
Interim Deputy Chief Executive's report on organisational performance
July 2023

Executive Summary

This paper provides the Council with updates on the organisation's performance since the May 2023 Council meeting.

This report includes the Interim Deputy Chief Executive's organisational assessment as well as key highlights relating to our work in policy & standards, data and insights, equality diversity & inclusion, professional liaison & upstream regulation and our corporate enablers.

As this is a quarterly edition of this report, it includes our Key Performance Indicator dashboard, our Strategic Risk Register and an update on our progress against our Corporate Plan.

Appendices

- A – List of the Interim Deputy Chief Executive's meetings in the reporting period
- B – KPI dashboard and performance data
- C – Corporate Plan 2023-24 deliverables tracker update
- D – Strategic Risk Register

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.
Purpose of report	The Council is asked to discuss the report.
Next steps	The next report will be received in September 2023.
Strategic priority	This report is relevant to all strategic priorities.
Financial and resource implications	None as a result of this paper.
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Interim Deputy Chief Executive's Organisational Performance Report – July 2023

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1. Interim Deputy Chief Executive's Organisational Assessment

I'd like to start my report by welcoming Bernie O'Reilly to the HCPC as our new Chief Executive. Bernie joins us on 3rd July and I am looking forward to working with him. I would also like to take this opportunity to thank the Chair, Council and my colleagues for their advice and support over the past eight months that I have been in this role.

This report provides my assessment of the organisation's performance including our performance against our Key Performance Indicators (KPIs), progress against this year's Corporate Plan at the end of Q1 of this financial year and an update on our Strategic Risks.

Professional Standards Authority's – HCPC's Performance Review Report 2022-23 published

On 28 June 2023 the Professional Standards Authority (PSA) published the HCPC's Performance Review Report for 2022-23. This provides the PSA's assessment of our performance between 1st April 2022 to 31 March 2023. We now meet 16 of the 18 Standards of Good Regulation, regaining two fitness to practise (FTP) Standards and one Standard linked to registration.

The PSA's report recognises the progress we have made and the positive impact our FTP Improvement Programme and our other work across the HCPC has had so far. This provides reassurance that we are making the right changes and ultimately our improved performance is benefitting patients, service users and registrants.

It is right we take a moment to recognise the progress we have made collectively but I am also clear there is much more for us to do to meet all 18 Standards of Good Regulation. We cannot be complacent, and we are continuing our FTP Improvement Programme as well as continuing to focus on the other Standards not related to FTP to ensure we continue to achieve the Standards we already meet.

Having not met the Standard relating to timeliness of FTP investigations (Standard 15), we are continuing to implement planned improvements as set out in our Corporate Plan for this year that will strengthen the quality and pace of those investigations. This Standard has been a challenge for many regulators since the pandemic. We are committed to continuing to work with our fellow health regulators, and the PSA, to learn from examples of best practise.

We have also not met Standard 18 relating to support provided to affected parties. However, ensuring all those involved in an FTP case are supported to participate effectively will be key to our work this year. As Council is aware we launched our independent registrant support line in April 2023, which provides emotional and practical support to those involved in FTP cases. We also launched our first Lay Advocacy Service at the end of 2022 to support witnesses and third parties involved in FTP cases who require extra support to have their voice heard effectively. In 2023, we will also complete our tone of voice review which looks at ensuring our correspondence and other interactions with stakeholders during the FTP process are compassionate. This is a commitment in our Corporate Plan (see Appendix C).

Strategic Risk Register

Our Strategic Risk Register is provided at Appendix D. This was discussed by ARAC earlier in June. I'd like to highlight that we will be reviewing the risk score for Strategic Risk 1 now that our Performance Review Report has been published by the PSA. I expect that risk score to reduce in light of the findings in the PSA's report, but it will also reflect that there is still more for us to do and we do not yet meet all of the PSA's Standards of Good Regulation.

Overall, our most significant risk relates to our financial sustainability and we are continuing to work closely with DHSC and Scottish Government officials on the legislation for our fee rise (as outlined below).

The HCPC's risk appetite statement was last reviewed in 2021, and so the time is right to revisit our collective views on appropriate risk tolerances. Having one agreed statement of our approach to risk enables us all to 'row' in the same direction together in how we achieve our aims. Over the summer we will be holding workshops with our Heads of Function, ELT and Council members to agree a new risk appetite statement that reflects where the organisation is now.

Progress against our Corporate Plan for 2023-24

Appendix C provides our first progress report against this year's corporate plan. This now shows the delivery date (expressed by quarter) for each deliverable/milestone in the Corporate Plan. As we are only approaching the end of Q1 at the time of writing much of the progress is rated as 'green'.

However, there are three areas rated as amber. The implementation of the finance system (Business Central) is rated as amber because this is delayed against the original timeline which was to have completed this work last financial year. As discussed with Council following the discovery phase we have now entered the build phase of this project and we are on track against the new timeline. We will monitor that closely and if we remain on track against the revised timeline this project will move to 'green' once we have sufficient assurance and confidence in the progress.

The tone of voice project is also rated as amber. Again, this is to reflect that it is behind the originally agreed timeline for this project (which was due to conclude last financial year). The Business Change Team are now supporting this work and we are on track against the revised timeline for this work to be completed by September 2023. As with the finance system project, if progress continues as per the revised plan this will move to a green rating.

The English Language Proficiency review is also rated as amber. This is to reflect the decision we took to delay the start of the consultation to allow more time for pre-consultation engagement. This is a complex area of work and I am confident that the decision to do more pre-consultation engagement is the right one for the project overall. However, it does mean that the consultation document will come to Council for approval in September rather than at this meeting.

2. Stakeholder engagement summary

Fee increase engagement

When Council agreed the increase to our registration fees in March 2023, our communication with registrants, professional bodies, unions and other stakeholders stated that the earliest this fee rise would be in place would be 1st July 2023.

The legislative process for the HCPC's fee rise is ongoing and we are working closely with Department for Health and Social Care and Scottish Government officials on this.

Therefore, clinical scientists, prosthetists / orthotists and speech and language therapists, whose renewal window opens on 1st July 2023, the registration renewal fee will remain at £98.12 per year.

Occupational therapists (whose renewal window opens on 1st August 2023), and biomedical scientists (whose renewal window opens on 1st September 2023), will also pay the current registration renewal fee of £98.12 per year.

In June, I updated the professional bodies at our Professional Bodies Forum Quarterly meeting and also the three main unions as part of our engagement activity.

We are also working closely with the Chair who has continued our parliamentary engagement in Westminster and in the Scottish Parliament.

Other engagement

I met with the CEO of NHS Employers to discuss potential areas where the HCPC and NHS Employers could work together on areas such as Continuing Professional Development (CPD) and preceptorship.

I have also attended meetings in June about the NHS Long Term Workforce.

We have been planning to ensure Bernie has the opportunity to meet our stakeholders as soon as possible now that he is in post.

A full list of my external meetings is at Appendix A.

3. Regulatory Performance

Further details of our performance across our regulatory functions and against our other KPIs is presented in the KPI dashboard at Appendix B.

Below I highlight some of the key points about the performance of our core regulatory functions of registration, education and fitness to practise.

3.1 Registration

Customer service

Our contact centre continues to provide a good service. The telephone call answer rate was 99.6% in May 2023, achieving our KPI, with this level of service continuing in June 2023.

Our improved performance in responding to emails has been sustained at 2 working days in May 2023. The KPI has been met since June 2022.

UK applications to join our Register

We are about to enter the summer peak period when students graduating from UK education programmes apply to join our Register. Going into this peak period the team continues to provide a good service against our KPI (see Appendix B). This means we have a solid foundation to manage the peak in demand that we will see over the summer months. Last year we coped well during this period and we are putting in place the same mitigations as well as benefiting from being in a position where all our registration services are currently performing within our KPIs.

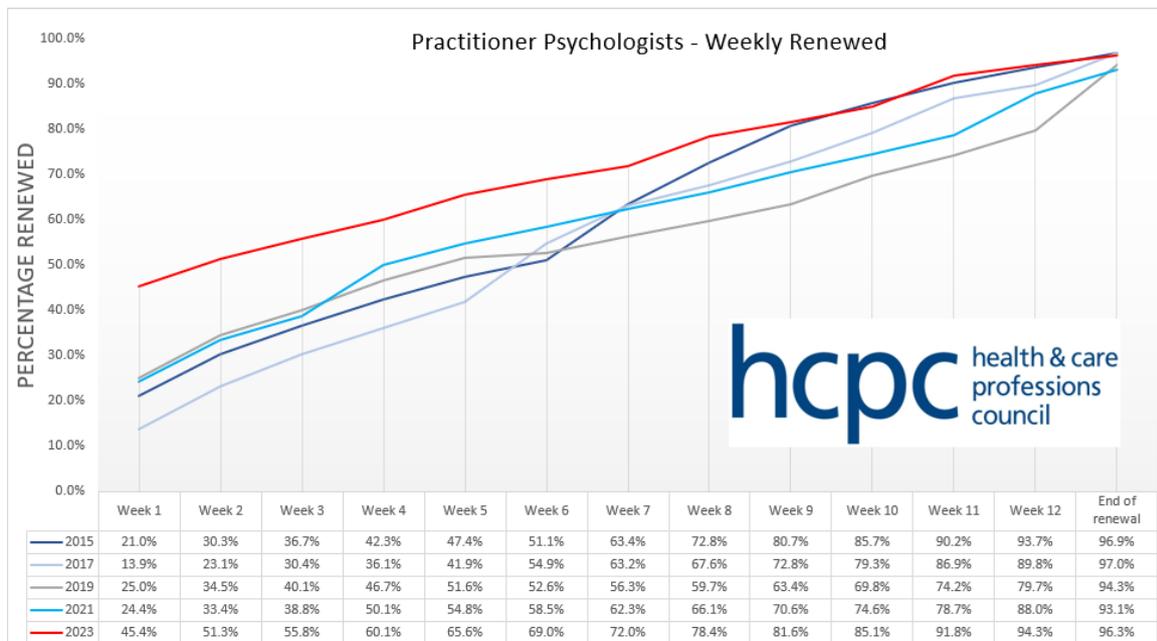
International applications to join our Register

There continues to be a high volume of new online international applications, receiving 1,254 applications in May 2023 (and over 2,200 so far this financial year (as at end of May)).

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 working days during the period of May 2023 (and we have been within this service standard since June 2022).

Registration renewals

At the end of the renewal period for practitioner psychologists on the 31 May 2023, 96.3% registrants renewed their registration compared to 93.1% in 2021.



We continue to see the trend that registrants are renewing their registration earlier in their renewal window compared to previous years (as shown in the red line above). We believe this is as a result of online renewals and also our improved communication with registrants and professional bodies (before and during the renewal windows).

On 1st June 2023, paramedics and orthoptists were invited to renew their registration and as at the 26 June 2023 59.4% paramedics and 55.9% orthoptists had successfully renewed their registration. This is 4.7% and 6.3% more than in the last renewal period for the two professions respectively. Both professions are ahead of all previous renewal cycles at present. We continue to monitor this closely and work with professional bodies and unions to support registrants to renew their registration.

3.2 Education

For education assessments (which include new programme approvals and performance reviews) we are within our KPIs for 9 out of 10 assessments, and number of active cases has reduced significantly from 120 in September 2022 to 69 at the end of June 2023.

The team's quality assurance checks indicate that our decisions continue to be of good quality. Earlier this year the team collaborated with the Quality Assurance team on workshops to support the development of their front line checks. Following those workshops the Education team are undertaking work to improve consistency and clarity of approach to quality checks, which will be completed by the end of September 2023.

A key aim of our quality assurance model is to engage with providers more through the process and reduce the number of formal conditions applied when approving programmes as a result. We still hold providers and programmes to the same high standards but work with them to address issues that could give rise to conditions as early as possible. Continuing from my update in May 2023 we have not placed conditions to any programmes in Q1, which is indicative of the support we continue to provide to providers.

3.3 Fitness to Practise

The KPI dashboard in Appendix B shows that we have continued our improved pre-Investigating Committee Panel (ICP) performance for the proportion of cases closed within KPI, closing more cases within KPI each month in the last quarter. This reflects our focus on balancing the progression of both the older and younger cases through our process and also the positive impact of the improvement projects we have completed that focussed on timeliness of case progression. We are not complacent and while our recent performance is slightly improved pre-ICP against that measure there is still more to be done to improve our performance overall and to achieve this KPI.

At final hearing stages, our older cases are being concluded at a final hearing and we would therefore expect the proportion of cases concluded within KPI to be lower. In May we concluded more cases within KPI than we have done since November 2022.

We have received one formal learning point letter from the PSA this quarter to date. The PSA issue learning points to highlight areas for improvement in the quality of final hearing decisions. Improving the quality of our final hearing decisions has been a key element of our improvement programme.

A detailed report on fitness to practise performance is provided in the Fitness to Practise Performance Update paper.

4. Covid-19 Temporary Register

Following my update to Council in May 2023, I can confirm that we have written to all people on the Temporary Covid-19 Register as planned following Council's approval of our recommended approach for ongoing management and maintenance of the Temporary Register.

Those on the Temporary Register have until 30 June 2023 to confirm that they are continuing to practice in support of the Covid-19 recovery and wish to remain on the Temporary Register. We are also offering information about how to re-join the full HCPC Register.

Since the Temporary Register has been set up 1,162 people have re-joined the main Register from the Temporary Register.

5. Policy and Standards and professional liaison

Standards of Conduct Performance and Ethics and Social Media Guidance Review

On today's agenda is the first discussion with Council of the results of the HCPC's public consultation on the Standards of Conduct Performance and Ethics (SCPEs) and the supporting social media guidance. The consultation opened on 27 March 2023 and closed on 16 June 2023 and the full analysis of responses is underway. The paper outlines the extensive engagement we undertook to ensure a wide range of voices were heard, this included partnering with the Patients' Association to hold service user focus groups.

We will hold a workshop with the Education and Training Committee on 1 August to explore the analysis in detail, which will inform a future paper to Council in September 2023, seeking the approval of proposed revised standards.

English language Proficiency

Being able to communicate effectively in English is a key part of safe practice for the professionals on our register. Our legislation requires us to ask those joining via the international route to provide evidence that they are proficient in English.

We are currently reviewing our approach to English language and will be proposing changes to the evidence applicants can use to demonstrate they are proficient in English. We briefed professional bodies and education sector stakeholders on our proposals at two information sessions in April and we also conducted an informal survey to get stakeholder views to inform the development of our consultation. We provided a further update to professional bodies and unions in June.

Our proposed changes involve moving away from the self-declaration element of our current approach and allowing applicants to provide evidence of their ability to communicate safely and effectively in English in a number of other ways, for example by providing evidence that they qualified in a majority English-speaking country. Applicants would still be able to rely on the current approved tests (IELTS and TOEFL), but we will also look to add further tests to our approved list.

We will be bringing our proposals, along with our equality impact assessment to Council in September with a view to launching a public consultation shortly after (subject to Council's approval).

Preparedness for Practice research

In September 2022, we commissioned the University of Plymouth to undertake a research project to give us a better understanding of how well newly qualified registrants from each of the 15 professions are prepared for practice. The project includes a literature review and a series of semi-structured qualitative interviews. Work is underway to recruit interview participants across the professions and the four UK countries.

The project is due to conclude at the end of the year and we will be reporting back to Council with the findings. As well as supporting the wider work that we are doing in relation to preparedness to practice, such as the implementation of our preceptorship principles, this research will also help to inform our upcoming review of the Standards of Education and Training in 2024.

Professional Liaison

The Professional Liaison team is now operating in all four countries of the UK.

They have attended the Healthcare Inspectorate Wales Healthcare summit and Northern Ireland Joint Regulators' Forum.

We are continuing to engage with key stakeholders in Scotland. The Professional Liaison Consultant for Scotland has recently met with healthcare scientist leads for Scotland to discuss contributing to their established training programmes. Work is underway with the AHP leadership teams in NHS Ayrshire and Arran and colleagues

in NHS Education for Scotland to develop support for those joining the workforce in Scotland via the international registration route and on preceptorship at both a local and national level. The team are also continuing their work with the Scottish Ambulance Service and planning for the Professional Liaison Service to have a regular slot in their online staff engagement sessions and newsletters.

Supporting people who joined our Register via the international registration route continues to be a key focus of the team's business-as-usual activity. The Joining the UK Workforce (JUKWF) events have an average of 247 attendees each month. We have also delivered a bespoke session for Australian paramedics as part of our collaboration work with Health Education England (HEE) to provide support to their international recruitment workstream for paramedic graduates who are being recruited directly from Australia.

We have continued to deliver 'Becoming a health and care professional' sessions for cohorts of students on our UK approved programmes. This is aimed at students in their final year of study to provide an opportunity to discuss what it means to be a regulated professional and how our Standards apply throughout their careers.

We have also launched the student competition for 2023. This asks for students to create a learning session for their fellow students, which explores the importance and different ways of maintaining your own health and wellbeing as a health and care professional. The competition will close on 3 September at which point we will begin the shortlisting and judging process.

As part of promoting the updated Standards of Proficiency the team have delivered four of five #myhcpcstandards webinars designed to support HCPC registrants when the updated Standards of Proficiency come into effect on 1st September 2023. The final session on digital skills and new technologies will be delivered after this report has been drafted. So far, 8656 have registered for the sessions with 2892 registrants attending these webinars. The recordings will be available on our website and YouTube channel, alongside other new materials to support registrants with the updated Standards of Proficiency.

6. Insights & Analytics and Equality Diversity & Inclusion

The Insight & Analytics Team, working with the Strategic Lead for Equality, Diversity & Inclusion (EDI), has developed new diversity data factsheets covering the nine protected characteristics of the Equality Act 2010. The factsheets have been produced for the seven professions that have been through renewal since December 2021, which was when the EDI data collection portal went live. Factsheets have also been produced for the modalities of those professions.

All completed factsheets have been sent directly to the respective professional bodies and we are in the process putting the factsheets on our website. The first two professions to be published are [Dietitians](#) and [Physiotherapists](#).

The indicative website publishing program for the other professions already renewed is for the weeks commencing:

19 Jun	Radiographers (+ Diagnostic radiographers, Therapeutic radiographers)
26 Jun	Chiropodists/podiatrists
03 Jul	Arts therapists (+ Art therapists/Art psychotherapists, Dramatherapists, Music therapists)
10 Jul	Hearing aid dispensers
17 Jul	Operating department practitioners
24 Jul	Practitioner psychologist (+ the seven psychologist modalities)

The indicative publication dates for the professions yet to renew in this cycle is as follows:

Oct 23	Orthoptists, Paramedics
Nov 23	Clinical scientists, Prosthetists/orthotists, Speech & language therapists
Dec 23	Occupational therapists
Jan 24	Biomedical scientists

In June 2024 we plan to refresh all the profession and modality factsheets at the same point in time and to produce annual updates in June thereafter. The annual refresh will also include some of the non-protected characteristic EDI that is captured in the EDI portal.

7. Corporate Enablers

Finance

As set out in the finance report, at this early stage in the new financial year the recent trend of high levels of demand from international applicants has continued, leading to additional income. Overall expenditure has been overall close to budget, though with some variances in departments, including on FtP legal costs resulting from the phasing of workload and cashable efficiency savings from the 33 Stannary Street exit now flowing through to the bottom line.

Approved carry over of some capital expenditure from last year for Business Central and some other projects has increased the capital forecast – the finance team will do a re-forecast at the end of Q1 to test realism and ensure budgetary control. As outlined in the paper there are a number for risks and opportunities being actively managed.

Our reserves remain low pending a fee increase and ARAC recently discussed an interim approach in relation to our reserves policy for Council’s consideration today.

Sustainability

We have continued our work on organisational sustainability, with the finalisation of a carbon baseline as the basis for monitoring and setting targets. Council is asked to consider these proposals at this meeting.

We are engaging our people on sustainability through the active involvement of the Employee Forum who have made a range of constructive suggestions which we will be taking forward jointly.

People

The HR team have finalised Learning and Development plan for all teams across the organisation, which were recently approved by the Executive Team.

The HR team have also launched a reverse mentoring scheme as part of our work on equality and inclusion.

In June, the Executive Team also approved a new development programme targeted at heads of department, building on the success of the Women in Leadership programme delivered last year. This means we now have development programmes aimed at all levels of leaders from those aspiring to take on their first leadership roles to our existing senior leaders in the organisation.

Estates and hybrid

Following our exit at the end of last financial year from 33 Stannary Street, we have now largely completed installation of the new technology and meeting rooms in our remaining freehold estate, to enable hybrid working and encourage office attendance.

ELT are monitoring office utilisation statistics and the full Senior Leadership Group will be discussing in July our approach to hybrid working, including office attendance, informed by a review by the HR Business Partners of existing working patterns in individual teams.

Projects and change management

The new Change and Benefits Forum (CBF) is now fully up and running. This is a forum led by our Business Change Team that brings together relevant colleagues from across the organisation to help strengthen our effectiveness on change management and benefits realisation, drawing on good practice learning from recent workshops facilitated by BDO.

**Appendix A - Interim Deputy Chief Executive's external meeting schedule
covering 22 May 2023 – 05 July 2023**

Professional Standards Authority monthly meeting	22 May 2023
Danny Mortimer, CEO of NHS Employers	22 May 2023
NHS England, Dr Adrian Whittington, National Clinical Lead for Psychological Professions meeting	25 May 2023
Chief Executives Officers & Registrars Board (CEORB) meeting	26 May 2023
Dr Rosie Benneyworth, Chief Investigator, Healthcare Safety Investigation Branch	12 June 2023
Professional Body Forum Quarterly meeting	15 June 2023
Department of Health and Social Care, Regulatory Team, monthly catch up	21 June 2023
Kalee Talvitie-Brown, PwC	21 June 2023
Professional Standards Authority: Alan Clamp (CEO) & Caroline Corby (Chair) – quarterly CEO & Chair meeting	22 June 2023
AHP Workforce & Education Strategic Oversight Forum	22 June 2023
Andrew Charnock, CEO & Registrar, Occupational therapy Board of New Zealand meeting	22 June 2023
The Society of Sports Therapists meeting	26 June 2023
Unison: Celeste Laporte and Gary Collins meeting, Nick Entwistle	26 June 2023
Unite: Jane Beach meeting, Dave Munday, Gavin Fergie, Colenzo Jarret-Thorpe	27 June 2023
Suzanne Rastrick, Chief Allied Health Professions Officer for England and Bev Harden, Deputy Chief Allied Health Professions Officer	27 June 2023
NHS Long Term Workforce Plan briefing	28 June 2023
GMB union, Rachel Harrison, National Secretary for the Public Services Section	29 June 2023
Graham Mockler, Director of Regulation and Accreditation at the Professional Standards Authority	29 June 2023
Chief Executives Steering Group (CESG) Meeting	30 June 2023

Interim Deputy Chief Executive's report on organisational performance – July 2023

Appendix B

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

Key Performance Indicators dashboard

FTP

Measure	KPI 1 - the proportion of cases concluded at each stage that are within KPI												Period	July 23
What it tells us	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.													
Reporting period commentary	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: <60% A: 60-70% G: >70%													
2023-24		Jan-23	Feb-23	March-23	April-23	May-23	June-23							
1: Pre ICP	%	50%	62%	56%	52%	63%								
2: Final Hearing	%	0%	9%	0%	0%	16%								
2022-23		Jan-22	Feb-22	March-22	April-22	May-22	June-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	
1: Pre ICP	%	40%	56%	44%	44%	46%	36%	21%	31%	27%	34%	44%	50%	
2: Final Hearing	%	38%	0%	6%	0%	19%	21%	16%	22%	24%	10%	16%	13%	

Measure	KPI 2 - S.29 appeals and learning points												Period	July 23
What it tells us	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.													
Reporting period commentary	In April 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. In Q4 we received two learning points from the PSA, which is lower than the three previous quarters. We have received one formal learning point letter in Q1 of this year to date. PSA issue learning points to highlight areas for improvement in the quality of final hearing decisions. Improving the quality of our final hearing decision has been a key element of our improvement programme.													
2023-24		Q1 April-June			Q2 July-Sept			Q3 Oct-Dec			Q4 Jan-March			
S.29 Appeals	Number	1 - provisional												
PSA Learning Points	Number	1 - provisional												
2022-23		Q1 April-June			Q2 July-Sept			Q3 Oct-Dec			Q4 Jan-March			
S.29 Appeals	Number	0			1			0			1			
PSA Learning Points	Number	11			3			4			2			

Education

Measure	KPI 3 - Education Quality and Timeliness												Period	July 23
	1. Less than 20% of assessments resulting in conditions / formal requirements 2. 30 days or less to provide process reports to the education provider from conclusion of quality activities													
What it tells us	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 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													
Reporting period commentary	Measure 1 – We have continued to support our stakeholders well, demonstrated by setting no conditions since the last report. This is an explicit aim of our quality assurance model – we hold providers to high standards, but support them in meeting them, aiming to avoid formal requirements setting Measure 2 – March and April figures are red RAG rated, and the April figure is particularly high. In these months, we concluded cases that were delayed through all assessment stages last year. In the last report to Council, we noted that we expected the data for March and April to be impacted by those cases concluding, but we expected that we should return to our historic good performance in this area after this point. The May data is much improved, with a green RAG rating.													
1		Jan-23	Feb-23	March-23	April-23	May-23	June-23	July-23	Aug-23	Sept-23	Oct-23	Nov-23	Dec-23	
	%	0	0	0	0	0	TBC							
2	days	91	58	71	129	24	TBC							
		Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	
1	%	0	0	0	0	0	0	0	8	N/A	0	0	0	
2	days	29	52	8	25	35	41	40	30	N/A	21	63	61	

Registration

Measure	KPI 4 – Registration responsiveness 1 - Decision on 95% of all UK registration applications within 10 working days 2 - Decision on 95% of all international registration applications within 60 working days 3 - Answer 90% of telephone calls 4 - Respond to emails within 5 working days										Period	July 23	
What it tells us	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												
Executive commentary	<p>UK application: Performance against our service standard for UK applications has been consistently met since February 2022. The monthly performance median continues to remain within the 10 working days service standard.</p> <p>International applications: We continue to receive high volumes of international applications, with 3,442 received during the period from March to May 2023, During the period from March to May 2023, 3,799 international applicants were registered, compared to 2,074, an increase of 83.2% on the same period last year.</p> <p>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. The percentage of applications assessed within our service standard has been over 95% since March reflecting that we are providing a good service in this area and are coping with demand.</p> <p>Calls: The telephone call answer rate was 99% in March, 99% in April and 99% in May 2023. We continue to train more Registration Advisors to be able to take phone calls and this is having a positive impact on performance and our resilience.</p> <p>Emails: Our improved performance against our target of 5 working days for emails has been sustained at a median of 2 working days during the period from March to May 2023. We have been achieving the KPI for emails since June 2022.</p>												
2023		Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	Feb-23	March-23	April-23	May-23	June-23
1: UK registration	%	99	100	100	99	100	100	100	100	100	100	99	
2: Int registration	%	74	77	68	71	87	85	88	86	98	99	97	
3: Calls	%	62	81	85	96	98	99	99	99	99	99	99	
4: Emails	working days	3	2	3	2	2	1	1	1	2	1	2	

Customer Service

Measure	KPI 5 - Customer service: Number of complaints and % upheld												Period	July 23
What it tells us	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. Upheld RAG - Green <50 Amber 50-59 Red >59													
Executive commentary	The number of complaints received each month has been steady during 2023, but is less than in the past two years and the percentage of complaints upheld has also decreased. This largely reflects the improved performance of the Registration department especially in relation to international applications although these still account for the bulk of their complaints received. We also get far fewer complaints generally about difficulties with online renewal which suggest the system and process including improved communications is now working well. For Fitness to Practise the number of complaints received has been similar to recent years and the themes in complaints are mostly concerning handling of investigations, length of time and threshold decisions.													
Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23							Monthly average
	Number	46	41	47	40	41								43
	% upheld	66	49	40	40									50
Previous years		Jan-22	Feb-22	March-22	April-22	May-22	June-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Monthly average
	Number	63	46	49	40	127	74	48	51	49	54	48	29	56
	% upheld	72	54	59	59	42	60	54	62	61	56	55	42	56

Professional practice and insight

Measure	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												Period	July 23
What it tells us	This measure focuses on outcomes which highlight the impact of our engagement. Engagement and media reach dashboard to be provided in performance report. Target 60%													
Executive commentary	During this period, we have continued to undertake our monthly workshop for newly registered international registrations called Joining the UK workforce. In April and May, we also delivered sessions in our #myhpcstandards series related to the new Standards of Proficiency which come into effect on 1 September 2023.													
Year to date		Jan-23	Feb-23	March-23	April-23	May-23								
	%	81	80	80	80	80								
		Jan-22	Feb-22	March-22	April-22	May-22	June-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	
%	71	81	89	88	81	90	94	N/A	81	90	86	81		

Finance

Measure	KPI 7 - Finance: Performance against budgeted operating expenditure in range of 91.4% to 101.4%											Period	July 23
What it tells us	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.												
Executive commentary	As we are currently reimplementing our finance system – Microsoft Dynamics Business Central – and also undertaking year-end close with ongoing external audit activities, we are currently working on finalising the financial report for May-23 YTD. It should be noted that 33 Stannary Street costs will still be reflected in the budgeted figures for FY2023-24 as the final settlement agreement with the landlord occurred after budgets were finalised.												
Year to date	(£000)	Jan-23	Feb-23	Mar-23	Apr-23	May-23							
	YTD Actual	27,852	30,755	35,237	-								
	YTD Budget	-	-	33,292	-								
	YTD Forecast	27,852	30,789	34,753	-								
	YTD Variance	0	34	(484)	-								
Previous year	(£000)	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
	YTD Actual	25,305	28,134	31,688	-	5,260	8,458	10,680	13,738	16,435	19,311	22,349	25,010
	YTD Budget	25,631	-	-	-	5,753	8,483	-	-	-	-	-	-
	YTD Forecast	-	28,557	31,788	-	-	-	11,069	14,196	16,680	19,253	22,336	25,217
	YTD Variance	326	423	100	-	493	24	389	458	245	(58)	(13)	207
	Actual as % of budget	98.7%	98.5%	99.7%	-	91.4%	99.7%	96.5%	96.8%	98.5%	100.3%	100.1%	99.2%

Information technology

Measure	KPI 8 - Availability of core IT systems Target: >99.5%												Period	July 23
What it tells us	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.													
Executive commentary	No downtime or significant disruption to key systems recorded so far during 2023.													
Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23							
	Availability %	100%	100%	100%	100%	100%								
Previous year		Jan-22	Feb-22	Mar-22	Apr-22	May-22	June-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	
	Availability %	100.00	100.00	100%	100%	99.4%	99.99%	99.9%	100%	99.9%	99.7%	100%	100%	

Measure	KPI 9 – Security Score Target: >80%												Period	July 23
What it tells us	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.													
Executive commentary	The security score reduced to 95% in April 2023 as a result of new criteria being added to the assessment. Although this remained well within target, actions were undertaken during May to address the new criteria, bringing the score back up to 99%. The score will continue to vary as a result of new criteria, new security releases, and changes to our environment to support project work.													
Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23							
	Score %	98%	93%	99%	95%	99%								
Previous year		Jan-22	Feb-22	Mar-22	Apr-22	May-22	June-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	
	Score %	n/a	n/a	77%	89%	80.5%	89%	88%	91%	93%	93%	96%	99%	

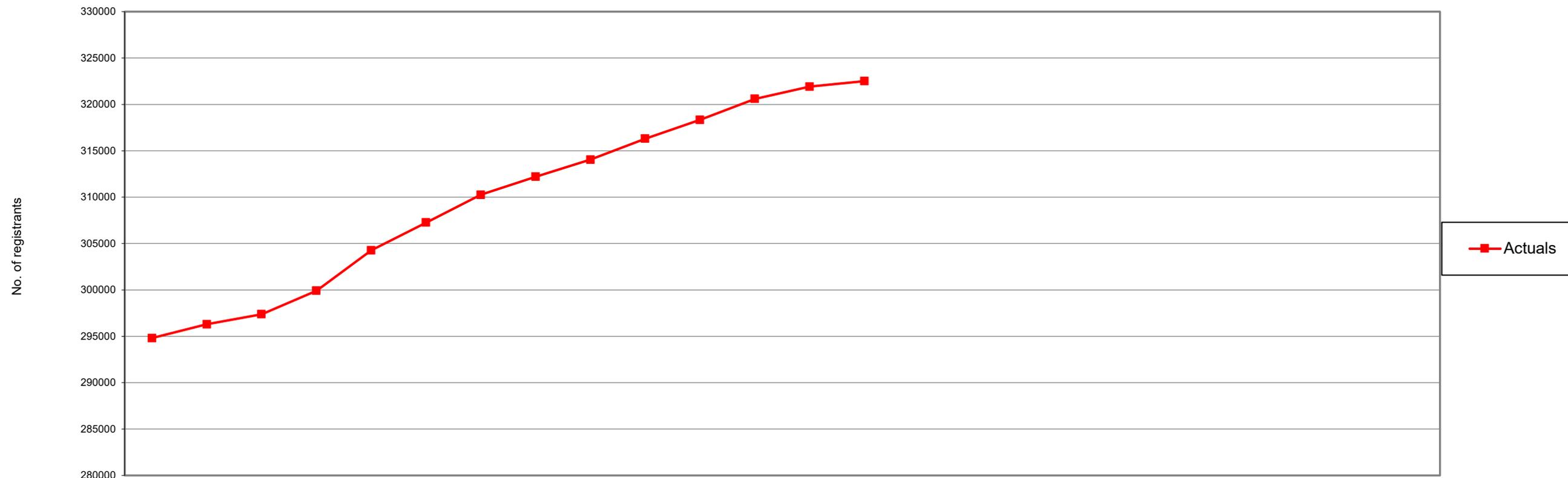
HR

Measure	KPI 10 - Voluntary staff turnover Target: <21%				Period	July 23
What it tells us	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					
Executive commentary	Voluntary turnover remains stable in this first quarter and is consistent with Q4. The reduction in turnover indicates a positive step and compliments the work which has been delivered as part of the People Strategy. We continue to monitor this closely.					
FY 2023-24		Q1	Q2	Q3	Q4	
	%	16 (provisional)				
FY 2022-23		Q1	Q2	Q3	Q4	
	%	23	16	17	15	

Measure	KPI 11 – Recruitment and onboarding efficiency				Period	July 23
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 been a focus in reducing the number of days to hire and we continue to work closely with recruiting managers to emphasise the importance of recruitment and onboarding.					
FY 2023-24		Q1	Q2	Q3	Q4	
	Average (days)	40 (provisional)				
FY 2022-23		Q1	Q2	Q3	Q4	
	Average (days)	59	59	40	62	

Number of Registrants by Profession April 2023 - March 2024

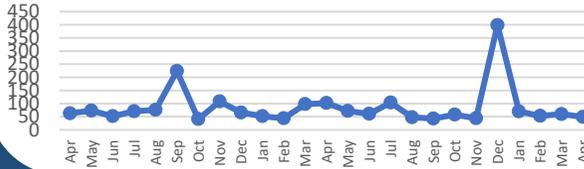
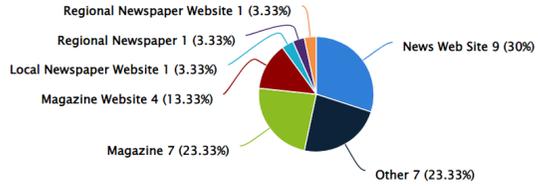
Registration Department



	2022			2023									2024									16/17	17/18	18/19							
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE				
Arts therapists	5,211	4,908	4,939	4,957	5,071	5,136	5,202	5,274	5,299	5,337	5,358	5,369	5,372	5,380												4,026	4,322	4,432			
Bio. scientists	24,246	24,458	24,572	25,047	25,413	25,652	25,919	26,174	26,480	26,804	27,078	27,345	27,523	27,704													22,902	22,395	23,284		
Chirops/ pods	12,479	12,452	12,444	11,796	11,901	11,939	11,966	11,972	11,959	11,966	11,982	11,984	11,988	11,976													12,931	13,115	12,833		
CI scientists	6,837	6,855	6,895	6,917	6,938	6,963	7,156	7,228	7,249	7,312	7,346	7,386	7,409	7,441													5,663	5,818	6,207		
Dietitians	10,739	10,743	10,268	10,462	10,582	10,636	10,747	10,839	10,878	10,936	11,006	11,057	11,089	11,146														9,107	9,585	9,722	
Hearing aid disps	3,635	3,639	3,661	3,477	3,568	3,622	3,686	3,736	3,768	3,814	3,845	3,932	3,982	4,019														2,593	2,908	3,047	
OTs	41,210	41,287	41,419	41,750	42,228	42,518	42,768	43,013	43,158	43,318	43,503	43,681	43,776	43,894														38,080	38,183	39,925	
ODPs	15,068	15,089	15,116	15,195	15,309	15,469	15,640	15,202	15,326	15,405	15,472	15,524	15,564	15,601														13,052	13,639	13,903	
Orthoptists	1,480	1,481	1,482	1,495	1,507	1,518	1,526	1,535	1,538	1,541	1,544	1,544	1,545	1,547														1,451	1,440	1,496	
Paramedics	32,531	32,673	32,915	33,275	33,781	34,206	34,495	34,703	34,789	34,976	35,182	35,395	35,554	35,722														23,992	25,465	27,686	
Physiotherapists	58,461	59,441	59,903	60,801	62,017	62,756	63,361	63,934	64,468	65,105	65,717	66,475	66,872	67,397														52,915	55,132	55,695	
Pract psychs	26,336	26,399	26,481	26,553	26,689	26,895	27,244	27,421	27,505	27,607	27,671	27,718	27,738	26,837														22,604	23,104	24,290	
Prosth/orthotists	1,107	1,108	1,113	1,123	1,142	1,152	1,163	1,165	1,168	1,177	1,187	1,193	1,196	1,203															1,063	1,051	1,101
Radiographers	38,098	38,351	38,725	39,514	40,332	40,876	41,305	41,801	42,206	42,703	43,056	43,556	43,829	44,135														32,072	32,475	34,470	
Social workers	0	0	0	0	0	0	0	0	0	0	0	0	0	0															91,944	96,497	94,453
SLTs	17,376	17,409	17,453	17,551	17,798	17,930	18,080	18,207	18,259	18,317	18,394	18,435	18,477	18,510															15,935	15,932	16,595
Total	294,814	296,293	297,386	299,913	304,276	307,268	310,258	312,204	314,050	316,318	318,341	320,594	321,914	322,512														350,330	361,061	369,139	

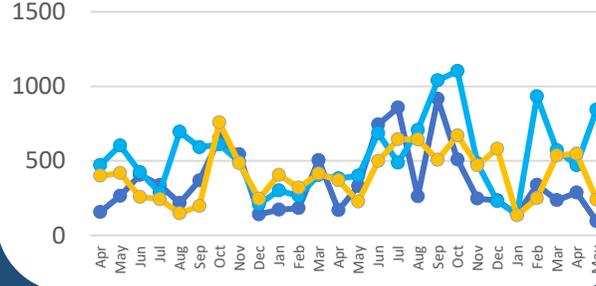
Media coverage

30 mentions

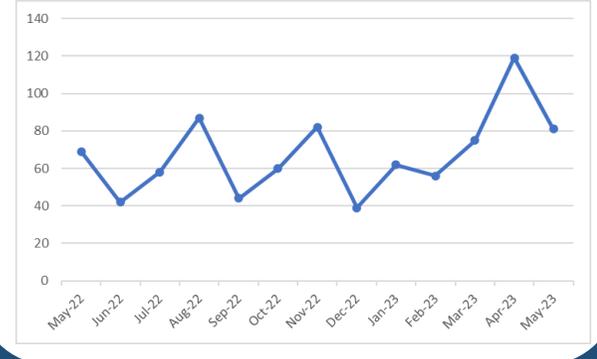


Social media engagement

f 95 t 843 in 240

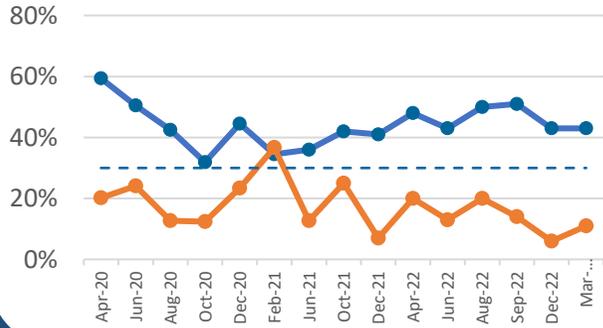


Policy queries



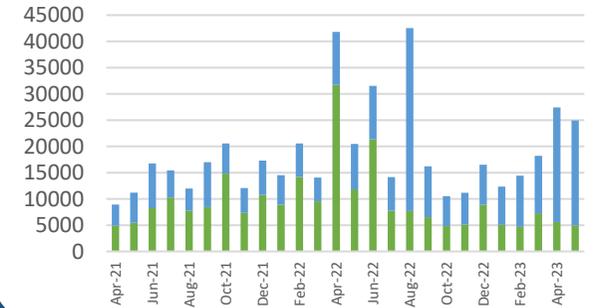
In Focus email

Open rate
Click-to-open rate



Blog & news views

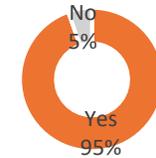
Blogs
News



EDI webinar

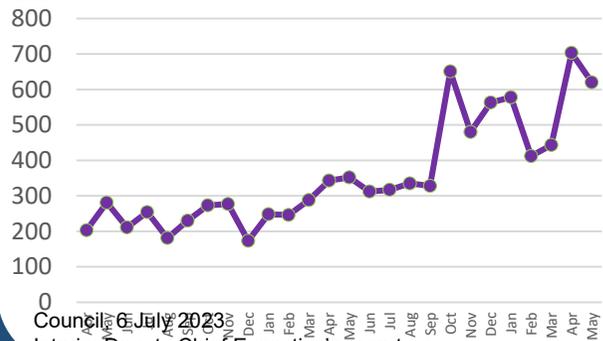
#myhpcstandards

Would you recommend this session to your colleagues?



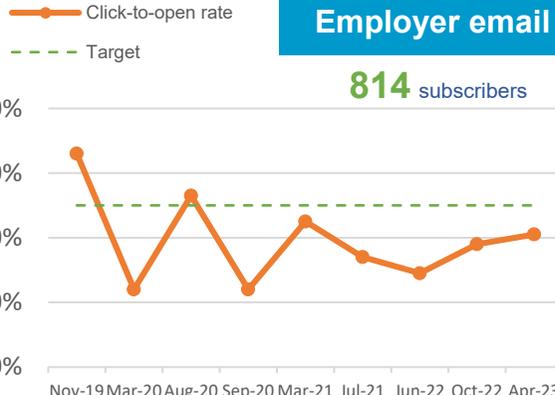
Employer hub

Visits



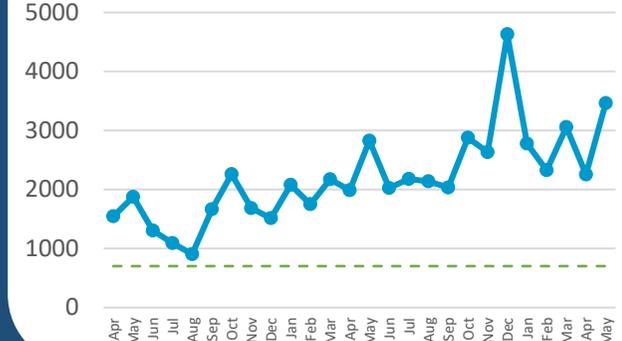
Employer email

814 subscribers



Student hub

Visits
Target



Interim Deputy Chief Executive's report on organisational performance – July 2023

Appendix C

Corporate Plan 2023-24 - Deliverables Progress Report July 2023

Theme 1- Improving the experience of registrants and others who engage with the HCPC

	Area of development	Key milestones	Rag and comment
1	FTP Frontloading - Improve experiences of our fitness to practise process by shifting the focus of our investigation work to earlier in the process, which has shown in pilot to reduce the time FTP cases take overall.	<ul style="list-style-type: none"> a. Move into new operating model (Q4) b. Deliver changes to case management system to enable frontloading approach (Q3-4) c. Embed new ways of working and commence in-house frontloaded investigations (Q4) d. Start reporting on new KPIs for FtP processes (Q4) 	In progress. Frontloading of case investigations with our providers commenced in July 2022. Work to develop our operating model to support in-house frontloaded investigations is underway.
2	FTP participant support - Seek to reduce the impact of FtP processes on registrants and other participants through our new dedicated registrant support line, progressing our registrant health and wellbeing strategy and by continuing to run our lay advocacy service.	<ul style="list-style-type: none"> a. Complete tone of voice review of all FtP templates (Q2) b. Review of Lay Advocacy Service after one year (Q3) c. Review of Registrant Support Service after one year (Q4) 	The amber rating is to reflect that the tone of voice work was carried over from last year's Corporate Plan. We have put in place support from the Business Change Team and a project plan is in place to continue the review of templates supported by colleagues in the project management team. We are on track against the revised timeline for this year's Corporate Plan and we will consider moving this to a green rating if we continue to stay on track with the timeline developed for this year's Corporate Plan.
3	Registration Operating Model - Transform our registration service operating model to enable a greater focus on good customer service for registrants and applicants.	<ul style="list-style-type: none"> a. Move into new operating model (Q3-Q4) b. Embed new process and ways of working (Q3-Q4) 	Trial 12 month ring fenced teams test completed. Review progress and planning to fully roll out in Q3-4 once any HR requirements have been completed.
4	SCPE review - Ensure our standards and guidance reflects registrants current practise and the situations they work in. in 2023-24 we will review our Standards of Conduct Performance and Ethics and supporting guidance on aspects such as social media and the duty of candour.	<ul style="list-style-type: none"> a. Launch Standards and Social Media Guidance consultation (Q1) b. Consultation analysis complete and updated standards approved and published (Q3) c. Consultation on supporting guidance launch (Q3-4) 	Consultation closed 16 June and paper for initial discussion included on the agenda at Council's meeting (July). Planned workshop with the Education & Training Committee (August) to discuss consultation responses.
5	EDI - Implement 2023-24 EDI action plan activities.	<ul style="list-style-type: none"> a. Statistical analysis of FTP outcomes as impacted by EDI factors (Q2-3) b. Regulatory Reform Equality Impact Assessment (Q4) c. Publication of EDI factsheets across professions (Q1-4) 	Seminar with Council held 22 June and EDI factsheets published. Fact sheets being published in phased approach.

6	Service user engagement - Strengthen the range voices informing our regulatory policy development by better engaging with service users and patients.	<ul style="list-style-type: none"> a. Work with other regulators to pool resources on service user engagement (Q2-3) b. Development of a service user group forum (Q3-4) 	<p>We continue to work in cross-regulator forum, including discussion on possible joint approach to service user engagement.</p> <p>Discussions with service user representative groups are underway around a longer-term partnership/forum. Held workshops with The Patients' Association on our Standards of Conduct, Performance and Ethics consultation.</p>
7	Welsh Language - Support our 4-country approach to UK regulation by making enhancements to our Welsh language accessibility as required by changes to the Welsh Language Scheme	<ul style="list-style-type: none"> a. Work with Business Change, IT, Comms, and Regulatory Departments to implement necessary changes 	Received final compliance notice (June), next stage implementation of measures to comply with notice.

Theme 2- Contributing to sector wide workforce planning and resilience

	Area of development	Key milestones	Rag and comment
8	English Language - Review our English Language Requirements for registration to ensure that international registrations meet expectations on communication.	<ul style="list-style-type: none"> a. Conduct pre-consultation engagement (Q1) b. Consultation on proposals (Q2-3) c. Agree approach following consultation (Q4) 	<p>This work is underway with pre consultation engagement, consultation launch pushed back by 2 months to allow for more pre-consultation engagement and responses to our survey. However this will not impact on the planned decision point, still expected in March 2024.</p> <p>Education & Training Committee workshop covering SCPEs & English Language proposals scheduled (August). Council seminar on EDI aspects held in June.</p>

9	Standards of Education and Training - Working closely with education providers, commence a review of our SETs to ensure that the registrants of the future continue to join the workforce with the skills and knowledge they need to succeed.	a. Preparatory work and scoping of review (Q4)	No update for this quarter.
10	Preparedness for practice - Undertake research into the experiences of new registrants entering the workforce, which will inform our work to support registrants to continue to meet our standards and stay on our register.	a. Communication and implementation of preceptorship principles (Q1) b. Interim research report on preparedness for practice (Q2-3) c. Final preparedness for practice research report received & action plan developed (Q4)	On track as planned, Education & Training Committee reviewing preceptorship principles over Summer and sign off scheduled for August.
11	Advance Practice - Continue our work on advanced practice regulation development to ensure that emerging roles and innovation in delivery continues to enable public protection.	a. Engagement with other regulators and key stakeholders on AP developments (Q1) b. Take forward development of definition/guiding principles (Q3) (subject to fee increase)	Reviewed NMC advance practice research, including the impact of regulatory reform. Engaged with other regulators and stakeholders.
12	Data insights - Share insights from our data with shareholders, through the publication of profession specific data dashboards which enable greater visibility of the makeup of our register. Continue to pursue strategic data partnerships with key stakeholders regulators to enable us to better forecast workforce supply through new graduates and international registration.	a. Renewals data dashboard (Q1) b. Retention rate publications (Q3) c. Regular supply of Student level Higher Education Statistics Agency (HESA) and NHS Education Scotland (NES) data (Q4)	The process for counting renewals has been fully documented. The renewals dashboard is in final testing stage.
13	Covid-19 Temporary register - Support emergency workforce provision by the continuation of our temporary covid register.	a. Agree approach (Q1) b. Agree implementation (Q1-2) c. Phasing of operationlising (Q3-Q4)	Approach has been agreed and we are into implementation – all those on the Covid-19 Temporary Register have until end of June 2023 to confirm if they are using their temporary registration.

Theme 3- Driving forward efficiencies and innovation in how we work

	Area of development	Key milestones	Rag and comment
14	Online registration services – pursuing our Digital Transformation Strategy to enhance our online application and renewal functionality for registrants and applicants enabling greater self-service and reducing manual and paper based inefficiency.	a. Scoping and developing new automated processes and system enhancements (Q3) b. Commence new automated ways of working (Q4) c. Scoping of technical solution to deliver mobile compatibility (Q3) d. Delivery of mobile compatibility – (Q4)	Mobile functionality on track via incremental steps.

14. a	Online FtP concerns form – develop an online form to submit an FtP concern to enhance the experience for complainants. Manual inefficiencies will be reduced through automatic case creation and population of relevant data fields. The online form will also allow the collection of EDI date for members of the public who raise an FtP concern with us.	<ul style="list-style-type: none"> a. Requirements gathering for online form including technical architecture for auto case creation – (Q1) b. Define data capture at form submission stage – (Q1) c. Build and test new online concerns form – (Q3) d. Delivery of online concerns form – (Q3-Q4) 	In progress. Requirements gathering and data capture for form on track to complete by end Q1.
15	Partners - Review how we work with our Partners to optimise and streamline our processes and quality assurance.	<ul style="list-style-type: none"> a. PWC project established for phased recommendations (Q3-4) b. Work of task and finish group on employment status of partners in light of NMC legal case. 	<p>Review complete, final report was received in June, number of projects will be developed to reflect recommendations in the report including performance management and quality assurance of partner services delivered and implications of NMC legal case.</p> <p>Workshop with People and Resource Committee in July to discuss report and next steps.</p>
16	People - Deliver the third year of our People Strategy, focusing on improving our ability to attract and retain talent.	<ul style="list-style-type: none"> a. Implement upgrade to e-recruitment site and enhance the recruitment pages by making them more interactive (Q2-3) b. Develop a talent pool for candidates (Q3-4) c. Relaunch beyond barriers mentees and mentors (Q2) d. Succession planning: identify needs and key positions by priority departments (Q3). 	<p>Initiation of e-recruitment site upgrade due to commence Q2.</p> <p>Beyond Barriers and Reverse Mentoring programmes will launch during National inclusion week September, comms to staff has commenced.</p>
17	Financial management - Strengthen our financial management capabilities by modernising our financial IT systems.	<ul style="list-style-type: none"> a. Implement Business Central (Q3) b. develop approach for strengthening financial reporting with new functionality enabled by Business Central and an approach for accounting for deferred income and automation of invoice processing (Q4). 	Implementation deferred from initial planning assumption of end of last financial year in light of results of design phase. Timetable reset and work currently on track against revised plan.
18	Sustainability - Improve our sustainability and further reduce our office footprint	<ul style="list-style-type: none"> a. Establish HCPC's carbon baseline & agree action plan and targets (Q1) b. Establish Employee Forum-sponsored programme of employee engagement (Q1) c. Review scope and take decisions on incorporating environmental considerations (Q3) 	Progressing as planned - Council paper on sustainability included on July's agenda.
19	Engagement - We will establish an Office of the Chair and Chief Executive to better support strategic engagement with Interim Deputy Chief Executive's report on organisational performance July 2023	<ul style="list-style-type: none"> a. Ways of working established, all posts filled and operational (Q2) b. 6 month ways of working review (Q4) 	Commenced with x1 post filled, on track as planned.

	stakeholders and the prioritisation of Chair and Executive time as well as ensuring quality support is available		
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Areas of development that will be progressed subject to achieving a rise in our fees, needed for financial sustainability

Our Council have agreed that subject to our future income needs being secured, we will include the following areas into our Corporate Plan.

1. Working with employers to secure better protected CPD time
2. Increase our promotion of registration fee tax relief
3. Increase the spread of direct debit payments

Interim Deputy Chief Executive's report on organisational performance – July 2023

Appendix D

Strategic Risk Register June 2023

HCPC Strategic Risks

Summary of strategic risks

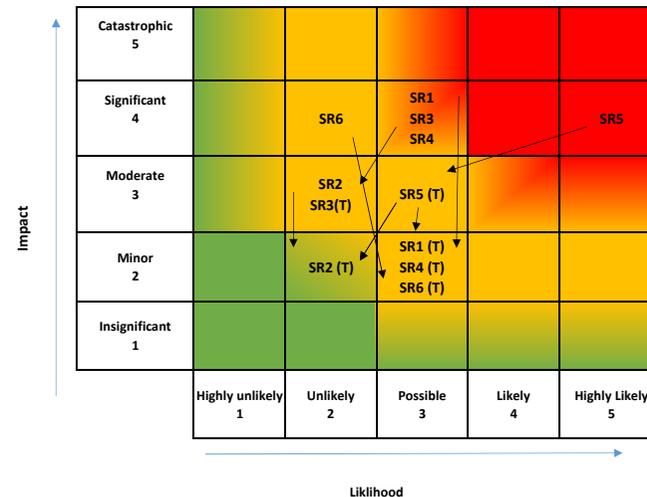
Strategy	Strategic Risks - High Level	Risk Description	Jun-23	Target Risk*
1 - Continuously improve and innovate - To improve our performance against PSA standards of good regulation and to innovate across all our regulatory functions to provide an enhanced user experience.	1. Our regulatory performance 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.	6	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.	20	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.	8	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.
- We have continued to remain within our service standard of providing a first decision on an international application within 60 working days - we have been within our service standard since Jun 22. Performance has continued to improve and since Nov 22 we have been providing a first decision in under 20 working days.
- Our contact centre has been providing an improved service, we have answered 96% or more of the telephone calls we have received and responded to emails within 2 working days since October 2022.
- 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 2023-24 increases confidence in forward resource needs.
- Backlog of cases remain out of the first year of running the Education QA model. Stakeholders have experienced disruption in this period. Some KPIs have not been met over the last 9 months, but we are now seeing an increase in KPI compliance.
- The second tranche of FtP Improvement projects are in delivery, continued focus on embedding of tranche 1 benefits. Registrant support line will launch Q4, lay advocacy service of FTP participants in place.
- Tone of voice template review will not complete in Q4 as dedicated resource joined later than expected. Completion expected Q1 23-24.
- Teams will require additional resource to engage in regulatory reform preparation when commences for HCPC.

Mitigations in place

- 🔍 Second line QA plan for 2023-24 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.
- 🌟 Modern education QA model in place and embedding. Regular feedback sought and acted upon to improve process application and stakeholder experience. Education provider self-service portal in place improving experience of education stakeholders.
- 🔍 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, registrant support line in place.
- 🔍 Wide range guidance on HCPC's regulatory processes available on our website.

Reporting period commentary

Risk score – no change. While many positive improvements are being made and performance is improving, we are aware that we continue to not meet a number of PSA standards. Our 2022-23 PSA performance review is currently being finalised. Should the HCPC regain standards the risk score is likely to decrease.
Risk Influencers – Registration service has improved and remained consistently within KPI since the summer 22. Introducing online services has helped in this as well as ringfenced teams dedicated to UK and international processing. Negative influences include the need to meet Education KPIs consistently.
Planned mitigations progress – We launched our first registrant support phonenumber at the beginning of Q1.

Review date

Jun-23

Risk owner

ELT Lead - Acting 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 2023-24

progress

- 🔍 Move into new FTP Frontloading Operating model (Q4) ➔ In progress. Frontloading of case investigations with our providers commenced in July 2022. Work to develop our operating model to support in-house frontloaded investigations is underway.
- 🔍 Complete tone of voice review of FtP templates (Q2) ➔ In progress. The contract with the secondee appointed to progress this work has now ended, and work has been handed back to the FTP colleagues. A project plan is in place to continue the review of templates supported by colleagues in the project management team.
- 🔍 Move into new Registration operating model (Q3-4) ➔ Trial 12 month ring fenced teams test completed. Review progress and planning to fully roll out in Q3-4 quarters once any HR requirements have been completed.
- 🔍 Enhance online registration services including mobile compatibility (Q4) ➔ Mobile renewal being carried forward via the backlog sprints. Aiming for July/August timeline. Then incremental steps to increase mobile functionality.

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

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

- 4 country PL resource in place better enabling UK wide prevention engagement.
- Partnership working with HEE on Preceptorship principles (supporting new professionals transition to workplace) approved by Council and published. Implementation guidance in development.
- 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.
- ⊕ Changing expectations of our professions' practice as a result of pressures on services, tech or societal events.
- Review of SCPEs and supporting guidance consultation live supported by targeted engagement workshops.
- #mystandards 2023-24 events programme has commenced aiming raising awareness of standards requirements.
- Preparedness for practice research has launched.
- ⊕ Pre consultation engagement on English Language requirements has provide more challenging than expected. The launch of the consultation has been put back by 2 months to enable more insight to be gathered. This will not impact the date planned for Council decision.

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

Planned mitigations – Good progress on planned mitigations in Q1. Major review of SCPE's in consultation analysis phase.

Review date

Jun-23

Risk owner

ELT Lead - Executive Director of Governance Assurance and Planning

	Impact	Likelihood	Risk Score
Inherent risk	5	x	5
Current risk	3	x	6
Target risk (planned mitigations in place)	4	x	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 2023-24

progress

- | | | |
|---|----|--|
| 🏗️ Review our English Language Requirements for registration (Q1-4) | ➡️ | This work is underway with pre consultation engagement. consultation launch delayed but will not impact decision timeline. |
| 🏗️ Preparatory work and scoping of review of SETs (Q4) | ➡️ | Not yet due to commence. |
| 🗣️ Undertake preparedness for practice research - Final preparedness for practice research report received & action plan developed (Q3-4) | ➡️ | Working on with Uni of Plymouth – progressing for now but slight delay due to resource at the university. Reviewing NMC advance practice research, including the impact of reg reform. |
| 🏗️ Advanced practice - take forward development of definition/guiding principles (Q3) (subject to fee increase) | ➡️ | Council agreed to launch the consultation at its meeting in March 2023. The consultation closed 16 June 2023. A series of workshops to run alongside the consultation are underway. Workshops completed with most stakeholders, tendered contract for service user engagement. |
| 🏗️ Review of SCPE and social media guidance (Q1-3) | ➡️ | |

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

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

- Findings of analysis of the attrition rates of the 15 professions published, contributing to wider workforce planning aims. Positive reception from stakeholders.
- Insight and Analytics commenced work on data dictionary. IT team delivered successful first modules of new data platform, supporting EDI reporting, meeting the needs of the HEE data sharing project and improving access to core registration data.
- Data Engineer in place, data standards officer on secondment. A data migration specialist has been recruited on a temporary basis to support the Business Central project.
- Ongoing risk of single point of failure for operational performance data reporting. Capability and capacity challenging, focus on progressing automation in Q1-2
- % of registrant EDI data held has improved with 61% of those renewing opting to provide data. System improvements delivered to make data collection mandatory as part of online registration processes.
- Quality and completeness of underlying data causing delays to analysis as significant cleansing work required. I&I team working with Ops teams to resolve and mitigate against continued imputing of new bad quality data.
- Data priorities have been reviewed and aims for 2023-24 more realistic and grounded in the reality of the current data quality. Priority is to improve data quality before moving to next maturity level.

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 in house statistical analysis of EDI data and register attrition rates published.
- Oversight board for Programme for Data Excellence in place.

Reporting period commentary

Risk influencers – Streamlined focus for 2023-24 agreed, focused on underlying quality improvement and a smaller number of analyses projects. Data quality remains a negative impact on the score.
 Planned mitigation progress – good progress on planned mitigations in quarter one.

Review date
 Jun-23

Risk owner
 ELT lead - Executive Director of Governance Assurance and Planning

	Impact	Likelihood	Risk Score	
Inherent risk	5	x	4	20
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 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 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

Planned mitigations 2023-24	progress
Statistical analysis of FTP outcomes as impacted by EDI factors (Q2)	Not yet started.
Retention rate publications (Q3)	Not yet started.
Regular supply of Student level Higher Education Statistics Agency (JISC) and NHS Education Scotland (NES) data (Q4)	Not yet started.
Publication of EDI factsheets across professions (Q4)	Rolling programme. First factsheets published from June and will continue throughout the year. After renewal window in Q4 will be full register at same point in time. Will then be an annual report.
Renewals data dashboard (Q1)	Difficulties in previous report have been corrected. Agreement on counting methods. now adding more detail which will give us a better understanding of renewal forecasting

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

- HCPC fee rise decision has understandably not been popular with stakeholders, significant engagement undertaken to continue productive relationships.
- Collaboration with NHS employers to reach out to attendees of joining the UK workforce upstream events, contributing to the wider workforce agenda. Also, in this area we published our analysis of register retention improving understanding of attrition, preceptorship principles published and preparedness for practice research launched.
- 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
- Professional liaison consultants in place in each of the 4 UK countries, improving our reach for engagement work.
- Strategic Relationship Lead in place and actively managing and supporting relationship managers' network. Relationship management model reviewed and revised in quarter 1. Engagement management group established to support more targeted forward planning for engagement.
- Business case for a CRM not taken forward in investment prioritisation for 2023-24. Over the year we will better scope our needs to make the case for the following years submission.
- Service user engagement focus groups undertaken for SCPE review.

Mitigations in place

- ELT relationship building and liaison with key stakeholders particularly Government Departments, professional bodies, other regulators, unions.
- Personal engagement plans for Chair & Chief Executive in place. Engagement management group meets regularly to monitor and plan engagement strategically. 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.
- Interim stakeholder CRM in place to improve stakeholder engagement management and insights.

Reporting period commentary

Risk score – as previously reported, while positive work has taken place on mitigation which would otherwise reduce the risk score, the fee rise decision has had a negative impact on stakeholder sentiment and so the risk overall remains unchanged.
Risk influencers - Negative impact on perception due to fees consultation decision. Positive impact from more mature planning to engagement and PL 4 country reach.

Review date
Jun-23

Risk owner
ELT lead - Executive Director of Governance Assurance and Planning

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

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 2023-24	progress
Development of a service user group forum (Q3-4)	Tender undertaken for support with service user engagement groups for SCPE review.
Office of Chair and CEO established and posts filled (Q2)	Business manager appointed and ways of working development underway.
English language review pre consultation engagement (Q1-2)	This work is underway with pre consultation engagement. timeline has been extended for this stage.
Welsh language scheme accessibility enhancements (Q3-4)	Received final compliance notice (June), next stage implementation.

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

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

- 23-24 budget and corporate plan approved, balanced budget was achieved. Budget factors in projected future benefits of investments, to be validated at project initial phase and tracked to ensure deliver. This builds on our longer-term approach to business planning, focusing on benefits and sustainability with budget holder challenge and support.
- 2022-23 external audit has commenced with aim of Council approval in Sept 23
- HCPC's proposed fee rise 2023 delayed in parliamentary process, unable now to lay until post recess. Impact on financial sustainability of missing income during delay. HCPC's last fee rise was reduced and delayed resulting in an impact on our medium to long term financial sustainability.
- Finance system replacement (BC) delayed, deferring benefits of from enabling further improvements in financial control, reporting and project accounting. Project now under way, with discovery phase complete and move into design and build. Go live estimate Dec 23
- Internal Audit of Core Financial Controls resulted in a number of high priority recommendations. Follow up audit has taken place has delivered a green/amber rating in light of remedial action taken, to be shared with ARAC March 2023.
- People strategy in place communicating development priorities to the organisation. Aspiring leaders programme has launched. Sickness absence and turnover reducing. APDR participation was 100%
- Legal position on partners' employment status has crystallised, with probability of legacy and future costs arising for HCPC; being addressed by dedicated Task and Finish Group.
- Project to review the HCPC's approach to working with our Partners (a key resource) has been launched, this will include aspects of efficiency and quality assurance
- Rising inflation increases HCPC energy and other costs and HCPC employees cost of living pressures
- Change and Benefits Forum established, reporting to ELT to strengthen change management and ensure delivery of benefits.
- ISO27001:2013 audit passed without note of non conformance, supports information security approach.
- New CEO due to join HCPC in July 2023.
- Carbon baseline for HCPC now established action plan for improving sustainability being developed with expert input and involvement of ELT and SLG.

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.
- Benefits management approach in place.

Reporting period commentary

Risk score – delays in the Fee rise process outside HCPC's control has postponed delivery of a more sustainable income. Likelihood thus increased to 5 on a temporary basis.
 Risk influencers – delay to fee rise noted above.
 Planned mitigations - progress in reducing office footprint, overall reduction 50%. Delay to replacement finance system.

Review date

Jun-23

Risk owner

ELT - ED of Resources and Business Performance

	Impact	Likelihood	Risk Score
Inherent risk	5	x	5
Current risk	4	x	20
Target risk (planned mitigations in place)	3	x	9



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 outside of risk appetite

Planned mitigations 2023-24

progress

- | | | |
|---|---|--|
| Partners - Review how we work with our Partners to optimise and streamline our processes and quality assurance (Q1-4) | ➔ | PWC review is nearing its conclusion. The other side of this development work is the actions needed in response to the partner worker status case that may have implications for the HCPC. |
| Implement upgrade to e-recruitment site and enhance the recruitment pages by making them more interactive (Q2-3) | ➔ | Demo received from suppliers. Awaiting scoping meeting with Acct Mgr, to produce timelines in next few weeks. |
| Relaunch beyond barriers mentees and mentors (Q2) | ➔ | Not due. |
| Implement Business Central and roll out improved management reporting (Q3-4) | ➔ | Delayed, but going live Dec 2023. This is likely to impact on other projects. |
| Establish HCPC's carbon baseline & agree action plan and targets (Q1-3) | ➔ | Reducing footprint increases both financial and environmental sustainability. 50% reduction of estates rationalisation. Focus is now on reshaping the estates towards further improving the financial and environmental sustainability of our operations. Draft roadmap developed along with sustainability statement. |
| Online registration services – pursuing our Digital Transformation Strategy to enhance our online application and renewal functionality for registrants and applicants (Q3-4) | ➔ | Mobile apps being included in sprint cycles rather than a big bang approach. July / August potential mobile renewal. |
| Implement change to fees (tbc) | ➔ | Delayed due to parliamentary timetable. Delayed implementation will lower overall income in the immediate future. |

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

- In its response to its consultation on regulatory reform, DHSC has confirmed that the HCPC and NMC will be the priority regulators for reform following the GMC.
- Regulatory reform included in 2023-24 corporate planning prioritisation and decision making process to ensure delivery remains achievable.
- Funding needed to progress regulatory reform internally not included in 2023-24 budget and will be funded by ringfencing any surplus in 22-23 and contingency in 2023-24 budget. Fee rise achievement required to make this affordable.
- 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.
- While HCPC has now been named as the next regulator to undergo reform there is not clarity at this stage on the timescales for this. We expect this clarity once DHSC has run its consultation on the GMC legislation. Lack of timescale challenges planning and scaling up of resources within HCPC dedicated to reform.
- HCPC provided feedback on, and participated in cross regulatory round table discussions, regarding the development of the GMC s.60 order. HCPC has responded to this consultation.
- HCPC has engaged with DHSC on how the recommendations of KPMG on the future regulatory landscape may be taken forward. DHSC have indicated that this will not be progressed as a priority, with the S.60 taking priority.
- Government leadership changes, and challenges in the health landscape could impact on the progression of regulatory reform due to other priorities.
- Collaboration with stakeholders such as HEE 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.

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.
- 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 influencers – DHSC have announced that the HCPC and NMC will be the next regulators to be prioritised for reform. This reduces the risk of significant delay to the HCPCs reforms. However, the financial risk posed has increased due to needing to scale up our internal resource and delay to fee rise parliamentary laying.

Planned mitigations - HCPC response to the consultation on regulation of physicians' associates submitted May 2023.

Review date
Jun-23

Risk owner
ELT lead - Interim Deputy Chief Executive

	Impact	Likelihood	Risk Score
Inherent risk	4	x 5	20
Current risk	4	x 2	8
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, 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 and confidence that funding and resources in place realise the opportunity of reform.

Current risk level is within risk appetite

Planned mitigations 2023-24	progress
Engagement with DHSC on regulatory reform as they develop GMC's legislation as a blueprint for our own. (ongoing)	Monthly meetings with DHSC and regular catch ups with GMC & NMC. Anticipate there will be workshops in several areas following the close of the consultation
Fee rise coming into force 2023 required to fund resources needed for reg reform.	Delayed due to parliamentary schedule
HCPC response to the consultation on regulation of physicians' associates (Q1)	Response finalised and submitted May 2023 and has now been published on our website.
Detailed business case for resources needed for HCPC's regulatory reform go live (Q3)	In development.

Risk Likelihood scoring

	Strategic	Programme/Project	Operational
Highly likely 5	"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.
Likely 4	Likely to happen at some point during the next one or two years.	Likely to happen in the life-cycle of the programme or project.	May well happen on a weekly basis.
Possible 3	May well occur during the lifetime of the strategy.	May occur during the life of the programme or project.	May well happen on a monthly basis.
Unlikely 2	Only small chance of occurring in the lifetime of the strategy.	Not likely to occur during the lifecycle of the programme of project.	Does not happen often - once every six months.
Highly unlikely 1	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
Catastrophic 5	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
Significant 4	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.
Moderate 3	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
Minor 2	A systemic failure which results in inadequate protection for individuals/individual communities, including failure to resolve celebrity cases.	Unfunded pressures between £20,000-£50,000.	Event that will lead to widespread public criticism.	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
Insignificant 1	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>Regulatory Quality - Open How will we deliver effective regulatory functions?</p>	<ul style="list-style-type: none"> • 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. • We are open to risks that will further us in our aim of delivering excellent regulatory functions. • 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. • We proactively seek to reduce public protection risk through the promotion of professionalism and prevention. • 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. • It is essential that mitigations to ensure ongoing public protection are in place as a foundation of taking risks to improve our regulatory quality.
<p>Compliance – Measured How will we comply with our statutory, regulatory and policy requirements?</p>	<ul style="list-style-type: none"> • We have a preference for safe delivery options that have a low degree of inherent risk and may only have limited potential for reward. • 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. • 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. • It is essential that the long-term achievement of PSA standards is assured.
<p>Communication and Profile – Seeks How will we be viewed by our stakeholders?</p>	<ul style="list-style-type: none"> • We are eager to be innovative in content and method in order to communicate more effectively, despite greater inherent risk. • 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. • 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. • 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. • We seek meaningful two-way dialogue with our stakeholders, even where this may pose a risk to our profile due to uncomfortable feedback. • It is essential that the HCPC's voice is not perceived to be party political. The HCPC is neutral as a public body.
<p>People – Seeks How will we lead our workforce?</p>	<ul style="list-style-type: none"> • We are eager to be innovative and to choose options that increase our effectiveness as an organisation despite greater inherent risk. • We are prepared to accept risk as long as there is the potential for improving culture, recruitment and retention. • We want to innovate to improve our culture and working environment. • 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. • It is essential 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.
<p>Financial and Value for Money – Measured How will we use our resources?</p>	<ul style="list-style-type: none"> • We are prepared to accept the possibility of limited financial loss where it does not have the potential to impact on our going concern. • Value for money is our primary concern in financial expenditure but we are willing to consider other benefits or constraints. • We are funded through registrant fees and we have a responsibility to ensure we invest cautiously to minimise loss while maximising benefit. • 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. • It is essential we remain a financially viable organisation to ensure continued public protection through continued operation. Significant financial risks are not compatible with this requirement.