

GOC Performance Report: Jan– Mar 2018

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Quarter 4 – Performance overview

We have made good progress with the projects that will enable us to meet our strategic objectives, including the Education Strategic Review, CET Review and the development of new business standards. We have also progressed our work to develop a new route to registration for optometrists from outside Europe, with a view to having new processes in place by the end of Q1 2018/19.

HIGHLIGHTS

Registration: We have worked very hard to deliver a successful renewal process this year. Despite a 50% increase on phone calls received to last year and it being the renewal period, we exceeded our targets for timeliness and accuracy. All individual registration and restoration forms can now be completed online. Moreover, this was the first time we have asked Registrant to complete additional information to address the gaps in our Education electronic records. 88% of those that renewed completed the extra form.

Education Strategic Review and CET review: We are continuing our work to ensure that the system of education and training equips both students and the current workforce for future roles. The responses to our recent consultation on the ESR showed broad support for our direction of travel. The project remains on track and we are now focused on implementation. We have revised our plans to make improvements to the CET scheme to speed up delivery and increase alignment with the ESR.

Communications: We are evaluating the impact of our second 'love your lenses campaign'. Initial feedback suggests high levels of positive engagement with the campaign, which focused on washing hands before touching contact lenses.

CHALLENGES

Education: We have a very challenging visit schedule. We are implementing our Business Improvement plan which will promote a new streamlined and fit for purpose Quality Assurance process. We are expanding our resources in this area and have appointed a new Head of Operations. We continue to work on developing key performance indicators, which will be completely embedded in 2018/19.

FTP: We continue to implement changes to speed up the FTP process with evidence of improvements. For example the proportion of cases closed is improving from 43 cases in Q1 to 69 cases in Q4. However, overall these improvements will take time to impact on our timeliness and other KPIs.

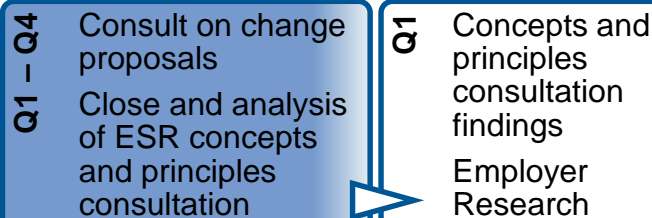
We are monitoring progress against our glide path and expect to see improvements with stage 3 and stage 4 cases later in the year.

Quarter 3 – Strategic projects update - Learning & development of optical professionals

Deliver a strategic review of optical education and training and implement changes to ensure that optical professionals are fit to practise in line with our standards throughout their careers

Education Strategic Review

Delivery: On track



Key activities

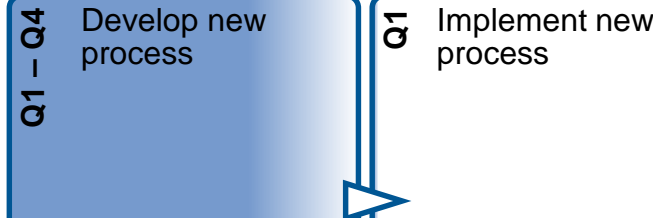
- Analysed consultation on concepts and principles findings
- Continuing system wide thought leadership: health systems wide engagement on professional roles and boundaries of GOC; publication of discussion document
- Commissioned newly qualified and employers research brief
- Progressed policy analysis and development on future learning outcomes and course content
- Exploring ways of implementing a revised approach to education, including potential opportunities for some education providers to embrace this more quickly

Risk to delivery

- Ensuring that the project continues to be appropriately resourced

Review of Non-UK registration process

Delivery: Delayed



Key activities

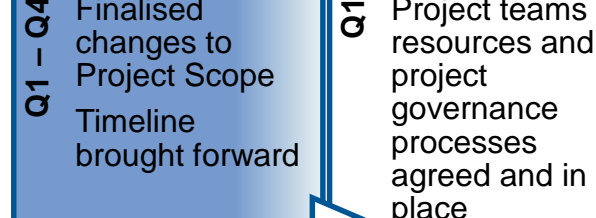
- Examined alternative approaches to non-EEA process
- Engaged with College of Optometrists around new approach
- Approach revised in the light of this analysis and engagement
- Development of new process delayed, but implementation will still be within a year of the last non-EEA exam run by the College of Optometrists (held in July 2017)

Risk to delivery

- Implementing new process by June 2018 will require us to agree an MoU with the College, although we do not envisage any significant issues arising.

CET scheme evaluation

Delivery: On track



Key activities

- Re-scoping of the project communicated to stakeholders
- CET Reference Group helped shape policy options operational changes
- Education learning outcomes for specialty courses developed to support CET and ESR reviews
- Separate policy and operational projects established with discrete objectives and resourcing
- Timeline for change brought forward to 2020 with 2019 transition year.

Risk to delivery

- Resourcing of comms function
- Legislative reform required for some changes
- Reduced consultation and notification periods

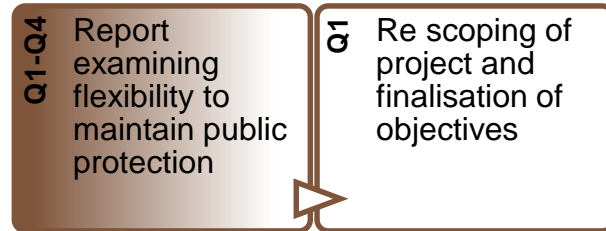
Objective	Deliver a strategic review of optical education and training and implement changes	Ensure that our processes for registering non-UK applicants are fit for purpose and comply with existing legislation	Evaluate the effectiveness of our CET scheme and implement changes
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Quarter 3 – Strategic projects update - Targeted approach to regulation

Build our evidence base and use the full range of our regulatory levers in a proportionate way to address risks to the public

Review of the Opticians Act

Delivery: Changed



Key activities

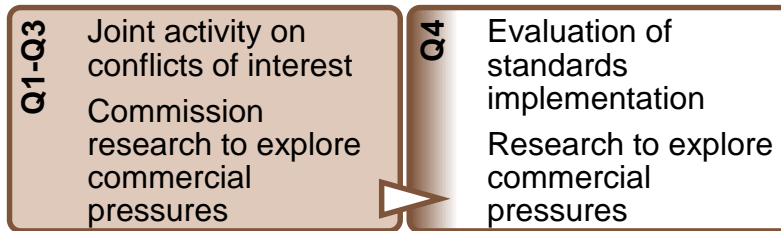
- Project subsumed into wider regulatory reform project, which will focus initially on pursuing legislative change in line with our organisational priorities.
- Project plan in development.
- Working with Department of Health to understand our options in terms of legislative reform and other avenues for pursuing our policy aims.

Risk to delivery

- Risk of diminished ability to provide effective regulation due to changing optical landscape.

Standards Strategic Review

Delivery: On Track



Key activities

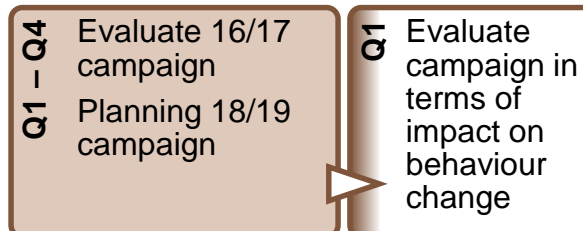
- This project has been re-scoped to focus on Business Standards, from Q4, with some elements of the standards work moving to business as usual for 2018/19.
- Engagement on development of business standards with advisory committees and external stakeholders
- Development of guidance on driving and DVLA referrals
- Review of publications on refractive surgery
- Data gap analysis for evaluation of standards of practice

Risk to delivery

- Risk to delivery of business standards as a result of failure to engage sufficiently with stakeholders - mitigated by carrying out stakeholder mapping, comms planning and continuous engagement activities prior to and during consultation.

Safe Contact Lens Use

Delivery: On track



Key activities

- 2018 Love Your Lenses awareness week took place 24-30 March 2018 (analysis to be completed next quarter)
- Planning continued for new workstream on improving registrant practice in delivering contact lens aftercare messages to patients – pilot due to take place in May 2018

Risk to delivery

- Need to maintain effective engagement with and support from stakeholders.

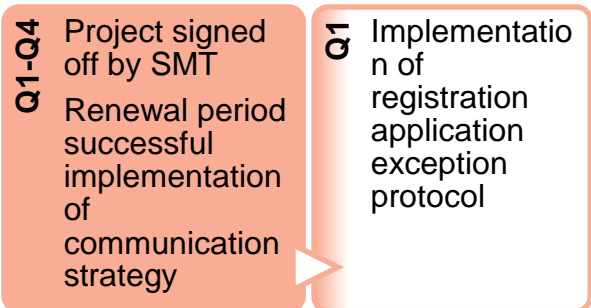
Objective	Review the Opticians Act to identify opportunities and changes required to reduce risks in patient safety and improve organisational effectiveness and efficiency	Evaluate the impact of standards for individual registrants and develop new standards for optical business registrants which reflect good practice and are flexible enough for care to evolve	Increase public awareness of risks from poor contact lens care and encourage businesses to adopt good practice and comply with the law
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Quarter 3 – Strategic projects update - Organisational Transformation

Deliver high quality, efficient services to the public and registrants underpinned by a culture of evaluation and continuous improvement

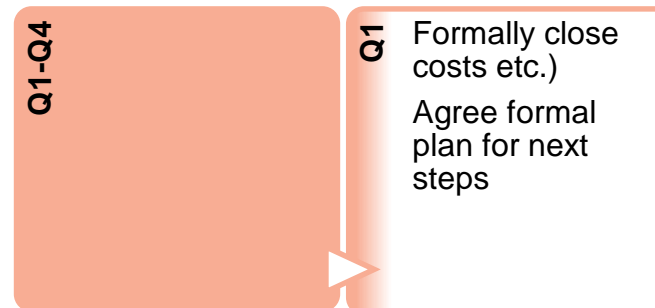
Registration: Data Integrity

Delivery: On Track



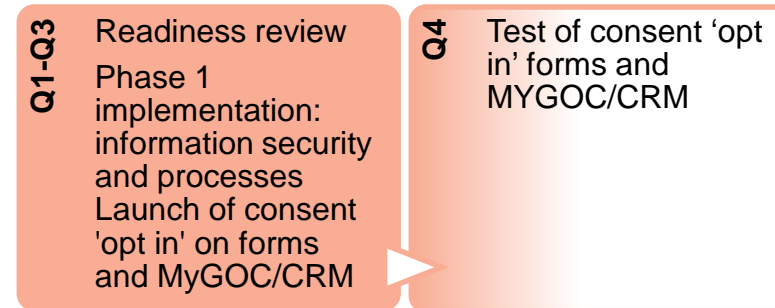
IT Strategy

Delivery: Closed



Compliance with the GDPR

Delivery: On track



Key activities

- Project focus on Registrant Education Data
- Regular exception reports in development to eliminate any issues with records.
- Total number who have provided additional information 18,309/22,255 82%

Risk to delivery

- Resources required for developing ongoing approach and strategy and to manage the future uploads scheduled

Key activities

Celerity migration work are on track to meet GDPR May deadline with documented plan of action for post May work.

Risk to delivery

Incompatible software versioning still poses a high risk however a plan to upgrade out of date software has been proposed and will commence soon.

Key activities

- GDPR toolbox training delivered to all staff
- Privacy notices are being updated
- Information Governance Handbook being presented to ARC for updated Data Protection policy
- Readiness reviews and status updates being completed with all Information Asset Owners.

Risk to delivery

- Risk to timescale for delivery for some IT improvements is contingent on the IT review.
- Risk to delivery is also on change in resourcing.

Objective	Project focus on historical challenges to the quality of Education data held on CRM	Develop an organisation wide IT Strategy that is fit for purpose and supports the organisation's transformation ambitions.	Review information governance processes required to ensure compliance and implement changes
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Quarter 4 - Business plan progress

Our business plan includes over 250 strategic and operational activities. Highlighted here are any activities which have not progressed as planned in the year to date.

Business plan areas with significant change to Business Plan in 2017/18

Projects

- CET Policy and Operational project split in 2 and re-scoped
- Legislative Reform – objectives broadened and re-scoped
- Quality Assurance closed
- Change to Non UK Registration project approach

Research

- Commercial Pressure research not commissioned
- Domiciliary Care changed from external commissioned to in-house research

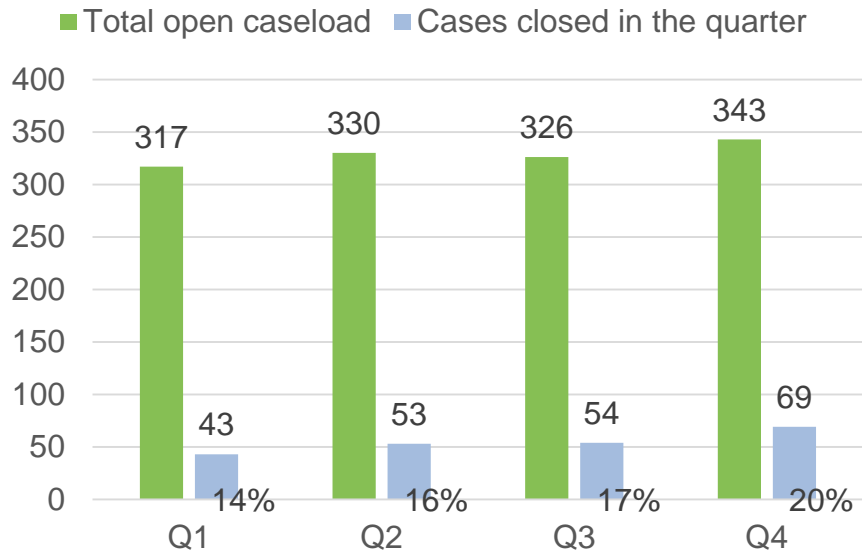
Significant team changes

- Education, process design and revision of key policies to align with Education Strategic Review work
- IT outsourcing of core IT requirements and revised approach to CRM

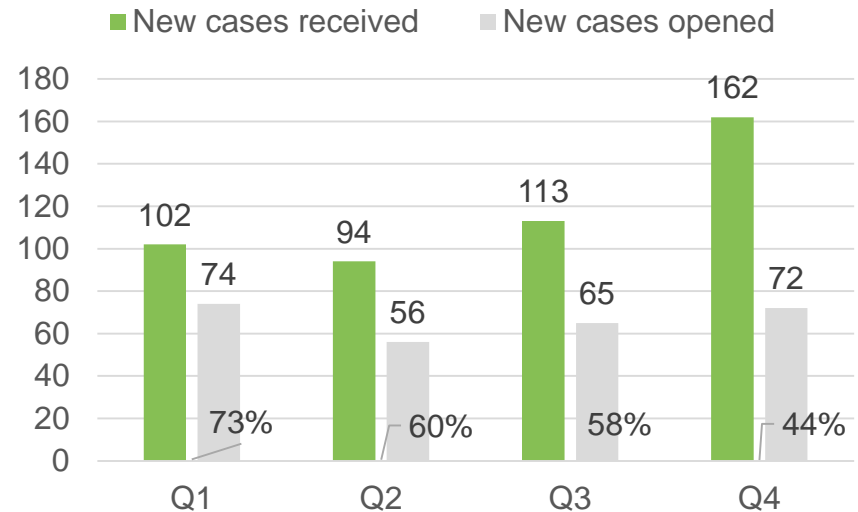
Departments	Delay Risk*	Delayed Operational Work
FTP	Med	Finalisation and implementation of part 2 of FTP operational manual delayed to Q1 2018/19. Annual update of Indicative Sanctions Guidance delayed to Q1
Education	Low	Finalising the APL policy delayed to Q1 2018/19 – minor impact on providers
Finance	Low	Q4 management accounts and income related reconciliations will continue till mid-April.
IT	Med	Change over and implementation of Office 365 delayed. Significant changes to IT Business Plan programme in 2017/18
Registration	Low	Remaining QA recommendations to be implemented delayed 2018/19 (all high risk tasks completed)
Communications	Low	Development of digital communications strategy delayed to Q4 Implement stakeholder engagement delayed to Q1
Legal	Low	Implementation of illegal practice internal audit recommendations delayed to 2018-19

FTP Caseload Analysis

The number of open cases continues to increase slowly. However, the proportion of cases closed is improving from 14% in Q1 to 20% in Q4.



The end of the renewal period in Q4 explains the increase in the number of open cases. On average we open about 6 of the 10 cases received.

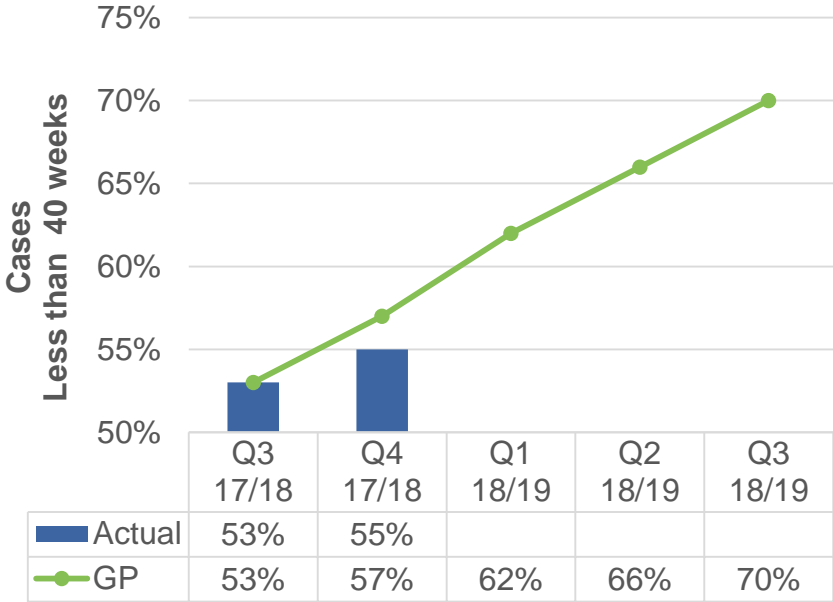


The number of investigations closed has continued to increase each quarter this year. In contrast the number of FTP Hearing cases remains fairly static.

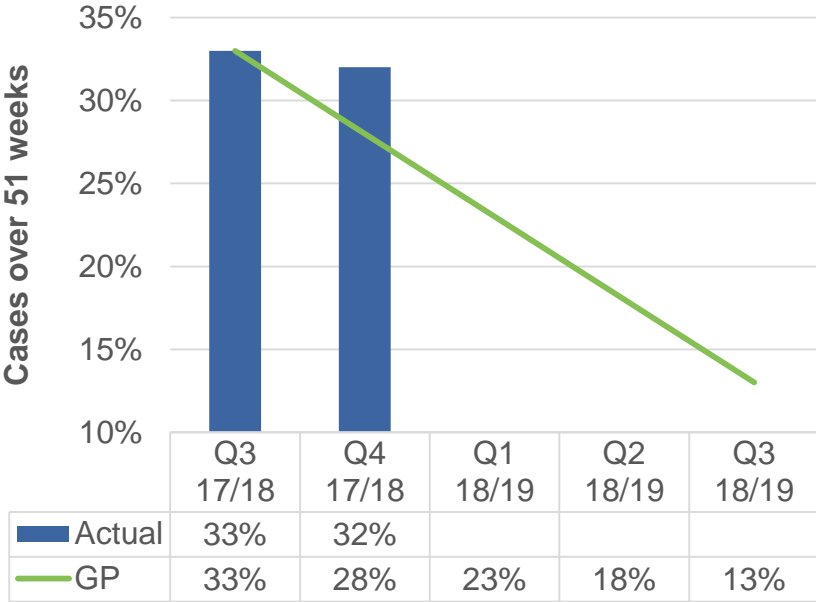
	Q1 17/18	Q2 17/18	Q3 17/18	Q4 17/18
Cases closed	Inv 36 FTP 7	Inv 47 FTP 9	Inv 47 FTP 7	Inv 61 FTP 8
Open cases	Inv 249 FTP 81	Inv 236 FTP 88	Inv 249 FTP 88	Inv 256 FTP 87

Stage 2 – Glide Path Progress

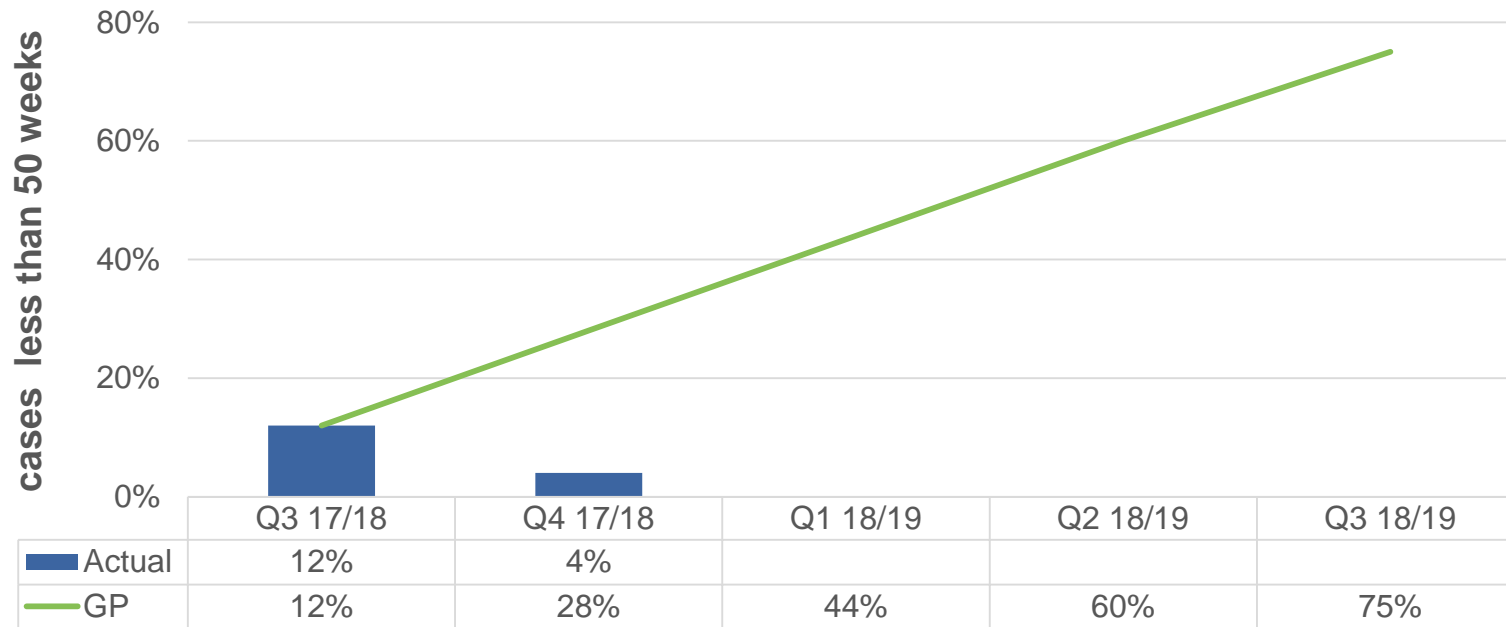
We are moving in the right direction. However, the rate of progress will need to improve to meet our target in 2018/19. Of the 256 investigation open cases 140 are less than 40 weeks old compared to 131 last quarter



Since the previous quarter there is little change in the percentage of older stage 2 cases. This will need to improve significantly over the next few quarters if we hope to maintain the proposed glide path (82 cases in Q4 and Q3)



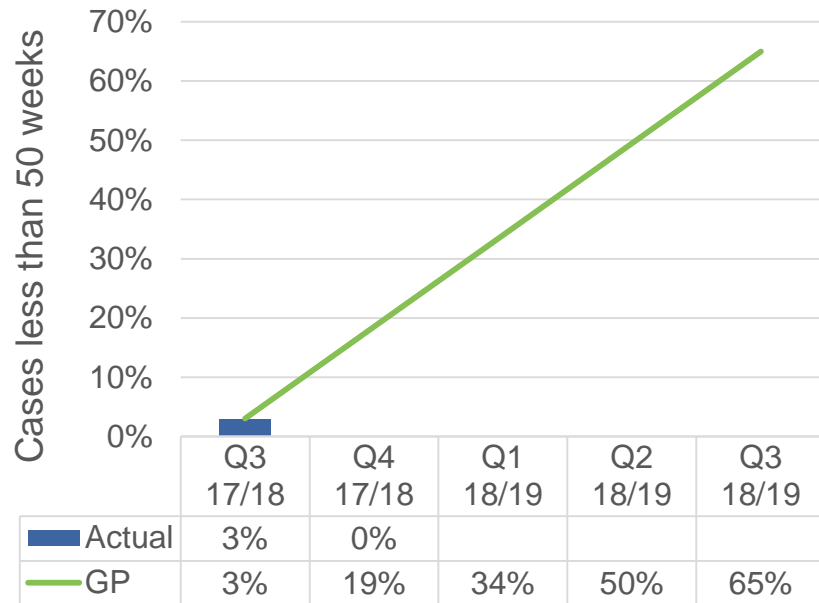
Stage 3 Glide path progress



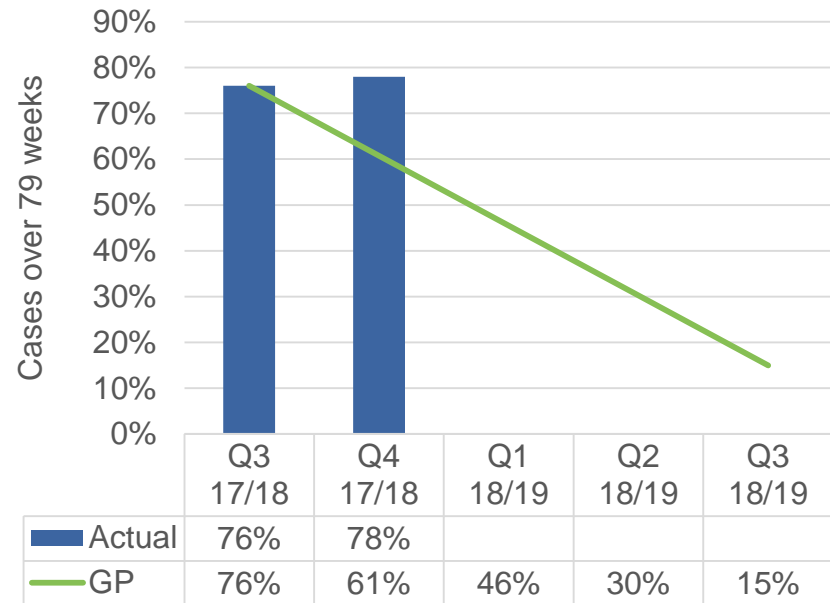
- Last quarter 6 cases at this stage were under 50 weeks. In Q4 only 2 cases at Stage 3 are under 50 weeks.
- Similarly, there is a slight increase in the number of cases over 79 weeks from 33 out of 54 cases being over 79 weeks to 36 cases out of 55 over 79 weeks in Q4.
- Therefore, at present achieving the desired progress against the glide path by 2018/19 appears to be very challenging (if all other factors remain at equilibrium).

Stage 4 Glide path progress

It is important to note that the smaller number of cases at this stage (34 in Q3 and 32 in Q4) will lead to volatility. Therefore, making tracking the progress against the glide path more challenging. Performance appears to be static in this area.



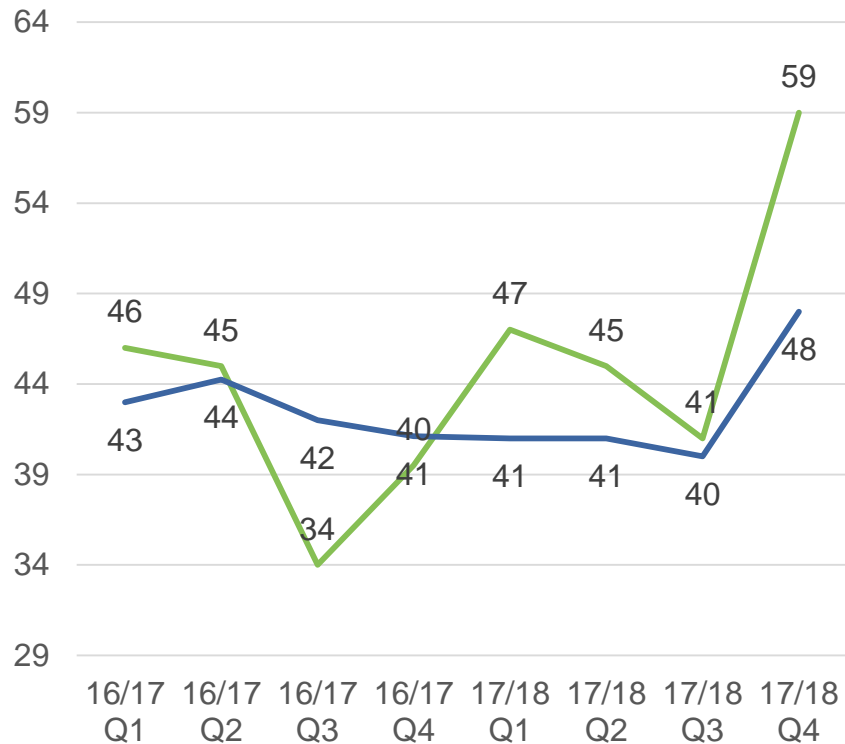
The majority of open cases in stage 4 are over 79 weeks old. However, it is important to look at the number of cases closed to get a full picture of performance. Currently that is static around the 8-10 cases a month



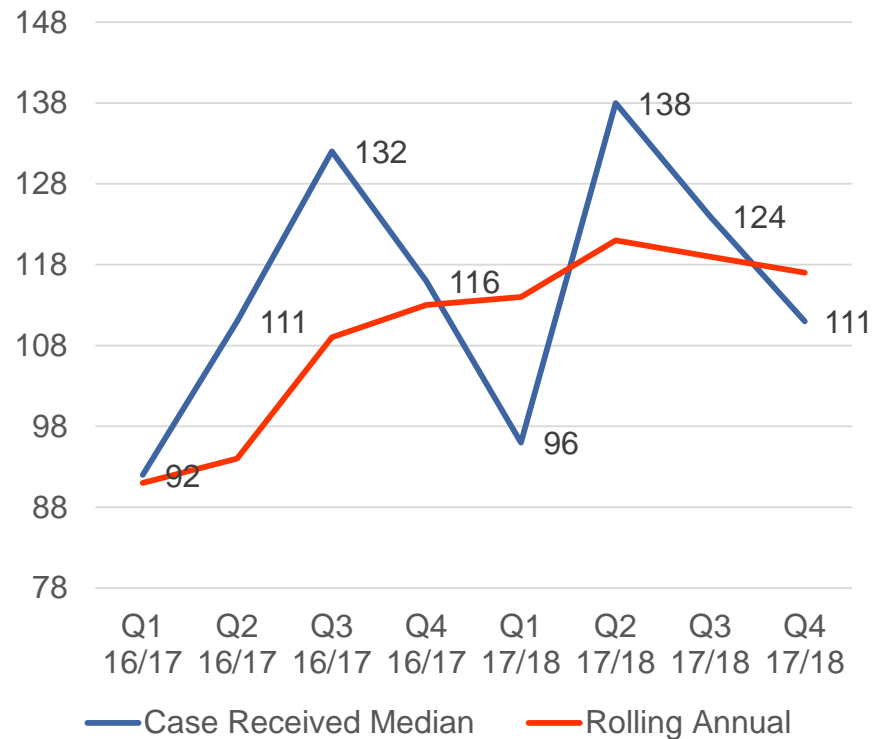
FTP Timeliness Data

It is possible that the increase in median closure time will increase initially as we close older cases. However this figure should go down as we progress against our glide path and the overall age profile of cases decreases.

Time taken to final Investigation determination incl Stage 1 & 2 (weeks)



End to End Time taken to final FTP hearing determination (weeks)

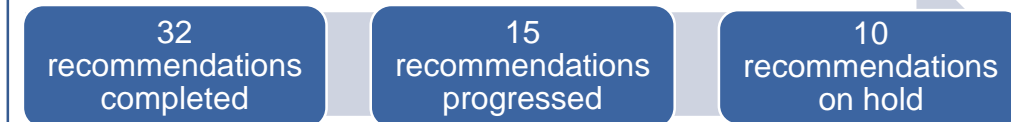


Quarter 4 – Registration performance

Overview

- **Register:** 420 new registrants were added to the register - 38% optometrist, 22% dispensing opticians, 31% students and 9% body corporates.
- **Annual renewal:** 98.6% individuals and 96% body corporates renewed. 137 individuals failed to renew, 371 individuals retired or withdrew, 41 body corporates failed to renew and 58 body corporates withdrew. In 2017 141 individuals and 31 body corporates failed to renew.
- **Additional information:** This renewal period we asked for all individual registrants to complete additional information to address the gaps in our Education electronic records. 88% of those that renewed completed the extra form. Work is being done now to analyse the data captured. The form also captured EDI data.

Progress with completion of Registration process improvement & audit recommendations



Accuracy Measure	17/18 Q1	17/18 Q2	17/18 Q3	17/18 Q4
95% of all new entries to the register are accurate	78%	89%	96%	98%
80% of form completed within deadline			83%	83%

Achievements

- Despite a 50% increase on phone calls received to last year and it being the renewal period, we exceeded our targets for timeliness and accuracy
- All individual registration and restoration forms can now be completed online. This is the last stage of our interim solution until MyGOC/website is changed to allow for registrants to input information that automatically synced to CRM.
- Our EEA application process has made significant process in the last two quarters. The revised process of using two assessors per application is running smoothly and they have had two training days. We have significantly reduced the backlog of historical cases and introduced a new tracking system.

Challenges

- Once the Non-EEA process is approved we are expecting a significant increase in applications, these take up considerable time to process. We are working with SMT to ensure that there is adequate resource in place to manage the increase in applications.
- Process improvement work is expected to slow somewhat due to the departure of the Head of Registration as the managers will be taking on reporting and decision making tasks on top of their usual operational duties in the absence of a Head of Department.

Quarter 3 – Education, Standards & CET performance

We undertook four QA visits and one visit to a new provider in Q4, meaning that the Education team undertook 13 QA visits and eight provision approval visits in 2017/18. We currently have 23 visits scheduled to take place in 2018/19, to a mix of new and existing provision, and awarding bodies.

Across 2017/18, the Education team experienced staff turnover that impacted on our ability to meet our objectives as set out in the business plan. The team is now fully staffed, including a Head of Operations who took up post on 5 April 2018.

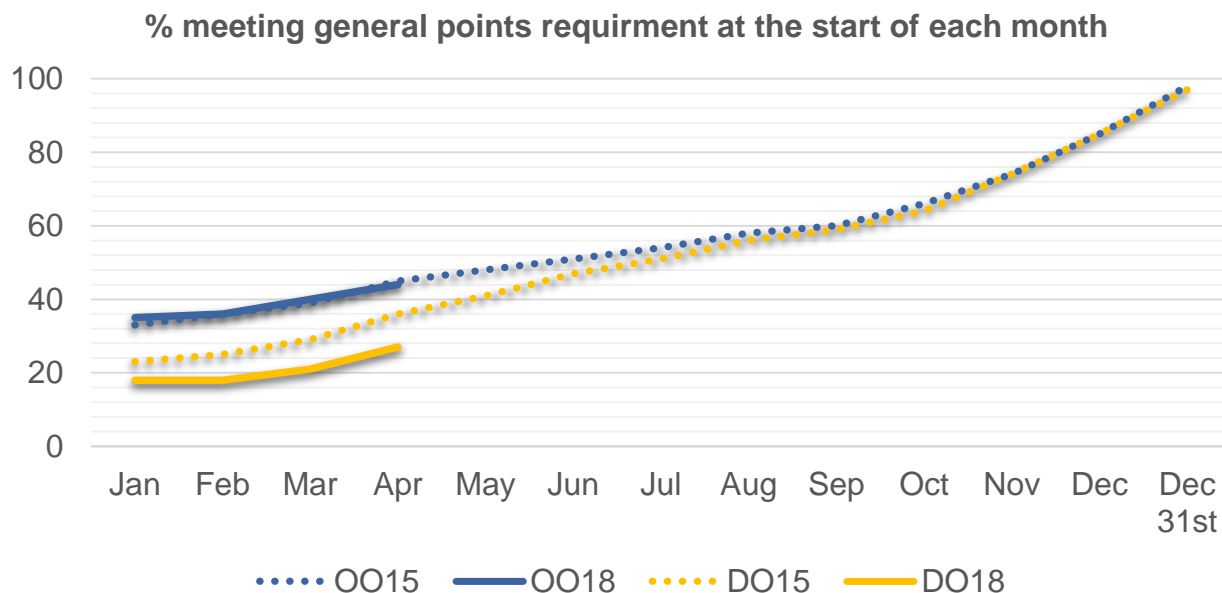
In Q3-Q4 2017/18, we developed a programme of business improvement work that cuts across all aspects of the Education function. In 2018/19, we will be delivering work in a range of key areas, in particular a new end-to-end QA process and annual monitoring. This will enhance the Education team's ability to execute its statutory function and reduce the risk profile of the team, in addition to preparing the optical education sector for the outcomes of the Education Strategic Review.

Quarterly quality assurance visit schedule

Q4 4 QA visits and 1 provisional approval visit

Q1 18/19 13 QA reviews and 8 provisional approval review

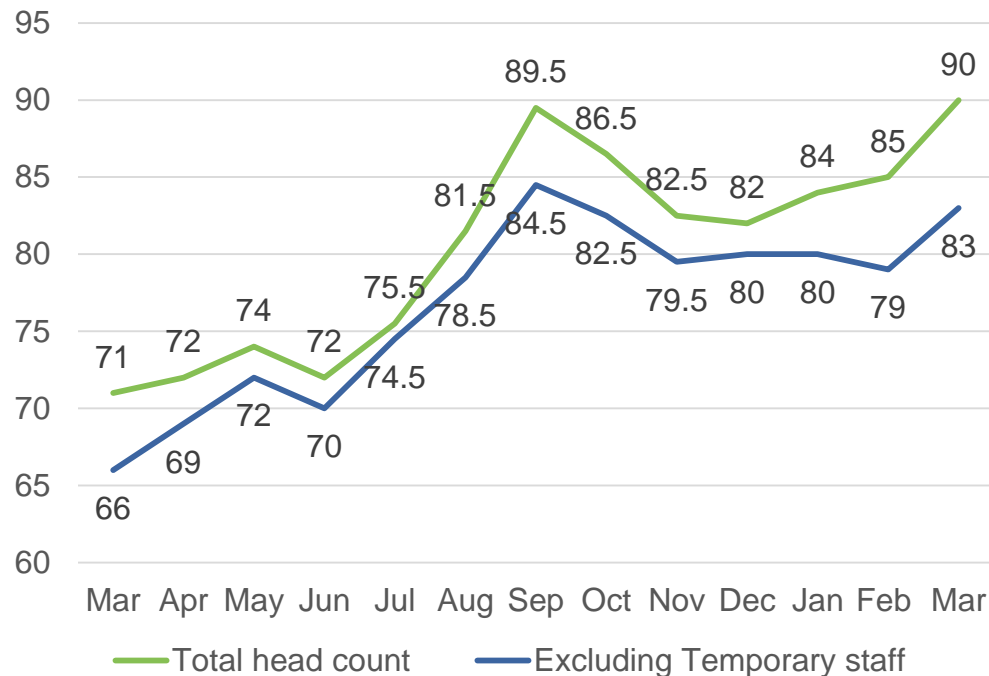
CET Performance: the percentage of registrants currently on track to meet their CET requirements this cycle closely mirrors the previous cycle. We have flagged the slight underperformance of DOs with our CET Reference Group of which ABDO is a member and will follow up in our ongoing communications.



Quarter 4 – Support functions performance

Human Resources

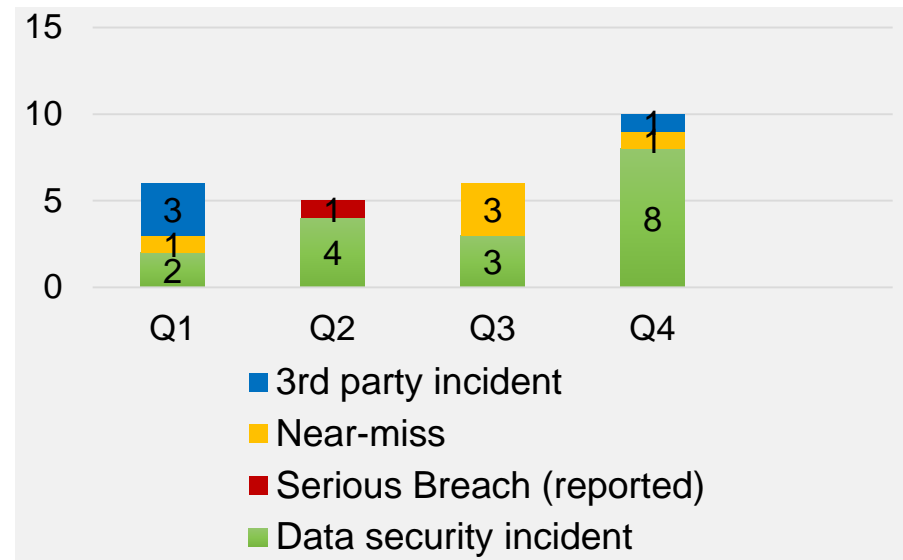
Increase in GOC workforce over 2017/18



Finance

- Finalised budget 2018/19 and developed cashflow forecast for the year
- Internal audit on Payroll. Awaiting final report.
- Systems audit on external audit

Data Security Incidents



Compliance

- 8 information governance breaches - dealt within the GOC and actioned appropriately.
- 1 register request, 0 subject access requests and 14 FOIs – all responded to within time
- 2 corporate complaints – average response time 10 days (target 20 days).