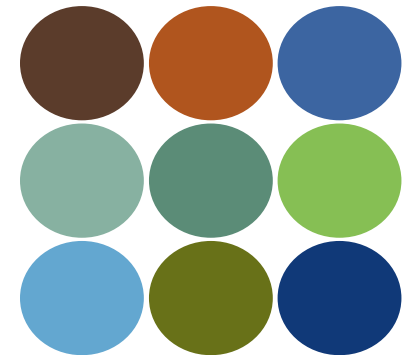


Performance Report: Q3 2019/2020

February 2020



GOC Performance Report: Oct – Dec 2019

Performance overview – page 2

Strategic projects delivery update – pages 3 & 4

Regulatory functions delivery update – pages 5 & 6

Performance update – Fitness to Practise – pages 7 & 8

Performance update – Human Resources – page 9

Finance – page 10

HIGHLIGHTS

- Positive **FTP Decisions Audit** report
- 39% reduction in **open investigations** in 2019
- 29% reduction in **total caseload** in 2019
- Age of **open Triage cases** down by 32% on last quarter
- **Expert witness training** day in November 2019
- Completed successful **Triage pilot** exercise
- 88% of **stage 4 cases scheduled** by year end
- Lay **hearing panel members** induction and training complete
- **Median time complaints held in hearings** down to 26.4 weeks
- Publication of **Risk Research**
- Publication of **2016-18 CET Evaluation Report**
- Animation launched to support understanding of new **Business Standards**
- Over 1400 **registration applications** processed within target timeframes
- Revised **IT strategy**

CHALLENGES

- **Open case median age** profile rising: impact of drive to fast-track large numbers of cases to CEs. With caseload now reduced, focus (including weekly case clinics) is on **progressing** trickier **older cases** to increase speed of service of **FTPC-referred cases** (stage 3)
- Two **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 and availability of **placements** for ESR reforms

Quarter 3 - Strategic projects delivery update

Education Strategic Review

Delivery: **On track**

Oct-Dec

Run first three in a series of six EAG meetings aimed at writing Outcomes and Standards.
Set up and run Open Canvas platform to collect stakeholder responses to EAG outputs.
Plan and run Roundtable events

Jan-Mar

Run roundtables and EAGs.
Produce drafts of key documents.
Improve engagement with stakeholders.

CET Review

Delivery: **On track**

Oct-Dec

New scheme policy development
Publish risk research
CET cycle evaluation report

Jan-Mar

New scheme policy development - Promotion of supervision and application of standards of practice

Key activities

- Expert Advisory Groups underway and public facing mini-consultation tool 'open canvas' is live. Current focus is drafting Outcomes and Standards
- Running roundtable events to engage with stakeholders across the sector on issues they have identified as concerns, including student placement, funding and undue influence
- Beginning collaborative pieces of work to remove gaps in knowledge such as academic levels for DO and Optoms

Risk to delivery

- Stakeholder engagement, addressed through our communications plan which sets out targeted messages. Continuing to proactively carry out face to face meetings and give stakeholders an opportunity to have their voices heard

Key activities

- CET cycle evaluation report published
- Risk research published
- Further discussions on proposed changes to CET with key stakeholders at EAG workshops
- Business cases and PIDs on all workstreams approved at SMT

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	Implement changes to ensure the CET scheme operates effectively, can accommodate rapidly changing scopes of practice and changes to undergraduate education
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Quarter 3 - Strategic projects delivery update

Legislative Reform

Delivery: **On track**

Business Standards

Delivery: **On track**

Oct-Dec

Engage with Government and prepare for implementation of legislative changes

Jan-Mar

Develop proposals for reform of business registration
Engage with Government and prepare for implementation of legislative changes

Oct-Dec

Implementation of business standards

Jan-Mar

Business standards come into effect - October

Key activities

- Held business regulation workshop and discussion at Council Strategy Day
- Met with DHSC to discuss FTP legislative reform details
- Progress limited due to election period causing uncertainty around likelihood of reforms going ahead

Risk to delivery

Precise implications need to be worked through and timetable for legislative reform remains uncertain

Key activities

- Webinar and animation successfully delivered in October and December respectively
- Ongoing communications developed with Comms team
- Project closure documentation being prepared

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

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

Quarter 3 - Regulatory functions delivery update

Standards

Delivery: **On track**

Education

Delivery: **On track**

Continuing Education and Training

Delivery: **On track**

Oct-Dec

Vision and driving / confidentiality guidance consultation report

Develop unlicensed medicines guidance

Jan-Mar

Vision and driving / confidentiality guidance

Oct-Dec

Conduct 4 visits
Develop provider portal

Jan-Mar

Conduct 6 visits
Close annual monitoring
Implement provider portal

Oct-Dec

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

Jan-Mar

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

Key activities

- Report on consultation into draft confidentiality guidance produced and finalised; guidance finalised and approved for publication in Feb 2020
- Contributed to external working groups on frontline complaints handling, just culture and College of Optometrists guidance
- Planning for potential registrant-facing whistleblowing guidance
- Delivered workshops on CET and the Standards of Practice to Education Advisory Groups
- Draft position statement on lissamine green (unlicensed medicine) prepared

Risk to delivery

No significant risk at present

Key activities

- This year's Annual Monitoring form 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 is awaiting internal sign off
- 7 visits completed

Risk to delivery

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

Key activities

- Reminders sent to registrants not yet met annual target in Oct, Nov and Dec. Number non-compliant reduced from 40.47% to 4.25%
- Average 426 general approvals per month (1278 in total), with 95% resolved within 10 working day KPI. Additionally, 106 registrant led peer reviews reviewed with 88% meeting KPI.
- Enquiries Team trial continued with both calls and emails being handled

Risk to delivery

No significant risk at present

Quarter 3 - Regulatory functions delivery update

Registration

Delivery: **On track**

Fitness to Practise

Delivery: **behind schedule**

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

Jan-Mar
 Registration Fees Rules
 Registration fully qualified and students – 1,400
 c50 non-UK applications
 Jan-Mar
 Registrant Renewal – c24,000
 c50 non-UK applications

Oct-Dec
 c80 investigations & 7 FTPC decisions
 Case Examiner / IC development
 Expert witness training

Jan-Mar
 c.75 investigation decisions
 Complete procurement of OCCS service
 Review of Triage pilot exercise
 Procurement for auditor of decisions

Key activities

- Preparation for annual renewal including agreeing communications with AOP and ABDO
- Over 1400 registration applications (fully qualified & student) processed within KPI timeliness targets
- *Timeliness KPI increased from 85 to 90% on 1 July (80% pre-July 2018)
- Over 2000 inbound calls
- 174 Non-UK (EEA) applications in progress - no applications outside of the directive's timescales (106 EEA & 68 Non-EEA)
- Internal audit report - overall positive. Areas for improvement generally related to need to improve CRM (plans underway)

Risk to delivery

Brexit causes change in number of non-UK applications – we are monitoring levels of applications (which haven't risen) although there has been a slight increase in enquiries. Brexit action plan in place

Key activities

- Enhanced Triage pilot process successfully implemented
- Significant increase in Triage decisions on last quarter
- 65 substantive CE decisions – less than forecast (80), but set against a much-reduced caseload
- High number of cases closed by the FTPC (13)
- Commenced OCCS procurement process
- Case Examiner and Investigation Committee training completed
- Expert witness training day held in Nov 19
- Commenced programme of external presentations to registrants about FTP
- First case concluded by Agreed Panel Disposal
- Further development of approach to case management meetings
- Further improvements to case management system

Risks to delivery

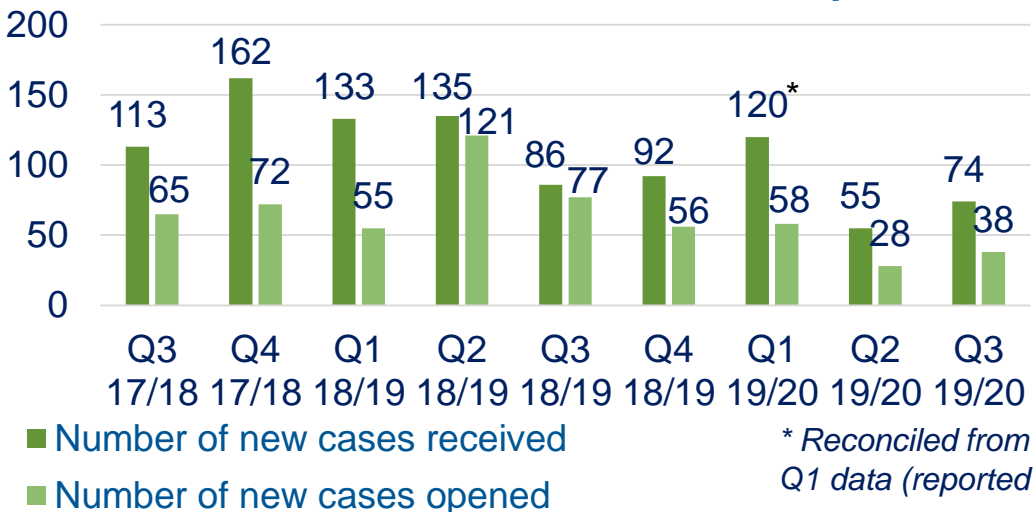
- Open case medians have continued to increase (as forecast) and will remain the focus for Q4
- Delayed service of cases (FTPC stage) continues to risk delivery against overarching KPI. We anticipate service of c.20 cases in Jan/Feb, with further targeting of stage 3 cases throughout Q4
- Reduced case closures due to two part-heard cases

Registration Performance Measures	18/19 Q2	18/19 Q3	18/19 Q4	19/20 Q1	19/20 Q2	19/20 Q3
95% of all new entries to the register are accurate	95%	95%	95%	95%	95%	96%
90%* of forms completed within deadline	95%	95%	93%	95%	92%	97%

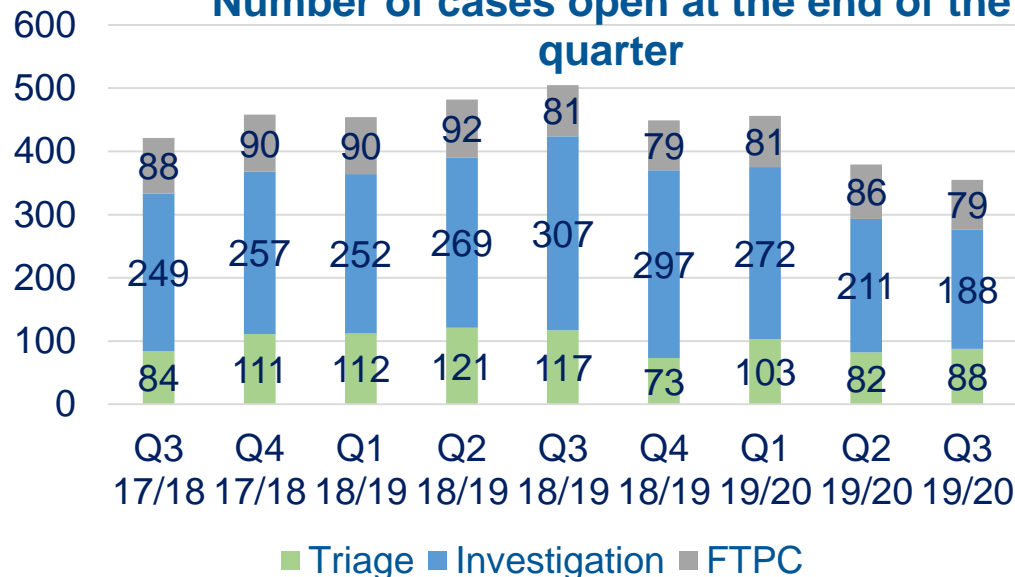
Quarter 3 - Performance update - Fitness to Practise

Open caseload analysis

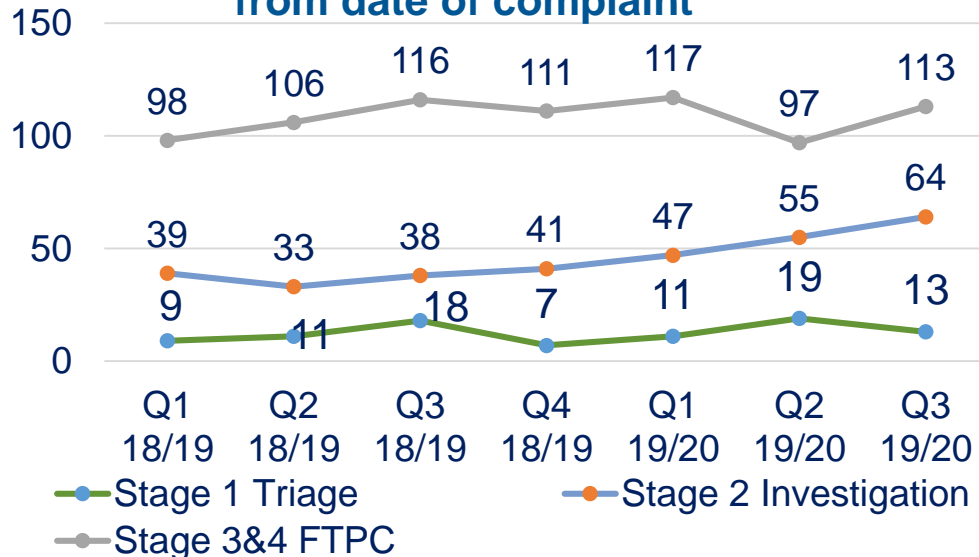
Number of cases received / opened



Number of cases open at the end of the quarter



Open Case Age (median) weeks from date of complaint



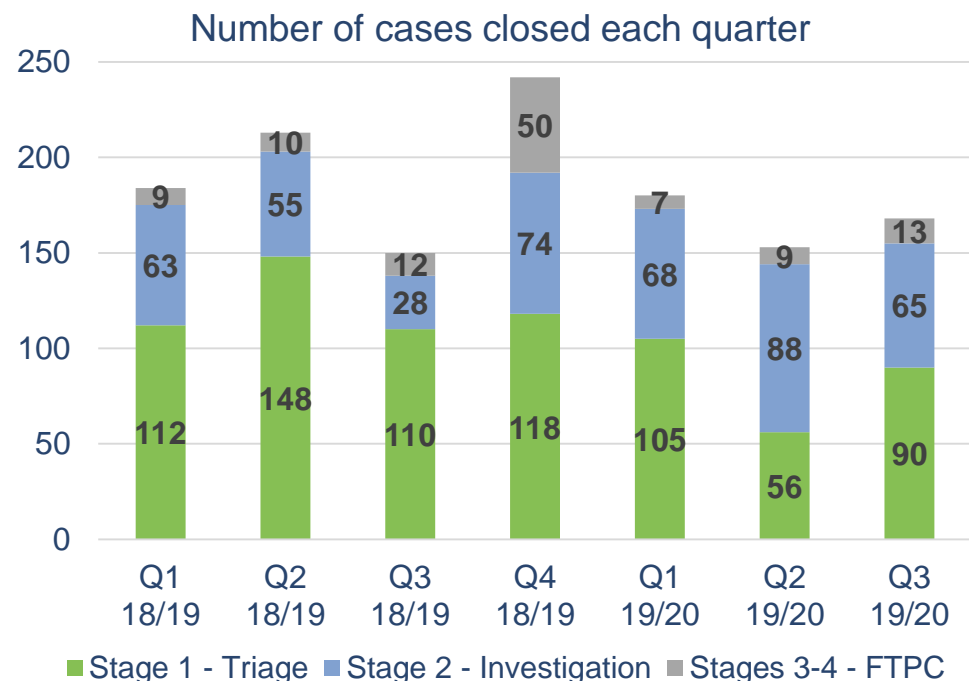
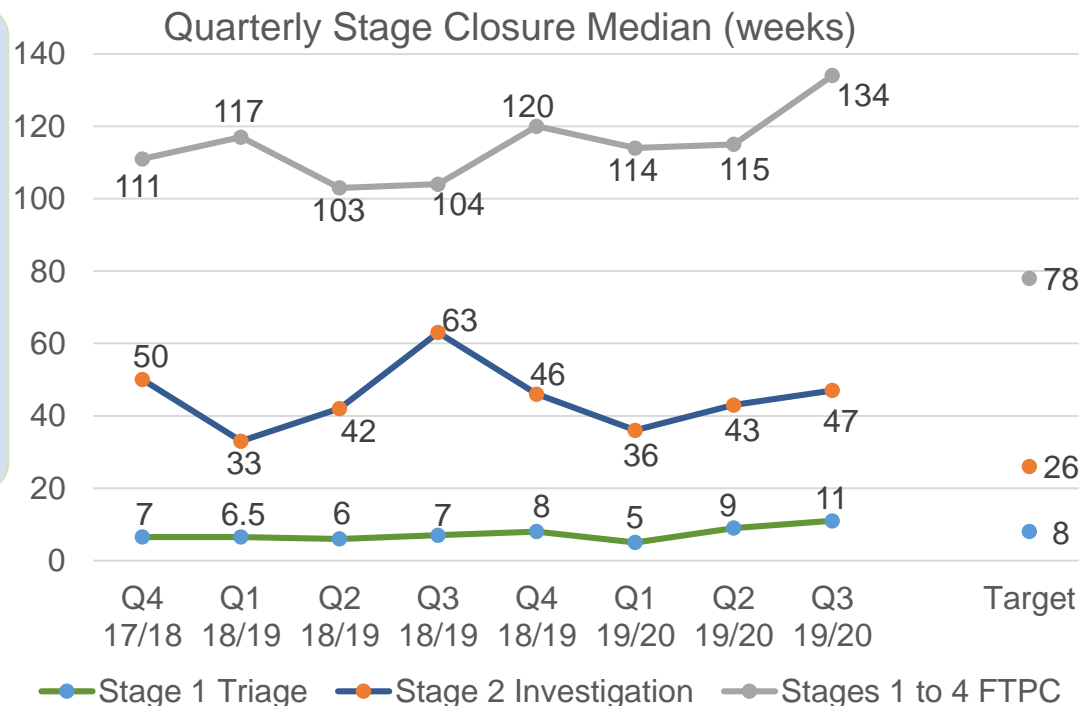
- Our targeted focus on CE decisions has supported an overall reduction in caseload of 29% during 2019 (Triage -25%, investigations -39%, hearings -8%)
- Our open case Triage median has reduced by 6 weeks (32%) this quarter. We forecast that we will be at 8 weeks (KPI) by 31/3/20
- We have met (but need to maintain) our year-end forecast of <200 open investigation cases. The impact of this, as forecast, led to an increase in the open median age profile. Although the median is now reducing (due to targeted case clinics), we don't anticipate reducing to 34 weeks (combined Triage and Investigation KPI) before 30/9/20
- Q4 will also focus on reducing the median age of the cases referred by CEs to the FTPC. We have previously forecast that we will not be at KPI (78 weeks) before 31/3/21 and this remains our forecast. This is highlighted by the current open medians of 104 weeks (stage 3) and 115 weeks (stage 4)

Quarter 3 - Performance update - Fitness to Practise

Closed caseload analysis

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

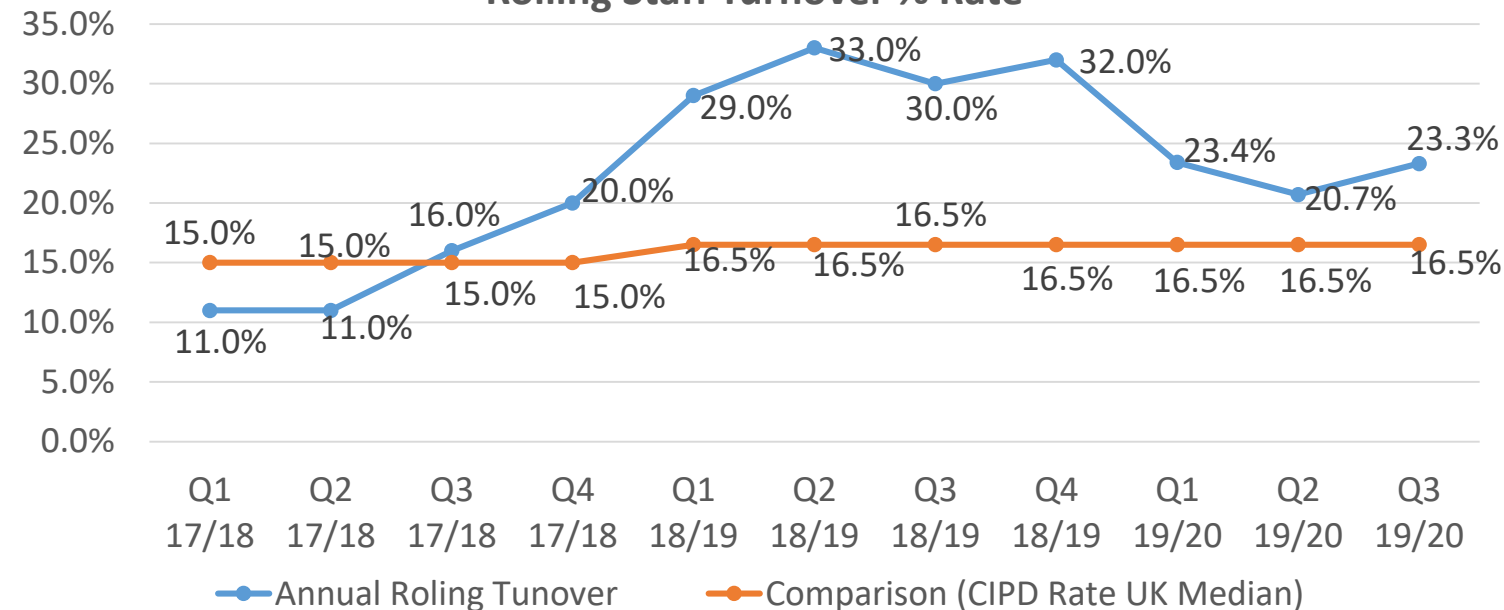
- The median for Triage closures (target 8 weeks) has increased due to the closure of older Triage cases. Successful Triage case clinics from early January (progressing older cases) mean that we expect the closure median to be above KPI at end Q4, but reducing and maintained at KPI by the end of Q1
- The closed investigation median has, as forecast, risen in line with the fast-tracking of cases to case examiners. We expect this to remain high through Q4 and Q1 (as older cases progress to CEs) but to improve from Q2 onwards as case clinics start to impact
- Our end to end timescale increased in Q3. As older cases continue to be closed (this quarter we closed a number of much older cases) the closure median is expected to remain higher than KPI until end of Q3 20-21. (highlighted by a stage 3 closure median of 99 weeks)



- Even though we were running the Triage pilot throughout this quarter (an extended process), we have seen an increase in the number of Triage decisions, almost back to previous levels. We are running Triage case clinics through January, so we expect to see an even higher number of Triage decisions in Q4
- The number of closed investigations is reduced this quarter, but this was expected, given the reduction in the caseload during the preceding 6 months, leaving us with a reduced caseload of trickier cases. Our focus in Q4 is the progression of the older cases and the reduction of the closed case median
- We have closed 13 cases at FTPC this quarter. Despite the increase in the number of cases dealt with by CEs this year, we have managed to simultaneously reduce the FTPC caseload

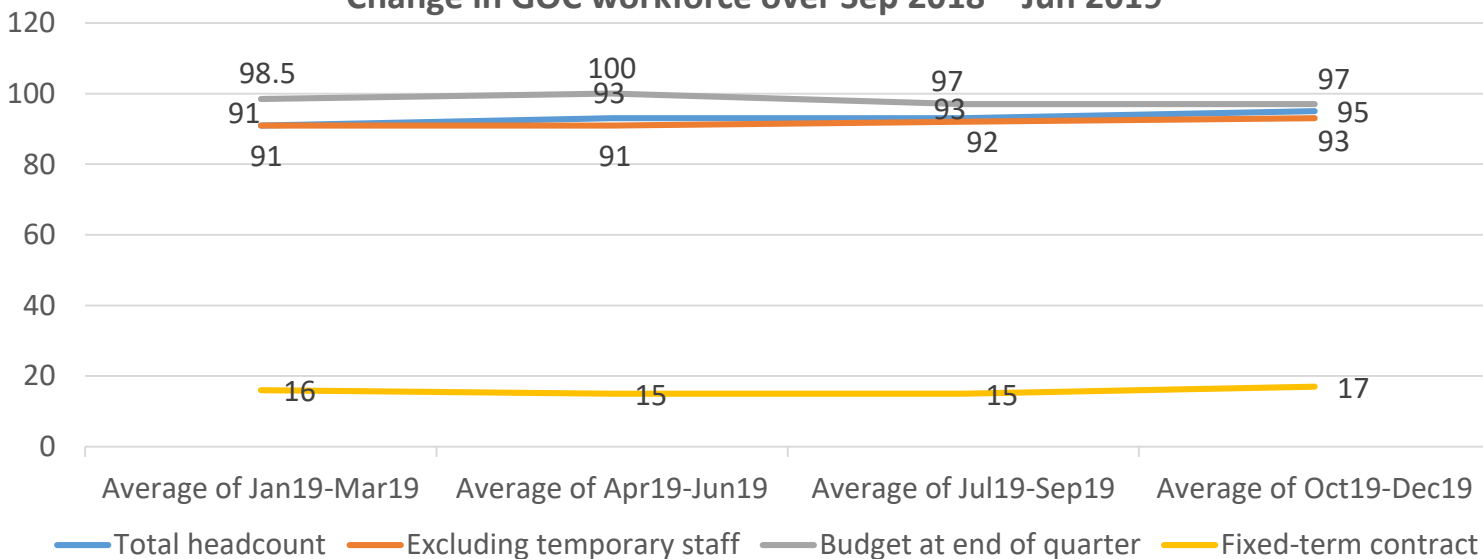
Quarter 3 - Performance update - Human Resources

Rolling Staff Turnover % Rate



- Our staff turnover has ticked up again slightly this quarter, partly due to our continuing focus on headcount and using fixed term contractors for specific projects. Half of the new starters in Q3 were on FTC and a quarter of the leavers, so our staff turnover will continue to be elevated.
- Direct recruitment continues to generate considerable savings – all of the 8 new starters were recruited directly, including the new Head of HR and the Education Consultant; a considerable saving on agency fees.
- Our Staff Engagement Group continues to thrive with regular cross-GOC activities.
- The other representative groups are finding their feet and generating useful feedback which will inform both our engagement activities and our approach to Equality, Diversity, and Inclusion.

Change in GOC workforce over Sep 2018 – Jun 2019



Quarter 3 - Performance update - Finance

We are in a better financial position than budget and forecasts (before portfolio gains).

Financial Performance - 9 months to 31 December 2019

