

## GOC Performance Report: Apr – Jun 2019

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# Quarter 1 – Performance overview

## HIGHLIGHTS

ESR - stakeholder workshops held to discuss high level steers from Council

CET - evaluation and stakeholder engagement progress

Legislative reform – secured agreement to lift cap on number of hearings panel members and change came into effect on 1 September

HR - Staff turnover. The rolling annual average has dropped from c30% over the last 3 quarters to 23.4% in Q1 2019-20. The outlook for Q2 is a further reduction to less than 20%.

Finance - Annual report and accounts including external audit completed and signed off on schedule.

FTP - constructive Acceptance Criteria workshop review with OCCS to check and challenge decision making leading to agreement to update criteria

FTP - £6k savings made on hearings on the papers

FTP - open case volumes continue to reduce

FTP - completed panel firm tender exercise

FTP – successful round table event held for business registrants

## CHALLENGES

ESR - Some education providers yet to be convinced about 'One Accountable Provider' approach for ESR

HR - Continuing ER issue which is occupying significant time and resource of both HR and the wider GOC staff plus continuing advice from external advisors

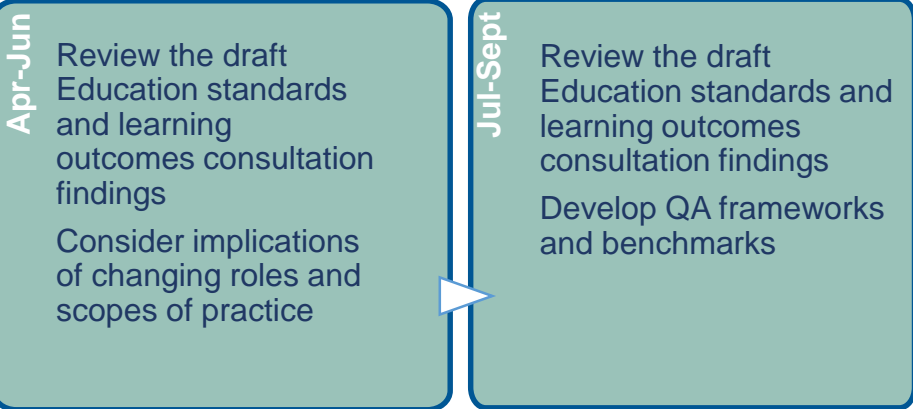
FTP - closed case age profile continue to rise as older cases are driven through the system.

FTP - aged case failure due to poor case management, resulting in significant wasted costs

FTP – behind on Q1 projections for case examiner referrals which will put overall case progression and hearings objectives at risk. Plans in place to recover during Q2 and early Q3

# Quarter 1 – Strategic projects delivery update

## Education Strategic Review Delivery: On Track



### Key activities

- Consultation on draft education standards/learning outcomes was discussed in July Council.
- Significant stakeholder engagement including ESR workshops for education providers regarding the consultation and implementation
- Development of underlying policy infrastructure

### Risk to delivery

Consultation outcomes may require significant change – decision gateway is in place to ensure outcomes inform next steps

## CET review

## Delivery: On Track



### Key activities

- SMT agreed programme plan with initial data collection stage from April to November including risk research, CET evaluation and external stakeholder engagement to inform development of proposals for the following project areas: reflective practice, support for supervision, transition to practice, CPD rebranding, freeing up the system to allow wider range of CPD (change to standards of practice), consideration of proportionate approval process; and consideration of internal customer support
- On track with first phase related to risk research, CET evaluation and stakeholder engagement

### 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

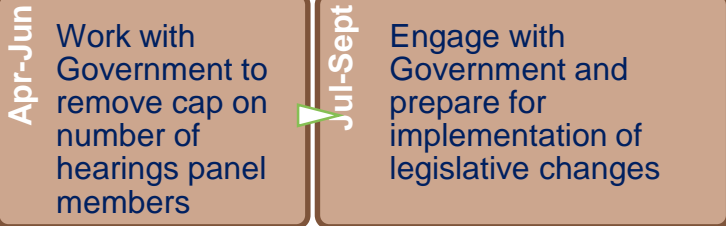
<b>Objective</b>	Deliver a strategic review of optical education and training and implement changes
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Implement changes to ensure the CET scheme operates effectively, can accommodate rapidly changing scopes of practise and changes to undergraduate education	3
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# Quarter 1 – Strategic projects delivery update

## Legislative Reform

Delivery: **On Track**



### Key activities

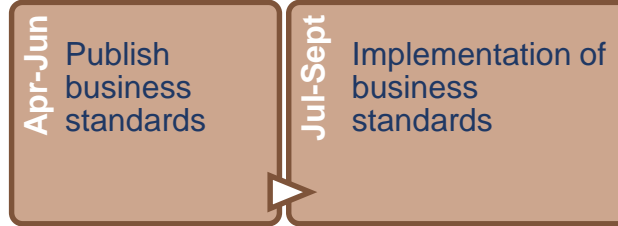
- Met DHSC officials in June to discuss our legislative reform programme and how we can work together to achieve our objectives.
- Legislative change to remove hearings panel cap agreed.
- Govt response to consultation on regulatory reform published in July.

### Risk to delivery

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

## Business Standards

Delivery: **On Track**



### Key activities

**In addition to publishing the business standards as planned we have:**

- Developing business standards microsite to support launch
- Commissioned animated video
- Planning introductory webinar

### Risk to delivery

Failure to target messaging about the changes effectively could result in the new standards having a lesser impact and/or an increase in regulatory work at a later date if the standards are not observed.

## Efficiency Programme

Delivery: **On Track**



### Key activities

- Governance review proposal developed and approved by Council

### Risk to delivery

Member dis-engagement if they feel unable to make contributions in a bigger forum - mitigated by seeking advice and engagement through use of smaller groups and people being invited to feed in thoughts in a variety of ways including on-line.

<b>Objective</b>	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 practise 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 1 – Regulatory functions delivery update

## Standards

Delivery: **On track**

Apr-Jun  
Vision and driving / confidentiality guidance consultation

Jul-Sept  
Vision and driving / confidentiality guidance consultation report  
Develop unlicensed medicines guidance



## Education

Delivery: **On track**

Apr-Jun  
Conduct 12 visits  
Publish annual monitoring reports  
Implement new conditions management process

Jul-Sept  
Conduct 4 visits  
Develop provider portal



## Continuing Education and Training

Delivery: **On track**

Apr-Jun  
c1200 CET approvals  
Support registrants, providers and approvers

Jul-Sept  
c1200 CET approvals  
Support registrants, providers and approver  
Train CET approvers



### Key activities

- Guidance on confidentiality, vision and safe driving – consultation data being analysed and report being drafted
- Working to understand implications of technological developments
- Contributing to external working groups on remote consultation and College of Optometrists guidance

### Risk to delivery

No significant risk at present

### Key activities

- Annual Monitoring sector report completed and approved by Council.
- March-May 2019: Trial completed for streamlined visit report style – evaluation due completion end of July.
- Risk and conditions management process trial is ongoing
- 11 visits completed.

### Risk to delivery

Annual monitoring returns may lead to increased quality assurance visits – however we have increased our capacity and resilience through the recent EVP appointments.

### Key activities

- Preparation for CET training events in July and August
- Average 303 general approvals per month, with 96% resolved within 10 working day KPI. Additionally, average 81 registrant led peer reviews reviewed with 88% meeting KPI of 90%
- Collection of £7,935 through CET fast track admin fee to offset the £550 excess fees incurred as 200% increase of take up for this facility.

### Risk to delivery

No significant risk at present

# Quarter 1 – Regulatory functions delivery update

## Registration

Delivery: **On track**

**Apr-Jun**

- Student renewal – c5,500
- Registrant removal following renewal - c500
- Restoration
- c50 non-UK applications

**Jul-Sept**

- Registration fully qualified and students – c1,000
- Student removal following renewal - c300
- c50 non-UK applications

### Key activities

- Annual student renewal opened. Online process improved to capture EDI questionnaire. Over 50% have completed process so far
- Over 550 registrant applications processed within KPI timeliness targets
- Over 2100 inbound calls
- 179 Non-UK (EEA) applications in progress - no applications outside of the directive's timescales (111 EEA & 68 Non-EEA)
- Audit of registrant insurance data following renewal completed

### 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

## Fitness to Practise

Delivery: **On track**

**Apr-Jun**

- c90 investigations & c7 FTP decisions
- FTP decisions audit
- Review in-house advocacy pilot
- Review Legal Advisor Pool

**Jul-Sept**

- c90 investigations & c11 FTP decisions
- OCCS Annual Report
- Hearing Panel development
- Review Acceptance Criteria
- Review Agreed Panel Disposal

### Key activities

- 67 substantive investigation decisions and 6 hearing decisions.
- This is below forecast for the quarter but we project that we will make up this deficit in Q2
- Open cases summary: Triage: 11 weeks; Investigation 47 weeks; End to End 117 weeks
- Investigation caseload reduced by 16% since December 2018
- New Triage process being designed, with pilot going live in Q2. Expected to reduce the number of cases entering the system.

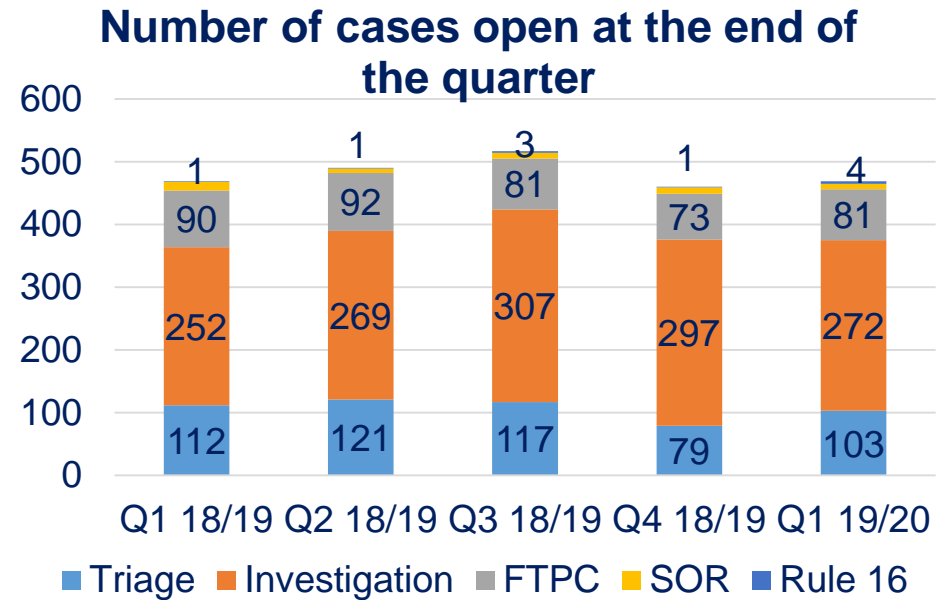
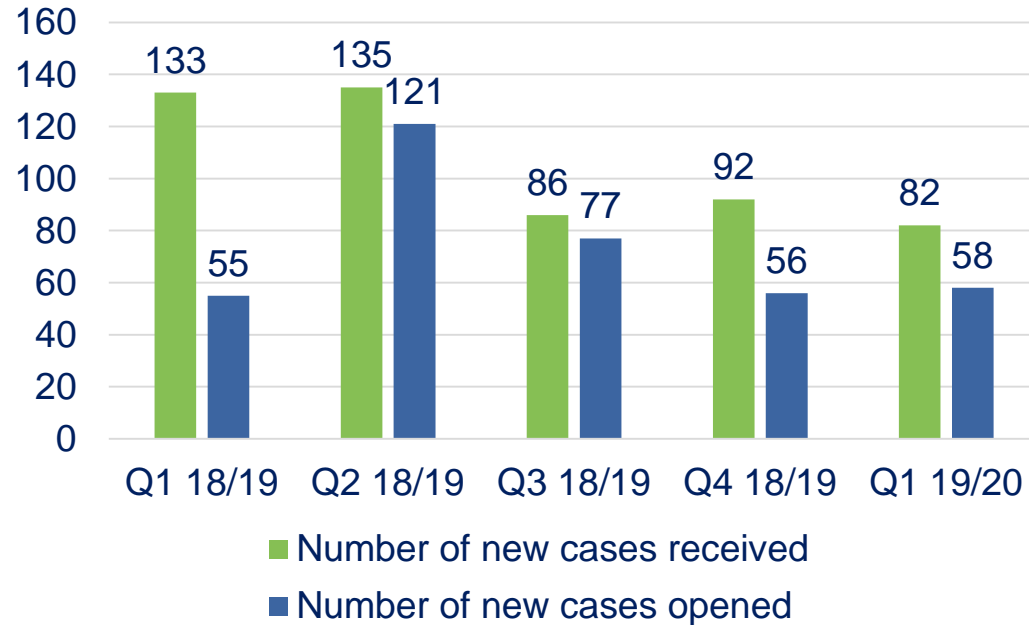
### Risk to delivery

We need to reduce the Triage open caseload before the new pilot goes live..  
Ongoing risk to delivery at stage 4 due to FTPC cap (but expected to be lifted at some point).

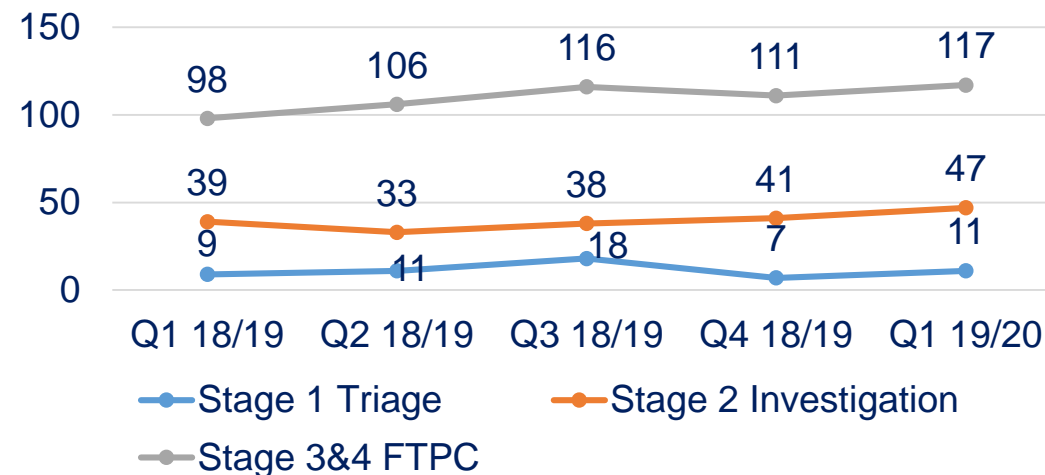
Registration Performance Measures	18/19 Q1	18/19 Q2	18/19 Q3	18/19 Q4	19/20 Q1
95% of all new entries to the register are accurate	97%	95%	95%	95%	95%
85% of forms completed within deadline	94%	95%	95%	93%	95%

# Quarter 1 – Performance update – Fitness to Practise

## Open caseload analysis



### Open Case Age (median) weeks



- The Triage caseload remains down on its Dec 18 high, but has risen again during this quarter. We are prioritising the reduction of this caseload in preparation for the commencement of the pilot of the new Triage process.
- The open investigation caseload continues to fall and is now 16% down on its December 18 high. We expect this to continue to reduce throughout 19-20 (by up to a further 30%).
- The open investigation median age is expected to reduce and to be close to KPI by the end of 19-20.
- We are below Business Plan target for CE decisions in Q1 but we are projecting that we will make this up in Q2.
- The median age of open FTPC cases remains stable.

# Quarter 1 – Performance update – Fitness to Practise

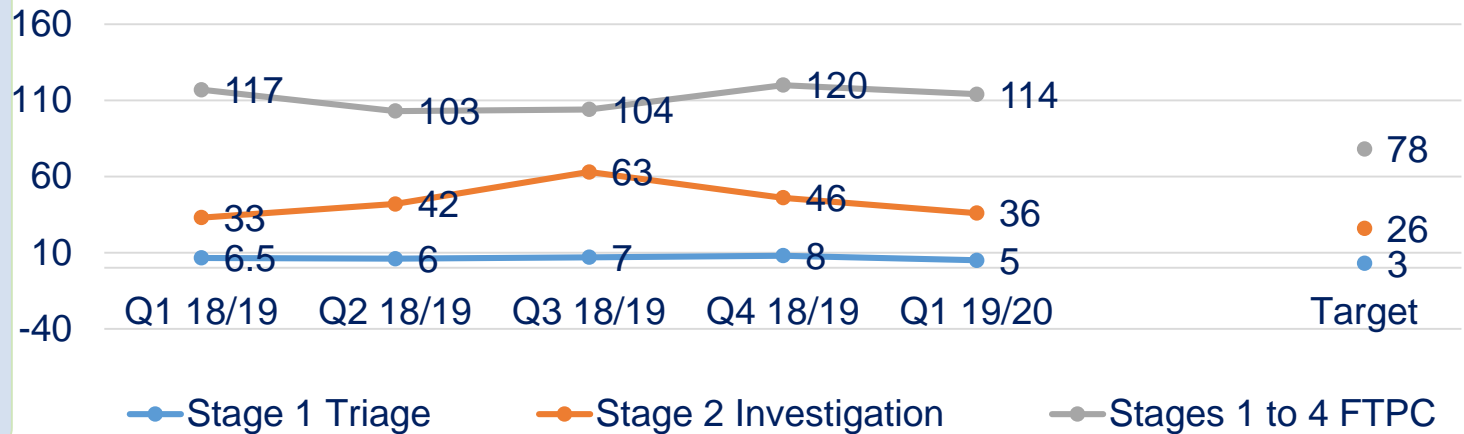
## Closed caseload analysis

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

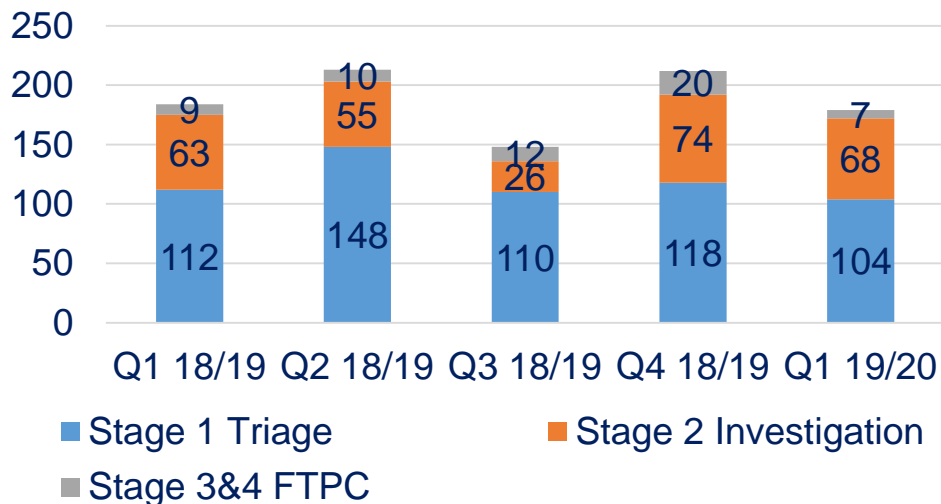
We are pleased to report reductions in our closure medians for Triage and Investigation, although we expect the investigation and FTPC closure medians to continue to fluctuate.

As reported to Council on 10 July, that we will not meet these two KPIs for 19-20.

### Quarterly Stage Closure Median (weeks)



### Number of cases closed each quarter



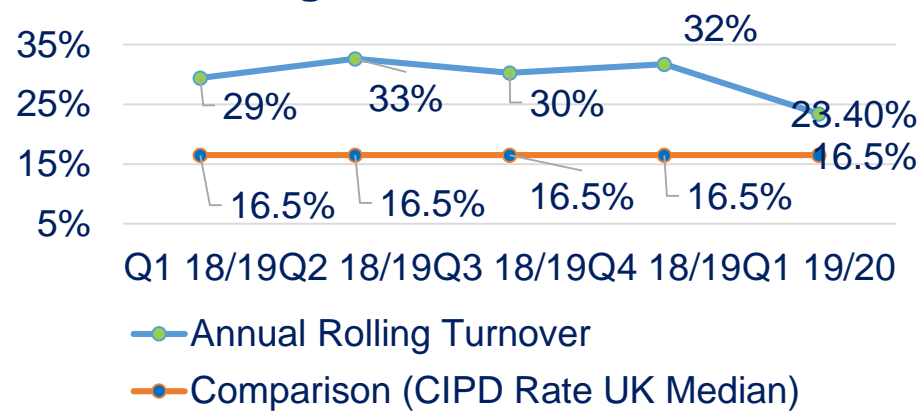
- We have continued to make a significant number of Triage decisions this quarter, and we are very pleased to record a 5-week closure median. This is the best quarterly performance for 18 months.
- Case examiners made a substantial number of decisions in Q1 but we are below Business Plan target for the quarter. Our data analysis forecasts that we will make this deficit up in Q2. The decision median of 36 weeks (v 26-week KPI) is the best quarterly performance for 12 months. We expect this to continue to fluctuate throughout 19-20.
- Performance against FTPC (end to end) KPI is well down on target but this is in accordance with our forecast data which predicts that this will continue to fluctuate and that we will not meet the KPI for this year.



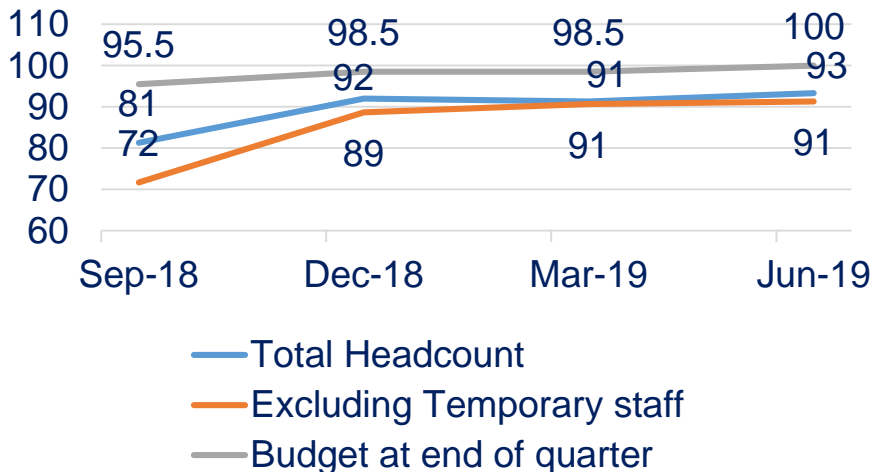
# Q1 2019/20 – Performance update – Human Resources & Compliance

## Human Resources

### Rolling Staff Turnover % Rate



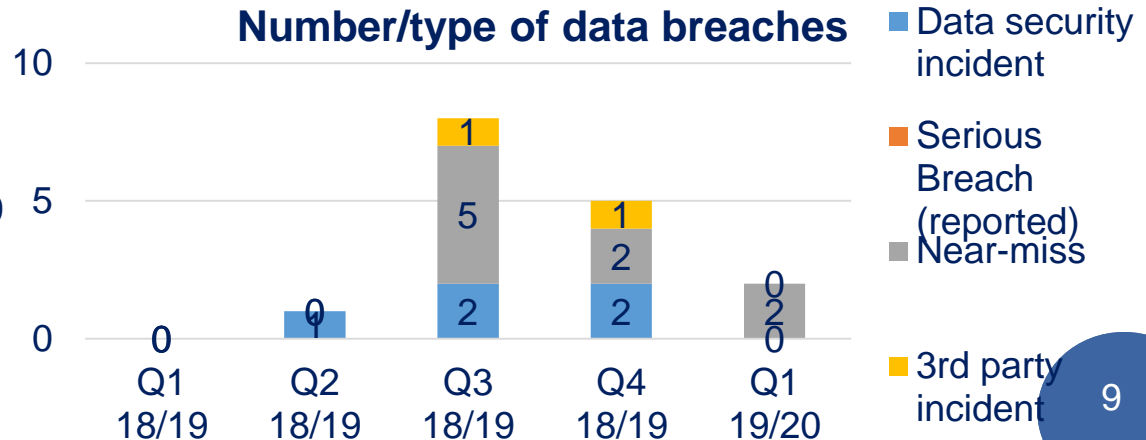
### Change in GOC workforce over Sep 2018 - Jun 2019



## HR Comments

Our rolling 12 month staff turnover has dropped since the last quarter from 32% to 23.40%. This quarter there have been 4 leavers, 3 on fixed-term contracts and 1 permanent employee. Over the past 9 months our recruitment methodology has been totally revised to reduce the average cost per role. We have moved away from agencies to focus on direct recruitment methods: In Q1 out of 7 (external) recruitment campaigns (FTC and perm), only 1 was recruited via an agency (and only further to not being able to successfully recruit directly). Our recruitment during Q1 has also resulted in 4 successful internal appointments. Activity continues to improve employee engagement, specifically during this quarter we have discussed the results of the EDI review, with SMT preparing an action plan. Staff Engagement Group have designed and delivered activities in support of physical and mental health wellbeing. SMT in collaboration with SEG have completed the staff survey action plan.

### Number/type of data breaches



# Quarter 1 – Performance update – Finance

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

## Financial Performance - 3 months to 30 June 2019

