

Council, 8 December 2016

Fitness to Practise Report

Executive summary and recommendations

### **Introduction**

This report provides the Council with an update into the work of the Fitness to Practise Directorate in October 2016 Areas from the report to highlight are as follows

- The total open pre-Investigating Committee Panel (ICP) caseload is lower than forecast (1173 versus 1188). This is due to a slightly lower than forecast number of new cases received (1364 versus 1371) and a higher than forecast number of pre-ICP closures (1040 versus 978) year to date.
- The number of open post-ICP cases is lower than forecast (503 versus 514) due to a higher number of listed and concluding final hearings.
- A higher number of cases closed pre-ICP (182 versus 120).
- Case to answer rate was 54% compared to approximately 70% across the last quarter and lower than the average for the year to date.
- Mean and median length of time to conclude a case from receipt to final hearing is 25 and 19 months. The overall time to closure is a mean and median of 9 and 6 months, which remains in line with predictions.
- Maternity cover arrangements are now in place for the Director of Fitness to Practise and Head(s) of FTP Operations (who is covering the Director's leave), Adjudication, Case Reception and Triage and Investigations.
- The other key areas of activity within the directorate are:
  - The implementation of the realignment. The new structure of the directorate will be in place on 1 December 2016;
  - The work to establish the Health and Care Professions Tribunal Service; and
  - the continued focus on activity to manage the length of time taken to conclude cases

### **Decision**

The Council is asked to discuss the Fitness to Practise Directorate report

### **Appendices**

Appendix 1 Fitness to Practise Directorate Narrative Report

Appendix 2 Fitness to Practise Directorate Management Information Pack

**Date of paper**

24 November 2016

## Fitness to Practise Directorate– Management Commentary

The following provides an update about the work of the Fitness to Practise directorate in October 2016.

### 1. Performance at a Glance

- The total open pre-ICP caseload is lower than forecast (1173 versus 1188). This is due to a slightly lower than forecast number of new cases received (1364 versus 1371) and a higher than forecast number of pre-ICP closures (1040 versus 978) year to date.
- The number of open post-ICP cases is lower than forecast (503 versus 514) due to a higher number of listed and concluding final hearings.
- A higher number of cases closed pre-ICP (182 versus 120).
- Case to answer rate was 54% compared to approximately 70% across the last quarter and lower than the average for the year to date.
- Mean and median length of time to conclude a case from receipt to final hearing is 25 and 19 months. The overall time to closure is a mean and median of 9 and 6 months, which remains in line with predictions.

### 2. New Cases

- In October, we received 180 new FTP cases against a forecast of 187. Year to date, in total, we have received 1364 against a forecast of 1371. The number of incoming FTP cases is therefore on forecast.
- At the end of October, there were 1150 open FTP cases which is 87 below the forecast of 1237. Notwithstanding this, Case Manager caseloads remain on average marginally above forecast. This is partly due to a number of vacant posts, which are being covered by temporary resources and partly due to a number of Case Managers having reduced caseloads due to being in their probationary period; working part time hours; or health reasons.
- In November we will start to establish the Case Reception and Triage team (CRT) and Investigations team (INV) as part of the FTP realignment. This involves splitting the Enquiry and Pre-ICP cases between the two teams. Throughout October, we were preparing for this transition including training the CRT Case Managers on logging cases; focusing on closing Enquiry cases; and primarily allocating new cases to the CRT Case Managers. We are also reviewing current caseloads.
- **ACTION:** We will review the impact of the second stage of the transition on the FTP cases received. In particular, we will monitor and review the length of time it takes to log and assess the cases and their throughput.

### 3. Enquiry and Pre ICP Cases

#### Open cases

- At the end of October, there were 1150 FTP cases and 23 Rule 12 cases open. These are lower than forecast which is in part due to receiving slightly lower than forecast new cases and also closing higher than forecast enquiry cases in the preceding months.
- The age of Pre ICP cases (including enquiry) in October remains stable a mean of 6 months and a median of 4 months.
- At the end of October, the age of open Pre-ICP (Standard of Acceptance met) cases has slightly increased with 56% of cases being less than 8 months old compared to 60% in September 2016. The mean and median of open Pre-ICP cases remains stable at 9 and 6 months.
- **ACTION:** To assist with the current workloads and to ensure case progression and that risk is assessed, in late October, we brought in overtime for our case management team. The work to be completed during overtime is monitored by the Case Team Managers and is focusing on specific actions, for example, risk assessments, case closures and drafting allegations.
- **ACTION:** In October 2016 we introduced revised Case Progression operating guidance. This involves all cases over the optimum length of time (6 months) without an ICP date being assigned a Red, Amber or Green action on CMS to allow for greater monitoring of the progression of the case. This will be phased in over the next couple of months starting with all cases over 12 months old. Case progression strategies, such as a more formalised escalation process, have also been introduced to support Case Managers in progressing their cases. We will monitor the impact of these initiatives on length of time.

#### Allegations

- Allegations were drafted and sent to registrants for their observations in 53 cases this month which was slightly below the forecast of 58, the proportion of cases was also slightly below the forecast of 23% at 21%. Year to date, we have sent observations in 5 cases fewer than the 6 month re-forecast. If this trend continues, it may affect the number of cases considered at ICP in future months. We have also taken into account the impact of the Christmas period on our operational activity.

- **ACTION:** This will be monitored in coming months for any impact on the number of cases considered at ICP and the number of cases referred for a hearing.
- **ACTION:** The focus of the INV team will be to progress cases either to closure or for allegations to be drafted for referral to ICP. We will review the impact of transition to INV on the number of allegations drafted in the coming months.
- **ACTION:** Training on allegation drafting is due to take place on 8 and 15 December 2016.

#### 4. Cases closed that do not meet the Standard of Acceptance

- In October, 182 cases were closed as they did not meet the Standard of Acceptance, this is significantly higher than the forecast of 120. This increase in activity is partly due to the overtime worked by Case Managers but also a focus on closing cases before the establishment of the CRT and INV teams. Year to date we have closed 1040 cases under the Standard of Acceptance, which is 63% of the total forecast.
- The mean and median age of cases closed year to date is 6 and 5 months. This is slightly higher to previous months, where the median has been 4 months.
- **ACTION:** The length of time to close cases under the Standard of Acceptance will be monitored.
- **ACTION:** One of the focuses of both the CRT and INV teams will be to close cases. We will review the impact of the transition to these teams on the length of time to close cases under the Standard of Acceptance.
- **ACTION:** We are considering the option of having an external review of some of our older Pre-ICP cases to assist with their closure or progression.

#### 5. Cases considered at Investigating Committee Panel

- The number of cases considered at ICP in October was on forecast, with 48 cases considered (forecast was 47). Year to date, 392 cases have been considered at ICP against a forecast of 700.
- The case to answer rate for October was 54%. This is lower than forecast (65%) and lower than the average of the previous 6 months (70%). There does not appear to be any identifiable reason for this decrease although the cancellation of two days of ICP's may be a contributory factor.

- The mean and median length of time of cases concluded at ICP from the date the case was received year to date remains stable at 10 and 8 months. The mean and median for 2015-16 was 11 and 9 months.
- **ACTION:** We will continue to monitor the case to answer rate, especially due to the exceptional drop in the trend of the year to date. There are 72 cases listed for an ICP in November, against a forecast of 62 and a further 48 in December. The case to answer rate may therefore increase towards the end of the year.

## 6. Interim Order Applications and Interim Order Review Hearings

- The number of IO applications is marginally above forecast (77 versus 73). The average number per month since May 2016 is 12, versus 7 per month since April 2015. This increase may be a result of our focus on increased risk assessment.
- The number of IO reviews is in line with the forecast (150 versus 154 planned).
- **ACTION:** We will continue to monitor the number of IO applications, along with the stage in the case lifetime that the risk was identified to see if any trends emerge.
- **ACTION:** We are reviewing the expiry date of all IOs, and using this to inform our scheduling and case progression priorities. As we do not want to unnecessarily review or extend IOs, we are focusing our (and our external lawyers) efforts on concluding these cases. Year to date, more than a third of the reviews have been for cases that have had their IO extended at the High Court.

## 7. Cases Awaiting final hearing

- Despite a number of part heard, adjourned or cancelled hearings due to panel availability, the number of open post ICP cases has fallen below the forecast levels. We are expecting the number to be below 500 in November, the lowest number since February 2016.
- The mean age of open cases in months has increased slightly, 20 in September and October compared to 19 in previous 5 months)
- **ACTION:** The monthly case progression meetings in CPC and the case tracker will allow cases to be monitored and delays managed quickly in coming months.

## 8. Cases listed for hearing

- The number of listed final hearings exceeded the forecast in October (48 versus a planned 43). Year to date, the number listed is also on forecast (314 versus 308 planned).
- The remainder of the year is also likely to be on forecast, with cases listed to start beyond June 2017.
- **ACTION:** We continue to manage closely the number of listed hearings, ensuring the maximum use of available venues.

## 9. Preliminary Hearing Issues

- The number of preliminary hearings is lower than forecast with 50 versus 59. We have had difficulties with panel member availability due to sickness, the volume of other final hearings fixed and also in panel member conflicts as the cases with preliminary hearings are generally those that are older or have had previous hearings which reduces available panel members.
- **ACTION:** We will continue to focus on scheduling preliminary hearings, and review those where amendments to allegations could be made at the start of a substantive hearing.

## 10. Final hearings

- The number of listed hearings that do not conclude as planned is higher than forecasted (76 events versus 65 forecast). This is due to a higher number of cancellations due to Panel Member unavailability. Reasons for this have been mostly out of HCPC's control, including illness and unforeseen changes in circumstances since the time of the listing.
- Despite this increase in hearings that do not conclude as planned, the number of open cases has still reduced, as the number listed was above forecast. We expect this trend to continue for the remainder of the year.
- **ACTION:** We are reviewing our pre-hearing checks, and have provided greater clarity to our external case presenters in relation to instructions for the hearing. We will continue to monitor this.

## 11. Review Hearings

- There were 10 reviews of substantive orders in October, and 117 cases year to date. Both of these figures are in line with the forecast. The number of open reviews is on forecast, with 213 open cases, against the 6 month reforecast of 214.

- **ACTION:** In the period up to the end of December 2016, a review of all open review cases is being undertaken. This includes the number of previous reviews, and the engagement of the Registrant. We will write to all Registrants as part of the scheduling for the next review, reminding them of the importance of engaging with the process, of securing representation (where appropriate), and explaining how materials they send to demonstrate compliance with conditions, or remediation of concerns are used by the reviewing panel.

## 12. Restoration Applications

- There were no restoration applications in October.
- Currently, there are five cases with a restoration application status. These are all now under the management of the CPC team, and are being reviewed as part of the realignment work.
- **ACTION:** Some of the cases have been in the restoration application status for some significant time (more than six months). As the onus is on the applicant to provide information for the Panel, we will be writing to all open restorations to remind applicants of the process and offer assistance where appropriate. Any cases where there is no response may be closed. If the applicant subsequently provides information, they can be reopened and listed for a hearing.

## 13.405 Usage

- Rooms at 405 continue to be used in line with the forecast, and is 89% for the year to date.
- We have reduced external hearing venue spending by using the ICP room on days when there are no ICP panels. Year to date, 45% of the total capacity of the room has been used, providing an additional 9 days of hearing capacity.
- **ACTION:** we will continue to maximise the use of rooms to conclude hearings.

## 14. Challenges to Fitness to Practise Decisions

- There have been no new appeals to the High Court made by registrants. We are seeking recovery of costs in three cases.
- There is one ongoing PSA appeal which we will be defending following consultation with Counsel. The hearing is listed for early February 2017. The



PSA appeal to the Court of Appeal in respect of the case of Benedict Doree is due to be heard on 27 January 2017.

- In relation to applications for Judicial Review, the court refused permission in one case with a full cost order being awarded in our favour. In another case the application was refused but the applicant has sought permission for an oral hearing which has been listed for December 2016. We have agreed to refer the matter back to the Investigating Committee Panel in another case.
- We have instructed BDB to prosecute a witness in a final hearing who failed to comply with a witness summons.
- We have intervened in an appeal before the Supreme Court concerning the GPhC.

#### **15. Overall length of time position**

- For cases which are closed pre-ICP, the mean and median length of time is 6 and 5 months respectively. This compares with 6 and 4 months in September.
- For cases which are closed at ICP following a No case to answer decision the mean and median length of time to reach this stage is 10 and 8 months. This is the same as the previous month.
- The mean and median age of those cases that have been referred for a final hearing is 20 and 17 months. This is the same as the previous month. The mean and median length of time cases have been in the post-ICP stage of the process since the ICP made a case to answer decision is 9 and 7 months. This is consistent with the previous four months.
- The concluded final hearing cases have a mean and median length of time to closure of 25 and 19 months from receipt.
- The combined mean and median length of time taken to close all cases, including those closed at the initial stages, is 9 and 6 months.

#### **16. Case Progression**

- An analysis of the open cases by stage of the process shows that:-
  - In the enquiry stage, 1.3% of open cases are older than 104 weeks from receipt of the initial complaint.
  - In the PreICP stage, 5.5% of cases are older than 104 weeks from the complaint.
  - In the PostICP stage, 30.2% of cases are older than 104 weeks from the receipt of the complaint.

Stage of process	Age from receipt				Total
	0 - 52 weeks	53 - 104 weeks	105 - 156 weeks	>156 weeks	
Enquiry	828	58	9	3	898
PrelCP	193	46	8	6	253
Rule 12	21	2	0	0	23
PostICP	38	216	115	37	406
	1080	322	132	46	1580

- Since the realignment of functions, the teams are continuing to focus on these groups of cases, using a range of monitoring and escalation tools. These include case progression meetings with Case Managers, service level meetings with external investigation suppliers, prioritisation of scheduled hearings based on risk rated criteria.
- Analysis of the reasons for delay show that older cases at the start of the process have delays caused by complainants not providing information when making their complaint to determine if the Standard of Acceptance is met, or the requirement to wait for external (employer or Police) investigations to conclude.
- Cases with delays at the hearings stage of the process are subject to non-engagement of witnesses or attaining relevant documents from employers, or in the availability of parties for hearings. Cases with adjournments or insufficient time to schedule also feature in this group.
- **ACTION:** we continue to monitor and prioritise these groups. We have worked with our external legal suppliers to escalate delayed cases, and are exploring further use of our powers to get witness engagement. We are looking at ways to get relevant documents to support or disprove allegations, and continue to prioritise hearings based on risk. We are continuing to develop our pre-hearing checks to reduce the numbers of adjourned or part heard cases.

## 17. Cases against optimum case length

- There has been slight increases in the length of time at the pre-ICP stage. This may be due to the number of Case Manager vacancies experienced by these teams in recent months meaning that Case Managers have slightly higher than forecast caseloads. We have reviewed our temporary resourcing and introduced overtime to assist with the progression of cases at this stage.
- Currently, very few post-ICP cases comply with the optimum case length. This is due to inherited time at the earliest stages, and whilst undergoing external investigation.

- Cases at Kingsley Napley are currently under the 90% returned service standard (currently at just under 80%). We have conducted an audit of the cases that have missed this standard, and identified the causes: these include cases that were incorrectly identified as non-complex/non-health cases, poor allegation drafting, and KN not requesting further instructions. Time delays relate to witness engagement or receiving documents relevant to the allegations.
- We are experiencing delays in scheduling cases, or where panels have to be relisted due to lack of panel members. We are recruiting additional panel members in the coming months.
- **ACTION:** We will repeat the audit, and use in conjunction with our monthly CPC case reviews to identify cases that need to be concluded and have an action plan. Each of the cases reviewed now has a projected plan for conclusion which will be monitored.
- **ACTION:** We will begin to monitor and report all cases against the optimum case length as soon as the realigned structure is fully in place at the end of this year.

#### 18. Forecast length of time position

- We continue to model the likely length of time for cases at the end of the year. The largest contributor to any change is the cases that are closed at a final hearing.
- A major determinant in the age of these cases is whether the case concludes as planned, or if it is adjourned or goes part heard.
- It is impossible to predict accurately which cases will not conclude as planned, as there are a range of legitimate and technical reasons that may not be prevented by our pre-hearing checks.
- The forecast modelling assumes two scenarios: one where the part heard or adjourned cases are the oldest, and one where they are the youngest. The likely end of year position is therefore in between these scenarios. The position may change, month on month as additional cases are listed in the remaining vacant hearing slots up to 31 March 2017.
- Based on this modelling, and the cases scheduled to conclude at final hearing are likely to be in line with those concluded in 2015-16, or 2 months younger depending on which ones adjourn. When combined with the forecast closures at the earliest stage, the age of cases concluded in 2016-17 is unlikely to be significantly different to those in the previous year.

## 19. Health and Character Declarations

- There were 64 new Health and Character declarations received in October, which is below a forecast of 88. However, year to date, the number of new declarations received is in line with forecast. The number of open cases remains stable at 41.
- The time taken to acknowledge Health and Character cases in October was well within our service standard of 5 working days, at 2 working days.
- **ACTION:** During November the responsibility for Health and Character declarations will transfer to the Case Officers in the Case Reception and Triage function. We will monitor the impact of this on the throughput of these cases.

## 20. Protection of Title Cases

- There were 13 new Protection of Title cases received in October, significantly below a forecast of 36. Year to date the number of new cases received is less than forecast.
- The number of open cases at the end of October was 36. This is a decrease from September where the number was 53 and the previous 3 months where the average open caseload was 74. This continued decrease is due to the concentration of the Case Officers on these cases and the changes we have recently made to our operating guidance which affects whether new cases are categorised as a Protection of Title case or a miscellaneous case.
- Another change made to the Protection of Title cases is that complainants receive a full acknowledgement letter setting out what action we can take and the next steps. Despite this change, the time taken to acknowledge protection of title cases in October was in line with the service standard of 5 working days.
- **ACTION:** We will monitor the the impact of the revised operational guidance on the number of cases categorised as Protection of Title and the length of time it takes to conclude cases.

## 21. Miscellaneous Cases

- There were 51 new miscellaneous cases received in October. This is lower than the 68 cases forecast. Year to date, the total received is slightly lower than forecast, with 551 cases planned for, and 533 cases received.
- At the end of October, there were 56 open miscellaneous cases (9 of which are with Case Managers in the Complex Case team). This is lower than the

forecast of 68 cases. This is likely to be the case due to the concentration of the Case Officers on these cases. However, there may be some fluctuation in the number of this type of case in upcoming months due to the changes we have recently made to our operating guidance which affects whether new cases are categorised as a Protection of Title case or a miscellaneous case.

- The time taken to acknowledge miscellaneous cases in October was slightly over our service standard of 5 working days, at 6 working days.
- **ACTION:** We will monitor the the impact of the revised operational guidance on the number of cases categorised as miscellaneous and the length of time it takes to conclude cases.
- **ACTION:** We monitor the time taken to acknowledge miscellaneous cases and will aim to drive this down to be within the service standard.

## **Resourcing**

### **CRT**

- There is one Case Manager vacancy which we will start recruitment for in January 2017. The post will be covered by temporary resources in the meantime.
- There is one Team Administrator vacancy for which interviews are being held in November.
- There is one Case Officer vacancy for which we are delaying recruitment to assess resourcing needs within the team.
- Laura Coffey (Operational Manager INV) has been appointed to cover the maternity leave of Sarita Wilson, Head of Case Reception and Triage

### **INV**

- Two new permanent Case Managers started on 31 October and are in their induction period. Two more new permanent Case Managers are due to start during November. These posts and induction periods are being covered by temporary resources in the meantime.
- There is one other Case Manager vacancy (12 month fixed term contract) which we will start recruitment for in January 2017. The post will be covered by temporary resources in the meantime.
- The vacancies and use of temporary resources in CRT and INV means that caseloads are slightly above forecast.
- Alan Shilabeer (Operational Manager INV) has been appointed to cover the maternity leave of Eve Seall, Head of Investigations.

### **CPC**

- This team is fully resourced and overall, caseloads are within forecast numbers. Nafeesah Aumeerally has now gone on maternity leave and her cases have been transferred to others in the team.

## **22. Resourcing – Adjudication**

- There is a vacancy relating to a scheduling officer post, who has moved to a Case Manager position. This post will be filled following a recruitment process.

- The increase in the number of hearings has resulted in greater TOIL accruals for Hearings Officers. We are monitoring the impact on service, and requiring Hearing Officers to reduce the levels. We are exploring payment for some time on the understanding that levels will be reduced in the next few months.
- Zoe Maguire, Head of Adjudications has now started her maternity leave. Her post is being covered by Brian James, Head of Case Preparation and Conclusion.

### **23. FTP Operations Resourcing**

- John Tallis has taken up his post of Assurance and Development Officer.
- Kellie Green, who is currently at the General Pharmaceutical Council, has been appointed Head of FTP Operations. This post forms part of the Director of FTP maternity cover arrangements. Kellie is due to take up her post in January 2017.

### **24. Complaints**

- In October, 17 new complaints were received, and 17 responded to. Progress has been made to reduce the number of open cases, with 3 cases open at the end of October compared to 8 in September. The mean and median response time for those concluded in October is 14 and 12 days. This is within our 15 day response service standard and consistent with previous months.
- There are no significant changes in the volumes or issues related to complaints, and no additional actions are required this month, outside of ongoing monitoring of trends.

### **25. Financial overview**

- Please refer to separate papers from the Finance directorate concerning the budget and six month reforecast.

### **26. Supplier and Systems Management**

- Monthly service level agreement meetings continue to be held with our external legal services provider. There are currently no service failures against the contract. The provider are recruiting and training sufficient team members to keep pace with the activity
- We have raised a contractual issue with one of the transcribing service providers, having identified that they are submitting invoices late. There have

been no other operational service failures, and the turnaround for production of transcripts is within expected levels described in the contracts.

## **27. Assurance, Development and Compliance**

### **a. PSA learning points**

We received learning points in relation to two cases in October. Responses have been sent.

### **b. Overdue actions**

The number of overdue actions were high throughout October. This is the continuing affect of the redirection of priorities following the transfer of cases as part of the realignment. We have reviewed our temporary resources and introduced overtime to assist with this.

### **c. Accuracy of the Register**

No issues concerning the accuracy of the register were identified by the status audit checks in October.

### **d. Data Security and Data Incidences**

In October there were a total of five data incidents reported to the Information Governance Manager. Three of the notifications were identified by Case Managers. One was reported by our external legal services provider and one by a Partner. Three of the incidents concerned the redaction of registrant or service user details.

### **e. Audit activity**

Audit activity has been completed in line with the Quality Assurance Framework. Following on from the risk assessment audit that was carried out in April 2016, a further targeted audit of risk assessments on cases within case management has been undertaken. This reflects the ongoing focus on ensuring timely, high quality risk assessments are completed. The audit noted a reduction in the proportion of cases where there was an absence of a risk assessment compared to the last audit in May 2016. There also continues to be an improvement in the timeliness of completing the risk assessment. The full findings of the audit are due to be shared and considered internally in November.

## **28. Employee Training**

- The customer service excellence workshops have concluded. We are currently evaluating the feedback however the initial feedback has been very



positive. Two profession specific workshops focussing on Occupational Therapists were held.

- Planned future learning and development activities include: the final physiotherapist profession specific workshop; fast and effective reading; risk assessment and Interim Order workshop and allegation training.

### **29. Partners**

- Partner training was delivered according to timetable, with the latest refresher training delivered on 4 November.
- The Adjudication team are meeting with Partners' team to discuss the recruitment of lay and chair members, which is due to start recruiting in the new year. It may be possible to bring this recruitment forward, in addition to the relevant induction training, in order to support greater scheduling of hearings in early 2017.

### **30. Policy Development**

- We are undertaking a review of FTP policy documents in the context of the project to establish the Health and Care Professions Tribunal Service (HCPTS). The outcome of this work is due to be presented to Council in December.

### **31. Practice Note Development**

- Practice Notes covering discontinuance, voluntary removal and disposal by consent have been reviewed. These Practice Notes are due to be considered by Council in December. Supporting operational guidance has also been reviewed in light of these changes.
- In anticipation of the changes required for the move to the HCPTS the suite of Practice Notes is being reviewed ahead of the transfer of responsibility for Practice Notes to the Tribunal Advisory Committee. The outcome of this review will be presented to Council in March.

### **32. Fitness to Practise Operating Guidance Development**

- In October, new operating guidance on 'Case progression' and 'Case logging and transfer' was issued. These guidance documents have been developed to assist Case Managers and Case Team Managers with their responsibilities under the realignment and to ensure that case are progressed in a timely manner.

### **33. Project and Workplan activity**

#### **Health and Care Professions Tribunal Service**

- The project is progressing according to the project plan. The recruitment for the Tribunal Advisory Committee members is progressing, with shortlisting taking place in November. A review of all Practice Notes and Policies is taking place, and will be presented to Council in early 2017. Progress with a redesigned website for the Tribunal Service has started, and will continue through to March 2017. A review of all existing standard templates and letters has commenced, and a presentation by the Adjudication Managers to introduce the Tribunal Service and its branding was given at the All Employee Meetings in early November.

## **Fitness to Practise**

## **Management Information Pack**

Kelly Holder, Director of Fitness to Practise  
2016/17

01 November 2016

<b>Contents</b>	<b>Page</b>
<b>Glossary</b>	22-26
<b>Fitness to Practise Information</b>	
Fitness to Practise Overview	27
Pre Investigating Committee Panel case information	28
<b>Length of Time Analysis</b>	
Length of time: Age of Open pre Investigating Committee Panel (ICP) cases including Enquiries since receipt	29
Length of time: Age of Open Pre Investigating Committee Panel cases since receipt	30
Length of time: Receipt to Closure at Standards of Acceptance	31
Length of time: Standards of Acceptance to Conclusion at Investigating Committee Panel	32
Length of time: Age of Open Post Investigating Committee Panel cases since receipt	33
Length of time: Age of Open Post Investigating Committee Panel cases since referral from Investigating Committee	34
Length of Time: Receipt - Conclusion at Final Hearing	35
Length of Time: Investigating Committee Panel Decision - Conclusion at Final Hearing	36
Length of time to close cases (combined)	37
<b>Other Case Management Information</b>	
Cases at judicial review or high court/court of sheriff stage	38
Interim Orders	39
Health and Character Declarations	40
Protection of Title	41
Miscellaneous (MIS) cases	42
<b>Adjudication Information</b>	
Scheduling Forecast and Management Information Summary	43
Scheduling Activity Overview - Cases scheduled this month for future months	44
Hearings Management Information Summary	45
Hearing Days and Witnesses	46
405 Kennington Road Capacity	47
Panel Hearings Decisions (Preliminary and Final Hearings)	48

<b>Glossary</b>	<b>Headline description</b>	<b>Further information</b>
<b>Adjournments</b>	An adjournment can be either a temporary pause in a hearing or a complete re-scheduling of that hearing.	The decision to adjourn is a decision for the Panel or the Panel Chair, taken at any time after the 14 day limit for postponements has passed or once proceedings have begun or are part heard. An adjournment request may be made by any party involved in Fitness to Practise proceedings.
<b>ADM (Adjudication Manager)</b>	The Adjudication Manager is the member of staff responsible for overseeing the work of the Hearings and Scheduling teams.	
<b>Admission</b>	Admission is the process through which an HCPC-registrant is added to the HCPC's professional register for the first time.	
<b>Allegations</b>	These are drafted by the Case Manager before the case is considered by an Investigating Committee Panel. The Investigating Committee Panel can amend these allegations if they wish based on their review of the information before them.	The allegations are what the Registrant is asked to comment on in their observations. The allegations are also used by the external investigators to investigate and present the case in a public hearing.
<b>Allegations made: Investigating Panel (chart)</b>	This chart shows the number and age of cases from the time the case met the Standard of Acceptance until the Final Hearing decision. Only cases that have concluded at a Final Hearing are included.	
<b>Cancellations</b>	A hearing or meeting does not proceed due to being administratively cancelled	
<b>Case Preparation and Conclusion</b>	Case Preparation and Conclusion is the section of the HCPC's Fitness to Practise Department which manages cases that have been considered by an Investigating Committee Panel and where a Case to Answer decision has been reached. The Case Preparation and Conclusion section also manages cases which have been considered at a Final Hearing and that are in the review cycle (see below).	
<b>Case Reception and Triage</b>	Case Reception and Triage is the section of the HCPC's Fitness to Practise Department which investigates reception and triage cases (see below).	
<b>Case to answer rate</b>	The rate of cases that an Investigating Committee Panel find that meet the realistic prospect test.	The Case to Answer rate is the total number of cases referred for external investigation divided by the total number of cases concluded at the Investigating Committee Panel stage. It does not include cases that require further information gathering by the Case Manager.
<b>Closed Pre-ICP</b>	A case that does not meet the Standard of Acceptance can be closed without sending it to an Investigating Committee Panel.	Cases that are closed pre-Investigating Committee Panel are those where requests have been made for information to meet the allegation, but have not been provided, or where the case does not relate to HCPC fitness to practise standards.
<b>Complaints</b>	Complaints about FTP decisions, processes or service are logged centrally and reviewed by the Executive Management Team. In FTP, a central logging and response process exists to ensure the 15 working day service standard is met and issues with complaints are escalated appropriately.	Issues from review of complaints are reviewed and fed into the training, guidance or improvement work streams in FTP
<b>Complex Cases</b>	Complex cases are cases that are investigated by the Complex Case Team. These cases tend to be either high profile or they involve a more complex factual matrix.	
<b>CCC (Conduct and Competence Committee)</b>	CCC is the acronym used for Conduct and Competence Committee.	
<b>CO (Case Officer)</b>	Case Officers are administrative members of staff employed by the Fitness to Practise Department who manage miscellaneous cases and undertake a variety of other duties.	

<b>Consent</b>	The HCPC's consent process is a means by which the HCPC and an HCPC Registrant who is the subject of an allegation made by the HCPC can seek to conclude a case without the need for a contested hearing by putting before a Panel an Order of the kind which the Panel would have been likely to make in any event. Consent to sanction (Caution Order, Conditions of Practice, or Suspension Order) in which a Registrant agrees to be made subject to a sanction, and voluntary removal, in which a Registrant agrees to erasure from the HCPC's professional register are examples of the consent process.	
<b>CM (Case Manager)</b>	Case Managers are members of staff employed by the Fitness to Practise Department to investigate fitness to practise concerns raised in relation to registrants of the HCPC. Case Managers will work within Case Reception and Triage, Investigations, and Case Preparation and Conclusion.	
<b>CSO (Case Support Officer)</b>	Case Support Officers are administrative members of staff employed by the Fitness to Practise Department who assist Case Managers with a variety of administrative tasks.	
<b>Enquiry cases</b>	These cases are identifiable to an HCPC Registrant but do not currently meet the HCPC's Standard of Acceptance.	Cases are anticipated to meet the Standard of Acceptance within 4 months of receipt of the original complaint.
<b>External Legal Provider</b>	The HCPC currently instructs two principle law firms to provide its legal services, Bircham Dyson Bell and Kingsley Napley.	
<b>Final Hearing</b>	This is a hearing heard by an HCPC Practice Committee at which a determination is made as to whether an HCPC registrant's current fitness to practise is impaired and, if so, what sanction, if any, is necessary for the protection of the public.	
<b>Forecast</b>	This is the number of cases that are expected and budgeted for in the annual budget planning process.	There is a re-forecast at 3, 6, and 9 months, of the budget year to ensure any changes in activity are resourced or re-planned.
<b>Full year effect (FYE)</b>	This is the summary of activity in any completed year, described from 1 April to 31 March	
<b>Further Information at ICP</b>	These cases have been considered by the Investigating Committee Panel, but are considered to have insufficient detail to make a Case to Answer decision.	The Case Manager requests further information and the case is returned to a future Investigating Committee Panel.
<b>GSCC transfer cases</b>	These cases were transferred on 1 August 2012 on the closure of the General Social Care Council	These cases are analysed and presented separately in the management commentary from those relating to social workers in England which were received after 1 August 2012 directly by HCPC
<b>HC (Health Committee)</b>	HC is the acronym used for Health Committee.	
<b>Health and Character Declarations</b>	If a Registrant declares an issue with their physical or mental health, or a caution or conviction, FTP can investigate and constitute a meeting to decide if the issue is compatible with being on HCPC register.	HCPC team members have administrative rights to close cases in line with the policy. Those cases that require review by a Panel go to the Investigating Committee.
<b>High Court activity</b>	Professional Standards Authority have the power to appeal a decision made by an HCPC panel. Registrants also have the right to appeal a Panel decision or to request a judicial review of our processes or decisions.	These cases are presented by external lawyers at the High Court. HCPC can re-hear cases under certain circumstances.
<b>HO (Hearings Officer)</b>	Hearings Officers are hearings clerks who facilitate the smooth operation of hearings, monitor the conduct of hearings, and undertake a variety of administrative duties on behalf of the Adjudications Department.	
<b>ICP</b>	The Investigating Committee is one of the committees that consider cases. The Investigating Committee Panel decide if the realistic prospect test is met on the information in front of it, and refers cases for further (external) investigation.	The Investigating Committee Panel is not a public hearing and it uses the information contained in the papers prepared by the Case Manager to reach its decision.

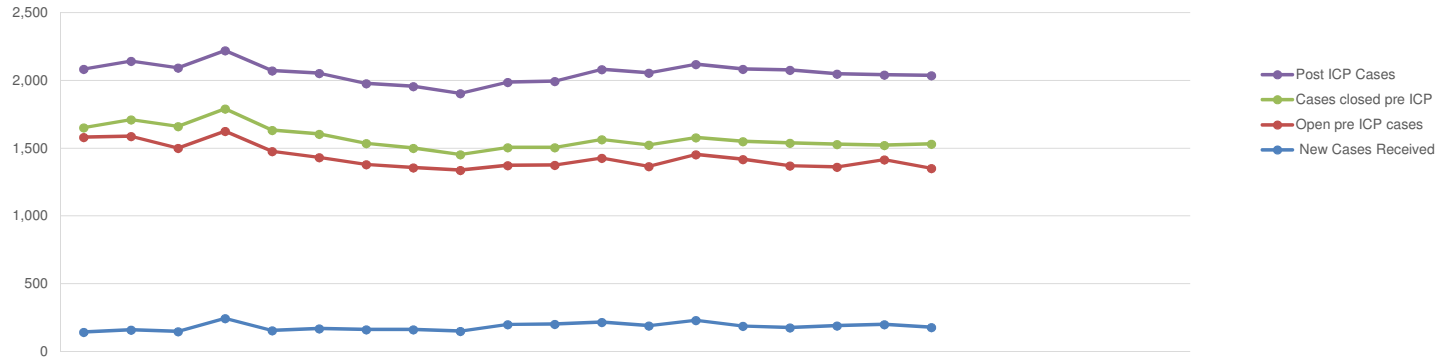
<b>Interim Order Application hearing</b>	An Interim Order Application hearing is a hearing at which the HCPC makes an application to an HCPC Practice Committee to impose an Interim Order (see below) on an HCPC Registrant on any relevant combination of the grounds that it would protect the public, otherwise be in the public interest, or be in the Registrant's own interest.	
<b>Interim Order Review hearing</b>	An Interim Order Review hearing is a hearing at which an Interim Order (see above) is reviewed by an HCPC Practice Committee. The first review takes place 6 months after the Order's imposition. Subsequent reviews then take place every 3 months until the expiry or revocation of the Order. Interim Orders are typically imposed for a duration of 18 months but can be imposed for shorter durations. If an Interim Order is due to expire, the HCPC can apply to the High Court for that Order to be extended.	
<b>Interim Orders</b>	Interim Orders can be applied for when there is considered to be significant risk to the public or the registrant from their alleged impairment of fitness to practise. An Order can be applied for at any stage.	
<b>Internal measuring tools</b>	A range of time based measures for cases at each of the stages in the process are used to ensure that cases are progressing as expected, or that complex cases have the appropriate escalation actions.	Our case management system generates weekly and monthly reports to ensure any cases that are outside the service standards can be identified.
<b>Investigation Cases</b>	Investigation cases are cases that are investigated at the intermediate stage of the Fitness to Practise Department's investigation process by the Investigations Teams.	
<b>Judicial Review</b>	This a procedure by which a Court can review an administrative action by a public body and in England and Wales secure a Declaration, Order, or Award.	
<b>Length of time</b>	Cases are measured from a number of points in their lifetime. These measures have service standards associated with them, and are used to trigger escalation activity for cases that exceed them. Information is taken from the Case Management System	Measures are taken from: receipt of the original complaint, the time the case meets the standard of acceptance, the time the case has been sent to the Registrant for observations; the date of the final Investigating Committee Panel; the conclusion of the external investigation; the point at which the case is ready and then fixed for a final hearing; the conclusion of the final hearing.
<b>Length of time Age of Post ICP (chart)</b>	This chart shows the number and age of cases, measured from the Investigating Committee Panel decision of Case to Answer. These cases have been to Investigating Committee Panel.	
<b>Length of time Cases Inv Committee (excluding further information) - (chart)</b>	This chart shows the number and age of cases measured from the Standard of Acceptance for Investigating Committee Panel cases that have concluded.	These cases may be closed No Case to Answer, or sent for investigation by external lawyers. Cases where an Investigating Committee Panel asked for more information are excluded.
<b>Length of time: Allegations made to conclusion of final hearing (chart)</b>	This chart shows the number and age of cases that have concluded at a Final Hearing. The measure is the time taken from the meeting of the Standard of Acceptance to the conclusion of the Final Hearing.	
<b>Length of time Investigating Panel - Case Concluded (chart)</b>	This chart shows the time taken from the Investigating Committee Panel decision to the conclusion of the Final Hearing.	
<b>Length of time Open PreICP (chart)</b>	This chart shows the number of cases and their age from the Standard of Acceptance. These cases have not been considered by an Investigating Committee Panel yet.	
<b>Mean and median average</b>	The mean is the average of the data. The median is the middle point of the range of the data	

<b>Obs (Observations)</b>	When a case meets the Standard of Acceptance, it is prepared to go to an Investigating Committee Panel. At the point of reaching the Standard of Acceptance, the Registrant is informed that there is a case against them, and invited to give their observations (Obs) on the complaint made against them.	Any response that comes back after the 28 day period allowed for the Registrant's response go to the Investigating Committee Panel
<b>Part Heard</b>	A case starts its hearing activity but does not conclude in the allotted time.	Further hearing time is arranged by the Scheduling Team liaising with all parties.
<b>Post ICP cases</b>	These cases have been considered by an Investigating Committee Panel and have a Case to Answer decision	The cases may be with external investigators (30%), Ready to Fix (40%), or have a confirmed Final Hearing date that is in the future.
<b>Postponements</b>	Postponements are an administrative action which may be taken on behalf of an HCPC Practice Committee by the HCPC's Head of Adjudication at any time up to 14 days before the date on which a hearing is due to begin to delay the convening of a hearing.	
<b>Pre ICP cases</b>	These cases have met the HCPC's Standard of Acceptance but have not yet been considered by an Investigating Committee Panel.	These cases may have obs returned, or still be in the process of creating the allegations on which the Registrant is asked to provide Observations. ICP dates are generally arranged up to two months in advance. Cases are expected to have been to Investigating Committee Panel for a decision within 8 months of receipt of the original complaint.
<b>Preliminary meetings</b>	Can be used to manage aspects of the case, such as witness orders, use of the time available, or admissibility of evidence.	Preliminary meetings can be held virtually or in person.
<b>Profession</b>	There are 16 professions regulated by the HCPC.	The management commentary breaks down the trends in new complaints and also outcomes of key decision stages by profession.
<b>Protection of Title</b>	If an individual uses one of the protected titles described in the HCPC's Order a prosecution can be pursued.	
<b>PSA Learning Points</b>	Professional Standards Authority review all Final Hearing decisions to ensure consistency and also that HCPC is not unduly lenient. They have the power to appeal these decisions. A monthly learning points letter is sent to HCPC containing their observations.	We review all learning points and respond to PSA with our views, including whether we agree with their opinion. We share these responses with our panels for individual learning, and also use case studies in our induction and refresher training courses.
<b>RAG rating</b>	This is the process whereby every case that is open for over 6 months without a future ICP date (including cases previously considered at ICP and further investigation requested) should be assigned a red, amber or green rating by applying the relevant action to the case with an associated case progression plan.	
<b>Ready to Fix (RTF)</b>	A case where the external investigation has concluded and can be scheduled for a Final Hearing is described as Ready to Fix	The Scheduling Team at HCPC take RTF cases and liaise with all parties before fixing or confirming the date and location of the hearings. We assume approximately 30% of all post ICP cases will be RTF at any stage.
<b>RTF DNS (Ready to Fix - Do Not Schedule)</b>	This is a designation used where an external legal provider has determined that the external investigation has concluded but that it would not be appropriate for a Scheduling Team to schedule a Final Hearing.	
<b>Realistic Prospect Test</b>	This is set out in the Standard of Acceptance policy and describes the likelihood of a Registrant's fitness to practise being found impaired.	It is a core component of the Standard of Acceptance policy.
<b>Reception and Triage Cases</b>	Reception and triage cases are cases that are investigated at the earliest stage of the Fitness to Practise Department's investigation process by the Case Reception and Triage section.	
<b>Registration Appeals</b>	Registrants who are refused entry to HCPC register can appeal.	Panels are arranged to consider the appeal.



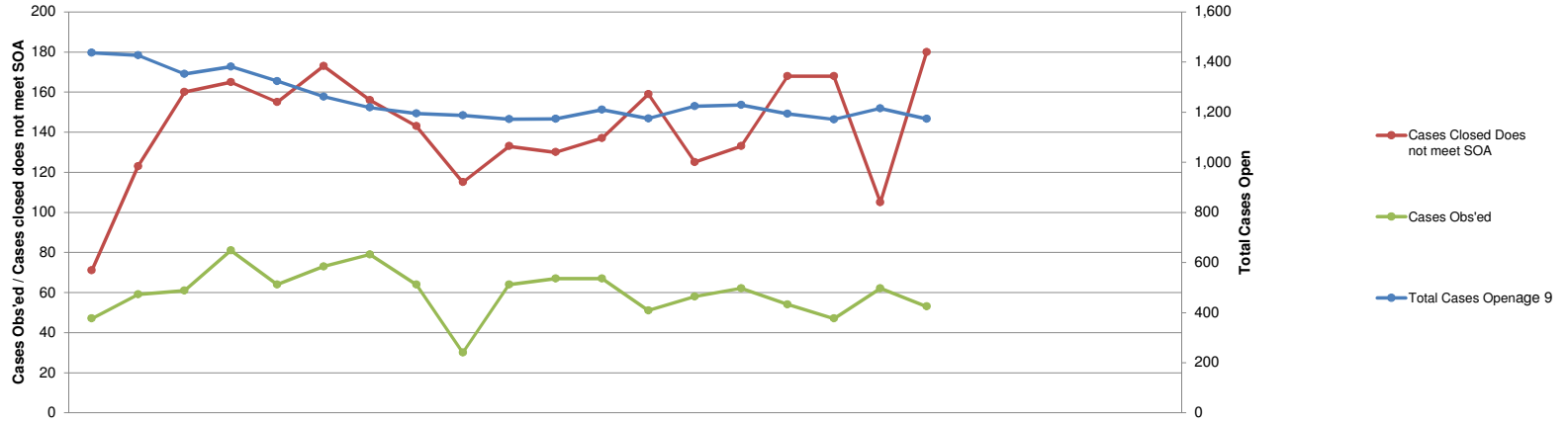
<b>Re-admission</b>	A Registrant is re-admitted to the HCPC's Register after they were formerly registered with the HCPC as a registered professional, their registration has lapsed for an indeterminate period, and they have re-joined the Register.	
<b>Renewal</b>	Renewal refers to the renewal of a Registrant's registration with the HCPC. The renewal cycle at the HCPC takes place every 2 years and the period in which an HCPC Registrant may renew their registration lasts for a duration of 3 months.	
<b>Representation</b>	Registrants may be represented by a union. Representation may happen at any stage in the process.	The management commentary reviews the outcome of decisions at Investigating Committee and at Final Hearing against whether the Registrant was engaged with the process. The Registrant may represent themselves, by represented by others, or there may be no engagement from the Registrant or a representative.
<b>Review Cycle</b>	This is the cycle in which Interim Orders and Substantive Orders are reviewed. In the case of Interim Orders, the review cycle begins when an Interim Order is imposed at an Interim Order Application hearing and ends at a Final Hearing. In the case of Substantive Orders, the review cycle begins at a Final Hearing and ends at a Substantive Order Review when a Substantive Order is revoked.	
<b>Review of substantive decisions</b>	Cases where a Suspension or Conditions of Practice Order is applied at a Final Hearing must be reviewed by an independent prior to the Order expiring.	These panels can continue the original Order, vary it, or allow it to expire. Following a period of suspension Panels can strike a Registrant off the register.
<b>Rule 12 cases</b>	Rule 12 is a designation that is typically applied to cases where there is limited anticipated case activity due to the existence of an on-going Police investigation. The designation allows the Fitness to Practise Department to more accurately monitor case progression and distinguish between cases that can be expeditiously progressed and those cases which cannot be progressed because any progression is dependent on a third-party investigation.	
<b>SO (Scheduling Officer)</b>	Scheduling Officers liaise with the parties involved in hearings to arrange appropriate dates for Interim Order Application hearings, Interim Order Review hearings, Substantive Order Review hearings, and Final Hearings.	
<b>Source of complaint</b>	These are categorised as: Article 22(6)/Anonymous; Employer; Other; Other Registrant; Police; Professional body; Public; Self-referral	The management commentary breaks down the trends in these different sources, and helps to guide FTP guidance development work.
<b>Standard of Acceptance (SOA)</b>	This is set out in Council's policy	
<b>Year to date (YTD)</b>	This is the summary of the information in the period 1 April to 31 March in the current budget year	
<b>405</b>	405 Kennington Road is the location of the Health and Care Professions Tribunal Service.	

Fitness to Practise (FTP) Overview



	2015			2016												2017					15/16	16/17 Forecast				YTD Total				
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Year End 15/16		Original Forecast	3 month re-forecast	6 month re-forecast	9 month re-forecast
<b>New Cases Received</b>	144	162	149	245	155	171	163	163	152	202	203	218	192	231	189	178	191	202	180						2,127	2,212	2,414	2,308		1,363
<b>Open pre ICP cases</b>	1,437	1,427	1,353	1,382	1,323	1,261	1,218	1,195	1,187	1,172	1,173	1,210	1,175	1,224	1,229	1,193	1,171	1,215	1,173						1,176	1,214	1,264	1,188		1,173
<b>Cases closed pre ICP</b>	71	123	160	165	155	173	156	143	115	133	130	137	159	125	133	168	168	105	180						1,661	1,455	1,633	1,664		1,038
<b>% of Ongoing Cases Closed Pre ICP</b>	5	9	12	12	12	14	13	12	10	11	11	11	14	10	11	14	14	9	15						N/A	N/A	N/A	N/A		N/A
<b>Cases Considered at ICP</b>	66	70	61	64	67	80	54	74	52	77	71	51	75	58	44	54	52	61	48						787	766	739	700		392
<b>% Case to Answer</b>	42	58	51	59	67	65	70	66	76	71	66	66	73	63	67	77	71	69	58						63	58	61	67		68
<b>Cases Concluded at Final Hearing</b>	29	22	27	31	26	34	25	25	29	17	22	25	32	36	32	28	43	35	29						312	465	433	435		235
<b>Post ICP Cases</b>	432	431	432	429	439	448	440	457	450	481	488	516	530	539	533	538	518	519	503						516	491	526	521		503
<b>Cases in Review Cycle</b>	234	233	235	235	236	226	229	226	219	219	219	210	202	203	205	199	206	209	213						210	210	210	210		213

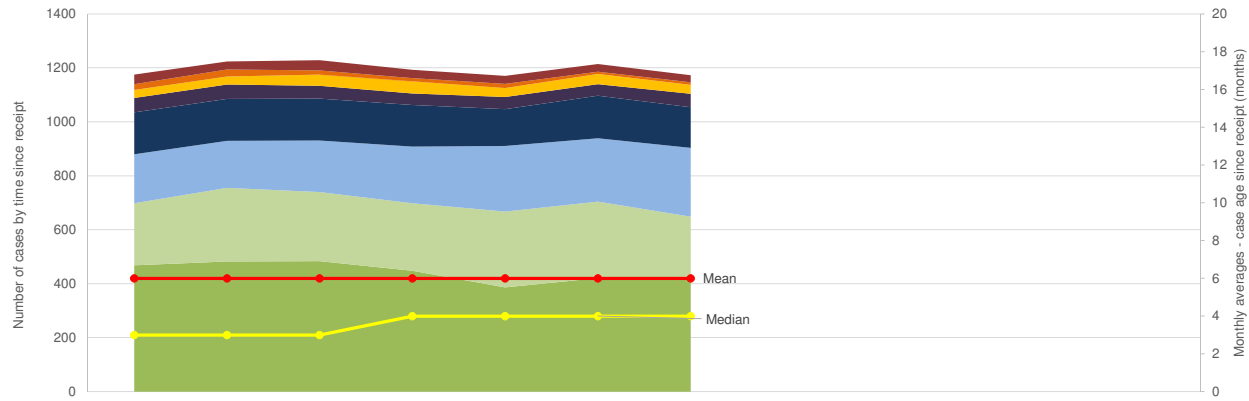
Pre Investigating Committee Panel (ICP) case information



	2015			2016									2017											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
<b>Cases Received</b>	144	162	149	245	155	171	163	163	152	202	203	218	193	231	189	178	191	202	180					
<b>Cases Open</b>	1,437	1,427	1,353	1,371	1,306	1,238	1,193	1,165	1,159	1,151	1,140	1,178	1,142	1,191	1,204	1,170	1,148	1,192	1,150					
<b>Reception and Triage Cases Open</b>	Not previously reported in this format - introduced in line with realignment																							
<b>Rule 12 open</b>	N/A	N/A	N/A	11	17	23	25	30	28	21	33	32	33	33	25	23	23	23	23					
<b>Investigating Cases Open</b>	Not previously reported in this format - introduced in line with realignment																							
<b>Complex Cases Open</b>	Not previously reported in this format - introduced in line with realignment																							
<b>Total Cases Open</b>	1,437	1,427	1,353	1,382	1,323	1,261	1,218	1,195	1,187	1,172	1,173	1,210	1,175	1,224	1,229	1,193	1,171	1,215	1,173					
<b>Cases Closed Does not meet SOA</b>	71	123	160	165	155	173	156	143	115	133	130	137	159	125	133	168	168	105	180					
<b>% of Cases Closed no ICP</b>	5	9	12	12	12	14	13	12	10	11	11	11	14	10	11	14	14	9	15					
<b>Cases Obs'ed</b>	47	59	61	81	64	73	79	64	30	64	67	67	51	58	62	54	47	62	53					
<b>% of cases Obs'ed</b>	18	24	24	31	25	32	31	22	11	25	28	26	21	25	25	22	19	25	21					

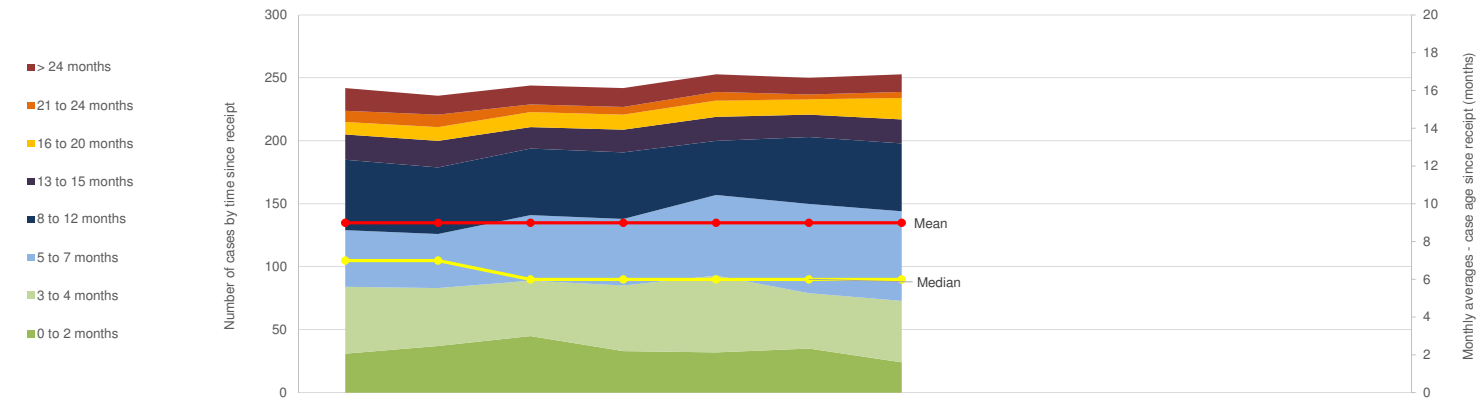
12/13 FYE	13/14 FYE	14/15 FYE	15/16 FYE	16/17 YTD
1,653	2,069	2,170	2,127	1,364
857	1,162	1,441	1,176	1,150
N/A	N/A	N/A	32	23
857	1,162	1,441	1,208	1,173
736	1,080	1,042	1,661	1,038
N/A	N/A	N/A	N/A	N/A
596	802	839	756	387
N/A	N/A	N/A	N/A	N/A

Length of time: Age of Open pre Investigating Committee Panel (ICP) cases including Enquiries since receipt



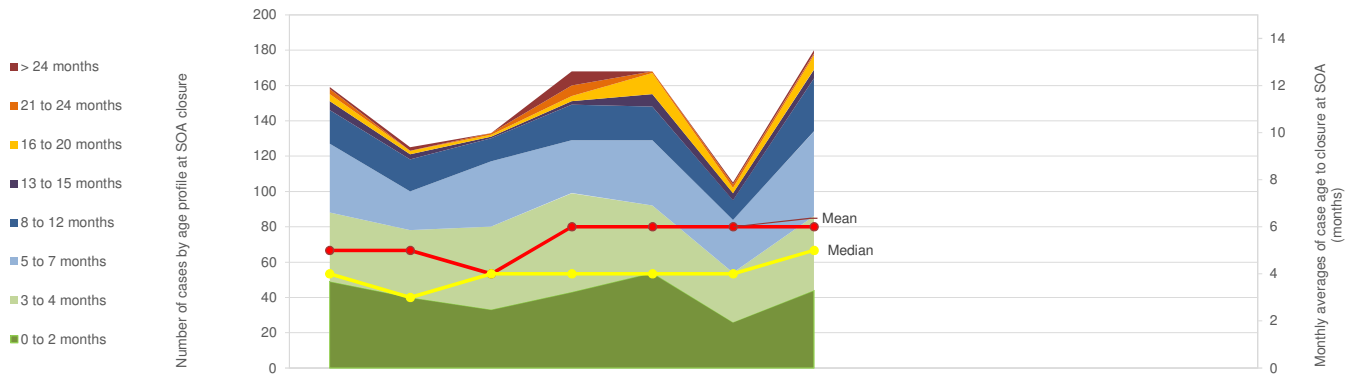
	2016								2017			
Age Profile (number of cases)	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
0 to 2 months	468	483	484	448	386	421	420					
3 to 4 months	230	272	256	251	282	283	229					
5 to 7 months	182	175	191	210	243	235	255					
8 to 12 months	156	155	156	154	136	158	150					
13 to 15 months	53	54	47	42	45	43	50					
16 to 20 months	29	29	41	46	34	38	34					
21 to 24 months	22	27	16	11	15	8	9					
> 24 months	35	29	38	31	30	29	26					
<b>Total</b>	<b>1,175</b>	<b>1,224</b>	<b>1,229</b>	<b>1,193</b>	<b>1,171</b>	<b>1,213</b>	<b>1,173</b>					
<b>Mean</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>6</b>					
<b>Median</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>4</b>	<b>4</b>	<b>4</b>	<b>4</b>					
Age Profile (percentage of cases)												
0 to 2 months	40%	39%	39%	38%	33%	35%	36%					
3 to 4 months	20%	22%	21%	21%	24%	23%	20%					
5 to 7 months	15%	14%	16%	18%	21%	19%	22%					
8 to 12 months	13%	13%	13%	13%	12%	13%	13%					
13 to 15 months	5%	4%	4%	4%	4%	4%	4%					
16 to 20 months	2%	2%	3%	4%	3%	3%	3%					
21 to 24 months	2%	2%	1%	1%	1%	1%	1%					
> 24 months	3%	2%	3%	3%	3%	2%	2%					

Length of time: Age of Open pre Investigating Committee Panel (ICP) cases since receipt



Age Profile (number of cases)	2016								2017			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
0 to 2 months	31	37	45	33	32	35	24					
3 to 4 months	53	46	44	52	61	44	49					
5 to 7 months	45	43	52	53	64	71	71					
8 to 12 months	56	53	53	53	43	53	54					
13 to 15 months	20	21	17	18	19	18	19					
16 to 20 months	10	11	12	12	13	12	17					
21 to 24 months	9	10	6	6	7	4	5					
> 24 months	18	15	15	15	14	13	14					
<b>Total</b>	<b>242</b>	<b>236</b>	<b>244</b>	<b>242</b>	<b>253</b>	<b>250</b>	<b>253</b>					
<b>Mean</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>9</b>					
<b>Median</b>	<b>7</b>	<b>7</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>6</b>					
Age Profile (percentage of cases)												
0 to 2 months	13%	16%	18%	14%	13%	14%	9%					
3 to 4 months	22%	19%	18%	21%	24%	18%	19%					
5 to 7 months	19%	18%	21%	22%	25%	28%	28%					
8 to 12 months	23%	22%	22%	22%	17%	21%	21%					
13 to 15 months	8%	9%	7%	7%	8%	7%	8%					
16 to 20 months	4%	5%	5%	5%	5%	5%	7%					
21 to 24 months	4%	4%	2%	2%	3%	2%	2%					
> 24 months	7%	6%	6%	6%	6%	5%	6%					

**Length of time: Receipt to Closure at Standards of Acceptance (SOA)**



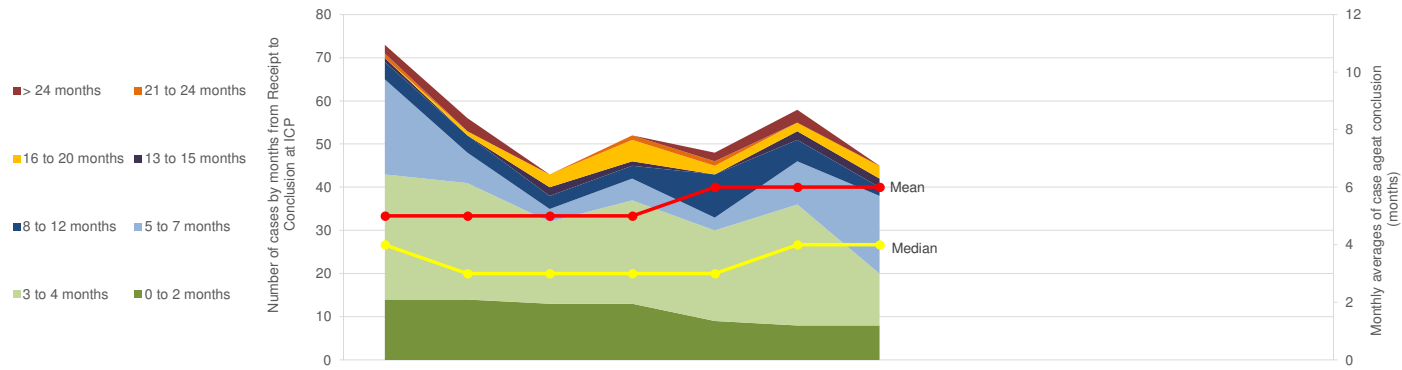
Age Profile (number of cases)	2016								2017			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
0 to 2 months	49	40	33	43	54	26	44					
3 to 4 months	39	38	47	56	38	28	42					
5 to 7 months	39	22	37	30	37	30	48					
8 to 12 months	19	18	13	20	19	11	30					
13 to 15 months	5	3	1	2	7	4	5					
16 to 20 months	4	2	1	3	12	3	8					
21 to 24 months	3	0	1	6	1	2	1					
> 24 months	1	2	0	8	0	1	2					
<b>Total</b>	<b>159</b>	<b>125</b>	<b>133</b>	<b>168</b>	<b>168</b>	<b>105</b>	<b>180</b>					
<b>Mean</b>	<b>5</b>	<b>5</b>	<b>4</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>6</b>					
<b>Median</b>	<b>4</b>	<b>3</b>	<b>4</b>	<b>4</b>	<b>4</b>	<b>4</b>	<b>5</b>					
<b>Age Profile (percentage of cases)</b>												
0 to 2 months	31%	32%	25%	26%	32%	25%	24%					
3 to 4 months	25%	30%	35%	33%	23%	27%	23%					
5 to 7 months	25%	18%	28%	18%	22%	29%	27%					
8 to 12 months	12%	14%	10%	12%	11%	10%	17%					
13 to 15 months	3%	2%	1%	1%	4%	4%	3%					
16 to 20 months	3%	2%	1%	2%	7%	3%	4%					
21 to 24 months	2%	0%	1%	4%	1%	2%	1%					
> 24 months	1%	2%	0%	5%	0%	1%	1%					

Monthly averages of case age to closure at SOA (months)

12/13	13/14	14/15	15/16	16/17
FYE*	FYE*	FYE*	FYE*	YTD
		199	367	289
		305	378	288
		265	418	243
		194	355	130
		37	69	27
		27	54	33
		6	11	14
		9	9	14
736	1,080	1,042	1,661	1,038
4	5	6	6	6
3	4	5	5	4
		19%	22%	28%
		29%	23%	28%
		25%	25%	23%
		19%	21%	13%
		4%	4%	3%
		3%	3%	3%
		1%	1%	1%
		1%	1%	1%

\*Previously reported in different format

**Length of time: Standards of Acceptance (SOA) to Conclusion at Investigating Committee Panel (ICP)**



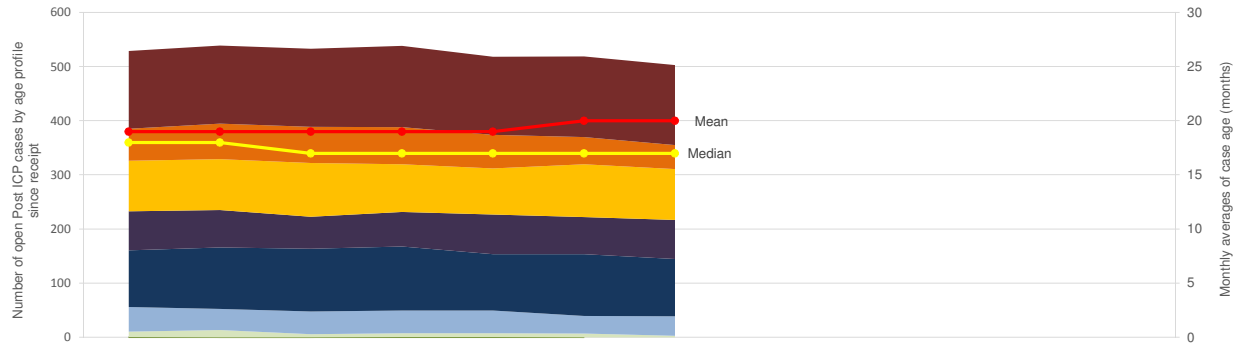
Age Profile (number of cases)	2016								2017				
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
0 to 2 months	14	14	13	13	9	8	8						
3 to 4 months	29	27	19	24	21	28	12						
5 to 7 months	22	7	3	5	3	10	18						
8 to 12 months	4	4	3	3	10	5	2						
13 to 15 months	1	0	2	1	0	2	2						
16 to 20 months	0	1	3	5	2	2	3						
21 to 24 months	1	0	0	1	1	0	0						
> 24 months	2	3	0	0	2	3	0						
<b>Total</b>	<b>73</b>	<b>56</b>	<b>43</b>	<b>52</b>	<b>48</b>	<b>58</b>	<b>45</b>						
<b>Mean</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>6</b>	<b>6</b>	<b>6</b>						
<b>Median</b>	<b>4</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>4</b>	<b>4</b>						

Age Profile (percentage of cases)	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
0 to 2 months	19%	25%	30%	25%	19%	14%	18%					
3 to 4 months	40%	48%	44%	46%	44%	48%	27%					
5 to 7 months	30%	13%	7%	10%	6%	17%	40%					
8 to 12 months	5%	7%	7%	6%	21%	9%	4%					
13 to 15 months	1%	0%	5%	2%	0%	3%	4%					
16 to 20 months	0%	2%	7%	10%	4%	3%	7%					
21 to 24 months	1%	0%	0%	2%	2%	0%	0%					
> 24 months	3%	5%	0%	0%	4%	5%	0%					

14/15	15/16	16/17
FYE*	FYE*	YTD
178	180	79
344	264	160
159	146	68
85	75	31
21	29	8
11	25	16
7	12	3
3	11	10
808	742	375
5	6	6
3	4	4

FYE	FYE	YTD
22%	24%	21%
43%	36%	43%
20%	20%	18%
11%	10%	8%
3%	4%	2%
1%	3%	4%
1%	2%	1%
0%	1%	3%

Length of time: Age of Open Post Investigating Committee Panel (ICP) cases since receipt

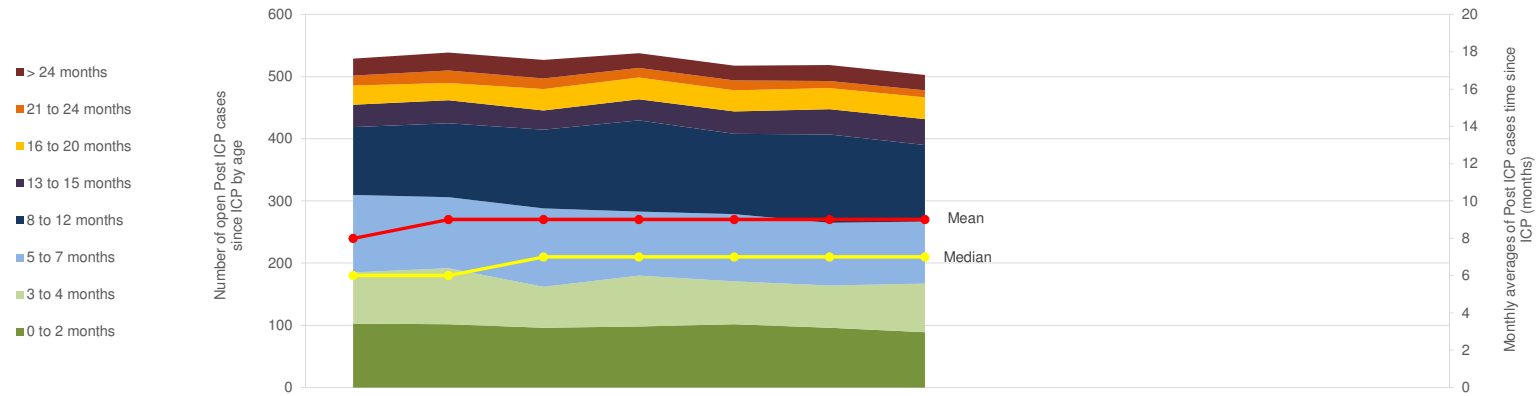


Age Profile (number of cases)	2016								2017			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
0 to 2 months	1	0	0	1	1	0	0					
3 to 4 months	10	14	6	7	7	7	3					
5 to 7 months	45	39	42	42	42	33	36					
8 to 12 months	105	113	116	118	104	114	106					
13 to 15 months	72	69	59	64	73	68	72					
16 to 20 months	93	94	99	88	85	98	94					
21 to 24 months	59	66	67	68	62	50	44					
> 24 months	144	144	144	150	144	149	148					
<b>Total</b>	<b>529</b>	<b>539</b>	<b>533</b>	<b>538</b>	<b>518</b>	<b>519</b>	<b>503</b>					
<b>Mean</b>	<b>19</b>	<b>19</b>	<b>19</b>	<b>19</b>	<b>19</b>	<b>20</b>	<b>20</b>					
<b>Median</b>	<b>18</b>	<b>18</b>	<b>17</b>	<b>17</b>	<b>17</b>	<b>17</b>	<b>17</b>					

Age Profile (percentage of cases)	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
0 to 2 months	0%	0%	0%	0%	0%	0%	0%					
3 to 4 months	2%	3%	1%	1%	1%	1%	1%					
5 to 7 months	9%	7%	8%	8%	8%	6%	7%					
8 to 12 months	20%	21%	22%	22%	20%	22%	21%					
13 to 15 months	14%	13%	11%	12%	14%	13%	14%					
16 to 20 months	18%	17%	19%	16%	16%	19%	19%					
21 to 24 months	11%	12%	13%	13%	12%	10%	9%					
> 24 months	27%	27%	27%	28%	28%	29%	29%					



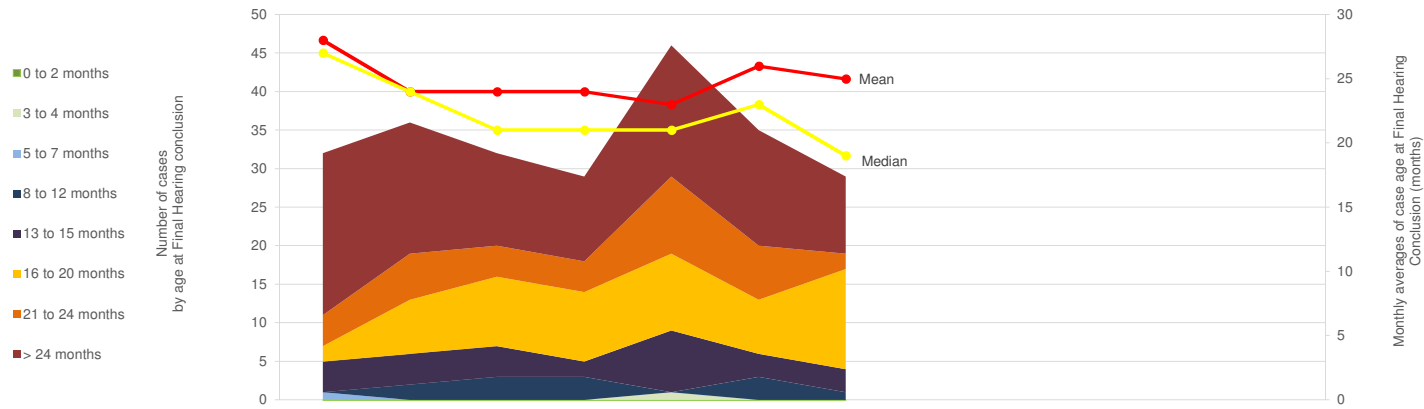
Length of time: Age of Open Post Investigating Committee Panel (ICP) cases since referral from Investigating Committee



Age Profile	2016								2017			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
0 to 2 months	103	102	96	98	102	96	89					
3 to 4 months	82	90	66	82	69	68	78					
5 to 7 months	125	114	126	103	108	101	100					
8 to 12 months	109	119	127	147	129	142	123					
13 to 15 months	36	37	31	34	36	41	42					
16 to 20 months	31	28	34	35	34	34	35					
21 to 24 months	16	20	17	15	16	11	11					
> 24 months	27	29	30	24	24	26	25					
<b>Total</b>	<b>529</b>	<b>539</b>	<b>533</b>	<b>538</b>	<b>518</b>	<b>519</b>	<b>503</b>					
<b>Mean</b>	<b>8</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>9</b>					
<b>Median</b>	<b>6</b>	<b>6</b>	<b>7</b>	<b>7</b>	<b>7</b>	<b>7</b>	<b>7</b>					

Age Profile (percentage of cases)												
0 to 2 months	19%	19%	18%	18%	20%	18%	18%					
3 to 4 months	16%	17%	12%	15%	13%	13%	16%					
5 to 7 months	24%	21%	24%	19%	21%	19%	20%					
8 to 12 months	21%	22%	24%	27%	25%	27%	24%					
13 to 15 months	7%	7%	6%	6%	7%	8%	8%					
16 to 20 months	6%	5%	6%	7%	7%	7%	7%					
21 to 24 months	3%	4%	3%	3%	3%	2%	2%					
> 24 months	5%	5%	6%	4%	5%	5%	5%					

**Length of Time: Receipt - Conclusion at Final Hearing**



Age Profile		2016										2017		
		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
0 to 2 months	No	0	0	0	0	0	0	0						
3 to 4 months	No	0	0	0	0	1	0	0						
5 to 7 months	No	1	0	0	0	0	0	0						
8 to 12 months	No	0	2	3	3	0	3	1						
13 to 15 months	No	4	4	4	2	8	3	3						
16 to 20 months	No	2	7	9	9	10	7	13						
21 to 24 months	No	4	6	4	4	10	7	2						
> 24 months	No	21	17	12	11	17	15	10						
<b>Total</b>		<b>32</b>	<b>36</b>	<b>32</b>	<b>29</b>	<b>46</b>	<b>35</b>	<b>29</b>						
<b>Mean</b>		<b>28</b>	<b>24</b>	<b>24</b>	<b>24</b>	<b>23</b>	<b>26</b>	<b>25</b>						
<b>Median</b>		<b>27</b>	<b>24</b>	<b>21</b>	<b>21</b>	<b>21</b>	<b>23</b>	<b>19</b>						

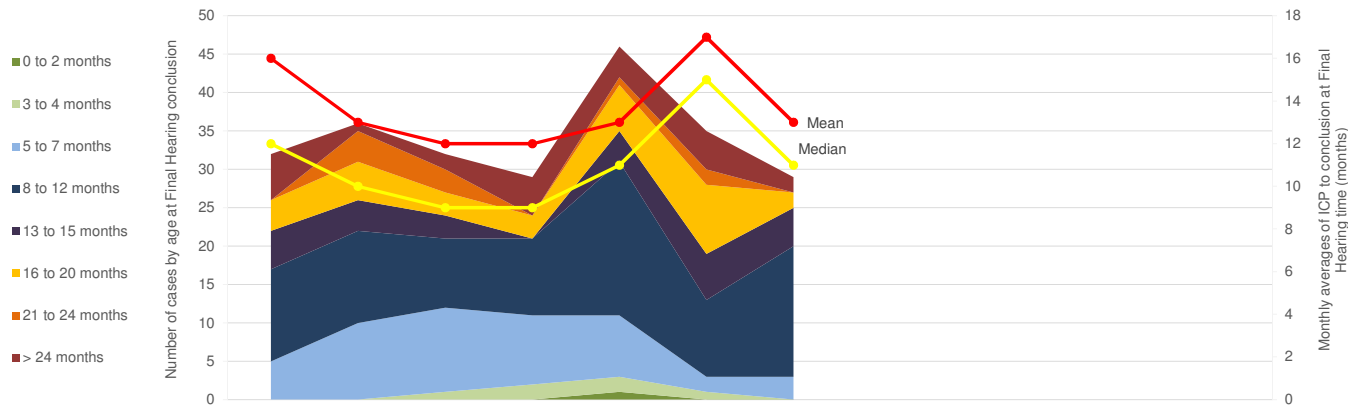
Age Profile (percentage of cases)														
0 to 2 months	%	0%	0%	0%	0%	0%	0%	0%						
3 to 4 months	%	0%	0%	0%	0%	2%	0%	0%						
5 to 7 months	%	3%	0%	0%	0%	0%	0%	0%						
8 to 12 months	%	0%	6%	9%	10%	0%	9%	3%						
13 to 15 months	%	13%	11%	13%	7%	17%	9%	10%						
16 to 20 months	%	6%	19%	28%	31%	22%	20%	45%						
21 to 24 months	%	13%	17%	13%	14%	22%	20%	7%						
> 24 months	%	66%	47%	38%	38%	37%	43%	34%						

12/13 FYE*	13/14 FYE*	14/15 FYE*	15/16 FYE*	16/17 YTD
		0	0	0
		0	0	1
		1	2	1
		59	22	12
		80	44	28
		99	84	57
		53	44	37
		59	116	103
<b>228</b>	<b>267</b>	<b>351</b>	<b>312</b>	<b>239</b>
<b>16</b>	<b>17</b>	<b>19</b>	<b>23</b>	<b>26</b>
<b>14</b>	<b>14</b>	<b>17</b>	<b>21</b>	<b>24</b>

		0%	0%	0%
		0%	0%	0%
		0%	1%	0%
		17%	7%	5%
		23%	14%	12%
		28%	27%	24%
		15%	14%	15%
		17%	37%	43%

\*Previously reported in different format

**Length of Time: Investigating Committee Panel (ICP) Decision - Conclusion at Final Hearing**



Age Profile	2016									2017		
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
0 to 2 months	0	0	0	0	1	0	0					
3 to 4 months	0	0	1	2	2	1	0					
5 to 7 months	5	10	11	9	8	2	3					
8 to 12 months	12	12	9	10	20	10	17					
13 to 15 months	5	4	3	0	4	6	5					
16 to 20 months	4	5	3	3	6	9	2					
21 to 24 months	0	4	3	0	1	2	0					
> 24 months	6	1	2	5	4	5	2					
<b>Total</b>	<b>32</b>	<b>36</b>	<b>32</b>	<b>29</b>	<b>46</b>	<b>35</b>	<b>29</b>					
<b>Mean</b>	<b>16</b>	<b>13</b>	<b>12</b>	<b>12</b>	<b>13</b>	<b>17</b>	<b>13</b>					
<b>Median</b>	<b>12</b>	<b>10</b>	<b>9</b>	<b>9</b>	<b>11</b>	<b>15</b>	<b>11</b>					

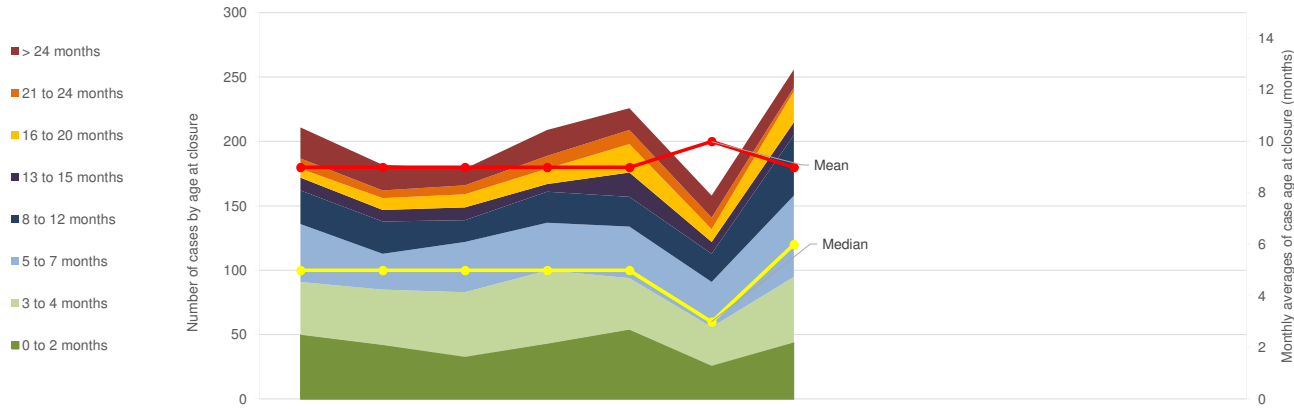
Age Profile	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
0 to 2 months	0%	0%	0%	0%	2%	0%	0%					
3 to 4 months	0%	0%	3%	7%	4%	3%	0%					
5 to 7 months	16%	28%	34%	31%	17%	6%	10%					
8 to 12 months	38%	33%	28%	34%	43%	29%	59%					
13 to 15 months	16%	11%	9%	0%	9%	17%	17%					
16 to 20 months	13%	14%	9%	10%	13%	26%	7%					
21 to 24 months	0%	11%	9%	0%	2%	6%	0%					
> 24 months	19%	3%	6%	17%	9%	14%	7%					

12/13 FYE*	13/14 FYE*	14/15 FYE*	15/16 FYE*	16/17 YTD
		2	0	1
		6	7	6
		86	64	48
		149	139	90
		44	32	27
		37	38	32
		14	16	10
		13	17	25
<b>228</b>	<b>267</b>	<b>351</b>	<b>312</b>	<b>239</b>
		11	12	14
		9	10	11

12/13 FYE*	13/14 FYE*	14/15 FYE*	15/16 FYE*	16/17 YTD
		1%	0%	0%
		2%	2%	3%
		25%	21%	20%
		42%	45%	38%
		13%	10%	11%
		11%	12%	13%
		4%	5%	4%
		4%	5%	10%

\*Previously reported in different format

Length of time to close cases (combined)



Age Profile	2016								2017				
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
0 to 2 months	50	42	33	43	54	26	44						
3 to 4 months	41	43	50	57	40	30	51						
5 to 7 months	45	28	39	37	40	35	63						
8 to 12 months	26	25	17	24	23	22	47						
13 to 15 months	10	9	10	6	19	9	10						
16 to 20 months	7	9	10	12	22	10	24						
21 to 24 months	8	6	7	10	11	9	3						
> 24 months	24	20	13	20	17	17	14						
<b>Total</b>	<b>211</b>	<b>182</b>	<b>179</b>	<b>209</b>	<b>226</b>	<b>158</b>	<b>256</b>						
<b>Mean</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>10</b>	<b>9</b>						
<b>Median</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>3</b>	<b>6</b>						

Age Profile	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
0 to 2 months	24%	23%	18%	21%	24%	16%	17%					
3 to 4 months	19%	24%	28%	27%	18%	19%	20%					
5 to 7 months	21%	15%	22%	18%	18%	22%	25%					
8 to 12 months	12%	14%	9%	11%	10%	14%	18%					
13 to 15 months	5%	5%	6%	3%	8%	6%	4%					
16 to 20 months	3%	5%	6%	6%	10%	6%	9%					
21 to 24 months	4%	3%	4%	5%	5%	6%	1%					
> 24 months	11%	11%	7%	10%	8%	11%	5%					

12/13 FYE*	13/14 FYE*	14/15 FYE*	15/16 FYE*	16/17 YTD
		202	365	248
		367	408	261
		395	499	224
		369	471	137
		144	139	63
		151	166	70
		72	65	51
		70	132	111
<b>1185</b>	<b>1678</b>	<b>1770</b>	<b>2245</b>	<b>1421</b>
<b>9</b>	<b>8</b>	<b>9</b>	<b>9</b>	<b>9</b>
<b>6</b>	<b>5</b>	<b>7</b>	<b>7</b>	<b>5</b>

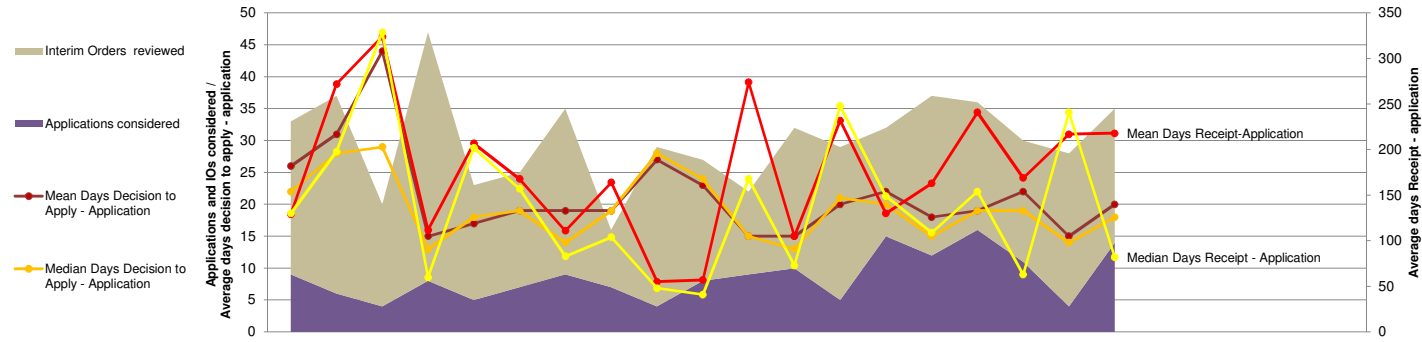
		11%	16%	17%
		21%	18%	18%
		22%	22%	16%
		21%	21%	10%
		8%	6%	4%
		9%	7%	5%
		4%	3%	4%
		4%	6%	8%

\*Previously reported in different format

Cases at judicial review or High Court/Court of Sheriff stage

	2015			2016									2017									14/15 FYE	15/16 FYE	16/17 YTD			
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec				Jan	Feb	Mar
Judicial review - received	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	5	1	0
Judicial review - open	1	0	0	0	0	0	0	0	0	0	0	1	1	1	1	1	0	1	0	0	0	0	0	0	5	3	1
High court - PSA received	0	0	0	0	0	0	0	1	0	1	1	0	0	0	0	1	0	0	0	0	0	0	0	5	3	1	
High court - PSA open	2	2	1	1	1	1	2	2	3	4	4	5	5	5	4	4	2	1	0	0	0	0	0	5	8	1	
High court - Registrant received	1	1	1	0	0	1	0	0	1	0	2	1	0	0	0	0	0	0	0	0	0	0	1	5	8	1	
High Court - Registrant open	2	1	2	2	2	3	3	3	3	2	3	4	4	4	3	3	3	2	3	0	0	0	0	5	12	5	
IO extension application at High Court	0	2	0	0	0	2	0	1	0	0	7	0	0	1	3	1	0	0	0	0	0	0	0	5	12	5	

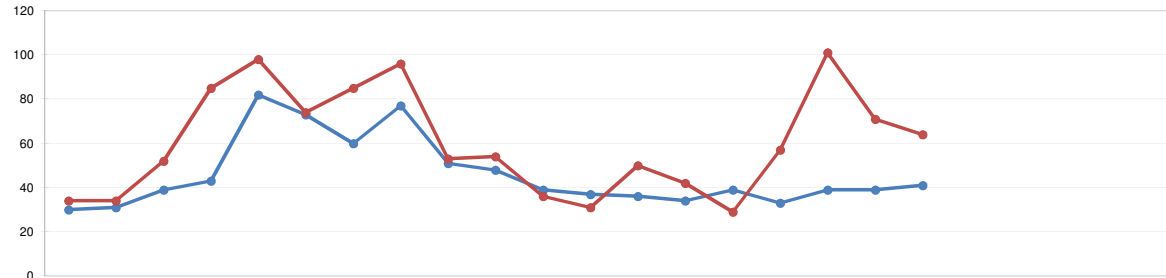
**Interim Orders**



	2015												2016												2017											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Applications considered	9	6	4	8	5	7	9	7	4	8	9	10	5	15	12	16	11	4	14	43	97	80	89	77												
Applications granted	6	5	2	7	5	6	9	7	4	8	8	9	5	14	12	12	9	3	12	39	85	71	78	67												
Applications not granted	3	1	2	1	1	1	0	2	0	0	1	1	0	1	0	2	1	1	2	4	12	9	11	7												
Interim Orders reviewed	24	31	16	39	18	18	26	9	25	19	13	22	24	17	25	20	19	24	21	151	166	249	261	150												
Interim Orders revoked	0	1	0	0	0	2	1	1	1	0	1	0	1	0	0	0	1	0	0	8	3	8	7	2												
IO instructed for High Court extension	2	2	2	1	0	2	0	1	0	0	3	4	0	1	3	1		4	0	10	5	15	19	9												
Interim Order imposed at part heard/adjourned Final Hearing	Not previously reported												0	0	0	1	0	0	0	Not previously reported												1				
Interim Order imposed at Final Hearing	Not previously reported												0	0	0	0	1	0	0	Not previously reported												1				
Mean Days Receipt-Application	129	272	324	112	207	168	111	164	55	57	274	105	232	130	163	241	169	217	218	Not previously reported																
Median Days Receipt - Application	130	198	329	60	202	157	83	104	48	41	168	73	248	149	109	154	63	241	82	Not previously reported																
Mean Days Decision to Apply - Application	26	31	44	15	17	19	19	19	27	23	15	15	20	22	18	19	22	15	20	Not previously reported																
Median Days Decision to Apply - Application	22	28	29	13	18	19	14	19	28	24	15	13	21	20	15	19	19	14	18	Not previously reported																

12/13 FYE	13/14 FYE	14/15 FYE	15/16 FYE	16/17 YTD
43	97	80	89	77
39	85	71	78	67
4	12	9	11	7
151	166	249	261	150
8	3	8	7	2
10	5	15	19	9
Not previously reported				1
Not previously reported				1
	151	176	152	196
	105	143	106	149
	24	20	21	19
19	18	17	17	18

Health and Character Declarations

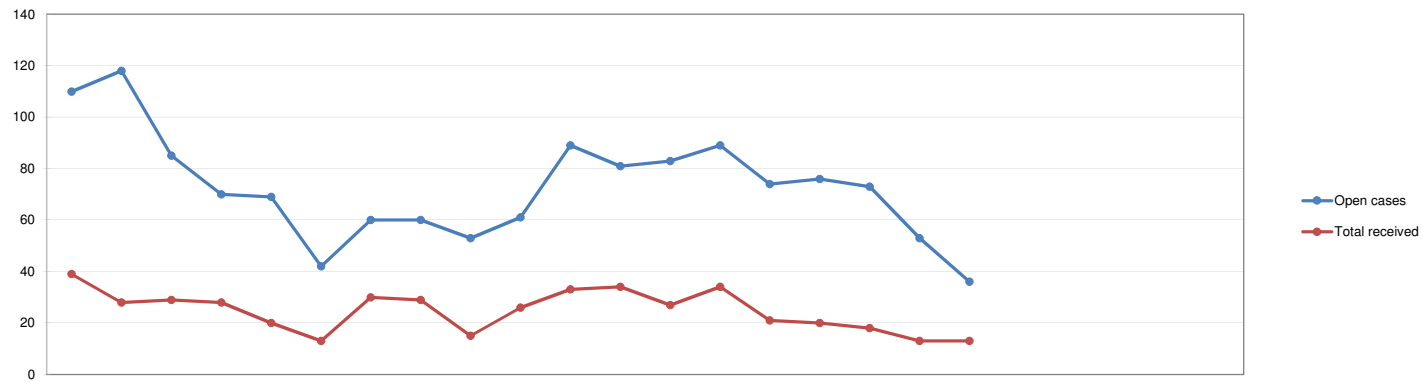


— Open cases  
— Total received

		2015			2016								2017												
		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Received	Renewal	1	1	1	1	7	4	8	3	0	2	6	2	2	0	2	3	0	0	6					
	Readmission	4	5	13	5	9	6	7	10	8	5	4	3	6	15	6	1	10	7	5					
	Admission	29	28	38	79	82	64	70	83	45	47	26	26	42	27	21	53	91	64	53					
	Self-referral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0					
	<b>Total received</b>	<b>34</b>	<b>34</b>	<b>52</b>	<b>85</b>	<b>98</b>	<b>74</b>	<b>85</b>	<b>96</b>	<b>53</b>	<b>54</b>	<b>36</b>	<b>31</b>	<b>50</b>	<b>42</b>	<b>29</b>	<b>57</b>	<b>101</b>	<b>71</b>	<b>64</b>					
Considered	Admission accepted administratively	Not previously applicable. To be reported from November 2016 onwards																							
	Considered by panel	26	9	14	25	23	51	47	36	35	32	19	19	22	14	15	13	8	7	7					
	Referred to FTP	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0					
	Admission rejected by panel	0	0	0	0	1	4	3	1	5	4	1	1	0	1	4	0	1	0	1					
	Readmission rejected by panel	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0					
	Renewal rejected by panel	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0					
	Not referred to FTP	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0					
	Admission accepted by panel	26	9	14	25	17	47	43	35	29	27	18	18	17	12	11	11	50	7	4					
	Readmission accepted	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	7	0	1					
	Renewal accepted	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0					
Open cases	30	31	39	43	82	73	60	77	51	48	39	37	36	34	39	33	39	39	41						

12/13 FYE	13/14 FYE	14/15 FYE	15/16 FYE	16/17 YTD
40	16	50	36	13
124	134	114	79	50
740	775	692	617	351
1	0	0	0	0
905	925	856	732	414
491	460	480	336	86
0	1	1	1	0
28	11	24	20	7
2	18	3	0	1
1	0	1	0	0
3	0	0	0	0
453	424	449	308	112
2	6	0	0	9
2	0	0	0	0

Protection of Title



	2015			2016									2017												
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
Public	21	9	11	9	7	5	11	12	8	15	18	9	16	9	6	8	6	4	3						
Police	0	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0						
HCPC	0	0	0	0	1	0	10	3	0	0	3	1	3	1	4	7	2	3	7						
Anonymous	2	1	1	2	2	1	1	0	0	2	1	1	2	4	2	0	5	1	2						
Professional	15	16	9	11	5	4	8	11	5	3	4	21	1	20	6	5	5	2	0						
Other	1	2	8	5	5	3	0	3	1	6	7	2	5	0	3	0	0	3	1						
<b>Total received</b>	<b>39</b>	<b>28</b>	<b>29</b>	<b>28</b>	<b>20</b>	<b>13</b>	<b>30</b>	<b>29</b>	<b>15</b>	<b>26</b>	<b>33</b>	<b>34</b>	<b>27</b>	<b>34</b>	<b>21</b>	<b>20</b>	<b>18</b>	<b>13</b>	<b>13</b>						
<b>Open cases</b>	<b>110</b>	<b>118</b>	<b>85</b>	<b>70</b>	<b>69</b>	<b>42</b>	<b>60</b>	<b>60</b>	<b>53</b>	<b>61</b>	<b>89</b>	<b>81</b>	<b>83</b>	<b>89</b>	<b>74</b>	<b>76</b>	<b>73</b>	<b>53</b>	<b>36</b>						

12/13	13/14	14/15	15/16	16/17
FYE	FYE	FYE	FYE	YTD
99	132	150	135	52
27	11	4	2	0
3	6	10	18	27
15	25	14	14	16
154	119	139	112	39
	26	9	43	12
<b>298</b>	<b>319</b>	<b>326</b>	<b>324</b>	<b>146</b>

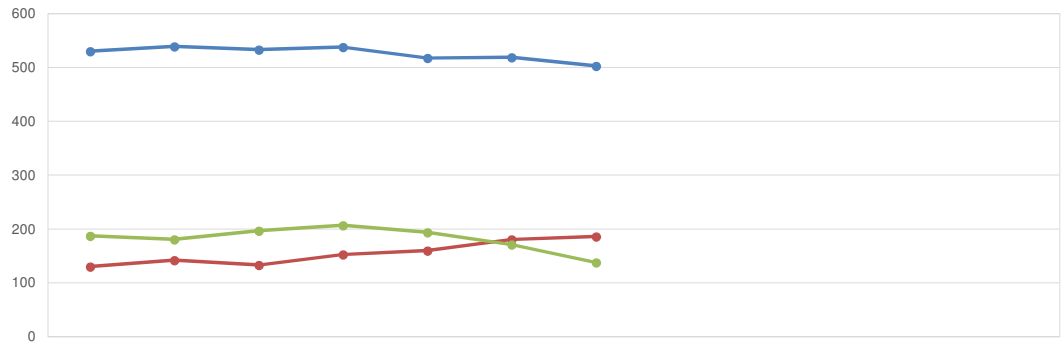


**Miscellaneous (MIS) cases**

	2015			2016									2017												
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
<b>Cases received</b>	45	65	62	84	54	86	66	75	52	77	77	78	90	68	81	68	77	98	51						
<b>Cases closed</b>	52	42	76	93	62	85	79	62	27	55	52	79	103	46	78	75	105	89	41						
<b>Cases open</b>	56	79	65	56	48	49	36	49	74	96	61	60	47	69	72	65	37	46	56						

14/15 FYE	15/16 FYE	16/17 YTD
814	821	533
851	764	537

Scheduling Forecast and Management Information Summary



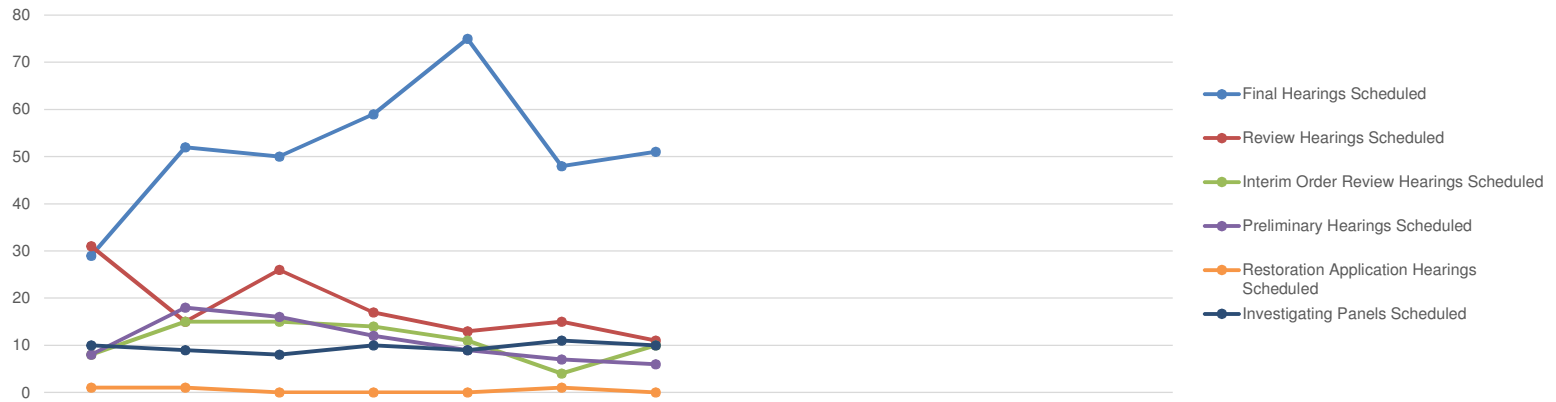
● Ongoing Post ICP Cases  
● Number of Cases fixed for future months  
● Number of Cases Ready to Fix

	2016							2017				
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Ongoing Post ICP Cases	530	539	533	538	518	519	503					
Number of Cases Ready to Fix	187	181	197	207	194	171	138					
% of Cases Ready to Fix	35	34	37	38	37	33	27					
Number of Cases fixed for future months	130	142	133	153	160	181	186					
% of Cases fixed for future months	25	26	25	28	31	35	37					
Number of Cases with External Legal Provider	130	146	138	120	108	113	127					
% of Cases with External Legal Provider	25	27	26	22	21	22	22					
Number of Cases RTF DNS	83	70	65	58	56	54	52					
% of Cases RTF DNS	16	13	12	11	11	10	10					

Year End 15/16*	16/17 Forecast				
	Original Forecast	3 month re-forecast	6 month re-forecast	9 month re-forecast	YTD Total
516	491	526	533		519
	147	158	160		171
	31%	30%	30		33
	147	158	160		181
	30	30	30		35
	147	158	160		113
	30	30	30		22
	49	53	53		54
	10	10	10		10

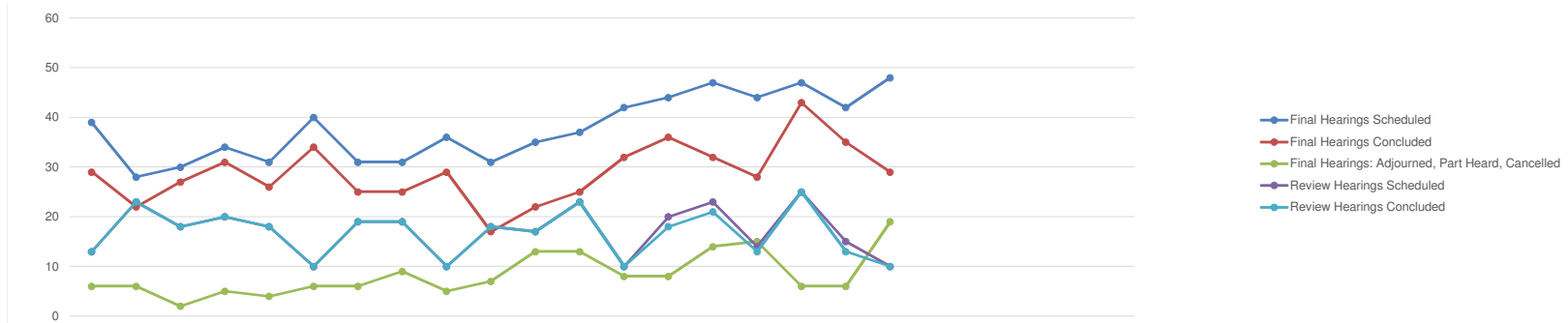
\*Not previously reported in this format

**Scheduling Activity Overview - Cases scheduled this month for future months**



	2016							2017					16/17
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	YTD
<b>Final Hearings Scheduled</b>	29	52	50	59	75	48	51						364
<b>Review Hearings Scheduled</b>	31	15	26	17	13	15	11						128
<b>Interim Order Applications Scheduled</b>	8	15	15	14	11	4	10						77
<b>Interim Order Review Hearings Scheduled</b>	24	17	25	19	26	26	31						168
<b>Preliminary Hearings Scheduled</b>	8	18	16	12	9	7	6						76
<b>Restoration Application Hearings Scheduled</b>	1	1	0	0	0	1	0						3
<b>Investigating Panels Scheduled</b>	10	9	8	10	9	11	10						67
<b>Total Events Scheduled</b>	111	127	140	131	143	112	119						883

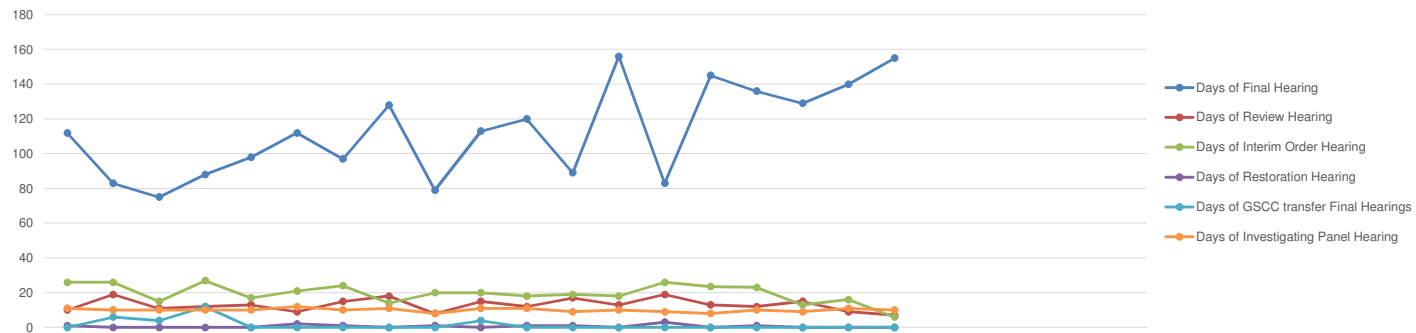
Hearings Management Information Summary



	2015			2016									2017												
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
Final Hearings Scheduled	39	28	30	34	31	40	31	31	36	31	35	37	42	44	47	44	47	42	48						
Final Hearings Concluded	29	22	27	31	26	34	25	25	29	17	22	25	32	36	32	28	43	35	29						
Final Hearings: Adjournd, Part Heard, Cancelled	6	6	2	5	4	6	6	9	5	7	13	13	8	8	14	15	6	6	19						
% of Hearings Adjournd/Part Heard	15	21	7	15	13	15	19	29	14	23	37	35	19	18	30	34	13	14	40						
Review Hearings Scheduled	13	23	18	20	18	10	19	19	10	18	17	23	10	20	23	14	25	15	10						
Review Hearings Concluded	13	23	18	20	18	10	19	19	10	18	17	23	10	18	21	13	25	13	10						
Cases in Review Cycle	234	233	235	235	236	226	229	226	219	219	219	210	202	203	205	199	206	209	213						
Preliminary Hearings	7	3	7	6	5	5	5	4	4	4	8	8	6	7	15	12	5	11	4						

Year End 15/16	16/17 Forecast				
	Original Forecast	3 month re-forecast	6 month re-forecast	9 month re-forecast	YTD Total
403	403	403	403		314
312	321	321	321		235
82	82	82	82		76
243	20	20	20		168
208	235	233	213		117
208	235	229	206		110
210	210	213	227		213
66	118	118	105		54

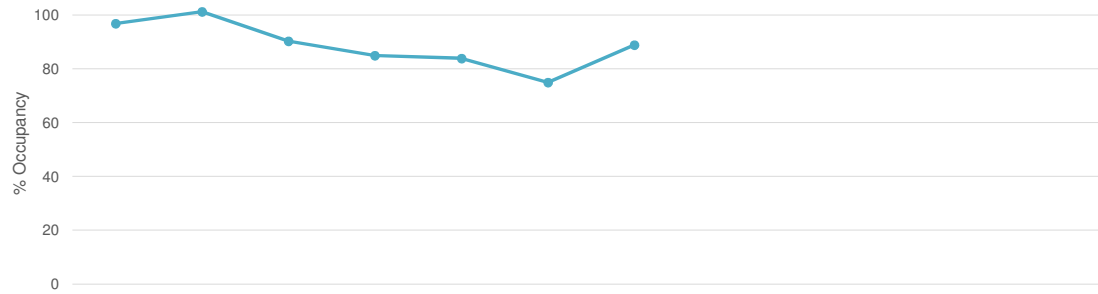
Hearing Days and Witnesses



	2015			2016									2017											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Days of Final Hearing	112	83	75	88	98	112	97	128	79	113	120	89	156	83	145	136	129	140	155					
Days of Review Hearing	10	19	11	12	13	9	15	18	8	15	12	17	13	19	13	12	15	9	7					
Days of Interim Order Hearing	26	26	15	27	17	21	24	14	20	20	18	19	18	26	24	23	13	16	6					
Days of Restoration Hearing	1	0	0	0	0	2	1	0	1	0	1	1	0	3	0	1	0	0	0					
Days of GSCC transfer Final Hearings	0	6	4	12	0	0	0	0	0	4	0	0	0	0	0	0	0	0	0					
Days of Investigating Panel Hearing	11	10	10	10	10	12	10	11	8	11	11	9	10	9	8	10	9	11	10					
<b>Total Days of Hearing</b>	<b>160</b>	<b>144</b>	<b>115</b>	<b>149</b>	<b>138</b>	<b>156</b>	<b>147</b>	<b>171</b>	<b>116</b>	<b>163</b>	<b>162</b>	<b>135</b>	<b>197</b>	<b>140</b>	<b>190</b>	<b>182</b>	<b>166</b>	<b>176</b>	<b>178</b>					
Days of External Hearing	18	22	39	5	19	22	12	17	30	20	32	22	42	23	21	41	16	23	25					
% of Days of External Hearing	11	15	32	3	13	14	8	10	25	12	19	15	21	16	11	23	10	13	14					
Average days per Final Hearing	2.9	3.0	2.5	2.6	3.2	2.8	3.1	4.1	2.2	3.6	3.4	2.4	3.7	1.9	3.1	3.1	2.7	3.3	3.2					
Number of Witnesses (Fact)	59	67	66	61	72	77	63	88	45	70	84	54	97	95	89	87	72	86	99					
Number of Witnesses (Expert)	2	2	1	2	0	2	0	1	0	2	1	3	4	3	1	1	2	3	1					

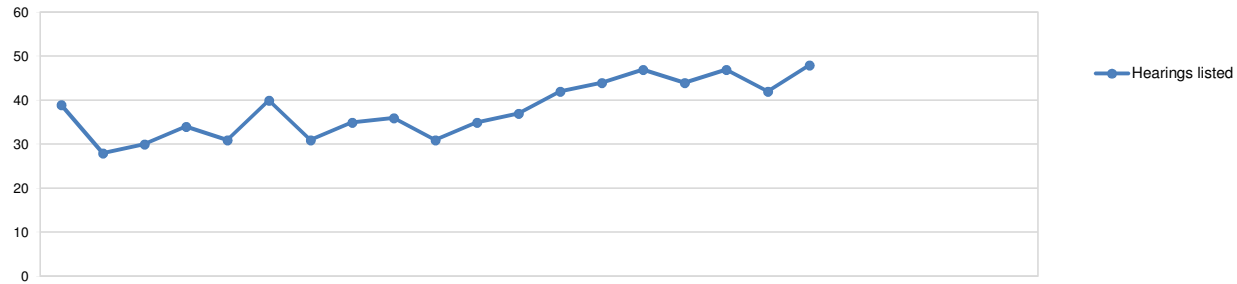
12/13 FYE	13/14 FYE	14/15 FYE	15/16 FYE	16/17 YTD
574	870	1180	1,194	944
77	101	124	159	88
107	124	196	247	126
1	1	5	7	4
32	253	40	22	0
123	108	136	123	67
957	1,554	1,672	1,756	1,229
198			258	166
21			15	15
2.5	3.6	3.4	3.0	3.0
529	907	937	806	625
6	17	15	16	15

405 Kennington Road Capacity



	2016	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	2017	Feb	Mar	16/17
	Apr									Jan			YTD
<b>Available Days for Hearing</b>	20	19	22	20	22	22	21	22	16	21	20	23	248
<b>405 KPR Hearing Room Capacity</b>	160	152	176	160	176	176	168	176	128	168	160	184	1,984
<b>405 KPR Forecast Capacity</b>	160	152	176	160	176	176	168	176	128	168	160	184	1,984
<b>405 Hearing Room Used</b>	155	154	159	136	147	132	149						1,032
<b>405 % Occupancy</b>	97	101	90	85	84	75	89						89
<b>405 ICP Room Capacity</b>	20	19	22	20	22	22	21	22	16	21	20	23	248
<b>405 ICP Room Capacity Used</b>	50	47	36	50	41	50	38						45

Panel Hearings Decisions (Preliminary and Final Hearings)



		2015			2016												2017					12/13	13/14	14/15	15/16	16/17					
		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	FYE	YTD	
Conduct & Competence and Health Committee	Hearings listed	39	28	30	34	31	40	31	35	36	31	35	37	42	44	47	44	47	42	48						266	311	420	407	314	
	Adjourned / cancelled / postponed	2	1	0	2	1	1	4	5	0	3	3	4	4	4	8	5	2	4	13						24	25	34	26	40	
	Part heard	4	5	2	3	3	5	2	4	5	4	10	6	4	4	6	10	2	3	6						11	15	38	53	35	
	Referred to other committee	1	0	1	0	0	0	0	1	0	0	0	1	1	0	0	0	0	0	0						2	4	3	4	1	
	Caution	5	3	2	3	2	2	3	3	3	1	2	3	5	4	1	1	5	3	5						41	36	52	32	24	
	Conditions of practice	3	2	3	6	3	2	3	2	4	5	6	1	1	4	2	5	2	5	1						14	26	39	40	20	
	No further action	0	1	0	1	0	0	0	0	0	1	0	0	1	0	4	1	0	2	0						2	6	6	3	8	
	Not well founded /wholly discontinued	5	3	10	7	7	10	9	10	11	4	2	8	10	12	8	7	11	12	7						54	69	89	86	67	
	Consent - removed	3	2	1	0	2	2	3	3	1	3	1	2	0	1	2	2	7	2	0						12	20	31	23	14	
	Consent - caution	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0						n/a	0	0	1	1	
	Consent - conditions	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0						n/a	0	0	1	0	
	Consent - suspension	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0						n/a	0	0	0	0	
	Struck off	6	4	5	8	5	10	5	5	7	3	5	6	7	7	6	11	6	3	9						44	52	62	69	49	
	Suspended	7	7	6	5	7	8	2	2	3	0	6	4	8	8	9	2	15	7	7						61	57	69	57	56	
Investigating	Amended	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0							0	0	0	0	0	
	No further action	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0							0	0	1	0	0	
	Not well founded	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0							0	0	0	0	0	
	Part heard	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0						1	0	0	0	0	
	Removed	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0						1	1	1	0	0	
<b>Cases concluded</b>		<b>29</b>	<b>22</b>	<b>27</b>	<b>31</b>	<b>26</b>	<b>34</b>	<b>25</b>	<b>25</b>	<b>29</b>	<b>17</b>	<b>22</b>	<b>25</b>	<b>32</b>	<b>36</b>	<b>32</b>	<b>29</b>	<b>46</b>	<b>35</b>	<b>29</b>					<b>228</b>	<b>266</b>	<b>348</b>	<b>312</b>	<b>239</b>		
% of Concluded Cases Disposed of via consent		10	9	4	3	8	6	12	12	3	18	5	12	0	3	6	7	15	9	0					5	8	9	8	6		
% of Concluded Cases with a Reviewable Sanction		34	41	33	35	38	29	20	16	24	29	55	20	28	33	34	24	37	34	28					33	31	31	31	32		