Council, 22 March 2016

Education Department Work Plan 2016–17

Executive summary and recommendations

Introduction
The Education Department work plan for the period 1 April 2016 to 31 March 2017 is attached.

Decision
The Committee is invited to discuss the attached document.

Background information
None.

Resource implications
The resourcing of the Department is set out in the attached work plan.

Financial implications
The financial implications of the activities outlined in the work plan are accounted for in the draft HCPC budget for 2016–17.

Appendices
See paper.

Date of paper
11 March 2016

Education Department

2016−17 Work plan

Executive summary

This work plan outlines the operational expectations and priorities for the HCPC's Education Department in 2016–17. It also provides a summary of the accomplishments from the previous year, 2015–16.

In summary, the workload produced from the operational processes continues to grow, year on year. This is partly explained by the significant increase in approved programme from the on-boarding of social workers since 2012; but increasingly explained by the growth and change in other professions. Changes in workforce planning and commissioning and funding arrangements, alongside changes in higher education are resulting in both new programmes and significant revisions to existing ones.

In the 2015–16 financial year, we carried out;
- 60 approval visits;
- 12 annual monitoring assessment days;
- 30 annual monitoring assessments by correspondence;
- 196 major changes assessments by correspondence; and
- 4 concerns.

In addition, the following key activities were achieved –
- publication of the social work education review report;
- publication of the approved mental health professional review report;
- launch of new internal systems and quality function;
- completion of first academic year of lay visitor being on approval visits;
- initial assessment of SET 3.17 (service user and carer involvement) via annual monitoring; and
- preparation and launch of the approval process for programmes for podiatrists practising podiatric surgery.

In the 2016–17 financial year, we anticipate carrying out;
- 60 approval visits;
- 14 annual monitoring assessment days;
- 40 annual monitoring assessments by correspondence;
- 163 major changes assessments by correspondence; and
- 16 concern related enquiries; and
- 8 concerns

In addition, we anticipate the following key activities–

- the on-going assessment of SET 3.17 via annual monitoring;
- concluding the approval process for programme(s) for podiatrists practising podiatric surgery;
- preparing and launching the approval process for programmes for orthoptists to use exemptions within medicines legislation;
- reviewing our approach to monitoring; and
- launching an internal quality compliance and assurance framework.

More detail can be found in appendices 1 and 2.

Introduction

This work plan document outlines the resources, responsibilities and priorities of the Education Department for the financial year April 2016 – March 2017.

About this document

This document is divided into four sections.

- – [Section one provides an executive summary](#)

- – [Section two outlines the key responsibilities for the Education Department and resources in 2016–17](#)

- – [Section three summaries the key activities and priorities in 2016–17](#)

- – [Section four outlines potential activities for the period 2017-2018 to 2018-2019](#)

There are three appendices to this document.

- – [Appendix 1 provides a summary of activities delivered in 2015–16](#)

- – [Appendix 2 provides a summary of the activities proposed in 2016–17](#)

- – [Appendix 3 provides a summary of risks owned by the Education Department](#)

Main operational processes

There are four main operational processes which generate the majority of the Education Department's work. These are listed below –

Approval process
This activity focuses on the management and assessment of requests from programmes seeking approval for the first time, as well as existing programme seeking re-approval for significant changes. Primarily it centres on a face-to-face visit to the education provider and a decision about whether a programme meets our standards. This activity includes the organisation, scheduling and attendance of approval visits; preparation/presentation of reports to education providers and Committee/Panel; partner/education provider liaison and provision of guidance to partners/education providers.

Annual monitoring process
This activity focuses on the management and assessment of audit and declaration submissions from existing approved programmes. This documentary activity takes place every year to ensure existing approved programmes retain their ongoing approval. This activity includes the organisation, scheduling and attendance of assessment days; partner/education provider liaison, provision of guidance to partners/education providers and preparation/presentation of reports to Committee/Panel.

Major change process
This activity focuses on the management and assessment of notifications and submissions from existing approved programmes. All programmes are expected to inform us of significant changes so that a decision can be made about whether a programme continues to meet our standards. This is a documentary activity and does not include a face-to-face visit to education providers. This activity includes the organisation, scheduling and assessment of submissions; partner/education provider liaison, provision of guidance to partners/education providers and preparation/presentation of reports to Committee/Panel.

Education provider concerns process
This activity focuses on the management and assessment of concerns raised about approved programmes. Anyone can raise a concern about an approved programme. This activity includes investigating concerns and managing them through to their conclusion. It can involve partner/education provider liaison, provision of guidance to partners/education providers and preparation/presentation of reports to Committee/Panel.

Other activities

There are a number of other areas and activities which support and affect the main operational processes operated by the Education Department. These activities primarily aim to raise awareness of our operational processes amongst key education stakeholders and help promote an open, transparent and collaborative approach to approval, monitoring and raising concerns. The following paragraphs summarise these activities –

Register of approved programmes
Members of the Department oversee the maintenance and development of the on-line register of approved programmes. This includes approved programmes which are both open and those which are closed, but retain approval for historical periods. The register is primarily used by prospective applicants to programmes and the register to check that their education and training provides eligibility to register with the HCPC.

Partner recruitment, selection and training
Members of the Department, work with the Partners Department, to appoint, reappoint, appraise and train our team of lay and registrant visitors.

Publications
Members of the Department, work with the Communications and Policy & Standards Departments, to ensure that our suite of publications aimed at education providers and stakeholders is reviewed, updated and promoted regularly. The set of publications ranges from the annual report and brochures explaining the operational processes through to review reports on new professions and initiatives and the newsletter, Education Update.

Web and digital
Members of the Department, work with the Communications Department, to ensure that the education related information available online and digitally is reviewed, updated and promoted regularly. This includes information on our main operational processes and the register of approved programmes on the HCPC website; as well as videos available on the HCPC YouTube channel.

Events
Members of the Department, work with the Communications and Policy & Standards Department, to design and deliver events for education providers and stakeholders. This includes annual region seminars and individual topic based events.

Stakeholder engagement
Members of the Department meet regularly with a wide range of stakeholders across the education, health and care sectors to develop a better understanding of our role and processes and learn from the experiences of others. This includes regular and ad-hoc meetings with educators, professional bodies and associations, commissioning and funding bodies and other regulators. It also includes participation in working and advisory groups and work related to our formal memorandum of understandings with the Care Councils and CQC.

Communications

Members of the Department, work with the Communications Department, to help promote our role and processes with education providers and stakeholders as well as to help raise the profile of education with registrants, the public and external stakeholders, such as employers. This includes the identification and promotion of education related content in HCPC In-Focus, social media, HCPC blog, online news articles and press releases.

Systems

Members of the Department, work with the IT Department and external suppliers, to oversee the maintenance, development and integration of a wide range of information systems used by department members. This primarily centres on the Microsoft Dynamics and SharePoint system, but also includes the information systems used for registration, finance, website production and email services.

Quality

Members of the Department will oversee the development and delivery of an internal programme of quality compliance and assurance. This activity will include audits and reviews and focus on compliance and decision making associated with our legislation, rules, policies and processes. It will also include compliance with our legislation obligations in respect of information sharing (e.g. Freedom of Information and Data Protection Acts).

Development

Members of the Department, work with the Policy & Standards Department, to prepare, review and implement new and revised approaches to our role in professional regulation. This activity includes periodic reviews to our standards, new professions joining the Register and the development of new initiatives linked to legislative and policy changes.

Major projects

Members of the Department contribute towards major projects that are being delivered at an organisational level. The level of involvement varies depending on the scale, scope and impact of the project on the department. The initiation and priority of these major projects is determined by the Executive Management Team.

Resources

This work plan is based on the assumption of a team of 19 employees and an overall budget of approximately £1,200,000.

Human resources

The Department is structured around two core functional teams – one focuses on service delivery and development and the other on systems and quality. The department is led by the Director of Education who has overall responsibility for the management and leadership of the department.

The service delivery and development function is led by the Head of Educational Development and comprises of three Education Managers, six Education Officers and three Education Administrators. The function is responsible for the delivery of our approval and monitoring processes as well as the development and enhancement of educational and communication initiatives with education providers and stakeholders.

The systems and quality function is led by the Head of Education Systems and Quality and comprises of one Systems and Quality Manager and two Systems and Quality Officers. This function is responsible for the maintenance, development and integration of our information systems alongside the delivery of an internal programme of quality compliance and assurance. This function was newly formed in 2015–16 and has concentrated primarily on systems related work to date.

There is a permanent headcount of 19 posts in the Education Department. No new posts are anticipated in 2016–17.

Job title	Number of posts
Director of Education	1
PA to Director	1
Head of Educational Development	1
Education Manager	3
Education Officer	6
Education Administrator	3
Head of Education Systems and Quality	1
Systems and Quality Manager	1
Systems and Quality Officer	2

(A fixed term Senior Systems and Quality Officer currently exists as part of the maternity leave arrangements for the Head of Education Systems and Quality. It is anticipated that the permanent structure/headcount will resume in July 2016.)

Financial resources

It is anticipated that there will be a department budget of approximately £1.2million to support the activities in the 2016–17 financial year.

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

- The HCPC approves pre-registration programmes in sixteen professions.
- The social worker in England part of the register will remain in the 2016–17 financial year.
- The HCPC approves post-registration programmes in six existing areas and is developing in another (orthoptists exemptions).
- The approval of 'approved mental health professional' programmes will remain in the 2016–17 financial year.
- The approval visit schedule is relatively fixed in quarters one and two due to the six month notice period.
- Unlike previous years, the approval visit schedule is not affected by the requirement to visit programmes from a profession that has recently joined the Register.
- 65% of the approval visit schedule is to new programmes seeking approval.
- 35% of the approval visit schedule is to existing programmes making significant changes.
- The number of new programmes for paramedics and operating department practitioners is likely to be slightly higher than other professions due to wider changes and initiatives within the professions.
- The recently announced changes to commissioning and funding arrangements for allied health profession programmes in England will have a limited impact in the 2016–17 financial year as they become effective from August 2017 onwards.
- Any changes to funding arrangements for social work programmes in England will have a limited impact in the 2016–17 financial year as it is anticipated that they become effective from September 2017 onwards.
- 97% of approval visits take two days and involve 3 partners.
- 3% of approval visits take three days and involve 5 partners.
- All programmes are expected to engage with the annual monitoring process, apart from the year of and the year after an approval visit.
- 50% of all programmes engaged with annual monitoring submit an audit submission; the other 50% submit a declaration.
- The preferred and most effective method of assessing annual monitoring audits is on an assessment day.
- Each annual monitoring assessment day considers, on average, 20 audit submissions.
- All annual monitoring assessment days involve 8 partners.
- Each annual monitoring considered by correspondence involves 2 partners.
- 15% of existing programmes submit a change notification each year
- 25% of change notifications are channelled into the approval or annual monitoring for further consideration.
- 75% of change notifications continue through the full major change process, involving partner assessment.
- 60% of major change submissions involve two partners.
- 40% of major change submissions involve one partner.
- 0.01% of programmes receive a concern each year.
- 50% of concern enquiries convert into formal concerns for further consideration
- 33% of concerns continue through the full investigation process
- 98% of concerns are investigated by the executive.
- 2% of concerns are investigated by the executive and two partners.

- 15 general enquiries received each month
- There are ten meetings of the Education and Training Panel each year

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

- 60 approval visits;
- 14 annual monitoring assessment days;
- 40 annual monitoring audits, assessed by correspondence;
- 217 change notifications assessed by the executive;
- 163 major change submissions, assessed by correspondence; and
- 16 concern related enquiries; and
- 8 concerns.

Priorities for 2016–17

As in previous years, the main priority for the Department is the day-to-day operation of the approval and monitoring processes. The impact of regulating social workers in England will continue to influence our work in this area. By the end of this financial year, almost all social worker programmes will have engaged with our monitoring processes for the first time. As the initial approval visits to social worker programmes took place over three academic years, their integration with the annual monitoring has been similarly been phased over three academic years (2014-15, 2015–16 and 2016–17).

This year, the Department will continue to implement a number of new policy initiatives and legislative changes. These include approving new programmes in podiatric surgery; approving new programmes that allow orthoptists to qualify to use exemptions within medicines legislation and approving changes to existing supplementary and independent prescribing programmes to allow additional professions to access them. This activity will, in turn, lead to new annotations for chiropodists, dietitians, orthoptists, and therapeutic radiographers.

The Department will continue to support colleagues in the Policy and Standards Department as the on-going review of the standards of education and training and its guidance moves from the professional liaison group phase to the formal public consultation phase.

Finally, the Department will focus a substantial resource on developing and instigating an internal quality compliance and assurance framework, and reviewing our overall approach to monitoring.

Risk management

The Department will continue to manage those organisational risks that are primarily concerned with:
- Employees within the Department (issues such as turnover, skills development and managing performance); and
- Education providers (issues such as compliance with our processes, communication and support).

Activities outlined in this work plan also help mitigate organisation risks managed by other departments. These areas include project management and the recruitment, training and on-going support of both employees and partners.

See appendix three for more detailed information.

Equality and diversity

The Department 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. It will continue to aim to improve accessibility to the main operational processes and supporting activities.

Information security

The Department will continue to scrutinise and review all activities in this work plan in line with the organisation's information security policy and ISO27001 (information security) accreditation. It will continue to identify and where possible, mitigate any key information security risks.

2017–18 to 2018–19

The anticipated activities for the department beyond the 2016–17 financial year are –

- On-going work assessing the changes to programmes as a result of the requirement for service user and carer involvement and revised standards of proficiency.
- On-going work implementing new initiatives and professions, including podiatrists practising podiatric surgery and extensions to prescribing and exemptions.
- On-going work related to the launch of the revised standards of education and training and its guidance ahead of the 2017-18 academic year.
- On-going work to develop our e-communications and web and digital activities to reach and work with our stakeholders in a more effective manner.
- On-going refinement of our approach to approval and monitoring, including alignment to external quality assurance regimes.
- Review of our approach to student engagement.
- On-going refinement of our feedback mechanisms.
- On-going refinement of our quality compliance and assurance work.
- On-going development and enhancement work with our IT system (Microsoft Dynamics/SharePoint).
- On-going major project work.

2015–16 work plan review
Appendix 1

The following tables summarises the progress in delivering the 2015–16 work plan. As anticipated, the Department had to adopt a flexible approach to the delivery of last year's work plan in order to respond accordingly to internal and external factors.

Regulatory operations	Budget 2015–16	9 month reforecast 2015–16	Actual 2015–16*	Variance (Budget to actual)
Number of approval visits	46	60	60	30%
Number of annual monitoring assessment days	11	13	12	9%
Number of annual monitoring postal submissions	26	32	30	30%
Number of major change notifications	160	267	269	68%
Number of major change submissions	127	201	196	54%
Number of concern enquiries	10	12	12	20%
Number of concern submissions	10	4	4	-60%

* = The figures for March 2016 are based on scheduled cases.

Activity	Description	Progress report (11 March 2016)	Time-scale	Lead executive
Regulatory operations				
Approval process	Completion of third and final academic year of approval visits to social worker programmes	Complete • The final five visits took place in April & May 2015.	Q 1-4	BP / JH
	Completion of second and final academic year of approval visits to approved mental health professional programmes.	Complete • The final visit took place in May 2015.	Q 1-4	BP / JH
Annual monitoring process	On-going assessment of revised standards of proficiency by the annual monitoring process.	Complete / On-going into 2016–17 • All audits submissions assessed from April - September 2015 from nine professions	Q 1-4	BP

Activity	Description	Progress report (11 March 2016)	Time-scale	Lead executive
		considered the implementation of the revised SOPs. • All audits submissions assessed from October 2015 – March 2016 from 14 professions considered the implementation of the revised SOPs.		
	Initial assessment of new service user and carer requirements by the annual monitoring process.	Complete / On-going into 2016–17 • Requirements outlined to education providers in October 2015. • All audits assessed from October 2015 – March 2016 for 15 professions and SPIP considered the implementation of service user and carer requirements.	Q 3-4	BP
	On-going integration of social worker programmes into the annual monitoring process.	Complete / On-going into 2016–17 • Requirements outlined to education providers in October 2015. • Audits submissions assessed from October 2015 – March 2016.	Q 3-4	BP
	Initial integration of approved mental health professional programmes into the annual monitoring process.	Complete / On-going into 2016–17 • Requirements outlined to education providers in October 2015. • Audits submissions assessed from October 2015 – March 2016.	Q 3-4	BP
Policy and process development				
Standards and guidance reviews and implementation	Publicise the revised standards of proficiency for practitioner psychologists and associated changes to programmes.	Complete • Article in Education Update (May 2015) • Publication and communication of revised standards of proficiency in July 2015.	Q 1-2	BP
	Publicise the revised guidance for disabled persons.	Complete • Article in Education Update (October 2015).	Q 1-2	TSS

Activity	Description	Progress report (11 March 2016)	Time-scale	Lead executive
	Assist the Policy & Standards Department in the on-going review of the standards of education and training and their guidance, primarily in the area of stakeholder engagement support.	Complete / On-going into 2016–17 • Articles in Education Update (May and October 2015 and January 2016). • Education Department workshop (May 2015). • Attendance at stakeholder events (June, July and September 2015. • Stakeholder event (October 2015). • PLG meetings (September and November 2015 and January and March 2016).	Q 1-4	AG
	Assist the Policy & Standards Department in the review of the guidance on conduct and ethics for students, primarily in terms of education provider communication.	Complete / On-going into 2016–17 • Council paper (October 2015). • Articles in Education Update (October 2015 & January 2016).	Q 2-4	TSS
	Assist the Policy & Standards Department in the review of the standards of proficiency for social workers, primarily in terms of education provider communication.	Complete / On-going into 2016–17 • Article in Education Update (October 2015). • Attendance at stakeholder event (January 2016).	Q 1-4	BE
New professions and initiatives	Comprehensive review of the three academic years of approval visits to social worker programmes.	Complete • Report published (January 2016). • Audio commentary produced (January 2016)	Q 2-4	JH
	Comprehensive review of the two academic years of approval visits to approved mental health professional programmes.	Complete • Report published (January 2016).	Q 2-4	JH
	Preparation for register opening for public health specialists in July 2016, including liaison with education providers.	Withdrawn	Q 1-4	AG

Activity	Description	Progress report (11 March 2016)	Time-scale	Lead executive
New initiatives	On-going support and communication to education providers in relation to our service user and carer requirements in programmes.	Complete • Article in Education Update (May 2015) promoting YouTube video. • Requirements and signposting communicated to education providers as part of annual monitoring process in October 2015.	Q 1-4	JH / BP
	On-going monitoring, support and review of new lay visitor arrangements.	On-going into 2016–17 • Visitor and education provider surveys (Sept 2015). • Lay visitor focus group (October 2015). • Executive review to be finalised in 2016–17	Q 2-4	TSS
	Preparation and implementation of approval process for programmes for podiatrists practising podiatric surgery, including visitor recruitment.	On-going into 2016–17 • Article in Education Update (May 2015). • Visitor role brief agreed at Education and Training Committee (June 2015). • Visitors recruited in July and September 2015 and trained in December 2015. • Open cases within the approval process for two education providers. Executive, Visitor and ETP activity to continue into 2016–17.	Q 1-4	BE
	Preparation and implementation of approval process for programmes linked to extensions of prescribing rights and exemptions, including adaptions to process and visitor allocation, if required.	Delayed. To initiate in 2016–17.	Q 2-4	BE
	Assist the Registrations Department in the work on comparable qualifications.	Complete • Supported the work of the Registrations Department on an ad-hoc basis.	Q 1-4	BE
Service improvement				

Activity	Description	Progress report (11 March 2016)	Time-scale	Lead executive
Quality assurance reviews and reports	Publication of Education annual report 2014.	Complete • Annual report published in May 2015. • Article in Education Update (May 2015). • YouTube video (May 2015). • Social media activity (May & June 2015).	Q 1-2	BE
	Preparation of Education annual report 2015, including review of format and associated communication.	On-going into 2016–17 • Draft report considered by ETC (March 2016). • Publication and dissemination anticipated in May and June 2016.	Q 3-4	BE / BP
	Review of year three of social workers approval visits.	Complete • Report published (January 2016).	Q 3	JH
	Review of year two of approved mental health professional approval visits.	Complete • Report published (January 2016).	Q 3	JH
	Review of year one of social workers annual monitoring engagement.	Complete • Incorporated in Education annual report 2015. Draft considered by ETC (March 2016).	Q 3-4	BP
Internal operating processes	Review and development of internal business processes, practices and guidelines, following adoption of new Microsoft Dynamics and SharePoint system.	Complete / On-going into 2016–17 • Internal operating guidance documents further developed. • Email templates created in July 2015. • Role realignment to improve efficiencies and service delivery in August 2015.	Q 1-4	BP / JH / TSS / BE
Feedback mechanisms	Biennial survey of education providers.	On-going into 2016–17 • Education provider survey (Sept 2015). • Executive review to be finalised in 2016–17	Q 2-4	TSS
	Review approach to gathering feedback from education providers.	On-going into 2016–17 • Pilot for gathering regular feedback run in Q4. • Executive evaluation in 2016–17	Q 2-4	TSS / JH / BP

Activity	Description	Progress report (11 March 2016)	Time-scale	Lead executive
Service support				
Partners	On-going recruitment and training programme to ensure sufficient numbers of visitors, including anticipated recruitment of 10-20 new visitors.	Complete • 18 new visitors recruited. • 17 new visitors trained.	Q 1-3	TSS
	On-going refresher training programme, including 4-5 anticipated sessions.	Complete • 56 visitors attended refresher training sessions.	Q 3-4	TSS
Communications				
Website maintenance and development	Develop and implement cyclical review of education content of webpages, ensuring links with feedback, reports and new initiatives.	Complete / On-going into 2016–17 • Podiatric surgery information (June 2015) • Education provider survey (September 2015) • Education seminars (October 2015 – March 2016) • Annual monitoring information (October 2015) • Social work student suitability scheme (Nov 2015) • Social work education report (January 2016) • AMHP review (January 2016)	Q 1-4	TSS / JH / BP
Print, digital and on-line content	Refresh introductory information available to new stakeholders.	Delayed. To initiate in 2016–17.	Q 3-4	TSS / JH / BP
	Refresh information available on annual monitoring, major change and concerns processes.	Delayed. To initiate in 2016–17.	Q 3-4	TSS / JH / BP
	Review usage and production of publications, videos and on-line content to ensure a range of accessible and utilised information.	Delayed. To initiate in 2016–17.	Q 3-4	TSS / JH / BP

Activity	Description	Progress report (11 March 2016)	Time-scale	Lead executive
Research	Dissemination of research findings (disengagement, interprofessional education, preparedness to practice) to education providers and stakeholders, including, for example, seminars, newsletter content.	Delayed. To initiate in 2016–17.	Q 3-4	TSS
Education Update	Review, monitor and maximise opportunities with current newsletter.	Complete • Three issues published (May and October 2015 & January 2016). • Production and format moved to marketing template (Dotmailer) (January 2016)	Q 1-4	TSS
Systems				
Microsoft Dynamics and SharePoint system	Consolidation of new system, including roll out of new functionality and end user training and support.	On-going into 2016–17	Q 1-2	MN
	On-going maintenance and development of system	On-going into 2016–17	Q 3-4	MN
Education systems build major project (phase two)	Phase two system developments Integration with other internal systems.	On-going into 2016–17 • System development (Microsoft Dynamics and SharePoint) and integration with website and Netregulate scheduled for Q1 in 2016–17.	Q 1-2	MN / BE
Quality compliance and assurance				
Quality compliance and assurance frameworks	Develop and implement framework and take action as required to improve processes and service	Delayed. To initiate in 2016–17.	Q 1-4	MN / AG
Management information	Review management information and reports, following adoption of new Microsoft Dynamics and SharePoint system.	On-going into 2016–17 • Draft management information set developed. • Executive finalisation in 2016–17	Q 1-4	TSS / BE

Activity	Description	Progress report (11 March 2016)		Time-scale	Lead executive
Major projects					
Participation in major projects	Varying levels of involvements, primarily linked to preparing department employees for system usage and/or communicating key messages to education providers and their students				
– Public health specialists		Withdrawn		Q 1-4	AG
– SAGE/PRS upgrade		Complete		Q 1-2	BE / TSS
– Domino to exchange		Complete		Q 1	BE / MN
– Fees review		Complete		Q 1-2	AG
– HR & Partners build		On-going into 2016–17		Q 1-3	BE / MN
– Registrations review		Complete		Q 1-2	BE
– Registrations transformation and improvement		On-going into 2016–17		Q 3-4	AG
– Net regulate changes		Withdrawn		Q 1-4	BE / TSS
– Stakeholder relationship management system		Withdrawn		Q 1-4	BE

AG   = Abigail Gorringe   Director of Education
BE   = Brendon Edmonds   Head of Educational Development
TSS = Tracey Samuel-Smith   Education Manager
BP   = Ben Potter   Education Manager
JH   = Jamie Hunt   Education Manager
MN   = Matthew Nelson   Systems and Quality Manager

2016–17 work plan detailed activities
Appendix 2

The following table details the activities anticipated and planned for in 2016–17. As with previous years, the Department will adopt a flexible approach to the delivery of the work plan and respond accordingly to internal and external factors.

Regulatory operations	Projected workload 2016–17	Variance (2016–17 to 2015–16)
Number of approval visits	60	0%
Number of annual monitoring assessment days	14	17%
Number of annual monitoring postal submissions	40	33%
Number of major change notifications	217	-19%
Number of major change submissions	163	-18%
Number of concern enquiries	16	33%
Number of concern submissions	8	200%

Activity	Description	Timescale
Regulatory operations		
Approval process	On-going assessment of programmes for podiatrists practising podiatric surgery	Quarters 1-4
Annual monitoring process	On-going assessment of revised standards of proficiency by the annual monitoring process.	Quarters 1-4
	On-going assessment and review of new service user and carer requirements by the annual monitoring process.	Quarters 1-4
	On-going integration and review of social worker programmes into the annual monitoring process.	Quarters 1-4
	On-going integration of approved mental health professional programmes into the annual monitoring process.	Quarters 1-4

Activity	Description	Timescale
	Initial assessment of revised standards of conduct, performance and ethics by the annual monitoring process.	Quarters 3-4
Major change process	Assessment of supplementary and independent prescribing programmes linked to the extension of prescribing rights for dietitians and therapeutic radiographers.	Quarters 1-4
Policy and process development		
Standards and guidance reviews and implementation	Publicise the revised standards of proficiency for social workers in England and associated changes to programmes with education providers.	Quarters 2-3
	Publicise the revised guidance on conduct and ethics for students with education providers and stakeholders.	Quarters 1-2
	Assist the Policy & Standards Department in the on-going review of the standards of education and training and guidance, primarily in terms of user input and stakeholder engagement.	Quarters 1-4
Process review and implementation	On-going review of lay visitor arrangements.	Quarters 1-2
	On-going review of approach to monitoring.	Quarters 1-3
	Review of the approval visits to programmes for podiatrists practising podiatric surgery	Quarters 3-4
	Review of the major changes to supplementary and independent prescribing programmes linked to the extension of prescribing rights for dietitians and therapeutic radiographers.	Quarters 3-4
New initiatives	Preparation and implementation of approval process for programmes linked to the use of exemptions by orthoptists in medicines legislation, including adaptions to process and visitor allocation, if required.	Quarters 1-4

Activity	Description	Timescale
	Preparation and implementation of approval process for programmes linked to further extensions of prescribing rights, including adaptions to process and visitor allocation, if required.	Quarters 3-4
	Assist the Policy & Standards Department in the on-going consideration of standards of education and training one for paramedics, if required.	Quarters 1-4
	Preparation and implementation of changes to the register of approved programmes and related communication to education providers, linked to the possible renaming of medicines annotations for chiropodists.	Quarters 2-4
Service improvement		
Quality assurance reviews and reports	Publication of Education annual report 2015.	Quarters 1-2
	Preparation of Education annual report 2016.	Quarters 3-4
	Pilot detailed reviews of specific processes, professions or activities, using quantitative data and information from Microsoft Dynamics.	Quarters 1-4
Internal operating processes	On-going review of internal business processes, practices and guidelines, linked to additional functionality available in Microsoft Dynamics / SharePoint; feedback from education providers and visitors; freedom of information legislation; information security and legal advice.	Quarters 1-4
Feedback mechanisms	On-going review of feedback mechanisms.	Quarters 1-2
	Implementation of new feedback arrangements for education providers.	Quarters 1-4
Service support		
Partners	On-going recruitment and training programme to ensure sufficient numbers of visitors, including anticipated recruitment of 10-20 new visitors.	Quarters 1-3
	On-going refresher training programme, including 5-6 anticipated sessions.	Quarters 3-4

Activity	Description	Timescale
Communications		
Website maintenance and development	On-going review of education content of webpages, ensuring links with feedback, reports and new initiatives.	Quarters 1-4
Print, digital and on-line content	Review and refresh introductory information available to new education providers and stakeholders.	Quarters 1-4
	Review and refresh information available on our approval, monitoring and concerns processes.	Quarters 1-4
	Review and refresh information available to education providers and stakeholders on frequently asked about subject areas. (e.g. advertising, curriculum guidance, student fitness to practise, modalities).	Quarters 1-4
Research	Dissemination of research findings (disengagement, interprofessional education, preparedness to practice) to education providers and stakeholders.	Quarters 1-4
	Assist the Policy & Standards Department in commissioning external research in education providers and stakeholders' perceptions and experiences of our education regulatory processes.	Quarters 3-4
Education Update	Review, monitor and maximise opportunities with current newsletter.	Quarters 1-4
Systems		
Microsoft Dynamics / SharePoint system	On-going maintenance and development of system	Quarters 1-4
	Roll out of new functionality and end user training and support.	Quarters 1-4
Education systems build major project (phase two)	Roll out of system developments and integration with other internal systems.	Quarter 1

Activity	Description	Timescale
Quality compliance and assurance		
Quality compliance and assurance frameworks	Develop and implement framework and take action as required to improve processes and service	Quarters 1-4
Management information	On-going review of management information and reports	Quarters 1-4
	Investigate opportunities for publication of approved programme data	Quarters 3-4
Major projects		
Participation in major projects – HR & Partners build – Registrations transformation and improvement – HCPC website review and build – Online expenses implementation – Netregulate changes	Varying levels of involvements, primarily linked to preparing department employees for system usage and/or communicating key messages to education providers and their students.	Quarters 1-4

Risks
Appendix 3

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
Education		7.1	Failure to detect low education providers standards	Director of Education	4	2	8	Operational processes (approval, monitoring and complaints about an approved programme)	Regular training of employees and visitors	Memorandums of understandings with other regulators (e.g. CQC and Care Councils)	Low	Low
		Links to 1.1 , 4.3, 6.4										
Education		7.2	Education providers disengaging with process	Director of Education	3	3	9	Legal powers (HSWPO 2001)	Delivery of Education Dpt supporting activities as documented in regular work plan	Stakeholder monitoring	Low	Low
		Links to 1.1										
Education		7.3	Inability to conduct visits and monitoring tasks	Director of Education	4	2	8	Adequate resourcing, training and visit scheduling	Approvals & monitoring processes	Temporary staff hire to backfill or clear work backlogs	Low	Low
		Links to 1.1, 6.1, 11.2 & 11.3										
Education		7.4	Loss of support from education providers	Chief Executive or Director of Education	5	2	10	Delivery of Education strategy as documented in regular work plan	Partnerships with Visitors and professional groups.	Publications, Newsletters, website content, inclusion in consultations and relevant PLGs, consultations with education providers	Low	Low
		Links to 1.1, 14.2										
Education	I	7.5	Protracted service outage following education system failure	Director of IT	4	2	8	Effective backup and recovery processes	In house and third party skills to support system	Included in future DR/BC tests	Low	Low

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
Education		7.6	Loss or significant change to funding, commissioning and placement opportunities for approved programmes	Director of Education	3	4	12	Operational processes (approval, monitoring and complaints about an approved programme)	Partnerships with Visitors and professional groups.	Regular training of employees and visitors	Med	Low
Education		7.7	Monitoring processes not effective	Director of Education	3	2	6	Well documented processes	Trained executive & visitors	Communication with education providers	Low	NEW