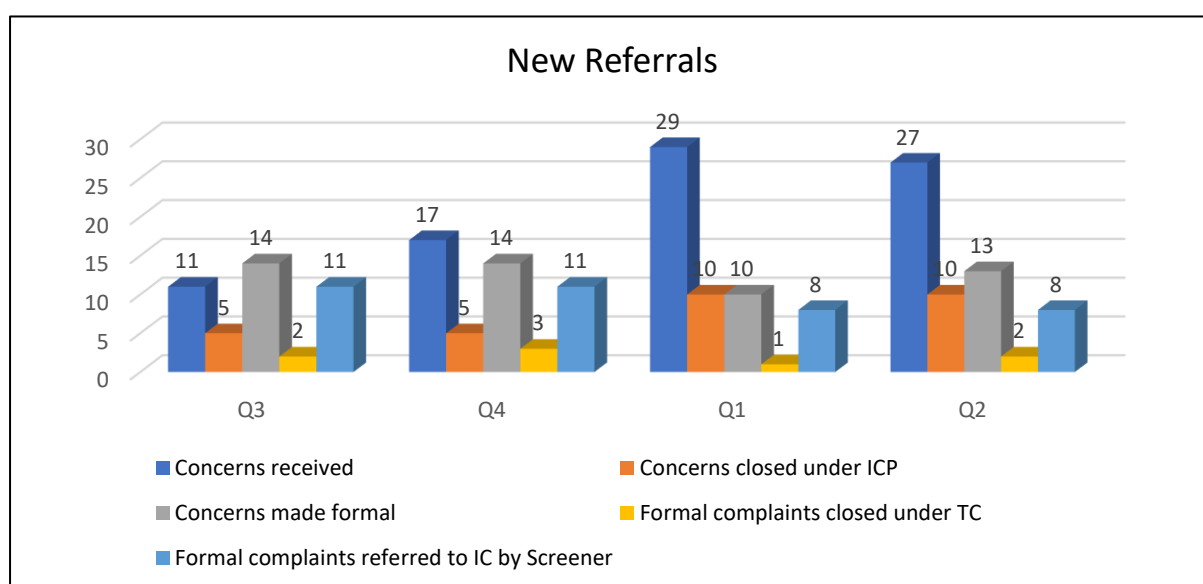


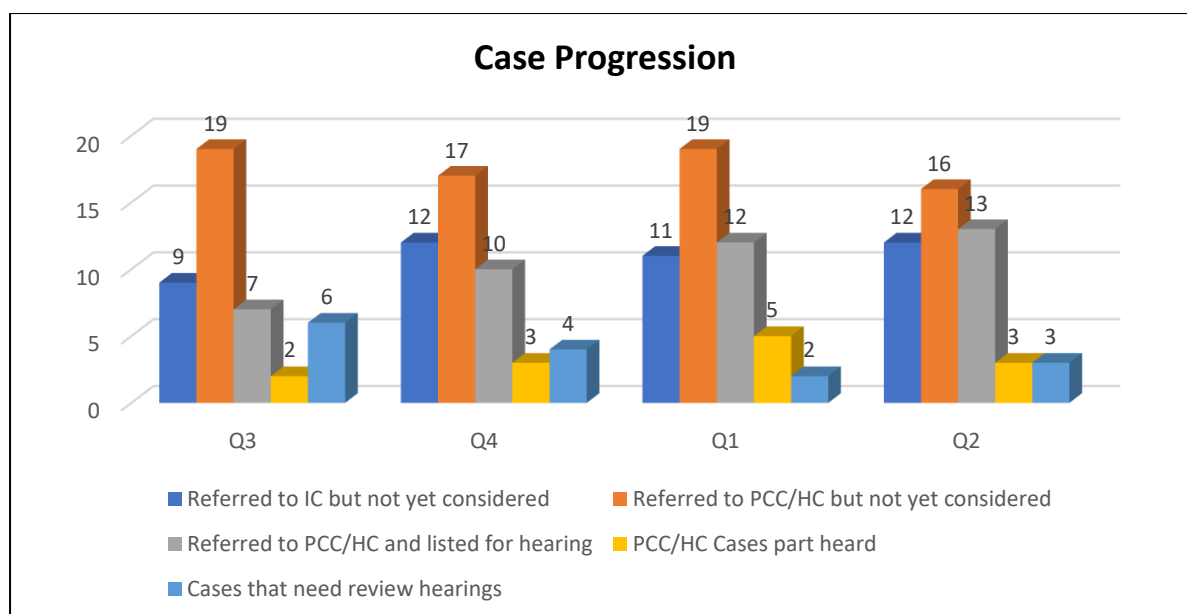
Proposed new fitness to practise dashboard 1 July to 30 September 2019

Case progression – at a glance

Case Stage	Q3	Q4	Q1	Q2
No. of concerns received	11	17	29	27
No. of concerns closed under ICP	5	5	10	10
No. of concerns made formal	14	14	10	13
No. of formal complaints closed by Screener under Threshold Criteria	2	3	1	2
No. of formal complaints referred to IC by Screener	11	11	8	8
No. of formal complaints referred to IC by Screener but not yet considered (as at end of quarter)	9	12	11	12
No. referred to PCC/HC by IC but not yet heard (as at end of quarter)	19	17	19	16
No. referred to PCC/HC by IC and listed for hearing (as at end of quarter)	7	10	12	13
No. of PCC/HC Cases part heard (as at end of quarter)	2	3	5	3
No. of formal complaints open (as at end of quarter)	38	38	39	37
No. of cases that need review hearings (as at end of quarter)	6	4	2	3

Age of Caseload from Date of Receipt	Q3	Q4	Q1	Q2
52 weeks – 103 weeks	7	7	11	6
104 weeks – 155 weeks	5	4	3	2
156 weeks and above	1	0	2	2





Source of formal complaints	Q3	Q4	Q1	Q2
Self-referral by the registrant	3	1	1	6
Registrar's allegation	5	1	1	0
Referral by non-NHS employer	0	0	2	0
Referral by patient or service user	2	8	3	5
Referral by NHS	0	0	0	0
Referral by another registrant	1	0	3	0
Anonymous informant	0	2	0	1
Referral by another regulatory body	0	0	0	0
Any other informant	3	2	0	1
Total	14	14	10	13

Allegations in formal complaints	Q3	Q4	Q1	Q2
Conduct	12	13	10	12
Conviction	2	0	0	0
Competency	0	0	0	0
Adjunctive therapies	0	0	0	0
Health	0	1	0	1
Total	14	14	10	0

Key points:

- The number of concerns received in Qs 1 and 2 have been significantly higher than usual in the previous two quarters (Q3 and 4). The increase in self-referrals has contributed to this in part (see below).
- The main sources of concern in Q2 were inappropriate and/or forceful treatment, sexually motivated conduct and failure to maintain professional indemnity insurance.
- We received more formal complaints in Q2 than we did in Q1 of 2019-20. The number of open formal cases has decreased slightly but is not out of the normal range. As a comparison, in Q2 2018-19 we received 11 formal complaints and had 39 open formal complaints at the end of the quarter.
- The number of self-referrals received from registrants has significantly increased this quarter. The declarations received from registrants this quarter relate to lapses in professional indemnity insurance, criminal charges and a police caution.
- Conduct continues to be the main type of allegation raised in formal complaints.
- Two of the three part-heard cases are listed to resume in Q3. Two of the cases referred to the IC by the Screener but not yet heard are outside target date. One is scheduled to be heard by the IC in Q3. The other is a health case for which a medical assessment is being arranged. Of the 16 cases referred to the PCC or HC but not yet heard, seven are outside target. Six are listed for hearings. The fourth was listed but the GOsC applied for a postponement to allow for the investigation of a second patient complaint.

Performance against proposed new performance targets – at a glance

Case stage	Proposed Key Performance Indicator	Proposed Performance Target	Q3	Q4	Q1	Q2
Screening	Median time from receipt of complaint to the screener's decision	9 weeks	7 weeks	18 weeks	8 weeks	10 weeks
Investigating Committee	Median time from receipt of complaint to final IC decision	26 weeks	20 weeks	20 weeks	35 weeks	24 weeks
Professional Conduct Committee	Median time from receipt of referral to final PCC/HC decision	52 weeks	35 weeks	75 weeks	74 weeks	65 weeks
Health Committee	Median time from receipt of referral to final PCC/HC decision	52 weeks	N/A	N/A	38 weeks	N/A

Performance against proposed new performance targets – in detail

Time from receipt of complaint to the screener's decision (9 weeks)	Q3	Q4	Q1	Q2
Median	7 weeks	18 weeks	8 weeks	10 weeks
Longest case	38 weeks	145 weeks	35 weeks	84 weeks
Shortest case	1 week	4 weeks	2 weeks	2 weeks
Time from receipt of complaint to final IC decision (26 weeks)	Q3	Q4	Q1	Q2
Median	20 weeks	20 weeks	35 weeks	24 weeks
Longest case	125 weeks	241 weeks	155 weeks	33 weeks
Shortest case	7 weeks	9 weeks	15 weeks	15 weeks
Time from final IC decision to final PCC decision or other final disposal of the case (26 weeks)	Q3	Q4	Q1	Q2
Median	22 weeks	30 weeks	38 weeks	46 weeks
Longest case	31 weeks	69 weeks	129 weeks	145 weeks
Shortest case	11 weeks	15 weeks	27 weeks	12 weeks
Time from receipt of referral to final PCC decision or other final disposal of the case (52 weeks)	Q3	Q4	Q1	Q2
Median	35 weeks	75 weeks	74 weeks	65 weeks
Longest case	75 weeks	146 weeks	143 weeks	128 weeks
Shortest case	26 weeks	22 weeks	52 weeks	27 weeks

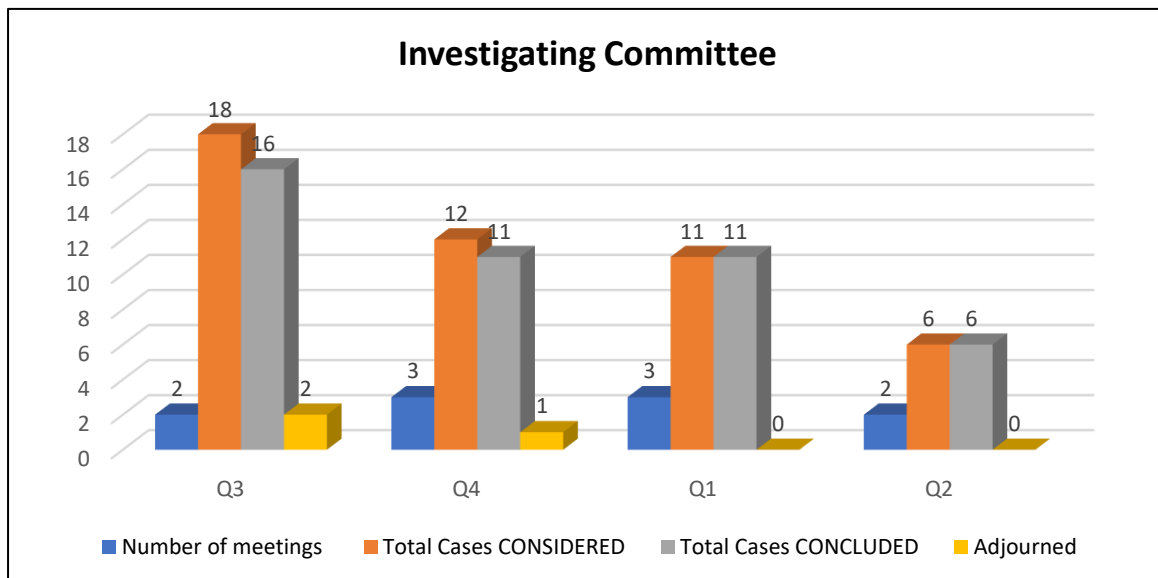
Key points:

- Each KPI is the length of time, measured in median weeks, from receipt of formal complaint to decision point (i.e. screener, IC or PCC/HC decision).
- The proposed new target for Screener decisions is 9 weeks. This target was missed by one week in Q2.
- The proposed new target for IC decisions is 26 weeks from date of receipt. This has been met in Q2.
- The median for the conclusion of PCC decisions was 65 weeks instead of 52. In one case, the matter was paused pending the outcome of an appeal hearing in connected third party proceedings. One case was originally listed within target but postponed on the registrant's application due to a serious health condition. A

third case was referred by the PCC to the HC due to health concerns which arose during a hearing. The PCC hearing was therefore adjourned pending the HC's decision. Two further cases concluding this quarter were cases which had been adjourned the previous quarter. The hearings for these cases had been listed to conclude to target in previous quarters, but in the event concluded outside of target due to the adjournments. Without the above circumstances the overall median performance would have been 61 weeks this quarter.

Investigating Committee

Investigating Committee Meetings	Q3	Q4	Q1	Q2
Number of meetings	2	3	3	2
Total cases CONSIDERED	18	12	11	6
Total cases CONCLUDED	16	11	11	6



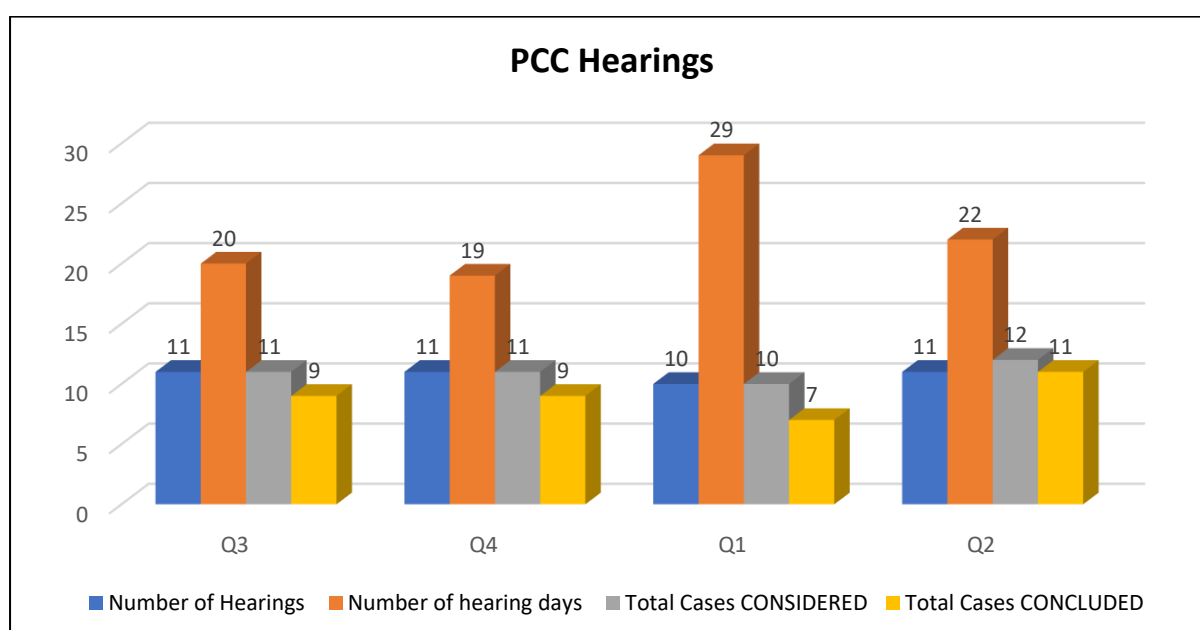
Investigating Committee Decisions	Q3	Q4	Q1	Q2
No Case to Answer	3	3	3	2
No Case to Answer with advice	1	0	0	0
Referred to PCC	12	7	8	4
Referred to HC	0	0	0	0
Referred to PCC and HC	0	0	0	0
Adjourned	2	1	0	0
Stayed	0	1	0	0

Key Points:

- The IC held two meetings in Q2 and considered six cases. The majority of cases considered by the IC were referred to the PCC. The IC did not adjourn any cases in Q2.

Professional Conduct Committee/Health Committee

Professional Conduct Committee Hearings	Q3	Q4	Q1	Q2
Number of hearings	11	11	10	11
Number of hearing days	20	19	29	22
Total cases CONSIDERED	11	11	10	12
Total cases CONCLUDED	9	9	7	11



PCC Decisions	Q3	Q4	Q1	Q2
Allegation not 'well founded'	1	3	1	6
Admonished	1	1	0	1
Conditions of Practice	0	0	0	1
Suspension	2	1	2	1
Removal	2	2	1	0
Rule 19	0	0	0	0

Adjourned	2	2	3	1
Conditions/Suspension to expire at end of order	0	2	2	1
Rule 8 Admonishment	3	0	0	0
Stayed	0	0	1	1

Health Committee Hearings	Q3	Q4	Q1	Q2
Number of hearings	0	0	1	0
Number of hearing days	0	0	1	0
Total cases CONSIDERED	0	0	1	0
Total cases CONCLUDED	0	0	1	0

HC Decisions	Q3	Q4	Q1	Q2
Allegation not 'well founded'	0	0	1	0
Conditions of Practice	0	0	0	0
Suspension	0	0	0	0
Adjourned	0	0	0	0
Conditions/Suspension to expire at end of order	0	0	0	0

Key points:

- In Q2 the PCC considered 12 cases, concluding 11 cases and adjourning one. In the adjourned case, the case was listed for one day but the Committee's deliberation as to the facts of the allegation took longer than had been anticipated (a number of previous cases involving similar circumstances all concluded within one day).
- The PCC stayed one allegation concerning a registrant who had been removed from the Register at the conclusion of another fitness to practise matter.

Interim Suspension Orders

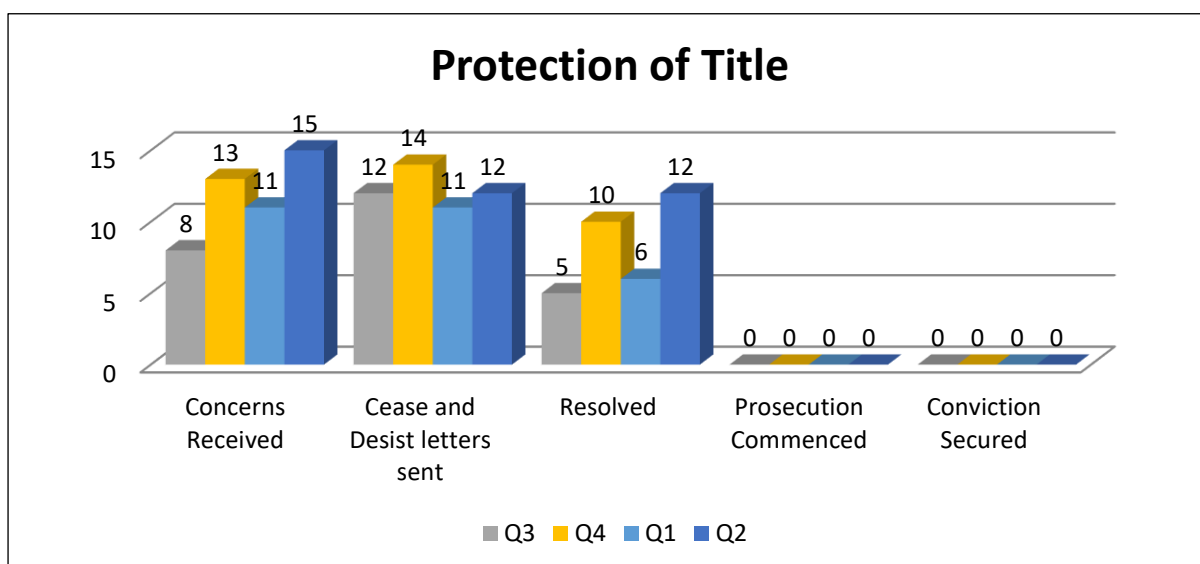
IC Interim Suspension Order Decisions	Q3	Q4	Q1	Q2
Applications made	1	0	1	0
Interim Suspension Order imposed	1	0	0	0
Undertaking	0	0	0	0
Median time to IC decision from receipt of referral	3 weeks	N/A	8 weeks	N/A
Median time to IC decision from decision that there is information indicating the need for interim order	1 week	N/A	5 weeks	N/A

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

HC Interim Suspension Order DECISIONS	Q3	Q4	Q1	Q2
Applications made	0	1	0	0
Interim Suspension Order Imposed	0	1	0	0
Undertaking	0	0	0	0

Protection of Title

Protection of Title	Q3	Q4	Q1	Q2
Concerns received	8	13	11	15
Cease and desist letters sent	12	14	11	12
Resolved	5	10	6	12
Prosecution commenced	0	0	0	0
Conviction secured	0	0	0	0



Key points:

- There are 30 active protection of title cases as at 30 September 2019.

Appeals

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

Voluntary Removal

Number of voluntary erasure/removal applications prior to FTP case being considered by an IC/CE	Q3	Q4	Q1	Q2
Received	0	1	0	0
Granted	0	1	0	0
Number of voluntary erasure/removal applications subsequent to the FTP case being considered by an IC/CE.	Q3	Q4	Q1	Q2
Received	1	0	0	0
Granted	1	0	0	0
Number of voluntary erasure/removal applications granted by decision maker:	Q3	Q4	Q1	
Registrar	1	1	0	0
Case Examiner/Investigating Committee	N/A	N/A	N/A	N/A
FTP Committee	N/A	N/A	N/A	N/A
Number of cases disposed of by consensual process (other than voluntary erasure/removal):	Q2	Q2	Q2	Q2
Consensual panel disposal agreement reviewed by an FTP committee	3	0	0	0
Other consensual disposal agreement	0	0	0	0
Number of cases disposed of by consensual process (including voluntary erasure/removal) by allegation type as set out in the Published Notice of Inquiry/Hearing	Q2	Q2	Q2	Q2

Misconduct/Unacceptable Professional Conduct	3	0	0	0
Performance/ Professional incompetence	0	0	0	0
Ill-health	0	0	0	0
Conviction/ criminal offence	0	0	0	0
Other	0	0	0	0
Combination of two or more of the above	0	0	0	0