

**GENERAL DENTAL COUNCIL
December 2016
Balanced Scorecard Report**

**GENERAL DENTAL COUNCIL
December 2016
Balanced Scorecard Report Index**

PAGE 2	Key messages
PAGE 3	FTP summary
PAGE 4	Registration summary
PAGE 5	Illegal Practice, Dental Complaints Service & IT summary
PAGE 6	Standards, Stakeholder Engagement & QA summary
PAGE 7	HR, Finance & Governance summary
PAGE 8	Operational Excellence (Projects, PMO & Compliance) summary
PAGE 9	FTP detail
PAGE 10	Registration detail
PAGE 11	Illegal Practice, Dental Complaints Service & IT detail
PAGE 12	Standards, Stakeholder Engagement & QA detail
PAGE 13	HR, Finance, Governance detail
PAGE 14	Operational Excellence (Projects, PMO & Compliance) detail

Balanced Scorecard Overall Key Messages December 2016

A brief summary for each area covered in the report is as follows:-

- Fitness to Practise** – 169 new cases were received in December, 49 below the 218 budget forecast – a further low month following the 198 cases received in November. Cases at the Triage stage reduced from 145 cases in progress in November to 135 cases as at the end of December, above the steady state target of 110 cases. Assessment cases in progress decreased from 595 at the end of November to 550 at the end of December. The volume of outgoing cases at Assessment was 159 compared to budget target of 187, compared with 154 in October and 177 in November. Additionally, the decrease in Assessment cases in progress is due to the fact that cases have transferred to the Case Examiner stage, as part of preparations for actual transfer to the case examiner team. 245 cases were live at the Case Examiners stage as of the end of December. During the month, the Case Examiners considered 39 cases, of which substantive decisions had been made on 22 of these. There were 17 outgoing hearings in December, two below the budgeted level. 21% of hearing days were lost or wasted, 1% above target and increasing from 10% in November. Timeliness continues to be an area of focus for all stages of the FTP process and a current summary of FTP case age profiles is provided in the timeliness section of page three.
- Registration** - Five of the seven application processing routes met both Total and Adjusted targets in December, with four routes having their quickest processing month of 2016 and six meeting the adjusted target. Adjusted processing times (excluding on-hold time) are: UK Dentists – three calendar days, UK DCPs – three days, Restoration – four days, EEA Dentist – 11 days, Non UK DCP – 52 days, Specialist List – 15 days. The seventh route, the Assessed Dentist Application route, was two days above the Adjusted target and six days above the overall Internal SLA. There has been a shortfall in the volume of UK DCP applications arriving compared to budgeted levels, with 246 registered in December (113 below expected). This has contributed to an approximate £6k shortfall in the expected level of application income for all routes overall in December.
- Illegal Practice** – The number of successful prosecutions (15) is significantly More than the target level of 6 (increasing from 11 in Q3 2016). There has been a decrease in the volume of warning letters (73 v an expected quarterly level of 140) which leads to the red in the internal process section of the report.
- Dental Complaints Service** – Customer feedback received during the quarter was 94% in the excellent/good categories (14% above target). 84% of cases were completed within the three month target timeframe.
- IT** – All four IT internal process indicators (reflecting availability of IT systems) were available for 100% of December and throughout all of Q4. 690 out of 718 service desk tickets were completed within target, 0.1% above the 96% customer service target.
- Standards** – On average, public enquiries were responded to within four working days during Q4.
- Quality Assurance** – No significant issues reported in scorecard measures. Further reporting covered in the Chief Executive’s Report to Council.
- Finance** – Q4 Financial Report includes further information on the current organisational financial position.
- HR** – Number of sick days per employee reduced in Q4 to 2.8 days average due to the reduction of employees on long term sick leave (15 in Q3, 12 in Q4). Natural turnover reduced due to a reduction in voluntary leavers during the quarter (4.1% in Q3, 3.1% in Q4). Overall turnover reduced (6.4% in Q3, 4.9 in Q4) due to a reduction of leavers during the reporting period (22 in Q3 - 17 in Q4).
- Governance** – 91% of papers were distributed within time during Q4, 1% above target. Four sets of Committee and Council minutes that were shared during the quarter were done so late during Q4, two above target.
- Registration Change & Continuous Improvement and Operational Excellence Projects** – Key projects remain on track or have been completed to deadline.
- Operational Excellence (Project Management Office)** - The data warehouse phase 3 project is currently flagged amber due to the unavailability of dedicated IT resource during the first half of the year, however, the project is now progressing in line with revised milestones and will delivered key case examiners reporting for the go-live of the process. Other key projects remain on track or have been completed to deadline.
- Operational Excellence (Compliance)** - The team are continuing to work towards the handover of first line compliance audits to FTP.

Departmental overview - RAG summary

Scorecard	Page	Internal process	Customer Service/Timeliness	HR/Capacity/Resourcing	Cost	Income Collection (Registration Only)
FTP - Triage	3	Red	Red	Amber	Amber	N/A
FTP - Assessment	3	Red	Red	Amber	Amber	N/A
FTP - Case Examiner	3	Red	Red	Red	Red	N/A
FTP - Prosecution/Hearings	3	Red	Red	Amber	Amber	N/A
Registration - UK Dentist	4	Green	Green	Green	Green	Green
Registration - UK DCP	4	Red	Green	Green	Green	Red
Registration - Restoration	4	Amber	Green	Green	Green	Green
Registration - EEA Dentist	4	Green	Green	Green	Green	Green
Registration - Non-UK DCP	4	Amber	Amber	Green	Green	Amber
Registration - Assessed Dentist	4	Green	Amber	Green	Green	Green
Registration - Specialist List	4	Green	Green	Green	Green	Amber
Illegal Practice	5	Red		Green	Red	N/A
Dental Complaints Service	5	Green	Green	Amber	Amber	N/A
IT	5	Green	Green	Green	Green	N/A
Standards	6	Green	Green	Green	Amber	N/A
Quality Assurance	6	Amber		Green	Green	N/A
Finance	7	Amber		Green	Red	N/A
HR	7	Green	Amber	Red	Green	N/A
Governance	7	Green	Amber	Green	Green	N/A
Operational Excellence - Projects	8	Green	Green	Green	Green	N/A
Operational Excellence - PMO	8	Amber	Green	Green	Green	N/A
Operational Excellence - Compliance	8	Green		Green	Green	N/A

Green = all measures in the equivalent section for the department are green. Amber = one or more measures are amber but none red. Red = one or more measures are red. White = Measures under development.

GENERAL DENTAL COUNCIL – DECEMBER 2016 PERFORMANCE REPORT – FITNESS TO PRACTISE SUMMARY

PLEASE NOTE: In order to fit the new Case Examiner stage into the format of the report following go-live of the new process in November, some amalgamation with Case Examiner activity to 2016 IC budget targets has been applied this month. Case Examiner reporting will be fully developed within the new version of the Balanced Scorecard from Q1 2017.

THIS PAGE IS FOR SUMMARY PURPOSES. PLEASE SEE PAGE 9 FOR DETAILED MEASUREMENTS.

* Up and down arrows indicate whether the score is increasing or decreasing since the previous report

Work in progress

- 169 new cases were received in December, 49 below the 218 budget forecast – a further low month following the 198 cases received in November.
- Cases at the Triage stage decreased from 145 cases in progress in November to 135 cases as at the end of December – this is above the steady state target of 110 cases.
- Assessment cases in progress decreased from 595 at the end of November to 550 at the end of December. This decrease is due to the fact that cases are now progressing to the Case Examiner stage as part of preparation for actual transfer to the Case Examiner team.
- At the end of December, the Case Examiner stage contained 246 cases in progress, again due to the transition of cases to the stage as part of the launch of the new process.
- Of this total, at the end of the month, 32 cases were actively with Case Examiners for review. In addition there were 51 Retained IC cases as at the end of the month.
- Prosecution cases were in steady state level at month end (337 actual v 359 target).

OVERALL PROCESS COMMENTARY

Productivity

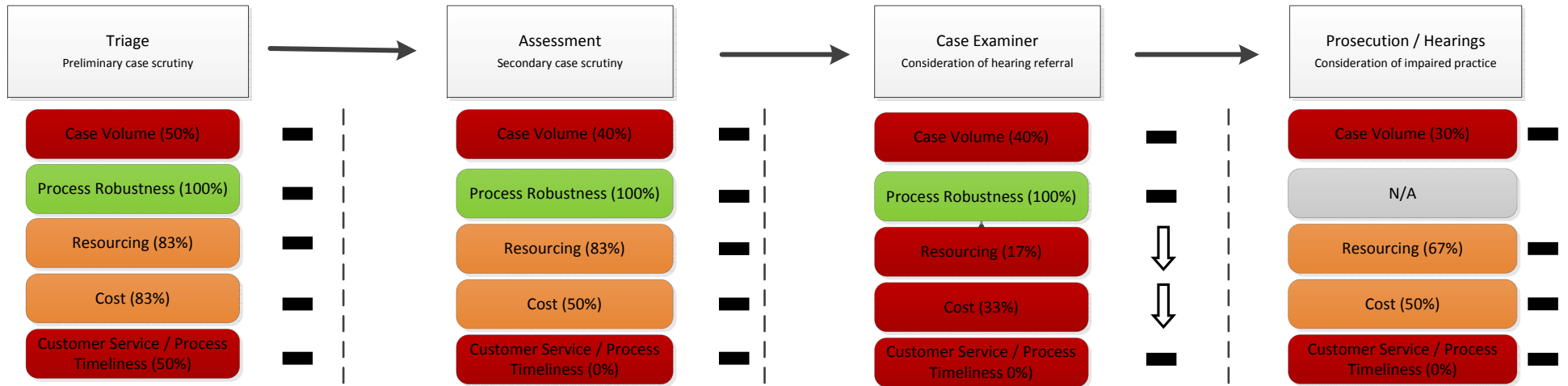
During November:

- The volume of outgoing cases at Triage was 150 compared to budget target of 243.
- The volume of outgoing cases at Assessment was 159 compared to budget target of 187, compared with 154 in October and 177 in November.
- The volume of outgoing Case Examiner cases was 22. Overall, 39 Case Examiner decisions were made (including adjournments and those awaiting final confirmation regarding Warnings and Undertakings).
- There were 11 outgoing Retained IC cases in December.
- The volume of outgoing Hearing cases was 17, two below the budget target.
- 22% of hearing days were lost or wasted, increasing from 10% in November.

Timeliness

Timeliness continues to be an area of focus across all stages of the FTP process. As of the end of December:

- 81 of the 135 live cases at Triage were aged ten days or less.
- Assessment Caseload in Progress contained 550 cases in total. Of these, 287 were within four months since receipt.
- 66 of the 246 cases in progress at Case Examiner stage were within six months since receipt.
- 106 of 337 prosecution cases in progress were within 15 months of receipt.



Case volume – 169 new cases were received, 49 below the 218 budget forecast – a further low month in line with the 198 cases received in November. 135 cases were in progress at the end of the month, 10 less than at the end of the previous month.
Process robustness – Case file audit result pass rates stood at 94% on average at the end of the most recent tranche at the end of the period.
Resourcing – Triage Staffing is currently at capacity with no staff turnover during Q4, but with three team members in post for less than six months.
Cost – Cost per triage decision in Q3 was £69.33, 29% more expensive than target due to fewer than budgeted levels of triage clearances in the period,
Timeliness – At the end of December, 81 of the 135 live cases at Triage were aged ten days or less.

Case volume – 86 cases were referred for Assessment during December, compared to an expected 170. Outgoing cases at Assessment was 159 compared to budget target of 187, compared with 154 in October and 177 in November.
Process robustness – As per Triage, case file audit results (which also reflect assessment activity) stood at 94% at the end of the period.
Resourcing – The Assessment team was at 41 staff v 41 budgeted at the end of Q4 with 12% of staff still within their probation period.
Stage cost – Cost per assessment decision in Q3 was £1,617.96, 14% more than target.
Timeliness – At the end of December, caseload in progress contained 550 cases in total, 287 of these were within four months since receipt.

Case volume – The volume of outgoing Case Examiner cases was 22. Overall, 39 Case Examiner decisions were made (including adjournments and those awaiting final confirmation regarding Warnings and Undertakings).
Resourcing – Resourcing was three over capacity (23 staff v 20 budgeted) at the end of Q4 yet this includes the new Case Examiner staffing versus old IC staff targets. In total, 70% of staff are currently within probation periods.
Cost – Cost per decision in Q3 was £4,324.71, 199% more than target. The main reason for this is lower than expected productivity in the new Case Examiner function in this quarter.
Timeliness – 66 of 246 open cases at the Case Examiner stage were within six months since receipt at the end of December.

Case volume – The volume of outgoing Hearing cases was 17, two below the budget target. 22% of hearing days were lost or wasted, higher than the 10% of November but lower than the 30% of October.
Resourcing – Prosecution/Hearings is currently at 88 staff v 80 budgeted but the target level here refers to staffing before the introduction of the full QA function now in place.
Cost – Cost per outcome in Q3 was £83,199.07, 11% more than target.
Timeliness – 106 of 337 open prosecution cases were within 15 months of receipt at the end of December.

GENERAL DENTAL COUNCIL – DECEMBER 2016 PERFORMANCE REPORT – REGISTRATION SUMMARY

THIS PAGE IS FOR SUMMARY PURPOSES. PLEASE SEE PAGE 10 FOR DETAILED MEASUREMENTS

UK Registration – Applications Processed

384 UK DCP applications were received in December, 94 less than the previous month and 205 less than October. 246 applications were completed during the month, 113 below expected and 108 less than the November total. 68 Restoration applications were completed in December, 13 below expected. 13 UK Dentist applications were completed, nine above expected.

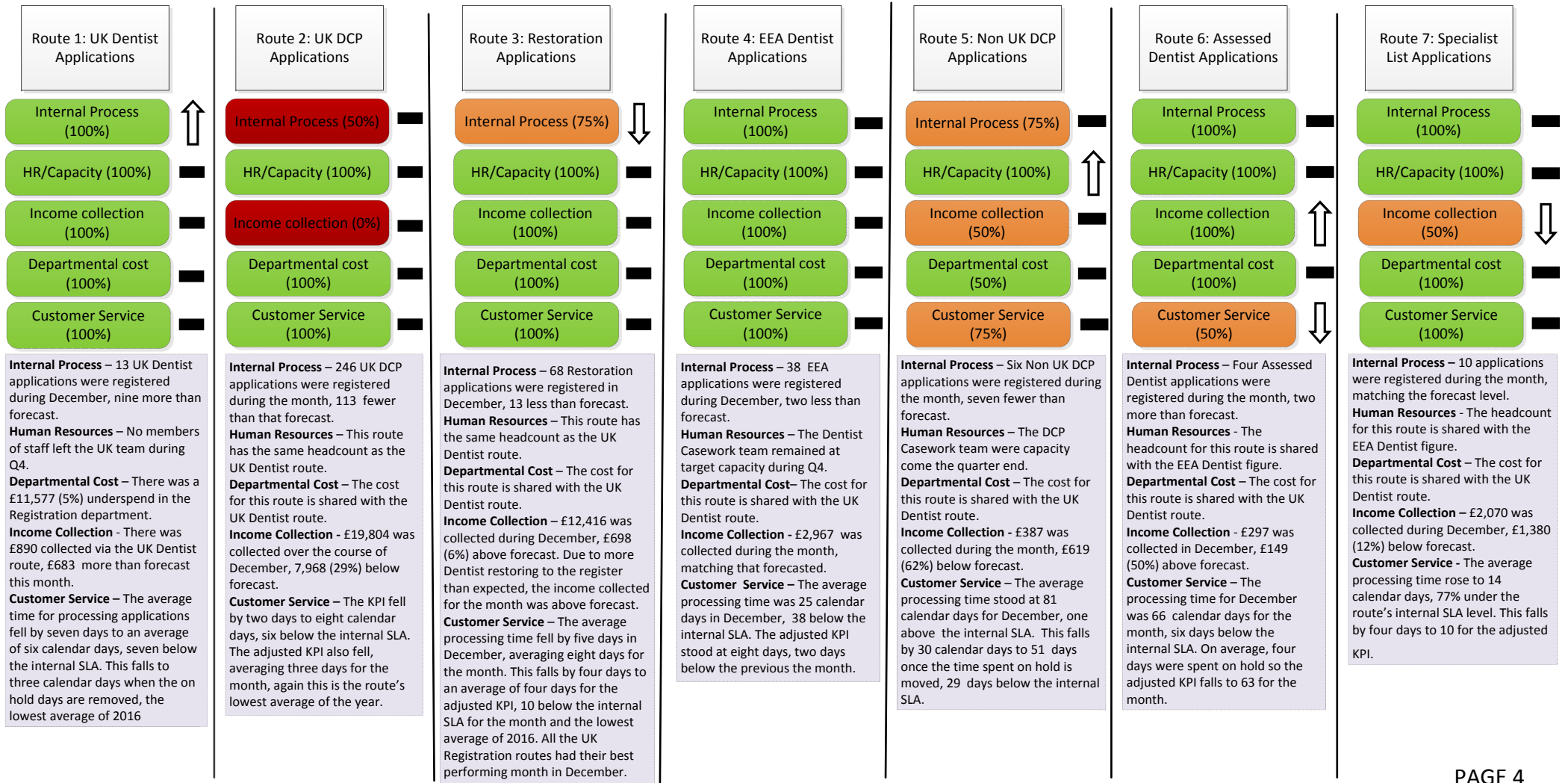
OVERALL REGISTRATION COMMENTARY

KPI Performance

Five of the seven routes met both Total and Adjusted targets in December, with four routes having their quickest processing month of 2016 and six meeting the adjusted KPI. Adjusted processing times (excluding on-hold time) are: UK Dentists – three calendar days, UK DCPs – three days, Restoration – four days, EEA Dentist – 11 days, Non UK DCP – 52 days, Specialist List – 15 days. The seventh route, the Assessed Dentist Application route, was two days above the Adjusted target and six days above the overall Internal SLA.

Income Collected

In total, £43,280 in application income was collected during December, £5,857 below expected. The most significant shortfall arose in the UK DCP route with £7,968 (29%) less than expected collected. The overall shortfall was mitigated by higher than expected collection in both Dentist Restorations (+£2,670) and Temporary Registrant (+£2,670) routes in December.



GENERAL DENTAL COUNCIL – DECEMBER 2016 – ILLEGAL PRACTICE, DENTAL COMPLAINTS SERVICE AND IT DEPARTMENTAL SUMMARIES

THIS PAGE IS FOR SUMMARY PURPOSES. PLEASE SEE PAGE 11 FOR DETAILED MEASUREMENTS.

1. Illegal Practice status

The number of successful prosecutions (15) is significantly above the target level of 6 (increasing from 11 in Q3 2016). There has also been an increase on the number of cases closed before prosecution In Q4 with 30 in total. There has been a decrease in the volume of warning letters (73 v an expected quarterly level of 140) which leads to the red in the internal process section. There has also been a decrease in the number of IP complaints leading to an opening of a case, falling from 30 to 18 in Q4.

SUMMARY NOTES

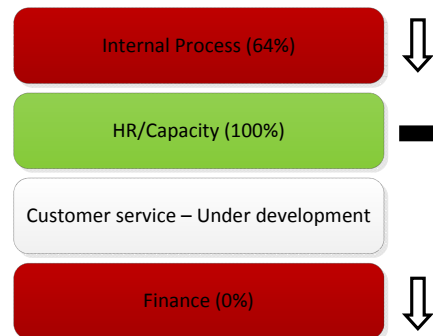
2. Dental Complaints Service

Customer feedback received during the quarter was 94% in the excellent/good categories (14% above target). 84% of cases were completed within the three month target timeframe.

I.T

All four IT internal process indicators (reflecting availability of IT systems) were available for 100% of December. 690 out of 718 service desk tickets were completed within target, 0.1% above the 96% customer service target.

Illegal Practice

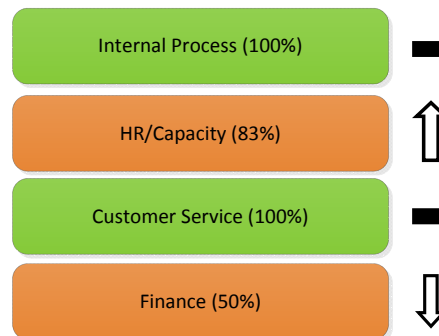


Internal Process – There were 15 successful IP prosecutions in Q4, compared to a target of six. 344 new cases were received in Q4 whilst 73 warning letters were issued. At the quarter end, there were 63 live cases.

HR/Capacity – IP were at their budgeted capacity come the quarter end, despite two staff members leaving during the quarter whilst no members left during the period.

Finance – There was a 36% overspend in the IP department in Q4.

Dental Complaints Service



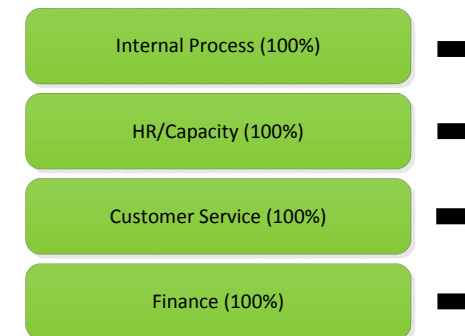
Internal Process – The volume of complaints received during Q4 was 171 whilst 59 complaints were referred to FTP.

HR/Capacity – Amber relates to one member of staff still within their probation period.

Customer Service – 84% of complaints completed during Q4 were done so within three months. 94% of customer service feedback currently falls into the excellent/good categories, 14% higher than the 80% target.

Finance – Departmental overspend of 6% in the quarter.

IT



Internal Process – All four internal process targets (which measure availability of IT systems) were available for 100% of the month of December and for the whole of Q4

HR/Capacity – The department was at capacity for Q4 with no staff leavers during the quarter.

Customer Service – 690 of 718 service desk tickets were completed on time during December 0.1% above target. 97.21% of Q4's requests were completed on time, 1.21% above target.

Finance – Departmental underspend of 2% during the quarter.

**GENERAL DENTAL COUNCIL –DECEMBER 2016 – STANDARDS, STAKEHOLDER ENGAGEMENT AND QUALITY ASSURANCE
DEPARTMENTAL SUMMARIES**

THIS PAGE IS FOR SUMMARY PURPOSES. PLEASE SEE PAGE 12 FOR DETAILED MEASUREMENTS.

1. Standards Initiative Status

Over the course of Q4, the standards average query response time was 3.9 quarter, remaining well within the 10 day average target level.

SUMMARY NOTES

2. Communications

Communications measures remain under development with work ongoing between the Communications and PMO teams to develop measures in this area for inclusion into the new version of the balanced scorecard in 2017.

3. Quality Assurance

Further narrative information about the QA department is provided in the Chief Executives report to Council.

Standards

Internal Process (100%)

HR/Capacity (100%)

Customer Service (100%)

Finance (50%)

- **HR/Capacity** – The team were at capacity as of the end of with no team members leaving during the quarter.
- **Customer Service** – The average query response was 3.7 days during Q4, remaining well below the internal SLA of 10 days.
- **Finance** – There was a 19% overspend in the Standards department during Q4.

Communications
- Being redeveloped

Balanced scorecard measures are currently being redeveloped for the Communications function. This follows the introduction of a new structure and processes during 2015 and the sign-off of the new Communications Strategy in Q1 2016. Measures are currently envisaged in the areas listed below, as referred to in the Communications strategy.

Measure Type	Measure to be developed in further detail
Internal outputs	High quality monitoring reports to be delivered regularly to key GDC groups
External outputs	Number of media interviews and coverage of GDC FTP decisions (Benchmark measure to be established)
	Increase in number of external meetings and speaking engagements
	Increase engagement in GDC social media channels (Benchmark measure to be established)
	Increase in engagement with GDC website (Measure readership metrics)
	Increase in engagement with GDC intranet
Outcomes	Improvement in registrants' perception of the GDC (Using the existing registrants' survey)
	Improvement in stakeholders' perception of the GDC

Quality Assurance

Internal Process (88%)

HR/Capacity (100%)

Customer service - Under Development

Finance (100%)

- **Internal Process** – The QA team carried out 31 inspections during 2016, two below the forecasted amount. The target for alerting providers to urgent issues met target, however, the team was one below the target of 10 for sending inspection documentation in a timely manner
- **HR/Capacity** – The QA department is was at target capacity at the quarter end with no members leaving during the period.
- **Customer Service** – This section is currently under development.
- **Finance** – Departmental underspend of 42% during the quarter.

GENERAL DENTAL COUNCIL – DECEMBER 2016 – HR, FINANCE AND GOVERNANCE

THIS PAGE IS FOR SUMMARY PURPOSES. PLEASE SEE PAGE 13 FOR DETAILED MEASUREMENTS.

1. HR

Number of sick days per employee reduced in Q4 to 2.8 days average due to the reduction of employees on long term sick leave (15 in Q3, 12 in Q4). Natural turnover reduced due to an overall reduction in voluntary leavers during the quarter (4.1% in Q3, 3.1% in Q4). Overall turnover reduced (6.4% in Q3, 4.9 in Q4) due to a reduction of leavers during the reporting period (22 in Q3 - 17 in Q4).

SUMMARY NOTES

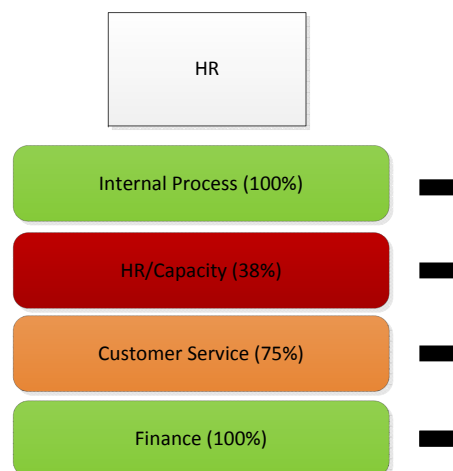
2. Finance

Detailed information on the overall organisational finance position will be available in the Q4 Financial report.

3. Governance

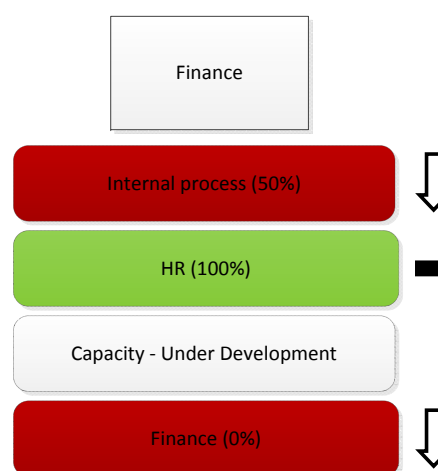
91% of papers were distributed within time during Q4, 1% above target. Four sets of Committee and Council minutes that were shared during the quarter were done so late during Q4, two above target.

HR



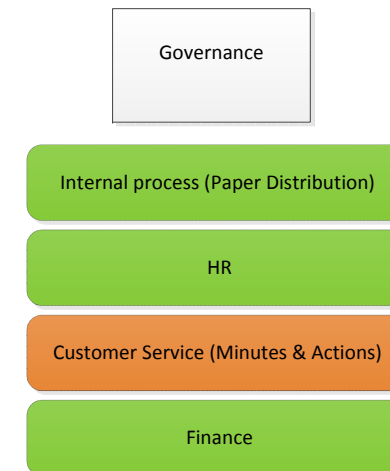
- **Internal Process/Performance management** – No grievance procedures took place during the quarter, matching that targeted. There was one disciplinary case during the period, one more than expected.
- **Organisational Capacity** – Both natural turnover and overall turnover were above desirable levels although reduced from the Q3 rate.
- **Customer Service/Recruitment** – The average time taken to recruit fell to 5.46 weeks in Q4, 0.54 below target. At the quarter end, five of the 46 advertised roles had not been recruited to.
- **Finance/Recruitment Cost** – Cost per hire stood at £1,900, 24% below the allocated amount of £2500.

Finance



- **Internal Process** – FTP related expenditure vs budget, was 25% above budget for the quarter.
- **HR** – The team are currently at target capacity.
- **Finance** – There was a departmental overspend of 26% in Q4

Governance



- **Distribution of papers** – Rated green as 91% of papers uploaded on time. This was an 11% increase from Q3 and was mainly due to EMT Board papers, which increased from 51 in Q2 to 70 in Q3.
- **Minutes and actions** – Rated amber as four sets of minutes were submitted to directors past their deadlines, although, two were submitted within 24 hours of their deadline.
- **HR/capacity** – Green 100% - All posts filled following successful recruitment of a Council and Committee Manager.
- **Finance** – There was a departmental underspend of 18% during Q4.

GENERAL DENTAL COUNCIL DECEMBER 2016 – OPERATIONAL EXCELLENCE (PROJECTS, PMO, COMPLIANCE)

THIS PAGE IS FOR SUMMARY PURPOSES. PLEASE SEE PAGE 14 FOR DETAILED MEASUREMENTS.

SUMMARY NOTES

1. Registration Change & Continuous Improvement and Operational Excellence Projects

All key internal process projects and customer service projects are currently on track or completed to deadline.

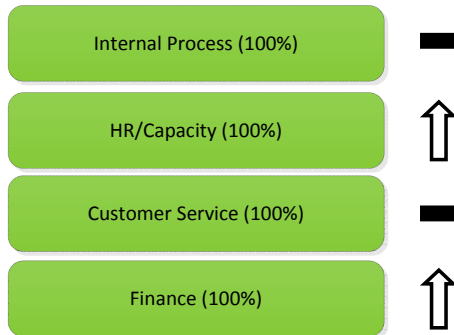
2. PMO

Business planning implementation & balanced scorecard review projects all remain on track. The data warehouse phase 3 project is currently flagged amber due to the unavailability of dedicated IT resource during the first half of the year, however, the project is now progressing in line with revised milestones and will deliver key case examiners reporting for the go-live of the process.

3. Compliance

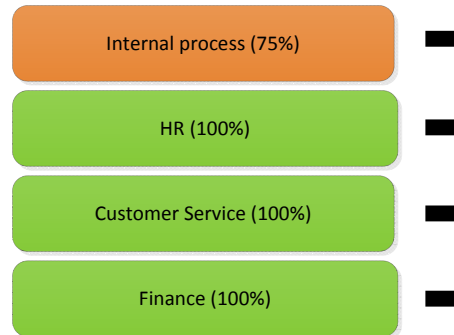
The most recent phase of the FTP audit process was on track as of the end of the quarter. Work is continuing on the handover of first line auditing arrangements to the FTP team by the end of the year.

Projects



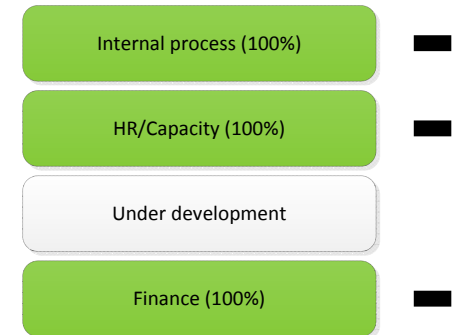
- **Internal Process** – Key 2016 projects are either completed or remain on track.
- **HR/Capacity** – No members of staff left during the quarter, which means that headcount is now in line with budgeted levels.
- **Customer Service** – Key customer service projects are all on track.
- **Finance** – 11% departmental underspend in Q4

PMO



- **Internal Process** – Business planning implementation, FTP rolling forecast model redevelopment & balanced scorecard review projects all remain on track. The data warehouse phase 3 project is currently flagged amber due to the unavailability of dedicated IT resource on the project earlier in the year, but is progressing in line with revised milestones.
- **HR/Capacity** – The team is currently at target capacity with no staff turnover during the quarter.
- **Customer Service** – All EMT & Council balanced scorecard and project status reports have been delivered in the quarter.
- **Finance** – Departmental underspend of 1% during Q3.

Compliance



- **Internal Process** – The Q4 clear desk audit has been completed. The team are continuing to work towards the handover of first line compliance audits to the FTP at the end of the year.
- **HR/Capacity** – The team is currently at full headcount.
- **Finance** – Departmental underspend of 37% during the Quarter.

DECEMBER 2016 - FITNESS TO PRACTISE - DETAILED LEVEL

Scorecard theme	TARGET												ASSESSMENT						CASE EXAMINERS						PRODUCTION / HEARINGS														
	Ref	Parameter	Actual volume - This Period	Forecast / target volume	Actual v forecast / target percentage	% missing	Measure Period	Actual volume - Period 1	Actual volume - Period 2	Most recent full quarter v/d	RAG / Volume Trend	Ref	Parameter	Actual volume - This Period	Forecast / target volume	Actual v forecast / target percentage	% missing	Measure Period	Actual volume - Period 1	Actual volume - Period 2	Most recent full quarter v/d	RAG / Volume Trend	Ref	Parameter	Actual volume - This Period	Forecast / target volume	Actual v forecast / target percentage	% missing	Measure Period	Actual volume - Period 1	Actual volume - Period 2	Most recent full quarter v/d	RAG / Volume Trend						
Case Volume	T1	Incoming cases	169	218	78%	22% less than expected	M	172	198	539	Yellow	A1	Incoming cases	86	170	51%	49% less than expected	M	86	102	274	Yellow	I1	Incoming cases	84	75	112%	12% more than expected	M	64	64	212	Green						
	T2	Incoming cases moving quarterly trend	191	218	88%	12% less than expected	M	204	198	N/A	Yellow	A2	Incoming cases moving quarterly trend	98	170	58%	42% less than expected	M	109	108	N/A	Yellow	I2	Incoming cases moving quarterly trend	54	75	72%	28% less than expected	M	64	64	182	Green						
	T3	Outgoing cases	150	243	62%	38% less than expected	M	166	202	518	Yellow	A3	Outgoing cases	159	187	85%	15% less than target	M	154	177	490	Yellow	I3	Outgoing cases	22	87	25%	75% less than expected	M	41	41	104	Green						
	T4	Case adjournment	85	10%	36%	36% of cases adjourned	M	93	105	283	Yellow	A4	Case adjournment	3	10%	2%	2% of cases adjourned	M	1	2	6	Green	I4	Case adjournment	5	10%	19%	19% of cases adjourned	M	3	3	11	Green						
	T5	Case load in progress	135	110	123%	23% above steady state minimum	M	121	145	N/A	Yellow	A5	Case load in progress	550	477	115%	15% above steady state minimum	M	668	595	N/A	Yellow	I5	Case load in progress	246	284	87%	13% below steady state minimum	M	211	211	N/A	Green						
	T6											A6												I6															
Process robustness	T7	Process adherence	94%	95%	94%	1% less than target adherence	Q	94%	94%	N/A	Green	A7	Process adherence	94%	95%	94%	1% less than target adherence	Q	94%	94%	N/A	Green	I7	Process adherence	Process audit does not currently exist for this stage					P7	Process adherence	Process audit does not currently exist for this stage							
Resourcing	T8	Available capacity	4	4	100%	0% less than needed	Q	3	2	4	Green	A8	Available capacity	41	41	100%	0% less than budgeted	Q	41	41	41	Green	I8	Available capacity	23	20	95%	15% more than needed	Q	17	17	28	Yellow						
	T9	Turnover in post - above six months	3	4	75%	25% in probation	Q	3	2	3	Yellow	A9	Turnover in post - above six months	36	41	88%	12% in probation	Q	33	32	36	Yellow	I9	Turnover in post - above six months	7	23	30%	70% in probation	Q	16	16	7	Yellow						
	T10	Staff turnover	0	10%	0%	10% turnover in period	Q	0	0	0	Green	A10	Staff turnover	0	10%	0%	10% turnover in period	Q	4	3	0	Green	I10	Staff turnover	6	10%	26%	26% turnover in period	Q	3	3	6	Green						
Cost	T11	Stage cost	€35,911	€39,299	91%	9% below budget	Q	€43,424	€36,621	€35,911	Yellow	A11	Stage cost	€792,799	€694,745	114%	14% above budget	Q	€815,054	€803,205	€792,799	Yellow	I11	Stage cost	€449,770	€377,203	119%	19% above budget	Q	€482,151	€482,151	€449,770	Yellow						
	T12	Cost per Case outcome	€93.33	€93.91	129%	29% above forecast	Q	€60	€41,069.98	€66.62	Yellow	A12	Cost per Case outcome	€1,617.96	€1,418	114%	14% above forecast	Q	€1,742	€1,791,311	€1,619	Yellow	I12	Cost per Case outcome	€4,324.71	€1,445	299%	199% above forecast	Q	€21,176	€538,875	€4,325	Yellow						
	T13	Year to date stage cost	€159,635	€155,313	103%	3% above budget	YTD	€86,429	€122,870	€159,635	Green	A13	Year to date stage cost	€1,185,934	€1,759,041	115%	15% above budget	YTD	€1,590,785	€2,393,989	€1,185,934	Yellow	I13	Year to date stage cost	€1,713,744	€1,508,953	113%	13% above budget	YTD	€1,263,735	€1,263,735	€1,713,744	Yellow						
	T14	Cost per Case outcome										A14	Cost per Case outcome											I14	Cost per Case outcome														
Customer Service / Process Timeliness	T15	Number of remaining caseload aged less than 30 days	81	135	60%	40% live cases currently beyond target age	M	60	75	N/A	Yellow	A15	Number of remaining caseload aged four months or less	287	550	52%	52% live cases currently before target age	M	329	286	N/A	Yellow	I15	Number of remaining caseload aged six months or less	66	246	27%	27% live cases currently before target age	M	40	55	N/A	Yellow						
	T16	Trigge KPI - Cases to be trigged within 34 days (10 net work days) of receipt	96%	90%	N/A	4% cases trigged completed beyond target timeframe	Q	99%	96%	N/A	Yellow	A16												I16	IC KPI - Cases to complete investigation stage within 6 months of receipt	73%	90%	N/A	27% cases completed beyond target timeframe	Q	67%	67%	N/A	Yellow					
	T17											A17												I17															
																								P15	Number of remaining caseload aged 35 months or less	106	337	31%	31% correctly within target age	M	116	118	340	Yellow					
																								P16	Hearing KPI - Cases to reach hearing within nine months of IC referral	49%	90%	N/A	51% cases completed beyond target timeframe	Q	59	55%	55	Yellow					
																								P17	Finding of impairment	12	70%	71%	29% With a substantive outcome of not impaired	M	13	15	40	Yellow					

DECEMBER 2016 - REGISTRATION BALANCED SCORECARD - DETAILED LEVEL

Scorecard theme	UK DENTIST FIRST TIME APPLICATIONS										UK DCP FIRST TIME APPLICATIONS										RESTORATION APPLICATIONS										EEA DENTIST APPLICATIONS																	
	Ref	Parameter	Actual volume	Forecast volume or target level	Percent	% meaning	Measure Period - M/Q	Previous period actual volume	Previous Quarter - Full Volume	Most recent full quarter vol	RAG	Ref	Parameter	Actual volume	Forecast volume or target level	Percent	% meaning	Measure Period - M/Q	Previous period actual volume	Previous Quarter - Full Volume	Most recent full quarter vol	RAG	Ref	Parameter	Actual volume	Forecast volume or target level	Percent	% meaning	Measure Period - M/Q	Previous period actual volume	Previous Quarter - Full Volume	Most recent full quarter vol	RAG	Ref	Parameter	Actual volume	Forecast volume or target level	Percent	% meaning	Measure Period - M/Q	Previous period actual volume	Previous Quarter - Full Volume	Most recent full quarter vol	RAG				
Internal Process	UKD1	Number of applications registered v forecast	13	4	32%	22%	more than forecasted	M	5	815	34		UKDC1	Number of applications registered v forecast	246	359	69%	-11%	less than forecast	M	353	1,383	1,140		UKRE 1	Number of applications registered v forecast	68	81	84%	-16%	less than target	M	135	456	411		EEA1	Number of applications registered v forecast	38	40	95%	-5%	more than target	M	57	153	144	
	UKD2	Pass rate of information security audit	100%	95%	100%	5%	more than target	Q	100%	100%	100%		UKDC2	Pass rate of information security audit	100%	95%	100%	5%	more than target	Q	100%	100%	100%		UKRE 2	Pass rate of information security audit	100%	95%	100%	5%	more than target	Q	100%	100%	100%		EEA2	Pass rate of information security audit	100%	95%	100%	5%	more than target	Q	100%	100%	100%	
	UKD3	Pass rate of application processing audit	Placeholder measure - awaiting development of new registration audit process										UKDC3	Pass rate of application processing audit	Placeholder measure - awaiting development of new registration audit process										UKRE 3	Pass rate of application processing audit	Placeholder measure - awaiting development of new registration audit process										EEA3	Pass rate of application processing audit	Placeholder measure - awaiting development of new registration audit process									
Resourcing	UKD5	Volume of headcount in post v required	8	8	100%	0%	at capacity	Q	8	8	8		UKDC5	Volume of headcount in post v required	Headcount same as UK Dentist application route - same team processes both routes										UKRE 5	Volume of headcount in post v required	Headcount same as UK Dentist application route - same team processes both routes										EEA5	Volume of headcount in post v required	7	7	100%	0%	less than needed	Q	7	7	7	
	UKD6	Staff turnover	0	10%	0%	10%	less than forecasted	Q	0	0	0		UKDC6	Staff turnover	Headcount same as UK Dentist application route - same team processes both routes										UKRE 6	Staff turnover	Headcount same as UK Dentist application route - same team processes both routes										EEA6	Staff turnover	0	10%	0%	0%	less than target	Q	1	1	0	
Cost and income	UKD7	Spend compared to budget	£228,328	£239,905	95%	-5%	below budget	Q	£226,428	£226,428	£228,328		UKDC7	Spend compared to budget	Cost shared with UK Dentist figure - Budget shared										UKRE 7	Spend compared to budget	Cost shared with UK Dentist figure - Budget shared										EEA7	Spend compared to budget	Cost shared with UK Dentist figure - Budget shared									
	UKD8	Income collected from route v forecast	£890	£207	430%	330%	above forecast	M	£1,038	£349,192	£5,489		UKDC8	Income collected from route v forecast	£19,804	£27,772	71%	-29%	below forecast	M	£30,722	£132,361	£99,359		UKRE 8	Income collected from route v forecast	£12,416	£11,718	106%	6%	above forecast	M	£23,710	£91,980	£22,474		EEA8	Income collected from route v forecast	£2,967	£2,967	100%	0%	above forecast	M	£8,159	£53,524	£53,524	
	UKD10	KPI performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	6	14	43%	-57%	below forecast	M	13 calendar days average	30 calendar days average	14 calendar days average		UKDC10	KPI performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	8	14	57%	-43%	below forecast	M	10 calendar days average	17 calendar days average	11 calendar days average		UKRE 10	KPI performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	8	14	57%	-43%	below forecast	M	13 calendar day average	22 calendar days average	14 calendar days average		EEA10	KPI performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	25	60	42%	-58%	Below internal SLA	M	22 calendar day average	27 calendar days average	13 calendar days average	
	UKD11	KPI adjusted performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	3	14	21%	-79%	Better than internal SLA	M	4 calendar days average	7 calendar days average	4 calendar days average		UKDC11	KPI adjusted performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	3	14	21%	-79%	Better than internal SLA	M	4 calendar days average	13 calendar days average	6 calendar days average		UKRE 11	KPI adjusted performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	4	14	29%	-71%	Better than internal SLA	M	6 calendar days average	18 calendar days average	8 calendar days average		EEA11	KPI adjusted performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	8	60	13%	-87%	Below internal SLA	M	10 calendar days average	13 calendar days average	12 calendar days average	

Scorecard theme	NON UK DCP APPLICATIONS										INTERNATIONAL DENTIST APPLICATIONS										SPECIALIST LIST APPLICATIONS															
	Ref	Parameter	Actual volume	Forecast volume or target level	Percent	% meaning	Measure Period - M/Q	Previous period actual volume	Previous Quarter - Full Volume	Most recent full quarter vol	RAG	Ref	Parameter	Actual volume	Forecast volume or target level	Percent	% meaning	Measure Period - M/Q	Previous period actual volume	Previous Quarter - Full Volume	Most recent full quarter vol	RAG	Ref	Parameter	Actual volume	Forecast volume or target level	Percent	% meaning	Measure Period - M/Q	Previous period actual volume	Previous Quarter - Full Volume	Most recent full quarter vol	RAG			
Internal Process	NDC1	Number of applications registered v forecast	6	13	46%	-54%	less than target	M	4	25	17		ID1	Number of applications registered v forecast	4	2	200%	100%	more than target	M	3	12	8		SL1	Number of applications registered v forecast	10	10	100%	0%	same as target	M	39	42	93	
	NDC2	Pass rate of information security audit	100%	95	100%	0%	same as target	Q	100%	100%	100%		ID2	Pass rate of information security audit	100%	95%	100%	0%	same as target	Q	100%	100%	100%		SL2	Information Security	100%	95%	100%	0%	same as target	Q	100%	100%	100%	
	NDC3	Pass rate of application processing audit	Placeholder measure - awaiting development of new registration audit process										ID3	Pass rate of application processing audit	Placeholder measure - awaiting development of new registration audit process										SL3	Audit performance	Placeholder measure - awaiting development of new registration audit process									
Resourcing	NDC5	Volume of headcount in post v required	5	5	100%	0%	at capacity	Q	5	5	5		ID5	Volume of headcount in post v required	Headcount same as EEA Dentist application route - Overseas team processes both routes										SL5	Volume of headcount in post v required	Headcount same as EEA Dentist application route - Overseas team processes both routes									
	NDC6	Staff turnover	1	10%	20%	20%	more than target	Q	0	0	0		ID6	Staff turnover	Turnover same as EEA Dentist application route - Overseas team processes both routes										SL6	Staff turnover	Turnover same as EEA Dentist application route - Overseas team processes both routes									
Cost and income	NDC7	Spend compared to budget	Cost shared with UK Dentist figure - Budget shared										ID7	Spend compared to budget	Cost shared with UK Dentist figure - Budget shared										SL7	Spend compared to budget	Cost shared with UK Dentist figure - Budget shared									
	NDC8	Income collected from route v forecast	£387	£1,006	38%	-62%	below forecast	M	£435	£3,336	£1,886		ID8	Income collected from route v forecast	£297	£148	201%	101%	above forecast	M	£445	£4,376	£964		SL8	Income collected from route	£2,070	£3,450	60%	-40%	below forecast	M	£6,555	£8,625	£16,560	
	NDC10	KPI performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	81	80	101%	1%	above forecast	M	112 calendar days average	100 calendar days average	92 calendar days average		ID10	KPI performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	66	60	110%	10%	above forecast	M	55 calendar average days	88 calendar days average	55 calendar days average		SL10	KPI performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	14	60	23%	-77%	below forecast	M	13 calendar days average	27 calendar days average	14 calendar days average	
	NDC11	KPI adjusted performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	51	80	64%	-66%	Better than internal SLA	M	91 calendar days average	65 calendar days average	67 calendar days average		ID11	KPI adjusted performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	62	60	103%	3%	Above internal SLA	M	55 calendar average days	57 calendar days average	53 calendar days average		SL11	KPI adjusted performance v targets (figures are measured in calendar days and are targeted against their internal SLA)	10	60	17%	-83%	Better than internal SLA	M	10 calendar days average	19 calendar days average	10 calendar days average	

DECEMBER 2016 - ILLEGAL PRACTICE, DENTAL COMPLAINTS SERVICE AND IT - DETAILED LEVEL

Scorecard theme	ILLEGAL PRACTICE										DENTAL COMPLAINTS SERVICE								IT														
	Ref	Parameter	Actual volume - Current period	Forecast / target volume	Actual volume as % of forecast / target	% meaning	Measure frequency	Previous Quarter Vol	RAG	Ref	Parameter	Actual volume - Current period	Forecast / target volume	Actual volume as % of forecast / target	% meaning	Measure Period - M/Q	Previous Quarter Vol	RAG	Ref	Parameter	Actual volume - Current period	Forecast / target volume	Actual volume as % of forecast / target	% meaning	Measure Period - M/Q	Previous Quarter Vol	Most recent full quarter vol	RAG					
Internal Process	IP1	Number of successful IP prosecutions	15	↑	6	250%	150%	above target	Q	11																							
	IP2	Number of new IP complaints received	344	↓	375	92%	-8%	below target	Q	348																							
	IP3	Number of IP warning letters issued	73	↓	140	52%	-48%	below target	Q	76																							
	IP4	Number of IP complaints which lead to case being opened	18	↓	35	51%	-49%	below target	Q	30																							
	IP5	Number of live IP investigations in progress	63	↓	65	97%	-3%	below target	Q	77																							
	IP6	Number of IP investigations closed prior to prosecution	30	↓	34	88%	-12%	below target	Q	25																							
	IP7	Clear desk audit pass rate	100%	→	100%	100%	0%	difference from target	Q	100%																							
HR / Capacity	IP8	Actual capacity	12	→	12	100%	0%	meeting target	Q	11																							
	IP9	Staff turnover	2	↑	10%	17%	1%	below target	Q	0																							
	Placeholder - measure under development										DCS 9	Actual capacity	9	↑	9	100%	0%	stable / meeting target	Q	8													
Customer service	Placeholder - measure under development										DCS 10	Turnover of staff	0	↓	10%	20%	0%	stable / meeting target	Q	1													
	Placeholder - measure under development										DCS 11	Volume of trained (post probation) staff in post	8	↓	9	89%	11%	below target	Q	8													
	Placeholder - measure under development										DCS 12	Proportion of complaints completed within three months	84%	↑	80%	92%	8%	older than three months	Q	85%													
	Placeholder - measure under development										DCS 13	Volume of customer service feedback in excellent/good categories for patients and dentists	94%	↑	80%	94%	14%	above target	Q	96%													
	Placeholder - measure under development										DCS 14	Volume of calls	1623						Q	1823													
Finance	Placeholder - measure under development										DCS 15	Website hits	5956						Q	6431													
	IP11	Cost of IP v budget	£219,039	↑	£161,173	136%	36%	More than budget	Q	£135,630																							
	Placeholder - measure under development										DCS 16	Cost of DCS v budget	£156,543	↑	£147,184	106%	6%	More than budget	Q	£120,708													
Placeholder - measure under development										DCS 17	Cost of one DCS complaint	Placeholder - measure under development										IT5	Available capacity	22	→	22	100%	0%	stable / meeting target	Q	21	22	
Placeholder - measure under development										Placeholder - measure under development										IT6	Staff turnover	0	↓	10%	0%	0%	stable / meeting target	Q	0	0			
Placeholder - measure under development										Placeholder - measure under development										IT7	IT service desk performance actual v target	690	↓	718	96.10%	0.10%	above target	M	97.48% (2517)	97.21% (2756)			
Placeholder - measure under development										Placeholder - measure under development										IT8	IT spend in period v budget	£568,410	↓	£580,707	98%	-2%	less than budget	Q	£528,286	£568,410			

DECEMBER 2016 - STANDARDS, STAKEHOLDER ENGAGEMENT AND QA - DETAILED LEVEL

Scorecard theme	STANDARDS								COMMUNICATIONS								QUALITY ASSURANCE								
	Ref	Parameter	Actual Status	Forecast/target date	Actual volume as % of forecast/target	Measure Period - M/Q	Actual Volume - Previous Period	RAG	Ref	Parameter	Actual Volume	Forecast/target volume	Actual volume as % of forecast/target	Measure Period - M/Q	Actual Volume - Previous Period	RAG	Ref	Parameter	Actual Volume	Forecast/target volume	Actual volume as % of forecast/target	Measure Period - M/Q	Actual Volume - Previous Period	RAG	
Internal Process	ST1	Candour Guidance	Complete	Approved Apr 2016 Published July 2016	N/A	Q	Complete	■	Communications measures remain under development	QA1	Alerting providers to urgent issues within 7 working days	2	2	100%	Q1 2016 – Q3 2016	2	■	QA2	Sending inspection documentation in a timely manner - 3 months prior to inspection	18	21	88%	Q1 2015 – Q4 2016	9	■
	ST2	Section 60 Order - Case Examiners policy status	Complete	Mar-16	N/A	Q	Complete	■		QA3	Inspection forecast vs. actual inspections	31	33	94%	2016	30	■	QA4	Responding to new programme submissions within 1 month	5	6	83%	Q4 2015 – Q4 2016	5	■
	ST3	Stakeholder Meetings Completed out of Planned	100%	N/A	100%	Q	100%	■		QA6	Actual capacity	11	11	100%	Q	11	■	QA7	Turnover of staff	0	0	0%	Q	0	■
New measurements are under development								Placeholder - measure under development																	
HR / Capacity	ST5	Actual capacity	3	3	100%	Q	3	■		QA8	Publication of reports	Placeholder - measure under development													
	ST5	Turnover of staff	0	10%	0%	Q	0	■		QA9	Cost of QA policy and operations v budget	£202,244	£301,994	67%	Q	£174,535	■								
Customer service	ST6	Average query response time	3.9 Working Days	10 Working Days	N/A	Q	3.7 Working Days	↓																	
	New measurements are under development																								
Finance	ST10	Standards spend v budget in period	£62,752	£52,696	119%	Q	£62,785	■																	

DECEMBER 2016 - HR, FINANCE & GOVERNANCE - DETAILED LEVEL

Scorecard theme	HR								Scorecard theme	FINANCE							
	Ref	Parameter	Actual Volume	Expected volume	Actual volume as % of forecast/target	Measure Period - M/Q	Comparative status - Previous Period	RAG		Ref	Parameter	Actual volume - Current period 2016 (£000's)	Forecast/target volume (£000's)	Actual volume as % of forecast/target	Measure period	Actual volume - previous	RAG
Internal Process - Performance management	HR1	Disciplinary cases	1	0	0%	Q	1	▬	Internal Process	FIN1	Organisation's Income vs Budget	520	569	91%	Q	8,903	↓
	HR2	Grievances	0	0	0%	Q	1	↑		FIN2	FtP Expenditure vs Budget	6,506	5,211	125%	Q	6,748	↓
										FIN3	Other Organisation Expenditure vs Budget	4,662	5,234	89%	Q	4,563	↑
								FIN4		Capital Expenditure vs Budget	78	70	111%	Q	279	↑	
Capacity - Organisational retention and absence	HR6	Number of sick days (average per person)	2.8	1.98	141%	Q	3.1	↑	HR	FIN9	Actual capacity	11	11	100%	Q	11	▬
	HR7	Time lost through absence (%)	4.63%	3.70%	N/A	Q	4.91%	↑		FIN10	Turnover of staff	0	Under 10%	18%	Q	0	▬
	HR8	Natural turnover (%)	3.10%	1.05%	N/A	Q	4.10%	↑		FIN11	Volume of trained (post probation) staff in post	11	11	100%	Q	11	▬
	HR9	Overall turnover (%)	4.90%	3.00%	N/A	Q	6.40%	↑									
Customer service - Recruitment	HR10	Time taken to recruit (weeks)	5.46	6	91%	Q	5.9	↑	Capacity								
	HR11	Number of roles recruited to	41	46	89%	Q	32	↑									
Finance - recruitment cost	HR12	Cost per hire (£)	£1,900	£2,500	76%	Q	£1,359	↓	Finance	FIN16	Finance team spend in period v budget	£824,480	£656,367	126%	Q	£624,573	↓

DECEMBER 2016 - OPERATIONAL EXCELLENCE - DETAILED LEVEL

OPERATIONAL EXCELLENCE - PROJECTS									OPERATIONAL EXCELLENCE - PMO									OPERATIONAL EXCELLENCE - COMPLIANCE									
Scorecard theme	Ref	Parameter	Q4 2016	Forecast/target date	Actual volume as % of forecast/target	Measure Period - M/Q	Comparative status - Actual Q2 2016	RAG	Scorecard theme	Ref	Parameter	Q4 2016	Forecast/target date	Actual volume as % of forecast/target	Measure Period - M/Q	Comparative status - Actual Q2 2016	RAG	Scorecard theme	Ref	Parameter	Q4 2016	Forecast/target date	Actual volume as % of forecast/target	Measure Period - M/Q	Comparative status - Actual Q2 2016	RAG	
Internal Process	OEP1	Key process improvement project 1 - EU alert mechanism	Completed	Q1 2016	N/A	Q	Completed	■	Internal Process	OEPM1	Key Corporate project 1 - Development of 18 month rolling forecast model for case examiner processes	Completed	Jun-16	N/A	Q	Completed	■	Internal Process	OEC1	Current status of Phase 23 of FTP Casework audit	Completed	September	N/A	Q	On Track	■	
	OEP2	Key process improvement project 2 - English Language Controls	Completed	Q2 2016	N/A	Q	Completed	■		OEPM2	Key Corporate project 2 - Business planning implementation	On track	Dec-16	N/A	Q	On track	■		OEC2	Clear Desk Audit - Status of quarterly audit	Completed	September	N/A	Q	Completed	■	
	OEP3	Key process improvement project 3 - FTP continuous improvement initiatives	On track	Q4 2016	N/A	Q	On track	■		OEPM3	Key Corporate Project 3 - Phase 3 of Data Warehouse development	Behind schedule	Dec-16	N/A	Q	Behind schedule	■		OEC3	Key Corporate Project 1 - Roll out of new Compliance strategy	On Track	Dec-16	N/A	Q	On Track	■	
	OEP4	Key process improvement project 4 - Implementation of ICO recommendations	Completed	Q4 2016	N/A	Q	Completed	■		OEPM4	Key Corporate Project 4 - Balanced scorecard review project	On track	Dec-16	N/A	Q	On track	■										
HR / Capacity	OEP6	Actual capacity	6	6	100%	Q	6	■	HR	OEPM5	Actual capacity	6	6	100%	Q	6	■										HR
	OEP7	Turnover of staff	0	10%	129%	Q	2	■		OEPM6	Turnover of staff	0	10%	20%	Q	0	■	OEC5	Turnover of staff	0	10%	0%	Q	2	↑		
Customer service	OEP8	Key external project 1 - Implementation of indemnity	On track	Q4 2016	N/A	Q	On track	■	Customer service	OEPM7	Completion of project status reports to deadline	100%	100%	100%	Q	100.00%	■	Customer service									
	OEP9	Key external project 2 - Introduction of Online Registration	Completed	Q2 2016	N/A	Q	Completed	■		OEPM8	Completion of EMT and Council Balanced Scorecard reports to deadline	100%	100%	100%	Q	100.00%	■										
	OEP10	Key external project 3 - CPD pilot	On track	Q4 2016	N/A	Q	On track	■																			
Finance	OEP11	Operational Excellence project team spend in period v budget	£51,945	£59,029	88%	Q	£65,576	↑	Finance	OEPM9	Operational Excellence PMO team spend in period v budget	£71,951	£72,315	99%	Q	£69,974	■	Finance	OEC6	Operational Excellence Compliance team spend in period v budget	£71,551	£113,297	63%	Q	£60,600	■	