

Finance and Resources Committee, 19 March 2013

Registration Department Work Plan 2013 - 2014

Executive summary and recommendations

### **Introduction**

The attached document is the Registration Department's proposed work plan for 2013 – 2014. It details the key objectives, the main areas of work and what we intend to develop within the registration area over the next financial year.

### **Decision**

The Committee is asked to discuss and agree the attached Registration Department work plan.

### **Background information**

This document is intended to supplement the Council's strategic intent document and sits alongside other departmental level strategy and work plan documents such as Communications, Finance, IT, Projects, Education, Policy & Standards, Human Resources and Fitness to Practise.

It is a working document and is therefore always under review.

### **Resource implications**

See attached work plan.

### **Financial implications**

See attached work plan.

### **Appendices**

Registration Department Work Plan 2013 – 2014.

Date of paper

6 March 2013

**Registration Department**

**2013 – 2014 Work Plan**

**Richard Houghton**

**March 2013**

# Registration Department Work Plan 2013 - 2014

## Contents

<b>Introduction</b> .....	3
<b>The Registration Department</b> .....	3
This document .....	4
Priorities 2013 – 2014 .....	4
Resources.....	4
Risk management.....	5
Registration Department main operational activities .....	5
<b>Supporting activities</b> .....	6
1) Partner assessor recruitment, selection and training .....	6
2) Information systems (database and electronic records) .....	6
3) Liaison with stakeholders.....	6
4) Committee and Council work .....	6
5) Publications .....	6
<b>Achieving the Registration Department objectives 2013 – 2014.</b> .....	8
Registration Objective - Improve quality of service .....	8
Registration Objective - Effective capacity planning .....	8
Registration Objective – Continue to improve application verification checks	8
Registration Objective - Employee development .....	9
Registration Objective - Develop external relationships with suppliers .....	9
Registration Objective - Manage projects within agreed timescales .....	10
<b>Priorities 2014 – 2015</b> .....	11
<b>Registration Department activities in 2012 – 2013</b> .....	12
Registration Objective - Improve quality of service .....	12
Registration Objective - Effective capacity planning .....	12
Registration Objective - Deliver application verification checks.....	12
Registration Objective - Employee development .....	13
Registration Objective - Develop external relationships with suppliers.....	13
Registration Objective - Manage projects within agreed timescales .....	13
<b>Appendices</b> .....	14
Appendix one Registration Department processes and service standards ..	14
Appendix two Registration Department activities table 2013 – 2014.....	15
Appendix three Registration Department objectives table 2013 – 2014.....	16
Appendix four Risk Register risk items mitigated by the Registration Department	21

## Introduction

Providing a high level of customer service is crucial to the long term success of the Health and Care Professions Council (HCPC) and demonstrates our commitment to all of our stakeholders - registrants, members of the public, our employees, our suppliers and the members of our Council and Committees. As the standard of customer service increases in other service sectors such as financial services, telecommunications, local government, retail and leisure so does the service quality expectations of their customers. Similarly, HCPC's 'customers' will continue to have higher expectations of their own customer service experience which includes having a wider range of service delivery options, with customers wanting more choice of how they interact with us. Coupled with this increased expectation of service delivery is an increase in registrant number growth. Registrant numbers have increased at an average rate of 5% over recent years with a 41% increase during 2012 – 2013, as a result of the transfer of regulation of social workers, which will increase the demand for these services.

It is clear that we need to continue to develop our customer service delivery strategy that is based on the present and future needs and expectations of stakeholders. It is also important to maintain the positive, pride of workmanship, feeling of community, enjoyable and fun working environment that exists at HCPC as customer satisfaction generally moves in the same direction as employee satisfaction.

The 2013- 2014 Registration work plan builds on our previous achievements. Employing the best people in a good working environment and supporting them with ongoing training, reliable equipment and up-to-date systems. Recognising individuals and teams by promoting from within wherever possible and encouraging everyone to enjoy rewarding careers and provide job satisfaction. The continued investment in technology to reflect business rules and processes will speed up processing, improve job satisfaction and offer our customers more service delivery channels.

It is important to remember that it is the continuation of a journey in Registration.

## The Registration Department

The Registration Department sits within the Operations Directorate of the HCPC.

The Registration Department's main responsibilities are:

- processing application forms from individuals who have undertaken an approved course in the UK;
- processing applications for readmission to the Register;
- processing registrants registration renewal forms;
- processing international / EEA / temporary application forms;
- processing grandparenting application forms;
- processing incoming general correspondence including letters, requests for de-registration, change of addresses;

- co-ordinating continuing professional development (CPD) profile assessment days;
- replying to emails; and
- answering incoming telephone calls.

## This document

This document aims to set out the work priorities for the financial year April 2013 – March 2014, and provide a basis against which the work of the Registration Department can be planned and measured.

This work plan attempts to show how the standard operational work and the planned projects have been scheduled to ensure successful completion, given the resources and time table. The Registration Department is both proactive and reactive in its work so the requirements may change. **The department will therefore need to be flexible in the delivery of its work plan in order to respond accordingly. This document will be kept under review.**

## Priorities 2013 – 2014

The main priority for the department is the day-to-day operation of the registration processes. The department will also be involved in a number of projects at both an operational and strategic level.

## Resources

This work plan is based on a budget of £2,460,640, which allows for a team of 44 registration employees. The registrant statistics included in the 'Registration Numbers Forecast to 2017 / 2018', have been utilised to determine the Registration Department resource requirements for 2013 - 2014.

The 44 Registration Department employees consist of: one Head of Registration, five Customer Service Managers, five Team Leaders, one Registration Trainer, 30 Registration Advisors and two Apprentices.

Recruiting and retaining employees, in order to work effectively and proactively, continues to be a big challenge for the department and is likely to remain a risk for this financial year.

The department structure consists of five service teams primarily providing front line customer service for the UK, international, CPD, grandparenting and renewal processes. There continues to be significant investment in cross training of Registration Advisors and this continues to allow the department to respond rapidly and effectively to the significant increases in demand that is received.

## Risk management

The Registration Department manages those organisation risks that are primarily concerned with:

- customer service failures;
- inability to detect fraudulent applications;
- backlog of registration applications;
- mistakes in the registration process leading to liability for compensation to the registrant or applicant;
- CPD processes not effective.

Activities outlined in this work plan also help mitigate organisation risks managed by other departments and Appendix four details the risks that are mitigated by the Registration Department. As part of the HCPC equality and diversity scheme the Registration Department will also continue to scrutinise and screen our processes and work to make sure that we identify and, where possible, mitigate any adverse impact to some groups, compared to others. Please see Appendices two, three and four for more details and links between the HCPC's risk register and this work plan.

## Registration Department main operational activities

There are 11 main processes which generate the majority of the department's workload and the volumes for each process vary throughout the year with significant peaks and troughs in demand for any individual process. The department continues to ensure it delivers the best possible service to registrants, applicants and the public by cross training all Registration Advisors to deliver all registration processes efficiently and effectively within our service standards. The 11 main operational processes are detailed further in Appendix one together with the current service standards.

## Supporting activities

There are five activities which support the main Registration Department processes. Whilst these activities provide a solid and desirable foundation onto which to operate our main processes, at certain times of the year some of them do not take priority and some activities, if resources are stretched, may need to be revisited. The following paragraphs summarise these activities.

### 1) Partner assessor recruitment, selection and training

In 2013 – 2014, the department will work with the Partners Department to ensure Registration Assessor numbers are maintained and appropriate for the planned operational processes. This will include the selection, recruitment and training of new Registration Assessors to fill identified gaps.

There will also be refresher training for the existing 188 Registration Assessors in 2013 – 2014. This will include training on the Health and Social Work Professions Order (HSWPO) and operational processes. We will also continue to assist the Partners Department with the delivery of the Registration Assessor performance appraisal system.

### 2) Information systems (database and electronic records)

In 2013 – 2014, the department will work with the IT Department to both enhance and revise the registration IT systems. It is the current intention to implement the following changes to the registration IT systems this financial year:

- **DocXP enhancements** – Enhancements to the DocXP image and character recognition software to enable HCPC to improve the operation and usability of the system.
- **Temporary registration database** – Enhance the database to accurately reflect the business process and improve usability.

### 3) Liaison with stakeholders

In 2013 – 2014, the department will continue to work with stakeholders (e.g. general public, professional bodies, and registrants) in the broad area of registration. The department will endeavour to support the Communications Department with representation at conferences, employer events and various presentations which also provides valuable experience for registration employees and the department as a whole.

### 4) Committee and Council work

In 2013 – 2014, the department will continue to work with the Finance and Resources Committee, the Education and Training Committee and Council. We will ensure that they are kept up-to-date with operational performance and changes to existing processes and the introduction of new processes.

### 5) Publications

The department is responsible for producing a number of publications, including the Continuing Professional Development (CPD) audit report, registration certificate, renewal form and the UK, international, grandparenting, readmission application forms and guidance notes. These documents are updated and reviewed regularly.

The table in Appendix two details the Registration Department's core activities together with details of which item on the risk register they mitigate.

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2013-03-01	a	OPS	PPR	Registration Work plan	Draft DD: None	Public RD: None

## Achieving the Registration Department objectives 2013 – 2014

We have identified a number of objectives that will require action and completion in 2013 – 2014.

### Registration Objective – Improve quality of service

Customer service is an important aspect of any organisation. The Registration Department will continue to build upon the foundations already in place and improve the service we deliver by ensuring that we:

- 1) conduct, deliver and review the quality checks programme providing Registration Advisors with individual feedback in regular 1 to 1 meetings and enabling the department to identify any recurring process failures;
- 2) conduct, deliver and review the call monitoring process to deliver individual feedback to Registration Advisors;
- 3) continue to facilitate a customer research programme to:
  - gain an in-depth insight into the overall customer service experience from a registrant viewpoint;
  - gain qualitative feedback on call handling quality;
  - have a clear basis for making decisions about future service developments;
  - deliver improvements identified.

### Registration Objective – Effective capacity planning

To ensure that we effectively plan the use of our resources we will:

- 1) continue to develop our capacity planning process to accurately forecast workload.

### Registration Objective – Continue to improve application verification checks

It is incumbent upon us to ensure the integrity of our Register, including improving how we prevent fraudulent or erroneous entry to the Register. We already have processes in place for checking qualifications, identity and professional standing.

We will aim to continue to improve our verification process by:

- 1) undertaking further work to investigate the possibility of requesting all applicants from overseas, apart from those seeking to exercise mutual recognition rights under the EC Professional Qualification Directive, to attend HCPC's offices with original identity and qualification documents and reduce the risk of exposure to identity theft and fraud;
- 2) enhancing our verification database by continuing to store examples of valid worldwide competent authority contact details, education institution details and verification documentation.

### **Registration Objective – Employee development**

Our employee development policy aims to ensure that we place the right people in the right role and we invest in their recruitment, training and development by:

- 1) arranging for all registration employees to gain an accredited customer service qualification;
- 2) developing customer service training to improve skills to deal with more challenging situations;
- 3) developing and delivering the long term training plan;
- 4) continuing to review and develop the online learning management system which enables the Registration Department to deliver its training online;
- 5) continuing to cross train all Registration Advisors.

### **Registration Objective – Develop external relationships with suppliers**

The Registration Department is reliant on a number of key suppliers in order to deliver and improve the service that it delivers. The department needs to continue to develop good working partnerships with these suppliers to ensure a seamless and improved service is delivered in a cost effective manner. The department needs to ensure:

- 1) Europa Quality Print UK Ltd print all registration renewal forms, registration application forms, some publication material, letters and registrant certificates effectively and efficiently. A formal tender process will be undertaken for all the Registration Department's printing requirements during this financial year;
- 2) Alternative Networks provide effective technical maintenance support for the Registration Department's telephony system and provide recommendations on how we can utilise our existing technology more effectively;
- 3) Sevicepoint scan and copy all registration renewal and application forms effectively and efficiently.

## Registration Objective - Manage projects within agreed timescales

The following part of the document provides a summary of the projects that are planned or anticipated to be undertaken in the financial year 2013 - 2014. The project delivery timescales are driven by resource constraints (both internal and external), legislative deadlines, business need and government decisions. The Registration Department is heavily impacted by these factors and its work priority may change. This may impact the planned project work outlined in this document.

Currently the following projects are planned to be resourced over the coming financial year:

- 1) **Annotation of the Register** - Project dealing with amendments to the NetRegulate system and Register to allow annotations to be managed and recorded to meet statutory requirements;
- 2) **NetRegulate changes** – Project dealing with implementing a number of minor improvements to the NetRegulate system;
- 3) **HR and Partners systems and process review phase 1** - Reviewing the HR / Partner Departments processes and systems, identifying requirements for replacement processes and systems and identifying third party suppliers;
- 4) **Professional indemnity** – Project to amend operational practices to ensure registrants have suitable professional indemnity insurance in place;
- 5) **Registration system and process review phase 1** – Completing a full review of the Registration Department processes and systems;
- 6) **Finance systems review phase 1** – Undertaking a review of some of the Finance Departments systems, identifying requirements for replacement systems and identifying third party suppliers;
- 7) **Online renewals review and change of payment provider** – Making improvements to the Online Portal and changing our payment provider;
- 8) **InFocus** – Developing an improved managed list of HCPC InFocus subscribers providing greater flexibility and communication options;
- 9) **HR and Partners systems build** – Depending on the outcomes of the HR and Partners systems and process review phase 1, building and deploying new system(s) for the HR and Partner Departments;
- 10) **Fees review** - Undertaking a review of registrant fees and potentially entering into consultation with registrants. Subsequently communicating any changes to registrants and making necessary technology changes.

The table in Appendix three sets out the Registration Department's day to day activities in the delivery of the registration objectives.

## Priorities 2014 – 2015

2014 – 2015 will be a year in which we continue to undertake our established activities and improve our processes and service delivery. Taking on new professions that are anticipated up to 2014 such as herbal practitioners will have a significant impact on the workload of the Registration Department.

The Registration Department will continue with the Registration system and process review to implement long term strategic changes and develop a system replacement.

Although currently unknown the government may require HCPC to regulate additional groups as a result of the Mid-Staffordshire investigation and other government reviews.

## Registration Department activities in 2012 - 2013

It would be useful to review the activities contained in the work plan which was submitted one year ago as part of the background which has formed the basis of this new work plan. Six objectives were set and the progress of each is detailed below:

### Registration Objective – Improve quality of service

- 1) This objective was met. A quality checks programme was in operation with call monitoring, application entry and renewal processing checks undertaken and feedback given to Registration Advisors. A Registration Department satisfaction survey was conducted which provided an in depth insight into the overall service experience from a registrant viewpoint. The survey feedback identified initiatives to improve call handling consistency, change the automated telephone voice responses, review the standard letter and email suites.

### Registration Objective – Effective capacity planning

This objective was met. Specialist contact centre planning training has enabled the development of the capacity planning process. This has enabled the Registration Department to deliver improved performance over the past twelve months and effectively plan for the extra workload which resulted from the transfer of the regulation of social workers.

### Registration Objective – Deliver application verification checks

This objective was met. Over the last year we have continued to focus on verifying the identity, qualifications and registration of international applicants. Some activities are outlined below:

- The possibility of requesting all applicants from overseas to attend HCPC's offices with original identity and qualification documents has been investigated and further work will be undertaken during the forthcoming year;
- The Registration Department has continued to populate the verification database by continuing to store examples of valid worldwide competent authority contact details, educational institutions and verification documentation;
- NHS Protect have withdrawn the availability of the fraud measurement service following a restructure of the organisation. As a result there have been no further fraud measurement exercises undertaken in 2012 – 2013.

## Registration Objective – Employee development

This objective was met. All new registration employees have had the opportunity to gain an accredited customer service qualification. There is a long term training plan in place to ensure that we continue to cross train all registration employees. An online learning management system is now available. There were also a number of internal promotions within the department during the year including the appointment of a dedicated Registration Trainer who will co-ordinate and deliver the training.

## Registration Objective – Develop external relationships with suppliers

This objective was met. The department has developed close partnerships with its key suppliers.

## Registration Objective – Manage projects within agreed timescales

The progress the department made against each of the planned projects in 2012 – 2013 is detailed below:

- 1) **General Social Care Council (GSCC)** – The project was delivered;
- 2) **Practitioners of herbal medicine and traditional Chinese medicine** – This project has not yet commenced;
- 3) **Automated readmissions** - This project was delivered;
- 4) **New name project** - This project was delivered.

## Appendix one – Registration Department processes and service standards

Process	Service standards 2013 – 2014
UK applications	Ten working days processing
Readmissions	Ten working days processing
International / EEA applications	Processed within 65 working days of receipt of all documents
Grandparenting applications	Processed within 65 working days of receipt of all documents
Continuing Professional Development (CPD) audits for the following professions in 2013 / 2014: <ul style="list-style-type: none"> <li>• physiotherapists;</li> <li>• arts therapists;</li> <li>• radiographers;</li> <li>• biomedical scientists;</li> <li>• occupational therapists;</li> <li>• speech and language therapists;</li> <li>• clinical scientists;</li> <li>• prosthetists / orthotists;</li> <li>• paramedics;</li> <li>• orthoptists;</li> <li>• practitioner psychologists.</li> </ul>	Processed within 65 working days of receipt of all documents
Renewal batch letters sent on time for the following professions in 2013 / 2014: <ul style="list-style-type: none"> <li>• physiotherapists;</li> <li>• arts therapists;</li> <li>• radiographers;</li> <li>• biomedical scientists;</li> <li>• occupational therapists;</li> <li>• speech and language therapists;</li> <li>• clinical scientists;</li> <li>• prosthetists / orthotists;</li> <li>• paramedics;</li> <li>• orthoptists;</li> <li>• practitioner psychologists.</li> </ul>	Renewal notices sent on publicly published renewal dates
Renewal cycle batch processing	Complete renewal (lapsing) process run within five working days of publicly published dates
Written complaints	15 working days response
Emails	Two working days response
Telephone call answering	80% of calls answered within 30 seconds
Process equality and diversity data for new applicants to the Register	Ten working days processing

## Appendix two Registration Department activities table 2013 – 2014

The table below sets out the Registration Department's core activities.

Activity	Mitigate risk register item	Start date	Completion date	Lead
Manage the Registration Department's main operational processes within service standards	2.3, 1.5, 10.1, 10.4	1 April 2013	Ongoing	RH,CH,AL,CF,JW
Partner assessor recruitment, selection and training	6.1	1 April 2013	Ongoing	CF,AL,JW
Information systems enhancements and revisions	10.1	1 April 2013	Ongoing	RH,CH,AL,CF,JW
Liaison with stakeholders	3.2	1 April 2013	Ongoing	RH,CH,AL,CF,JW
Committee and Council work	4.1	1 April 2013	Ongoing	RH,CH,AL,CF,JW
Improve Registration Department publications	10.5, 1.5	1 April 2013	Ongoing	RH,CH,AL,CF,JW

### Key

RH - Richard Houghton  
 CH - Claire Harkin  
 AL – Anna Lubasinska  
 CF – Christopher French  
 JW – James Wilson

## Appendix three Registration Department objectives table 2013 – 2014

The table below sets out the Registration Department's objectives.

Objective	Activity	Mitigate risk register item	Start date	Completion date	Lead
Improve quality of service	1) Conduct, deliver and review the quality checks programme providing Registration Advisors with individual feedback in regular 1 to 1 meetings and enabling the department to identify any recurring process failures;	10.5	1 April 2013	Ongoing	CH,AL, CF,JW
	2) Conduct, deliver and review the call monitoring process to deliver individual feedback to Registration Advisors;	10.1	1 June 2013	Ongoing	CH,AL, CF,JW
	3) Continue to facilitate a customer research programme to; <ul style="list-style-type: none"> <li>• gain an in-depth insight into the overall customer service experience from a registrant viewpoint;</li> <li>• gain qualitative feedback on call handling quality;</li> <li>• have a clear basis for making decisions about future service developments;</li> <li>• deliver improvements identified.</li> </ul>	10.1	1 April 2013	Ongoing	RH

Objective	Activity	Mitigate risk register item	Start date	Completion date	Lead
Effective capacity planning	1) Continue to develop our capacity planning process to accurately forecast workload.	10.1, 10.4	1 April 2013	Ongoing	RH
Continue to improve application verification checks	1) Undertaking further work to investigate the possibility of requesting all applicants from overseas, apart from those seeking to exercise mutual recognition rights under the EC Professional Qualification Directive, to attend HCPC's offices with original identity and qualification documents and reduce the risk of exposure to identity theft and fraud;	10.3	1 April 2013	31 March 2014	RH,AL,CF
	2) Enhancing our verification database by continuing to store examples of valid worldwide competent authority contact details, educational institutions and verification documentation.	10.3	1 April 2013	31 March 2014	RH,AL,CF

Objective	Activity	Mitigate risk register item	Start date	Completion date	Lead
Employee development	1) Arranging for all registration employees to gain a customer service qualification;	11.4	1 April 2013	Ongoing	RH
	2) Developing customer service training to improve skills to deal with more challenging situations;	11.4	1 April 2013	Ongoing	CH,AL,CF,JW
	3) Developing and delivering the long term training plan;	11.4	1 April 2013	Ongoing	CH,AL,CF,JW
	4) Continuing to review and develop the online learning management system which enables the Registration Department to deliver its training online;	11.4	1 April 2013	Ongoing	CH,AL,CF,JW
	5) Continuing to cross train all registration employees.	11.4	1 April 2013	Ongoing	CH,AL,CF,JW

Objective	Activity	Mitigate risk register item	Start date	Completion date	Lead
Develop external relationships with suppliers	1) Europa print all registration renewal forms, registration application forms, publication material, letters and registrant certificates effectively. A formal tender process will be undertaken for all the Registration Department printing requirements during this financial year;	10.1, 1.5	1 April 2013	Ongoing	CH
	2) Alternative Networks provide effective technical maintenance support for the Registration Department's telephony system and provide recommendations on how we can utilise our existing technology more effectively;	2.10	1 April 2013	Ongoing	RH
	3) Servicepoint scan and copy all registration renewal and application forms effectively and efficiently.	10.1	1 April 2013	Ongoing	CH, AL, CF, JW
Manage projects within agreed timescales	1) Annotation of the Register;	8.2	1 April 2013	31 August 2013	RH
	2) NetRegulate changes;	2.3	1 April 2013	31 January 2014	CH
	3) HR / Partners systems review phase 1;	2.3	1 April 2013	31 December 2013	AL
	4) Professional indemnity;	10.5	1 April 2013	31 March 2014	JW
	5) Registration system and process review phase 1;	1.5, 2.3, 10.1, 10.4	1 October 2013	31 March 2014	RH
	6) Finance systems review phase 1;	1.5, 2.3	1 January 2014	31 March 2014	CH
	7) Online renewals review and change of payment provider;	1.5, 2.3, 10.1	1 October 2013	31 March 2014	CH
	8) InFocus;	3.2, 1.5	1 April 2013	30 September 2013	CF

Objective	Activity	Mitigate risk register item	Start date	Completion date	Lead
Manage projects within agreed timescales	9) HR and Partners systems build; 10) Fees Review.	2.3 15.1	1 January 2014 1 April 2013	31 March 2014 31 March 2014	AL CF

## Appendix four Risk Register risk items mitigated by the Registration Department

Risk Register item reference	Description
1.5	Loss of reputation
1.6	Failure to abide by current equality and diversity legislation
2.3	Unacceptable service standards
2.10	Telephone system failure causing protracted service outage
3.2	Loss of support from key stake holders
4.1	Council inability to make decisions
6.1	Inability to recruit and / or retain suitable partners
6.5	Incorrect interpretation of HSWPO in use of partners
8.2	Failure to regulate a new profession or a post-registration qualification as stipulated by legislation
8.12	Failure to successfully open the Social Worker Register
10.1	Customer service failures
10.2	Protracted service outage following a NetRegulate registration system failure
10.3	Inability to detect fraudulent applications
10.4	Backlog of registration applications
10.5	Mistake in the registration process leading to liability for compensation to registrant or applicant
11.4	Lack of technical and managerial skills to deliver the strategy
15.1	Insufficient cash to meet commitments
18.1	CPD processes not effective