

# General Dental Council

## Corporate Business Plan 2010

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## **General Dental Council Corporate Business Plan 2010**

### **Introduction**

2010 is proving to be a year of change for the General Dental Council (GDC). The external environment is undoubtedly becoming ever more challenging as the landscape of healthcare regulation becomes more complex with new bodies such as the Independent Safeguarding Authority and the Care Quality Commission and an increasing awareness of citizens of their rights in the wake of new legislation such as Human Rights and Freedom of Information. The nature and scale of our workload is changing as we receive very significantly increased volumes of Fitness to Practise cases, and provide support for our newer Dental Care Professional registrants.

The changes in workload have affected the GDC very profoundly during past years, and recently, the Council recognised these changes in its approval of a 25% increase in its budget for 2010, the funds for which will be drawn down from reserves. Work is going on across the organisation to ensure that this investment is being spent wisely, so that value for money can be provided for registrants. The areas of most profound change will be our critical regulatory functions of Registration and Fitness to Practise where new staff and new business processes will be introduced as we go through the year that support our response to the challenges that we have been facing.

These changes will undoubtedly improve our performance and service that we provide to our registrants and other stakeholders. We will also be making some critical decisions this year on Revalidation, one of the most fundamental changes in healthcare during past decades, as we work to introduce new processes which will review registrants' fitness to practise on a continual basis. Revalidation is the tip of our policy-making iceberg, as we work to improve the policy-making process and use that to make substantive progress on a range of important policy areas, such as English Language testing; the regulation of specialists; registering additional qualifications; advertising ethically and a range of others.

Our relationships with our registrants and all our other stakeholders, especially the wider public, are absolutely critical. Professionalising our approach to customer service and drawing our stakeholders into a big conversation with the GDC about the strategic challenges ahead will be an important task for our External Relations Team, as we seek to build and enhance stakeholder engagement, including in the devolved countries, where understanding developments in healthcare regulation becomes ever more complex.

Underpinning our core regulatory work are our Corporate Services Team - Finance, HR, IT, Procurement, Facilities and Hearings. They form the bedrock of what makes the organisation work properly, and are the unsung heroes doing work that is often not noticed unless something goes wrong. It is in these departments from where the majority of our planned change work is being led - improvements will be made in our financial systems; in transforming our technology; in process improvement; in achieving value for money; in recruiting and equipping our team for the tasks ahead and in making sure that we conform to the law and best practice in a whole range of practical ways.

Finally, good leadership is critical to the GDC's future, and in this area there have been, and indeed continue to be, many changes at all levels. With good leadership comes the direction and confidence that create the positive and supportive environment within which the GDC will flourish in the future, and undoubtedly this will continue to be the top priority of the Executive Management Team.

## 1. FITNESS TO PRACTISE AND HEARINGS

### What we aim to achieve in 2010:

- improve performance by employing more cost-effective methods
- develop and maintain closer control of our resources
- regularly analyse cases from receipt to conclusion
- improve management of our external legal suppliers
- increase the numbers of caseworkers and lawyers to manage the growing workload and increase consistency
- shorten the lifespan of individual cases
- conduct a review of all those who act on behalf of the GDC in our Hearings to ensure we are receiving a high-quality service at a realistic cost that provides value for money
- maximise the productive use of Hearings capacity
- continue to review the listings schedule regularly to accommodate changing priorities
- recruit more staff for the Hearings team, additional Legal Advisers, and new Fitness to Practise Panel (FTPP) members in order to provide more hearing days in 2011
- start hearing simpler cases with panels of 3 FTPP members

### Main risks and challenges

Register number	Risk	Planned Mitigation
1.1	Staff capacity	Recruit staff of the correct calibre and experience
1.3	Lack of expertise	Plan and deliver high-quality training programme
1.5	Financial Coverage	Increased cost of in-house staff met by savings in external legal suppliers
2.6	Perceived delay in resolution of FTP cases	Improved processes and increased staff numbers to speed up FTP casework and hearings. Pressure on prosecution and defence legal teams to make best use of hearing days, avoid lost or wasted days and over-runs.
2.7	Perceived or actual conflicts of interest (Col)	Hearings Team apply procedures to identify potential Col between FTPP members and respondents or witnesses where possible and resolve them in advance of hearing

### Further risks

	Inability to attract sufficient staff of the correct experience	Use the services of recruitment agencies to cover temporary shortfall
	Appeals against determinations of cases, by respondents or CHRE	Continue refresher training for FTPP members and circulation and explanation of recent relevant appeal judgments
	Inefficient use of hearings capacity (lost or wasted days; cases running over)	Improve communications with legal teams, make better use of preliminary meetings; maintain dialogue started with defence organisations

### Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
1a	Annual assessment of external legal service providers	Q3	Philip Blakebrough
1b	Improve the quality of casework referred back to the IC under Rule10	Q2-Q4	Jayne Astley, Remi Gberbo
1c	Ensure Closure Point 1 letters reach the required standard	Q3	Remi Gberbo
1d	Revamp the FTP Disclosure Policy to provide greater clarity for users	Q3	Jayne Astley
1e	With IT, develop plans for the development and introduction of an effective case management system	Q2-Q4	Philip Blakebrough Michael Ridler
1f	Effective case management pending introduction of the case management system	Q2-Q4	Philip Blakebrough
1g	Take co-ordinated actions in 2010 to increase Hearings capacity for 2011 and onwards	Q2- Q4	Michael Ridler
1h	Develop management information systems to compare outcomes of Interim Order hearings with substantive hearings and FTP anticipated outcomes, for audit purposes	Q2-Q3	Michael Ridler

## 2. REGISTRATION

### What we aim to achieve in 2010:

- streamline and harmonise business processes to enable us to work more efficiently and effectively
- review the contracts for the Overseas Registration Examination to maximise value for money and increase transparency
- train our staff and assessment panels to develop their understanding of our business processes
- enhance training for staff to further increase resilience within teams and enhance performance
- review lessons learnt from previous years and best practice with respect to the ARF and CPD with a view to making service improvements
- improve the collection of ethnicity and diversity data
- commence a new project to accumulate indemnity and insurance information for dentists

### Main risks and challenges

Register number	Risk	Planned Mitigation
2.5	Policy on English language testing	Proposed legislative changes
3.5	Perceived draconian approach to ARF/CPD	Process review
7.2	Cost of maintenance of register	Effective resourcing of teams, review of workload content.
7.3	Integrity and availability of the ORE	Renew or re-tender contracts
7.4	Growing equality and diversity of register	Collection of data to ensure a fuller picture can emerge

### Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
2a	Build and develop stronger Registration teams	Q2-Q4	Gurvinder Soomal
2b	Review processes and their effectiveness	Q3-Q4	Gurvinder Soomal / All Registration Managers
2c	Appraisals for panellists and examiners	Q4	Phil Higgs / Romina Trinidad / Purvangi Dave
2d	Harmonisation and cost benefits of merging mailings for CPD and ARF	Q3-Q4	Anne Gerulat / Sarah Arnold
2e	Project to enable recording of indemnity data to prepare for a collection next year	Q2-Q4	Sarah Arnold / Anne Gerulat
2f	Collection of E&D data through eGDC	Q3	Gurvinder Soomal
2g	Implementation of payment card information security standard	Q2-Q4	Anne Gerulat
2h	Renewal and retendering of exam provider contracts	Q1-Q3	Gurvinder Soomal
2i	English Language Testing	Q2	Patrick Kavanagh
2j	3 <sup>rd</sup> party Health declarations at 1 <sup>st</sup> registration	Q3	Patrick Kavanagh
2k	Additional qualifications	Q2-A3	Patrick Kavanagh

### 3. QUALITY ASSURANCE

#### What we aim to achieve in 2010:

##### Operations

- complete the inspection cycle of all DCP courses and qualification provision (new courses will require inspection as they develop and graduate their first cohort of students)
- continue with the programme of advisory inspection visits to the three new dental schools
- respond to urgent requirements for inspections when concerns are raised
- begin to adapt our QA processes in line with the new learning outcomes and a new QA methodology
- continue to develop our information and guidance resources for training, providers, inspectors and the public

##### Policy development

- finalise the dental outcomes project and the outline design of a new QA system
- finalise the specialist curricula now presented in an outcomes-based format and develop a system for specialty QA

#### Main risks and challenges

Register number	Risk	Planned Mitigation
2.4	Decisions by Council or Committee which result in impossible demands on resources or which commit the GDC to actions or policies which are impracticable or otherwise undesirable	Empower staff to argue assertively and to draft and present convincing papers
1.1, 1.2, 1.7	Insufficient staff capacity to deal with failing institutions or to take on new work	Bid for adequate staffing levels and ensure that our intelligence is as attuned as possible to picking up signs of institutions which might be in trouble
4.5	Loss of corporate knowledge due to high staff turnover and lack of a GDC knowledge management system	Continue to argue for a knowledge management system and for staffing levels and conditions which encourage staff to stay and develop
5.5	Judicial review or challenge to QA processes	Ensure that our QA work is evidence-based and that our processes are clear, firm, robust and transparent
6.5	Staff overstretched and stressed (high absence and leaving rate)	Bid for adequate staffing levels

#### Further risks

	Inappropriate financial reports and budget format result in lack of budgetary control and under/overspend	Continue to ask for financial reports which reflect actual activity
	CPD audit for 2008 and 2009 and beyond does not take place due to shortage of staff	Bid for adequate staffing levels and analyse with registration where this task can be carried out most efficiently and effectively

## Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
3a	Develop dental and DCP learning outcomes and re-draft guidance	Q4	Sarah Crossfield
3b	Complete inspection of DCP courses	Q4	Ross Scales
3c	Complete specialist curricula	Q4	Amanda Little
3d	Develop outline new QA process (pre-qualification and specialty education and training)	Q4	Amanda Little
3e	Inspect 3 new dental schools	Q3	Ross Scales
3f	Inspect new DCP programmes	Ongoing programme	Ross Scales
3g	Fully revise QA web pages and registrable course guidance documents	Q1	Ross Scales
3h	Publish student FTP guidance	Q1-2	Peter Butler
3i	Take over responsibility for QA of the ORE via management of the OREB	Q1	Louise Taylor
3j	Improve annual monitoring process to reflect good practice and to harvest more useful data	Q3	Paul Feeney

## 4. STANDARDS

### What we aim to achieve in 2010:

- begin a comprehensive review of the ethical guidance
- issue updated guidance on the manufacture and commissioning of dental appliances
- develop new guidance on ethical advertising
- continue to work on the introduction of compulsory insurance/indemnity
- work with colleagues on a number of cross-team issues including patients having direct access to treatment by dental hygienists and therapists and character and health requirements for registrants
- contribute to and monitor the outcomes of CHRE projects
- work with new external bodies such as CQC and the ISA to ensure that patients are protected and their interests promoted without increasing the burden of regulation

### Main risks and challenges

Register number	Risk	Planned Mitigation
2.3	Review of Registrant indemnity cover	Development funding approval by Council to take project forward
3.8	Inappropriate advertising by registrants	Standards committee considering ethical advertising consultation – Council to approve
5.1	Rapidly changing regulatory landscape resulting in unclear/conflicting regulatory remits (eg CQC, ISA) with consequential impact on registrants	Environment scanning to keep up to date with new regulatory developments  Build early and ongoing relationships with other regulators and formalise in MOUs with objective of minimising burden on registrants  Proactive external communication to ensure registrants kept up to speed with developments
6.6	Clarity of direction for 2010 and beyond	Development and communication of business plan and clear resourcing plan for 2010
8.1	Policy requiring development and/or review	Development and implementation of policy making process; review and restructure of policy directorates; appropriate papers to enable committee/Council decision making
8.4	Stakeholder engagement with policy making	Communication plan in response to policy making programme; consultation and engagement events
8.5	Policy making programme is matched by resources	Clarity of policy programme /plan and associated process approved by Council

### Further risks

	Committees working separately – duplication or issues missed	Triangulation by executive; move to single policy team
	DoH work on indemnity slowed/stopped by General Election – direction of travel unclear	Continue work on policy development and checking to ensure we are doing something
	Lack of feedback mechanism from IC now that it is populated by non-members and run by secretariat	Development of IC feedback loop with Secretariat and FTP

## Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
4a	CHRE policy project – protecting the public from unregistered practitioners – review the policy on ‘policing’ adverts	Q2	Janet Collins and Mike Browne
4b	FTP training of panel members and IC members – needs to include training on Standards		Loretto Leavy and Mike Ridler
4c	Update of Impact of Criminal Convictions Guidance	Q3	Patrick Kavanagh
4d	Approach to good character (policy project)	2010	Patrick Kavanagh
4e	Health requirements for registrants	Q2	Patrick Kavanagh
4f	Review of the scope of practice guidance and the standards	Q3-4	Janet Collins
4g	Review of the Standards and FTP function	Q3-4	Janet Collins
4h	Statement on commissioning and manufacturing dental appliances to be updated in line with revised Medical Devices Directive and communicated to profession	Q1 for guidance (complete), Q2 for promotion	Janet Collins
4i	Produce guidance on ethical advertising subject to consultation	Q3	Janet Collins
4j	Relationships with stakeholders	Ongoing	Mike Browne

## 5. REVALIDATION

### What we aim to achieve in 2010:

- clarify the standards and evidence framework
- finalise the policy around stages 2 and 3

### Main risks and challenges

Register number	Risk	Planned Mitigation
1.2	Gaps in professional skill (eg, Finance, Policy, Revalidation, HR, IT)	Identification of critical posts where professional skills are currently not present and recruitment against gaps as soon as possible
4.2	Provision of management information for control and decisions making.	Interim measurement structure being put in place for critical regulatory functions to be approved Council. Business process redesign (for regulatory processes) – tender has been issued for professional advice. Longer term – information captive through new technology and systems <ul style="list-style-type: none"> <li>- design and development</li> <li>- implementation</li> </ul>
4.5	Knowledge management – loss of experienced staff and lack of information management (eg revalidation, FTP)	Improvements in leadership to improve staff morale (see staff morale risk) Commissioning and implementation of intranet and facilitate data capture, storage and publication. Development of professionalism and skills of information team Steering appropriate behavioural/ attitudinal approach and necessary skills across organisation
5.1	Rapidly changing regulatory landscape resulting in unclear/conflicting regulatory remits (eg CQC, ISA) with consequential impact on registrants	Environment scanning to keep up to date with new regulatory developments. Build early and ongoing relationships with other regulators, at working and Chief executive level and formalise in MOUs with objective of minimising burden on registrants. Proactive external communication to ensure registrants kept up to speed with latest developments
5.2	Change of Government and/or regulatory policy (e.g. future role of OHPA, consolidation of regulatory bodies)	Change of government certain in general election year but immediate impact much less certain. Build maintain relationships with DoH and all political parties (whilst ensure appropriate professional distance) to keep closely in touch with developments
8.1	Policy requiring development and/or review (e.g. temporary registration, English language testing, additional qualifications etc)	Development and implementation of policy making process
8.3	Delays in revalidation due to lack of resource	Project development funding to be considered by Council. Appointment of revalidation programme Director and subsequent design and development of team

8.4	Stakeholder engagement with policy-making	Tactical Communication plan in response to policy making programme. Consultation and engagement events. Define and support role for Council members
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*Further risks*

	Slow down in legislative process after election if government priorities change.	Maintain relationship with DoH
	Council decide change of direction on policy which means we have to go back to the start of the policy making process.	Ensure Council understand rationale and work behind development of revalidation and impact should we start the policy development process again
	Change in government priorities means the level for revalidation becomes lower.	Maintain understanding of how revalidation proposals might be adapted

**Action Plan**

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
5a	Workshops with key stakeholders to clarify detail around the evidence required at Stage 1	Q3	Revalidation Programme Director
5b	Economic impact assessment	Q2	Revalidation Programme Director
5c	Pilots of Stages 2 and 3	Q4	Revalidation Programme Director
5d	Development of an e-portfolio specification	Q4	Revalidation Programme Director
5e	Development of a revalidation Stage 1 audit tool	Q4	Revalidation Programme Director
5f	Revalidation baseline measurement project	Q4	Revalidation Programme Director

## 6. CUSTOMER SERVICE

### What we aim to achieve in 2010:

- expand the capability of the Customer Advice and Information Team to ensure we remain accessible to the public and serve our customers' needs
- consolidate our customer service offerings to ensure we provide a consistent service of the highest quality

### Main risks and challenges

Register number	Risk	Planned Mitigation
1.1	Under staffing of CAIT decreases accessibility to serve customers and increase customer dissatisfaction	Increase staffing capacity - has been approved by Council and recruitment has commenced

### Further risks

3.7	Insufficient capacity in CAIT function could lead to expensive customer service recovery situation	<p>Proposals approved by Finance &amp; HR Committee to increase CAIT resourcing and customer service capacity</p> <p>Customer service tactical improvement plan approved and currently in progress</p> <p>Medium term customer service strategy review scheduled for December 2010</p>
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### Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
6a	Complete implementation of suite of processes and procedures for fundamental customer service activities	Q4	Harminder Branch
6b	Complete training and delivery of revised complaint handling processes and procedures	Q2	Harminder Branch

## 7. EXTERNAL RELATIONS

### What we aim to achieve in 2010:

- deliver a programme of stakeholder events and communications which build our relationships and contribute to our policy and service development initiatives
- focus our initiatives on the dental team and enablers such as employers and educators and senior stakeholders

### Main risks and challenges

Register number	Risk	Planned Mitigation
5.1	Rapidly changing regulatory landscape	Proactive external communication to ensure registrants are kept up to speed with latest developments
8.4	Stakeholder engagement with policymaking	Tactical communication plan in response to policy making programme  Consultation and engagement events  Define and support role for Council Members

### Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
7a	Contribute to a review of FTP disclosure resulting in proactive media around FTP cases in regional media	Q3	Elizabeth Curtis
7b	Communications around ARF	Q4	Elizabeth Curtis
7c	Review our registrant publication the Gazette, including legal checks of content	Q3	Elizabeth Curtis
7d	Create planned annual programme of publications for 2011 based on information from 2011 business and financial planning cycle and support the business in forward planning communications needs	Q4	Elizabeth Curtis
7e	Review our e-newsletters for staff, members and other stakeholders in light of intranet and internet developments	Q4	Elizabeth Curtis
7f	Employers' events – deliver first event, review and roll out annual programme	Q3	Stakeholder Engagement Manager
7g	Registrant event – run pilot, review and roll out annual programme	Q3	Stakeholder Engagement Manager
7h	Make changes to relationship management to embed it effectively within the organisation	Q4	Stakeholder Engagement Manager
7i	Senior stakeholder event – run pilot event in Scotland and report back to council with learning and plans for further events.	Q4	Stakeholder Engagement Manager
7j	Deliver the Annual Report, 2011 Business Plan and CHRE Performance Review	Q2, Q3, Q4	Cathy Mullins
7k	Review and report on FOI/DP	Q3	Helene Cox
7l	Deliver a new GDC website which delivers an improved user experience, helping drive more users online.	Q4	Maryem Arif

## 8. SECRETARIAT

### What we aim to achieve in 2010:

- deliver a programme of governance, processes and mechanisms for Council, Committees of Council and Statutory Committees which enables effective support of all members and enables us to demonstrate CHRE standards more effectively
- support of the Council, the Committees of Council, the Appointments Committee, the Audit Committee and the Investigating Committee to ensure business is managed effectively and efficiently
- develop and implement: Code of Conduct, Scheme of Delegation, Standing Orders, Declaration of Interest Guidance, Committee Structure Review, and integrated governance to support IC and FTP panellists

### Main risks and challenges

Register number	Risk	Planned Mitigation
2.7	Perceived or actual Council conflicts of interest	New approach to management of conflict of interests to be discussed and approved by Council  All secretaries assist in the management of interests – Council, Committees, IC and FTP panellists
6.3	Confidence in Council members in control and management of Executive	Implementation of risk management, scheme of delegation, improvement plan and internal audit plan

### Further risks

3.6	Perceived delays in resolution of FTP cases	Appointment of additional FTP panellists (additional mitigation - Jan 2011)
1 and 6	Lack of support for IC and FTP Panellists	Integrated governance to support statutory committees; performance review, complaints procedure, capabilities procedure, disciplinary procedure and code of conduct policy.  IC Training – Chair and IC Members (FTP Panellists training currently organised by Hearings)
1	Committees working in silos and lack of 'triangulation'	Committee structure review
1 and 6	Lack of feedback mechanisms from the IC and to the IC	Development and implementation of IC feedback loops
1	Lack of overview of FTP Process	IC standard operating procedures to contain an overview of the interpretation of all powers available to the IC to enable the IC Secretary to provide advice to the Committee
2	Lack of effective standing orders	Full review of standing orders  Additional amendments following the Committee Structure Working Group

## Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
8a	Code of Conduct	Discussion with Chair	Loretto Leavy /Siobhan McLoughlin
8b	Performance Review for IC and FTP Panellist (Appraisal)	Q3	Loretto Leavy /Victoria Darragh
8c	IC transitional period and IC Chairs training IC Member training FTP training; process for development of training	Q3 Q4 Q4	Loretto Leavy /Victoria Darragh
8d	Include feedback from CHRE audits/judicial reviews and an overview of cases in IC feedback mechanisms	Q3	Loretto Leavy
8e	Ensure we understand the interpretation of rules, regulation and the Act (IC standard operating procedure: interpretation of powers)	Q3	Loretto Leavy /Victoria Darragh/Charlotte Toghill
8f	Analysis of allegations and outcomes of IC cases	Q2	Loretto Leavy /Charlotte Toghill
8g	Scheme of Delegation	Q4	Loretto Leavy /Cindy Morgan Gordon Miles
8h	Risk Register	Q3	Alison White /Loretto Leavy /Charlotte Toghill

## 9. FINANCE

### What we aim to achieve in 2010:

- provide a professional, effective and efficient service on financial matters to the Council and staff
- deliver our statutory and management financial information to agreed timescales
- develop our financial systems to improve support for decision-making

### Main risks and challenges

Register number	Risk	Planned Mitigation
1.3	Financial controls	Financial Procedures and Delegations agreed by Finance & HR Committee March – will need reviewing in conjunction with Proactis
1.5	Financial coverage	Budget agreed in March
		Review of ARF requirement against 2011 financial requirements -September to coincide with 2011 Budget and 3 year plan
		Commence ABC review to ensure that registrant types are not cross-subsidising
4.4	Financial controls	New procedures agreed March
		Proactis implementation with associated training and amendments to delegations – September 2010
		Fixed asset tagging to be implemented and fixed asset module (subject to business case funding)
		Interim Head of Finance – March; permanent recruitment when Director of Corporate Services is in post
1.2	Gaps in professional skills	Training of part qualified staff and recruitment of appropriate staff based on review of requirements.

### Further risks

	Implementation of IFRS	Head of Finance must have IFRS experience
	Loss due to fraud or theft	Ensure tight separation of duties; review of payments and implement asset tagging
	Reputation risk through qualification of the Accounts	Professional qualified staff and continuing professional development
	Lack of clarity on FreM and Accounting Officer requirements	Review of managing public money and FreM and negotiations with Privy Council on exemptions

## Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
9a	Review management accounts for fitness of purpose	Q2	Mark Duly/Head of Finance
9b	Update of financial procedures – taken to Finance & HR Committee March – to be reviewed in line with Proactis	Q1, Q3	Mark Duly/Head of Finance
9c	Budget reviews financial timetable (with in-year reviews) taken to Audit and Finance & HR Committees	Q1	Mark Duly
9d	Implement Proactis system	Q3	Mark Duly

## 10. HUMAN RESOURCES

### What we aim to achieve in 2010:

- support managers to achieve their objectives
- provide accurate HR data to inform management decision-making
- develop an agreed HR strategy for 2010/11
- achieve targets for reducing absence and scheduled recruitment

### Main risks and challenges

Register number	Risk	Planned Mitigation
6.5	Staff capacity	Several recruitment campaigns have commenced to address the issue of staff capacity in key areas

### Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
10a	Reduction of sickness absence	Q4	Head of HR
10b	Propose GDC training budget allocations for agreement by CEO	Q2	Head of HR
10c	Consult on and implement new Staff Handbook	Q2	Head of HR
10d	Recruitment planning and delivery to meet resource requirements	Q2 – Q4	Head of HR
10e	Develop 2010 HR Plan	Q2	Head of HR
10f	Develop 2011 HR Strategy	Q4	Head of HR

## 11. CORPORATE LEGAL

### What we aim to achieve in 2010:

- encourage the increased use of legal input where appropriate by all internal clients at key stages, particularly planning
- become more closely involved with the work of the new policy team to encourage the effective use of corporate legal as a risk management tool and increase involvement in planning in all aspects of the Council's work

### Main risks and challenges

Register number	Risk	Planned Mitigation
1.1	Insufficient staff capacity to deal with increasing instructions	Monitor closely and bid if appropriate
4.5	Knowledge management – loss of experienced staff and lack of information management	Support improved information management system  Promote opportunities for staff to develop and progress
1.2	Gaps in professional skill	Ensure process is in place for outsourcing where appropriate expertise is required
2.1	Control of confidential information	Input into GDC wide policies and training
5.5	Judicial review, challenge to processes	Take account of CHRE guidance in advising clients and keep clients informed of changes to the legal framework

### Further risks

	Budgetary overspend on external legal costs due to staff absence or substantial legal challenge	Keep staffing levels under review and monitor potential legal challenges
	Lack of case management – present case access database outdated	Liaise with IT to improve/develop case management
	Lack of feedback for registration appeals and CPD appeals	Develop appropriate feedback form for Corporate Legal to consider at conclusion of each case

## Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
11a	CHRE monitoring – report on compliance with initiatives	Q2	Cindy Morgan
11b	Maintain effective contact with key clients	Q2-Q4	Cindy Morgan Susan Lightman
11c	Work closely with Policy Team ensuring appropriate legal input	Q2-Q4	Cindy Morgan
11d	Review of legislation to identify gaps, required updates	Q3	Cindy Morgan Susan Lightman
11e	FOI/DPA policies and training	Q2-Q4	Cindy Morgan Susan Lightman
11f	Review of ARF regulations	Q3	Cindy Morgan Susan Lightman
11g	Revalidation – consultation and drafting of amendment to legislation	Q4	Cindy Morgan
11h	Developing guidance on registration appeals and CPD appeals	Q2	Cindy Morgan Susan Lightman
11i	Managing litigation/threatened litigation	Q2-Q3	Cindy Morgan Susan Lightman
11j	2010 Section 60 (Governance)	Q2-Q3	Cindy Morgan
11k	Standing Orders 2010	Q2	Cindy Morgan Susan Lightman
11l	Registrant indemnity – draft rules required	Q4	Cindy Morgan
11m	Character issues in registration appeals – work with policy project to ensure consistency	Q4	Cindy Morgan Susan Lightman
11n	Developing standard terms and conditions for GDC contracts	Q2-Q3	Cindy Morgan Susan Lightman

## 12. IT

### What we aim to achieve in 2010:

- provide effective IT services to all GDC staff
- provide websites that effectively engage customers and the public
- provide effective electronic means of communication to enable GDC staff to communicate with customers and partners
- provide an effective Customer Relationship Management System (CRMS)
- provide clear and accurate Management Reporting Information Systems

### Main risks and challenges

Register number	Risk	Planned Mitigation
1.2	Gaps in professional skill	Request for increased budget towards specialist individually focused IT training
1.6	Control over procurement	IT to liaise with Head of Procurement in the implementation of the Proactis system
4.1	Operational resilience and recovery following disaster	Review of disaster recovery plan and look to installing new offsite solution
4.4	Financial controls (assets)	Provision of an integrated IT service desk to include ability to record and track assets  All IT assets to be bar-coded
7.1	Control and integrity of data in the Register	IT team to have specific members examining and improving data hygiene using industry leading methods and software

### Further risks

	Website and Intranet renewal fails due to lack of skills in chosen SharePoint technology	Training to be undertaken by key project team members in advance of roll out of new system
	Business process re-engineering does not meet stated aim	Through management of process to be undertaken to ensure the correct consultancy with the right calibre of consultants is chosen and report delivered is of the highest quality possible
	Replacement of Chamber audio visual equipment means council interruption	All work will be carried out of hours and when chambers are not in use

Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
12a	Build and consolidate a strong IT team encompassing all aspects of IT	Q2	Keith Geraghty
12b	Invest in IT staff training to ensure applicable skills are contained within the IT team	Q2-Q4	Keith Geraghty
12c	Ensure that IT services are professionally managed and monitored efficiently and in line with service level agreements utilising an online self-service desk where all IT assets can be effectively monitored	Q2-Q4	Keith Geraghty / Mike Kennedy
12d	Ensure the GDC has a renewed website which meets the needs of customers and the public	Q3	Keith Geraghty/ Maryem Arif
12e	Ensure the GDC has a new Intranet which is used by and meets the internal information needs of the GDC	Q3-Q4	Keith Geraghty/ Maryem Arif
12f	Develop the business process re-engineering project to ensure the correct consultants are appointed and deliver the results as expected and required by the GDC senior management	Q2-Q3	Keith Geraghty/ Andy Hepburn/ Craig Hill/ Mike Kennedy
12g	Develop a comprehensive IT plan which encompasses recommendations from the business process re-engineering project which ensures that the future IT needs of the GDC will be delivered in an efficient and realistic manner	Q3	Keith Geraghty
12h	Replace the Chamber audio visual equipment to ensure greatest value is achieved while ensuring the IT expectations of the Council are fully met	Q3- Q4	Keith Geraghty/ Mike Kennedy
12i	Improve data quality and management information reporting and overall usage of the CARE CRM System.	Q2-Q4	Keith Geraghty/ Andy Hepburn
12j	Implement a robust disaster recovery solution and disaster recovery policy to ensure resilience	Q3	Keith Geraghty/ Mike Kennedy
12k	Liaise with Finance team/Head of Procurement to ensure that an integrated Proactis system is delivered and tailored to the needs of the GDC	Q3	Keith Geraghty

## 13. FACILITIES

### What we aim to achieve in 2010:

- build and consolidate a strong and flexible team
- manage more work in-house to provide better quality and value for money
- review all statutory risk assessments
- develop an environmental policy and procedures and improve performance
- improve health and safety procedures

### Main risks and challenges

Register number	Risk	Planned Mitigation
1.1	Staff capacity	Recruit 2 management staff of the correct calibre and experience
1.5	Financial coverage	Increased cost of in-house staff met by savings in external building services management provider

### Further risks

	Health and safety and environmental statutory compliance	Being fully resourced to manage health and safety in-house  Developing environmental policy and procedures
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### Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
13a	Build and consolidate a strong flexible Facilities Team	Q2	Stephen Lillywhite
13b	Invest in staff development and procedures	Q2-Q4	Stephen Lillywhite
13c	Ensure a professional response for all our customers	Q2-Q4	Stephen Lillywhite
13d	Ensure that the efficiency of services is managed and monitored	Q3	Stephen Lillywhite
13e	Produce performance information against performance indicators	Q2-Q4	Stephen Lillywhite
13f	Develop an environmental policy and procedures	Q2-Q4	Stephen Lillywhite
13g	Manage health and safety in-house using external consultants for specialist risk assessments as required	Q2- Q4	Stephen Lillywhite
13h	Review statutory compliance	Q2-Q3	Stephen Lillywhite
13i	Retender or renegotiate building services/facilities management contract	Q2-Q3	Stephen Lillywhite

## 14. PROCUREMENT

### What we aim to achieve in 2010:

- introduce best practice procurement across the GDC
- deliver real cash savings and process efficiencies

### Main risks and challenges

Register number	Risk	Planned Mitigation
1.6	Control over Procurement	See Action Plan

### Action Plan

Number	Objective	Target (Quarter) Q2, Q3, Q4	Owner
14a	Procurement governance – develop policies and procedures that ensure the management of the Council's procurement activities is open, transparent and non-discriminatory with the highest levels of compliance, probity and risk awareness	Q2	Michael Burke
14b	Collaboration and proactive participation – collaborate with other public sector buying consortia, where it makes good economic sense and to participate in initiatives as they arise and are deemed appropriate to the Council	Q2, 3, 4	Michael Burke
14c	Measuring and monitoring – develop, monitor and measure procurement-related activity to ensure that the adopted policies and strategies are working	Q3, 4	Michael Burke
14d	Management Information/Technology – specify Proactis system generated procurement information needs in a manner that enables the information held to be used in a proactive and positive manner	TBC	Michael Burke
14e	Planning framework – the quality of each value for money decision is dependent upon the thought process at the time of the procurement decision. Forward procurement planning by way of a schedule of planned procurement projects will be put in place	Q2	Michael Burke
14f	Value for money – annual efficiency savings plan and statement	Q4	Michael Burke
14g	Procurement awareness – e-letter, webpage and training	Q2, 3	Michael Burke