

CCP Quarterly Performance Report

Quarter 1 2020

Type of business:	For discussion
For Council only:	Public session
Issue:	<p>To present the Council with the new prototype CCP Quarterly Council Report Q1 2020 for discussion. This is a new prototype design report which is intended to provide Council with a strategic view of GDC performance in relation to delivery of the CCP towards the Corporate Strategy.</p> <p>For noting: This report is populated with the Q1 2020 data to demonstrate the prototype containing a fuller narrative, in line with the Council’s action when it scrutinised the Q1 data at its June meeting.</p>
Recommendation:	The Council is asked to approve the prototype format.
Decision Trail:	<p>SLT Board - 6 July 2020 – Prototype format recommended</p> <p>FPC - 16 July 2020 – Prototype format recommended to the Council.</p>

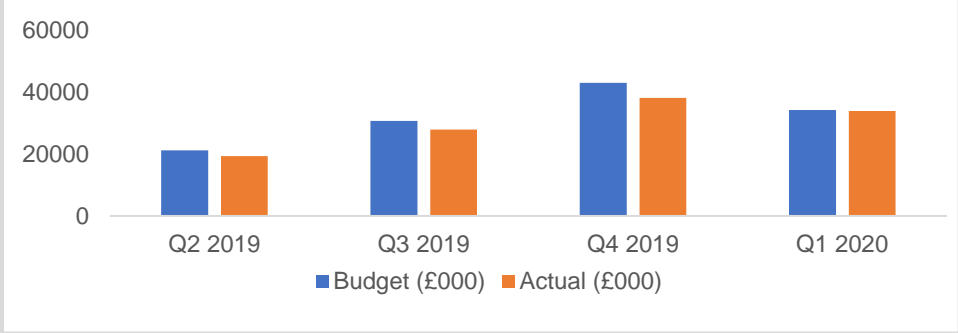
The key performance insights in Q1 2020 are:

- **CCP Performance Overview** - The CCP delivery has been impacted by the COVID-19 outbreak with progress impeded in quarter 1 on a number of projects due to the need for reactive work to be undertaken. A significant review and revision of the CCP 2020-2022 plan is being undertaken in Q2 to determine what work can and must continue in 2020. Each directorate are reviewing their priorities for must do activities, with EMT reviewing in detail the prioritisation and the effects on budget. Following EMT review, the revised CCP 2020-2022 plan resulting from the COVID-19 impacts are reviewed by FPC on June 1 and Council June 3.
- **Finance Overview** - At the end of March, the GDC's operating surplus was £1.32m higher than budgeted at £25.5m, and £0.96m higher than current forecast. Actual income is £0.39m higher than budgeted and expenditure is £0.93m lower than budgeted for the period. Income was £0.39m higher than budgeted due to the following reasons:
 - There was higher than budgeted dentist ARF income and initial DCP registrations over the period (£303K).
 - Bank interest received in Q1 (£43k).
 - Sale of assets reaching the end of their useful economic life (£46k)Expenditure was £0.93m lower than budgeted of which £0.50m is a result of recurring savings mainly from staff costs (£374k) and also lower than budgeted spend on Hearings, Research and Education QA, £0.36m are full year 'one-off' savings achieved in quarter 1 2020, and £0.07m are savings resulting from timing differences of spend.
- **Establishment Plan Overview** - Headcount levels remain stable at the end of the reporting period to those seen at end of December 2019. In March 2020, the total establishment is 16.9 FTE less than that budgeted. Overall turnover decreased from 9.1% in Q4 2019 to 2.5% in Q1 2020. In total, nine staff members left in the quarter, seven of which were voluntary leavers. The two remaining leavers were compulsory redundancies relating to the Birmingham estates relocation.

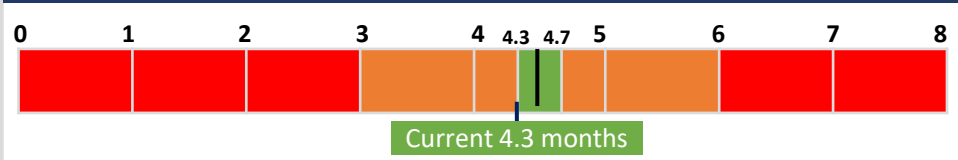
Q1 2020 is the first prototype version of the new report. There is no focus on area in this quarter.

PROTOTYPE

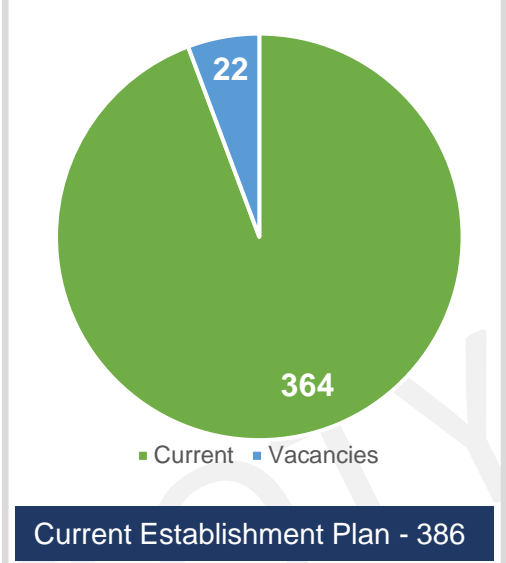
Budget v's Actual Expenditure



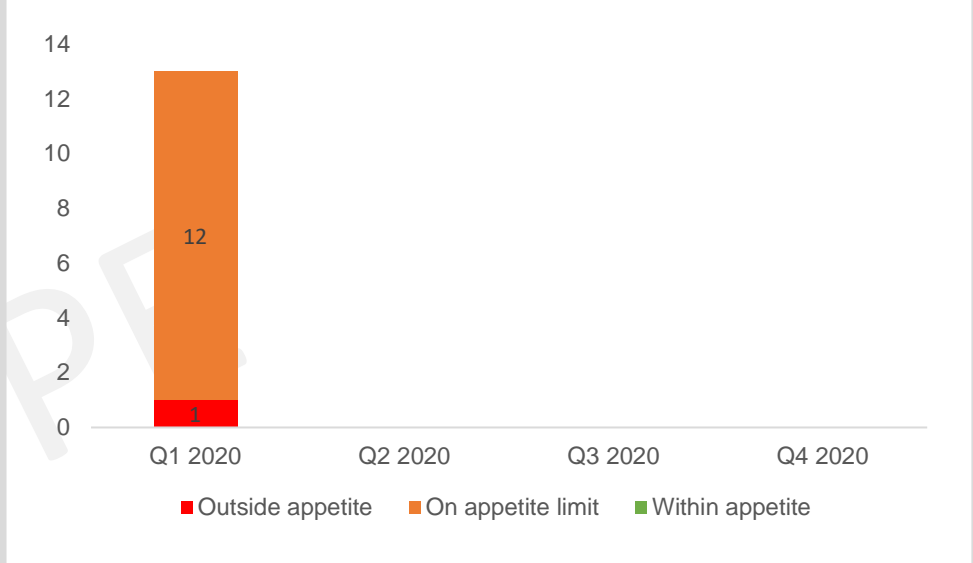
Current Free Reserves (Target 4.5 months)



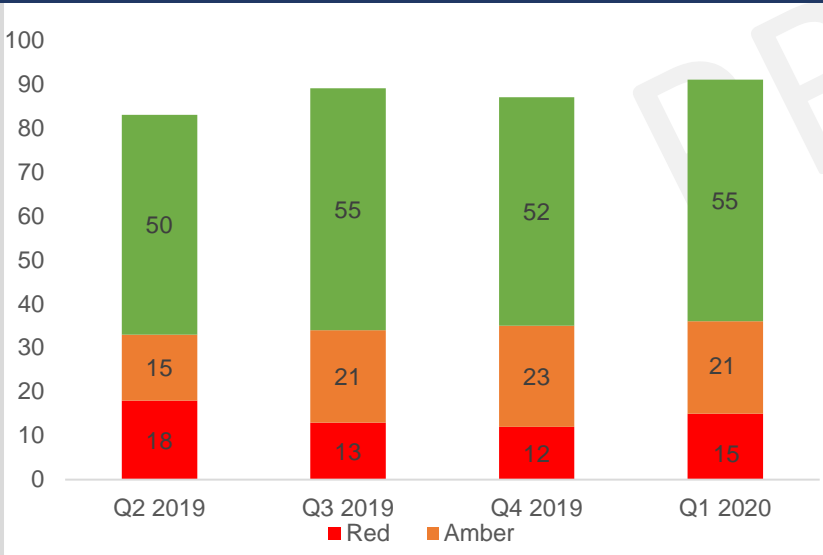
Headcount v's Actual



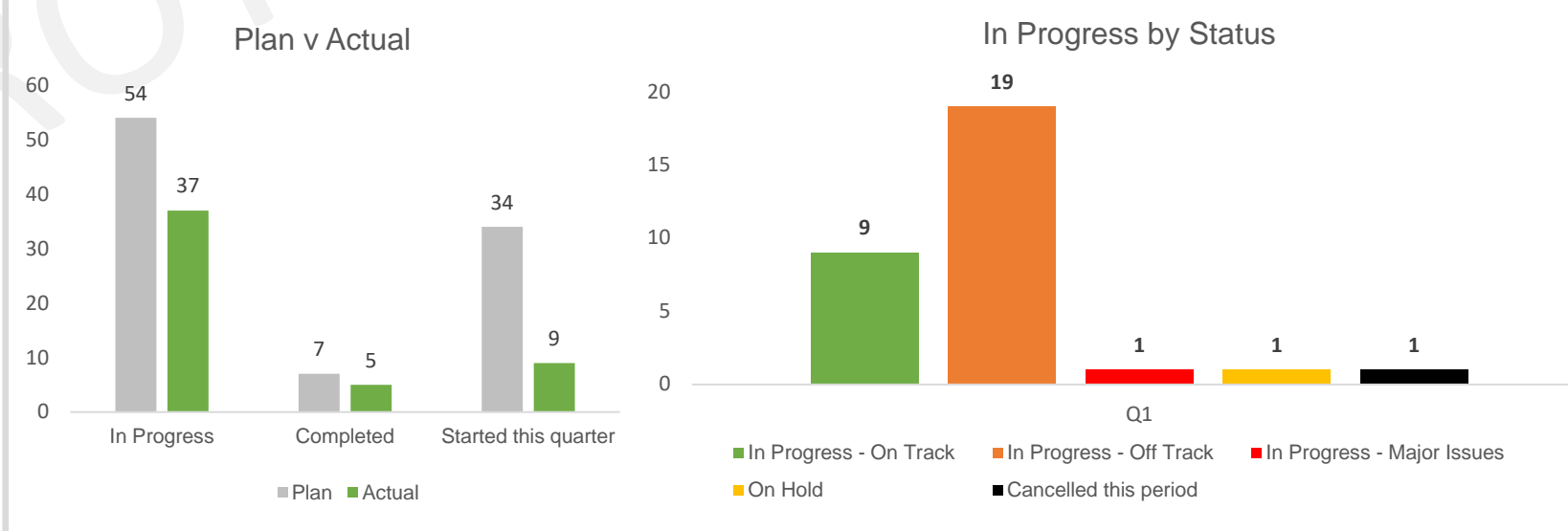
Strategic Risks



Key Performance Indicators



CCP Delivery - Projects



3.1 Strategic Aim 1

Strategic Aim 1: To operate a regulatory system which protects patients and is fair to registrants, while being cost-effective and proportionate; which begins with education, supports career-long learning, promotes high standards of care

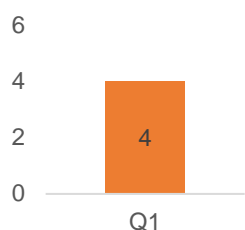
Budget v's Actual

■ Budget (£000)
■ Actual (£000)

- Note: Finance would require systems development of the Finance general ledger system to robustly deliver. A prototype calculation can be developed in interim by end 2020.

Strategic Risks

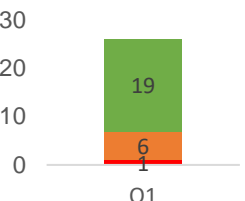
■ Within appetite
■ On appetite limit
■ Outside appetite



- There are 4 strategic risks rated amber in Q1 – SRR7, SRR14, SRR15, SRR 16 with details included within the Strategic Risk Register report in section 4.

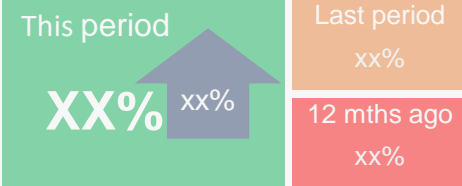
KPIs

■ Green
■ Amber
■ Red



- External face-to-face engagement (PI/STR/005) was the 1 red indicator as due to COVID-19 stakeholder engagement activities considerably decreased.

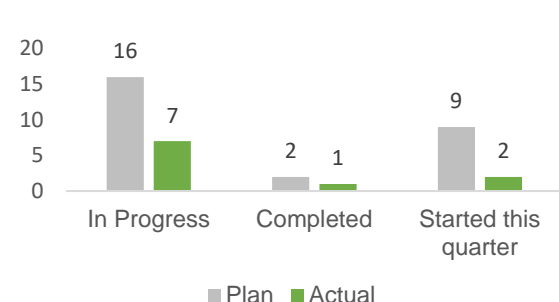
SA/001 – name of new SA kpi



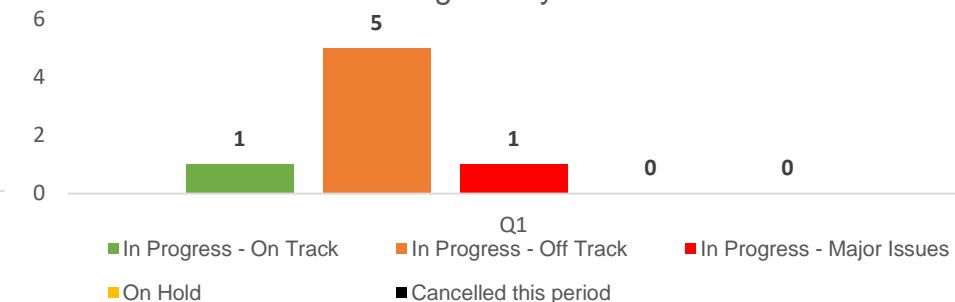
- Note: Strategic Aims KPIs are in development so not currently reportable

CCP Delivery – Project Progress

Plan v Actual



In Progress by Status



Progress Summary

- A number of projects face delays due to impacts from COVID19 preventing their ability to progress as planned:** The projects impacted by delays which map to Strategic Aim 1 are 'Develop an outcome-focused model for lifelong learning', 'Implement a framework to promote professionalism', 'Implement further digital improvements', 'Publish guidance for the managers of dental professionals', 'Revise the support provided to new registrants'. As part of the CCP 2020-2022 review, work is underway to review the schedules and priorities.
- External face-to-face engagement (PI/STR/005) was unable to complete the targeted number of engagements:** Due to COVID-19 stakeholder engagement activities have considerably decreased and ceased fully during initial lockdown. However, the Moving Upstream conference in February 2020 was a great success with attendance of around 130 delegates and we still managed to engage with 600 registrants over 7 events and 297 students over 4 events in quarter 1.
- The develop tools to support patient-centred care project** was due to start stakeholder engagement which will not be possible to continue as planned. With the Covid 19 situation it is not possible, safe or ethical to undertake face to face engagement at this time. The project will be rescheduled in order to undertake this work once distancing restrictions allow.

3.2 Strategic Aim 2

Strategic Aim 2: work with the professions and our partners to ensure that patients and the public are able to raise concerns with the agency best placed to resolve them effectively and without unnecessary delay.

Budget
v's Actual

■ Budget (£000)
■ Actual (£000)

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Strategic
Risks

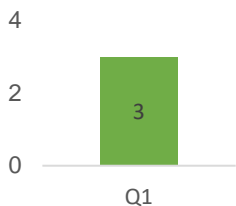
N/A

■ Within appetite
■ On appetite limit
■ Outside appetite

- There are no strategic risks mapped to strategic aim 2 at this time.
- See section 4.0 (page 9) for the full Strategic Risk Register report

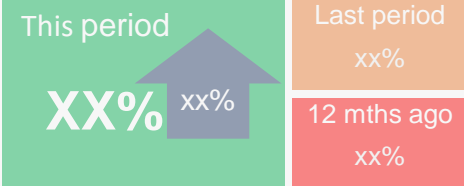
KPIs

■ Green
■ Amber
■ Red



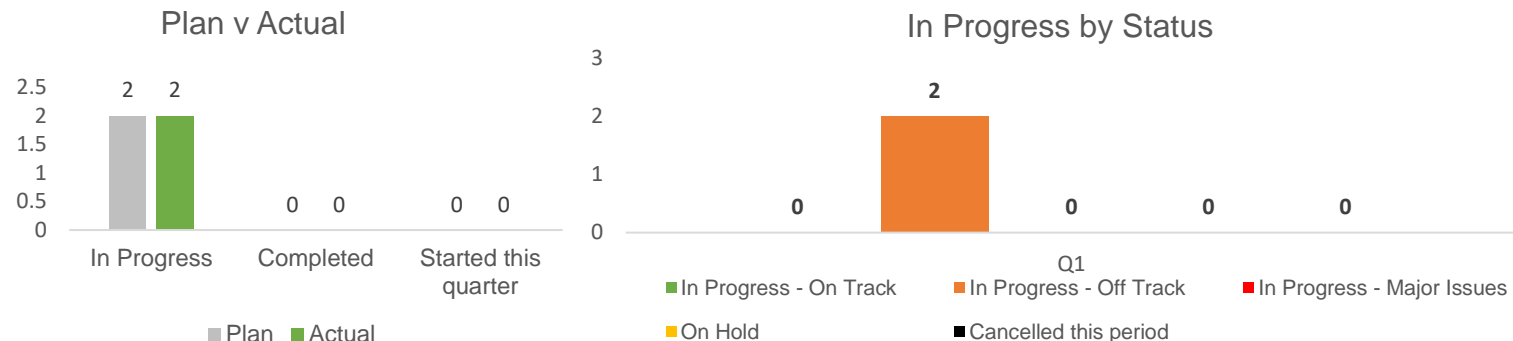
- There are no major issues pertaining to Strategic Aim 2 related performance indicators

SA/002 – name of new SA kpi



- Note: Strategic Aims KPIs are still in development so not currently reportable

CCP Delivery – Project Progress



Progress Summary

- Two projects face delays due to impacts from COVID19:** The projects for 'Develop a comprehensive complaints resolution model' and 'Review alternative models for private dentistry complaint handling' are both subject to delay due to Covid 19, with work underway to review and revise schedules in Q2.

3.3 Strategic Aim 3

Strategic Aim 3: use evidence, research and evaluation to develop, deliver and embed a cost-effective and right-touch model for enforcement action.

Budget
v's Actual

■ Budget (£000)
■ Actual (£000)

• *Note: Finance would require systems development of the Finance general ledger system to robustly deliver. A prototype calculation can be developed in interim by end 2020.*

Strategic
Risks

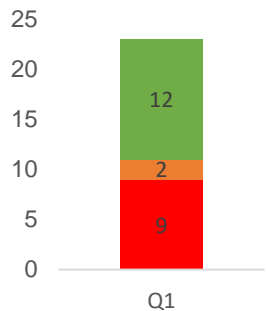
■ Within appetite
■ On appetite limit
■ Outside appetite

N/A

• There are no strategic risks mapped to strategic aim 3 at this time
• See section 4.0 (page 9) for the full Strategic Risk Register report

KPIs

■ Green
■ Amber
■ Red

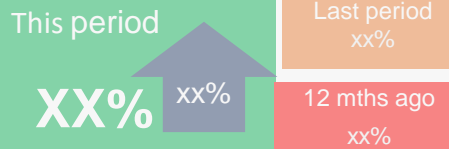


Red performance indicators are below with full details available in the Q1 2020 Balanced Scorecard:

- PI/FTP/002 – Assessment Timeliness: Receipt to Assessment Decision
- PI/FTP/003 – Case Examiner Timeliness: Assessment Referral to Case Examiner Stage Completion
- KPI/FTP/005 – Investigation Timeliness: Receipt to CE Decision
- KPI/FTP/008 – Full Case Timeliness: Overall Case Length (Receipt to Final Hearing Outcome)
- PI/FTP/009 – Prosecution Timeliness: Case Examiner Referral to Hearing
- PI/FTP/011 – Hearings Completed Without Adjournment
- KPI/FTP/014 – IOC Timeliness: Registrar and Case Examiner Referrals
- PI/FTP/015 – IOC Timeliness: IAT Referrals
- PI/FTP/029 – Cumulative Hearing Performance Against Budget Forecast

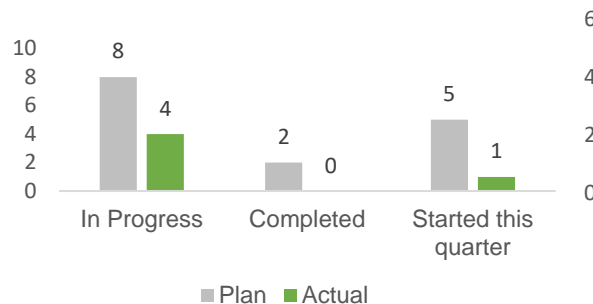
• *Note: Strategic Aims KPIs are still in development so not currently reportable*

SA/003 – name of new SA kpi

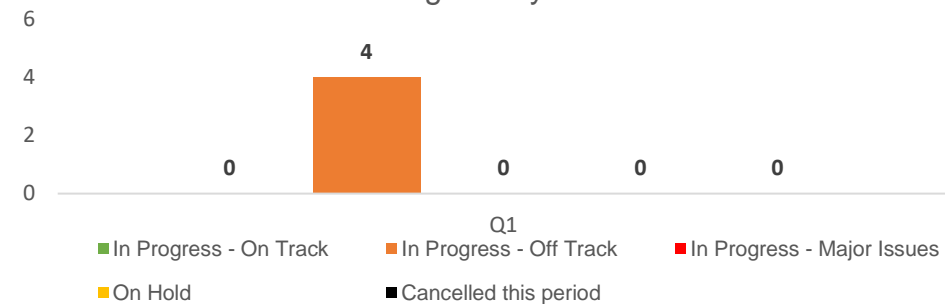


CCP Delivery – Project Progress

Plan v Actual



In Progress by Status



Progress Summary

- **Projects face delays due to impacts from COVID19.** The projects delayed relating to Strategic Aim 3 are 'Allegations Drafting', 'Principles of Regulatory Decision Making', 'Review approach to regulatory intervention' and 'Review internal fitness to practise guidance'. As part of the CCP 2020-2022 review, work is underway to review the schedules and priorities.
- **Fitness to Practise performance from Case Examiner referral to final hearing decision was at 68% meeting target of 9 months in Q1 2020** with 13 cases over the target. This performance was predicted due to the elimination of Rule 4 backlog in Q1-Q3 2019, where cases had passed the 26 week CE referral target prior to referring to PCC. Hence completion of the these cases within the 15 month overall case length target was made virtually impossible.
- **Timeliness for IOC decisions from IAT referrals achieved 77% which is 8% below the red threshold:** 3 cases out of 13 due to the application for IOC not being made at the point of referral to Case Work. IOC Timeliness for Registrar and Case Examiner referrals decreased from 90% in Q4 2019 to 80% in Q1 2020. with 2 cases having deferred dates and 4 cases were a result of having to stop hearings due to Covid-19.

3.4 Strategic Aim 4

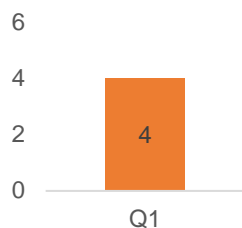
Strategic Aim 4: maintain and develop the regulatory framework.

Budget v's Actual

■ Budget (£000)
■ Actual (£000)

- Note: Finance would require systems development of the Finance general ledger system to robustly deliver. A prototype calculation can be developed in interim by end 2020.

Strategic Risks



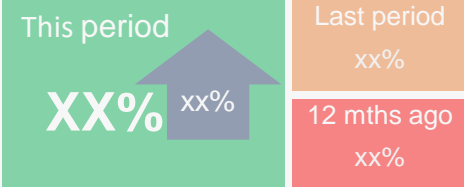
- There are 4 strategic risks rated amber in Q1 – SRR1, SRR2, SRR5, SRR 8
- See section 4.0 (page 9) for the full Strategic Risk Register report

KPIs

N/A

- No KPIs are currently aligned to Strategic Aim 4

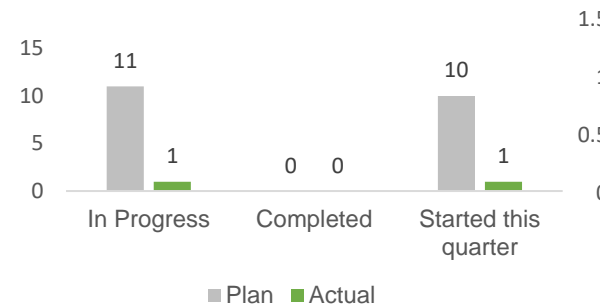
SA/004 – name of new SA kpi



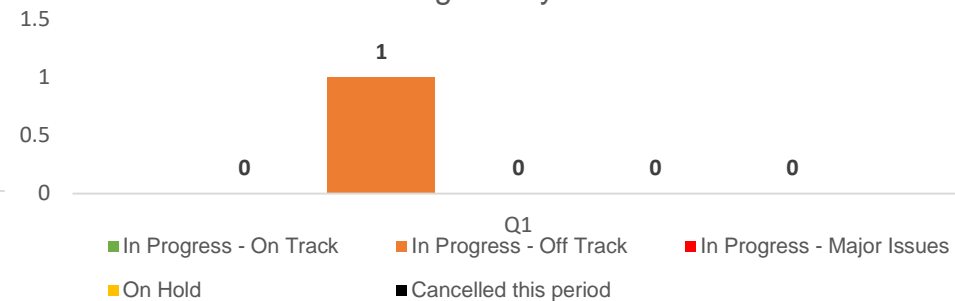
- Note: Strategic Aims KPIs are still in development so not currently reportable

CCP Delivery – Project Progress

Plan v Actual



In Progress by Status



Progress Summary

- Review scope of practice for all titles** is subject to delay due to Covid 19 situation with work underway to reprioritise the scope and timelines.

3.5 Strategic Aim 5

Strategic Aim 5: continue to develop an outcome-focused, high-performing and sustainable organisation.

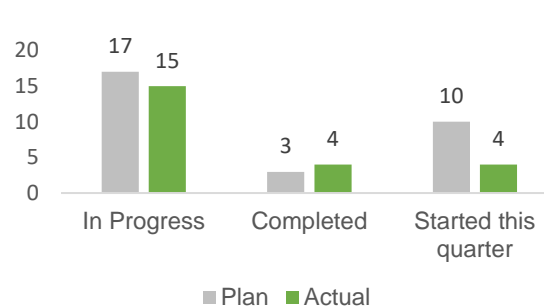
Budget v's Actual

■ Budget (£000)
■ Actual (£000)

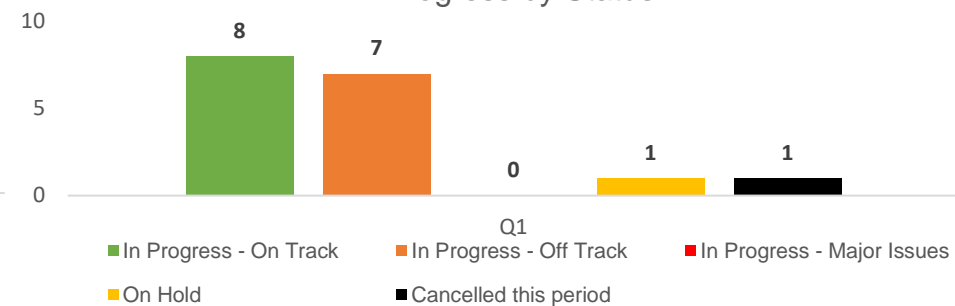
- Note: Finance would require systems development of the Finance general ledger system to robustly deliver. A prototype calculation can be developed in interim by end 2020.

CCP Delivery – Project Progress

Plan v Actual

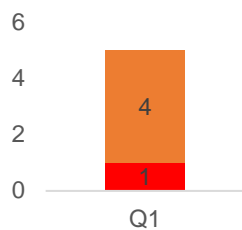


In Progress by Status



Strategic Risks

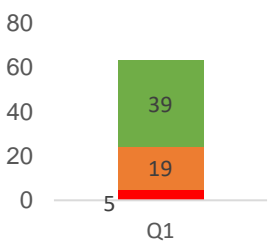
■ Within appetite
■ On appetite limit
■ Outside appetite



- There is one strategic risk rated red in Q1 – SRR12
- There are 4 strategic risks rated amber in Q1 – SRR3, SRR10, SRR11, SRR 13 with details included within the Strategic Risk Register report in section 4.

KPIs

■ Green
■ Amber
■ Red



Red performance indicators are below with full details available in the Q1 2020 Balanced Scorecard:

- PI/FCS/005 – Financial Reporting Timeliness
- PI/LEG/007 – Draft Agenda Delivery Timeliness (Council/Ctees)
- PI/HRG/001 – Recruitment Campaign Timeliness
- KPI/HRG/003 – Recruitment Right First Time
- PI/HRG/015 – Internal Opportunities

- Note: Strategic Aims KPIs are still in development so not currently reportable

SA/005 – name of new SA kpi

This period

XX%



Last period
XX%

12 mths ago
XX%

Progress Summary

- There were no Major ICO impacts in Q1 requiring reporting to the ICO.** There were also no DSIs which had a major GDC impact in Q1.
- Projects face delays due to impacts from COVID19.** The projects delayed relating to Strategic Aim 5 are due to impacts from COVID19. These are 'Costed Corporate Plan 2020-2022', 'GDPR - Contracts Review', 'Hearings Communications', 'MI Workstream Phase 2', 'People Systems', 'Rewarding Contribution.
- Grow our own strategy – POD** – project has been cancelled as the work will continue but is consider part of ongoing BAU People Services activity.
- The Strategic Risk 'Unable to progress Cases in a timely manner' (SSR12)** is rated outside our risk appetite due to the impacts of COVID19 on the ability to progress Fitness to Practise cases. See section 4.0 for the full Strategic Risk Register report

4.1 Strategic Risk – key updates

Strategic Risk updates

CP8 - A significant change in Government policy could have adverse effects on the plans, risks and opportunities of the GDC.

- The residual risk impact score for this risk has reduced from four to two. Whilst it is felt that this is the current impact score, it was noted that with such a degree of changeable uncertainty about how this would impact us if it was realised, (largely dependent on who takes over the Conservative leadership) this risk must be kept under close review; as the risk scores, or the risk itself, could significantly change during the coming months.

CP13 - Loss of MRPQ mean GDC options for registering European Dentists are dependent on DHSC action.

- The residual impact of this risk has reduced from four to three. As the uncertainties regarding this risk, especially in the event of a no deal Brexit, have become clearer, it has highlighted that the impact, for now at least, has reduced. However, as with the above risk, this will be kept under review.

CP16 - Unknown live contracts are in place

- The risk title of this risk has slightly changed, which in turn has resulted in the residual risk score being amended. This risk previously read 'Unknown or unmanaged live contracts are in place'. The unmanaged aspect to this risk has been removed. Through various reviews of contracts (GDPR project and the Contract Management Internal Audit by Mazars) there is not anything to suggest that we may have unmanaged contracts in place. There is still a risk that we have unknown contracts, although this is now considerably less likely than it was. Therefore, the residual likelihood has reduced from 6 (almost certain or happening) to three (feasible).

Strategic risk analysis

- There are 11 active risks on the SRR.
- Five risks (45%) are on risk appetite and three risks (27%) are outside of risk appetite. Three risks (27%) are within risk appetite.
- Three risks (27%) have a red residual risk rating. The remaining eight risks (73%) have been categorised as having an amber residual risk rating.