
Chief Executive's report on organisational performance February 2024

Executive Summary

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

This report provides my assessment of the organisation's performance and highlights key pieces of work including in the areas of Policy and Standards and Resources.

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 – 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.
Purpose of report	The Council is asked to discuss the report.
Next steps	The next report will be received in March 2024.
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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Chief Executive's Organisational Performance Report – February 2024

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1. Chief Executive's Organisational Assessment

This report provides my assessment on the HCPC's organisational performance and highlights key developments since Council last met in November 2023.

Recruitment

I am delighted to share that Matthew Peck will join us on 16 March as Head of Communications, Engagement and Public Affairs – this role will provide strategic oversight of our external and internal communications. Claire Baker, who previously held the role of Operational Manager in our Hearings team, has successfully been appointed to Head of Adjudication and Performance, commencing her role on 1 February. Both Matthew and Claire begin their roles in time for our scheduled Senior Leadership Group Away Day on 14 March. I am excited for us to come together and develop strong ways of working.

Engagement

Health and Social Care Committee Expert Panel

On 30 January, the Executive Director of Education, Registration and Regulatory Standards represented the HCPC at a Health and Social Care Committee Expert Panel. The Health and Social Care Committee commissions the Expert Panel to evaluate a specific area of health and social care policy.

This Expert Panel, chaired by Professor Dame Jane Dacre, is currently evaluating government progress on implementing recommendations made by public inquiries and reviews on improving patient safety, including the 2013 Mid Staffordshire NHS Foundation Trust Public Inquiry, the 2015 Morecambe Bay Investigation, the 2015 Freedom to Speak Up Review and the 2022 Health and social care review on leadership for a collaborative and inclusive future. It is examining recommendations accepted by government in three areas:

- Maternity care and leadership
- Training of staff in health and social care
- Culture of safety and whistleblowing

We were invited to provide input into the work of the Expert Panel in their evaluation of government progress on implementing recommendations on patient safety.

Although the HCPC is independent of government and therefore not in a position to comment on the progress of government implementing these recommendations, we were able to provide the Expert Panel with context and the work the HCPC has been doing, particularly in relation to education, training and retention of health and care professionals and whistleblowing.

Colleagues from the General Medical Council, the Nursing and Midwifery Council and the Professional Standards Authority also attended the Expert Panel's roundtable discussion.

Registrants and employers

As part of my engagement with registrants and employers, on 13 December I visited Lewisham Hospital where I met with colleagues involved in supporting international recruitment as well as Preceptorship. My thanks to everyone involved for making this day happen and providing me with such a warm welcome. I am committed to continuing this important engagement work, listening to registrants and employers and building relationships across the sector. A forward schedule of visits is being developed; I look forward to continuing this engagement.

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

Workforce

Recruiting and retaining international health and care professionals is a critical part of the workforce planning required to deliver safe and effective health and care services. In 2023, we published analysis on the retention rates for the professionals we regulate who trained in the UK. Last month we published similar analysis of the extent to which HCPC's registrants who trained outside of the UK and joined our Register via the international registration route and left the workforce within four years of joining. Our analysis has found that:

- 34.2% (equivalent to just over 1 in 3) of all new international registrants left the HCPC Register within four years of joining;
- registrants from low- and middle-income countries had the highest retention rates;
- registrants from high income countries outside of Europe had the lowest retention rates;
- younger registrants had lower retention rates than older registrants;
- female registrants had lower retention rates than male registrants.

We have also published fact sheets for each profession (including modalities). We are in the privileged position of holding data on over 330,000 registrants. As our data capabilities have improved, we believe it is important we use the data that only we hold in a way that supports the wider health and care system. Workforce planning is complex, and we hope this report (alongside the UK training route retention rate analysis report) provides useful information for employers, professional bodies and others responsible for workforce planning.

As a regulator we have reach and influence and a lot of the work we have under way I believe will assist those involved in workforce planning and delivering against the NHS Workforce Plan in England and equivalent plans in the other countries of the UK. Some key publications in this area we have coming up in the next few months include: information for the education sector on what's involved in setting up an HCPC approved education programme and sharing our insights of apprenticeship based education programmes (the NHS Workforce Plan in England has a significant expansion of apprenticeship routes).

Strategic Risk Register

Our Strategic Risk Register is provided at Appendix D. This was discussed at the Audit and Risk Assurance Committee (ARAC) in November 2023.

As Council is aware, the fee rise successfully came into effect on 9 November 2023 which will reduce the risk score for Strategic Risk 5 and should be reflected in the next iteration of the SRR in March.

Progress against our Corporate Plan for 2023-24

Appendix C provides our progress report against this year's corporate plan (Q3). Overall, we are making good progress and will provide the conclusion of the plan to Council at its May meeting.

The [HR recruitment portal](#) upgrade has now successfully launched (31 January) which means that, along with the beyond barriers and reverse mentoring schemes, the delivery of our People Strategy is now reporting green.

There are 5 areas reporting amber:

- The transition to FTP frontloading, due to recruitment timelines as well as system supplier delays;
- The Registration operating model, slightly delayed due to timelines meaning that implementation will commence in Q4 and embedding of new ways of working will be 2024-25;
- The Advanced Practice work has not started in full as it is subject to funding from NHS England, which has not yet been released, although engagement with stakeholders on this subject has continued throughout and we have collaborated with NHS England on related work on independent prescribing;
- Business Central is now on track as per the revised timeline (now scheduled for March) and once we have the sufficient assurance and confidence we will be able to move this project to green;
- Initiation for Online Concerns, delayed whilst a review of the approach to auto case creation is assessed; the technical solution for the form has now been agreed and the definition phase of the project has commenced. We will continue to closely monitor this project and, like Business Central, aim to move it to green once we have sufficient assurance of progress.

2. 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.

2.1 Registration

Customer service

Our contact centre continues to provide a good service for telephone, email and letter enquiries. The telephone call answer rate was over 99% during the period of November and December 2023.

Our improved performance in responding to emails has been sustained at one working day in November and two working days in December 2023. The KPI has been met since June 2022, during which time we have received c3,000 – 5,000 emails per month.

UK applications to join our Register

We received a total of 1,485 applications to join our Register from students completing UK education programmes during the period of November and December 2023. The team has managed the demand well and the median time to assess and process UK applications has been three working days.

International applications to join our Register

During the period of November and December 2023, we received 677 and 637 applications per month, respectively.

As Council is aware, in July and August 2023 we received very high numbers of applications (c1,600 and c4,100 respectively). We do not know the reason for this spike in July and August, but it could be because of the revised Standards of Proficiency coming into effect on 1 September 2023 and the fee increase, which has just come into effect, resulting in applicants submitting their applications before these changes came into force.

The spike in applications in July and August 2023 will take time to progress through the assessment process and, as expected, we are seeing an increase in the time it takes to reach the assessment decision. The time to assess international applications has increased to 62 days in December (just over our KPI of 60 days). We expected this and it will continue to remain at this level into Q4 as the large number of applications received in Q2 are assessed and progress through the registration process. We received 6,235 applications in Q2 which is nearly as many as we received in the whole of 2021-22 and more than we received in the whole of 2020-21.

While we have gone slightly over our KPI (by two days) we think this shows that the new systems and processes (e.g. online applications, dedicated service teams etc.) we introduced over the past couple of years have meant we have been able to cope with the further spike in demand for this service that we saw in Q2.

Registration renewals

The renewal process has been running well.

On 31 November 2023 biomedical scientists ended their renewal period.

- Biomedical scientists ended their renewal window with 92.4% of registrants having renewed their registration compared to 92% in 2021.

On 1 December 2023 radiographers began their renewal period.

- As at 31 January 2024, 77.6% of radiographers had renewed.

Ahead of the physiotherapist renewal window opening on 1 February 2024 we have worked with the Chartered Society of Physiotherapy on an article for their publication, Frontline, covering what registrants need to do to renew their registration.

Our online registration services will be temporarily unavailable on Friday 8, Saturday 9 and Sunday 10 March 2024 to enable our new finance system to go live. We have already shared this information with the professional bodies for those professions in renewal during that period. We have selected this date informed by our data on when the lower rates of renewals are during renewal windows. Information about the temporary downtime will be clearly explained on website.

We continue to engage with the relevant professional bodies before and during the renewal windows; this includes us sharing renewal rates periodically and providing information to support registrants to renew their registration throughout the renewal window.

COVID-19 Temporary Register

Following the Government's announcement that the COVID-19 Temporary Register will close on the 31 March 2024, planning has commenced to communicate and close the Temporary Register.

There are currently 89 people on the Temporary Register.

2.2 Education

As the Council is aware, we moved to our current model of education quality assurance in September 2021. This model enables us to be flexible, intelligent and data-led in our quality assurance of institutions and programmes. We have commenced 48 new assessments through our monitoring 'performance review' process from September 2023, and at this point in the cycle have started assessing some providers against our requirements. This means all remaining education providers who have not yet been subject to a performance review under the new model will have been assessed by September 2024.

The team's quality assurance measures indicate that our decisions continue to be of good quality. In 2023, the team collaborated with the Quality Assurance (QA) team on workshops to support the development of their front-line checks and quality assurance measures. As a result of these workshops further quality assurance measures have been implemented from September 2023. These have identified some areas of non-compliance, and the team is currently working to ensure these are prevented in the future. None of these areas have impacted the quality of final outcomes, and we have seen improvement in compliance in recent internal checking exercises.

Our QA team audited our performance review process, and a green/amber rating was achieved. As this is this first time this process was audited, green/amber is the highest possible assurance rating. The audit made four recommendations, which have been planned for delivery, and commented that "generally, a good process is in place" and that "recommendations made following PR process [were] found to be reasonable in all audited cases".

In March, we will publish a report on the 2021-22 and 2022-23 academic years, which will provide insight for the education sector on education provider performance through our quality assurance assessments. This will include a 'state of the nation'

view of thematic areas currently important in education and training for the professions we regulate: interprofessional education; service user and carer involvement; equality, diversity and inclusion initiatives; changing learning, teaching and assessment methods, and the changing profile of education provision. This is the first report of its kind, and has been enabled by the shift to more clearly reporting our findings through our current education quality assurance model. We will use findings from the report to engage with stakeholders on the key themes, with the aim to provide insight and support providers when developing their provision to align with regulatory standards.

We provide regular updates on the performance of the Education Team to the Education and Training Committee (ETC).

Regulatory development

We are currently scoping proof of concept activities which we aim to complete by the end of March to test the use of Artificial Intelligence (AI) software to support processes in the Regulatory Directorate:

- *Using AI to assist responding to Registration email queries*
We are in discussions with a third party supplier to use their AI powered software to assist with responding to queries received by our Registration team. The proof of concept will help us understand the benefits of embedding this technology to improve our service. It will also help us consider what else we need to do to invest effectively in AI powered service channels in Registration and also across Education, FTP and Policy.
- *Using AI to assist with redaction of FTP case bundles*
We are preparing to run a short pilot using AI powered redaction software to assist in the redaction of FTP case bundles. The pilot will be used to clearly understand and quantify the timesaving and quality based benefits of using AI in this area, and considerations we need to make to invest further. Whilst we are piloting this technology in FTP, we know that redaction also occurs across other parts of the organisation, and we will factor this into any future investment discussions.

2.3 Fitness to Practise

As usual, there is a separate paper on the agenda providing a detailed report on the performance of the Fitness to Practise directorate.

The KPI dashboard in Appendix B shows we have continued our improved pre-Investigating Committee Panel (ICP) performance for the proportion of cases closed within KPI. In December 2023, over 70% of cases closed at this stage were within our 33 week KPI for the first time. We are not complacent and whilst our recent performance has improved, there is still more to be done to improve our performance overall and achieve this KPI consistently.

At the 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 December 2023, we concluded more cases within KPI at the final hearing stage than we have in any month since we started reporting this KPI.

We received two learning points from the PSA in the last quarter. 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.

3. Policy and Standards

Preparedness for practice

In February the Council will hear from the University of Plymouth about the research we commissioned on how prepared registrants feel for practice. This shows that newly qualified registrants feel confident in their clinical skills when they qualify but they feel less confident in applying those skills in a stressed and challenging environment. This supports the important work we have been doing on preceptorship over the past year. The evidence shows that the more supported and the better the induction and preceptorship the better the retention is.

4. Resources

Budget and Investment planning

We have developed a draft 2024-25 corporate plan for discussion in this meeting. Alongside the corporate plan, the Finance and Business Change Teams have worked with budget holders to develop a draft 2024-25 budget and investment plan. The budget and investment plan will go to the People and Resources Committee (PRC) at the end of February and then to Council in March. The draft budget shows a balanced position with funding for further improvements and a commitment to efficiency. However we continue to face some financial challenges, taking account of pressures described in the finance report and other risks and liabilities. We have therefore also developed proposals for a future fee review framework to maintain the improved financial sustainability achieved by the 2023 fee increase and ensure that we can continue to deliver improvements in patient safety, innovation and customer service.

Projects

Work has continued on preparation for the implementation of the new Business Central finance system, which we expect to go live in mid-March taking account of the timing of registration renewal windows. Other project activity has included implementation of an upgraded recruitment portal to increase our reach and attractiveness as an employer in the jobs market.

People

The HR team has successfully rolled out a new reverse mentoring scheme in which members of Council and ELT are mentored by more junior members of staff. Feedback from mentors and mentees at the halfway point of the scheme is positive and we are looking to find opportunities to engage staff more widely in some of the improvement ideas and opportunities that mentors and mentees have discussed. ELT has also signed off an ambitious wider programme of L&D initiatives developed

by HR working with the wider organisation for the forthcoming financial year, including a new programme for people aspiring to be managers and a data apprenticeship to help build the skills we need to make the best use of our data.

Digital

In accordance with our digital and corporate strategy, we are currently reviewing our existing regulatory systems and platforms specifically in relation to FTP, Registration and Education. Following an invitation to tender, PwC have been appointed to complete this work. They will assess the overall effectiveness both here and now and for the future and make recommendations to maximise our ability to take advantage of future opportunities. The review will also assess the market accordingly.

Estates

We have received a report from structural engineers who reviewed the building for any presence of Reinforced Autoclaved Aerated Concrete (RAAC). The report and an architectural review have not identified the presence of any RAAC in the areas of the buildings inspected. We are awaiting a further report from the architects, following which we expect to be able to conclude this exercise.

Appendix A - Chief Executive's external meeting schedule covering 4 December 2023 – 14 February 2024

Unison – Celestine Laporte, Unison National Officer - Health	11 Dec
DHSC – Phil Harper, Deputy Director – Professional Regulation	18 Dec
The British Society of Hearing Aid Audiologists (BSHAA) – Dr Graham Pullan, President	10 Jan
Institute of Osteopathy – Maurice Cheng, Chief Executive	11 Jan
Adult Social Care Workforce Strategy – Jane Brightman, Director of Workforce Strategy, Skills for Care	19 Jan
Suzanne Rastrick, Chief Allied Health Professions Officer for England	22 Jan
Catherine Ross, Chief Scientific Officer for Scotland and Carolyn McDonald, Chief Allied Health Professions Officer for Scotland	23 Jan
Chief Executives Officers Regulators Board meeting (CEORB)	26 Jan
Michelle Tennyson, Chief Allied Health Professions Officer for Northern Ireland	7 Feb
HCPC Fitness to Practise Improvement Board meeting with The Professional Standards Authority (PSA) and Department of Health and Social Care (DHSC)	8 Feb
The Professional Standards Authority (PSA) – Alan Clamp, Chief Executive	12 Feb
DHSC – Phil Harper, Deputy Director – Professional Regulation	12 Feb
The General Medical Council (GMC) – Charlie Massey, Chief Executive	12 Feb

Chief Executive's report on organisational performance – February 2024 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	Feb 2024
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	Jul-23	Aug-23	Sep-23	Oct-23	Nov-23	Dec-23
1: Pre ICP	%	50%	62%	56%	52%	63%	53%	59%	37%	64%	50%	66%	72%
2: Final Hearing	%	0%	9%	0%	0%	16%	4%	5%	0%	0%	30%	14%	46%
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	Feb 2024
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 its section 29 powers and the number of new PSA section 29 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 November 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 Q2 we received five learning points from the PSA, of which one was a formal learning point letter. In the current quarter to date we have received one formal learning point letter. The PSA issue learning points to highlight areas for improvement in the quality of final hearing decisions. The quality of our final hearing decisions 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			1			1					
PSA Learning Points	Number	10			5			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	Feb 2024
What it tells us	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												
	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, with two of the four months reported having no conditions set. This is an explicit aim of our quality assurance model – we hold providers to high standards, but support them in meeting them, aiming to reduce the need for formal conditions. For the November figure, we set conditions for one assessment (of the four assessments competed in November). This was the only set of conditions set in 2023. Measure 2 – Performance has dropped in this period. The red RAG rated figures were caused by a small backlog of cases where we were concluding assessments from the 2022-23 academic year. In this period, only 5 of the 24 reports were produced inside the KPI target, but there were also 8 reports which took 70+ days to produce, which has pulled up the averages for this period. For the remaining 16 cases, the average was 39 days, which is significantly closer to the KPI target. The older cases have now been cleared, and the team has fewer cases to progress in the 2023-24 academic year, which means we expect better performance against this KPI moving forward. More detailed performance reports are provided regularly to the Education and Training Committee.												
1		Jan-23	Feb-23	Mar-23	April-23	May-23	June-23	July-23	Aug-23	Sept-23	Oct-23	Nov-23	Dec-23
	%	0	0	0	0	0	0	0	0	0	0	25	N/A
2		Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
	days	91	58	71	129	24	31	27	32	62	54	62	N/A
1		Jan-23	Feb-23	Mar-23	April-23	May-23	June-23	July-23	Aug-23	Sept-23	Oct-23	Nov-23	Dec-23
	%	0	0	0	0	0	0	0	8	N/A	0	0	0
2		Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
	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	Feb 2024
What it tells us	<p>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.</p> <p>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</p>												
Executive commentary	<p>UK applications: The KPI 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 received 1,314 international applications during the period from November to December 2023, a decrease of 39.4% compared to the same period last year.</p> <p>This drop in international applications follows the receipt of 5,788 international applications during the period of July and August 2023, an increase of 184.1% compared to the same period last year. To put this in context in Q2 6,235 international applications were received, which is nearly as many as we received in the whole of 2021-22 and more than we received in 2020-21.</p> <p>The spike in applications in Q2 (July and August 2023 in particular) will take time to progress through the assessment process and, as expected, we are seeing an increase in the time it takes to reach the assessment decision. That has impacted the KPIs below in terms of the percentage of applications assessed within 60 days. As outlined in the main body of the Chief Executive's report, the median time for international applications to be assessed has increased to 62 days (just over our KPI of 60 days). We expected this and it will continue to remain at this level in to Q4 as the large number of applications received in Q2 are assessed and progress through the registration process.</p> <p>The high number of international applications received in July and August 2023 may be a result of the introduction of the new standards of proficiency on 1 September 2023 as well as the fee increase which has just come into effect, resulting in applicants submitting their applications before these changes came into force.</p> <p>Calls: The telephone call answer rate was 99% in November and 99% in December 2023. We continue to train more Registration Advisors to be able to take phone calls and this is having a positive impact on performance.</p> <p>Emails: Our improved performance against our target of five working days for emails has been sustained and we have been achieving the KPI for emails since June 2022.</p>												
2023		Jan-23	Feb-23	Mar-23	Apr-23	May-23	Jun-23	Jul-23	Aug-23	Sep-23	Oct-23	Nov-23	Dec-23
1: UK registration	%	100	100	100	100	99	100	100	99	100	100	100	100
2: Int registration	%	88	86	98	99	97	97	98	100	100	95	51	48
3: Calls	%	99	99	99	99	99	99	99	99	99	99	99	99

4: Emails	working days	1	1	2	1	2	1	1	3	2	2	1	2
	2022	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: UK registration	%	40	80	96	100	100	99.5	99	100	100	99	100	100
2: Int registration	%	1	0	0	16	33	58	74	77	68	71	87	85
3: Calls	%	76	68	69	73	75	75	62	81	85	96	98	99
4: Emails	working days	10	12	17	9	8	2	3	2	3	2	2	1

Customer Service

Measure	KPI 5 - Customer service: Number of complaints and % upheld											Period	Feb 2024	
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 the second six months of 2023 and has decreased slightly compared to the first six months. The number of complaints received in 2023 shows a significant reduction compared to 2022 and is more in line with historic trends. This is in part due to less complaints being received about international applications. The percentage of complaints upheld has also decreased significantly over the second six months of 2023. This is largely due to less upheld complaints in the Registration department, as complaints from international applicants, which tend to be upheld, have decreased. For Fitness to Practise the number of complaints received has increased slightly and the themes in complaints continue to mostly relate handling of investigations, delays, communication issues and threshold decisions.													
Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23	July-23	Aug-23	Sep-23	Oct-23	Nov-23	Dec-23	Monthly average
Previous years	Number	46	41	47	40	41	43	26	36	41	31	31	27	38
	% upheld	66	49	40	40	52	44	33*	31*	33*	17*	40*		39
		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	

* Approximate as cases still open

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	Feb 2024	
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	From September to December, we have continued to undertake our monthly workshop for newly registered international registrations called Joining the UK workforce. We have also delivered this in person. We also carried out sessions related to the updated standards of proficiency with registrants at specific trusts and in collaboration with the British Association of Arts Therapists.												
Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23	Jul-23	Aug-23	Sept-23	Oct-23	Nov-23	Dec-23
	%	81	80	80	80	80	81	80	50	83	82	73	75
		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 101.6%												Period	Feb 2024
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	Overall expenditure is higher than the most recent Sep-23 reforecast with an adverse variance of c£1m for Dec-23 YTD. The Sep-23 reforecast indicates a significantly drop from the Aug-23 reforecast with the previous surplus of £4.3m reducing to £2.7m for financial year 2023-24 (mainly due to the decline in international applications compared to the first half of the year and the significant increase in FTP costs). Although this is £2.6m favourable compared to Budget (reflects decision to set prudent budget without assuming that current trends of international applications would continue), we continue to face a number of significant risks and future liabilities (particularly around increasing legal costs for FTP), alongside the need to rebuild our reserves to a more sustainable level. This could potentially reduce the current forecast surplus of £2.7m to c£1m to £1.3m if trends continue.													
Year to date	(£000)	Jan-23	Feb-23	Mar-23	Apr-23	May-23	Jun-23	Jul-23	Aug-23	Sep-23	Oct-23	Nov-23	Dec-23	
	YTD Actual	27,852	30,755	35,237	-	5,840	8,459	11,818	15,313	18,209	21,203	24,450	27,907	
	YTD Budget	-	-	33,292	-	5,937	-	-	-	-	-	-	-	
	YTD Forecast	27,852	30,789	34,753	-	-	8,458	11,625	14,965	18,253	21,130	24,072	26,913	
	YTD Variance	0	34	(484)	-	97	(1)	(193)	(348)	44	(73)	(378)	(994)	
Previous year	Actual as % of budget / forecast	100.0%	99.9%	101.4%	-	98.4%	100%	101.7%	102.3%	99.8%	100.3%	101.6%	103.7%	
	(£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 / forecast	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	Feb 2024
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	A brief outage was seen on the Online Register in September as a result of the cyber attack taking place during that time. Availability was restored in under an hour, and new mitigations were implemented to protect the Online Register from similar attacks. Some short interruptions to the availability of internal network drives and on-premise systems have been occurring since November. These have no impact on external stakeholders. The root cause is being investigated in order to implement a permanent fix.													
Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23	Jul-23	Aug-23	Sept-23	Oct 23	Nov 23	Dec 23	
	Availability %	100%	100%	100%	100%	100%	100%	100%	100%	99.99%	100%	99.99%	99.99%	
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	
	Availability %	100.00	100.00	100%	100%	99.4%	99.99%	99.9%	100%	99.9%	99.7%	100%	100%	

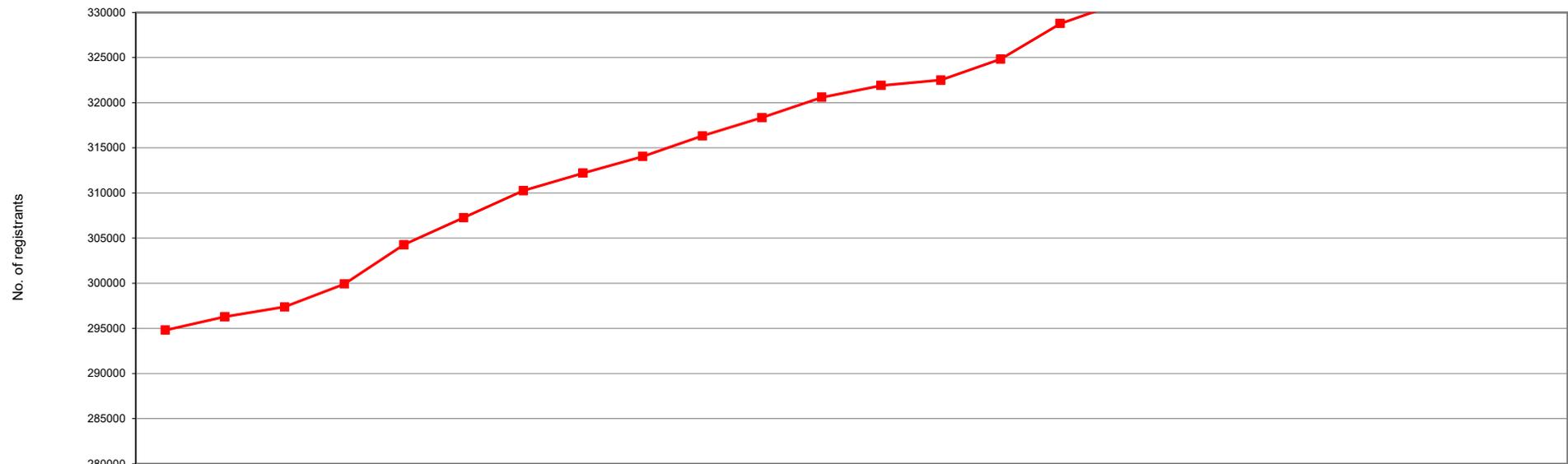
Measure	KPI 9 – Security Score Target: >80%												Period	Feb 2024
What it tells us	Secure Score in Microsoft Defender for Cloud is a metric used to score the overall Azure Resources/On-prem Server security posture for HCPC. The changes in the "Defender score" needs to be taken into context, as a change to the score could relate to new updates, security framework changes or Infrastructure changes within the HCPC's environment.													
Executive commentary	The cyber security score decreased to 80% in December, due in part to the Christmas change freeze but mostly as a result of new requirements added by Microsoft. Work is under way to address both the patching backlog and the new requirements.													
Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23	Jul-23	Aug-23	Sept-23	Oct-23	Nov-23	Dec-23	
	Score %	98%	93%	99%	95%	99%	92%	96%	94%	96%	94%	90%	80%	
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	Feb 2024
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. The 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	HCPC has experienced a consistent decline in voluntary turnover throughout the year, reflecting a positive trend in employee satisfaction. Ongoing analysis of pulse surveys aims to identify and address potential issues. In Q3, additional initiatives were implemented to gather employee feedback, and these initiatives have been well received.					
FY 2023-24		Q1	Q2	Q3	Q4	
	%	16	15	13		
FY 2022-23		Q1	Q2	Q3	Q4	
	%	23	16	17	15	

Measure	KPI 11 – Recruitment and onboarding efficiency				Period	Feb 2024
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 42 days or less / Amber 41 days – 53 days / Red 54 days or over					
Executive commentary	HCPC has prioritised reducing the recruitment process duration, collaborating closely with recruiting managers to underscore the significance of efficient recruitment and onboarding. This concerted effort has yielded positive outcomes, not only in enhancing the hiring process but also contributing to a decrease in average days to hire.					
FY 2023-24		Q1	Q2	Q3	Q4	
	Average (days)	30	40	40		
FY 2022-23		Q1	Q2	Q3	Q4	
	Average (days)	59	59	40	62	

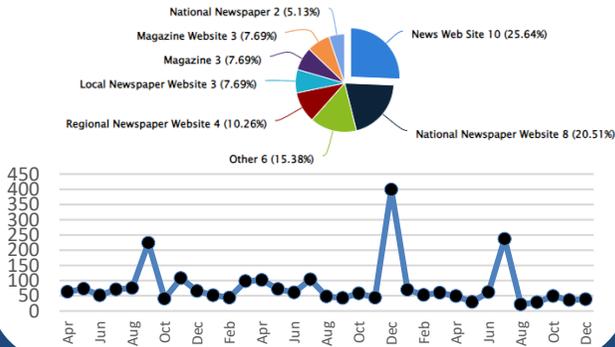
Number of Registrants by Profession April 2023 - March 2024



	2022			2023									2024									16/17 FYE	17/18 FYE	18/19 FYE			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec				Jan	Feb	Mar
Arts therapists	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	5,403	5,444	5,541	5,616	5,697	5,735	5,752				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	27,916	28,168	28,398	28,493	28,638	27,015	27,413				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	12,016	12,120	12,212	12,254	12,274	12,285	12,269				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	7,462	7,463	7,460	7,166	7,384	7,453	7,495				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	11,206	11,393	11,482	11,567	11,713	11,809	11,853				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	4,073	4,125	4,182	4,232	4,291	4,329	4,386				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	44,115	44,561	44,937	45,191	43,858	44,175	44,298				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	15,679	15,799	15,917	16,164	16,362	16,436	16,488				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	1,544	1,552	1,501	1,515	1,527	1,536	1,538				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	35,959	36,321	35,625	36,208	36,619	36,741	36,811				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	68,057	69,289	70,394	71,261	72,072	72,696	73,123				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	27,077	27,190	27,341	27,566	28,065	28,257	28,359				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	1,215	1,222	1,235	1,173	1,182	1,187	1,187				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	44,564	45,443	45,973	46,396	46,758	47,109	47,171				32,072	32,475	34,470
Social workers	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				91,944	96,497	94,453
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	18,540	18,687	18,879	18,384	18,646	18,796	18,853				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	324,826	328,777	331,077	333,186	335,086	335,559	336,996				350,330	361,061	369,139

Media coverage

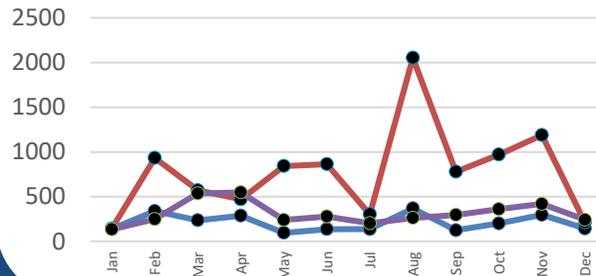
39 mentions



Engagement

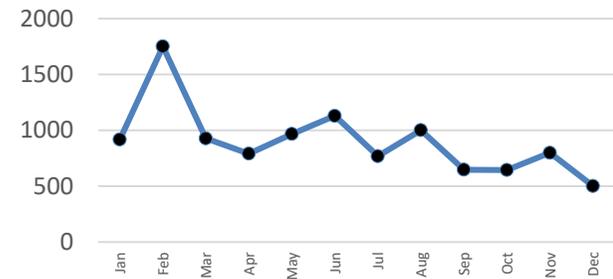
Social media

f 144 **X 211** **in 242**



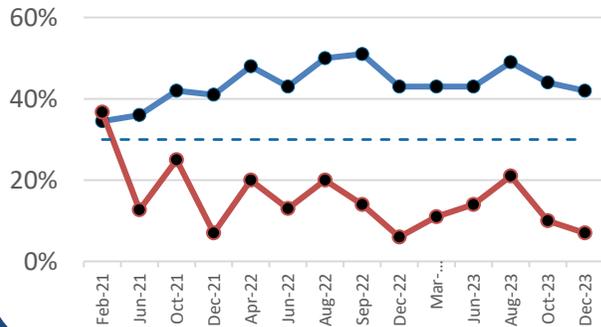
502 Direct messages

Social media



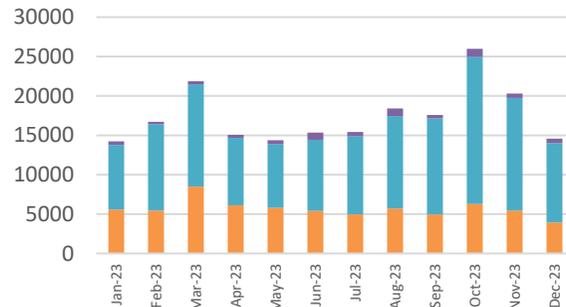
In Focus email

Open rate
Click-to-open rate



Blog & news views

Blogs
News
Stories



JUKWF – Dec 23

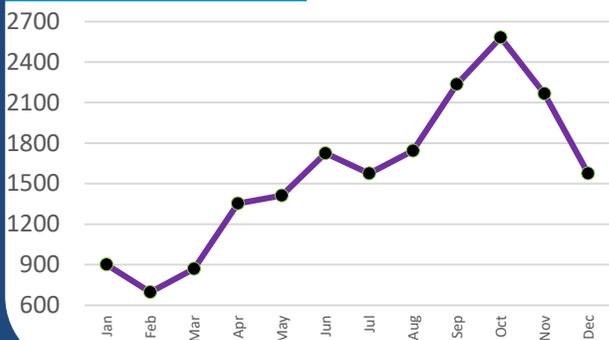
PL workshops

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



Employer hub

Visitors



Employer email

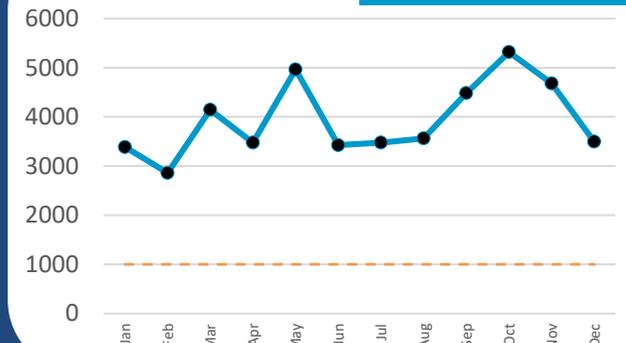
1,313 subscribers

Click-to-open rate
Target



Student hub

Visitors
Target



Chief Executive's report on organisational performance – February 2024

Appendix C

Corporate Plan 2023-24 - Deliverables Progress Report February 2024

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) 	Preparation for transition into new operating model and management of flight cases is ongoing. New processes, guidance and training materials are in development. Recruitment timelines for legal roles and resource capacity with our system supplier mean that we now expect to commence frontloaded investigations in Q1 next year.
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) 	Tone of voice review of all FTP templates complete (October). Review of Lay Advocacy in progress and at sign off stage. Review of Registrant Support Service on track to commence at the end of Q4.
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) 	12-month trial of ring-fenced teams concluded, and service significantly improved compared to the rota-based model. Implementing new operating model slightly delayed and will now begin in Q4. Embedding the new ways of working will go in to 2024–25. Budget for next financial year is based on the new operating model
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 outcome approved and standards published as per timetable. Communications and engagement planned to support the new standards coming into effect. Currently reviewing supporting guidance and on track as planned.

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) 	<p>Statistical analysis of FTP outcomes as impacted by EDI factors were included in the FTP annual report published in Q2.</p> <p>Awaiting regulatory reform timetable from DHSC. It is likely to be April 2024 at the earliest before we have a more definitive timeline from DHSC. We continue to engage and work closely with DHSC colleagues and the other regulators on regulatory reform.</p> <p>Publication of EDI factsheets across professions on track as planned.</p>
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>Service user engagement has taken place through recent consultations commissioning The Patients Association as part of this work.</p> <p>Business case for the development of a service user group forum has been developed for discussion with ELT.</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 	<p>Implementation under way, changes on track for June 2024.</p>

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>On track as per plan. The consultation launched in October 2023, closed 19 January 2024. ETC will receive an update in March followed by Council.</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)	Policy team engaged in initial conversations with Education around planning timelines.
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 and action plan developed (Q4)	Final report included on agenda for Council. Publication planned for March.
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)	Work not started in full as subject to funding from NHS England, which has not yet been released. We have continued to engage with NHS England and other stakeholders on this subject. In Q3 we worked with NHS England on an assurance framework relating to independent prescribing which will be published on our website in Q4.
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)	Renewal data dashboard complete and now live on intranet. International retention rate publication completed/published - including profession and modality specific factsheets. The supply of HESA and NES data planned for Q4 will not be delivered this financial year and investment case for delivery within next financial year.
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 operationalising (Q3-Q4)	This is all on track with preparatory work (including registrant comms) now under way for the closure of the temporary register on 31 March 2024.

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

	Area of development	Key milestones	Rag and comment
14. a	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.	<ul style="list-style-type: none"> 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) 	All milestones complete and delivered.
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 data 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) 	Initiation for Online Concerns has been delayed whilst a review of the approach to auto case creation is assessed. The technical solution for the form has now been agreed and the definition phase of the project has commenced.
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. Project established to implement recommendations following independent review in early 2023 (Q3-4) b. Work of task and finish group on employment status of partners in light of NMC legal case. 	<p>Continued progress to address recommendations including payment issues (e.g. FTP cancellations) and quality assurance measures relating to the quality and consistency of Partners work. These processes will continue to be monitored.</p> <p>The Task and Finish Group (see point b) is overseeing scoping work on a Minimum Viable Product system solution to address recommendations on financial control and enable potential changes on employment status. liaising closely with other regulators.</p> <p>The Task and Finish Group is overseeing development of new draft contract and associated changes, for potential future roll-out in light of legal judgements. Delays in the employment tribunal reaching a final judgment on the NMC case mean that the legal position is not yet settled.</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>Previously amber, the HR Recruitment Portal successfully went live on 31 January.</p> <p>Beyond Barriers and Reverse Mentoring programmes progressing well with midpoint review meetings scheduled.</p> <p>Development of succession plan framework is under way, workshops held in Q2 with Senior Leadership Group to identify needs and key positions.</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 of Business Central now (Q4) with go live in mid-March taking account of the timing of registration renewal windows
18	Sustainability - Improve our sustainability and further reduce our office footprint	<ul style="list-style-type: none"> a. Establish HCPC's carbon baseline and 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) 	Carbon emissions calculations have been assessed following completion of the audited accounts for last financial year. Working with the Employee Forum on developing employee led environmental initiatives.
19	Engagement - We will establish a Chair and Chief Executive Office to better support strategic engagement with stakeholders and the prioritisation of Chair and Executive time as well as ensuring quality support is available	<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) 	All post filled and operational. Ways of working developed. Review commenced.

Chief Executive's report on organisational performance – February 2024

Appendix D

Strategic Risk Register November 2023

HCPC Strategic Risks

Summary of strategic risks

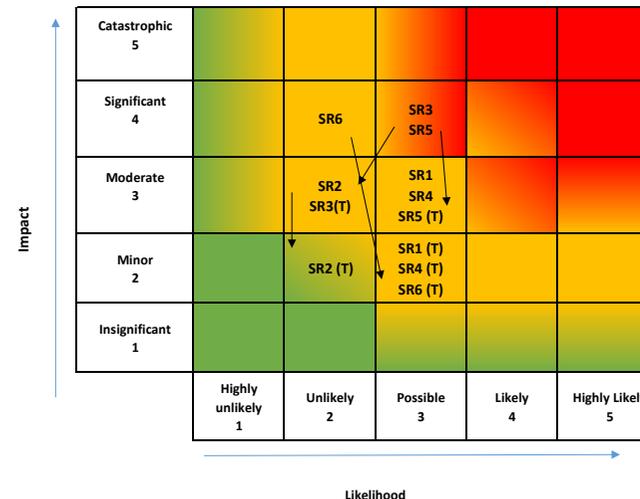
Strategy	Strategic Risks - High Level	Risk Description	Sep-23	Target Risk*
1 - Continuously improve and innovate - To improve our performance against PSA standards of good regulation and to innovate across all our regulatory functions to provide an enhanced user experience.	1. Our regulatory performance 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.	9	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.	9	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.	12	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

- The PSA published the HCPC performance report 2022-23 in June 2023. The HCPC met 16 of 18 standards, gaining three more standards than 2021-22, including all Registration standards and three out of five FTP standards.
- 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 40 working days.
- Our contact center 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 significantly.
- Pre engagement from stakeholders on planned international recruitment in 2023-24 increases confidence in forward resource needs.
- Education team are through the backlog now, and about six months ahead of where the team were this time last year. The team is now focusing on case planning which will ensure greater compliance with KPIs and service levels
- The second tranche of FTP Improvement projects are in delivery, continued focus on embedding of tranche 1 benefits.
- FTP Tone of Voice templates are live from start of October 2023 and in use, factsheets are now live publicly on the website, training has been completed for the department. Will monitor and continue to engage with professional bodies to measure impact
- ➕ Wider tone of voice work to be scoped in order to prioritise for the next phase of the project
- ➕ 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 and 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.
- 👓 Centralised PSA coordination. 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 and 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. We continue to work on meeting PSA standards we do not currently, as well as maintaining the standards we currently meet. The impact of ongoing mitigations must be measured before further decrease in the risk score.

Risk Influencers – The FTP Tone of Voice review has been delivered, including new factsheets which can also be found online to support people through the FTP process. The next stage of the tone of voice review has not yet been scoped, with work happening to identify the next highest priority for delivery. While there has been a delay in recruitment for the frontloading operating model, a working group has been created to ensure this does not impact the delivery of this by the end of the financial year. In order to continuously improve our regulatory practice, especially in light of continuing unprecedented numbers, a review of the international application review process has taken place and an initial pilot is under way.

Review date
Oct-23

Risk owner
ELT Lead - ED of Fitness to Practise and Tribunal Services

	Impact	Likelihood	Risk Score
Inherent risk	5	x 5	25
Current risk	3	x 3	9
Target risk (planned mitigations in place)	2	x 3	6

No Change

Risk Appetite

As of October 2023:
Regulation = Measured
Compliance = Measured.

This risk needs to be rated in the amber range to meet the risk appetite due to the measured appetite for Regulation and Compliance. Reaching the target risk score is dependent on

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

Current risk level is within risk appetite

Planned mitigations 2023-24

progress

🏗️ Move into new FTP Frontloading Operating model (Q4)	➡️	In progress. Recruitment continues for final required roles. Working group set up to create new operating model and progress implementation– expected to be in place by end of FY. Criteria already in place for frontloaded cases.
💡 Complete tone of voice review of FTP templates (Q2)	✅	Completed. Templates are live from start of October and in use – factsheets are now live publicly on the website, training has been completed for the department. Will monitor and continue to engage with professional bodies
🏗️ Move into new Registration operating model (Q3-4)	➡️	In progress. Trial 12 month ring fenced teams test completed. Continue to work with HR and Finance to move into new operating model for implementation in Q4
💡 Enhance online registration services including mobile compatibility (Q4)	➡️	In progress. Mobile phone capability for "Renewals" completed in October, development of "My Details" is in progress to be delivered end of November.
👓 NEW: Review of International applications	➡️	In progress. Initial pilot being run on international application reviews to better support decision making.
📢 NEW: Online concerns project	➡️	In progress. Three technical options presented to project board to deliver online concerns solution. Initial discussion identified further information required before decision could be made on option to progress with.

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 in effect as of 1 September. Detailed guidance and support available on the HCPC website.
- ⚠ Changes to SOPs may pose risk to registrant understanding of expectations following implementation. Plan under active monitoring to mitigate.
- ⚠ Changing expectations of our professions' practice as a result of pressures on services, tech or societal events.
- Revised SCPEs and guidance on social media approved by Council, year long implementation phase will now take place.
- #mystandards 2023-24 events programme has commenced aiming raising awareness of standards requirements.
- Preparedness for practice research has launched.
- English Language Requirements: Public consultation began in October 2023, running to mid-January 2024.

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 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 – The Revised SCPE and social media guidance has been approved and begins implementation, going live September 2024. In addition, Council approved work to develop a new standard on sustainability which will be consulted on in the SET review.

Review date

Oct-23

Risk owner

ELT Lead - Executive Director of Education, Registration & Regulatory Standards

	Impact	Likelihood	Risk Score
Inherent risk	5	x	5
Current risk	3	x	2
Target risk (planned mitigations in place)	4	x	1

No change

Risk Appetite

As of October 2023:
Regulation = Measured
Influence & Leadership = 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) | ➡ | In progress. Council approved public consultation on 5 October to run for 13 weeks, from 16 October 2023 to 19 January 2024. The aim is to start implementation in Spring 2024. |
| 🚧 Preparatory work and scoping of review of SETs (Q4) | ➡ | Not yet due to commence. Council approved the development of online materials on working sustainably in health and care and drafting a new Standard on sustainability to be consulted upon in the SETs review 2024 – 2026. |
| 🗣️ Undertake preparedness for practice research - Final preparedness for practice research report received and action plan developed (Q3-4) | ➡ | Literature report received, anticipating the final report in Dec/January and will then take to Council early next year |
| 🚧 Advanced practice - take forward development of definition/guiding principles (Q3) (subject to fee increase) | ➡ | Continue to work with NMC and NHS England on this, have reviewed NMC research and act as a member of cross stakeholder working group |
| 🚧 Review of SCPE and social media guidance (Q1-3) | ➡ | Council approved the launch of the revised Standards and guidance on social media in the week commencing 9 October and bring them into force in September 2024. Post consultation activities include workshops exploring each of the Standards. |

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

Risk summary

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 75% 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.
 - Renewals data dashboard accepted report now in place agreeing renewals counts of actuals and previous windows.

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.
Mitigations in place - Renewals data dashboard established and in place.
Planned mitigations - regular supply of basic HESA data in place, anything further is not progressing with current priorities.

Review date
Oct-23

Risk owner
ELT lead - ED of Education, Registration & Regulatory Standards

	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

As of October 2023:
Data = Open

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)	In progress.
Retention rate publications (Q3)	Both UK and International routes have been published. Detailed analysis has been done in this area, and our Head of Insight and Analytics will be presenting their findings at the PSA research conference in November.
Regular supply of Student level Higher Education Statistics Agency (JISC) and NHS Education Scotland (NES) data (Q4)	We are continuing with supply of HESA data in the current form, through JISC data consultancy. This data is not at the student level but is aggregated based on a data supply arrangement which has been in place for two years. Progression to deliver this milestone has been delayed due to resource constraints and other data areas being prioritised.
Publication of EDI factsheets across professions (Q4)	Rolling programme. Eight factsheets now published. After renewal window in Q4 will be full register at same point in time. Will then be an annual report.

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**
- 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 and 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 and 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.
 - 🔦 Office of Chair and Chief Executive established and posts filled

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.
 Professional Bodies Forum held in person at our offices. This worked well and received positive feedback from the attendants.

Review date
Oct-23

Risk owner
ELT lead - Executive Director of Corporate Affairs

	Impact	Likelihood	Risk Score	
Inherent risk	5	x	5	25
Current risk	3	x	3	9
Target risk (planned mitigations in place)	3	x	2	6



Risk Appetite	
As of October 2023: Influence & Leadership = Seeks	Current risk level is within risk 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.	

Planned mitigations 2023-24	progress
🔦 Development of a service user group forum (Q3-4)	➡ Service user work on SCPEs completed, new work on English language also under way - plus will be tendering for an annual contract with a service user body, to begin April 24
🔦 English language review consultation (Q3-4)	➡ In progress. Council approved public consultation on 5 October to run for 13 weeks, from 16 October 2023 to 19 January 2024. The aim is to start implementation in Spring 2024.
🔦 Welsh language scheme accessibility enhancements (Q3-4)	➡ In progress. Business change support in place for two standards which are to be delivered by Summer 2024. Compliance audit completed on other medium and high risk areas on progress. Compliance will continue to support Policy in facilitating the delivery of the requirements.

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.
 - 2022-23 external audit has commenced with aim of Council approval in Sept 23
 - Fee rise is expected to come into effect on Thursday 9 November 2023 following parliamentary approval processes in Westminster and Scotland.
 - The Business Central project is still delayed, however has completed the build and configuration phase and has begun the UAT phase. Go live estimate Jan 2024
 - 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 Chief Executive joined HCPC in July 2023. Restructure of ELT live from 1 Nov 2023 sees no gap remain. Maternity cover appropriately planned to mitigate effectively.
 - Carbon baseline for HCPC now established action plan for improving sustainability being developed with expert input and involvement of ELT and SLG.
 - Beyond Barriers and Reverse Mentoring programmes are live, supporting development across the organisation and delivery of the people strategy.

- 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 – With Fee rise is expected to come into effect on Thursday 9 November 2023, Likelihood has decreased to Possible (3) which has the overall score as 12 (red/amber)
 Planned mitigations - progress in reducing office footprint, overall reduction 50%. Delay to replacement finance system, bust continues to progress.

	Review date	Risk owner		
	Oct-23	ELT - Executive Director of Resources		
	Impact	Likelihood	Risk Score	
Inherent risk	5	x	5	25
Current risk	4	x	3	12
Target risk (planned mitigations in place)	3	x	3	9

Decrease

Risk Appetite

As of October 2023:
 Financial = Measured
 People = Open

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)	In Progress. Review of quality measures ongoing, pilot for revised measures for international application reviews under way.
Implement upgrade to e-recruitment site and enhance the recruitment pages by making them more interactive (Q2-3)	Agreements achieved on the financial positioning and suitable clauses on timings, project initiation document went to ELT for approval 30 October. Proposal assumes a start date at the beginning of November and will complete mid-December.
Implement Business Central and roll out improved management reporting (Q3-4)	The Business Central project has completed the build and configuration phase and has begun the UAT phase. Presently the outlook for January remains positive (but under scrutiny), although the progress of UAT will be the critical deciding factor over the next few weeks.
Establish HCPC's carbon baseline and agree action plan and targets (Q1-3)	Council approval on planned targets and statement. Statement published on external website, pulse survey gathering more information from colleagues for what should be prioritised to drive forward.
Online registration services – pursuing our Digital Transformation Strategy to enhance our online application and renewal functionality for registrants and applicants (Q3-4)	In progress. Mobile phone capability for "Renewals" completed in October, development of "My Details" is in progress to be delivered end of November.
Implement change to fees (tbc)	Fee rise is expected to come into effect on Thursday 9 November 2023 following parliamentary approval processes in Westminster and Scotland. The necessary legislation to implement the new fee has been approved by the relevant committees in the Scottish parliament and now awaits final confirmation in the UK parliament

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.
- Review completed on registrant retention, which will inform future forecasting. This research will be presented the the November PSA research conference.

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 continue to have regular meetings with the DHSC.

Review date

Oct-23

Risk owner

ELT lead - ED of Education, Registration & Regulatory Standards

	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

As of October 2023:
Reform = Open

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. ➔ Monthly meetings with DHSC and regular catch ups with GMC and NMC. We have had the opportunity to review both the GMC's rules and the NMC's planned rules.
- 🏢 Fee rise coming into force 2023 required to fund resources needed for reg reform. ➔ Fee rise is expected to come into effect on Thursday 9 November 2023 following parliamentary approval processes in Westminster and Scotland.
- 🔍 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 October 2023

<p>Regulation – Measured (Registration, Education, FTP, Policy & Standards)</p>	<p>Our focus is on long term and lasting quality in our regulatory delivery. We prefer safer delivery options for meeting our requirements as a regulator, accepting a measured degree of residual risk and choosing the option most likely to result in successful delivery in order to continue as an effective regulator. It is essential that mitigations to ensure ongoing public protection are in place as a foundation of taking risks to delivering regulatory requirements.</p>
<p>Influence/Leadership - Seeks (Engagement, comms, profile, reputation, influence)</p>	<p>We are willing to take decisions which are likely to bring additional scrutiny of the organisation. We outwardly promote new ideas and innovations where potential benefits outweigh the risks. It is essential that the HCPC's voice is not perceived to be party political. The HCPC is neutral as a public body.</p>
<p>Compliance - Measured (PSA, ISO, ICO, Environmental, H&S, etc)</p>	<p>We have a preference for safe delivery options with little residual risk. We want to be reasonably sure we would win any challenge. Data protection, IT and cyber security are covered by this risk type. It is essential that the long-term achievement of PSA standards is assured.</p>
<p>Financial - Measured (Finance, VFM, Estates)</p>	<p>We will pursue safe delivery options, accepting small residual financial risk only if that could yield upside opportunities. Value for money, affordability and long-term financial sustainability are our primary financial concerns in fulfilling our regulatory responsibilities, but we are open to considering other benefits and constraints in evaluating financial plans. 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.</p>
<p>People - Open (Employees & Partners)</p>	<p>We aim to invest in our people to create innovative mix of skills environment. We are prepared to accept risk as long as there is the potential for improved culture, recruitment and retention. 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>
<p>Data - Open (Quality, analysis, sharing)</p>	<p>We accept need for operational effectiveness in distribution and information sharing. We support innovation and new approaches, as long as there is the potential for improved data quality. (Please note data protection is covered by the Compliance risk type) It is essential that we understand our data when sharing and publishing analysis.</p>
<p>Reform - Open (Regulatory Reform)</p>	<p>We support innovation, with demonstration of benefit or improvement in service delivery. We are receptive to taking difficult decisions when benefits outweigh risks. Processes, oversight and monitoring arrangements enable considered risk taking. It is essential that the opportunities taken with regulatory reform are fully evidenced and cross organisational impact is considered and documented</p>