Council

5 October 2023

Chief Executive's report on organisational performance October 2023

Executive Summary

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

This report includes the Chief Executive's organisational assessment as well as key highlights relating to our work in policy & standards, professional liaison & upstream regulation and our corporate enablers.

This report provides my assessment of the organisation's performance including our performance against our Key Performance Indicators (KPIs), progress against this year's Corporate Plan at the end of Q2 of this financial year and an update on our Strategic Risks.

As this is a quarterly edition of this report, it includes our Key Performance Indicator dashboard, our Strategic Risk Register and an update on our progress against our Corporate Plan.

Appendices

A –Chief Executive's meetings in the reporting period
B – KPI dashboard and performance data
C – Corporate Plan 2023-24 deliverables tracker update
D – Strategic Risk Register

Previous consideration	This is a standing item, considered at each Council meeting.
Purpose of report	The Council is asked to discuss the report.
Next steps	The next report will be received in November 2023.
Strategic priority	This report is relevant to all strategic priorities.
Financial and resource implications	None as a result of this paper.
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Chief Executive's Organisational Performance Report – October 2023

Contents

1. Chief Executive's Organisational Assessment

The last meeting of Council was held on my fourth day at the HCPC. I'm grateful for the warm welcome I've received from Council, HCPC staff and our external stakeholders. Listening to my colleagues and our stakeholders has been a priority in my first few months at the HCPC.

I had plenty of opportunity to listen to inspirational stories at our All Staff Awayday at the end of my first week. It was a brilliant event – full of positivity and energy. Having the opportunity to hear directly from some of our registrants and their experiences was a powerful way to bring to life the importance of the work we do at the HCPC. No matter what someone's role is we all play our part in protecting the public. It was humbling to hear the experiences of those returning to practice after a career break and those who had left family and friends at home to move to the UK and practise in our health service. Hearing from some of our Council members and Council Apprentices about their experience of practise in their chosen field was also a fabulous insight into the variety of interesting and important work the people we regulate do.

I've also had 35 'Let's Talk' sessions with members of staff from across the HCPC – this has given me a great opportunity to hear directly from staff at all levels of the organisation about what is going well and what frustrates them. I look forward to continuing these sessions. I have also introduced 121 welcome sessions with every new member of staff that joins the HCPC.

Stakeholder engagement

I am getting to know a new sector and I have now met with 50 senior leaders from our key external stakeholders.

One of these meetings was the Professional Body Forum which we organise on a quarterly basis for the professional bodies of all the professions we regulate. The latest meeting took place on 12th September and was the first ever in-person meeting of the Forum. The meeting was well attended as always with 17 professional bodies attending. The discussions centred around international registration, current operational performance of the HCPC, and upcoming policy and standards work. The meeting also afforded an opportunity for colleagues to speak to a variety of professional body representatives about their work. Feedback from those who attended was very positive and we plan to hold another in-person event in 2024.

A number of my meetings have also included discussions on the NHS Workforce Plan. The Plan sets out ambitious targets to increase the AHP workforce and a significant expansion of apprenticeship training routes.

Many organisations are now mobilising to work out how to implement the NHS Workforce Plan and I'm pleased we have been able to contribute to those discussions. As an independent regulator it's not our role to implement the NHS Workforce Plan but we want, and need, to understand the sector's plans so that we can support it, for example by ensuring that we are appropriately resourced in our education team to consider new programme approvals in a timely way.

We currently have approved education programmes that are apprenticeships and we are sharing our insights and experiences of those programmes where it is helpful for those developing new apprenticeship programmes.

Primarily our primary role is to ensure that education and training routes that lead to HCPC registration remain high quality and meet our Standards. We understand that a large expansion of education programmes has the potential to have a negative impact on quality and we will use our regulatory levers to monitor this and ensure the education programmes we approve continue to meet our Standards.

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

Covid-19 Inquiry

The Chair of Module 3 of the UK Covid-19 Public Inquiry requested the HCPC to provide evidence in the form of a witness statement to the Inquiry. The Inquiry was established on 28 June 2022 to examine the UK's response to, and the impact of, the Covid-19 pandemic, and to learn lessons for the future.

Module 3 of the Inquiry examines the impact of the Covid-19 pandemic on healthcare systems in England, Wales, Scotland and Northern Ireland and the Inquiry asked the HCPC to provide evidence on a number of areas including:

- How we worked and collaborated with DHSC, Scottish Government Health and Social Care Directorate, the Welsh Government, Department of Health (Northern Ireland), other regulators and our other stakeholders during the pandemic;

- a summary of the guidance we provided to registrants and the public;

- our approach to the creation of a Covid-19 temporary register and maintenance of this register;

- our approach to how fitness to practise concerns about people on the Temporary Register are managed.

In preparing our witness statement it was striking the pace at which the HCPC and other similar organisations worked to introduce measures, such as the Temporary Registers, and the volume of guidance and support that was produced for our Registrants. It also showed how we engaged and worked effectively with a wide range of our stakeholders during a time when the whole world was under significant stress and pressure.

I submitted our witness statement at the end of August, and I will keep Council updated on our interactions with the Inquiry.

Fee rise

The Statutory Instrument (SI) to bring our fee rise into effect was laid before Parliament and the Scottish Parliament on 14 September. This follows the Negative Resolution process and is now technically law and will come into force on 9 November 2023 subject to the parliamentary processes in Westminster and the Scottish Parliament.

Assuming the legislation comes into force on 9 November 2023 the first professions to pay the new fee will be radiographers when that profession's renewal window opens on 1 December 2023.

We have published a statement on our website and informed the professional bodies and unions. We will write to registrants directly as part of the registration renewal process to inform them of the change in the fee.

Strategic Risk Register

Our Strategic Risk Register is provided at Appendix D. This was discussed at the Audit and Risk Committee (ARAC) earlier in September. As previously reported to Council, we have now reviewed the risk score for Strategic Risk 1 now that our Performance Review Report has been published by the Professional Standards Authority, showing that the HCPC now meets 16 of 18 Standards of Good Regulation, which is a significant improvement on reports on our performance over the past 5-6 years.

Strategic Risk 5 remains our highest risk (and outside of our risk appetite). The main factor behind that high risk score is the fee rise has not come into effect and was delayed from the earliest possible implementation date of July 2023 to November/December 2023. Once this fee rise comes into effect we anticipate this risk score will reduce.

The HCPC's risk appetite statement has now been reviewed and discussed with ARAC at their recent meeting. There is a paper on the Council's agenda today seeking approval of the new risk appetite statement.

Progress against our Corporate Plan for 2023-24

Appendix C provides our progress report against this year's corporate plan as we approach the end of Q2. Overall, we are making good progress.

The tone of voice project which was previously rated as amber continues to make substantive progress, now rated green. The review and redrafting of all registrant templates completed in August, and the Communications department have since been working on developing for our website new fact sheets, which describe each stage of our processes. The project's focus is now shifting to final review of templates and testing them on the case management system to ensure seamless implementation. In September, Fitness to Practise colleagues have been receiving additional training on our tone of voice guidance, new templates, and support available to stakeholders, in readiness for the planned rollout at the beginning of October.

The implementation of the finance system (Business Central) remains amber. As previously discussed with Council, this was delayed against the original timeline which was to have completed this work last financial year, the work is now progressing against the revised the plan. We will continue to closely monitor and if we remain on track against the revised timeline this project will move to 'green', once we have the sufficient assurance and confidence in the progress.

The English Language Proficiency review, previously amber, is now reported as green and the consultation document is included on Council's agenda at this meeting for approval.

Due to delays in initiating the e-recruitment system upgrade, the delivery of our people strategy project is rated as amber.   Other areas included in the project have progressed as planned including the launch of our reverse mentoring programme.

The online FtP concerns form is rated as amber to reflect that the quote from an identified preferred supplier was higher than anticipated and we did not feel reflected good value for money. We have therefore reengaged with suppliers and now have options to consider that are in line with our budget expectations and provide value for money.

2. Regulatory Performance

Further details of our performance across our regulatory functions and against our other KPIs is presented in the KPI dashboard at Appendix B.

Below I highlight some of the key points about the performance of our core regulatory functions of registration, education and fitness to practise.

2.1 Registration and contact centre

We are at the end of the peak period for applications to join our Register from students completing UK education programmes.

The team managed the demand well over the summer. The median processing time for UK registration applications was between 2-4 working days during the summer peak (service standard is 10 working days).

The international team continues to meet its main service standard of making a first decision on an international application within 60 working days. The median time to first assessment decision is under 25 working days.

Our contact centre continues to provide a timely response to both telephone and email enquiries. Our call answer rates is consistently between 98-99%. Our email response time is 1-3 working days.

Registration renewals

The summer has also been a busy period of registration renewals with a number of professions in renewal at the same time. As the data below shows we continue to see the trend of registrants renewing their registration earlier in the renewal window.

At the end of 31 August 2023, paramedics and orthoptists ended their renewal period:

- 95.9% of paramedic registrants renewed their registration compared to 94.5% in 2021. 99.9% of registrants renewed their registration online.

- 94.5% of orthoptists registrants renewed their registration compared to 91.3% in 2021. 100% of registrants renewed their registration online.

From the 01 July 2023 clinical scientists, speech and language therapists, prosthetists and orthotists were invited to renew. As at the 05 September 2023:

- 81.6% clinical scientists successfully renewed their registration compared to 68.3% at the same point in 2021.

- 83% speech and language therapists successfully renewed their registration compared to 65.8% at the same point in 2021.

- 80.4% prosthetists and orthotists successfully renewed their registration compared to 68.5% at the same point in 2021.

From the 01 August 2023 occupational therapists were invited to renew. As at the 05 September 2023:

- 58.1% occupational therapists had successfully renewed their registration compared to 50% at the same point in 2021.

From the 01 September 2023 biomedical scientists were invited to renew. As at the 05 September 2023:

- 24.2% biomedical scientists had successfully renewed their registration compared to 23.6% at the same point in 2021.

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

2.2 Education

For education assessments (which include new programme approvals and performance reviews) we are within our service levels for 9 out of 10 assessments.

We moved to our current model of education quality assurance in September 2021. This model enables us to be flexible, intelligent and data-led in our quality assurance of institutions and programmes.

We are commencing 48 new assessments through our monitoring 'performance review' process from September, focused on all remaining providers who have not yet been subject to the requirements of the current model. Completing this programme of work by August / September 2024 will mean all providers and programmes will have been assessed against our current requirements.

The team's quality assurance measures indicate that our decisions continue to be of good quality. Earlier this year the team collaborated with the Quality Assurance team on workshops to support the development of their front-line checks and quality assurance measure. As a result of these workshops further quality assurance measures have been implemented from September.

A key aim of our quality assurance model is to engage with providers more through the process and reduce the number of formal conditions applied when approving programmes as a result. We still hold providers and programmes to the same high standards but work with them to address issues that could give rise to conditions as early as possible. Continuing from previous updates we have not placed conditions to any programme for the last 11 months, which is indicative of the support we continue to provide to providers.

2.3 Fitness to Practise

As usual there is a separate paper on the agenda on the performance of our fitness to practise department.

In my report I want to highlight that the Fitness to Practise tone of voice project has made good progress. As outlined in the Corporate Plan section of my report above the project's focus is now shifting to final review of templates and testing them on the case management system to ensure seamless implementation. In September, Fitness to Practise colleagues have been receiving additional training on our tone of voice guidance, new templates, and the support we have available for those involved in fitness to practise cases, in readiness for the planned rollout at the beginning of October.

2.4 Partners

Partners make the majority of our regulatory decisions in Fitness to Practise and support our work in registration and education.

The PwC review we commissioned earlier this year is informing how we change and improve the way we work with our Partners. We discussed this review at a workshop of the People and Resources Committee on 20th July.

The purpose of the PwC review was to review the current Partners operating model and develop future state options and to identify improvement opportunities. This year we are prioritise three workstreams:

- Effectively measuring and understanding Partner Performance and output quality;
- ensuring payment requests are robust, evidenced and standard across functions;
- aligning system functionality and sharing of information.

A full transformation programme will be scoped and considered for next year's Corporate Plan to implement the recommendations from the review.

3. Covid-19 Temporary Register

We are continuing to implement the approach agreed with Council for the maintenance of the Covid-19 Temporary Register.

There are now under 250 people on the Temporary Register.

On 11 September 2023 we were formally notified by Government that the closure of the Covid-19 Temporary Register has been brought forward from September 2024 to 31 March 2024. We have published a statement on our website and will be writing directly to those on the Temporary Register to inform them on this change. While the Temporary Register remains open we will continue with our maintenance of the Register as agreed with Council.

We continue to offer information about how to re-join the full HCPC Register for those on the Temporary Register.

4. Policy and Standards and professional liaison

Standards of Conduct Performance and Ethics Review

Following the consultation earlier this year and discussions with Council over the summer Council is asked to approved the revised Standards of Conduct Performance and Ethics and the Social Media guidance. To get to this point we have engaged extensively and as Council will note in the paper that will continue over the next year to raise awareness of the revised Standards before they come into effect in September 2024.

Annual whistleblowing

The HCPC has a legal duty to publish an annual report on the protected disclosures made to us, in our capacity as a 'prescribed person'. The disclosures, also called 'whistleblowing disclosures,' made to the HCPC are mainly from professionals registered with us, people working or who have worked for health and care organisations and people working for educational establishments that provide the programmes for registration with the HCPC.

Within the financial year 2022/23, the HCPC received a total of seven disclosures. In response to these disclosures, we provided advice and guidance, and where relevant undertook further investigations or signposted the discloser to further support. Of the seven, four disclosures were received by the Policy and Standards Department and three were received by the Education Department.

This information will be published as part of a joint report comprising information from the nine UK health and care professional regulators. The report will be published in the autumn.

Since last years' report we have continued to implement our Whistleblowing module as part of our induction training for all new employees.

Advanced practice

Following a review, in July 2021 Council agreed that although it was not the right time for the HCPC to regulate advanced practice and we should continue to monitor developments and work towards building a definition or a set of guiding principles. Our work in creating a definition was paused as we needed to prioritise regulatory reform, which itself has a potential impact on advanced practice.

We are now resuming our work on the creation of a definition/principles in line with our Corporate Plan for this financial year. We have held discussions with the Chief Allied Health Professions Officer and the Deputy Chief Allied Health Professions Officer and the national lead for multiprofessional advanced and consultant practice.

We have also been liaising closely with colleagues at the NMC following the publication of their advanced practice research in May 2023 (which built on HCPC research) and have agreed to work together as much as possible on this important and complex issue.

Professional Liaison

<u>Registrants</u>

We completed the programme of five #myhcpcstandards sessions that were designed to support registrants to understand and achieve the updated Standards of Proficiency, which came into effect on 1 September 2023. Just over 4,000 registrants attended the live webinars, which included registrants from each profession and each UK country. The sessions were recorded and uploaded to YouTube and, at the time of writing, had been viewed more than 8,000 times.

The aim of the sessions was to increase registrants understanding of the updated standards. We tested this by asking 'how would you rate your knowledge of the updated standards of proficiency?' before (blue) and after (red) the sessions. The graph below shows the distribution of registrants (numbers on the side) scores. The graph shows a clear shift towards the higher scores of knowledge after attending the session.
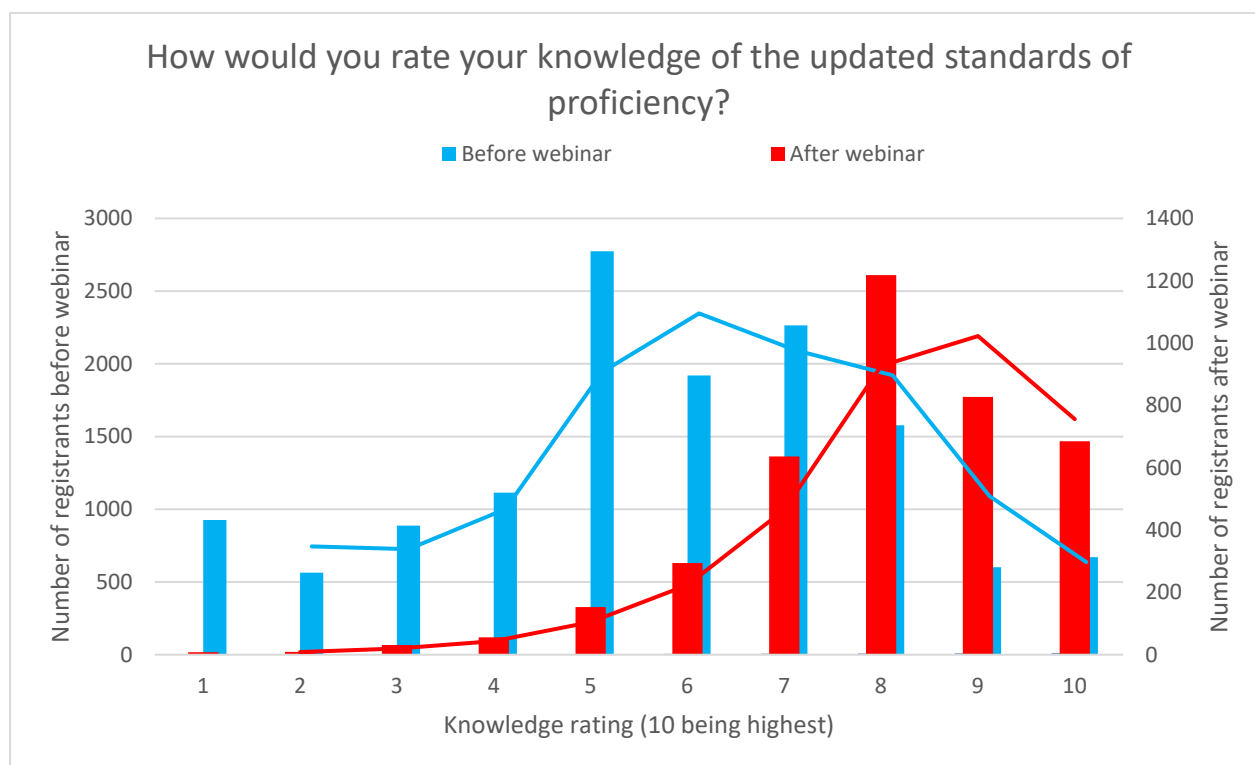
In addition, we have been delivering sessions about the updated standards for registrants in their workplace. This has included NHS Dumfries and Galloway, NHS Ayrshire and Arran and NHS Tayside. This programme will continue into September and October.

In June, July and September we held virtual joining the UK workforce sessions for international registrants. We have also delivered a targeted in person session at an NHS trust for internationally qualified Radiographers. These session focus on the transition to UK practice, so we consider some of the ethical issues that registrants may come across in practice or may have encountered already. They are very positively evaluated.

<u>Employers</u>

In August, we met with AHP leads from across Northern Ireland to introduce Florence Milliken, our Professional Liaison Consultant in Northern Ireland. We spoke about the role, our prevention and upstream regulation work and the preceptorship guidelines.

We also met with the Directors of Therapies and Health Sciences in Betsi Cadwaladr to introduce Hugh Tregoning, Professional Liaison Consultant in Wales – and to talk about the updated Standards of Proficiency, fitness to practise and ways professional liaison can support employers and registrants in their roles.

We also met with AHP directors and leads in NHS Ayrshire and Arran to support a learning event for international registration and recruitment, and to explore the possibility of delivering our Joining the UK workforce programme to support their new international registrants.

Insights for Employers, our employer e-newsletter, was published in August 2023. The focus of this edition was the updated Standards of Proficiency and included articles from employers and managers explaining what they have been doing to support their teams to be ready for the updated Standards.

<u>Students</u>

This year's student competition closed on 4 September 2023 and judging has commenced. The winners will be announced in November 2023.

5. Insights & Analytics and Equality Diversity & Inclusion

Diversity data factsheets

Further to our update to Council in July, we have now published new diversity data factsheets for the eight professions that have been through renewal since December 2021, which was when the EDI data collection portal went live.

Factsheets have also been produced for the modalities of those professions. The factsheets cover the nine protected characteristics of the Equality Act 2010.

All completed factsheets have been circulated to the respective professional bodies and are now available on our website.

We anticipate being able to publish the remaining factsheets for those professions yet to renew in this cycle by early 2024.

6. Corporate Enablers

Business Central finance system

Work on the Business Central finance system implementation has been a priority, with inputs from Finance, Business Change and IT in particular, working with KPMG as our implementation partner. The system design is complete and the recent focus

has been on data migration plans, preparing for user acceptance testing and training. Data migration is expected to begin in November and early December, with go-live likely to happen in January allowing for the Christmas break.

Business Change

Work has progressed on finalising the upgrades to the fitness to practise case management system, implementing improved mobile/tablet functionality for the registration renewals system and improving reporting of FtP data.

We have also begun corporate planning and budgeting for the next two financial years, including establishing a set of budgeting principles and priorities for the remainder for the current Corporate Strategy period.

The Change and Benefits Forum is becoming embedded in our governance arrangements, providing upstream support and challenge to improve the quality of proposals coming to the Executive Leadership Team.

People and hybrid working

HR provided the latest regular report to People and Resources Committee on progress against the People Strategy, with good progress against most metrics.

A review of internal communications and engagement is under way to strengthen employee engagement and leadership visibility further. New mentoring programmes and a refreshed and extended senior leadership development programme have been successfully launched.

We have completed the technology roll out to support hybrid working, and we have developed an improved report on levels of office attendance. These improvements will enable the more purpose-driven approach to hybrid working that was recently agreed by SLG, with accountability resting primarily with Heads of Department to determine working patterns in their teams, in support of corporate objectives.

Sustainability

We have now finalised our corporate sustainability statement which has been published on the website following Council's approval. Work is under way to improve the sustainability performance of our buildings, improve sustainability reporting and make other building improvements.

Appendix A - Chief Executive's external meeting schedule covering 03 July – 05 October 2023

HCPC Fitness to Practise Improvement Board meeting with The Professional Standards Authority (PSA) and Department of Health & Social Care (DHSC)	14 July
Council of Deans of Health - Ed Hughes, Chief Executive	17 July
Society of Radiographers (SOR) - Richard Evans, Chief Executive	20 July
Suzanne Rastrick, Chief Allied Health Professions Officer for England	26 July
Chief Executives Officers & Registrars Board (CEORB) meeting	27 July
Dame Sue Hill, Chief Scientific Officer for England	1 August
General Optical Council (GOC) - Leonie Miller, Chief Executive,	2 August
Professional Standards Authority (PSA) - Alan Clamp, Chief Executive	8 August
General Chiropractic Council (GCC) - Nick Jones, Chief Executive	9 August
Henrietta Hughes, Patient Safety Commissioner	9 August
Directors of Therapies and Healthcare Sciences meeting – NHS Wales	11 August
Unite - Jane Beach, Lead Professional Officer, Regulation	14 August
Department of Health & Social Care (DHSC) - Phil Harper, Deputy Director – Professional Regulation,	14 August
Royal College of Speech and Language Therapy - Steve Jamieson, Chief Executive	16 August
The Association of Clinical Psychologists - Professor Mike Wang, Chair	17 August
Royal College of Occupational Therapists – Steve Ford, Chief Executive	21 August
Royal College of Podiatry - Michelle Scott, Chairman of Council and Jane Pritchard, Chief Executive & General Secretary	22 August
General Pharmaceutical Council (GPHC) - Dunkin Rudkin, Chief Executive	24 August
College of Paramedics - Tracy Nicholls, Chief Executive	24 August
British Chiropody and Podiatry Association (BCPA) - Deborah Mercer, Chairman	25 August
Nursing & Midwifery Council (NMC) - Sir David Warren, Chair & Andrea Sutcliffe, Chief Executive	29 August
Chief Executives Officers & Registrars Board (CEORB) meeting	30 August
Ruth Crowder, Chief Allied Health Professions Office for Wales	31 August
British Association for Music Therapy (BAMT) - Andrew Langford, Chief Executive	4 September
Meeting with the Allied Health Professions Federation on the NHS Long Term Workforce Plan	5 September
General Dental Council (GDC) - Ian Brack, Chief Executive	6 September
British Society of Hearing Aid Audiologists (BSHAA) - Robert Donnan, President	6 September
Council of Deans of Health - Ed Hughes, Chief Executive	7 September
Peter Barbour - Workforce Policy Directorate, NI Government	7 September
HCPC Professional Body Forum meeting	12 September
The British and Irish Orthoptics Society (BIOS) - Craig Murray, Chair	15 September

Chief Executive's report on organisational performance – October 2023 Appendix B

- Key Performance Indicators Dashboard

- Register Demographics

- Media Reach Metrics

Key Performance Indicators dashboard

FTP

Measure	KPI 1 - the proportion of cases concluded at each stage that are within KPI 1.70% of cases concluded pre-ICP (threshold and ICP decisions) within 33 weeks of receipt 2.70% of cases concluded at a final hearing (including cases resolved by consent) within 39 weeks of the decision by the ICP that there is a case to answer.									**Period**	Oct 23	
What it tells us	This provides a view of the age profile of cases that have progressed through the fitness to practise process and the timeliness of how cases are progressed to a final decision point. Metrics relating to the age profile of our open caseload are reported separately to Council in the FtP Performance reports. RAG: R: <60% A: 60-70% G: >70%											
Reporting period commentary	In June and July we have maintained our performance of closing more cases within KPI in the pre-ICP stage of the process. This reflects our focus on balancing the progression of both the older and younger cases in the system. In August, we closed more older cases at this stage as a result of focused work to progress a cohort of older cases. At the final hearing stage, more older cases are being concluded at a final hearing and we would therefore expect the proportion of cases concluded within KPI to be lower.											

2023-24		Jan-23	Feb-23	March-23	April-23	May–23	June-23	Jul-23	Aug-23	Sep-23	Oct-23	
1: Pre ICP	%	50%	62%	56%	52%	63%	53%	59%	37%	tbc		
2: Final Hearing	%	0%	9%	0%	0%	**16%**	4%	5%	0%	tbc		
2022-23		Jan-22	Feb-22	March-22	April-22	May–22	June-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
1: Pre ICP	%	40%	56%	44%	44%	46%	36%	21%	31%	27%	34%	44%	50%
2: Final Hearing	%	38%	0%	6%	0%	19%	21%	16%	22%	24%	10%	16%	13%

Measure	KPI 2 - S.29 appeals and learning points			**Period**	Oct 23
What it tells us	This includes data and narrative on the number of final fitness to practise decisions appealed to the High Court by PSA under their S29 powers and the number of new PSA s29 learning points received. This provides a view of the quality of our fitness to practise decisions and assurance that those decisions are sufficient to protect the public.				
Reporting period commentary	In August we received notification that the PSA had applied to the High Court to appeal a final hearing decision. This matter is still at an early stage of the appeal process. In Q1 we received ten learning points from the PSA, of which one was a formal learning point letter. In the current quarter to date we have received 2 formal learning point letters. PSA issue learning points to highlight areas for improvement in the quality of final hearing decisions. Improving the quality of our final hearing decision has been a key element of our improvement programme.				

2023-24		Q1 April-June	Q2 July-Sept	Q3 Oct-Dec	Q4 Jan-March
S.29 Appeals	Number	1	1 - provisional		
PSA Learning Points	Number	10	2 - provisional		
2022-23		Q1 April-June	Q2 July-Sept	Q3 Oct-Dec	Q4 Jan-March
S.29 Appeals	Number	0	1	0	1
PSA Learning Points	Number	11	3	4	2

Education

Measure	KPI 3 - Education Quality and Timeliness							Period	Oct 23

KPI 3 - Education Quality and Timeliness

1. Less than 20% of assessments resulting in conditions / formal requirements
2. 30 days or less to provide process reports to the education provider from conclusion of quality activities

What it tells us	Measure 1 will tell us whether we have worked effectively to help providers meet our standards and frontloaded addressing issues with providers, rather than setting formal requirements later in the process. RAG rating: R >25%, A 20-25%, G <20% Measure 2 will tell us whether we deliver reports to providers in a timely manner and have a team in place which is capable and supported to produce high quality reports. RAG rating: R >36, A 31-35, G <30
Reporting period commentary	Measure 1 – We have continued to support our stakeholders well, demonstrated by setting no conditions since the last report. This is an explicit aim of our quality assurance model – we hold providers to high standards, but support them in meeting them, aiming to reduce the need for formal conditions. Measure 2 – We have made significant improvements to our performance in this period, the red RAG rated figures were from a period where we were clearing a backlog. This backlog has now been cleared, and so we are closer to green RAG rating across the period. This period remained busy, with this part of the academic cycle being when we draft a high number of reports. The team has performed well in this time, to deliver a large number of reports within or just above our service levels.

1		Jan-23	Feb-23	March-23	April-23	May-23	June-23	July-23	Aug-23	Sept-23	Oct-23	Nov-23	Dec-23
	%	0	0	0	0	0	0	0	0	tbc			
2	days	91	58	71	129	24	31	27	32	tbc			
		Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
1	%	0	0	0	0	0	0	0	8	N/A	0	0	0
2	days	29	52	8	25	35	41	40	30	N/A	21	63	61

Registration

Measure	KPI 4 – Registration responsiveness 1 - Decision on 95% of all UK registration applications within 10 working days 2 - Decision on 95% of all international registration applications within 60 working days 3 - Answer 90% of telephone calls 4 - Respond to emails within 5 working days	**Period**	Oct 2023
What it tells us	Responsiveness provides Council with a view of the customer service (timeliness) received by registrants. The breakdown of the register is included in the accompanying performance data to enable Council to maintain awareness of the size and make up of our registrant population. ETC receive more detailed Registration performance data. KPI 1 and 2 R: <80%, A: 81-94%, G: >95% KPI 3. R: <70%, A: 70-89%, G: >90% KPI 4 R: >11 days, A: 6-10 days, G: <5 days		
Executive commentary	**UK application:** Performance against our service standard for UK applications has been consistently met since February 2022. The monthly performance median continues to remain within the 10 working days service standard. **International applications:** We have continued to meet our service level performance target for median processing of applications to a first assessment decision within 60 working day target since June 2022. The percentage of applications assessed within our service standard has been over 95% since March reflecting that we are providing a good service in this area and are coping with demand. **Calls:** The telephone call answer rate was 99% in June, 98% in July and 99% in August 2023 and has been consistent good performance since October 2022.. **Emails:** Our improved performance against our target of 5 working days for emails has been sustained and we have been achieving the KPI for emails since June 2022.		

2023		Jan-23	Feb-23	Mar-23	Apr-23	May-23	Jun-23	Jul-23	Aug-23	Sep-23	Oct-23	Nov-23	Dec-23
1: UK registration	%	100	100	100	100	99	100	100	99				
2: Int registration	%	88	86	98	99	97	97	98	100				
3: Calls	%	99	99	99	99	99	99	98	99				
4: Emails	working days	1	1	2	1	2	1	1	3				
2022		Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
1: UK registration	%	40	80	96	100	100	99.5	99	100	100	99	100	100
2: Int registration	%	1	0	0	16	33	58	74	77	68	71	87	85
3: Calls	%	76	68	69	73	75	75	62	81	85	96	98	99
4: Emails	working days	10	12	17	9	8	2	3	2	3	2	2	1

Customer Service

Measure	KPI 5 - Customer service: Number of complaints and % upheld												Period	Oct 23
What it tells us	This provides insight into potential customer service and performance issues. Narrative will be vital for Council to probe and should include information on corrective action taken. Upheld RAG - Green <50 Amber 50-59 Red >59													
Executive commentary	The number of complaints received each month has been very steady during the first 6 months of 2023 and has decreased recently, and this is less than in the past two years. The percentage of complaints upheld has also decreased. This continues to reflect the improved position in the Registration department especially in relation to international applications, although these still account for the bulk of their complaints received. For Fitness to Practise the number of complaints received has been similar to recent years and the themes in complaints continue to mostly relate handling of investigations, length of time and threshold decisions.													

Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23	July-23	Aug-23					Monthly average
	Number	46	41	47	40	41	43	26	32					40
	% upheld	66	49	40	40	52	44	33*						48
Previous years		Jan-22	Feb-22	March-22	April-22	May-22	June-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	Monthly average
	Number	63	46	49	40	127	74	48	51	49	54	48	29	56
	% upheld	72	54	59	59	42	60	54	62	61	56	55	42	56

* Approximate as cases still open

Professional practice and insight

Measure	KPI 6 - Professional practice and insight: 60% of registrants said their practice would change as a result of information gained through a professional liaison learning event								Period	Oct 23		
What it tells us	This measure focuses on outcomes which highlight the impact of our engagement. Engagement and media reach dashboard to be provided in performance report. Target 60%											
Executive commentary	In June and July, we have continued to undertake our monthly workshop for newly registered international registrations called Joining the UK workforce. We have also delivered this in person. In June, we also delivered sessions in our #myhcpcstandards series related to the new standards of proficiency. In August we focused on linking with and developing relationships with employers so carried out few registrant learning events. As such the score in August is skewed by a small number of registrants.											
Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23	Jul-23	Aug-23				
	%	81	80	80	80	80	81	80	50				
		Jan-22	Feb-22	March-22	April-22	May-22	June-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
	%	71	81	89	88	81	90	94	N/A	81	90	86	81

Finance

Measure	KPI 7 - Finance: Performance against budgeted operating expenditure in range of 91.4% to 101.4%								Period		Oct 23
What it tells us	Indicates the grip and control in place and accuracy of forecasting. Measure will be the full-year forecast variance against the full-year budget moving from YTD.										
Executive commentary	Overall expenditure is slightly higher than the latest Jul-23 forecast with an adverse variance of (£0.3m). The latest Aug-23 forecast gives us a significantly improved position with a surplus of £4.3m, which is £4.1m favourable compared to Budget (reflects decision to set prudent budget without assuming that current trends of international applications would continue). We continue to face a number of significant risks and future liabilities (Regulatory Reform, Partners Target Operating Model and NMC case provision), alongside the need to rebuild our reserves to a more sustainable level. This could potentially reduce the current forecast surplus of £4.3m to a more modest surplus position of c£300k if they materialise.										

Year to date	(£000)	Jan-23	Feb-23	Mar-23	Apr-23	May-23	Jun-23	Jul-23	Aug-23	Sep-23			
	YTD Actual	27,852	30,755	35,237	-	5,840	8,459	11,818	15,313				
	YTD Budget	-	-	33,292	-	5,937	-	-	-				
	YTD Forecast	27,852	30,789	34,753	-	-	8,458	11,625	14,965				
	YTD Variance	0	34	(484)	-	97	(1)	(193)	(348)				
	Actual as % of budget	100.0%	99.9%	101.4%	-	98.4%	100%	101.7%	102.3%				

Previous year	(£000)	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
	YTD Actual	25,305	28,134	31,688	-	5,260	8,458	10,680	13,738	16,435	19,311	22,349	25,010
	YTD Budget	25,631	-	-	-	5,753	8,483	-	-	-	-	-	-
	YTD Forecast	-	28,557	31,788	-	-	-	11,069	14,196	16,680	19,253	22,336	25,217
	YTD Variance	326	423	100	-	493	24	389	458	245	(58)	(13)	207
	Actual as % of budget	98.7%	98.5%	99.7%	-	91.4%	99.7%	96.5%	96.8%	98.5%	100.3%	100.1%	99.2%

Information technology

Measure	KPI 8 - Availability of core IT systems Target: >99.5%								Period	Oct 23		
What it tells us	Measure is based on actual hours of availability per month vs total number available. Given the reliance of our core functions on IT systems, this measure indicates the reliability of the IT infrastructure. Additionally, our registrants and stakeholders predominately interact with us via our IT systems, and we have a statutory duty to ensure our online register is consistently available.											
Executive commentary	No downtime or significant disruption to key systems recorded so far during 2023.											
Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23	Jul-23	Aug-23	Sept-23			
	Availability %	100%	100%	100%	100%	100%	100%	100%	100%				
Previous year		Jan-22	Feb-22	Mar-22	Apr-22	May-22	June-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
	Availability %	100.00	100.00	100%	100%	99.4%	99.99%	99.9%	100%	99.9%	99.7%	100%	100%

Measure	KPI 9 – Security Score Target: >80%								Period	Oct 23		
What it tells us	Secure Score in Microsoft Defender for Cloud is a metric used to score the overall Azure Resources/On-prem Server security posture for HCPC. The changes in the "Defender score" needs to be taken into context, as a change to the score could relate to new updates, security framework changes or Infrastructure changes within the HCPC's environment.											
Executive commentary	The security score reduced slightly to 94% in August 2023 but remains well above target. The score will continue to vary as a result of new criteria, new security releases, and changes to our environment to support project work.											
Year to date		Jan-23	Feb-23	March-23	April-23	May-23	June-23	Jul-23	Aug-23			
	Score %	98%	93%	99%	95%	99%	92%	96%	94%				
Previous year		Jan-22	Feb-22	Mar-22	Apr-22	May-22	June-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22
	Score %	n/a	n/a	77%	89%	80.5%	89%	88%	91%	93%	93%	96%	99%

HR

Measure	KPI 10 - Voluntary staff turnover Target: <21%			Period	Oct 23
What it tells us	This will be based on permanent establishment leavers and not FTCs. This provides an indicator that could point to cultural issues. PRC considers more detailed HR and internal EDI metrics. (Figure is a rolling year to date total not the turnover in that quarter in isolation) Green 21% or less / Amber 22% - 27% / Red 28% or over				
Executive commentary	Voluntary turnover has increased by 1% in Q2. We continue to monitor this area closely.				

FY 2023-24		Q1	Q2	Q3	Q4
	%	16	17 (provisional)		
FY 2022-23		Q1	Q2	Q3	Q4
	%	23	16	17	15

Measure	KPI 11 – Recruitment and onboarding efficiency			Period	Oct 23
What it tells us	Time to hire is based on the advert going live to the appointee's offer date. This measures how effective HCPC is in attracting and making an offer to the right talent, which has been an area of challenge in a competitive job market. Green 42 days or less / Amber 41 days – 53 days / Red 54 days or over				
Executive commentary	There has been a focus in reducing the number of days to hire and we continue to work closely with recruiting managers to emphasise the importance of recruitment and onboarding.				

FY 2023-24		Q1	Q2	Q3	Q4
	Average (days)	30	30 (provisional)		
FY 2022-23		Q1	Q2	Q3	Q4
	Average (days)	59	59	40	62

No. of registrants

	2022 Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	2023 Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	2024 Jan	Feb	Mar	16/17 FYE	17/18 FYE	18/19 FYE	19/20 FYE	20/21 FYE	21/22 FYE	22/23 YTD	23/24 YTD
Arts therapists	5,211	4,908	4,939	4,957	5,071	5,136	5,202	5,274	5,299	5,337	5,358	5,369	5,372	5,380	5,403	5,444	5,541								4,026	4,322	4,432	4,784	4,805	5,216	5,369	5,541
Bio. scientists	24,246	24,458	24,572	25,047	25,413	25,652	25,919	26,174	26,480	26,804	27,078	27,345	27,523	27,704	27,916	28,168	28,398								22,902	22,395	23,284	23,064	23,807	24,109	27,345	28,398
Chirops/ pods	12,479	12,452	12,444	11,796	11,901	11,939	11,966	11,972	11,959	11,966	11,982	11,984	11,988	11,976	12,016	12,120	12,212								12,931	13,115	12,833	13,039	12,394	12,522	11,984	12,212
Cl scientists	6,837	6,855	6,895	6,917	6,938	6,963	7,156	7,228	7,249	7,312	7,346	7,386	7,409	7,441	7,462	7,463	7,460								5,663	5,818	6,207	6,344	6,675	6,806	7,386	7,460
Dietitians	10,739	10,743	10,268	10,462	10,582	10,636	10,747	10,839	10,878	10,936	11,006	11,057	11,089	11,146	11,206	11,393	11,482								9,107	9,585	9,722	10,207	10,161	10,744	11,057	11,482
Hearing aid disps	3,635	3,639	3,661	3,477	3,568	3,622	3,686	3,736	3,768	3,814	3,845	3,932	3,982	4,019	4,073	4,125	4,182								2,593	2,908	3,047	3,338	3,377	3,631	3,932	4,182
OTs	41,210	41,287	41,419	41,750	42,228	42,518	42,768	43,013	43,158	43,318	43,503	43,681	43,776	43,894	44,115	44,561	44,937								38,080	38,183	39,925	40,062	41,290	41,142	43,681	44,937
ODPs	15,068	15,089	15,116	15,195	15,309	15,469	15,640	15,202	15,326	15,405	15,472	15,524	15,564	15,601	15,679	15,799	15,917								13,052	13,639	13,903	14,421	14,449	15,052	15,524	15,917
Orthoptists	1,480	1,481	1,482	1,495	1,507	1,518	1,526	1,535	1,538	1,541	1,544	1,544	1,545	1,547	1,544	1,552	1,501								1,451	1,440	1,496	1,489	1,514	1,480	1,544	1,501
Paramedics	32,531	32,673	32,915	33,275	33,781	34,206	34,495	34,703	34,789	34,976	35,182	35,395	35,554	35,722	35,959	36,321	35,625								23,992	25,465	27,686	29,139	30,965	32,440	35,395	35,625
Physiotherapists	58,461	59,441	59,903	60,801	62,017	62,756	63,361	63,934	64,468	65,105	65,717	66,475	66,872	67,397	68,057	69,289	70,394								52,915	55,132	55,695	58,133	58,223	61,773	66,475	70,394
Pract psychs	26,336	26,399	26,481	26,553	26,689	26,895	27,244	27,421	27,505	27,607	27,671	27,718	27,738	26,837	27,077	27,190	27,341								22,604	23,104	24,290	24,783	25,894	26,278	27,718	27,341
Prosth/orthotists	1,107	1,108	1,113	1,123	1,142	1,152	1,163	1,165	1,168	1,177	1,187	1,193	1,196	1,203	1,215	1,222	1,235								1,063	1,051	1,101	1,090	1,113	1,105	1,193	1,235
Radiographers	38,098	38,351	38,725	39,514	40,332	40,876	41,305	41,801	42,206	42,703	43,056	43,556	43,829	44,135	44,564	45,443	45,973								32,072	32,475	34,470	35,002	36,877	37,871	43,556	45,973
Social workers	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0								91,944	96,497	94,453	0	0	0	0	0
SLTs	17,376	17,409	17,453	17,551	17,798	17,930	18,080	18,207	18,259	18,317	18,394	18,435	18,477	18,510	18,540	18,687	18,879								15,935	15,932	16,595	16,572	17,231	17,346	18,435	18,879
Total	294,814	296,293	297,386	299,913	304,276	307,268	310,258	312,204	314,050	316,318	318,341	320,594	321,914	322,512	324,826	328,777	331,077								350,330	361,061	369,139	281,467	288,775	297,515	320,594	331,077

Media coverage — **22** mentions

Pie chart:
- Local Newspaper Website 1 (4.55%)
- National Newspaper 1 (4.55%)
- Radio Website 1 (4.55%)
- Regional Newspaper Website 1 (4.55%)
- Television Website 2 (9.09%)
- Magazine Website 2 (9.09%)
- Other 3 (13.64%)
- Magazine 3 (13.64%)
- News Web Site 8 (36.36%)
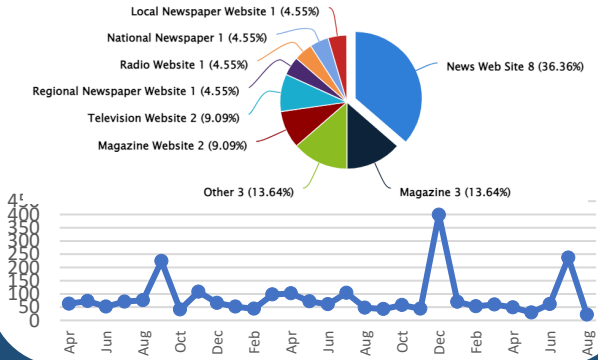
Social media engagement

- f **369**
- 🐦 **2,054**
- in **262**
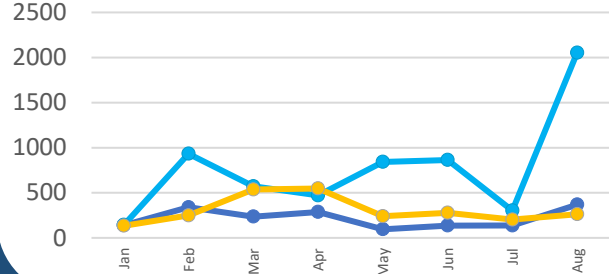
Policy queries
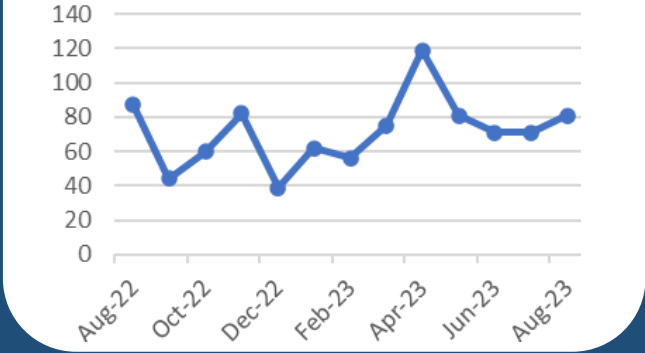
In Focus email
- Open rate
- Click-to-open rate
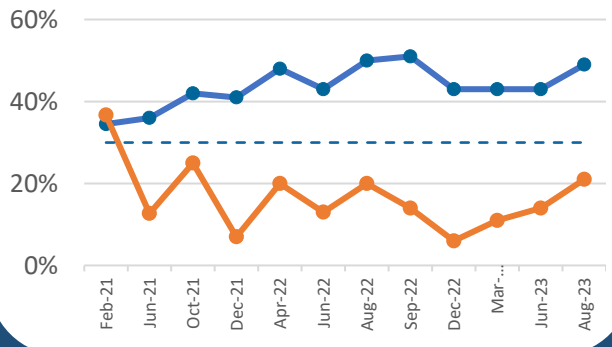
Blog & news views
- Blogs
- News
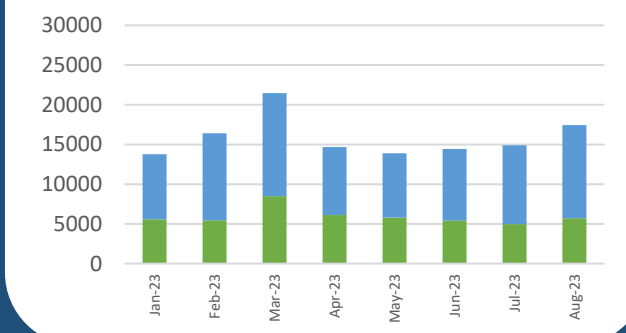
SOPs workshop / PL workshops

Has this session helped you to reflect on your practice?

- No 10%
- Yes 90%
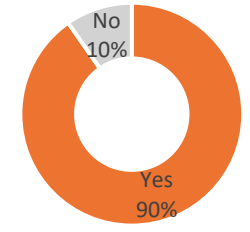
Employer hub
- Visitors

Employer email
- Click-to-open rate
- Target
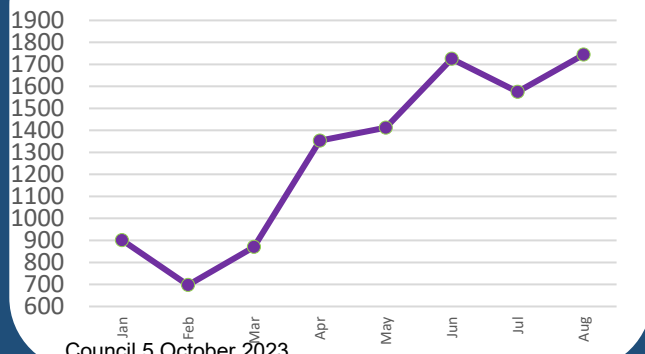
1,048 subscribers
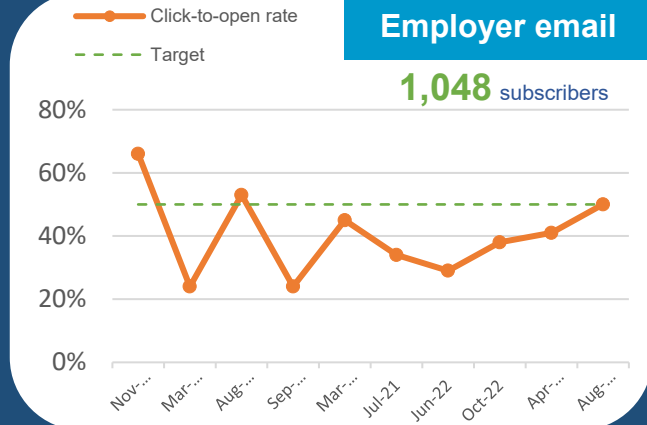
Student hub
- Visitors
- Target

Council 5 October 2023
Chief Executive's report on organisational performance
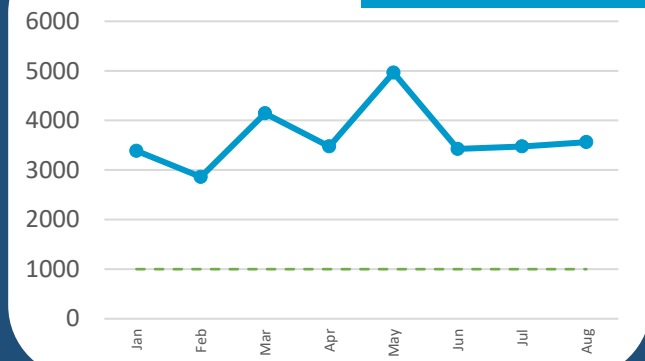
Chief Executive's report on organisational performance – October 2023

Appendix C

Corporate Plan 2023-24 - Deliverables Progress Report October 2023

Theme 1- Improving the experience of registrants and others who engage with the HCPC

	Area of development	Key milestones	Rag and comment
1	**FTP Frontloading** - Improve experiences of our fitness to practise process by shifting the focus of our investigation work to earlier in the process, which has shown in pilot to reduce the time FTP cases take overall.	a. Move into new operating model (Q4) b. Deliver changes to case management system to enable frontloading approach (Q3-4) c. Embed new ways of working and commence in-house frontloaded investigations (Q4) d. Start reporting on new KPIs for FtP processes (Q4)	Implementation phasing of frontloading plan has been reviewed following changes to resource. New process to be in effect by the end of the financial year.
2	**FTP participant support** - Seek to reduce the impact of FtP processes on registrants and other participants through our new dedicated registrant support line, progressing our registrant health and wellbeing strategy and by continuing to run our lay advocacy service.	a. Complete tone of voice review of all FtP templates (Q2) b. Review of Lay Advocacy Service after one year (Q3) c. Review of Registrant Support Service after one year (Q4)	Review and redrafting of templates completed in August and on track for planned rollout (October). Factsheets for each stage/function are being drafted which will be published on our website.
3	**Registration Operating Model** - Transform our registration service operating model to enable a greater focus on good customer service for registrants and applicants.	a. Move into new operating model (Q3-Q4) b. Embed new process and ways of working (Q3-Q4)	Concluded the trial of the 12-month ring-fenced teams and on track as planned.
4	**SCPE review** - Ensure our standards and guidance reflects registrants current practise and the situations they work in. in 2023-24 we will review our Standards of Conduct Performance and Ethics and supporting guidance on aspects such as social media and the duty of candour.	a. Launch Standards and Social Media Guidance consultation (Q1) b. Consultation analysis complete and updated standards approved and published (Q3) c. Consultation on supporting guidance launch (Q3-4)	Consultation responses included on Council's agenda at this meeting, consult launch for supporting guidance is anticipated for Q4.
5	**EDI** - Implement 2023-24 EDI action plan activities.	a. Statistical analysis of FTP outcomes as impacted by EDI factors (Q2-3) b. Regulatory Reform Equality Impact Assessment (Q4) c. Publication of EDI factsheets across professions (Q1-4)	Analysis of FTP outcomes is continuing and data from across all of the protected characteristics is still being compiled. Publication across all protected characteristics is unlikely this financial year. Pending DHSC timetable, we aim to commence the Reg reform impact assessment Q4. EDI fact sheets across the professions is continuing on track. Every profession has an EDI factsheet, and most will have been updated by June 2024, in line with projections.

| 6 | **Service user engagement** - Strengthen the range voices informing our regulatory policy development by better engaging with service users and patients. | a. Work with other regulators to pool resources on service user engagement (Q2-3)
b. Development of a service user group forum (Q3-4) | We continue to work in cross-regulator forum, including discussion on possible joint approach to service user engagement. Discussions with service user representative groups are underway around a longer-term partnership/forum.
Completed workshops with The Patients' Association on our Standards of Conduct, Performance and Ethics consultation. |
| 7 | **Welsh Language** - Support our 4-country approach to UK regulation by making enhancements to our Welsh language accessibility as required by changes to the Welsh Language Scheme | a. Work with Business Change, IT, Comms, and Regulatory Departments to implement necessary changes | Internal discussions underway around roles and implementation. Changes on track to be implemented by June 2024. |

Theme 2- Contributing to sector wide workforce planning and resilience

	Area of development	Key milestones	Rag and comment
8	**English Language** - Review our English Language Requirements for registration to ensure that international registrations meet expectations on communication.	a. Conduct pre-consultation engagement (Q1) b. Consultation on proposals (Q2-3) c. Agree approach following consultation (Q4)	Project is on track against the timeline agreed following a deliberate decision to extend the pre consultation engagement. This pre-engagement phase has now concluded, paper for Council at this meeting for approval of public consultation.
9	**Standards of Education and Training** - Working closely with education providers, commence a review of our SETs to ensure that the registrants of the future continue to join the workforce with the skills and knowledge they need to succeed.	a. Preparatory work and scoping of review (Q4)	No update for this quarter.
10	**Preparedness for practice** - Undertake research into the experiences of new registrants entering the workforce, which will inform our work to support registrants to continue to meet our standards and stay on our register.	a. Communication and implementation of preceptorship principles (Q1) b. Interim research report on preparedness for practice (Q2-3) c. Final preparedness for practice research report received & action plan developed (Q4)	Continuing our work on implementation with HEE, designed principles and supporting documentation published in September.

11	**Advance Practice** - Continue our work on advanced practice regulation development to ensure that emerging roles and innovation in delivery continues to enable public protection.	a. Engagement with other regulators and key stakeholders on AP developments (Q1) b. Take forward development of definition/guiding principles (Q3) (subject to fee increase)	On track, discussions commenced around additional resources needed.
12	**Data insights** - Share insights from our data with shareholders, through the publication of profession specific data dashboards which enable greater visibility of the makeup of our register. Continue to pursue strategic data partnerships with key stakeholders regulators to enable us to better forecast workforce supply through new graduates and international registration.	a. Renewals data dashboard (Q1) b. Retention rate publications (Q3) c. Regular supply of Student level Higher Education Statistics Agency (HESA) and NHS Education Scotland (NES) data (Q4)	The process for counting renewals has been fully documented. The renewals dashboard is in final testing stage. Retention rate work on track for Q3 publication, presenting to PSA research seminar in November. We are continuing with supply of HESA data and will be exploring options for NES data, not deliverable within current resource.
13	**Covid-19 Temporary register** - Support emergency workforce provision by the continuation of our temporary covid register.	a. Agree approach (Q1) b. Agree implementation (Q1-2) c. Phasing of operationalising (Q3-Q4)	Approach and Implementation agreed, and final temporary register produced. Design of the declaration process underway and on track as part of the Phasing of operationalising. Discussions now underway around how to implement phase 2, Business Change facilitating. In receipt of DHSC letter (Sept 2023) announcing closure of the temporary register end of March 2024.

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

	Area of development	Key milestones	Rag and comment
14. a	**Online registration services** – pursuing our Digital Transformation Strategy to enhance our online application and renewal functionality for registrants and applicants enabling greater self-service and reducing manual and paper based inefficiency.	a. Scoping and developing new automated processes and system enhancements (Q3) b. Commence new automated ways of working (Q4) c. Scoping of technical solution to deliver mobile compatibility (Q3) d. Delivery of mobile compatibility – (Q4)	Mobile phone compatibility for "Renewal" section is being developed in the current sprint cycle, on track to be in place at the beginning of October ahead of one of our largest professions to renew. Development on the 'My details' section to follow in the next sprint cycle, due to begin in October.

Chief Executive's report on organisational performance

No.	Objective	Deliverables	Status
14. a	**Online FtP concerns form –** develop an online form to submit an FtP concern to enhance the experience for complainants. Manual inefficiencies will be reduced through automatic case creation and population of relevant data fields. The online form will also allow the collection of EDI date for members of the public who raise an FtP concern with us.	a. Requirements gathering for online form including technical architecture for auto case creation – (Q1) b. Define data capture at form submission stage – (Q1) c. Build and test new online concerns form – (Q3) d. Delivery of online concerns form – (Q3-Q4)	The online concerns forms and data schema have been finalised by FTP, IT and the product team. These data schema and forms have been shared with suppliers Reviewed costs are higher than expected, IT are reviewing these and awaiting new proposals to be present to the Project Board to allow for initiation.
15	**Partners** - Review how we work with our Partners to optimise and streamline our processes and quality assurance.	a. PWC project established for phased recommendations (Q3-4) b. Work of task and finish group on employment status of partners in light of NMC legal case.	PWC project established and briefed to PRC on work for this FY. Task and finish group continue to meet to develop contractual and system options not all legal questions yet settled by courts.
16	**People** - Deliver the third year of our People Strategy, focusing on improving our ability to attract and retain talent.	a. Implement upgrade to e-recruitment site and enhance the recruitment pages by making them more interactive (Q2-3) b. Develop a talent pool for candidates (Q3-4) c. Relaunch beyond barriers mentees and mentors (Q2) d. Succession planning: identify needs and key positions by priority departments (Q3).	Initiation of e-recruitment upgrade later than planned, pending IT Security testing which has been delayed owing to impact of other priority deliverables. Beyond Barriers and Reverse Mentoring programmes now live. Development of succession plan framework is underway.
17	**Financial management** - Strengthen our financial management capabilities by modernising our financial IT systems.	a. Implement Business Central (Q3) b. develop approach for strengthening financial reporting with new functionality enabled by Business Central and an approach for accounting for deferred income and automation of invoice processing (Q4).	Implementation of BC deferred from initial planning assumption of end of last financial year considering results of design phase. Timetable reset and work progressing against revised plan, with data migration approach and go live date to be decided to minimise any impact on registrations timeliness.
18	**Sustainability** - Improve our sustainability and further reduce our office footprint	a. Establish HCPC's carbon baseline & agree action plan and targets (Q1) b. Establish Employee Forum-sponsored programme of employee engagement (Q1) c. Review scope and take decisions on incorporating environmental considerations (Q3)	HCPCs carbon baseline and action plan agreed by Council (July 2023) Sustainability statement updated and published (Sept 2023). Progress underway with engineering specialists to develop the design to replace gas heating systems.

19	**Engagement** - We will establish an Office of the Chair and Chief Executive to better support strategic engagement with stakeholders and the prioritisation of Chair and Executive time as well as ensuring quality support is available	a. Ways of working established, all posts filled and operational (Q2) b. 6 month ways of working review (Q4)	All posts filled and ways of work established.

Areas of development that will be progressed subject to achieving a rise in our fees, needed for financial sustainability

Our Council have agreed that subject to our future income needs being secured, we will include the following areas into our Corporate Plan.

1. Working with employers to secure better protected CPD time
2. Increase our promotion of registration fee tax relief
3. Increase the spread of direct debit payments

Chief Executive's report on organisational performance – October 2023

Appendix D

Strategic Risk Register October 2023
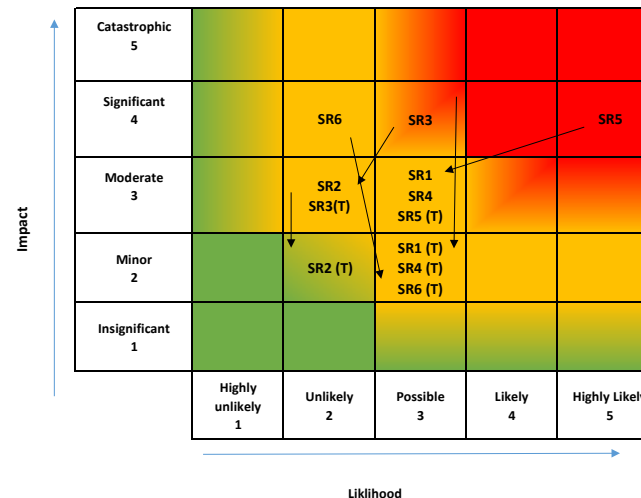
HCPC Strategic Risks

Summary of strategic risks

Strategy	Strategic Risks - High Level	Risk Description	Sep-23	Target Risk*
1 - Continuously improve and innovate - To improve our performance against PSA standards of good regulation and to innovate across all our regulatory functions to provide an enhanced user experience.	1. Our regulatory performance does not meet the expectations of our stakeholders and as a result stakeholders have negative experiences of our regulation	This includes the appropriateness of the timeliness and quality performance targets we set ourselves, being in line with the expectations of our stakeholders. This requires awareness of new developments within the regulatory sector and strong stakeholder engagement to ensure expectations are understood. This risk also relates to the experiences of those participating in our regulatory processes, for example registrants, witnesses, professional bodies and education providers.	9	6
2 - Promote high quality professional practice - Enable our professions to meet our standards so they are able to adapt to changes in health and care practice delivery, preventing harm to service users.	2. The HCPC's regulatory expectations are not appropriate or not understood by registrants and other stakeholders	This includes the quality and suitability of our standards and guidance in setting a threshold for safe practice which protects the public. It also includes how effectively we communicate our regulatory expectations, and the effectiveness of our professionalism and upstream regulation work.	6	4
3 - Develop insight and exert influence - Learning from data and research to inform our decision making and share insights to protect, promote and maintain the health, safety and well-being of the public.	3. We are unable to harness the benefits of the wealth of data we hold	This includes our effectiveness in collecting, maintaining, and utilising the data we need to be an intelligence driven regulator. It includes the effectiveness of our insight and intelligence work. It relies heavily on the work of the digital transformation and IT team and includes operational reporting in the Corporate Services team. It also relies on regulatory teams inputting information.	12	6
4 - Be visible, engaged and informed - We regulate, take and communicate decisions which are informed by a deep understanding of the environment within which our registrants, employers and education providers operate.	4. We do not understand our stakeholders needs and so are unable to be as effective a regulator as we can be	This includes how effectively we engage with our stakeholders and our credibility with them and how well we play our part in the wider system. It includes our EDI practice externally, the ability to respond and influence external drivers for change, like the impact of Brexit, devolution or a change in government as well as issues like workforce development.	9	6
5 - Build a resilient, healthy, capable and sustainable organisation - Employees feel valued and supported, and fully able to contribute. The organisation is resilient and able to quickly adapt to changes in the external environment.	5. The resources we require to achieve our strategy are not in place or are not sustainable.	This risk includes not securing the resources we need to be effective and / or not being efficient and effective in our use of our resources (resources include financial, knowledge, skills, culture, infrastructure). It includes the development of our culture, people and physical assets, our continued financial viability and the significant failure of key business processes.	20	9
6 - Promoting the value of regulation - The public, registrants, students and employers understand the value and importance of regulated health and care professionals.	6. HCPC is unable to realise the benefits of regulatory reform, or these benefits are significantly delayed	Regulatory reform is an essential component to helping HCPC realise its strategic ambition to provide a more human and compassionate regulation through the timely and proportionate disposal of fitness to practice cases.. Benefits also include greater flexibility to make process efficiencies, greater control over funding to enable financial sustainability in the long term and modernise governance structures. This risk includes the HCPC's capacity and capability to engage and influence regulatory reform effectively to ensure its benefits are realised, as well as the HCPC being viewed by government as a priority regulator for reform.	8	6

* Expected risk score post planned actions

Mitigation key

	Preventative
	Monitoring
	Detective
	Remedial
	Horizon scanning
	Best practice development
	Communication

Heat map of strategic risks - residual to target (T)

Strategic risk 1 - Our regulatory performance does not meet the expectations of our stakeholders and as a result stakeholders have negative experiences of our regulation

Review date	Risk owner
Sep-23	ELT Lead - Acting Executive Director of Regulation

Risk summary

This includes the appropriateness of the timeliness and quality performance targets we set ourselves, being in line with the expectations of our stakeholders. This requires awareness of new developments within the regulatory sector and strong stakeholder engagement to ensure expectations are understood. This risk also relates to the experiences of those participating in our regulatory processes, for example registrants, witnesses, professional bodies and education providers.

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

Decrease

Current risk influencers

- The PSA published the HCPC performance report 2022-23 in June 2023. The HCPC met 16 of 18 standards, gaining three more standards then 2021-22, including all Registration standards and three out of five FTP standards.
- We have continued to remain within our service standard of providing a first decision on an international application within 60 working days - we have been within our service standard since Jun 22. Performance has continued to improve and since Nov 22 we have been providing a first decision in under 20 working days.
- Our contact center has been providing an improved service, we have answered 96% or more of the telephone calls we have received and responded to emails within 2 working days since October 2022.
- Online applications project delivered online Int and UK applications. This has increased reg advisor processing productivity significantly.
- Pre engagement from stakeholders on planned international recruitment in 2023-24 increases confidence in forward resource needs.
- Education have been improving, backlog has been cleared. While work is progressing steadily, projections for end of August have been pushed to September. Following QA review Education are ensuring framework is more robust.
- The second tranche of FtP Improvement projects are in delivery, continued focus on embedding of tranche 1 benefits.
- Tone of voice review of prioritised key FTP templates has progressed significantly with SDMs taking on the review and LC approval. Drafting mostly completed and now in approval and assurance stage. On track to go live 25/09.
- Teams will require additional resource to engage in regulatory reform preparation when commences for HCPC.

Risk Appetite

Our risk appetite for actions to achieve regulatory quality is open, our risk appetite for actions relating to compliance is measured.

This risk needs to be rated in the amber range to meet the risk appetite due to the measured appetite for compliance (PSA standards) we currently are not meeting a number of PSA standards and have a comprehensive improvement programme in place to address this. Reaching the target risk score is dependent on
1. The launch and successful embedding of the new Education QA model.
2. Registration applications being online, volumes reducing and the review of the international process.
3. Changes from FTP improvement programme embed and evidence that improvement is lasting in medium – long term.

Current risk level is within risk appetite

Mitigations in place

- Second line QA plan for 2023-24 to review success of improvements in FtP (and registration & education) in addition to first line QA activity in place, such as the FtP DRG and panel member feedback following each hearing.

- FtP improvement programme and governance in place, FtP improvement oversight board regularly meeting with attendance of PSA and DHSC. Regular self-assessment against PSA standards reported to Council.

- Modern education QA model in place and embedding. Regular feedback sought and acted upon to improve process application and stakeholder experience. Education provider self-service portal in place improving experience of education stakeholders.

- Cross organisational working group focused on PSA standards attainment and learning from other regulators good practice. Participation in inter-regulatory working groups to share good practice and discuss common issues, this is also provided though the use of a panel of legal providers for FtP matters with experience of how other regulators have improved processes.

- Monitoring regulatory performance through performance reporting and KPIs.

- Mature feedback and complaints service in place focused on extracting learning when things go wrong.

- Surge support partner in place to process increase in international application volumes and minimise any delay to stakeholders. Online application capability in place for UK & international applications.

- Regular learning and development for Partners and employees.

- Registrant health and wellbeing strategy, registrant support line in place.

- Wide range guidance on HCPC's regulatory processes available on our website.

Planned mitigations 2023-24 | progress

Move into new FTP Frontloading Operating model (Q4)

In progress. Frontloading plan has been reviewed following lack of resource (whole manager team left). Legal roles are currently being advertised to support the drive forward, OM and manager roles have been filled, to start October. Nov to Jan designing new process, effective to start Feb 2024.

Complete tone of voice review of FtP templates (Q2)

In progress. Key templates have been re-drafted for Registrants and Complainants, including key letters at Threshold stage. SDMs also drafting factsheets for each stage/function which will go on the website. On track to complete and go live w/c 25/09.

Move into new Registration operating model (Q3-4)

Trial 12 month ring fenced teams test completed. Review progress and planning to fully roll out in Q3-4 quarters once any HR requirements have been completed.

Enhance online registration services including mobile compatibility (Q4)

Mobile phone compatibility for "Renewal" and "My Details" sections progressed in current product development sprint cycle to be in place ahead of renewals of largest profession groups.

Reporting period commentary

Risk score – Decreased. Our PSA performance review for 2022-23 has bene published, showing that the HCPC new meet 16 of 18 standards, a significant increase of the 13 met lest cycle. these standards met include 16 and 17 relating to FTP, showing the significant positive impacts of the ongoing FTP improvement work.

Risk Influencers – Registration service has improved and remained consistently within KPI since the summer 22. Introducing online services has helped in this as well as ringfenced teams dedicated to UK and international processing. Negative influences include Edu consistency, and the ongoing tone of voice work. Progress has been made in both areas so we hope to see these change in he future.

Planned mitigations progress – We launched our first registrant support phoneline at the beginning of Q1. Mobile phone compatibility progressed in current product development sprint cycle to be in place ahead of renewals of largest profession groups.

Strategic risk 2 - The HCPC's regulatory expectations are not appropriate or not understood by registrants and other stakeholders

Review date
Jun-23

Risk owner
ELT Lead - Executive Director of Governance Assurance and Planning

Risk summary

This includes the quality and suitability of our standards and guidance in setting a threshold for safe practice which protects the public. It also includes how effectively we communicate our regulatory expectations, and the effectiveness of our professionalism and upstream regulation work.

	Impact		Likelihood	Risk Score
Inherent risk	5	x	5	25
Current risk	3	x	2	6
Target risk (planned mitigations in place)	4	x	1	4

No change

Current risk influencers

- 4 country PL resource in place better enabling UK wide prevention engagement.
- Partnership working with HEE on Preceptorship principles (supporting new professionals transition to workplace) approved by Council and published. Implementation guidance in development.
- Revised SOPs in effect as of 1 September. Detailed guidance and support available on the HCPC website.
- ✚ Changes to SOPs may pose risk to registrant understanding of expectations following implementation. Plan under active monitoring to mitigate.
- ✚ Changing expectations of our professions' practice as a result of pressures on services, tech or societal events.
- Review of SCPEs and supporting guidance consultation closed 16 June, analysis to go to Q2 ETC and Council
- #mystandards 2023-24 events programme has commenced aiming raising awareness of standards requirements.
- Preparedness for practice research has launched.
- English Language Requirements: Pre-engagement has now concluded, public consultation period will begin in early October 2023, running to mid-January 2024.

Risk Appetite

Our risk appetite for actions to achieve regulatory quality is open, the appetite for actions related to communication and profile is seeks.

This makes the risk appetite target level within tolerance if below red/amber. We are confident that our standards and guidance are fit for purpose and so this risk is currently within risk appetite.

However, to maintain that control onward reviews are essential to ensure standards are constantly kept under review to maintain relevance to changing practice and the wider health sector.

Current risk level is within risk appetite

Mitigations in place

- Public consultation process in place
- Engagement with key stakeholders/experts for widescale profession specific changes to standards.
- Guidance provided on meeting our standards, 'My Standards' webinar series.
- Dedicated website hubs for registrants, students, employers, members of the public, education providers.
- Policy and Communication teams at full complement.
- Policy enquiries function available to support understanding and application of our standards.
- Regulatory approach to advanced practice defined and agreed by Council.
- Professionalism Liaison service in place influencing employers, using knowledge to effect change through engagement and advice.

Planned mitigations 2023-24 | progress

Planned mitigations 2023-24	progress
Review our English Language Requirements for registration (Q1-4)	Pre-engagement has now concluded, public consultation period will begin in early October 2023, running to mid-January 2024. A second round of governance will take place post-consultation, with implementation planned from March 2024.
Preparatory work and scoping of review of SETs (Q4)	Not yet due to commence.
Undertake preparedness for practice research - Final preparedness for practice research report received & action plan developed (Q3-4)	Working on with Uni of Plymouth.
Advanced practice - take forward development of definition/guiding principles (Q3) (subject to fee increase)	Reviewing NMC advance practice research, including the impact of reg reform and engaging with NHS England
Review of SCPE and social media guidance (Q1-3)	Consultation closed 16 June, consultation analysis completed. Paper going to ETC for recommendation to Council approval, publication will follow.

Reporting period commentary

Planned mitigations – Good progress on planned mitigations in Q2. Major review of SCPE's consultation analysis completed, paper scheduled for ETC recommendation.

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

Review date	Risk owner
Sep-23	ELT lead - Executive Director of Governance Assurance and Planning

Risk summary

This includes our effectiveness in collecting, maintaining, and utilising the data we need to be an intelligence driven regulator. It includes the effectiveness of our insight and intelligence work. It relies heavily on the work of the digital transformation and IT team and includes operational reporting in the Corporate Services team. It also relies on regulatory teams inputting information.

	Impact		Likelihood	Risk Score
Inherent risk	5	x	4	20
Current risk	4	x	3	12
Target risk (planned mitigations in place)	3	x	2	6

No change

Current risk influencers

■ Findings of analysis of the attrition rates of the 15 professions published, contributing to wider workforce planning aims. Positive reception from stakeholders.

■ Insight and Analytics commenced work on data dictionary. IT team delivered successful first modules of new data platform, supporting EDI reporting, meeting the needs of the HEE data sharing project and improving access to core registration data.

■ Data Engineer in place, data standards officer on secondment. A data migration specialist has been recruited on a temporary basis to support the Business Central project.

✚ Ongoing risk of single point of failure for operational performance data reporting. Capability and capacity challenging, focus on progressing automation in Q1-2

■ % of registrant EDI data held has improved with 75% of those renewing opting to provide data. System improvements delivered to make data collection mandatory as part of online registration processes.

✚ Quality and completeness of underlying data causing delays to analysis as significant cleansing work required. I&I team working with Ops teams to resolve and mitigate against continued imputing of new bad quality data.

■ Data priorities have been reviewed and aims for 2023-24 more realistic and grounded in the reality of the current data quality. Priority is to improve data quality before moving to next maturity level.

Risk Appetite

Our risk appetite for actions to achieve regulatory quality is open, the appetite for actions related to communication and profile is seeks. These categories are not a direct link however and consideration is needed of the future expectations for data use in regulation and that we are at the start of our development in this area. . Therefore, our appetite for this risk is to be within the amber scale rather than a higher appetite.

To reach our target we need to have the data platform in place to enable an analytics environment. We will require a more substantial I&A team, as well as more systematic data collection through online applications to increase the % of registrant characteristics data held.

Current risk level is one level outside of risk appetite

Mitigations in place

🔊 Publication of FtP, Education and Registration information and datasets through annual reports and FOI requests.

🔭 Insights and Intelligence Framework agreed, setting out priorities and approach for data analysis.

🚧 Dedicated resource for Analysis and Intelligence and Data Engineer in place.

🔍 Publication of in house statistical analysis of EDI data and register attrition rates published.

🚧 Oversight board for Programme for Data Excellence in place.

Planned mitigations 2023-24 / progress

🔍 Statistical analysis of FTP outcomes as impacted by EDI factors (Q2)	➡ Not yet started. Scheduled for Q3
🌟 Retention rate publications (Q3)	➡ UK route published in January, International route to be published in Q3
🕑 Regular supply of Student level Higher Education Statistics Agency (JISC) and NHS Education Scotland (NES) data (Q4)	➡ Not yet started.
🔍 Publication of EDI factsheets across professions (Q4)	➡ Rolling programme. Eight factsheets now published. After renewal window in Q4 will be full register at same point in time. Will then be an annual report.
🕑 Renewals data dashboard (Q1)	➡ Accepted report now in place agreeing renewals counts of actuals and previous windows.

Reporting period commentary

Risk influencers – Streamlined focus for 2023-24 agreed, focused on underlying quality improvement and a smaller number of analyses projects. Data quality remains a negative impact on the score.
Planned mitigation progress – good progress on planned mitigations in quarter one and two.

Strategic risk 4 - We do not understand our stakeholders needs and so are unable to be as effective a regulator as we can be

Review date	Risk owner
Jun-23	ELT lead - Executive Director of Governance Assurance and Planning

Risk summary

This includes how effectively we engage with our stakeholders and our credibility with them and how well we play our part in the wider system. It includes our EDI practice externally, the ability to respond and influence external drivers for change, like the impact of Brexit, devolution or a change in government as well as issues like workforce development.

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

Decrease

Current risk influencers

➕ HCPC fee rise decision has understandably not been popular with stakeholders, significant engagement undertaken to continue productive relationships.

➖ Collaboration with NHS employers to reach out to attendees of joining the UK workforce upstream events, contributing to the wider workforce agenda. Also, in this area we published our analysis of register retention improving understanding of attrition, preceptorship principles published and preparedness for practice research launched.

➕ Ops functions not resourced to respond as quickly as other regulators to urgent Government needs in increasingly complex environment or topical issues for stakeholder groups

➖ Professional liaison consultants in place in each of the 4 UK countries, improving our reach for engagement work.

➖ Strategic Relationship Lead in place and actively managing and supporting relationship managers' network. Relationship management model reviewed and revised in quarter 1. Engagement management group established to support more targeted forward planning for engagement.

➕ Business case for a CRM not taken forward in investment prioritisation for 2023-24. Over the year we will better scope our needs to make the case for the following years submission.

➖ Service user engagement focus groups undertaken for SCPE review.

Risk Appetite

Our risk appetite for actions related to communication and profile is seeks.
Current risk is outside of appetite and needs to be within the amber range to come within appetite.

To meet our target, risk our new engagement approach needs to embed which involved organisation wide relationship managers, a central CRM system is required for this to be truly effective. The target also requires the scaling up of the Liaison service to have UK wide engagement. This risk is also dependent on being able to deliver stakeholder expectations such as more automated processes.

Current risk level is within risk appetite

Mitigations in place

📢 ELT relationship building and liaison with key stakeholders particularly Government Departments, professional bodies, other regulators, unions.

📢🔭 Personal engagement plans for Chair & Chief Executive in place. Engagement management group meets regularly to monitor and plan engagement strategically. Operational level relationship manager engagement for key stakeholders in place across HCPC.

📢 Communications and strategic engagement supported by external communication partner.

🔭📢 Horizon scanning and intelligence gathering including from relationship building to be aware of external drivers and influencers, early planning, and scenario development.

✴ EDI strategy and action plan informed by independent audit of EDI practice. EDI stakeholder forum & internal EDI employee forum.

🚧 Policy statement on approach to MOUs in place, a number of MOUs agreed with key stakeholders.

⏲ Analysis and action planning from feedback mechanisms including corporate complaints, FtP stakeholder surveys, stakeholder opinion polling and education provider survey.

⏲ Interim stakeholder CRM in place to improve stakeholder engagement management and insights.

Planned mitigations 2023-24 | progress

📢 Development of a service user group forum (Q3-4) → Tender undertaken for support with service user engagement groups for SCPE review.

🚧 Office of Chair and Chief Executive established and posts filled (Q2) ✔ Business manager in post and ways of working established. This team is providing support for the new CEO.

📢 English language review pre consultation engagement (Q1-2) → Pre-engagement has now concluded and drafting is underway for initial papers to ELT in September 2023, which will go to Council shortly thereafter. The public consultation period will begin in early October 2023, running to mid-January 2024. A second round of governance will take place post-consultation, with implementation planned from March 2024.

🚧 Welsh language scheme accessibility enhancements (Q3-4) → Final compliance notice received, teams notified of requirements and development in progress. Business change support for systems requirements in place.

Reporting period commentary

Risk score – as previously reported, while positive work has taken place on mitigation which would otherwise reduce the risk score, the fee rise decision has had a negative impact on stakeholder sentiment and so the risk overall remains unchanged.
Risk influencers - Negative impact on perception due to fees consultation decision. Positive impact from more mature planning to engagement and PL 4 country reach.

Strategic risk 5 - The resources we require to achieve our strategy are not in place or are not sustainable

	Review date
	Sep-23

	Risk owner
	ELT - ED of Resources and Business Performance

Risk summary

This risk includes not securing the resources we need to be effective and / or not being efficient and effective in our use of our resources (resources include financial, knowledge, skills, culture, infrastructure). It includes the development of our culture, people and physical assets, our continued financial viability and the significant failure of key business processes.

	Impact		Likelihood	Risk Score
Inherent risk	5	x	5	25
Current risk	4	x	5	20
Target risk (planned mitigations in place)	3	x	3	9

No Change

Current risk influencers

- 23-24 budget and corporate plan approved, balanced budget was achieved. Budget factors in projected future benefits of investments, to be validated at project initial phase and tracked to ensure deliver. This builds on our longer-term approach to business planning, focusing on benefits and sustainability with budget holder challenge and support.
- 2022-23 external audit has commenced with aim of Council approval in Sept 23
- ✚ HCPC's proposed fee rise 2023 delayed in parliamentary process, unable now to lay until post recess. Impact on financial sustainability of missing income during delay. HCPC's last fee rise was reduced and delayed resulting in an impact on our medium to long term financial sustainability.
- ✚ Finance system replacement (BC) delayed, deferring benefits of from enabling further improvements in financial control, reporting and project accounting. Project now under way, with discovery phase complete and move into design and build. Go live estimate Dec 23
- Internal Audit of Core Financial Controls resulted in a number of high priority recommendations. Follow up audit has taken place has delivered a green/amber rating in light of remedial action taken, shared with ARAC March 2023.
- People strategy in place communicating development priorities to the organisation. Aspiring leaders programme has launched. Sickness absence and turnover reducing. APDR participation was 100%
- ✚ Legal position on partners' employment status has crystallised, with probability of legacy and future costs arising for HCPC; being addressed by dedicated Task and Finish Group.
- Project to review the HCPC's approach to working with our Partners (a key resource) has been launched, this will include aspects of efficiency and quality assurance
- ✚ Rising inflation increases HCPC energy and other costs and HCPC employees cost of living pressures
- Change and Benefits Forum established, reporting to ELT to strengthen change management and ensure delivery of benefits.
- ISO27001:2013 audit passed without note of non conformance, supports information security approach.
- New CEO joined HCPC in July 2023. Vacancy still at ELT level.
- Carbon baseline for HCPC now established action plan for improving sustainability being developed with expert input and involvement of ELT and SLG.

Risk Appetite

Financial and Value for Money - how will we use our resources? – Measured
People - how will we lead our workforce? – Seeks

Current risk is outside risk appetite, the risk needs to be within the amber range.

To meet our target risk we need to have in place a robust finance and registration interface, a stable budget and forward planning process with a 2-3 year forward planning timeframe and we need to have enacted our People Strategy and have confidence it is effective. The target also requires our financial reserves to be in a better position and the resources avoid deficit budgets.

Current risk level outside of risk appetite

Mitigations in place

- Adherence to budgeting and financial management and reporting processes which are subject to internal and external audit e.g. NAO. Finance business partner challenge and budget setting principles agreed by ELT to challenge the business on efficiency realisation. Business change function provides challenge on benefits outcomes of investment in new areas of work or enhancements to existing processes. Medium-Term Financial Strategy in place incorporating an efficiency action plan.

- All employees are set goals and objectives and undertake annual performance review which includes an assessment against our values (Fair, Compassionate, Inclusive, Enterprising) promoted through all employee performance system and seeks to identify training needs.

- HR includes a central learning and development function, which runs an annual learning and development plan for commonly identified skill and knowledge needs in addition to annual compliance training in areas such as data protection, bribery, EDI.

- Employee Forum acts as a consultation group for organisational change.

- Adherence to HR processes in relation to recruitment, annual performance development review and learning and development for Partners and employees.

- Effective IT system design maintaining confidentiality, integrity and availability of data. Digital transformation strategy provides roadmap for improving our IT systems.

- Maintenance of ISO27001 Information Security standard which is subject to external audit / Regular independent security assessments of key IT infrastructure. Maintenance of business continuity infrastructure and processes.

- ELT monthly monitoring of productivity of all departments through detailed performance reporting. KPIs reported to Committees and Council for oversight of performance and progress in meeting agreed milestones for corporate plan.

- Benefits management approach in place.

Planned mitigations 2023-24

		progress
Partners - Review how we work with our Partners to optimise and streamline our processes and quality assurance (Q1-4)	➡	Following the PWC report, two streams of work will start in 23-24, with the rest to be part of future business and investment planning.
Implement upgrade to e-recruitment site and enhance the recruitment pages by making them more interactive (Q2-3)	➡	Agreements achieved on the financial positioning and suitable clauses on timings, however there are still some outstanding concerns therefore decision deferred.
Relaunch beyond barriers mentees and mentors (Q2)	➡	Beyond Barriers and Reverse Mentoring have both launched. Will be starting in Sept 2023.
Implement Business Central and roll out improved management reporting (Q3-4)	➡	Delayed, but going live Dec 2023. This is likely to impact on other projects.
Establish HCPC's carbon baseline & agree action plan and targets (Q1-3)	➡	Roadmap and sustainability statement approved by ELT.
Online registration services – pursuing our Digital Transformation Strategy to enhance our online application and renewal functionality for registrants and applicants (Q3-4)	➡	Mobile apps being included in sprint cycles rather than a big bang approach. August/September focus on renewals.
Implement change to fees (tbc)	➡	Delayed due to parliamentary timetable. Delayed implementation will lower overall income in the immediate future.

Reporting period commentary

Risk score – delays in the Fee rise process outside HCPC's control has postponed delivery of a more sustainable income. Likelihood thus increased to 5 on a temporary basis.
Risk influencers – delay to fee rise noted above.
Planned mitigations - progress in reducing office footprint, overall reduction 50%. Delay to replacement finance system.

Strategic risk 6 - HCPC is unable to realise the benefits of regulatory reform, or these benefits are significantly delayed

	Review date
	Sep-23

Risk owner
ELT lead - Interim Deputy Chief Executive

Risk summary

Regulatory reform is an essential component to helping HCPC realise its strategic ambition to provide a more human and compassionate regulation through the timely and proportionate disposal of fitness to practice cases.. Benefits also include greater flexibility to make process efficiencies, greater control over funding to enable financial sustainability in the long term and modernise governance structures. This risk includes the HCPC's capacity and capability to engage and influence regulatory reform effectively to ensure its benefits are realised, as well as the HCPC being viewed by government as a priority regulator for reform.

	Impact		Likelihood	Risk Score
Inherent risk	4	x	5	20
Current risk	4	x	2	8
Target risk (planned mitigations in place)	2	x	3	6

No change

Current risk influencers

- In its response to its consultation on regulatory reform, DHSC has confirmed that the HCPC and NMC will be the priority regulators for reform following the GMC.
- Regulatory reform included in 2023-24 corporate planning prioritisation and decision making process to ensure delivery remains achievable.
- ✚ Funding needed to progress regulatory reform internally not included in 2023-24 budget and will be funded by ringfencing any surplus in 22-23 and contingency in 2023-24 budget. Fee rise achievement required to make this affordable.
- ✚ HCPC funding challenges risk being unable to scale up to meet needs of regulatory reform due to parliamentary approval of fees and associated long process to achieve this.
- ✚ While HCPC has now been named as the next regulator to undergo reform there is not clarity at this stage on the timescales for this. We expect this clarity once DHSC has run its consultation on the GMC legislation. Lack of timescale challenges planning and scaling up of resources within HCPC dedicated to reform.
- HCPC provided feedback on, and participated in cross regulatory round table discussions, regarding the development of the GMC s.60 order. HCPC has responded to this consultation.
- HCPC has engaged with DHSC on how the recommendations of KPMG on the future regulatory landscape may be taken forward. DHSC have indicated that this will not be progressed as a priority, with the S.60 taking priority.
- ✚ Government leadership changes, and challenges in the health landscape could impact on the progression of regulatory reform due to other priorities.
- Collaboration with stakeholders such as HEE provides organisational experience for greater cross organisational collaboration on workforce as aimed for in regulatory reform. Positive and wide-reaching engagement with HCPC stakeholders on regulatory reform.

Risk Appetite

Our risk appetite for actions to achieve regulatory quality is open, the appetite for actions related to communication and profile is seeks.

Current risk is within appetite.

The target risk will be reached if the outcome of regulatory reform and the longer-term regulatory landscape review compliments and endorses the multi profession regulation model. This requires successful HCPC engagement and effective messaging. Risk reduction also required greater clarity on timing of HCPC's reform and confidence that funding and resources in place realise the opportunity of reform.

Current risk level is within risk appetite

Mitigations in place

- Communications and strategic engagement, including parliamentarians and cross-party engagement, on regulatory reform supported by Luther Pendragon.
- HCPC engagement on Health and Social Care Bill led to positive change.
- Some dedicated policy resource in place.
- Participation in cross regulator analysis of draft legislation and other regulatory themes, HCPC's comments on draft legislation have been provided.
- Funding and resource required for progression of regulatory reform quantified within budget as a financial risk. Assessment of de-prioritisation of other development work undertaken to create capacity for regulatory reform.
- HCPC medium term financial plan in place to seek to make provision for regulatory reform. Consultation expected to launch Sept 22.

Planned mitigations 2023-24 — progress

- Engagement with DHSC on regulatory reform as they develop GMC's legislation as a blueprint for our own. (ongoing) — Monthly meetings with DHSC and regular catch ups with GMC & NMC. Anticipate there will be workshops in several areas following the close of the consultation
- Fee rise coming into force 2023 required to fund resources needed for reg reform. — Delayed due to parliamentary schedule
- Detailed business case for resources needed for HCPC's regulatory reform go live (Q3) — In development.

Reporting period commentary

Risk influencers– DHSC have announced that the HCPC and NMC will be the next regulators to be prioritised for reform. This reduces the risk of significant delay to the HCPCs reforms. However, the financial risk posed has increased due to needing to scale up our internal resource and delay to fee rise parliamentary laying.

Planned mitigations - HCPC continue to have regular meetings with the DHSC.

Risk Likelihood scoring

	Strategic	Programme/Project	Operational
Highly likely 5	"Clear and present danger" represented by this risk - will probably impact on this initiative - sooner rather than later.	Likely to occur in the life-cycle of the project, probably early on and perhaps more than once.	The threat is likely to happen almost every day.
Likely 4	Likely to happen at some point during the next one or two years.	Likely to happen in the life-cycle of the programme or project.	May well happen on a weekly basis.
Possible 3	May well occur during the lifetime of the strategy.	May occur during the life of the programme or project.	May well happen on a monthly basis.
Unlikely 2	Only small chance of occurring in the lifetime of the strategy.	Not likely to occur during the lifecycle of the programme of project.	Does not happen often - once every six months.
Highly unlikely 1	Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.	Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.	Extremely infrequent – unlikely to happen in a strategic environment or occur during a project or programmes lifecycle. May occur once a year or so in an operational environment.

Risk impact scoring

	Public Protection	Finance	Reputation	Operations	Strategy	Information Security
Catastrophic 5	A systematic failure for which HCPC is ultimately responsible. Exposes the public to serious harm in cases where mitigation was expected.	Unfunded pressures greater than £1 million.	Incompetence/ maladministration or other event that will destroy public trust or a key relationship.	Services to stakeholders are unavailable for an extended period of time (days)	Strategy rendered invalid	Significant breach of confidential information involving extensive quantities of data. Regulatory investigation required
Significant 4	A systematic failure for which HCPC is ultimately responsible. Exposes more than 10 people to harm in cases where mitigation was expected.	Unfunded pressures £250k - £1 million.	Incompetence/ maladministration that will undermine public trust or a key relationship for a sustained period or at a critical moment.	Services to stakeholders are unavailable for a significant period of time (hours)	Progress on multiple strategic objectives is stopped.	Significant breach of confidential information involving limited quantities of data. Regulatory investigation required.
Moderate 3	A systemic failure for which HCPC is ultimately responsible. Exposes more than 2 people to harm in cases when mitigation was expected.	Unfunded pressures £50,000 - £250,000.	Incompetence/ maladministration that will undermine public trust or a key relationship for a short period. Example Policy U-turn.	Services to stakeholders are significantly disrupted. Services are degraded or responses are slow for an extended period of time (days).	Progress on 1 strategic objective is stopped.	Limited breach of confidential information No regulatory investigation required
Minor 2	A systemic failure which results in inadequate protection for individuals/individual communities, including failure to resolve celebrity cases.	Unfunded pressures between £20,000- £50,000.	Event that will lead to widespread public criticism.	Services to stakeholders are disrupted. Services are degraded or responses are slow for a significant period of time (hours)	Progress on multiple strategic objectives is slowed.	Significant or widespread non-compliance to information security policy by employees. No breach of confidential information
Insignificant 1	A systemic failure which fails to address an operational requirement	Unfunded pressures under £20,000.	Event that will lead to public criticism by external stakeholders as anticipated.	Services to stakeholders are disrupted for a short period of time (minutes).	Progress on 1 strategic objective is slowed.	Minor or one-off non-compliance to information security policy by employees. No breach of confidential information

Regulatory Quality - Open How will we deliver effective regulatory functions?	• Our focus is on long term and lasting quality in our regulatory delivery. We have to take risk and challenge ourselves to achieve positive change. Sticking with a low-risk status quo will limit our progress. • We are open to risks that will further us in our aim of delivering excellent regulatory functions. • We are prepared to try new approaches that do not have a guarantee of success where the potential benefits of success outweigh the consequences of failure. • We proactively seek to reduce public protection risk through the promotion of professionalism and prevention. • The risks we are willing to take do not have a significant chance of long-term negative impacts on our regulatory quality. We accept that in striving for excellence and trying new approaches, short term issues may arise which we will seek to mitigate as best we can. • It is **essential** that mitigations to ensure ongoing public protection are in place as a foundation of taking risks to improve our regulatory quality.
Compliance – Measured How will we comply with our statutory, regulatory and policy requirements?	• We have a preference for safe delivery options that have a low degree of inherent risk and may only have limited potential for reward. • We are willing to take decisions that could be challenged only where we are confident we would be successful in defending against such challenge, and the adverse consequences of being unsuccessful are minimal. • We are willing to take low level risks of negative PSA performance impact given the appropriate controls are in place and we consider the potential benefits are required to maintain or improve our PSA standard performance. • It is **essential** that the long-term achievement of PSA standards is assured.
Communication and Profile – Seeks How will we be viewed by our stakeholders?	• We are eager to be innovative in content and method in order to communicate more effectively, despite greater inherent risk. • We are willing to express our views and communicate on issues where stakeholder opinion is divided, but where the HCPC has a legitimate voice and the Council has an agreed policy position. • In communicating our views, we are willing to accept the possibility of manageable reputational risk or a negative, but not irreversible, impact on a stakeholder relationship. • We acknowledge that being bold in communicating our position may lead to increased scrutiny from stakeholders. We accept this risk as being necessary to enable the HCPC to assert its voice and shape debate in the furtherance of excellence in regulation. • We seek meaningful two-way dialogue with our stakeholders, even where this may pose a risk to our profile due to uncomfortable feedback. • It is **essential** that the HCPC's voice is not perceived to be party political. The HCPC is neutral as a public body.
People – Seeks How will we lead our workforce?	• We are eager to be innovative and to choose options that increase our effectiveness as an organisation despite greater inherent risk. • We are prepared to accept risk as long as there is the potential for improving culture, recruitment and retention. • We want to innovate to improve our culture and working environment. • We are willing to review and restructure where this is needed, accepting the potential for short term disruption in order for the HCPC to benefit from better ways of working. • It is **essential** that risk taking in this area is consistent with the HCPC's values and culture. As an employer are committed to upholding and promoting Equality, Diversity and Inclusion.
Financial and Value for Money – Measured How will we use our resources?	• We are prepared to accept the possibility of limited financial loss where it does not have the potential to impact on our going concern. • Value for money is our primary concern in financial expenditure but we are willing to consider other benefits or constraints. • We are funded through registrant fees and we have a responsibility to ensure we invest cautiously to minimise loss while maximising benefit. • We accept that investments may be long term and take time to deliver rewards, appropriate benefit realisation monitoring is required to mitigate risk in investments. • It is **essential** we remain a financially viable organisation to ensure continued public protection through continued operation. Significant financial risks are not compatible with this requirement.