

**COUNCIL**

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PUBLIC**

**Mechanism for holding the executive to account**

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For decision

**Issue:**

The Enhancing Confidence in Healthcare Professional Regulators Working Group recommended that one of the roles of the professional regulators should be to *'ensure systems are in place to enable it to monitor performance and to hold the executive to account.'*

**Recommendation:**

Council is asked to agree the Executive's recommendations on the mechanisms by which the Council will hold the Executive to account.

**Annexes:**

The following annex is attached to this paper:

Annex 1: Schedule of the performance indicators

**Further information:**

If you would like further information about this paper please contact:

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**To agree a mechanism for holding the executive to account**

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For decision

**Introduction:**

1. The report prepared by the Working Group chaired by Niall Dickson, (Implementing the White Paper Trust, Assurance and Safety: 'Enhancing confidence in healthcare professional regulators') recommended that one of the roles of the professional regulators should be to '*ensure systems are in place to enable it to monitor performance and to hold the executive to account.*'
2. This paper is the Executive's recommendation on a mechanism by which the General Optical Council will hold the Executive to account.

**Discussion:**

Performance Review

3. Council will receive at its meeting in April 09 the agreed 2009/10 Business Plan and supporting 2009/10 Budget. The Plan and Budget were approved by the GOC at its meeting on 26 March 2009. The Business Plan indicates that measures of success should be agreed with the Council from 1<sup>st</sup> April 2009.
4. The Council establishes an annual Business Plan and Budget each year which defines the operational annual delivery of a longer term (usually) 5-yearly strategic plan. The mechanism by which the Council will establish its future strategic plan for implementation from April 2010 will be considered elsewhere on the agenda for the April meeting. In the meantime the implementation of the annual Business Plan for 1<sup>st</sup> April 2009 to 31<sup>st</sup> March 2010 needs to start from 1<sup>st</sup> April.
5. Traditionally in (usually) March each year the Executive presents to the Council its self assessment of how well it has achieved it's annual business plan. Such a self-assessment was delivered to the GOC at its meeting on 26 March 2009. However, the Business Plan has not usually had measures of success included.

**Recommendation:**

The Executive recommends:

[a] **Annex 1**, being a schedule of the performance indicators (measures of success) by which the Executive will be held to account for the delivery of the 2009/10 Plan with an indication of when the *details* of the performance indicators will be presented to Council;

[b] that the *details* of all the indicators will be presented to Council no later than July 2009;

[c] that subsequently, from September 09 onwards the Executive should report to Council at its September, November and February meetings on its delivery of the annual Business Plan measured against the performance indicators.

### Financial Reporting System

6. The financial resources needed for the delivery of the annual 2009/10 Business Plan is presented by the 2009/10 Budget. The Budget is supported mainly through registrant fees. At its November 2008 meeting the GOC approved a registration fee of £219.00 (for full registrants) for the registration year April 2009 to 31 March 2010. These fees have now been collected and therefore the majority of the Council's income for the 2009/10 year has been received. Student registration takes place in the summer months as the student registration period is 1 September to 31 August each year.
7. A critical role of the General Optical Council is to hold the Executive to account for the management of the Council's financial resources.

#### **Recommendation:**

The Executive recommends that Council receives, at its June/July; September; November and February meetings each year the following financial reports:

- i. income and expenditure to previous quarter
- ii. I&E major variance analysis
- iii. balance sheet at end of previous quarter
- iv. schedule of capital expenditure to end of previous quarter
- v. cash flow statement for the previous year
- vi. cash flow forecast for the current year
- vii. reserves projection to end of current year

As the details of the performance indicators for the delivery of the 2009/10 Business Plan are developed and in addition as the General Optical Council clarifies its future strategic plan, the Executive propose to bring forward to Council for scrutiny at its **September 2009** meeting an outline projected Budget for the 2010/11 and 2011/12 financial years.

### Equality and Diversity

8. The GOC's Equality and Diversity Scheme was adopted by Council at its meeting in November 2007. The Scheme is available on the GOC website [[http://www.optical.org/en/about\\_us/policies\\_procedures\\_and\\_protocols](http://www.optical.org/en/about_us/policies_procedures_and_protocols)]. The Scheme fulfils the Council's obligations under relevant equality legislation, covering statutory duties in relation to race, disability, gender and gender identity.

#### **Recommendation:**

The Executive proposes that from its July 2009 meeting a standing item is placed on each of the Council meeting Agenda under which the Council will receive a report from the Executive on the GOC's activity in maintaining and achieving satisfactory performance against the Equality and Diversity Scheme Action Plan.

### *Council for Healthcare Regulatory Excellence*

9. The Council for Healthcare Regulatory Excellence (CHRE) is an independent body accountable to Parliament. Its primary purpose is to promote the health, safety and well-being of patients and other members of the public.
10. CHRE scrutinise and oversee the health professions regulators, working with them in identifying and promoting good practice in regulation, carrying out research, developing policy and giving advice. CHRE oversees the work of nine health professions regulators.
11. Each year CHRE carry out performance reviews of the regulators. The General Optical Council performance is measured against a set of standards that has been agreed with the regulators. The reviews highlight good practice and identify issues for improvement. CHRE report its findings to Parliament, to health ministers in England, Northern Ireland, Scotland and Wales and to the public.

#### **Recommendation:**

The Executive proposes that a standing item is placed on each of the Council meeting Agenda under which the Council will receive a report on the GOC's activity in maintaining and achieving satisfactory performance against the CHRE standards.

#### **Resource implications:**

12. The most significant resource impact will be on staff capacity. The Executive is limited in its staff hours resource and has to operate within the constraints of a fixed registration fee for the next financial year.

#### **Equality and diversity implications:**

*Has an Equality and Diversity Impact Assessment been carried out?*

13. The proposed mechanisms should have a positive effect on promoting equality and respect as one of the key recommendations is a mechanism to hold the Executive to account for satisfactory performance against the GOC's Equality and Diversity Scheme Action Plan.

The Executive should seek guidance and advice from the *Equality and Human Rights Commission* on how to get information on impact on each group, where this is not known.

#### **Stakeholder engagement:**

*Has the Consultation Checklist been completed?*

14. No consultation has been carried out on these proposals

Schedule of Performance Indicators 2009

ANNEX 1

Tasks from Business Plan	Measures of success e.g. project plan, efficiency ratios, KPI's *	When they need to be delivered - May/Jun/Jul
<b>Standards</b>		
1. Develop a revalidation scheme	Project plan	June
2. Complete the review of the competencies	Project plan	May
3. Complete the review of the codes of conduct	Project plan	May
<b>Education</b>		
1.Consider the CET/revalidation process	Project plan	June
2.Develop specifications for revalidation system	Project plan	July
3.Undertake a strategic review of DO qualification framework, which ties in with the DO regulation review.	Project plan	July
4.Develop a policy on Europe	Project plan	July
5.Ensure Independent Prescribing provision	Project plan	May
6.Pilot the new annual monitoring scheme	Project plan	May
7.Consider patient involvement in Visit process	Project plan	May
<b>Registration</b>		
1. Introduce an online retention process	KPIs	June
2. The effective implementation of the Vetting and Barring scheme	Project plan	Jul
3. Undertake a review of content of and access to the Register	Project plan	Jul
4. The effective handling of the end of the second cycle for CET	Project plan	Jul
5. Analyse and report on equality and diversity monitoring	KPIs	June
6. Review timetable for student registration	Project plan	June
7. Consider a written policy and GOC guidance on the position of persons applying to join Register with a disability	Project plan	Jul
8. Undertake a review of body corporate/ protected title issues	Project plan	June
<b>Fitness to Practise</b>		
1. Review policy on criminal prosecutions	Project Plan	TBC by new Director of FTP
2. Review approach to allegations of poor clinical practice	Project Plan	TBC by new Director of FTP
3. Introduce scrutiny function	Project Plan	TBC by new Director of FTP

Schedule of Performance Indicators 2009

ANNEX 1

4. Adoption of electronic case management system	Project Plan	TBC by new Director of FTP
5. Improve registrants' understanding of FTP system	Project Plan	TBC by new Director of FTP
6. Public awareness of FTP system (see also Influence)	Project Plan	TBC by new Director of FTP
7. Improve witness and complainant support	Project Plan	TBC by new Director of FTP
8. Establish FTP policy group	Project Plan	TBC by new Director of FTP
9. Appoint/reappoint hearings panel	Project Plan	TBC by new Director of FTP
<b>Resources</b>		
<b>Finance</b>		
1. Review budget planning framework and financial reporting arrangements	Project Plan	July
2. Develop investments policy	Project Plan	May
3. Tighten up internal controls	Project Plan	June
<b>IT and facilities</b>		
1. Modernise IT infrastructure and develop IT strategy	Internal IT Audit, IT workplan, develop service Level agreements	July
2. Review accommodation requirements	Project Plan	May
3. Review Health and Safety requirements and ensure compliance with H&S legislation	Project Plan, compliance with external H&S advisor's recommendations and requirements, review by Westminster Council H&S Executive.	May
<b>HR</b>		
1. Induction of new Council	Project Plan, Appraisal Reports	started already but plan to May
2. Appointment/induction of new Chief Executive	Project Plan, 3 month Appraisal Report	Completed
3. Develop staff engagement/capacity for change	Efficiency measures	May
4. Job evaluation/competency framework	Project Plan, budget target met, productivity measures (output costs)	May
5. Pay/reward policy	Produce Policy	May
6 Staff Engagement - through the implementation of cross-functional mandatory training and development policy	Project Plan	May
7. Review/develop appraisal mechanisms for Council/Committee members	Project Plan	May
<b>Governance</b>		
1. Agree and implement organisational structures and strategic planning mechanisms for new Council/committees/executive	Proposal to April 09 Council	
2. Ensure mechanisms are in place to manage performance and hold the executive to account	Proposal to April 09 Council	

Schedule of Performance Indicators 2009

ANNEX 1

3. Committee member appointments	To April 09 Council	
4. Review and consult on GOC internal policies and processes necessary for effective and efficient working	Project Plan	
5. Agree KPIs and other information necessary to enable the GOC to quality assure its activities	Proposal to April 09 Council	
6. Develop proposals for legislative change to support new Council structures	White Paper legacy to April 09 council	
<b>Equality and diversity</b>		
7. Ensure implementation of the Equality & Diversity action plan	Proposal to April 09 Council	
<b>Influence</b>		
<b>Tasks</b>		
1. Implement the stakeholder engagement strategy and ensure the GOC understands public and patient expectations when developing strategy/policy	KPIs	June
2. Raise public awareness of the GOC, particularly in relation to registration of opticians and how to complain	Project plan	Jul
3. Promote better understanding of standards and guidance	Project plan	May
4. Develop a public affairs strategy, incorporating a four-country approach	Project plan	Jul
5. Explore opportunities for joint working on eye health issues	KPIs	June
6. Agree a coordinated policy on Europe (see also Education)	Project plan	July
7. Develop publications to explore opportunities for interactive and electronic communications and improve cost-effectiveness	KPIs	June

\* minimum requirements for project plan see below:

<b>When you are completing the plan you must consider the following</b>		
Project plans <b>must</b> include:		
Time lines / mile stones		
Budget		
Impact assessments - to include		
Risks (financial risks)		
Human rights		
E&D, incl Welsh Language		
Are CHRE standards being met?		
Indication of how stakeholders satisfaction is to be assessed		
Stakeholder engagements - how?		