

## Balanced Scorecard – Q3 2018 Performance

<b>Purpose of paper</b>	To present the Council with the balanced scorecard covering the Q3 2018 performance period.
<b>Action</b>	For discussion and decision.
<b>Corporate Strategy 2016-19</b>	<p>Objective 1: To improve our performance across all our functions so that we are highly effective as a regulator.</p> <p>Objective 2: To improve our management of resources so that we become a more efficient regulator.</p> <p>Objective 3: To be transparent about our performance so that the public, patients, professionals and our partners can have confidence in our approach.</p>
<b>Business Plan 2018</b>	Project Management Office (PMO) reporting and statistical modelling maturity workstream
<b>Decision Trail</b>	<p>Work was carried out throughout 2016 to propose a new format for the balanced scorecard and redevelop /refine GDC performance indicators.</p> <p>At the meetings of the Finance and Performance Committee and the Council in September and October 2016 respectively, EMT's proposed revised balanced scorecard model was approved.</p> <p>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 presented EMT and the Finance and Performance Committee (FPC) at their respective February board meetings and the Council at its March meeting. Each board approved the new format for future reporting.</p>
<b>Recommendations</b>	The Council is asked to discuss and note the main report.
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**Appendices**

Appendix 1 – Q3 2018 Balanced Scorecard

Appendix 2 – Escalated KPI Log

Appendix 3 – Balanced Scorecard Change Control Log

## 1. Executive summary

- 1.1. This paper presents the balanced scorecard covering the Q3 2018 performance period, which is available at Appendix 1
- 1.2. An executive summary is provided within the full report at Appendix 1, with key points also replicated for ease of reference at section three below.
- 1.3. The Council is asked to discuss and note the main 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 2016 and October 2016 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 2017 board meetings and the Council at their March 2017 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. This is provided at Appendix 3.

## 3. Q3 2018 balanced scorecard report

- 3.1. Key performance headlines are presented within the executive summary of the Q3 2018 report at appendix 1. For ease of reference, matters noted in the key successes and issues section are set out below:

### *Key successes*

- 3.2. The majority of Registration active processing times continue to be within target. Six of the seven measures that focus on 'active' processing time (time where the ability to process the application is in the control of the GDC) met target within Q3. Five of the 'overall' time taken measures are amber, however these measures include the time when the application was on hold awaiting further applicant information to be provided. (See section 1.3 Registration Performance Indicators – Process Dashboard).
- 3.3. Parts of the FTP process have either maintained performance from the previous quarter or improved. All IAT, Assessment and Case Examiner indicators are either green, or remain red but showing improvement in Q3 in comparison to Q2. IAT timeliness (PI/FTP/001) comfortably met target this quarter at 99%, Case Examiner Timeliness: Allocation to Initial Case Examiner Decision(PI/FTP/004) rose from 91% to 95% meeting target in Q3. In addition, IAT and Assessment Caseload at the end of the quarter dropped by 33% and 13% respectively; consequently there is a rise in Case Examiner caseload partly due to a rise in Rule 4 cases moving through from Assessment. There has been an improvement in ILPS Staff Productivity (PI/FTP/007) rising by 7% to 98% in Q3, and Hearings Completed with Facts Proved (PI/FTP/012) hitting 100% this quarter. (See section 2.1 FTP End-to-End Process – Performance Indicators Dashboard).

- 3.4. Serious data security breaches have been avoided during the quarter. There were no Serious Data Security Breaches (KPI/FTP/025) reported in Q3, compared to the total of three that were reported in Q2. (See section 3.6 Information Indicators).
- 3.5. Levels of organisational turnover have decreased this quarter. Whilst turnover indicators remain amber, they are significantly lower than levels reported in Q2. Natural Turnover (PI/HRG/005) has reduced from 8.1% in Q2 to 4.3% in Q2, Overall Turnover (PI/HRG/006) has reduced from 10% in Q2 to 5.9% in Q3. (See section 3.3 – HR Performance Indicators – Resources)

#### *Key issues*

- 3.6. Several FTP timeliness performance indicators continue to be significantly below target. Three performance indicators are 50% or more below target: Full Case timeliness (PI/FTP/008) at 14%, Investigation Timeliness: Receipt to Case Examiner Decision (PI/FTP/005) at 23%, and Case Examiner Timeliness: Assessment referral to Case Examiner completion (PI/FTP/003) at 17% (see section 2.1 FTP End-to-End Process – Performance Indicators Dashboard).
- 3.7. Non-FTP Expenditure for 2018 is forecast to exceed budget. Forecast Non-FTP Expenditure (KPI/FCS/003) has risen from 99% of budget in Q2 to 111% in Q3. The rise in planned expenditure is largely due to increase in provisions for Strand 2 of the Estate strategy and provision for additional contribution to the GDC defined benefit pension scheme. (See section 1.1 - Finance Performance Indicators).
- 3.8. There are some early signs of emerging Registration performance challenges in the Q3 scorecard, which are expected to have a greater impact in the Q4 scorecard. The UK Restoration active processing time measure is amber with time taken increasing from eight to 14 days on average this period. Whilst this is currently the only active measure behind target, four of them have shown an adverse direction of travel this quarter. (see section 1.3 Registration Performance Indicators – Process Dashboard). This trend can be attributed to the impact the transition the function to Birmingham. The trend is expected to continue up to the end of October for UK Registration routes, and the end of the year for overseas routes. During Q3, established staff have been primarily occupied with preparing for handover and training temporary/new staff. Some staff have also left and have not been temporarily backfilled, as the time it takes to train staff will not be worthwhile this close to the handover to Birmingham operations. These challenges will continue into Q4 (see ‘looking forward’ section below for further notes on relocation phasing).
- 3.9. There has been a rise in the number of ‘Non-Serious’ data security incidents. 15 of these breaches (PI/FTP/026) were reported this quarter, which is a rise of four in comparison to Q2. 86% of these cases related to data being disclosed to incorrect recipient or incorrect data to the intended recipient. (see section 3.6 Information Indicators).

#### **4. Development activity**

- 4.1. There have been no measures escalated/de-escalated from by EMT from the KPI dashboard during this period.
- 4.2. One piece of development work has been completed during Q3 which is included within the report and documented within Appendix 3 – Balanced Scorecard Change Control Log. This relates to an amendment to the classification of types of cases to be included for the FTP Interim Orders Committee performance indicators (PI/FTP/014, 015 & 016).
- 4.3. Development work is being considered by EMT in relation to other areas of the scorecard. Organisational Turnover measures are being reviewed to give better visibility of organisational stability in the context of current organisational priorities/challenges. Internal Communications measures are being reviewed to consider whether more appropriate measures of employee engagement can be introduced. Quality Assurance measures will be reviewed to give greater insight into the outcomes of work in this area.

## 5. Recommendations

5.1. The Council is asked to discuss and note the main report.

## 6. Internal consultation

<b>Department</b>	<b>Date and consultee name</b>
All data contributing departments	Established data leads from each department – October 2018
Executive Management Team	EMT Board – 29 October 2018
Finance & Performance Committee	FPC Meeting – 19 <sup>th</sup> November 2018