

Fitness to Practise Committee, 14 February 2013

Fitness to Practise Departmental Work plan

Executive summary and recommendations

Introduction

Attached as an appendix to this paper is the draft Fitness to Practise directorate work plan for 2013-14 and an update as to the activity undertaken as part of the Fitness to Practise work plan for 2012-13

Decision

The Committee is asked to discuss and approve the draft Fitness to Practise department work plan.

Background information

None

Resource implications

Accounted for in draft 2013-14 budget

Financial implications

Accounted for in draft 2013-14 budget

Appendices

Appendix One – FTP Directorate Work plan 2013-14
Appendix Two – FTP Directorate Structure
Appendix Three –FTP Risk Register
Appendix Four– FTP Departmental Work plan update 2012-13

Date of paper

4 February 2013

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Appendix One – FTP Directorate Work plan 2013-14

Appendix Two – FTP Directorate Structure

Appendix Three – FTP Risk Register

Appendix Four– FTP Departmental Work plan update 2012-13

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4 February 2013

Fitness to Practise Work plan 2013-14

Introduction

This document sets out the resources, responsibilities and priorities of the Fitness to Practise Directorate for the financial year April-March 2013-2014. It addresses how the Fitness to Practise department will grow, develop, improve and progress and provides a basis against which the work of the Fitness to Practise department can be planned and measured.

As in previous years, it is important that departmental planning allows for timely responses to unpredictable situations when they arise. We will revisit and update this work plan throughout the year.

Resources

Human Resources

There are currently 68 permanent members of the fitness to practise department. It is anticipated that an additional 4 employees to sit within the adjudication function will be recruited for in 2013-14, with maternity leave cover recruited for as required. The directorate structure is provided at appendix 2 of this document. The team currently comprises of:

Director of Fitness to Practise
PA to the Director of Fitness to Practise

Head of Adjudication	Scheduling Manager	Adjudication Manager
	Scheduling Officer	Lead Hearings Officer
	Scheduling Officer	Hearings Officer
	Scheduling Officer	Hearings Officer
	Scheduling Officer	Hearings Officer
		Hearings Officer
		Hearings Officer
		Hearings Officer

Head of Case Management
Head of Investigations

Investigation Manager	Case Team Manager (1)	Case Team Manager(2)
	Case Manager	Case Manager
	Case Manager	Case Manager
	Case Manager	Case Manager
	Case Manager	Case Manager
	Case Team Manager(3)	Case Support Team Manager
	Case Manager	Case Support Officer
	Case Manager	Case Support Officer
	Case Manager	Case Support Officer
	Case Manager	Case Support Officer
Investigations Manager	Case Team Manager(4)	Case Team Manager (6)
	Case Manager	Case Manager
	Case Manager	Case Manager
	Case Manager	Case Manager
	Case Manager	Case Manager

Case Team Manager (Advancement)
Case Manager (Advancement)
Case Manager (Advancement)
Case Manager (Advancement)

Administration Manager
Team Administrator
Team Administrator
Team Administrator
Team Administrator

Head of Assurance and Development	Quality Compliance Officer
	Quality Compliance Officer
	Assurance and Development Officer
	Assurance and Development Officer

Between 21 December 2012 and January 2014, the post of Head of Adjudication will be covered by Brian James, the Head of Assurance of Development whilst the substantive post holder (Zoe Maguire), is on maternity leave. During that time, Brian will line manage the Assurance and Development Officers whilst Eve Seall, Head of Case Management, will line manage the Quality Compliance Officers.

Responsibilities

- The Director of Fitness to Practise is responsible for the overall management and leadership of the Directorate, the development and implementation of the strategy and work plan and the development of new projects. She is the budget holder for the directorate
- The PA to the Director of Fitness to Practise provides administrative and secretarial support to the Director of Fitness to Practise
- The Head of Case Management is responsible for the overall management and leadership of the Case Management function of the Fitness to Practise Directorate
- The Head Adjudication of is responsible for the overall management and leadership of the adjudication function of the Fitness to Practise Directorate
- The Head of Investigations is responsible for the management, leadership and oversight of the investigations and administration function within the Directorate.

- The Head of Assurance and Development is responsible for the management of the fitness to practise quality assurance and planning function. This includes the maintenance and development of systems to support the work of the department
- The Investigations Manager(s) manage and lead the Case Team Manager(s), Administrations and Case Support Manager and oversee the delivery of activity against forecast
- The Administration Manager manages and leads the team of team administrators
- The Hearings Manager manages and leads the Hearings Officers and Lead Hearings Officers .The post holder is also responsible for the delivery of panel member training alongside the Investigations Manager(s) and the management and oversight of hearings activity
- The Scheduling Manager manages and leads the team of Scheduling Officers. She is responsible for the effective use of resources and ensuring activity is delivered against forecast
- Case Team Managers manage and lead a team of Case Managers
- The Case Support Manager manages and leads the Case Support Officers
- The Case Managers report to one of the Case Team Managers and are responsible for the management and investigation and the presentation of fitness to practise cases. There is a case team with specific responsibility for the management of registration appeal cases, prosecution of offences and health and character cases and a specific team responsible for “advancing” cases.
- The Case Support Officers provide case management support to the Case Manager
- The Lead Hearings Officer is the main point of contact for queries about the hearings teams work. The post holder also acts co-ordinator for Investigating Committee Panel meetings
- The Hearings Officers are responsible for the officering of Fitness to Practise hearings and for ensuring appropriate support is provided to all those (and in particular witnesses) who attend hearings
- The Scheduling Officers are responsible for scheduling and listing of all fitness to practise events and registration appeal panel hearings

- The Team Administrators provide general administrative support to the Department and its employees. This includes the scanning of all documentation into the case management system. The Team Administrators are the first point of contact for queries into the department.
- The Assurance and Development Officers are responsible for assisting in the development and implementation of processes to support the work of the department. This includes work to maintain and develop the case management system including the management deployment schedule. The post holders also co-ordinate the response to complaints about complaints within the department and assist in the development of reporting tools.
- The Quality Compliance Officers are responsible, amongst other things, conducting audits of case files to ensure compliance with policy and process, reviewing information for disclosure and providing freedom of information and data protection act information as it relates to the fitness to practise function

Financial Resources

This work plan is based on the assumption of a Directorate of 72 permanent employees (including post holder who will be on maternity leave as outlined above). It is anticipated that there will be a fitness to practise budget of approximately £12.1million. Temporary employees will also be used to cover anticipated peaks of activity in the financial year (particularly around the scheduling of hearings).

Forecasting

The budget is based on the fitness to practise forecast model and the forecasted activity for the remainder of the 2012-13 financial year. The following key assumptions have been made when preparing the budget:

- Number of incoming cases based on the what would have been the predicted number of cases if HCPC had regulated social workers in England for the whole of the 2012-13 financial year
- The pre ICP GSCC transfer case load will be concluded by April 2013
- 94% of the cases considered by the Investigating Committee Panel in a given month will be concluded in that month. This allows for requests for further information
- The case to answer rate is 50%. Cases referred for hearing between October and March for the financial year will not be heard in that financial year due to the time taken to prepare the case for hearing and in listing the case.
- Cases concluded at hearing is based on those cases that were referred by the Investigating Committee 6 months previously
- 25% of those cases listed for hearing will be part heard/adjourned or cancelled.
- 33% of the total cases concluded are subject to a reviewable sanction

- The number of interim order and interim order panels is based 17% of cases received in a month. This is broadly in line with 12-13 activity
- An average final hearing case will be listed for 2 days (this takes into account discontinuance cases and those that will take longer to conclude
- 3 interim order hearings will be considered in one day
- 2 review hearing cases will be considered in one day
- 4 registration appeal cases will be heard per panel
- 10 allegations will be considered per Investigating Committee Panel
- 0.2% of the total number of registrants will make a declaration of admission, readmission or renewal to the register. This is broadly in line with 12-13 activity. 50 % of declarations are received in the June-October period
- Non advancement case managers will manage an average of 45 pre ICP cases

The budget is therefore based on the forecast that there will be:

- 2110 new cases
- 1000 cases closed without referral to an investigating panel
- an ongoing pre ICP case load of 780 cases
- 1100 cases considered by the Investigating Committee
- 520 cases referred for final hearing
- 1300 days of hearings (comprising of full hearings, consent applications, interim orders, review hearings, preliminary hearings, investigating committee panels and registration appeal panels.

The number of days of hearing anticipated for 2013-14 also includes the final hearings in cases transferred from the General Social Care Council.

The budget estimate also includes CHRE and registrant appeals to the High Court, appeals against registration appeal decisions, protection of title field work and other tribunal related activity. The costs of appeals that were made in previous financial years but not concluded are also included in the 2013-14 budget. The budget also takes into account telephone attendance at Investigating Committee Panels and not requesting a transcript to be written up for every hearing.

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

Main Operational Processes

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

1. Fitness to Practise Allegations

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

2. Hearings Management

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

3. Health and Character Declarations Management

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

4. Prosecutions of Offences

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

5. Registration Appeals

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

6. Suitability Scheme

The management of cases via the Student Social Work (England) Suitability Scheme

Other Activities

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

1. Publications

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

2. Website

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

3. Panel recruitment, selection and training

In 2013-14 the department will continue to work with the Partners Team to appoint, reappoint, train and appraise panel members, panel chairs and legal assessors.

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

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

4. Committee Work

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

5. Liaison with stakeholders

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

activity associated with Fitness to Practise cases. We will continue to be involved in advisory groups (such as those run by PSA and the Department of Health) and quarterly meetings with Unions and Professional Body groups.

6 PSA Initial Stages Audit

PSA are due to audit decisions made at the initial stages of the Fitness to Practise process in 2013. An audit of the HCPC by PSA was last undertaken in 2010

7. High Court cases

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

8. Supplier Management

We will closely manage our relationship with all our key suppliers, including keeping under review our contracts and service level agreements with these suppliers. In 2013 we will undertake a tender for the provision of legal services and transcription writers. We will also look at the venues for hearings held externally to the HCPC offices.

9. Major Projects

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

- Fitness to Practise Case Management System Phase 2
- HR and Partner Systems Review
- Registrations Systems Review
- Finance Systems Review

10. Compliance

We will continue to develop processes for the audit and assurance of activity and work with the Secretariat department in relation to requests for information made under the Freedom of Information and Data Protection Acts.

11. Mediation

The mediation pilot is anticipated to begin in Spring/Summer 2013. An evaluation of the pilot will also take place in 2013-14

11. Other

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

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

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

Fitness to Practise Department Objectives 2013-2014

The objectives for 2013-14 fall into 4 broad categories. Those categories are as follows:

- **Process and Policy Development, Review and Improvement**

We will continue to review our processes and policies to ensure that we meet the HCPC's objective of ensuring public protection whilst balancing the human rights of registrants. This activity will also aid in ensuring we manage our financial and human resources to their best effect.

- **Communication, Information Provision and Responding to Change**

We will continue to look at ways in which we can ensure that all stakeholders who come into contact with the Fitness to Practise Directorate receive a high quality of information and services. We will also respond and develop processes in light of wider regulatory review and change.

- **Resource Management**

We will undertake activity to ensure that we manage effectively the resources in place to support the work of the department. This includes the financial, human and 3rd party resources such as legal service and transcription service providers and partners.

- **Risk Management**

The Risks associated with the work of the Fitness to Practise Department are attached to this document as appendix 3.

We will continue to take steps to ensure that those risks are effectively managed.

Equality and Diversity

We will continue to scrutinise and monitor all activities in this work plan with a view to identifying and where possible, mitigating any adverse impact to some groups compared to others. We will continue to aim to improve accessibility to the fitness to practise process.

Fitness to Practice Activities Table 2013-2014

Process and Policy Development, Review and Improvement

Activity	Description	Timescale	Role(s) responsible
Case Management Maintenance and Phase 2	<ul style="list-style-type: none"> - On-going deployments to CMS of new letter templates, new users, changing user profiles - Phase 2 of the developments to the Case Management System 	<p>On-going</p> <p>September 2012-September 2013</p>	<p>Assurance and Development Officers</p> <p>Head of Assurance and Development</p>
Decision Review	<p>Review and learn from review of:</p> <ul style="list-style-type: none"> - Final Hearing Decisions - Not Well Found Decisions - Investigating Committee Panel Decisions - Adjourned/Part Head 	On-going	Head of Assurance and Development, Head of Adjudication, Head of Investigation, Hearings Manager
CHRE learning points	Review and feedback learning points from CHRE in their section 29 role to improve HPC's processes and procedures and to improve decision making	On-going	Hearings Manager, Head of Assurance and Development, Assurance and Development Officer
Health and Character Report	Review cases managed since the previous review and report findings to the Education and Training Committee	May 2013	Investigations Manager, Case Team Manager Case Team 3
Mediation Pilot	Implementation, on-going management and evaluation of the mediation pilot	April 2013-September 2013	Head of Case Management
The FTP Experience	<ul style="list-style-type: none"> - Looking at mechanisms to ensure a positive experience even if the outcome wasn't the one that was expected or sought 	April 2013- March 2014	Director of Fitness to Practise

	<ul style="list-style-type: none"> - Patients Association Review - Develop questionnaires to send to registrants and complainants and look at whether we can improve communication to those involved in the process - Learning from Complaints about Complaints – 6 Monthly review - Continue to review feedback from witnesses 	<p>April 2013</p> <p>July – October 2013</p> <p>March and October 2013</p> <p>On –going</p>	<p>Director of Fitness to Practise</p> <p>Head of Investigations</p> <p>Head of Assurance and Development</p> <p>Hearings Manager</p>
Public Protection	<ul style="list-style-type: none"> - Review and implement recommendations from research (where appropriate) - Update statement on the meaning of fitness to practise 	<p>April 2013-March 2014</p> <p>May 2013</p>	<p>Director of Fitness to Practise</p>
File Audits	Continue to audit case files and look at whether any improvements or adjustments could be made	On-going	Quality Compliance Officers, Head of Assurance and Development, Head of Case Management
ICP Co-ordinator	Review the use of the ICP Co-ordinator	April 2013	Lead Hearings Officer, Hearings Manager
Scheduling Process	Look at mechanisms to improve the efficiency of scheduling activity including enhancements to the Scheduling Questionnaire	April-July 2013	Scheduling Manager

Indicative Sanctions Policy	Review and Update the Indicative Sanctions Policy	May 2013	Hearings Manager, Director of Fitness to Practise
Pre Hearing Case Management	- Provide further guidance on the drafting competency allegations	April 2013	Investigations Manager, Lead Hearings Officer
	- Identifying cases that are suitable for disposal via consent	On – going	Case Management
	- Identifying at an early stage case allegations which should be discontinued	On-going	Case Management
	- Development of post-case to answer settlement conferences	April 2013-March 2014	Head of Case Management
	- Implement process changes and criteria for holding preliminary meetings	April – October 2013	Adjudication
Hearings Process	Review of Hearings Process to ensure the hearing is being effectively managed and provide appropriate support material to the panel chair. This review will include: <ul style="list-style-type: none"> - Delivering the decision - The role of the legal assessor - Reading out allegations - Chairing by the Panel Chair - 		
Suitability Scheme	Review the workings of the suitability scheme	June 2013	Investigations Manager

Communication, Information Provision and Responding to Change

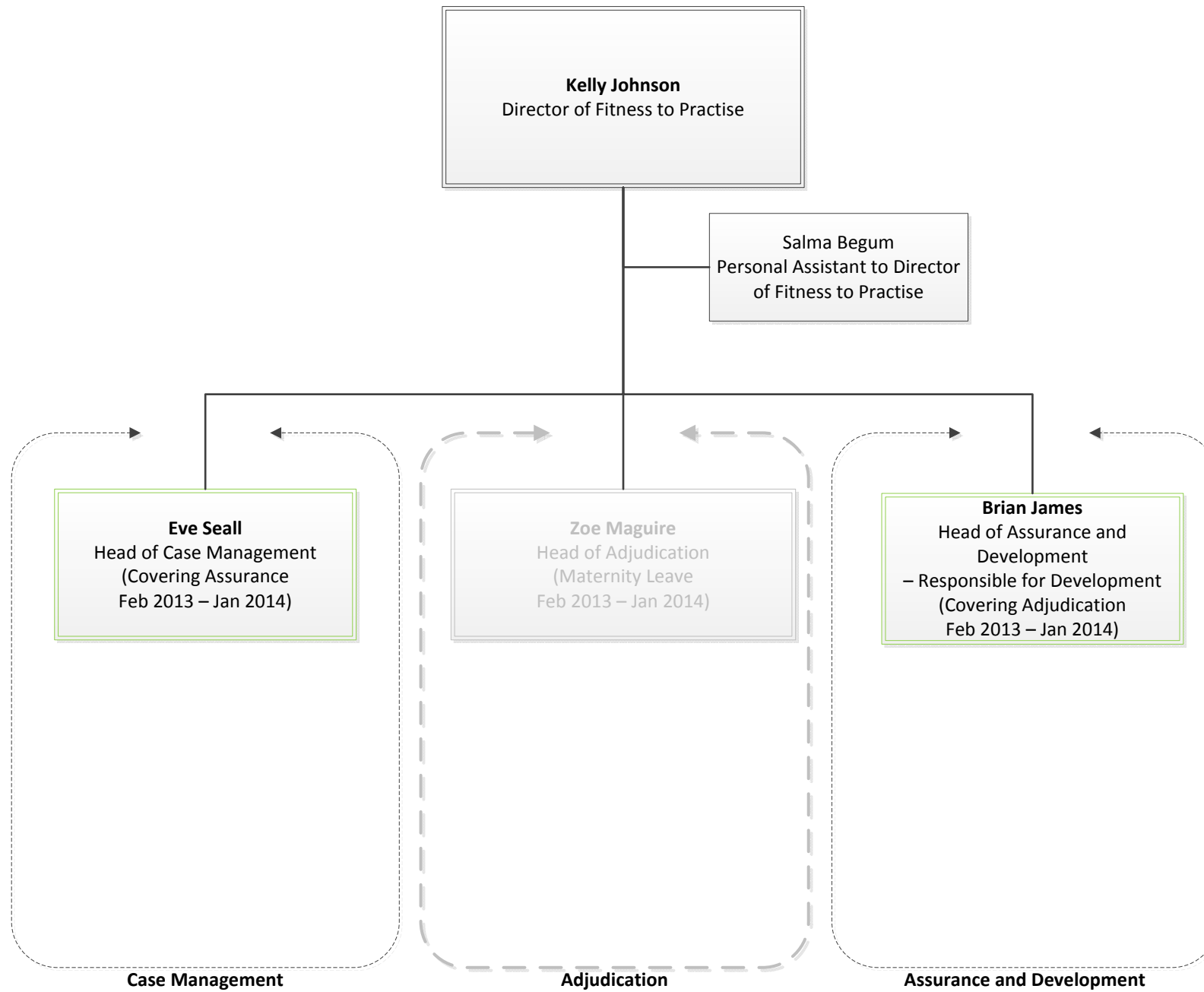
Activity	Description	Timescale	Role(s) responsible
Guidance for Employers	Work with the policy and standards team to develop guidance for employers on when to refer a registrant to the HCPC. This will include a consultation	April 2013-March 2014	Head of Investigations, Investigations Manager
Fitness to Practise Annual Report	Production of 2013-2014 Fitness to Practise Annual Report	April –June 2013 write report May 2013 – seek committee approval July 2013 – seek Council approval September 2013 – publish	Head of Assurance and Development, Head of Investigations
Attendance at Employer Events	Attend and participate in the continuing series of employer events	March 2013	Director of Fitness to Practise
Practice note review and development	Ensure all practice notes are kept up to date, remain fit for purpose and take account of relevant High Court or Court of Appeal Decisions	On-going	Director of Fitness to Practise, Hearings Manager

Stakeholder management meetings	To engage and attend meetings with all relevant stakeholder groups	On-going	All
Inter Department Liaison	Continued liaison with other departments, in particular Communications, Registrations and Partners	On-going	All
Continue to review and respond to reports issued by CHRE and other relevant organisations	To continue to review and respond to reports issued by CHRE and other relevant organisations and to present findings to committee / council as appropriate	On-going	Director of Fitness to Practise, Head of Case Management, Head of Adjudication
On-going engagement with CQC and identification of cases suitable for referral	<ul style="list-style-type: none"> - How to identify suitable cases - Referral criteria - Referral form - Training for the team 	On-going	Head of Assurance and Development
Newsletter	Quarterly Production of the FTP Newsletter	On-going	Hearings Manager

Resource Management

Activity	Description	Timescale	Role(s) responsible
Room Hire	Look at alternative venues for hearings outside of Park House in advance of renovation of Whitefield House	Before March 2014	Scheduling Manager
Partner Usage and Expenditure	Review partner expenditure		Head of Adjudication
Legal Services Tender	Undertake the tender for the provision of legal services	February 2013-December 2013	Director of Fitness to Practise
Transcription Writer Tender	Undertake the tender for the provision of transcription writer services	To complete by September 2013	Head of Adjudication, Scheduling Manager
Departmental training	<ul style="list-style-type: none"> - To continue to provide refresher training to the case management and hearings team in the form of FTP workshops - Provide training to the fitness to practise team in preparation for the on-boarding of social workers - To continue to provide profession specific training 	On-going	All
Panel Chair, Legal Assessor and Panel member review and training days	Refresh and develop material for partner training	On-going	Hearings Manager, Investigations Manger, Head of Case Management
HR/Partners project	Contribute to and be part of the project team reviewing partner systems and processes	April 2013-March 2014	Director of Fitness to Practise, Hearings Manager
Operating guidance and standard letters	Ensure all Fitness to Practise Operational guidance and standard letters are kept up to date, remain fit for purpose and new guidance/ letters are produced	On-going	All

Activity	Description	Timescale	Role(s) responsible
	as and when necessary.		



Eve Seall
Head of Case Management
(Covering Assurance
Feb 2013 – Jan 2014)

Head of Investigations
Vacant

Ciara O'Dwyer
Investigations
Manager

John Barwick
Investigations
Manager

Alan Shillabeer
Case Team
Manager

Ren Stephen
Case Team
Manager

Paul Robson
Case Team
Manager

Amita Malhotra
Case Support
Manager

**Alejandro Alonso-
Martinez**
Case Team Manager

Cara Donald
Acting Case Team
Manager

Sabrina Adams
Case Team Manager -
Advancement

Jameel Anwar
Administration
Manager

Hayley Fulcher
Case Manager

Simon Thompson
Case Manager

Dominic Williams
Case Manager

Jodie Godden
Case Manager

Rebecca Hall
Case Manager

Sonia Alexander-
Victor
Case Manager

Nafeesah
Aumeerally
Case Manager

Siobhan Carson
Case Manager

Shirley Hamilton
Case Manager

Richard Westlake
Case Manager

Rodney Dennis
Case Manager

Rachel Bull
Case Manager

Michael Demissie
Case Manager

Alisa Cojeen
Case Manager

Michael Bellis
Case Manager

Jamila Salam
Case Support
Officer

Corrado Palmas
Case Support
Officer

Ewan Shears
Case Support
Officer

Hannah Doherty
Case Support
Officer

Andre Bourne
Case Manager

Lawrence Lui
Case Manager

Yinka Alalade
Case Manager

Stella Curley
Case Manager

Kabir Siddiqui
Case Manager

Samantha Jones
Case Manager

Nike Gustave
Case Manager

Claire Pryor
Case Manager -
Advancement

Catherine Beevis
Case Manager -
Advancement

Akua Dwomoh-
Bonsu
Case Manager -
Advancement

Andrew John
Team
Administrator

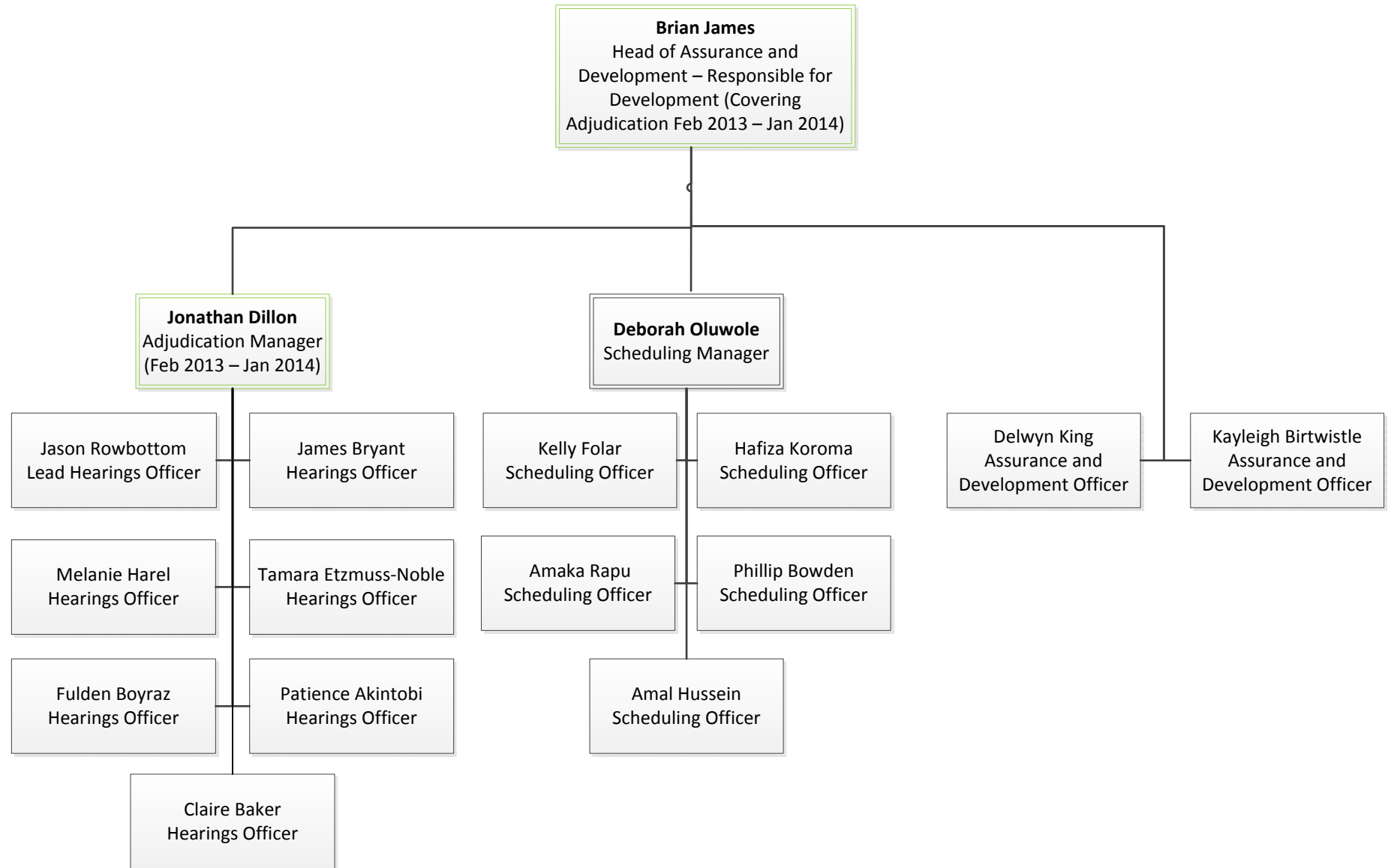
Cirene Chagas
Team
Administrator

Gary Rope
Team
Administrator

Petrina Baker
Team
Administrator

James Malcolm
Quality Compliance
Officer

Josephine Fox
Quality Compliance
Officer



Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2013	RISK score after Mitigation Sept 2012
13.1	Legal cost over-runs Links to 13.4, 15.2	FTP Director	Contractual and SLA arrangements with legal services providers (s)	Legal Insurance covering exceptional High Court Costs	Quality of operational procedures	Low	Low
13.3	Tribunal exceptional costs	FTP Director	Quality of operational processes	Accurate and realistic forecasting	Quality of legal advice	Medium	High
13.4	Rapid increase in the number of allegations and resultant legal costs Links to 13.1	FTP Director	Accurate and realistic budgeting	Resource planning	-	Medium	Low
13.5	Witness non-attendance	FTP Director	Vulnerable witness provisions in the legislation	Witness support programme	Witness summons	Low	Low
13.6	Employee/Partner physical assault by Hearing attendees	FTP Director	Advice sought from the Police	Adequate facilities security	Periodic use of security contractors and other steps	Low	Low
13.7	High Number of Registration Appeals	FTP Director & Director of Operations, Head of Registrations	Training and selection of Registration Assessors, so reasoned decisions are generated	Quality of operational processes	-	Low	Low
13.8	Backlog of FTP cases	FTP Director	Annual reforecasting budget processes	Monthly management reporting	Quality of operational processes	Low	Low
13.9	Excessive cases per Case Manager workload 13.2 moved to 12.2	FTP Director	Annual reforecasting budget processes	Monthly management reporting	-	Low	Low
13.10	Protracted service outage following a Case Management System failure	Director of IT	Effective backup and recovery procedures	Maintenance and support contracts for core system elements	Annual IT continuity tests	Low	NEW
14.4	Inadequate preparation for a change in legislation (Health Professions Order, or other legislation affecting HCPC)	EMT	EMT responsible for remaining up to date relationships with government depts and agencies.	HCPC's 5 year planning process	Legal advice sought	Low	Low
15.2	Unexpected rise in operating expenses	EMT	budget holder accountable for setting budgets and managing them. Timely monthly reporting and regular budget holder reviews held. Finance & Resources Committee review of the monthly variances year to date.	Six and nine month reforecasts with spending plan revisions as feasible and appropriate.	Legal cost insurance for FTP cases. Capped FTP legal case costs.	Low	Low
17.4	Data received from third parties	Director of Ops, and Director of FTP	Read only, password protected access by a restricted no of FTP employees to electronic KN data.	Registrant payments taken in compliance with Payment Card Industry (PCI) Security standards ie with quarterly PCI testing.	Ensure third party data providers e.g. professional bodies provide the data password protected/encrypted/door to door courier/registered mail/sign in sign out as appropriate.	Low	Low
11.6	High sick leave levels	EMT	Adequate staff (volume and type) including hiring temporary staff	Return to work interviews and sick leave monitoring	Regular progress reviews	Low	Low
6.2	Incorrect interpretation of law and/or SIs resulting in PSAHSE review	Director of FTP, Director of Education, Head of Registration, Partner Manager	Training	Legal Advice	Regular appraisal system	Low	Low
6.3	Health & Safety of Partners Links to 4.9, 11.5	Partner Manager	H&S briefing at start of any HCPC sponsored event.	Liability Insurance	-	Low	Low
6.4	Partners poor performance	Director of FTP, Director of Education, Head of Registration, Partner Manager	Regular training	Regular appraisal system	Partner Complaints Process & Partner Code of Conduct	Low	Low
6.5	Incorrect interpretation of HSWPO in use of Partners	Director of FTP, Director of Education, Head of Registration, Partner Manager	Correct selection process and use of qualified partners	Daily Email notification of partner registrant lapse	-	Low	Low
6.6	Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration	Regular review of availability of existing pool of partners to ensure requirements are met.	Annual forecasting of future partner requirements to ensure that they are budgetted for.	Staggered partner agreements across professions for Panel Member and Panel Chair to ensure adequate supply in line with the eight year rule.	Low	Low
6.7	User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration	Notification of partner resignations to user departments.	Current partner lists available to user departments on shared drive.	-	Low	Low

Fitness to Practice work plan update 2012-2013

Ensure accessibility and improve communication and information provision

Activity	Description	Timescale	Progress Report
Fitness to Practise Annual Report	Production of 2012-2013 Fitness to Practise Annual Report	April –June 2012 write report 26 May 2012 – seek committee approval 7 July 2012 – seek Council approval September 2012 - publish	The Fitness to Practise was approved by Council at its meeting in July 2012 and was published at the end of October 2012.
Attendance at Employer Events	Attend and participate in the continuing series of employer events	To be confirmed	Employer events are scheduled to take place in March 2013.
Practice note review and development	Ensure all practice notes are kept up to date, remain fit for purpose and take account of relevant High Court or Court of Appeal Decisions.	On-going	The following practice notes have been reviewed and are on the agenda for the Fitness to Practise Committee to discuss in February 2013: <ul style="list-style-type: none"> • Practice Note – Discontinuance

Activity	Description	Timescale	Progress Report
			<ul style="list-style-type: none"> • Practice Note - Postponements and Adjournments • Practice Note -Interim Orders • Practice Note – Finding a Case to Answer • • The following new practice notes have been drafted and are on the agenda for the Fitness to Practise Committee to discuss in February 2013: • Practice Note - Half time submissions <p>Subject to committee approval, the above practice notes will be considered by Council at its meeting in March 2013.</p>
Stakeholder management meetings	To engage and attend meetings with all relevant stakeholder groups	On-going	<p>Meetings have taken place with a range of stakeholders including:</p> <ul style="list-style-type: none"> • Unison • Kingsley Napley • Unite • Care Quality Commission • Care Council for Wales, Northern Ireland Care Council, Scottish Care Council • Transcription providers <p>A letter was sent to all social services departments to explain the FTP process and providing information on when to refer cases.</p> <p>The Fitness to Practise Department and Communications Department are working together to enhance the stakeholder meetings</p>

Activity	Description	Timescale	Progress Report
			with professional bodies and unions to include discussions on the work to the FTP Department in light of the on-boarding of social workers.
Continued liaison with other departments – in particular, Communications, Registrations and Partners	Continued liaison with other departments, in particular Communications, Registrations and Partners	On-going	<p>Specific liaison has taken place with:</p> <ul style="list-style-type: none"> • Communications over the enhancement of stakeholder meetings as above and hearings information • Registration in relation to social worker renewal and regular case conference in registration appeal cases • Secretariat in relation to FOI/DPA requests

Effective Management and Development of Legislative and New Operational requirements

Activity	Rationale	Timescale	Progress report
Implementation of Case Management System	Ensure HPC is able to continue to effectively manage all types of cases	April 2012	<p>The Case Management System went live in April 2012. Since that date, the Assurance and Development team have been working closely with the IT Department to ensure issues that have arisen are managed and addressed. Deployments (managed again by the Assurance and Development Team) take place fortnightly. Examples of deployments to the system are new or changed user profiles, amendments to letters and new actions.</p> <p>In September 2012, the major project to initiate</p>

			phase 2 of system developments was started. This project will help to ensure that the system remains fit for purpose and is managed via the project management portfolio. The Head of Assurance and Development is leading the project with input from a project team drawn from the FtP department.														
Undertake requirements of the Protection of Vulnerable Groups and Safeguarding Vulnerable Groups Act and keep up to date with any changes	Legislative requirement	On-going	New internal guidance was introduced in November 2012 to take account of the legislative changes which came into effect in September 2012.														
Transfer of the General Social Care Council	Legislative requirement	Until August 2012	<p>The cases were transferred from the GSCC to the HCPC in a phased approach over the course of July 2012. This included live cases required action by the HCPC and a large volume of closed case files. The live cases were at various stages as follows:</p> <table border="1"> <thead> <tr> <th>Case stage</th> <th>Cases</th> </tr> </thead> <tbody> <tr> <td>Investigation</td> <td>217</td> </tr> <tr> <td>Admonishment</td> <td>40</td> </tr> <tr> <td>Conditional registration</td> <td>28</td> </tr> <tr> <td>Suspension</td> <td>17</td> </tr> <tr> <td>Character cases</td> <td>15</td> </tr> <tr> <td>Student cases</td> <td>12</td> </tr> </tbody> </table> <p>Case review All of the above cases were reviewed by either the Head of Case Management, Head of</p>	Case stage	Cases	Investigation	217	Admonishment	40	Conditional registration	28	Suspension	17	Character cases	15	Student cases	12
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			<p>Investigations or Investigations Manager in order to determine what course of action HCPC should take. The recommended course of action was then agreed and signed off by the Director of Fitness to Practise. Cases were allocated to Case Managers once the HCPC had responsibility for the regulation of social workers on 1 August 2012.</p> <p>A number of individuals were entered onto the watchlist should they apply for admission to the HCPC in future. This included individuals who were removed from the GSCC register.</p> <p>A number of cases have now been considered at ICP and final hearings have been listed in some cases.</p>
Herbalists and Traditional Chinese Medicine	Legislative requirement	To be defined	No current activity required yet.
Modern and Efficient Adjudication	Ensure operational processes are reviewed as per the work plan prepared following the publication of CHRE's paper titled 'Modern and Efficient Adjudication'	Throughout 2012-13	<p>Meetings took place in October to establish what work needed to be undertaken and work plans drawn up for three work streams:</p> <p>The use of pre hearings case management, other models of adjudication and indicative sanctions policy and decision drafting. Work is now underway in these areas including:</p> <ul style="list-style-type: none"> • Project to review hearings venues out of London to reduce venue costs • Witness management and support (paper provided to Fitness to Practise Committee) • Review of the use of consent • Increasing the use of preliminary events to

			resolve outstanding issues before final hearings
Effective communication within the department	To ensure that adequate communication methodologies are in place in preparation for the on-going growth of the department	Feb 2012- Aug 2012	<p>A number of briefings took place in April, June and July around the transfer of social workers and the plans in place to manage this.</p> <p>An employee survey was undertaken with the FTP department in May/June to seek views on improvements that could be made within the department.</p> <p>An FTP away day took place in December where the focus was on working styles (including awareness of how individuals' styles affect others), team communication and feedback was provided on the outcomes of the employee survey.</p> <p>A plan of internal meetings has been implemented following the restructure to ensure that individuals are briefed and kept up to date as required.</p>

Consistent and effective decision making

Activity	Description	Timescale	Progress Report
Review of decisions	Feedback learning from decisions to registrants and stakeholders and incorporate into review of relevant policy documents. Ensure decisions are of a high quality	On-going	The indicative sanction policy and decision drafting practice note to be reviewed and updated to 'improve panel decisionmaking'. Feedback from Legal Assessors has been gathered to feed into review considerations.

Activity	Description	Timescale	Progress Report
			Issues / observations identified by the ICP co-ordinator are being addressed and incorporated into training.
CHRE learning points	Review and feedback learning points from CHRE in their section 29 role to improve HPC's processes and procedures and to improve decision making	On-going	<p>Responses are provided to CHRE (now PSA) in response to feedback points received.</p> <p>CHRE feedback points fed into Partner training sessions and newsletters. Thematic review of learning points has been carried out and continues.</p> <p>Since 2012 feedback has been provided directly to panel members involved in specific cases. There has been positive feedback from panel members regarding this approach.</p>
Panel Chair, Legal Assessor and Panel member review and training days	Prepare and present review and training days for FTP partners	On-going	<p>A review of the session content for refresher training has been undertaken to ensure full breadth of FTP work, including areas of concern included in future sessions.</p> <p>FTP newsletters continue to be produced on a regular basis.</p> <p>Training for new social work panel members has been undertaken.</p>
Partner recruitment	To assist Partners in the recruitment of panel members in preparation for the transfer of Social Workers	Dec '11 – June '12	Prospective Partners have been short-listed, interviewed and trained by the department.
Partners project	Contribute to and be part of the project team reviewing partner	September 2012- March	The department is represented on the project team and the project was initiated in September

Activity	Description	Timescale	Progress Report
	systems and processes	2013	2012.

Ensure processes and procedures are working to their best effect

Activity	Description	Timescale	Progress Report
Operating guidance and standard letters	Ensure all Fitness to Practise Operational guidance and standard letters are kept up to date, remain fit for purpose and new guidance/ letters are produced as and when necessary.	On-going	<p>All guidance was updated to incorporate the name change in the summer of 2012.</p> <p>A range of internal guidance has been updated with more significant changes including vetting and barring and disposal of cases by consent.</p> <p>New guidance has been produced for Case Team Managers to ensure consistency in approach and Case Manager inductions have been reviewed and developed.</p> <p>Any changes to documents are routinely included in the regular Case Management System deployments to ensure consistency of documentation.</p>
Review of health and character cases	Review cases managed since the previous review and report findings to the Education and Training Committee	July 2012	To begin in early 2013.
Handling of Data Protection Act and Freedom of Information Act	Ensure the department has a clear and consistent approach to the management of such requests and ensure evidence is managed in	On-going	Work continues as requests are received and this involves close working with Secretariat to prepare relevant responses within statutory timeframes.

Activity	Description	Timescale	Progress Report
requests relevant to Fitness to Practise	accordance with those principles		This area of work is moving to the Quality Compliance Officer in early 2013.
Alternative mechanisms to resolve disputes	<ul style="list-style-type: none"> - Stakeholder engagement - Stakeholder meetings - Communication plan - Prepare operational pilot - Implement operational pilot 	February – October 2012	An update paper is provided to the Fitness to Practise Committee in February 2013.
Feedback mechanisms	Develop questionnaires to send to registrants and complainants and look at whether we can improve communication to those involved in the process	April – July 2012	Feedback forms have been designed, following the format of witness feedback forms. Work with the Case Management team is underway to agree feedback items.
Research on the field of ‘public protection’	<ul style="list-style-type: none"> - Commission a research brief - Commission a regulatory case law history - Plan a seminar on the topic to be attended by relevant stakeholders 	April 2012- March 2013	The Picker Institute UK has been commissioned to undertake the research on behalf of HCPC and the work to date has included 4 focus groups with members of the public, 20 interviews with key stakeholders and an online survey. The final report is expected in February 2013.
Research any links between drink-drive/ drug related offences and health issues	Conduct research to look into whether there is a link between drink-drive/ drug related offences and health. Keep HPC’s current process under review	February 2012- October 2012	<p>Other regulators were contacted for information about their process. Responses have been received and will be fed into the protection of public research above.</p> <p>Three papers are on the Committee agenda for February 2013 covering registrants with more than one allegation, PNC checks and requesting a health assessment when a registrant is convicted of a drug or alcohol offence</p>

Activity	Description	Timescale	Progress Report
Continue to conduct relevant audits of case files and review current processes in this area	Continue to audit case files and look at whether any improvements or adjustments could be made	On-going	This are of work is on-going.
Continue to review and respond to reports issued by CHRE and other relevant organisations	To continue to review and respond to reports issued by CHRE and other relevant organisations and to present findings to committee / council as appropriate	On-going	<p>The following reports have been reviewed and a response was provided to Council or Committee:</p> <ul style="list-style-type: none"> • CHRE 2012-13 performance review has been provided to Council • Modern and efficient adjudication report (as above) • Response to the CHRE NMC review was provided to Council in September 2012 • Response to the Law Commission Consultation • CHRE GDC initial decisions audit in February 2013
On-going engagement with CQC and identification of cases suitable for referral	<ul style="list-style-type: none"> - How to identify suitable cases - Referral criteria - Referral form - Training for the team 	On-going	The MOU was reviewed in and resigned following the transfer of regulatory responsibilities from the GSCC to the HCPC
Review of the FTP service level standards	Review and update the standards as appropriate	May 2012	<p>Internal and external service level standards were reviewed in May 2012. Revised external service level standards produced and published on relevant sections of HCPC website.</p> <p>Internal measuring tools were revised to make them more challenging.</p>

Activity	Description	Timescale	Progress Report
Departmental training	<ul style="list-style-type: none"> - To continue to provide refresher training to the case management and hearings team in the form of FTP workshops - Provide training to the fitness to practise team in preparation for the on-boarding of social workers - To continue to provide profession specific training 	On-going	<ul style="list-style-type: none"> • Mental health awareness and handling difficult calls training with MIND (11 and 12 June 2012) • Quasi- judicial training and the role of CHRE for whole department (25 and 26 June 2012) • Training in Social work regulation/ cases completed in July 2012 • Various in-house briefings and training sessions in preparation for GSCC transfer (July – Aug 2012) • Stakeholder services training plan in development and nearing conclusion, October 2012 • ICP specific training for ICP co-ordinators with Jonathan Bracken (Aug 2012) • Allegation drafting workshop (Sept 2012) • Stakeholder Management training will be held in March 2013. • Disabilities awareness training for Adjudication Team will be held in March 2013

Ensure Effective Management of Resources

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Activity	Description	Timescale	
Forecasting and budget management	On-going forecasting of the number of cases and hearings that are expected and ensure effective controls are in place to manage the fitness to practise budget	On-going	The budget and forecast for 2013-14 has been prepared. Throughout the year regular re-forecasts are undertaken to ensure budget and resources are managed to best effect.
Production of monthly management statistics	Monthly reporting on key FTP statistics to review statistics in line with forecast	On-going	This has continued in 2012-13 with reports now produced from the new case management system. Work is underway to redesign how reports and commentary is presented