## Balanced Scorecard – Q3 2017 Performance

<table>
<thead>
<tr>
<th>Purpose of paper</th>
<th>To present the Council with the balanced scorecard covering the Q3 2017 performance period.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Action</td>
<td>For discussion and noting</td>
</tr>
<tr>
<td>Status</td>
<td>Public session</td>
</tr>
</tbody>
</table>
| **Corporate Strategy 2016-19** | Performance Objective 1: To improve our performance across all our functions so that we are highly effective as a regulator.  
Performance Objective 2: To improve our management of resources so that we become a more efficient regulator.  
Performance Objective 3: To be transparent about our performance so that the public, patients, professionals and our partners can have confidence in our approach. |
| **Business Plan 2017** | Project Management Office (PMO) reporting and statistical modelling maturity workstream          |
| **Decision Trail** | Work was carried out throughout 2016 to propose a new format for the balanced scorecard and redevelop/refine GDC performance indicators.  
At the meetings of Finance and Performance Committee (FPC) and the Council in September and October 2016 respectively, EMT’s proposed revised balanced scorecard model was approved.  
At the EMT board meeting in December 2016, a final list of performance indicators was reviewed and approved for inclusion in the first version of the report in the new format, covering Q4 2016 performance. The Q4 report was subsequently presented to EMT and FPC at their respective February meetings and to Council at the in March 2017. Each board approved the new format for future reporting.  
The Q3 2017 balanced scorecard was reviewed by EMT at its Board meeting on 31 October 2017 and subsequently reviewed by the FPC at its meeting on 22 November 2017 with agreed action plan points added to the report. |
| **Next Stage** | Not applicable |
| **Recommendations** | The Council is asked to discuss and note the Q3 2017 balanced scorecard report. |
| Authorship of paper and further information | Gurvinder Soomal, Executive Director, Registration and Corporate Resources 020 7167 6333, Gsoomal@gdc-uk.org Michael Huntley, Head of PMO and Reporting 020 7167 6376, MHuntley@gdc-uk.org |
| Appendices | Annex 1 – Q3 2017 Balanced Scorecard  
Annex 2 – Escalated KPI Log  
Annex 3 – Balanced Scorecard Change Control Log |
1. Executive summary

1.1. This paper presents the balanced scorecard covering the Q3 2017 performance period, which is available at annex 1.

1.2. Several pieces of development work have been carried out during Q3 to include actual data in this version of the report for several indicators that were previously included as placeholders. The Governance performance indicators have been revised to include the performance against responding to corporate complaints.

1.3. The Council is asked to discuss and note the Q3 2017 balanced scorecard report.

2. Introduction and background

2.1. A project was carried out during 2016 to redevelop the existing version of the balanced scorecard report which is reported to EMT and the Council.

2.2. The newly proposed balanced scorecard framework was approved at the meetings of FPC and Council in September and October respectively.

2.3. At the EMT board meeting in December 2016, a final list of performance indicators was reviewed and approved for inclusion in the first version of the report in the new format. The first version of the report was subsequently presented to EMT and FPC at their respective February board meetings and the Council at the March Council meeting. Each board approved the new format for future reporting.

2.4. At the EMT meeting in February 2017, an approach to carrying out a supplementary deep dive activity focusing on different areas of the organisation on a rotational basis was discussed and approved, and this approach was subsequently approved by FPC at its February meeting.

2.5. Following the initial sign-off of performance indicators by EMT at the December 2016 board meeting, the PMO have developed a change control log that will be used to track proposed amendments and provide visibility of them to EMT for their approval.

3. Q3 2017 balanced scorecard report

3.1. Key performance headlines are presented within the executive summary of the Q3 2017 report at annex 1. For ease of reference, notes in the key successes and issues section are set out below:

Key successes

3.2. Registration active processing time continues to be within target in spite of Q3 2017 being a busy period for the teams. Q3 has seen the expected seasonal peak of UK Dentist Graduate and UK DCP registrations, as well as restoration applications from DCPs who were removed during the close out of the annual retention period. There has, however, been noted increases in the overall processing time (i.e. time taken including days on-hold) with three of the application routes being outside of the internal SLA.

3.3. Parts of the FTP process are performing well and have either maintained performance from the previous quarter or improved. Seven of the performance indicators have either improved or maintained performance with 100% of cases receiving a Triage decision within 25 days (94% in the previous period) and ILPS staff productivity increasing to 98% (92% in the previous period).

3.4. Areas of the recruitment process have performed well during the quarter. Recruitment campaign timeliness has improved to 89% being completed within deadline, which is 1% below target, and recruitment probation success has improved to 88%, which is 2% below target. Recruitment right first time has remained consistent at 87% for the last two quarters.
3.5. FTP timeliness continues to be an area of concern. Aside from Triage timeliness, the majority of the FTP performance indicators are rated as red and are significantly under their respective target levels. There has been a reduction of 8% in the timeliness for receipt to Case Examiner decision.

3.6. The number of lost and wasted days continues to grow. For Q3 2017, 40% of days were either lost or wasted, which represents the highest percentage for this performance indicator this year. The increase in lost and wasted days can be put down to an increase in the use of Rule 6 and VR applications by the GDC along with the loss of a 5-day hearing because a registrant passed away shortly before the event and the loss of another 6 days due to health-related adjournments. It is expected that the figures will improve in September and return to targeted levels later in the year. The Hearings team are also currently reviewing their listing strategy to respond to the change in pre-hearing case management trends related to increasing pre-hearing disposal action (Rule 6E and VRs) following the shift from ELPS to ILPS. Essentially this will mean increasing our double/triple listings when caseloads return to normal.

3.7. There was one serious data breach reported in August 2017, which was self-referred to the ICO in September. The incident involved confidential data being disclosed to the incorrect recipient. There were also six non-serious data security breaches during Q3 2017, however this is a reduction compared to the previous quarter. Freedom of Information (FOI) and Data Protection Act (DPA) Statutory Compliance has also been under 100% for consecutive quarters.

4. Development activity

4.1. Several pieces of development work have been carried out during Q3 which are included within the report and documented within annex 3 – Balanced Scorecard Change Control Log:

- PI/HRG/014 – Staff Engagement has now gone live and has been amended from the previous placeholder version. This placeholder now focuses on staff engagement and the average engagement scores from a six-month staff survey.
- A new measure has been introduced to measure the Governance team’s performance with the timeliness of responding to corporate complaints.
- The performance indicator measuring Governance meeting costs has been decommissioned and replaced by the corporate complaints performance indicator.

5. Recommendations

5.1. The Council is asked to discuss and note the Q3 2017 balanced scorecard report.

6. Internal consultation

<table>
<thead>
<tr>
<th>Department</th>
<th>Date and consultee name</th>
</tr>
</thead>
<tbody>
<tr>
<td>All data contributing departments</td>
<td>Established data leads from each department – October 2017</td>
</tr>
<tr>
<td>EMT</td>
<td>EMT Board – 31 October 2017</td>
</tr>
<tr>
<td>Finance and Performance Committee</td>
<td>Meeting – 22 November 2017</td>
</tr>
</tbody>
</table>

7. Appendices

- Annex 1 – Q3 2017 Balanced Scorecard
- Annex 2 – Escalated KPI Log
- Annex 3 – Balanced Scorecard Change Control Log