

10 June 2021

Education QA model update and evaluation of second pilot cycle

Executive Summary

The purpose of this paper is to:

- Provide an update to the ETC on the progress in piloting and implementing the new Education QA model. A project status report is presented as appendix 1
- Present findings from the evaluation of pilot cycle 2 against project objectives, measures, and benefits, presented as appendix 2

| | |
|-------------------------------------|---|
| Previous consideration | <ul style="list-style-type: none">• Evaluation from pilot cycle 1, and project status report – ETC paper 11 March 2021• A draft of the evaluation report was taken through the project board for the Education-led project to deliver this change programme, and to SMT on 25 May 2021 |
| Decision | The ETC is asked to consider the evaluation report and: <ul style="list-style-type: none">• Make a decision about whether to progress to pilot cycle 3• Consider any additional areas of focus for the executive in the next pilot cycle |
| Next steps | <ul style="list-style-type: none">• Evaluation paper to ETC meeting in September 2021, which contains decision point on whether to implement the new model |
| Strategic priority | <ul style="list-style-type: none">• Continuously improve and innovate• Promote high quality professional practice• Develop insight and exert influence |
| Financial and resource implications | Costs of development work included in 2020-21, and 2021-22 Education Department budgets |
| Author | Jamie Hunt, Education Manager Jamie.hunt@hcpc-uk.org |

Appendix 1 - New Education QA model pilot: Project status report

| | | | |
|-----------------------------|--|-----------------|-----------------------|
| Meeting | ETC – 10 June 2021 | | |
| Strategic objectives | <ol style="list-style-type: none"> 1. Embed flexibility within the QA model to enable bespoke, proportionate and effective regulatory engagement with education providers. 2. Embed organisation, profession and programme specific level engagement mechanisms which enhance our ability to assess the impact of risks and issues on HCPC standards. 3. Use data and intelligence within the QA model to enable more effective risk-based decision making. | | |
| Deliverables | All live deliverables are on track for overall project delivery: | | |
| | Deliverable | Timing | Status |
| | Prepare for pilot phase by: *defining pilot methodology *operationalising the QA concept *creating supporting business process information and guidance | Jul-20 - Dec-20 | Complete |
| | Deliver a programme of pilots with selected providers through new QA approach (approvals and AEP monitoring), using PDSA pilot methodology | Jan-21 - Aug-21 | In progress, on track |
| | Refine and finalise QA model (including the use of data and intelligence, and the application of a risk framework), business processes and supporting guidance, ready for full implementation | Jan-21 - Aug-21 | In progress, on track |
| | Ensure business systems requirements, in line with user journeys and expectations, support the pilot activity and the new QA model for full implementation | Aug-20 - Dec-21 | In progress, on track |
| | Deliver internal and external supporting resources to support and enable the delivery of the pilot and new approach | Sep-20 - Dec-21 | In progress, on track |
| | Prepare stakeholders for implementation by keeping them informed of progress, timelines, and future requirements | Sep-20 - Dec-21 | In progress, on track |
| | Present implementation proposal to the ETC | Sep-21 | Not started |
| | Scope, develop and implement a data sharing agreement with HESA which is suitable to support QA model on implementation. | Sep-20 - Aug-21 | In progress, on track |

| | | |
|--|---|--|
| Key milestones complete since last update | <ul style="list-style-type: none"> • Mar 2021 – evaluation and project status reports presented to ETC, noting project on track for delivery • Mar 2021 – Scale up activities within the Department. Further executives involved for pilot activities in cycle 2 (March to May) • May 2021 – scale up comms plan | |
| Activities in progress | Activity | Milestones |
| | Support delivery of Education System Transformation (MP203) | <ul style="list-style-type: none"> • Continued support to provide business requirements and testing resource • Sep 2021 – MUP, inclusive of external provider portal and ability to collaborate with partners |
| | Develop guidance for pilot delivery and implementation | <ul style="list-style-type: none"> • Delivered on an iterative basis, specific guidance delivered prior to reaching process points |
| | Deliver capability to use data through the model, including data sharing agreement with HESA and new graduate survey | <ul style="list-style-type: none"> • March-May 2021 – scoping of internal ability to deliver new graduate survey • Jun-Jul 2021 – Delivery of HESA data • Sep 2021 – Use HESA data in model • Sep 2021 – Use new graduate survey data in model |
| | Pilot activity | <ul style="list-style-type: none"> • Jun-Aug 2021 – cycle 3 |
| | Evaluation and improvement of the model | <ul style="list-style-type: none"> • Jun 2021 - Evaluation of pilot 2 activities, followed by improvement embedding into the model • Aug-Sep 2021 - Evaluation of pilot 3 activities, followed by improvement embedding into the model • Sep 2021 – SMT and ETC decision points on implementation |
| | Development of governance arrangements | <ul style="list-style-type: none"> • Jun – options paper to ETC |
| | Resourcing | <ul style="list-style-type: none"> • Mar-Jul 2021 – Visitor fee model proposal development |

| Activities commencing in project phase 2 | Activity | Milestones |
|--|--|--|
| | Resourcing | <ul style="list-style-type: none"> • Jun 2021 - Assess and develop Department roles and structure • Aug-Dec 2021 – Visitor fee model business case consideration and stakeholder acceptance |
| | Scale up activities | <ul style="list-style-type: none"> • Jun 2021 – series of stakeholder guidance and information published • Jul-Aug 2021 – work with providers to identify key contacts • Sep 2021 – SMT and ETC decision on moving to implementation • Sept 2021 – go live comms and guidance and information published • Sep-Dec 2021 - Scale up activities with education providers |
| | Initial full implementation | <ul style="list-style-type: none"> • January 2022 |
| Stakeholder engagement - recent and upcoming activities | <ul style="list-style-type: none"> • Council of Deans of Health – Regular workshops with members. Next scheduled in July 2021 • PSA – continued engagement to ensure developments in the model mean it still aligns with their standards and intentions around regulatory reform. Meeting arranged for June, where we will share results from cycle 2 evaluation • Education provider stakeholders: <ul style="list-style-type: none"> ○ Evaluation workshops with pilot providers at the end of the pilot (Aug) ○ Next update to sector in June Education Update (June-end) • Education and Training Committee (ETC): <ul style="list-style-type: none"> ○ Monthly catchups with ETC Chair ○ Implementation decision (September meeting) • Professional body education leads: <ul style="list-style-type: none"> ○ Developing how we work together to share intelligence. Forum established, with second meeting in June 2021 • Education partner visitors: <ul style="list-style-type: none"> ○ Evaluation workshops with pilot visitors at the end of the pilot (Aug) | |

| Strategic risks and mitigations | Risk description | Probable consequences | Mitigations | Mitigation progress |
|---------------------------------|--|---|---|---|
| | This project and the Education System Major project (MP203) not effectively integrated, meaning work packages and dependencies not understood and delivered upon | Lack of co-ordination leads to: 1. Delays to progress / delivery across project workstreams, resulting in delays to / non delivery of the projects 2. Impact on quality of products / deliverables to keep to delivery timeframes, which might impact on overall project delivery / quality | 1. Set up effective governance for both projects, which focuses on information sharing between the two projects | Complete |
| | | | 2. Clearly define areas of responsibility and deliverables for each project | Complete |
| | | | 3. Definition of system requirements, including sequencing of deliverables | Delivered iteratively, in line with methodology |
| | | | 4. Effective planning for both projects, including critical path analysis and interproject dependencies | Delivered iteratively, in line with methodology |
| | | | 5. Continual re-evaluation of deliverables and project plan, to focus on delivery of key workstreams | In progress |
| | Organisational conventions about external stakeholders' ability to access HCPC environments provide a barrier to user focused system interactions and document collaboration | 1. Stakeholder expectations linked to integrating with the HCPC not met 2. Delineation between existing model and new model undermined | 1. Definition of requirements | Complete |
| | | | 2. Work with key roles and individuals within the organisation on developing conventions | In progress |

| | | | | |
|--|---|---|---|-------------|
| | Organisational data strategy is not positioned to incorporate the project's intentions for processing and management of external data | 1. Embedding of data at implementation seen as the finished product 2. Data function not able to support scaling up of further data requirements and integration | 1. Embed understanding with key internal stakeholders (Policy data and intelligence lead, Executive Director of Digital Transformation, Chief Exec) | In progress |
| | | | 2. Considering changes to data infrastructure major project prioritisation, develop capability to deliver within this project and MP 203 | In progress |
| | Model not well understood by key stakeholders (visitors and education executives) on implementation | Intentions of the current model are transferred across to the application of the new model, meaning new model benefits are not realised | 1. Intentions of new model embedded into planning so they are fundamental to support package for stakeholders | In progress |
| | | | 2. Executives upskilled to apply the model, and guide other in doing so | In progress |
| | | | 3. Departmental assurance structures embedded which ensure model applied as intended | Not started |

New Education QA model pilot – cycle 2 evaluation report

This report evaluates progress against the strategic objectives for the new education quality assurance model, following completion of cycle 2 pilot activities. A summary of progress against the measures for meeting strategic objectives is provided in the last section of this report.

Contents

| | |
|--|----|
| Background | 1 |
| Strategic aim and objectives of the model | 1 |
| Purpose of evaluation | 2 |
| Evaluation activities | 2 |
| Next steps for formal evaluation | 2 |
| Meeting our objectives – cycle 2 findings | 2 |
| Summary of key themes of learning | 3 |
| Burden | 4 |
| Efficiency | 4 |
| Data | 4 |
| Stakeholder development | 5 |
| Detailed view on delivering the strategic objectives | 5 |
| Strategic objective 1 | 5 |
| Strategic objective 2 | 10 |
| Strategic objective 3 | 14 |
| Appendix 1 – data from surveys | 18 |
| Education provider survey | 18 |
| Visitor survey | 19 |
| Executive survey | 20 |

Background

Strategic aim and objectives of the model¹

Our aim is to position the HCPC's Education function to be flexible, intelligent and data led in its risk based quality assurance of education providers.

To achieve this, the current programme of work will deliver improvements in the following areas:

- Achieving risk based outcomes which are proportionate and consistent
- Operating efficient and flexible quality assurance processes
- Using a range of data and intelligence sources to inform decision making

¹ The project briefing document circulated earlier in the year contains a detailed breakdown of aims and objectives, how the model is planned to work, and how it will be delivered.

Purpose of evaluation

The benefits of the model have been defined and agreed upon. We are piloting whether the benefits can be delivered on in practice.

We are undertaking in-pilot improvement of the model via Plan Do Study Act methodology. This means we can be responsive to areas identified for improvement, and test these areas quickly via a series of pilot cycles. It also allows us to formally measure how we are meeting objectives on a regular basis, leading to a clear understanding of progress made, and progress required. Our aim is to maximise the delivery of the benefits of the model through the evaluation of pilot activities.

Evaluation activities

The evaluation in this report was focused on activities undertaken in the second pilot cycle (March-May 2021). We have undertaken the following evaluation activities:

- Desk based review of cases being progressed through the pilot (26 cases):
 - Comparative data points
 - Qualitative and quantitative review of process point progression
- Stakeholder ‘pulse’ surveys focusing on the relevant measures of success for each stakeholder group
- Provider, partner and executive workshops – measures explored, with a focus on:
 - Process application (executives)
 - Application and use of the risk model, including structured data (partners and executives)
 - Comparative process burden and efficiency
 - Guidance and support, including development of go-live ‘package’ of support
 - Scale up comms planning (partners and education providers)
 - Unintended consequences of moving to the new model (education providers)

Next steps for formal evaluation

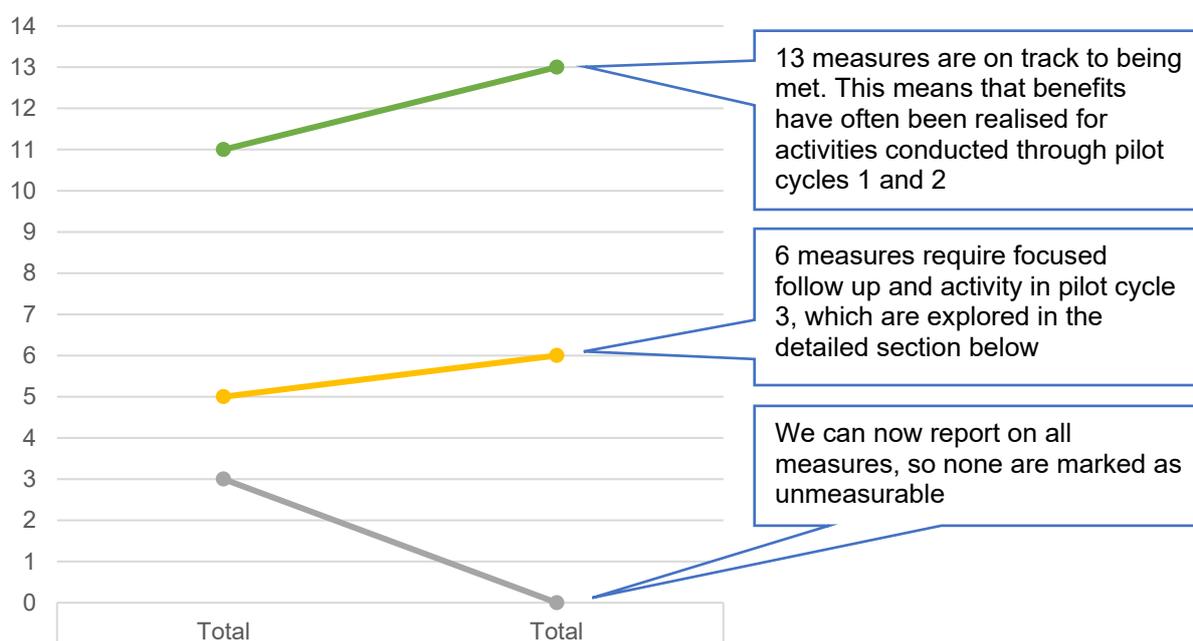
We will undertake final evaluation towards the end of August. Through this evaluation exercise, it is our intention to show that benefits are scalable for implementation, and that progress against measures means we should proceed to implementing the new model. We will bring a report to SMT and ETC with these outcomes noted, to allow a decision to be made about whether to implement the model from September 2021, with a scale up period ending in full implementation from January 2022.

Meeting our objectives – cycle 2 findings

We have completed pilot cycles 1 and 2, with seven education providers being taken through active assessment in cycle 2. We have concluded the process for two assessment cases and have prepared eight providers for assessment in pilot cycle 3. We have used data and information from these groups to give an evidence-based picture of whether measures are met, and benefits can be realised on implementation.

Key points:

- We remain on track to meet the majority of the measures – no measure remains unmeasurable, and the number of measures ‘on track’ has increased
- We have a good understanding of the actions required to meet all measures marked as ‘requires follow up’ – we have made progress to meeting all measures previously marked as ‘limited progress’ (i.e., none of these measures have ‘gone backwards’)
- We can see benefits realisation for a broader range and larger number of providers involved in the pilot – key focus areas identified in the last evaluation report was to ensure benefits are scalable, which has been realised through this evaluation
- Pilot activities continue to add value in delivering developmental feedback and helping to define future areas of focus – feedback received has confirmed existing and identified further areas of focus. Planning has been undertaken to address stakeholder feedback and prepare stakeholders for model implementation from September
- Key challenge to ensure data is embedded into the model, and its use is well understood by visitors and executives – evaluation information shows that once the intentions around embedding data into assessments is understood, it adds value to those assessment, but that broadly there is limited understanding of how to do this. There are also challenges with securing HESA data in a way which delivers strong insight into provider performance



Summary of key themes of learning

As requested by the Education and Training Committee in the March 2021 meeting, we have provided a summary of the key themes of learning linked to several areas below. This section is intended to broaden understanding of the progress to delivering benefits, and provide a more detailed and narrative view on the areas where the executive is focusing effort within the last pilot cycle.

Burden

The main burden noted by stakeholders was learning the model and process, followed by executives noting that finding information and guidance on the model and its application was time consuming. The next highest rated area for burden on executive's time was supporting partners.

This shows that when executives and visitors have gone through the programme of learning currently in development, and when these stakeholders have become more comfortable with the application of the model and processes, the main areas of burden reported through evaluation activities will no longer exist.

Crucially, the majority of participants were confident that overall, the level of burden would be reduced compared to the existing model².

Efficiency

There were also clear efficiencies noted by stakeholders through feedback, which is also shown in structured data. For example, flexibility in the early part of the process has allowed us to set up and undertake focused assessments more quickly than in the existing model. The time taken to approve programmes has benefited from this in particular, linked to the reduction in the number of standards actively assessed for new proposals from providers with existing provision.

There is also recognition from providers that frontloading time and administrative burden through an AEPM portfolio submission leads to a reduced burden overall. Good interaction through this process is incentivised, to allow for a longer period between submissions. Additionally, there is no longer the requirement for education providers to engage with us around granular changes as they are made.

Data

As noted in findings for the relevant measures in the detailed section below (for strategic objective 3), to date the use of data and sector intelligence through processes is not well understood by executives or visitors. This links to a required change in understanding for stakeholders of what the model is intended to achieve, in its move away from a compliance based approach to understanding the quality of provision. This did not impact on the quality of assessments as close guidance and support was provided by the project team.

This is neatly illustrated in a conversation about institution risk scores with executives in their workshop:

- Several programme cluster risk scores showed minimally risky data points, and so had been disregarded by executives through the AEPM process
- This was based on the existing model's focus of issues or problems
- However, through the AEPM, it is our intention to understand how a programme cluster is performing, including where it is doing well, with results from our assessment used to define how the programme cluster engages with us in the future
- Therefore, risk scores which show an institution is performing well should be considered by executives and visitors in reaching this judgement

² Results noted through this section so far can be found in appendix 1.

As noted in the actions for strategic objective 1, we will hold a workshop with executives which focuses on the AEPM process, including application of the risk model through this process. We will also undertake further work to embed the intentions of the data and risk model for executive and visitor stakeholders.

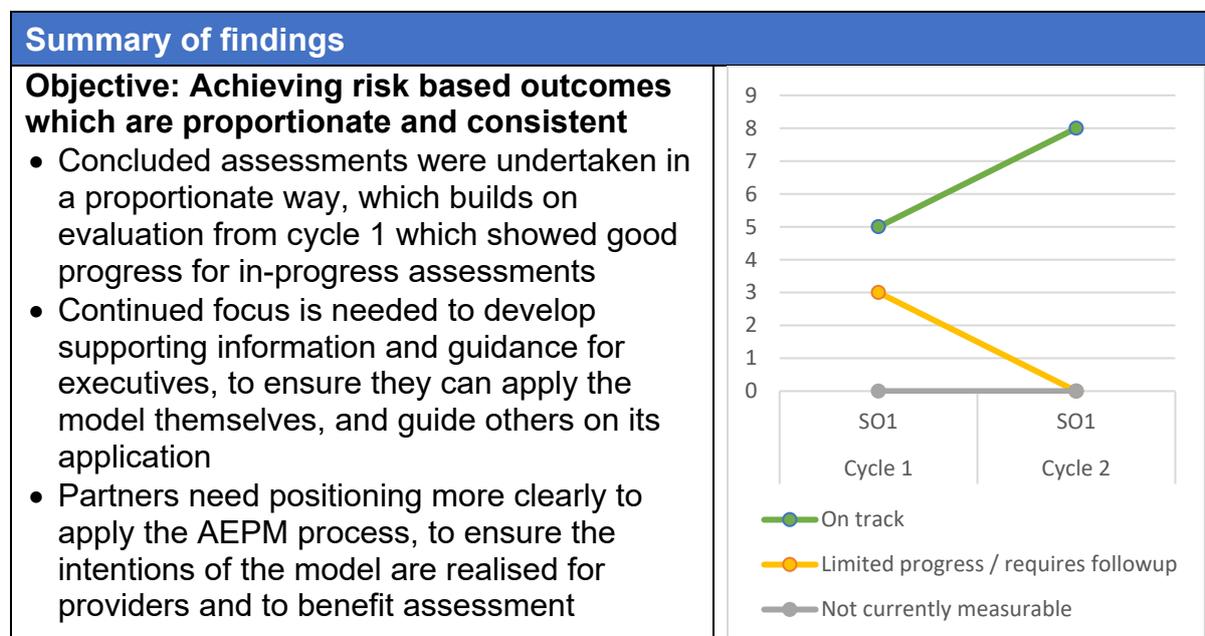
Stakeholder development

Evaluation activities show that once a concept is worked through with a stakeholder group, that stakeholder group sees its value and is able to better conceptualise how they will apply it to the work they do. In this pilot cycle, it has been useful to broaden involvement to a new set of partners, providers, and education executives, so concepts well embedded in the project team’s understanding can be tested and understood by new audiences. Developmental feedback received through evaluation activities has informed the planning undertaken in this pilot cycle to prepare stakeholders for the scale up period.

Detailed view on delivering the strategic objectives

We have produced this report for several key audiences. Therefore, the executive considered it appropriate to provide evidence and analysis broken down for each measure. This section can be read in full, or with focus on the summary of findings and key development points. The reader should be able to understand progress against measures and benefits without reading through the detail for each measure.

Strategic objective 1



Update on key development points for pilot cycle 2 (taken from cycle 1 evaluation report)

| | | |
|--|-----------------------|--|
| Current guidance is not sufficient for providers to fully understand the model or their interactions, to gain the full benefits of the model | Study | Providers are often 'overworking' certain process stages based on not understanding what is required and why |
| | Planned action | Undertake structured work with providers to ensure guidance is concise, timely, provided in a format that is easy to access and understand, and focused on the process stage (while drawing through key features of the model) |
| | Result | Structured work undertaken with stakeholders, with insight used to develop scale up and go-live guidance planning. Delivery of this guidance begins in June |

Key development points for pilot cycle 3

| | | |
|--|---------------|--|
| Current executive and partner understanding of the AEPM process is not sufficient to deliver full benefits of the model | Study | Often default to a compliance-based approach to monitoring (similar to the current model), rather than grasping the fundamental differences of applying a self-reflective and quality-focused approach, which assesses provider and programme performance. This did not impact on the quality of assessments as close guidance and support was provided by the project team. |
| | Action | <ul style="list-style-type: none"> • Develop executive understanding of the process by holding a focused workshop • Work underpinning concepts into training and supporting information for the broader visitor population |
| Current guidance is not sufficient for executives to deliver full benefits of the model, including those delivered when guiding others | Study | Executives often struggle to find the information they are looking for with existing guidance. This did not impact on the quality of assessments as close guidance and support was provided by the project team. |
| | Action | Develop guidance based on feedback, to ensure it is clear, consistent, and in a central source |

Analysis of measures

| Progress | Findings | Focus for pilot cycle 3 |
|---|---|---|
| Outcomes data shows that different types of regulatory engagement have been appropriately designed and successfully implemented through each QA process | | |
| On track | <ul style="list-style-type: none"> • The principles of the model have been applied as intended at each stage • Stakeholders satisfied with approaches applied | <ul style="list-style-type: none"> • Analysis of a broader range of interventions, if possible |

| | | |
|---|---|---|
| | <ul style="list-style-type: none"> • Design of QA activity based on the ‘problem’ realises the aim to deliver right touch regulation • Generally, light touch interventions have been applied. • Benefit realised for assessments undertaken, including those which have reached final outcomes | |
| Education providers are satisfied that the engagement undertaken was proportionate, meaningful and appropriate to achieve the regulatory outcome | | |
| On track | <ul style="list-style-type: none"> • All respondents to the provider survey agreed that this measure is met • Benefit realised for assessments undertaken, including those which have reached final outcomes | <ul style="list-style-type: none"> • Analysis of a broader range of providers, including those who have been through a heavier touch process |
| Education providers perceive there to be a reduction in the administrative burden for them to engage with us through all processes, compared to the current model | | |
| On track | <ul style="list-style-type: none"> • All respondents to the provider survey agreed that this measure is met • Benefits realised through the approval process (60% reduction in the number of standards assessed for 9 cases to date) • For AEPM, provider recognition that regulatory burden is front-loaded, but that good engagement leads to reduced burden overall. Provider workshop also showed recognition that changing HCPC approach could be a catalyst for internal development around quality monitoring and improvement • Recognition that being an early adopter comes with its own set of burdens, as processes are still under development • Remains on track as there has been demonstrable progress to achieving the benefit in the approval process, and the AEPM process is so far functioning as intended with frontloaded burden | <ul style="list-style-type: none"> • Key message for scale-up comms that the model incentivises good engagement, to reduced burden longer term • Based on provider feedback, indicative timescales will be included to allow for medium to long term planning |
| The visitors are able to perform their role effectively through the structure of engagement used in any QA process undertaken | | |
| On track | <ul style="list-style-type: none"> • Visitors generally agreed that this measure was met at this time • Executives have been able to progress case activities as required, with visitors supported to develop their understanding of stage level input as processes progress | <ul style="list-style-type: none"> • Further develop and review of the impact of AEPM visitor guidance • Consideration of executive |

| | | |
|--|--|---|
| | <ul style="list-style-type: none"> • This includes designing QA activity based on the ‘problem’, and focusing on standards at the right time, both realising the aim to deliver ‘right touch regulation’ • Executives generally agreed that they were able to position the visitors to effectively undertake their role • However, discussion in several evaluation activities focused on whether visitors were being correctly positioned to correctly understand the focus of the AEPM process • Visitor guidance was developed to address this through this pilot cycle, but needs further work | <p>understanding of the focus of the AEPM process, and further guidance development to allow support of the visitors</p> <ul style="list-style-type: none"> • Focus on AEPM through partner training • Consider changing the name of the AEPM process, to distinguish it from BAU ‘annual monitoring’ |
| <p>All parties were clear about our process requirements and the reasons for taking a particular engagement approach through any QA process undertaken</p> | | |
| <p>On track</p> | <ul style="list-style-type: none"> • Stakeholders were given reasons why particular engagement was required • Visitors were split between agreeing and disagreeing that this measure is met • For providers, updates to guidance and further support appears to be working, with information generally provided at a good level (not too much, not too little) to engage with processes • This shows that the benefit of engaging stakeholders flexibly and with clear rationale provided is on track for delivery with work undertaken | <ul style="list-style-type: none"> • Focus on partner guidance, and executive guidance to allow them to support partners • Continued review through stakeholder acceptance measures |
| <p>Internal and external stakeholders are satisfied that supporting information and guidance positions them to deliver and engage QA processes and activities.</p> | | |
| <p>Limited progress to on track</p> | <ul style="list-style-type: none"> • Survey showed that guidance in place supports provider process interactions to date • Most visitors also agreed that supporting information and guidance positioned them to undertake their role • Executives fed back through the survey and workshop that guidance needs further work, particularly to ensure there is a ‘central source’ of current information • More formal guidance developed for all groups through this pilot cycle, some of which may not have positively impacted | <ul style="list-style-type: none"> • Work planned with internal QA function to ensure guidance delivered addresses stakeholder and process needs • Review newly implemented guidance |

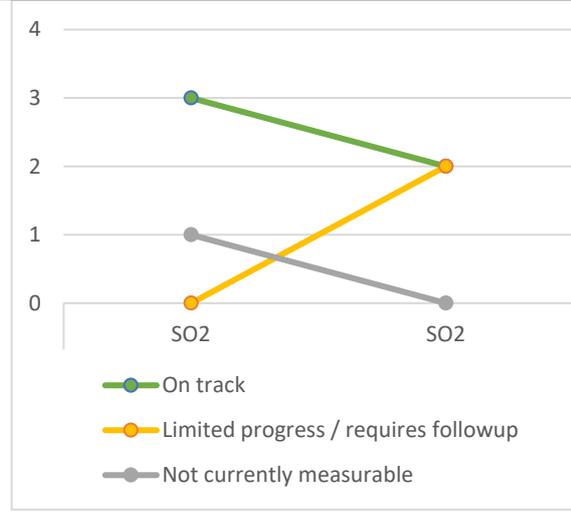
| | | |
|---|---|--|
| | <p>stakeholder views due to timing of delivery (towards the end of the cycle)</p> <ul style="list-style-type: none"> • Plan put in place to deliver suite of guidance for scale up and go live activities, with stakeholder feedback central to the development of the plan • Measure moved from 'limited progress' to 'on track'. Accepting that further effort is needed to realise the benefit for all, many stakeholders feel well supported, and we have a clear plan for delivery or developed guidance, including external scrutiny | |
| <p>Qualitative data shows that through each QA review, regulatory activity had a clear purpose and was applied in a proportionate way</p> | | |
| <p>Limited progress to On track</p> | <ul style="list-style-type: none"> • Guidance on the application of various QA activities has been used through processes • For cases that reached this stage, decision about quality activity was reasonably made and reported through process reports • Measure moved from 'limited progress' to 'on track' - reporting developed to bridge previous gap, which shows that the measure is met for pilot cases to date | <ul style="list-style-type: none"> • Further analysis of a broader range of cases |
| <p>The model improves the institution / programme(s) assessed</p> | | |
| <p>Limited progress to On track</p> | <ul style="list-style-type: none"> • Providers agreed with this statement, and feedback from visitors and executives was generally positive • Feedback from providers shows that engaging with HCPC processes in a more incremental way has improved planning and delivery of provision. This includes any formal 'requirements' setting through processes, but also the self-reflection required for providers to deliver evidence and information to the HCPC • Measure moved from 'limited progress' to 'on track' - have received positive feedback from all stakeholder groups, including from those who have reached the conclusion of processes | <ul style="list-style-type: none"> • Further analysis of a broader range of cases |

Strategic objective 2

Summary of findings

Objective: Operating efficient and flexible quality assurance processes

- Assessment activity is efficient and focused to the situation, and that requirements are designed appropriately for each assessment
- Visitors need to be positioned to understand and be comfortable with the approach to splitting standards between different process stages, and to understand the wider institution context on their assessments



Update on key development points for pilot cycle 2 (taken from cycle 1 evaluation report)

| | | |
|--|-----------------------|--|
| Cultural shift to the new model may be challenging for providers | Study | <ul style="list-style-type: none"> • The sector generally understands the existing model and how that slots into other quality activity • There could be unintended consequences when implementing the new model, such as internal quality processes requiring regulatory 'sign off' of changes, but this level of sign off not being undertaken by us |
| | Planned action | Work with providers to understand unintended consequences, and to help them integrate requirements of the new model into their own practices |
| | Result | Worked through in provider workshop. Some areas identified to feed into comms, with focus on the value that can be added internally if developments to HCPC processes are used as a catalyst for change |
| Applying standards at different stages, and understanding the institution context is work in progress for visitors | Study | Visitors are generally comfortable with the approach of the model, once they have developed their understanding through assessment activities |
| | Planned action | <ul style="list-style-type: none"> • Support visitors through more structured guidance and training to arrive at this understanding with less direct executive input • For executives through stage 2 pilot activities, to ensure visitors engaging with the model are supported to apply it within its intentions |

| | | |
|---|-----------------------|--|
| | Result | Direct support has achieved good outcomes through different stages of the process, but partners engaging for the first time are uncomfortable with the standards split and understanding the wider institution context. See section below for further action required to address this. |
| Stakeholders want to shape method(s) of engagement through system solutions being designed to allow information sharing and collaboration | Study | Stakeholders saw the value in information sharing and document collaboration through a system solution, but noted this must work for their needs |
| | Planned action | Embed stakeholder-focused requirements and user acceptance testing into systems delivery major project. This means delivery timeframes need to allow for the ability to test and improve these solutions with stakeholders |
| | Result | External facing system solutions not delivered in this pilot cycle. Feedback from external stakeholders worked into pilot activities and testing mechanisms |
| The term 'institution' is imperfect to define a grouping together of programmes that meet standards in a consistent way | Study | <ul style="list-style-type: none"> Stakeholders understood this term to mean the whole provider Stakeholders considered it better to define a new term, rather than co-opt an existing one |
| | Planned action | Define a clearer term, using feedback from visitors and providers |
| | Result | New term 'programme cluster' defined. Information and guidance updated where required |
| Key development points for pilot cycle 3 | | |
| Applying standards at different stages, and understanding the institution context is work in progress for visitors | Study | Partners engaging for the first time are uncomfortable with the standards split and understanding the wider institution context |
| | Action | Develop visitor training and guidance materials with a focus on ensuring the broader visitor population start their engagement understanding and being comfortable with the approach |

| Analysis of measures | | |
|--|---|---|
| Progress | Findings | Focus for pilot cycle 3 |
| Education providers are satisfied in the consistency of outcomes reached through any QA process undertaken | | |
| Currently not measurable to on track | <ul style="list-style-type: none"> There is consistency inherent in the model, with the approach to not re-assessing institution level standards through the | Analysis of a broader range of providers, including those |

| | | |
|---|--|--|
| | <p>approval process, and taking an institution-wide view through AEPM</p> <ul style="list-style-type: none"> • For the small number of cases where we have reached outcomes, providers agreed that this measure is met | <p>who have been through a heavier touch process</p> |
| <p>Visitors are able to focus more effectively on the appropriate areas of the standards at the appropriate time through each process, in comparison to the current model</p> | | |
| <p>On track to requires follow-up</p> | <ul style="list-style-type: none"> • From feedback received through cycle 1, visitors are generally clear on the standards split, and agree that this approach is right to focus assessment • Feedback from visitors involved in cycle 2 has indicated an even split between agreeing and disagreeing that this measure is met • Where some visitors have disagreed that this measure is met, there is recognition that splitting standards assessment through different stages of the process is the right approach. This shows that the gap in meeting this measure is linked to how visitors are supported • Visitors fed back that context information provided by the HCPC executive could have better positioned them to understand the situation, which would have led to more effective focus on stage specific standards • Service users noted developments are needed to information requested through the AEPM portfolio, to ensure they can focus their assessment on the right areas • Measure moved from 'on track' to 'requires follow up', to note that focus is required to ensure establishing this key concept with the broader partner population is crucial to delivering benefits of the model when live | <ul style="list-style-type: none"> • Focus partner guidance and training to ensure broader visitor population start their engagement understanding and being comfortable with the approach • Develop conventions for context information to address visitor feedback • Develop the service user involvement part of the AEPM portfolio to facilitate supply of relevant information |
| <p>Visitors are satisfied they are positioned effectively to understand the wider organisation context in any decisions they reach</p> | | |
| <p>On track to requires follow-up</p> | <ul style="list-style-type: none"> • The visitor survey showed that 20 per cent of respondents disagreed with this measure for this pilot cycle, and that none agreed that this was met (60 per cent were neutral, and 20 per cent were not sure) • Linked to the notes for the above measure, visitors fed back that context information provided by the HCPC executive could have better positioned them to understand the wider organisation | <ul style="list-style-type: none"> • Focus partner guidance and training to ensure broader visitor population start their engagement understanding and being |

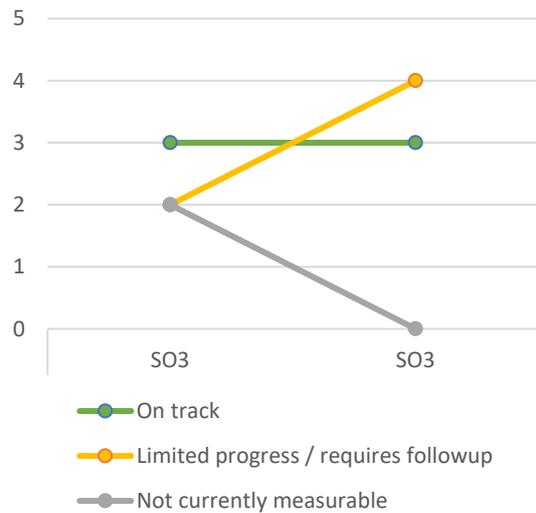
| | | |
|--|---|--|
| | <ul style="list-style-type: none"> • Again, linked to the above, visitors agreed that reviewing standards in an iterative way is the right approach, and there was an understanding that part of the issue here is getting comfortable with the new way of working • Measure moved from 'on track' to 'requires follow up', to note that focus is required to ensure establishing this key concept with the broader partner population is crucial to delivering benefits of the model when live | <p>comfortable with the approach</p> <ul style="list-style-type: none"> • Develop conventions for context information to address visitor feedback |
| <p>Outcomes data shows that issues were picked and dealt with at the appropriate time, leading to smoother progression through the QA processes.</p> | | |
| <p>On track</p> | <ul style="list-style-type: none"> • No conditions set for two APP cases which have concluded the process, as issues were worked through with providers in an iterative way • No site visits (virtual or physical) were required in any quality activity to date • Benefits of engaging providers flexibly and conducting site visits only when needed to assess standards are realised | <ul style="list-style-type: none"> • Analysis of a broader range of providers, including those who have been through a heavier touch process |

Strategic objective 3

Summary of findings

Objective: Using a range of data and intelligence sources to inform decision making

- Workstream to embed HESA data requires further work including budgetary sign off, which we intended would have been achieved by this point
- Insight to inform decision making can be gained from data and intelligence sources, and this is shown in some pilot assessments
- Need to ensure concepts underpinning the use of data and information are operationalised so they are always understood and applied by executives and visitors to deliver benefits across all assessments



Update on key development points for pilot cycle 2 (taken from cycle 1 evaluation report)

| | | |
|--|-----------------------|---|
| Positive contribution of sector relationships supports benefits realisation in this area | Study | <ul style="list-style-type: none"> • These relationships are integral to the model's success • Sector groups are supportive of becoming more actively involved through our work, to the benefit of quality assurance activities |
| | Planned action | Pilot specific engagement in cycle 2, and to develop structures based on further analysis and engagement to ensure these relationships are able to flourish |
| | Result | Have worked with professional bodies and other stakeholder groups on specific initiatives and case level assessment. Continued engagement planned |
| Risk model is working for the small number of low friction cases assessed to date | Study | The risk model was applied well for the assessments made, but that these were 'low friction' assessments |
| | Planned action | Ensure close analysis of scale up of risk model in cycle 2, with mitigations required if assessments continue to be 'low friction' |
| | Result | Analysis shows that risk model is scalable, but the tools which underpin its application (including those which link through data) are not being consistently understood or applied by executives or visitors. |

Key development points for pilot cycle 3

| | | |
|---|---------------|---|
| Executives and visitors not always positioned to make effective use of the risk model, including data points, in their assessment | Study | Linked to several of the measures below, the risk and data model has not been properly understood by executives through case assessment |
| | Action | Develop guidance and information to position executives to understand the model, and to support others in its application |

Analysis of measures

| Progress | Findings | Focus for pilot cycle 2 |
|--|--|---|
| Scoped the establishment of data sharing agreement with HESA which is suitable to support QA model | | |
| On track to requires follow-up | <ul style="list-style-type: none"> • Early work with HESA suggested we would have progressed further than we have by now, so have also started working with an external data agency to deliver HESA data into the model • Provision of data remains achievable prior to September 2021, but internal structures need further development to facilitate integration of data in a usable form • Costings and benefits need to be further understood before securing budget for investment • Moved from 'on track' to 'requires follow up' due to continued work being undertaken | <ul style="list-style-type: none"> • Consider the added value of securing HESA data as the primary data source linked to the model going live • Delivery of business case, and decision point for investment • Embedding of data into system to achieve benefits |
| Sector based intelligence is used throughout each process where appropriate, which improves the quality of decision making | | |
| On track to requires follow-up | <ul style="list-style-type: none"> • Professional bodies remain committed to directly working with us to support and assure high quality education and training • Providers welcomed HCPC and professional bodies engaging directly, on a case-by-case basis and more strategically • Continuing work with Health Education Improvement Wales (HEIW) to deliver proportionate quality assurance for newly commissioned AHP provision in Wales • Newly qualified graduate survey planned out for delivery by September | <ul style="list-style-type: none"> • Develop clearer guidance for executives and visitors on the application of the risk model, including use of data • Reflect on the impact on decision making of each data source |

| | | |
|--|--|--|
| | <ul style="list-style-type: none"> • Intention to undertake more effective risk assessment and profiling of institutions and programmes is deliverable through the pilot • However, feedback showed that executives and visitors were unsure of how to use sector based intelligence in their assessment, particularly how they should be balanced and used related to other information provided • Moved from 'on track' to 'required follow up' to ensure focus on addressing stakeholder understanding of the use of intelligence in the model | |
| All provider types are able to engage with and provide relevant information for the provider performance related data points required through QA processes | | |
| On track | <ul style="list-style-type: none"> • Some provider types have not been able to supply all data points, but this has not materially impacted on the assessment undertaken • Where there are gaps in data, these gaps may be reasonable (eg due to the design of the provision), or may show that the provider is more inherently risky, and should be monitored as such • This shows that the intention to undertake more effective risk assessment and profiling of institutions and programmes is deliverable through the pilot | <ul style="list-style-type: none"> • Continue to monitor, but ensure the model not designed for the exceptions |
| Education providers understand the risk model and assessment applied through the QA processes and perceive them to be objective and consistently applied | | |
| Currently not measurable to on track | <ul style="list-style-type: none"> • Providers are satisfied that this measure is met. This includes providers who have concluded the process • Moved from 'currently not measureable' to on track, as we now have data to support this measure is in progress to being met | None |
| Visitors are supported and positioned to make risk-based decisions appropriately within the QA model | | |
| Limited progress to requires follow-up | <ul style="list-style-type: none"> • In this pilot cycle, generally visitors are satisfied that this measure is met • Linked to an earlier measure, feedback showed visitors were unsure of how to use sector based intelligence and data points in their assessment • The risk model has been considered and invoked where required by executives in cases that have been through the whole process | Develop and apply method of assessment to apply should live assessment work not allow risk model to be tested in a high risk situation |

| | | |
|---|---|--|
| | <ul style="list-style-type: none"> • However, these assessment were relatively low friction, with no major issues or differences of opinion between visitors identified • Use of risk model adds most value in situations where potentially significant risks are identified. Therefore, testing of the model is required in these situations to be satisfied that this measure is met | |
| <p>A risk model is delivered, which allows risks to be quantified effectively, with higher risk providers appropriately engaged in more intensive and timely regulatory interventions</p> | | |
| <p>Limited progress to requires follow-up</p> | <ul style="list-style-type: none"> • Institution risk model developed, and applied in specific cases • The risk model has been considered and invoked where required by executives in cases that have been through the whole process • However, have not concluded AEPM cases or undertaken a broader view across institutions to set focus for future monitoring • Therefore, require more live or test data to understand application of the model, to understand benefit realisation | <p>Develop and apply method of assessment to apply should live assessment work not allow risk model to be tested</p> |
| <p>New QA model provides value for money in reaching more effective QA outcomes</p> | | |
| <p>Currently not measurable to on track</p> | <ul style="list-style-type: none"> • Through the approval assessments where an outcome was reached, the process provided better value for money as: <ul style="list-style-type: none"> ○ 60 per cent of the standards were not directly assessed, as they had been assessed at the institution previously ○ We did not undertake an approval visit, but focused quality activity where it added most value ○ For the first time, we reported on how standards were met, alongside the areas that needed further work • Visitor fee model discussed with stakeholders, and recognition that this needs updating. Plan developed with key internal stakeholders to deliver by January 2022 • Moved from 'currently not measurable' to 'on track' as data is now available which shows good progress to this measure being met. | <p>Review outcomes for the AEPM process</p> |

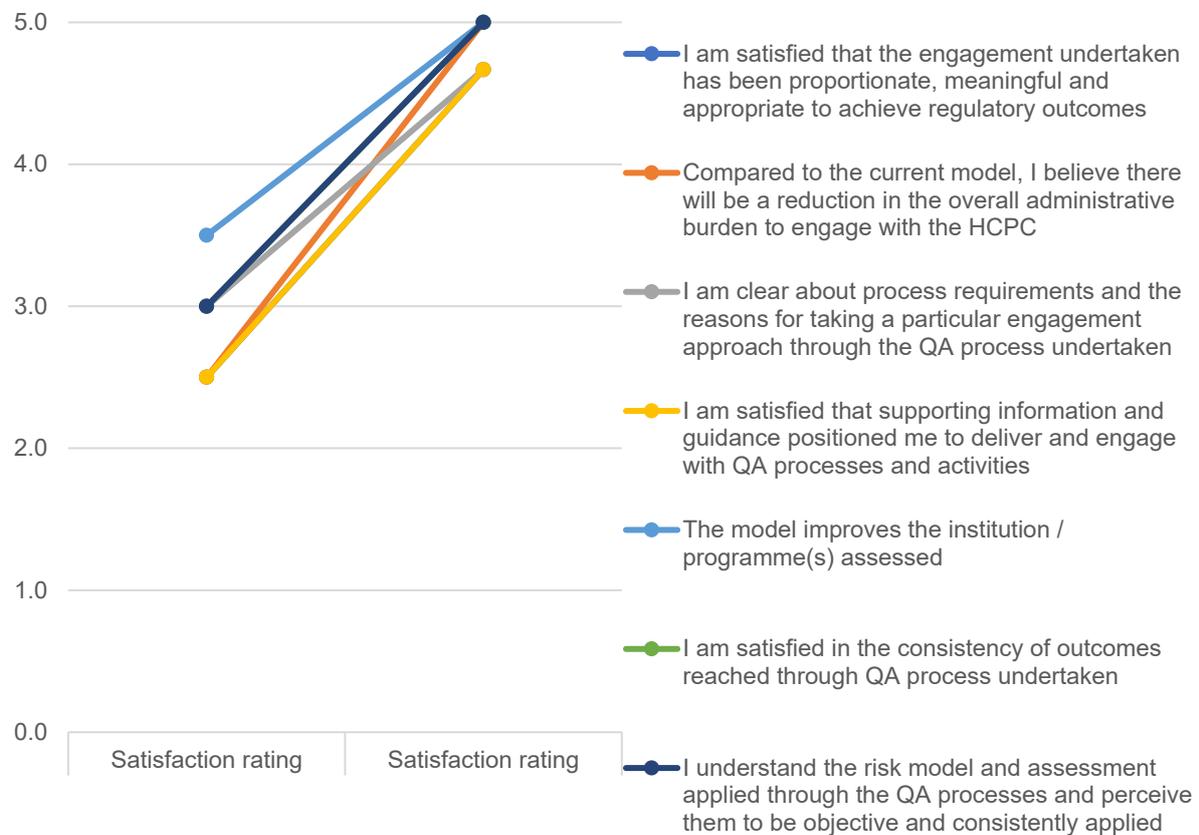
Appendix 1 – data from surveys

In the below charts, we have calculated average satisfaction scores for each measure based on survey responses, and compared how feedback received in cycle 2 compares to that received in cycle 1.

Satisfaction scores translate to the options given: 1 = strongly disagree, 2 = disagree, 3 = neutral, 4 = agree, 5 = strongly agree.

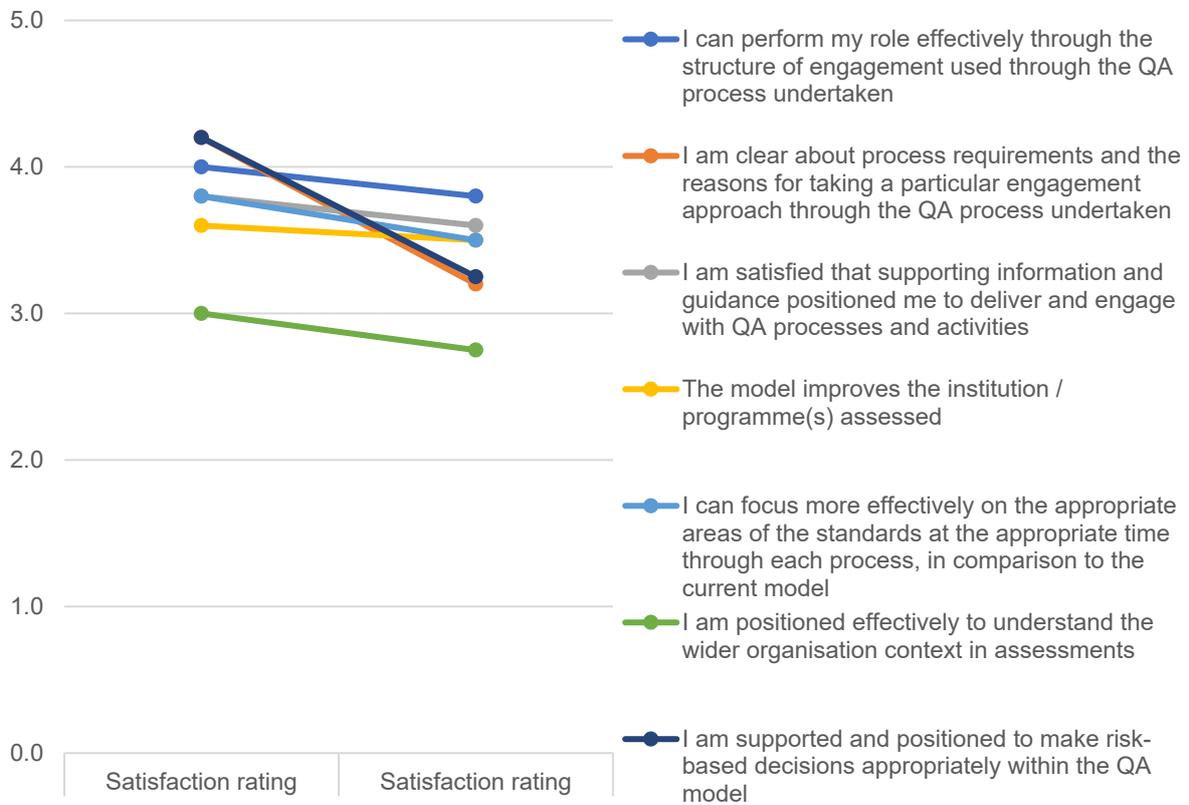
Education provider survey

Indicators have risen across the board for this stakeholder group. We received two responses in cycle 1 and three in cycle 2. Respondents in cycle 2 included those who have previously responded but have now completed pilot activity. The increase in satisfaction suggests positive views of stakeholders on process conclusion.



Visitor survey

Indicators have dropped slightly across the board. We had five respondents in each cycle, but no respondent responded to the survey in both cycles. This means the scores are not a regression of satisfaction for individuals, but are two snapshots of the feeling of separate sets of visitors at a point in time.



Executive survey

All Department executives became involved in the pilot at the start of cycle 2, meaning we do not have comparative data for this stakeholder group. We had eight responses from executives, which is the whole operational team.

As indicated in the body of the report, 'disagree' scores did not lead to poor application of the model or negative impact on the quality of assessment, as the project team closely supported executives in their application of the process. Linked to the key development points for strategic objective 1, insight gained from this stakeholder group has been used to plan development of guidance and training for executives.

