

GOC Performance Report: Jul – Sep 2019

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Quarter 2– Performance overview

HIGHLIGHTS

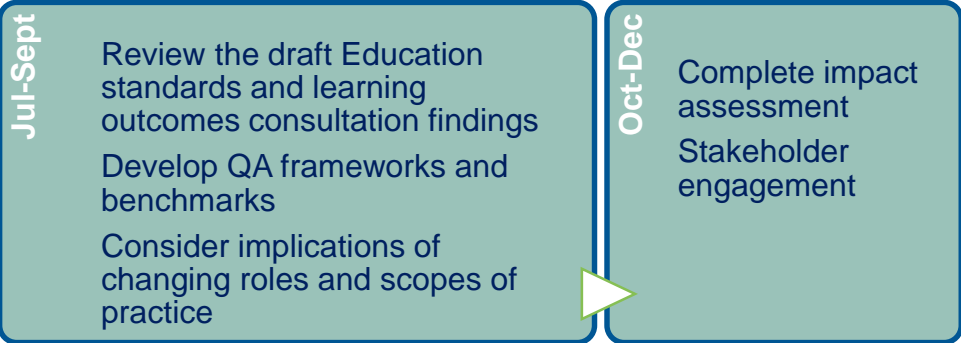
- Successful launch of updated **Acceptance Criteria** and enhanced **Triage process** (phase 1 of improvement programme)
- 17% **reduction in open cases** since end Q1
- Over 100 **case examiner decisions** this quarter
- Registrant **hearing panel members** induction and training complete
- **Median time complaints held in hearings** down to 26.7 weeks
- Publication of **Risk Research**
- Completion of **CET Evaluation Report**
- Publication of **GOC Response to ESR Consultation**
- New **Business Standards** came into effect on 1 October with launch of new standards website
- **Webinar** held to support implementation of new **Business Standards**
- Almost 1,000 **registration applications** processed within target timeframes

CHALLENGES

- **Open case median age profile** rising: impact of drive to fast track less serious (and more recent) concerns to case examiners
- Four **part heard hearings** this quarter impacting on closed case volumes
- Expected **service bundles** not materialised impacting on ability to schedule anticipated increase in hearings
- **Funding infrastructure** for ESR
- Perceptions of undue **influence of multiples** on progress of clinical placements
- Need for **legislative reform** to support reforms to CET and FTP
- Delays to implementation of **CRM changes**

Quarter 2 – Strategic projects delivery update

Education Strategic Review Delivery: **On Track**



Key activities

- Development of underlying policy infrastructure
- Expert Advisory Groups underway and public facing mini-consultation tool ‘open canvas’ is live – current focus is draft learning outcomes.
- Significant stakeholder engagement completed including ESR workshops regarding implementation and impacts for education providers, Education Visitor Panel and Advisory Panel. Stakeholder roundtable events planning started.

Risk to delivery

- Stakeholder engagement, addressed through our new communications plan.

CET review

Delivery: **On Track**



Key activities

- Risk in the professions research published
- CET evaluation completed for publication
- Workshops with key stakeholders on proposed changes to CET
- Council Strategy day workshop
- Preparation of business cases for SMT on all workstreams

Risk to delivery

- Legislative reform required for significant change
- Outcomes of ESR project will have direct impact – close co-operation between both projects in progress
- Resourcing
- This a large programme of interrelated work and the outcome of one project may impact on the deliverables of another

Objective	Deliver a strategic review of optical education and training and implement changes
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Implement changes to ensure the CET scheme operates effectively, can accommodate rapidly changing scopes of practise and changes to undergraduate education

Quarter 2 – Strategic projects delivery update

Legislative Reform

Delivery: **On Track**



Key activities

- Legislative change to remove hearings panel cap implemented.
- Provided comments on Government's draft legislation for FTP.
- Met other regulators to discuss legislative reform and opportunities for collaboration in developing new rules.

Risk to delivery

Government direction positive. Precise implications need to be worked through and timetable for legislative reform is uncertain.

Business Standards

Delivery: **On Track**



Key activities

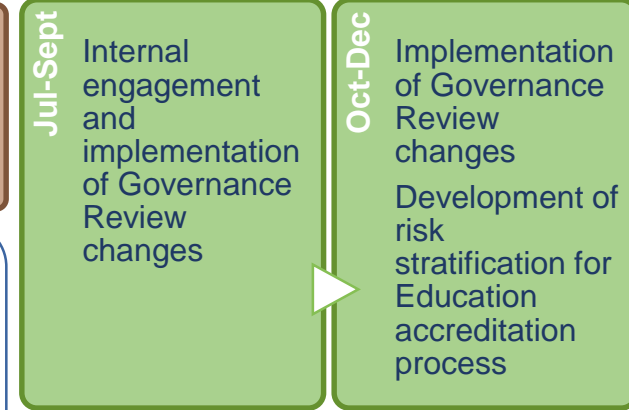
- Standards came into effect on 1 Oct and microsite (standards.optical.org) launched on same day
- Preparation for animation due for publication mid-November
- Preparation for CET-accredited webinar on 24 October

Risk to delivery

Ongoing need to raise awareness of the new standards to ensure positive impact and avoid an increase in regulatory work at a later date if the standards are not observed.

Efficiency Programme

Delivery: **On Track**



Key activities

- Advisory Panel proposal implemented and successful first meeting

Risk to delivery

Further work on Governance review is dependent on ESR, FTP & Legislative reform projects - mitigated by closing project and transferring activities into other projects.

Objective	Engage with Government's programme to improve legislation and allow us to operate more efficiently and effectively	Develop new standards for optical business registrants which reflect good practice and are flexible enough for care to evolve	Devise and implement changes that address external issues, and deliver significantly improved outcomes for patients and the wider public, through improved operational efficiency
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Quarter 2 – Regulatory functions delivery update

Standards

Delivery: **On track**

Jul-Sept

Vision and driving / confidentiality guidance consultation report
Develop unlicensed medicines guidance

Oct-Dec

Vision and driving / confidentiality guidance

Key activities

- Analysed responses to guidance on confidentiality, vision and safe driving and gained feedback from Advisory Panel
- Contributed to external working groups on remote consultation, frontline complaints handling, learning from healthcare reviews and College of Optometrists guidance
- Stakeholder engagement to inform guidance on medicines
- Responding to Standards-related queries from variety of stakeholders

Risk to delivery

No significant risk at present

Education

Delivery: **On track**

Jul-Sept

Conduct 4 visits
Develop provider portal

Oct-Dec

Conduct 6 visits
Open annual monitoring
Implement provider portal

Key activities

- This year's Annual Monitoring form is designed and was launched in October.
- Streamlined visit report confirmed.
- Risk and conditions management process trial is ongoing.
- Draft reformatted QA handbook consulted on with providers and feedback is being considered.
- 6 visits completed.

Risk to delivery

- IT strategy is under review so the provider portal is delayed.

Continuing Education and Training

Delivery: **On track**

Jul-Sept

c1200 CET approvals
Support registrants, providers and approver
Train CET approvers

Oct-Dec

c1100 CET approvals
Support registrants, providers and approvers
Train CET approvers
Manage end of CET

Key activities

- Training for CET Approvers delivered in July and August
- Average 338 general approvals per month, with 93% resolved within 10 working day KPI. Additionally, average 86 registrant led peer reviews reviewed with 81% meeting KPI.
- Collection of additional £1,770 through CET fast track admin fees.
- Enquiries Team trial begun.

Risk to delivery

No significant risk at present

Quarter 2 – Regulatory functions delivery update

Registration

Delivery: **On track**

Fitness to Practise

Delivery: **behind schedule**

Jul-Sept

Registration fully qualified and students – c1,000

Student removal following renewal - c300

c50 non-UK applications

Oct-Dec

Registration Fees Rules

Registration fully qualified and students – c1,000

c50 non-UK applications

Jan-Mar

Registrant Renewal – c24,000

c50 non-UK applications

Jul-Sept

c90 investigations & 12 FTP decisions

OCCS Annual Report

Hearing Panel development

Reviewed & implemented AC

Review Agreed Panel Disposal

Oct-Dec

c80 investigations & 7 FTP decisions

Case Examiner / IC development

Expert witness training

Key activities

- Annual student renewal closed (31/8). Online process improved to capture EDI questionnaire. 92% (5025) completed renewal.
- Nearly 1000 registrant applications processed within KPI timeliness targets
- Over 2000 inbound calls
- 187 Non-UK (EEA) applications in progress - no applications outside of the directive's timescales (118 EEA & 69 Non-EEA)
- Internal audit completed – report awaited

Risk to delivery

Brexit causes change in number of non-UK applications – we are monitoring levels of applications and enquiries and have developed a Brexit action plan

Key activities

- Acceptance Criteria reviewed and implemented
- Enhanced Triage process designed and trial period commenced
- Increased stakeholder engagement to increase awareness of revised processes
- 81 substantive CE decisions (excl. R.15) – most ever recorded.
- Open case median has increased as expected and will remain the focus for H2.
- Lower than planned FTP hearings have been scheduled due to delay in service. Reflective of the targeted approach to unblocking front end challenges.
- Fewer FTP closures than expected (9/12) due to a number of hearings going part-heard
- OCCS Annual report well received
- APD training delivered to panel chairs and members
- Currently consulting on approach to case management

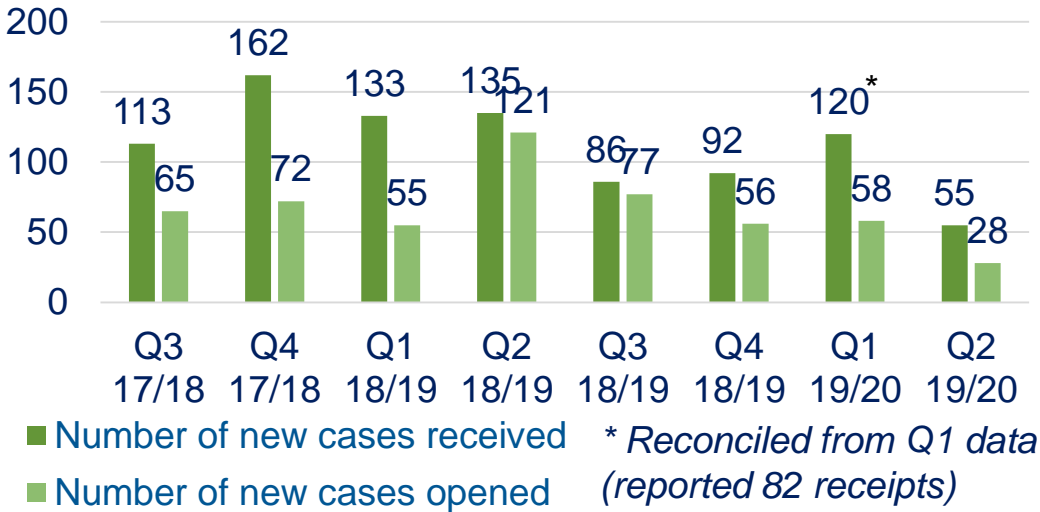
Risks to delivery

- Delayed service of cases increases overall risk of delivering overarching KPI. With renewed targeting of stage 3 in Q3 we still anticipate an increase in hearings in mid-late Q4 and across Q1 (20/21)

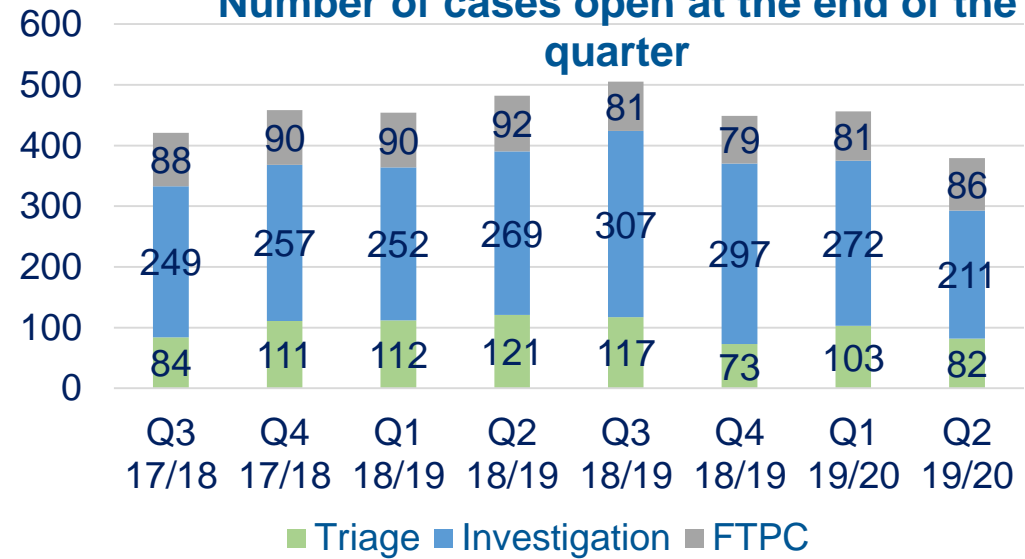
Registration Performance Measures	18/19 Q1	18/19 Q2	18/19 Q3	18/19 Q4	19/20 Q1	19/20 Q2
95% of all new entries to the register are accurate	97%	95%	95%	95%	95%	95%
85% of forms completed within deadline	94%	95%	95%	93%	95%	92%

Quarter 2 – Performance update – Fitness to Practise open caseload analysis

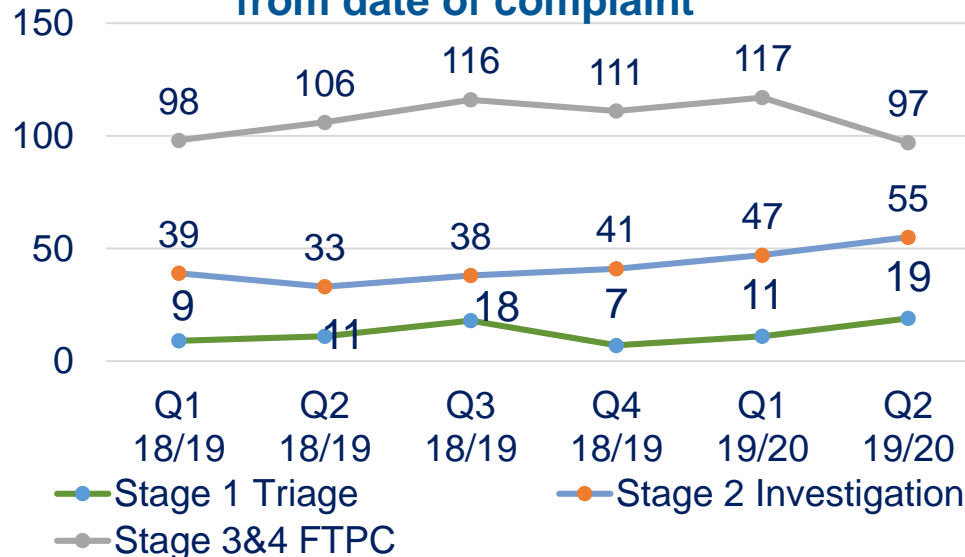
Number of cases received / opened



Number of cases open at the end of the quarter



Open Case Age (median) weeks from date of complaint



- A data cleansing and reconciliation exercise identified c.40 receipts not counted in Q1 data (*amended above)
- Our targeted focus on front end decisions has supported an overall reduction in caseload of 24% since April - (Triage -30%, investigations -31%, hearings +6%)
- Our open Triage median has risen to 19 weeks as we have focussed on early reviews. This will be addressed in early Q3.
- Almost met our year end forecast of 200 open investigation cases. The anticipated impact of this has been realised with an increase in the open median age profile.
- Q3 will focus on the post CE investigation and preparation (currently 29 weeks against a 10 week ambition). Weekly case clinics, supported by legal have been scheduled to tackle this.
- Our DSG has approved attendance by instructed panel firms to provide a pre and post meeting forum to review cases.

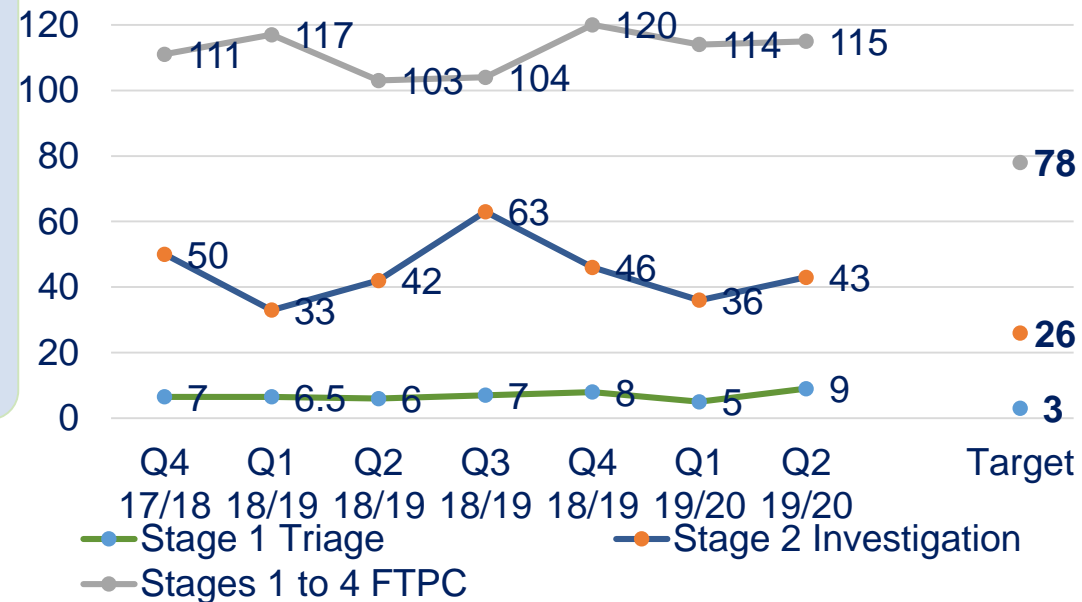
Quarter 2 – Performance update – Fitness to Practise

Closed caseload analysis

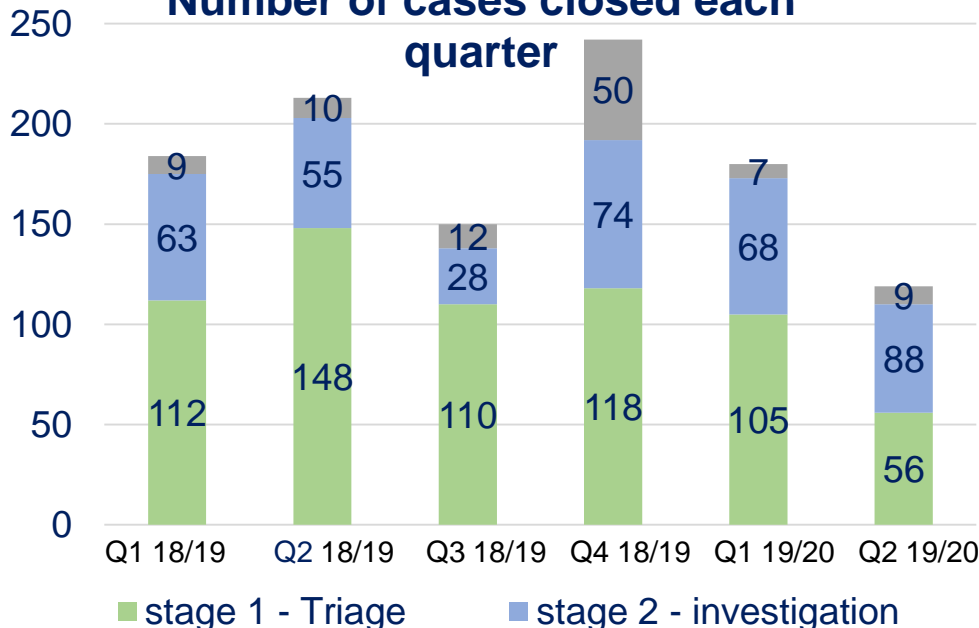
Stage 1 = Triage, Stage 2 = Investigation (CE decision), Stage 3 = Hearing prep and Stage 4 = FTP Committee decision)

- Our median for Triage closures has increased to nine weeks as we have reviewed a number of legacy concerns under the new process. This is likely to increase further as we target more aged cases in Q3 (*note: KPI has been increased to eight weeks during pilot phase*)
- The investigation median has, as expected risen in line with the fast-tracking of concerns to case examiners. We expect this to continue to fluctuate throughout 19-20 while our legacy investigations filter through
- Our end to end performance remains static and well down on the KPI but this is in accordance with our forecast data. We do not expect to meet this KPI until early to mid 20/21

Quarterly Stage Closure Median (weeks)



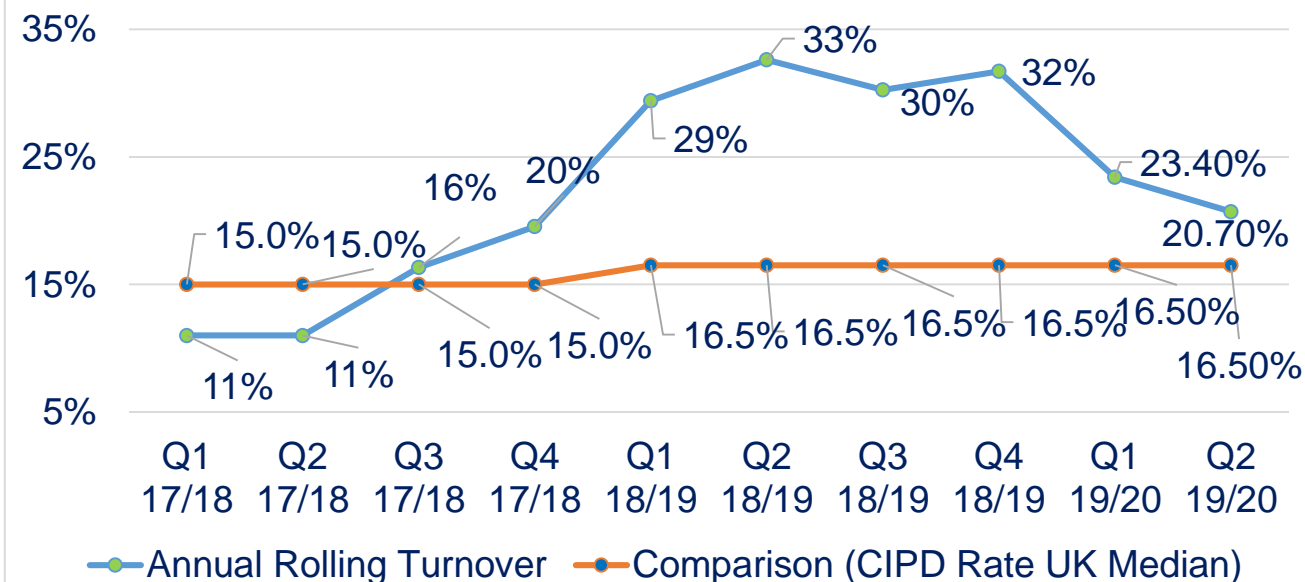
Number of cases closed each quarter



- We have benefitted from a c28% reduction in the number of concerns received this quarter which has allowed us the time to develop and implement our revised Triage process.
- This has meant less Triage closures in the first part of the quarter but we have already exceeded 50% of this total in the first three weeks of Q3 so expect a full recovery over the next few weeks
- Investigation and FTPC closures have increased this quarter and we expect this trend to continue as we move more cases through to CE's
- We have completed a data reconciliation exercise this month and are developing standard operating procedures to support a more robust quantitative assurance process

Quarter 2 – Performance update – Human Resources

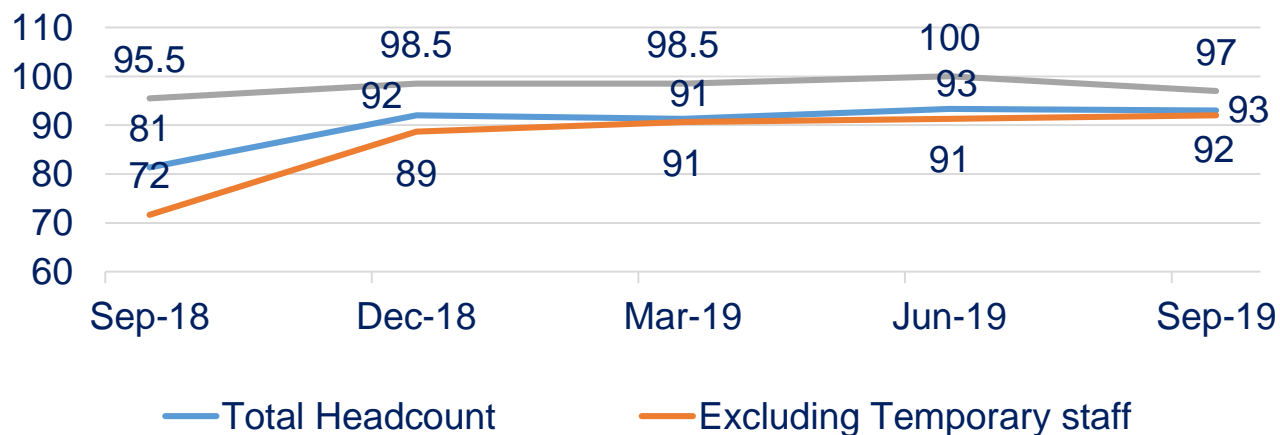
Rolling Staff Turnover % Rate



Our rolling 12 month staff turnover continues to reduce - going from 23.4% in the last Quarter to 20.7% in the period under review. There have been 4 leavers, 3 on fixed-term contracts and 1 permanent employee.

The focus on direct recruitment continues to ensure we only pay agency fees where direct methods have been exhausted. We have recruited for 17 roles since June 2019. The competitive London market together with skills shortages in certain areas such as professional services continue to require us to pay recruitment fees to ensure we get quality candidates. Activity continues to improve employee engagement, specifically during this quarter we have seen the launch of 5 new Staff Groups: BAME, Disability, New Starters, Women's Group and LGBT groups have been initiated. All have had at least one meeting and together with a number of SEG activities are available to staff to help develop excellent working conditions and increase engagement.

Change in GOC workforce over Sep 2018 - Sep 2019



Quarter 2 – Performance update – Finance

We are in a better financial position than originally budgeted (before portfolio gains).

Financial Performance - 6 months to 30 September 2019

