General Optical Council

Business Plan and Budget

April 2020 – March 2021
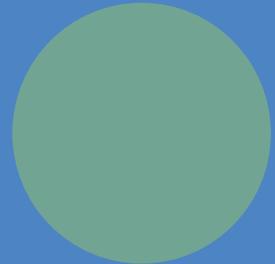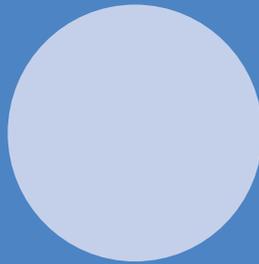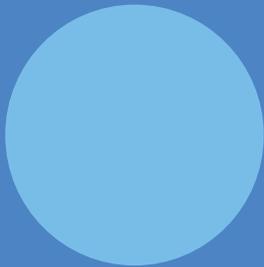
Contents

Foreword

2020-21 marks the first year of our new five-year strategic plan 'Fit for the Future' and within this business plan, we outline the work programmes we aim to deliver to achieve our vision of being recognised for delivering world-class regulation and excellent customer service.

2020 has proven to be an unprecedented time for the optical professions in light of the COVID-19 emergency, and we could not have anticipated that our plans would be published during such extraordinary circumstances. Therefore, some aspects may need to be delayed and others may accelerate. For that reason, this plan will be kept under continual review.

The challenges and opportunities that are affecting our work include external influences such as:
- An **ageing population** and **new treatments**.
- **Technological developments** may affect our regulatory work.
- Increasing **multi-disciplinary approaches** to patient care across the NHS and commissioned services.
- Growth in **online and remote provision** of services and a **workforce** that seeks even greater flexibility in their working hours and practices.
- **Changing business models** as employers and businesses adapt to new technology and customer preferences.
- **Political** and **international developments** such as the impact of Brexit and COVID-19.

Over the coming year we will continue to complete and embed the Education Strategic Review (ESR) which will enable us to maintain public protection as the roles of registrants evolve. This review project will continue apace, transforming the way that optical students are taught. We've heard so much from the sector over the last two years about the need to change and now is the time for us to start implementing that with concrete proposals to equip students for the roles of the future.

Reforming our approach to Continuing Education and Training (CET) is just as important to ensure that our registrants are engaged in high quality career-long learning that enables them to adapt to a changing environment.

We will also be looking at ourselves as we continue our efficiency programme. We know we need to streamline and speed up our approach to fitness to practise and this remains a top priority. To support that and improve our service to registrants, we will continue to work on our IT infrastructure to help us provide an efficient and good-value service to the public and to registrants. And we will continue to make the case to Government for legislative reform that will help us to operate even more effectively.

Lesley Longstone, Chief Executive and Registrar

Introduction

The General Optical Council (GOC) is the UK-wide regulator for optometrists and dispensing opticians, student optometrists and dispensing opticians and optical businesses. We exist to protect the public by raising standards in the optical professions.

Our regulatory functions are:

- Setting the standards expected of optometrists, dispensing opticians, optical businesses and students

- Maintaining a register of those who are qualified and fit to practise, to train or carry on business as optometrists and dispensing opticians

- Investigating and acting where registrants' fitness to practise, to train or carry on business is impaired

- Setting the standards for education and approving qualifications leading to registration

Our mission, vision and values

Our '**Fit for the future**' strategy for 1 April 2020 to 31 March 2025 describes what we plan to do over the next five years to achieve our vision of being recognised for delivering world-class regulation and excellent customer service.

Our mission is...
to protect the public by upholding high standards in the optical professions

Our vision is...
to be recognised for delivering world-class regulation and excellent customer service

Our values

The interests of patients and the general public are at the heart of all we do, and we aspire to the timeless seven (Nolan) public sector principles of public life (selflessness, integrity, objectivity, accountability, openness, honesty and leadership).

Our values underpin the way we work with each other, and with the public, our registrants and partner organisations:

- We act with **integrity**
- We pursue **excellence**
- We **respect** other people and ideas
- We show **empathy**
- We behave **fairly**
- We are **agile** and responsive to change

Strategic objectives

Our priorities are organised under three overarching strategic objectives:

Delivering **world-class regulatory practice**

Transforming customer service

Building a culture of **continuous improvement**

What we want to achieve in 2020/21

This business plan sets out the milestones, outputs and outcomes that we plan to deliver in 2020/21 in order to deliver our three strategic objectives.

Work programmes

Below we have outlined the key work programmes that will be undertaken, when they will occur and how we intend to measure our performance.

World-class regulatory practice
- Standards
- Education Strategic Review
- CET Review
- Legislative Reform

Transforming customer service
- Customer service strategy
- FTP case improvement
- IT improvement strategy

Continuous improvement
- Investment in IT infrastructure
- People plan and efficiency programme

2020/21 year in view

World-class regulatory practice

1. Standards

We will revise our standards for individuals – optometrists, dispensing opticians and students – in order to ensure continued public protection, taking opportunities to harmonise standards across the different healthcare professions likely to work together as part of multi-disciplinary teams. As part of this work, we will continue to issue additional guidance as and when needed. In revising our standards for individual practitioners, we will review our expectations of how registrants deliver safe and accessible care for all.

Table 1 – World-Class Regulatory Practice: Standards

Work Programme	
1. Develop guidance on "speaking up" for registrants and review Standards of Practice (April 2020-March 2021)	
2020/21	**Activity**
Q2. July-Sept 2020	1.1. Speaking up guidance consultation commences
Q3. Oct-Dec 2020	1.2. Scope review of Standards of Practice
Q4. Jan-March 2021	1.3. Speaking up consultation report received and outcomes reviewed and agreed Seek stakeholder input into review of Standards of Practice
Success Indicators	Speaking up • Registants are well informed from the consultation • Registants provide positive input and feedback around the consultation
Success Indicators	Standards • Registants' confidence level in standards is maintained • Registants provide positive input and feedback around the consultation

2020/21 year in view

2. Education Strategic Review (ESR)

We will introduce a new system of education standards, outcomes and quality assurance to ensure that the skills and abilities of our registrants remain up to date and in line with the needs of patients and service delivery. This will involve consideration of both pre- and post-registration needs.

Table 2 – World-Class Regulatory Practice: Education Strategic Review

Work Programme	
2. Development and consultation on outcomes and standards for education and new quality assurance framework (April 2020-Dec 2020)	
2020/21	**Activity**
Q1. April-June 2020	2.1. Develop education standards, outcomes and quality assurance (QA) framework
	2.2. Co-commission research into qualification levels to develop a Regulated Qualifications Framework (RQF)
Q2. July-Sept 2020	2.3. Public and patient consultation and verification of education
	2.4. Co-commissioned research on qualification levels published standards and outcomes
Q3. Oct-Dec 2020	2.5. Consider consultation outcomes and verification results
	2.6. Approve and launch new education standards and outcomes, along with QA framework
Success Indicators	Outcomes for registration equip optical professionals with the knowledge, skills and behaviours to practise safely in changing roles • Standards for approved qualifications set clear expectations for the integration of clinical experience and patient-centered education • Key stakeholders engage with us to develop our proposals

2020/21 year in view

Work Programme	
3. Implementation of outcomes, standards for education and new quality assurance scheme (Oct 2020-June 2022)	
2020/21	**Activity**
Q3. Oct-Dec 2020	3.1. Development of proposals for education provider knowledge hub to measure change and longitudinal research on regulatory impact
Q4. Jan-March 2021	3.2. Quality assurance framework launched and programme approval begins
	3.3. Knowledge hub and longitudinal research launched
Success Indicators	• All key stakeholders participate in developing our proposals for a knowledge hub and longitudinal research • At least 30% of current providers apply to be early adopters • Our programme approval scheme provides public assurance that approved qualifications meet our standards and outcomes

Work Programme	
4. Review and implement post-Brexit changes to non-UK qualifications and education scheme (June 2020-Dec 2021)	
2020/21	**Activity**
Q2. July-Sept 2020	4.1. Review of approach for recognition of non-UK qualifications
Success Indicators	We have a clear approach which we have applied to the approval and quality assurance of non-UK GOC approved qualifications

2020/21 year in view

3. Continuing Education and Training (CET) Review

We will be introducing changes to our Continuing Education and Training (CET) scheme to make it more flexible and less prescriptive, allowing registrants greater freedom to reflect on their own learning needs and undertake learning and development which is relevant to their own personal scope of practice and career goals. This includes consulting on changing the name to Continuing Professional Development (CPD).

We will also review the way we deal with exceptional circumstances such as maternity and illness which may affect registrants ability to complete CET. Our aim is to phase in the reforms over the next three years.

Table 3 – World-Class Regulatory Practice: CET Review

Work Programme	
5. Development and consultation on changes to the CET scheme, including proposed change of name to CPD, introduction of a mandatory reflective practice requirement and move to underpinning by our *Standards of Practice for Optometrists and Dispensing Opticians* (April-Dec 2020)	
2020/21	**Activity**
Q1. April-June 2020	5.1. Consultation on CET reforms
Q2. July-Sept 2020	5.2. Consultation on CET reform continues; we then consider outcomes of consultation and agree changes
Q3. Oct-Dec 2020	5.3. Preparation of new CET guidance for publication
Q4. Jan-Mar 2021	5.4. Implementation of new CPD scheme
Success Indicators	• New CET scheme helps optical professionals demonstrate their continuing professional development and specialisation to practise safely in best interests of patients and service users • Key stakeholders engage with us to develop our proposals

2020/21 year in view

4. Legislative Reform

We will implement new legislation, once this is enacted, to establish a unitary board and will consult on how to exercise new powers that the board will have to set rules in all parts of our regulatory activity. Wherever possible we will do this jointly with other regulators to develop greater coherence and to benefit from one another's experiences. We will also ensure that we gain appropriate expert input, building on our recently established Advisory Panel, which brings together all our advisory committees. We will continue to manage any potential conflicts of interest in line with our policy available on our website: www.optical.org

Table 4 – World-Class Regulatory Practice: Legislative Reform

Work Programme	
6. Implementation of Government reforms (April 2020-Mar 2022)	
2020/21	**Activity**
Q1. April-June 2020	6.1. Engage with Government-led legislative reform proposals in relation to governance and fitness to practise
Q2. July-Sept 2020	6.2. Scoping for informal engagement/consultation with stakeholders around business registration
Q3. Oct-Dec 2020	6.3. Respond to Government-led legislative reform consultation on changes to governance and fitness to practise
Q4. Jan-Mar 2021	6.4. Develop detailed proposals for implementation of GOC-led reforms
Success Indicators	• Planned governance changes meet principles of the Charity Good Governance Code • Fitness to practise reforms enable our fitness to practise improvement plan to be delivered, improving timescales of fitness to practise cases

Transforming customer service

5. Customer service strategy

We will develop a customer service strategy to make it easier for patients, the public, registrants and other customers to work with us. This will include developing our relationships with internal and external stakeholders and working in partnership with specialist organisations where appropriate. In developing our customer engagement strategy we will consider the needs of patients, the public and other customers, particularly those who may be more vulnerable or where we need to provide appropriate mechanisms to engage them because of physical or other barriers.

Table 5 – Transforming Customer Service Practice: Customer Service strategy

Work Programme	
7. Review, development and launch of a new public website (April 2020-Mar 2021)	
2020/21	**Activity**
Q1. April-June 2020	7.1. New GOC public website launches
Success Indicators	• GOC public website redesigned with a new look and feel • Improved efficiency through automated forms • Positive user feedback

Work Programme	
8. Development and launch of new registrant website (MyGOC) for registrants (April 2020-Mar 2021)	
2020/21	**Activity**
Q2. July-Sept 2020	8.1. My GOC design and build
	8.2. Stakeholder engagement and workshops around user input
Q3. Oct-Dec 2020	8.3. User testing and roll out
Q4. Jan-Mar 2021	8.4. Annual renewal opens in new MyGOC
	8.5. New integrated processes launched
Success Indicators	• MyGOC registrant portal redesigned in line with public website design • Greater online registrant access to services with full Central Record Management integration • Positive user feedback

2020/21 year in view

Strategic Plan Work Programme Objective	
9. Revised communications strategy (April 2020-Mar 2021)	
2020/21	**Activity**
Q1. April-June 2020	9.1. Scope stakeholder engagement strategy, new internal communications strategy and new external communications strategy
Q2. July-Sept 2020	9.2. Publish and implement new stakeholder engagement strategy internal communications strategy and external communications strategy
Q3. Oct-Dec 2020	9.3. Evaluate stakeholder engagement strategy, internal communications strategy and external communications strategy to date
Success Indicators	• Customer engagement with the GOC to increase • Improved stakeholder understanding of our work • Improved staff satisfaction with internal communications

6. Fitness to Practise (FTP) improvement programme

We will address our long-standing issues with timeliness in FTP, taking advantage of the opportunities new legislation will provide and utilising opportunities for developing new rules and approaches jointly with other regulators.

We will review and modernise all our processes and where appropriate make best use of resources, maximise efficiency and ensure value for money. In doing so, we will explore why some groups of registrants are more likely than others to proceed to formal proceedings when a complaint is raised with us and take further action as appropriate.

We will develop a learning culture to ensure that risks, issues and good practice identified through our regulatory work are fed back into all parts of the organisation. We will achieve this through better collection and analysis of our own data and that of others. For example, learning from our fitness to practise cases, whether they progress to a hearing or not, can inform our standards, guidance and professional development. We will also share this learning proactively with registrants and their representative bodies in order to prevent public harm, including a new regular learning bulletin.

We will explore using thematic reviews of areas of identified or perceived risk, taking account of concerns raised by members of the public and registrants as well as through the outcomes of fitness to practise cases. We will seek to understand the risks associated with vulnerable patients, particularly those who are seen in domiciliary settings.

In our development of a learning culture, we will ensure that we are able to capture and share learning of the impacts of our role on those with different protected characteristics, including where there are specific impacts related to intersectionality.

2020/21 year in view

Table 8 – Transforming Customer Service: FTP improvement programme

Work Programme	
10. Embed the FTP improvement programme (April 2020 to June 2021)	
2020/21	**Activity**
Q1. April-June 2020	10.1. Implement online complaint form
	10.2. Review, refine and embed our customer care strategy
	10.3. Introduce eight weekly updates to registrants and complainants
	10.4. Stakeholder consultation on allegation drafting
Q2. July-Sept 2020	10.5. Review and refresh guidance documents provided to registrants who are not represented
	10.6. Review of in-house advocacy
Q3. Oct-Dec 2020	10.7. Publication of registrant bulletin
	10.8. Feasibility study for expansion of in-house advocacy
Q4. Jan-Mar 2021	10.9. Annual review of our case management process
	10.10. Expansion of in-house advocacy (subject to outcome of 10.8)
	10.11. Publication of registrant learning bulletin
	10.12. Report on FTP equality, diversity and inclusion (EDI) data
Success Indicators	• A more streamlined and efficient approach to fitness to practise, embedding a risk based and proportionate response to concerns • The complainant and registrant are placed at the heart of the process • More effective use of technology to enhance the customer experience and develop a cycle of continuous review and learning

2020/21 year in view

Strategic Plan Work Programme Objective	
11. Reduce the time taken to investigate and resolve concerns about fitness to practise	
2020/21	**Activity**
Q1. April-June 2020	11.1. Independent audit of fitness to practise decision making (for triage and case examiner decisions)
Q2. July-Sept 2020	11.2. Review acceptance criteria (business registrants)
	11.3. Review and update risk management strategy
	11.4. Independent audit of fitness to practise decision making (for committee decisions)
	11.5. 85% of all cases over 36 months to have a hearing date scheduled
Q3. Oct-Dec 2020	11.6. Review of Case Examiner and IC Guidance
	11.7. Interim review and refinement of the case conference and case management process
Q4. Jan-Mar 2021	11.8. GOC / OCCS training
	11.9. FTP Clinical training
	11.10. Post implementation review of the case conference and case management process
	11.11. 85% of all cases over 24 months to have a hearing date scheduled
Success Indicators	Achieve: • A rolling closed case median average of 78 weeks • Triage – 8 weeks • Investigation – 26 weeks • Preparation – 4 weeks • Hearings – 30 weeks** **Subject to managing the impact of COVID-19

Continuous improvement

7. Investment in our IT infrastructure

We will complete the investment in our information technology (IT) infrastructure within the timeframe of the business plan. IT forms the foundations for everything we do and over the last two years we have made significant investment in IT to improve the GOC's infrastructure, resilience and security. We will complete this journey by giving the GOC a business platform centred on the cloud-based Microsoft Office 365. From this, our Customer Relationship Management (CRM) systems will be developed to deliver working practice improvements and efficiencies, ensuring that we continue to keep information safe and secure and that our staff's time is focused on value-added activities.

In completing the investment in our IT infrastructure, we will ensure accessibility of our new website, with a primary focus on those with sight impairment and we will continue the work we have begun to capture more and better data on a wider range of protected characteristics to help inform and shape our regulatory work.

Table 9 – Continuous improvement: investment in our IT infrastructure

Work Programme	
12. Implement SharePoint 365 for document management including the migration of existing file storage to this platform	
2020/21	**Activity**
Q1. April-June 2020	12.1. Scoping for SharePoint 365 development
Q2. July-Sept 2020	12.2. SharePoint 365 site development/build, migration and onboarding/training
Q3. Oct-Dec 2020	12.3. SharePoint 365 site development/build, migration and onboarding/training. Target live date of Dec 2020
Q4. Jan-Mar 2021	12.4. SharePoint 365 and Dynamics 365 document storage integration
Success Indicators	• Staff are able to work in a more agile way • File sharing and version control is much improved • Receive consistently positive feedback from staff around file management

2020/21 year in view

Work Programme	
13. Review of IT resources including printers, laptops, internet and phones	
2020/21	**Activity**
Q1. April-June 2020	13.1. Printer refresh
Q2. July-Sept 2020	13.2. Additional meeting room screens and audio visual equipment
Q3. Oct-Dec 2020	13.3. Desktop to laptop for all staff
Q4. Jan-Mar 2021	13.4. Replace existing telephone system
Success Indicators	Decrease in the number of incidents resulting in operational downtime

8. People plan and efficiency programme

We will develop and implement a people plan to make the GOC a great place to work. The investment in our IT infrastructure will enable our staff to work in an agile and flexible way, providing staff with a more positive work-life balance. This will be supported by the ongoing work to modernise our human resources policies, with continued well-being initiatives and learning, training and development programmes to recruit and retain our talented staff.

In developing and implementing our people plan and efficiency programme, we will demonstrate our commitment to EDI by implementing an EDI leadership plan and other recommendations arising from our EDI review.

We will also deliver and embed our efficiency programme to maximise value for money and fund the new things we want to do without asking for more funds from our registrants. This will include seeking process improvements across the organisation.

Table 10 – Continuous improvement: people plan and efficiency programme

Work Programme	
14. Staff engagement plan developed and implemented	
2020/21	**Activity**
Q2. July-Sept 2020	14.1. Staff engagement action plan launched
	14.2. Management development plan launched
Q3. Oct-Dec 2020	14.3. Staff annual survey completed
	14.4. Review of staff engagement action plan
Q4. Jan-Mar 2021	14.5. Staff engagement action plan implementation
Success Indicators	Receive consistently positive feedback from staff

2020/21 year in view

Strategic Plan Work Programme Objective	
15. EDI training for all staff with enhanced training for managers	
2020/21	**Activity**
Q1. April-June 2020	15.1. EDI training plan agreed and commissioned
Q2. July-Sept 2020	15.2. EDI training and management development launched
Q3. Oct-Dec 2020	15.3. EDI training and management development continues
Q4. Jan-Mar 2021	15.4. Training and management development for all staff completed
Success Indicators	All staff understand EDI requirements

Work Programme	
16. HR policy review project	
2020/21	**Activity**
Q1. April-June 2020	16.1. Launch of organisational training for new disciplinary and grievance policies
	16.2. Updating the following GOC staff policies: Maternity, Paternity and Adoption Policy; Flexible Working Policy; Annual Leave Policy; and Bullying and Harassment Policy
Q2. July-Sept 2020	16.3. Implementation of new policies including training
Q3. Oct-Dec 2020	16.4. Updating the following GOC staff policies: Recruitment Policy; Employee Referral Policy; and Probationary Policy
Q4. Jan-Mar 2021	16.5. Implementation of new policies including training
Success Indicators	All staff understand EDI requirements

Work Programme	
17. Development and implementation of 'paperless' hearings procedures	
2020/21	**Activity**
Q3. Oct-Dec 2020	17.1. Feasibility study into paperless hearings[1]
Q4. Jan-Mar 2021	17.2. Report on feasibility of paperless hearings
Success Indicators	Creation of a plan on how we transition to paperless hearing

[1] Increasing our use of digital technology to minimise the use of paper bundles in our hearings

2020/21 year in view

9. Business as usual activity

In addition to the project work that we will be carrying out, we will continue to deliver our business as usual work programme.

Table 11 – Business as usual (BAU) activity

Registration BAU – Milestones and critical path tasks			
Q1. April-June 2020	**Q2. July-Sept 2020**	**Q3. Oct-Dec 2020**	**Q4. Jan -Mar 2021**
Student renewal completed		Annual Registration Fees Rules	Registrant annual renewal completed
Registrant removal following annual renewal			
Non-UK applications processing			
Restoration following renewal	Registration of new fully qualified and first year students		
Review and analysis of renewal data			
Registration processes review new online integrated application processes			

Standards BAU – Milestones and critical path tasks			
Q1. April-June 2020	**Q2. July-Sept 2020**	**Q3. Oct-Dec 2020**	**Q4. Jan -Mar 2021**
	New organisation-wide process for responding to Standards queries introduced		

2020/21 year in view

Education BAU – Milestones and critical path tasks			
Q1. April-June 2020	**Q2. July-Sept 2020**	**Q3. Oct-Dec 2020**	**Q4. Jan -Mar 2021**
Conduct 18 days worth of quality assurance visits to education providers	Conduct 3 visit days Publish 2019-20 Annual Monitoring reports of education providers	Conduct 6 visit days Open annual monitoring process for 2020-21	Conduct 14 visit days Close annual monitoring process and complete data analysis
		Hold annual forum for education providers	
Review conditions management process Training event for our Education Visitor Panel and staff team	Serious Concerns review process evaluation	Develop performance reporting systems Training event for our Education Visitor Panel and team	

CET BAU – Milestones and critical path tasks			
Q1. April-June 2020	**Q2. July-Sept 2020**	**Q3. Oct-Dec 2020**	**Q4. Jan -Mar 2021**
c135 registrant-led peer review approvals 1083 approvals – by approvers Agree non-standard approvals	c135 registrant-led peer review approvals 1139 approvals – by approvers Agree non-standard approvals	c135 registrant-led peer review approvals 952 approvals – by approvers Agree non-standard approvals Manage end of second year of CET cycle	c135 registrant-led peer review approvals 1033 approvals – by approvers Agree non-standard approvals Issue CET provider fee notifications Issue provider suspension warnings End of second CET year – notifications of failure to attain 6 points
Publish new Peer Review guidance Implement any changes to customer service approach following internal pilot of new approach	Deliver CET approver training events		

2020/21 year in view

FTP Casework and Resolutions BAU			
Q1. April-June 2020	**Q2. July-Sept 2020**	**Q3. Oct-Dec 2020**	**Q4. Jan -Mar 2021**
c210 substantive case examiner decisions c325 hearing days c60 substantive decisions c100 registration appeals			
Independent audit of FTP decision making	Review of Risk Management Strategy	Case examiner and Investigation committee training	Chair and panel member training
	Panel member training		
At least eight external engagement events At least four defence stakeholder group meetings			
	OCCS Annual Report	Review of end to end casework	GOC/OCCS training
Develop mechanism for feedback for all FTP case customers (registrants, witnesses, complainants)	Hearing recording and transcription services procurement		FTP clinical training for staff and lay Case Examiners and Investigation Committee Members
Review of FTP staff structure			
	Annual review of Acceptance Criteria and Agreed Panel Disposals		Annual review of indicative sanctions guidance

2020/21 year in view

Legal BAU – Milestones and critical path tasks			
Q1. April-June 2020	**Q2. July-Sept 2020**	**Q3. Oct-Dec 2020**	**Q4. Jan -Mar 2021**
Advise on CET consultation Legal input to CET review and legislative reform programmes Advise on education provider approval and quality assurance processes	Advise on Government proposals for legislative reform Legal input to CET review and legislative reform programmes Advise on education provider approval and quality assurance processes	Advise on post-EU transitional period Legal input to CET review and legislative reform programme Advise on education provider approval and quality assurance processess	Advise on review of Standards guidance Legal input to CET review and legislative reform programmes Advise on education provider approval and quality assurance processes
		Finalise process for responding to registrants in crisis	Advise on final updating of website info inc FAQs
Revise FTP allegations bank and embed process for hearings on papers Support Registration: including advice on Exceptional Circumstances requests, finalise declarations guidance	Final advice on un-represented registrant experience project Review Agreed Panel Decisions, CET Exceptional Circumstances policy, policy for retention on register	Review efficacy of in-house advocacy and hearings on papers	Annual review of FTP Committee Indicative Sanctions Guidance and Bank of Conditions
FTP Committee/Registration Appeals Committee advice and advocacy: prepare and/or present 100 hearings			

2020/21 year in view

Governance & Performance and Planning BAU – Milestones and critical path tasks			
Q1. April-June 2020	**Q2. July-Sept 2020**	**Q3. Oct-Dec 2020**	**Q4. Jan -Mar 2021**
Manage corporate complaints Provide staff advice, guidance, induction and training – inc EDI, Corporate complaints, Impact Assessment Monthly SMT and Quarterly Council performance and business plan reporting/reforecasting PSA data set			
EDI monitoring report Code of Conduct Review		Gifts and Hospitality Policy Review Member Fees Review	
7 meetings Council chair appointment planning Annual performance review 20 member reviews Council workshop Council and committee evaluations Annual report stats and narrative	2 meetings Council chair appointment and Council members appointment planning Business planning guidance 25 member reviews Member induction and e-learning Forward plans and meeting calendar	7 meetings Council chair and member appointment and Chair induction Draft business plan 40 member reviews Council workshop Committee reappointments	4 meetings Council member appointment/induction 40 member reviews Member induction Member declarations and register of interests Annual Return Data collection and methodology audit Final business plan
	Carry out Charity Good Governance Code self-assessment	Self-assement outcomes from Charity Good Governance Code self-assessment to Council	

2020/21 year in view

Policy BAU – Milestones and critical path tasks			
Q1. April-June 2020	**Q2. July-Sept 2020**	**Q3. Oct-Dec 2020**	**Q4. Jan -Mar 2021**
Policy input to CET review programme Project management of legislative reform programme and related projects Engagement with patient panel Monitor/coordinate responses to external consultations, PSA policy initiatives, MP letters, and other external policy/research enquiries Attend external forums including quarterly AURE meetings (meeting of regulators to discuss European issues), meetings of the European Council of Optometry and Optics (ECOO) and emerging concerns working group Implement changes to regulation required by Brexit			
	Input to PSA performance review 2019/20 Public perceptions and Registrants survey Consultation on exceptional circumstances policy	Input to PSA performance review 2019/20 Stakeholder survey Consider policy proposals for parental leave, restoration, return to practice, and voluntary removal Review position on non-UK applicants including Republic of Ireland applicants	Potential research related to FTP and EDI

2020/21 year in view

Communications BAU – Milestones and critical path tasks			
Q1. April-June 2020	**Q2. July-Sept 2020**	**Q3. Oct-Dec 2020**	**Q4. Jan -Mar 2021**
Running press office – proactive and reactive comms			
Promote ESR consultation Promote CET consultation	Promote new ESR learning outcomes and Education Standards Promote Whistleblowing guidance consultation Ongoing CET communications and engagement	Ongoing ESR communications and engagement Promote Whistleblowing guidance Ongoing CET communications and engagement	
Implement stakeholder engagement strategy and new communications (internal and external) strategy	Support registrant survey launch	Scottish Regulation event	Commence evaluation of strategies
Develop CRM			
Communications Strategy to launch new website	Website evaluation	Website evaluation	Website evaluation

Finance BAU – Milestones and critical path tasks			
Q1. April-June 2020	**Q2. July-Sept 2020**	**Q3. Oct-Dec 2020**	**Q4. Jan -Mar 2021**
Running press office – proactive and reactive comms			
Year-end accounts External Audit 2019-20 Annual Charity Statement of Recommended Practice Compliant Financial Accounts Consolidated Annual Report Quarterly review of risk registers	Q2 review of risk registers Finalise Consolidated Annual Report. ARC & Council approval	Quarterly Accounts Q3 review of risk registers Annual Report lay before parliament Budget 2021-22 Draft	Quarterly Accounts External audit planning for 2020-21 audit Short-term investment plan for 2021/22 Budget 2021-22 Final. ARC & Council approval Q4 review of risk registers

2020/21 year in view

Facilities BAU – Milestones and critical path tasks

Q1. April-June 2020	Q2. July-Sept 2020	Q3. Oct-Dec 2020	Q4. Jan -Mar 2021
Running press office – proactive and reactive comms			
Internal Annual Audit on Health & Safety Records Management Archive Plan – review phase	Records Management Archive Plan – renew phase H&S risk assessment of key functions Annual H&S risk assessment		Records Management Archive Plan – digitalise phase and cross refer to sharepoint plan

Information Governance BAU – Milestones and critical path tasks

Q1. April-June 2020	Q2. July-Sept 2020	Q3. Oct-Dec 2020	Q4. Jan -Mar 2021
Manage Information Governance breaches, Information Governance requests and departmental reviews Provide Information Governance advice, guidance, induction, and training to staff and members Quarterly bespoke training dependent on job role			
Develop records management/ archiving policy and process	Review Information Governance Framework	Review Information Asset Register	Review Publication Scheme
Implement General Data Protection Regulations Improvement Plan			

Human Resources BAU – Milestones and critical path tasks

Q1. April-June 2020	Q2. July-Sept 2020	Q3. Oct-Dec 2020	Q4. Jan -Mar 2021
End of year appraisals and moderation. 360 feedback broadened Quarterly review against Learning and Development (L&D) plans EDI training and Management Development planning /rollout Quarterly review against resource plans Recruitment against requirements/plan – 6 roles	Quarterly review against L&D plans, EDI training and Management Development Quarterly review against resource plans Recruitment against requirements/plan – 6 roles	Mid-year performance appraisals and moderation Objective setting Organisation wide L&D planning to support budget planning Succession planning EDI training and Management Development Recruitment against requirements/plan – 6 roles	Quarterly review against L&D plans EDI Training planning /rollout

2020/21 Budget

10. 2020/21 Budget

Budget 2020-21	
	2020-21 Budget Final £0,000
Income	
Registration	9,844
Dividend Income	250
Bank and Deposit Interest	20
Other Income	26
Total Income	**10,140**
Expenditure	
Staff Salaries Costs	4,794
Other Staff Costs	312
Staff Benefits	127
Members Costs	1,430
Case Examiners	159
Professional Fees	379
Finance Costs	211
Case Progression	704
Hearings	226
CET and Standards	280
Communications	51
Registration	14
IT Costs	869
Office Services	1,040
Depreciation and Amorti-sation	136
Total Expenditure	**10,732**
Surplus / Deficit	**(592)**
Unrealised Investment gains	232
Surplus / (Deficit)	**(360)**