Council, 23 March 2016

Fitness to Practise Departmental Work plan

Executive summary and recommendations

**Introduction**

1. Attached as appendices to this paper is the draft Fitness to Practise directorate work plan for 2016-17 and an update as to the activity undertaken as part of the Fitness to Practise work plan for 2015-16. For 2016-17 the budget and forecast for the adjudications function will be reported separately as a subset of the overall FTP budget. In line with this approach a separate work plan for the adjudications function has also been produced.

2. The key priorities for the directorate in 2016-17 (aside from business as usual activity and ongoing reviews of policy, process and procedure) will be to:

    - review the functions and operations of the directorate to ensure it remains fit for purpose;

    - contribute to activity required in relation to the future regulation of social workers in England;

    - undertake activity to ensure the increased independence of HCPC's adjudication function, including the work required with the potential establishment of the Health and Care Professions Tribunal Service (HCPTS);

    - review the Management Information Pack, Service Level Standards and Length of Time pack;

    - examine the use of Screeners/Case Examiners in HCPC Fitness to Practise Process;

    - undertake further activity to ensure cases are managed and concluded expeditiously; and

    - undertake a review of the 'What happens if a concern is raised about me' brochure.

3. In 2015-16, a number of key activities were undertaken to develop HCPC's work in respect of fitness to practice and to meet the key objectives of the workplan. That activity included:

    - contributing to the project to move the HCPC's adjudication function to purpose built facilities. That move will aid in enhancing independence but also provide

better facilities for those involved in fitness to practice proceedings;

- the development of support arrangements for employees who are required to manage contact from individuals who may be suicidal;

- the development of Case Management models – including case mix weighting – to better manage the allegations case load;

- the completion of the Public Law Tender;

- reviewing the Standard of Acceptance for Allegations Policy and the development of a fact sheet to explain the standard in plain English;

- enhancements to our approach to redaction and document preparation;

- implementation of further feedback mechanisms for those involved in the fitness to practice process;

- reviewing the Health and Character Policy;

- further development of the material available to employers regarding the fitness to practise process; and

- development and delivery of a comprehensive training plain for FTP employees overseen by the FTP Training Advisor

**Decision**

The Council is asked to discuss the draft Fitness to Practise department work plan for 2016-17.

**Background information**

None

**Resource implications**

Accounted for in draft 2016-17 budget

**Financial implications**

Accounted for in draft 2016-17 budget

**Appendices**

Appendix One – FTP Directorate Work plan 2016-17
Appendix Two – Adjudications Work plan 2016-17

Appendix Three – FTP Directorate Structure
Appendix Four –FTP Risk Register
Appendix Five– FTP Departmental Work plan update 2015-16


**Date of paper**

9 March 2016

**Fitness to Practise Work Plan 2016-17**

## Introduction

1. This document sets out the resources, responsibilities and priorities of the Fitness to Practise Directorate for the financial year April-March 2016-2017. The resources and activities relating to the adjudication function are highlighted separately at appendix 2. This is in line with the plan to produce dedicated budget and management information reports relating to adjudications activity in 2016-17.

## Main Operational Processes

2. There are four main operational processes which generate the majority of the directorate's work. These are as follows:

   **Fitness to Practise Allegations -** This activity comprises of investigating allegations to the effect that a registrant's fitness to practise is impaired and the management of the case through to its conclusion. This includes risk assessment, witness/complainant liaison, instructing lawyers and preparing and presenting cases at investigating, interim order, final and review stage.

   **Tribunal Scheduling and Management –** This activity comprises of the organisation, scheduling and clerking of all fitness to practise, registration appeal and suitability scheme hearings and all follow up work related to hearing outcomes. It also includes witness liaison and management.

   **Health and Character Declarations management –** This activity comprises of the management of health and character declarations from registrants and applicants on admission, readmission and renewal to the Register.

   **Prosecutions of Offences –** This activity comprises of the investigation and management of offences under Article 39 of the Health and Social Work Professions Order 2001 (the Order). This includes undertaking necessary field investigations and prosecuting offences in the magistrate's court.

## Other Activities

3. 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.

   **Assurance –** The Assurance and Development Team oversee, undertake and monitor the FTP Quality Assurance Framework. This framework provides for on-going audit, quality compliance and decision review and for on-going reviews and audit of processes and procedure.

   **Development -** The Assurance and Development team are also responsible for co-ordinating and managing on-going developments and refinements to the systems that support the work of the directorate and for co-ordinating and leading in training.

**Challenges to Decisions –** We will continue to manage challenges to decisions – this includes both cases when registrants appeal the decision to find their fitness to practise impaired and/or impose a sanction and when the Professional Standards Authority (PSA) 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.

**Liaison with stakeholders –** The directorate works with a range of stakeholder (employers, professional bodies, unions) to ensure understanding of the process**.** The directorate 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 twice yearly meetings with Unions and Professional Body groups.  We will also ensure the delivery of requirements under our Memorandum of Understandings (MOU) and information sharing agreements with organisations such as the Care Quality Commission (CQC), the Disclosure and Barring Service (DBS) and the other Care Councils and consider other organisations where it may be mutually beneficial to have a MoU and/or information service agreement.

**Major Projects -** Members of the fitness to practise directorate will also contribute to relevant major projects being run across the organisation, which include the Partners/HR system, the registrations project and Professional Qualifications Directive.

**Mediation -** The mediation pilot began in September 2013. To date 9 cases have been identified as being suitable for mediation and mediation offered to the parties. However, only one case has gone through the whole mediation process. As only one case has proceeded to mediation there is very limited information on which to base a full evaluation of the pilot. To this end, Council approved at its meeting in February 2016 for the pilot to continue in 2016-17.

**Training -** the directorate will continue to identify learning and development needs for specific groups of employees within the department, and develop a plan to deliver suitable activities using a combination of internal and external training providers. The impact of training will also be evaluated on an ongoing basis.

**Professional Standards Authority -** we will ensure that we review the audits undertaken on the other regulatory bodies to assess whether there is any learning for us. We will also continue to respond to learning points about FTP cases should they be received and use that learning to improve and develop our processes. The assurance and development team will co-ordinate the provision of data sets as required by the PSA as part of its revised annual performance review process.

**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 various aspects of the fitness to practise process, and other documents such as those explaining the registration appeals process. These documents are updated and reviewed regularly.

**Panel training** - 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.

**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, and where necessary working with the finance department to undertake a tender process.

**Website -** The directorate is responsible for information provided on the HCPC website regarding fitness to practise hearings as well as the information online about the fitness to practise and protection of title processes. We have a working group made up of members of the fitness to practise directorate which is dedicated to ensuring the fitness to practise pages of the website are accurate, up to date and as accessible to their intended audience as possible.

**Fitness to Practise Projects**

4. The main focus of activity in 2016-17 will be to ensure that the structure and organisation of the directorate remains fit for purpose. This activity has been informed by a review of the department that has been informed by a number of developments including the:

   - proposed establishment of the Health and Care Professions Tribunal Service;
   - recent pilot of the introduction of a case team dedicated to the management and progression of cases in the post Investigating Committee Panel (ICP) stage of the FTP process;
   - roles and responsibilities of the current assurance and development team; and
   - enhancements introduced last year to the process for redacting and preparing bundles for hearings.

5. We will be looking at the scope for introducing a greater specialisation of roles across the department. This is to ensure:
   - cases continue to be managed efficiently and effectively through the fitness to practise process including enhanced management of the contract with our external legal services providers;
   - that individuals responsible for each key functional area are clearly identifiable through clearly defined areas of responsibility and lines of accountability;

- that the directorate has the necessary skills, knowledge and expertise to ensure:
  - the effective management of cases
  - the development of business systems and processes
  - efficient and effective use of resources, in particular in relation to budget planning/forecasting, provision of management information and data analysis.

- the ability to maintain operational flexibility in order to respond to planned and unplanned events;
- an effective degree of separation between HCPC's adjudication and case management function;
- more tailored induction and training as well as enhanced opportunities for development and progression for FTP employees.

## Resources

## Human Resources

6. It is anticipated that there will be 98 members of the fitness to practise directorate by the end of 2016/17, including the 23 in the adjudication function.

## Responsibilities

7. The Directorate currently comprises 4 core operational groups or areas and is led by the Director of Fitness to Practise who is responsible for the overall management and leadership of the Directorate, including the Adjudications function. As outlined previously, the intention in 2016-17 is to ensure that the structure and organisation of the Directorate remains fit for purpose and this will be a key priority for the coming year and will constitute a significant proportion of our work plan activity for the year.

8. As part of the review it is anticipated seven additional posts will be required in 2016-17. The additional posts are:

- **Case Support Officers x3** These posts are in part required to ensure the timely progression of cases within the Investigations stage of the FTP process and to ensure case documents and hearing bundles are prepared in accordance with our redaction and information security requirements which were enhanced in 2015. Currently the redaction of documents is carried out by three temporary staff who were recruited in May last year. Continuing on this basis is not cost effective and creates operational risks in that temporary staff can leave at short notice.

- **Assurance and Development Manager**

- **Assurance and Development Officer x2** These posts will enhance our capacity and capability in particular in relation to data analysis, the

preparation of management information and the budget/forecasting process.

- **Quality Compliance Officer.** This post reflects the increase in audit and compliance activity, in particular in relation to information security, and will provide increased flexibility to undertake a range of compliance and audit activities requested by other teams within the directorate.

These additional posts have been accounted for in the proposed FTP budget for 2016-17.

9. Temporary staff will also be used on a periodic basis for example to cover the peak in Health and Character cases over the summer months or forecast increases in hearings activity.

## Financial resources

10. This work plan is based on the assumption of a Directorate of 98 permanent employees. This includes post holders who are currently on maternity leave or who have flexible working arrangements. It is anticipated that there will be a fitness to practise budget (including the adjudication function) of approximately £13.4m.

11. The budget is based on the fitness to practise forecast model and the forecasted activity for the remainder of the 2015-16 financial year. We will be reviewing the management information that is produced on a monthly basis to ensure this continues to measure the metrics that we need to monitor operational activity and performance, as well as to reflect the realignment of the functional groups. This will include the separate reporting of adjudication activity. This information will be used to refine the budget throughout the year, assisting in greater accuracy at the three, six and nine month reforecast points.

12. The following key assumptions have been made when preparing the budget:

- Number of incoming new potential FTP cases based on 0.62% of the Register having a concern raised against them
- 14% of all open enquiry cases closed every month
- 68 Miscellaneous cases received every month
- 24% of pre Investigating Committee Panel (ICP) cases have allegations drafted every month and considered at an ICP 7 weeks later
- 98% of cases considered by the ICP in a given month will be concluded in that month. This allows for requests for further information.
- An average Case to answer percentage over the year of 59%.
- 12% of substantive cases listed for hearing every month will be part heard or adjourned
- 8% of final hearings will be disposed of via consent
- The number of interim order and interim order panels is based 16% of cases requiring an order
- An average final hearing case will be listed for 2.5 days (this takes into account discontinuance cases and those that will take longer to conclude

- 2 review hearing cases being considered in one day
- 8 FTP cases being 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.
- 53% of declarations are received in the July-November period

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

- 2212 new cases
- 1428 cases closed without referral to an investigating panel
- an on-going  pre ICP case load (including Rule 12 cases) of 1173 cases
- 771 cases considered by the Investigating Committee
- 442 cases referred for final hearing
- 1890 days of hearings (comprising of full hearings, consent applications, interim orders, review hearings, preliminary hearings, investigating committee panels and registration appeal panels).

14. The budget estimate also includes PSA  and registrant appeals to the High Court, appeals against registration appeal decisions, applications for judicial review and other tribunal related activity The costs of appeals that were made in previous financial years and but not concluded are also included in the 2015-16 budget.

15. 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.

## Fitness to Practise Department Objectives 2016-2017

16. The activities set out below fall into three broad categories and covers the activity and action that is undertaken to improve, refine and develop our processes and procedures. Each activity has an area assigned in the directorate which is responsible for the co-ordination and delivery of the activity. The activities relating to the adjudication function are outlined separately at appendix 2.

17. We will also continue to take steps to ensure that the risks associated with the work of Fitness to Practise Department are effectively managed. The risk register for the risks associated with or the responsibility of the department is attached to this document as appendix 4.

18. The table below sets out in more detail the improvement activities the department will be undertaking in the coming year. This includes activities started in 2015-16 that will carry over into 2016-17.

**Equality and Diversity**

19. 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. A paper will brought to Council providing a summary and analysis of the demographic data obtained through the equality and diversity monitoring forms.

# Fitness to Practice Activities Table 2016-17

**Process and Policy Development**

| Activity | Description | Timescale | Area responsible |
|---|---|---|---|
| Review and potential realignment of FTP functions | • Review of the structure and functions of the directorate | Quarter 1-3 | Director of Fitness to Practise |
| Explore the use and value of case examiners (screeners) | • Pilot the use of screeners under the provisions of A23 of the HSWPO for specific case types.<br>• Rerun the regression analyses that were completed as part of the cost efficiencies work completed in 2014 to help identify the features of cases which may make them suitable for consideration by Screeners. | Quarter 2-4 | Investigations |
| Allegation drafting | • Review the process for drafting allegations including the format of the Case Investigation Report, the approval process for allegations, interaction with our external legal services provider following instruction. | Quarter 2-3 | Investigations |
| Post Policy Decision Evaluation/Measures of Effectiveness | • Implement measures to assess the effectiveness of a policy or process change | Quarter 1-2 | Assurance and Development |
| Mediation | • Continue to operate the mediation pilot as approved by Council at its February 2016 meeting. | Quarter 1-4 | Investigations |

| | | | |
|---|---|---|---|
| Regulatory Reviews | • Respond to PSA and other relevant performance reviews and audits and develop action plans as required. | Ongoing | All |
| Other reviews/external publications which affect the regulatory process | • Respond (if appropriate).<br>• Assess impact and develop action plans as required. | Ongoing | All |
| Health and Character Policy | • Implementation of revised policy (subject to Council approval) | Quarter 1 | Case Reception |
| Data Security | • Completion of Lean Six Sigma data protection project and implementation of actions. | Ongoing | Assurance and Development |
| Quality Assurance Framework (QAF) | • Review the QAF to ensure it remains fit for purpose | Ongoing | Quality compliance |
| Professional Qualifications Directive | • Analysis of PQD alerts mechanism (including application of process – including time and resources) and also projections for the further role out of the European Practitioner Card | Quarter 2 | Assurance and Development and Adjudications |
| Practice Note Review and Development | • Ongoing review and development of practice notes | Ongoing | Assurance and Development |
| FTP Operating Guidance Review | • Ongoing review and development of operating guidance | Ongoing | Assurance and Development |
| Policy Review | • Ongoing review and development of policy documents | Ongoing | Assurance and Development |

**Service Improvement, Communication and Information Provision**

| Activity | Description | Timescale | Area responsible |
|----------|-------------|-----------|------------------|
| Management Information and Service Level Standards | • Review of the contents and structure of the management information pack it supports performance management and improvement in line with priorities | Quarter 1 | All |
| Support Mechanisms | • Development of further mechanisms or changes in the processes to support registrants and complainants through the fitness to practise process | Quarter 1-4 | Assurance and Development |
| Customer service and complaints handling | • Review approach to managing and responding to FTP complaints, informed by the ISO10002 audit.<br>• Use the Patients Association peer review process as part of the training programme for members of the directorate<br>• On-going (monthly) thematic review of complaints received about FTP. Information used to effect immediate changes; inform training/capability needs; and identify and inform future improvement projects. | Quarter 1-4 | Assurance and Development |
| Brochure updates | • Review and update of 'What happens if a concern is raised about me' for registrants brochures<br>• Continue to develop 'easy read' factsheets on key topics where there is a demonstrable need. | Quarter 1 | Assurance and Development and Case Reception |

| | | | |
|---|---|---|---|
| Feedback Mechanisms | • Evaluation and reporting of feedback obtained from the questionnaires that are sent out to complainants and registrants following the conclusion of FTP proceedings. | Ongoing | Assurance and Development |
| Standard letter review (incorporating a tone of voice review) | • Undertake a review of all FTP correspondence and communication in terms of their use, content and tone | Ongoing | Assurance and Development |
| Fitness to Practise Annual Report | • Production of the Fitness to Practise Annual report 2015 | Quarter 2-3 | Assurance and Development |
| Learning and Development | • Development and implementation of the departmental training plan<br>• Continuation of development work to support self-directed learning and bite size training material including videos and other media. | Ongoing | FTP Training |
| Website Content refresh, update and maintenance | • Review and implement cycle of review the content provided in the FTP sections of the HCPC website | Ongoing | Assurance and Development |
| Information Sharing and Memorandums of Understanding | • Maintain existing information sharing agreements and MoUs.<br>• Identify and develop new information sharing agreements and MoUs as appropriate. Review existing agreement for datasets, and include any agreed developments in CMS and/or reporting project work | Ongoing | Assurance and Development |
| Mechanisms to overcome obstacles in obtaining documents | • Review and implement mechanisms to overcome obstacles<br>• Establish an MoU and information sharing agreement with the Police | Ongoing | Investigations |

| | |
|---|---|
| • Review guidance and documentation | |
| • Stakeholder engagement, in particular with Local Authorities | |

**Resource Management**

| Activity | Description | Timescale | Area responsible |
|---|---|---|---|
| Cost Efficiencies Study | • Follow up activities to explore how the cost efficiencies model and regression analysis can be used to identify where further efficiencies can be made in our approach to case management. Links to case management models activity | Quarter 1-2 | Investigations |
| Forecasting | • Review the FTP forecast model to ensure it remains fit for purpose and supports the new alignment of FTP functions.<br>• Implement FAST methodology | Quarter 1- 4 | Assurance and Development |
| Case Progression and Timeliness | • Ongoing activity to ensure the expeditious management of cases | Ongoing | All |
| Case Management Models | • Evaluate the outcome of the post-ICP pilot<br>• Review of case weighting and categorisation process<br>• Implementation of Rule 12 review  the approach to disposing cases by consent informed by internal FTP audits and PSA's report on the NMC's initial stages audit | Quarters 1-2 | Investigations and Case Reception |

| Activity | Description | Timescale | Area responsible |
|---|---|---|---|
| Employee recruitment and resilience planning | • Improve and develop planning for unplanned absences | Ongoing | All |
| Case Management System | • Development and maintenance of the case management system and reporting system and programme of induction and refresher training for users<br>• Analysis and requirements to inform the development of the next version of the Case Management System | Ongoing | Assurance and Development |

# Appendix 2

## Adjudications work plan 2016-17

**Responsibilities**

1. The Adjudication function is headed by the Head of Adjudication and is separated into two teams – Scheduling and Hearings. The Scheduling team is managed by the Adjudications Manager – Scheduling and comprises of two Scheduling Team Managers and 7 Scheduling Officers and an apprentice (until June 2015). The Scheduling Team are responsible for scheduling and listing all tribunal related activity operated by the department.  The Hearings Team is managed by the Adjudication Manager - Hearings and comprises of two Hearings Team Managers and 9 Hearings Officers  The Team are responsible for witness support, liaison and management, clerking and undertaking the follow up related to hearings and ensuring the smooth running and operational management of hearings. This includes liaison with Panel Chairs and Legal Assessors and responding to and dealing with postponement and adjournment requests.

**Forecast and budget**

2. The proposed budget for the adjudications function is approximately £5.3. This represents approximately 40% of the total proposed FTP budget and includes employee payroll costs as well as the costs associated with running Fitness to Practise Hearings such as panel fees, witness costs, transcription services and room hire for hearings held externally.

3. The budget for adjudications is based on the following forecast of the key drivers of adjudication activity:

   - 1890 days of hearing for the year, with approximately 10% being held externally
   - 39 cases being listed for hearing each month, with 87% of cases expected to conclude each month.
   - 86 Investigating Committee Panel meetings
   - 247 review hearings for the year

**Activities 2016-17**

4. In addition to delivering the key objective of ensuring the efficient and timely listing and conclusion of fitness to practice hearings, the main focus of the adjudication's function in 2016-17 will be the project to establish the Health and Care Professions Tribunal Service (HCPTS).  In June 2015, the Executive considered a business case and agreed that establishing the HCPTS should be treated as a major project and allocated project management resource. The initiation of the project was approved in February 2016.

5.  The key activities of the project include:

    - Developing an operating framework agreement and governance process which sets out the scope of the tribunal service and how it interacts with other parts of the HCPC

    - Developing Terms of Reference for the propose Tribunal Advisory Committee (TAC), associated standing orders and scheme of delegation.

    - Developing Terms of Reference for the Tribunal Advisory Committee (TAC), standing orders and scheme of delegation

    - Creation of a website for the new tribunal service and interactive content explaining the hearings process and building.

    - Reviewing and amending all existing operational guidance, practice notes and letters.

6.  There will also be a continued focus on implementing further improvements to the processes for scheduling and managing hearings. These activities are outlined in detail in the table below.

7.  The adjudication team will also continue to work with the Partners Team to appoint, train and appraise a number of panel members from a range of professions.

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

**Adjudication Activity 2016-17**

| Activity | Description | Timescale |
|---|---|---|
| Independence in Adjudication/ Establishment of the Health and Care Professions Tribunal Service | - Developing new operational framework agreement and governance processes<br>- Establishment of new non-statutory Tribunal Advisory Committee<br>- Creation of new separate website to house all FTP hearings information<br>- Review and revisions to all internal guidance, letter templates and Practice Notes | Quarter 1-4 |
| Operational efficiencies and improvements to existing scheduling processes | - Improving systems for empanelment and panel diary management<br>- Reviewing the feasibility of paper based hearings in consent cases and telephone attendance by panel members<br>- The use of preliminary hearings<br>- Review of witness contact and correspondence | Quarter 1-4 |
| Panel training | - New panel member training/ induction<br>- Refresher training for existing Panel Members, Panel Chairs and Legal Assessors | Ongoing |
| Review of ICP and hearing feedback | - Review existing feedback mechanisms<br>- Consider use of bespoke forms for panel members as well as Panel Chairs<br>- Creation of new ICP feedback form | Quarter 1-3 |

# FTP Adjudication / Assurance and Development

**Kelly Holder**
**Director of FTP**

Francine Leach
**PA to Director**

Zoe Maguire
**Head of Adjudication**
405 Tribunal Centre

Brian James
**Head of Assurance and Development**

*Vacancy*
**Adjudication Manager**
405 Tribunal Centre

Deborah Oluwole
**Adjudication Manager - Scheduling**
405 Tribunal Centre

Ewan Shears
Dean Hope
**Assurance and Development Officers**

Josephine Fox
**Quality Compliance Manager**

Tehmina Ansari
**Trainer Advisor**

Jason Rowbottom
**Hearings Team Manager**

Melanie Hare
**Hearings Team Manager**

Philip Bowden
**Lead Scheduling Officer**

Claire Baker
**Lead Scheduling Officer**

Ellis Christie
Rebecca Gray
**Compliance Officers**

Farhana Hussain
**Apprentice**

James Bryant
Amanda Johnson
Jennifier Pitman
Angela Lesfleures
*VACANCY*
**Hearing Officers**

Ainslee Christensen
Sarah  Brodie
Ashleen Peters
Sophie Wing
*Rebecca Ayanfalu*
**Hearing Officers**

Sharon Senyange
Petrina Baker
Ray Penamante
Genevieve Bently
Esther Akinfenwa
**Scheduling Officers**

Sharwath Jahan
Kemi Adeiribigbe
Samantha Still
**Scheduling Officers**

*Vacancy*
*Hearings Officer*

*Temps*
*Danielle McKeen*

*Temps*
*Anna Palmer-Oldcorn*

**FTP Case Management**

**Kelly Holder** — Director of FTP

**Francine Leach** — PA to Director

**Eve Seall** — Head of Case Management

**Sarita Wilson** — Head of Service Improvement

**John Barwick** — Head of Investigations

### Investigations Managers

- **Sabrina Allen** / *Ciara O Dwyer (mat:)* — Investigations Manager
- **Alan Shillabeer** — Investigations Manager
- **Laura Coffey** — Investigations Manager

### Team Managers

- **Tamara Etzmuss-Noble** — CTM (CT4)
- **Katia Vandenbroucke** — CTM (CT5)
- **Victoria Gardner** / *Amita Malhotra (mat:)* — CTM (CT7)
- **Cathrine Beevis** — CTM (Pilot Team)
- *Vacancy* — *Administration Manager*
- **Tim Byrom** — CTM (CT2)
- **Richard Westlake** — CTM (CT1)
- **Imran Imander** — Case Supprot Manager

#### Tamara Etzmuss-Noble (CT4)
- Catherine Willoughby — Case Manager
- Amanda Viriri — Case Manager
- Patience Akintobi — Case Manager
- Mairead Shenton — Case Manager
- *Vacancy* — *Case Manager*
- *Temps* — *TJubi Adebiyi / Rachel Stark / Sharni Willmann*

#### Katia Vandenbroucke (CT5)
- Rory Bryne — Case Manager Adv.
- Laurie Marris — Case Manager
- Joseph Phipps — Case Manager
- *Temps* — *TJubi Adebiyi / Hanan Ramadan*
- *Vacancy* — *Case Manager*

#### Victoria Gardner (CT7)
- Mark Allison — Case Manager
- Eve Horren — Case Manager
- Melanie Omo — Case Manager
- Ciaran Doyle — Case Manager
- Rebecca Nadarajah — Case Manager
- Adwoa Owusu-Akyem — Case Manager

#### Cathrine Beevis (Pilot Team)
- John Tallis — Case Manager
- Simon Thompson — Case Manager
- Nafeesah Aumeerally — Case Manager
- Benedict Newman — Case Manager
- Tom Pye — Case Manager
- Annique Simpson — Case Manager

#### Administration Manager (Vacancy)
- Gary Rope — Administraton Co-Ordinator
- Cirene Chagas — Team Administrators
- Khaleem Ash — Team Administrators
- Chris Truscott — Team Administrators
- *Temp* — *Simone Meade*

#### Tim Byrom (CT2)
- Sonia Alexander-Victor — *Case Manager*
- Siobhan Carson — Case Manager
- Shirley Hamilton — Case Manager
- Amaka Rapu — Case Manager
- Alison Kavanagh — Case Manager
- Richard Claughton — Case Manager
- Michael Demissie — Case Manager

#### Richard Westlake (CT1)
- Hayley Fulcher — Case Manager
- Danusia Brzezina — Case Manager
- Dawn Ebanks — Case Manager
- Colette Higham — Case Manager
- Eric Chan — Case Manager
- Dominic Williams — Case Manager

#### Imran Imander (Case Supprot Manager)
- Sneha Shah — Case Support Officer
- Corrado Palmas — Case Support Officer
- Andrew John — Case Support Officer
- Sabrina Reekhaye — Case Support Officer
- Nasia Nicou-Panayiotou — Case Support Officer
- Usman Muhammed — Case Support Officer
- Chris Galley / John Cardew / Aarish Pandya — **Redaction Team** Rm5, 186KPR

**THE HEALTH AND CARE PROFESSIONS COUNCIL**

**RISK ASSESSMENT & RISK TREATMENT PLAN Jan 2016**

**Fitness to Practise**

| Ref | Category | ISMS Risks | Ref # | Description | Risk owner (primary person responsible for assessing and managing the ongoing risk) | Impact before mitigations Jan 2016 | Likelihood before mitigations Jan 2016 | Risk Score = Impact x Likelihood | Mitigation I | Mitigation II | Mitigation III | RISK score after Mitigation Jan 2016 | RISK score after Mitigation Jul 2015 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13 | Fitness to Practise | | 13.1 | Legal cost over-runs | FTP Director | 4 | 4 | 16 | Contractual and SLA arrangements with legal services providers(s) | **Quality of operational procedures** | **Quality assurance mechanisms** | Low | Low |
| | | | | Links to 13.4, 15.2 | | | | | | | | | |
| | Fitness to Practise | | 13.3 | Tribunal exceptional costs | FTP Director | **5** | **5** | 25 | Quality of operational processes | Accurate and realistic forecasting | Quality of legal advice | Medium | Medium |
| | Fitness to Practise | | 13.4 | Rapid increase in the number of allegations and resultant legal costs | FTP Director | 4 | 4 | 16 | Accurate and realistic budgeting | Resource planning | - | Medium | Medium |
| | | | | Links to 13.1 | | | | | | | | | |
| | Fitness to Practise | | 13.5 | Witness non-attendance | FTP Director | 4 | 2 | 8 | Vulnerable witness provisions in the legislation | Witness support programme | Witness summons | Low | Low |
| | Fitness to Practise | I | 13.6 | Employee/Partner physical assault by Hearing attendees | FTP Director | 5 | 5 | 25 | Risk Assessment Processes | Adequate facilities security | Periodic use of security contractors and other steps | Low | Low |
| | Fitness to Practise | | 13.7 | High Number of Registration Appeals | FTP Director & Director of Operations, Head of Registrations | 3 | 5 | 15 | Training and selection of Registration Assessors, so reasoned decisions are generated | Quality of operational processes | - | Low | Low |
| | Fitness to Practise | | 13.8 | Backlog of FTP cases | FTP Director | 3 | 4 | 12 | Reforecasting budget processes | Monthly management reporting | Quality of operational processes | Low | Low |
| | Fitness to Practise | | 13.9 | Excessive cases per Case Manager workload | FTP Director | 3 | 4 | 12 | Reforecasting budget processes | Monthly management reporting | Resource planning & Quality of operational processes | Low | Low |
| | | | | 13.2 moved to 12.2 | | | | | | | | | |
| | Fitness to Practise | I | 13.10 | Protracted service outage following a Case Management System failure | Director of IT | 5 | 3 | 15 | Effective backup and recovery procedures | Maintenance and support contracts for core system elements | Annual IT continuity tests | Low | Low |

# Fitness to Practice Activities 2015-16 - update

**Process and Policy Development**

| Activity | Description | Timescale | Update |
|---|---|---|---|
| Independence in Adjudication | - Initial project plan<br>- Project initiation<br>- Review of potential governance arrangements | Quarter 1-4 | In June 2015, EMT approved a business case in relation to the establishment of a hearings service for the HCPC. Significant planning for this work has now been undertaken.<br><br>In January 2016, the team successfully moved into new premises at 405 Kennington Road. The new building provides a dedicated hearings centre for all fitness to practise hearings and provides a greater degree of physical separation between the investigation and adjudication of fitness to practise cases. |
| Hearings and Scheduling Improvements | - Explore improved mechanisms for panel diary management<br>- Review the use of preliminary meetings for complex and lengthy hearings<br>- Make improvements to pre-hearing case management<br>- Review of cases that conclude early and use of resources | Quarter 1-4 | Some of the hearing and scheduling improvements identified will be incorporated into the ongoing independence in adjudication project or will continue into next year.<br><br>We completed an evaluation of |

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| | - Pilot the use of electronic bundles at either ICP or Registration Appeals<br>- Continue to trial the use of SMS for panel members<br>- Evaluate the scheduling pilot<br>- Guidance to registrant representatives on adjournments | | the scheduling pilot which highlighted a number of process efficiencies which may be taken forward at a later date. As a result of this pilot we have incorporated the use of pre-hearing teleconferences into our business as usual scheduling activity. The work in relation to improvements to pre-hearing case management forms part of our ongoing decision review group activity.<br><br>The use of SMS messaging to contact panel members now forms part of our business as usual activity. |
| Legislative changes | - Implementation of section 60 amendments in relation to articles 30 and 37 of the HSWPO ie clarification of the law in health and competence cases and removing the requirement for Council members to chair registration appeals | Quarter 1-4 | The proposed amendments to articles 30 and 37 have not been implemented as they were part of the proposed section 60 relating to the regulation of Public Health Specialists on which the government decided not to proceed. |
| Operationalise the review of the Standard of Acceptance of Allegations | - Roll out and communicate changes internally and externally<br>- Produce a version of the document aimed at members of the public | Quarter 1 | The revised standard of acceptance (SOA) was approved by Council on May 2015 and came into effect on 1 June 2015. Training was provided to the Case Management Team on the |

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| | | | application of the SOA and support provided during the first six weeks of its operation by additional availability of legal advice and case conferences. A factsheet has been produced aimed at members of the public entitled The Standard of Acceptance Explained. This document has been approved by the Plain English Campaign. |
| Evaluate the use of Screeners | - Pilot the use of screeners under the provisions of A23 of the HSWPO for specific case types.<br>- Rerun the regression analyses that were completed as part of the cost efficiencies work completed in 2014 to help identify the features of cases which may make them suitable for consideration by Screeners. | Quarter 1-2 | The focus in 2015-16 has been on the implementation for the revised SOA and case specialisation pilot. This activity will be included in the work plan for 2016-17. |
| Post Policy Decision Evaluation/Measures of Effectiveness | - Implement measures to assess the effectiveness of a policy or process change | Quarter 1-2 | Evaluation and measuring effectiveness has been undertaken on a project specific basis. For example, a full evaluation of the feedback mechanisms pilot which took place between January and April 2015 was undertaken before the process was rolled out on a permanent basis in January 2016.<br><br>The development of a more systematic system for evaluation and measuring effectiveness will |

| | | | be carried forward as a workplan activity in 2016-17. |
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| Mediation Evaluation | - Evaluate the mediation pilot | Quarter 3-4 | A paper was considered by the Council at its meeting in February, where it was agreed that the pilot should be extended for a further 12 months. A further paper will be provided to Council in early 2017 to review the pilot. |
| Regulatory Reviews | - Respond to PSA and other relevant performance reviews and audits and develop action plans as required. | Ongoing | The PSA published its annual performance review of the regulatory bodies for 2014/15 in June 2015. A paper outlining the PSA's findings; our current practise and ways in which we are planning to develop our processes was presented to Council at its meeting in September 2015.

We have submitted Quarter1-3 data in response to the PSA's revised data set which forms part of their revised performance review process. We are engaging with them to provide further information on a number of specific areas as part of their targeted review.

A review of the PSA's audit of the Nursing and Midwifery |

| | | | Council (NMC) was completed, the findings of which were presented to Council at its February 2015 meeting.<br><br>FTP contributed to a review of the PSA's report of the General Dental Council's handling of a whistleblowing disclosure about the practices of its Investigating Committee. The findings of the review were presented to Council at its February 2016 meeting. |
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| Other reviews/external publications which affect the regulatory process | - Respond (if appropriate).<br>- Assess impact and develop action plans as required. | Ongoing | A review of Sir Anthony Hooper's report into how the General Medical Council engages with individuals who regard themselves as whistleblowers was completed and actions added to existing 2015-16 workplan activities.<br><br>The Health Select Committee accountability hearings of the Nursing and Midwifery Council, the General Medical Council and the General Dental Council in early 2015 were all reviewed with regard to the issues discussed relating to fitness to practise. |

| Impact of Drug and Alcohol Convictions | - Literature review | Quarter 2 | The Policy and Standards team commissioned Kings College London to produce a literature review titled 'Cautions and convictions for alcohol-related offences and the link to alcohol dependency and fitness to practise'. This review, together with our own research in this area (the approaches adopted by other regulators and a review of the outcomes in our cases involving cautions and convictions for alcohol-related offences) will be presented to Council at its May 2016 meeting. |
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| Redaction and document preparation | - Evaluate whether efficiencies can be gained in relation to the redaction of documents and preparation of bundles<br>- Explore the use third party supplier to redact documents<br>- Explore use of a dedicated resource for preparing bundles including redaction and printing<br>- Guidance and training on document redaction | Quarter 3 | The redaction process was reviewed in detail and amended in May 2015. Further guidance was provided to the team and additional dedicated resource was brought in to assist in applying the new guidance and enhanced redaction requirements. Further exploration will be undertaken in 2016-17 to look at alternative redaction methods. |
| Data Security | - Review of existing data security measures and incidents. | Ongoing | We continue to review data incidents as they are identified, and report them to the Information Security group, |

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| | | | managed by Secretariat.<br><br>The Quality Compliance Officers conduct a monthly redaction audit, specifically looking at data security issues for this piece of activity.  Additionally, each of the component audits specifically examines data security issues.  Feedback is given in the quarterly themed report on all data security issues encountered, with recommendations for any changes (to training, to systems, or to guidance).<br><br>Our external legal providers have been commissioned to assist with running a "lean six sigma" methodology project to review our redaction and information sharing processes. This is well under way. Processes have been reviewed and changes made to eliminate unnecessary steps, and to improve the security of the information transfer between the HCPC and its legal services provider.  The method of transfer has changed to a secure electronic portal, and audit measures for receipt and |

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| | | | processing of documents. There is a process for signing off receipt, and chasing missing materials.  Remaining work includes getting Counsel advice on the level of proportionality for future redaction work.  Once this is received, further training will be given to team members. There is a review of the whole process planned which will take place in 2016-17 activity year. |
| Quality Assurance Framework | - Monitor, review and implement the quality assurance framework and take action as required to improve and develop processes | Ongoing | The Quality Compliance team has reviewed the component audit elements, and revised the content to:- <br>• Ensure that there is more of a focus on risk assessment activities<br>• Trigger different sample sizes for different audits, based on previous known concerns, or following previous audit non-compliance<br>• Generate detailed feedback for Case Team Managers, but also to provide greater information on cross cutting themes for senior managers, and to ensure any recommendations are followed up and |

| | | | evaluated. |
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| Practice Note Review and Development | - Ongoing review and development of practice notes | Ongoing | 13 of the 39 Practice Notes have been reviewed since April 2015. 8 of these reviews resulted in either no changes or only minor changes (such as to wording or typographical changes to improve readability). 5 Practice Notes required more significant changes which were presented to Council for approval. The cycle of review will continue into 2016/17. |
| FTP Operating Guidance Review | - Ongoing review and development of operating guidance | Ongoing | 29 FOGs were reviewed since April 2015, with 24 of these reviews resulting in changes to the guidance. These changes have been rolled out using a mixture of presentation at team meetings, formal workshops or inclusion in refresher training which is managed by the FTP Training Advisor. |
| Policy Review | - Ongoing review and development of policy documents | Ongoing | The Standard of Acceptance policy was reviewed in May 2015 and rolled out in June. The Indicative Sanctions and the Fitness to Practise Publications Policies were reviewed in September 2015. |

**Service Improvement, Communication and Information Provision**

| Activity | Description | Timescale | Update |
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| Guidance for Employers | - Mapping Location of Complaints<br>- Development of Guidance for Employers | Quarter 1-2 | The employers brochure and employer specific FTP webpages were reviewed and revised and new versions published on 20 April 2015. The revised brochure and webpages focus on providing information which is directly relevant to employers rather than just the FTP process in general. They are explicit on areas such as when to refer a concern and the time scales involved. They also include a detailed flowchart of the FTP process and new sections on local resolution, the standard of acceptance and what happens if previous concerns are raised about an employee.<br><br>The FTP session of the HCPC employer events was also refreshed with a revised presentation; new case studies; and one to one sessions with Case Managers.<br><br>FTP team members met with |

| | | | some larger employers (for example, local authorities) on request of those employers, to discuss the FTP process and when and how they should refer concerns. |
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| Patients Association Peer Review | - Use the Patients Association peer review process as part of training programme for members of the fitness to practise department | Quarter 1-4 | Learning from the report following the Patients Association Peer Review of the initial stages of the FTP process in May 2014 was incorporated into the relevant workplan activities for 2015-16, for example, the brochure, referral form and FTP webpages for members of the public.<br><br>The use of peer review as part of the training programme for members of the fitness to practise department will be carried forward to next year. |
| Registrant Support Helpline | - Scope and review the possibility of a registrant support helpline | Quarter 1-4 | The feedback mechanism pilot has provided some information as to the interest from registrants for such a service. However, to date, no substantive work has been undertaken. |
| Support Mechanisms | - Development of further mechanisms or changes in the processes to support | Quarter 1-4 | To make the FTP process easier to understand and more |

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| | registrants and complainants through the fitness to practise process | | accessible to members of the public and registrants, we have developed two-page A4 factsheets to explain certain areas. The factsheets are written in the second person and in clear and easy to understand language. They have also been awarded Crystal Marks from the Plain English Campaign. 'The Standard of acceptance explained' and 'Protecting titles' were published in November 2015.<br><br>Please also see guidance for employers; development of case studies for the website; online complaints form; brochure updates; feedback mechanisms; standard letter review; and website content refresh, update and maintenance sections. |
| Development of Case Studies for the website | - Publication of useful case studies, both for registrants and complainants, on the website. | Quarter 3-4 | A case studies page has been added to the FTP webpages. The webpage provides four case studies based on real life fitness to practise concerns we have received. They illustrate the types of issues that are taken into consideration by a Panel when deciding if a registrant's fitness to practise is |

| | | | impaired, and if so, which sanction is appropriate. The case studies will be refreshed on a rolling basis and in future case studies of all aspects of the FTP process will be included. |
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| Disengagement | - Follow up actions following the publication of research | Quarter 1-4 | Further research focussed on understanding the prevalence of fitness to practise cases about paramedics and social workers in England is being commissioned by the Policy and Standards department. |
| Online Complaints Form | - Scope and review the possibility of an online complaint form to replace current paper based system | Quarter 1-4 | Both the member of the public and employer paper referral forms were reviewed and updated. The revised forms focus on supporting the referrer to provide us with the information we need to deal with their referral as quickly and efficiently as possible. The forms have new sections, such as a supporting documents checklist and a declaration which asks the referrer to confirm they have provided accurate information and that they understand it will be shared with the registrant. |

| Brochure updates | - Review and update 'How to raise a concern' and 'What happens if a concern is raised about me' brochures | Quarter 3-4 | 'How to raise a concern' has been revised and it is anticipated that the new version will published by the end of March 2016.<br><br>We are in the early stages of reviewing and revising 'What happens if a concern is raised about me' and it is anticipated that the new version will be published by December 2016. |
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| Feedback Mechanisms | - Development of questionnaires and feedback mechanisms for complainants and registrants and further enhancements to witness feedback. Pilot and permanent roll out.<br>- On-going (monthly) thematic review of complaints received about FTP. Information used to effect immediate changes; inform training/capability needs; and identify and inform future improvement projects. | Quarter 1-4<br><br><br><br>Ongoing | Following a pilot from January to April 2015, we have started to use feedback forms to help understand the experience of raising a concern with the HCPC. The forms ask complainants and registrants, whose case has been closed either by an Investigating Committee Panel or a final hearing Panel, to provide feedback on the service they have received from the FTP department. The process is managed by the Assurance and Development team, who send out the forms and collate the feedback once it is received. On a six monthly basis the feedback collected is assessed and where appropriate, learning points will |

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| | | | be incorporated into FTP workplan activities. The feedback is also be shared with the FTP department.<br><br>We have continued to review the complaints we receive about FTP. |
| Standard letter review (incorporating a tone of voice review) | - Undertake a review of all FTP correspondence and communication in terms of their use, content and tone | Quarter 1-4 | A number of letters have been reviewed and revised. This work is on-going and will be carried forward into workplan activities for 2016-17. |
| Fitness to Practise Annual Report | - Production of the Fitness to Practise Annual report 2015 | Quarter 2-3 | The Annual Report for 2014-15 was approved by Council in September and published in hard copy and online in November 2015.<br><br>The report followed a similar format to previous years apart from:<br>&bull; Information about the progress of the cases transferred from the General Social Care Council was incorporated into the report as business as usual rather than as a separate section as per previous practice. |

| | | | The list of final hearing decisions as per previous practice was not included in the report. The main reason for this being the publication of that type of information is now contrary to the FTP Publications Policy. Instead more examples of the types of allegations made against registrants was included in the text of the report. |
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| Health and Character report | - Report on the work undertaken in relation the Health and Character cases | Quarter 1 | The Health and Character report was considered by the Education and Training Committee in November 2015. |
| Review Health and Character Policy | - Review the report and consider any amendments to the policy arising from the review | Quarter 2 | The Health and Character policy has been revised following the review of the process and will be considered by the Education and Training Committee in March 2016. |
| Student Social Work (England) Suitability Scheme review | - Review of the process and cases managed under the Student Social Work (England) Suitability Scheme | Quarter 2 | The Student Social Work (England) Suitability Scheme review concluded in 2015 and a paper documenting a review of the scheme was provided to Council in December 2015. |
| Website Content refresh, update and maintenance | - Review and implement cycle of review the content provided in the FTP sections of the HCPC website | Ongoing | New content has been added to the FTP webpages, for example, an interactive flowchart of the |

| | | | FTP process; case studies (see above); and a page providing signposting links for complainants and registrants.

The content of the website has also been reviewed and amended in light of the move of the adjudication function to 405 Kennington Road. |
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| Information Sharing and Memorandums of Understanding | - Maintain existing information sharing agreements and MoUs.<br>- Identify and develop new information sharing agreements and MoUs as appropriate. Review existing agreement for datasets, and include any agreed developments in CMS and/or reporting project work | Ongoing | New MoU's were signed with the NHS Trust Development Authority, NHS Protect and the Regulation and Quality Improvement Authority in Northern Ireland.

Work was undertaken on new MoU's with Healthcare Inspectorate Wales; NHS Counter Fraud Scotland; and Ofsted. It is anticipated these will be signed in early 2016-17.

Our MoU with the CQC was reviewed and revised (contact details only) in November 2015. |
| Health Select Committee Preparation | - Continue to update timeliness data set as part of monthly management information. | Ongoing | There is no requirement to produce information for the Select Committee this year. The same dataset has continued to be produced |

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| | | | iteratively, along with the existing management statistics. This information is used by senior managers to assess ongoing performance against budget and resource, and to identify further analysis that may be required.

Specifically, detailed snapshots of length of time data are used to demonstrate progression of groups of cases (and in bands of age) through the FTP process.  This information also informs the quarterly dataset that is submitted to Professional Standards Authority, as part of the performance review process. |
| Mechanisms to overcome obstacles in obtaining documents | - Review and implement mechanisms to overcome obstacles<br>- Explore the possibility of a legal gateway to more effectively obtain information from police forces<br>- Review guidance and documentation<br>- Stakeholder engagement | Quarter 2 | A meeting has taken place with the Metropolitan Police to improve information sharing and we have engaged with the other regulators to explore a joint MoU with the police. Meetings have also been undertaken with various employers including Local Authority Social Work departments. The programme of employer events has continued with four events taking place in 2015-16. |

**Resource Management**

| Activity | Description | Timescale | Update |
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| Cost Efficiencies Study | - Follow up activities to explore how the cost efficiencies model and regression analysis can be used to identify where further efficiencies can be made in our approach to case management. Links to case management models activity | Quarter 1-2 | The Centre for Health Service Economics & Organisation was commissioned to undertake an analysis of the cost determinants of HCPC fitness to practise costs. This involved for the first time creating a dataset to investigate some of the factors that could affect the FTP process. The research was published in May 2015. The feasibility of undertaking further analysis will be explored in 2016-17. |
| FAST | - Implement FAST methodology and approach to the FTP forecast | Ongoing | Elements of the five year plan model, prepared by FAST, have been revised by our auditors Grant Thornton.  We have contributed to this review and re-use of the model to inform progress in the five year plan cycle.  There is some further (minor) work to do to allow the FTP model to be used independently of the registration figure forecasting module.  This is scheduled to take place on |

| Activity | Description | Timescale | Update |
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| | | | conclusion of the 2016-17 budget setting process, and will allow monthly consolidation of activity figures. |
| Provision of travel and Room Hire services | - Project team member for the changes to the provision of room hire and travel services | Quarter 1 | The scope of the project was changed and a decision taken to use the government procurement framework. The new provider is now in place. |
| Tender for the provision of Public Law Advice | - Undertake the tender for the provision of public law advice to the HCPC | Quarter 1-3 | The tender process was successfully completed in April 2015, with Bircham Dyson Bell being awarded the contract. |
| Case Progression and Timeliness | - Ongoing activity to ensure the expeditious management of cases | Ongoing | A number of activities are on-going including:<br>• Monthly case progression conferences targeting older cases;<br>• Weekly monitoring of the age of cases at various key stages of the process;<br>• Case review meetings between Case Managers and Case Team Managers; and<br>• Weekly tele-conferences with Kingsley Napley to discuss issues with progressing cases to a final hearing |

| Activity | Description | Timescale | Update |
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| | | | • The weekly FTP Managers' Meeting receives a snapshot of length of time activity and a review of the impact of caseload at each stage of the process. Assurance and Development team members have been redeployed in the last quarter to assist with training and supporting new team members to concentrate on older cases at the earlier stages of the process. This work is ongoing, but has demonstrated consistent movement in these cases, with more cases closed pre-ICP, and sufficient cases at Obs and ICP stages to meet FTP activity forecast. We continue to monitor this progression using the systems developed in the last 12 months. |
| Case Management | - Review the approach taken to the handling of | Quarters 1-2 | Work has been undertaken to |

| Activity | Description | Timescale | Update |
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| Models | enquiries, case allocation and the mix of cases allocated to a case manager in terms of complexity and the stage of the case<br>- Review the responsibilities of the case management, case support and administration teams including comparison to other regulators<br>- Implementation of any recommendations<br>- Review the process for the timely identification of cases which may be suitable for consensual disposal or discontinuance, including modelling the impact of any increase in the number of cases that need to be presented in-house by case managers | | review the way in which cases are managed and the benefit of greater specialisation. This included analysing cases loads, analysing the work required at each stage of the process, and the way cases might be transferred. A pilot began in January 2016 where a small number of Case Managers are managing cases which are either only pre-ICP or post-ICP. Further specialisation will be implemented in 2016—17 as part of the re-organisation of the department. |
| Support Arrangements for Employees | - Review the arrangements in place to support employees in dealing with cases | Quarter 2 | Sixteen FTP team members attended a bespoke training session with the Samaritans on managing suicidal contacts. Following this training, an operational guidance document and a desk top guide were produced to assist the FTP team in managing suicidal contacts going forward. A further bespoke training session with the Samaritans is also being offered to the FTP team on a voluntary basis. |

| Activity | Description | Timescale | Update |
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| Employee recruitment and resilience planning | - Improve and develop planning for unplanned absences | Ongoing | The case load and cases per Case Manager is closely monitored to ensure it is effectively managed. The need for temporary resource has been identified at an early stage to ensure that vacancies are covered while recruitment processes are undertaken. The reduction in the FTP case load over the course of 2015-16 has ensured that caseloads remain at a manageable level. The budget provided for a temporary resource to cover the seasonal rise in Health and Character cases. |
| Case Management System | - Development and maintenance of the case management system and reporting system and programme of induction and refresher training for users | Ongoing | We have continued to deploy changes to the CMS, to support minor changes in process, documentation and access to the system as the team changes.<br><br>We have concluded some unplanned development works following the introduction of Microsoft Outlook emails across the HCPC in July 2015.<br><br>We have concluded the latest |

| Activity | Description | Timescale | Update |
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| | | | element of development of the SharePoint library interface functionality with IT and our supplier.  We are currently in the user acceptance testing phase.  If this is completed successfully, we can start the planning process for migrating historic documents to the new interface libraries.  Due to the volume of documents, and the requirement to not impact on the running of the system, this may need to be completed as a separate workstream that continues into the next budget year.  The successful migration of documents will allow easier and more secure handling of case documents, and improve information security.  It will also allow automatic document retention, as opposed to the manual version that we have had to develop as a work around. |