

**General
Chiropractic
Council**



GCC Governance Manual

Effective from 15 August 2017

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Key to use of terms

The Act	The Chiropractors Act 1994, as amended (see https://www.gcc-uk.org/UserFiles/Docs/The%20Chiropractors%20Act%201994.pdf).
Chair	The person appointed by the Privy Council to be the Chair of the Council.
Council	The 14 members (seven lay, seven registrant) appointed by the Privy Council to govern the work of the GCC.
Executive	The Chief Executive and Registrar and other members of the GCC's staff
Fitness to practise panellists	Members of panels drawn from the Investigating Committee, Professional Conduct Committee or Health Committee.
General Chiropractic Council (GCC)	The regulatory body known as the General Chiropractic Council (i.e. incorporating the Council, statutory and non-statutory committees, any working groups established by the Council and staff)
GCC Partners	Individuals undertaking work on behalf of the GCC who are neither Council members nor staff members, including: fitness to practise panellists; Legal Assessors and Medical Assessors; members of statutory and non-statutory committees; Test of Competence Assessors; and Education Visitors.
Legal Assessors	Legally qualified persons appointed by the Council to give advice on questions of law to the Investigating Committee, Professional Conduct Committee, Health Committee or Registrar.
Medical Assessors	Registered medical practitioners appointed by the Council to give advice on matters within their professional competence to the Investigating Committee, Professional Conduct

Committee, Health Committee or the Registrar.

Registrar

The Registrar exercises statutory duties under the Act and is also the appointed Chief Executive of the organisation.

Test of Competence Assessor

A chiropractor appointed by the GCC to be one of a panel that makes recommendations to the Registrar as to whether individuals who wish to apply for GCC registration who do not hold a qualification recognised by the GCC and who are not entitled to entry onto the Register under EU legislation have demonstrated they can meet the GCC's Code of Standards.

Education Visitor

A person/persons undertaking a visit, on behalf of the GCC, to a chiropractic educational institution to assess courses of training as part of the process of recognition or assurance.

About this Manual

This Manual provides information about the GCC's governance structure, how it operates and the procedures followed, in compliance with:

1. The Chiropractors Act 1994, as amended ('the Act')
2. The General Chiropractic Council (Constitution) Order 2008 (SI 2008/347) ('the Council Constitution Order')
3. The General Chiropractic Council (Constitution of the Statutory Committees) Rules Order of Council 2009 (SI 2009/26) ('the Statutory Committee Rules') as amended by The General Chiropractic Council (Constitution of the Statutory Committees) Rules Order of Council 2009 (SI 2009/2738)

It also incorporates the Code of Conduct for Council members and GCC Partners (Annex 1); a link to the current Standing Orders (Annex 2) setting out the procedures the GCC uses to deal with some aspects of its governance (including aspects of governance which the GCC is required by legislation to provide for in Standing Orders); and the supporting documents for the Manual (Annexes 3 and 4).

It is designed to be an aid to Council Members and others in discharging their statutory responsibilities effectively. It will be updated when necessary to reflect changes in the law or regulations applying to the GCC, or in GCC policies, and will be subject to regular review.

The GCC's statutory duties

Statutory objective

1. The GCC's statutory objective, as set out in the Act, is 'to develop and regulate the profession of chiropractic'.
2. The Health and Social Care (Safety and Quality) Act 2015 introduced the same over-arching objective for all the UK statutory regulators of healthcare professionals. That over-arching objective is the protection of the public. This involves the pursuit of the following:
 - a) protecting, promoting and maintaining the health, safety and well-being of the public;
 - b) promoting and maintaining public confidence in the profession of chiropractic; and
 - c) promoting and maintaining proper professional standards and conduct for members of that profession.

Strategic aims

3. The GCC's Strategic Aims are to:
 - protect patients and the public;
 - uphold and improve professional standards;
 - engage effectively and have constructive dialogue with our stakeholders;
 - improve our effectiveness, ensuring our systems are cost effective and fit for purpose;
 - collaborate effectively with other health and care profession regulators in the UK.

These are reflected in the current Strategic Statement which can be found on our website at [http://www.gcc-uk.org/UserFiles/Docs/Publications/Strategic%20Statements/Strategic%20statement%202015-2017%20\(agreed%20by%20Council%20March%202017\).pdf](http://www.gcc-uk.org/UserFiles/Docs/Publications/Strategic%20Statements/Strategic%20statement%202015-2017%20(agreed%20by%20Council%20March%202017).pdf)

Discharge of Duties

4. The GCC discharges its statutory duties through a governance structure made up of the Council, statutory and non-statutory committees, ad hoc working groups and the Executive.

The Council

5. The Council, which is the governing body, comprises seven registrant and seven lay Council Members. All Council Members are appointed by the Privy Council. The Council has responsibility for ensuring that the GCC fulfils its statutory duties. It sets the strategic direction for the organisation and oversees the implementation of that strategy. The detailed role of the Council is set out in Annex 3.

Statutory and non-statutory committees

6. Five statutory committees are provided for in the Act, and in statutory rules made pursuant to that Act. The GCC has established four non-statutory committees to assist in ensuring that the GCC fulfils its statutory duties.

7. The committees undertake roles that are set out either in the statutory framework (in the case of statutory committees), or in Terms of Reference agreed by the Council (in the case of non-statutory committees). They are accountable to the Council for the effective performance of their functions.

The committees are:

Statutory committees

Education Committee

8. The Education Committee's general duty as set out in the Act is to promote high standards of education and training in chiropractic and to keep the provision made for that education and training under review. The Committee approves (or "recognises") UK based chiropractic courses, and advises the Council on matters relating to education, training, examinations or tests of competence. The full extent of its functions are set out in detail in the Act.

Investigating Committee

9. The Investigating Committee carries out its role in accordance with the Act and the relevant rules (The General Chiropractic Council (Investigating Committee) Rules Order of Council 2000).
10. The Investigating Committee considers whether there is a case to answer in relation to allegations which may be made against a registered chiropractor, and if it considers that there is such a case to answer, decides whether to refer the allegation(s) to the Professional Conduct or Health Committee. The Investigating Committee also considers whether it is necessary for public protection for any chiropractor's registration to be suspended on an interim basis while the allegation(s) about them are investigated.

Professional Conduct Committee

11. The Professional Conduct Committee carries out its role in accordance with the Act and the relevant rules (The General Chiropractic Council (Professional Conduct Committee) Rules Order of Council 2000).
12. The Professional Conduct Committee adjudicates on allegations referred to it by the Investigating Committee to the effect that a chiropractor has been guilty of unacceptable professional conduct or professional incompetence, or that they have been convicted of a criminal offence.

Health Committee

13. The Health Committee carries out its role in accordance with the Act and the relevant rules (The General Chiropractic Council (Health Committee) Rules Order of Council 2000).
14. The Health Committee adjudicates on allegations referred to it by the Investigating Committee to the effect that the ability of a chiropractor is seriously impaired because of their physical or mental condition.

Health Appeal Tribunal

15. The Health Appeal Tribunal carries out its role in accordance with the Act and the relevant rules (The General Chiropractic Council (Health Appeal Tribunal) Rules Order of Council 2000).
16. The role of the Health Appeal Tribunal is to adjudicate on any appeals against decisions made by the Health Committee.

Non-statutory committees

Audit Committee

17. The role of the Audit Committee is to support the Council and management by reviewing the comprehensiveness and reliability of assurances on governance, risk management, the control environment and the integrity of the financial statements and the annual report.
18. As set out in its Terms of Reference (see Annex 4 below) the Audit Committee has delegated authority from Council in respect of the appointment and activity of the external auditors, and a key part of its advisory role to Council is in reviewing the GCC's risk register, the accounting policies and the end-of-year accounts of the GCC, and monitoring the strategic processes for risk and governance of the GCC.

Remuneration Committee

19. The Remuneration Committee decides the remuneration, benefits and terms of service of the Chief Executive and Registrar and Directors, and the overall remuneration framework for other GCC employees (see Annex 4 for its Terms of Reference). It also advises the Council on the remuneration of Council Members and committee members, as well as on the expenses policy.

Registration Appeals Committee

20. The Registration Appeals Committee has been set up to adjudicate on challenges to decisions made by the Registrar in relation to registration matters. It is a sub-committee of the Council, and each panel will consist of three Council Members appointed for the purpose by the Chair of the Council. See Annex 4 for its Terms of Reference.

Reappointments Committee

21. The Reappointments Committee has been set up to assess whether particular candidates for reappointment to the Council should be recommended to the Privy Council. It is a sub-committee of the Council. The membership is decided by the Chair of the Council on each occasion, and will usually consist of two current Council Members who are not seeking reappointment at that time, along with one independent member. Different provisions apply to any reappointment of the Chair of the Council. See Annex 4 for its Terms of Reference.

Ad hoc working groups

22. From time to time, ad hoc working groups may be established by the Council to develop policy in new areas or to review specific issues. The composition of these groups will reflect all the necessary expertise to take forward the issue in question. The constitution, role, terms of reference and the life span of the group will be established at the outset. No working group shall carry out any activity requiring expenditure beyond that which has been agreed by the Council or by the Chief Executive and Registrar.

At present, the Council has no working groups.

The Executive

23. The Executive comprises:
 - Chief Executive and Registrar
 - Senior Management Team (all Directors)

- All other staff of the GCC

The Executive is held accountable to the Council through the Chief Executive and has the primary role of implementing the strategic policy set by the Council.

Strategic statement and business plan

24. A statement approved by the Council sets out the key objectives to be achieved by the GCC in fulfilling its strategic aims (it can be found on our website at [http://www.gcc-uk.org/UserFiles/Docs/Publications/Strategic%20Statements/Strategic%20statement%202015-2017%20\(agreed%20by%20Council%20March%202017\).pdf](http://www.gcc-uk.org/UserFiles/Docs/Publications/Strategic%20Statements/Strategic%20statement%202015-2017%20(agreed%20by%20Council%20March%202017).pdf)). This is underpinned by an annual business plan detailing the operational activities and budget necessary to achieve those objectives. These documents are finalised by the GCC Council during open Council meetings.

Scheme of delegation

25. The scheme of delegation (set out in full in Annex 3) details the GCC's responsibilities under the Act. It specifies where responsibility for the GCC's statutory responsibilities lies. Some responsibilities, such as the making of rules, are reserved to the Council. The scheme of delegation also sets out the authority delegated to committees from the Council, outside of that provided for in the Act.
26. Other than where functions are specifically reserved to the Council (see the table of matters reserved to the Council in Annex 4) or delegated to committees or to the Chair, the Council delegates authority to the Chief Executive and Registrar and holds the post-holder accountable for implementing its strategic objectives, including the effective management of the organisation. The Chief Executive and Registrar may delegate functions to other staff but will be held accountable by the Council for the discharge of all functions delegated under the scheme.
27. The scheme of delegation sets out:
 - Matters reserved to the Council
 - The functions of the Council
 - Matters delegated to the Chair of Council
 - The remit and responsibilities of the Chief Executive and Registrar
 - The role of the statutory and non-statutory committees

Withdrawal of delegated power

28. The scheme remains in force subject to amendment or revocation by the Council.

Exercise of delegated power

29. Where power is delegated under the scheme, the power must be exercised in a manner which is consistent with the GCCs statutory objective, other relevant legislation and the GCC's current Strategic Aims.

Financial Regulations

30. The purpose of the GCC's financial regulations (set out in Annex 3) is to ensure the proper use of resources and effective maintenance of assets. The financial regulations set out the policies adopted by the Council to ensure financial control to comply with legal obligations and accounting standards.

Induction, training and performance

Council Members' and GCC Partners' induction

31. All Council Members and all GCC Partners (other than Legal Assessors, Medical Assessors or independent members of committees) will be required to undertake a programme of induction and training as soon as possible after appointment or, where possible, in advance of the appointment date. The programme will aim to ensure that those individuals are fully aware of the implications of the GCC's statutory role and their responsibilities in discharging that role, whether as members of the Council or in another capacity.

Ongoing training of Council Members and GCC Partners

32. Training needs will be kept under review (including through the annual appraisal system) and the GCC will provide further training where this is necessary during the terms of office. Provision of training will be through a mix of external and internal sources, depending on the subject matter. Annual training is provided to fitness to practise panellists.

Appraisal process

33. All members of Council and GCC Partners (other than Legal Assessors, Medical Assessors or independent members of committees) are expected to participate fully in relevant appraisal processes.
34. Information about the GCC appraisal scheme is set out at Annex 3. Appraisal guidance and forms can be accessed from Annex 4.

Annex 1

General Chiropractic Council - Code of Conduct

Introduction

1. The General Chiropractic Council (GCC) was established in 1997 as the regulator of chiropractic in the United Kingdom, following the passage of the Chiropractors Act 1994.

Statutory role

2. The GCC's statutory role, set out in the Chiropractors Act 1994 (as amended) is to 'develop and regulate' the profession of chiropractic. In addition to the statutory role set out in the Chiropractors Act (and associated secondary legislation) the GCC is subject to general duties imposed upon it by legislation in its role as a public body and as an employer.
3. The Health and Social Care (Safety and Quality) Act 2015 introduced the same over-arching objective for all the UK statutory regulators of healthcare professionals, including the GCC. That over-arching objective is the protection of the public. This involves the pursuit of the following:
 - a) protecting, promoting and maintaining the health, safety and well-being of the public;
 - b) promoting and maintaining public confidence in the profession of chiropractic; and
 - c) promoting and maintaining proper professional standards and conduct for members of that profession.
4. The GCC is accountable to the public and the Crown through Parliament and the Privy Council.

Corporate responsibility

5. GCC Council Members are responsible both individually and collectively for ensuring that the GCC effectively discharges its functions in the public interest, in accordance with the statutory provisions applying to the GCC.
6. The GCC Council is also responsible for ensuring that the GCC complies with any statutory or administrative requirements for the use of its funds. Council Members must ensure that all their decisions and actions safeguard the GCC's reputation and maintain public confidence in the regulation of the chiropractic profession.
7. This Code provides guidance for Council Members and GCC Partners and any others acting on behalf of the GCC, on carrying out their functions in line with currently accepted standards of public service. Other than where specifically provided for below, its provisions apply to:
 - Members of the Council;
 - Members of committees, both statutory and non-statutory, and other GCC Partners, such as Test of Competence Assessors or Education Visitors, or Legal or Medical Assessors'
 - Members of working groups; and
 - Any other individuals who may from time to time act on behalf of the GCC in a non-executive capacity.

General guidance

8. Council Members, GCC Partners, and other non-executive persons acting on behalf of the GCC will comply with the following general guidelines at all times:
- Act in good faith;
 - Act in accordance with the GCC's statutory objective, both as individuals and collectively;
 - Act in the best interests of the GCC;
 - Act in accordance with the seven principles of public life (see paragraphs 9-17); and
 - Treat others equally, fairly and with respect.

The seven principles of public life

9. The principles, as set out by the Committee on Standards in Public Life (available from <http://www.public-standards.gov.uk/>) are:

Selflessness

9.1. Holders of public office should act solely in terms of the public interest.

Integrity

9.2. Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

Objectivity

9.3. Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

Accountability

9.4. Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

Openness

9.5. Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

Honesty

9.6. Holders of public office should be truthful.

Leadership

9.7. Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

9.8. Examples of the application of these principles by GCC Council Members are set out in Annex 4.

Specific guidance

10. In addition to complying with the general guidance, those covered by the Code should observe the following specific guidance in carrying out their various functions:

Confidentiality and information security

11. Council Members, GCC Partners and any others covered by the Code will sometimes be party to discussions or information of a confidential nature. They may also receive confidential information from other bodies. Confidential information will ordinarily be marked to show that it is “confidential” but even information without such a marking may in fact be confidential.
12. It is the duty of all Council Members and GCC Partners to ensure that all such information, whether in electronic or paper form, is only used in proper discharge of their duties, and that it is held and disposed of securely. Any loss or accidental disclosure, and the circumstances leading to the loss or disclosure, must immediately be notified to the Chair and the Chief Executive. They must also use their best endeavours to prevent unauthorised disclosure or use of confidential information by third parties.
13. Confidential information also must not be disclosed without the consent of a person authorised to give it, unless there is a legal requirement to make such a disclosure. In the event of such disclosure being requested, anyone to whom the Code applies must co-operate with the GCC regarding the manner of such disclosure and any legal action that the GCC may take to challenge the lawfulness of a disclosure request. In any cases of uncertainty about handling confidential information, the Chair/Chief Executive and Registrar should be consulted.
14. On written demand by the GCC, anyone to whom the Code applies must immediately return any information in material form to the GCC without keeping copies, and hand over to the GCC all notes/memoranda they have prepared (together with any copies).
15. Details of private deliberations by the Council or committees must never be discussed or disclosed.

Media, public speaking engagements and communications with external organisations

16. Council Members should, if possible, discuss any media contact related to work for the GCC in advance with the Chair or the Chief Executive and Registrar. GCC Partners are expected not to make any statements about their work for the GCC without obtaining advance authorisation from the Chair or the Chief Executive and Registrar.
17. In speaking or writing about the work of the GCC, all those covered by the Code should ensure they reflect current policies of the GCC. This applies in any dealings with the media, or when in a public forum or in an informal discussion. Council Members and GCC Partners should make sure that their comments are accurate, well-considered and well-informed and that they do not undermine confidence in the GCC.
18. No public or press statement should be made that relates to a matter that has been investigated or heard by a statutory committee.

Collective decision-making

19. Members of Council, committees and ad hoc working groups must abide by any decisions made by a quorate majority even if they personally disagree with them. This does not preclude an individual from expressing a dissenting view, but he/she should not, by commenting in public or by other means, attempt to frustrate the implementation of decisions properly made.
20. In respect of advice or recommendations made to the Council, members of the committee or working group concerned should express their individual view as Council Members only when they wish to act on their own conscience in relation to a serious issue arising from the relevant committee or working group's advice. Views on such matters should be expressed in a responsible manner, the chair of the relevant committee/working group having been notified beforehand.

Personal behaviour

21. Council Members and GCC Partners must adhere to the Code of Conduct. They are expected to ensure that they understand the GCC's functions and the statutory framework within which it works.
22. Council Members are expected to ensure that they have knowledge of the GCC's key stakeholders and their priorities, and the nature and objectives of independent professional regulation.
23. Council Members and GCC Partners must not act in a way which is likely to bring the GCC into disrepute. They must ensure that their decisions and actions safeguard the GCC's reputation and maintain public confidence in professional regulation. At all times their behaviour must demonstrate the standards expected of holders of public office, including complying with the seven principles of public life.

In particular, Council Members and GCC Partners must in carrying out their duties:

- play a full role in meetings and hearings;
 - give proper consideration to all the information and evidence available to them, and seek clarification where appropriate;
 - give due consideration to guidance issued by the GCC;
 - exercise independent and impartial judgment;
 - analyse issues properly and rationally;
 - listen carefully to and consider all advice provided by those with a statutory advisory role; and
 - be fair, open-minded and arrive at decisions untainted by bias or prejudice and avoid acting in a discriminatory way¹.
24. The statutory rules about membership of the Council and statutory committees set out certain circumstances which disqualify an individual from membership, or which may lead to suspension or removal from membership. Where a Council member or a member of one of the statutory committees becomes aware that any of those circumstances apply to them (for example where they are convicted of certain criminal offences or are made subject to a regulatory sanction or become bankrupt) they must inform the Chair of the Council at the earliest opportunity. Should the Chair of the Council be on leave or otherwise unavailable at that time, the Chief Executive and Registrar should also be informed.

25. GCC Partners (other than statutory committee members) are expected to notify the Chief Executive and Registrar at the earliest opportunity should they become subject to similar circumstances.
26. Where any other matter involving a Council Member or GCC Partner has the potential to undermine confidence in the GCC or may be relevant to their potential suspension or removal from their role with the GCC (as set out in statutory rules or otherwise), the member should inform the Chair/Chief Executive and Registrar about it at the earliest opportunity.

Roles of executives and non-executives

27. Council Members and GCC Partners must recognise that staff members are part of a line management structure responsible to the Chief Executive and Registrar for the implementation of corporate decisions, and not to any individual non-executive. Care must be taken to ensure that the distinct roles and responsibilities of executives and non-executives are respected.

Equality and diversity

28. Council Members and GCC Partners will be expected to follow best practice on equality and diversity issues, defined as complying fully with the GCC's responsibilities under anti-discrimination legislation and ensuring the GCC's equality and diversity policy is implemented.

Conflicts of interest

29. Council Members and GCC Partners must avoid placing themselves under any obligation to any individual or organisation which might affect (or be thought to affect) their ability to act impartially and objectively. They must be alert to the possibility of such a conflicts of interests, and must declare any interest in/association or connection with any person (whether financial, organisational or personal) which may or does give rise to a conflicts of interests to the GCC as soon as possible.
30. Council Members and GCC Partners must promptly make the required written declarations of any professional, personal or business interests which may, or might be seen to, conflict with their GCC responsibilities – which will be added to the Register of Interests that the GCC maintains (which is a public document). Individuals covered by this Code will be invited to update their entries annually but in any case changes in circumstances necessitating amendments to the Register of Interests should be notified to the Chief Executive and Registrar as soon as they arise. Any conflicts of interests that arises during the course of a meeting/hearing must be promptly declared.
31. Council Members and GCC Partners are free to engage in political activities or to maintain associations with professional organisations provided that such activity does not conflict with the essential purpose of the GCC in protecting the public.

Testimonials

32. Council Members and GCC Partners should avoid providing testimonials, references or acting as character witnesses for individuals who are applicants for registration with the GCC or who are subject to fitness to practise proceedings within the GCC. This is because of the potential for a conflicts of interests to arise. There is also the risk of an appearance of bias or undue influence in the event of the decision-maker relying upon a testimonial/reference/character evidence from a GCC Partner or Council Member.

33. Should any individual covered by this Code wish to provide such a testimonial/reference/character evidence in a particular situation, they are encouraged to discuss this in advance with the Chair or Chief Executive and Registrar.

Attendance

34. Members of Council and GCC Partners will be expected to make the time commitment necessary to attend and prepare themselves adequately for all meetings (including hearings, seminars and training events) absenting themselves only for compelling personal or professional reasons. Details of expected attendance levels for Council and committee meetings are set out in the GCC's Standing Orders. Attendance levels are recorded in relevant annual reports.
35. Any cancellation of attendance at a meeting must be notified to the GCC as soon as possible in advance.

Appraisal

36. Council Members and GCC Partners must be committed to the demonstration and continuing development of the competencies required for their respective roles. Council Members and GCC Partners (other than Legal Assessors, Medical Assessors and independent members of committees) are required to participate constructively in the relevant appraisal scheme and training offered by the GCC (see information about the GCC appraisal scheme set out in Annex 3).
37. Council Members and GCC Partners will also be expected to report any serious anxieties about the conduct of other Council Members or GCC Partners either to the relevant committee chair or to the Chair or Chief Executive and Registrar.

Gifts and Hospitality

38. All those covered by this Code are required to adhere to the Bribery Act 2010, which explicitly prohibits bribery. Further guidance on the Bribery Act 2010 can be found on the Ministry of Justice website under <http://www.justice.gov.uk/guidance/making-and-reviewing-the-law/bribery.htm>
39. Those covered by this Code must not accept gifts, hospitality or benefits, offered in relation to GCC business which might be seen to compromise their personal judgement or integrity. In case of uncertainty, the Chair or Chief Executive and Registrar should be consulted. Any gifts, hospitality or benefits accepted as a consequence of GCC business must be formally registered on the GCC gifts and hospitality register within 15 days. For further information see Annex 3.

Complaints

40. Any complaints made against anyone covered by this Code will be handled in accordance with the relevant procedures. Details of the processes for handling complaints made against Council Members and GCC Partners are set out in Annex 3.

Annex 2

General Chiropractic Council - Standing Orders

Introduction

1. The Chiropractors Act 1994 as amended (the Act) makes provision for standing orders which are designed to ensure that the business of the Council and committees is conducted as effectively as possible. The Standing Orders ensure that there are consistent governance processes in place and play an essential role in defining the remit and membership of each committee.
2. In these Standing Orders, references to 'the Council Constitution Order' mean the General Chiropractic Council (Constitution) Order 2008 (SI 2008/3047) and references to 'the Statutory Committee Rules' mean the General Chiropractic Council (Constitution of the Statutory Committees) Rules Order of Council 2009 (SI 2009/26) as amended by the General Chiropractic Council (Constitution of the Statutory Committees) (Amendment) Rules Order of Council 2009 (SI 2009/2738).

Chair

3. The Chair of the Council will chair all Council meetings.
4. In accordance with the Council Constitution Order, if for any reason the Chair is absent from a meeting of the Council, the Council Members who are present at that meeting shall nominate one of their number to serve as Chair at that meeting.
5. If for any reason the Council is on notice that the Chair is likely to be absent for more than one meeting of the Council, or to be unavailable to perform the duties of its chair for more than one month, or the office of chair is vacant, the Council may nominate a member as Deputy Chair for that meeting or for a longer period in accordance with Paragraph 9 of the Council Constitution Order. A ballot will be conducted in the event of there being more than one nomination for Deputy Chair.
6. Where a deputy Chair has been nominated, references to the Chair in these Standing Orders shall apply as relevant to the deputy Chair.

Dates of Council meetings

7. Meetings of the Council are to be held on a regular basis as agreed by the Council, usually four times a year for general business.
8. The Chief Executive and Registrar shall notify Council Members in writing and/or by email of the time, date and place of a meeting of Council at least 28 days in advance of that meeting. The date of any public meeting of the Council will be published on the GCC's website and in any newsletter or other regular communication addressed to GCC registrants.
9. An extraordinary meeting of the Council shall be convened by the Chair on receipt of a written request to that effect signed by no fewer than 8 Council Members. Notice of such a meeting shall be given to all Council Members at least 14 days before the date of the meeting.
10. The Chair has the authority to convene an extraordinary meeting at any time, according to the demands of the business, taking into account the need for as much

notice as possible to be given of such a meeting and provided that the Chair of the Audit Committee consents to the convening of such a meeting.

11. At any extraordinary meeting of the Council, no other business shall be dealt with except that given in the notice, unless the Council by a resolution agrees to consider any other business.

Agenda and papers

12. Council Members should notify the Chief Executive and Registrar and/or the Chair of any items they wish to be included on the agenda for the meeting at least 14 clear days in advance of the meeting date.
13. The Chair, in consultation with the Chief Executive and Registrar, shall determine the content of the agenda for the Council meeting, taking into account competing priorities. A record will be kept of any items proposed for inclusion on the agenda by Council Members that are not included by the Chair on the final agenda.
14. The Chief Executive and Registrar will endeavour to send the agenda setting out details of the business to be considered at the meeting to each Council member and the start time of the meeting, at least seven clear days before the day of the meeting, together with as many supporting papers as are available.
15. No business other than that which has been included on the agenda, or any raised under 'Any other business' and accepted as such for discussion by the Chair in advance of the meeting, shall be discussed at any Council meeting, with the exception of urgent business which may be discussed with the prior consent of the Chair.
16. In the case of extraordinary meetings, the requirements in relation to provision of an agenda and papers may be varied as circumstances require, save that the agenda and supporting papers must be sent to Council Members at least three clear days before the date of the meeting.
17. The agenda for any public meeting of the Council will be published on the GCC's website on the day it is sent to the Council Members. Papers for the public meeting will be published on the website on the morning of the meeting. Papers discussed during a closed/private session will remain confidential until designated otherwise and will not be published.

Attendance

18. Council Members are expected to attend¹ all meetings of the Council and of any other committee or working group where they serve in their capacity as a Council Member, unless there is reasonable cause for their absence which is notified to the Chair in advance.
19. Once noted in the minutes as attending a meeting, Council Members are expected to remain until business has been completed or the meeting otherwise terminated. In exceptional circumstances members may leave early by prior arrangement with the Chair.
20. A Council Member failing, without reasonable cause, to attend 25% or more of any eight meetings of Council (excluding any extraordinary meeting) in a rolling 24 month period will be regarded as having made an insufficient contribution to the work of the

¹ This may include attendance by remote means such as telephone/Skype where that is permitted and agreed in advance with the chair of the meeting.

Council, which will be taken into account in the annual appraisal process and in relation to any reappointment.

21. A Council Member's failure, without reasonable cause, to attend 25% or more of any eight meetings of the Council (excluding any extraordinary meeting) in a rolling 24 month period may be taken into account by the Privy Council in considering removal of that Council Member from office in accordance with paragraph 6(1)(g) of the Council Constitution Order.
22. In exceptional circumstances, a Council Member may obtain prior permission from the Chair for a leave of absence from attending Council meetings for a defined period.
23. During the course of meetings Council Members are expected not to engage in non-GCC business (such as reading/writing emails or other materials) other than at designated breaks.

Quorum

24. The quorum of the Council shall be eight in accordance with paragraph 10 of the Council Constitution Order.
25. A meeting of the Council shall stand adjourned if fewer than eight Council members are present.
26. Where a meeting becomes inquorate, business transacted while the meeting was quorate will not be invalidated by the later lack of quorum.

Adjournment

27. The Chair may adjourn a meeting to a fixed day and time, as directed by the meeting.
28. Notice of the adjourned meeting shall be given to all Council members if a meeting is adjourned for seven days or more. In other cases no further notice need be given.

Agenda and business of Council meetings

29. The business at Council meetings shall include:
 - Presentation of the minutes of the last meeting and subject to any correction, authorisation for the Chair to sign them;
 - Consideration of any conflicts of interests, prior to each agenda item;
 - In the public session only, answers to questions from observers;
 - Items as detailed in the agenda; and
 - Any other business accepted as such for discussion by the Chair.

Role of the Chair at meetings

30. The Chair shall:
 - At the start of business ask members whether any conflicts of interests exists in relation to any of the agenda items;
 - Determine whether a conflicts of interests requires a Council Member (or Members) to withdraw from discussion of an agenda item;

- Preserve order and ensure that Council Members have sufficient opportunity to express their views on all matters under discussion;
- Determine in which order Council Members should speak;
- Seek the advice of the Chief Executive and Registrar where necessary; and
- At the end of each item of business the Chair shall state the conclusions that have been reached and any decisions that have been made.

Rules of debate

31. Members of the Council shall speak only when called by the Chair.
32. All debate shall be directed to the Chair.
33. All debate must relate to the matter under discussion.
34. Council Members should avoid repetition.
35. The Chair may direct any Council Member whose behaviour is, in the Chair's opinion, disruptive of the meeting, to leave the meeting.
36. Any Council Member who wishes to bring the debate to a close may do so by requesting of the Chair either:
 - a. That a simple majority vote be taken on the recommendation; or
 - b. That the meeting proceed to the next business; or
 - c. That the recommendation be remitted elsewhere for consideration.
37. The Chair may decline to accept a request that a vote be taken but if the Chair accepts the request, the recommendation shall be put to the vote immediately, subject to the right of reply of the proposer of the recommendation or proposal concerned.

Voting and decision making

38. Decisions will be reached by simple majority vote by those Council members present and voting on the following occasions:
 - When there is no clear consensus at the end of the discussion;
 - When the decision is of particular sensitivity or importance;
 - When at least a third of Council Members present have made it clear they would prefer a vote to be taken; or
 - When for some other reason the Chair judges it appropriate.
39. Once a matter has been put to a vote, no other contribution to the debate shall be allowed.
40. Voting at Council meetings will be by show of hands, unless two or more Council Members present formally request a written vote.
41. Votes and abstentions by show of hands shall be counted.
42. Written votes and abstentions shall be counted by tellers as appointed by the meeting.
43. A teller shall declare the number of votes and abstentions without the use of names.

44. A record of the number of Council Members voting for and against any recommendation at a Council meeting shall be taken. A record of the number of Council Members abstaining from a vote shall also be taken. The numbers shall be recorded in the meeting minutes, without use of names. In exceptional circumstances the Chair may decide to allow an individual Council Member's request for their objection to any decision taken by a majority of Council Members present to be formally recorded in the minutes.
45. Council Members are required to support all Council decisions on the basis of collective responsibility even where they have voted against the decision.
46. Council Members may be asked to approve recommendations outside of meetings, by email or any other electronic means, if time requires a decision to be made. Approval will require eight votes in favour of the recommendation.
47. Where it is known at a meeting of Council that a decision of Council is required to be taken before the next meeting of Council, Council Members shall be informed at the meeting. Where a matter arises between meetings it shall only be considered outside of a meeting with the permission of the Chair.

Effect of vacancies on the validity of proceedings

48. In accordance with the Council Constitution Order, the validity of any proceedings of Council shall not be affected by:
 - a. A vacancy among the members of the Council
 - b. A defect in the appointment of a member of the Council
 - c. The participation of a member whom the Privy Council must remove from the Council under paragraph 6 (1) (b) to (f) of the Council Constitution Order (although such a member is not entitled to participate pending his removal)
 - d. The participation of a member whom the Privy Council has removed under paragraph 6 (1), or
 - e. The participation of a member provisionally suspended by the Council under its standing orders or suspended by the Privy Council under paragraph 7 (1) or (2).

Designation and conduct of confidential business

49. In principle, all business should be conducted in public in an open and transparent manner. However, business may be designated as confidential (and therefore conducted in private), if it is, in the opinion of the Chair, in the interests of the GCC or other relevant parties so to do.
50. At the discretion of the Chair, business in the following categories may be conducted wholly or partly in private and members of the public shall be excluded from such closed sessions of the Council:
 - a. Any personal matter relating to a present or former chiropractor or applicant for registration
 - b. Any personal matter relating to an employee or member, or a former employee or member of the GCC
 - c. Any matter which is commercially sensitive

- d. Any matter concerning information that has been supplied to the GCC in confidence, and any identification of the source of such information.
 - e. Discussion of risk to the GCC that might be exacerbated by discussion in public
 - f. Any matter if discussion of it would require disclosure of data that is protected from disclosure by statute
 - g. Any matter relating to employment negotiations or consultations between the GCC and staff
 - h. Any matter relating to future policy or strategy where, in the opinion of the Chair, public discussion would be premature
 - i. Any matter which is subject to legal professional privilege
 - j. Any matter relating to the prevention or detection of crime or the prosecution of offenders
 - k. Any other matter deemed to be confidential by the Chief Executive and Registrar which is justified as having equivalent characteristics to one or more of the above.
51. If during the discussion of an item during the public Council meeting it becomes apparent that confidentiality requires that discussion to be held in private instead, the Chair may decide to close the discussion of that item within the public session, and to initiate discussion of it in private by the Council.
 52. The Chair will inform the Council prior to the meeting of any matter which it is proposed should be considered during the private/closed session of the meeting. No information about confidential business dealt with outside of the public meeting shall be included in the agenda, papers or minutes made available to the public.

Access to meetings

53. The Chair may invite any person to attend the whole or part of a Council meeting to speak or present a report. Such persons must withdraw from the meeting if requested to do so by the Chair.
54. Anyone may attend a meeting of the Council as an observer, on advance request to the Chief Executive and Registrar. The number of observers will be limited as necessary in order to comply with restrictions on seating space and fire regulations. In advance of excluding the public from a meeting, the Chair shall announce the reasons why the Council is to hold a discussion in private/closed session.
55. Observers may put questions to Council in that part of the proceedings designated for such matters (which will usually be towards the end of the agenda). Where possible, such questions should be sent in writing to the Chief Executive and Registrar at least two working days in advance of the meeting. Observers will be invited to restate their questions verbally at the meeting and where possible, the Chief Executive and Registrar or other persons present at the meeting will answer such questions. The Chair of Council may, at their discretion, allow questions that have not been notified in advance to be raised in the part of the Council meeting designated for such matters, provided such questions relate directly to the agenda items. The Chair will, at their discretion, bring any questioning or discussion to a close.
56. Observers will be excluded from the private/closed session of Council meetings and during the public session of meetings in the circumstances described.

57. No one shall make a permanent record of proceedings, except with the leave of the Chair.
58. The Council may resolve that any observer attending a meeting of the Council be required to withdraw from the meeting if the observer's conduct disrupts the Council's consideration of the business of the meeting.

Declarations of interest

59. No Council Member may speak, vote or in any other way participate in debate where they have, or could be inferred to have, a personal interest in relation to the matter under discussion, except with the permission of the Chair.
60. Where a Council Member has a personal interest in any matter under discussion, they shall inform the Chair at the beginning of the meeting and, as needed, during the course of the meeting.
61. The Chair may direct that any Council Member with a personal interest will leave the meeting for the duration of the debate.
62. Members should err on the side of caution in making declarations of personal interests. Failure to declare an interest will be regarded as a serious breach of the Code of Conduct. In the event of a member not appreciating at the beginning of the discussion of an agenda item that an interest exists, they should declare such an interest as soon as they become aware of it. If a member of Council believes that another member present has a direct or indirect interest in an item and that interest has not been declared, they should inform the Chair. The Chair will establish whether or not there is an interest which should have been declared, and will if necessary make a ruling on the matter.
63. If the withdrawal of a Council Member makes the meeting inquorate, the meeting will not close but will move to the next item of business for which sufficient Council Members are present.

Minutes of Council meetings

64. Minutes of Council meetings will be taken and retained as a record by a member of the Executive. The minutes shall, when read in conjunction with the papers presented at the meeting, provide an accurate and authoritative record of the meeting, and shall be sufficiently detailed to provide an audit trail of the issues discussed and the decisions taken. They shall also record the attendance of members and any withdrawal of members on the ground of conflicts of interests.
65. Where possible, minutes will be forwarded to the Chair of the meeting for approval within ten working days of each meeting and circulated to the Council within a further ten working days. Members are asked to ensure that proposed amendments to the minutes have been forwarded to the Chief Executive and Registrar at least 14 days in advance of the meeting at which they are to be approved as a correct record. The minutes will be approved at the next meeting of the Council. No discussion shall take place except on accuracy of the record.
66. Electronic recording of Council meetings is prohibited other than with advance permission from the Chair of the Council. The only exception to this is that a member of GCC staff may make a temporary recording of a meeting for the purpose of preparing the minutes.

67. Minutes of meetings held in public will be published on the GCC's website after they have been approved. Minutes of private/closed sessions will not be published.
68. The minutes shall be available for inspection by any Council Member.

Removal and suspension from office

Removal

69. Council Members will be removed from office by the Privy Council in the circumstances laid down in paragraph 6(1) of the Council Constitution Order.

Suspension

70. Council Members may be suspended from office by the Privy Council in the circumstances set out in paragraph 7 of the Council Constitution Order. Members of the statutory committees may be suspended from appointment by the Council in the circumstances set out in Rule 14 of the Statutory Committee Rules.
71. The Council may provisionally suspend a Council Member from office if, by a majority of those present and voting, it agrees to do so at a quorate meeting of the Council. The provisional suspension has effect when the proposal is agreed.
72. Exceptionally, and only with the agreement of the Chair of the Audit Committee, the Chair of Council may provisionally suspend a Council Member with immediate effect by informing the member in writing. Such a suspension must be reported to and considered at the next meeting of the Council.
73. Provisional suspensions of Council Members must be reported in writing, as soon as reasonably practicable, to the Privy Council for consideration of further action under the Council Constitution Order. The Privy Council will then consider the matter to determine whether to suspend the member under paragraph 7 or remove the member under paragraph 6.
74. If, after considering a provisional suspension, the Privy Council decides not to suspend or remove the Council Member, the Council will terminate the provisional suspension.
75. A person who is suspended from membership of the Council shall cease to be a member of every committee on which they sit during that suspension.

Education, training and performance

76. The GCC shall make available education and training opportunities for all Council Members and GCC Partners relevant to their role. This may be provided by external organisations.
77. The GCC will establish standards of performance for Council Members and have in place a system of annual appraisal. All Council Members are required to participate fully in the appraisal process.
78. Where a Council Member, without reasonable cause, fails to undertake satisfactorily the GCC's requirements with regard to education and training, the Privy Council will, in accordance with paragraph 6(1) (h) of the Council Constitution Order, remove that Council Member from office.

Powers of the Council

79. The Council has power to do anything which facilitates its functions, subject to any provisions made by or under the Act. In particular, paragraph 15(1) of Schedule One to the Act gives the Council power:
- a. To borrow
 - b. To appoint staff and pay salaries and pensions etc.
 - c. To pay allowances and expenses to its members and committee members
 - d. To establish sub-committees of its committees
 - e. Subject to the Act, to regulate its procedures and those of its committees or sub-committees
 - f. To abolish any of its non-statutory committees or sub-committees thereof
 - g. To delegate to its committees any functions other than its power to make rules.

Committees

Meetings and proceedings of non-statutory committees

80. The terms of reference of each non-statutory committee set out how often that committee usually meets. The Registrations Appeals Committee will only meet when required to do so.
81. Standing Orders 12-15, 18, 19, 22, 23, 30-45, 49-53, 59-68 may be read as applying to committee meetings as well as to meetings of Council.

Appointments to Committees

82. Appointments to statutory committees will be made in accordance with the Statutory Committee Rules.
83. Appointments to non-statutory committees will be made in accordance with the terms of reference of those committees.

Co-option

84. The co-option of members to statutory committees requires the Council's approval, in accordance with the Statutory Committee Rules. The committee concerned must submit a request for approval accompanied by:
- a. The CV of the proposed member
 - b. The reasons for co-option
85. If the Council agrees to approve the co-option, the committee member's term of office will commence the day after the agreement is made.
86. The duration of terms of office of co-opted committee members shall be determined by the committee co-opting them but must not exceed three years.

Removal from statutory and non-statutory committees

87. Members of the statutory committees will be removed from appointment by the Council in the circumstances laid down in Rule 13 of the Statutory Committee Rules. Members of non-statutory committees will be removed from appointment by the Council following a similar process.

Education, training and performance

88. Standing Orders 76-78 may be read as applying to committee members as well as to members of Council.

Attendance

Fitness to practise committees

89. Members of the Professional Conduct, Health and Investigating Committees are expected to attend any meeting, hearing, training session, seminar or other event to which they have been invited by the Chief Executive and Registrar (or staff on their behalf) unless there is good reason for them being unable to do so.
90. They must take all reasonable steps to provide advance warning if they are unable to attend such a meeting, hearing etc.
91. If an individual fails without reasonable cause, to attend any meeting or hearing they have agreed to attend, that absence will be taken into account in the appraisal process and reappointment and they may ultimately be removed from office by the Council.

Education Committee and non-statutory committees

92. A member of a non-statutory committee who fails, without reasonable cause, to attend 25% or more of the scheduled meetings of a Committee in a rolling 24 month period, will be regarded as having made an insufficient contribution to the work of the Committee and this will be taken into account in the appraisal and reappointment processes.
93. An Education Committee member who fails to attend, without reasonable cause, 33% or more of the scheduled Education Committee meetings in a rolling 24 month period, may be removed from office by the Privy Council in accordance with Rule 13(1) (g) of the Statutory Committee Rules.
94. In exceptional circumstances, members may obtain prior permission from the Chair of the Council for a leave of absence from a committee for a defined period.

Annex 3

Supporting information and documents

Council

Role of the Council

1. The role of the Council is to ensure that the GCC is meeting its statutory duties under the Act and other legislation. To meet these duties it:
 - Sets and monitors delivery of the corporate strategy and objectives, and sets the framework for policy and operational performance, including agreeing the organisation's Strategic Statement.
 - Makes rules as provided for under the Chiropractors Act.
 - Approves the annual Budget and Business Plan and monitors delivery.
 - Appoints the Chief Executive and Registrar.
 - Takes final decisions on any matter of fundamental strategic significance to the GCC or any matter that poses a substantial risk to the organisation
 - Ensures and reviews the effectiveness of the GCC in fulfilling its statutory purpose by promoting the work of the GCC externally, particularly promoting public and professional confidence and support for the GCC and its work.
 - Ensures the quality of decision making is supported by effective stakeholder engagement and appropriate evidence, including approving for consultation any policy proposal that relates to any matter reserved to Council and ensuring that due consideration has been given to all other policy matters by the relevant committee of Council and that policy development is aligned with the GCC's strategic direction.
 - Publishes the Register.
 - Consults the Education Committee on matters relating to education, training, examinations or the Test of Competence.
 - Recognises qualifications, assigns conditions and withdraws recognition, if appropriate.
 - Determines the standard of proficiency and determines and publishes the Code of Practice.
 - Ensures that appropriate audit, control and assurance systems are in place.
 - Formulates the financial strategy and ensures the organisation's financial viability
 - Safeguards the organisation's assets.
 - Ensures efficient and effective use of resources.
 - Ensures compliance with all relevant legislation.

- Approves the risk strategy and sets the risk appetite.
- Appoints members of statutory committees and other GCC Partners.
- Maintains high standards of corporate governance.
- Decides all matters relating to its governance framework, including its Scheme of delegation and Standing Orders.
- Exercises oversight of the GCC's activities by ensuring that they are aligned with the strategic direction by:
 - Holding the Executive to account for the management of the GCC's day to day operations ensuring that resources are used properly; and
 - Ensuring that decisions are made in accordance with the GCC's responsibilities and duties.
- Ensures effective reporting to Parliament (including approving the annual report and accounts), the Professional Standards Authority, registrants and others.
- Undertakes those functions of the Council not otherwise delegated to the Chair, the Chief Executive and Registrar or the committees.
- Considers reports of the Registrar relating to fraud or error in relation to registration.
- With the approval of the Privy Council, recognises qualifications or withdrawing their recognition.
- Appoints Legal Assessors and Medical Assessors.
- Hears appeals against decisions of the Registrar (by delegation to its Registration Appeals Committee).
- Appoints financial auditors and ensures that the accounts are audited.
- Approves the Annual Report and Accounts.

Appointment of the Chair of Council and deputising arrangements for the Chair

Chair of Council

2. The Privy Council appoints the Chair of Council, following an open recruitment process conducted by the GCC in accordance with standards set by the Professional Standards Authority. The Council Constitution Order governs the appointment, term of office and cessation of office of the Chair of Council (paragraph 8).

Deputising arrangements

3. Deputising arrangements in relation to the Chair are set out in the Council Constitution Order (paragraph 9).

Chair of the Council's role

4. The Chair leads the Council and has overall responsibility for ensuring that the statutory duty and functions of the GCC are fulfilled efficiently and effectively, that best use is made

of resources, and that the GCC is solvent and good governance achieved. The Chair acts as the principal spokesperson and ambassador for the GCC.

Leadership

5. The Chair's role is to:

- Provide strong non-executive leadership
- Ensure that the Council sets the GCC's strategic direction for regulation and development of the profession within the current statutory framework
- Encourage openness, transparency and accountability and high ethical standards in all that the GCC does;
- Ensure that the Council works collectively and that each Council Member puts the interests of the GCC above their own;
- Chair Council meetings effectively ensuring that required decisions are taken; and
- Communicate effectively with Council Members between meetings to ensure that business is taken forward and effective contributions can be made by Council Members.

Governance

6. The Chair's role is also to:

- Ensure that Council monitors its performance in line with legal and regulatory compliance requirements;
- Promote and uphold the public interest in all that the GCC undertakes;
- Ensure that Council focuses on governance rather than management and that it underpins the strategic direction through the institution of good governance including appropriate business, financial and risk assurance;
- Ensure that the Code of Conduct and other relevant provisions are adhered to by Council Members;
- Ensure that the Council holds to account:
 - the Chief Executive and Registrar for the operation of the GCC's business function and the effective management of the organisation;
 - the chairs of the Investigating, Professional Conduct and Health Committees for the effective discharge of their functions.
- Take decisions on minor, non-contentious or urgent matters falling within the remit of the Council on reference from the Chief Executive and Registrar;
- Account to the Council for his/her decisions and report to the Council (or appropriate committee) on each occasion when he/she has exercised delegated authority;

- Ensure that there is an annual programme of Council meetings with agendas appropriate to the business of Council;
- Make appointments to the non-statutory committees; and
- Provide feedback and guidance to Council Members as part of their appraisals.

External Relationships

7. The Chair's role is to:

- Represent the GCC in meetings as appropriate with leaders of patient and consumer organisations, the chiropractic profession, educational leaders and employers, other regulatory and public authorities and other interest groups, and ensure effective engagement with key stakeholders on relevant issues.
- Engage with the media on the Council's behalf.
- Develop partnership working with the Chair of the Professional Standards Authority and the chairs of the other health and care professions regulators.
- Represent the GCC with international regulatory authorities.
- Be accountable to Parliament and respond to directions, recommendations and requests from government departments, the Privy Council and the Professional Standards Authority.

Attendance at Council meetings

8. The Standing Orders (see Annex 2) set out the detailed requirements for attendance at meetings.

Statutory Committees

9. The functions of each statutory committee are set out in the Act and in statutory instruments establishing the rules applicable to each committee's proceedings.
10. The Council retains accountability for monitoring the effective delivery of the statutory committees' functions and receives an annual report from the chair of each committee about that committee's work.

Investigating Committee (IC)

Functions

11. The role of the Investigating Committee is set out in the Act and relevant rules. It carries out the initial investigation of a complaint against a chiropractor which may allege unacceptable professional conduct, professional incompetence or matters relating to physical or mental ill health.
 - To determine whether there is a case to answer concerning allegations that a registered chiropractor:
 - a. he (or she) has been guilty of unacceptable professional conduct;
 - b. he has been guilty of professional incompetence;
 - c. he has been convicted (at any time) in the United Kingdom of a criminal offence; or
 - d. his ability to practise as a chiropractor is seriously impaired because of his physical or mental condition in accordance with section 20(1) of the Act.
 - To exercise, additionally, powers under the following:
 - a. section 20(11), where it considers a criminal conviction has no material relevance to the fitness of an individual chiropractor to practise chiropractic;
 - b. section 20(12), to refer an allegation to either the Health Committee or the Professional Conduct Committee, where it concludes that there is a case to answer;
 - c. section 20(13), where it concludes that there is no case to answer;
 - d. section 21(2), (3) and (4), where the Committee may order the interim suspension of a chiropractor from the Register in order to protect members of the public;
 - i. section 21(5) and (6) relating to hearings in relation to interim suspension order applications; and
 - ii. hearings under section 10 where the Registrar proposes to suspend a chiropractor's registration for fraud or error in relation to registration.

Meeting Frequency

12. By invitation of the Registrar or their nominee.

Membership

Ordinary members

13. The Committee consists of not more than 30 persons.

Co-opted members

14. The Committee may co-opt up to 5 members, subject to rule 5 of the Statutory Committee Rules.

Quorum

15. Three, of which at least one must be lay person and one a chiropractor. The chair of any panel must be a lay member.

Professional Conduct Committee (PCC)

Functions

16. The role of the Professional Conduct Committee is set out in the Act and relevant rules. It hears cases concerning allegations of serious unacceptable conduct, incompetence or convictions and, where the PCC finds any such case proved, impose an appropriate sanction on the chiropractor concerned.

17. To determine allegations referred to it under section 20 or rules made under section 26(2) (a), in accordance with section 22 of the Act.

18. To exercise powers under sections 22(3), 22(4), 22(6) and 22(8) of the Act.

19. To publish reports in accordance with section 22 (14) about the way in which it has dealt with allegations referred to it.

20. To exercise interim powers of suspension in accordance with section 24, and the revocation of interim suspension orders under section 25.

21. To receive advice from Medical Assessors under section 28(2).

22. To receive advice from Legal Assessors under section 27(2).

Meeting attendance

23. On an as-needed basis by invitation of the Registrar or their nominee.

Membership

Ordinary members

24. Not more than 30 persons who are chiropractors or lay persons appointed to the Committee by the Council.

Co-opted members

25. The Committee may co-opt members subject to Rule 11 of the Statutory Committee Rules.

Quorum

26. Three, of whom at least one must be a lay person and one must be a chiropractor.

Health Committee (HC)

Functions

27. The role of the Health Committee (as set out in the Act and relevant rules) is to consider cases in which a chiropractor's fitness to practise is alleged to be seriously impaired by their physical or mental condition and if the allegation is upheld, to take appropriate action in the interests of the public and the chiropractor.
28. To determine allegations referred to it under section 20 of the Act or rules made under section 26(2)(a), in accordance with section 23.
29. To exercise powers under sections 23(2), 23(4), 23(5) and 23(6) of the Act.
30. To exercise interim powers of suspension under section 24 and the revocation of interim suspension orders under section 25.
31. To receive advice from Medical Assessors under section 28(2)(d).
32. To receive advice from Legal Assessors under section 27(2)(d).

Meeting attendance

33. On an as-needed basis by invitation of the Registrar or their nominee.

Membership

Ordinary members

34. Not more than 30 persons who are chiropractors or lay persons appointed to the Committee by the Council.

Co-opted members

35. The Committee may co-opt members subject to Rule 11 of the Statutory Committee Rules.

Quorum

36. Three, of which at least one must be a lay person and one must be a chiropractor.

Health Appeal Tribunal

37. The Health Appeal Tribunal Rules Order 2000 provide for a Tribunal to be arranged should any chiropractor seek to appeal a decision made by the Health Committee. The panel for such a hearing consists of three people, one a registered chiropractor, one being a registered medical practitioner appointed by the General Medical Council, and the chair of the panel being a person nominated either by the Chair of the Bar Council or the President of the Law Society under the procedures set out in these Rules. The relevant procedures are detailed within the Rules.

Education Committee

38. The Education Committee's role is set out in the Act.

Functions

39. The Committee's purpose is to:

- promote high standards of education and training in chiropractic and to keep the provision made for that education and training under review;
- provide or arrange for the provision of education or training where it considers it to be necessary with the discharge of its general duty;
- be consulted by the Council on matters relating to education, training, examinations, tests of competence or recognition of a qualification;
- give advice to the Council on education, training, examinations or tests of competence either at the request of the Council or proactively; and
- appoint persons to visit any institution which is proposing a relevant course of study, holding any examination with any such course, or holding any test of competence connected with a course or for any other purpose of the Act.

Meeting attendance

40. Committee members are expected to attend all meetings, where possible. The Standing Orders (see Annex 2) include provisions about attendance at committee meetings.

Membership

41. The Committee's membership is provided for in the Statutory Committee Rules. It consists of five Council Members (appointed in accordance with the Statutory Committee Rules) and five non-Council Members appointed by the Council, along with up to five co-opted members.
42. According to the Statutory Committee Rules, the Chair of the Education Committee must be a lay Member of the Council. Council shall nominate a member of the Education Committee who is also a Member of the Council to deputise for the Chair if the Chair is unable to perform the duties of the Chair for any reason.

Co-opted members

43. Up to five members can be co-opted to the committee, provided they are approved by the Council in accordance with rule 11 of the Statutory Committee Rules. That rule requires the submission of a curriculum vitae and explanation for the reasons for the request for co-option before the Council passes a resolution to co-opt the member.

Quorum

44. Five, of whom two must be Council Members.

Appointments to Statutory Committees

45. The Statutory Committee Rules provide for the appointment of members and Chairs and appropriate deputising arrangements where necessary.
46. In relation to Council Members of the Education Committee, the Chair of Council shall consider nominations of individuals who wish to serve on the Committee and determine the

membership in accordance with Rule 3 of the Statutory Committee Rules. The Chair of the Education Committee will be elected by the Council from amongst the Education Committee's ordinary membership, in accordance with Rule 4 of the Statutory Committee Rules. A deputy Chair will also be nominated by the Council.

Ceasing to be a Council Member

47. A person who ceases to be a Member of Council or who is suspended shall cease to be a member of every committee on which they sit.

Validity of proceedings

48. No proceedings of a committee will be invalidated by any defect in the appointment of a member or a vacancy among its members.

Length of appointment to committees

49. Members of statutory committees (other than those who are Members of Council) shall hold office from appointment to the committee up to the end of their term of appointment, subject to removal, resignation or suspension.
50. The terms of appointment of co-opted members of statutory committees will be agreed by the committee co-opting them, up to a maximum of 3 years.

Attendance at committee meetings

51. The Standing Orders (Annex 2) set out details about attendance at meetings and hearings.

Co-option

52. Rule 3 of the Statutory Committee Rules sets out the protocol for co-option to statutory committees.

Failure to meet quorum

53. If a meeting is not quorate, or becomes inquorate, it must be adjourned.

Suspension and Removal

54. The Statutory Committee Rules (Rules 13 and 14) set out the circumstances in which individuals may be suspended or removed from membership of any of the statutory committees, and the relevant procedure for doing so.
55. Committee members are required under the Code of Conduct to notify the GCC if they become aware that any of the circumstances that might justify suspension or removal apply to them.

Non-Statutory Committees

56. The functions and remit of each of the non-statutory committees is set out in their Terms of Reference, which are approved by the Council. The committees are accountable to the Council and each committee reports into the Council.

Audit Committee

Terms of reference

57. The Audit Committee is a non-statutory advisory committee, working within the policy and priorities agreed by the Council. Its role is to provide oversight that the necessary internal and external systems and processes are in place for identifying, managing and mitigating the risks relating to the discharge of the GCC's statutory duties, and make recommendations for any actions to Council and the Executive as appropriate.
58. It has delegated authority for:
- Agreeing the planned activity of external audit
 - Proposals for tendering the external audit services or for purchase of non-audit service from contractors who provide audit services
 - Reviewing the GCC's Strategic Risk Register and reporting to Council any significant changes
 - Approval of the auditors' remuneration whether the fees are for audit or non-audit services
 - Considering reports of any critical incidents, data breaches or corporate complaints received, and the Executive's response, and making recommendations as appropriate to the Executive and Council
 - Receiving reports on the Executive's approach to organisational performance management and corporate governance, and making relevant recommendations
 - Advising the Council on the management of risk within the GCC

For the Committee's Terms of Reference, including the detail of its various advisory activities, see Annex 4.

Meeting Frequency

59. At least three times a year in the reporting and audit cycle and otherwise as required. Some business may be appropriately conducted out of committee.

Membership

60. The membership consists of four Members of the Council (including the committee Chair) plus one independent member. The Council Members are appointed by the Chair of the Council. The appointment of the independent member is made by the Council, following a recommendation made by the Chair of the Council.

Co-opted members

61. Should the independent member of the Committee be unable to attend any meeting, the Chair of the Council may co-opt a replacement. That co-option must subsequently be reported to the Council.

Quorum

62. Three members, one of whom must be the independent member.
63. Information about the Committee can be found in its Terms of Reference - see Annex 4.

Registration Appeals Committee

Terms of Reference

64. The Council has delegated to a Registration Appeals Committee, under paragraph 15(2)(i) of Schedule One to the Act, the function of hearing appeals against decisions of the Registrar, pursuant to section 29 of the Act, and the power to make decisions in respect of such appeals.
65. The role of the Committee is to determine appeals made in accordance with section 29(1) of the Act in respect of decisions of the Registrar. It carries out that function in compliance with the General Chiropractic Council (Appeals against Decisions of the Registrar) Rules 2000 ("the Appeals Rules").
66. For the Committee's Terms of Reference, see Annex 4.

Meeting attendance

67. On an as-needed basis by invitation of the Chair of Council.

Membership

68. All Council Members are members of the Committee. The panel to hear any individual appeal is selected by the Chair of the Council and consists of 3 Council Members.

Quorum

69. The quorum of the Committee shall be three, including at least one chiropractic Council Member and one lay Council Member. The panel will be chaired by a lay Council Member.
70. In circumstances where the decision under appeal concerns matters of clinical practice, the third panel member will be a chiropractic Council Member. In other circumstances the third panel member will be a lay Council Member.
71. A Legal Assessor, appointed by the Council under section 27 of the Act, shall attend all hearings.

Remuneration Committee

Terms of Reference

72. The Remuneration Committee has delegated authority from the Council to determine the remuneration, benefits and terms of service for the Chief Executive and Registrar and all Directors, as well as the overall remuneration framework for all other GCC staff.
73. The Committee also advises the Council on the remuneration policy for Council and committee members and the expenses policy, and may be asked by the Council to advise on other matters. The Committee reports to the Council on its activities once a year.
74. For the Committee's Terms of Reference, see Annex 4.

Meeting Frequency

75. The Committee meets at least once a year, more frequently if required. Some business may be appropriately conducted out of committee.

Membership

76. One of the members must be a lay Council Member, one must be a registrant (chiropractor) Council Member and there must be one independent member who has appropriate expertise. The non-independent members are appointed by the Chair of the Council. The appointment of the independent member is made by the Council, following a recommendation made by the Chair of the Council.

Co-opted members

77. Should the independent member of the Committee be unable to attend any meeting, the Chair of the Council may co-opt a replacement. That co-option must subsequently be reported to the Council.

Quorum

78. Three members, one of whom must be the independent member.

Reappointments Committee

Terms of Reference

79. The Reappointments Committee's role is to make recommendations to the Privy Council in respect of Council Members eligible for reappointment to the Council.
80. For the Committee's Terms of Reference, see Annex 4.

Meeting Frequency

81. The Committee is convened by the Chair of the Council and will then meet as required. It may conduct business outside of meetings by telephone and email.

Membership

82. The membership is decided by the Chair of the Council on each occasion. It will usually consist of two current Council Members who are not seeking reappointment at that time, along with one independent member.

Quorum

83. All members of the appointed Committee must be present in order for it to be quorate.

Appointments to Non-Statutory Committees

84. The Chair of Council shall consider nominations from Council members who wish to serve on the Committee and determine the membership based on the needs of Council in providing an appropriate balance of skills and turnover across the governance structure. Any appointment must be reported to the Council.
85. Appointment of independent members to the Audit Committee and Remuneration Committee is made by the Council, following a recommendation made by the Chair of the Council.
86. No Council member/person shall serve more than eight years as a member of any single non-statutory committee.

Appointment of chairs and deputising arrangements

Chairs

87. The Chair of the Audit Committee is appointed by the Chair of the Council.
88. The Chair of the Remuneration Committee is appointed by the Chair of the Council. The Chair of any Registration Appeals Committee panel is also appointed by the Chair of the Council.
89. These appointments are reported to the Council.

Deputising arrangements

90. In the event of the absence of the Chair of a non-statutory committee, the Chair of Council will ask a member of the Committee to take the chair for one or more meetings of the Committee or may appoint a Deputy Chair.
91. In the event of the unexpected absence from a committee meeting of the Chair of the committee, any appointed Deputy Chair, and anyone appointed by the Chair of the Council to chair the meeting in question, a quorate committee may itself elect an individual from amongst its members to chair that meeting.

Role of chairs of non-statutory committees

92. The Chairs are responsible for ensuring that the committee discharges its role effectively. They must consult with the Executive in setting the agenda for each meeting and will be responsible for monitoring the implementation of the committee's decisions. The Chairs of the non-statutory committees are responsible for carrying out appraisals of non-Council

committee members (other than independent members, who are not subject to appraisal under the GCC scheme).

Ceasing to be a Council Member

93. A person who ceases to be a member of Council or who is suspended shall at the same time cease to be a member of every non-statutory committee on which they sit.

Validity of proceedings

94. No proceedings of a committee will be invalidated by any defect in the appointment of a member or a vacancy among its members.

Length of appointment to non-statutory committees

95. Membership of the non-statutory committees will be reviewed annually by the Chair of the Council and be determined by the needs of Council in providing an appropriate balance of skills and turnover across the governance structure.

Co-option to non-statutory committees

96. Currently, none of the non-statutory committees have any powers to co-opt additional members to their committees - other than in the event that the independent committee member is unable to attend a particular meeting of the Audit Committee. In such circumstances, an alternative independent member will be co-opted to attend that meeting as provided for above.

Attendance at committee meetings

97. The Standing Orders (see Annex 2) sets out details about attendance at meetings and hearings.

Failure to meet quorum

98. If a meeting is not quorate, or becomes inquorate, it must be adjourned.

Removal from non-statutory committees

99. A member of a non-statutory committee who is not a member of Council shall be removed from office in accordance with the Statutory Committee Rules as if they were a member of Council.

Ad hoc working groups

100. From time to time, ad hoc working groups may be established by the Council to develop policy in new areas or to review specific issues. The composition of these groups will reflect all the necessary expertise to take forward the issue in question. The constitution, role, terms of reference and the life span of the group will be agreed by the Council at the outset.

The Executive

101. The Executive comprises all staff members of the GCC, led by the Chief Executive and Registrar and the Senior Management Team.

Senior Management Team (SMT)

102. The SMT acts as a board of management and comprises:

- Chief Executive and Registrar
- Director of Education, Registration and Standards
- Deputy Chief Executive and Director of Resources

103. The collective responsibility of the SMT is to:

- Prepare strategic plans, business plans and budgets for agreement by Council
- Implement an annual business plan within the budget agreed by Council and prioritise and allocate resources appropriately
- Develop strategies and major policy proposals to a stage where they can be considered by the Council or its committees
- Provide support to statutory and non-statutory committees in discharging their roles
- Liaise with all relevant stakeholders to ensure that policy development and decision making is fully informed
- Monitor operational and financial performance and alert Council to any issues that have a bearing on the performance of the GCC as a regulator
- Evaluate and managing risks that might impact on the operational effectiveness or public confidence in the GCC.

Chief Executive and Registrar

Statutory Duties

- To establish and maintain the register of chiropractors (section 2(3) of the Act and The General Chiropractic Council (Registration Rules) Order of Council 1999 (“the Registration Rules”).
- To carry out such other functions as the Council may direct (section 2(4) of the Act).
- To consider whether applicants for registration are of good character and in good health (section 3 of the Act and rule 5 of the Registration Rules).
- To consider whether applicants for registration from outside the UK have reached the required standard of proficiency (section 3(6) of the Act and the General Chiropractic Council (Registration of Chiropractors with Foreign Qualifications) Rules Order of Council 2002).

- To consider certain matters relating to Conditional Registration (section 4 of the Act).
- To deal with temporary registration for visiting chiropractors from relevant European States (section 5A of the Act).
- To enter a note in the register of the details of every suspension of registration (section 7 of the Act).
- To refer applications for restoration to the register from individuals who have previously been struck off the register to the Professional Conduct Committee, and to register applicants when directed by the Committee (section 8 of the Act).
- To investigate allegations of fraud or error in the register and report on the investigation to Council; to suspend registration during investigation if satisfied it is necessary to protect members of the public and to remove the registration on the order of Council, subject to the right of appeal (section 10 of the Act).
- To suspend or remove a chiropractor's name from the register where ordered to do so by the Investigating Committee, Professional Conduct Committee or Health Committee (sections 21-25 of the Act)
- To invite members of the Investigating Committee, Professional Conduct Committee and Health Committees to attend meetings of the committees (see the General Chiropractic Council (Constitution of the Statutory Committees) Rules Order of Council 2009, as amended by the General Chiropractic Council (Constitution of the Statutory Committees) Rules Order of Council 2010)
- To collect entry fees, retention fees and restoration fees; in accordance with Schedule 2 of the Registration Rules as amended by the General Chiropractic Council (Registration) (Amendment) Rules 2009 and the General Chiropractic Council (Registration) (Amendment and Repayment) Rules.
- To deal with continuing professional development requirements (including issuing of final warnings, and removal from the register for failure to comply with the requirements) (see the General Chiropractic Council (Continuing Professional Development) Rules Order of Council 2004).
- To deal with professional indemnity insurance requirements as per section 37 of the Act and in accordance with the General Chiropractic Council (Professional Indemnity Insurance Rules) 1999 as amended by the Health Care and Associated Professions (Indemnity Arrangements) Order 2014, and according to the General Chiropractic Council (Indemnity Arrangements) Rules 2015.

Other duties

104. Directing the affairs and managing the resources of the GCC within the strategic framework established by the Council. In exercising his/her remit, the Chief Executive and Registrar has delegated authority to act in any matter that is not expressly reserved to the Council and does not properly fall within the remit of the Chair of Council.

105. The Chief Executive and Registrar is accountable to the Council for his/her decisions and must provide such reports as the Council may require in order to carry out its role effectively.

106. The responsibilities of the Chief Executive and Registrar include:

- Ensuring that the statutory functions of the GCC are discharged in accordance with the legislation and protection of the public.
- Making proposals to Council regarding the development of, or changes to, legislation and seeking the Privy Council's consent to the Council's decisions
- As Registrar, making decisions about registration and professional conduct matters in accordance with the legislation.
- Formulating and making proposals to the Council regarding strategy and statutory policy and implementing the Council's decisions.
- Formulating and making proposals to the Council regarding financial strategy, reserves policy and fee strategy and implementing the Council's decisions.
- Formulating and making proposals to the Council regarding the annual business plan and budget and implementing the Council's decisions;
- Implementing an effective system for the management, monitoring and reporting of performance; and
- Deciding all matters relating to organisational structure and the management of staff, within the framework and budget agreed by the Council.
- Implementing an effective system of internal control, within the framework agreed by the Council and ensuring that significant matters are reported to the Council
- Implementing the risk management framework agreed by the Council ensuring that risks are identified and evaluated, that appropriate measures are put in place to mitigate risks and that progress is monitored and reported
- Securing the effective, efficient and economic use of resources, ensuring financial propriety and keeping proper records of account;
- Leading the Senior Management Team in collective management of the GCC.
- Reporting to the Professional Standards Authority and Parliament.
- External relations and international affairs.
- Ensuring effective governance of the GCC.

In order to carry out his/her responsibilities effectively the Chief Executive and Registrar may delegate such matters as he/she considers appropriate.

Scheme of delegation

Delegation of power

107. The scheme of delegation details all the GCC's responsibilities under the Act. It specifies where responsibility for ensuring the achievement of the GCC's statutory responsibilities lies. Some responsibilities, such as the making of rules, are reserved to the Council. Delegation might be to the Chair of the Council or to the Chief Executive, in his/her capacity as Registrar or as head of the Executive, or to a committee or to an ad hoc working group. The scheme also sets out the authority delegated to committees by the Council, outside of that provided for in the Act.

108. Other than where functions are specifically delegated to committees, the Council regards the Chief Executive and Registrar as its main point of delegation and holds the post-holder accountable for implementing the strategic aims set by the Council. The Chief Executive and Registrar may delegate functions to other staff but will be held accountable by the Council for the discharge of all functions delegated under the scheme.

109. The scheme sets out:

- Matters reserved to the Council
- The Council's functions
- Matters delegated to the Chair of Council
- The Chief Executive and Registrar's remit and responsibilities
- The statutory and non-statutory committees
- Matters delegated to the Audit Committee or the Remuneration Committee

Withdrawal of delegated power

110. The Scheme remains in force unless it is amended or revoked by Council.

Exercise of delegated power

111. Where power is delegated under this Scheme, the power must be exercised in a manner which is consistent with the GCC's statutory objectives, other relevant legislation and the current business plan.

Matters reserved to the Council

112. The Act provides for the Council to:

- a. Develop and regulate the profession of chiropractic.
- b. Establish committees and regulate their procedure.
- c. Appoint the Registrar.
- d. Make rules as provided for under the Act in order to discharge its functions.

- e. Publish the register.
 - f. Consider reports of investigations in relation to fraud or error in relation to registration.
 - g. Consult the Education Committee on matters relating to education, training, examinations or tests of competence.
 - h. Determine the standard of proficiency.
 - i. Recognise qualifications, assign conditions (and withdraw recognition).
 - j. Prepare and publish and keep under review a Code of Practice.
 - k. Appoint Legal Assessors, Medical Assessors and members of the statutory committees (including the approval of co-options).
 - l. Consider appeals against decisions of the Registrar.
 - m. Ensure that accounts are audited.
 - n. Keep and publish accounts and publish an annual report and strategic plan.
 - o. Delegate to any of its committees any functions other than any power to make rules.
- The table provided in Annex 4 sets out the matters reserved to the Council and those delegated to the Chief Executive and Registrar.

Matters delegated to the Chair of the Council

113. The remit of the Chair is (a) to chair meetings of the Council and (b) to manage the affairs of the Council as the governing body of the GCC, within the governance framework established by the Council. In exercising his/her remit the Chair has delegated authority for:
- Determining the general nature and timing of the Council's business
 - Appointing the members and Chairs of the non-statutory committees and working groups of the Council
 - Conducting the process for the appointment of the Chief Executive and Registrar.
 - Authorising action on minor, non-contentious matters falling within the responsibilities of the Council, on reference from the Chief Executive and Registrar.
 - Authorising urgent decisions necessitating a decision outside a Council meeting. In such cases the Chair will consult with the Chief Executive and Registrar and, where relevant, the chair of the committee concerned with the issue. Any action taken will be reported at the next Council meeting and recorded in the minutes.
 - Conducting regular appraisals of Council members and other individuals as specified.
 - Conducting the annual appraisal of the Chief Executive and Registrar
- Reporting to the Council (or appropriate committee) on each occasion when he/she has exercised delegated authority

Matters reserved to the Education Committee

114. The Act provides for the Education Committee to:

- Advise the Council on the recognition of qualifications in accordance with section 14(6) of the Act.
- Appoint and manage the performance of visitors to conduct the evaluation of courses under section 12 of the Act.
- Advise Council on matters relating to the withdrawal of recognition of a qualification in accordance with sections 16(1) and 18(5) of the Act.
- Exercise powers to require information from chiropractic educational institutions in connection with its statutory functions in accordance with Section 18 of the Act.

Matters delegated to committees and ad hoc working groups

115. Matters delegated by Council to non-statutory committees are set out in their individual Terms of Reference - see Annex 4.

116. Where any matter is to be delegated to an ad hoc working group it will be set out in the terms of reference of that working group.

Matters delegated to the Chief Executive and Registrar

117. The Chief Executive has responsibility for all matters provided for specifically within the Act in their role as Registrar and additional matters as set out under Role of the Chief Executive and Registrar, as set out above.

Financial Regulations

Financial management

1. The Financial Regulations that the GCC has put in place are a key mechanism for managing the organisation's key financial risks and establish a framework within which the internal financial control systems are built. They form an essential part of the governance structure, setting out the financial responsibilities, policies and procedures adopted by the GCC. They are designed to ensure that the GCCs financial transactions are carried out appropriately in fulfilment of the organisation's statutory duties and in compliance with standards of good governance. .
2. The Chief Executive and Registrar is responsible for the day to day management of the GCC's financial operations in accordance with these procedures, including ensuring value for money, control of gross expenditure and gross income against approved budgets, and compliance with statutory requirements in respect of the keeping and publication of accounts. The Chief Executive and Registrar may delegate responsibility for financial management to a member of staff and for that purpose it shall be the Director of Regulation and Resources.
3. The Director of Regulation and Resources shall ensure there are written policies and procedures in place, and that a robust control framework exists, for the effective management of the financial operation, including controls against inappropriate expenditure and prevention of fraud. The Financial Regulations and the detailed procedures that underpin them are regularly reviewed (at least annually) by the Director of Regulation and Resources.
4. Quarterly Management Accounts are prepared by the Director of Regulation and Resources. The Senior Management Team consider the overall financial position of the GCC and any deviations from budget. Council will receive financial management information at every meeting in the form of the Performance Report.
5. Any concern about serious non-compliance with the Financial Regulations by a Council Member, GCC Partner, or staff member will be reported immediately to the Chair of the Audit Committee. The Audit Committee requests a report on compliance with the Financial Regulations from the Director of Resources and Regulation on an annual basis.
6. The roles of the Audit Committee and the Remuneration Committee are set out above. For their Terms of Reference, see Annex 4.

Accounting

7. The Director of Regulation and Resources is responsible for all accounting procedures and records and shall ensure procedures comply with all current accounting requirements and best practice.
8. The Director of Regulation and Resources will facilitate the annual financial audit and will comply with all reasonable requests from the auditors. The Director of Regulation and

Resources will report to the Chief Executive and Registrar on the progress of the audit, any issues raised and the proposed methods for resolving such issues.

9. The auditors will produce an Audit Findings Report (AFR), which will be submitted to the Audit Committee for consideration. Once endorsement from the Audit Committee is received, the AFR and Letter of Representation will be presented to Council.
10. The GCC's Annual Report and Accounts shall be published in full on its website.
11. The Audit Committee has responsibility to ensure the external auditors appropriately scrutinise the financial records and offer value for money. It shall recommend to Council the appointment or removal of the external auditors.

Annual Business Plan, Budget, and Annual Report and Accounts

12. The Director of Regulation and Resources is responsible for preparing the annual Business Plan (delivering the aims set out in the Strategic Statement) and all annual budgets (including a revenue budget and capital programme) and financial forecasts (including updating the three year annual forecast), as well as monitoring and control of expenditure against budgets.
13. Council shall receive annually the Business Plan and Budget for consideration, scrutiny and approval. If any Director believes that an individual budget may be overspent or underspent, he or she shall inform the Chief Executive and Registrar, who will have authority to transfer funds between budget allocations. Budget transfers over £20,000 must be reported to the Council.
14. The Council will receive for its approval the Annual Report and Financial Statements. The Chief Executive and Registrar is responsible for their being lodged with Parliament.

Budgetary Control

15. The Director of Regulation and Resources is responsible for monitoring the GCC's financial performance against budget regularly and reporting on adverse variances (and remedial actions) to the Chief Executive and Registrar and to the Council. A management year-end forecast is provided at each of the second, third and final Council meetings in each year.

Borrowing and lending

16. Funds may only be borrowed with the prior approval of Council, having received details of the reason for the borrowing, the proposed lender, the sum to be borrowed, the security provided, the rate of interest and repayment terms.
17. With the exception of staff season ticket loans (repayable in full by the employee), the GCC shall not lend funds under any circumstances.

Income and banking

18. The Director of Regulation and Resources will ensure that income received is kept secure and promptly banked. The Director of Regulation and Resources is responsible for liaison

with the GCC's bankers in relation to its bank accounts and the issue of cheques. Only the Chief Executive and Registrar may open or close a bank account for dealing with the GCC's funds.

Investments

19. Investments shall be made in accordance with Council's Investment Strategy. Council shall receive advice from the Director of Regulation and Resources on investment management and will review its policy annually. The Director of Regulation and Resources will monitor reports on investments for the Council. The Council will be provided with the quarterly performance report once received and will also be advised on the value of the portfolio through the performance report provided at each Council meeting. The Investment Manager will also be asked to present their report on annual progress of the portfolio at a defined meeting of Council each year. .

Expenditure

20. Purchase orders shall be raised for all work, goods or services to be supplied to the GCC except for utility services, periodic payments, petty cash purchases or other approved exceptions.
21. Payments to suppliers (including expenses claims to individuals) shall only be made once an invoice has been authorised by an appropriate person. Invoices should be authorised by the SMT member with responsibility for a specific project or work activity, in compliance with the Financial Regulations.
22. Expenses claims for staff members, Council Members and GCC Partners will be authorised by a member of the SMT or by the Chair of the Council in accordance with the Financial Regulations.
23. Expenses claims for the directors will be authorised by the Chief Executive & Registrar. The Chief Executive's expenses will be authorised by the Chair of Council.
24. Cheques and other payments must be signed or authorised in accordance with the payment procedure and the bank mandate.
25. Only members of the SMT may sign cheque payments or authorise bank transfers. No Council Members or GCC Partners may expend resources without approval from the Chief Executive and Registrar.
26. One authorised signatory may sign off payments up to £10,000. Payments exceeding this value must have two signatures, one of which must be that of the Chief Executive and Registrar.
27. Payments over £75,000 must be signed off by the Chief Executive and Registrar with either the Chair or any other Council Member authorised for such purposes.
28. A limited number of GCC Corporate Credit Cards exist. Held by SMT members the cards are used for purchasing small items, such as travel tickets, and for expenses while out of the office on business. The reconciled statements must be authorised by the Chief Executive or the Chair of the Council. .

29. The Director of Regulation and Resources is responsible for ensuring the proper authorisation and collation of information for the GCC's outsourced payroll service for payment of salaries, allowances and expenses of staff, Council Members and GCC Partners, as well as for day to day pension matters.

Staff expenses

30. The GCC will reimburse staff for expenses reasonably incurred in the normal course of business, subject to compliance with the expenses policy, including the provision of receipts.

Systems

31. The Director of Regulation and Resources shall ensure that there are appropriate computer back-up and disaster recovery procedures in place for the GCC's systems including the accounting and chiropractic register systems.

Procurement of services

32. The GCC has a detailed policy governing procurement and tendering, setting out relevant principles, criteria and appropriate procedures. The primary objective of the GCC's policy (see Annex 4) is to obtain value for money and comply with the requirement of regularity and propriety. All procurement must comply with the policy.

Assets

33. The Director of Regulation and Resources shall keep a register in respect of items of land, buildings, fixed plant, machinery and equipment with a cost of £2,500 or more. The Director of Regulation and Resources shall ensure the safe custody of title deeds and contracts relating to the assets owned.

Security and fraud

34. The Director of Regulation and Resources shall ensure procedures exist to control the entry to the GCC's offices and to keep all occupants safe.
35. The risk of fraud is minimised through a continuous programme of independent audit, including the annual financial audit. Any fraud or suspected fraud must be raised with the Chief Executive and Registrar immediately.

Insurance

36. The Director of Regulation and Resources shall ensure the GCC receives appropriate advice, obtains quotes, negotiates claims and maintains the necessary records of insurance. The Director of Regulation and Resources shall ensure that the organisation carries adequate insurance, in accordance with its overall risk management strategy. The current insurance policies cover:
- Professional Indemnity Insurance
 - Combined Professional Business Policy

- General Liability
- Employers Liability
- Directors and Officers Liability

37. Any member of the executive or non-executive who becomes aware of any event which may give rise to an insurance claim or of any incident or issue that they feel may jeopardise any insurance policy in existence should notify the Director of Regulation and Resources or the Chief Executive and Registrar immediately.

Gifts and Hospitality

38. The Director of Resources and Regulation is responsible for maintaining records in respect of gifts, hospitality, benefactions and donations made to Council Members, GCC Partners or staff in accordance with Council's policy.

39. The register will be reported annually to the Audit Committee.

Whistleblowing policy for staff, Council Members and GCC Partners

About this policy

1. The term whistleblowing is used to describe incidents where a member of staff or a member of Council or GCC Partner discloses some alleged wrongdoing within the organisation, publicly or internally but bypassing normal reporting lines.
2. This policy is separate from our policy on how we handle concerns relating to the fitness to practise of individual chiropractors, or complaints about people practising chiropractic while unregistered.
3. The Public Interest Disclosure Act 1998 aims to promote greater openness in the workplace and while it reinforces the obligations for staff not to disclose to external sources any confidential information acquired during the course of their employment, it protects 'whistleblowers' from detrimental treatment, such as victimisation or dismissal, for raising concerns about matters when such concerns are raised in the public interest.
4. This policy provides a means by which staff, Council Members and GCC Partners can make a disclosure if they have reasonable grounds for believing there is serious wrongdoing within the organisation. The issues of concern may include:
 - a criminal offence is being committed, or is likely to be committed, including suspected fraud or misuse of funds;
 - a person has failed, is failing, or is likely to fail to comply with a legal obligation;
 - a miscarriage of justice has occurred, is occurring or is likely to occur;
 - an individual's health or safety, is being, or is likely to be put at risk;
 - the environment has been, is being, or is likely to be damaged;
 - you have information that any of the above has been, is being or is likely to be deliberately concealed.
5. The policy also aims to ensure that anyone who makes a disclosure in such circumstances will not be penalised or suffer any adverse treatment for doing so, regardless of whether their concern is proved unfounded.
6. The policy does not apply to personal grievances concerning an individual's terms and conditions of employment or other aspects of the working relationship, complaints of bullying or harassment, or disciplinary matters which are all covered by separate policies.

Raising a concern

Staff members

7. In the first instance, you should normally raise the concern (preferably in writing) with the Chief Executive and Registrar.

8. If the issue concerns the Chief Executive and Registrar you should raise it (preferably in writing) with the Chair of Council. Concerns about the Chair of Council should be raised with the Chair of the Audit Committee.

Council Members and GCC Partners

9. In the first instance you should normally raise the concern with the Chair of the Audit Committee via the following email address
10. As far as possible you will be assured of confidentiality unless at a later stage this becomes unavoidable (for example where an investigation leads to action under disciplinary procedures or criminal or civil proceedings and your evidence is likely to be required). Remaining anonymous can however, in some cases make any potential investigation more difficult and lengthier.
11. The person receiving the disclosure will be responsible for ensuring that the issue is investigated, if they decide that an investigation is warranted. Before doing so, they will inform the Chief Executive and Registrar, the Chair of Council, or the Chair of the Audit Committee as appropriate. In all cases, an independent person may be appointed to investigate the concerns raised.
12. If the person receiving the disclosure decides there are insufficient grounds to warrant an investigation, they will explain this to you giving reasons for their decision. You may then make the disclosure directly to the Chair of the Council or to the Chair of the Audit Committee and ask them to re-consider the decision not to investigate. In the event that the disclosure is about the Chair of the Council and it was the Audit Committee Chair who decided not to investigate, you may instead make the disclosure directly to the independent member of the Audit Committee and ask them to re-consider the decision not to investigate. The independent member of the Audit Committee can be reached via email: AC-IM@gcc-uk.org

Investigating your concerns

13. Any investigation will be handled as sensitively and speedily as possible. You will be notified of the timetable for the investigation. This will depend on the nature of the concern but we will endeavour to complete the investigation within three months. The person or people against whom the disclosure is made will be told at an early stage and will be allowed to respond. Their confidentiality will be respected. The name of the person making the disclosure will not be disclosed at this stage.
14. You will be kept informed of the progress of the investigation and notified if there are delays, with an outline of the reason for the delay. At the end of the investigation (subject to any legal constraints) you will be advised of the outcome in writing.
15. If in the course of the investigation any concern raised appears to the investigator to relate more appropriately to grievance, bullying, harassment or discipline, or a breach of the GCC's Code of Conduct, the relevant procedures will be invoked.
16. The person initiating or undertaking the investigation will ensure that the findings are reported to the Chief Executive and Registrar, Chair of the Council or Chair of Audit

Committee as appropriate, who will determine what action should be taken. The report of the investigation and actions taken will also be reported directly to the Audit Committee, which may meet in private to consider the matter.

17. Any staff member who has made a disclosure and who feels that as a result they have suffered some detriment can submit a formal complaint under the grievance procedure. If it appears there are reasonable grounds for making the complaint the onus will be on the person against whom the complaint of adverse treatment has been made to show that the actions complained of were not taken in retaliation for the disclosure.
18. Any Council Member or GCC Partner who considers that they have suffered some detriment as a result of making a disclosure can make a complaint using the GCC's corporate complaints procedure. Such complaints should usually be made to the Chief Executive and Registrar directly. In the event that the complaint of detriment concerns actions taken by the Chief Executive and Registrar, the Council Member/GCC Partner may instead make the complaint to the Chair of Council. If the complaint of detriment concerns actions taken by both the Chief Executive and Registrar and the Chair of Council, it can be raised with the Chair of the Audit Committee.
19. If you are considering raising a concern and want to receive independent advice before you do so then you can seek advice from the independent charity Public Concern at Work. You can find details of how they can support you at <http://www.pcaw.co.uk/individual-advice/advice-line> or you can call them on 020 7404 6609.

Appraisal scheme for Council Members and GCC Partners

Introduction

1. The GCC recognises that the non-executive members of its governance structure (the Council Members and GCC Partners) are a most important and valuable resource. The success of the GCC in fulfilling its statutory duties and strategic objectives will depend, to a considerable extent, on the work and expertise of the GCC Partners. Through an effective scheme of annual appraisal the GCC aims to ensure that the efforts of non-executives are effectively aligned with the organisation's strategic objectives, to provide a means of developing individuals and to enhance overall performance. Gathering feedback from GCC Partners is a valuable part of the process and providing such feedback is part of the role of all GCC Partners.
2. On appointment, Council Members and GCC Partners (other than Legal and Medical Assessors or independent members of non-statutory committees) commit to engaging constructively in the annual appraisal process. The purpose is to:
 - a) Give individuals an opportunity to reflect on their achievements and successes
 - b) Provide individuals with an opportunity to learn from what has not gone as expected
 - c) Give individuals time to agree with their reviewer what they will be doing over the 12 months to follow
 - d) Help individuals to identify any development needs to support them in their role.

Responsibility

3. The responsibility for the overall operation of the scheme lies with the Chair of the Council. The Chair's role in this context is to ensure that all members of Council, committees, fitness to practise panel members and other relevant GCC Partners have an opportunity to discuss their performance annually, receive feedback and, where necessary, are enabled to improve any aspects of their performance that fall below standard.
4. The process is designed to include a full discussion of performance between the reviewer and the individual. It encourages self-reflection on performance. Where performance is judged to be below standard, the individual will be encouraged to improve and, where a development need requiring specific training is identified, the GCC will have a responsibility to provide that training in a timely way.
5. The GCC has developed separate appraisal guidance and forms for completion by Council Members and various categories of GCC Partners.
6. The various guidance and forms can be accessed from Annex 4.
7. It is the responsibility of the individual being appraised to prepare for the appraisal meeting – including obtaining third-party feedback on their performance – and reflect on their performance in the period under review. The preparation should include consideration of ongoing or new work and development goals so that there can be appropriate discussion

and agreement at the meeting. They should seek to vary the individuals they approach for feedback from year-to-year.

Confidentiality

8. The outcome of discussions at appraisal meetings, including all finalised paperwork, will be confidential between the reviewer and the individual and the Chair of the Council who has overall responsibility for the scheme.
9. In circumstances where the removal, termination or suspension from office/appointment is being considered then any matters relating to appraisals may be shared with those considering removal, termination or suspension.
10. The data collected and the records maintained in connection with the appraisal scheme are used solely for the following purposes:
 - Appraisal of performance of individual members and of the organisation as a whole.
 - Training and development: so that appropriate training/development is provided.
 - Reappointment: in cases where the individual is eligible for consideration for reappointment, the outcome of appraisals in each year of the term served by the individual will be a factor in the decision making.
 - Removal or termination and suspension from office/appointment: appraisal documentation may be relevant in circumstances where a member is removed or has their appointment terminated or suspended from office/appointment under the relevant provisions in the Statutory Committee Rules.
 - Monitoring the fair, equitable and appropriate application and administration of the scheme.
11. All finalised appraisal documentation will be held, on behalf of the Chair of the Council, securely at the GCC's office. All draft documentation (electronic and paper) between the reviewer and individual should be kept by each party securely and destroyed once the final paperwork is completed and has been provided for secure storage on behalf of the Chair of Council.
12. The appraisal records will be accessible to the Chair of Council and to the Chief Executive and Registrar. All reviewers will have access to records relating to those individuals reviewed by them. All individuals will have access to their individual records.

The appraisal meeting

13. The meeting will take place at a mutually convenient time within the relevant period. The meeting will take place at a suitable location, most likely the GCC's office. The meeting should take place in an atmosphere of mutual respect, cooperation and support.
14. At the discretion of the reviewer and with the consent of the individual concerned, the meeting may be conducted by telephone, Skype or other electronic means.

Appraisal of the Chair of the Council

15. Annual appraisals of the Chair of the Council are conducted for the same purpose as appraisals of any Council Member or GCC Partner. The appraisal process is the same as that which applies to Council Members, except that the appraiser of the Chair of the Council is an independent person of appropriate expertise who is appointed by agreement between the Chair of the Audit Committee and the Chair of the Remuneration Committee. They may be a chair of an equivalent body, or a professional who has appropriate expertise in appraisal and performance of senior non-executives.
16. As part of the appraisal process the Chair of the Council is required to seek 360 degree feedback from all Council Members, the Chief Executive & Registrar, and key external stakeholders.

Remuneration Policy

1. The Remuneration Committee advises the Council on the remuneration policy for Council and committee members and the expenses policy. It meets at least once a year and reports to Council once a year.

Fees

Council Members

2. Members of Council are paid an annual salary as set out below:

Chair £23,000

Council members £6,650

GCC Partners

Committee members

3. Committee members who are not members of Council, and members co-opted to committees are paid £300 per day based on actual attendance.
4. The same rate applies to statutory committee members and to non-statutory committee members (other than the Higher Education consultant member of the Education Committee).
5. No reading fee is payable to any committee members (including Committee chairs).

Chairs of fitness to practise panels

6. Legally-qualified chairs of the Investigating, Professional Conduct or Health Committees are paid £500 per day.

Advisory roles

7. Test of Competence Assessors are paid £300 per day. They are paid for a day's reading time and for attending a full day panel meeting that takes place the day before each Test of Competence assessment day to prepare for the assessments. Should the Chair of the Test of Competence Assessment panel be required to do additional work to review further evidence submitted, they are paid an additional half-day's fee.
8. Legal Assessors are paid £600 per day, plus a £200 reading fee. Additional time spent outside of a meeting/hearing will be paid at the rate of £85.71 per hour.
9. There is no fixed fee in regard to Medical Assessors. Rates are agreed between the GCC and Medical Assessors on a case by case basis, as the need arises.

Fitness to practise panellists

10. A number of additional policies apply to members of fitness to practise committees as set out in the table below.

Cancellation fees	<p>If fitness to practise panels are cancelled, in respect of each day of the hearing, the following will be reimbursed to those members affected:</p> <p>Prior to hearing</p> <p>0-5 working days' notice: full fee</p> <p>6-10 working days' notice: half fee</p> <p>More than 10 working days' notice: no fee</p> <p>Out-of-pocket expenses incurred by a panel member will continue to be reimbursed. For example, if a registrant member has arranged a locum who would in turn have to be paid for the full number of days booked, they should continue to be reimbursed for that expense.</p>
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11. All Council Members and GCC Partners may have their expenses reimbursed in accordance with the remuneration policy.
12. Annual fees and daily attendance rates are reviewed annually by the Remuneration Committee, which makes a recommendation to the Council. Expenses are also reviewed by the Committee as required by changes in the external financial environment.
13. A standard system for the payment of allowances and expenses has been implemented via the GCC payroll
14. Members are responsible for their own tax arrangements and it is recommended that they seek guidance from a financial advisor where appropriate.
15. Travel from the GCC office (or from the location of the GCC committee hearing or Test of Competence Assessment) to other non-GCC business should be paid by the other organisation or at least shared. Please make these arrangements prior to travel. The GCC reserves the right to add an administrative charge if it needs to reclaim from an alternative organisation.
16. Council Members' and GCC Partners' expenses will be paid **if supported by appropriate receipts in accordance with the Expenses Policy in force at the time**. If no receipt is available, agreement of the Executive is required before a claim can be made:

Booking arrangements

17. Hotel accommodation required by Council Members and GCC Partners for the purposes of GCC business must not be arranged independently, but through the appropriate member of GCC staff, who will have access to the GCC's corporate account.

Publication policy

18. The fees and expenses of Council Members and GCC Partners are published in the GCC's Annual Report.

Register of Interests

Conflicts of Interests Policy

Introduction

1. The Chiropractors Act 1994 requires the GCC to establish and maintain a system for the declaration and registration of the private interests of its members, as well as to publish these interests.
2. Failure to manage conflicts of interests effectively runs the serious risk that the GCC could be perceived to be acting improperly, rendering its actions and decisions vulnerable to legal challenge.
3. The GCC strives to ensure transparency and probity in the fulfilment of its statutory functions. In so doing, it aims to avoid any appearance of impropriety or conflict of interest that would undermine confidence in the regulatory process.
4. Best practice in corporate governance requires that this policy applies not only to Council Members but all those acting on behalf of the GCC, including members of committees who are not Members of Council, co-opted members of committees and working groups, Legal and Medical Assessors, Education Visitors, Test of Competence Assessors, and any other office holders.
5. Members of the Executive are also required to follow the principles set out in this policy and notify the Chief Executive and Registrar of any potential or actual conflicts of interest between their work and any non-work activity.

What is a conflict of interests?

6. A conflict of interests can arise in any situation where the personal interests of an individual (or the responsibilities or allegiances owed by them to another body), may or may appear to influence their personal judgment, actions or decision-making.
7. In UK law the legal test for bias, derived from case law is:
'whether the fair-minded observer, having considered the facts, would conclude that there was a real possibility that the tribunal was biased' (Porter v Magill [2002] 2 AC 357).
8. A perception of wrongdoing, impaired judgement or undue influence can be just as detrimental as their actual occurrence.
9. Conflicts may be financial as well as non-financial, and may be direct or indirect. So for example, conflicts can arise from an indirect financial interest (e.g. payment to a spouse) or a non-financial interest (e.g. preserving the individual's reputation).
10. Conflicts of loyalty may arise in respect of an organisation of which the individual is a member or with which they have an affiliation, or from personal or professional relationships with others, e.g. where the role or interest of a family member, friend or acquaintance may influence an individual's judgement or actions, or could be perceived to

do so. Depending upon the individual circumstances, these factors can all give rise to potential or actual conflicts of interest.

11. A conflicts of interests may also be anticipatory, where the actions of an individual may be perceived to put them in a more favourable future position in relation to another party.
12. Council Members and all those who act on behalf of the GCC are expected **to act impartially and objectively in carrying out the GCC's business**.
13. In considering what might constitute a potential conflict, those covered by this policy should bear in mind the seven principles of public life: selflessness; integrity; objectivity; accountability; openness; honesty; and leadership.
14. There is a duty on Council Members and GCC Partners to avoid situations of conflicts of interest between the individual's personal interests and his/her GCC duties.

Procedure for registering interests

15. All those covered by this policy must declare in writing to the Chief Executive and Registrar any professional, personal or business interests which they consider may pose, or might be seen to pose, a conflict with their GCC responsibilities. The interests will then be transferred to a Register of Interests which will be made available on the public website. Annex A provides a list of examples of interests that must be declared although it cannot represent the totality of what should be declared. The Chief Executive and Registrar will be responsible for keeping the Register of Interests which will be published on the GCC website.
16. If any individual is unsure as to whether they need to declare a particular interest, they should discuss it with the Chair of the Council, the relevant committee chair or the Chief Executive and Registrar. The final decision on whether a matter is a conflicts of interests is taken by the Chair of the Council.
17. On appointment, all Council Members and GCC Partners are asked to complete a form setting out details of any personal interests. All individuals concerned will be invited to review and update their declared interests on an annual basis and aside from this, are required to amend their entries to reflect any changes as soon as possible.
18. The completed declaration form should be returned to the Chief Executive and Registrar. The form is accessible from Annex 4.

Procedure for declaring interests

19. Where a potential or actual conflict arises in the course of GCC business (for example, in the course of a meeting or when invited to take part in another GCC activity) the individual should declare at that time that they have a potential or actual conflict of interest.

The categories of interest, together with their effect on participation in the issue for discussion/decision are:

Indirect interests

20. Interests that do not directly relate to specific issues for discussion. In such circumstances, while the interest must be declared, there is no reason not to participate in the discussion or decision.

Direct interests

21. Interests with direct relevance to specific items of business such that a fair-minded observer, having considered the facts, would conclude that there was a real possibility that the individual was biased in any discussion or decision.
22. In such circumstances it will not normally be permissible to participate in any relevant discussion or decision and the individual should withdraw from the meeting.
23. Should the Chair of the Council or relevant committee decide, following a consideration of the likely impact of the interest, that it is appropriate for the individual to participate in the discussion or decision this must be recorded, with reasons, in the minutes of the meeting..?
24. Where an interest has been declared, the Chair of the Council (or Chair of a Committee) will decide whether it is appropriate for that Member of Council or office holder to participate in a relevant discussion or decision.
25. If any member is unsure in advance of a meeting as to whether they need to declare a particular interest, they should discuss it with the Chair of Council, the relevant committee chair or the Chief Executive and Registrar. The final decision on whether a matter is a conflict of interest is taken by the Chair of Council. If there are any queries over any aspect of this policy please contact the Chief Executive and Registrar, in the first instance.

Interests which must be declared

The following interests must be declared:

Direct Pecuniary Interests

26. These will arise where there might be a direct bearing on the financial position of the Council Member or GCC Partner. They are likely to arise in relation to employment (whether current, recent or anticipated) by a chiropractic educational institution or payment by an association, company or other body seeking to contract with or otherwise influence the GCC's policies.
27. Council Members and GCC Partners should declare any consultancies, directorships or advisory positions.

Indirect Pecuniary Interests

28. An indirect pecuniary interest may arise from connections with persons (e.g. spouses/partners, other close family members, or associates) companies or other bodies that have a direct pecuniary interest.

Non-Pecuniary Interests

29. This type of interest may arise in a situation where membership of a club, association or other organisation by the Council Member or GCC Partner or a family member or close associate of them, could give rise to a situation where members of the public might perceive or reasonably infer that the Council Member/GCC Partner's judgment might be influenced in relation to an item of GCC business, irrespective of any financial impact. Examples include membership or the holding of an office within any professional bodies or specialist societies whether in the public, private or voluntary sector; or membership of a political party or pressure group, or any close personal ties with the GCC's advisers, Executive or prospective advisers.

'association' includes:

- being a trustee, governor, director or other office holder
- being an employee
- any other paid or unpaid association, e.g. as a consultant, adviser or external examiner
- 'Current, anticipatory or recent':
 - the individual's association with the institution is active at the time
 - the individual expects to have a future association with an institution
 - the individual's association lapsed less than four years ago
- 'chiropractic educational institution':
 - an undergraduate chiropractic provider that already offers a course recognised by the GCC
 - an undergraduate chiropractic provider that is known/anticipated to be seeking such recognition
 - a provider of post-graduate or continuing professional development courses in chiropractic.

Complaints about Council Members and GCC Partners

Introduction

1. The General Chiropractic Council (GCC) is committed to providing a high quality, accessible service in accordance with its statutory objective which is 'to regulate and develop the profession of chiropractic'. Any complaints or concerns raised regarding Members of the GCC's Council or a GCC Partner, or other individuals acting on behalf of the organisation, and who are covered by the GCC's Code of Conduct, will be fully investigated and appropriate action will be taken.

Scope

2. The process outlined in this document provides a formal route for complaints to be raised with the GCC. However, those who make a complaint are encouraged, wherever possible, to raise concerns directly with the individual concerned in the first instance, in order to seek an early resolution of the issue. Where this does not resolve the issue, or in situations where this is not appropriate, the process set out in this document may be used.
3. This process is for dealing with complaints against those individuals bound by the GCC's Code of Conduct. This process is not designed to deal with complaints about a staff member of the GCC. These complaints are dealt with under the GCC's corporate complaints procedure, details of which can be found on the GCC's website at <https://www.gcc-uk.org/about-us/complain-about-the-gcc/> .
4. This document summarises the process that the GCC will follow in relation to formal complaints about Council Members or GCC Partners. A detailed procedure relating to complaints about Council Members is included within Annex 4. In the event of a formal complaint about a GCC Partner (as opposed to a Council Member), the Chair of the Audit Committee will decide upon the process to be followed, as explained below.
5. Complaints by members of staff about a Council Member/GCC Partner should ordinarily be raised under the grievance procedure.

How to make a complaint

6. Complaints should be made in writing where possible, but can also be made by telephone. If a complaint is made in writing, complainants are asked to provide a contact telephone number, if a response by telephone would be convenient. If a written complaint is made by email, complainants are asked to confirm whether an email reply is acceptable and to provide a full postal address. Anyone making a complaint will need to confirm that they have no objection to the individual involved seeing the complaint, and that the information they have given is true and accurate.
7. Complaints about Council Members should be addressed to the Chair of the Council. Any complaint about the Chair of the Council should be addressed to the Chair of the Audit Committee. Complaints about GCC Partners should be addressed to the Chief Executive and Registrar. Written complaints should be sent to the General Chiropractic Council, 44

Wicklow Street, London WC1X 9HL, marked for the attention of the Chair of the Council/Chair of the Audit Committee/Chief Executive & Registrar, as appropriate.

Any written complaint should include:

- A clear description of the circumstances giving rise to the complaint including details of which provision(s) of the Code of Conduct may have been breached
 - Confirmation of whether or not the relevant concern(s) has already been raised with the individual who is or individuals who are the subject of the complaint and if so, what the outcome was
 - A description of a satisfactory resolution of the issue for the complainant.
 - Confirmation that the complainant has no objection to the individual involved seeing the complaint, and that the information given is true and accurate.
 - The complainant's full postal address and telephone number (and e-mail address if possible).
 - The complaint should be signed by the complainant.
8. If a complaint is made by telephone, the information above will be requested. The GCC will make a note of the telephone conversation, which the complainant will be asked to sign to confirm that they have no objection to the individual involved seeing the complaint and that the information given is true and accurate.
9. Complaints should be drawn to the GCC's attention at the earliest opportunity and ideally within six months of the issue giving rise to the complaint.

Receipt of a complaint

10. Many complaints can be resolved without formal investigation. The procedure following receipt of a complaint is as follows:
11. The GCC will acknowledge receipt of the written complaint (or signed confirmation of our note of a complaint made by telephone) within ten working days of its receipt.
12. Any complaint about a Council Member will be passed to the Chair of the Audit Committee by the Chair of the Council. If the complaint is about the Chair of the Audit Committee, the Chair of the Council will instead pass the complaint to an alternative Council Member. The GCC has a specific procedure for dealing with complaints about a member of its Council. This is set out at Annex 4.
13. Any complaint about a GCC Partner will be passed to the Chair of the Audit Committee by the Chief Executive and Registrar. The Chair of the Audit Committee will decide on the appropriate procedure to adopt in relation to such complaints, depending on the circumstances. They will seek comments from the complainant and from the individual complained about before deciding on the appropriate procedure to adopt in each case.

14. The person investigating any complaint about either a Council Member or GCC Partner will notify the individual complained about and invite him or her to make representations and may seek such other information as they consider necessary (from the complainant, from the individual complained about and/or from others).
15. There are several options open to the Chair of the Audit Committee/other individual who has responsibility for dealing with a complaint about a Council Member/GCC partner:
 - Conduct/commission a formal investigation
 - Dismiss the complaint without formal investigation
 - Take whatever steps he/she considers appropriate to resolve the complaint informally
 - Nominate another person to seek informal resolution of the complaint
 - The individual dealing with the complaint will notify both the complainant and the individual complained about when they have reached a view about which of these options to pursue. Ordinary this will take place within 28 days of having received the complaint.

Informal resolution

16. If the individual dealing with the complaint reaches the view that it can be dealt with by way of informal resolution, ordinarily they will notify the individual complained about and the complainant of the proposed resolution, and provide them with an opportunity to comment on the proposal. If an informal resolution is reached, the complainant, the individual complained about and the Chair of the Council will be formally notified by the individual dealing with the complaint of that informal resolution. The GCC will note the informal resolution of the complaint on its records relating to the individual complained about.
17. A complaint that is informally resolved will not be reported to the Audit Committee other than in exceptional circumstances.
18. If a complaint that is not dismissed is not capable of informal resolution, it will ordinarily be subject to a formal investigation.

Formal investigation

19. The process that will be followed in formally investigating a complaint about a Council Member is set out in Annex 4. A formal investigation may be conducted by the Chair of the Audit Committee and/or they may instruct other persons to conduct the investigation/assist with the investigation.
20. A formal investigation into a complaint about a GCC Partner is likely to follow a similar process. The Chair of the Audit Committee will decide upon the appropriate process depending on the circumstances. They will seek comments from the complainant and from the individual complained about before deciding on the appropriate procedure to adopt in each case. They will notify the complainant and the individual complained about of the process that will be followed, the potential outcomes from it, and the extent of any rights of appeal, before the formal investigation commences.

Outcome of a formal investigation

21. At the end of the investigation stage, a formal hearing into the complaint will take place. The details of this procedure are set out in Annex 4.
22. If the conclusions from an investigation into a complaint about a Council member are that the Council Member has breached the GCC's Code of Conduct or their conduct otherwise falls below the standards expected of a Council Member, the available sanctions are:
 - instructions or advice to the Council Member regarding their future conduct;
 - a warning, short of recommending suspension or removal;
 - provisional suspension of the Council Member, and a recommendation to the Privy Council that the Council Member shall be suspended from membership of the Council together with a recommended period of suspension;
 - provisional suspension of the Council Member, and a recommendation to the Privy Council that the Relevant Member shall be removed from membership of the Council;
 - informal resolution;
 - any other sanction which the investigator (or, if the investigator is not a Council Member, the Chair of the Audit Committee) considers appropriate in the circumstances; or
 - no sanction.

Further information about these possible outcomes is provided in Annex 4.

23. The potential outcomes of any formal investigation into a complaint about a GCC Partner will vary, according to that GCC Partner's specific role.
24. Complaints about GCC committee members (including members of both statutory and non-statutory committees) can result in their removal from office by the Council (in accordance with Rules 13 and 14 of the General Chiropractic Council (Constitution of the Statutory Committees) Rules Order of Council 2009 (as amended)).
25. The Chair of the Audit Committee will notify the complainant and the individual complained about of the potential outcomes from a formal investigation before that investigation commences.

Appeals

26. As set out in Annex 4, a Council Member has a right of appeal against the outcome from any formal investigation. The complainant does not have a right of appeal.
27. Ordinarily, any GCC Partner who is the subject of a complaint that is formally investigated will similarly have a right of appeal against the outcome of a formal investigation. The extent of any right of appeal will be addressed by the Chair of the Audit Committee in the notifications they provide about the investigation process, as set out above.

Notification of final outcome

28. The Chair of the Audit Committee will (subject to any legal constraints) notify both the individual who is the subject of the complaint and the complainant about the final outcome following any formal investigation (once any appeal period has expired, or any appeal has been decided), including a summary of the reasons for that outcome. Ordinarily that notification will be provided in writing within 10 working days of the decision as to the final outcome being reached.
29. Details of the outcome of the investigation will be retained by the GCC and may be referred to, if appropriate, during appraisal and training of the relevant individual. The outcome will also be reported to the Audit Committee.

Gifts and Hospitality Policy

Principles

1. Members of the GCC's Council and GCC Partners and staff are required to abide by the seven principles of public life, which apply to all in the public sector (these can be found annexed to the Code of Conduct). When applying these principles to the treatment of gifts and hospitality, additional factors need to be taken into account. These include the value of the gift, the hospitality offered, the number of staff or members in receipt of the gifts and hospitality, the circumstances and the frequency of offer.
2. The gifts and hospitality register will be reported annually to the Audit Committee by the Director of Resources and Regulation.

Gifts

3. All gifts should, where possible, be avoided and in all cases be considered very carefully before being accepted. The circumstances in which a gift is received can give rise to concern, particularly where it might be considered that the individual giving the gift was seeking to influence any decision of the GCC Council or a committee.

Hospitality

4. Hospitality should not generally present a problem provided it is recorded and is not out of proportion. For example, invitations to lunch or dinner by a trade representative without reference to any particular piece of business are more likely to be acceptable than an invitation to an event taking place in advance of a tendering exercise in which that representative has an interest.

Small gifts and incidental hospitality

5. Small gifts, such as trade calendars and diaries, and incidental hospitality, such as drinks, are acceptable in most circumstances and do not need to be recorded. But if there is a doubt about the intentions or the circumstances, then the event should be recorded.

General rule

6. The general rule is to use common sense and not put oneself in a situation where one's integrity could be challenged.

Guidelines for the receipt of gifts

7. All offers of gifts and hospitality to Council Members, GCC Partners and GCC staff, whether accepted or not, must be recorded in the Gifts and Hospitality Register. Council Members and GCC Partners should make relevant declarations to the Director of Resources and Regulation.

8. When deciding whether to accept or decline an offer of a gift or hospitality the matter may be discussed with the Chair of the Council or the relevant committee chair or a staff member's line manager, as appropriate, and the principles set out above must be followed.
9. The gifts and hospitality form can be found at Annex 4.

ANNEX 4 – FORMS AND OTHER DOCUMENTS

Table of matters reserved to the Council

Reference	Chiropractors Act	Responsibility	Delegation
	Governance		
1(2)	Duty to develop and regulate the profession of chiropractic	Council	
1(3)	Council has such other functions as conferred under the Act	Council	
1(4) A (and B)	The over-arching objective of the Council in exercising its functions (the protection of the public)	Council	
1(5) to 1(9)	Duty to establish four statutory committees: Education Committee, Investigating Committee; Professional Conduct Committee; Health Committee, having functions conferred by the Act. Power to establish additional committees in connection with the discharge of the Council's functions	Council Council	
	Registration		
2(1) and (2)	Duty to appoint a Registrar	Council	
2(3)	Duty to establish and maintain a register of chiropractors in accordance with the Act	Registrar	
2(4)	Power to direct the Registrar to undertake other functions	Council	
2(5)	Duty to determine allowances and expenses payable to the Registrar	Council	
2(6)	Power to determine pensions, allowances and gratuities to be paid to the Registrar under their terms of office	Council	
3(5)	Power to make rules in relation to the transitional period for registration	Council	
3(6) (6A) and (7)	Power to make rules to allow persons who obtained their qualifications outside of the UK to be treated as holding recognised qualifications in certain circumstances	Council	
4 - in particular (4) (9) and (11)	Power to make rules in relation to conditional registration and transfer to full registration (including making rules requiring an applicant to pass a test of competence)	Council	

4(6)-(8)	Duty to consult the Education Committee in relation to certain categories of application for registration, and to direct the Registrar having undertaken such consultation	Council	
5	Power to make rules in relation to provisional registration and conversion to full registration ²	Council	
5(6)	Duty to maintain a list of fully registered chiropractors who are approved to supervise provisionally registered chiropractors ³	Council	
6(2)-(4)	Power to make rules in relation to registration and the register and payment of fees, including rules about: the form of the register; the form and content of applications for registration; how the Registrar is to reach decisions about matters relevant to registration; conditions that can be imposed and removal from the register for non-compliance; how entries are made/removed from the register; reasons for decisions to make/remove entries from the register; content, assessment and conduct of any test of competence; prescribing the fees chargeable; authorising the Registrar to remove register entries (or not make entries) in the event of non-payment.	Council	
7	Duty to make relevant entries in the register with regard to suspension	Registrar	
8(8)	Power to make rules in relation to restoration to the register of provisionally, conditionally or temporarily registered chiropractors	Council	
9(1)	Duty to provide the public with access to inspect the register at all reasonable times	Council	Registrar
9(2)	Duty to publish a list of chiropractors' names and registered addresses at least once every 12 months	Council	Registrar
9(3)	Power to make rules to determine which other information derived from the register should be published on the list referred to in 9(2)	Council	
9(5)	Power to determine the fee payable for providing a person with a copy of the published list referred to in 9(2)	Council	
10(1)	Duty to investigate allegations of fraud or error in relation to registration and to report to Council	Registrar	
10(3)	Power to suspend registration during any investigation under 10(1) if necessary for public protection	Registrar	

² Provisional registration has never been brought into effect.

³ See footnote above

10(4)	Duty to make rules to allow a registrant to make representations at a hearing before the Investigating Committee in relation to any proposed use of the power under 10(3)	Council	
10(5)	Power to order removal of an entry in the register	Council	
10(12)	Power to make additional rules relating to suspension under 10(3), in particular in relation to the duration of any suspension	Council	
	Education		
11(3)	Duty to consult Education Committee on matters relating to education, training, examinations or test of competence	Council	
12(10)	Power to pay fees, allowances and expenses (or to treat them as staff members) to visitors appointed by the Education Committee	Council	Chief Executive & Registrar
13(1)	Duty to determine from time to time the standard of proficiency required for the safe and competent practice of chiropractic	Council	
13(2)	Duty to publish a statement of the standard of proficiency	Council	
13(3)	Duty to publish any variation to that standard, as well as a statement of the difference(s) between that revised standard and the previous standard		
14 (1)-(3)	Power to recognise qualifications if satisfied that they are/will be evidence of having reached the required standard of proficiency, with the approval of the Privy Council	Council	
14(4)	Power to make rules providing for additional conditions for registration to apply (or for modifications to be made) in relation to applicants holding qualifications obtained outside the UK	Council	
14(5)	Duty to publish and maintain a list of the qualifications which are recognised	Council	Chief Executive & Registrar
14(6)	Duty to consult the Education Committee before deciding whether or not to recognise a qualification	Council	
14(7)	Duty to provide specific information to the Privy Council when requesting approval to recognise a qualification	Council	Chief Executive & Registrar
14(9)	Power to make rules requiring Education Committee to publish a statement setting out both matters on which the Committee will wish to be satisfied before advising the recognition of a qualification, and matters which may result in a recommendation for non-recognition.	Council	
14(10)(b)	Power to require applicants for registration who are entitled under EU law to be treated as if they	Council	

	hold a recognised qualification to satisfy additional conditions before being registered		
15(3)	Duty to specify any limitation on recognition of a qualification in the published list	Council	
15(4)	Power to direct (with approval of the Privy Council) that recognition is only provided for the period in which there is compliance with any conditions imposed	Council	
15(5)	Power to remove any condition at any time (with approval of the Privy Council)		
15(7)	Duty to inform as soon as reasonably practicable any institution that is likely to be affected by a direction given under 15(4)		
15 (8)	Duty to notify the institution applying for recognition as soon as reasonably practicable once the application has been determined	Council	Chief Executive & Registrar
15 (9)	Duty to provide reasons for the refusal of any application for recognition	Council	
16 (2)	Power to direct that a qualification is no longer recognised in certain circumstances (and with Privy Council approval)	Council	
16(4)	Duty to have regard to the information considered by the Education Committee and any other relevant information in relation to considering the withdrawal of recognition	Council	
16(5)	Duty to provide that information to the Privy Council when requesting approval		
16 (7)	Duty to use best endeavours to secure that anyone studying for a qualification when that qualification ceases to be recognised is given the opportunity to study for a qualification that is recognised	Council	
17 (1)	Power to make rules requiring chiropractors to do continuing professional development	Council	
17(2)	Rules may include provision for registration to cease, in the event of non-compliance		
17 (3)	Duty to take such steps as are reasonably practicable to consult registered chiropractors and other persons the Council considers appropriate, before making or varying rules made under section 17	Council	
18(6)	Power to refuse or (with Privy Council approval) withdraw recognition of a qualification if the educational institution refuses a reasonable request for information made by the Education Committee	Council	
	Professional conduct and fitness to practise		

19 (1)	Duty to prepare and from time to time publish a Code of Practice laying down standards and giving advice as to practice	Council	
19(2)	Duty to keep the Code under review and vary its provisions whenever the Council considers appropriate		
19(3)	Duty to consult appropriate representatives of chiropractors before issuing or varying the Code		
19(5)	Duty to provide a copy of the Code on request, on payment of a reasonable fee determined by the Council	Council	
20(3)	Duty to refer all allegations to the Investigating Committee	Council/ committee	Chief Executive & Registrar
20(4)	Power to make rules requiring any allegation referred to the Investigating Committee to be referred for preliminary consideration by a person appointed by the Council in accordance with rules	Council	
20(10)	Duty to make rules as to the procedure to be followed by the Investigating Committee	Council	
26	Duty to make rules for the procedure to be followed by the Professional Conduct Committee (PCC) and Health Committee (HC), to include various specified provisions	Council	
27 (1)-(2)	Duty to appoint (certain categories of person as) legal assessors to give advice in accordance with the rules to: any person appointed under rules made by virtue of 20(4); the Investigating Committee; the Professional Conduct Committee; the Health Committee; or the Registrar on legal questions arising from any matter under consideration.	Council	
27 (3)	Power to confer other functions upon the legal assessors		
27(5)	Power to determine and pay fees, allowances and expenses to legal assessors		
28 (1) – (2)	Power to appoint registered medical practitioners as medical assessors to give advice in accordance with the rules to: any person appointed under rules made by virtue of 20(4); the Investigating Committee; the Professional Conduct Committee; the Health Committee; or the Registrar on matters within their professional competence arising from any matter under consideration	Council	

28(3)	Power to confer other functions upon the medical assessors		
28(4)	Power to determine and pay fees, allowances and expenses to legal assessors		
	Appeals		
29(2)	Power to make rules for the purpose of regulating an appeal against a decision of the Registrar in relation to registration	Council	
30(3)	Duty to make rules as to the procedure to be followed by a tribunal hearing an appeal against a decision of the Health Committee	Council	
30(6)	Duty to make rules regarding the procedure for selection of a chair and tribunal members (selection is not to be by the Council)	Council	
30(15)	Duty to meet the (reasonably incurred) expenses of any tribunal	Council	
35(2)	Power to make different provision for different cases or classes of case or different categories of chiropractor or registered chiropractor within any rules made under the Act	Council	
	Professional indemnity insurance		
37(5)-(6)	Power to make rules in connection with the types of indemnity arrangement chiropractors/applicants for registration are required to have in place, and the information to be provided to the Registrar	Council	
35(7)	Power to make rules requiring a chiropractor to inform the Registrar should their indemnity arrangement cease to provide adequate cover		
35(8)	Power to make rules requiring information about indemnity arrangements made by employers		
	Financial provisions		
41(1)	Duty to keep proper accounts of all sums received or paid and proper records	Council	Chief Executive & Registrar
41A(1)	Duty to publish (by any date specified by the Privy Council) a report on the exercise of the GCC's functions (including a description of its practice in respect of equality and diversity), a statistical report on fitness to practise activities, and a strategic plan.	Council	Chief Executive & Registrar
41A(2)	Duty to submit copies to the Privy Council		
41(2)	Duty to ensure that the accounts are audited by persons appointed by the Council	Council	Audit Committee
41(4)	Duty to publish the accounts and any report by the auditor and send copies to the Privy Council as soon as reasonably practicable after the audit	Council	
	Schedule 1		

1A	Provisions for membership of Council		
1C(1)	Duty to maintain a system for declaration and registration of private interests of Council Members	Council	Chief Executive & Registrar
IC(2)	Duty to publish entries recorded in the register of private interests		
1D(1)(a)	Duty to have proper regard, in exercising its functions, to the interests of patients/service users and any differing interests of different categories of chiropractors	Council	
ID(1)(b)	Duty to cooperate (as appropriate and reasonably practicable) with: public bodies; employers of chiropractors; persons concerned with the education of chiropractors/other health care professionals persons concerned with the regulation/the co-ordination of regulation of other health care professionals; persons concerned with the regulation or provision, supervision and management of health services.		
1D(2)	Duty to have regard in relation to its duty to co-operate to any differing considerations applying to chiropractors practising in each of the 4 countries of the UK.		
15(1)	Power (subject to the Act) to do anything calculated to facilitate the discharge of the Council's functions or that is incidental or conducive to the discharge of those functions	Council	Chief Executive & Registrar
15(2)	Powers include: borrowing; appointment and payment of staff and committees; establishing sub-committees; (subject to the Act) regulation of a committee's procedure; to abolish any non-statutory committee; delegation to any committee of any functions of the Council, other than the power to make rules	Council	
15(2A)	Power to make standing orders about the provisional suspension of a Council Member	Council	
15(3)	Power to regulate its own procedures, subject to the provisions of/made under the Act	Council	
16(1)	Duty to appoint statutory committee members (other than co-opted members)	Council	
16(2)	Duty to make rules for the procedure for appointment, suspension and removal of statutory committee members.	Council	
16(3)	Power to include rules providing for the assistance of a body (including a non-statutory committee) to assist the Council with any aspect of this function		

17(4)	Duty to make rules with regard to the co-option of statutory committee members, including as to the procedure	Council	
20	Power to make rules in respect of a sub-committee of a statutory committee including as to its functions and powers, composition and relationship to the statutory committee	Council	
21	Power to make rules regulating the procedure of a statutory committee/sub-committee, including as to rules of evidence to be observed. Other than the provisions of the Act, rules or standing orders made under it, the committees and sub-committees may regulate their own procedures	Council	
22(1)	Power to give directions to a committee as to the proper performance of its duties if the committee is failing to fulfil its function adequately.	Council	
22(2)	Power to exercise the power of that committee in certain circumstances		
25	Duty to make rules as to the constitution, including size, membership, chairing and quorum of the Education Committee	Council	
30	Duty to make rules as to the constitution including size, membership, chairing and quorum of the Investigating Committee	Council	
34	Duty to make rules as to the constitution including size, membership, chairing and quorum of the Professional Conduct Committee	Council	
38	Making rules as to the constitution including size, membership, chairing and quorum of the Health Committee	Council	

Gifts and hospitality register declaration form

<p>Name of Council member/GCC Partner/staff member</p>	
<p>Description of gift⁴/hospitality and value</p>	
<p>Reason for gift/hospitality</p>	
<p>Comments e.g. confirmation of discussions about the gift/hospitality, and explanation of how it has been dealt with e.g. shared/returned/retained</p>	
<p>Accepted or declined</p>	
<p>Signed</p>	<p>Dated</p>

⁴ A gift is a personal present with a value in excess of £10. Promotional materials are excluded from this definition.

Non-Statutory Committees' Terms of Reference

Terms of Reference of the Audit Committee

Duties

The Audit Committee is a non-statutory advisory committee of the General Chiropractic Council, working within the policy and priorities agreed by the Council. The Committee does have some delegated powers and these are highlighted at point 8.

The Committee is required to carry out the following duties for Council.

1. External Audit

The Committee shall oversee the relationship with the external auditor including, but not limited to:

- 1.1 considering and making recommendations to the Council in relation to the appointment, re-appointment and removal of the GCC's external auditors. The Committee shall oversee the selection process for new external auditors and, if an auditor resigns, the Committee shall investigate the issues leading to this;
- 1.2 approval of the external auditor's remuneration, whether fees for audit or non-audit services, and ensuring that the level of fees is appropriate to enable an adequate audit to be conducted;
- 1.3 approval and sign-off of the external auditor's engagement letter and the scope of the audit;
- 1.4 assessing annually the external auditor's independence and objectivity taking into account relevant professional and regulatory requirements and the relationship with the auditor as a whole, including the provision of any non-audit services;
- 1.5 satisfying itself that there are no relationships (such as family, employment, investment, financial or business) between the external auditor and the GCC;
- 1.6 assessing annually the external auditor's qualifications, expertise and resources and the effectiveness of the audit process which shall include a report from the external auditor on their own internal quality procedures;
- 1.7 undertaking an annual review of the effectiveness of external audit;
- 1.8 monitoring the external auditor's compliance with relevant ethical and professional guidance on the rotation of audit partners and other related requirements;
- 1.9 meeting regularly with the external auditor, including once at the planning stage before the audit and once after the audit at the reporting stage. The Committee shall meet the external auditor at least once a year, without management being present, to discuss their remit and any issues arising from the audit;
- 1.10 reviewing and approving the annual audit plan and ensuring that it is consistent with the scope of the audit engagement;
- 1.11 reviewing the findings of the audit with the external auditor. This shall include but not be limited to:
 - a discussion of any major issues which arose during the audit;
 - any accounting and audit judgments; and
 - levels of errors identified during the audit.
- 1.12 reviewing any representation letter(s) requested by the external auditor before recommending this for signing by Council;

- 1.13 review the management letter of the external auditor, any material queries raised by the auditor to management of the GCC in respect of the accounting records, financial accounts or systems of control and the response of management of the Company;
- 1.14 ensure that the management provide a timely response to the issues raised in the management letter of the external auditor; and
- 1.15 recommend to Council an action plan to deal with any issues raised in the management letter after considering GCC management representations.

2. Internal Audit

The Committee shall:

- 2.1 monitor and review the effectiveness of any internal audit function;
- 2.2 review promptly all reports to the Audit Committee on the GCC from the internal auditors;
- 2.3 where an internal audit function exists, to ensure co-ordination between the internal and external auditors; and
- 2.4 review and monitor management's responsiveness to the findings and recommendations of the internal auditor.

3. Whistleblowing

- 3.1 The Committee shall review the arrangements for employees to raise concerns, in confidence, about possible wrongdoing in financial reporting or other matters. The Committee shall ensure that these arrangements allow proportionate and independent investigation of such matters and appropriate follow up action;
- 3.2 The Committee's Chair will be responsible as required for receiving and investigating all concerns raised under the whistleblowing procedure;
- 3.3 In investigating concerns raised, the Committee's Chair will follow the procedures as described in the GCC's published Whistleblowing Policy.

4. Internal Controls and Risk Management Systems

The Committee shall:

- 4.1 keep under review the effectiveness of internal controls for ensuring compliance with the regulatory environment within which the GCC operates;
- 4.2 review and approve the statements to be included in the Annual Report concerning governance, internal controls and risk management;
- 4.3 review the GCC's Strategic Risk Register and report to Council any significant changes to the Risk Register;
- 4.4 advise the Council on the management of risk within the GCC;
- 4.5 consider reports of any critical incidents, data breaches or corporate complaints received, and the Executive's response;
- 4.6 receive reports on the Executive's approach to organisational performance management and corporate governance; and
- 4.7 ensure that the findings from external and internal audits inform the development of the GCC's Strategic Plan.

5. Financial Reporting

The Committee shall:

- 5.1 monitor the integrity of the financial statements of the GCC, reviewing significant financial reporting issues and judgments which they contain;

- 5.2 review the appropriateness, consistency of and any changes to accounting policies;
- 5.3 review the methods used to account for significant or unusual transactions where different approaches are possible;
- 5.4 review whether the GCC has followed appropriate accounting standards and made appropriate estimates and judgments, taking into account the views of the external auditor;
- 5.5 review the clarity of disclosure in the financial reports and the context in which statements are made; and
- 5.6 review all material information presented with the financial statements, such as the financial review and the corporate governance statement, if applicable.

6. Reporting Responsibilities

- 6.1 The Committee Chairman shall report formally to the Council on the Committee's proceedings after each meeting on all matters within its duties and responsibilities, including financial reporting;
- 6.2 The Committee shall make whatever recommendations to the Council it deems appropriate on any area within its remit where action or improvement is needed;
- 6.3 A report on the Committee's activities is to be included within the Governance section of the GCC's Annual Report;
- 6.4 The Committee will present the Strategic Risk Register to Council three times a year; and
- 6.5 At every meeting of Council, the Committee will report to Council every risk scoring over 15 on the risk register.

7. Other Matters

- 7.1 ensure that its members take individual responsibility for identifying training appropriate to their needs and raising these requirements with the Chair of Council;
- 7.2 be provided with an induction programme for new Committee members;
- 7.3 consider issues in relation to succession planning for members of the Committee;
- 7.4 give due consideration to laws and regulations; and
- 7.5 at least once a year, review its own performance, constitution and terms of reference to ensure it is operating effectively and report the results of this review to the Council for approval.

8. Authority

The Committee has delegated authority for:

- Agreeing the planned activity of external audit;
- Proposals for tendering for External Audit services or for purchase of non-audit services from contractors who provide audit services;
- For reviewing the GCC's Strategic Risk Register and reporting to Council any significant changes to the Risk Register; and
- The approval of the auditors' remuneration whether the fees are for audit or non-audit services.

9. Membership

- 9.1 The Chair and members of the Audit Committee including the independent member shall be appointed by the Chair of the GCC and such appointments will be reported by the Chair to Council;

- 9.2 Appointments to the Committee shall be for a period of three years from the date of appointment, or for the length of term remaining for any particular Council member appointed if less than three years;
- 9.3 Members are eligible for re-appointment and there is no maximum term of membership;
- 9.4 The Committee's membership shall be four members of Council including the Committee's chairman and one independent member;
- 9.5 The Chairman of the Council shall not be a member of the Committee; and
- 9.6 The external auditors shall be invited to attend meetings of the Committee on a regular basis. The Committee may request other staff or professional to attend the meeting, if required, to aid in discharging the duties of the Committee.

10. Audit Committee Quorum and Meetings

- 10.1 The Director of Resources and Regulation or their nominee shall act as the Secretary of the Committee; and
- 10.2 The quorum necessary for the transaction of business shall be 3 members, one of whom must be the independent member;
- 10.3 If the Committee's Chair is unable to attend a meeting, the members present will select a Chair for that meeting; and
- 10.4 In the absence of the external independent member, the Committee would co-opt an external member to cover any such absence.

11. Frequency of Meetings

- 11.1 The Committee shall meet at least three times a year at appropriate times in the reporting and audit cycle, and otherwise as required. Meetings will be planned in advance for each reporting year.

12. Notice of Meetings – exceptional and regular

- 12.1 Exceptional meetings of the Committee shall be convened by the Secretary of the Committee at the request of any of its members or at the request of external or internal auditors if they consider it necessary; and
- 12.2 Unless otherwise agreed, notice of each regular meeting of the Committee confirming the venue, time and date together with an agenda of items to be discussed shall be forwarded to each member of the Committee and any other person required to attend, no later than five working days before the date of the meeting. Supporting papers shall be sent to Committee members and to other attendees as appropriate, at the same time.

13. Minutes of Meetings

- 13.1 The Secretary shall minute the proceedings and resolutions of all meetings of the Committee, including recording the names of those present and in attendance;
- 13.2 The Secretary shall record any conflicts of interest divulged at the meeting; and
- 13.3 Minutes of Committee meetings shall be circulated promptly to all members of the Committee and, once agreed, to all members of the Council as part of the papers for the next Council meeting.

14. Dissolution

- 14.4 Dissolution or changes to the terms of reference of the Audit Committee shall be at the discretion of the General Chiropractic Council.

Terms of Reference of the Reappointments Committee

Background

1. Reappointments occur when sitting Council Members or the Chair are appointed for a further consecutive term, following a formal process to assess whether their skills and expertise continue to meet the needs of the Council but without having to go through a further open competition. Decisions to recommend individuals for reappointment should be based on an assessment of whether they have performed satisfactorily during their first term, and whether their skills and expertise will continue to meet the Council's future needs, by reference to their annual appraisal records. The decision should also take into account any conflicts of interest and whether individuals are able to continue to commit the required amount of time to the role.
2. It is for the Council to decide whether reappointments without open competition will be considered in principle, and to ascertain which eligible members would like to seek reappointment. This decision should be taken early enough to allow an open competition to be run if necessary prior to the Council Members' terms ending.
3. Once the Council has decided that reappointments without open competition will be permitted in principle, it will delegate the duties set out below to the Reappointments Committee, to be appointed by the Chair of Council.

Duties

4. The role of the Reappointments Committee is to act on behalf of the Council to:
 - Keep under review the GCC's documented process for reappointing Council Members, ensuring they comply with the Professional Standards Authority's guidance
 - Oversee liaison with the Privy Council and the Professional Standards Authority in relation to the timing and conduct of any reappointments process
 - Ensure that the reappointments process is initiated and progressed in a timely manner and is adequately resourced
 - Recommend candidates to the Council for onward recommendation to the Privy Council for reappointment, in accordance with the reappointments process
 - Report to Council in relation to the effectiveness and efficiency of the GCC's process for reappointments
5. The term of a sitting Council Member or the Chair can be extended outside of a reappointments process if there are particular circumstances justifying it. Such extensions would usually be for a short period (normally less than 12 months). The Reappointments Committee may be asked by the Council to oversee the process for recommending any extension of appointment to the Privy Council.

Authority

6. The Committee is a non-statutory committee of the Council and acts in accordance only once a decision has been taken by the Council that reappointments without an open

competition will be considered in principle in relation to a specific vacancy/vacancies that would otherwise arise.

Membership

7. The membership of the Reappointments Committee shall consist of two Council Members and one independent member, appointed by the Chair of Council for the purpose of the specific reappointments process in question. The Chair of Council shall decide which of the two Council Members appointed to the Committee shall act as Chair.
8. No one shall be eligible to be a member of the Committee if they are themselves eligible for reappointment at that time.
9. If the Chair of Council is applying for re-appointment, the Reappointments Committee in relation to that reappointments process will be selected by the Chair of the Audit Committee and must include a chair of another regulatory body.

Quorum and meetings

10. All members of the Committee must be present for it to be quorate. Meetings will be convened as required by the Chair of the Committee.
11. Attendance at meetings may be permitted via telephone/Skype, at the Chair of the Committee's discretion.
12. In addition, with the agreement of the Committee members, work may be conducted outside of Committee meetings by email, provided that the Chair of the Committee maintains a complete record of such exchanges.

Notices of meetings

13. A member of GCC staff shall act as Clerk to the Committee and shall be responsible for acting upon the instruction of the Chair of the Committee in conducting the administration of Committee meetings, including arranging meeting dates and circulating relevant papers.

Frequency of meetings

14. Meetings will be convened as required by the Chair of the Committee.

Records of meetings

15. The Clerk to the Committee will keep minutes of Committee meetings, to be approved by the Committee and provided to the Council in due course (subject to appropriate steps first being taken to preserve confidentiality of personal information).
16. The Clerk to the Committee shall keep records of any conflicts of interests disclosed prior to or during Committee meetings, and of the decisions taken with regard to those disclosures.

Terms of Reference of the Remuneration Committee

1. Under delegated powers from the Council, the Remuneration Committee will determine:
 - the remuneration, benefits and terms of service for the Chief Executive and Registrar, Deputy Chief Executive and any Director
 - the overall remuneration framework for the remainder of the GCC's employees (including approval of any financial settlement related to their employment).
2. In doing so, the Committee will have regard to:
 - the remuneration trends across the other regulators
 - the need to recruit and retain good quality staff
 - the overall financial position of the GCC
3. The Remuneration Committee will advise the Council on:
 - Remuneration policy for Council members and "GCC Partners" (statutory and non-statutory committee members, legal and medical assessors, Test of Competence Assessors, and Education Visitors)
 - The Expenses policy (or policies) for the GCC
 - Any other matters within its remit referred to it by Council
4. Council members on the Remuneration Committee will have a conflict of interest in relation to remuneration policy for Council members and independent advice should usually be obtained.
5. The Chief Executive or his/her nominee will act as secretary to the Committee

Accountability and Reporting

6. The Committee is accountable to the Council. In reporting its proceedings the Committee should not normally disclose individual remuneration. The Committee may make such recommendations as it feels appropriate on any area of its remit where it feels change is needed.

Composition

7. The Committee, including its Chair, shall be appointed on the recommendation of the Chair of Council. The Committee is to have 4 members, comprising at least 1 registrant and 1 lay member of the Council and 1 independent member. Meetings would be quorate if 2 Council members and the independent member were present.

Frequency and notice of meetings

8. The Committee shall meet at least once a year.
9. The Chair of the Committee will present a report to Council on its activities at least once a year.

Terms of Reference of the Registration Appeals Committee

Duties

1. The Council has delegated to the Registration Appeals Committee under paragraph 15(2)(j) of Schedule 1 to the Chiropractors Act 1994 the function of hearing appeals against decisions of the Registrar, pursuant to section 29 of the Act, and the power to make decisions in respect of such appeals.
2. The Registration Appeals Committee is required to carry out the function of determining appeals on behalf of the Council in relation to certain decisions of the Registrar as set out in the Chiropractors Act 1994 and associated Rules (made by statutory instrument⁵), including:
 - a refusal to register for the first time
 - a refusal to retain a name on the Register
 - a removal of a name from the Register
 - a refusal to restore a name to the Register
3. The availability of an appeal against a decision of the Registrar to remove a name from the register following the registrant's failure to comply with the CPD requirements (or to refuse to restore the applicant's name to the register following such a removal) is set out in Rule 8 of the General Chiropractic Council (Continuing Professional Development) Rules Order of Council 2004.
4. The procedures to be followed once an appeal is made are set out in the General Chiropractic Council (Appeals against Decisions of the Registrar) Rules Order 2000.

Authority

5. The Registration Appeals Committee is a committee of the General Chiropractic Council, acting on delegated authority from the Council in accordance with paragraph 15(2)(j) of Schedule 1 to the Chiropractors Act 1994.

Membership

6. All members of Council are eligible to be appointed by the Chair of Council to act as members of the Registration Appeals Committee. Following notification of an appeal, the Chair of Council will appoint three Council Members to act as the Registration Appeals Committee in relation to that appeal. That appointment will be reported to the Council. Membership of the Committee will always include one lay Council Member and one chiropractor Council Member. The Committee will always be chaired by a lay Council Member, who acts under delegated authority from the Chair of Council in accordance with

⁵ See The General Chiropractic Council (Continuing Professional Development) Rules Order of Council 2004;

the General Chiropractic Council (Appeals against Decisions of the Registrar) Rules Order 2000.

7. Where the decision of the Registrar was based on matters relating to clinical practice the third member will be a chiropractor Council Member.
8. Where the decision of the Registrar was based on other matters the third member will be a lay Council member.

Quorum and meetings

9. The Registrar's nominee shall act as the Clerk to the Committee.
10. The quorum necessary for the transaction of business shall be 3 members. A duly convened meeting of the Committee at which a quorum is present shall be competent to exercise all or any of the authorities, powers and discretions vested in or exercisable by the Committee.

Notices of meetings

11. Meetings are convened by the Clerk to the Committee, following receipt of an appeal, in accordance with the provisions of the General Chiropractic Council (Appeals against Decisions of the Registrar) Rules Order 2000

Frequency of meetings

12. The Committee will meet when appointed by the Chair of Council in order to determine an appeal made against a decision of the Registrar.

Records of meetings

13. A recording is made at each Registration Appeals Committee meeting, and a transcript produced.

Risk Management Strategy

1. Introduction

- a. This strategy sets out the framework on which risk management processes at the GCC are based. The framework ensures a consistent approach to risk management is taken by both Council and the Executive. The strategy should allow individuals to understand how the process works and to clarify the terminology used.

2. Objectives

- a. The objectives of this strategy are:
 - to clearly identify roles and responsibilities for managing risk,
 - to ensure a corporate approach is adopted across the Council which facilitates the prioritisation of risks and avoids duplication of mitigating action,
 - to follow a structured framework for the identification, assessment and evaluation of risks,
 - to ensure risk management principles are embedded in all systems and processes to help demonstrate openness, integrity and accountability in all the Council's activities,
 - to ensure the risk management process contributes to the development of a more robust internal control framework, providing assurance to senior officers and Members that appropriate levels of control exist, and
 - to provide a framework for ensuring actions are proportionate to identified risks thereby efficiently and effectively utilising resources and maintaining a balance between risks and controls.

3. Definitions

- a. **Risk:** Risk is defined as this uncertainty of outcome, whether positive opportunity or negative threat, of actions and events. The risk has to be assessed in respect of the combination of the likelihood of something happening, and the impact which arises if it does actually happen.
- a. **Risk Management:** The process, by which risks are identified, evaluated and controlled, which includes the following

Tolerate the risk - The exposure may be tolerable without any further action being taken. Even if it is not tolerable, the ability to do anything about some risks may be limited, or the cost of

taking any action may be disproportionate to the potential benefit gained. In these cases, the response may be to tolerate the existing level of risk.

Treat the risk - The purpose of treatment is that whilst continuing with the activity giving rise to the risk, action (control) is taken to constrain the risk to an acceptable level. The option to treat can be further analysed into

- Preventative Controls e.g. Segregation of duties, Codes of conduct, staff policies.
- Corrective Controls e.g. Contingency planning, termination terms in contracts
- Directive Controls e.g. Ensuring adequate Health and Safety training before being allowed to carry out some activities
- Detective Controls – e.g. stock and asset checks

Transfer the risk - For some risks, the best response may be to transfer them. This might be done by conventional insurance, or it might be done by paying a third party to take the risk in another way. This option is particularly good for mitigating financial risks or risks to assets. The transfer of risks may be considered to reduce the exposure of the organisation.

Terminate the risk - To not pursue or continue the course of action as the level of risk is unacceptable and cannot be economically mitigated to an acceptable level

- b. **Internal Control:** All measures taken by management to ensure the organisation's objectives are achieved with the optimum use of resources taking into account risks to the organisation.

4. Categories of Risk

The risks facing the organisation can be split into Strategic and Operational.

<p style="text-align: center;">STRATEGIC</p> <p style="text-align: center;">Risks which may threaten the achievement of the Council's objectives</p>	<p style="text-align: center;">OPERATIONAL</p> <p style="text-align: center;">Risks which managers and staff may encounter in the daily course of their work.</p>
<p>Political: failure to deliver on key objectives or Central Government policy</p> <p>Economic: the Council's ability to meet its financial commitments</p> <p>Social: the effects of changes in demographic, residential or socio-economic trends on the Council's ability to deliver its objectives</p> <p>Technological: the Council's capacity to deal with technological change or its ability to use technology to meet changing demands</p> <p>Legislative: current or potential changes in national or European law.</p> <p>Environmental: the environmental consequences of service delivery (in terms of energy efficiency, pollution, re-cycling, landfill needs, emissions etc.)</p> <p>Competitive: the competitiveness of the service/ the ability to deliver the best value.</p> <p>Customer failure to recognise the changing needs and expectations of the registrants and the public.</p>	<p>Professional: professional competencies of staff</p> <p>Financial: financial planning and control and the adequacy of insurance cover</p> <p>Legal: possible breaches of legislation</p> <p>Physical: fire, security, accident prevention and health & safety</p> <p>Contractual: the failure of contractors to deliver services or goods to agreed costs and specifications</p> <p>Technological: reliance on operational equipment (IT systems or equipment and machinery)</p> <p>Environmental: pollution, noise or energy efficiency of ongoing service operation.</p>

Processes

- a. In line with best practice, the Council has adopted a seven-step process to support the implementation of risk management.
- b. This is as follows:

	Steps	
1	Identifying risk	Risks will be identified and cross-referenced, where possible to the achievement of strategic objectives.
2	Analysing risk	The Director of Resources and Regulation will initially assess the probability and impact of the identified risks and the Audit Committee (AC) will validate or change the score upon review.
3	Profiling risk	The evaluation exercise will result in a risk score made up by multiplying the impact score with the probability score from which significant risks can be recognised.
4	Prioritising action	The Strategic Risk Register (SRR) will contain only strategic risks and actions to be taken to mitigate the risk, where possible. Any risk scoring more than 15 will be considered to be a Primary Risk and be included in the SRR and considered by the AC at each meeting and taken to Council at each meeting.
5	Determining action	Further actions required to reduce the threat of the risk occurring or minimise its impact will be stated in the SRR. Target dates and assignment of responsibility will also be stated.
6	Controlling risk	The specified actions will be assigned an owner and carried out as stated in the SRR.
7	Monitoring	The Director of Resources and Regulation will keep the SRR under review and progress against further actions identified will be reported at each meeting of the AC. The identification of risks should be a continual process and risks emerging throughout the year should be evaluated and, where necessary, added to the register. It is the responsibility of all members of Council and senior staff members to identify any areas of risk not captured in the SRR.

5. Roles and Responsibilities

a. Senior Management Team (SMT).

The Director of Resources and Regulation is responsible for maintaining the SRR and ensuring risk awareness by all staff members. It is important that the implications of any changes to service delivery or workloads are considered in respect of potentially increased levels of risk.

The Senior Management Team (SMT) is responsible for considering risks and ensuring that identified risks are included in the SRR. These risks will also be initially risk scored by the Director of Resources and Regulation. An initial action plan for new risks will be added to the SRR along with the updates on the existing action plan. All actions are assigned to a lead owner whose responsibility it is to update the Director of Resources and Regulation on a regular basis of progress.

b. Audit Committee.

The AC will be responsible for ensuring an appropriate strategic risk management strategy is in place, its on-going monitoring and review, and that the risk management procedures are satisfactorily carried out. The AC will also assess the description and nature of any new risks and the initial risk score. The Committee may accept or amend any new risks or risk score. The Committee will also consider all risks where the risk score had been changed since the last review. On an annual basis, the Committee will review the full risk register. The Committee will consider progress on the action plan against the risks identified and agree on any actions for new risks. Where actions identified by the AC have not been carried out in a timely manner, Council should be notified at its next meeting.

c. Council

The ultimate responsibility for the SRR and ensuring that risks are minimised to ensure that the strategic objectives are met rests with Council. The AC reports to Council at least three times a year.

6. Risk Appetite

The GCC has a **cautious attitude** to risk, with regard to strategic risk. That is to say, that the preference is for safe options that have a low degree of inherent risk.

The GCC as a healthcare regulator has a risk-averse position to its statutory duties, financial viability, health and safety, security of sensitive data and safeguarding public confidence.

7. Risk Score

The Risk Score is calculated by multiplying the Likelihood score by the Impact score. Any strategic risks which score above 15 are considered to be Primary Risks and will be reported to Council at each meeting.

a. Likelihood

The matrix used to determine the likelihood score is as follows:

1	Improbable	<ul style="list-style-type: none"> • Has not occurred before • Has not occurred at other Regulatory bodies • Extremely unlikely to occur (less than 10% chance)
2	Remote	<ul style="list-style-type: none"> • Remote risk but could happen within next 3 to 10 years • Has not occurred at GCC but isolated cases have occurred at other Healthcare Regulators
3	Possible	<ul style="list-style-type: none"> • Could happen at least once every 1 to 3 years • New circumstances with little data to indicate the likelihood of occurrence • 50 / 50 chance of it happening
4	Probable	<ul style="list-style-type: none"> • More likely to happen than not • Could occur within next 3 – 12 months • Has occurred in the last five years • Has occurred at some other Healthcare Regulator
5	Almost certain	<ul style="list-style-type: none"> • Has occurred in the last two years • Has occurred at many other Healthcare Regulators • More than an 80% chance of it happening • Likely to happen within next three months or is occurring at present

b. Impact

The matrix used to determine the impact score is as follows:

1	Insignificant	<ul style="list-style-type: none"> • Negligible impact on achievement of service objectives/delivery • Negligible impact on delivery of project – slight slippage or reduction in quality/scope with no overall impact • Negligible financial impact • Limited impact on staff and culture • Minor legal/regulatory impact – no sanction or legal action likely • No damage to reputation or will not result in adverse media comment
2	Minor	<ul style="list-style-type: none"> • Moderate impact on service objectives/delivery - only partially achievable without additional time/resources • Some impact on project – slight slippage against targets • Likely to affect motivation of small groups of staff • Some legal/regulatory impact – could lead to warnings/threats of sanctions/ legal action • Some public embarrassment but no damage to reputation or standing in the community • Financial impact can be contained within budget
3	Moderate	<ul style="list-style-type: none"> • Service objectives/delivery not achievable without considerable additional time/resources • Moderate effect on project timetable and significant elements of scope or functionality may not be available • Moderate impact on staff motivation within particular service(s) • Significant legal/regulatory impact leading to reprimand, sanctions or legal action • Some public embarrassment leading to limited reputational damage (adverse local press) – short term impact • The financial impact cannot be contained within budget and needs additional resourcing.
4	Major	<ul style="list-style-type: none"> • Significant impact on achievement of service objectives/delivery even with additional resources • Failure to meet key project deadlines or project fails to meet needs of proportion of stakeholders • Significant impact on employee motivation generally • Serious legal/regulatory impact leading to sanctions or legal action with significant consequences • Loss of credibility and public confidence in the service / Council (of interest to the national press) • Significant financial impact (>£250,000)

5	Disastrous	<ul style="list-style-type: none"> • Unable to achieve corporate objective or prolonged closure/withdrawal of service • Major project's viability jeopardised through delay or level of quality makes it effectively unusable • Severe impact on staff motivation generally, leading to dissatisfaction and industrial unrest • Major legal/regulatory impact leading to sanctions or legal action with substantial financial or other consequences • Highly damaging to reputation with immediate impact on public confidence • Severe financial impact
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c. Risk Matrix

The risk matrix scoring system is intended to help ensure consistent, meaningful scores that can be used to assess risks.

PROBABILITY	5	Certain	5	10	15	20	25
	4	Probable	4	8	12	16	20
	3	Possible	3	6	9	12	15
	2	Remote	2	4	6	8	10
	1	Improbable	1	2	3	4	5
			1	2	3	4	5
			Insignificant	Minor	Moderate	Major	Disastrous
			Low-----IMPACT-----High				

Procurement and Tendering Policy

Introduction

1. The Procurement Policy is approved by the Council and is consistent with the Financial Regulations.
2. The policy applies to the purchase of all goods, services and works by or on behalf of the GCC.
3. The policy sets out the standards which staff must adhere to in relation to procurement activities.
4. The policy aims to ensure that all procurement activities conducted by the GCC:
 - Achieve good value for money;
 - Are conducted in a fair, objective and transparent manner;
 - Are compliant with relevant law and regulation;
 - Effectively manage commercial risk; and
 - Meet the short and long-term objectives of the business.

Responsibilities

Executive

5. The members of the Senior Management Team (SMT) must familiarize themselves with the policy and the related procedures. Where a member of the SMT has delegated responsibility for any procurement activity to another member of staff, they must ensure that they are also familiar with the policy and the procedures.
6. All staff members are responsible for ensuring that all procurement activity complies with the policy and achieves good value for money.
7. The lead Director on any contract will manage the performance of that supplier.
8. All staff members are to be made aware of their responsibilities in relation to this policy by the Director of Resources and Regulation.

Tender panel members

9. Members of a tender panel are responsible for familiarising themselves with the policy and the related procedures, and evaluating bids in accordance with the policy and the evaluation criteria and weightings agreed by the panel.
10. The panel for tenders up to the EU threshold will be made up of at least two members of the SMT. Where they agree it is appropriate, the panel may also include an independent specialist.
11. The panel for tenders above the EU threshold will consist of the Chief Executive & Registrar and at least one other member of the SMT. The Chief Executive & Registrar will decide on the panel membership, and may add to it an independent specialist.

The procurement function

12. The Director of Resources and Regulation is responsible for advising the Council, the SMT and staff on the policy and for supporting the GCC's procurement activities.

Meeting the objectives of the business

Planning and specification

13. Any tendering activity for new goods and services will usually be referred to in the business plan agreed by the Council. The basis for any new contract should be justified by reference to: the business plan/the Strategic Statement; the economic case; commercial viability for all parties; affordability; and achievability. For any advice please refer to the Director of Resources and Regulation.
14. To achieve value for money it is essential to buy the right product/service. The specification is therefore a key part of any invitation to tender and it must be accurately and completed incorporated into the contract.
15. Re-tendering of existing contracts is planned on the basis of contractual expiry dates. The SMT are jointly responsible for monitoring expiry dates and planning any re-tendering process.

Compliance with the policy

16. Our procurement is subject to audit by our external auditors. The Director of Resources and Regulation will also periodically check compliance with the policy. The policy will be covered within the induction process for all staff members. Breaches of the policy may be regarded as misconduct or gross misconduct.

Legislation

17. As a public body, the GCC is subject to the Public Contracts Regulations 2015 (the Regulations) as updated or amended from time to time. Procurements with a total value greater than the thresholds which apply in the Regulations must be carried out in compliance with the Regulations and applicable case law.

Value thresholds

18. Under the Regulations and this policy, requirements vary according to the value of the contract. The thresholds in this policy are stated excluding VAT.
19. The value of a contract must be measured as the aggregate amount the GCC expects to pay the supplier over the lifetime of the contract. Contracts must not be artificially disaggregated or shortened in order to avoid the application of the Regulations or this policy. If there is any doubt in respect of the value of the contract, the Director of Resources and Regulation must be consulted.

Table 1: Procurement routes and value thresholds

Total estimated contract value including VAT	Method of selection	Internal authorisation level – who can approve the selection of the supplier	Method of acceptance
£0 - £5,000	One quotation required	Member of SMT	Approved purchase order (PO)

£5,001 - £25,000	Competition with minimum of three written quotations	Member of SMT	Contract signed by Chief Executive & Registrar
£25,001 ⁶ – relevant EU threshold	Formal written tender	Tender panel	Contract signed by Chief Executive & Registrar
Above relevant EU threshold	Use of an EU compliant framework agreement unless, exceptionally, no appropriate framework exists, in which case a regulated tender is required following advertisement in the OJEU pursuant to the Regulations (unless specifically exempted)	Director of Resources and Regulation to be involved from outset and throughout the process. Legal advice required if a framework agreement is not used. Tender panel makes final selection	Contract signed by Chief Executive & Registrar and approved by the Chair of Council.

20. EU thresholds are modified from time to time by the European Commission. The current thresholds are available from: <http://www.ojec.com/thresholds.aspx>

21. The GCC is an “other public sector contracting authority”.

Table 2: EU threshold values as at January 2016

Type of Contract	Threshold excluding VAT
Services & Supply (includes supply, lease, rental or hire purchase of goods, excluding employment contracts)	£164,176
Works (building & engineering, including capital works)	£4,104,394

Framework agreements

22. Framework agreements are contracts that have been let in compliance with the Public Contracts Regulations and EU procurement rules. The UK government’s procurement service, Crown Commercial Services (formerly the Government Procurement Service) has established a wide range of framework agreements covering almost all the goods and services bought by the public sector.

⁶ Note that the Regulations introduced new requirements that apply when a procurement opportunity with a value above £25,000 is advertised. If a staff member intends to advertise a procurement opportunity through any channel, they must first check with the Director of Resources and Regulation.

23. Typically a framework agreement consists of a menu of goods or services or pre-agreed specifications and prices, provided via a standard set of terms and conditions. There may be a number of different suppliers providing the goods and services, but sometimes there is only one supplier.
24. The GCC will use framework agreements for all procurements above the relevant EU threshold values and encourages the use of framework agreements below the thresholds, where possible.

Single supplier arrangements

25. This provision applies where the SMT agrees (by majority) that there is only one possible contractor or supplier that is suitable for a given contract.
26. Where that is the case, and the total value of the contract is between £5,000 - £25,000, a note will be made of the SMT's agreement to that effect which must be signed and dated by the SMT members, and the contract will be signed by the Chief Executive & Registrar.
27. Where the total value of the contract is greater than £25,000 but below the EU threshold, any single supplier arrangement may only be entered into with the agreement of the Chief Executive & Registrar and the agreement of the Chair of the Council. A note will be made to record that agreement, which must be signed and dated.

Value for money

28. Value for money is the optimum combination of whole life costs and quality, on appropriate contractual terms and with appropriate allocation of risk, to meet the GCC's business needs and requirements.
29. The GCC's procurement activities must achieve good value for money. This is partly about getting the right price, but it is more important to buy the right product/service.
30. The extent of competition required depends on the value of the procurement, as set out in Table 1. For procurement of goods or services costing less than £5,000, the potential cost savings achieved from a competitive procurement process is unlikely to be significant and may be outweighed by the extra staff time involved in arranging a competitive process, so competition is not required below the £5,000 threshold.
31. To ensure value for money, contracts need to be re-tendered at appropriate intervals. For goods and services, contract terms should normally not exceed 4 years, but contracts may have an option to extend the term by one year.
32. Prices under framework agreements are normally fixed, but they meet our requirement for competition because the framework prices have been established through a competitive process.

Fairness, objectivity and transparency

Ethics

33. All staff involved in procurement activities are expected to behave ethically at all times. All staff shall be open, honest, fair and impartial in their dealings with suppliers. In particular, staff members must familiarize themselves with and comply with the Anti-Fraud and Bribery/Corruption Policy and the Gifts and Hospitality Policy and make the appropriate declarations of interests.

34. Anyone involved in a procurement who has a current or past business or personal relationship with, or has close friends or relatives employed by, potential bidders for GCC contracts just disclose their interest to the Director of Resources and Regulation at the outset, and may be excluded from the procurement process completely or restricted to a limited role.

Freedom of Information

35. The GCC is subject to the Freedom of Information Act 2000. This means that anyone who makes a valid request for information held by the GCC will be entitled to receive it – unless all or part of that information can and should justifiably be withheld under the exemptions contained within the Act. All tenderers should be made aware at the beginning of the process that that is the case.
36. Suppliers may seek to prevent the GCC from disclosing information relating to their goods or services or pricing under the exemptions in the Act for confidential or commercially prejudicial information (sections 41 and 43 of the Act). In those cases, advice should be sought from the Director of Resources and Regulation.

Equality and Inclusion

37. The GCC conducts business in accordance with the Equality Act 2010, which requires the GCC to ensure that it does not discriminate on the grounds of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.
38. The GCC will require suppliers, where appropriate, to be aligned with the GCC's corporate objectives for equality and inclusion as outlined in the GCC's Equality and Diversity Policy.

Compliance with law and regulation

Public Contracts Regulations

39. As noted above, the GCC is subject to the Public Contracts Regulations 2015 (the Regulations) as updated or amended from time to time. The Regulations transpose the 2014 EU Public Contracts Directive into English law. Procurements with a total value greater than the thresholds which apply to the Regulations must be carried out in compliance with the Regulations and applicable case law.
40. The Regulation also incorporate UK-specific requirements designed to improve the access of small businesses to public sector contracts, known as the 'Young Reforms'. The main impact of the Young Reforms on the GCC is where we advertise a contract with an expected value greater than £25,000.
41. The GCC can have reasonable assurance of compliance through the use of an appropriate framework agreement.

Data Protection Act

42. In the course of its business, the GCC processes or holds personal data about registrants, employees and others. Under the Data Protect Act the GCC is the Data Controller in relation to this personal data and must ensure that it is held and processed in accordance with the eight principles in the Act, which are that the personal data must be:
 - Used fairly and lawfully

- Used for limited, specifically stated purposes
 - Used in a way that is adequate, relevant and not excessive
 - Accurate
 - Kept for no longer than is absolutely necessary
 - Handled according to people's data protection rights
 - Kept safe and secure; and
 - Not transferred outside the European Economic Area without adequate protection
43. The GCC's responsibilities under the Act apply equally to services we perform in house and those we outsource to suppliers. The GCC requires suppliers to have information security policies and procedures appropriate to the nature of the GCC information the suppliers handle. Procurement procedures set out the process for determining the standard of information security we require from the supplier of a given service, and the method of determining whether bidders and existing suppliers meet that standard. Where it is determined following the procedures that a supplier is a Data Processor on behalf of the GCC, then the supplier's responsibilities will be documented within the contract.

Freedom of Information

44. See above.

Bribery Act

45. See above.

Managing commercial risk

Terms and conditions

46. Framework agreement terms and conditions have been negotiated using central government buying power and are favourable to the customer. Some tailoring of the standard terms is normally required – consult the Director of Resources and Regulation for advice. The GCC's standard terms and conditions should normally be used in contracts for ongoing services that are not placed via framework agreements. Invitations to tender should include our terms and conditions so as to pre-empt any discussion over terms and conditions at the contract award stage.
47. Our standard terms and conditions ensure a reasonable transfer of risk to the supplier, for examples through the clauses on price changes, termination, intellectual property, confidentiality and supplier's liability.
48. In the event that a supplier seeks to impose their own terms and conditions, the matter must be referred to the Director of Resources and Regulation who will decide whether or not legal advice should be obtained. Records must be kept of any decision made to proceed other than on the GCC's terms and conditions.

Legal advice

49. It may be appropriate to seek legal advice on a procurement issue, but only if the risk on which the advice is taken has a greater potential cost than the cost of the advice itself.

Disagreements with suppliers over terms and conditions should be seen in the context of the contract value and the worst case impact of the disputed terms.

Business continuity

50. The financial failure or lack of capacity of a key supplier could have a significant impact on the delivery of the GCC's functions, and therefore the GCC requires suppliers to have financial and economic standing and technical capacity and ability appropriate to the nature of the service they will provide to the GCC. The Director of Resources and Regulation should be consulted on determining the level of financial health and capacity we require from the supplier of a given service and for evaluating the financial health and capacity of bidders for that service. The Director of Resources and Regulation will periodically re-evaluate the financial health and capacity of existing suppliers of key services, in order to identify business continuity risks.

Managing contracts

51. The relevant member of the SMT is responsible for managing the supplier's performance under the contract, and ensuring that the supplier delivers to the agreed specification, so that the GCC achieves value for money.
52. Contracts that are above £25,000 in value should be subject to a documented review at least annually and progress reported as part of the performance report to the Council.

Recording

53. Contracts of a value above £5,000 should be subject to a documented review at least annually and progress reported as part of the performance report to the Council.
54. All contracts of a value above £5,000 must be filed by the Director of Resources and Regulation.
55. The process to set up a new supplier (which is essential before a new supplier can be paid) includes confirmations that the contract has been signed and that the appropriate selection process was followed, and that the data security and business continuity requirements have been met.
56. The relevant member of the SMT is responsible for retaining documents for procurement under the EU threshold. Documents retained must include the invitation to tender, all tenders submitted, the evaluation of bids and correspondence with the successful and unsuccessful bidders. Documents must be retained until the end of the financial year following the award of the contract.

Exceptions

57. If a member of the SMT considers that an exception to this policy needs to be made in relation to a procurement with a value greater than £5,000, he/she must consult the Director of Resources and Regulation before any commitment is made to a supplier. The reasons for the request for an exception must be set out in writing, as must the Director of Resources and Regulation's decision to make any such exception.
58. Legal advice will be required on any proposed exception to policy in relation to a procurement above the relevant EU threshold.

Further information

59. Advice on any aspect of this policy can be obtained from the Director of Resources and Regulation.

Anti-Fraud and Bribery/Corruption Policy

Public Statement

1. We are committed to preventing, detecting and eliminating fraudulent and corrupt practices and will consistently apply the letter and spirit of applicable legislation in all the areas in which we operate.
2. We expect Council Members and GCC Partners, staff and anyone else conducting work for the GCC to have, and be seen to have, the highest standards of honesty, propriety, and integrity in the exercise of their duties.
3. The GCC will not tolerate any giving or receiving of bribes, including the making of facilitation payments and we will not tolerate any form of corruption. We will investigate cases of suspected corruption and take the appropriate action, including reporting to the appropriate authorities, disciplinary action, prosecution and active pursuit of recovery.
4. We also expect others working with us or on our behalf, for example, consultants and third parties, to comply with our policy and ensure that they have in place their own policy and procedures to prevent and detect bribery, fraud, and corruption.
5. Any breach of our policy will be regarded as a serious matter and is likely to result in disciplinary action and/or legal action.

Purpose

6. The purpose of this policy is to underline our commitment to the prevention of fraud, bribery and corruption and to clarify our expectations from Council Members, GCC Partners, staff, and anyone else conducting work for the GCC. It demonstrates that we have in place adequate procedures designed to prevent persons associated with the GCC from being involved in fraud, bribery or corruption.

Scope

7. This policy applies to all Council Members, GCC Partners, GCC staff and anyone else conducting work for the GCC (including experts) (whether permanent or temporary).
8. We also expect others working with us or on our behalf, for example, consultants and third parties, to comply with this policy and ensure that they have in place their own policy and procedures to prevent and detect bribery, fraud, and corruption. This policy will be supplied to those working with us upon commencement of any contract.
9. Compliance with this policy is mandatory. Non-compliance for employees is considered to be gross misconduct. Non-compliance for Council Members and GCC Partners is a breach of the Code of Conduct which could result in removal from office.

Bribery

10. Bribery is a criminal offence under the Bribery Act 2010, which came into force on 1 July 2011.
11. It is defined as “offering, promising or giving someone a financial or other advantage to encourage them to perform their functions or activities improperly, and includes where it is known or believed that the acceptance of the advantage in itself constitutes improper performance. It also includes asking for or agreeing to accept a bribe”.
12. This also includes facilitation payments (small bribes paid to speed up a service) and bribes under duress (blackmail and extortion).

Money Laundering

13. Money laundering is a criminal offence under the Money Laundering Regulations 2007. In addition, money laundering is also a criminal offence under the Proceeds of Crime Act 2002, Terrorism Act 2000, Anti-Terrorist Crime and Security Act 2001 and Counter-Terrorism Act 2008.
14. Money laundering is defined as “exchanging money or assets that were obtained criminally for money or other assets that are 'clean'”. The 'clean' money or assets do not have an obvious link with any criminal activity. Money laundering also includes money that is used to fund terrorism, however it is obtained. The term 'laundering' is used because criminals turn 'dirty' money into 'clean' funds which can then be integrated into the legitimate economy as though they have been acquired lawfully.

Fraud and Theft

15. Fraud is a criminal offence under the Fraud Act 2006. There are many technical definitions of fraud, but we define it as a form of dishonesty, involving either false representation, failing to disclose information or abuse of position, undertaken in order to make a gain or cause loss to another.
16. Theft is a criminal offence. The Theft Act 1968 covers the criminal definition of theft and the associated offence of 'false accounting'.
17. Fraud and theft are serious matters and Council is committed to investigating all cases of suspected fraud. Any member of staff, regardless of their position or seniority, against whom prima facie evidence of fraud is found, will be subject to disciplinary procedures that may result in dismissal. The GCC will in some serious cases involve the police and may seek redress via civil proceedings

Corruption

18. Corruption is a form of dishonest or unethical conduct by a person entrusted with a position of authority, often to acquire personal benefit.
19. Examples of areas where corruption can occur include pricing quotations, tendering and awarding of contracts, appointment and reward of outside consultants and recruitment via agencies. Corruption can also occur where there is a failure to follow procurement processes and make appointments outside of due process.
20. Types of inducement include cash, 'free' holidays, 'free' professional services/advice, provision of goods or materials, 'free' entertainment such as tickets for sporting events. This could amount to bribery and the procedures contained within this policy are intended to ensure that all individuals acting on behalf of the GCC do not engage in this activity
21. Council has a specific policy on Gifts and Hospitality which must be adhered to at all times.

Prevention and Detection

22. We expect all those covered by this policy to:
 - support the GCC public statement in relation to fraud, bribery, and corruption;
 - comply with this policy and other policies which have a bearing on this area of work, for example (this list is not exhaustive) policies on contracts and procurement, declaration of interests and the receipt and provision of gifts and hospitality;
 - have, and be seen to have, the highest standards of honesty, propriety, and integrity in the exercise of their duties;

- report all suspected and known cases of bribery, money laundering, fraud, theft and corruption in accordance with the procedure set out below; and
- assist in any investigation.

23. We will:

- publish this policy which sets out our commitment to preventing bribery and corruption;
- undertake a risk assessment of our exposure to potential external and internal risks;
- ensure we have suitable levels of internal controls embedded in our day to day practices, particularly in relation to financial procedures;
- ensure our Council Members, GCC Partners, staff and anyone else conducting work for the GCC are aware of their duties in relation to the management of interests; receipt and provision of gifts and hospitality; and how this policy applies to them;
- ensure there are appropriate processes in place to report concerns regarding bribery, money laundering, fraud, theft, and corruption;
- ensure there are appropriate processes in place to effect prompt investigation upon receipt of concerns;
- ensure an appropriate whistleblowing policy is in place;
- provide training and guidance as necessary in order for people to understand their role in relation to preventing bribery, money laundering, fraud, theft, and corruption;
- record and report on allegations received under this policy in accordance with the procedures set out below;
- take appropriate disciplinary and legal action if and when necessary such as dismissal, removal from office and termination of contract; and
- inform the relevant authorities, such as the police, if the circumstances and evidence are appropriate.

Top level commitment

24. Anti-fraud and bribery/corruption procedures are committed to from the top level of the organization with Council Members, the Chief Executive and Registrar, and the Senior Management Team completing a register of interests which is published and updated regularly. GCC Partners are also required to declare any interests.
25. Council Members and GCC Partners are required to adhere to the principles of public life, set out by the Committee on Standards in Public life. The Code of Conduct which they are required to comply with is also based upon these principles.
26. Council Members, GCC Partners and GCC staff are required to comply with the gifts and hospitality policy at all times.

Inclusion in risk management

27. As part of its regular risk management processes, the organisation assesses the nature and extent of its exposure to risks of fraud, bribery/corruption and the measures taken to mitigate those risks. The strategic risk register is reviewed at every meeting of the Audit Committee, with oversight by the Council.

Communication

28. The anti-fraud and bribery/corruption policy will be shared with all staff. It will also be published on the GCC's website as part of the organisation's governance framework. The register of interests is published on the GCC website.

Due Diligence

29. In addition to the codes of conduct, register of interests and register of gifts & hospitality mentioned above, the GCC exercises due diligence through its whistleblowing, financial management policies and procedures.
30. Fair and transparent recruitment procedures are in place for Council Members, GCC Partners, and staff, which include due diligence with regard to reference checks. Performance review processes are in place for Council Members, GCC Partners (other than Legal and Medical Assessors) and GCC staff.
31. The GCC's financial regulations are a key mechanism for managing financial risks. The regulations act as a control against inappropriate expenditure and a protection against fraud, establishing a framework within which the internal financial control systems are built.
32. Due diligence is taken in procurement and tendering processes.

Monitoring

33. Registers of interests and gifts & hospitality are monitored and updated at least every 12 months. The whistleblowing policy is in place to enable anyone involved in work for the GCC to report suspicions and remain protected. The GCC has an expenses policy which details what expenses may be reimbursed and stipulates that all expenses (except Underground and bus fares and parking) must be evidenced by a receipt.
34. Council Member expenses are published in the annual report.
35. The operation of this policy is reviewed by the Audit Committee annually.

Proportionality

36. The anti-fraud and bribery/corruption policy aims to be proportionate to the risks it addresses and the benefit the statement brings. The GCC's anti-fraud and bribery/corruption policy is not intended to cause unnecessary burdens or bureaucracy. The policies and procedures have been put in place in order to provide robust protection against possible incidences of fraud, bribery, and corruption.

Reporting your concerns

37. If you suspect that a Council Member, GCC Partner, staff member or other person conducting work for the GCC has breached this policy you should report your concerns as follows:
 - if your concern is about an employee or a GCC Partner – report your concerns to the Chief Executive and Registrar. If it would not be appropriate to do this for any reason, you should report your concerns to the Chair of the Audit Committee;
 - if your concern is about a Council Member or the Chief Executive and Registrar – report your concerns to the Chair of Council; and
 - for any other concerns – report your concerns to the Chief Executive and Registrar
38. Furthermore, you should;
 - document your concerns immediately, in as much detail as possible;
 - include all relevant details such as dates, times, places, details of phone conversations, names of those involved;
 - not attempt to carry out an investigation yourself as this might damage any subsequent enquiry and could lead to a loss of evidence; and
 - co-operate fully with the person(s) leading the investigation.

Investigation

39. All allegations of non-compliance with this policy will be investigated by or under the supervision of the person receiving the complaint in the section above.
40. If the allegations are sufficiently serious we may inform the relevant authorities (for example, the police or Serious Fraud Office) before we initiate our own investigation. Any decision about onward reporting will be made by the person to whom the concern was reported.
41. In all instances we will:
 - ensure that wherever these concerns come from they are treated seriously and we will respect confidentiality, as far as possible.
 - carry out a thorough investigation of all concerns raised.
42. The purpose of this procedure is to define authority levels, responsibilities for action and reporting lines in the event of suspected fraud, bribery, corruption or other irregularity. Those investigating should:
 - aim to prevent any further loss from occurring
 - liaise with the GCC's insurance brokers, as appropriate
 - establish and secure evidence necessary for disciplinary action
 - inform the police, where necessary, and seek their advice as to securing evidence in relation to criminal action
 - notify the Council, as necessary
 - endeavour to recover any losses
 - take appropriate action against those responsible (which in relation to Council Members or GCC Partners, might include onward reporting so that action can be taken in accordance with the statutory framework)
 - inform those with a genuine need to know both inside and outside the organisation on a confidential basis, about the incident and the institution's response to it
 - review the reasons for the incident, the measures taken to prevent a recurrence, and any action needed to strengthen future responses to fraud, bribery or corruption.

Prevention of further loss

43. Where initial investigation provides reasonable grounds for suspecting others of fraud, bribery or corruption, in order to prevent any further loss it may be necessary to suspend any employee involved (or to take appropriate steps to effect consideration of suspension of any Council Member or GCC Partner involved). It may also be necessary to take other measures to remove individuals' access rights to the GCC office and IT systems.

Reporting lines

44. The person responsible for the investigation will provide regular, confidential reports to the Chair of Council and/or to the Chair of the Audit Committee, as appropriate, which will include:
 - quantification of any losses
 - progress with recovery action
 - progress with disciplinary action
 - progress with criminal action
 - estimate of resources required to conclude the investigation

45. That person will also be expected to report to the Audit Committee on the actions taken in this case to prevent loss and the changes required to the internal control systems in order to detect any future similar incidents. The Audit Committee will report on the incident and any changes proposed to the internal control systems to Council.

Linked policies

46. This policy does not stand alone and is supported by a number of other policies including the:

- Whistleblowing policy
- Gift and hospitality policy
- Procurement and tendering policy
- Disciplinary and Capability policy
- Code of Conduct
- Financial Regulations
- Expenses policy



REGISTER OF COUNCIL MEMBERS' AND GCC PARTNERS INTERESTS

Excerpts from the Council's Statement on Council Members' and GCC Partners' Interests

Indirect pecuniary interests arise from connections with bodies that have a direct pecuniary interest or from being a business partner of, or being employed by, a person with such an interest. Non-pecuniary interests include those arising from membership of clubs or other organisations. Close family members include spouses or partners, parents, children (adult and minor), brothers, sisters and personal partners of any of these.

The GCC's register of interests will be open to the public. Details of how access can be obtained will be given in information leaflets or included in annual reports. Council members and GCC Partners are required to update their entry as changes occur.

Please complete and return this form to the Chief Executive and Registrar no later than

23rd January 2018

REGISTER OF COUNCIL MEMBERS' AND GCC PARTNERS' INTERESTS

Members of Council and GCC Partners are required to complete and maintain a declaration of their interests, and those of any family members. They are required to declare three main forms of interest

- a direct pecuniary interest
- an indirect pecuniary interest
- a non-pecuniary interest
- a close family interest

Although declarations of interest must be made at least once each year, Council Members and GCC Partners are also required to ensure that their declarations are kept up to date and any changes notified to the office immediately.

Failure to maintain an accurate declaration of interests constitutes a breach of the Code of Conduct and may result in action being taken under the relevant statutory rules or GCC procedures.

In making declarations individuals are advised to err on the side of caution and to declare any matter that may be perceived by a third party as an interest.

Direct Pecuniary Interest

A direct pecuniary interest arises from a situation where a decision of Council/the relevant committee might have a direct bearing on the financial position of the Council Member/GCC Partner concerned, and will include such matters as employment by an accredited educational institution or payment⁷ by an association, company or other body seeking to contract with or otherwise influence the policies of the Council.

Council Members/GCC Partners who are chiropractors should declare any directorships or partnerships in companies or businesses relating to their practice of chiropractic.

Indirect Pecuniary Interest

An indirect pecuniary advantage arises from connections with persons (e.g. spouses, partners, other close family members, associates), companies or other bodies which have a direct pecuniary interest.

Non-Pecuniary Interest

A non-pecuniary interest arises in any situation where membership of a club, association⁸ or other organisation by the Council Member/GCC Partner, or a family member or close associate, could give rise to a situation where members of the public may perceive or

⁷ Individuals should declare all such payments that have been received since their last declaration of interests. Please give the date, nature (e.g. reimbursement of expenses, attendance allowance) and amount of such payments (other than for salaries). Although details of direct pecuniary interests will be published, the details of payments received will not.

⁸ Members of Council/GCC Partners who are chiropractors must declare any membership of a chiropractic professional association, whether UK based or international. If they or a family member or close associate hold any office in such an association this should also be declared.

reasonably infer that the individual's judgement might be influenced when considering an item of Council/committee business, irrespective of whether or not such an item related to financial matters.

Close Family interests

These include all financial and non-financial interests of close family members and persons living in the same household as the board member that could be thought of as relevant to GCC activity. Close family members include personal partners, parents, children (adult and minor), brothers, sisters and the personal partners of any of these.

Section A: DIRECT PECUNIARY INTERESTS (DPI)

Description of DPI

Payments, Goods or Services Received

Date:	Received from:	Nature of Payment, Goods or Services:	Amount/Value £

Please continue on a separate sheet if necessary.

«NAME»

Section B: INDIRECT PECUNIARY INTERESTS (IPI)

Description of IPI

Please continue on a separate sheet if necessary

Section C: NON-PECUNIARY INTERESTS (NPI)

Description of NPI

Please continue on a separate sheet if necessary

Section D: CLOSE FAMILY INTEREST (CFI)

Description of CFI

Please continue on a separate sheet if necessary

Section E: DECLARATION

I hereby declare that, to the best of my knowledge, the interests outlined above are all those that may be relevant to my role as a Member of the General Chiropractic Council/GCC Partner.

I undertake to notify the Chief Executive and Registrar of any changes to my declared interests during the forthcoming year.

I understand that failure to declare any relevant interest may render me liable to proceedings under the relevant statutory provisions/GCC procedures.

Name of Member: «NAME»

Signature: _____

Date: _____

Appraisals: Guidance for Council members

1. Introduction

- 1.1. The appraisals process provides a framework for:
 - holding all Council members to account for their performance;
 - setting appropriate objectives; and
 - identifying learning and development needs.
- 1.2. As a minimum, appraisals will be carried out annually throughout the term of appointment. This may be supplemented by interim review(s) where necessary and appropriate.
- 1.3. All appraisals must be formally recorded.
- 1.4. Evidence that an appraisal has taken place and details of the performance assessment made must be recorded on the appropriate form provided for this.
- 1.5. Information obtained and recorded through the appraisal process will be held by the GCC.
- 1.6. Information from the appraisal will be used to support decisions about reappointment. It should be noted that there can be no guarantee of reappointment.

2. Key principles for effective appraisals

- 2.1. Research conducted by the Chartered Institute of Personnel and Development (and others) indicates that the following points contribute towards effective appraisals:
 - The appraisal should be mainly developmental and future-oriented, not focused on a catalogue of failures and omissions.
 - The aim of the review meeting is to encourage the member of Council to do most of the talking and the Chair most of the listening. It is the quality of that dialogue that creates an effective appraisal.
 - Two-way constructive feedback should be encouraged, allowing both the Council member and the Chair to gain insights and awareness.
 - Feedback given should relate to the whole period covered by the review, not just recent or isolated events. There should be no surprises for the Council member in terms of feedback.
 - The Chair should assess performance, not personality, and recognise and value the diversity of the individual being appraised.
- 2.2. The content of the appraisal will remain confidential as far as possible.

3. Roles and responsibilities in the appraisal process

- 3.1. The responsibilities of the Council member are:
 - to agree a date for the appraisal with the Chair;
 - to prepare for the meeting and send completed paperwork to the Chair prior to the meeting;
 - to participate in a frank and constructive discussion on performance of the past year;
 - To discuss, negotiate and agree a set of objectives with the Chair;
 - To agree a mid-term progress review if necessary/ desired; and
 - to consider the Chair of Council's completed member appraisal form on the Council member's performance.

4. The framework for appraisals

This section provides some useful checklist questions, hints and tips to help you to get the most out of your appraisal.

4.1. Preparation

- 4.1.1. A Council member has a right to an effective appraisal. Ideally, sufficient time should be allowed between arrangement of the meeting and the meeting date. The meeting should be arranged by the Chair, in consultation with you.
- 4.1.2. Preparation requires time and is essentially an opportunity to reflect on and review achievements and performance over the last year.
- 4.1.3. Make sure you have reviewed relevant documentation and collected any data that will “evidence” your achievements over the past year. This could include:
 - Progress towards any previously set objectives.
 - Records of attendance at and contribution to Council meetings, non-statutory committees etc.
 - Evidence of fulfilment of special responsibilities such as Audit Committee etc.

This information can be shared with the Chair of Council in advance. You may also wish to consider and outline what new objectives might be appropriate for you and prepare to discuss them with the Chair.

- 4.1.4. Different people require different methods of reflection. Some people will jot down ideas, whilst others may write more formally. Some people will talk things over with colleagues or with their partner, while others may sit and think. Whichever method suits you, remember that good preparation will help you to contribute clearly and with confidence in all stages of the meeting.

4.2. The appraisal meeting

- 4.2.1. The appraisal meeting will typically cover:
 - A review of your achievements and performance over the year, including a review of any objectives that were set;
 - Setting new objectives for the forthcoming year;
 - Identification of any learning and development needs; and
 - The completion of a personal development plan.
- 4.2.2. The appraisal will usually begin with a review of the past year and a discussion of key contributions and challenges. This should be an open and honest discussion to explore, identify and consider in what way internal and external factors contributed to these key elements.
 - ❖ *At this stage you should be doing most of the talking and the Chair will be listening, asking appropriate questions to ensure he/she has understood fully what you are saying.*
 - ❖ *If you are describing problems and barriers, be prepared to discuss possible solutions and ask for the Chair's input if you feel it would be helpful. The preparation you have done will assist with this.*
- 4.2.3. The next part of the appraisal is based around agreeing what should happen in the future. This involves agreeing a set of objectives for the year ahead.

- 4.2.4. The final part of the meeting includes identifying any learning and development needs. Typically, learning and development needs arise from:
- a need to develop some aspect of your performance;
 - new objectives that have been agreed which require the individual to 'refresh' or develop particular knowledge, skills or behaviours; and
 - the aspiration of the individual to take on new roles e.g. Chair of Council or Chair of the Audit Committee.
- 4.2.5. Learning and development needs are recorded and prioritised so that progress against meeting those needs can be reviewed.

4.3. **Assessment of performance**

- 4.3.1. The appraisals process includes an assessment of achievement and performance by the Chair. This will be based partly on achievement against objectives, overall contribution to the Council and its committees and the competences and behaviours used by the individual. The competency framework for Council members is used to assist in this. A copy of this is attached as Appendix A and if you are not familiar with it, you might find it useful to study it as part of your preparation for the appraisal.
- 4.3.2. An overall performance rating is awarded as follows:
- ❖ *Fully Satisfactory*
 - ❖ *Generally Competent with Areas for Improvement*
 - ❖ *Significant areas of weakness*

4.4. **Completing documentation**

- 4.4.1. At the end of the appraisal meeting there is some necessary documentation to be completed and signed off by the Chair and yourself. The original documentation is retained by your Chair with copies provided for yourself.
- 4.4.2. A Summary Form should also be completed and signed.

COUNCIL MEMBER APPRAISAL

For the period of 1 January 2016 to 31 December 2016

General
Chiropractic
Council



NAME:

APPRAISAL DATE:

Self appraisal

Please refer to Appendix A, 'Competencies for members of Council' to help complete this form.

Public interest/involvement focus

Strategic direction

Intellectual flexibility

Team working

Holding to account

Effective influencing and communication

Self belief and drive

What improvements can you identify for the way in which Council functions?

Self Assessment

Consider each area of skills/knowledge below and mark an 'x' in the box you feel best represents your current level, ranging from 1 (basic knowledge) to 5 (expert knowledge).

Skills /knowledge	1 (basic)	2	3	4	5 (expert)
Strategic planning					
Governance					
Policy development					
Effective chairing of meetings					
Audit					
Financial management					
Risk management					
Performance management					
Quality Assurance					
HR issues					
Employment law					
Stakeholder management					
Consultation expertise					
Communications					
IT					
Regulation					
General legal issues					

OBJECTIVE SETTING AND LEARNING & DEVELOPMENT FOR 2017

Please outline plans for personal contribution to the work of the Council in the year ahead.

NB It is suggested that no more than five objectives will be necessary, which preferably should be linked to one or more of the objectives in the Council's Strategic Statement.

1	
2	
3	
4	
5	

Please identify any learning and development needs and link these to the objectives above, if appropriate.

	Development needs	Action to be Taken	Timescale
1			
2			
3			

Objectives agreed

Member of Council	
Chair of Council	
Date	

Competences for members of Council

- 1.1 **Public interest/involvement focus**
 - demonstrates adherence to the Nolan principles of public life (a guide is attached as Annex A)
 - demonstrates commitment to protecting patients and the public
 - demonstrates commitment to securing public/patient involvement
- 1.2 **Strategic direction**
 - demonstrates a comprehensive understanding of the GCC and the context in which it performs the full range of its statutory duties and responsibilities
 - thinks and plans based on the long view, balancing needs and constraints
 - demonstrates sound judgement
- 1.3 **Intellectual flexibility**
 - thinks clearly, analytically and creatively
 - sees the big picture as well as the detail
 - makes sense of complexity
 - weighs up other people's ideas and has own ideas
- 1.4 **Team working**
 - prepares well for meetings
 - builds constructive relationships and works effectively in a team
 - accepts and supports/promotes all decisions of Council and any Council committees or working groups of which they are members
 - understands and maintains the separation between the non-executive and executive function
 - allows the executive to carry out the operational work
- 1.5 **Holding to account**
 - accepts own accountability while holding others to account for their performance
 - probes and challenges constructively
 - contributes to effective governance
- 1.6 **Effective influencing and communication**
 - respects the views of others
 - able to influence and persuade others
 - debates cogently
 - uses evidence to support views
 - is not resistant to change
- 1.7 **Self belief and drive**
 - is motivated to improve the performance of the GCC
 - has confidence to take on challenges
 - is enthusiastic to achieve a proper outcome

Appraisal of Investigating Committee, Professional Conduct Committee and Health Committee

Up to date information about the relevant appraisal framework for fitness to practise panellists and chairs can be accessed from the GCC's website at: <http://www.gcc-uk.org/about-us/committee-surveys/>

Appraisal of members of the Education Committee who are not GCC Council Members

Process for appraisals of members of Education Committee

1. Appraisal interviews with the Chair for all members who are not Council members will be held in the last quarter of the calendar year, to reflect performance during that year.
2. Finalised appraisal forms, agreed by both parties, will be completed by the end of the calendar year.
3. The Chair, in consultation with the confidential secretary, will set aside days on which appraisals will be held, either at the GCC offices. If members are not available on the days designated by the Chair, another suitable time must be agreed between the Chair and the member so that the interview can take place in a timely manner.
4. Before the appraisal meeting each Committee member is required to:
 - a. Complete the Self-Appraisal form
 - b. Complete the Objective Setting form
 - c. Arrange for their peer assessment by two other members of the Education Committee.
5. Peer assessors should complete forms for their colleagues as requested and send the completed form to them. However:
 - a. Peer reviewers for each member should change every year
 - b. No member may undertake more than four peer reviews in any one year.
6. The appraisee is responsible for providing the Chair with copies of the above forms and peer assessment forms prior to the appraisal meeting.
7. At the meeting, the Chair will complete the Appraisal Summary Form in light of the completed forms and peer assessments in discussion with the appraisee. If there are any points of disagreement, these will be recorded on the form.
8. The draft Appraisal Summary Form including the proposed final rating will then be circulated to both appraiser and appraisee by the confidential secretary for their agreement after which it will be signed. If there are points of disagreement at this stage they will be recorded on the form prior to signature.
9. The confidential secretary will then return one copy of the signed appraisal summary form to the member for their records and place a second copy securely on file in the office together with copies of the forms addressed at the appraisal meeting, i.e. the self-appraisal, objective setting and peer assessment forms.
10. Once forms have been completed, the office will collate training needs for members of the Committee and action these.



SELF APPRAISAL FORM

NAME

APPRAISAL DATE:

In the boxes below, in relation to each competency, please explain how you think you have performed as a committee member over the past year including any areas for improvement.

Public interest/involvement focus
<ul style="list-style-type: none">• Demonstration of understanding of the value of patient/ public/ lay perspective in decision making.

Strategic direction
<ul style="list-style-type: none">• Explanation of how you have contributed to the decisions of the committee and recommendations made to Council.

Intellectual flexibility

- **Demonstration of thinking creatively and constructively**

Team working

- **Showing respect for the opinion of others**
- **Sharing knowledge and experience without dominating**

Holding to account

- **Honesty about any shortcomings in performance**
- **Understands and respects the boundaries between non –executive and executive**
- **Makes the required time commitments and adopts modern working methods.**

Effective influencing and communication

- **Constructively and effectively challenging and probing to achieve the best outcome for the organisation.**
- **Contributing to the provision of clear advice to the Council when any changes are required.**

Self belief and drive

- **Demonstration of conviction and confidence in your opinions and ability to share your opinions with committee members.**
- **Enthusiasm in committee meetings**

What improvements can you identify for the way in which the Committee functions?



OBJECTIVE SETTING

Member's Objective Setting and Learning development needs.

Please outline plans for personal contribution to the work of the Committee in the year ahead. *It is suggested that no more than three objectives will be necessary.*

1	
2	
3	

Please identify any learning and development needs. Please link to the objectives above if appropriate.

	Development needs	Action to be Taken	Timescale
1			
2			
3			

Please complete this section and send to the Chair of Education Committee prior to appraisal meeting.

Objectives agreed

Member of Committee	
Chair of Committee	
Date	



Appraisal process for Test of Competence Assessors

Test of Competence

Guidance on the appraisal of TOC assessors

Introduction

1. The Test of Competence (TOC) is the process by which the GCC assesses whether applicants to join the register are fit to practise as a chiropractor in the UK.
2. Assessment of the TOC is carried out by TOC assessment panels formed of three chiropractors, one of whom is an educationist. Individuals who serve on TOC assessment panels play a key role in contributing to the quality and integrity of decisions made by the Registrar in relation to those applicants for registration who have not graduated from a GCC recognised course.

Purpose

3. The purpose of appraising individuals who serve on TOC assessment panels is to:
 - a. enable these individuals to develop over time to be as effective as possible in their role
 - b. provide assurance to applicants to the register who use the TOC route that the individuals involved in their assessment have been trained and have their performance assessed
 - c. contribute to assuring the quality of the TOC assessment process as a whole
 - d. provide assurance to the GCC and its stakeholders that there is consistency of process and outcomes across the TOC process.

Responsibilities

4. Individuals who serve on TOC assessment panels are responsible for:
 - participating openly, honestly and constructively in the appraisal process
 - contributing to feedback on each TOC assessment panel day by completing the feedback form on the TOC assessment process and panel – form TOCAp1
 - preparing for their annual TOC appraisal interview by:
 - reflecting on their own performance in the light of their own evaluation and feedback from others – see form TOCAp2 in appendix 2
 - identifying how their performance might be improved
 - discussing and reviewing their performance and its improvement with the GCC's TOC External Examiner.

- taking an active role in their development as a TOC panel member.
5. The TOC External Examiner is responsible for:
 - making themselves available and ready to appraise all of the TOC assessors in the final quarter of the calendar year
 - facilitating a reflective conversation on the performance of individuals who serve on TOC assessment panels and the further development and support that may be offered
 - signing the completed appraisal form
 - drawing to the attention of the Director of Education, Registration and Standards any overall issues with the TOC assessment process that have emerged across all of the appraisals and which have implications for the TOC assessment process as a whole
 6. The Director of Education, Registration and Standards is responsible for:
 - obtaining and collating feedback on individuals serving on TOC assessment panels following each TOC sitting
 - providing feedback on members of TOC assessment panels to the individuals concerned and the chair of the Education Committee in time for the appraisal interviews
 - working with the TOC External Examiner to ensure that appraisals for all of the TOC assessors are scheduled and completed in the final quarter of each calendar year
 - taking action where feedback from other members of the TOC assessment panel indicates that an individual might be struggling with aspects of the role and in need of immediate further support
 - ensuring that all appraisees and the TOC External Examiner complete the appraisal process by the end of the calendar year
 - answering any questions about the TOC assessment process.

Process

7. The TOC assessment year runs from January – December.
8. As the TOCs take place on set assessment days throughout the year and TOC assessment panels are formed from different combinations of individuals, feedback on each TOC assessment day will be gathered from TOC panel members following each TOC using form TOCAp1 (see appendix 1).
9. Appraisal interviews bringing together all of the feedback on an individual's performance throughout the year will take place between October – December of each year.
10. The TOC External Examiner, in consultation with the GCC's Director of Education, Standards and Registration, will set aside days on which appraisals will be held, either at the GCC's offices or on other suitable premises. If TOC panel members are not available on the days designated, another suitable time must be agreed between the chair and the panel member so that the interview can take place in a timely manner.
11. Before the appraisal meeting each panel member must self-assess their performance and propose development objectives by completing form TOCAp2 – see Appendix 2.
12. Panel members must submit their completed form TOCAp2 to the TOC External Examiner at least 7 days prior to the appraisal interview taking place.

13. At the appraisal interview, the TOC External Examiner will lead the discussion with the TOC panel members reviewing their self-assessment and the feedback from other members of TOC assessment panels that they have served with during the year. Appraisal interviews will last about an hour.
14. At the conclusion of the interview the TOC External Examiner will summarise what has been discussed and complete the appraisal summary form TOCAp3 – see appendix 3. If there are any points of disagreement, these will be recorded on the form.
15. Following the appraisal interview, the office will process the completed form TOCAp3 and send it to the TOC External Examiner and the appraisee for their agreement, after which it will be signed by both parties. If there are points of disagreement at this stage they will be recorded on the form prior to signature.
16. The office will then:
 - a. return one copy of the signed appraisal summary form to the TOC panel member for their records
 - b. place a second copy securely on file in the office together with copies of the forms addressed at the appraisal meeting (i.e. the self-appraisal and objective setting form TOCAp2 and form TOCAp1 giving feedback on each TOC assessment day.
17. Once all the appraisals have been completed, the office will collate the training and development needs for all TOC panel members and make these available to the Director of Education, Registration and Standards for the appropriate action to be taken.

Confidentiality

18. The appraisal, including all preparatory and finalised paperwork, will be confidential to the appraisee (i.e. the individual member of the TOC assessment panel to whom the appraisal relates), the chair of the GCC's Education Committee and Director of Education, Registration and Standards.
19. Records of the appraisal will be stored securely consistent with the human resources policies of the GCC. The appraisal records will only be accessible to the appraisee, the TOC External Examiner, the Director of Education, Registration and Standards and HR personnel.
20. Information from the appraisal will be used for the following purposes only:
 - a. appraising the performance of individual members of TOC assessment panels
 - b. training and development - of individual panel members and, if a collective need is identified, training and development of all panel members
 - c. reviewing the appraisal process
 - d. monitoring the fair, equitable and appropriate implementation of the TOC assessment process.

Appendix 1:



Test of Competence

Form TOCAp1: Feedback form on the assessment process and panel following each assessment day

Introduction

The purpose of this form is to gain information from individual members of the TOC assessment panel about:

- how you felt the TOC assessment day went as a whole
- how the panel worked together as a whole
- feedback on the performance of the other panel members you were working with on the day
- areas for improvement in the process of the TOC.

This information will be used to:

- inform the evaluation of the TOC – this is particularly important in its pilot year
- feed into the appraisal process of each TOC assessor.

Please complete this form within one week of the date of the TOC assessment panel. Once completed it should be emailed to the Director of Education, Registration and Standards - p.bance@gcc-uk.org

TOC Assessment Panel information	
Your name	
Date of TOC asst. panel	
Who were the other two people on the assessment panel with you	1. 2.
How you found the TOC Assessment day as a whole	
On a scale of 1 – 5, where 1 is excellently and 5 is badly, how well did you think the TOC Assessment day ran as a whole?	<i>Please indicate (by circling / highlighting) the one which best applies</i> 1. The day went extremely well – everything ran really well 2. The day went pretty well – nearly everything worked well and there were no major issues

	<ol style="list-style-type: none"> 3. The day went okay but there are a few minor areas which could be improved 4. The day did not go that well – no real disasters but I had some concerns and want to see improvements 5. The day went badly and I found it quite stressful – we need to make some definite improvements
Please briefly describe what you think went well on the day	
Please briefly describe any problems you found and how they might be addressed	
How the TOC Assessment Panel worked together as a whole	
<p>On a scale of 1 – 5, where 1 is excellently and 5 is badly, how well did you think the TOC Assessment Panel worked together as a team.</p>	<p><i>Please indicate (by circling / highlighting) the one which best applies</i></p> <ol style="list-style-type: none"> 1. The TOC assessment panel worked extremely well together and formed a coherent team 2. The TOC assessment panel worked quite well together and formed a pretty good team 3. The TOC assessment panel worked okay together and but there are some areas for improvement 4. The TOC assessment panel struggled to work as an effective team and I would wish to see improvements 5. The TOC assessment panel probably did not look at all like a team but a group of individuals who did not work coherently – we need to make some definite improvements
Please briefly describe what the TOC assessment panel did well on the day	
Please briefly describe any problems that the TOC assessment panel had and how they might be addressed	
Feedback on the performance of panel members	
<p><i>In this section we would like your thoughts on the performance of the other panel members. These will be collated throughout the year and used to inform the appraisal process. Please</i></p>	

<i>distinguish your two other panel members in the left hand column before providing your comments.</i>	
TOC assessor 1 – name:	
What do you see as the strengths of this person in the TOC assessment panel?	
Are there are any areas of weakness in this person’s role on the TOC assessment panel that you think would be a focus for improvement?	
TOC assessor 2 – name:	
What do you see as the strengths of this person in the TOC assessment panel?	
Are there are any areas of weakness in this person’s role on the TOC assessment panel that you think would be a focus for improvement?	
TOC assessor 3 – you:	
What do you see as being your strengths in this TOC assessment panel?	
Are there are any areas of weakness in your performance on the TOC assessment panel that you think would be a focus for improvement?	
Signature Date form completed	

Many thanks for your help in taking forward the continual improvement of the TOC.

Appendix 2:



Test of Competence

Form TOCAp2: Self- appraisal and objective setting

Please complete this form and send it to the Chair of the Education Committee at least 7 days prior to your appraisal interview taking place.

TOC Assessment Panel member	
Name	
Appraisal date	
Assessment of performance	
<i>In the boxes below, please explain how you think you have performed over the past year against each of the competencies of being a TOC panel member. Please include in your explanation any areas you think you need to improve.</i>	
Assessment of evidence	
Effective team worker	
Holds self to account	
Intellectual flexibility and sound judgment	
Objective setting and development needs	
<i>Please outline below any objectives you wish to achieve over the coming year related to your role as a TOC panel member followed by the development needs you think you have and how these can best be addressed.</i>	
Objectives I would like to achieve	1. 2. 3.
Please set out opposite what you think your development needs are in the role and how they might best be addressed	1. 2. 3.

Appendix 3:

Test of Competence

Form TOCAp3: Summary of appraisal for TOC panel member

TOC Assessment Panel member	
Name	
Date of appraisal	
Assessment of performance	
Overall - The performance of the individual in their role has been assessed through a formal appraisal process as (indicate with an 'x')	Fully satisfactory
	Generally competent with areas for improvement
	Significant areas of weakness
Specific strengths	
Identified areas of weakness	
Learning and development needs	
Learning interests / aspirations	
Any further comments	
Learning objectives agreed for action in the coming year	1. 2. 3. 4.
Appraisee's comments (if any) on the appraisal	
Appraiser – signature	
Name	
Date	
Chair of Education Committee - signature	
Name	
Date	



**Test of Competence
External Examiner Form
Summary of TOC Assessor appraisal**

TOC Assessment Panel member	
Name	
Date of appraisal	
Assessment of performance	
Overall - The performance of the individual in their role has been assessed through a formal appraisal process as (please tick)	Fully satisfactory <input type="checkbox"/>
	Generally competent with areas for improvement <input type="checkbox"/>
	Significant areas of weakness <input type="checkbox"/>
Specific strengths	
Identified areas of weakness	
Learning and development needs	
Learning interests / aspirations	

Any further comments	
Learning objectives agreed for action in the coming year	5. 6. 7. 8.
Appraisee's comments (if any) on the appraisal	
External Examiner's – signature Name Date	
Chair of Education Committee - signature Name Date	

PROCEDURE FOR DEALING WITH COMPLAINTS AGAINST MEMBERS OF THE COUNCIL OF THE GCC

A: General principles

1 This procedure is intended to deal with any complaints raised against any Council Member(s) ("**the Relevant Member**"), whether by any other Member(s), any employee(s) or officer(s) of the GCC, or any third party or parties. It is designed to establish the facts promptly and to deal consistently with complaints that may arise.

2 Time limits stated in this procedure are for guidance only and may be extended if the person leading the relevant stage (such as informal resolution, formal investigation, formal hearing or appeal) considers it appropriate to do so.

3 In this section 3, Council** means the Council without the Relevant Member, any Accompanying Member and any Appeal Accompanying Member. The term "**Member**" means a member of Council.

4 A Relevant Member must take all reasonable steps to attend any meetings to which they are invited under this procedure.

5 Any complaints and details of any informal resolutions should be placed on file along with a record of any decisions taken, any appeal notice, the outcome of any appeal, and any relevant notes or other documents compiled during the complaint process. These will be kept and processed in accordance with our Data Protection Policy, but subject to:

(a) any legal or regulatory requirements, and/or

(b) the Chair of the Audit Committee, the Chair of Council or the Council** reasonably considering that any details should be disclosed to one or more third parties.

6 In the event of any formal hearing and/or any appeal hearing under this procedure, these will normally be held in private unless determined otherwise (acting reasonably) by whoever is leading that particular aspect of the process (namely the Investigator or whoever is hearing the appeal).

B: Receipt of a complaint against a Member

7 Any complaint against a Member should be made in writing to the Chair of Council. If a complaint is received by another Member, or an officer or employee of the GCC, it should be forwarded to the Chair of Council as soon as reasonably practicable.

8 Alternatively, if the complaint is about the Chair of Council, it should be addressed or forwarded to the Chair of the Audit Committee.

9 If an oral complaint is received, the complainant should be asked to put this in writing. If the complainant is unable or unwilling to do so, the person receiving the complaint should make a note of it which will then be sent to the complainant who will be asked to sign it before it is then taken forwards as the written complaint.

C: Passing to the Chair of the Audit Committee

10 Upon receiving a written complaint about a Member, the Chair of Council will pass it to the Chair of the Audit Committee.

11 Alternatively, if the complaint is about the Chair of the Audit Committee, the Chair of Council will pass it to another Member chosen by the Chair of Council. If this occurs, the references (below) to "the Chair of Audit Committee" which are marked * shall be taken to refer to that alternative Member.

D: Approach to complaint

12 The Chair of the Audit Committee* will pursue whichever of the following approaches they consider, at their discretion, to be appropriate:

(a) adopt the formal process set out in section 3E onwards, below;

(b) dismiss the complaint;

(c) take whatever steps he/she considers appropriate, to seek to resolve the complaint informally; or

(d) nominate another Member, a GCC employee, or an external person to seek an informal resolution of the complaint.

13 In choosing between options (a) - (d), the Chair of the Audit Committee* may seek further information from the complainant and/or the Relevant Member.

14 The Chair of the Audit Committee* will notify the Chair of Council, the Relevant Member, and the complainant of the chosen course of action.

15 If options (c) or (d) are pursued, and are unsuccessful, the Chair of the Audit Committee* will choose again from options (a) and (b).

16 Discussions to reach an informal resolution would normally be held in private.

17 If an informal resolution is reached, the Relevant Member, the complainant and the Chair of Council will be informed in writing.

18 Ordinarily details of an informal resolution will not be reported to Council unless the Chair of Council considers it necessary in the circumstances.

19 In what he/she reasonably considers to be exceptional circumstances, the Chair of the Audit Committee* may vary this section 3D as appropriate to a particular case, in relation to matters over which they have responsibility.

E: Formal investigation

20 The Chair of the Audit Committee* will investigate the complaint, or will appoint an external Investigator to do so. In either case, the person investigating is referred to below as "**the Investigator**".

21 The Investigator may, at his or her discretion, appoint others to assist the investigation, such as another Member, an employee or officer of the GCC, or a third party.

22 The purpose of an investigation is to establish a fair and balanced view of the facts relating to the complaint. This may involve reviewing any relevant documents and emails, interviewing the relevant individuals, taking witness statements, and such other enquiries as the Investigator considers appropriate. The nature and extent of the investigation will depend on the nature of the allegations and will vary from case to case. It is likely to include a meeting with the Relevant Member. It may also include meeting or speaking with the complainant.

23 The Relevant Member must co-operate fully and promptly with any investigation. This will include informing the Investigator of the names of any witnesses, disclosing any relevant documents, and attending investigative meetings if requested to do so by the Investigator.

24 In what he/she reasonably considers to be exceptional circumstances, the Investigator may vary this section 3E as appropriate to a particular case.

F: Formal hearing

25 The Investigator will conduct a formal hearing. The purpose of the formal hearing is to review the evidence and enable the Relevant Member to respond formally to the allegations. The Investigator will also discuss other relevant aspects of the investigation, and the evidence this has produced, to the extent that the Investigator considers it appropriate to do so.

26 In advance of the formal hearing, the Investigator shall formally notify the Relevant Member in writing of the allegations and the basis for those allegations. This may include, at the Investigator's discretion, such material as:

(a) a summary of relevant information gathered during the investigation;

(b) documents which will be relied on at the formal hearing; and/or

(c) witness statements which will be used at the formal hearing, except where the Investigator considers it appropriate to keep the witness's identity confidential (in which case the Investigator will give the Relevant Member as much information as possible while maintaining that confidentiality).

27 The Investigator will give the Relevant Member written notice of the date, time and location of the formal hearing. The Relevant Member will be given no less than five working days to prepare their case, based on the information which the Investigator has provided.

28 The Investigator may decide to ask any other relevant person whom they consider appropriate to attend the formal hearing, and the Investigator may question them and discuss the complaint with them. The Relevant Member may advise the Investigator of issues to raise with others, and the Investigator may, at his/her discretion, do so.

29 If the Relevant Member would like particular people to attend the formal hearing, he/she can propose this to the Investigator, but must do so at least two working days in advance of the formal hearing, and their attendance will be at the discretion of the Investigator.

30 The Relevant Member will have a right to be accompanied at the formal hearing by another Member who has not been involved in the complaint or process to date ("**an Accompanying Member**"). The Accompanying Member will not act as an advocate nor speak on the Relevant Member's behalf. That Accompanying Member may not be a person whom either the Relevant Member or the Investigator regards as being a material witness to the relevant events. In the event that there is no Council Member available to act as an Accompanying Member, with the agreement of the Investigator, the Relevant Member may be accompanied by an external person, subject to their entering into appropriate arrangements as regards confidentiality.

31 The Investigator may adjourn the formal hearing at any time, for example if the Investigator considers it appropriate to carry out further investigation in the light of points that have arisen.

32 If there is an adjournment of the formal hearing, and further investigation, the Relevant Member will be given such details of that investigation as the Investigator considers appropriate and necessary for the satisfactory completion of the formal hearing process. The Relevant Member will also be given a reasonable amount of time, usually not less than five working days, to prepare their case based on that further information, before the formal hearing reconvenes.

33 In what he/she reasonably considers to be exceptional circumstances, the Chair of the Audit Committee* or the Investigator may vary this section 3F as appropriate to a particular case. An example of such a variation which they may consider, would be a request by the Relevant Member to be legally represented (in place of the Accompanying Member), and in considering such a request, the Chair of the Audit Committee* and the Investigator will take account of such issues as they consider relevant (which may include the seriousness of the allegations against the Relevant Member and whether these could have significant implications for the Relevant Member's career or professional standing).

G: Finding

34 The Investigator will reach a provisional decision about the complaint, and will do so on the balance of probabilities. The Investigator will record this decision in a draft report.

35 If the draft report upholds all or any aspects of the complaint, it will also specify a proposed sanction to be applied, from the list (a)-(g) in clause 3.40 below.

36 A copy of the draft report will be sent to the Chair of Council, the Relevant Member and (if the Investigator considers it appropriate, due to exceptional circumstances) the complainant. If the Investigator is not the Chair of the Audit Committee*, a copy will also be sent to the Chair of the Audit Committee*.

37 The complainant (if he/she is sent a copy) and the Relevant Member will be given five working days in which to make written comments or representations to the Investigator about the contents of the draft report.

38 The Investigator will consider any such comments or representations received from those to whom the draft report has been given, and finalise his/her decision, the report and the proposed sanction(s) (if any), and send it to the Chair of Council and (if the Investigator is not the Chair of the Audit Committee*) to the Chair of the Audit Committee*.

39 In what he/she reasonably considers to be exceptional circumstances, the Chair of the Audit Committee* may (for example, upon a request by the Investigator) vary this section 3G as appropriate to a particular case.

H: Sanctions

40 If the Investigator finds that a Relevant Member has breached the GCC's Code of Conduct or their conduct otherwise falls below the standards expected of a Member, the available sanctions are:

(a) instructions or advice to the Relevant Member regarding their future conduct ("**Sanction (a)**");

(b) a warning to the Relevant Member, short of recommending suspension or removal as a Member ("**Sanction (b)**");

(c) provisional suspension of the Relevant Member, as provided for by section 2 above and article 7 of the Order, and a recommendation to the Privy Council that the Relevant

Member shall be suspended from membership of the Council in accordance with article 7 of the Order, together with a recommended period of suspension ("**Sanction (c)**");

(d) provisional suspension of the Relevant Member, as provided for by section 2 above and article 7 of the Order, and a recommendation to the Privy Council that the Relevant Member shall be removed from membership of the Council in accordance with articles 6 and 7(5) of the Order ("**Sanction (d)**");

(e) informal resolution, as referred to in 3.12(c) or 3.12(d), above;

(f) any other sanction which the Investigator (or, if the Investigator is not a Member, the Chair of the Audit Committee*) considers appropriate in the circumstances ("**Sanction (e)**"); or

(g) no sanction.

41 In what they reasonably consider to be exceptional circumstances, the Chair of the Audit Committee* or the Council** may vary this section 3H as appropriate to a particular case.

I: Right of appeal

42 If the Relevant Member is dissatisfied with the findings of the report and/or the sanction(s), the Relevant Member may appeal in writing within five working days after he/she has received both the report and notification of the sanction(s). In doing so, the Relevant Member should detail the reason(s) for the appeal.

43 For the avoidance of doubt, the complainant has no right of appeal. However, if they are a GCC employee, they have access to the GCC grievance procedure.

44 In what he/she reasonably considers to be exceptional circumstances (for example, reasonable grounds for delay by the Relevant Member in lodging an appeal), the Chair of Council may vary this section 3I as appropriate to a particular case.

J: Appeal process

45 Subject to paragraph 3.46 below, the appeal will be heard by the Chair of Council. He/she may decide instead that the appeal will be heard by an appeal panel, consisting of another Member (who has not been materially involved in the complaint) and an external third party, both of whom shall be chosen by the Chair of Council.

46 If the complaint is against the Chair of Council, the appeal will be heard by a three-person panel consisting of the longest serving Member (ignoring the Chair of Council, the Chair of the Audit Committee and any Member who has been materially involved in the complaint), and that Member's chosen other Member (who has not been materially involved in the complaint) and chosen external third party.

47 Whoever is hearing the appeal will decide what form the appeal hearing will take, such as a re-hearing, a paper consideration, or otherwise. Generally an appeal will at least entail a meeting with the Relevant Member, although this is not essential. In exercising their discretion on format, whoever is hearing the appeal will take note of the grounds of the appeal, the circumstances of the case and any new information that has come to light since the original decision. An example of a change in format which they may consider, would be a request by the Relevant Member to be legally represented (in place of the Appeal Accompanying Member, as defined below), and in considering such a request, whoever is hearing the appeal will take account of such issues as they consider relevant (which may include the seriousness of the allegations against the Relevant Member and whether these

could have significant implications for the Relevant Member's career or professional standing).

48 Whoever is hearing the appeal may choose to take further evidence from whoever they wish and consider any other evidence which they consider appropriate.

49 The Relevant Member will have a right to be accompanied at the appeal hearing, by "**an Appeal Accompanying Member**", who can be the Accompanying Member or another Member who has not been involved in the complaint or process to date. The Appeal Accompanying Member will not act as an advocate nor speak on the Relevant Member's behalf.

50 Whoever hears the appeal will reach a decision on the balance of probabilities, to:

- (a) confirm the original decision and sanction(s);
- (b) increase the sanction(s);
- (c) reduce the sanction(s);
- (d) reverse the finding against the Relevant Member, in whole or part;
- (e) make detail corrections to the original decision, such as correcting dates or other obvious factual errors, without altering the outcome or sanction;
- (f) send the matter back to the Investigator for further or fresh consideration;
- (g) or decide such other outcome as whoever hears the appeal considers appropriate.

51 Unless there are exceptional circumstances (such as an appeal process which reveals a need for further extensive investigations by those deciding the appeal) the Relevant Member will be informed in writing of the decision of the appeal hearing within ten working days of the appeal hearing. However, this timescale is indicative only. Ordinarily the complainant will be formed of the outcome at the same time.

52 The written decision of the appeal is final, and no further appeal may be made. The only exception to this principle is if the appeal decision was to send the matter back for further consideration by the Investigator: in those circumstances, any revised decision by the Investigator will be subject to a fresh right of appeal under this section 3J.

53 In what they reasonably consider to be exceptional circumstances, the Council** may vary this section 3J as appropriate to a particular case.

K: Implementation of any penalty against a Relevant Member

54 If the Investigator is the Chair of the Audit Committee* and he/she decides upon Sanction (a), Sanction (b) or Sanction (e), he/she will impose this sanction once the deadline for an appeal has passed without any appeal being received.

55 If the Investigator is not the Chair of the Audit Committee* and he/she decides upon Sanction (a), Sanction (b) or Sanction (e), the Chair of the Audit Committee* will impose this sanction once the deadline for an appeal has passed without any appeal being received.

56 If an appeal hearer decides to impose or approve Sanction (a), Sanction (b) or Sanction (e), he/she will impose this sanction once the appeal process is complete.

57 If the Investigator is the Chair of the Audit Committee* and he/she decides upon Sanction (c) or Sanction (d), then once the deadline for an appeal has passed without any

appeal being received he/she will notify the Chair who will ask the Privy Council to suspend (in the case of Sanction (c)) or remove (in the case of Sanction (d)) the Relevant Member from the Council.

58 If the Investigator is not the Chair of the Audit Committee* and he/she decides upon Sanction (c) or Sanction (d), then once the deadline for an appeal has passed without any appeal being received, the Chair of the Audit Committee* (unless he/she considers there to be exceptional circumstances warranting informal resolution or a different Sanction, in which case he/she will attempt that informal resolution, impose that different Sanction or notify the Relevant Member that he/she is unilaterally granting an extension to the deadline for appealing) will notify the Chair who will ask the Privy Council to suspend (in the case of Sanction (c)) or remove (in the case of Sanction (d)) the Relevant Member from the Council.

59 If an appeal hearer decides to impose or approve Sanction (c) or Sanction (d), then once the appeal process is complete he/she will notify the Chair who will ask the Privy Council to suspend (in the case of Sanction (c)) or remove (in the case of Sanction (d)) the Relevant Member from the Council.

60 In what they reasonably consider to be exceptional circumstances, the Chair of the Audit Committee* or the Council** may vary this section 3K as appropriate to a particular case.

Examples of application of the seven principles of public life

Selflessness

1. Holders of public office should act solely in terms of the public interest.
 - Members of the public and members of the chiropractic profession are entitled to expect that you make decisions based on your conscientious assessment of what is in the public interest, without regard to your own interests or those of other organisations or individuals.
 - Do not exploit your association with the GCC for your own gain or that of others, and avoid any situation in which you might, even accidentally, give the impression that you are in a position to trade influence or access.
 - If you have any involvement with a chiropractic business or organisation whose value, prospects or well-being might be affected by GCC decisions or policies, take responsibility for ensuring that your motivation and actions could not be challenged.

Integrity

2. Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.
 - Do not accept payments, gifts, hospitality or favours where the nature of the person or organisation concerned or the circumstances of the exchange could give rise to a concern about your integrity. Always comply with GCC requirements around appropriate declarations.
 - Do not put yourself- or allow others to put you – in a position in which your advancement of personal interests, or those of anyone close to you, could be seen as being linked to any decisions or actions you might take in the course of your GCC work. For example, if you are approached by someone about a professional conduct/fitness to practise matter, do not comment or express any views or agree to assist them other than to provide them with the contact details for the GCC staff team.
 - Assess your own behaviour by reference to these standards and make sure that you are seen to be following them.

Objectivity

3. Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.
 - When making recommendations and decisions, do not allow any non-GCC interests to influence the choices you make.
 - Consider available options on their merits. Do not allow yourself to confuse the interests of the chiropractic profession, or any other particular section of society, with the public interest.

- Take full account of all available evidence which is relevant to the decision you have to make in the course of your GC work. This can include evidence of the opinions, wishes and concerns of people who may be affected by the decision. Make sure that you can distinguish clearly between the weight which is properly given to such evidence, and any undue, inappropriate or undeclared influence.

Accountability

4. Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.
5. You have a responsibility to explain your actions when asked. Engage constructively and positively with appropriate opportunities to explain the ways in which you have managed your interests.
6. If you are asked about an interest, or the way in which you have managed it, avoid taking a defensive or narrowly legalistic approach.

Openness

7. Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.
8. Take responsibility for checking that the minutes of Council and committee meetings in which you participated contain an adequate and clear explanation of the decisions taken and the reasoning behind them
9. Make a full and open declaration of interests when asked to do so. If in doubt about whether or not you need to declare an interest, err on the side of openness and let others make an assessment of relevance. Perceptions vary, and you may not be best placed to make an objective assessment in your own case.
10. Complying with the formalities is important but is not enough on its own. Take active steps to assure yourself that those who need to know about your interests on any particular occasion are aware of the situation.
11. Demonstrate that you are open not only to disclosing any interest you may have but also that you are open to discussing their significance. Reflect on any feedback and advice you receive and act on any learning points that emerge from your experience and the views of others.

Honesty

12. Holders of public office should be truthful.
13. In all that you do on behalf of the GCC, demonstrate the same high standards of professionalism and personal probity that the GCC expects of registered chiropractors.

Leadership

14. Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

15. Let your approach to managing your interests provide an example of good practice within the GCC, enhancing the GCC's standing as a model of good practice for the chiropractors we regulate.
16. Provide leadership by ensuring that your actions match the words which we have agreed to live up to. Speak and act in ways which promote and encourage a culture of open discussion about issues concerning interests. Help promote a culture of accountability, in keeping with the spirit of this guidance.
17. Support others who have leadership roles within the GCC, so that they are empowered and supported to fulfil their responsibilities on behalf of the whole organisation, in the public interest.

Annex 5 - legislation

General

The Chiropractors Act 1994 – accessible from: <https://www.gcc-uk.org/UserFiles/Docs/The%20Chiropractors%20Act%201994.pdf>

Health and Social Care (Safety and Quality) Act 2015 - http://www.legislation.gov.uk/ukpga/2015/28/pdfs/ukpga_20150028_en.pdf

Governance

The General Chiropractic Council (Constitution) Order 2008 - http://www.legislation.gov.uk/uksi/2008/3047/pdfs/uksi_20083047_en.pdf (Statutory Instrument 2008 No. 3047)

The General Chiropractic Council (Constitution of the Statutory Committees) Rules Order of Council 2009 - [http://www.gcc-uk.org/UserFiles/Docs/Constitution_of_the_Statutory_Committees_\(Amendment\)2009.pdf](http://www.gcc-uk.org/UserFiles/Docs/Constitution_of_the_Statutory_Committees_(Amendment)2009.pdf) (Statutory Instrument 2009 No. 26)

The General Chiropractic Council (Constitution of the Statutory Committees) (Amendment) Rules Order of Council 2010 - http://www.legislation.gov.uk/uksi/2009/2738/pdfs/uksi_20092738_en.pdf (Statutory Instrument 2009 No. 2738)

Registration

The General Chiropractic Council (Registration during Transitional Period) Rules Order of Council 1999 - <https://www.gcc-uk.org/UserFiles/Docs/Registration%20during%20the%20transitional%20period%20rules%201999.pdf> (Statutory Instrument 1999 No. 1857)

The General Chiropractic Council (Registration) Rules Order of Council 1999 - <https://www.gcc-uk.org/UserFiles/Docs/Registration%20rules%201999.pdf> (Statutory Instrument 1999 No. 1856)

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Fitness to practise

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