

Agenda Item 8 (ii)

Enclosure 5

**Health and Care Professions Council
06 December 2018**

Performance report

For discussion

**From Marc Seale, Chief Executive and
Registrar**

Council, 6 December 2018

Performance report

Executive summary and recommendations

Introduction

The performance report sets out key activities and progress across the organisation since the last meeting of Council.

It provides Council with information on key performance indicators, progress on the deliverables for our strategic priorities, financial information and data for the regulatory functions, HR and Quality Assurance.

Decision

The Council is requested to discuss the performance report.

Background information

The report has been developed based on feedback from Council, SMT and Heads of Department. Information has been refined, for example new KPIs for quality and timeliness for Fitness to Practise have been included.

We will continue to adapt this document based on feedback and organisational need.

Resource implications

Any resource implications outlined in the performance report are within the departmental workplans.

Financial implications

None

Appendices

Performance Report.

Date of paper

23 November 2018

Executive summary – 6 December 2018

1. Performance indicators

The following are some key updates to highlight to the Council

- **Fitness to practise timeliness** - the focus on targeting older cases and driving progression to a decision by an Investigating Committee Panel continues. There is a similar focus on concluding final hearing cases. We anticipate this will continue in Q4, however, there is evidence that the length of time it is taking to progress cases is reducing.
- **Education timeliness** - the median time for processing approval cases continues at 11 months. Similar to previous months, this is because providers are requesting visits be held outside of our service standard of 6 months, and a percentage requiring two submissions before approval. The commentary provides more detail.
- **Number of cases per case manager** – this figure has dropped to 49, compared to August and September (54) and is close to the optimum figure we have set at 45. This indicates the utilisation of the additional resource previously approved by Council is beginning to have a positive effect.
- **Employee voluntary turnover** - for the first time since January 2018, voluntary employee turnover has fallen to 22%. This is within the measure we have set.

2. Strategic priorities

The Council is requested to note the progress of key deliverables against the strategic priorities, specifically

- **Strategic priority 3**, and keeping our financial sustainability under review. The consultation on proposed changes to our registration fees continues. To date, we have received 1,300 responses. The consultation closes on 14 December, when we will analyse the responses for consideration at the February Council meeting
- **Strategic priority 3**, and the investment in processes and systems to improve stakeholder experience. Activity in this period has included the development and imminent launch of the new website, the introduction of paperless processes for annual monitoring and registration appeals; and the requirements analysis phase for the registration transformation project.

3. Finance

- The month 6 forecast indicates that for the full year, registration income will be on budget, and overall expenditure is forecast to be £294k above budget, this excludes the costs for the social worker transfer project which will be reimbursed by the Department of Education; it also includes the additional £500k approved by Council to support the FTP improvement plan. The forecast overall result, excluding any year end revaluation of buildings, and including other income and capital write-off is a deficit of £385k. The original budget for the year was a deficit of £95k. The forecast will be updated in January based on 9 months' actual figures.
- For the 7 months to 31 October 2018, income is on track, and operating expenditure is £187k / 0.3% under forecast.

4. Fitness to Practise improvement plan

The project is progressing to plan and Council will be receiving a separate detailed update in this meeting. Grant Thornton has completed their internal audit review and presented the final report to the Audit Committee at their November meeting.

5. Departmental reports

The following are some key activities for the Council's attention.

- **Education quality assurance review**

The Education and Training Committee (ETC) recently approved 'Reviewing education quality assurance', a proposal to review the fundamental principles of quality assurance for programmes leading to registration / annotation.

We are now forming a working group to conduct the first phase of the review. This will be comprised of Committee and Executive representatives, and representation from the Council of Deans of Health and their members, and a professional body with particular expertise in higher education quality assurance. Terms of reference have been agreed and a series of meetings will be held between December 2018 and March 2019.

Final proposals are scheduled for consideration by ETC in June 2019. At that time, the Committee will consider options around wider public consultation, including seeking further input from other key sector stakeholders.

- **Registration renewal for social workers in England and operating department practitioners**

At the start of September 2018 97,322 social workers in England and 13,773 operating department practitioners were invited to renew their registration.

As at the 22 November 2018, 80.8% of social workers in England and 89.2% of operating department practitioners had renewed their registration. We continue to focus our efforts on renewing these professions before the deadline of 30 November 2018

Council meeting, 6 December 2018

Performance report

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Key Performance Indicators

KEY PERFORMANCE INDICATORS DASHBOARD

TIMELINESS

Fitness to Practise

Measure	Median length of time from receipt of allegation to Investigating Committee Panel (ICP): 33 weeks								Period	September, October			
	Strategic priorities: 1 and 3												
Executive commentary	The focus on driving older cases to a decision by a panel of the Investigating Committee continues. As previously reported to Council, this KPI will continue to be exceeded until Q4 of the year, but is demonstrative that we are concluding the oldest open cases at this decision point. This level of performance is therefore expected.												
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	Weeks	58	54	56	63	63	53	67					
Measure	Median length of time from ICP to final Hearing: 39 weeks								Period	September, October			
	Strategic priorities: 1 and 3												
Executive commentary	There is a similar focus to conclude final hearing cases, including those that have previously adjourned, part heard. The KPI is also expected to remain at this level until Q4, whilst the improvement activities presented to Council take effect. As with the previous KPI, the level of performance provides evidence that the oldest cases are being successfully concluded.												
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	Weeks	54	57	51	55	64	53	53					
Measure	Median length of time from receipt to final hearing: 73 weeks								Period	September, October			
	Strategic priorities: 1 and 3												
Executive commentary	This KPI is a composite of the two previous KPIs, and again, demonstrates that the oldest cases are being successfully closed.												
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	Weeks	85	105	106	100	113	103	103					

Fitness to Practise (continued)

Measure	Median length of time of interim order cases from receipt to decision: 16 weeks								Period	September, October			
	Strategic priorities: 1 and 3												
Executive commentary	The KPI is within the expected range. September data shows a variance due to a smaller number of interim order applications (less than a third of those expected), of which three cases had new information as a result of conclusion of longstanding criminal or employer investigations that changed the risk.												
Year to data		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	Weeks	16	17	19	14	13	41	16					
Measure	Number of open pre-ICP cases (not including Rule 12 cases*): 1600 open cases by 31/3/19								Period	September, October			
	Strategic priorities: 1 and 3												
Executive commentary	The open caseload has remained stable for 3 consecutive months. A major factor is the number of newly received cases, but we are resourcing teams to match the new cases with those progressed to closure, in addition to focusing on the oldest. The open caseload is a key indicator of resource required, but there is evidence of the length of time reducing, with over 57% of the current caseload received since April 2018.												
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	Number	1721	1804	1867	1946	1936	1960	1939					

Registration

Measure	Median processing time for UK graduates: 10 working days								Period	September, October			
	Strategic priorities: 1 and 3												
Executive commentary	This indicator is in line with the optimum figure.												
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	Working days	5	4	6	8	10	10	7					
Measure	Median processing time for International applications (European Mutual Recognition): 60 working days								Period	September, October			
	Strategic priorities: 1 and 3												
Executive commentary	This indicator is in line with the optimum figure.												
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	Working days	55	56	64	55	40	42	49					

Registration (continued)

Measure	Median processing time for International applications (Non-European Mutual Recognition): 60 working days								Period	September, October				
	Strategic priorities: 1 and 3													
Executive commentary	This indicator is in line with the optimum figure.													
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Working days	51	51	67	45	41	35	49						

Education

Measure	Median time for processing approval cases from receipt to decision: 9 months								Period	September, October				
	Strategic priorities: 1 and 3													
Executive commentary	Contributory factors to exceeding the KPI during this period (and as a trend since July): education providers requested to schedule visits to be held, on average, around seven months after the initial request (this is normally around six months). The post visit process took around four months to complete on average (normally around three months), with 37 per cent of education providers requiring two submissions to meet conditions placed on approval.													
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Months	10	10	10	11	11	11	11						

FINANCE AND RESOURCES

Finance

Measure	Performance against budgeted operating expenditure in range of 97.5% to 102.5%								Period	September, October			
	Strategic priorities: 3												
Executive commentary	The month 6 reforecast was produced in October to re-allocate budgets across the organisation. The October actual performance is now being compared to YTD forecast and the performance is within the KPI target range. Full financial information including the variance commentary, income and expenditure figures and the statement of financial position can be found in the Finance section later in this report.												
Year to date	(,000)	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	YTD Actual	3,376	6,299	9,324	12,239	14,910	17,436	20,377					
	YTD Budget	3,891	6,821	9,656	12,505	15,140	18,079						
	YTD Forecast							20,564					
	YTD Variance	515	521	332	265	230	642	187					
	Actual as % of budget	87%	92%	97%	98%	98%	96%	99%					

Human Resources

Measure	Employee voluntary turnover: 22% (21.8% London average, Xpert HR labour turnover rates, published 5 May 2018)								Period	September, October			
	Strategic priorities: 3												
Executive commentary	Voluntary employee turnover has fallen to 22% for the first time since January 2018.												
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	Turnover	25%	26%	25%	23%	23%	23%	22%					

QUALITY

Fitness to Practise

Measure	Number of cases per case manager: 45									Period	September, October			
	Strategic priorities: 1 and 3													
Executive commentary	The caseload numbers are within expected range, with evidence that the focus on progression to conclusion at all stages, and the utilisation of additional resources are starting to impact this KPI.													
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Number	55	54	52	53	54	54	49						

Registration

Measure	Number of upheld appeals against registration decisions									Period	September, October			
	Strategic priorities: 1 and 3													
Executive commentary	No appeals were upheld where no new information was presented.													
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
	Concluded	5	6	5	5	4	7	4						
	Upheld	3	3	2	3	2	4	2						
	Upheld/ no new info	0	0	0	0	0	0	0						

INFORMATION TECHNOLOGY

Information technology

Measure	Availability of HCPC websites (including Register and online portal): 99.5%								Period	September, October			
Strategic priorities: 1 and 3													
Executive commentary	Full availability through the period.												
Year to date		Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
	Availability	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%					

Strategic priority 1: Improve our performance to achieve the PSA's Standards of Good Regulation

Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

*Rule 12 is a designation that is typically applied to cases where there is limited anticipated case activity due to the existence of an on-going Police investigation. The designation allows the Fitness to Practise Department to more accurately monitor case progression and distinguish between cases that can be expeditiously progressed and those cases which cannot be progressed because any progression is dependent on a third-party investigation.

Council meeting, 6 December 2018

Strategic Priorities – progress of key deliverables

Strategic priority 1: Improve our performance to achieve the Professional Standards Authority's Standards of Good Regulation

Area	Key deliverables (and completion by quarter)	Progress
<p>Improve our fitness to practise performance to meet PSA standards</p>	<p>Deliver the programme of work outlined in the Fitness to Practise (FTP) Improvement plan including:</p>	<p>The project is progressing to timescale, and is overseen by a Project Board including two SMT members, Director of HR and Head of FTP. The project methodology and deliverables were audited by Grant Thornton, and the resulting report in October identified only two medium risk issues.</p>
	<p>Complete the review of case management competency and resource requirements (Q1)</p>	<p>This is on track to conclude in December 2018.</p>
	<p>Implementation of case progression strategy including a process for prioritising high risk cases (Q1-4 (ongoing))</p>	<p>The strategy was approved by Council in September 2018, and we are working with the additional resources to target oldest cases. Progress is included in the December Council report. A presentation to SMT and Council at the October Awayday also set the timescale and milestones until March 2019.</p>
	<p>Review of the Standard of Acceptance policy and associated guidance (Q1 – Q2)</p>	<p>This was approved by Council in September 2018. The implementation and training programme, including changes to our electronic Case Management System have been made. We are going live on 14 January 2019, giving us time to close cases whose lifetime started under the previous Standard of Acceptance.</p>
	<p>Revise the FTP quality assurance framework to align with the PSA standards of good regulation (Q1)</p>	<p>The framework has been quality assured and signed off as complete by the FTP Improvement Project Board.</p>
	<p>Meet with PSA on a quarterly basis to provide progress updates (Q1-4 (ongoing))</p>	<p>Executive Director of Regulation and Head of FTP continue to meet with the Director of Scrutiny and Quality on a quarterly basis.</p>

Strategic priority 2: Ensure our communication and engagement activities are proactive, effective and informed by stakeholder views and expectations

Area	Key deliverables	Progress
Seek to better understand the preferences, needs and views of our stakeholders	Commission research to better understand the views and expectations of our stakeholders and put in place an action plan as a result of the findings (Q3)	Fieldwork has finished. A report of the findings is being produced and will be presented to Council, together with an action plan, in early 2019.
Strengthen our engagement with stakeholders in the four countries of the UK	Develop a new stakeholder engagement plan to guide our engagement with stakeholders across the four countries (Q1)	Activities are progressing according to plan. Recent activity to note includes attendance and workshop delivery at the annual Scottish Government Regulatory event and CPD workshops in Belfast as well regular scheduled meetings with the regulatory teams and Chief Allied Health Professions Officers in the four countries. Work continues on developing the HCPC's prioritised stakeholder list to inform 2019-2020 engagement work.
	Pilot holding an engagement forum for key stakeholders in one of the UK countries and evaluate its effectiveness (Q4)	The first forum is scheduled for February in Edinburgh. A wide range of stakeholders, including professional bodies, service user organisations and unions, are being invited.
	Work in partnership with education sector stakeholders to review our approach to the quality assurance of education and training programmes (Q2 (planned event) and ongoing)	A working group is being formed, with a series of meetings to be held between December 2018 and March 2019 and final proposals scheduled for consideration by the Education & Training Committee in June 2019.

Strategic priority 3: The organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

Area	Key deliverables	Progress
Keep our financial sustainability under review	Review our cost base and ongoing financial sustainability, consulting if necessary on changes to registration fees (Q2 (and ongoing))	The five-year financial plan was approved by the Council in September 2018. We are currently consulting on proposals to increase the registration fees. The month 6 financial reforecast has been completed and is reported elsewhere in the performance report and the budgeting process for 2019-20 has commenced.
Embed a strategic approach to risk and performance management	Develop and agree a strategic approach to risk management by identifying a set of strategic risks (Q1)	Approach agreed. Strategic risks are discussed monthly by the SMT and presented to each Audit Committee. Going forward, they will be included in the performance report to Council. At its next meeting, March 2019, the Audit Committee will consider in more depth one of the strategic risks.
	Further develop our approach to measuring and monitoring performance	Departments are producing monthly reports to SMT, we will be reviewing the key performance indicator dashboard in early 2019 (see below)
	Review our Key Performance Indicators (KPI) at least once a year (Q4 (and ongoing))	Ongoing and further review scheduled for early 2019
	Review and further refine the existing performance data set considered by the Council (Q2)	Reviewed and refined each quarter.
Invest in processes and systems to improve stakeholder experience and drive business efficiencies	Build capacity required to accelerate business transformation (Q2)	<p>Paperless processes: annual monitoring is being delivered as an entirely paperless process; and paperless registration appeals is being rolled out (currently in parallel with existing paper processes).</p> <p>Education system: project initiated to deliver upgrades to aid further efficiency, accuracy and service. Scheduled to complete in summer 2019.</p> <p>Registration transformation: requirements analysis exercise commenced and we anticipate the next phase starting in the new financial year. The CPD portal migration is expected to launch on 26 November.</p> <p>New website: launches 3 December, providing a modern and intuitive experience for stakeholders, easing access to content on mobile and desktop devices.</p>

Strategic priority 4: Make better use of data, intelligence and research evidence to drive improvement and engagement

Area	Key deliverables	Progress
Ability to collect data	Develop a classification system for capturing the characteristics of fitness to practise cases (Q2)	The case categorisation system has been designed. Roll out of the system including training is scheduled for Q4.
Research action planning	Deliver a programme of work to deliver the outcomes of the University of Surrey research: (Q1-4 (and ongoing))	Ongoing, see below for specific detail.
	Work to raise awareness on when to self-refer and when to refer with a particular focus on registrants, employers and complainants	Actions in this period have included development of web information and resources including a referral tool, infographic and case studies and stakeholder engagement at the annual Scottish Regulation Conference. Planning further stakeholder work through targeted emails to employers and service user organisations as well as blog pieces for registrants.
	Engagement with educators to develop teaching and learning materials for educators using the case studies developed in the research	Following feedback, planning to refresh existing resources for education providers to use and then develop content and resources for students within the student/learner hub on the new website.
	Commission a literature review on the characteristics of effective clinical / peer supervision in the workplace and use this to engage with stakeholders including employers on the role of supportive approaches in preventing problems from occurring	This is currently in the planning stages. Commissioning will take place in Q4 with research commencing in early 2019-20 financial year.
Internal capacity to deliver research activity	<p>Deliver at least one in-house research project:</p> <p>Working in partnership with a professional body or other stakeholder to look at the characteristics of fitness to practise cases in that profession; or if a partner cannot be identified, looking at a cross-profession issue such as the characteristics of cases about internationally qualified registrants. (Q4)</p>	This research is scheduled for Q4 in the Policy & Standards workplan.

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Finance report

Finance

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Finance: overview

- In the Finance tables, income and expenditure is now compared against the month 6 forecast for 2018-19.
- The month 6 forecast indicates that for the full year, income will be on budget, and overall expenditure will be £1.3m / 4% over budget. This however includes the additional £500k approved by Council to support the FTP improvement plan and £1m that will be spend on the social worker transfer project, which will be reimbursed by the Department of Education. Excluding the social worker transfer project costs, forecasted expenditure is £294k above budget. The forecast overall result, excluding any year end revaluation of buildings, is a deficit of £385k. The original budget for the year was a deficit of £95k. The forecast will be updated in January based on 9 months' actual figures.
- For the 7 months to 31 October 2018, income is on track, and operating expenditure is £187k / 0.3% under forecast.
- The main departmental variances are:
 - £48k/3.7% under forecast in major project, this is mainly due to reclassification of costs from opex to capex on the 186 KPR project.
 - £115k / 5.6% under forecast in registration department, which is mainly due to timing differences for receipt and payment of printing/postage invoices and international assessor fees.
- Operating result for the 7 months to 31 October 2018 was a surplus of £178k, including depreciation and bank interest receivable, compare to £65k deficit per month 6 forecast.
- At 31 October 2018 cash balance was £18.3m, and deferred income was £20.9m.
- We have recently established a Framework Agreement for the provision of audio recording, transcription and additional services following expiry of the existing contracts. The Framework Agreement has a panel of four suppliers that will be available to provide the services to the HCPC and other Regulators. This framework is also a prime example of us leading the way to promote collaboration across regulators, which PSA and the Law Commission have been actively encouraging over the last few years.

Variance Commentary					October -18 Comments (Actuals vs 2018-19 M6 Forecast)	
Department	Movement YTD	M6 Forecast YTD	Forecast Variance	Forecast Var %	Variations by Income Type	Variations by Profession
Total Income	20,253,252	20,201,165	52,087	0.3	On Target or variance below threshold	On Target or variance below threshold
EXPENDITURE						
Department	Movement YTD	M6 Forecast YTD	Forecast Variance	Forecast Var %	Variations on Payroll	Variations on Non-payroll
Chair	36,343	31,840	(4,503)	(14.1)		On Target or variance below threshold
Chief Executive and SMT	443,576	453,472	9,896	2.2	On Target or variance below threshold	On Target or variance below threshold
Council	175,716	171,943	(3,774)	(2.2)		On Target or variance below threshold
Communications	535,359	540,234	4,876	0.9	On Target or variance below threshold	On Target or variance below threshold
Education	581,439	584,402	2,964	0.5	On Target or variance below threshold	On Target or variance below threshold
Office Services	1,853,913	1,842,304	(11,608)	(0.6)	On Target or variance below threshold	On Target or variance below threshold

Department	Movement YTD	M6 Forecast YTD	Forecast Variance	Forecast Var %	Variances on Payroll	Variances on Non-payroll
Finance	435,286	434,116	(1,170)	(0.3)	On Target or variance below threshold	On Target or variance below threshold
Fitness to Practise	9,115,828	9,107,386	(8,441)	(0.1)	On Target or variance below threshold	On Target or variance below threshold
Human Resources	454,918	467,954	13,036	2.8	On Target or variance below threshold	On Target or variance below threshold
Human Resources Partners	199,077	212,683	13,606	6.4	On Target or variance below threshold	On Target or variance below threshold
IT Department	1,242,759	1,236,386	(6,374)	(0.5)	On Target or variance below threshold	On Target or variance below threshold

Department	Movement YTD	M6 Forecast YTD	Forecast Variance	Forecast Var %	Variations on Payroll	Variations on Non-payroll
Major Projects	1,235,525	1,283,657	48,132	3.7	On Target or variance below threshold	This is mainly due to the reclassification of costs from revenue to Capital on the 186 Kennington Park Road renovation project and the remaining difference is due to the delay of incurring costs for the social workers transfer project.
Project (Managers)	151,825	151,854	29	0.0	On Target or variance below threshold	On Target or variance below threshold
Policy	134,006	136,102	2,097	1.5	On Target or variance below threshold	On Target or variance below threshold
Quality Assurance	324,435	336,257	11,822	3.5	On Target or variance below threshold	On Target or variance below threshold
Registration	1,933,571	2,048,402	114,832	5.6	On Target or variance below threshold	£111k under the forecasted figure; this is mainly due to timing differences for receipt and payment of printing and stationery and assessor invoices
Secretariat	116,627	117,271	644	0.5	On Target or variance below threshold	On Target or variance below threshold
Depreciation	461,121	461,582	462	0.1		On Target or variance below threshold
PSA levy	924,000	924,000	0	0.0		On Target or variance below threshold
Apprenticeship levy	21,374	22,006	632	2.9		On Target or variance below threshold
Total expenditure	20,376,696	20,563,852	187,156	0.9		

Income and Expenditure

31 October 2018

	Period 7	Year to date				M6 Forecast	Full Year Budget
	Actual	Actual	M6 Forecast YTD	Variance v YTD Forecast	Variance v YTD Forecast %		
Income by Activity							
Graduate Registration Fees	157,404	1,026,904	1,042,692	(15,787)	(2)	1,806,726	1,804,823
Readmission Fees	17,685	164,565	156,362	8,203	5	287,620	231,901
Renewal Fees	2,460,473	17,098,784	17,088,021	10,763	0	29,554,238	29,851,092
International Scrutiny Fees	162,855	999,405	980,237	19,168	2	1,756,816	1,642,420
UK Scrutiny Fees	152,019	840,235	810,713	29,522	4	1,116,484	978,888
Registration Income	2,950,435	20,129,893	20,078,025	51,869	0	34,521,884	34,509,123
Other Income	3,035	66,293	65,758	535	1	78,258	0
Rental Income GCC	14,266	57,065	57,382	(317)	(1)	130,299	131,250
Total Income	2,967,737	20,253,252	20,201,165	52,087	0	34,730,441	34,640,373
Chair	10,941	36,343	31,840	(4,503)	(14)	59,456	98,360
Chief Executive	74,725	443,576	453,472	9,896	2	793,322	731,838
Council & Committee	28,373	175,716	171,943	(3,774)	(2)	286,293	234,546
Communications	57,332	535,359	540,234	4,876	1	944,760	941,571
Education	82,225	581,439	584,402	2,964	1	974,065	1,025,420
Office Services	283,933	1,853,913	1,842,304	(11,608)	(1)	3,159,655	2,903,029
Finance	53,802	435,286	434,116	(1,170)	(0)	734,539	719,889
Fitness to Practise	1,509,707	9,115,828	9,107,386	(8,441)	(0)	16,146,008	15,217,197
Human Resources	101,274	454,918	467,954	13,036	3	1,215,934	1,324,558
Human Resources Partners	40,363	199,077	212,683	13,606	6	343,513	466,294
IT Department	204,205	1,242,759	1,236,386	(6,374)	(1)	2,299,318	2,412,649
Major Projects	44,959	1,235,525	1,283,657	48,132	4	2,239,692	1,459,682
Project managers	29,380	151,825	151,854	29	0	360,590	566,658
Policy	13,927	134,006	136,102	2,097	2	329,710	367,953
Quality Assurance	46,185	324,435	336,257	11,822	4	638,615	680,052
Registration	274,194	1,933,571	2,048,402	114,832	6	3,476,616	3,411,904
Secretariat	5,166	116,627	117,271	644	1	192,340	203,681
Depreciation	77,031	461,121	461,582	462	0	871,654	995,747
PSA Levy	0	924,000	924,000	0	0	924,000	924,000
Apprenticeship Levy	2,868	21,374	22,006	632	3	39,506	50,810
Operating expenditure	2,940,591	20,376,696	20,563,852	187,156	0.9	36,029,588	34,735,837
Operating surplus/(deficit)	27,146	(123,444)	(362,687)	239,243		(1,299,147)	(95,464)
Other expenditure							
Projects Capital items Write off	0	0	0	0		182,743	0
	0	0	0	0		182,743	0
Other income							
Investment Income	10,530	65,210	61,162	4,049	7	81,788	0
Grant Income	236,465	236,465	236,465	0	0	1,015,093	0
	246,995	301,675	297,627	4,049		1,096,880	0
Total surplus/(deficit)	274,141	178,231	(65,060)	243,291		(385,010)	(95,464)

Payroll costs

31 October 2018

	Period 7	Year to date				Full Year M6 Forecast	Full Year Budget
	Actual	Actual	M6 Forecast	Variance	Variance %		
Chief Executive	69,974	404,816	404,344	(472)	(0.1)	716,993	659,798
Communications	43,885	350,097	357,333	7,236	2.0	619,418	533,416
Education	52,310	402,582	405,462	2,881	0.7	683,814	731,704
Office Services	28,959	208,269	210,737	2,468	1.2	370,774	338,237
Finance	38,120	260,473	261,102	629	0.2	464,595	494,919
Fitness to Practise	443,477	2,953,796	2,961,254	7,458	0.3	5,191,627	4,724,761
Human Resources	69,497	298,910	300,664	1,753	0.6	701,914	750,378
Human Resources Partners	12,701	89,092	89,127	34	0.0	152,801	157,022
IT Department	68,018	448,024	440,162	(7,861)	(1.8)	788,242	815,936
Major Projects	70,451	541,843	547,968	6,125	1.1	945,587	303,411
Project (Managers)	29,380	151,693	151,622	(71)	(0.0)	351,758	555,618
Policy	12,380	90,251	90,252	2	0.0	167,899	235,537
Quality Assurance	39,670	280,082	291,532	11,451	3.9	547,132	602,522
Registration	178,778	1,190,282	1,194,104	3,822	0.3	2,065,854	2,053,088
Secretariat	3,516	93,782	90,267	(3,516)	(3.9)	157,096	179,385
Payroll costs	1,161,113	7,763,991	7,795,929	31,938	0.4	13,925,505	13,135,730

Non-payroll costs

31 October 2018

	Period 7	Year to date				Full Year Forecast (M6)	Full Year Budget
	Actual	Actual	M6 Forecast	Variance	Variance %		
Chair	10,941	36,343	31,840	(4,503)	(14.1)	59,456	98,360
Chief Executive	4,752	38,760	49,128	10,368	21.1	76,329	72,040
Council & Committee	28,373	175,716	171,943	(3,774)	(2.2)	286,293	234,546
Communications	13,447	185,262	182,902	(2,360)	(1.3)	325,342	408,155
Education	29,916	178,857	178,940	83	0.0	290,251	293,716
Office Services	254,973	1,645,644	1,631,567	(14,077)	(0.9)	2,788,881	2,564,792
Finance	15,683	174,814	173,014	(1,799)	(1.0)	269,944	224,970
Fitness to Practise	1,066,230	6,162,032	6,146,133	(15,899)	(0.3)	10,954,381	10,492,436
Human Resources	31,777	156,007	167,290	11,283	6.7	514,020	574,180
Human Resources Partners	27,662	109,985	123,557	13,571	11.0	190,712	309,272
IT Department	136,187	794,736	796,223	1,488	0.2	1,511,076	1,596,713
Major Projects	(25,492)	693,682	735,689	42,007	5.7	1,294,105	1,156,271
Project (Managers)	0	132	232	100	43.2	8,832	11,040
Policy	1,547	43,755	45,850	2,095	4.6	161,811	132,416
Quality Assurance	6,516	44,354	44,725	371	0.8	91,483	77,530
Registration	95,416	743,288	854,298	111,010	13.0	1,410,762	1,358,816
Secretariat	1,650	22,845	27,004	4,160	15.4	35,244	24,296
PSA Levy		924,000	924,000	0	0.0	924,000	924,000
Apprenticeship Levy	2,868	21,374	22,006	632	2.9	39,506	50,810
Non-payroll costs	1,702,447	12,151,584	12,306,340	154,756	1.3	21,232,431	20,604,360

Statement of Financial Position

31 October 2018

	Actual Period 7	Month 6 Forecast YTD	Budget 31 March 2019	Month 6 Forecast Full Year	Actual 31 March 2018 Full Year
Non-current assets					
Land & buildings, at cost or valuation	5,515,921	5,597,592	5,605,000	5,597,592	4,975,000
Land & buildings depreciation	(29,021)	(29,022)	(48,620)	(49,752)	0
	5,486,901	5,568,570	5,556,380	5,547,840	4,975,000
Computer equipment, at cost	547,970	556,906	592,287	601,584	485,059
Computer equipment depreciation	(455,872)	(455,910)	(452,974)	(477,623)	(413,244)
	92,098	100,996	139,313	123,962	71,814
Office furniture and equipment, at cost	1,183,115	1,183,115	1,183,115	1,183,115	1,183,115
Office equipment depreciation	(681,945)	(681,942)	(750,421)	(750,437)	(586,033)
	501,171	501,173	432,694	432,678	597,082
Intangible assets	7,894,389	7,928,274	9,628,492	8,346,630	7,525,603
Intangible depreciation	(6,249,902)	(6,250,329)	(6,699,352)	(6,549,463)	(5,956,342)
	1,644,487	1,677,945	2,929,141	1,797,167	1,569,261
Total non-current assets	7,724,656	7,848,684	9,057,528	7,901,646	7,213,157
Current assets					
Other current assets	1,197,107	1,060,687	2,125,603	2,190,113	2,107,123
Cash & cash equivalents	18,294,432	16,553,704	15,600,889	15,786,406	18,892,070
	19,491,540	17,614,392	17,726,492	17,976,519	20,999,194
Total assets	27,216,196	25,463,075	26,784,019	25,878,165	28,212,351
Current liabilities					
Trade and other payables	952,691	483,347	818,360	483,347	818,360
Other liabilities	1,402,836	1,612,918	2,354,952	1,612,918	2,354,952
Deferred income	20,900,201	19,649,634	19,923,936	20,384,675	21,256,802
Total current liabilities	23,255,729	21,745,900	23,097,248	22,480,941	24,430,115
Liabilities greater than one year	220,159	220,159	220,159	220,159	220,159
Total assets less liabilities	3,740,308	3,497,017	3,466,613	3,177,066	3,562,078
General fund b/fwd	(3,539,747)	(3,539,747)	(3,539,747)	(3,539,747)	(4,155,121)
Rev Res - Land & Building	(22,330)	(22,330)	(22,330)	(22,330)	(22,330)
This periods (surplus)/deficit	(178,231)	65,060	95,464	385,011	615,374
General fund c/fwd	(3,740,308)	(3,497,017)	(3,466,613)	(3,177,066)	(3,562,078)

Projects

	Opex			Capex			Opex & Capex			Opex	Capex	Opex	Capex
	Actual	Reforecast	Variance	Actual	Reforecast	Variance	Actual	Reforecast	Variance	Budget	Budget	Reforecast	Reforecast
	YTD £	2018/19 YTD £		YTD £	YTD £		YTD £	YTD £		2018/19 YTD £	YTD £	2018/19 Full Year £	2018/19 Full Year £
Reg Transformation and Improvement	1,225	1,225	0	(456)	(456)	0	769	769	0	348,000	882,000	25,225	163,544
HCPC website review and build	57,997	59,361	1,364	220,838	238,266	17,428	278,835	297,627	18,792	104,151	347,583	74,252	276,557
186 Kennington Park Road renovation	627,966	659,271	31,305	540,922	622,592	81,670	1,168,887	1,281,862	112,975	420,000	630,000	659,271	622,592
FTP CMS Review	0	0	0	0	0	0	0	0	0	181,500	275,400	90,750	137,700
FTP Improvement project	125,556	125,556	0	0	0	0	125,556	125,556	0	195,000	0	188,440	0
CPD Online Migraton	94,968	92,959	(2,009)	140,326	156,782	16,456	235,294	249,741	14,447	108,155	210,654	105,877	176,782
Education Changes 17/18	0	0	0	0	0	0	0	0	0	2,520	169,084	750	133,498
Netreg refresh	7,029	8,501	1,472	14,410	14,410	0	21,439	22,911	1,472	20,306	48,119	39,778	14,410
Fee review	0	0	0	0	0	0	0	0	0	2,500	5,750	2,500	5,750
Sage & WAP replacement	0	0	0	0	0	0	0	0	0	76,550	138,000	25,517	46,000
HR system upgrade	0	0	0	0	0	0	0	0	0	1,000	22,850	12,240	55,860
	914,742	946,873	32,132	916,039	1,031,594	115,555	1,830,781	1,978,467	147,686	1,459,682	2,729,440	1,224,599	1,632,693
Regulation of Social workers	320,783	336,784	16,001	0	0	0	320,783	336,784	16,001	0	0	1,015,093	
	1,235,525	1,283,657	48,132	916,039	1,031,594	115,555	2,151,564	2,315,251	163,687	1,459,682	2,729,440	2,239,692	1,632,693

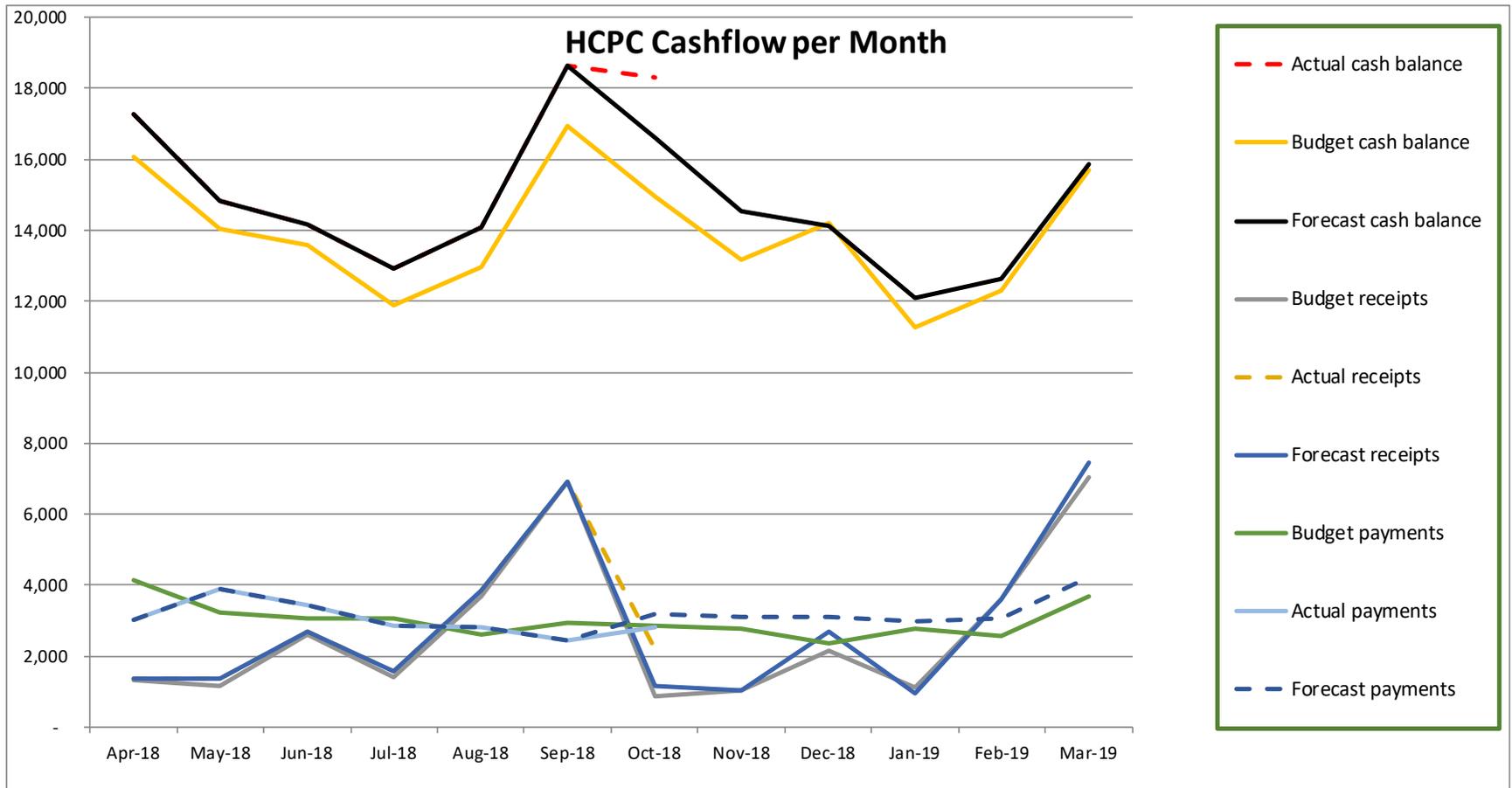
Cash flow statement

From 1 April 2018

	Year to date actual £	Year to date M6 forecast £	Full year budget £	Full year forecast £
Operating surplus/(deficit)	(123,444)	(362,687)	(95,464)	(1,299,148)
Add: Corporation tax	0			
Less: Depreciation	461,121	461,582	995,747	871,654
Grant received from Department of Education		236,465		1,015,093
Decrease/(increase) in debtors & prepayments	910,016	1,046,436	(18,480)	(82,989)
Increase/(decrease) in creditors	(817,786)	(1,077,046)	0	(1,077,046)
(Decrease)/increase in deferred income	(356,601)	(1,607,168)	(1,332,867)	(872,128)
Net cash in/(out)flow from operating activities	73,306	(1,302,418)	(451,064)	(1,444,565)
Return on investments and servicing of finance				
Investment Income	65,210	61,162	0	81,788
Capital expenditure and financial investments				
Purchase of fixed assets	(972,620)	(1,097,110)	(2,840,118)	(1,742,887)
Increase/(decrease) in cash	(597,638)	(2,338,366)	(3,291,182)	(3,105,664)
Cash at beginning of period	18,892,070	18,892,070	18,892,070	18,892,070
Cash at end of period	18,294,432	16,553,704	15,600,889	15,786,406
Cash movement	(597,638)	(2,338,366)	(3,291,182)	(3,105,664)

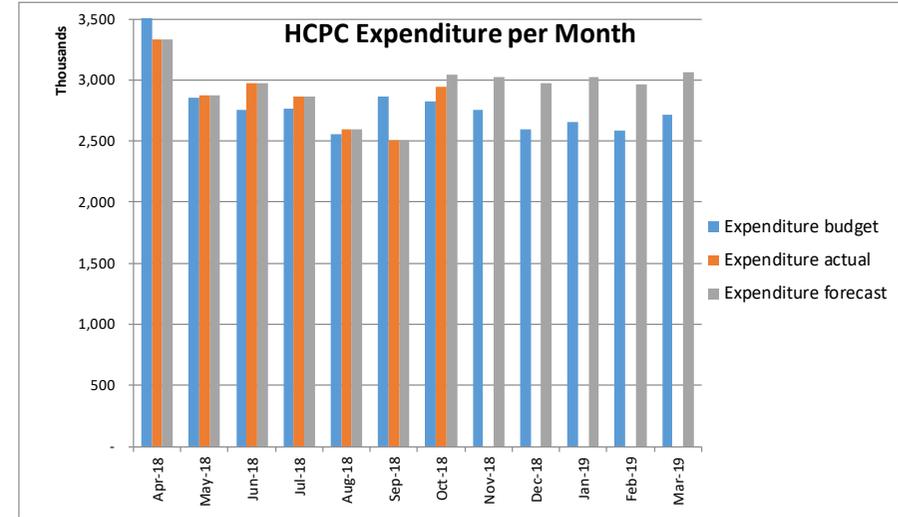
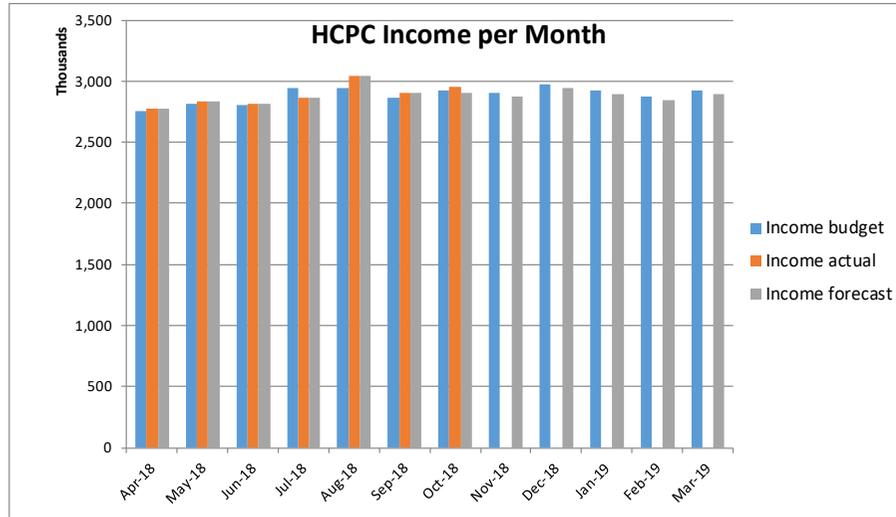
Graphs - Cashflow

2018-19

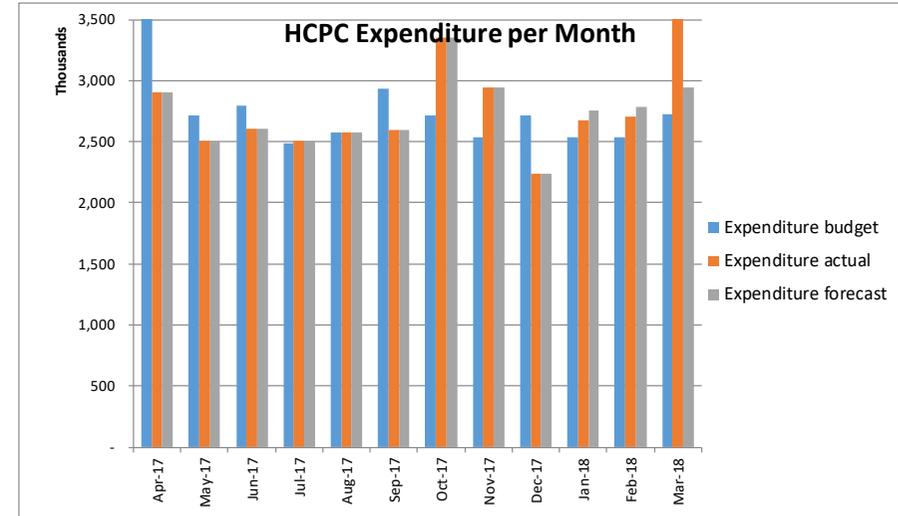
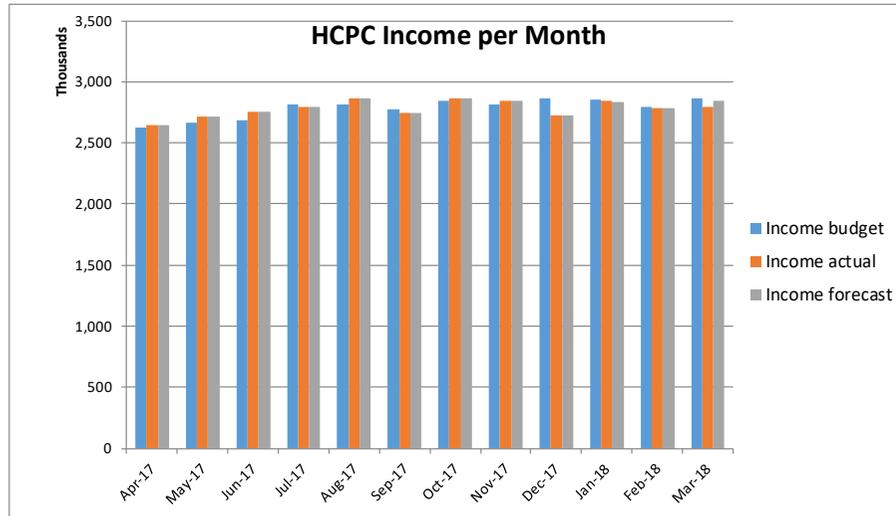


Graphs - Income and expenditure

2018-19

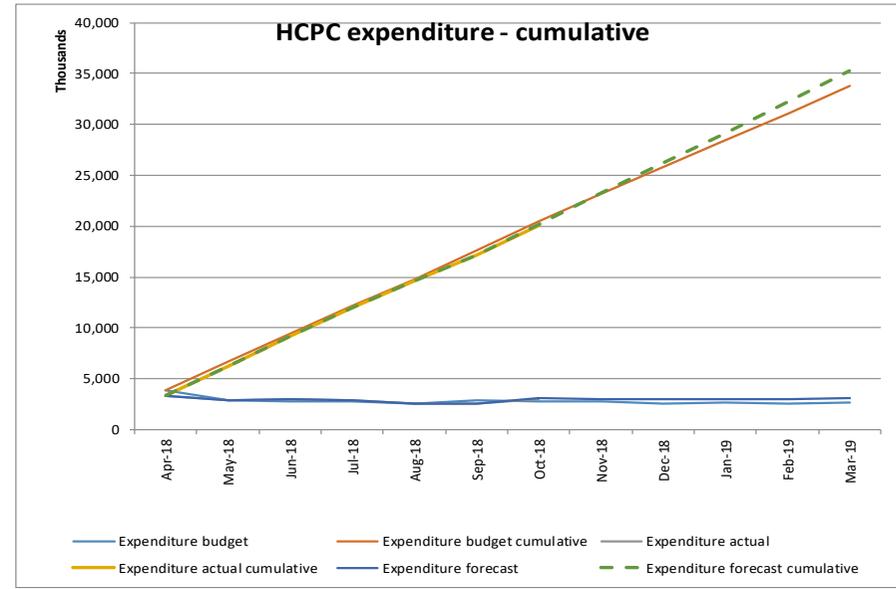
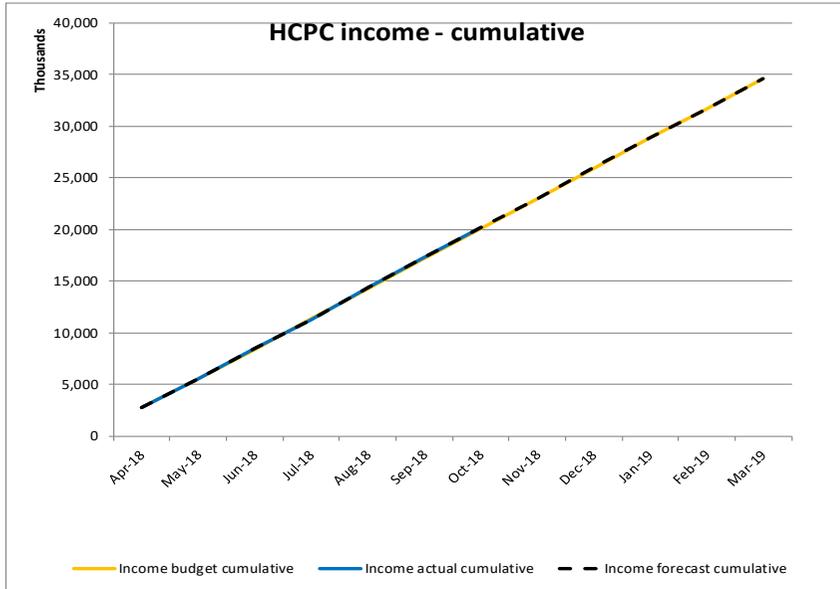


2017-18

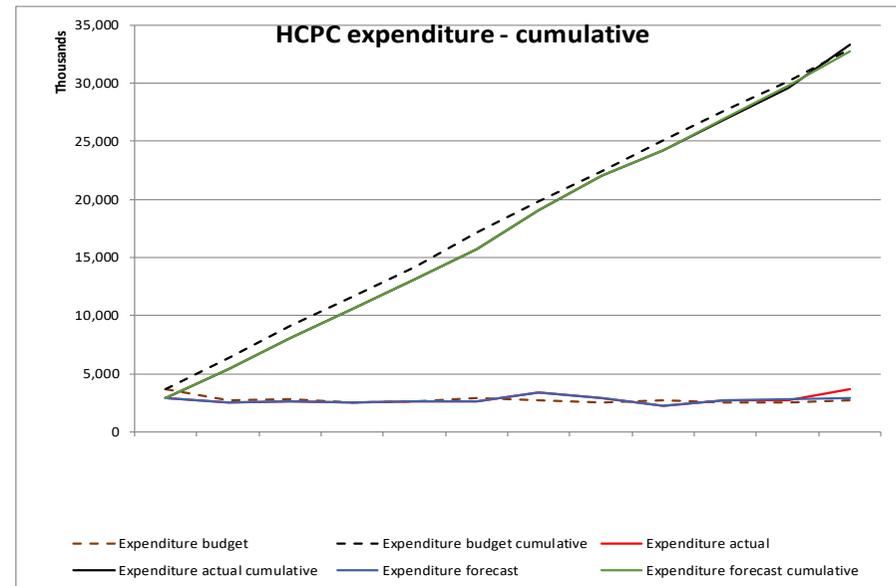
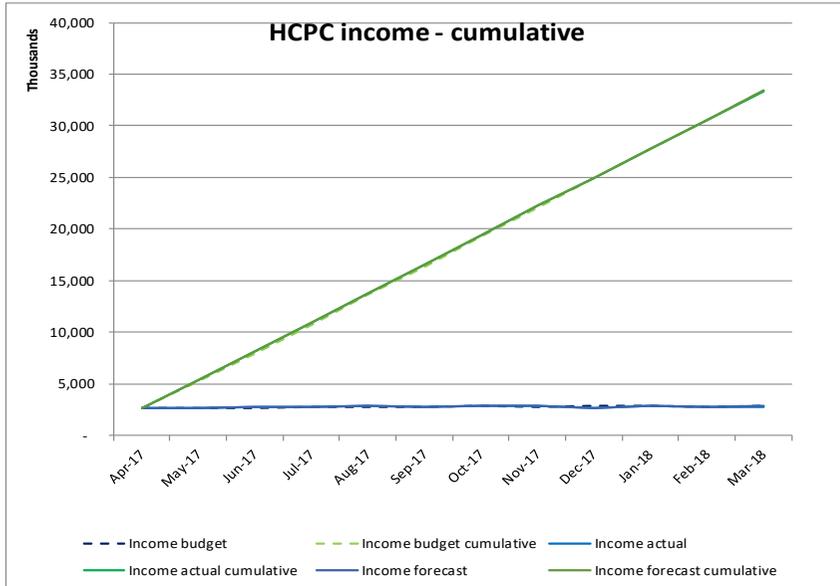


Graphs - Cumulative income and expenditure

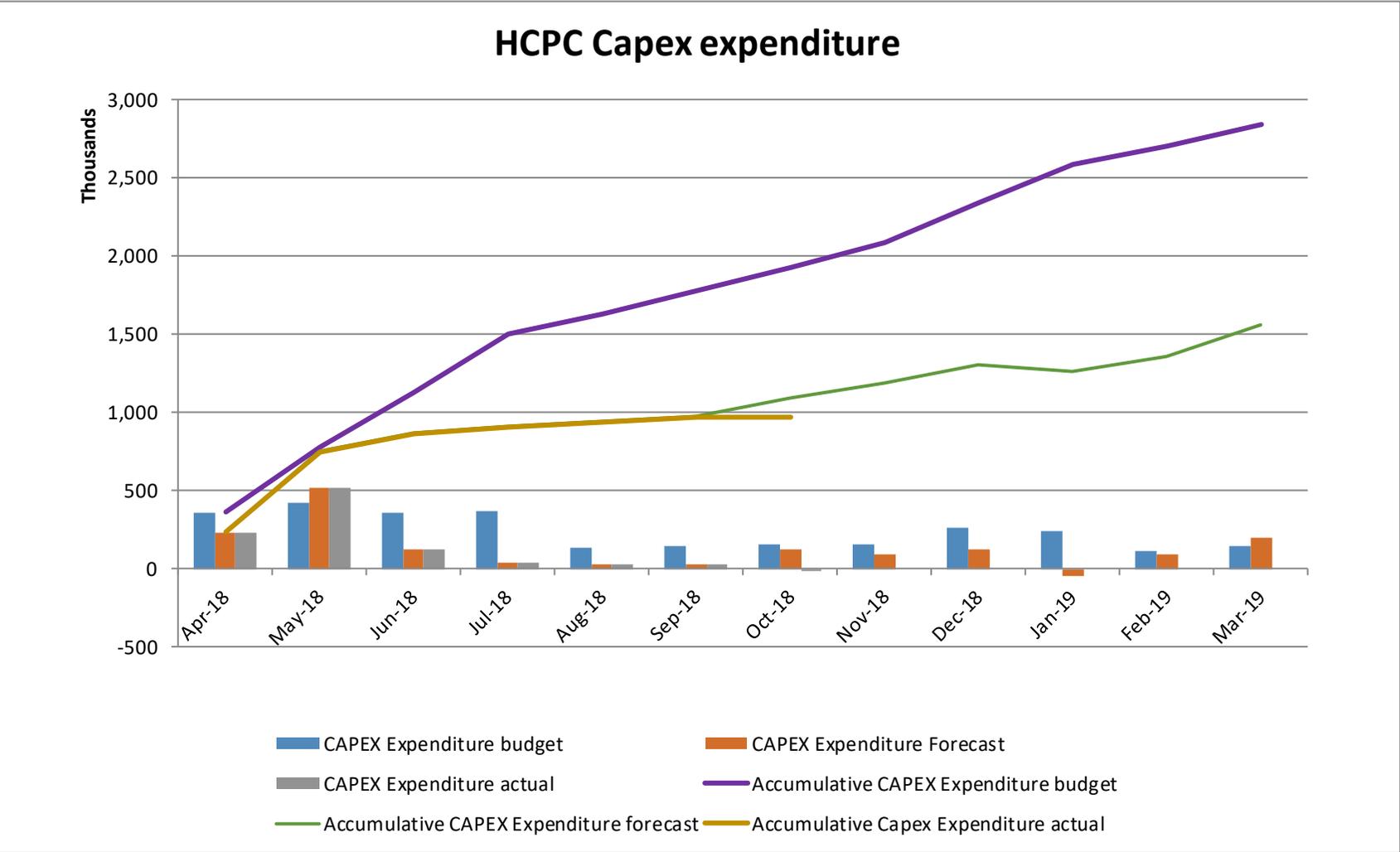
2018-19



2017-18



Graphs - Capital expenditure



Council meeting, 6 December 2018

Department reports

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Education

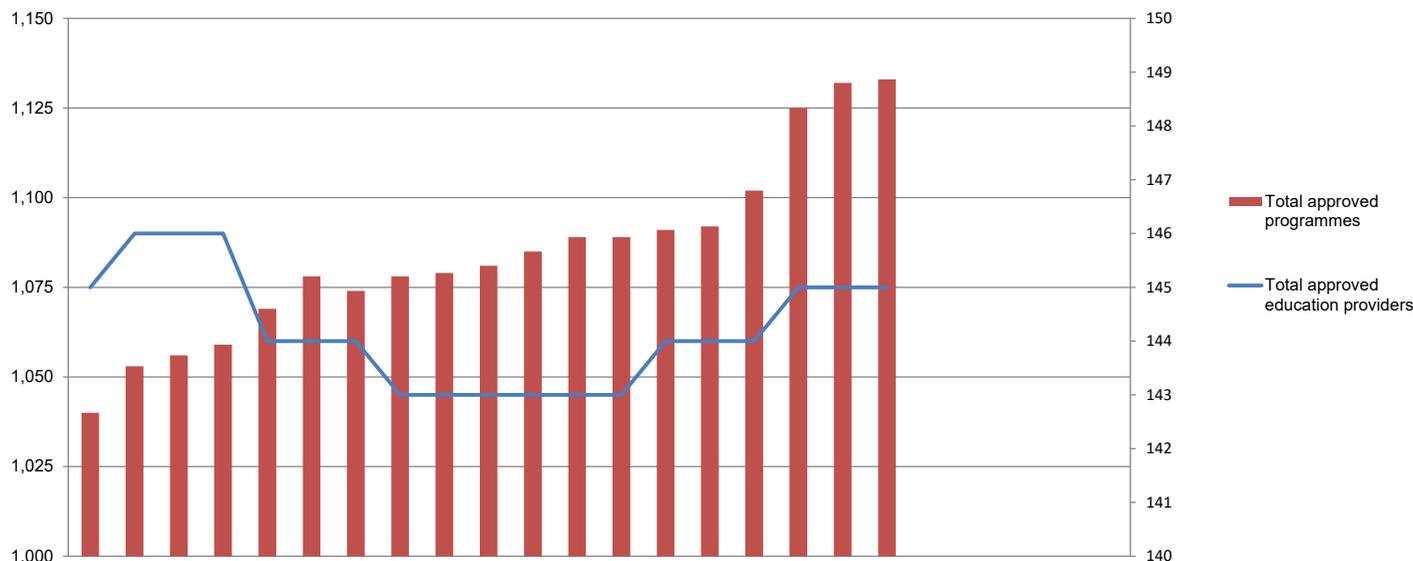
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Education: overview

- **Approvals** - The scheduling window for approval visits for this financial year is now closed. We are forecast to complete 80 visits, compared to our original budget estimate of 81. This figure is likely now to only decrease slightly if there are cancellations. These visit numbers indicate we are on track in the overall budget, particular around partner and executive costs to support this activity.
- **Podiatric surgery** - An approval visit was held to assess two podiatric surgery programmes being put forward for approval by the University of Huddersfield. One relates to a full masters programme for new trainees, and the other is a certificate programme for the existing workforce to complete, to become eligible to receive the annotation. Should both programmes be approved, the Council will then be in a position to consider opening the annotation. This would be followed by the initiation of a major project to deliver the systems upgrades, and stakeholder engagement needed to support go-live.
- **Degree level training for paramedics** – Following the Education and Training Committee’s decision in March 2018, we have commenced closing off programmes delivered below degree level to new cohorts from 1 September 2021. As part of this work, we are also assessing changes to programmes, and processing new degree requests to support a smooth transition. An update report is scheduled for discussion by ETC in November.
- **Review of approval process** - A full review of our approval process commenced in October. The review will ensure the process remains fit for purpose for the foreseeable future. It will involve gathering and analysing feedback from education providers, visitors and Committee members. ETC will discuss the outcomes from this review in March 2019, with changes implemented in time for the 2019-20 academic year.
- **Review of apprenticeships** - We are reviewing our approach to the approval of higher and degree apprenticeship programmes. We want to ensure through this review that we are being proportionate in applying our standards effectively to this particular model of training. ETC will consider a discussion paper on this topic in March 2019.
- **Online visitor training** - We recently concluded a pilot of online refresher training for visitors. The training prepares visitors around our revised education standards and changes to the annual monitoring process. Positive feedback was received from visitors in the pilot group regarding the module content and the new method of online delivery. The training module is now scheduled for release to all visitors in November.

Number of approved programmes, by profession April 2017 - March 2019

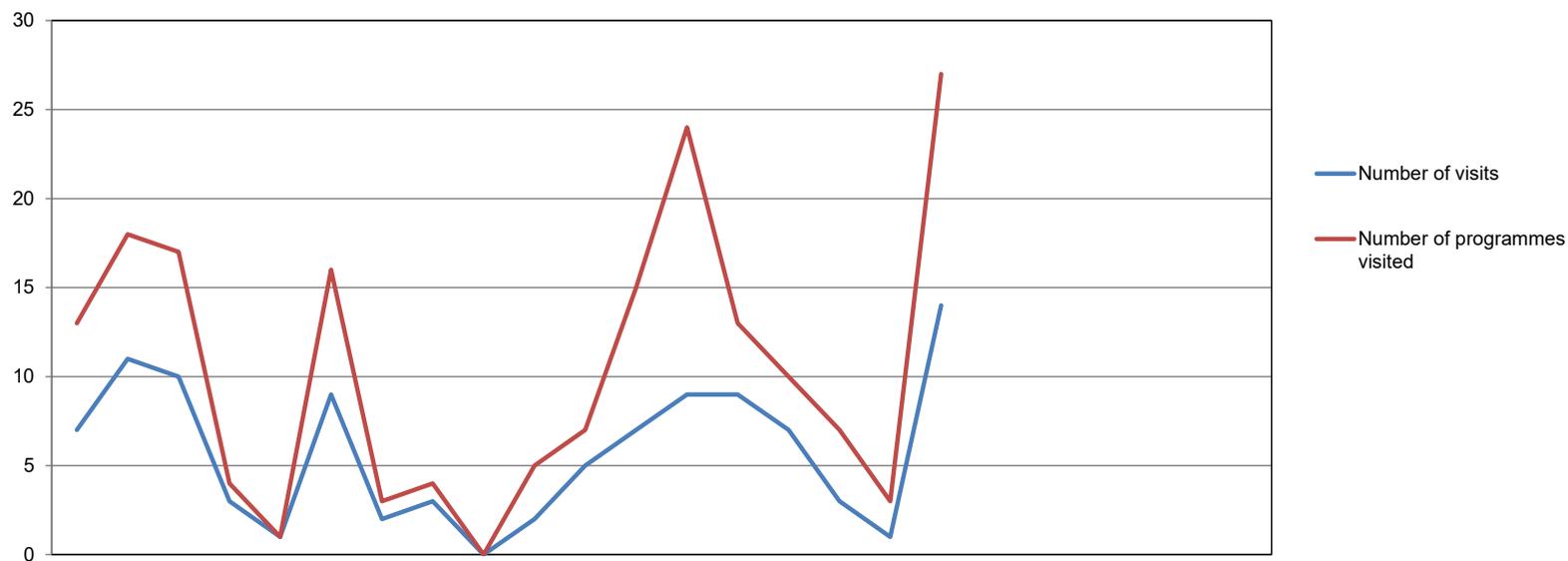


Profession/entitlement	2017			2018												2019								
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Arts therapists	28	28	28	28	28	28	28	28	28	28	28	28	28	29	29	31	31	31	31					
Biomedical scientists	60	60	60	60	64	64	64	64	64	64	64	64	64	64	64	64	67	71	71					
Chiropodists/ Podiatrists	17	17	17	18	18	19	19	19	19	19	19	19	19	19	19	19	19	19	19					
Clinical scientists	3	3	3	3	3	3	3	3	4	4	4	4	4	4	4	4	4	4	4					
Dietitians	32	32	32	32	33	33	33	34	34	35	35	35	35	35	35	36	39	39	39					
Hearing aid dispensers	18	18	18	18	18	18	18	19	18	18	18	18	18	18	18	18	20	20	20					
Occupational therapists	68	72	72	72	72	71	71	71	72	73	73	73	73	73	73	73	74	75	75					
Operating Department Practitioners	34	33	33	34	36	36	36	37	37	37	37	37	37	37	37	37	39	39	39					
Orthoptists	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	4	6	6	6					
Paramedics	73	74	75	75	76	74	74	74	72	75	75	76	76	77	77	76	79	79	79					
Physiotherapists	72	76	76	76	75	75	75	77	78	78	78	78	78	79	79	80	83	85	86					
Practitioner psychologists	102	106	104	104	104	108	107	103	103	105	109	109	109	109	109	114	114	114	114					
Prosthetists/Orthotists	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2					
Radiographers	54	54	54	55	57	57	57	58	58	58	58	58	58	58	56	56	56	57	57					
Social workers in England	252	252	254	254	251	252	251	254	255	253	251	253	253	253	253	254	255	255	255					
Speech and language therapists	34	35	35	35	36	39	39	40	40	40	40	40	42	42	45	45	44	45	46					
Prescription only medicine - administration	4	4	4	4	4	5	5	4	4	4	4	4	4	4	3	3	2	2	2					
Prescription only medicine - sale / supply (CH)	6	6	6	6	6	7	6	5	5	5	5	5	5	5	5	5	5	5	5					
Prescription only medicine - sale / supply (OR)																	1	4	4					
Supplementary prescribing	51	51	50	50	50	50	50	50	50	49	49	49	49	49	49	49	49	49	49					
Independent prescribing	95	95	95	95	98	98	98	98	98	96	98	97	96	96	97	98	97	97	97					
Approved mental health professionals	32	32	33	33	33	34	33	33	33	33	33	33	33	33	33	33	32	31	31					
Podiatric surgery			2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2					
Total approved programmes	1,040	1,053	1,056	1,059	1,069	1,078	1,074	1,078	1,079	1,081	1,085	1,089	1,089	1,091	1,092	1,102	1,125	1,132	1,133					
Total approved education providers	145	146	146	146	144	144	144	143	143	143	143	143	143	144	144	144	145	145	145					

2016/17	2017/18	2018/19
FYE	FYE	YTD
28	28	31
60	64	71
17	19	19
3	4	4
32	35	39
18	18	20
68	73	75
34	37	39
3	3	6
73	76	79
71	78	86
102	109	114
2	2	2
54	58	57
252	253	255
34	42	46
4	4	2
6	5	5
		4
51	49	49
95	97	97
32	33	31
		2
1,039	1,089	1,133
145	143	145

CH = Chiropodists / podiatrists
OR = Orthoptists

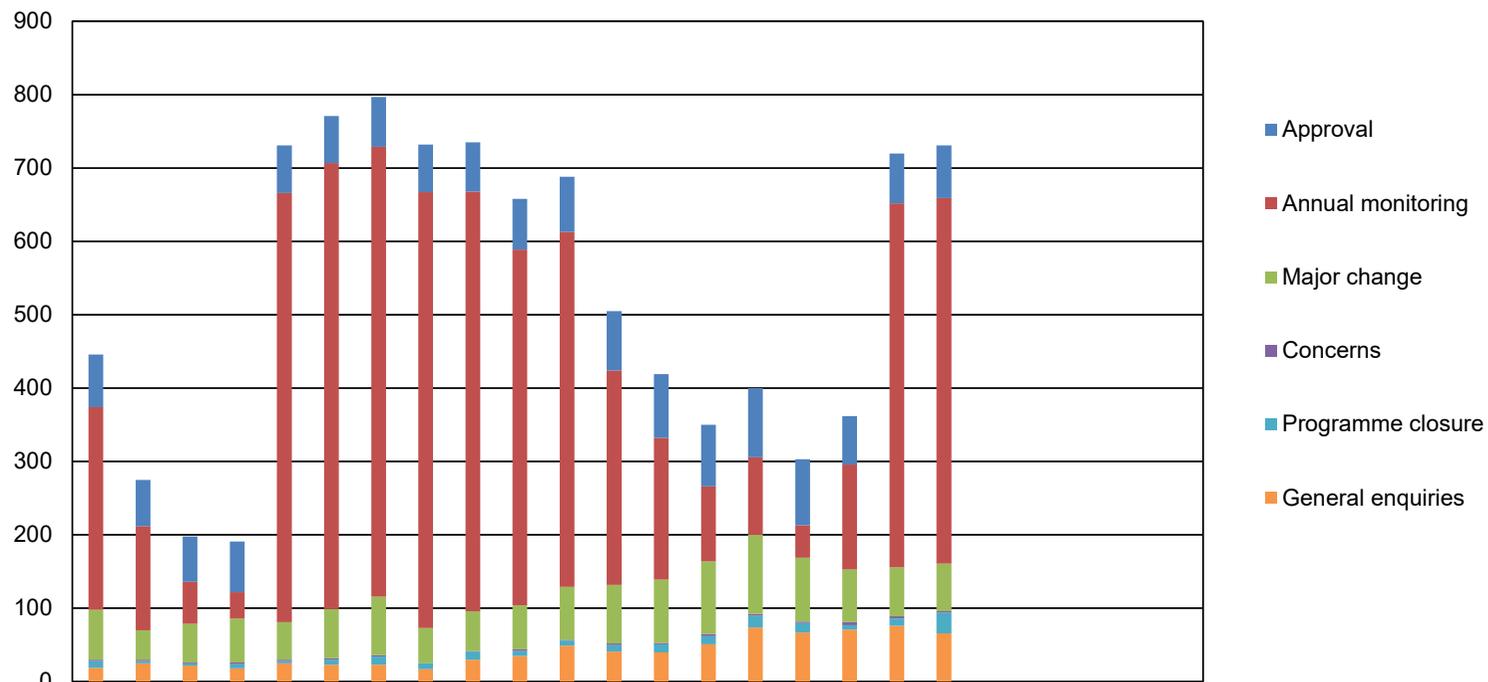
Overview of approval visits April 2017 - March 2019



Overview of approval visits	2017			2018									2019											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Number of visits	7	11	10	3	1	9	2	3	0	2	5	7	9	9	7	3	1	14	11					
Number of programmes visited	13	18	17	4	1	16	3	4	0	5	7	15	24	13	10	7	3	27	17					

2016/17	2017/18	2018-19
FYE	FYE	YTD
44	60	54
78	103	101

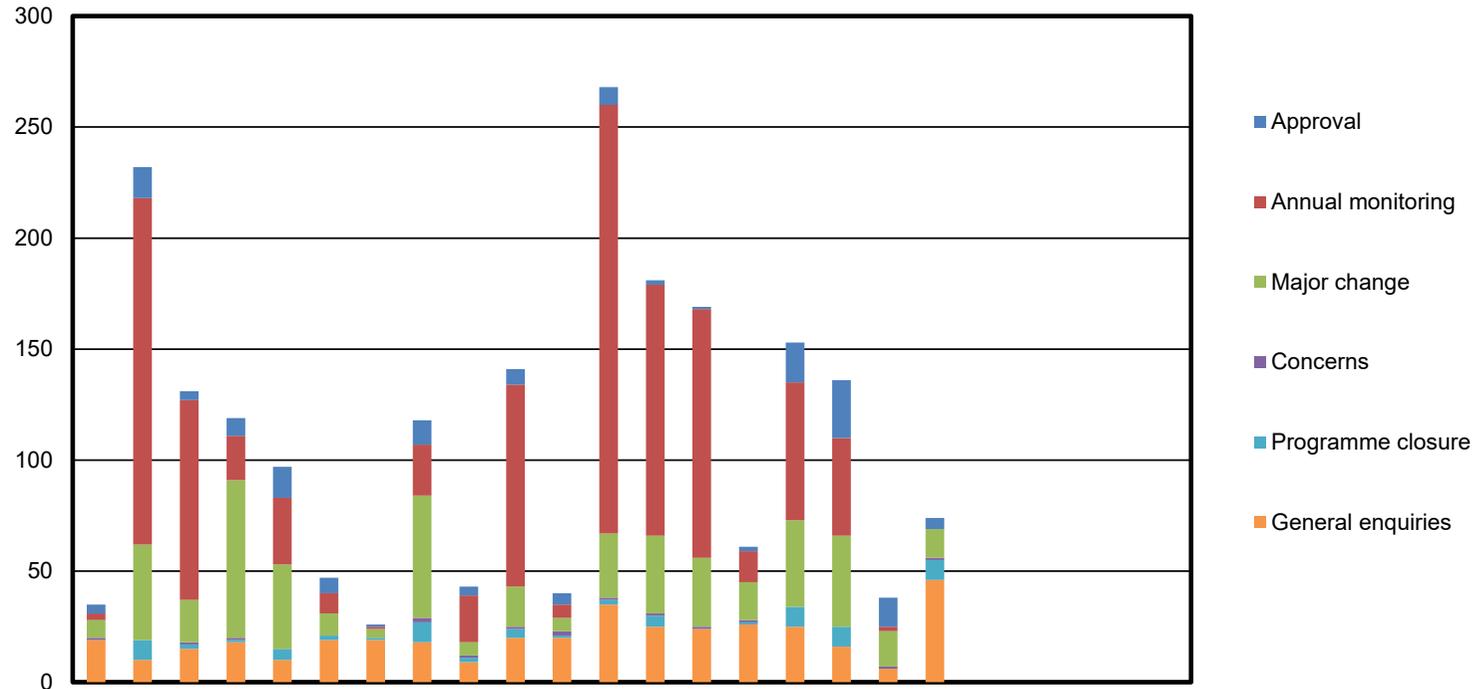
Overview of workload, Number of active cases, April 2017 - March 2019



Work area	2017			2018												2019								
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Approval	72	63	62	69	65	64	68	65	67	69	75	81	87	84	94	90	66	68	72					
Annual monitoring	276	142	57	36	585	608	613	594	572	485	484	292	193	102	106	44	143	496	498					
Major change	68	40	53	60	51	67	80	48	54	60	72	80	86	99	108	87	72	67	65					
Concerns	2	2	1	2	2	2	2	0	1	2	1	2	2	3	2	2	4	3	2					
Programme closure	9	3	3	6	3	7	11	8	11	7	7	9	11	11	16	13	6	10	28					
General enquiries	19	25	22	18	25	23	23	17	30	35	49	41	40	51	74	67	71	76	66					
Total	446	275	198	191	731	771	797	732	735	658	688	505	419	350	400	303	362	720	731					

2016/17	2017/18	2018/19
FYE	FYE	YTD
70	81	94
283	292	106
57	80	108
3	2	2
8	9	16
31	41	74
452	505	400

Overview of workload, Number of resolved cases, April 2017 - March 2019



Work area	2017			2018												2019									
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
Approval	4	14	4	8	14	7	1	11	4	7	5	8	2	1	2	18	26	13	5						
Annual monitoring	3	156	90	20	30	9	1	23	21	91	6	193	113	112	14	62	44	2	0						
Major change	8	43	19	71	38	10	4	55	6	18	6	29	35	31	17	39	41	16	13						
Concerns	1	0	1	1	0	0	0	2	1	1	2	1	1	1	1	0	0	1	1						
Programme closure	0	9	2	1	5	2	1	9	2	4	1	2	5	0	1	9	9	0	9						
General enquiries	19	10	15	18	10	19	19	18	9	20	20	35	25	24	26	25	16	6	46						
Total	35	232	131	119	97	47	26	118	43	141	40	268	181	169	61	153	136	38	74						

2016/17	2017/18	2018/19
FYE	FYE	YTD
62	87	67
762	643	347
310	307	192
10	10	5
31	38	33
131	212	168
1,306	1,297	812

Fitness to Practise

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Fitness to Practise: overview (based on data up to the end of October 2018)

New and open cases

- The total new concerns received since the beginning of the reporting year was 1348 in October, which averages as 193 new cases per month. The total number so far matches our original forecast of total cases per month, though the variability of numbers of new cases has been as high as 133% of the forecast (in July) . (Table 1)
- The total open caseload was 2,286 in October. The total number of open pre-ICP cases (1,939) has reduced, and in both August and October, we closed more cases than we received in the month. This is the first time in a year that we have achieved this. (Table 1)
- The total number of open post-ICP cases was less than expected in the forecast. Of the 303 open cases, 41% have a final hearing listed, 1% have a preliminary hearing listed, 27% are with scheduling and are being listed, and 32% are with our external legal suppliers. These proportions remain in line with our budget and planning assumptions, and the number of concluded hearings is matching the numbers referred from the Investigating Committee.

Length of time

- The median length of time from receipt for cases to reach an ICP decision has gone up to 66.6 weeks in October compared to 63.4 weeks in July (the corporate KPI is 33 weeks). This is a result of direct targeting of older cases, and driving the progression to the ICP. Of those concluding in October 75% were older than 52 weeks from receipt (4 were older than 104 weeks and 1 older than 156 weeks). Concluding cases older than 52 weeks helps to address the key PSA measures in this respect. (Table 2)
- The median length of time for cases to reach the final hearing once referred by the ICP was 53.3 weeks in October compared to 54.8 weeks in July (the corporate KPI is 39 weeks). This was a result of concluding older cases. 50% of cases concluded in October were over 52 weeks old from the ICP decision (there were non older than 104 weeks). The stability in this KPI shows that we continue to target the already old cases. This is likely to continue until Q4 of the year, after which, this KPI will be nearer to the target. (Table 3)
- The median length of time to conclude cases at hearing from receipt was 102.6 weeks compared to 99.6 weeks in July (the corporate KPI is 73 weeks). Across the year to date, the age at conclusion is broadly stable, partly due to the time accrued in

the preICP stage. This is likely to continue to the end of the year, when it will reduce. As an illustration, the median age of 60% of the preICP cases is 5 months, with the remainder being 11 months. (Table 4)

- Interim order cases were progressed in a median time of 15.9 weeks from receipt. This meets the KPI of 16 weeks. (Table 5)

Age of open cases

- On quarterly basis, the PSA monitors the number of open cases which are over 156 weeks old, over 104 weeks old and over 52 weeks old. Our target is to bring the number of cases over 156 weeks old to 14, over 104 week old to 80 and over 52 weeks to 378, the figures in 2014.
- In October we had 37 cases which were over 156 weeks, 142 cases which were over 104 weeks and 575 cases which were over 104 weeks. There has been some fluctuations in these numbers across the year, as we focus on different parts of the process, but the two oldest categories have not increased significantly, suggesting that we are keeping pace with conclusions of the oldest cases that are being advanced as a result of our improvement works. (See Table 6)
- The number of total open pre-ICP cases had reduced to 1983 in October. Out of this number 76% is younger than 52 weeks. 9 cases are older than 156 weeks, 62 cases are older than 104 weeks and 402 cases are older than 52 weeks. (Table 2)
- The number of open post ICP cases continues to remain stable. The number of open post ICP case was 303 in October. Out of this number the number of cases over 156 was 28 (9%), over 104 weeks was 80 (26%) and 173 (57%) over 52 weeks . Twenty two cases (7%) are less than 52 weeks from receipt. All categories of cases are stable and within the expected tolerances. (Table 3).

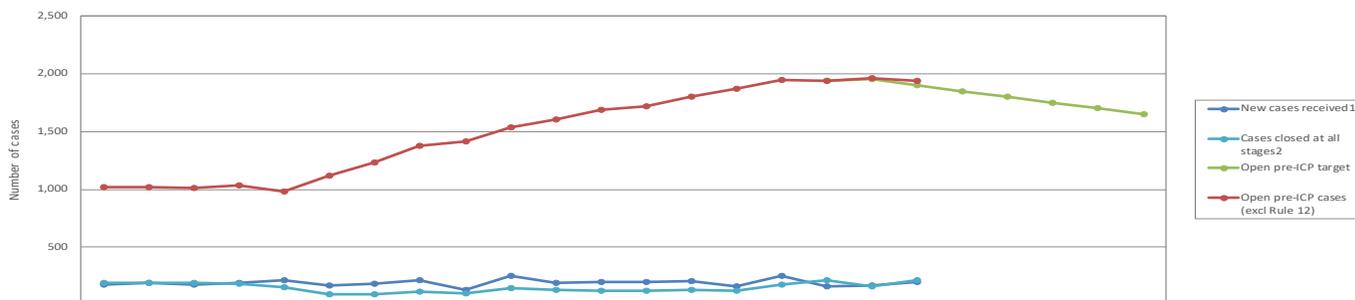
Challenges to Fitness to Practise Decisions

- There have been no six appeals from registrants against the decision of the Conduct and Competence Committee have been received since April. Of these only one remains ongoing. All other appeals have been successfully concluded including award of costs. No new appeals were received in October. (Table 7)

Table 1

Fitness to Practise (FTP) Overview

Fitness to Practise Department



	2017			2018									2019									17/18	18/19 Forecast								
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Year End 17-18	Original Forecast	3 month re-forecast	6 month re-forecast	9 month re-forecast	2018-19 YTD	
New cases received ¹	175	192	179	194	212	167	185	214	133	254	195	202	199	205	165	256	158	168	197						2,302	2,239	2,311			1,348	
Rolling 12 month average New Cases	187	184	183	184	186	183	183	185	184	192	192	192	194	195	194	199	194	195	196						N/A	Not specifically forecast					
Cases closed at all stages ²	189	193	194	184	152	93	94	114	101	147	130	126	123	133	125	176	218	164	211						1,717	2,123	2,127			1,150	
Cases open at all stages ³	1,518	1,528	1,523	1,545	1,495	1,621	1,716	1,835	1,855	1,957	2,036	2,101	2,117	2,203	2,246	2,310	2,283	2,297	2,286						2,101	2,140	2,186			2,286	
Open pre-ICP cases (excl Rule 12)	1,018	1,016	1,014	1,031	984	1,118	1,232	1,375	1,414	1,533	1,601	1,690	1,721	1,804	1,867	1,946	1,937	1,960	1,939						1,690	1,663	1,732			1,939	
Average cases per Case Manager (PreICP excl Interim Order and Rule 12)	Not previously reported on												55	54	52	53	54	54	49						N/A	Not specifically forecast					
Number of Case Managers (PreICP excluding Rule 12 only)	Not previously reported on												16	17	17	18	18	20	22						N/A	Not specifically forecast					
Open Rule 12 cases	38	44	48	50	46	44	38	34	35	32	40	41	42	49	48	46	41	43	44					41	67	52			44		
Open post-ICP cases	462	468	461	464	465	459	446	426	406	392	395	370	354	350	331	318	305	294	303					370	477	454			303		
Open restoration cases	Not previously reported on												5	6	5	4	5	6	4						N/A	Not specifically forecast					4
Cases closed pre-ICP (does not meet SOA)	132	147	139	144	106	90	51	67	71	111	97	79	91	97	83	135	164	113	164					1,234	1,590	1,626			847		
Cases Obs'ed	43	54	63	44	40	29	37	30	32	25	31	35	53	50	54	59	70	53	77					463	759	765			416		
Cases considered at ICP	65	56	52	61	55	47	35	27	24	31	49	40	34	34	23	41	48	52	64					542	705	673			296		
Cases closed at ICP (No Case to Answer)	15	9	12	14	11	3	8	1	5	5	8	9	4	10	8	13	22	24	19					200	160	152			100		
Cases concluded at ICP (Case to Answer)	47	41	34	41	39	40	19	23	18	22	33	26	28	22	13	21	19	22	40					548	474	448			165		
Cases concluded at ICP (Further Information) ⁴	3	6	6	6	5	4	8	3	1	4	8	5	2	2	2	7	7	6	5					90	70	74			31		
% Case to Answer (out of cases concluded)	76	82	74	75	78	93	70	96	78	81	80	67	88	69	62	62	46	48	68					79	75	75			63		
Cases concluded at Final Hearing	42	37	43	28	35	39	34	45	35	31	25	38	28	26	34	28	32	27	28					432	438	402			203		
Concluded restoration cases	Not previously reported on												0	0	1	0	0	1	0						N/A	Not specifically forecast					2
Cases in review cycle	247	231	234	237	231	226	230	243	247	245	245	245	232	225	224	220	215	217	208					245	249	223			208		
Balance between new cases and closed cases	-14	-1	-15	10	60	74	91	100	32	107	65	76	76	72	40	80	-60	4	-14					585	N/A	N/A	N/A	N/A	198		

1 Includes only cases where the 'Created Date' is within the reporting month. This means those cases received at the end of the month and not yet logged on CMS will be picked up in the reporting for the following month.

2 Includes: SOA not met, ICP no case to answer, and Cases concluded at FH.

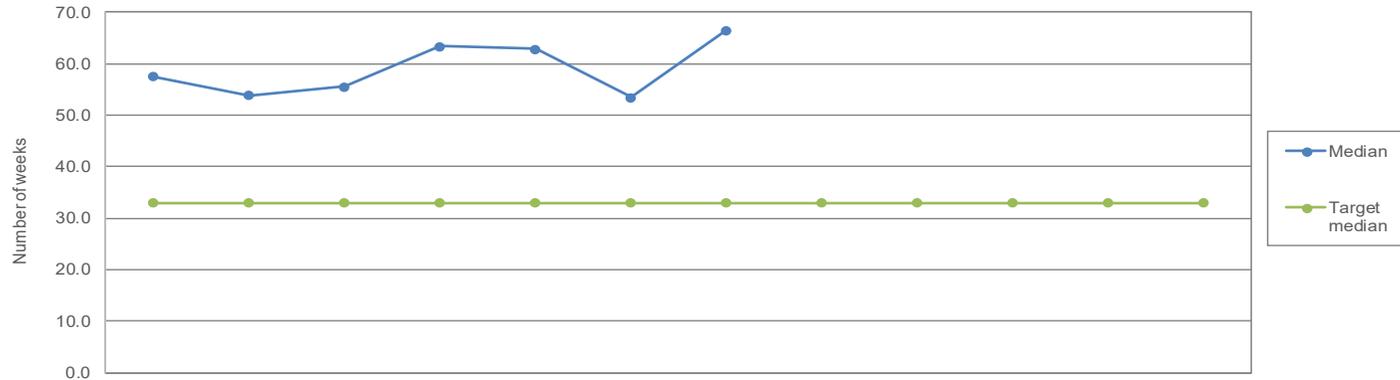
3 Includes Open pre-ICP, Open post-ICP, and open Rule 12 cases.

4 Not specifically forecast; obtained by subtracting 'Cases concluded at ICP' from 'Cases considered at ICP'.

Table 2

Length of time from receipt to a decision by an ICP (in weeks)

Fitness to Practise Department



FTP target: median of 33 weeks

Age Profile: number of concluded cases	2018								2019			2018-19 YTD	
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb		Mar
<=8 weeks	0	0	0	0	0	0	0						0
>8 and <=25 weeks	2	4	4	4	2	1	2						19
>25 and <=33 weeks	5	5	3	1	4	2	1						21
>33 and <=52 weeks	7	6	3	9	11	18	12						66
>52 and <=104 weeks	16	14	8	14	22	21	39						134
>104 and <=156 weeks	1	3	2	6	2	4	4						22
>156 weeks	1	0	1	0	0	0	1						3
TOTAL concluded cases¹	32	32	21	34	41	46	59						265
Mean	62.1	56.2	62	66	61	61	72						60
Median	57.5	53.9	55.6	63.4	62.9	53.4	66.6						54.9

Age Profile: number of open cases (pre-ICP including Rule 12)	2018								2019			2018-19 YTD	
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb		Mar
<=8 weeks	363	354	323	388	314	282	312						312
>8 and <=25 weeks	556	570	609	606	624	620	585						585
>25 and <=33 weeks	197	197	208	207	203	237	240						240
>33 and <=52 weeks	350	396	399	385	381	381	373						373
>52 and <=104 weeks	243	278	312	343	390	412	402						402
>104 and <=156 weeks	49	52	58	56	60	63	62						62
>156 weeks	5	6	6	7	6	8	9						9
TOTAL open cases	1,763	1,853	1,915	1,992	1,978	2,003	1,983						1,983

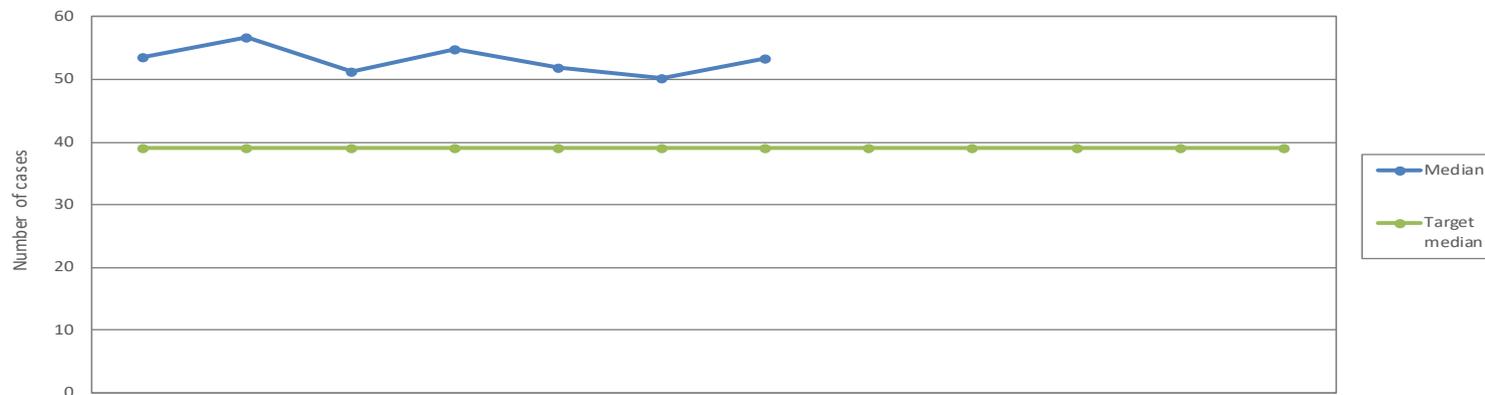
Balance between open cases and concluded cases	1,731	1,821	1,894	1,958	1,937	1,957	1,924						1,718
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¹ Total concluded cases includes 'Case to Answer' and 'No Case to Answer'.

Table 3

Length of time from ICP to conclusion (Final Hearing) (in weeks)

Fitness to Practise Department



FTP target: median of 39 weeks

Age Profile: number of concluded cases	2018						2019			2018-19 YTD			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec		Jan	Feb	Mar
<=4 weeks	0	0	0	0	0	0	0						0
>4 and <=11 weeks	0	0	0	0	0	0	0						0
>11 and <=20 weeks	0	0	1	2	0	2	0						5
>20 and <=29 weeks	0	2	3	1	3	1	0						10
>29 and <=39 weeks	4	3	3	4	7	2	7						30
>39 and <=52 weeks	10	4	13	3	6	10	7						53
>52 and <=104 weeks	10	12	13	13	13	10	14						85
>104 and <=156 weeks	3	5	1	5	3	2	0						19
>156 weeks	1	0	0	0	0	0	0						1
TOTAL concluded cases	28	26	34	28	32	27	28						203
Mean	64.6	66.5	54	63	56	55	56						59.1
Median	53.5	56.7	51.4	54.8	51.9	50.3	53.3						53.0

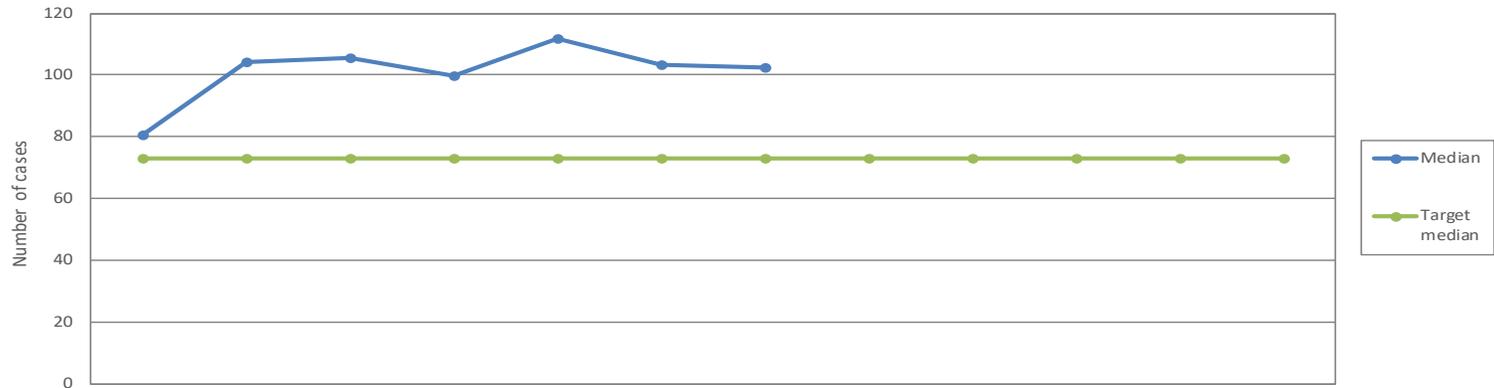
Age Profile: number of open cases post-ICP	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	2018-19 YTD
	<=4 weeks	0	0	0	0	0	0	0					
>4 and <=11 weeks	0	0	0	0	0	0	0						0
>11 and <=20 weeks	0	1	0	0	0	0	0						0
>20 and <=29 weeks	4	2	1	2	2	1	1						1
>29 and <=39 weeks	9	10	8	3	5	5	3						3
>39 and <=52 weeks	38	28	24	24	16	19	18						18
>52 and <=104 weeks	209	205	188	185	185	171	173						173
>104 and <=156 weeks	66	78	83	78	71	72	80						80
>156 weeks	28	26	27	26	26	26	28						28
TOTAL open cases	354	350	331	318	305	294	303						303

Balance between open cases and concluded cases	326	324	297	290	273	267	275						100
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Table 4

Length of time from receipt to conclusion (Final Hearing) (in weeks)

Fitness to Practise Department



FTP target: median of 73 weeks

	2018							2019					
Age Profile: number of concluded cases	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	2018-19 YTD
<=8 weeks	0	0	0	0	0	0	0						0
>8 and <=25 weeks	0	0	0	0	0	0	0						0
>25 and <=33 weeks	0	0	0	0	0	0	0						0
>33 and <=73 weeks	9	3	6	3	7	5	3						36
>73 and <=104 weeks	9	10	12	9	6	9	14						69
>104 and <=156 weeks	6	10	13	11	17	11	11						79
>156 weeks	4	3	3	5	2	2	0						19
TOTAL concluded cases	28	26	34	28	32	27	28						203
Mean	101.4	120.6	108.8	117.9	109.1	107.6	102.2						109.5
Median	80.5	104.0	105.7	99.6	112.0	103.1	102.6						103.1

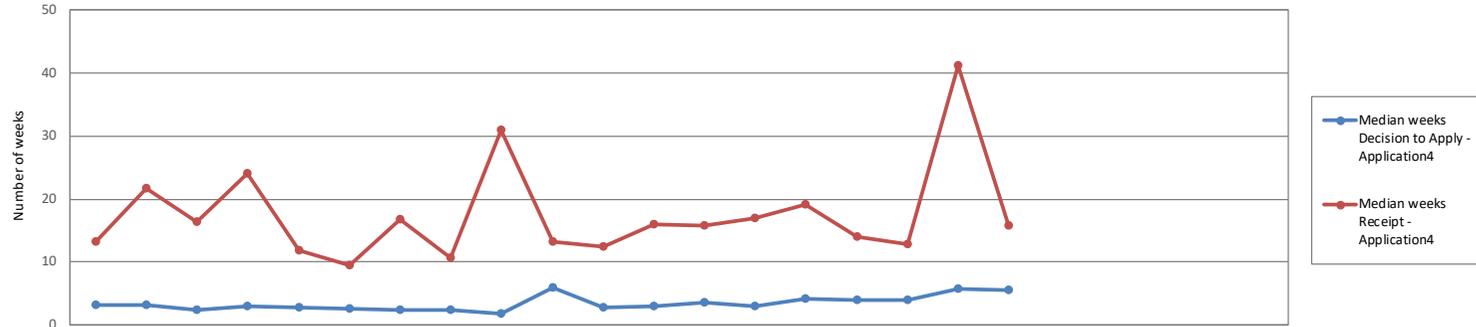
Age Profile: number of open cases since receipt	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	2018-19 YTD
<=8 weeks	363	354	323	388	314	282	312						312
>8 and <=25 weeks	558	571	610	606	625	620	585						585
>25 and <=33 weeks	202	203	210	210	206	239	242						242
>33 and <=52 weeks	394	430	429	411	400	404	393						393
>52 and <=73 weeks	243	287	299	310	333	337	324						324
>73 and <=104 weeks	209	196	201	218	242	246	251						251
>104 and <=156 weeks	115	130	141	134	131	135	142						142
>156 weeks	33	32	33	33	32	34	37						37
TOTAL open cases	2,117	2,203	2,246	2,310	2,283	2,297	2,286						2,286

Balance between open cases and concluded cases	2,089	2,177	2,212	2,282	2,251	2,270	2,258						2,083
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Table 5

Interim Orders breakdown (in weeks)

Fitness to Practise Department



	2017			2018												2019			15/16	16/17	17/18	18/19								
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD		
Applications considered	8	15	16	11	12	19	17	18	5	11	15	17	17	19	18	20	18	6	13						89	142	164	111		
Applications adjourned	Not captured in this way in 2017/18												1	3	1	1	4	1	2									Not captured in this way		13
Applications granted	7	13	15	10	11	16	14	17	5	8	11	14	13	14	14	15	8	4	8						78	128	141	76		
Applications not granted	1	2	1	1	3	3	1	0	3	4	3		3	2	3	4	6	1	3						11	14	23	22		
Interim Orders reviewed	29	33	36	35	46	18	23	29	29	23	28	11	18	26	26	19	35	26	32						261	317	340	182		
Interim Orders revoked	3	0	0	1	1	0	0	0	0	0	2	0	1	4	2	1	3	0	3						7	8	7	14		
IOs sent to BDB to request High Court extension ¹	4	0	9	3	3	0	6	2	5	3	2	7	4	6	8	4	3	5	3						19	23	44	33		
Interim Order not imposed at Final Hearing ²	0	0	0	1	2	1	0	0	2	2	0	1	1	0	1	1	0	0	0						Not reported	1	9	3		
Mean weeks Receipt-Application ³	21	30	23	31	13	26	24	19	40	18	15	23	23	30	29	22	16	52	27						22	29	24	25		
Median weeks Receipt - Application ⁴	13	22	16	24	12	9	17	11	31	13	12	16	16	17	19	14	13	41	16						15	22	14	15		
Mean weeks Decision to Apply - Application ³	4	5	3	3	3	3	3	3	2	6	3	4	5	5	5	5	4	6	6						3	3	4	5		
Median weeks Decision to Apply - Application ⁴	3	3	2	3	3	3	2	2	2	6	3	3	4	3	4	4	4	6	6						2	3	3	4		

¹ This is the number of cases we send to DBD, regardless of whether they go to High Court or not - the latter number is not available.

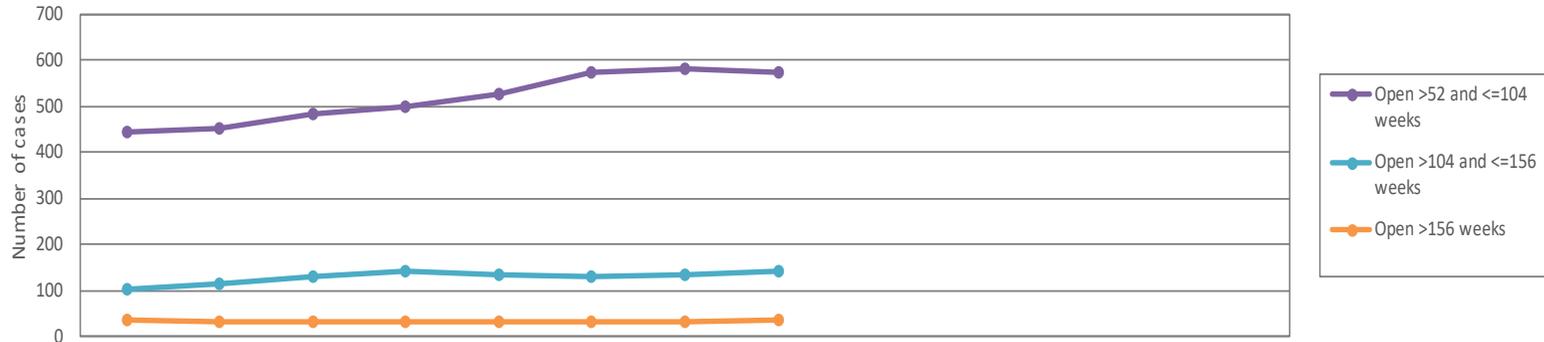
² Covers appeal period.

³ From 2017/18, the mean is calculated on year-to-date data, and is not the mean of monthly means.

⁴ From 2017/18, the median is calculated on year-to-date data, and is not the mean of monthly medians.

Table 6
Key PSA measures

Fitness to Practise Department



	2018										2019				18/19			
	Target	Mar-18	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	15/16	16/17	17/18	YTD
New cases received		202	199	205	165	256	158	168	197						2,127	2,259	2,302	256
Total open cases (pre- and post-ICP)		2,060	2,117	2,203	2,246	2,310	2,283	2,297	2,286						1,675	1,491	2,060	2,286
Open >52 and <=104 weeks	378	444	452	483	500	528	575	583	575						Not previously reported in this way			575
Open >104 and <=156 weeks	80	105	115	130	141	134	131	135	142									142
Open >156 weeks	14	38	33	32	33	33	32	34	37									37
Open pre-ICP		1,690	1,763	1,853	1,915	1,992	1,978	2,003	1,983						1,208	1,027	1,690	1,983
Open post-ICP		370	354	350	331	318	305	294	303						467	464	370	303

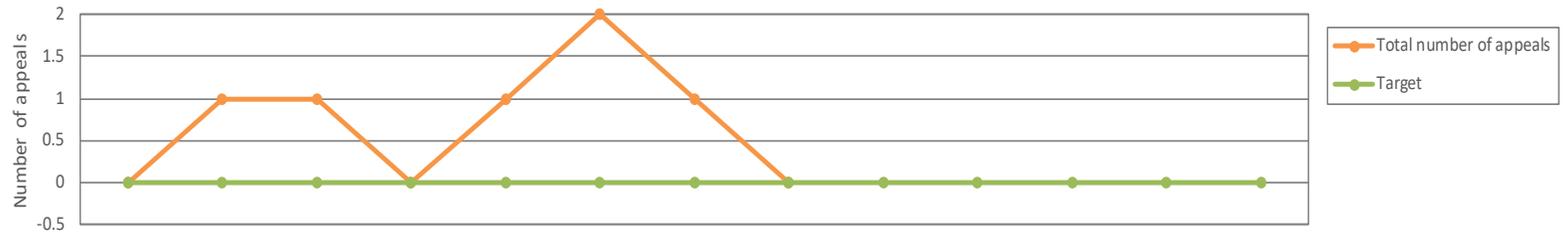
PSA monitors quarterly cases that have been open for longer than 52 weeks, longer than 104 weeks, and longer than 156 weeks.

Our targets are the following number of cases in the relevant brackets:

- >52 and <=104 weeks: 378
- >104 and <=156 weeks: 80
- >156 weeks: 14

Table 7

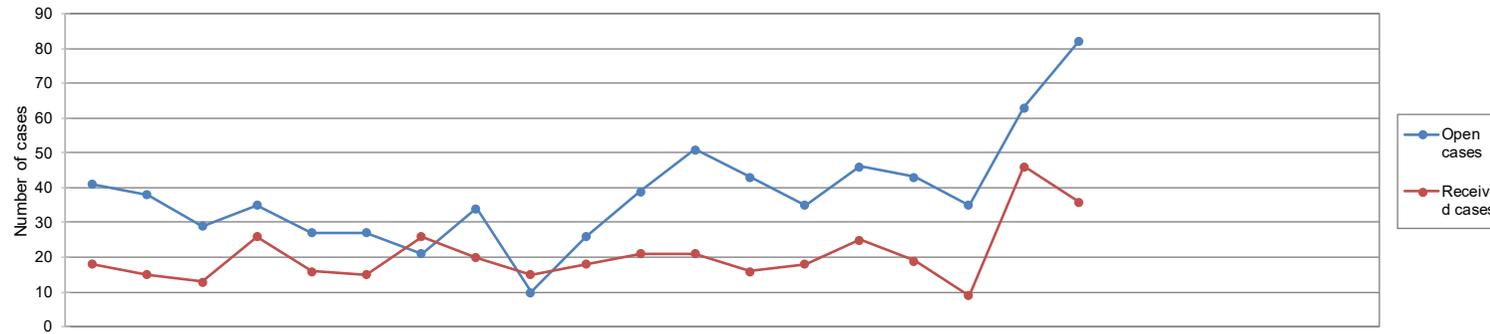
4. Number of court appeals received against fitness to practise decisions



	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	2017-18 YTD
Number of fitness to practise FH decisions	38	28	26	34	28	32	27	28						203
Number of registrant appeals	0	1	1	0	1	2	1	0						6
Number of PSA appeals	0	0	0	0	0	0	0	0						0
Number of Judicial Reviews	0	0	0	0	0	0	0	0						0
Total number of appeals	0	1	1	0	1	2	1	0						6
Appeals against FTP decisions ratio - %	0.00	0.04	0.04	0.00	0.04	0.06	0.04	0.00						0.0

Table 9
Protection of Title

Fitness to Practise Department



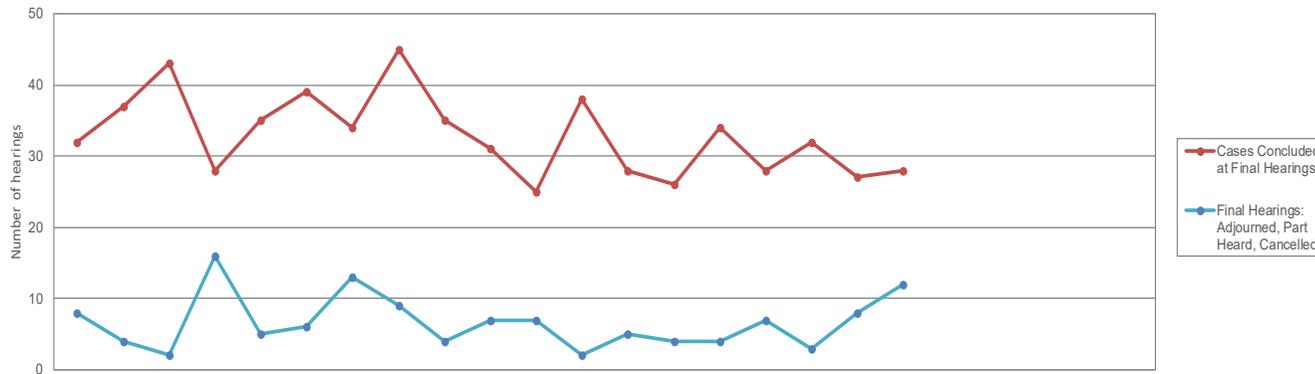
	2017			2018									2019											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Public	13	8	4	7	9	7	13	13	6	9	10	8	8	10	12	9	4	21	12					
Police	0	0	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0					
HCPC Registrant / Internal	4	6	5	9	4	4	10	5	6	7	7	9	6	5	10	4	3	12	16					
Anonymous	0	0	0	2	1	0	1	0	0	0	0	0	0	0	0	1	0	2	0					
Professional body	0	1	4	6	2	4	1	2	2	2	4	4	2	3	3	5	2	11	6					
Other	1	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	2					
Received cases	18	15	13	26	16	15	26	20	15	18	21	21	16	18	25	19	9	46	36					
Open cases	41	38	29	35	27	27	21	34	10	26	39	51	43	35	46	43	35	63	82					

14/15	15/16	16/17	17/18	18/19
FYE	FYE	FYE	FYE	YTD
150	135	94	107	76
4	2	0	2	0
10	18	57	76	56
14	14	20	4	3
139	112	51	32	32
9	43	14	3	2
326	324	236	224	169

Table 10

Hearings Management Information Summary

Fitness to Practise Department



	2017			2018			2019						Year End 17/18	18/19																	
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Original Forecast	3 month re-forecast	6 month re-forecast	9 month re-forecast	YTD Total	
Cases Listed for Final Hearings	41	41	45	44	40	45	47	54	39	38	32	41	33	30	38	36	35	35	40							511	438	402			247
Cases Concluded at Final Hearings	32	37	43	28	35	39	34	45	35	31	25	38	28	26	34	28	32	27	28							432	372	350			203
Final Hearings: Adjourned, Part Heard, Cancelled	8	4	2	16	5	6	13	9	4	7	7	2	5	4	4	7	3	8	12							78	66	52			43
% of Hearings Adjourned/Part Heard	20	10	4	36	13	13	28	17	10	18	22	5	15	13	11	19	9	23	30							15	15	13			17
Review Hearings Scheduled	23	19	24	30	32	15	22	16	20	24	18	29	21	25	18	18	35	35	40							272	296	263			192
Review Hearings Concluded	23	19	24	16	30	15	22	16	17	22	18	28	20	25	21	16	22	13	32							250	296	265			149
Cases in Review Cycle	247	231	234	237	231	226	230	243	247	245	245	245	232	233	224	220	215	217	208							245	249	223			208
Preliminary Hearings	2	9	8	11	6	3	1	4	4	3	5	3	5	3	2	9	2	5	7							59	72	63			33

Registration

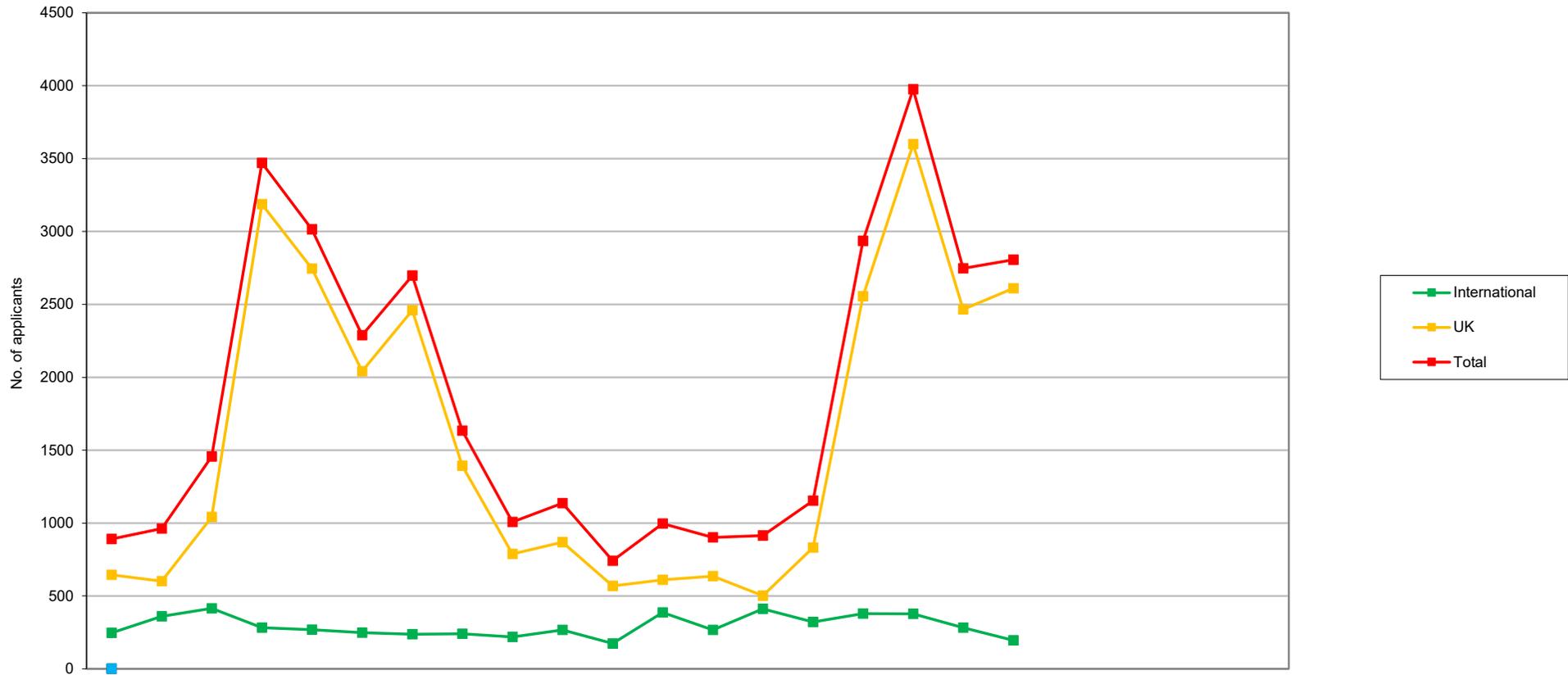
Page number

Overview	58
Table 1: Number of registrants by profession	59
Table 2: New registrants	60
Table 3: Registration appeals received	61
Table 4: Registration appeal decisions	62

Registration: overview

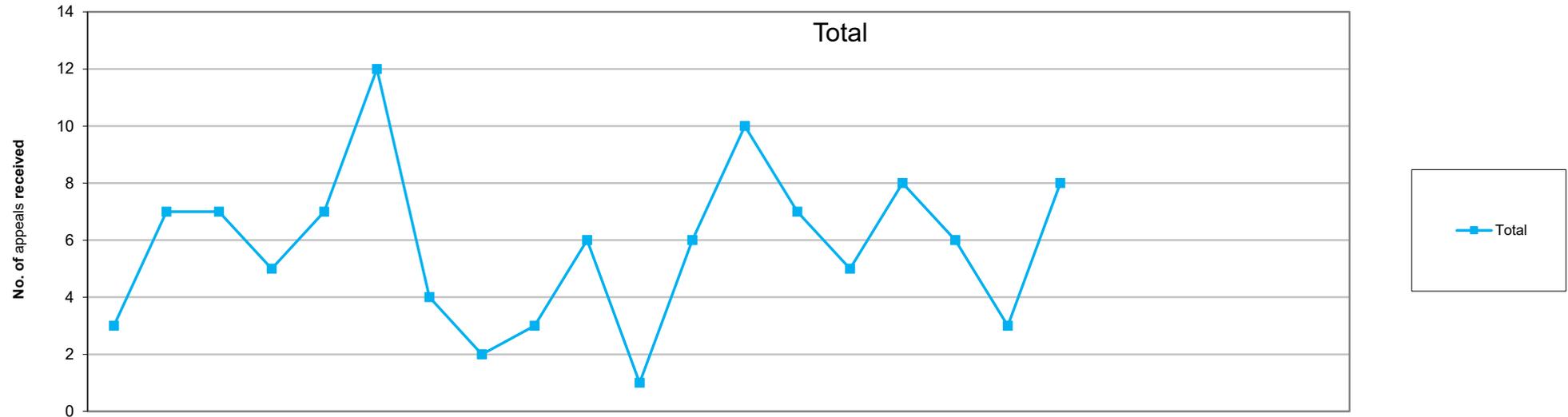
- This section provides an update about the work of the Registration Department from September to October 2018. All of the department's service standards were consistently achieved for the period with the exception of answering UK telephone calls.
- A total of 36,373 UK telephone calls were received which is 7,013 (or 16.2%) fewer than compared to the same period in 2016 and an average of 88% of UK telephone calls were answered. The shortage of fully trained Registration Advisors attributed to this service standard not being met as well as actively prioritising available resource to fulfil the department's regulatory functions of registering new applicants, renewing existing registrants and managing continuing professional development audits.
- A total of 4,387 international emails were received which is 998 (or 29.4%) more than the same period last year. All emails were answered with an average of 1 working day, compared to 3 days in 2017.
- A total of 942 international applications were received which is 349 (or 58.8%) more than compared to the same period last year. For the period of September to October 2018 the 60 working days service standard was met.
- At the start of September 2018 97,322 social workers in England and 13,773 operating department practitioners were invited to renew their registration and registrants have until 30 November 2018 to complete their professional declaration and pay their fee. As at the 13 November 2018 71% of social workers in England and 83.3% of operating department practitioners had renewed their registration.
- Recruitment campaigns are being held frequently to ensure vacancies are filled as quickly as possible. During the period from September to October 2018, 6 candidates were successfully recruited to Registration Advisor roles. A 6 month multi-skilling training programme for all new recruits is being delivered.

New Registrants April 2017 - March 2019



	2017			2018									2019						15/16	16/17	17/18	18/19							
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD	
International	246	360	415	282	269	248	237	241	219	267	174	386	267	412	322	379	377	283	196							2,871	3,905	3,344	2,236
UK	645	602	1,041	3,188	2,745	2,041	2,460	1,393	788	869	568	610	635	502	831	2,556	3,599	2,465	2,610							16,468	16,190	16,950	13,198
Total	891	962	1,456	3,470	3,014	2,289	2,697	1,634	1,007	1,136	742	996	902	914	1,153	2,935	3,976	2,748	2,806							19,340	20,095	20,294	15,434

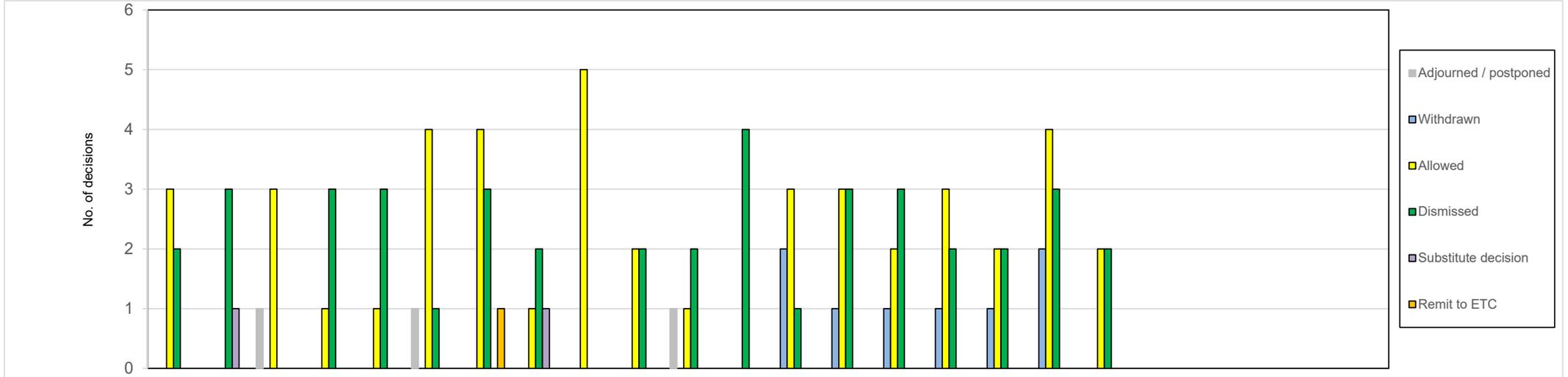
Registration Appeals Received April 2017 - March 2019



	2017			2018									2019									16/17	17/18	18/19				
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	YTD	
EMR (1)	2	1	1	3	2	3	1	1	1	4	1	2	2	1	1	1	2	0	2									
Non-EMR (2)	1	5	4	1	3	1	0	0	1	1	0	2	4	4	2	4	2	3	5									
Visitors (3)	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0									
UK (4)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
Returners to practice (5)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
CPD (6)	0	1	2	1	2	4	1	0	1	0	0	1	2	0	0	3	1	0	0									
Health and Character declarations (7)	0	0	0	0	0	4	2	1	0	0	0	1	2	2	2	0	1	0	1									
Total	3	7	7	5	7	12	4	2	3	6	1	6	10	7	5	8	6	3	8						56	63	47	

- 1 International applications with European Mutual Recognition (EMR) rights.
- 2 International applications without EMR rights.
- 3 Delcarations to be on the Register of visiting health professionals.
- 4 UK applications for registration.
- 5 Applications for readmission to the Register.
- 6 Continuing Professional Development profiles.
- 7 Any application where a positive declaration has been made by the applicant for health and character.

Registration Appeal Decisions April 2017 - March 2019



	2017			2018									2019						16/17	17/18	18/19						
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	YTD
Adjournd / postponed	0	0	1	0	0	1	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	3	1
Withdrawn	0	0	0	0	0	0	0	0	0	0	0	0	2	1	1	1	1	2	0						16	0	8
Allowed	3	0	3	1	1	4	4	1	5	2	1	0	3	3	2	3	2	4	2						9	25	19
Dismissed	2	3	0	3	3	1	3	2	0	2	2	4	1	3	3	2	2	3	2						32	25	16
Substitute decision	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0						2	2	0
Remit to ETC	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0						5	1	0
Hearings held	5	4	4	4	4	6	8	4	5	4	4	4	5	6	5	5	4	7	4						48	56	36

Human Resources and Partners

Page number

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Table 1: Employee numbers..... 65

Table 2: Employee sickness absence and turnover..... 66

Table 3: Quarterly leavers 67

Table 4: Partner turnover 68

Human Resources and Partners: overview

- Employee turnover

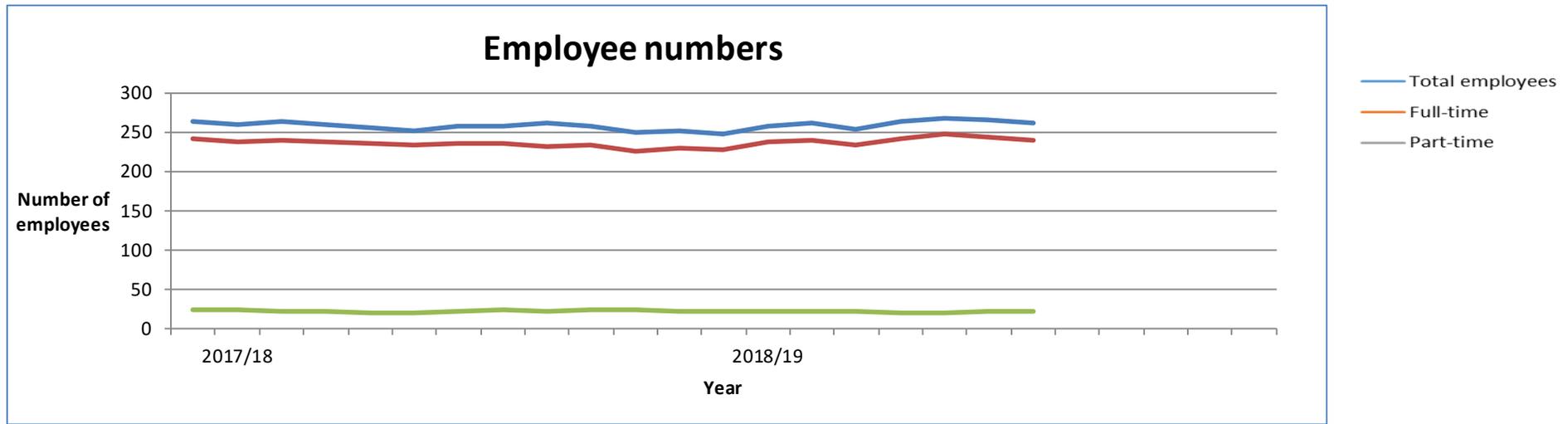
Voluntary employee turnover has fallen to 22% for the first time since January 2018. More detailed turnover data is being provided to the SMT on a quarterly basis, and is reproduced in this report for the Council. Quarterly breakdowns of turnover by pay band and by length of service have been provided, and different data sets are available if required.

- Culture and engagement action plan

An action plan for cultural change and employee engagement has been developed and will be presented to the Council in a separate paper. The culture and engagement plan has been informed by employee feedback from the 2018 engagement survey, pay and reward focus groups, Engage for the future workshops and exit interview data.

- Review of pay and grading

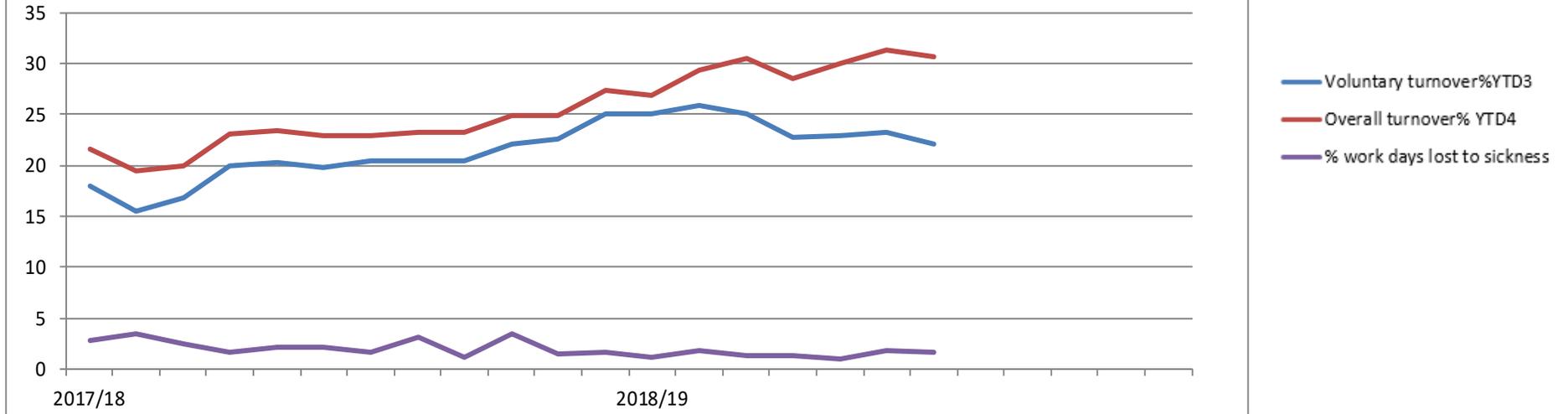
The final report of recommendations arising from the review of pay and grading was presented to the SMT at its meeting on 20 November and will be reviewed at the next meeting of the Remuneration Committee in January 2019.



	2017/18												2018/19												15/16	16/17	17/18	18/19
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD
Budgeted employees																												
Budgeted permanent	285	285	285	285	285	285	285	285	285	285	285	285	261	262	262	266	267	266	265	265	266	266	266	267	255	262	285	267
Budgeted fixed term													20	20	18	16	16	16	16	16	16	16	16	15				15
Total employees	260	263	259	256	252	258	258	261	257	250	252	248	258	261	254	263	267	265	261						234	249	248	261
Full-time	237	239	238	236	233	236	235	232	234	226	230	227	237	240	233	242	247	243	240						217	226	227	240
Part-time	23	22	21	20	19	22	23	21	23	24	22	21	21	21	21	20	20	22	21						19	22	21	21
Flexible working*	75	75	74	77	74	78	79	78	76	76	74	74	76	68	66	70	82	74	74						41	56	74	68
FTE*	255	256	255	251	247	253	253	249	201	244	246	242	252	254	248	248	262	259	256						230	242	242	254
Permanent	237	237	228	222	219	214	212	203	205	202	207	202	211	210	206	212	218	216	214						229	234	202	210
Maternity/paternity leave	9	10	11	14	11	11	11	10	8	7	7	11	9	7	6	6	6	10	6						3	6	11	7
Unpaid Sabbaticals	2	2	2	2	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0							2	0	0
Fixed-Term Contracts	23	26	31	34	33	44	47	52	52	49	45	46	47	51	48	55	49	49	47						5	15	46	51
Starters (permanent)	4	2	1	1	1	0	2	0	0	0	2	4	9	3	2	2	0	2	2						44	45	17	20
Starters (fixed-term)	2	4	1	6	0	4	4	3	4	1	2	2	4	3	5	5	1	2	0						5	23	33	12
Vacancies	25	22	26	29	33	27	27	24	28	35	33	37	23	21	26	19	16	17	20						5	23	346	142

*Flexible working Includes flexible working arrangements separate or in conjunction with part time working
 *FTE Full-time equivalent, includes maternity/paternity but does not include unpaid sabbaticals
 YTD Year to Date

Employee sickness absence & turnover



	2017/18												2018/19												15/16	16/17	17/18	18/19
	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD
Voluntary resignations¹	5	1	7	11	4	3	5	3	4	8	5	8	5	3	5	5	5	4	2						29	43	56	29
Compulsory leavers ²	3	1	0	0	0	0	0	1	0	0	0	0	0	2	3	0	1	1	1						4	5	5	8
Total leavers (vol. & comp.)	9	2	7	11	4	3	5	4	4	8	5	8	5	5	7	5	6	5	3						33	48	70	36
Voluntary turnover%YTD	18	15	17	20	20	20	21	20	20	22	23	25	25	26	25	23	23	23	22						14	17	25	22
Overall turnover% YTD⁴	22	19	20	23	23	23	23	23	23	25	25	27	27	29	30	29	30	31	31						77	19	30	31
Agency days	207	332	276	350	342	454	470	582	470	716	641	649	697	600	419	499	549	531	692						3684	4304	5489	3987
% work days lost to sickness	3	3	3	2	2	2	2	3	1	3	1	2	1	2	1	1	1	2	2						2	3	2	1
Average sick-days YTD	7	7	7	7	8	8	7	7	7	7	7	6	6	6	5	5	5	5	5						6	6	8	5
Sick-days	156	197	143	94	118	117	96	176	69	192	82	93	62	102	76	71	60	109	98						1346	1757	1533	578
Occ. Health Referrals	1	4	5	6	7	5	4	2	1	2	2	1	1	2	2	1	1	1	0						23	17	46	8

¹ **Voluntary Resignations** Includes resignations of permanent employees, or resignations of fixed term employees prior to the end of their contract

² **Compulsory Leavers:** Records leavers except for resignations. Includes expiries of fixed term contracts, redundancies, dismissals,

³ **Voluntary Turnover YTD** Shows the year to date turnover percentage (last twelve months) for resignations only

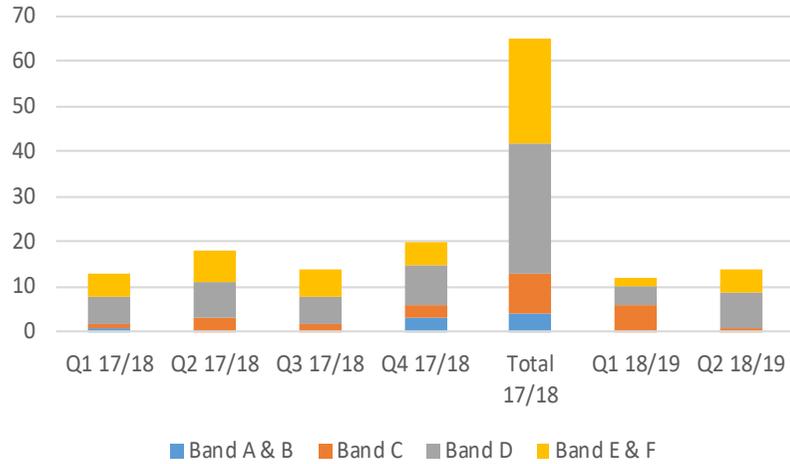
⁴ **Overall Turnover:** Shows the year to date turnover (last twelve months) for all leavers - voluntary and compulsory

FTE Full-time equivalent

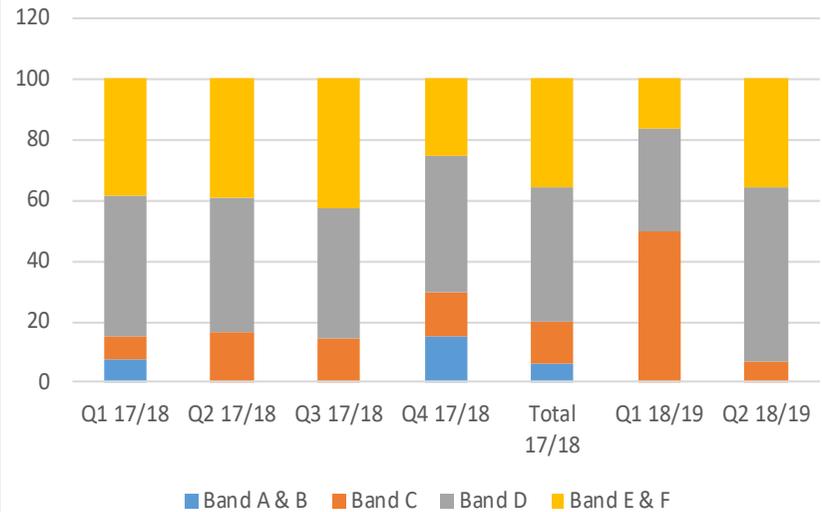
YTD Year to Date

FYE Final Year End

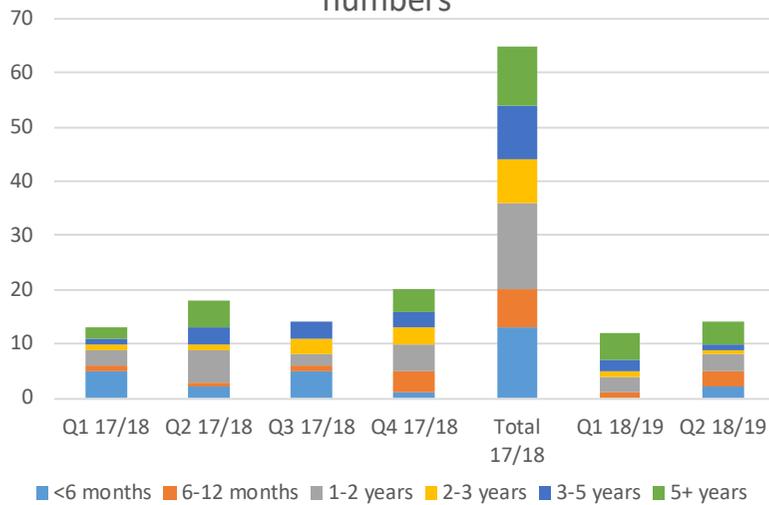
Quarterly leavers by pay band: numbers



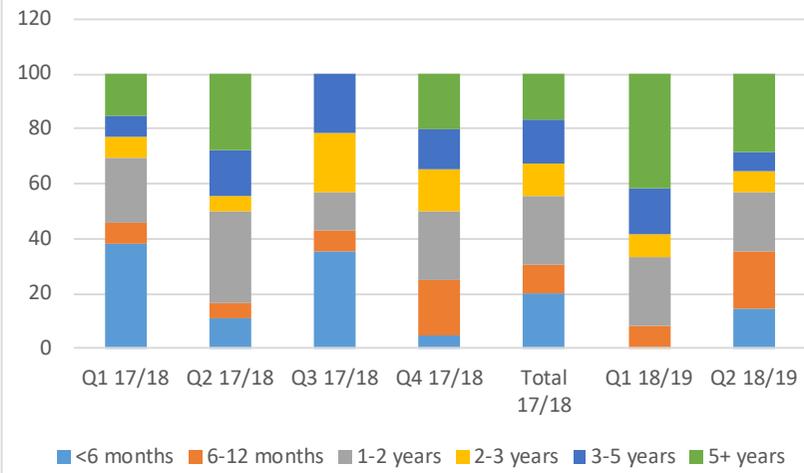
Quarterly leavers by pay band: percentage

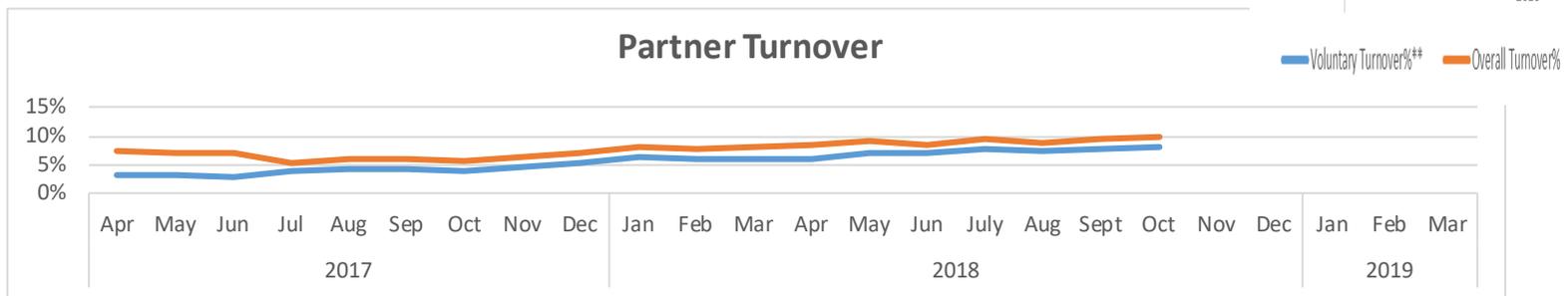


Quarterly leavers by Length of Service: numbers



Quarterly leavers by Length of Service: percentage





Partner turnover

	2017												2018												2019												17/18	18/19									
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	FYE	YTD									
Voluntary Resignations	2	1	0	7	4	1	1	6	6	8	1	3	3	8	0	13	1	3	4					3	8	0	13	1	3	4																40	32
8-year rule*	0	0	4	0	0	0	0	0	0	1	2	5	0	0	0	0	0	3	0					0	0	0	0	0	3	0																12	3
Terminations	1	1	0	0	1	0	0	0	0	0	1	0	1	0	0	0	0	0	0					1	0	0	0	0	0	0																4	1
Total Leavers (Vol & Comp)	3	2	4	7	5	1	1	6	6	9	4	8	4	8	0	13	1	6	4					4	8	0	13	1	6	4																56	36
Partners	660	670	676	666	670	685	702	698	696	690	689	689	700	692	707	708	694	696	723					700	692	707	708	694	696	723																683	723
Voluntary Turnover%**	3%	3%	3%	4%	4%	4%	4%	5%	5%	6%	6%	6%	6%	7%	7%	8%	7%	8%	8%					6%	7%	7%	8%	7%	8%	8%																6%	8%
Overall Turnover%	7%	7%	7%	5%	6%	6%	6%	6%	7%	8%	8%	8%	8%	9%	9%	9%	9%	9%	10%					8%	9%	9%	9%	9%	10%																	8%	10%

*Including failed renewal assessment

Turnover information does not capture those Partners who move from one role to another or those who leave one role and remain in another

YTD = Year to date

Quality Assurance

Page number

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Quality Assurance Department: overview

- All audit reports are reviewed by the relevant departments (who agree any audit recommendations), SMT and the FTP Improvement Project Board (where appropriate). The Quality Assurance Department tracks progress on agreed activities in relation to audit recommendations.
- Audits completed in this period:
 - FTP Investigation Committee Panel (ICP) Decisions - audit on the quality of ICP written decisions and the key inputs that feed into the decisions.
Status - FTP management agreed recommendations, SMT and FTP Improvement Project Board received the report.
 - FTP Interim Order Applications - audit on IO Applications to determine whether decision making followed guidance, was clearly communicated and whether the process was meeting the required timescales.
Status - FTP management agreed recommendations, SMT and FTP Improvement Project Board to receive report.
 - FTP Investigation Cases - audit on the new investigation planning process introduced in July 2018 to determine whether the process is being followed within the required timescales.
Status – report being finalised.
 - BSI external audit ISO9001 – biennial external audit.
Status – report sent to SMT and Audit Committee.
- Ongoing audits:
 - Education business process (approval) - audit on approval business process focused on areas of medium and high risk identified in previous audits.
 - FTP Investigations Evaluation - audit on the quality of investigation plans being completed. Focused on assessing whether the plans identify all the potential FTP concerns, and that the investigative steps included in the plan are proportionate and specific.
- Audits to start in this quarter:

- Registration Comparable Qualifications List (CQL) - audit of the implementation of the CQL process to include a review of relevant applications and determining whether the correct process has been followed for both CQL eligible and non-CQL eligible applications.
- Education Programme Records - audit to check the accuracy and status of programme records through a review of specific operational activities.
- FTP Risk Assessment - audit of risk assessments to assess the quality, whether guidance is being followed, and whether the assessments are completed within the required timescales.
- FTP Non-FTP Cases - audit of recent Protection of title, Health and character declaration, and Miscellaneous enquiry cases to assess whether decisions are being made in line with guidance and concerns about registrants / applicants are being managed appropriately.

HCPC Strategic Risks

2018-19 to 2022-23

Relationship with strategic priorities

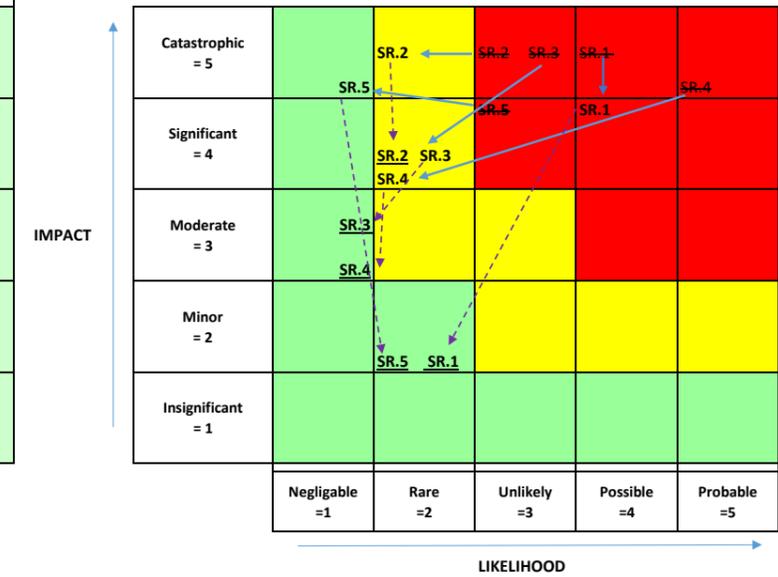
SP1 Perf	SP2 Com	SP3 Adapt	SP4 Evid

Summary of strategic risks

Strategic Risks - High Level	Risk Description	INHERENT RISK	RESIDUAL RISK	EXPECTED RISK*
1. Failure to deliver effective regulatory functions	This includes the inability to fulfill our statutory obligations set out in the Health and Social Work Professions Order and the failure to meet the PSA's Good Standards of Regulation.	20	16	4
2. Failure to anticipate and respond to changes in the external environment	This includes the ability to respond and influence external drivers for change, like the impact of Brexit, devolution or a change in government as well as issues like workforce development, new and emerging professions or government policies affecting professional regulation. It also includes awareness and responsiveness to advances in technology and systems.	15	10	5
3. Failure to be a trusted regulator and meet stakeholder expectations	This risk includes the management of stakeholder engagement and key relationships as well as reputation management.	15	8	5
4. Failure to be an efficient regulator	This risk includes the operational failure of processes, or the inability to manage data efficiently as well the vulnerability of IT security. It also includes financial security, timely and accurate reporting and the recruitment, retention and training of Partners, Council and employees.	25	8	5
5. Failure of leadership, governance or culture	This risk includes the effectiveness of Council, strategy setting and oversight, risk management and business planning. It also covers organisational culture including the existence of relevant policies for whistleblowing or anti-bribery for example and processes for performance development.	12	5	4

* Expected risk score post planned actions

Heat map of strategic risks



STRATEGIC PRIORITIES DEFINITIONS

Strategic priority 1 = Performance = (SP1) Improve our performance to achieve the Professional Standards Authority's Standards of Good Regulation
Strategic priority 2 = Communication = (SP2) Ensure our communication and engagement activities are proactive, effective and informed by the views and expectations of our stakeholders
Strategic priority 3 = Adaptability = (SP3) Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment
Strategic priority 4 = Evidence = (SP4) Make better use of data, intelligence and research evidence to drive improvement and engagement

Key

Risk = Impact x Likelihood	
Inherent Risk	SR.x That level of risk existing before any mitigations were put in place.
Residual Risk	SR.x That level of risk that the organisation has currently mitigated down to.
Expected Risk	SR.x That level of risk that the organisation finds desirable but may not have yet attained.

STRATEGIC RISK
1. Failure to deliver effective regulatory functions

RISK OWNER
SMT

Review period
Nov-18

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2018-19	Expected risk
<p>This includes the inability to fulfill our statutory obligations set out in the Health and Social Work Professions Order and the failure to meet the PSA's Good Standards of Regulation.</p> <p>Specifically, Delivery of statutory obligations Breakdown of regulatory functions Failure to meet PSA standards</p>	5	4	20	1) Adherence to operational processes and legal powers set out in statutory legislation 2) Regular review of resourcing requirements to ensure they are adequate 3) Regular training for Partners and employees 4) Scheduled Quality assurance and auditing processes 5) Delivery of workplans and monitoring through reporting/metrics 6) Information sharing through Memoranda of understanding 7) Learning through review of PSA performance reviews of other regulators and commissioned reviews within the sector	4	4	16	1) Completion of FtP improvement plan (March 2019) 2) Monitoring performance through performance report and KPIs (Ongoing) 3) Review of education quality assurance arrangements (June 2019) 4) Execution of the 5 year plan investment model 5) Proactive engagement with the PSA on the FtP improvement activities (ongoing) 6) Increased resource allocation to FtP to support open caseload reduction and increase capacity to manage new case fluctuations (March 2019)	4

RELEVANT STRATEGIC PRIORITIES
 Strategic Priority 1: Improve our performance to achieve the Professional Standards Authority's Standards of Good Regulation

COMMENTS ON PROGRESS
 The increase in open FTP caseload has been arrested, in part as a result of the additional resource allocated to FTP; recruitment to the additional FTP posts should be completed in Nov/Dec but in the meantime there is a reliance on temporary staff; the September KPIs for FTP show positive improvements in the length of time measures but there will continue to be variability influenced by the age of cases being concluded at the various stages of the process; delivery of the FTP Improvement plan continues to be on track; the GT internal audit report has been received and is broadly positive; and positive meetings have been held with CODH on establishing a stakeholder working group for the review of education quality assurance arrangements.

STRATEGIC RISK
2. Failure to anticipate and respond to changes in the external environment

RISK OWNER
SMT

Last Reviewed
Nov-18

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2018-19	Expected risk
This includes the ability to respond and influence external drivers for change, like the impact of Brexit, devolution or a change in government as well as issues like workforce development, new and emerging professions or government policies affecting professional regulation. It also includes awareness and responsiveness to advances in technology and systems.	5	3	15	1) SMT relationship building and liaison with key stakeholders particularly Government Departments, professional bodies, other regulators and suppliers 2) Horizon scanning and intelligence gathering including from relationship building to be aware of external drivers and influencers 3) Continued investment through major project process for the development of business processes and systems 4) Publication of FtP, Education and Registration information and datasets through annual reports and FOI requests	5	2	10	1) Development of organisational stakeholder matrix and development of personal engagement plans for SMT 2) Data strategy and increased capacity for data intelligence and research projects through delivery of 5 year plan investment model 3) Collaboration with other regulators, for example MOUs or joint statements	5

RELEVANT STRATEGIC PRIORITIES Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment Strategic priority 4: Make better use of data, intelligence and research evidence to drive improvement and engagement.
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COMMENTS The work to develop a stakeholder matrix is ongoing and will be delivered in Q4; all communications project plans now use a stakeholder matrix and prioritisation to provide focus to activities; Head of Policy is developing a paper on data (collection and use) and research for consideration by SMT and Council in December; Chief Executive and ED for Regulation working closely with DHSC and other regulators on regulatory reform proposals

STRATEGIC RISK
3. Failure to be a trusted regulator and meet stakeholder expectations

RISK OWNER
SMT

Last Reviewed
Nov-18

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2018-19	Expected risk
<p>This risk includes the management of stakeholder engagement and key relationships as well as reputation management.</p> <p>Specifically, Communication and stakeholder management Intelligence gathering Transparency/openness Stakeholder research PSA relationship and engagement External reporting Data breaches High quality Partners and suppliers Reputation</p>	5	3	15	1) Communications Strategy, underpinned by stakeholder communications and engagement plan with clear deliverables and milestones 2) Adherence to agreed processes and organisational values of transparency, collaboration, responsiveness, high quality service and value for money 3) Regular stakeholder opinion polling to understand needs and expectations 4) Management and response to complaints handling, including Freedom of Information and Subject Access Requests 5) Engagement with appropriate organisations including for example other regulators, Government, professional bodies, trade unions and service user organisations 6) Analysis and action planning from feedback mechanisms including corporate complaints, FtP stakeholder surveys, stakeholder opinion polling and education provider survey	4	2	8	1) Development and implementation of an action plan from the stakeholder polling 2) Implementation of the new stakeholder engagement plan 3) Further development and application of an organisational and project stakeholder matrix 4) Development of personal engagement plans for senior managers 5) Initial planning of prevention agenda through delivery of 5 year plan investment model	5

RELEVANT STRATEGIC PRIORITIES

Strategic priority 2: ensure our communications and engagement activities are proactive, effective and informed by the views and expectations of our stakeholders
 Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

COMMENTS

Stakeholder polling field work completed and due to report to SMT and Council in early 2019; the stakeholder engagement plan will be refreshed based on the perceptions work and presented to Council in the new year; personal engagement plans work will be taken forward in Q4; a date for the engagement forum in Edinburgh has been set and a list of possible attendees being developed, invitations anticipated to be issued in mid November.

STRATEGIC RISK
4. Failure to be an efficient regulator

RISK OWNER
SMT

Last Reviewed
Nov-18

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2018-19	Expected risk
<p>This risk includes the operational failure of processes, or the inability to manage data efficiently as well as the vulnerability of IT security. It also includes financial security, timely and accurate reporting and the recruitment, retention and training of Partners, Council and employees.</p> <p>Specifically, Operational failure Data management Cyber security Use of technology Financial sustainability Timely and accurate reporting Recruitment/retention/training including partners, employees, Council</p>	5	5	25	1) Adherence to operational processes and policies which are subject to internal and external audit eg ISO 2) Adherence to budgeting and financial management and reporting processes which are subject to internal and external audit eg NAO 3) Adherence to HR processes in relation to recruitment, annual performance development review and and learning and development for Partners and employees 4) Effective IT system design maintaining confidentiality, integrity and availability of data 5) Maintenance of ISO27001 Information Security standard which is subject to external audit 6) Regular independent security assessments of key IT infrastructure 7) Continuous quality improvement mechanisms through ISO and quality assurance processes 8) Development and implementation of a corporate strategy	4	2	8	1) Increased capacity in Project delivery team effecting change 2) Development and delivery of action plan arising from all employee survey 3) Relevant and planned upgrades to systems eg secure destop 4) Delivery of registration transformation project deliverable 5) Secure fees increase and delivery of 5 year investment model 6) Development of Quality Assurance function	5

RELEVANT STRATEGIC PRIORITIES
 Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

COMMENTS
 The project delivery team is now at full complement increasing from two project managers to six project managers; the Registration CPD online system went live in July; the second phase of the Registration project was given authority to proceed by Council in September; HCPC workstations are currently being upgraded to the latest version of Windows following security assessments; the Quality Assurance Department is now up and running with framework agreements in place with the regulatory departments; and the fees consultation is open with in excess of 1000 responses to date.

STRATEGIC RISK
5. Failure of leadership, governance or culture

RISK OWNER
Chair and SMT

Last Reviewed
Nov-18

RISK DETAIL	Inherent Impact	Inherent Likelihood	Inherent Risk	EXISTING CONTROLS / MITIGATIONS	Residual Impact	Residual Likelihood	Residual Risk	Planned actions 2018-19	Expected risk
<p>This risk includes the effectiveness of Council, strategy setting and oversight, risk management and business planning. It also covers organisational culture including the existence of relevant policies for whistleblowing or anti-bribery for example and processes for performance development.</p> <p>Effectiveness of Council Organisational structure Appraisal process/performance management Adequate planning Foresight Audit Ethics Anti-bribery Whistleblowing Strategic setting and oversight Risk management Vision mission values</p>	4	3	12	<p>1) Robust and effective Council recruitment processes with appointment against competencies and annual appraisal process</p> <p>2) Well researched and drafted Council & Committee papers with clear, well reasoned decision making</p> <p>3) Training and internal communications to ensure Partners, Council and employees aware of and sensitive to issues including whistleblowing, anti-bribery, equality and diversity</p> <p>4) SMT oversight of HR and internal communications work to support the development of our culture and environment as well as delivering continuous improvement through all employee survey</p> <p>5) Robust audit plans, regular review of risks</p> <p>6) Strategic intent incorporating drivers, vision and values</p> <p>7) Adherence to relevant internal policies including for example anti-bribery, whistleblowing and continued engagement with cross-organisational groups including the Employee Consultation Group and Corporate Social Responsibility</p> <p>8) SMT: meetings held regularly, with well drafted papers and clear decision making communicated; visibility and transparency achieved with meeting papers online and regular round-up on intranet</p>	5	2	10	<p>1) Run appointments process for Chair of Council</p> <p>2) Implementation of organisation-wide ED&I policy</p> <p>3) Development and delivery of action plan arising from all employee survey</p> <p>4) Develop new corporate strategy and engagement with employees on vision and values with dissemination to key stakeholders of final plan</p>	4

RELEVANT STRATEGIC PRIORITIES

Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment

Strategic priority 4: Make better use of data, intelligence and research evidence to drive improvement and engagement.

COMMENTS

The recruitment process to appoint a new Chair has commenced, interviews scheduled to take place in December 2019; SMT considered and approved the ED&I policy and plan in October 2018; an action plan arising from the all employee survey is being developed and will be considered at an upcoming SMT; the process to develop a refreshed corporate strategy commenced in October; and employee workshops are being planned following the Council strategy day to further explore values and culture drawing on the employee survey.

RISK MATRIX DEFINITIONS

IMPACT TYPES

LIKELIHOOD AREAS

	Public Protection	Financial	Reputation
	Catastrophic 5	Catastrophic 5	Catastrophic 5
IMPACT ↑	A systematic failure for which HCPC are ultimately responsible for, exposes the public to serious harm in cases where mitigation was expected.	Unfunded pressures greater than £1 million	Incompetence/ maladministration or other event that will destroy public trust or a key relationship
	Significant 4	Significant 4	Significant 4
	A systematic failure for which HCPC are ultimately responsible for, exposes more than 10 people to harm in cases where mitigation was expected.	Unfunded pressures £250k - £1 million	Incompetence/ maladministration that will undermine public trust or a key relationship for a sustained period or at a critical moment.
	Moderate 3	Moderate 3	Moderate 3
	A systemic failure for which HCPC are ultimately responsible for exposes more than 2 people to harm in cases when mitigation was expected.	Unfunded pressures £50,000 - £250,000	Incompetence/ maladministration that will undermine public trust or a key relationship for a short period. Example Policy U-turn
	Minor 2	Minor 2	Minor 2
	A systemic failure which results in inadequate protection for individuals/individual communities, including failure to resolve celebrity cases.	Unfunded pressures between £20,000-£50,000	Event that will lead to widespread public criticism.
Insignificant 1	Insignificant 1	Insignificant 1	
A systemic failure for which fails to address an operational requirement	Unfunded pressures over £10,000	Event that will lead to public criticism by external stakeholders as anticipated.	

	Strategic	Programme / Project	Operational
	Probable 5	Probable 5	Probable 5
LIKELIHOOD ↑	"Clear and present danger", represented by this risk - will probably impact on this initiative - sooner rather than later.	Likely to occur in the life-cycle of the project, probably early on and perhaps more than once.	The threat is likely to happen almost every day.
	Possible 4	Possible 4	Possible 4
	Likely to happen at some point during the next one or two years.	Likely to happen in the life-cycle of the programme or project.	May well happen on a weekly basis.
	Unlikely 3	Unlikely 3	Unlikely 3
	May well occur during the lifetime of the strategy.	May occur during the life of the programme or project.	May well happen on a monthly basis.
	Rare 2	Rare 2	Rare 2
	Only small chance of occurring in the lifetime of the strategy.	Not likely to occur during the lifecycle of the programme of project.	Does not happen often - once every six months.
Negligible1	Negligible1	Negligible1	
Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.	Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.	Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.	