

COUNCIL

**C(04)10
25.02.10
PUBLIC**

Performance review

For consideration

Issue:

The Council agreed at its April 2009 meeting that, from September 2009 onwards, the Executive would report quarterly on its delivery of the annual business plan measured against performance indicators (measures of success).

It was agreed a traffic light system would be employed whereby projects going to plan would be indicated as 'green'; where a project plan is not being maintained but the maintenance is not critical this would be indicated with 'amber'; and projects with significant issues would be highlighted as 'red' and brought forward to Council for discussion with an indication as to how the risks will be mitigated.

Attached is the schedule of the performance indicators by which the Executive will be held to account for the delivery of the 2009/10 Plan. Council is asked to note that **Annex 1** forms part of the Performance Indicator spreadsheet.

Recommendation(s):

Council is invited to review progress of the 2009/10 Business Plan to date, as measured against the agreed KPIs and project milestones.

Annexes:

The following annex is attached to this paper:

Annex 1: Communications Department Key Performance Indicators report

Further information:

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

Dian Taylor
020 7307 3468
dtaylor@optical.org

**Performance Review - Progress of 2009/10 Business Plan
Report to Council - Feb 2010**

C(04)10

Tasks from Business Plan	Milestone	Cost	Notes
Standards			
1. Develop a revalidation scheme			Research projects on risk and employer appraisal now complete. Stakeholder events have been held across the UK. Consultation on the 'licence to practise' concept to be undertaken following next meeting of Revalidation Working Group on 4 March 2010.
2. Complete the review of the competencies			The College & ABDO have now drafted the competencies. Final drafts are currently being checked for Disability Discrimination Act compliance. The work will be considered by Standards Committee at its next meeting before proceeding to Council for approval.
3. Complete the review of the codes of conduct			Project complete.
4. Appoint/reappoint hearings panel			Project deferred until 2010/11 (Project moved from FTP)
Education			
1. Consider the CET/revalidation process		N/A	End of 2006-9 cycle was successfully concluded with 96% of registrants meeting their target by the deadline. Work currently underway as to how the CET scheme can be developed to fit with Revalidation until details of the Revalidation Scheme are established. CET Stakeholder event arranged for 25 March 2010 focused on future developments of the CET scheme post 2012.
2. Undertake a strategic review of DO qualification framework, which ties in with the DO regulation review.			Project deferred until 2010/11
3. Develop a policy on Europe		N/A	On target; in research phase. Report to next meeting of Education Committee on 11 March 2010.
4. Establishment of Independent Prescribing training & qualification		N/A	On target. Of the 35 optoms who have qualified to date, 26 are now on the specialty register. Retention applications will be considered by the IP Panel. The next IP qualifying exam will take place in early March 2010. QA of training and assessment will continue within education visit schedule.
5. Annual Monitoring Scheme and Stakeholder Engagement in Accreditation Process		N/A	On target. 100% of Optometry annual monitoring forms were received by the deadline. Next milestone is summary report to go to Education Committee in March 2010.

**Performance Review - Progress of 2009/10 Business Plan
Report to Council - Feb 2010**

C(04)10

Tasks from Business Plan	Milestone	Cost	Notes
Registration			
1. Introduce an online retention process			Improvements to the existing paper-based retention process for 2010/11 retention completed, including introduction of new online registrants area. Planning underway for further improvements to registrants area in 2010/11.
2. Registration fees/differential payments			Differential fees implemented for 2010/11 retention, as agreed by Council. Planning underway for 2010 review of impact, to inform decisions on the future GOC fee structures, including whether to retain differential fees for 2011/12 retention and beyond.
3. The effective implementation of the Vetting and Barring scheme			Planning is underway for information-sharing with the ISA, including changes to our database for July 2010, when individuals will be able to register with the ISA. All regulators are still awaiting agreement on MOU with the ISA.
4. Undertake a review of content of and access to the Register			Consultation events held and summary document published November 2009. Report and 2010/11 project plan prepared for Registration Committee meeting Feb 2010.
5. The effective handling of the end of the second cycle for CET			Conversion manager installed; separate retention mailing completed for registrants who had not met CET requirement; daily upload from Vantage in place. CET removals to be completed following shortfall deadline on 15 March.
6. Analyse and report on equality and diversity monitoring			Full 2009 Registration Department equality and diversity monitoring report drafted, to be considered by Registration Committee and Council prior to publication.
7. Review timetable for student registration			Project deferred until 2010/11
8. Consider a written policy and GOC guidance on the position of persons applying to join Register with a disability			Project deferred until 2010/11
9. Undertake a review of body corporate/ protected title issues			Legal advice received and reviewed. Planning underway for further work in 2010, including a full options analysis.

**Performance Review - Progress of 2009/10 Business Plan
Report to Council - Feb 2010**

C(04)10

Tasks from Business Plan	Milestone	Cost	Notes
Fitness to Practise			
1. Review policy on criminal prosecutions			Project deferred until 2010/11
2. Review approach to allegations of poor clinical practice			Project deferred until 2010/11
3. Introduce scrutiny function		N/A	Tasks 1-6 complete (Task 6 being the submission of a report to the Audit Committee). Whether or not the remainder of the tasks need to be completed will depend on a decision to be made by the Audit Committee as to next steps in developing/implementing a suitable mechanism.
4. Adoption of electronic case management system		N/A	Completion of tasks 3 and 4 will need to be delayed from the original timetable of February 2010 to the end of April 2010, in order to divert resources to other work including completion of the legal tender process, as well as work on the FTP Rules.
5. Improve registrants' understanding of FTP system			Project deferred until 2010/11
6. Public awareness of FTP system (see also Influence)			Consideration of project deferred until 2010/11
7. Improve witness and complainant support			Project deferred until 2010/11. However, Communications Team have developed a 'How to complain' leaflet.
8. Establish FTP policy group			Consideration of project deferred until 2010/11
9. Development of FTP annual report		N/A	Tasks 6 and 7 are under way (the report referred to in Task 7 is currently under consideration by the Registrar). Completion of Task 8 will need to be deferred from end February to end April in order to divert resources to other work including completion of the legal tender and work to be done on FTP Rules.
10. Service standards/KPIs		N/A	As reported in November, this project was superseded by the adoption of 2 KPS in October 2009. A mechanism to record data in relation to these 2 KPIs has now been implemented.
Resources			
Finance			
1. Review budget planning framework and financial reporting arrangements		N/A	Financial reporting arrangement to Council agreed by Council in April 2009 and these are a standard item on each Council meeting agenda.
2. Develop investments policy		N/A	Project complete
3. Tighten up internal controls		N/A	Project plan complete and available on the intranet. Project recommendations will be presented to the next FMG Meeting

**Performance Review - Progress of 2009/10 Business Plan
Report to Council - Feb 2010**

C(04)10

Tasks from Business Plan	Milestone	Cost	Notes
IT and facilities			
1. Modernise IT infrastructure and develop IT strategy			Systems Architecture mapping and assessment of organisational needs underway. Process mapping and scoping document to follow.
2. Review accommodation requirements			Completed for 2009, review in 2010
3. Review Health and Safety requirements and ensure compliance with H&S legislation			Positive Health and Safety Report received from Stallard Kane. On track with risk assessments and training.
HR			
1. Induction of new Council			Delay due to pressure of other business caused by in-house appointment of committee members.
2. Appointment/induction of new Chief Executive			Project complete
3. Develop staff engagement/capacity for change			Ongoing
4. Job evaluation/competency framework			Project deferred
5. Pay/reward policy			Project deferred
6 Staff Engagement - through the implementation of cross-functional mandatory training and development policy		N/A	Ongoing
7. Review/develop appraisal mechanisms for Council/Committee members			On target for appraisals March/April 2010
8. Committee member appointments			Several vacancies (mainly DO's) outstanding, this will be addressed in 'mop up' session to take place in March 2010.
Governance			
1. Agree and implement organisational structures and strategic planning mechanisms for new Council/committees/executive			Complete
2. Ensure mechanisms are in place to manage performance and hold the executive to account			Complete
3. Committee member appointments			Moved to HR Directorate
4. Review GOC internal policies and processes necessary for effective and efficient working and develop KPIs		N/A	Project on target
5. Agree KPIs and other information necessary to enable the GOC to quality assure its activities		N/A	Project on target
6. Develop proposals for legislative change to support new Council structures			Complete

**Performance Review - Progress of 2009/10 Business Plan
Report to Council - Feb 2010**

C(04)10

Tasks from Business Plan	Milestone	Cost	Notes
Equality and diversity			
7. Ensure implementation of the Equality & Diversity action plan			Complete
Influence			
1. Implement the stakeholder engagement strategy and ensure the GOC understands public and patient expectations when developing strategy/policy			See Council Paper C(07)10
2. Raise public awareness of the GOC, particularly in relation to registration of opticians and how to complain			Materials drafted and focus groups taken place for registrant and patient feedback. Patient leaflet Plain English approved. Public perception research carried out. Planned roll out March/ April. Development work on GOC-registered logo for registrants area ongoing. To date this year: exhibited two patient focused conferences, inc. CAB, launched two patient info leaflets inc 'How to complain about an optician'. Attending Patient Information Forum conference.
3. Promote better understanding of standards and guidance			New Codes of Conduct published and distributed. Promotion is ongoing at optical events; Codes-related event planned, 'The new Codes of Conduct: What to expect from your optician'. For registrants and patient to explain the Code of Conduct.
4. Develop a public affairs strategy, incorporating a four-country approach			Project deferred until 2010/11
5. Explore opportunities for joint working on eye health issues			See Annex 1 attached.
6. Agree a coordinated policy on Europe (see also Education)			Work continuing in Education Department
7. Develop publications to explore opportunities for interactive and electronic communications and improve cost-effectiveness			See Annex 1 attached. Electronic Annual Report launched 21 Sep: 1,382 visits since it launched.

LEGEND

Milestones		Costs	
	Missed milestone putting project significantly at risk		+/-£5k or over 5% (w hichever is greater)
	Missed milestone w hich is mitigated so project success is not affected		+/-£2k or 2-5% (w hichever is greater)
	All on target		All on target or less than +/-£2k or 2%

Communications Department – Key Performance Indicators

	KPI	DETAIL (Figures are for this period unless specified YTD)	MONTHLY TARGET/ STATUS
	Media relations		
	Press/ news releases sent YTD (Target: >19)	22 press/ news releases distributed YTD	G
	Total mentions YTD (Target: >257)	206 mentions YTD	G
	Coverage: % positive or neutral (Target: ≥80%)	79%	G
	Coverage: % negative (Target: ≤20%)	21%	G
	Proactive comms: FTP hearings (Target: 2)	1	G
	Press/news releases	Help to shape your revalidation scheme (5/1/10) Thousands hit CET target (5/1/10) GOC announces new Registration and Investigation Committee members (29/01/10)	
	Website		
	Visits to website (≥2008 total: 187,536)	188,195 visits YTD	G
	Average pages per visit YTD (Target: 7)	7.30 average pages per visit	G
	Average daily hits (≥2008 average: 514)	689 average visits per day	G
	Intranet		
	Visits to iSpy (Target: 350 visits per month)	3,367 visits YTD 238 per month	A
	Average pages per visit (Target: >7)	5.7	A

	Stakeholder engagement		
	Completed GOC consultations YTD (Target: 3)	6	G
	Average responses received YTD (≥2008 average: 11)	<p>Completed consultations: Codes: 53 WLS: 2 Open Strategy: 10 written plus 10 presenting to Council Revalidation: 47 DO fees: 87 IC Guidance: 10</p> <p>Still open: Strategy 2 : 7</p> <p>Average: 32.38 (including open)</p>	G
	Total patient and public response rate YTD (>2008 total: 2)	Total of 2 written responses, 3 presentations to Council and 16 people attending consultation events	G
	Responses to others' consultations YTD (Target: 12)	8	G
	Public and patient survey response rate YTD (Target: 5%)	26 people	
	Stakeholder Update circulation (Target >200)	400+ (Eli is in the middle of adding revalidation event attendees to Sugar so exact total unknown)	G
	% of people unsubscribing from Stakeholder Update (Target: <5%)	0.3%	G
	Consultation events held (Target: 3)	<ul style="list-style-type: none"> ▪ Codes of Conduct, London, 16 April ▪ Registers events x 4 ▪ Revalidation events x 5 booked 	G
	% rating events useful or very useful YTD (Target: ≥75%)	90%	G

	UK countries covered YTD (Target: 4)	4	G
	Conference/ exhibition events		
	Attendance YTD and delegates spoken to (Target: targets set for events individually)	<ul style="list-style-type: none"> ▪ Optrafair (Apr) ▪ Trading Standards(40-50) ▪ Citizens Advice (57) ▪ Lib Dems with EHA (70-100) ▪ Scottish Health Service regulation (58) 	G
	Public and patient events attendance (YTD) (Target: minimum 1)	2 – TSI, CAB	G
	Publications		
	Annual Report: number of feedback responses (Target: ≥5%)	12 (0.6 per cent) (of 19,030 sent electronically)	A
	Annual report: proportion of positive or neutral feedback (Target: 40-50%)	11/12 positive responses 92 per cent positive	G
	Annual report: production costs (Target: <£30k)	£20,599.19	G
	Bulletin: number of feedback responses	Not yet measured	
	Bulletin: proportion of positive or neutral feedback	Not yet measured	
	Bulletin: production costs (Target: <£35k)	Not yet measured	
	eBulletin: number of feedback responses	Not yet measured	
	eBulletin: proportion of positive or neutral feedback	Not yet measured	
	Total number of electronic publications in existence YTD (Target: 3)	<ul style="list-style-type: none"> ▪ eBulletin ▪ Stakeholder Update ▪ Annual Report ▪ Provision to translate GOC 	G

		<p>patient/ public publications into 11 languages, and provide as pdf</p> <ul style="list-style-type: none"> ▪ Code of Conduct ▪ Complaints leaflet ▪ About Us 	
	Publications	<ul style="list-style-type: none"> ▪ eBulletin (sent Apr) ▪ Stakeholder update (sent May, August) ▪ IC-GOC (sent each month) ▪ AR ▪ About Us info leaflet ▪ How to complain info leaflet ▪ Retention fees information leaflet ▪ Provision to translate GOC patient/ public publications into 11 languages ▪ Code of Conduct ▪ Bulletin (Winter 2009-10) 	G
	Equality and Diversity and Welsh Language		
	Action plan targets this period	<p>Equality and Diversity (all ongoing):</p> <ul style="list-style-type: none"> ▪ Involve diverse stakeholder groups in GOC work ▪ Promote equality and diversity activities ▪ Website accessibility ▪ Accessible Publications ▪ Positive representation of black and minority ethnic groups and people with disabilities <p>Welsh Language Scheme:</p> <ul style="list-style-type: none"> ▪ Approved and live. 	G
	Targets achieved	All of the above	
	Notes		
	Action plan targets next period	<p>Equality and Diversity:</p> <ul style="list-style-type: none"> ▪ As above <p>Welsh Language Scheme:</p> <ul style="list-style-type: none"> ▪ na 	

Projects

	Project name	Project status		Notes
		Milestones	Budget	
	Public awareness			First phase of focus groups complete. Two leaflets completed; being designed for further focus groups; edited for Plain English and crystal marked. 'GOC-registered logo' designed, work ongoing to develop this to online spec for registrants area. Public perception research commissioned, poll to run in February.
	Understanding of standards and guidance			New Codes published and distributed. Patient-focused launch event planned for March.

KEY

Milestones

R - Missed milestone – project significantly at risk

A - Missed milestone – mitigated and project success not affected

G - On track

Budget

R - +/- £5k or 5% (whichever is greater)

A - +/- £2k or 2% (whichever is greater)

G - On track or +/- less than £2k or 2% (whichever is greater)