

## The performance review process 2016-2021





## Who we are

We are an independent body, accountable to the UK Parliament. We exist to protect the public by improving regulation and registration of health and care professionals.

---

## How we work

We ensure that our values are at the core of our work: they are at the heart of who we are and how we would like to be seen by our partners. Our organisational values are:

- integrity
- transparency
- respect
- fairness
- teamwork.

There are **three main areas to our work:**

- Reviewing the work of the regulators of health and care professionals
- Accrediting organisations that register health and care practitioners in unregulated occupations
- Giving policy advice to Ministers and others and encouraging research to improve regulation.



## At the heart of everything we do

is a simple purpose...to protect patients, service users and the public by improving the regulation and registration of health and care professionals and practitioners.

## Introduction

Every year, we review the performance of 10 organisations who regulate health and care professionals. We publish a report about each regulator every year.

Our aim is to contribute to protecting the public by improving the regulation of people who work in health and care. Our performance reviews do this by:

- telling everyone how well the regulators are doing
- helping the regulators to improve, by identifying strengths and areas for improvement
- focusing on public protection.

This guide outlines how we carry out our performance reviews.

Following two consultations in 2021, we have now introduced a new approach to how we carry out our performance reviews. This guide is relevant for any reviews carried out before the 2021/22 review cycle. For reviews from 2022 onwards, an **updated guide** has been produced. You can also find out more about the consultations **here**.

---

## The Standards of Good Regulation

Our performance reviews look at whether regulators are meeting our Standards of Good Regulation (the Standards). The Standards set out the outcomes we expect regulators to achieve. The Standards cover the regulators' four key functions:

- Guidance and standards
- Education and training
- Registration
- Fitness to practise.

There are also general Standards, which look across all a regulator's activities. You can find more information about our Standards [on our website](#).

The Standards prioritise the core role of regulators in:

- protecting patients and reducing harms
- promoting professional standards
- maintaining public confidence in the professions.

## The performance review cycle

Every year, we carry out a performance review of each of the regulators we oversee. Each review starts with an assessment. During the assessment, we consider the information available about a regulator's performance against each of the Standards. We use this to make a recommendation to an internal panel. The panel decides whether we need to carry out a further review to determine whether each Standard is met.

If the panel decides we should carry out a further review, we will take appropriate steps to gather the further information we need. Once we have completed our enquiries, we will make a recommendation to our panel about whether each Standard subject to further review is met. The panel will make the final decision. Then we publish our performance review report about each regulator to explain what we looked at and what we found.

The following sections explain more about each stage of the process.

---

## Assessment

We gather information about the regulators' performance throughout the year. On an annual basis, we draw together the available information to make an initial assessment of the regulator's performance over the preceding 12 months. Assessments for each regulator are scheduled throughout the year. We publish [the schedule on our website](#).

Our assessment looks at a broad range of information. It usually includes all of the following:

- the outcome of the previous year's performance review, particularly where we identified issues that would need to be kept under review
- the relevant part of our regular dataset – this is an agreed set of statistical information all the regulators send to us each quarter
- a check of information on the regulator's published register
- information from our reviews of the regulator's final fitness to practise decisions under our Section 29 process
- information published by the regulator, including reports, research and Council and committee papers
- press releases by the regulator and public statements made by its stakeholders
- feedback received from third parties including concerns raised with the Authority – in the run-up to each assessment, our website features a call for feedback about the relevant regulator
- current policy and process documents provided by the regulator.

Our assessment results in a recommendation for each Standard: either that the Standard is met or that we should seek further information. To make the decision, we arrange an internal decision-making panel of senior staff. The panel will decide whether or not to accept the recommendation for each Standard.

If the panel decides that we have enough evidence to say that a Standard is met at the assessment stage, we will not need any more information about that Standard for our review. So if the panel decides that all the Standards are met following our assessment, we will not need to carry out any further review, and will proceed directly to writing our report. In every case, we write to the regulator to confirm our panel's decision.

---

## Further review

If the assessment panel decides that we need further information to decide whether a regulator has met one or more Standards, we will carry out a further review. The action we need to take will vary from one review to another. For each Standard under further review, we will decide what we need to do to get the information we need to make a robust decision.

Often our reviews will involve one or more of the following:

- asking a regulator for further information
- meeting relevant staff from the regulator to discuss an aspect of its performance
- carrying out file reviews of a sample of the regulator's work.

If, during our review, we come across new evidence which changes our view about a Standard that was met following our assessment, we will reconsider it. Because different reviews involve different types and amounts of work, they vary in how long they take. This is why we cannot say in advance when our reviews will be completed.

When we have gathered the information we need for our further review, we will analyse it in order to make a final recommendation to our panel about the regulator's performance. The panel will make the final decision about whether each Standard is met.

## Report

Once we have made our final decision about the regulator's performance against the Standards, we will write our performance review report. The report explains what we looked at and what we found. The report does not set out full details of everything that we considered during the assessment and review, but it provides enough information so that people can understand how we reached our decision about each Standard.

We share a copy of the draft report with the regulator before publication, so that it has a chance to clarify any factual misunderstandings. If a regulator asks us to make changes to the report, we will consider doing so, but we are an independent organisation and we make the final decision about the content of our report.

You can find our published performance review reports [on our website](#). We also send our reports to Parliament and the devolved administrations.

---

## Find out more about



- [Our work reviewing the regulators in this short case study](#)
- [How sharing experience helps us in our performance reviews](#)
- [Read more performance reviews](#)
- [See deadlines for sharing feedback with us in our performance review schedule](#)
- [Find out more about how to share your feedback/experience with us](#)
- [Find out more about our Standards of Good Regulation](#)

Find out more about all our work at  
[www.professionalstandards.org.uk](http://www.professionalstandards.org.uk)