

Fitness to Practise Committee - 16 February 2011

Fitness to Practise Department Work plan 2011-12

Executive summary and recommendations

Introduction

The attached document sets out the Fitness to Practise work plan for 2011-12. Also attached to this paper as an appendix is a progress report on the 2010-11 work plan, an update as to the work that has taken place with respect to the expectations of complainants project, the fitness to practise operating guidance index, the risk register as it relates to the fitness to practise department.

Decision

The Committee is asked to discuss and approve the attached work plan.

Background information

Due to the nature of the work of the Fitness to Practise department, departmental planning allows for timely responses to unpredictable situations (such as High Court cases and allegations which require interim orders) when they arise.

Resource implications

The resource implications from the work plan for 2011-12 have been accounted for in the 2011-12.

Financial implications

The financial implications from the work plan for 2011-12 have been accounted for in the 2011-12 budget.

Appendices

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Appendix 2 2010-11 Fitness to Practise department work plan update
Appendix 3 Expectations of Complainants work plan update
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Appendix 5 Fitness to Practise Forecast Model
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Date of paper

4 February 2011

Fitness to Practise Workplan 2011-12

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Introduction

This document sets out the resources, responsibilities and priorities for the financial year April-March 2011-2012. It addresses how the Fitness to Practise department will grow, develop, improve and progress and provides a basis against which the work of the Fitness to Practise department can be planned and measured.

As in previous years, the Fitness to Practise department due to the nature of its work will also have to manage high profile cases which will attract media interest, respond to High Court appeals and manage allegations which require an interim order. It is important that departmental planning allows for timely responses to unpredictable situations when they arise.

Resources

Human Resources

It is anticipated that the fitness to practise directorate will increase from a permanent headcount of 40 employees in 2010-2011 (budget for 41) to a permanent headcount of 43 employees in 2011-12

Kelly Johnson	Director of Fitness to Practise
Salma Begum	PA to the Director of Fitness to Practise
Vacancy	Compliance Officer

Case Management

Eve Seall	Head of Case Management
Zoe Maguire	Investigations Manager

Sabrina Adams	Lead Case Manager
Emily Furse	Lead Case Manager
Ciara O'Dwyer	Lead Case Manager
Paul Robson	Lead Case Manager

Bahar Alaeddini	Case Manager
Nafeesah Aumeerally	Case Manager
Andre Bourne	Case Manager
Rachel Bull	Case Manager
Siobhan Carson	Case Manager
Rodney Dennis	Case Manager
Cara Donald	Case Manager
Akua Dwomuh-Bonsu	Case Manager
Delwyn King	Case Manager
Lawrence CW Liu	Case Manager
Gareth Llewellyn	Case Manager
Joanna Power	Case Manager
Alan Shilabeer	Case Manager
Simon Thompson	Case Manager
Sonia Victor- Alexander	Case Manager
Dominic Williams	Case Manager

James Malcolm	Case Support Officer
Corrado Palmas	Case Support Officer

Adjudication

Hearings Team

Alison Abodarham	Head of Adjudication
Vacancy	Hearings Manager
Jonathan Dillon	Lead Hearings Officer
Catherine Beevis	Hearings Officer
James Bryant	Hearings Officer
Jason Rowbottom	Hearings Officer
Kabir Siddiqui	Hearings Officer
Eleanor Wilson	Hearings Officer
Vacancy	Hearings Officer
Yinka Alalde	Scheduling Officer
Tamara Etmuze-Noble	Scheduling Officer
Melanie Harel	Scheduling Officer (Six Month Contract)
Deborah Olowule	Scheduling Officer

Administration Team

Jameel Anwar	Administration Manager
Petrina Baker	Team Administrator.
Cirene Chagas	Team Administrator
Gary Rope	Team Administrator

The Investigations Manager and Administration Manager report to the Head of Case Management. In 2011-2012 we will have 4 case teams, each led by a lead case manager reporting to the Investigations Manager. Those case teams will comprise of a mixture of case managers and a case support officer. Each case team reports to a lead case manager. The Head of Adjudication, Head of Case Management, Compliance Officer and PA to the Director of Fitness to Practise report to the Director of Fitness to Practise.

Financial Resources

It is anticipated that there will be a fitness to practise budget of approximately £7.5million.

Forecasting

This budget is based on an estimated 800 new allegations being received in 2011-2012 It is anticipated that case managers will manage approximately 1100 cases over the course of the financial year (this figure includes a carry over of cases from 2010-11).

It is anticipated that there will be approximately 900 days of hearing in 2011-2012 (comprising of full hearings, consent applications, interim orders, review hearings, investigating panels and registration appeal panels). It is anticipated that approximately 350 cases will be concluded in 2011-2012. The budget is based on hiring external venues outside of London 225 days per year as approximately 25 per cent of hearings are held in Northern Ireland, Scotland, Wales and other English venues every year.

The case forecasting model is attached to this document as appendix 5.

The budget estimate also includes CHRE and registrant appeals to the High Court, appeals against registration appeal decisions, protection of title field work and other tribunal related works. The costs of appeals that were made in previous financial years and but not concluded are also included in the 2011-2012 budget.

The budget is also predicated on fitness to practise case managers presenting interim orders, Article 30 review hearings, consent applications and some conviction FTP cases. Case Managers present all investigating panel and health and character cases to the investigating/registration panel.

Responsibilities

The Director of Fitness to Practise is responsible for the overall management of the team, the development and implementation of the strategy and work plan and the development and management of new projects. The Director of Fitness to Practise also has specific responsibilities as set out in the Scheme of Delegation.

The newly created post of compliance officer will handle freedom of information and subject access requests made with regards to the functions of the Fitness to Practise Department, perform review and analysis of data and case files for the purpose of disclosing information under a statutory duty, review information for disclosure under UK vetting and barring schemes and conduct audits of case files to ensure compliance with policies and processes.

Case Management

The Head of Case Management is responsible for HPC's Case Management function across the directorate's range of responsibilities. This includes the management, presentation and investigation of fitness to practise case, the investigation and management of protection of title offences and the management of registration appeals and health and character declarations. She manages the Investigations Manager and the Administration Manager.

The Investigations Manager has line management responsibility for the four Lead Case Managers. She oversees the case work undertaken by the department.

Case Teams

There will be four case teams within the directorate in 2011-2012 each managed by a lead case manager. Each lead case manager has management, auditing and project responsibilities. The lead case managers are managed by the Investigations Manager.

Case teams 1, 2 and 4 comprise of case managers who are responsible for the management and investigation of allegations and the presentation of fitness to practise cases and of case officers who provide case support to the case managers.

Case team 3 has responsibility for registration appeals, prosecution of offences, incorrect entry cases, conviction FTP cases and health and character cases.

Adjudication – Hearings Team

The Head of Adjudication manages the hearings team and she is responsible for the management of this team. She is also responsible for partners as they affect the work of the fitness to practise department. The Lead Hearings Officer is responsible for the day-to-day work allocation of the hearings team. This includes allocating resources and resolving issues that come up at hearings. They also reply to any requests for postponements or adjournments received in advance of hearings, (of which there were sixty requests in 2010-11).

A new post for 2011-12 is Hearings Manager. This post will have direct line management for the six Hearings Officers who are currently managed by the Head of Adjudication.

Hearings Officers are responsible for officering fitness to practise hearings including substantive cases, review of orders and interim orders. They undertake associated follow-up work after a hearing and help with some elements of HPC's witness support provisions as time in the office allows.

In 2011-12 there will be three full time scheduling officers will ensure a steady progress in the fixing of cases. They are responsible for the scheduling of all panels. A fourth officer has been appointed on a six month contract to enable the team to catch up with work missed due to protracted absences from the team in the last financial year.

Administration

The Administration Manager manages the team administrators and ensures that the necessary administrative support is provided to the department.

The Team Administrators provides support to the department across all of its activities. This includes hearing preparation, some elements of the witness support provisions, logging and tracking invoices and maintenance of the fitness to practise alerts system.

The PA to the Director of Fitness to Practise undertakes all diary management and secretarial duties for the Director.

Main Operational Processes

There are five main processes which generate the majority of the department's work. These are listed below. This work plan will be amended accordingly in line with increased operational requirements.

1. Fitness to Practise Allegations

The investigation of allegations to the effect that a registrant's fitness to practise is impaired and the management of cases through to their conclusion. This includes witness liaison, instructing lawyers and preparing and presenting cases at investigating, interim order, final and review stage.

2. Hearings Management

The organisation and scheduling of all fitness to practise and registration appeals hearings and all follow up work related to hearing outcomes

3. Health and Character Declarations management

The process by which HPC manages declarations from registrants and applicants on admission, readmission and renewal to the register and via the self-referrals process.

4. Prosecutions of Offences

The investigation and management of offences under Article 39 of the Health Professions Order 2001. This includes field investigation and prosecuting offences in the magistrates court.

5. Registration Appeals

The management of cases where an applicant or registrant has appealed against a registration decision.

Other Activities

There are a number of other areas and activities which support and affect the processes operated by the Fitness to Practise department. The following paragraphs summarise these activities.

1. Publications

A number of publications are produced by the fitness to practise team – ranging from the fitness to practise annual report and brochures explaining the processes, through to practice notes on interim orders and allegations, and other documents such as those explaining the registration appeals process. These documents are updated and reviewed regularly.

2. Website

The department is responsible for information provided on the HPC website regarding fitness to practise hearings as well as the information online about the fitness to practise and protection of title processes.

3. Panel recruitment, selection and training

In 2011-12 the department will work with the Partners Team to appoint, reappoint, train and appraise panel members, panel chairs and legal assessors. There are currently nearly 250 partners involved in fitness to practise proceedings.

Review days will take place for Legal Assessors and Panel chairs. These review days are used to update legal assessors and panel chairs on regulatory law updates, provide feedback on CHRE learning points and look at ways to improve decision making.

The department will continue to design and deliver the training of all new panel members, including two day training sessions for all new panel members, and the ongoing programme of refresher training for existing partners. We will continue to send quarterly updates to all partners in the form of a newsletter on the work of the department and other relevant updates.

4. Committee Work

We will continue to work with the Fitness to Practise Committee, Education and Training Committee, Finance and Resources Committee and Council as appropriate.

5. Liaison with stakeholders

We will continue to work with all stakeholders (including employers of registrants) to improve understanding and accessibility and feedback trends that have arisen out of fitness to practise cases. The department will continue to support the Communications department with representation at conferences and employer events and will continue to present to relevant stakeholders on the fitness to practise

process. We will continue to be involved in advisory groups (such as those run by CHRE and the Department of Health) and quarterly meetings with Unions and Professional Body groups.

6. Transfer of new professions

We will work to ensure the effective and efficient handover of conduct cases from the General Social Care Council

7. High Court cases

We will continue to manage high court cases – this includes both cases when registrants appeal the decision to find their fitness to practise impaired and/or impose a sanction and when CHRE refer a case in accordance with Section 29(4) of the National Health Service Reform and Health Care Professions Act 2002. We will ensure that we disseminate outcomes as appropriate and make any necessary changes or improvement to fitness to practise processes.

8. Supplier Management

We will closely manage our relationship with all our key suppliers, including keeping under review our contracts and service level agreements with these suppliers. We will also review the arrangements that are in place with transcribers and the cancellation policy for partners who act as panel members, chairs and legal assessors at fitness to practise proceedings

9. Major Projects

Members of the fitness to practise department will also contribute to and be on the project team for the following major projects:

- Fitness to Practise Case Management System
- Transfer of the regulatory functions of the General Social Care Council
- Partner systems review
- Finance system upgrade
- Implementation of the requirements of the vetting and barring schemes

10. Other

We will work with the Registrations department to ensure that common areas of work are effectively managed.

We will also ensure that we have the resources to meet the demands of the third CHRE audit of the initial stages of the fitness to practise process which will take place in December 2011. We will also review the learning from the first and second audit in continuing review of our processes and procedures.

We will also work with policy and standards department in responses to consultations, the CHRE performance review and in providing statistical information for research and work that that department is undertaking.

We will also continue with reviewing cases to determine whether a referral to the ISA or Barring Board is necessary and respond to requests for information from those organisations as appropriate.

Achieving the Fitness to Practise Department Objectives 2011-2012

The headline objectives for 2011-2012 are broadly the same as previous years but with different tasks to meet the objectives. Those objectives are as follows:

- **Ensure accessibility and improve communication and information provision** – we will continue to look at ways in which we can ensure that all stakeholders that come into contact with any element of the work of the Fitness to Practise Department receive a high quality of information and service.
- **Effective Management and Development of Legislative and New Operational requirements** – There are a number of legislative and operational projects and developments which will require the input, involvement and leadership of the fitness to practise department in 2011-2012. We will endeavour to ensure that those projects and developments are managed within agreed timescales. This also includes contributing and leading on any work as it relates to the implementation of alternative dispute resolution at the HPC.
- **Consistent and effective decision making** – We will endeavour to continue to improve the quality, consistency and effectiveness of decision making, both by panels and members of the department.
- **Ensure processes and procedures are working to their best effect** – We will continue review our way of working to ensure we meet the HPC's goal to ensure public protection whilst balancing the human rights of registrants.
- **Ensure effective management or resources** – We will undertake further activities to ensure we manage effectively the resources in place to support the work of the department.
- **Ensure effective management or risk** – The Fitness to practise directorate manages a number of risks in relation to its functions. We will ensure we will continue to manage these risks appropriately.

Equality and Diversity Impact Assessment

We will ensure that as we complete our work plan and review the policies and procedures that are in place, we will ensure we will take into account any issues that could have an adverse impact and mitigate against this.

We will continue to aim to improve accessibility to the fitness to practise process.

Fitness to Practice Activities Table 2011-2012

Ensure accessibility and improve communication and information provision

Activity	Rationale	Description	Timescale	Role(s) responsible
Easy Read brochure	Ensure accessibility of the FTP process	Consider further development of easy read material to explain further elements of the fitness to practise process	October 2011 – April 2012	Head of Case Management
Fitness to Practise Annual Report	Legislative requirement	Production of 2011-2012 Fitness to Practise Annual Report	April – June 2011 – write report	Investigations Manager

Activity	Rationale	Description	Timescale	Role(s) responsible
			June 2011 – seek committee approval July 2011– seek Council approval September 2011 - publish	
Practice Notes	Aid to all parties that are involved in fitness to practise proceedings and ensure HPC proceedings remain open and transparent to all parties	Ensure all practice notes are kept up to date, remain fit for purpose and take account of relevant High Court or Court of Appeal Decisions Produce a practice note to set out the procedure to be adopted when an application is made to refer a case from the Conduct and Competence Committee to the Health Committee.	Ongoing June 2010	Director of Fitness to Practise
Attendance at Employer events	Ensure awareness of how the fitness to practise process works	Attend and participate in the continuing series of employer events	July – November 2011	All

Effective Management and Development of Legislative and New Operational requirements

Activity	Rationale	Description	Timescale	Role(s) responsible
Implementation of an integrated case management system	Ensure HPC is able to continue to effectively manage all types of cases and hearing	<ul style="list-style-type: none"> - Complete User Acceptance Testing - Migrate data and integrate - Write training manual - Train users 	June 2009 – September 2011	Director of Fitness to Practise
Transfer of the General Social Care Council	Legislative requirement	Effective transfer of cases from the remit of the General Social Care Council to the HPC	September 2010 – April 2012	Director of Fitness to Practise
Implementation of the requirements of the Protection of Vulnerable Groups and Safeguarding Vulnerable Groups act	Legislative requirement	<p>Ensure HPC systems can capture and record barring numbers</p> <p>Review process of referring cases to the appropriate scheme</p> <p>Ensure resources allocated to referring cases to the scheme(s)</p>	Ongoing	<p>Head of Case Management</p> <p>Director of Fitness to Practise</p>
Review the approach the FTP team take towards Freedom of Information Act and Data Protection Act requests including evidence management	Increasing number of requests	Ensure the department has a clear and consistent approach to the management of such requests and ensure evidence is managed in accordance with those principals	April – July 2011	Director of Fitness to Practise

Consistent and effective decision making

Activity	Rationale	Description	Timescale	Role(s) responsible
Panel Chair, Legal Assessor and Panel Member review and training days	Ensure effective decision making and that information is properly disseminated	Prepare and present review and training days for FTP partners	Ongoing	Head of Adjudication, Head of Case Management, Director of Fitness to Practise
Monitor updates in regulatory law	Ensure processes and polices accurately reflect changes in the law	Monitor updates in regulatory law to ensure that HPC policies and procedures properly reflect any relevant regulatory case law	Ongoing	Director of Fitness to Practise
Quarterly newsletter for fitness to practise partners	Ensure effective decision making and that information is appropriately disseminated	Send out a quarterly newsletter to fitness to practise partners providing them with information on new practice notes, regulatory case law and CHRE learning points	Ongoing	Head of Adjudication
CHRE learning points	Ensure cases are appropriately managed and that decisions are well reasoned	Feedback learning points from CHRE's review of the initial stages of fitness to practise decision making and from their Section 29 role to improve HPC's processes and procedures and to improve decision making	Ongoing	Director of Fitness to Practise
Qualitative review of decisions	Ensure effective decisions and feedback any learning from this into policy documents and feedback for stakeholders	Feedback learning from decisions to registrants and stakeholders and relevant policy documents and ensure decisions are of a high quality	Ongoing	Director of Policy and Standards, Director of Fitness to Practise
Review not well	Ensure effective decision	Ensure that training for partners is effective	Ongoing	Head of

Activity	Rationale	Description	Timescale	Role(s) responsible
founded decisions	making at ICP and final hearing stages	in relation to the case to answer test and substantive decision making. Feedback will be fed into training sessions and learning points added to the quarterly newsletter		Adjudication, Hearings Manager
Adjourned/Postponed hearings	Ensure decision making and scheduling process working effectively	Ensure that the scheduling process is being followed properly and exploring ways to avoid delaying hearings wherever possible.	Ongoing	Head of Adjudication, Hearings Manager

Ensure processes and procedures are working to their best effect;

Activity	Rationale	Description	Timescale	Role(s) responsible
Alternative methods to resolve complaints/ disputes	As agreed by Committee in October 2010	Work with the policy and standards department to further consider alternative mechanisms to resolve of complaints/ allegations including: <ul style="list-style-type: none"> - Longitudinal study - Analysis of costs and resources - Analysis of cases where it may be appropriate - Commission external research 	February 2011 – October 2011	Director of Fitness to Practise Director of Policy and Standards
Review Investigating Committee decision making approach	Ensure efficiency and effectiveness of processes	Consider the appropriateness and the operational processes required to implement “telephone” ICP’s	April 2011	Head of Case Management
Review and update approach taken to confidentiality and data security	Ensure the department appropriately managing data issues and security issues as they relate to the fitness to practise department	Provide further guidance and train the team on data security and confidentiality issues.	April – May 2011	Investigations Manager and Administration Manager
Implement new decision making template for final hearing	Ensure decisions making process if duly followed by panels	Introduce a pro-forma for panels to be able to use when decision making to focus their minds and reduce the amount of time decision making takes. This will feed into the legal assessors’ drafting of the final decisions.	July 2011	Head of Adjudication, Hearings Manager
Operating Guidance and decision making templates	Ensure that all cases are managed appropriately	Produce operating guidance and templates as required to aid the work of FTP employees and ensure the effective	Ongoing	FTP Managers

Activity	Rationale	Description	Timescale	Role(s) responsible
		management of cases and undertake regular review in accordance with the FOG schedule of guidance provided to the FTP team.		
Review of health and character cases	To review the nature and outcomes of health and character declarations made on admission, readmission and renewal and ensure the process is operating effectively	Review cases managed since the previous review and report findings to the Education and Training Committee in September 2011	September 2011	Head of Case Management / Investigations Manager

Ensure Effective Management of Resources

Activity	Rationale	Description	Timescale	Role(s) responsible
Ongoing recruitment of partners	A number of partner contracts are due to expiry by April 2015 after which date certain panel members will no longer be eligible to be a HPC partner	Undertake an exercise to reappoint (or not) existing panel members Ongoing exercise to recruit partners due to natural wastage and need	Ongoing	Head of Adjudication Hearings Manager
Review "human resources" within the FTP department	Ensure that resources are managed to their best effect	Undertake a review to ensure work is appropriately managed in situations where there is an unanticipated increase in workload or absence	April 2011	Director of Fitness to Practise
Ongoing Skills audit of the FTP team	Ensure that resources are being used to their best effect	Take steps to ensure that all members of the team are appropriately trained	Ongoing	Head of Adjudication and Head of Case Management
Operational Forecasting	As above	Ongoing forecasting of the number of cases and hearings that are expected	Ongoing	Director of Fitness to Practise
Budgetary Controls	As above	Ensure effective controls are in place to manage the fitness to practise budget	Ongoing	Director of Fitness to Practise

Fitness to Practise work plan update 2010-11

Ensure accessibility and improve communication and information provision

Activity	Start date	End date	Progress report
Expectations of Complainants	April 2010	December 2010	See separate appendix
Fitness to Practise Annual Report	April 2010	September 2010	The annual report was published on 14 September 2010
Practice Notes	Ongoing	Ongoing	<p>The Council approved new and updated practice notes on the following topics at its meetings in July and December 2010</p> <ul style="list-style-type: none"> - Review of Striking Off Orders: New Evidence and Article 30(7) - Conducting Hearings in Private - Finding that Fitness to Practise is “Impaired” - Case Management and Directions - Hearing venues - Discontinuance - Misuse of the HPC Collective mark - Assessors and Expert witnesses <p>The Fitness to Practise Committee will be asked to consider at its</p>

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Activity	Start date	End date	Progress report
			February 2011 new or updated practice notes on: <ul style="list-style-type: none"> - Disposal of cases via consent - Case to Answer - Case Management and Directions - Finding Fitness to Practise is "Impaired" - Drafting Decisions - Equal Treatment
Standard Letters review	April 2010	July 2010	A review of the standard letters used by the FTP department was undertaken over the course of the summer. A number of letters have been updated, created and as part of the Case Management system project, renamed.
Attendance at Employer Events	December 2010	March 2010	Five employer events are scheduled to take place in February and March 2011. A FTP representative will present and facilitate at these events. Members of the department have attended a range of other events. FTP provide 16 days of employee time to other events and exhibitions attended by the HPC.

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2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Effective Management and Development of Legislative and New Operational requirements

Activity	Start date	End date	Progress report
Implementation of Integrated case management system	March 2010	September 2011	See separate paper on FTP Committee agenda for February 2011
Transfer of the Hearing Aid Council	April 2010		<p>The transfer of the regulatory responsibility from the Hearing Aid Council took place as expected on 1 April 2010.</p> <p>Eleven cases were transferred to the HPC. Eight of those cases were within the remit of the Conduct and Competence Committee. Two had not yet been considered by an Investigating Committee and there was one case where the HPC equivalent of a suspension order had been imposed.</p> <p>Between April and December 2011 27 new allegations/enquiries were received regarding Hearing Aid Dispensers. Seventy per cent of those cases were from members of the public. Seventeen cases concerning HAD's have now been considered by HPC panels with the following decisions reached:</p> <p>Two case to answer decisions [out of 8 cases, one of which was referred back for further information]</p> <p>Four well founded decisions [out of nine cases, one was which was part heard]</p>

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2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Activity	Start date	End date	Progress report
			There have been no complaints about misuse of title and 1 about misuse of function. This amounts to 0.8 per cent of the total number of complaints received between April and December 2010.
Implementation of the requirements of the Protection of Vulnerable Groups and Safeguarding Vulnerable Groups Act	April 2010		<p>We are waiting for the review of the scope of the ISA scheme by the coalition government before we make any technology changes to Net Regulate. The Scottish Government have announced that PVG will go live after 28 February 2011 after which they will accept referrals to the scheme.</p> <p>A case manager within each case team within the Fitness to Practise directorate has been assigned as the ISA case manager within their respective case teams. This means that after reviewing relevant decisions they make recommendations as to whether a case should be referred to the ISA by the Director of Fitness to Practise. Case conferences take place every fortnight attended by the Director, Head of Case Management and ISA case managers where a decision is made by the Director as to whether to refer a case to ISA.</p> <p>As well as reviewing cases received considered by the HPC since October 2009, we have also undertaken a retrospective review of decisions (i.e before the scheme went live). In accordance with HPC's obligations under the scheme, we have referred 52 cases to the ISA (as at 17 January 2011). We have received notification of eleven barring decisions and have logged four new allegations regarding a barring decision.</p> <p>A further update will be provided to the Fitness to Practise Committee in June 2011.</p>
Review the approach the FTP team take towards	April 2010	July 2010	A new post for 2011-12 has been indentified. It is anticipated that the new role of Compliance Officer within the FTP department will deal

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2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Activity	Start date	End date	Progress report
Freedom of Information Act and Data Protection Act requests including evidence management			with all FOIA, DPA, ISA, PVG and audit matters as they relate to the department.
Partner systems review	April 2010	December 2010	This project has been put on hold
Revalidation	Ongoing	Ongoing	Data has been provided to the Policy team about fitness to practise cases where the case was well founded. This included data about profession, date of birth, gender, route to registration, location of the incident and employment status. The Policy Team are working on the analysis of this data with a consultant.

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2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Consistent and effective decision making

Activity	Start date	End date	Progress report
Work with the partner department to review the appraisal system used for panel members and panel chairs	April 2010	April 2011	Work on the appraisal tool was undertaken during August with the Partner department. The tool is now formatted in the same manner as the Education Partner appraisal tool. Appraisal themes have been reviewed and refreshed and the new form is now in use for future appraisals.
Panel Chair, Legal Assessor and Panel Member review and training days	Ongoing	Ongoing	Training for new partners and refresher training for existing partners has continued to take place. Training for new legal assessors took place in May 2010 with a review day for all legal assessors taking place in October 2010. Refresher training for panel chairs took place in April 2010. 146 partners have now received the second cycle of refresher training (over two sessions). The next batch of refresher training is scheduled for the next financial year.
Monitor updates in regulatory law	Ongoing	Ongoing	We continually monitor this to ensure changes are appropriately reflected in all of our documents. We also provide feedback from this to the legal assessors,
Quarterly newsletter for fitness to practise partners	April 2010	March 2011	A quarterly newsletter continues to be circulated to all FTP partners raising a range of issues, updates and areas of learning
CHRE learning points	Ongoing	Ongoing	As and when they are received, CHRE learning points (as appropriate) are provided in the FTP newsletter. The CHRE audit for of the initial stages of HPC's fitness to practise process took place in December 2010. We have now responded to CHRE's comments and

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2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Activity	Start date	End date	Progress report
			questions for clarification and now await the first draft of the report.
Qualitative review of decisions	Ongoing	Ongoing	The FTP Committee considered a review of final and review hearing decisions and case to answer decisions at its meeting in October 2010. The policy department have prepared a review of final and review hearing decisions reached between September and December 2010. The Committee also approved a number of recommendations for ongoing work from those papers.
Implement mechanisms to quality control decisions	Ongoing	Ongoing	This control mechanism has now been updated as per the commentary provided above. A new decision template has now been produced and is in use. It is hoped that this new template will aid in improving decision making and ensure clear information is provided to those who read such decisions.

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2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Ensure processes and procedures are working to their best effect

Activity	Start date	End date	Progress report
Alternative methods to resolve complaints/disputes	April 2010	December 2010	There is a paper on this subject on the FTP Committee agenda for February 2011.
Review occupational therapists health declarations	January 2011	March 2011	Work in this area is scheduled to begin in January 2011
Review mechanisms of dealing with drink drive or drug convictions	August 2010	March 2011	The FTP Committee considered at its me
Operating guidance and decision making templates	Ongoing	Ongoing	Operating Guidance on the following subjects have been produced: <ul style="list-style-type: none"> - Joinder - Consumer complaints - Instructing registrant assessors for ICP - Misuse of HPC logo - Protection of function offences - Attending ICP's - Case investigating reports - Discontinuance

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Activity	Start date	End date	Progress report
			<ul style="list-style-type: none"> - Instructing Medical Assessors - Vetting and barring <p>New/updated operating guidance and templates have been produced on</p> <ul style="list-style-type: none"> - Consent - Signposting - Taking complaints over the phone - Taking complaints in person - Protection of title offences - Skeleton Argument - Final hearing decision template - Review hearing decision template - Interim order decision template - Formulating allegation - Case handling and investigations - Health and character cases <p>The FOG index is provided as an appendix to this paper</p> <p>A number of revisions have been made to the Investigating Committee process. This includes a new decision template, new case investigation reports, an updated FOG and changed to the role of the ICP co-ordinator. A paper was provided to the FTP committee on the changes made at its October 2010 meeting.</p>

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Ensure Effective Management of Resources

Activity	Start date	End date	Progress report
Reappointment and Ongoing reappointment of partners	April 2010	July 2010	<p>FTP partners were required to undergo a reappointments exercise in order for their contracts to be extended (or not). This process was concluded in July 2010. We are reviewing our needs going forward given the requirement in the legislation that FTP partners are appointed for a maximum of 8 years (with the period of appointment for partners appointed before July 2007 to begin in July 2007).</p> <p>11 new legal assessors have been appointed and trained and are now being used.</p> <p>Recruitment for 15 new lay partners took place in October 2010. Training for those partners took place in November 2010 and those partners are now in use. Six Chiropodists and five Dietitian Partners were also recruited and trained due to insufficient numbers.</p> <p>Orthoptist Partners are currently being recruited for.</p>
Review “human resources” within the FTP department	April 2010	April 2010	<p>A newly created position of Investigations Manager was created this year. This post was filled by Zoe Maguire who is now responsible for the management of the lead case managers. We have also appointed two case support officers whose role it is to provide administrative support to the case managers. We have also appointed a scheduling officer on a six month contract to aid the hearings team in ensuring the efficient fixing of hearings.</p> <p>We anticipate recruiting for an extra hearing officer and the new posts of Compliance Officer and Hearings Manager in the next financial year.</p>
Ongoing skills audit of	Ongoing	Ongoing	A series of workshops have been organised for Case Managers and

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Activity	Start date	End date	Progress report
the FTP team			<p>Case Support Officers at which training on a specific areas of the process is given by Jonathan Bracken and the Lead Case Managers. Six have taken place since April, and a rolling cycle of training is planned on an ongoing basis. The topics covered are:</p> <ul style="list-style-type: none"> - Use of article 25(1) - Drafting allegations - Standard of acceptance for allegations - ICP decisions - Consent orders - Risk assessment and interim orders <p>Other training undertaken by members of the team includes:</p> <ul style="list-style-type: none"> - BTEC in investigative practice - Presenting with impact - Advocacy - Introduction to supervision and team leadership - Project management - Assertiveness and confidence - Microsoft Excel - PA skills - Health Professions Order - Time management - HPC management development programme <p>The Hearing Team have also attended a two day course on 'Assertiveness' at the end of September 2010. The Lead Hearings Officer and one Hearings Officer also attended the 'Presenting with Impact' course.</p> <p>Different members of the Hearing Team have also been to visit</p>

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Activity	Start date	End date	Progress report
			<p>suppliers for hearings and other regulator's proceedings to try to improve communication and look for ways to make efficiencies in our work where possible.</p> <p>On 11 October 2010 four Council Members attended a day with the department to provide more information about Council Members, their role and their particular profession. .</p>
Operational Forecasting	Ongoing	Ongoing	This is an ongoing area of work
Budgetary Controls	Ongoing	Ongoing	We have engaged Blake Laphorn to act on HPC's behalf to present ten fitness to practise cases. Contractual negotiations as to arrangements for the preparation and presentation of fitness to practise cases on HPC's behalf in 2011-12 have now been completed.

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2009-01-08	a	F2P	STRAT	Fitness to Practise Work plan update 2010-11	Draft DD: None	Internal RD: None

Update on expectations of complaints work

Activity	Timescale	Update
Review website information policy	May 2010	Paper and approach considered and agreed by Fitness to Practise Committee in June 2010
Review information provided on the website	April – December 2010	New and updated information was added to the HPC website in December 2010. It is anticipated that the audio visual presentation will be uploaded on to the website in late January/early February 2011.
Keep under review standard of acceptance for allegations	Ongoing	<p>Revised practice note approved by Council in May 2010.</p> <p>The document remains under review</p> <p>Revisions to the Health and Character policy were approved by the Education and Training Committee in November 2010. This means that self-referrals are been considered in accordance with the practice note on the standard of acceptance for allegations. If and when appropriate consideration will be made as to whether a case should be referred to the Investigating Committee under Article 22(6) of the Health Professions Order.</p>
Alternative mechanisms to resolve disputes	April – December 2010	<p>The Committee considered a literature review by Charlie Irvine from the University of Strathclyde at its meeting in October 2011.</p> <p>Further papers on mediation including a case analysis, a work plan update, research brief and the pros and cons are due to be considered by the Committee at its February 2011 meeting.</p> <p>The Committee considered a review of decisions by panels of the Investigating Committee at its October 2010 meeting.</p> <p>The Committee was provided with an update</p>

		on the use of “learning points” at its meeting in October 2010.
<p>Review and update Existing Publications and produce new publications where necessary</p> <ul style="list-style-type: none"> - The fitness to practise process: Information for employers - What happens if a complaint is made against me? - How to make a complaint about a health professional - Information for witnesses - Reporting a concern form 	April – September 2010	<p>Seminar took place on 3 June 2010 on the expectations of complainants research. This seminar also included reviewing a policy statement on the meaning of fitness to practise.</p> <p>Policy statement on fitness to practise approved by Council at its meeting in July 2010.</p> <p>New brochures published in October 2010.</p> <p>Referral forms updated and in use from October 2010</p>
<p>General review of relationship with employers including:</p> <ul style="list-style-type: none"> - a referral form for employers - self-referral form for registrants 	June – December 2010	<p>Referral forms updated and in use from October 2010.</p> <p>Report on the meetings that have taken place with Ambulance Trusts provided as a paper for the Committee meeting in October 2010</p> <p>Employer events taking place in February</p>
Standard letters review	April – July 2010	Case Management standard letters reviewed and updated
Hearings DVD	April – September 2010	Web information live in December 2010 with audio visual presentation due to go live in February 2011.
Annual review of witness and complainant feedback	February 2011	Form has been redesigned and included in the witness brochure. Forms also being distributed by reception when witnesses attend hearings at HPC

FTP Operational Guidance Index

The index below lists the all the operational guidance (FOGs) available to the fitness to practise team.

The documents have been grouped by the process to which they are most relevant. It should be noted, however, that a number of FOGs will be relevant to more that one process and should be applied where appropriate.

Subject	For	Summary	Link	Date of most recent version	Manager responsible
Initial enquiries and case management					
Miscellaneous cases	FTP	Information for case managers on how to deal with miscellaneous cases	FOG - MISCELLANEOUS CASES.doc	November 2009	Zoe Maguire
File Structure	FTP	How a file should be structured	FTP OPERATIONAL GUIDANCE FILE STRUCTURE.doc	November 2009	Emily Furse
Education complaints	Case Managers	Guidance on when FTP or education should pursue a complaint and information for complainants	FOG - EDUCATION COMPLAINTS.doc	September 2008	Ciara O'Dwyer
Watchlist	Fitness to practise department	Guidance on applicants who's fitness to practise has raised concerns prior to their entry to the register, or while their registration had lapsed.	FOG – Watchlist	June 2008	Paul Robson
Vexatious complaints	FTP	How to apply the frivolous, abusive and vexations complaints policy	FOG - VEXATIOUS COMPLAINTS.doc	July 2009	Emily Furse

Subject	For	Summary	Link	Date of most recent version	Manager responsible
Risk profiling	Managers/Case Officers	Guidance on how to perform a risk assessment and categorise allegations	FOG – RISK PROFILING	July 2008	Zoe Maguire
Psychologists Case Transfer	FTP	Information on the Psychologists Case Transfer	FOG -Transfer of PSYCHS.doc	June 2009	N/A
FTP case investigation					
Case handling and investigations	Case Managers/Case Officers	Guidance on general principles of investigating FTP concerns, contact with complainants and registrants	FOG - CASE HANDLING AND INVESTIGATIONS v3.DOC	November 2010	Sabrina Adams
Investigative Report Writing	Managers/Case Officers	Guidance on how to structure an investigative report.	FOG – INVESTIGATIVE REPORT WRITING	July 2008	Ciara O'Dwyer
Requiring disclosure of information	Managers/Case Officers		FOG – REQUIRING DISCLOSURE OF INFORMATION	July 2008	Ciara O'Dwyer
Taking complaints over the phone	FTP	Information for case managers on when it is appropriate to take complaints over the phone and the process for doing so. Includes telephone complaint template	FOG -TAKING COMPLAINT OVER TELEPHONE.doc	May 2010	Sabrina Adams
Taking complaints in person	FTP	Information for case managers on when it is appropriate to take complaints in person and the process for doing so.	FOG - TAKING COMPLAINT IN PERSON.doc	May 2010	Sabrina Adams
Instructing and Seeking Advice	Fitness to Practise Department	Guidance on instructing and when to seek advice	20080613aF2PPOLFT P- Operational Guidance - Instruction.doc	May 2010	Zoe Maguire

Subject	For	Summary	Link	Date of most recent version	Manager responsible
Instructing Registrant Assessors for ICP	FTP	Provides guidance to Case Managers on the procedure for instructing registrant assessors and seeking their advice to assist ICPs in making case to answer decisions	FOG - INSTRUCTING REGISTRANT ASSESSORS FOR ICP.doc	May 2010	Ciara O'Dwyer
Obs and ICP stage					
Three year Rule	Case Managers	Guidance on applying the 3 year role following a no case to answer decision at ICP	FOG – THREE YEAR RULE	November 2007	Sabrina Adams
Formulating allegations	Case Managers/Case Officers	Guidance on general principles of formulating allegations, advising registrants and closing cases	FOG - FORMULATING ALLEGATIONS v3.DOC	November 2010	Sabrina Adams
Case Investigation Reports	Case Managers	Guidance for Case Managers for completing Case Investigation reports for ICPs	FOG - CASE INVESTIGATION REPORTS.doc	August 2010	Emily Furse
Attending ICPs	Case Managers	Guidance for ICP co-ordinators (Case Managers) attending ICPs	FOG – ATTENDING ICPS.doc	August 2010	Ciara O'Dwyer
Post case to answer					
Disposal of cases by consent	Case Managers	Guidance on the process for the management of cases where consent may be appropriate	FOG - DISPOSAL OF CASES BY CONSENT v2.doc	September 2010	Ciara O'Dwyer
Joinder	Case Managers	Guidance for Case Managers as to the process to be applied when joining two or more fitness to practise cases at final hearing stage (this can apply pre case to answer)	FOG - JOINDER.doc	September 2010	Ciara O'Dwyer

Subject	For	Summary	Link	Date of most recent version	Manager responsible
Appointing medical assessors at final hearing	Case Managers	Guidance for Case Managers which applies to cases where a 'case to answer' decision in respect of a fitness to practise case has been made and applies to allegations which have been referred to either the Conduct and Competence Committee or Health Committee.	Post case to answer\FOG - APPOINTING MEDICAL ASSESSORS AT FINAL HEARING.doc	December 2010	TBC
Evidence					
Physical Evidence Management	Fitness to practise department	Guidance on how to handle documentary and real evidence.	FOG – PHYSICAL EVIDENCE MANAGEMENT	July 2008	Emily Furse
Obscene Image Storing	Fitness to practise department	Guidance on how to deal with pornographic or obscene images which are received during an investigation.	FOG – OBSCENE IMAGE STORING	October 2008	Emily Furse
General reference information					
Controlled substance	Case Managers	Guidance on controlled substances, prescription medicines and prescribing rights.	FOG - CONTROLLED SUBSTANCES	January 2010	Emily Furse
Binding Over and Discharge by Criminal Courts	Case Managers/Officers	Guidance on how to proceed with these types of cases	FOG - Binding Over and Discharge by Criminal Courts.doc	October 2008	Emily Furse
Police Station Paramedics	Case Managers	Guidance on paramedics performing duties in police custody	FOG - POLICE STATION	January 2010	Emily Furse

Subject	For	Summary	Link	Date of most recent version	Manager responsible
		suites	PARAMEDICS		
Witnesses					
Witness interviews	Managers/Case Officers	Guidance on how to undertake a risk assessment when organising interviews with witnesses.	FOG – WITNESS INTERVIEWS	July 2008	Sabrina Adams
Witness management	Fitness to practise department	Guidance on how to manage witnesses, especially vulnerable and intimidated witnesses	FOG – WITNESS MANAGEMENT	July 2008	Sabrina Adams
Witness statements	Managers/Case Officers	Guidance on how to obtain / structure a witness statement.	FOG – WITNESS STATEMENTS	July 2008	Sabrina Adams
HEARINGS					
Handling the purchase of religious books	Hearings team	Guidance on on purchasing and handling religious books	FOG - Handling and purchase of Religious books for FTP proceedings.doc	October 2009	Hearings
Risk Management for hearings	Hearings team	Guidance on assessing and managing risk in relation to public hearings	FOG - RISK MANAGEMENT FOR HEARINGS.docx	September 2008	Hearings
Sending late documents to panels and legal assessors	FTP department	Guidance to the whole team on timescales and methods of distributing information to panels at late notice	FOG - SENDING LATE DOCS TO PANELS AND LA.doc	December 2009	Hearings
Presenting Officer Guidance	Managers/Case Managers	Guidance on presenting Interim Orders and Article 30 Review Hearings	FOG - Presenting Officer guidance.doc	August 2008	Ciara O'Dwyer
Public or Private Hearings	FTP and Communications	Information on when we can disclose information to journalists	FOG - Public or Private Hearing.doc	February 2008	Hearings

Subject	For	Summary	Link	Date of most recent version	Manager responsible
	Department				
Adjournment Requests	Fitness to Practise Department	Guidance on the steps that should be taken when an adjournment request is made.	FOG - ADJOURNMENT REQUESTS.doc	July 2008	Hearings
Prosecution					
Protection of Title Offences	Managers/Case Officers	Guidance on the procedures to be followed when dealing with protection of title (POT) casework.	FOG - POT OFFENCES	June 2010	Paul Robson
POT field visits	Case Mangers	Guidance when conduction filed visits	FOG - POT FIELD VISITS.doc	January 2009	Paul Robson
Protection of Function	Case Managers	Guidance for dealing with complaints regarding protection of function in relation to Hearing Aid Dispensers	FOG – Protection of Function Offences.doc	June 2010	Paul Robson
Misuse of HPC logo	Case Managers	Information about the ways in which we deal with misuse of the HPC logo	FTP- MISUSE OF LOGO.doc	June 2010	Paul Robson
Heath and character					
Health and Character	Managers/Case Officers	Guidance on how to deal with health and character case work.	HEALTH AND CHARACTER	October 2010	Paul Robson
Registration Appeals					
Registration Appeals	Managers/Case Officers	Guidance on dealing with appeals of admission and re-admission on the registrar of refused registrants.	FOG - REGISTRATION APPEALS	May 2008	Paul Robson
Contact with other bodies					

Subject	For	Summary	Link	Date of most recent version	Manager responsible
Signposting	FTP	Information on where to direct people to if their query cannot be dealt with by HPC.	FOG - SIGNPOSTING.doc	August 2009	Paul Robson
Consumer complaints	FTP	Provides guidance to Case Managers regarding enquiries made to the Fitness to Practise Department that relate solely to consumer complaints. overview of the relevant consumer protection legislation.	FOG - CONSUMER COMPLAINTS.doc	April 2010	Paul Robson
Vetting and Barring referrals	Case Managers	Guidance on the requirements of the vetting and barring scheme and the process adopted by HPC	FOG - VBS REFERRALS Nov 2010.doc	November 2010	Eve Seall

*There was no quantitative data available on witness feedback in order to create a meaningful review.

	Forecast 2010 Forecast 2011-2012		
	2009-2010	2011	2012
Fitness to practise			
Allegations Received	772	838	791
Transfer Case Load			
Ongoing Case Load	390	390	276
Closed Cases (No ICP Panel)	164	209	181
Allegations Managed	1050	1228	1067
Cases Considered	499	697	640
Concluded at ICP	491	697	610
Referral rate	59%	53%	53%
Cases referred	291	369	323
Ongoing Case Load	240	240	210
Total Cases Instructed	476	609	563
Number of Outstanding Reviews	102	102	137
Concluded Cases	255	389	343
Adjourned/Part Heard	99	97	96
Review cases heard	95	95	137
Interim Order Panels	135	160	160
Total Days of Final Hearing	546	778	687
Total Days of Interim Orders	53	53	53
Total Days of Review Hearings	38	47	69
Days of ICP	78	80	80
Registration Appeals	6	10	11
Total All Hearings	721	968	899
Allegations Managed per year	1050	1228	1067
Post Case to Answer Work			
Review and consent Hearings presented in house	69	95	137
Interim Orders Presented	128	145	146
Conviction Cases	1	1	1
Witness Assessments	2	10	10
Witness Statements	0		
Workload (Days of case)	218	286	340
Review Hearings presentation and preparation	86	119	172
Interim Orders presentation and preparation	128	145	146
Conviction Cases presentation and preparation	2	2	2
Witness Assessments	2	20	20
Witness Statements	0	1	1
Working days per Case Manager	210	210	210
Case Managers required for presentation and preparation work	1	1	2
Carry Over of pre ICP	390	390	276
Cases to Panel per month	499	697	610
Increase in allocation of work per month(total)	32	27	23
Average length of case from receipt to ICP	6	6	6
Case Managers required for allegations management	15	15	15
Total Case Managers/Case Support Officers required	16	17	16
Lead Case Managers required	3	3	3
Working Days per Hearings Officer	210	210	210
Lieu per year per Hearings Officer	20	15	15
Days to Clerk per Hearings Officer		117	117
Days to fix per Scheduler		484	449
Hearings Officers required to clerk	6	8	7
Schedulers Required	2	2	2
Room K		179	179
Room J		210	210
Room D&G		164	164
Room D		65	65
Room G		65	65
Rooms at EA		100	100
Scotland, NI, Wales and other E		145	135
Shortage of Rooms		40	-19
POT			
Cases received	316	375	260
Carry over from previous year	103	51	51
Cases closed	316	366	251
Increase in cases per month			
Average open per month	58	70	70

Health and Character	Total cases managed	419	426	311	
	Cases received	698	740	738	
	Outstanding H&C case load (from previous year)	59	87	57	
	Cases closed	670	767	735	
	Average open per month	89			
	Total cases managed	757	827	795	
registration Appeals	Cases received	29	50	109	
	Outstanding Reg Appeal case load	29	10	10	
	Cases to appeal panel	38	50	50	
	Cases closed	29	50	50	
	Total cases managed	58	60	119	
Case Team Three requirements	Total Case Team 3 case load	1234	1313	1225	
	Cases per person per year (H&C, RA, POT)	309	328	306	
	FTP cases managed	40	41	41	
	COs required for case management	4	4	4	
	Attendance at reg appeals	6	0	0	
	Lieu days	3	3	3	
	Field work	10	10	10	
	Working days per Case manager	210	210	210	
	Case Managers required for other work		1	1	
	Total Case Managers required/Case Support	4	5	5	
	Lead Case Manager	1	1	1	
	Total Case Team 3	5	6	6	
	Administration Work	ICP bundles - (number of ICP days)	78	80	80
Final hearing bundles		354	486	439	
Review hearing bundles		95	95	137	
IO bundles		135	160	160	
Appeal Bundles					
Alerts lists - every 2 months		6	6	6	
Website updated - every 2 weeks		26	26	26	
Catering orders - once a week		52	52	52	
Transcripts handled		662	821	817	
Hearing prep		662	821	817	
Travel bookings (how many on average per hearing) - 10 per month		420	420	420	
FTP cases to log		772	838	791	
H&C cases to log		698	740	738	
POT cases to log		316	375	260	
RA cases to log		29	50	109	
Archiving - every 2 months		6	6	6	
Other general admin - calls, emails, assisting CMs (in hours)		210	210	210	
Invoicing		8016	9972	9932	
Admin time/people required		Bundle days	53	64	64
		Alerts lists days - every 2 months, 1/2 day per list	3	3	3
	Website updated days- every 2 weeks, 1 hour per week	0	0	0	
	Catering orders - 2 hour per week	15	15	15	
	Transcripts handled - 1 hour per week	24	29	29	
	Hearing prep - 30 mins per hearing	47	59	58	
	Travel bookings (how many on average per hearing) - 2 hours per booking	120	120	120	
	FTP cases to log - 1 hour	110	120	113	
	H&C cases to log - 30 mins	50	53	53	
	POT cases to log - 30 mins	23	27	19	
	RA cases to log - 30 mins	2	4	8	
	Archiving - every 2 months, 1 day	12	13	13	
	Other general admin - calls, emails, assisting CMs - 2.5 hours a day per person	90	90	90	
	Invoicing	267	332	331	
	Admin manager time	158	158	158	
	Total days	974	1087	1074	
	Total working days per administrator	210	210	210	
	Total people required	5	5	5	

THE HEALTH PROFESSIONS COUNCIL
RISK ASSESSMENT September 2010

Fitness to Practise

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations February 2010	Likelihood before mitigations February 2010	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation September 2010	RISK score after Mitigation February 2010
13	Fitness to Practise	13.1	Legal cost over-runs	FTP Director	4	4	16	Processes and strict arrangements with law firm suppliers	Professional Indemnity Insurance	Good process management for arranging hearings	Low	Low
			Links to 13.4, 15.2									
		13.3	Tribunal exceptional costs, FTP, Registrations and CPD Appeals	FTP Director	5	5	25	Quality of operational processes	Quality of legal advice	Legal insurance covering exceptional High Court and Judicial Review costs	High	High
		13.4	Rapid increase in the number of tribunals and resultant legal costs	FTP Director	3	3	9	Accurate and realistic budgeting	Resource planning	-	Low	Low
			Links to 13.1									
		13.5	Witness non-attendance	FTP Director	4	2	8	Vulnerable witness provisions in the legislation	Witness support programme	Witness summons	Low	Low
		13.6	Employee/Partner physical assault by Hearing attendees	FTP Director	5	5	25	Advice sought from the Police	Adequate facilities security	Periodic use of security contractors and other steps	Low	Low
		13.7	High Number of Registration Appeals	FTP Director & Director of Operations, Head of Registrations	3	5	15	Training and selection of Registration Assessors, so reasoned decisions are generated	Quality of operational processes	-	Low	Low

13.2 moved to 12.2