to registrants going through FtP or involved in FtP cases (e.g., witnesses)</li> <li>Improvements in employer referrals – making the right referrals at the right time</li> </ul>	2023/24	<b>Complete,</b> now part of ongoing programme of engagement with employers.

## Chief Executive's report on organisational performance – December 2022

### Appendix D

### Strategic Risk Register November 2022

# HCPC Strategic Risks

## Summary of strategic risks

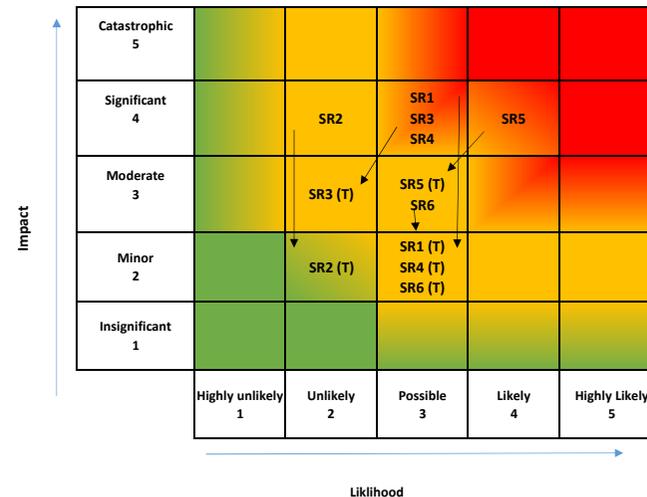
Strategy	Strategic Risks - High Level	Risk Description	Nov-22	Target Risk*
1 - Continuously improve and innovate - To improve our performance against PSA standards of good regulation and to innovate across all our regulatory functions to provide an enhanced user experience.	1. Our regulatory performance does not meet the expectations of our stakeholders and as a result stakeholders have negative experiences of our regulation	This includes the appropriateness of the timeliness and quality performance targets we set ourselves, being in line with the expectations of our stakeholders. This requires awareness of new developments within the regulatory sector and strong stakeholder engagement to ensure expectations are understood. This risk also relates to the experiences of those participating in our regulatory processes, for example registrants, witnesses, professional bodies and education providers.	12	6
2 - Promote high quality professional practice - Enable our professions to meet our standards so they are able to adapt to changes in health and care practice delivery, preventing harm to service users.	2. The HCPC's regulatory expectations are not appropriate or not understood by registrants and other stakeholders	This includes the quality and suitability of our standards and guidance in setting a threshold for safe practice which protects the public. It also includes how effectively we communicate our regulatory expectations, and the effectiveness of our professionalism and upstream regulation work.	8	4
3 - Develop insight and exert influence - Learning from data and research to inform our decision making and share insights to protect, promote and maintain the health, safety and well-being of the public.	3. We are unable to harness the benefits of the wealth of data we hold	This includes our effectiveness in collecting, maintaining, and utilising the data we need to be an intelligence driven regulator. It includes the effectiveness of our insight and intelligence work. It relies heavily on the work of the digital transformation and IT team and includes operational reporting in the Corporate Services team. It also relies on regulatory teams inputting information.	12	6
4 - Be visible, engaged and informed - We regulate, take and communicate decisions which are informed by a deep understanding of the environment within which our registrants, employers and education providers operate.	4. We do not understand our stakeholders needs and so are unable to be as effective a regulator as we can be	This includes how effectively we engage with our stakeholders and our credibility with them and how well we play our part in the wider system. It includes our EDI practice externally, the ability to respond and influence external drivers for change, like the impact of Brexit, devolution or a change in government as well as issues like workforce development.	12	6
5 - Build a resilient, healthy, capable and sustainable organisation - Employees feel valued and supported, and fully able to contribute. The organisation is resilient and able to quickly adapt to changes in the external environment.	5. The resources we require to achieve our strategy are not in place or are not sustainable.	This risk includes not securing the resources we need to be effective and / or not being efficient and effective in our use of our resources (resources include financial, knowledge, skills, culture, infrastructure). It includes the development of our culture, people and physical assets, our continued financial viability and the significant failure of key business processes.	16	9
6 - Promoting the value of regulation - The public, registrants, students and employers understand the value and importance of regulated health and care professionals.	6. HCPC is unable to realise the benefits of regulatory reform, or these benefits are significantly delayed	Regulatory reform is an essential component to helping HCPC realise its strategic ambition to provide a more human and compassionate regulation through the timely and proportionate disposal of fitness to practice cases.. Benefits also include greater flexibility to make process efficiencies, greater control over funding to enable financial sustainability in the long term and modernise governance structures. This risk includes the HCPC's capacity and capability to engage and influence regulatory reform effectively to ensure its benefits are realised, as well as the HCPC being viewed by government as a priority regulator for reform.	9	6

\* Expected risk score post planned actions

### Mitigation key

	Preventative
	Monitoring
	Detective
	Remedial
	Horizon scanning
	Best practice development
	Communication

### Heat map of strategic risks - residual to target (T)



## Strategic risk 1 - Our regulatory performance does not meet the expectations of our stakeholders and as a result stakeholders have negative experiences of our regulation

### Risk summary

This includes the appropriateness of the timeliness and quality performance targets we set ourselves, being in line with the expectations of our stakeholders. This requires awareness of new developments within the regulatory sector and strong stakeholder engagement to ensure expectations are understood. This risk also relates to the experiences of those participating in our regulatory processes, for example registrants, witnesses, professional bodies and education providers.

### Current risk influencers

- HCPC not meeting a number of PSA standards, and lost one registration standard in the 2021-22 review. Remediation of FtP standards is a longer-term effort due to case length
- 2021-22 PSA performance report published, acknowledges progress is being made towards meeting standards. 2022-23 PSA audit is underway.
- A process review underway to mitigate a repeat of international processing service issues. Surge-support partner processed 5.5k Int applications. Now brought in house and being managed by new Int application team within Registration to ring fence needed resources
- Ring fenced UK application team established July ahead of new graduate surge. Enabled team to maintain service standards through the summer
- Online applications project delivered online Int and UK applications. This has increased reg advisor processing productivity 100%
- Pre engagement from stakeholders on planned international recruitment in 2022-23 increases confidence in forward resource needs
- Government has delayed the closure of the temporary register, ongoing management of the register requires establishing a policy position, development is underway.
- Resourcing pressures within regulation directorate. Review of roles and remuneration undertaken in Education. Planning for Reg and FtP
- Teams will require additional resource to engage in regulatory reform preparation when commences for HCPC
- The second tranche of FtP Improvement projects are in delivery, remaining focus on embedding of tranche 1 benefits.
- Permanent legislative provision for remote hearings progressing laying expected Q3
- Delivered year 1 of new education quality assurance model and completed review was presented to ETC Sept 22. Learning being actioned
- Education QA model in its first year of running, stakeholders could experience disruption as the model beds in. Some KPIs have not been met.

### Mitigations in place

- 🔍 Enhanced second line QA plan for 2022-23 to review success of improvements in FtP (and registration & education) in addition to first line QA activity in place, such as the FtP DRG and panel member feedback following each hearing.
- 📊 FtP improvement programme and governance in place, FtP improvement oversight board regularly meeting with attendance of PSA and DHSC. Regular self-assessment against PSA standards reported to Council.
- 👥 Cross organisational working group focused on PSA standards attainment and learning from other regulators good practice. Participation in inter-regulatory working groups to share good practice and discuss common issues, this is also provided through the use of a panel of legal providers for FtP matters with experience of how other regulators have improved processes.
- 📊 Monitoring regulatory performance through performance reporting and KPIs
- 🔍 Mature feedback and complaints service in place focused on extracting learning when things go wrong.
- 📊 Surge support partner in place to process increase in international application volumes and minimise any delay to stakeholders. Online application capability in place for UK & international applications.
- 👥 Regular learning and development for Partners and employees
- 👥 Registrant health and wellbeing strategy in place.
- 📄 Wide range guidance on HCPC's regulatory processes available on our website
- 📊 Stakeholder perception survey baseline established

### Reporting period commentary

**Risk Score** – No change. FtP, Registration and Education functions have differing risk profiles, this score represents the amalgamation

**Risk Influencers** – Positive represents new ringfenced application processing teams in registration and benefits of online applications, reported as resulting in 100% improvement in processing productivity. There have been some delays to progressing POT review and registrant support line work but these two areas will take place in Q4. Lay advocacy support service went live September 2022 increasing support for vulnerable FTP participants. Review of year 1 of new Education QA model completed and presented to ETC, work remains to meet all KPIs but full resources now in place in team will assist. PSA are currently undertaking an audit to support their review of performance for 2022-23.

**Planned Mitigations** – good progress in a number of workstreams and education self service portal and lay advocacy service delivered in reporting period. POT review and Registrant support line delayed but will commence in Q4. Tone of voice work commenced but will now complete in Q4 due to delays in appointing secondee.

### Review date

Nov-22

### Risk owner

ELT Lead - Executive Director of Regulation

	Impact	Likelihood	Risk Score	
Inherent risk	5	x	5	25
Current risk	4	x	3	12
Target risk (planned mitigations in place)	2	x	3	6

No change

### Risk Appetite

Our risk appetite for actions to achieve regulatory quality is open, our risk appetite for actions relating to compliance is measured.

This risk needs to be rated in the amber range to meet the risk appetite due to the measured appetite for compliance (PSA standards) we currently are not meeting a number of PSA standards and have a comprehensive improvement programme in place to address this.

Reaching the target risk score is dependent on

1. The launch and successful embedding of the new Education QA model.
2. Registration applications being online, volumes reducing and the review of the international process.
3. Changes from FTP improvement programme embed and evidence that improvement is lasting in medium – long term.

Current risk level is one level outside of risk appetite

### Planned mitigations 2022-23

### progress

- ☀️ Transition to frontloading of FtP cases (Q1-4) ➡️ We went live in July with frontloading to external legal providers. Started work on the operating model to introduce frontloading in house later this year.
- 📊 Protection of title review (Q1-3) ➡️ Work not started due to operational demands and priorities. Will commence in Q4
- 👥 Consolidating the benefits from the new Education QA model (Q3-4) ➡️ Paper presented to ETC September 2022.
- 📊 Delivery of future Registration Operating Model including international process review (Q1-4) ➡️ Dedicated ringfenced teams in place for International and UK applications improvements showing in KPI compliance. Improved call handling arrangements and scripts introduced.
- 📊 Delivery of education provider self-service portal (Q1-2) ✓ Complete, went live 1 Nov 22.
- 📊 Expand delivery of online Registration services to include UK and readmission applicants (Q1-3) ➡️ Int and UK applications now online. Readmission online timing being reviewed.
- ☀️ Increased support available for registrants involved in FtP cases, including development of a registrant support line (Q3-4) ➡️ Now due to commence Q4
- ☀️ Lay Advocacy support provision for members of the public and witnesses (including registrants) (Q2) ✓ Service went live in Sept 22.
- 📊 Review of the HCPC's FtP tone of voice to be more compassionate and accessible. (Q1-3) ➡️ Appointment of secondee to lead the review of template letters is underway.

## Strategic risk 2 - The HCPC's regulatory expectations are not appropriate or not understood by registrants and other stakeholders

Review date

Nov-22

Risk owner

ELT Lead - Executive Director of Professional Practice and Insight

### Risk summary

This includes the quality and suitability of our standards and guidance in setting a threshold for safe practice which protects the public. It also includes how effectively we communicate our regulatory expectations, and the effectiveness of our professionalism and upstream regulation work.

### Current risk influencers

- Scotland based PL resource in place. NI and Wales based consultants being recruited
- Delivering multiple projects and reactive work could be challenged by regulatory reform resource demands
- Project to develop preceptorship guidance progressing with research out to tender and draft principles approved for consultation by ETC and Council.
- Revised SOPs implementation underway with new standards published and engagement undertaken
- Changes to SOPs may pose risk to registrant understanding of expectations if implementation plan not effective. Plan under active monitoring to mitigate
- PL team undertaking a series of events to support the publication of materials on Duty of Candour, Reflective practice and supervision
- Changing expectations of our professions' practice as a result of pressures on services, tech or societal events.
- Review of SCPE pre consultation engagement underway, some delay to initial timing, now expected to be presented to Council Dec 22 for consultation launch
- High volume of consultation activity in Q3-4 may risk stakeholder fatigue and lower quality engagement. Mitigated by targeted pre consultation engagement
- #mystandards 2022-23 events launched with high bookings and initial engagement

### Mitigations in place

- Public consultation process in place
- Engagement with key stakeholders/experts for widescale profession specific changes to standards
- Guidance provided on meeting our standards, 'My Standards' webinar series
- Dedicated website hubs for registrants, students, employers, members of the public, education providers
- Policy and Communication teams at full complement.
- Policy enquiries function available to support understanding and application of our standards
- Regulatory approach to advanced practice defined and agreed by Council
- Professionalism Liaison service in place influencing employers, using knowledge to effect change through engagement and advice

### Reporting period commentary

**Risk score** - is not expected to reduce over 2022-23 but may increase should regulatory reform for HCPC commence as this would require reprioritisation of Policy resource and other standards related workstreams may not progress as planned in response

**Risk influencers** - reflect significant piece of work, review of SCPEs approaching consultation stage and partnership work on preceptorship progressing to timeline. The recruitment of a PL consultant based Scotland is a positive influence as it is expanding our reach with the aim to build the team to be UK wide with further recruitment of NI and Wales based consultants underway.

**Mitigations progress** - good progress made on planned mitigations implementation

	Impact	Likelihood	Risk Score
Inherent risk	5	x	5
Current risk	4	x	2
Target risk (planned mitigations in place)	4	x	1

25

8

4

No change

### Risk Appetite

Our risk appetite for actions to achieve regulatory quality is open, the appetite for actions related to communication and profile is seeks.

This makes the risk appetite target level within tolerance if below red/amber. We are confident that our standards and guidance are fit for purpose and so this risk is currently within risk appetite.

However, to maintain that control onward reviews are essential to ensure standards are constantly kept under review to maintain relevance to changing practice and the wider health sector.

Current risk level is within risk appetite

### Planned mitigations 2022-23

### progress

- |  |  |
|--|--|
| ■ Publication and implementation of revised Standards of Proficiency (SoPs)(Q1)  | ■ Council approved SOPs in March. Implementation plan underway, with dedicated engagement        |
| ■ Review of Standards of Conduct, Performance and Ethics (SCPE) and launch consultation on any proposed revisions. (Q2-3)  | ■ To be presented to Council Feb 23 to launch consultation.                                      |
| ■ Initiate review of Standards of Education and Training (Q4)  | ■ To be included in 2023-24 CP   |
| ■ High quality programme of #myhpcstandards events to promote excellence in professional practice, eg duty of candour, sexual misconduct, reflective practice, supervision and professionalism, and some profession specific events based on evidence of risk (Q4) | ■ Programme of #myhpcstandards webinars for 2022-23 launched                                     |
| ■ Carry out preparedness for practice research (Q2-4) Engagement and consultation on the development of preceptorship guidance (Q3-4)  | ■ Draft principles for consultation approved for consultation. Research out to tender            |
| ■ Review social media guidance and develop and consult on revised approach as required (Q3)  | ■ Planned to commence Jan 23   |
| ■ Expanded Professional Liaison Service, achieving presence in each UK nation. (Q3) Increased number of 'Joining the UK workforce' events (Q1-4)   | ■ Scotland based PL Consultant in place, recruitment for NI and Wales based Consultants underway |
| ■ Development of employer hub and increase in subscriptions to Insights for employers (e-newsletter) (Q3) Partner with identified employers and deliver a programme of employer events (Q4)  | ■ Dedicated engagement events with targeted employers commenced                                  |

### Strategic risk 3 - We are unable to harness the benefits of the wealth of data we hold

**Review date**  
Nov-22

**Risk owner**  
ELT lead - Executive Director of Professional Practice and Insight

**Risk summary**  
(benefits - better regulatory decisions, prevention, workforce planning, influencing the agenda) This includes our effectiveness in collecting, maintaining, and utilising the data we need to be an intelligence driven regulator. It includes the effectiveness of our insight and intelligence work. It relies heavily on the work of the digital transformation and IT team and includes operational reporting in the Corporate Services team. It also relies on regulatory teams inputting information.

- Current risk influencers**
- Programme for data excellence commenced with work on data dictionary. IT team delivered successful proof of concept for the first use of a limited data lake, improving the accessibility of some data sets
  - HCPC still at beginning of data capability improvement with significant development still required. Quality of underlying data causing delays to analysis as significant cleansing work required. I&A team working with Ops teams to resolve
  - Data Engineer in place, Insight and Analytics Apprentice joined Sept 22. 6 month data standards officer secondment being recruited
  - Ongoing risk of single point of failure for operational performance data reporting. Capability and capacity challenging and underutilisation of Power BI functionality. Executive considering future approach
  - External review of our use of PowerBI has identified improvements within our current infrastructure, being implemented - includes building templates for reporting reducing need for consultancy
  - EDI data collection at renewal functionality live, mandatory provision to commence once paper application process updated.
  - Partnership funding secured which includes funding to improve our data capabilities. Data sharing for workforce planning support has commenced.
  - Policy development not supported by data due to data due to availability or quality
  - Insights and Intelligence Framework annual review presented to Council Sept 22, findings of analysis of the attrition rates of the 15 professions undertaken and external communication plan in development.

	Impact	Likelihood	Risk Score
<b>Inherent risk</b>	5	x 4	<b>20</b>
<b>Current risk</b>	4	x 3	<b>12</b>
<b>Target risk (planned mitigations in place)</b>	3	x 2	<b>6</b>

No change

**Risk Appetite**  
Our risk appetite for actions to achieve regulatory quality is open, the appetite for actions related to communication and profile is seeks. These categories are not a direct link however and consideration is needed of the future expectations for data use in regulation and that we are at the start of our development in this area. . Therefore, our appetite for this risk is to be within the green-amber scale rather than a higher appetite.  
  
To reach our target we need to have the data platform in place to enable an analytics environment. We will require a more substantial I&A team, as well as more systematic data collection through online applications to increase the % of registrant characteristics data held.

Current risk level is one level outside of risk appetite

- Mitigations in place**
- Publication of FtP, Education and Registration information and datasets through annual reports and FOI requests
  - Insights and Intelligence Framework agreed, setting out priorities and approach for data analysis.
  - Dedicated resource for Analysis and Intelligence and Data Engineer in place.
  - Publication of 1st in house statistical analysis of EDI data and FtP outcomes
  - Oversight board for Programme for Data Excellence in place

Planned mitigations 2022-23	progress
Agreed and assured official data set(s) incorporating all aspects of HCPC business. (Q3)	Underway
Agreed definitions, standards, processes and procedures for data. (Q3)	Work commenced as part of Programme for Data Excellence. 6 month secondment officer being recruited to support work.
Production of public facing dashboards and reports using assured data and agreed standards (Q4)	Due to commence Q4. Dependent on actions above
Expand Insight & Analytics team through the establishment of a new data scientist degree apprenticeship (Q2)	Apprentice joined us in sept 22. An additional data standards officer is being recruited on a 6 month secondment.
Use fitness to practise and other data to explore risks and establish characteristics of 'high-risk' registrants (Q1-4)	Completed second round of analysis
Introduction of mandatory EDI data collection at renewal using online portal. (Q2-3)	Functionality is live but not yet mandatory, pending revisions to paper applications.

**Reporting period commentary**  
**Risk Score** – No change, while good progress has been made in the reporting period we have also encountered challenges with data quality. We do not expect the risk score to reduce until the programme for data excellence is well progressed and delivering results.  
**Risk Influencers negative** - Issues encountered with data quality have delayed the progression of the analysis called for within the insight and intelligence framework. A 6 month secondment officer is being onboarded to support the improvement of data quality and standards.  
**Positive** - developments with technology enablers. A way to improve our PowerBI use has been identified at low cost and the change to the registration portal to require EDI data collection at renewal completed in september functionality will be activated once paper applicaitons updated. Data engineer is in place and data apprentice in place

## Strategic risk 4 - We do not understand our stakeholders needs and so are unable to be as effective a regulator as we can be

**Risk summary**  
This includes how effectively we engage with our stakeholders and our credibility with them and how well we play our part in the wider system. It includes our EDI practice externally, the ability to respond and influence external drivers for change, like the impact of Brexit, devolution or a change in government as well as issues like workforce development.

**Current risk influencers**

- Strategic Relationship Lead now in place and actively managing and supporting relationship managers network. Review of approach in planning Three quarterly professional body forum meeting have been held since introduction with good attendance and engagement
- Policy development engagement held in reporting period with positive engagement positive feedback on HCPC speakers at events
- HCPC fee consultation is live, there has been some opposition in stakeholder response. consultation live into Q4.
- Social media activity in May 22 relating to physio renewals caused unnecessary concern to stakeholders and registrants. Required significant reactive work from communication and engagement teams
- Ops functions not resourced to respond as quickly as other regulators to urgent Government needs in increasingly complex environment or topical issues for stakeholder groups
- Strategic relationship lead is assigned relationship manager for Unions and devolved nations. Scotland based Professional Liaison resource in place and has commenced engagements. NI and Wales based consultants recruitment underway
- EDI action plan in place with active oversight group. EDI Strategic Lead delivering speaking engagements with professional bodies
- % of registrant EDI data held has improved. System enhancements launched in Sept to enable mandatory collection at renewal

**Mitigations in place**

- ELT relationship building and liaison with key stakeholders particularly Government Departments, professional bodies, other regulators, unions
- Operational level relationship manager engagement for key stakeholders in place across HCPC
- Communications and strategic engagement supported by external communication partner.
- Horizon scanning and intelligence gathering including from relationship building to be aware of external drivers and influencers, early planning, and scenario development
- EDI strategy and action plan informed by independent audit of EDI practice. EDI stakeholder forum & internal EDI employee forum.
- Policy statement on approach to MOUs in place, a number of MOUs agreed with key stakeholders
- Analysis and action planning from feedback mechanisms including corporate complaints, FtP stakeholder surveys, stakeholder opinion polling and education provider survey
- Personal engagement plans for Chair & Chief Executive in place
- Interim stakeholder CRM in place to improve stakeholder engagement management and insights

### Reporting period commentary

**Risk score** - We do not anticipate the risk score reducing and expect a negative impact on stakeholder sentiment should the HCPC seek to increase its fees in 2022-23 to fund essential development work to meet stakeholder expectations.  
**Risk influencers** - Negative impact on perception due to fees consultation live, engagement to communicate rationale underway. Physio renewals May 22 resulted in negative sentiment from professional body and concern from other stakeholders which required active management .  
 Positive elements include strengthening of engagement team with Strategic Relationship Lead in place to manage devolved relationship management approach and dedicated engagement for devolved nations and unions.  
**Planned mitigations** – good progress across planned mitigations. Survey analysis and EDI in papers completed.

**Review date**  
Nov-22

**Risk owner**  
ELT lead - Executive Director of Professional Practice and Insight

	Impact	Likelihood	Risk Score	
Inherent risk	5	x	5	25
Current risk	4	x	3	12
Target risk (planned mitigations in place)	3	x	2	6

No change

**Risk Appetite**  
Our risk appetite for actions related to communication and profile is seeks. Current risk is outside of appetite and needs to be within the amber range to come within appetite.  
To meet our target, risk our new engagement approach needs to embed which involved organisation wide relationship managers, a central CRM system is required for this to be truly effective. The target also requires the scaling up of the Liaison service to have UK wide engagement. This risk is also dependent on being able to deliver stakeholder expectations such as more automated processes.

Current risk level is one level outside of risk appetite

Planned mitigations 2022-23	progress
Internal audit of our organisation-wide approach to EDI, with actions to address any recommendations (Q4)	Scoping work has commenced
Introduce analysis of our Staff Survey results by protected characteristics (Q3)	Hybrid working staff survey and Sept pulse survey responses analysed.
Introduce formal consideration of impact on our EDI objectives for all relevant ELT and Council decision (Q2)	All relevant papers include commentary on EDI issues
Expansion of devolved relationships management model to cover a wider range of stakeholders and 4 country relationship management (Q2)	Strategic relationship lead in place and is relationship manager for developed nations. Scotland based PL consultant in place, recruitment for NI and Wales based consultants in progress.
Complete evaluation of initial year of devolved relationship management model (Q4)	Planning commenced
Planning/scoping for service user engagement project (Q3)	Planning commenced
Dedicated communications plan to support fees consultation in planning (Q3-4)	Consultation is live and dedicated engagement underway, webinars being held to answer questions.

## Strategic risk 5 - The resources we require to achieve our strategy are not in place or are not sustainable

Review date  
Nov-22

Risk owner  
ELT - ED of Resources and Business Performance

**Risk summary**  
This risk includes not securing the resources we need to be effective and / or not being efficient and effective in our use of our resources (resources include financial, knowledge, skills, culture, infrastructure). It includes the development of our culture, people and physical assets, our continued financial viability and the significant failure of key business processes.

- Current risk influencers**
- Longer term approach to business planning, focusing on benefits and sustainability with budget holder challenge and support. Income strategy development progressed
  - Launch of online registration applications and process changes from outsourced service learning have seen significant productivity gains
  - Ongoing legal test case (HCPC not a party) may impact on HCPC to be determined when Appeal concludes
  - HCPC unqualified annual accounts 2021-22 signed by NAO and to be laid on 3 Nov
  - Finance system replacement (BC) delayed, previous planning required review to ensure benefits would be realised. Build to commence Q4
  - People strategy in place communicating development priorities to the organisation. Aspiring leaders programme has launched, follows on from mentoring programme run earlier the year. Work on succession planning has commenced. Sickness absence and turnover reducing. All employee survey undertaken to measure key metrics on employee experience
  - Competitive jobs market and financial constraints limit our ability to match market rate increases, impacting ability to secure the right skills/experience
  - Partnership funding for data development and increased capacity for international application processing progressing
  - Temp Registers have been extended by Government, continued funding need communicated
  - HCPC's last fee rise was reduced and delayed resulting in an impact on our medium to long term financial sustainability
  - Need to fund development work and maintain financial stability, complex external factors challenging ability to accurately income forecast
  - Change management framework in place with a focus on benefits realisation and change control governance
  - Finance team roles being filled with the right skills and capability to support the wider business. Business Change team successful recruitment undertaken with key posts due to be filled Q3
  - Internal Audit of Core Financial Controls resulted in a number of high priority recommendations. Follow up audit underway Oct 22
  - Rising inflation increases HCPC energy and other costs and HCPC employees cost of living pressures

- Mitigations in place**
- Adherence to budgeting and financial management and reporting processes which are subject to internal and external audit e.g. NAO. Finance business partner challenge and budget setting principles agreed by ELT to challenge the business on efficiency realisation. Business change function provides challenge on benefits outcomes of investment in new areas of work or enhancements to existing processes. Medium-Term Financial Strategy in place incorporating an efficiency action plan.
  - All employees are set goals and objectives and undertake annual performance review which includes an assessment against our values (Fair, Compassionate, Inclusive, Enterprising) promoted through all employee performance system and seeks to identify training needs
  - HR includes a central learning and development function, which runs an annual learning and development plan for commonly identified skill and knowledge needs in addition to annual compliance training in areas such as data protection, bribery, EDI
  - Employee Forum acts as a consultation group for organisational change
  - Adherence to HR processes in relation to recruitment, annual performance development review and learning and development for Partners and employees
  - Effective IT system design maintaining confidentiality, integrity and availability of data. Digital transformation strategy provides roadmap for improving our IT systems
  - Maintenance of ISO27001 Information Security standard which is subject to external audit / Regular independent security assessments of key IT infrastructure. Maintenance of business continuity infrastructure and processes
  - ELT monthly monitoring of productivity of all departments through detailed performance reporting. KPIs reported to Committees and Council for oversight of performance and progress in meeting agreed milestones for corporate plan.

**Reporting period commentary**

**Risk score** - impacted by competitive job market posing a challenge to securing the right people, the impact on long term sustainability of the reduced fee rise initiated in 2018 and only implemented in 2021. Also adverse findings of a recent internal audit report relating to financial controls, finance team has been stabilised and many of the recommendations made have been completed, the results of a follow up audit will provide objective assurance that the risks highlighted are no longer live.

**Risk influencers negative** - Inflation increases in addition to the significant increases seen across utilities will have an adverse financial impact on HCPC position. Whilst elements are beyond the control of the organisation it does highlight the progress and plans for the developing the sustainability agenda and the continued need to manage assets and resources effectively in an attempt to lessen such impacts.

**Risk influencers positive** - Turnover and sickness absence reducing and a number of key posts filled across the organisation. Partnership funding secured to support some development work longer term. Budget setting process developed for 2023-24 to include greater finance business partner support on achieving efficiencies and greater business change team support in articulating the benefits of any additional expenditure.

**Current mitigations** - the first listed mitigation has been more clearly articulated following ARAC's feedback on the deep dive from Sept. It better reflected the challenge and support in place from the resources directorate to enable the organisation to identify and realise benefits and savings.

**Mitigation progress** - Hybrid working survey completed following pilot. Hybrid now part of BAU and review points will take place to monitor effectiveness. Change and Benefits approach presented to PRC. Benefits log and draft dashboard created and embedded in Project Management process. Now a mandatory step for project submission and initiation. Benefits realisation will be a key part of budget setting for 2023-24 and determination of corporate plan content. Change processes are embedded in the Project Management process and draft process model being tested. Translation of organisational wide model and embedding not yet complete.

	Impact	Likelihood	Risk Score
Inherent risk	5	x	5
Current risk	4	x	16
Target risk (planned mitigations in place)	3	x	9

No change

**Risk Appetite**

Financial and Value for Money - how will we use our resources? – Measured  
People - how will we lead our workforce? – Seeks

Current risk is outside risk appetite, the risk needs to be within the amber range.

To meet our target risk we need to have in place a robust finance and registration interface, a stable budget and forward planning process with a 2-3 year forward planning timeframe and we need to have enacted our People Strategy and have confidence it is effective. The target also requires our financial reserves to be in a better position and the resources avoid deficit budgets.

Current risk level is one level outside of risk appetite

Planned mitigations 2022-23	progress
Develop a comprehensive, strategic workforce plan (Q3)	On track
Review and relaunch our recruitment processes and induction programme to streamline onboarding (Q2-4)	Review induction programme complete. Review of recruitment processes underway
Introduce Aspiring Leaders programme to develop our future leaders to ready them for management roles. (Q3)	Apprentice Levy will be used. Programme open for employee applications.
Undertake Hybrid Working pilot, establish future ways of working and the facilities and technologies needed, introduce a Hybrid working policy and supporting guidance (Q2)	Survey analysis undertaken policy agreed. Hybrid will become BAU in 23-24 corp plan.
Review and update the Digital Transformation Strategy (Q3)	Update underway discussion held with PRC Sept 22, aim for Council approval in Dec 22
Modernisation of our IT infrastructure (Q3-4)	Work underway
Implement an upgrade to our financial system (Q4)	Delayed - BC procurement underway to select a new implementation partner
Consult on increasing our fees (Q3-4)	Consultation launched and live into Q4.
Establish a framework for change and benefits management (Q2)	Underway but delayed, discussed with PRC Sept 22.
Develop an Environmental Sustainability Strategy and implement baseline analysis (Q3-4)	Consultancy support in place and work has commenced.

## Strategic risk 6 - HCPC is unable to realise the benefits of regulatory reform, or these benefits are significantly delayed

**Risk summary**

Regulatory reform is an essential component to helping HCPC realise its strategic ambition to provide a more human and compassionate regulation through the timely and proportionate disposal of fitness to practice cases. Benefits also include greater flexibility to make process efficiencies, greater control over funding to enable financial sustainability in the long term and modernise governance structures. This risk includes the HCPC's capacity and capability to engage and influence regulatory reform effectively to ensure its benefits are realised, as well as the HCPC being viewed by government as a priority regulator for reform.

- Current risk influencers**
- HCPC engaging with DHSC on how the recommendations of KPMG on the future regulatory landscape will be taken forward. DHSC have indicated that this will not be progressed as a priority, with the S.60 taking priority
  - Though tone of recent PSA performance reports positive and acknowledge improvement efforts, PSA standards attainment could increase organisational vulnerability during a time of regulatory reform. PSA is currently undertaking a case audit to support its determination for the 2022-23 review.
  - Working group meeting regularly to oversee HCPC activity and engagement on reg reform this includes a dedicated policy resource to enable HCPC to feed into legislative drafting.
  - HCPC provided feedback on, and participated in cross regulatory round table discussions, regarding the development of the GMC s.60 order which is now in final draft awaiting consultation launch
  - Focus on bringing forward the regulation of PAs through GMC s60 uncoupled from wider GMC reform for expediency and to enable other regulators reform to commence in parallel. Concern that if we are not the next regulator to undergo reform, momentum may run out
  - Continued uncertainty on timing of regulatory reform of HCPC. Lack of timescale challenges planning and scaling up of resources within HCPC dedicated to reform. Some key roles needed for reform not yet in place due to this uncertainty. Gov consultation response not yet provided.
  - HCPC funding challenges risk being unable to scale up to meet needs of regulatory reform due to parliamentary approval of fees and associated long process to achieve this.
  - A business case is in development for ELT to consider the needed resource and affordable phasing of cost.
  - Government leadership changes could impact on the progression of regulatory reform due to other priorities
  - Collaboration with stakeholders such as HEE and NHSEI provides organisational experience for greater cross organisational collaboration on workforce as aimed for in regulatory reform. Positive and wide-reaching engagement with HCPC stakeholders on regulatory reform.
  - Proven model of multi profession model of regulation. Reform agenda open to benefits of model

- Mitigations in place**
- Communications and strategic engagement, including parliamentarians and cross-party engagement, on regulatory reform supported by Luther Pendragon.
  - HCPC engagement on Health and Social Care Bill led to positive change.
  - Some dedicated policy resource in place
  - Internal steering group meeting regularly
  - Participation in cross regulator analysis of draft legislation and other regulatory themes, HCPC's comments on draft legislation have been provided
  - Funding and resource required for progression of regulatory reform quantified within budget as a financial risk. Assessment of de-prioritisation of other development work undertaken to create capacity for regulatory reform.
  - HCPC medium term financial plan in place to seek to make provision for regulatory reform. Consultation expected to launch Sept 22.

**Reporting period commentary**

**Risk score** – No change since last iteration which was the first scoring.

**Influencers** – HCPC is not in control of many of the influencers of regulatory reform and its progression. A key driver of the risk is the uncertainty of timescales presenting a challenge to resource planning and scale up. In September we noted we expected clarity in sept/Oct on timelines and priorities. Government leadership changes have impacted on this timeline and we do not yet have clarity on when the consultation response will be published, or the GMC PA s.60 consultation will launch. Additional resource will be required, HCPC is unable to fund this until it is required which is unknown, and the job market is competitive as experiences with recent recruitment. Benefits of regulatory reform well understood from draft legislation presents a rare opportunity to transform stakeholders experiences of regulation.

**Review date**  
Nov-22

**Risk owner**  
ELT lead - Chief Executive

	Impact	Likelihood	Risk Score	
<b>Inherent risk</b>	4	x	5	<b>20</b>
<b>Current risk</b>	3	x	3	<b>9</b>
<b>Target risk (planned mitigations in place)</b>	2	x	3	<b>6</b>

No change

**Risk Appetite**

Our risk appetite for actions to achieve regulatory quality is open, the appetite for actions related to communication and profile is seeks.

Current risk is within appetite.

The target risk will be reached if the outcome of regulatory reform and the longer term regulatory landscape review compliments and endorses the multi profession regulation model. This requires successful HCPC engagement and effective messaging. Risk reduction also required greater clarity on timing of HCPC's reform, a roadmap is expected to be published in the government's response to its consultation on regulatory reform, anticipated in September 22.

**Current risk level is within risk appetite**

Planned mitigations 2022-23	progress
Engagement with DHSC on regulatory reform as they develop GMC's legislation as a blueprint for our own. (Q2)	Responded to DHSC consultation, maintaining engagement with SHs. Awaiting timetable details to inform resourcing
Develop a Financial Sustainability Strategy (Q2)	HCPC has launched a consultation on fees
HCPC response to the consultation on regulation of physicians' associates (Q3)	Consultation not yet launched, anticipated for Q3-4
Detailed business case for resources needed for HCPC's regulatory reform go live (Q3)	In development
Review of Council's agreed list of S.60 priorities to enable readiness for alternative reform approach if required.	To commence Q4

## Risk Likelihood scoring

	Strategic	Programme/Project	Operational
<b>Highly likely 5</b>	"Clear and present danger" represented by this risk - will probably impact on this initiative - sooner rather than later.	Likely to occur in the life-cycle of the project, probably early on and perhaps more than once.	The threat is likely to happen almost every day.
<b>Likely 4</b>	Likely to happen at some point during the next one or two years.	Likely to happen in the life-cycle of the programme or project.	May well happen on a weekly basis.
<b>Possible 3</b>	May well occur during the lifetime of the strategy.	May occur during the life of the programme or project.	May well happen on a monthly basis.
<b>Unlikely 2</b>	Only small chance of occurring in the lifetime of the strategy.	Not likely to occur during the lifecycle of the programme of project.	Does not happen often - once every six months.
<b>Highly unlikely 1</b>	Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.	Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.	Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.

## Risk impact scoring

	Public Protection	Finance	Reputation	Operations	Strategy	Information Security
<b>Catastrophic 5</b>	A systematic failure for which HCPC is ultimately responsible.  Exposes the public to serious harm in cases where mitigation was expected.	Unfunded pressures greater than £1 million.	Incompetence/ maladministration or other event that will destroy public trust or a key relationship.	Services to stakeholders are unavailable for an extended period of time (days)	Strategy rendered invalid	Significant breach of confidential information involving extensive quantities of data.  Regulatory investigation required
<b>Significant 4</b>	A systematic failure for which HCPC is ultimately responsible.  Exposes more than 10 people to harm in cases where mitigation was expected.	Unfunded pressures £250k - £1 million.	Incompetence/ maladministration that will undermine public trust or a key relationship for a sustained period or at a critical moment.	Services to stakeholders are unavailable for a significant period of time (hours)	Progress on multiple strategic objectives is stopped.	Significant breach of confidential information involving limited quantities of data.  Regulatory investigation required.
<b>Moderate 3</b>	A systemic failure for which HCPC is ultimately responsible.  Exposes more than 2 people to harm in cases when mitigation was expected.	Unfunded pressures £50,000 - £250,000.	Incompetence/ maladministration that will undermine public trust or a key relationship for a short period. Example Policy U-turn.	Services to stakeholders are significantly disrupted.  Services are degraded or responses are slow for an extended period of time (days).	Progress on 1 strategic objective is stopped.	Limited breach of confidential information  No regulatory investigation required
<b>Minor 2</b>	A systemic failure which results in inadequate protection for individuals/individual communities, including failure to resolve celebrity cases.	Unfunded pressures between £20,000-£50,000.	Event that will lead to widespread public criticism.	Services to stakeholders are disrupted.  Services are degraded or responses are slow for a significant period of time (hours)	Progress on multiple strategic objectives is slowed.	Significant or widespread non-compliance to information security policy by employees.  No breach of confidential information
<b>Insignificant 1</b>	A systemic failure which fails to address an operational requirement	Unfunded pressures under £20,000.	Event that will lead to public criticism by external stakeholders as anticipated.	Services to stakeholders are disrupted for a short period of time (minutes).	Progress on 1 strategic objective is slowed.	Minor or one-off non-compliance to information security policy by employees.  No breach of confidential information

HCPC Risk Appetite - agreed February 2021

<p><b>Regulatory Quality - Open</b> How will we deliver effective regulatory functions?</p>	<ul style="list-style-type: none"> <li>• Our focus is on long term and lasting quality in our regulatory delivery. We have to take risk and challenge ourselves to achieve positive change. Sticking with a low-risk status quo will limit our progress.</li> <li>• We are open to risks that will further us in our aim of delivering excellent regulatory functions.</li> <li>• We are prepared to try new approaches that do not have a guarantee of success where the potential benefits of success outweigh the consequences of failure.</li> <li>• We proactively seek to reduce public protection risk through the promotion of professionalism and prevention.</li> <li>• The risks we are willing to take do not have a significant chance of long-term negative impacts on our regulatory quality. We accept that in striving for excellence and trying new approaches, short term issues may arise which we will seek to mitigate as best we can.</li> <li>• It is <b>essential</b> that mitigations to ensure ongoing public protection are in place as a foundation of taking risks to improve our regulatory quality.</li> </ul>
<p><b>Compliance – Measured</b> How will we comply with our statutory, regulatory and policy requirements?</p>	<ul style="list-style-type: none"> <li>• We have a preference for safe delivery options that have a low degree of inherent risk and may only have limited potential for reward.</li> <li>• We are willing to take decisions that could be challenged only where we are confident we would be successful in defending against such challenge, and the adverse consequences of being unsuccessful are minimal.</li> <li>• We are willing to take low level risks of negative PSA performance impact given the appropriate controls are in place and we consider the potential benefits are required to maintain or improve our PSA standard performance.</li> <li>• It is <b>essential</b> that the long-term achievement of PSA standards is assured.</li> </ul>
<p><b>Communication and Profile – Seeks</b> How will we be viewed by our stakeholders?</p>	<ul style="list-style-type: none"> <li>• We are eager to be innovative in content and method in order to communicate more effectively, despite greater inherent risk.</li> <li>• We are willing to express our views and communicate on issues where stakeholder opinion is divided, but where the HCPC has a legitimate voice and the Council has an agreed policy position.</li> <li>• In communicating our views, we are willing to accept the possibility of manageable reputational risk or a negative, but not irreversible, impact on a stakeholder relationship.</li> <li>• We acknowledge that being bold in communicating our position may lead to increased scrutiny from stakeholders. We accept this risk as being necessary to enable the HCPC to assert its voice and shape debate in the furtherance of excellence in regulation.</li> <li>• We seek meaningful two-way dialogue with our stakeholders, even where this may pose a risk to our profile due to uncomfortable feedback.</li> <li>• It is <b>essential</b> that the HCPC's voice is not perceived to be party political. The HCPC is neutral as a public body.</li> </ul>
<p><b>People – Seeks</b> How will we lead our workforce?</p>	<ul style="list-style-type: none"> <li>• We are eager to be innovative and to choose options that increase our effectiveness as an organisation despite greater inherent risk.</li> <li>• We are prepared to accept risk as long as there is the potential for improving culture, recruitment and retention.</li> <li>• We want to innovate to improve our culture and working environment.</li> <li>• We are willing to review and restructure where this is needed, accepting the potential for short term disruption in order for the HCPC to benefit from better ways of working.</li> <li>• It is <b>essential</b> that risk taking in this area is consistent with the HCPC's values and culture. As an employer are committed to upholding and promoting Equality, Diversity and Inclusion.</li> </ul>
<p><b>Financial and Value for Money – Measured</b> How will we use our resources?</p>	<ul style="list-style-type: none"> <li>• We are prepared to accept the possibility of limited financial loss where it does not have the potential to impact on our going concern.</li> <li>• Value for money is our primary concern in financial expenditure but we are willing to consider other benefits or constraints.</li> <li>• We are funded through registrant fees and we have a responsibility to ensure we invest cautiously to minimise loss while maximising benefit.</li> <li>• We accept that investments may be long term and take time to deliver rewards, appropriate benefit realisation monitoring is required to mitigate risk in investments.</li> <li>• It is <b>essential</b> we remain a financially viable organisation to ensure continued public protection through continued operation. Significant financial risks are not compatible with this requirement.</li> </ul>