

GOC Performance Report: Jan – Mar 2019

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Quarter 4 – Performance overview

HIGHLIGHTS

- 98% of registrants met CET requirements
- Renewal process completed for approx 25,000 registrants and processing performance improved
- New MyCET system successfully launched
- Business Standards finalised and published
- ESR consultation closed with lots of engagement from the profession
- Risk research survey attracted more than 2,500 responses
- The annual median end-to-end age of closed FTP cases has reduced by 12 weeks on 2017/18 (112 weeks in 18/19 compared with 124 weeks in 17/18)
- Open Fitness to Practice caseload has fallen this quarter and Case Examiners have closed the highest number of cases on record
- Guidance on confidentiality, vision and safe driving – currently out to public consultation

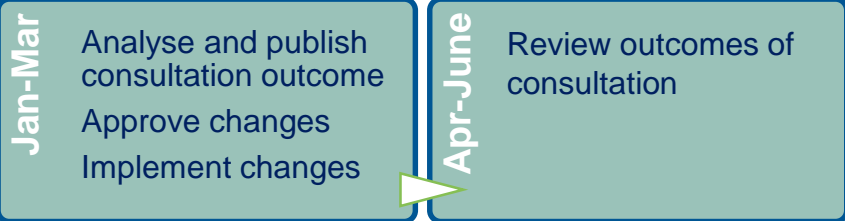
CHALLENGES

- Achieving stakeholder buy-in to ESR as currently envisaged
- While progress on FTP timeliness is positive, we are a long way off the glidepath and need to accelerate progress
- Dependence on legislative change to maximise impact of reform (including FTP and CET)

Quarter 4 – Strategic projects delivery update

Education Strategic Review

Delivery: **Delayed**



Key activities

- Delay due to extending the consultation period
- Closed consultation on draft education standards/learning outcomes – to be discussed at Council in May 2019
- 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: **Delayed**



Key activities

- New MyCET system launched successfully
- Transition to new Chair and deputy approvers went smoothly
- CET project closed following decision by Council and new CET programme of projects planned to address consultation feedback
- Risk research survey generated 2,610 responses from a diverse range of stakeholders including 31 responses from individuals working at educational providers and 59 from professional organisations. Top-line analysis has been completed and Enventure to use to shape focus groups and interviews. Over 300 FTP cases to be analysed and agreement secured from several insurers to share themes of their complaints.

Risk to delivery

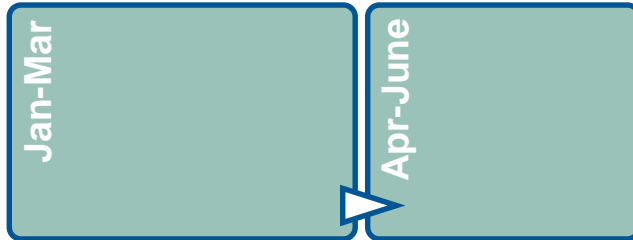
- Legislative reform required for significant change
- Outcomes of ESR project will have direct impact – close co-operation between both projects in progress
- Resourcing

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 practise and changes to undergraduate education
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Quarter 4 – Strategic projects delivery update

Review of Non-UK Registration Processes

Delivery: **Delayed**



Key activities

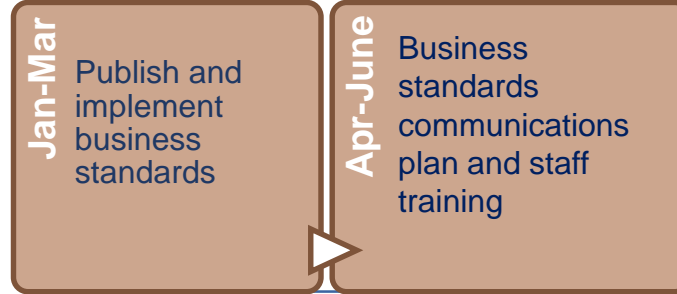
Project completion delayed to Q4 due to a decision to de-prioritise in order to complete work on the end of the CET cycle. Revised non-EEA process for DOs (aligned with process for optometrists) now complete.

Risk to delivery

No-deal Brexit might increase the number of non-EEA applications which could impact our ability to progress applications within the target time – additional assessor recruited and College of Optometrists confirmation they are ready for additional demand

Business Standards

Delivery: **On Track**



Key activities

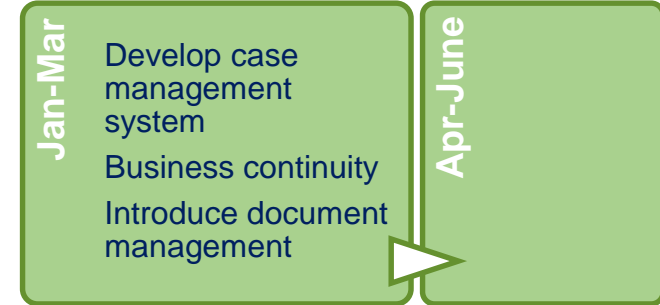
- Business Standards published on 8 April 2019, with accompanying communications plan
- Implementation plan prepared for launch

Risk to delivery

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

Organisational change

Delivery: **Delayed**



Key activities

- Successfully implemented flexible working solutions
- Scoped case management system, now included in wider CRM planning
- Partial implementation of Egress to provide greater security of data sharing

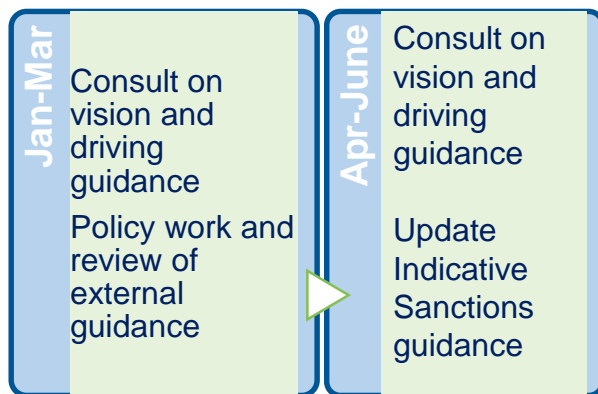
Risk to delivery

- Additional resources are required to deliver key plans

Objective	Ensure that our processes for registering non-UK applicants are fit for purpose and comply with existing legislation	Develop new standards for optical business registrants which reflect good practise and are flexible enough for care to evolve	Develop and implement operational changes to address external issues and deliver significantly improved outcomes for patients and the wider public
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Quarter 4 – Regulatory functions delivery update

Standards Delivery: **On track**



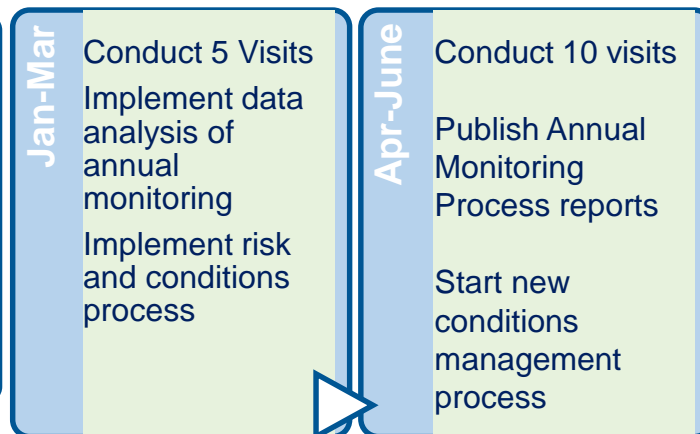
Key activities

- Guidance on confidentiality, vision and safe driving – currently out to public consultation
- Providing advice on GOC Standards and guidance to internal and external stakeholders
- Contributing to external working groups

Risk to delivery

Not being sufficiently aware of the implications of healthcare reviews – internal working group considering implications

Education Delivery: **On track**



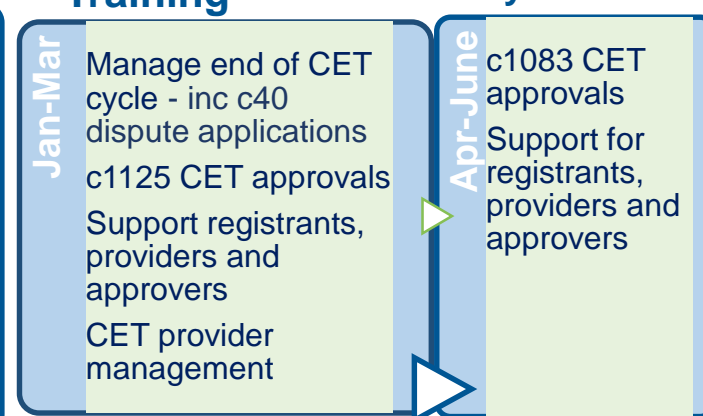
Key activities

- Annual Monitoring reporting period closed – 100% returned; analysis underway
- March-May 2019: Trial underway for streamlined visit report style.
- Risk and conditions management process trial is ongoing
- 5 visits completed (in addition, 1 validation event and 1 provider meeting also 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 appointments.

Continuing Education and Training Delivery: **On track**



Key activities

- All exceptional circumstances and disputes have been processed and to date 12 appeals have been received.
- A large number of disputes were due to 4 providers not uploading points before the December 2018 deadline. Discussions are being held with those providers and consideration will be given to process changes at the end of the next cycle.

Risk to delivery

Approver performance is off track due to an issue with the new email server. The Approvers alerted us to this and the issue is now resolved.

Quarter 4 – Regulatory functions delivery update

Registration

Delivery: **On track**

Jan-Mar

Registrant Renewal – c24,000
c50 non-UK applications
End of CET cycle processing (c450 CET non-compliance letters, c50 exceptional circumstances requests)
Removal of c120 registrants

Apr-June

Student renewal – c5,000
Registrant removal following renewal – c500
Restoration following renewal

Key activities

- Annual renewal closed: 97.5% of fully qualified registrants (22,314) & 96% of Businesses (2669) registrants completed renewal.
- 98 Individual and 45 Business registrants removed for failure to apply
- KPI performance is 93% for timeliness (during peak period Vs 83% last year) for all applications received and 95% for accuracy

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: **Delayed**

Jan-Mar

73 investigation & c11 hearing decisions
Legal services re-tender stage 1 completed
Review clinical adviser pool
GOC/OCCS Training Day Implemented In-House Advocacy
Review of CPD
FTP Clinical Training completed

Apr-June

c75 investigation & c11 hearing decisions
Panel Chairs training
Indicative Sanctions Guidance and Bank of Conditions
Stage 2 Panel Lawyer procurement
Performance Assessor 'Recruitment'
Audit of Decisions

Key activities

- 73 substantive investigation decisions and 12 hearing decisions. The highest ever number of CE decisions in a quarter.
- Expect to continue high number of CE decisions through Q1
- Open cases summary: Triage: 7 weeks; Investigation 41 weeks; End to End 111 weeks
- Triage caseload reduced 35% in past 3 months. Median age more than halved.
- Investigation and FTPC caseloads also reduced.

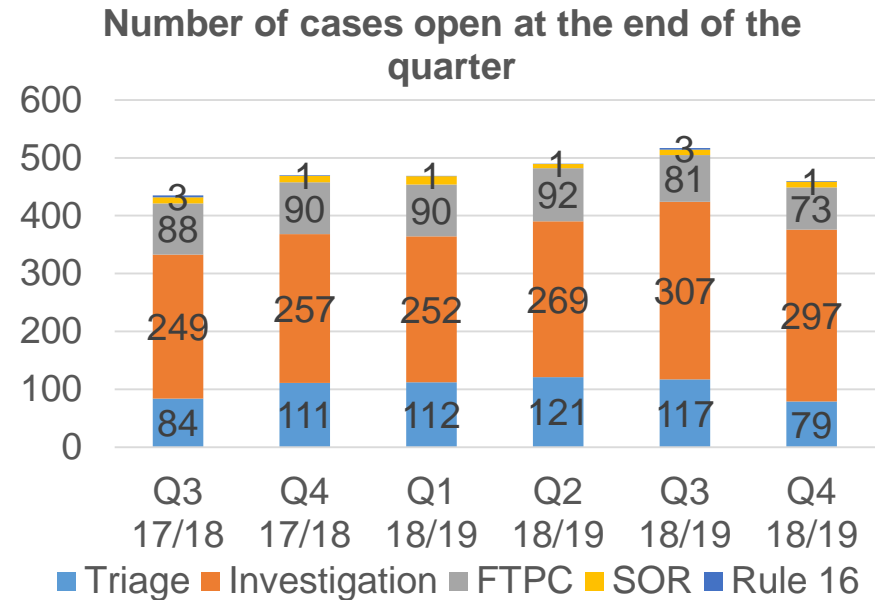
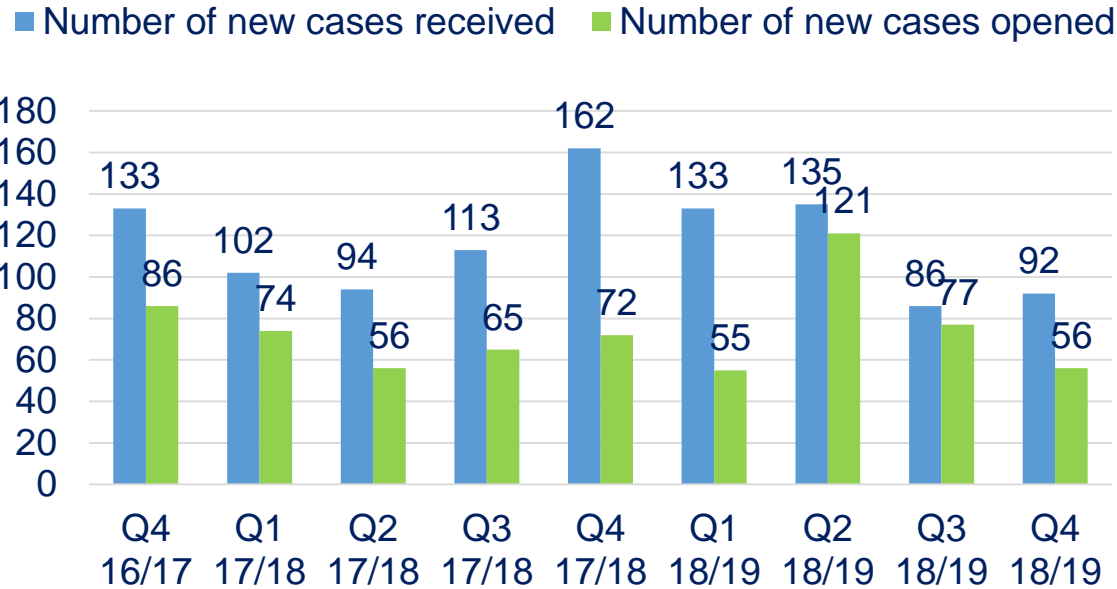
Risk to delivery

The number of cases closed needs to continue to exceed cases being opened.
Ongoing risk to delivery at stage 4 due to FTPC cap (but expected to be lifted at some point).

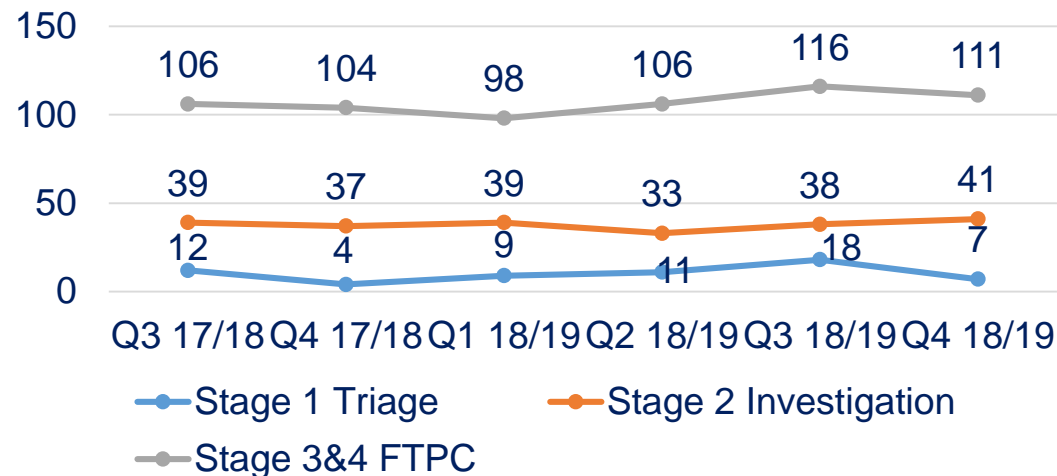
Registration Performance Measures	17/18 Q4	18/19 Q1	18/19 Q2	18/19 Q3	18/19 Q4
95% of all new entries to the register are accurate	98%	97%	95%	95%	95%
85% of forms completed within deadline	83%	94%	95%	95%	93%

Quarter 4 – Performance update – Fitness to Practise

Open caseload analysis



Open Case Age (median) weeks



The open case age in triage has more than halved and the number of open Triage cases has reduced significantly since the end of Q3.

The number of open investigation cases has reduced for the first time in over a year. There is a slight increase in the open case age median but this is expected to reduce at the end of Q1.

The number of case examiner decisions has risen in Q4 as a result of the additional resource put into FTP over the past few months.

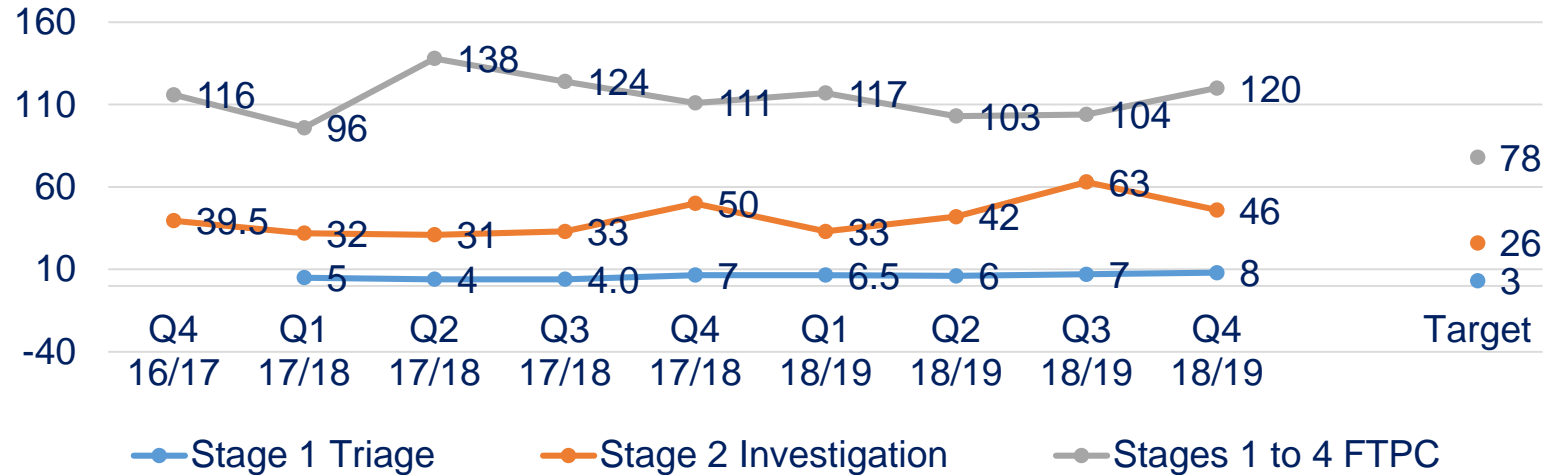
Quarter 4 – Performance update – Fitness to Practise

Closed caseload analysis

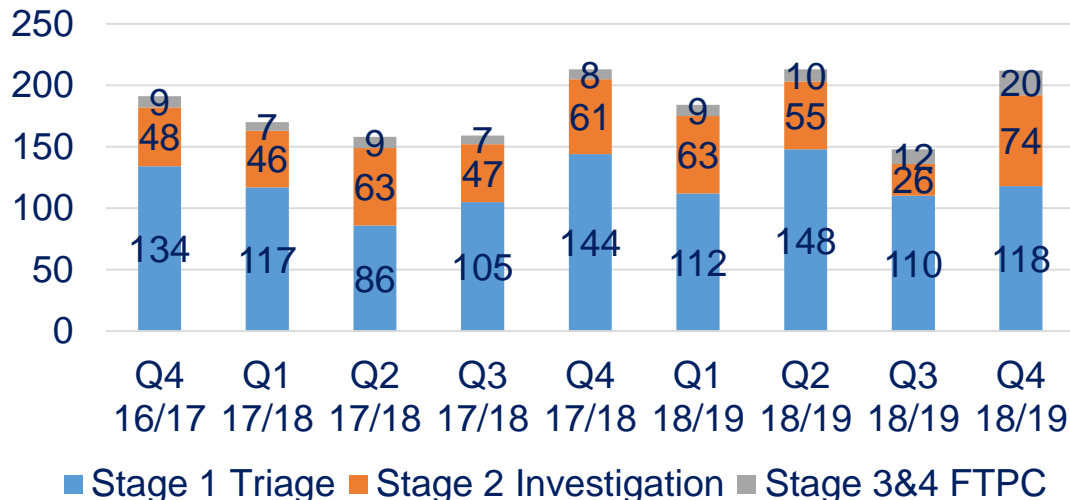
Stage 1 = Triage, Stage 2 = Investigation (CE decision), Stage 3 = Hearing prep and Stage 4 = FTP Committee decision)

The closure median for triage has risen. However there has been a focus on progressing historical/older cases to either closure or investigation and therefore the remaining triage caseload is younger as well as smaller.

Quarterly Stage Closure Median (weeks)



Number of cases closed each quarter

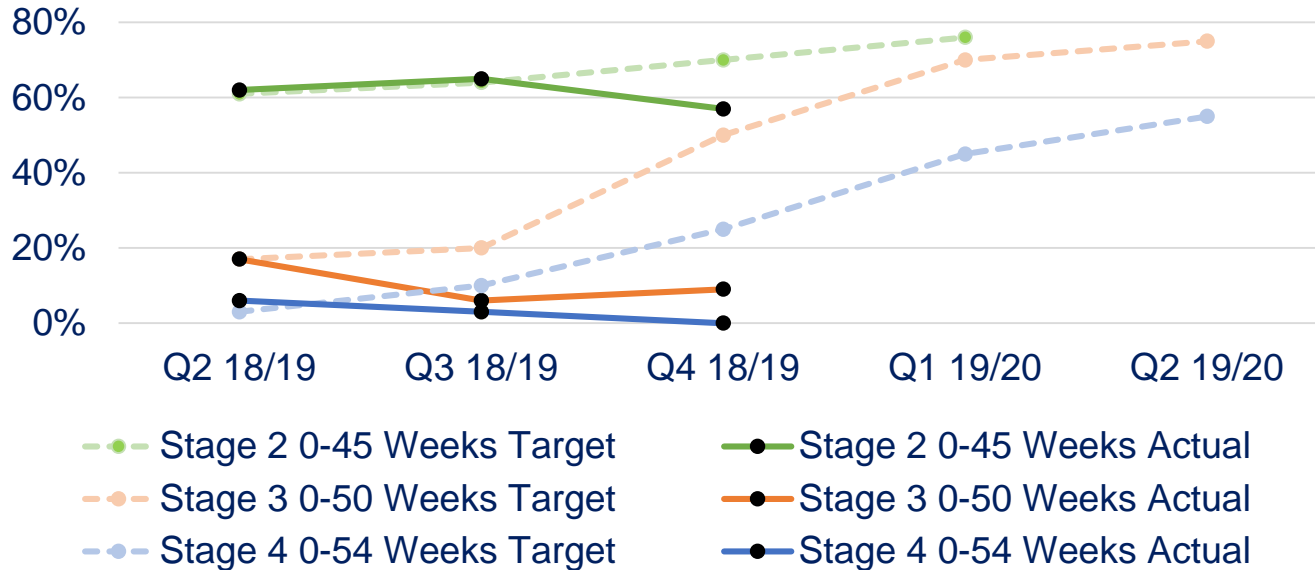


The number of cases closed at all stages has increased and the figure of 74 case examiner decisions (these are just the substantive decisions) is the highest figure on record.

The median end-to-end age of cases being closed at the FTPC stage has risen for the quarter, however a third of the 20 cases closed in this quarter at FTPC stage were some of the oldest cases within FTP.

The annual median end-to-end age of cases has reduced by 12 weeks on 2017/18 (112 weeks in 18/19 compared with 124 weeks in 17/18).

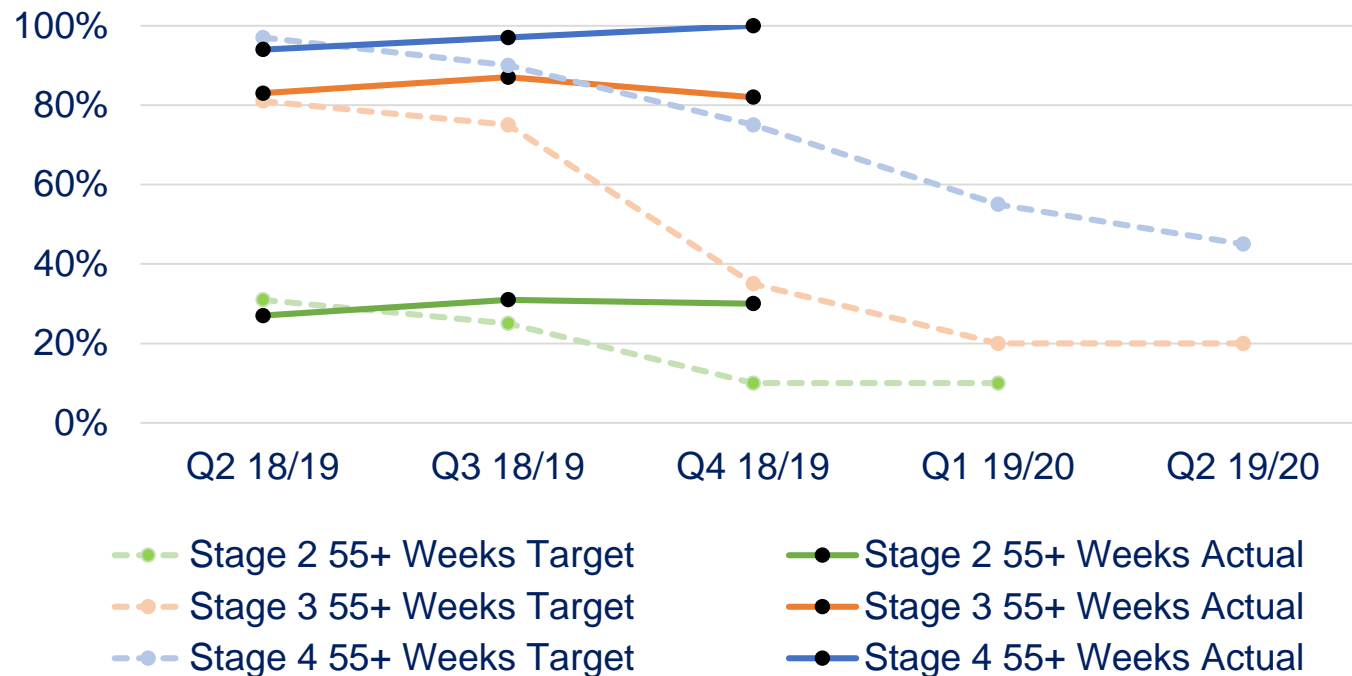
Quarter 4 – Performance update – FTP Glidepath



Stage 2 is behind the predicted glidepath at end of Q4, with 57% of cases aged less than 45 weeks, against a target of 70%. Looking at older stage 2 cases, there are 30% older than 55 weeks against a target of 10%.

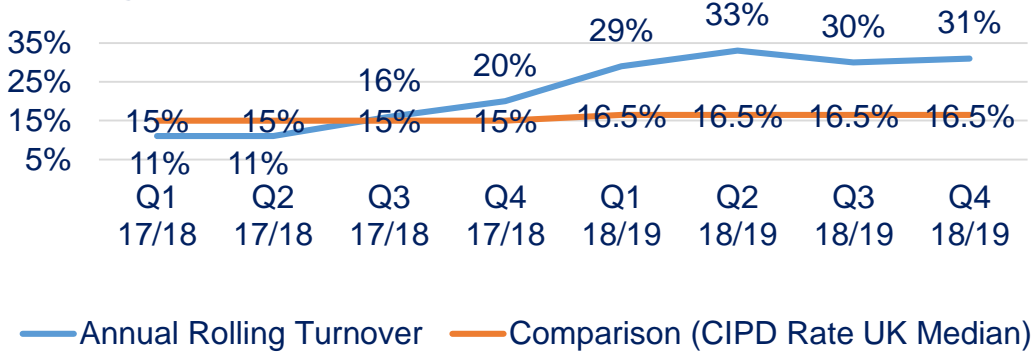
Stage 3 performance is behind the predicted glidepath at end of Q4, with 9% of cases aged less than 50 weeks, against a target of 50%, and 82% of cases over 55 weeks against a target of 35%. An expected increase in cases moving to stage 4, together with the increased flow of investigation cases moving into stage 3 in Q1 will improve the age profile of cases by end of Q1.

Stage 4 is behind the predicted glidepath at end of Q4, with 0% of cases aged less than 54 weeks, against a target of 25% and 100% of cases over 55 weeks against a target of 75%. The improvement expected in stage 2 performance in Q1 is not likely to impact stage 4 until end of Q2.



Quarter 4 – Performance update

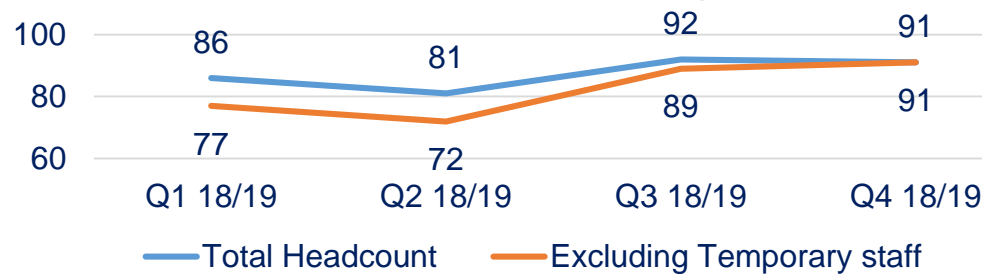
Rolling Staff Turnover % Rate



Human Resources

There have been 5 leavers in Q4, 3 FTCs and 2 permanent employees. Rolling 12 month turnover remains fairly static at 30%, of the 27 leavers 15 were permanent (55%) and 12 FTC. Activity continues to improve retention, including employee survey action planning, exit interview analysis and staff engagement group activity. Once performance appraisals are completed in Q1 more attention will be placed on career and training and development planning. Headcount is below forecast (minus 3) and the use of temporary resource has reduced, with temporary roles being replaced with permanent and where possible directly recruiting short-term fixed-term contracts.

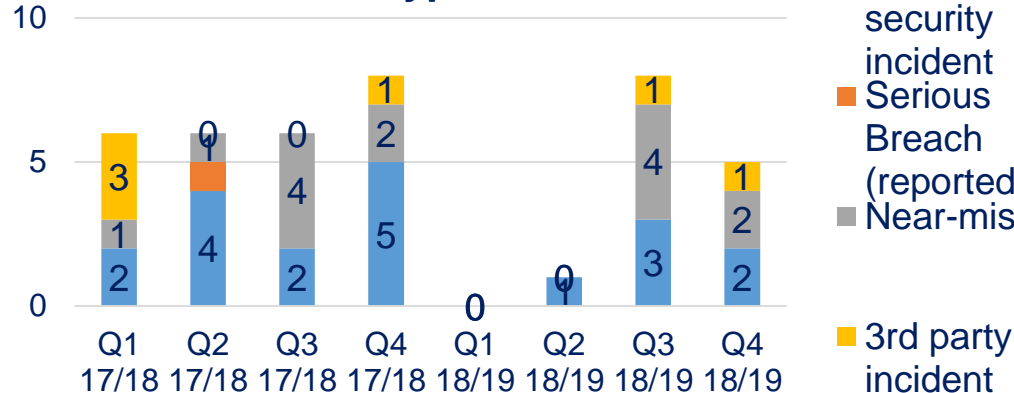
Change in GOC workforce: Apr 2018 - March 2019 (Quarterly average)



Corporate Complaints

We have dealt with four stage 2 corporate complaints in Q4 regarding our FTP process – one related to the length of the process, another the outcome, and two regarding the requirement to provide information as part of the investigation and the impact of this on those involved. We are using the learning from the complaints to review our processes where appropriate.

Number/type of data breaches



Information Governance

There were 2 Data Security Incidents, 2 near-misses and 1 3rd party incident. None were reported to the ICO as the risk of harm to the data subjects was considered minimal. IG e-learning to be rolled out to members/employees Q1 2019-20. We are working with our IT service provider to update and improve access rights. Implementation of the Egress email solution to mitigate the risk of human error breaches where employees disclose information in error has commenced with our FTP team.

Quarter 4 – Performance update – Financial Performance

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

£k

