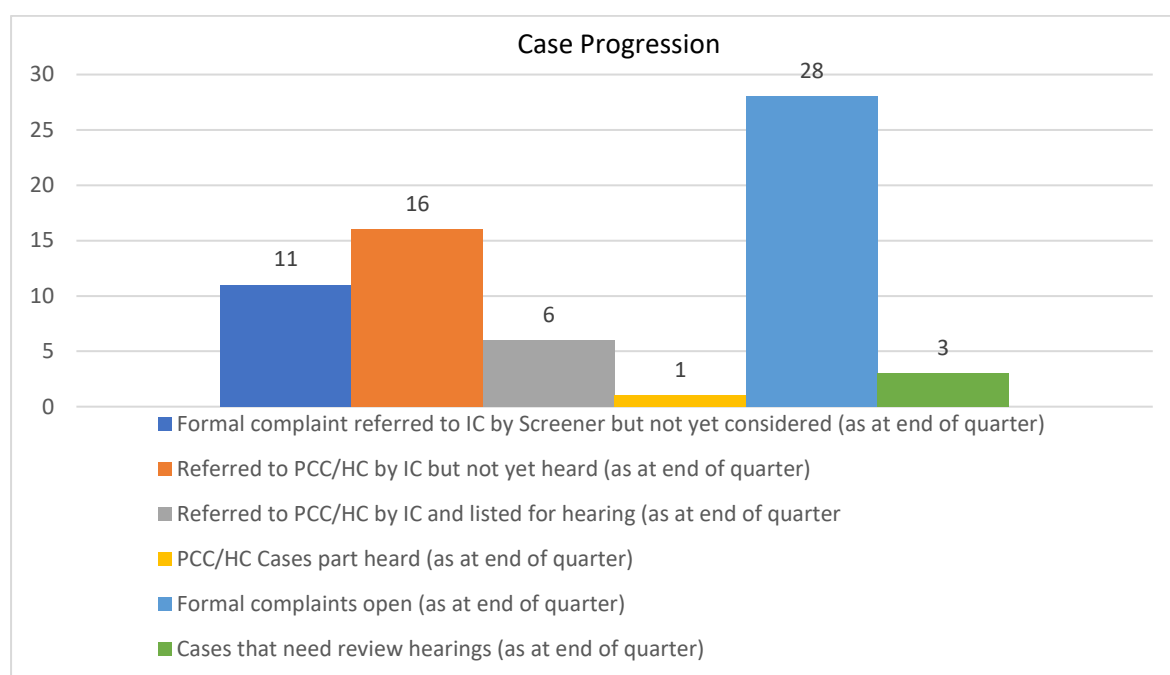


## Fitness to practise dashboard 01 January 2021 to 31 March 2021 (Q4)

### Case progression – at a glance

- All PCC cases that had not commenced were postponed between 26 March and 3 July 2020 due to the COVID-19 pandemic. Substantive hearings recommenced remotely in July 2020.
- The number of live cases older than 52 weeks has reduced to 10 cases.
- In this quarter the PCC sat remotely for 6 substantive hearings, reaching a final determination in all six cases.
- In this quarter the HC sat remotely to review no cases.
- There are now 16 cases referred to the PCC
- The IC also met remotely on two occasions in this quarter. It considered 8 cases of which two were closed and three referred to the PCC
- There are 11 cases that have been referred to the IC by the screeners but not yet considered. This is in line with the IC caseload for the previous quarter.
- The overall caseload has reduced by 17% since the last quarter.



Case Progression	Q1	Q2	Q3	Q4
Formal complaint referred to IC by Screener but not yet considered (as at end of quarter)	10	11	10	11
Referred to PCC/HC by IC but not yet heard (as at end of quarter)	25	19	11	16
Referred to PCC/HC by IC and listed for hearing (as at end of quarter)	8	8	8	6
PCC/HC Cases part heard (as at end of quarter)	1	3	2	1

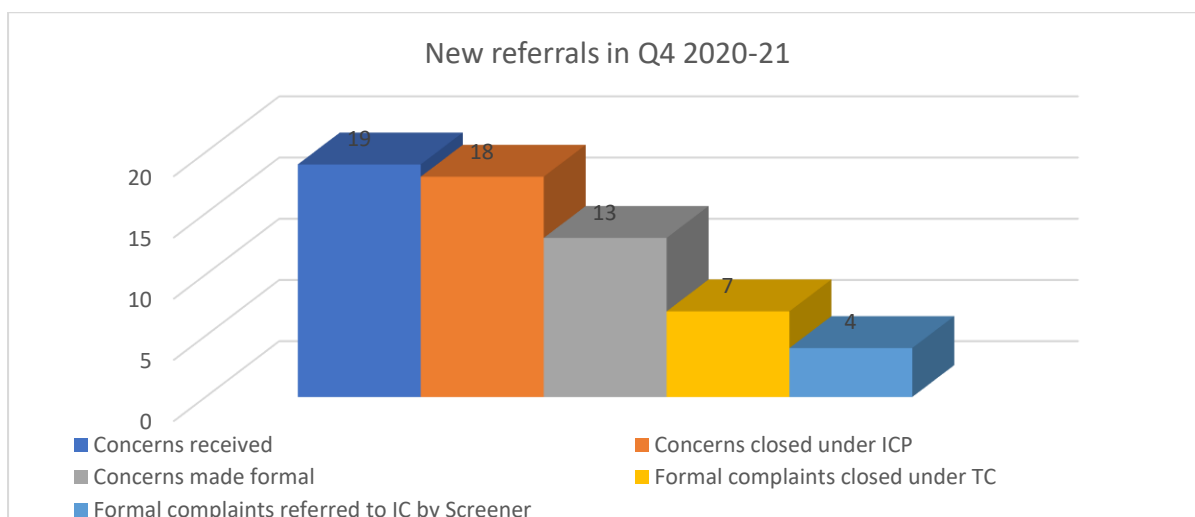
## Annex A to 9

Formal complaints open (as at end of quarter)	40	32	34	28
Cases that need review hearings (as at end of quarter)	5	5	3	3

Age of Caseload from Date Received	Q1	Q2	Q3	Q4
52 weeks – 103 weeks	8	11	11	10
104 weeks – 155 weeks	1	0	0	0
156 weeks and above	1	1	1	0

### New Referrals

- The number of referrals in Q4 has remained similar to the previous quarter. This figure, it is noted, is comparable to the referrals received in Q1, when the pandemic started.
- The number of cases closed under the ICP has more than doubled over the last quarter. Seven of these cases relate to the pandemic, specifically with regard to registrants offering their views on the pandemic and also via the use of social media. This is reflected in the referral figure between the screener to the IC.
- The figure for Registrar's allegations has increased over the quarter. These concerns relate to the use of social media by registrants in relation to the pandemic which have been closed under the threshold criteria.



New referrals	Q1	Q2	Q3	Q4
Concerns received	16	25	18	19
Concerns closed under ICP	11	11	7	18
Concerns made formal	15	9	9	13
Formal complaints closed under TC	4	2	7	7
Formal complaints referred to IC by Screener	10	11	6	4

## Annex A to 9

Source of formal complaints	Q1	Q2	Q3	Q4
Self-referral by the registrant	1	2	0	2
Registrar's allegation	3	0	2	5
Non-NHS employer	1	1	0	0
Patient or service user	6	4	6	6
NHS	0	0	0	0
Another registrant	3	2	0	0
Anonymous informant	0	0	0	0
Another regulatory body	0	0	0	0
Any other informant	1	0	1	0
<b>Total</b>	<b>15</b>	<b>9</b>	<b>9</b>	<b>13</b>

Allegations in formal complaints	Q1	Q2	Q3	Q4
Conduct	13	9	8	12
Conviction	1	0	1	1
Competency	0	1	0	0
Adjunctive therapies	0	0	0	0
Health	1	0	0	0
<b>Total</b>	<b>15</b>	<b>10*</b>	<b>9</b>	<b>13</b>

*\* 9 cases were made formal in Q2 2020-2021; however, one case raised both conduct and competency issues, hence 10 allegations in formal complaints in Q2.*

### Key Performance Indicators

- The screener KPI was met for this quarter, having reduced by two weeks from the previous quarter. Although met over the quarter, the KPI has not been met over the course of the year (10 weeks).
- The IC KPI was exceeded by one week over the quarter and was met (26 weeks) over the course of the year.
- The PCC KPI was missed by 14 weeks this quarter. This is due to the cumulative effects flowing from the postponement of all substantive PCC hearings in Q2 and has had an effect on scheduling since. This is likely to continue to affect our performance against the PCC KPI over the next few quarters as we continue to list cases affected but also those newer cases being progressed through the system, of which have been impacted by the complexities of progressing during a pandemic.
- It is noted that the shortest case concluded by the PCC this quarter was 54 weeks, just two weeks over the expected KPI.

## Annex A to 9

### *Performance at a glance*

Case stage	Key Performance Indicator	Performance Target	Q1	Q2	Q3	Q4
Screening	Median time from receipt of concern to the screener's decision	9 weeks	10 weeks	9 weeks	11 weeks	9 weeks
Investigating Committee	Median time from receipt of concern to final IC decision	26 weeks	21 weeks	28 weeks	35 weeks	25 weeks
Professional Conduct Committee	Median time from receipt of concern to final PCC decision	52 weeks	92 weeks	60 weeks	63 weeks	66 weeks

### *Performance in detail*

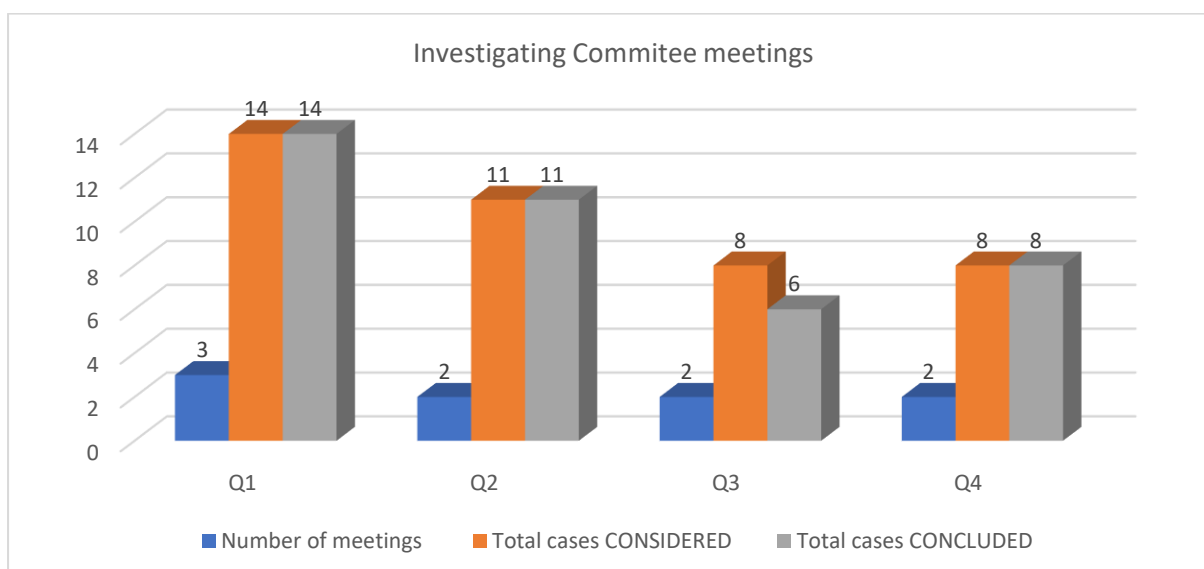
Time from receipt of complaint to the screener's decision (9 weeks)	Q1	Q2	Q3	Q4
Median	10 weeks	9 weeks	11 weeks	9 weeks
Longest case	20 weeks	58 weeks	34 weeks	68 weeks
Shortest case	3 weeks	2 weeks	2 weeks	0 weeks
Time from receipt of complaint to final IC decision (26 weeks)	Q1	Q2	Q3	Q4
Median	21 weeks	28 weeks	35 weeks	25 weeks
Longest case	63 weeks	69 weeks	54 weeks	33 weeks
Shortest case	8 weeks	9 weeks	17 weeks	15 weeks
Time from final IC decision to final PCC decision or other final disposal of the case (26 weeks)	Q1	Q2	Q3	Q4
Median	76 weeks	30 weeks	41 weeks	49 weeks
Longest case	91 weeks	54 weeks	97 weeks	136 weeks
Shortest case	64 weeks	24 weeks	31 weeks	31 weeks
Time from receipt of referral to final PCC decision or other final disposal of the case (52 weeks)	Q1	Q2	Q3	Q4

## Annex A to 9

Median	92 weeks	60 weeks	63 weeks	77 weeks
Longest case	113 weeks	110 weeks	107 weeks	196 weeks
Shortest case	75 weeks	49 weeks	50 weeks	54 weeks
Median time to interim order committee decision:	Q1	Q2	Q3	Q4
From receipt of referral	N/A	N/A	6 weeks	6 weeks
From decision that there is information indicating the need for an interim order	N/A	N/A	3 weeks	5 weeks

### Investigating Committee

- The IC considered and concluded eight cases this quarter. Three were referred to the PCC, three were closed and the remaining two were adjourned.

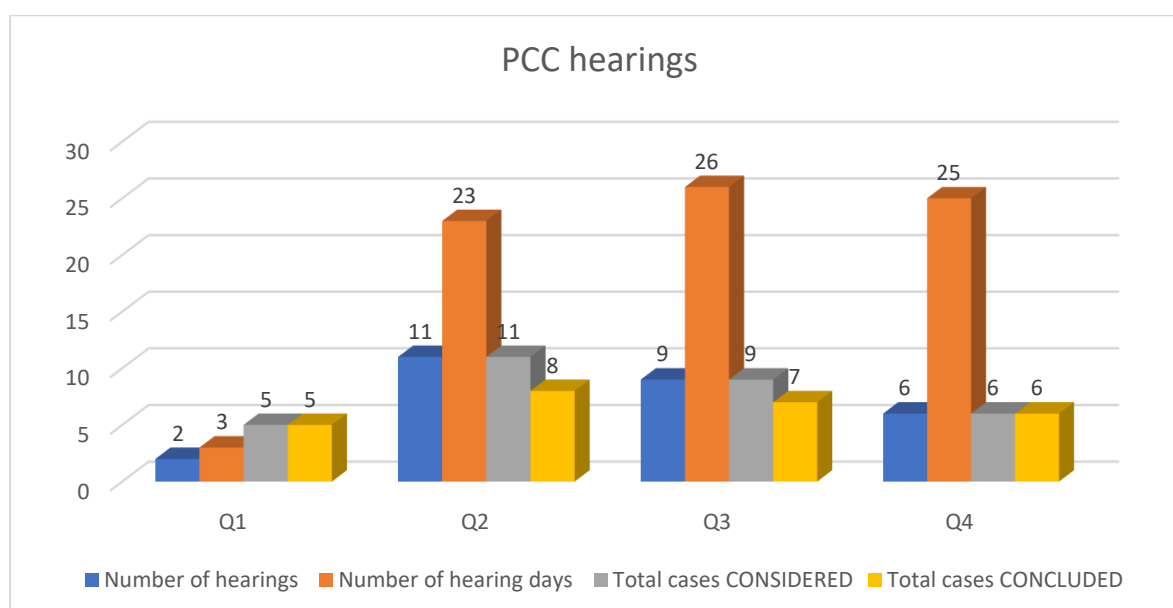


Investigating Committee Decisions	Q1	Q2	Q3	Q4
No Case to Answer	7	8	3	2
No Case to Answer with advice	0	1	0	0
Referred to PCC	7	2	3	6
Referred to HC	0	0	0	0
Referred to PCC and HC	0	0	0	0
Adjourned	0	0	2	0
Stayed	0	0	0	0

## Professional Conduct Committee

- In Q4 the PCC considered, and concluded, six substantive cases.
- We have found that hearings conducted remotely take additional time to complete due to factors such as the impact of technical or internet connection issues and the need for more frequent breaks for participants. Initially, without prior experience of running remote hearings, it was challenging to accurately estimate how much additional time would be necessary. This is something we are now better able to estimate.
- The number of hearing days has maintained at a healthy, and steady figure from Q2 and throughout the pandemic. This is due to our ability to hold remote hearings.

Professional Conduct Committee Hearings	Q1	Q2	Q3	Q4
Number of hearings	2	11	9	6
Number of hearing days	3	23	26	25
Total cases CONSIDERED	5	11	9	6
Total cases CONCLUDED	5	8	7	6



PCC Decisions	Q1	Q2	Q3	Q4
Allegation not 'well founded'	4	3	2	0
Admonished	0	1	3	3
Conditions of Practice	0	0	0	1
Suspension	0	1	0	3
Removal	0	0	1	0
Rule 19	0	0	0	0
Adjourned	0	3	0	0

## Annex A to 9

Conditions/Suspension to expire at end of order	1	1	0	0
Rule 8 Admonishment	0	2	0	0
Stayed	0	0	0	0

### Health Committee

- The Health Committee considered no cases this quarter.

### Interim Suspension Orders

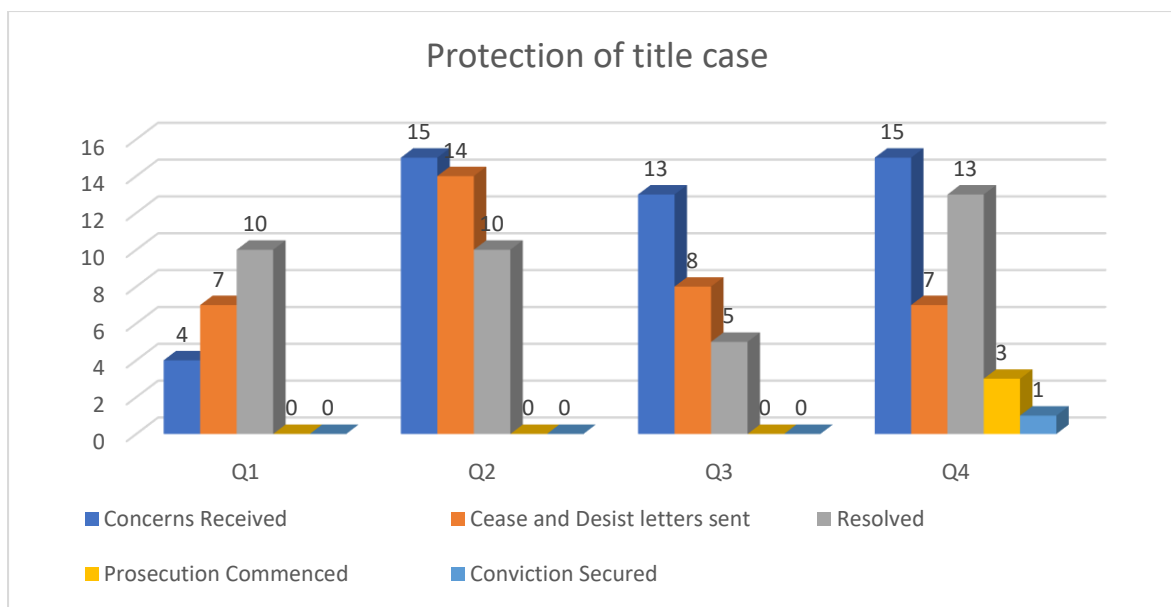
- The IC considered two interim order applications cases this quarter, of which one interim suspension was directed and undertakings accepted in another case.
- The PCC considered one interim order application and determined that an interim suspension order was necessary.

IC Interim Suspension Order Decisions	Q1	Q2	Q3	Q4
Applications made	0	0	3	2
Interim Suspension Order imposed	0	0	0	1
Undertaking	0	0	0	1
Median time to IC decision from receipt of referral	N/A	N/A	6 weeks	6 weeks
Median time to IC decision from decision that there is information indicating the need for interim order	N/A	N/A	3 weeks	5 weeks

PCC/HC Interim Suspension Order Decisions	Q1	Q2	Q3	Q4
Applications made	1	0	0	0
Interim Suspension Order imposed	1	0	0	0
Undertaking	0	0	0	0

### Protection of Title

- There were 26 active Section 32 investigations as at 1 April 2021.
- Three prosecutions commenced in this quarter and one conviction secured
- The Regulation Team received external training with regard to the progression of protection of title cases



Protection of Title	Q1	Q2	Q3	Q4
Concerns Received	4	15	13	15
Cease and Desist letters sent	7	14	8	7
Resolved	10	10	5	13
Prosecution Commenced	0	0	0	3
Conviction Secured	0	0	0	1

## Appeals

Total number of registrant appeals in the quarter which are:	Q1	Q2	Q3	Q4
Ongoing	0	0	2	1
Opened	0	2	0	0
Concluded	0	0	0	1
Outcomes of registrant appeals against final fitness to practise decisions:	Q1	Q2	Q3	Q4
Upheld and outcome substituted	0	0	1	0
Upheld and case remitted to regulator for re-hearing	0	0	0	0
Settled by consent	0	0	0	0



**Voluntary Removal**

- There were no applications for voluntary removal received in this quarter.

Number of voluntary erasure/removal applications: Subsequent to the FTP case being considered by an IC.	Q1	Q2	Q3	Q4
Received	0	0	0	0
Granted	0	0	0	0