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| Agenda item: | 14 |
| Report title: | Report of the Performance and Resources Board 2015 |
| Report by: | Susan Goldsmith , Chief Operating Officer and Deputy Chief Executive, sgoldsmith@gmc-uk.org , 020 7189 5124 |
| Considered by: | Performance and Resources Board |
| Action: | To note |

Executive summary

This report summarises the work undertaken by the Performance and Resources Board during 2015. Significant issues considered by the Board include:

- a** Reviewing operational performance and risk.
- b** Human Resources issues.
- c** Quality Assurance and Continuous Improvement.
- d** Customer Service Strategy, Digital Media Strategy and Communications and Engagement Strategy.
- e** Mobile apps.
- f** Welsh Language Standards.
- g** Corporate Complaints Management.
- h** Project Management Methodology.
- i** Outline Business Plan and Budget 2016.
- j** Equality and Diversity Progress update.

Recommendation

Council is asked to note the Report of the Performance and Resources Board 2015.

Background

- 1 The purpose of the Performance and Resources Board is to provide an advisory forum that brings together a range of management information to support decision-making and reporting to Council by the Chief Operating Officer. The Board's remit covers all elements of organisational performance and resource management and its Statement of Purpose is at [Annex A](#). The Board has met six times during 2015 (on 20 January, 3 March, 14 April, 18 June, 22 September and 17 November) and also considered four issues on circulation between meetings. Council has received regular updates on the Board's work through the Chief Operating Officer's report to Council. The Board amended its Statement of Purpose at its June meeting, to clarify that the Senior Medical Adviser and Responsible Officer was a member of the Board.
- 2 This paper highlights some of the key matters considered by the Board during 2015. The Board has also received reports and updates on a number of other issues, which are listed at [Annex B](#).

Operational Performance and Risk Review

- 3 The Board has considered high level reports of our performance and information on corporate risks at each of its meetings. These have provided updates on: the major external factors which might have an effect on our operational performance; our performance against our Operational Plan and Strategic Aims; and our key performance indicators and targets. The Board has also managed and reviewed the risks which could affect the achievement of our strategic aims at each meeting. Council has been updated throughout the year, by exception, on significant issues potentially affecting operational performance and the delivery of our operational plan through the Chief Operating Officer's report.

Human Resources issues

- 4 The Board has considered regular updates on Human Resources (HR) issues. The Board has agreed: to calculate holiday pay with reference to all overtime payments; amendments to the GMC's overtime policy to align it more closely to market practice; arrangements for shared parental leave; amended Whistleblowing, Sickness Absence and Medical Appointments policies; to seek the Board of Pension Trustees' agreement for the GMC Defined Benefit Scheme to meet its own investment management costs; to extend the period within which staff can buy and sell leave to six months; updated guidance for managers on 'temporary to permanent' transfers, managing secondments and references; a standardised approach to appointment salaries for transfers, secondments and internal promotions; and that the GMC should aim to be ranked as a 'Top 250' employer in the 2015 Stonewall workplace equality index. The Board has also reviewed HR monitoring data. At its November meeting, the Board considered the decisions taken by Council at its closed session on 11 November 2015

in relation to the Change Programme. It also approved HR policies relating to the Change Programme, which will be subject to consultation with the Staff Forum.

Quality Assurance and Continuous Improvement

- 5 The Board agreed a Quality Assurance Strategy and considered an update on continuous improvement projects at its September meeting, and agreed the Quality Assurance Programme for 2016 at its November meeting. The Board also received regular updates on the work of the Quality Management Systems Working Group throughout 2015, and agreed that in future the Working Group would report to the Board on an annual basis.

Customer Service Strategy, Digital Media Strategy and Communications and Engagement Strategy

- 6 The Board received updates on the project to develop a Customer Service Strategy. As part of this work a review was undertaken of the service user experience, to take stock of how the GMC compared to good practice across the public sector, and to identify any areas for improvement. The Board also considered and noted the high level project plan to deliver the customer service strategy, digital media strategy and communications and engagement strategy at its June meeting.

Mobile apps

- 7 The Board agreed proposals at its March meeting to launch a GMC Continuous Professional Development (CPD) mobile app. The Board noted that there was a clear demand for the CPD app, which had been identified through market research with doctors.
- 8 At its June meeting, the Board also agreed in principle to develop a standards app, and noted that research had found it would be widely used by doctors. The Board requested that further detailed work be undertaken on the business case for the standards app, and this is due to be considered by the Board in early 2016.

Welsh Language Standards

- 9 The Board considered updates on the introduction of Welsh Language Standards following a review by the Welsh Language Commissioner and the potential impact on the GMC's operations at its April, June and September meetings. The Board considered an action plan identifying the key services affected and estimated costs, and received an update on the work undertaken to reduce the expected costs of compliance. The earliest implementation date will be January 2017.

Corporate Complaints Management

- 10** The Board considered an update on the internal review of GMC corporate complaints management at its January meeting and agreed an action plan in response to the review's recommendations. At its September meeting, the Board approved a GMC/Medical Practitioners Tribunal Service corporate complaints policy, along with guidance for complainants. At its November meeting, the Board considered an update on work to attain ISO 10002 accreditation for complaints handling and considered options for responding to the recommendation in the Horsfall Review of Corporate Complaint handling that the GMC should hold a regular independent review of corporate complaints, prior to Council's consideration of these issues (item 8 on the agenda for this meeting).

Project Management Methodology

- 11** The Board agreed proposals for developing a standard project management methodology across the organisation at its January meeting, and considered updates on progress in implementing the methodology in June and September. As part of this work, a project and portfolio management software system has been procured and the GMC's Corporate Business Planning team has become a central Project Management Office.

Outline business plan and budget 2016

- 12** The Board considered the outline business plan and budget for 2016, prior to Council's consideration at its meeting on 10 December 2015. The Board noted that further work would be undertaken to incorporate the overall budgetary impact of the Change Programme in finalising proposals for Council's approval in December 2015 (item 6 on the agenda for this meeting).

Equality and Diversity Progress Report

- 13** The Board noted an update on progress in delivering our Equality and Diversity (E&D) Strategy and on the work of the E&D Programme Board, which monitors progress against the priorities in each directorate's E&D plans on a quarterly basis.

M14 – Report of the Performance and Resources Board 2015

M14 – Annex A

Statement of Purpose of the Performance and Resources Board

Purpose

The purpose of the Performance and Resources Board is to provide a forum for reviewing operational performance and organisational capacity, as part of the GMC's formal executive governance arrangements.

The Performance and Resources Board is an advisory forum that brings together a range of management information to support decision-making and reporting to Council by the Chief Operating Officer.

The remit of the Board covers all elements of organisational performance and resource management.

Duties and activities

The Performance and Resources Board:

- Proposes and monitors business and operational plans, ensuring appropriate management reporting and review of performance against targets, forecasts and intended outcomes
- Proposes and monitors all aspects of budget management (including budget setting; recommendations on fees for entry to, retention on and restoration to the Medical Register; proposing other fees and charges as delegated by Council; proposing financial policies, including those for reserves and investment)
- Ensures appropriate reporting and effective financial controls, advising and reviewing (for approval by Council) the financial regulations which set standards for, and provide guidance on, administration of the GMC's financial affairs

- Maintains, monitors and reports on risk management and related controls
- Assesses capacity and resource efficiency, ensuring that the organisation is operationally fit for purpose and has effective quality assurance processes
- Inputs to strategy development to maintain capacity (including finance, HR, IT, procurement and accommodation/estate management) ensuring that the GMC is adequately resourced to achieve its aims
- Reviews and where necessary develops operational policies that support delivery of the GMC's aims (including finance, HR, IT, procurement and accommodation policies)
- Takes resource decisions in the execution of these strategies within the constraints of the annual business plan and budget
- Ensures that equality and diversity is integrated into the GMC's core activities, monitoring action plans and compliance with the equality duty
- Reports to Council via the COO report on Human Resources issues relating to the GMC's role as employer. This includes (but is not limited to) matters such as: workforce data (including data relating to equality and diversity issues), data relating to vacancies, turnover and recruitment (including data relating to equality and diversity issues), patterns in sickness absence, numbers of disciplinary and grievance cases, arrangements for staff training and development, staff benefits, health & safety matters, and any changes to HR policies and procedures
- Assesses resource impact of in-year changes to planning assumptions (e.g. caused by unexpected events such as a public inquiry or higher than forecast increase in FtP cases)
- Takes decisions and oversees actions relating to remuneration, benefits and terms of service of staff (other than the CE, COO, Senior Medical Adviser and Responsible Officer and Directors, and MPTS Chair and MPTS Advisory Committee members) where there are significant contractual, legal or resource implications; expenses policies for all staff; and contractual arrangements and expenses policy for associates. Also supports as necessary decisions by the Remuneration Committee on expenses policy for Council members
- Exercises any of the rights, powers, duties and discretion of the GMC under any staff pension scheme
- Oversees delivery of large scale change programmes/projects and efficiency/effectiveness programmes
- Monitors long-term performance and undertakes horizon scanning

- Oversees inputs to the GMC's annual performance review by the Professional Standards Authority

- Oversees the preparation of the trustees' annual report and accounts.

Working arrangements

The Performance and Resources Board meets every other month (alternating with the Strategy and Policy Board), for two hours. The executive lead for the Performance and Resources Board is the Chief Operating Officer. The Chief Operating Officer agrees the agenda and papers are agreed by the sponsoring Director. Papers should follow the style of Council papers as far as possible, with the same principle of above or below the line review. Papers relating to a decision being made will be published (unless commercially sensitive). Papers in relation to issues in early stages of discussion will not be published.

The Board is chaired by the Chief Operating Officer and attended by all Directors and the Senior Medical Adviser and Responsible Officer, but not the Chief Executive (although conclusions are summarised for discussion between the Chief Operating Officer and Chief Executive, and any conclusions that lead to a recommendation to Council are considered for approval by the Chief Executive). Other attendees are invited as required for the discussion of agenda items. The responsibilities of some Assistant Directors mean that they are likely to be in regular attendance. All Assistant Directors are encouraged to attend the Board from time to time, to contribute to its activities and help facilitate cross-directorate working, corporate leadership and linkages.

Secretariat duties are undertaken by the Governance Team. The Board Secretary minutes each meeting and aims to circulate the minutes, as cleared by the Chief Operating Officer, to Directors and the Senior Medical Adviser and Responsible Officer for comments within two weeks of the meeting. The Board approves minutes at the next Board meeting. Minutes record the conclusions of the Board on the issues considered and will be cascaded to Assistant Directors. A record of decisions will be published (unless commercially sensitive).

As the Board meets bi-monthly, decisions may be taken between meetings on circulation of recommendations to the Chief Operating Officer as the Board's chair (and any subsequent consideration by the Chief Executive). Decisions made in this way will be brought to the Board at its next meeting and included in the record of decisions (with redaction for publication if commercially sensitive).

The Performance and Resources Board reports to Council via the Chief Operating Officer's report and submits an annual report to Council.

M14 – Report of the Performance and Resources Board 2015

M14 – Annex B

Reports and updates considered by the Performance and Resources Board

- 1 This annex provides further detail regarding the other reports and updates received by the Board during 2015, which are not covered in the main report.

Other reports considered

Review of Contact Centre services

- 2 The Board considered a report on the external review of Contact Centre services and agreed the programmes of work arising from the review on Management and Process, Technology and Customer Service Strategy.

Registration income and application volumes

- 3 The Board noted an update on the pattern of applications for registration, European Economic Area applications in particular, between January 2011 and April 2015.

Provisional Registration

- 4 The Board endorsed proposals for a single £90 fee to cover the maximum period of provisional registration, prior to agreement by Council at its meeting on 24 February 2015.

Update on risk arising from the introduction of the Internal Market Information system as part of the Recognition of Professional Qualifications

- 5 At its meeting in November, the Board considered an update on risks associated with new functionality in the European Commission's Internal Market Information system, which was being introduced as part of the Recognition of Professional Qualifications Directive, which the GMC would be required to use from 18 January 2016.

Implementing the Doctor Support Service

- 6** The Board noted plans to implement the Doctor Support Service as business as usual in Fitness to Practise and proposals to provide an enhanced service. The Board agreed that the additional costs and resources associated with offering the enhanced service should be met from efficiency savings within the Fitness to Practise directorate's existing budget.

Implementing doctor meetings

- 7** The Board considered and noted a proposal to implement meetings with doctors as business as usual in Fitness to Practise. The Board also agreed that in cases where meetings are held, the GMC should continue to require a timescale of 42 days for doctors to respond to allegations under Rule 7, with extensions agreed where required.

Notifiable Occupations Scheme

- 8** At its April meeting the Board received an oral update on the Government's withdrawal of the Notifiable Occupations Scheme, which governed proactive information sharing by the Police with regulators. The Board noted that the Police would continue to share information with based on the 'pressing social need' test established in case law.

Update on implementation of new conditions and undertakings banks

- 9** The Board received an update on minor amendments that had been made to the new conditions and undertakings banks, used for fitness to practise procedures, to remove reference to material which was not relevant to interim orders.

Doctors who commit suicide while under GMC fitness to practise investigation

- 10** The Board noted the report on *Doctors who commit suicide while under GMC fitness to practise investigation*, published on 19 December 2014. The Board also noted an update on progress in responding to the recommendations from the review at its June meeting.

The planned interim evaluation of Care Quality Commission operational work

- 11** The Board received an oral update on the interim evaluation of operational work between the Care Quality Commission (CQC) and the GMC, which highlighted the work which had been undertaken to increase information sharing.

Doctor and Complainant Survey Action Plans

- 12** The Board noted an update on progress in delivering the Doctor and Complainant Survey Action Plans.

Assurance assessment pilot

- 13** At its June meeting, the Board noted an update on progress with the assurance assessment pilot, which would provide decision makers with additional objective evidence that doctors with known clinical concerns have remediated sufficiently before lifting restrictions on their practise. Two cases had been put forward for the pilot at that date and the suitability of a third case was being reviewed.

Provisional enquiries

- 14** The Board received an update on plans to embed the provisional enquiries process as part of Fitness to Practise Business as Usual activity from September 2015, and the expected costs and savings.

Implementation of reforms to our fitness to practise investigation and adjudication processes

- 15** The Board approved a revised timetable for release 7.8 of the Siebel information system, to support the Section 60 changes and other corporate priorities, and plans to manage the transitional period before the Siebel release.

Fitness to Practise Annual Statistics Report 2014 and analysis

- 16** The Board endorsed the Fitness to Practise Statistics Report 2014 for approval by Council. It noted that most of the figures for 2014 had remained relatively stable, including the number of complaints received, which marked a significant change from recent years.

Trustees' Annual Report and Accounts 2014

- 17** The Board considered and endorsed the draft Trustees' Annual Report and Accounts 2014 for consideration by the Audit and Risk Committee and approval by Council.

Procurement Strategy, Policy and Plan

- 18** At its April meeting, the Board considered an update on amendments to the Public Contracts Regulations 2015 and agreed an updated Procurement Policy to reflect those changes. The Board also agreed that investigation would take place into potential areas for delivering further improvements and savings. The Board received an update on progress in delivering the Procurement Policy at its September meeting and agreed an overarching Procurement Strategy and implementation plan at its meeting in November

Approach to sourcing resources at the GMC

- 19** The Board agreed proposals to use the ContingentLabourONE framework agreement to source temporary workers and to implement a further Preferred Supplier List for

permanent recruitment. It also agreed to extend the existing Preferred Supplier List for 12 months to help manage the transition.

Charging for GMC services

- 20** The Board endorsed a policy on charging for GMC services and facilities at its March meeting, as a first stage in the development of options for charging for GMC services.

Data strategy phase two and planning for 2016

- 21** The Board considered and agreed the proposed priorities for phase two of the data strategy programme. The Board agreed that a further report would be brought back to the Board on the proposed approach to administering the production of management information. This will be reported to the Board's meeting on 21 January 2016.

Building external expertise into the GMC's research programme

- 22** The Board agreed an approach, and associated costs, for ensuring that there was appropriate external input to inform the GMC's research programme and individual research projects.

Review of Professional Standards Authority Performance Review Report 2014/15

- 23** The Board noted the Professional Standards Authority (PSA) Performance Review Report 2014/15 and considered the areas of good practice highlighted by the PSA for the GMC, and other regulators, and the areas of continuing review that the PSA would be interested in during the 2015/16 performance year. It agreed that the proposed areas of focus for 2015/16 should be included in the 2016 operational plans.

Review of Performance Data

- 24** The Board received updates on the project to review the GMC's Service Level Agreements and Key Performance Indicators at its January and March meetings. The Board noted that a simple reporting tool would be developed for Council on the basis of strategic success factors, Key Performance Indicators, and a RAG (red, amber, green) rating of each of the strategic priorities, and that it would cover all areas of the organisation.

Use of auditors for non-audit work policy

- 25** The Board considered and endorsed the Use of auditors for non-audit work policy, prior to consideration by the Audit and Risk Committee.

Progress on recommendations coming out of the Quality Assurance Review

- 26** The Board noted progress in delivering the recommendations of the Quality Assurance Review and agreed that the actions required could be considered completed and closed.

Information Systems updates

- 27** The Board approved the 2015 Information Systems (IS) plan at its March meeting and considered an operational and project systems update. The Board agreed updates to the 2015 IS plan at its September meeting.

Freedom of Information/Data Protection Act update and options to reduce administrative complexity

- 28** The Board considered an update on Freedom of Information and Data Protection Act performance and processes. This included noting that performance was broadly in line with other monitored bodies and the GMC was not an outlier in any area. The Board also agreed that the Information Access Team should conduct a trial involving increased liaison with requesters, with the aim of reducing the administrative burden.

Email naming conventions and email address recycling

- 29** The Board agreed proposals to change the GMC's current approach to e-mail naming conventions and email address recycling, to improve the legibility and identification of the GMC's email addresses for external people.

People Strategy

- 30** The Board considered the People Strategy, prior to its approval by Council on 24 February 2015.

People Strategy - Leadership and Management Development

- 31** The Board received an update on work undertaken through existing management development programmes, and plans to undertake a review of our programmes and implement a new and updated framework from Quarter 3 2016.

Hotel Programme 2016

- 32** The Board approved the hotel programme for 2016, including raising the GMC rate cap for hotel accommodation in London by £2 to £157 for bed and breakfast.

Income generation – non-Annual Retention Fee fees

- 33** The Board considered proposals to increase our income through changes to non-Annual Retention Fee (ARF) fees, prior to consideration by Council at its meeting on 30 September 2015.

Graduate recruitment

- 34** The Board agreed not to undertake a formal graduate recruitment programme in 2016.

2015 Pay Award

- 35** The Board agreed proposals in relation to the Staff 2015 Pay Award. The Board agreed a pay matrix based on a 1% basic award and performance related progression of 1% for a successful employee in the middle zone. It also agreed to pay a non-consolidated £300 loyalty bonus to eligible staff earning less than £26,000 (with eligible staff earning between £26,000 and £26,300 receiving the proportion of the bonus necessary to take their combined pay to £26,300).

Update on projects to achieve the 2015 efficiency target

- 36** The Board received an update on progress in achieving the 2015 efficiency target at its March meeting. It noted that although £2.7 million of efficiencies had been identified against a target of £2.6 million, the projects identified were at an early stage of development and as such involved a degree of risk in achieving the potential savings. As a result, further potential savings would need to be identified to provide a sufficient level of contingency. At its meeting in November, the Board noted that efficiencies of £3.1 million were on track to be delivered by the end of 2015.

Update from the Business Continuity Working Group

- 37** The Board received an update on the work of the Business Continuity Working Group.

Review of Associates fees and expenses and Staff expenses

- 38** The Board has received regular reports on work to review Associates fees and expenses, and staff expenses, to achieve greater consistency across the organisation. The Board agreed a standardised approach to fees across all Associate groups at its March meeting, and agreed new expenses policies for Staff and Associates at its September meeting.

Amendment to the Governance Handbook - Financial Regulations

- 39** The Board agreed amendments to the GMC Financial Regulations on investment policy, prior to consideration by Council at its meeting on 2 June 2015.

Report of the Aviva Group Personal Pension Plan Management Committee 2015

- 40** The Board noted a summary of the work of the Aviva Group Personal Pension Plan Management Committee during 2015 at its November meeting. This included the regular monitoring of investment performance and administration, considering the impact of legislative changes which have introduced greater flexibility for accessing Defined Contribution benefits, work to develop alternative Default Investment Options for the Aviva Group Personal Pension Plan in response to this legislative change, and the issuing of communications to members.