
<table>
<thead>
<tr>
<th>Purpose of paper</th>
<th>To present the Audit and Risk Committee (ARC) with the Q1 2017 benefits tracking report to continually monitor the PSA action plan (whistleblowing).</th>
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<tr>
<td>Action</td>
<td>For noting.</td>
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<td>Corporate Strategy 2016-19</td>
<td><strong>Performance</strong>&lt;br&gt;Objective 2: To improve our management of resources so that we become a more efficient regulator.</td>
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| Business Plan 2017 | **Priority two: Improve our overall performance**<br>
*We want to maintain the PSA standards we have achieved in 2016 and improve on them in 2017 by improving our overall organisational performance. In particular, this will involve consolidating improvements in Fitness to Practise with a focus on reducing the length of time cases take to investigate and making the entire process more effective and proportionate.* |
| Next stage       | Provided that the ARC are content for the report to progress, the benefits tracking report will be presented to the Council on 27 July 2017. |
| Recommendations  | The ARC is asked to:                                                                                                             |
|                  |   • Note the benefits tracking report at appendix 2.                                                                             |
|                  |   • Note the updates to actions on the PSA action plan report at appendix 3.                                                        |
|                  |   • Approve the report to be presented to the Council at its meeting on 26 July 2017.                                             |
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## Appendices

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<td>Appendix 3 – PSA action plan</td>
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1. **Executive Summary**

1.1. This paper introduces the first version of the benefits tracking report to continually monitor benefits from the PSA action plan (whistleblowing) and to give an update on the actions after the report was closed out in November 2016.

1.2. The ARC is asked to:

   - Note the benefits tracking report at appendix 2.
   - Note the updates to actions on the PSA action plan report at appendix 3.
   - Approve the report to be presented to the Council at its meeting on 26 July 2017.

2. **Q1 Benefits tracking report: introduction and background**

2.1. In 2016, the PSA whistleblowing report and action plan was monitored by the Project Management Office (PMO). It proved to be a useful exercise in piloting more rigorous and sophisticated project reporting.

2.2. Part of the close out of the report to the ARC was a commitment to update the committee, the FPC and the Council on the progress of actions and the realisation of benefits as actions are embedding across the organisation.

2.3. This Q1 Benefits tracking report is at appendix 2.

2.4. The report gives updates on benefits tracking for actions on the PSA Action Plan at section 2.2 with further detail and benefits profiles at section 3.1 of appendix 2.

2.5. We have split the benefits tracking report from the business plan activity to ensure the Audit and Risk Committee can focus solely on the benefits being tracked as part of the implementation of the PSA action plan on whistleblowing.

2.6. The updated PSA action plan is at appendix 3.

3. **Benefits tracking approach**

3.1. The approach to tracking benefits was enabled during the monitoring of the PSA action plan and status report (whistleblowing).

3.2. There was a need to develop robust SMART success measures to evidence how the action plan was changing behaviours and improving performance, specifically related to the whistleblowing report.

3.3. This approach was rolled out on business and operational plan activities as the PMO planned to build the GDC benefits tracking maturity.

3.4. The newly formed Portfolio Delivery Group (PDG) will assist in developing standards for developing benefits and log benefits profiles that will be developed along the same lines as the KPIs that have been developed during the project to revise the balanced scorecard.

3.5. The report at appendix 2 breaks down the activity or project into ‘outputs’, ‘outcomes’ and ‘benefits’ and relates this to strategic objectives to demonstrate how change activity is advancing our strategic objectives.

3.6. In the report, we define each term as below:

   - **Output** – the tangible or intangible product resulting from a planned activity/project.
   - **Outcome** – the result of change, normally affecting real-world behaviour and/or circumstances. Outcomes are desired when a change is conceived. Outcomes are achieved because of the activities undertaken to affect the change.
   - **Benefit** – measurable improvement resulting from an outcome and perceived as an advantage by one or more stakeholders.
3.7. It is key that the benefit is a ‘measurable improvement’. The implementation of the benefits tracking report is the first step in improving our maturity in this area.

3.8. As part of the PMO work plan, a project initiation document (PID) has been produced with a wider plan to introduce and embed benefits tracking across the organisation and tie benefit identification and development with the business planning process.

3.9. The report is split into two main sections with the benefits maps for each action being an easy visual representation of how the activity is worked through to realising benefits and helping to advance strategic objectives. Towards the end of the report is the detailed benefits profile, breaking down the measure into further information, including: future review points, tolerances and recommended next steps.

3.10. This approach has also been applied to benefits tracking of the annual business plan, however this has not been included in appendix 2, to allow committee focus on the PSA related actions.

4. Benefits tracking report – highlight reporting (at Appendix 2)

4.1. This report updates the ARC on the actions noted for benefits tracking and is cross referenced with the previous report.

4.2. Of the 22 PSA actions on the benefits tracking report, two are amber, four are grey (with data identified to be measured at a future date) and 16 are green and on track.

4.3. The two amber items on the benefits tracking report are as follows:

- **PSA/1.1.2/Training in recruitment best practice** – we are currently unable to report on the combined figure for those recruited first time around during Q1 via the first campaign and those that passed their probation. The figures will begin to be monitored and an amalgamated figure will be generated from Q2 2017 to show employees that meet both criteria.

- **PSA/1.4.4/Signposting of key corporate documents through the intranet** – as part of the work to help the GDC to meet the objectives set out in the broad Comms and engagement strategy and the more specific Internal communications strategy, the GDC is working to transform the current intranet into a more strategic internal communications tool. This work is commencing in Q2 2017. Part of this work hinges on the ability to have metrics that measure user engagement with the intranet, which in turn will allow the GDC to know how many times pages that host corporate information are visited and the corporate information has been downloaded. This work is dependent on the capability of the new intranet, which will be launched in Q3 2017.

4.4. Within the report the following 11 PSA action plan items are recommended to move to a status of closed and verified based on acceptance of the benefits being realised as indicated by the measures in the benefits profiles:

- **PSA/1.1.3/Checklist for IC staff, PSA/1.1.4/Objectives and Personal Development & PSA/1.1.5/A Standard Operating Procedure for the ‘apprentice model’** – these three actions are recommended to be moved to a status of closed and verified on acceptance of the positive feedback received from the IC surveys throughout November 2016 and 2017.

- **PSA/1.2.2/Signposting to case law and documentation, PSA/1.2.3/IC guidance manual reviewed annually, PSA/1.2.4/Ongoing monitoring and training and development & PSA/1.2.5/ Establish a formal process of continuing development for IC members and staff** – during December 2016, five IC decisions were reviewed by QAG with 100% rated Green. There were no concerns about the decision-making process.
• PSA/1.3.1/Review of IC feedback system – this action is recommended to move to a status of closed and verified following the substantial assurance rating received from Mazars.

• PSA/1.4.3/Workshop for statutory committee members and wider Associates on learning the lessons from the PSA report – this action is recommended to move to a status of closed and verified. While six associates failed to complete the training, the committee agreed that the GDC no longer required their services. No resource issues anticipated. The training pass rate was 100%.

• PSA/1.5.1/Evaluate whether further sampling of Investigating Committee decisions is required – the comprehensive audit undertaken by an independent expert represents a sufficient sample of decisions during the period of concern. The findings of the audit provide assurance that Committee Secretaries were not altering decisions in a way that would misrepresent the committee’s determination or reasoning. The report was presented to the ARC in March 2017 and accepted. It is therefore recommended that this action moves to a status of closed and verified.

• PSA/3.3.4/Training to be included for new starters as part of the corporate induction process – as at Q1 2017, 0% of new starters since November 2016 have failed to pass their probation based on non-completion of the Whistleblowing skills test.

5. PSA Action plan (whistleblowing) – highlight reporting (at Appendix 3)

5.1. The PSA action plan status report, at 16 November 2016, gave an update on 47 actions being monitored by the PMO.

5.2. For each action, we indicated on each reporting line whether:

• The action is a priority on the 2017 business plan (Noted as: 2017 BP)
• The action will be included on the 2017 operational plan (Noted as: 2017 OP)
• The substantive work on the action has been completed and therefore the only ongoing monitoring needed will be the tracking of benefits (Noted as: Benefits)
• Substantive work on the action has been completed and the benefits have subsequently been verified (Noted as: N/A – Verified)

5.3. Appendix 2 is an update of the November 2016 report.

5.4. Of the 47 actions 90% are either complete and embedding or closed and verified. 5 actions (10%) are on hold.

5.5. The actions on hold are part of consideration for 2018 business planning initiatives in the current planning around, based on an assessment of resource, budget and prioritisation.

5.6. These actions were GDC driven, rather than as part of the PSA action plan recommendations, and being considered with competing strategic priorities.

6. Recommendation

6.1. The ARC is asked to:

• Note the benefits tracking report at appendix 2.
• Note the updates to actions on the PSA action plan report at appendix 3.
• Approve the report to be presented to the Council at its meeting on 26 July 2017.

7. Appendices
7.1. Appendix 2 – Q1 benefits tracking report.
7.2. Appendix 3 – PSA action plan.