

GOC Performance Report: Jul – Sept 2018

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Quarter 2 – Performance overview

We have made good progress with our strategic projects, completing our consultations on draft new business standards and on the future of our Continuing Education and Training (CET) scheme. We have also progressed and will soon be launching the second stage consultation on our Education Strategic Review.

HIGHLIGHTS

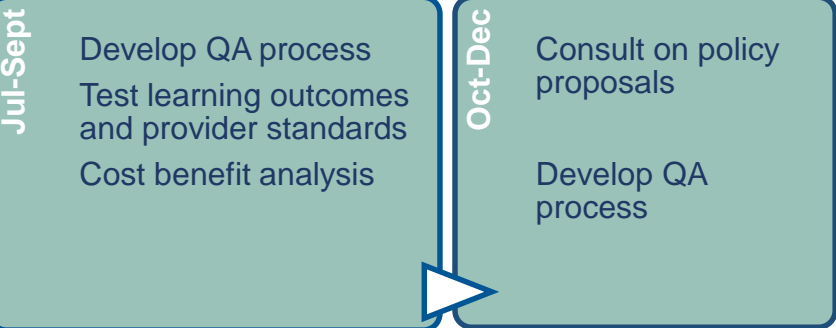
- Managing student retention and meeting registration performance targets
- Managing queries from registrants relating to the end of the three year CET cycle
- Implementation of new acceptance criteria for FTP complaints
- Undertaken significant staff recruitment and induction – 39 roles. This included the recruitment of an interim Director of Education and a Director of Investigation and Resolution
- Progressed implementation of Office 365 and a hot desking solution for flexible workers
- The expansion and restructure of the FTP Case Progression Team

CHALLENGES

- High level of staff turnover impact on delivery of projects and programmes
- Making progress against the FTP glide path – used to track progress in speeding up resolution of FTP cases
- Increasing the number of FTP hearings will become limited by the number of hearing panel members
- Continuation of data breaches by email, none of which have required reporting to the ICO – as a result we will be implementing the Egress Email Threat Detection solution shortly
- Continued engagement with Registrants who have not completed their CET requirements to ensure as many as possible do so by the end of December 2018

Quarter 2 – Strategic projects delivery update

Education Strategic Review Delivery: **Delayed**



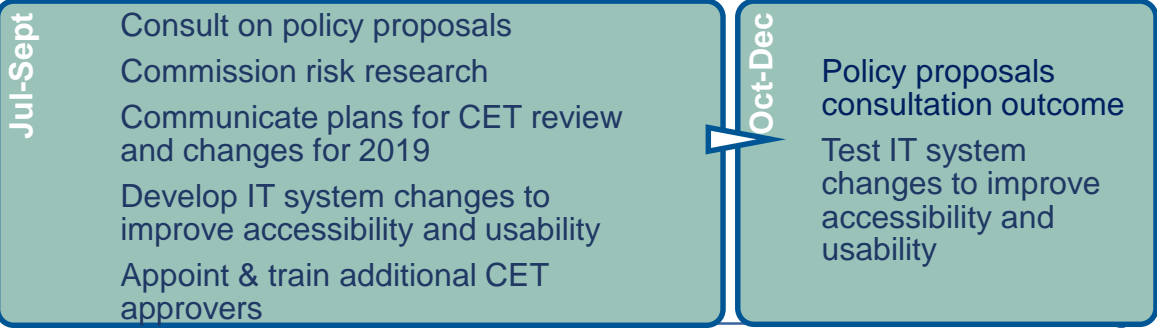
Key activities

- Have continued work to develop and ensure buy-in for draft education standards/learning outcomes before consulting in the autumn
- Appointed an interim director of education and an education transition manager to support implementation
- Internal audit of project governance complete

Risk to delivery

- Resourcing induction: Successful appointees are currently being inducted which has meant a delay in progressing the work to prepare for the next consultation
- Implementation affected by staff turnover at all levels on the project and other departments who support project delivery

CET reviews Delivery: **Delayed**



Key activities

- Fit for the Future consultation on CET change launched 17 July 2018 and now concluded
- Claremont consulting designed and delivered communications plan
- CET IT tender concluded and contract offered
- Recruitment of Chair of CET approvers concluded (awaiting contracts and training)
- Amendments to IT system made

Risk to delivery

Time – decision on project implementation not being made until November

Implementation affected by delays in agreeing learning outcomes for undergraduate education, in progressing legislative reform to allow more flexibility to change the CET rules and in agreeing and recruitment resources to support the project

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 practise₃ and changes to undergraduate education

Quarter 2 – Strategic projects delivery update

Review of Non-UK registration process

Delivery: **Delayed**



Key activities

- New non-EEA route to registration for optometrists implemented in June.
- Development of revised route to registration for non-EEA dispensing opticians aligned with process for optometrists delayed.

Risk to delivery

- Demand for new non-EEA applications from optometrists might put under pressure our ability to progress applications within the three month target timescale.

Business Standards

Delivery: **On Track**



Key activities

- Consultation launched in mid-June and now concluded
- Consultation enhanced by using new Citizen Space consultation platform

Risk to delivery

- Final version will go to the February Council meeting rather than November, but otherwise progressing well.

Organisational change

Delivery: **Delayed**



Key activities

- Office 365 background preparation completed. Full roll out in Q3
- Migration of main servers completed
- Flexible working within the office (Hot desking) went live in early October)

Risk to delivery

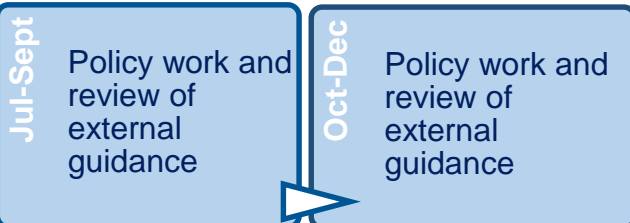
- Further background issues with infrastructure which cause further delays
- Volume of minor IT issues causing IT resource to be diverted

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 2 – Regulatory functions delivery update

Standards

Delivery: **On track**



Key activities

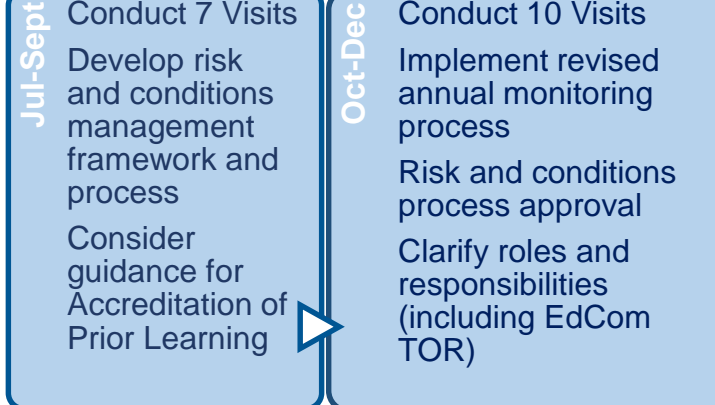
- Briefings undertaken with internal staff and case examiners
- New work on convening a working group to look at Gosport and other healthcare reviews
- Review and proposal for expanding Vision and Driving guidance into guidance on confidentiality

Risk to delivery

- Capacity of internal staff members to consider standards related policy issues affecting organisation
- Capacity of Standards staff to lead on wider policy work while delivering major external project on Business Standards

Education

Delivery: **On track**



Key activities

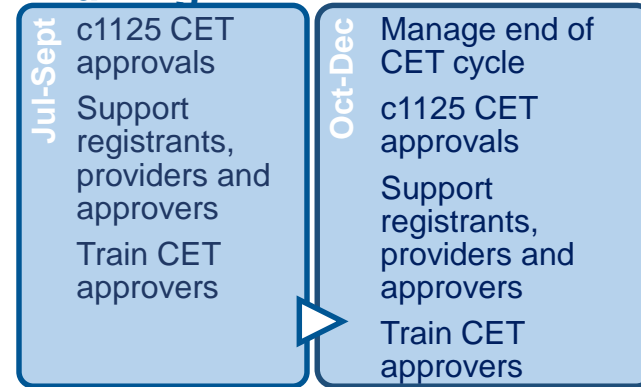
- Good progress made with improvement milestones
- Appointment campaign underway for 10 Visitor Panel members Trial of QA risk management framework
- Visit schedule compliance – 100% of planned visits attended (7/7)
- One application to establish a new education provision received.

Risk to delivery

- Team and Education Visitor Panel capacity and engagement
- Provider conditions management and annual monitoring reporting work may lead to increased quality assurance visits

Continuing Education and Training

Delivery: **On track**



Key activities

- Communications to registrants, providers and approvers have continued through this period to assist with compliance
- Registrants meeting end of CET cycle requirements
- 96% of CET approval applications concluded within 10 days

Risk to delivery

- DOs, CLOs and TPs are behind where they were in 2015 in terms of meeting CET requirements by 5-6%. This may result in an additional 320 who fail to complete on top of the expected 200 (based on c6000 DOs and c400 TPs). Mitigation: Targeted communications to registrants, CET providers and professional associations

Quarter 2 – Regulatory functions delivery update

Registration

Delivery: **On track**

Fitness to Practise

Delivery: **Delayed**

Jul-Sept

Registration fully qualified and students – c1,600
 Student removal/withdrawal following renewal - 330
 Audit of registrant data
 c50 non-UK applications

Oct-Dec

Registration Fees Rules
 Registration fully qualified and students – c1,600
 c50 non-UK applications
 Legal notifications to registrants for non completion of CET

Jul-Sept

c65 investigation & c9 hearing decisions
 Implement Acceptance Criteria
 Case Examiner/IC training
 OCCS Annual Report
 Implement transcription services

Oct-Dec

c70 investigation & c11 hearing decisions
 Legal services and clinical contract re-tender/review
 Review clinical adviser pool
 CE/IC training
 Implement In-House Advocacy
 Implement end to end casework
 Clinical training day

Key activities

- c.5000 completed student renewals and 244 removals/86 withdrawals
- 98 restorations
- c.200 active Non-UK (EEA) enquiries - no applications outside of the directive's timescales
- 54 Non-EEA applications in progress (>300 enquiries received since 27/04/18)
- KPI performance is 95% for timeliness against all applications received and 95% for accuracy
- End of CET cycle processes

Risk to delivery

- Significant increases in non-UK (especially non-EEA) applications in Q3

Key activities

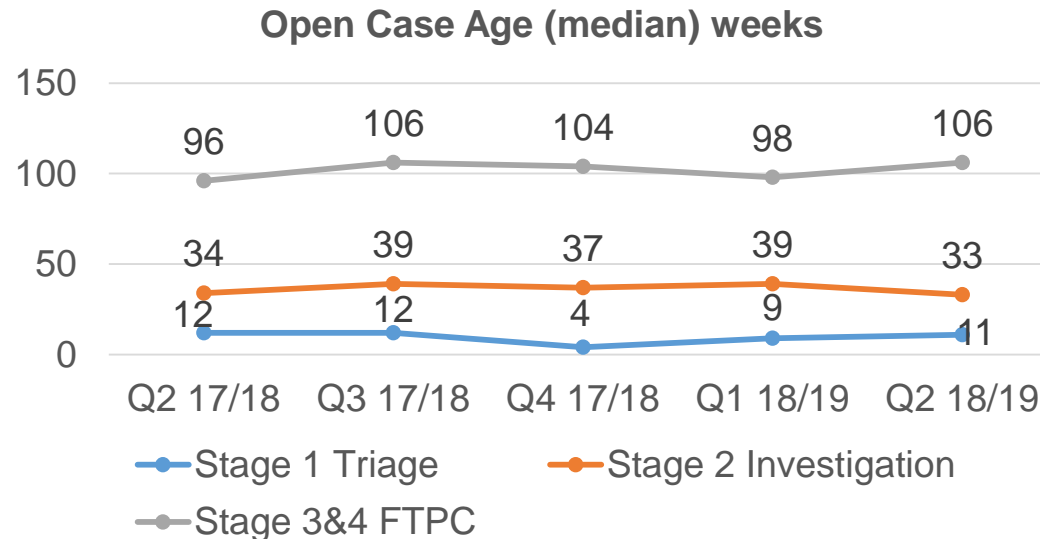
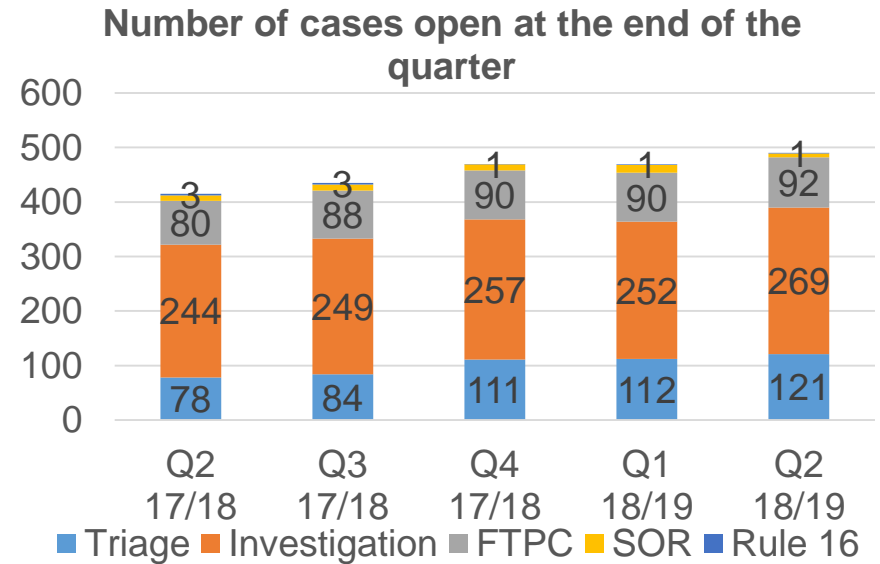
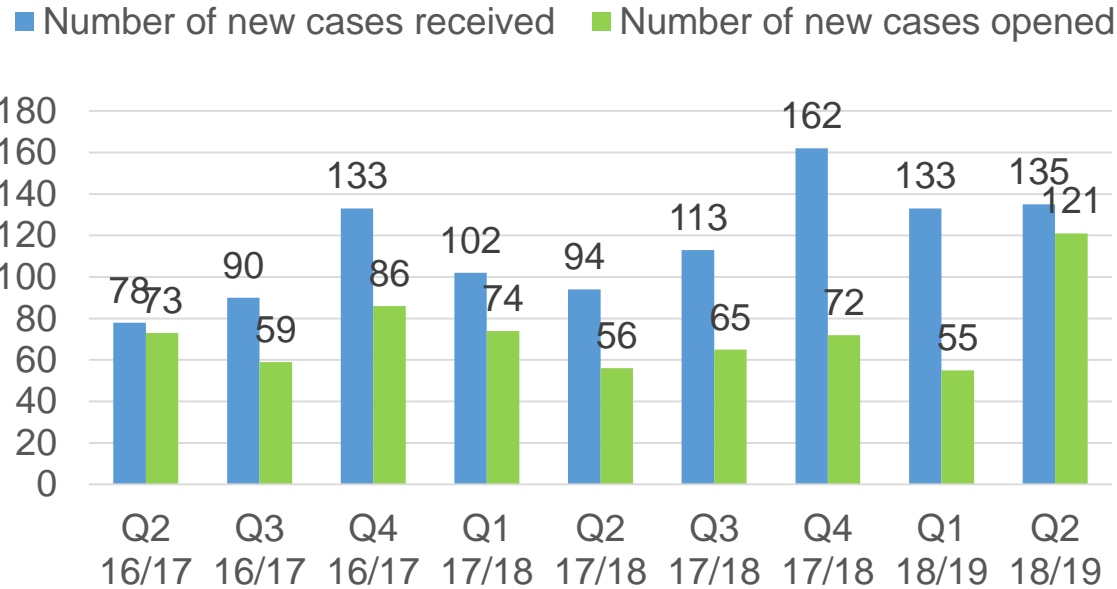
- 55 investigation decisions (-v-82 cases opened) & 10 hearing decisions
- KPI summary: Triage: 6 weeks; Investigation 42 weeks; End to End 103 weeks
- Recruitment of additional FTP resource almost complete

Risk to delivery

- The Glide Path presented to Council on 28/2/18 has been re-set and assessments are based on the updated version – see slide 9
- Hearings is preparing for a rise in activity, especially in disclosure requests over the next couple of months

Quarter 2 – Performance update – Fitness to Practise

Open caseload analysis



The open caseload at Triage stage has increased since Q3 17/18, caused primarily by the number of retention declarations being assessed by FTP (rather than by Registration). The impact of this change is being monitored and reviewed.

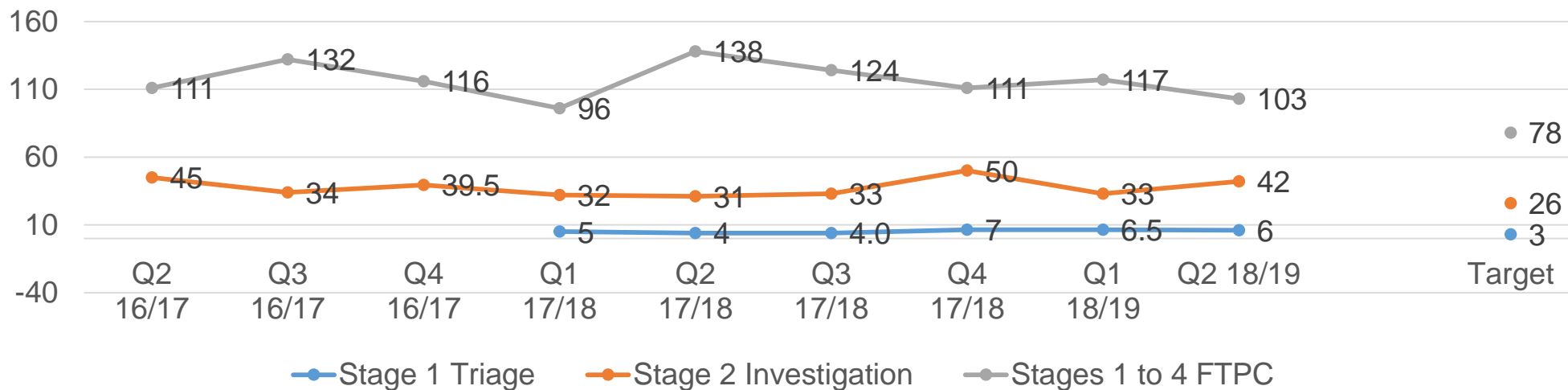
The median age of open investigation cases has reduced to 33 weeks which is a trend we expect to continue. The median age of FTPC cases remains broadly static.

Data for Triage and Investigations is expected to improve across Q3 and Q4.

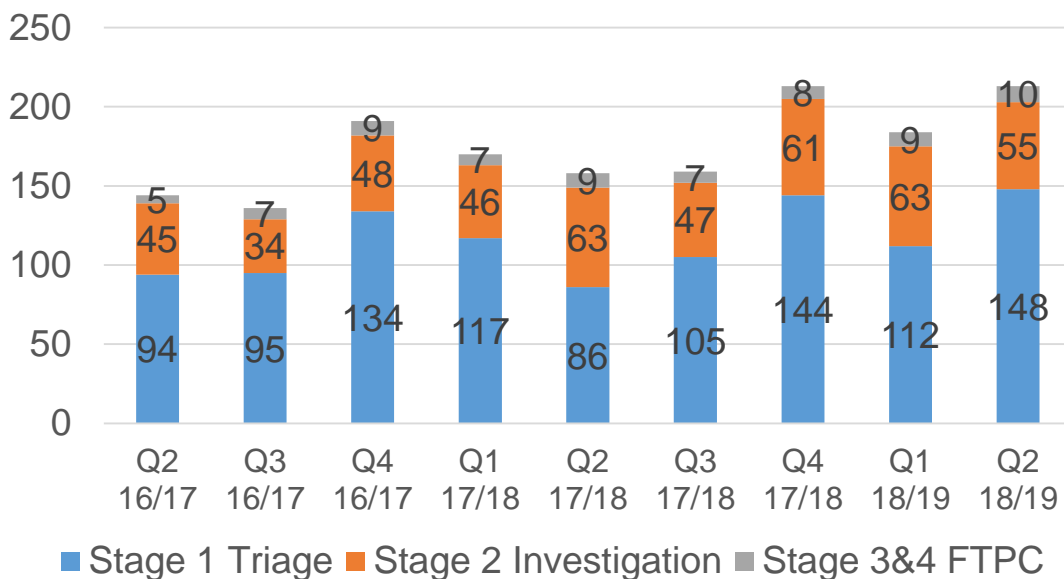
Quarter 2 – Performance update – Fitness to Practise

Closed caseload analysis

Quarterly Stage Closure Median (weeks)



Number of cases closed each quarter



[*Stage 2 Investigation measure changed from Q1 17/18 with new KPI target – measured from date case opened – previous figures include stage 1]. Closure medians at Triage and Investigation stages are too high but are manageable and expected to improve across Q3 and Q4 with new resource having an impact. End to End closure median will remain well outside KPI through most of 2019 as there is a significant challenge to list sufficient hearings to reduce case numbers and timescales. Interim Order medians for Q2 were 3.5 weeks from 'trigger date' and 20 weeks from date of complaint (9.5 weeks previous quarter)

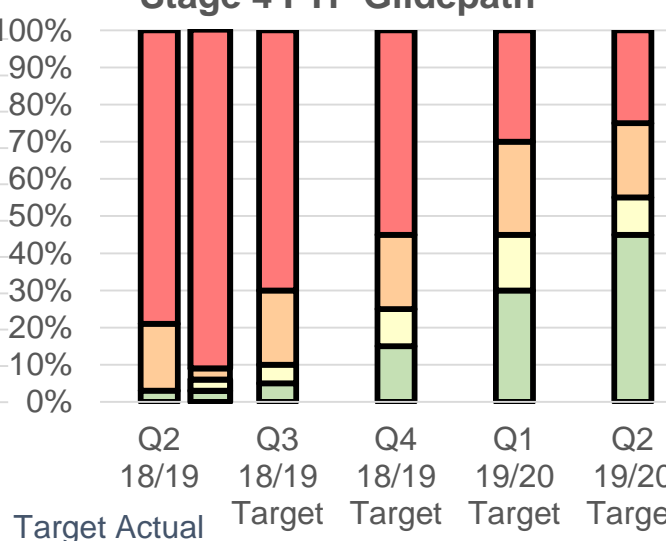
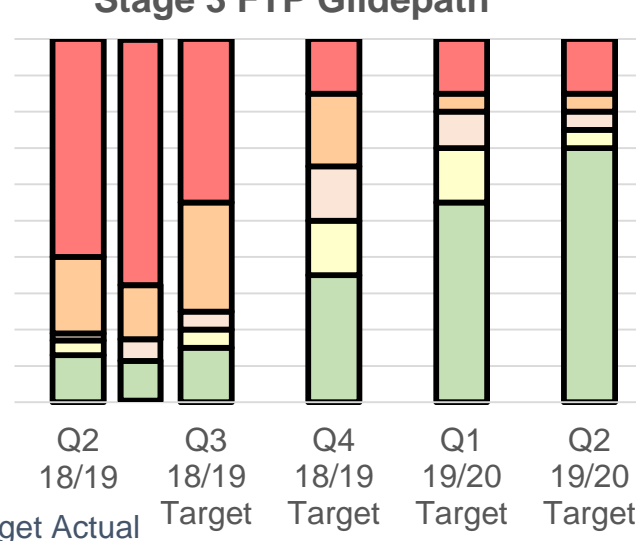
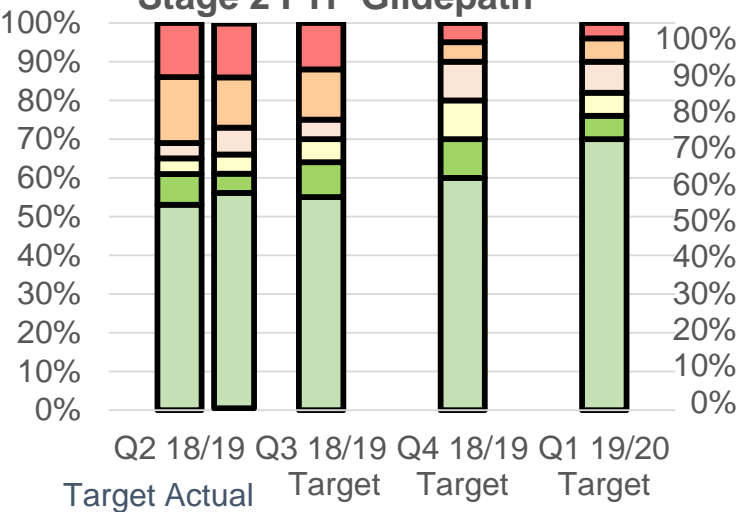
Case Progression Glide Path (Quarterly)

END TO END KPI	STAGE 2 - Investigation					STAGE 3 - GOC HEARING PREP						STAGE 4 - REGISTRANT HEARING						
	From date of complaint	09/08/18 (Actual)	30/09/18 (Actual)	31/12/18	31/03/19	30/06/19	09/08/18 (Actual)	30/09/18 (Actual)	31/12/18	31/03/19	30/06/19	30/09/19	09/08/18 (Actual)	30/09/18	31/12/18	31/03/19	30/06/19	30/09/19
0 - 40 weeks	53%	T: 53% A: 56%	55%	60%	70%	13%	T: 13% A: 11%	15%	35%	55%	70%	3%	T: 3% A: 3%	5%	15%	30%	45%	
41-45 weeks	8%	T: 8% A: 5%	9%	10%	6%	4%	T: 4% A: 6%	5%	15%	15%	5%	0%	T: 0% A: 3%	5%	10%	15%	10%	
46-50 weeks	4%	T: 4% A: 5%	6%	10%	6%	2%	T: 2% A: 0%	5%	15%	10%	5%	18%	T: 18% A: 3%	20%	20%	25%	20%	
51-54 weeks	4%	T: 4% A: 7%	5%	10%	8%	60%	T: 60% A: 68%	45%	15%	15%	15%	79%	T: 79% A: 91%	70%	55%	30%	25%	
55-78 weeks	17%	T: 17% A: 13%	13%	5%	6%													
79 weeks+	14%	T: 14% A: 14%	12%	5%	4%													

Stage 2 FTP Glidepath

Stage 3 FTP Glidepath

Stage 4 FTP Glidepath



■ 0 - 40 weeks
 ■ 41-45 weeks
 ■ 46-50 weeks
 ■ 51-54 weeks
 ■ 55-78 weeks
 ■ 79 weeks+

■ 0-45 weeks
 ■ 46-50 weeks
 ■ 51-54 weeks
 ■ 55-78 weeks
 ■ 79 weeks+

■ 0-50 weeks
 ■ 51-54 weeks
 ■ 55-78 weeks
 ■ 79 weeks+

Quarter 2 – Performance update – Registration & CET

Continuing Education and Training

These figures represent the last seven months of the year rather than the standard quarter, so that Council can gauge current progress with CET. Further detailed data is shared through our regular updates to Approvers and Providers:

<https://www.optical.org/en/newsletter/cet-providers-bulletin/cet-providers-bulletin-july-2018.cfm>. The trends continues to be in the right direction. 55% of registrants have now met all their CET requirements, an increase of 6% in the last 4 weeks. The previous 6% increase took 8 weeks to achieve.

Indications are that 96-97% of registrants will meet their requirements by December 31st if completion rates continue to accelerate.

18(15)	MAR	APR	MAY	JUN	JUL	AUG	SEP
OO	41% (39)	45% (45)	49% (48)	54% (51)	57% (54)	60% (58)	63% (60)
DO	26% (29)	32% (36)	36% (41)	43% (47)	47% (51)	50% (56)	54% (59)
CLO	47% (51)	52% (58)	57% (63)	61% (68)	65% (70)	67% (73)	69% (75)
TP	58% (65)	62% (72)	63% (73)	69% (73)	70% (80)	72% (78)	77% (82)

KPI End of Month Data	Q1 18/19	Q2 18/19
% of CET Applications concluded within 10 days	95%	97%

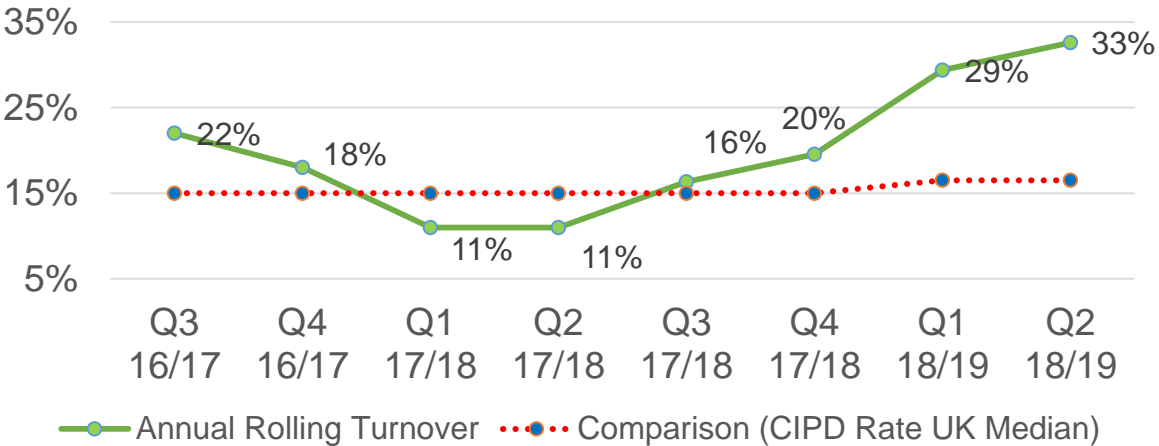
Registration

Accuracy Measure	17/18 Q2	17/18 Q3	17/18 Q4	18/19 Q1	18/19 Q2
95% of all new entries to the register are accurate	89%	96%	98%	97%	95%
85% of forms completed within deadline		83%	83%	94%	95%

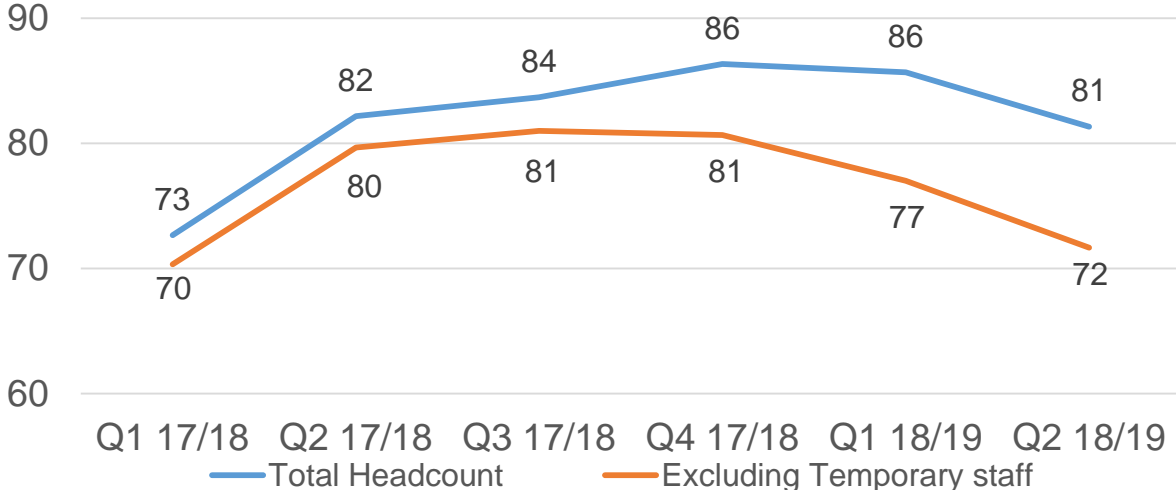
Quarter 2 – Performance update – Human Resources & Information Governance

Human Resources

Rolling Staff Turnover % Rate



Change in GOC workforce (Quarterly Average)



Information Governance

In Quarter 2 there was one data breach caused by human error where password protected information was shared by email with an incorrect recipient. No report to the ICO was necessary as the risk of harm to the data subject was considered to be minimal. Following learning from this and other breaches occurring via use of email we will be implementing the Egress Email Threat Detection solution in Quarter 3. In the current quarter we have seen an increase in data breaches, none of which have required reporting to the ICO.

