

Fitness to Practise End-to-End Review Update

<p>Purpose of paper</p>	<p>This paper provides an update progress of the Fitness to Practise End-to-End Review programme of activities that is designed to re-focus Fitness to Practise within GDC.</p>
<p>Action</p>	<p>For discussion</p>
<p>Corporate Strategy 2016-19</p>	<p>Shifting the Balance</p> <ul style="list-style-type: none"> • Refocussing Fitness to Practise • GDC to carry out an end-to-end review of the fitness to practise process, involving stakeholders and partners • Audience engagement, which includes <ul style="list-style-type: none"> ○ Contact mapping with stakeholders ○ Tone of voice ○ Brand <p>Patients: Objective 4</p> <p>To direct patients who have concerns to the most appropriate organisation, so that problems can be resolved quickly, fairly and cost effectively.</p> <p>Professionals: Objective 5</p> <p>To take timely, fair and proportionate action through our fitness to practise process when Dental Professionals do not meet the required standards.</p> <p>Partners: Objective 2</p> <p>To work with the NHS, regulators, and other stakeholders to improve the overall system of dental regulation.</p> <p>Partners: Objective 3</p> <p>To work with partners to improve the overall system of handling patient complaints about dental care.</p> <p>Performance: Objective 1</p> <p>To improve our performance across all our functions so that we are highly effective as a regulator, by reducing the time taken to investigate a fitness to practise complaint. We will improve the timeliness and accuracy of all of our fitness to practise decisions and we will assure the quality of decisions at all stages of our fitness to practise process.</p>

	<p>Performance: Objective 2</p> <p>To improve our management of resources so that we become a more efficient regulator, by reducing costs through reviewing each aspect of our business and the organisational structure as a whole.</p>
Business Plan 2018	<p>Business Plan 2018:</p> <p>Priority 2: Improve our overall performance.</p> <p>Priority 3: Drive improvement in dental regulation.</p>
Decision Trail	
Next stage	This matter will remain under constant management scrutiny.
Recommendations	None
Authorship of paper and further information	<p>Tom Scott</p> <p>Executive Director, FtP Transition</p> <p>0207 167 6209</p> <p>TScott@gdc-uk.org</p>

1. Executive Summary

- 1.1. The End-to-End Review commenced in August 2017 as a 3-stage programme that sought to identify and deliver new and streamlined processes within Fitness to Practise in fulfilment of our corporate strategy and broader commitment articulated in Shifting the Balance.
- 1.2. The three stages of the programme are:
 - Concept – stakeholder engagement and ideas/input gathering
 - Evaluation – determining a programme of activities from the above that can deliver the strategic programme aims and specifically provide a substantial return on investment by realising a number of benefits identified within the business case
 - Delivery and assurance – defining, developing and testing the specific deliverables that once deployed will deliver the business case
- 1.3. In January 2018, following the announcement of the second strand of the estates strategy, the End-to-End Review was re-planned to complete by June rather than December 2019.
- 1.4. The first two stages of the programme have been completed and a scope of activity identified that can deliver major structural improvements to the efficiency, timeliness and resilience of Fitness to Practise. The programme is now entering a critical period as activity scales to undertake the final stage.
- 1.5. We have adopted a structured change management and assurance methodology with a programme board, programme plan, clearly identified scope, active risk and issue management, clearly articulated business case and benefits realisation plan and well-defined change control to keep activity on track, to budget and capable of delivering the required outcomes.
- 1.6. The End-to-End Review is an ambitious undertaking within GDC to deliver significant improvements to timeliness, operational efficiency and resilience together with an improved experience for all stakeholders. This undertaking is not without risk but the structure and governance arrangements in place, together with progress to date, particularly relating to early

pilot projects, provide reassurance that we have a programme of activity capable of realising this ambition.

2. Organisation and Governance

- 2.1. Programme oversight and direction is provided by the programme board, which oversees performance, providing direction and acting as a point of escalation to deal with any issues that arise. The terms of reference, constitution and structure of the board and the wider programme team are provided in Appendix 1.
- 2.2 An overview of the programme plan is provided within Appendix 2.

3. Progress to Date

Overall

- 3.1. The programme has embedded its core methodology, articulated a clear business case and benefits realisation plan, created programme and project plans as appropriate including resource plans for each and articulated programme issues and risks. Our programme board is well established and project teams are fully resourced.

Concept Stage

- 3.2. The completion of the concept stage culminated with the production of a 'current state' report. This articulated the collective input provided by all stakeholders who were consulted and who provided a wide range of initiatives, ideas and suggestions for improvements across Fitness to Practise.

Evaluation Stage

- 3.3. The evaluation stage has worked to interrogate and understand this insight to determine an appropriate scope of work that is achievable within the constraints of time, resource and finance, capable of delivering the business case. It details the specific actions necessary to deliver the suggested changes and improvements. As part of this process the proposed scope, phasing and timing of work has been regularly scrutinised to ensure it is achievable, particularly in terms of available technical support within the broader context of enormous organisational change.
- 3.4. A small number of suggestions have not been taken forward at this stage; these will be kept under review for possible future implementation.

Delivery and Assurance Stage

- 3.5. The activities to deliver the identified scope of work has been ordered around five distinct delivery phases. An overview of each phase is provided in the table overleaf:

Phase	Description
Phase 1 February – May 2018	A small phase of pilot projects, designed as proof of concept prototypes to provide the evidence base, feedback and learning with which to construct more substantial change as well as providing early programme benefits. Activities to improve our information gathering through the website, the internal decisions we take when in receipt of any concern and the organisation of casework to manage more straightforward case 'streams' have been delivered in this phase
Phase 2 June – August 2018	This is a 'non-technical' phase that focuses on sharpening our approach to information gathering, organisation and storage together with further work to reduce duplication
Phase 3 June – November 2018	This is a major phase incorporating several distinct technical changes and deploying new technology. Key aspects are the broader deployment of case streaming, enhanced management information capability and team-based tasks together with upgraded document and radiograph digital capture technology
Phase 4 November 2018 – February 2019	A minor phase that incorporates prototype activity for continuous improvement and improvements within our hearing function
Phase 5 January – May 2019	A major phase including several technical innovations including enhanced management information capability to create broader insights to inform upstream activity, forecasting and planning tools, broader deployment of workflow through CRM and extending CRM within our hearings function

In addition, we will accompany process changes with a rolling programme of enhancing our communications with all stakeholders to align with our overarching principles. An overview of the programme plan is provided within Appendix 2.

- 3.6 As indicated, a small number of pilot projects have already been delivered within the programme. These are now being evaluated for benefits gained, together with learning that will inform future activity. The first pilot commenced within the Initial Assessment Team that went live on 1 March. Through process streamlining, the simplification of low-value tasks and the introduction of an Initial Assessment Decision Group we have been able to boost the performance of the team to improve productivity and timeliness.
- 3.7 Team-based tasks were implemented in early May and represent the latest activity to boost efficiency within the casework arena. It has contributed to considerable improvements in average productivity within casework.

4. Costs and Benefits

- 4.1. The core benefits of the End-to-End Review are improvements to our timeliness and improved productivity across Fitness-to-Practise. Specifically, we are seeking an 8-week reduction in the average time for a case to progress from receipt to Case Examiner Assessment for those cases that progress from Initial Assessment together with a 50% efficiency improvement in the operation of Initial Assessment, Casework, Case Examiner and Case Review. Finally, we aim to secure a 10% improvement in the utilisation of Hearings Capacity. A summary of the costs and benefits for the programme are detailed in the tables overleaf:

	2018	2019	2020	Notes
Costs £k	(335)	(370)		Cash cost only
Benefits £k		480	960	Based on half-year benefit
Net benefit £k	(335)	110	960	
Cumulative benefit £k	(335)	(225)	735	

4.2. As important will be the work to enhance the operational resilience of Fitness to Practise against future demand volatility and the embedding of continuous improvement processes to maintain our ability to meet future requirements.

5. Forthcoming Milestones

5.1. The programme has several key milestones in 2018. These include:

- June 2018 - Final ratification of the business plan, benefits realisation plan and programme plan by the programme board at the end of the Evaluation Stage completes
- July 2018 - Confirmation of our approach for revised processes across Fitness to Practise following evaluation of our prototypes to inform development of our CRM system
- October 2018 - Delivery of our first substantial package of CRM changes

5.2. In addition, we will be engaging with all stakeholder groups that participated in the Concept Stage to discuss proposals, share progress and evaluate the impact of change.

6. Risks and considerations

6.1. Our key programme risks are:

- Challenges with resources, particularly IT and expert staff
- Inter-dependencies with other programmes, most notably Shifting the Balance but also the Estates and People Strategies
- The diversion of staff, resources and/or management focus to other priorities within GDC

6.2. Mitigation strategies against the likelihood and impact of these risks include:

- Regular re-evaluation of the workload implications for the identified scope compared to organisational capacity
- Active management of dependencies to identify and resolve pinch-points and hot-spots
- Formal change control to prevent scope creep and regular contingency planning to identify how scope may be reduced in a managed fashion to minimise the overall impact on programme timescales and business benefits

6.3. Alongside specific risk mitigation plans for all identified risks we have adopted a number of broader approaches to risk management. These include:

- Structuring activities, teams and departments such that they are operationally robust in the event of regular staff turnover and/or a reduction in experience levels for staff

- Pro-actively generating potential candidates for future vacancies before they arise, effectively adopting a 'stop' approach if vacancies do not materialise rather than a 'start' approach once a resignation is received
- Removing internal barriers to create greater operational flexibility and deploy staff at the point of maximum need
- Ensuring a regular interplay between 'business as usual' and programme activities to gain maximum operational benefit, programme learning and general motivation from planned and actual change

7. Recommendations

- 7.1. The Council is asked to note this paper.

Programme Governance

1.1 End to End Programme Board

The Programme Board will act as decision making authority and provide quality assurance, check and challenge.

Programme Board – Terms of Reference	
Purpose	To support the delivery of the programme by providing clear direction and a platform for resolution of escalated issues. To provide oversight of the FTP End to End review to all stakeholders.
Members	<p>Core membership:</p> <ul style="list-style-type: none"> • Tom Scott (Executive Director – Fitness to Practise Transition) • Matthew Hill (Executive Director - Strategy) • Rebecca Cooper (Head of Policy and Research) • Glynn McDonald (Engagement Manager) • Lisa-Marie Roca (Principal Legal Advisor) • Michael Ehanire (Senior FTP Lawyer) • Keith Geraghty (Head of IT) • Sathia Balakrishnan (Lead Business Analyst) • Jag Sahota (Head of Programme and Portfolio Delivery) • Tina Ravji (Interim Head of FtP Change and Continuous Improvement) • Marta Poczowska (E2E Programme Manager) <p>Extended membership (for key decisions/milestones):</p> <ul style="list-style-type: none"> • Kim Chudley (Head of HR) • Kumar Devabalan (Financial Controller)
Frequency of meeting	Monthly
Standing agenda for the meeting	<ol style="list-style-type: none"> 1. Outstanding actions. 2. Programme Progress update. 3. Risks and Issues Log 4. Major decisions that need to be made. 5. AOB
Standing documents for review	<ul style="list-style-type: none"> • Risks • Board Actions • Issues • Decisions • Dependencies

1.2 Programme structure

