

Council, 7 February 2018

Corporate plan 2018-2020

Executive summary and recommendations

### **Introduction**

At a workshop in January 2018, the Council and Executive discussed a draft of a corporate plan for 2018-2020. This has been revised in light of the feedback and is attached.

The intention is for the corporate plan to sit between the high-level strategic intent and the directorate work plans.

At the workshop, the feedback on the draft corporate plan was largely positive, with some discussion about how the plan might influence operational plans to help move the organisation forward. Common themes in the groups' discussions included the importance of valuing and supporting employees; the need to ensure that the plan did not appear to be overly focused on fitness to practise; and the need for some clarity about some of the key deliverables that had been identified.

The corporate plan will inform more detailed directorate, department and project/activity specific plans.

Once agreed, delivery of the corporate plan might be monitored by the Council through:

- Regular reporting as part of the Chief Executive's report at each Council meeting or quarterly.
- A more detailed report to the Council every six months.

The strategic intent currently remains in place. However, it is proposed that the following approach to strategic planning should take place in the next planning cycle.

- Discontinue the existing strategic intent.
- Publish a corporate strategy setting out our strategic aims / priorities for the next three years. (This would incorporate our key internal and external drivers, vision and values from the strategic intent and our strategic priorities from the proposed corporate plan.)
- Publish an annual corporate business plan setting out at a high level some of the work we plan to do in the coming year to achieve our strategic aims / priorities. (This would incorporate the remainder of the content from the proposed corporate plan.)

- Annual directorate or department work plans setting out in more detail the breadth of planned activity including business as usual activities would continue to be produced.

### **Decision**

The Council is invited to:

- discuss the attached draft to inform a further version for consideration for approval at the March 2018 Council meeting; and
- agree in principle the future approach to strategic planning outlined on the previous page.

### **Background information**

- Approaches to strategic planning amongst other professional regulators vary, particularly as to the level of detail included in published plans. The drafting of the corporate plan and the proposed approach to the future planning cycle has been informed by looking at these approaches.

### **Resource implications**

- None as a direct result of this paper. However, the content of the corporate plan once implemented will impact upon allocation of resources.

### **Financial implications**

- None as a direct result of this paper. However, the content of the corporate plan once implemented will impact upon allocation of financial resources.

### **Appendices**

- A table summarising the changes made to the plan has been included.
- The strategic intent 2016-2020 has been included for reference.

### **Date of paper**

25 January 2018

## Summary of changes made to the draft

The table below explains the main changes made to the draft corporate plan since the workshop held in January 2018. A range of other minor editing amendments have also been made.

Area	Change(s)
<b>About the strategic priorities</b>	<ul style="list-style-type: none"> <li>The purpose of the 'key deliverables' is now explained.</li> </ul>
Strategic priority 1	<ul style="list-style-type: none"> <li>Reference to 'fitness to practise' has been removed in the wording of the objective. We have explained below that although fitness to practise performance is a specific priority, it is not our sole focus. The section title has been changed to 'performance'.</li> </ul>
Strategic priority 4	<ul style="list-style-type: none"> <li>This was previously priority 2 but has been moved to the end. (However, the order of the priorities is not intended to imply any hierarchy.)</li> <li>The text has been revised to be more explicit about a desire to move 'upstream' to achieve prevention.</li> </ul>
<b>Strategic priorities 2018-20</b>	
Strategic priority 1 (Performance)	<ul style="list-style-type: none"> <li>An additional outcome has been added about maintaining and improving performance across all our functions (see above).</li> <li>The last bullet point has been reworded to emphasise that engagement with the PSA and others is a whole organisation activity.</li> <li>The key deliverables (here and throughout) have been revised to provide a clearer link between the outcomes and how we will achieve them and the specific activities we plan to do in the next year.</li> </ul>

Strategic priority 3 (Effective and efficient organisation)	<ul style="list-style-type: none"> <li>• An additional outcome about our people feeling valued and supported has been added.</li> <li>• In the key deliverables, the agreement of KPIs has been changed to Q1</li> </ul>
Strategic priority 4	<ul style="list-style-type: none"> <li>• Further detail about exactly what we will deliver has been added.</li> </ul>

### Corporate plan 2018-2020

#### 1. Introduction

1.1 This is the Health and Care Professions Council's (HCPC) corporate plan for 1 April 2018 to 31 March 2020. Underpinned by the vision, values and strategic objectives set out in the strategic intent 2016 to 2020, it articulates our strategic priorities to deliver our public protection remit over the coming years.<sup>1</sup> This plan will be reviewed / updated as necessary each year and will inform the development and delivery of work plans across the organisation.

#### 2. About the strategic priorities

- 2.1 This plan identifies four strategic priorities, explained briefly below. We then describe for each priority the outcomes we wish to achieve and how we plan to achieve them.
- 2.2 We have also identified 'key deliverables' for the 2018-19 financial year. These are specific activities that we plan to carry out in the next year in order to achieve the outcomes we have identified. They are not intended to be exhaustive.

#### Performance

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

- 2.3 This priority is focused on securing the improvements required in our fitness to practise function to ensure that in the future we meet all of the Professional Standards Authority's (PSA's) Standards of Good Regulation on an ongoing and sustainable basis. In our 2016-17 performance review, we met 18 of 24 of the PSA's standards. We did not meet six standards for fitness to practise. The standards we did not meet raised a number of issues including our standard of acceptance policy and its application; the quality of our investigations; and the timely progression of cases. An improvement plan is already in place.
- 2.4 Although improving our performance in fitness to practise is a specific priority, it is not our sole focus. It is important that we continue to maintain and improve our performance across all of our functions.

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<sup>1</sup> Strategic intent 2016-2020  
<http://www.hcpc-uk.org/aboutus/aimsandvision/>

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### **Communications and engagement**

#### **Strategic priority 2: Ensure our communication and engagement activities are proactive, effective and informed by the views and expectations of our stakeholders**

- 2.5 This priority is about building on our existing activity to ensure that we communicate and engage with our stakeholders in the most effective way possible, making best use of our available resources. In particular, we want to be more proactive in influencing the regulatory policy agenda. We also want to build further our presence in the four UK countries, ensuring that we are informed about and can take account of differences in policy and practice. Regulators are often seen to be remote from the point of delivery of health and care, and we want to consider the most effective ways of bridging this gap through reviewing our approach to engagement with employers, service users and the public.

### **Effective and efficient organisation**

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

- 2.6 This priority is about ensuring that we are forward looking in managing the organisation in a way that ensures it can be agile in anticipating and adapting to changes including, for example, changes in registrant and fitness to practise case volumes and other legislation. This includes transforming our processes and systems to meet stakeholder expectations and to drive business efficiencies; and ensuring we have adequate financial and human resources to deliver our workload.
- 2.7 There will be significant changes in the external environment over the lifetime of this plan (and beyond) that we will need to be proactive in anticipating and managing. The creation of a new regulator of social workers in England in 2019 means that we need to ensure a smooth transition to the new regulator, whilst managing the impact on the organisation of this change. The consultation on regulatory reform may lead to primary and/or secondary legislation. We have already identified a discrete number of changes to our legislation we need to drive further improvement in our performance.

### **Data, intelligence and research**

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

- 2.8 There has been increased focus in recent years on the role that professional regulators might play in preventing fitness to practise concerns. This could include, for example, generating intelligence from fitness to practise cases and using this to make changes to standards or to engage better with stakeholders who might be able to tackle the issues identified. This priority is about helping us move 'upstream' by over time focusing more activity on preventing the need for fitness to practise action. It is about using the data

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and intelligence we collect in our activities and research evidence to drive improvement in our policies, standards and processes and our engagement with stakeholders.

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### Strategic priorities 2018-2020

#### Performance

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

##### What do we want to achieve

- We achieve measurable improvements in the length of time taken to conclude fitness to practise cases.
- Our stakeholders have increased confidence that we have the necessary processes in place to ensure the robustness, quality and fairness of our investigations and decision-making.
- We make demonstrable progress in addressing the concerns raised in the 2016-17 PSA performance review such that, in the short term, we can meet more of the Standards of Good Regulation and, in the medium term, we can demonstrate compliance with all of the standards on an ongoing basis.
- We maintain and improve our performance across all of our functions.

##### To achieve this we will:

- maintain a consistent focus on improving the quality and timeliness of our investigation and progression of fitness to practise cases;
- continue to drive improvements in the quality of our fitness to practise decision making, for example, through revised guidance and improved learning and development for employees and partners;
- ensure we have adequate financial and human resources to manage fitness to practise case volumes effectively;
- ensure that our quality assurance processes are effective in assuring the quality of our decisions by adopting a more thematic and risk-based approach to quality compliance audits;
- consider carefully the advice of the Tribunal Advisory Committee (TAC) to maximise the impact to improvement of the adjudication function; and
- strengthen our engagement with key stakeholders, including the Professional Standards Authority, across the organisation to ensure that they are well informed about our work and we can better understand and anticipate their expectations.

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**Key deliverables for 2018-19**

Area	Key deliverables	Completion by (quarter)
<p>Improve our fitness to practise performance to meet PSA standards</p>	<p>Deliver the programme of work outlined in the FTP Improvement plan including:</p> <p>Complete the review of case management competency and resource requirements</p> <p>Implementation of case progression strategy including a process for prioritising high risk cases</p> <p>Review of the Standard of Acceptance policy and associated guidance</p> <p>Revise the FTP quality assurance framework to align with the PSA standards of good regulation</p> <p>Meet with PSA on a quarterly basis to provide progress updates</p>	<p>Q1-4</p> <p>Q1</p> <p>Q1-4</p> <p>Q1 – Q2</p> <p>Q1</p> <p>Q1-4</p>

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### Communications and engagement

**Strategic priority 2: Ensure our communication and engagement activities are proactive, effective and informed by the views and expectations of our stakeholders**

#### What do we want to achieve

- Our stakeholders across the four countries of the UK have increased understanding of and confidence in our regulatory functions and public protection role.
- We have a positive reputation with our stakeholders as a forward looking, effective and agile multi-professional regulator.
- Our views on key topics are clear to our stakeholders and we are able to influence the regulatory policy agenda.
- We make effective use of the intelligence we receive to improve our work.

#### To achieve this we will:

- seek to better understand the preferences, needs and views of our stakeholders and use the insights gained to refine and develop communication and engagement strategies;
- build on our existing activities to strengthen our engagement with stakeholders in the four UK countries, ensuring that we are aware of and can take account of differences in policy and practice across the UK;
- ensure that our voice is heard in reforms of the regulatory sector by further building and harnessing our relationships with stakeholders including the four UK Governments and parliamentarians;
- take a proactive approach to communication and engagement to ensure that our stakeholders are aware of our views on key regulatory issues;
- explore how best to bridge the potential gap between national regulation and local delivery of health and social care by reviewing our approach to engagement with employers, service users and the public; and
- consider the skills, contacts and experiences we have across the organisation and how we might best utilise those in our communication and engagement activities.

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**Key deliverables for 2018-19**

<b>Area</b>	<b>Key deliverables</b>	<b>Completion by (quarter)</b>
Seek to better understand the preferences, needs and views of our stakeholders and use the insights gained	Commission research to better understand the views and expectations of our stakeholders and put in place an action plan as a result of the findings	Q1-3
Strengthen our engagement with stakeholders in the four countries of the UK	Develop a new stakeholder engagement plan to guide our engagement with stakeholders across the four countries	Q1
	Pilot holding an engagement forum for key stakeholders in one of the UK countries and evaluate its effectiveness	Q4
	Work in partnership with the Council of Deans of Health to advance the review of our approach to quality assurance of education and training programmes	Q2 (event) and ongoing

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### **Effective and efficient organisation**

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

##### **What do we want to achieve**

- The organisation is effective, efficient and financially sustainable and can demonstrate the impact it makes.
- The organisation is resilient and is able to adapt to changes in the external environment.
- Our people feel valued and supported to achieve high performance.
- We influence and secure the legislative changes we need to be an effective and efficient organisation on a sustainable basis.

##### **To achieve this we will:**

- keep our financial sustainability under review to ensure we have sufficient resources to effectively manage operational volumes and to meet the changing expectations of our stakeholders;
- continue to invest in our people, focusing on improving our recruitment and retention, building capability and ensuring that we have the right skills and competencies to drive our current and future performance;
- seek to secure the legislative changes we need to improve the effectiveness and efficiency of our regulatory functions;
- adopt a strategic approach to risk and performance management to ensure that oversight and scrutiny focuses on the right areas;
- continue to invest in processes and systems to improve the experience of our stakeholders and drive business efficiencies; and
- keep our governance arrangements under review to ensure that they continue to be fit for purpose.

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**Key deliverables for 2018-19**

<b>Area</b>	<b>Key deliverables</b>	<b>Completion by (quarter)</b>
Keep our financial sustainability under review	Review our cost base and ongoing financial sustainability, consulting if necessary on changes to registration fees	Q1 and ongoing
Adopt a strategic approach to risk and performance management	Develop and agree a strategic approach to risk management by identifying a set of strategic risks	Q1
	Further develop our approach to measuring and monitoring performance including:  Agree a set of Key Performance Indicators (KPI) and review them at least once a year	Q1 (and ongoing)
	Review and further refine the existing performance data set considered by the Council	Q2
Invest in processes and systems to improve stakeholder experience and drive business efficiencies	Build capacity required to accelerate business transformation	Q2

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### **Data, intelligence and research**

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

##### **What do we want to achieve**

- We are able to identify proactively issues and trends in our data which are relevant to public protection.
- Our stakeholders are better informed and have relevant information and intelligence to inform their own work.
- Evidence from research activities is used to drive improvement in our work.

##### **To achieve this we will:**

- continue to commission or carry out research (in collaboration, wherever appropriate) in areas relevant to our regulatory functions, ensuring that a clear action plan is in place and that we regularly evaluate impact;
- build internal capacity to identify, collect and analyse data and intelligence and deliver and manage research activity;
- continuously improve our existing approach to publishing and disseminating regular reports from our regulatory functions to ensure that stakeholders have relevant information and intelligence they need to inform their work;
- seek opportunities to make more of the data and intelligence we hold readily accessible, for example, by analysing our data in key areas and publishing and disseminating the findings; and
- continue to work with other professional regulators, regulators of health and care services and other organisations to share data and intelligence.

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**Key deliverables for 2018-19**

Area	Key deliverables	Completion by (quarter)
Ability to collect data	Develop a classification system for capturing the characteristics of fitness to practise cases	Q2
Research action planning	<p>Deliver a programme of work to deliver the outcomes of the University of Surrey research to include:</p> <p>Awareness raising campaign on when to self-refer and when to refer with a particular focus on registrants, employers and complainants</p> <p>Engagement with educators to develop teaching and learning materials for educators using the case studies developed in the research</p> <p>Commission a literature review on the characteristics of effective clinical / peer supervision in the workplace and use this to engage with stakeholders including employers on the role of supportive approaches in preventing problems from occurring</p>	Q1-4
Internal capacity to deliver research activity	<p>Deliver at least one in-house research project:</p> <p>working in partnership with a professional body or other stakeholder to look at the characteristics of fitness to practise cases in that profession; or</p>	Q4

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	if a partner cannot be identified, looking at cross-profession issue such as the characteristics of cases about internationally qualified registrants.	
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### Annex A: Strategic intent 2016-2020

The table below shows how the strategic priorities help deliver the strategic objectives set out in the Strategic intent 2016 to 2020.

Strategic objective	Strategic priority
1. Good governance: To maintain, review and develop good corporate governance	4
2. Efficient business processes: To maintain, review and develop efficient business processes throughout the organisation	1, 4
3. Effective communication: To increase understanding and awareness of regulation amongst all stakeholders	3
4. Evidence informed regulation: To ensure that the organisation's work is evidence informed	2
5. Influence the policy agenda: To be proactive in influencing the wider regulatory policy agenda	3, 4
6. Engagement in the four countries: To ensure that our approach to regulation takes account of differences between the four countries	3

## **Strategic intent – 2016-2020**

Effective from 1 January 2016.

## **1. Foreword**

- 1.1 This document is the Health and Care Professions Council's (HCPC's) strategic intent for the period 1 January 2016 to 31 December 2020. It was first published in 2002 and has been regularly updated.
- 1.2 The strategic objectives outlined in this document build on our previous achievements as an organisation and include developing internal processes; communicating and engaging with stakeholders about our work; and influencing and responding to external developments.

## 2. Introduction

### About this document

- 2.1 This document replaces the strategic intent published in April 2012 for the period 2012-2015.
- 2.2 This document will be kept under review and may be revised if there are significant changes to the internal and external environment.

### About us

- 2.3 We are a regulator and were set up to protect the public. To do this, we keep a register of professionals who meet our standards for their professional skills and behaviour. Individuals on our Register are called 'registrants'.
- 2.4 We currently regulate 16 professions.
  - Arts therapists
  - Biomedical scientists
  - Chiropodists / podiatrists
  - Clinical scientists
  - Dietitians
  - Hearing aid dispensers
  - Occupational therapists
  - Operating department practitioners
  - Orthoptists
  - Paramedics
  - Physiotherapists
  - Practitioner psychologists
  - Prosthetists / orthotists
  - Radiographers
  - Social workers in England
  - Speech and language therapists
- 2.5 To protect the public we:
  - set standards for entry to the Register and for continued registration;
  - approve education and training programmes that successfully deliver those standards;
  - maintain a register of individuals who successfully complete those programmes; and
  - take action if the standards may not have been met (for example, via our fitness to practise process).

### **3. External drivers**

- 3.1 The Command Paper 'Enabling Excellence – Autonomy and Accountability for Healthcare Workers, Social Workers and Social Care Workers' (2011) continues to be the most up-to-date statement of UK Government policy on professional regulation.<sup>1</sup>
- 3.2 We will need to anticipate and be responsive to any changes in Government policy. In particular, we still await decisions by the UK Government and Parliament about a possible Professional Accountability Bill which would reform the nine regulatory bodies' legislation.
- 3.3 The strategic objectives outlined in this document have been developed with reference to these external influences. However, this document will be kept under review and revised when there are significant changes to the internal or external environment.

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<sup>1</sup> Enabling excellence: Autonomy and accountability for healthcare workers, social workers and social care workers (2011).

[http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH\\_1243](http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_1243)  
[59](#)

## **4. Internal drivers**

- 4.1 The HCPC has a well-established culture of continuous quality improvement across all its departments. This culture acts as a catalyst for ongoing review of processes and implementing improvements. This aspect of the culture of the HCPC also guards against any sense of complacency and reflects the overall values of the organisation.

## **5. Vision and values**

Our vision

- 5.1 To be recognised nationally and internationally as a model of good practice in public protection through the regulation of health and care professionals.

Values

- 5.2 Our values are a set of guiding principles which reflect both the social context in which the organisation operates and its aim to deliver effective and efficient regulation.
- 5.3 Our values are:
- Transparency
  - Collaboration
  - Responsiveness
  - Value for money
  - High quality service

## 6. Strategic objectives

- 6.1 The diagram below illustrates how the strategic objectives are linked to the organisation's central commitment to public protection.



- 6.2 The HCPC's strategic objectives for 2016-2020 follow.
- 6.3 The bullet points beneath each objective indicate ways in which each objective might be achieved and the scope of each objective. They are not intended to be exhaustive and are for indicative purposes only. However, they do give some indication as to how these objectives will be embedded in work plans and progress reviewed by the Council and its Committees.

## **Objective 1: Good governance**

### **To maintain, review and develop good corporate governance**

- To ensure continued financial probity and sustainability.
- To ensure continued risk management.
- To maintain regular monitoring of performance against objectives.
- To invest in training of employees, partners and Council members to develop skills.
- To operate the annual performance review of Council members and the Chair.

## **Objective 2: Efficient business processes**

### **To maintain, review and develop efficient business processes throughout the organisation**

- To promote a culture of continuous quality improvement.
- To maintain, review and develop standards and processes as required across all functions.
- To ensure compliance with relevant external quality assurance frameworks.
- To maintain, review and develop organisation-wide policies including equality and diversity and corporate social responsibility policies.
- To build partnerships with suppliers to ensure value for money procurement.
- To increase the benefit from, and manage effectively the cost of, regulation.

### **Objective 3: Effective communication**

#### **To increase understanding and awareness of regulation amongst all stakeholders**

- To raise understanding of the HCPC's role across all key stakeholder groups.
- To extend engagement with the public through improved access to information about the HCPC.
- To ensure effective internal communications.
- To engage with registrants to increase understanding of the benefits of regulation, the work of the HCPC and what is required of them.
- To engage with employers, educators, government and other regulators.

### **Objective 4: Evidence informed regulation**

#### **To ensure that the organisation's work is evidence informed**

- To undertake research into the HCPC's regulatory role and functions.
- To ensure that HCPC and other research findings contribute to the HCPC's decision making.
- To ensure that research findings are disseminated, for example, through seminars to discuss findings with stakeholders.
- To promote the findings of HCPC research to contribute to the development of wider regulatory policy.

### **Objective 5: Influence the policy agenda**

#### **To be proactive in influencing the wider regulatory policy agenda**

- To promote the HCPC's views about the statutory regulation of further professions / occupations, where appropriate.
- To take account of, respond to, and influence, UK and international regulatory developments.
- To participate in and contribute to UK and international regulatory fora.

## **Objective 6: Engagement in the four countries**

**To ensure that our approach to regulation takes account of differences between the four countries**

- To build relationships and increase mutual understanding through meetings with stakeholders in England, Scotland, Wales and Northern Ireland.
- To monitor the need for changes to the HCPC's physical presence in Scotland, Wales and Northern Ireland with reference to changes in policy and context.

## **7. Measuring success**

- 7.1 The strategic priorities in this document will be delivered through the activities outlined in the work plans produced by each department or directorate.
- 7.2 These work plans are approved by the Chief Executive and Registrar and discussed by the Council. Progress against work plans is monitored as part of routine reporting to the Council by each directorate.