



**GENERAL CHIROPRACTIC COUNCIL MEETING  
OPEN AGENDA**

**5 December 2016 at 12.45pm**

**GCC, 44 Wicklow Street, King's Cross  
London WC1H 9HL**

**Declarations of interest:** members are reminded that they are required to declare any direct or indirect pecuniary interest, or any non-pecuniary interest, in relation to any matters dealt with at this meeting. In accordance with Standing Orders, the Chair will rule on whether an interest is such as to prevent the member participating in the discussion or determination of the matter.

Item	Action	Presenter	Paper	Time
1. Apologies and declarations of interest	to note	Chair		12.45-12.50
2. Council minutes 29 September 2016 and matters arising	to approve	Chair	1612/2a 1612/2b	12.50-12.55
3. Chair's report a. Introduction of new CER	to note	Chair		12.55-13.05
4. Chief Executive's report a. Advertising update	to note	CER		13.05-13.20
<b>Lunch 1.20-2.15pm</b>				
5. Remuneration Committee report	to note	RC Chair		14.15-14.25
6. Business Plan and Budget 2017	to agree	DCE	1612/6	14.25-14.45
7. Education Committee annual report	to note	EC Chair	1612/7	14.45-15.05
8. Audit Committee report	to note	AC Chair		15.05-15.15
9. Performance report a. Strategic Risk Register	to note	DCE	1612/9	15.15-15.35
10. AOB			1612/10	15.35-15.45

**Date of next meeting: 29 March 2017**



**MINUTES OF THE MEETING  
OF THE GENERAL CHIROPRACTIC COUNCIL  
HELD ON 29 SEPTEMBER 2016  
44 WICKLOW STREET, LONDON WC1X 9HL**

**OPEN SESSION**

Present:

Roger Dunshea (Acting Chair of Council)  
Sophia Adams Bhatti  
Marie Cashley  
Steven Gould  
Tom Greenway  
Gareth Lloyd  
Julie McKay  
Grahame Pope  
Liz Qua  
Julia Sayers  
Carl Stychin  
Gay Swait  
Phil Yalden

In attendance:

Penny Bance, Director of Education, Registration and Standards  
Paul Ghuman, Deputy Chief Executive (Director Resources & Regulation)  
Amanda Greenlees, Executive PA  
Neil Johnson, Policy and Communications Manager

C-1609/1	<p><b>Apologies and declarations of interest</b></p> <p>The Chair welcomed new member Steven Gould to Council. There were no apologies and no declarations of interest.</p>
C-1609/2	<p><b>Draft minutes of the meeting of 16 June 2016 and matters arising</b></p> <p>The minutes of the meeting of June 16<sup>th</sup> were agreed as an accurate record of the meeting. There were no matters arising.</p>
C-1609/3	<p><b>Chair's report</b></p> <p><u>CER appointment</u> The Chair said he was delighted at the appointment of Rosalyn Hayles as new Chief Executive. He said she would be starting in December in a shadow capacity and would officially take over from January 1<sup>st</sup> 2017. A press notice had been issued on the GCC website.</p> <p><u>Regulatory reform</u> The Chair stated that he was expecting there to be a consultation on regulatory reform in the near future. He also said that Council had met the day before to discuss the GCC's strategy. There would be no fundamental changes to the strategy but the</p>

	<p>organisation would react flexibly to any external changes. He said the GCC's financial position remained strong and that monetary reserves would be maintained.</p>
	<p><b>Chief Executive's report</b></p> <p>In the Chief Executive's absence, the Deputy Chief Executive (DCE) provided this report.</p> <p><u>Advertising</u> The DCE said that the GCC had received a number of advertising complaints and that legal advice had been sought from a leading QC. He confirmed that the office will be taking forward the cases in line with Council's agreed policy on advertising. A fuller update would be provided at the December Council meeting.</p> <p><b>Action: Advertising complaints to be added to the December 2016 agenda</b></p> <p><u>Welsh Language Standards</u> The Policy and Communications Manager updated Council on a Welsh Government consultation that will extend Welsh Language Standards to all health regulators.</p> <p>The Standards could have a potentially significant impact on the GCC, both in terms of an increase in costs and also the disruption to the day-to-day regulatory activity. The potential requirement for the GCC website and Council papers to be translated into Welsh could be particularly burdensome.</p> <p>The GCC is working closely with other regulators to co-ordinate a response, concentrating on the unfairness and disproportionality of the requirements and the consequent costs. It was likely that the Standards would not be applicable to the GCC until the end of 2017 but that, in view of their potential scale and impact, the GCC would have to start work on implementing some of the required Standards before then.</p> <p><u>Test of Competence fees</u> The Chair of the Education Committee reported that, following an in-depth review, the Education Committee at its last meeting had agreed an increase in the Test of Competence fee of £500, raising the fee to £2000, which would be in effect from 1<sup>st</sup> January 2017. He said the increase had been agreed because of the additional workload required for processing applications in the office, the extra preparation time needed by assessors and the extra time taken by panel chairs looking at supplementary evidence for candidates who had provided insufficient evidence at interview.</p> <p>The Director of Education, Registration and Standards said the cost and fees for the ToC would be reviewed on an annual basis.</p> <p><u>CQC and Ionising Radiation (Medical Exposure) Regulations 2000 (IR(ME)R</u> The Director of Education, Registration and Standards said that she and the Communications Manager had recently met with the Care Quality Commission (CQC) at their request. A closer working relationship was discussed and some recent concerns around the inappropriate use of x-rays, such as overexposure. She said the GCC planned in 2017 to work with the profession to carry out some research in order to ascertain how much of an issue there was and what might need to be done to combat any such issues. Work needed to be carried out to review the Explanation Guide to see whether it was still useful and fit-for-purpose.</p> <p>Council agreed that information should be obtained on x-ray equipment ownership,</p>

	<p>usage and frequency of use of equipment. Council also agreed that a formal request should be made to the CQC for more information on the cases they mentioned at the meeting.</p> <p><b>Action: Contact CQC to follow up on meeting actions and request further information regarding the concerns raised in relation to x-rays</b>  <b>Action: Request information from registrants regarding their taking of x-rays and ownership of x-ray equipment</b></p>
C-1609/4	<p><b>Performance report</b></p> <p>The DCE presented the Performance report to Council.</p> <p><u>Financial summary</u>  The DCE reported that the net positive income for the period up to the end of July 2016 was £51k, with a £19k surplus due to retention fees and a further £23k on registration income.</p> <p>Expenditure was reported as higher than forecast by £40K. He said there was a negative difference of £46k in staff costs due to two members of staff being on long-term sick leave and that this was likely to continue until the end of the year. He also said there had been additional costs in Fitness to Practice (FtP) in relation to a large volume of advertising complaints received and also as a result of frontloading cases before determination by the Investigating Committee. As a result of this, additional staff had been taken on within the FTP function. There was an overall deficit of £111k forecast for the end of year.</p> <p><u>KPIs</u>  He said that the GCC was still not hitting the target of listing 90% of PCC hearings within nine months of referral, or of determining 90% of IC cases from receipt of complaint. Current numbers were 88% and 83% respectively. He said that of the 8 cases determined this year, one was an old case which had resulted in the variance in case referral. He said the second KPI was due to the frontloading of cases at Investigating Committee, as a result of staffing changes and also due to the nature of the cases in the pipeline.</p> <p><u>Business plan</u>  The DCE reported that the large proportion of activities due to be completed at this stage had been completed. These included introducing the new Code, new guidance notes being introduced, consultation on education standards and a survey of new registrants. Further projects in relation to governance had largely been completed with the final governance manual to be sent to Council members at the end of October 2016.</p>
C-1609/5	<p><b>Presentation from Cazenove</b></p> <p>Jeremy Barker and Caroline Hooft Graafland from Cazenove were in attendance to provide an update on the investment Portfolio.</p> <p>Council confirmed they wished to continue with the same strategy in regards to the Portfolio. Council also agreed that income target of 4% of the portfolio valuation would be distributed in full midyear and at the end of the year.</p>
C-1609/6	<p><b>Review of Education Standards and Quality Assurance Processes</b></p> <p>The Chair of the Education Committee provided Council with an update on the review</p>

	<p>and development of the Education Standards that would replace the current Degree Recognition Criteria in 2017. He said a range of stakeholders had been involved in the review of the Standards and that the new focus would be on a more outcomes-based approach. He explained that the review of the Quality Assurance processes and policies was underway and that there were some changes proposed for the approval of programmes, including the introduction of a pool of education visitors. The Education Committee would be discussing annual monitoring – its purpose, process and use of data.</p>
C-1609/7	<p><b>Work plan</b></p> <p>Council dates for 2017 were agreed for 2017 as follows:</p> <ul style="list-style-type: none"> <li>• Wednesday 29<sup>th</sup> March</li> <li>• Thursday 15<sup>th</sup> June</li> <li>• Thursday 21<sup>st</sup> September</li> <li>• Thursday 7<sup>th</sup> December</li> </ul> <p>Additional seminar dates would be Thursday 30<sup>th</sup> March and Wednesday 20<sup>th</sup> September.</p>
C-1609/8	<p><b>AOB</b></p> <p><u>Annual report</u> Council members were thanked for their comments on the Annual Report, allowing it to be published earlier in 2016 than in the previous year.</p>
	<p>Date of next meeting: 5 December 2016</p>



## ACTIONS ARISING FROM THE 2016 SEPTEMBER OPEN MEETING

ITEM	ACTION	STATUS
3.1	Advertising complaints to be added to the December 2016 agenda	on agenda
4.1	Contact CQC to follow up on meeting actions and request further information regarding the concerns raised in relation to x-rays	Completed
4.2	Request information from registrants regarding their taking of x-rays and ownership of x-ray equipment	Completed



**To: General Chiropractic Council**

**From: Paul Ghuman, Director of Resources and Regulation**

**Subject: Business Plan 2017**

**Date: 5 December 2016**

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### **1. Purpose**

The purpose of this paper is to present the Business Plan 2017 which has been prepared in line with delivery of the final year of the current Strategic Statement covering the period 2015-2017.

### **2. Background**

As previously agreed by Council, the Business Plan sets does not seek to set out the activities undertaken on a daily basis in delivering the GCC's statutory functions. The activities set out in this Business Plan are the main additional activities which we will undertake in 2017 to help us achieve our strategic aims

Once Council has considered and approved the business plan for 2017, a more detailed operational plan will be drawn up which will include key milestones, budget phasing and completion dates by quarter.

The proposed Business Plan for 2017 is attached as Annex A.

### **3. Action**

Council is asked consider and, if content, approve the draft Business Plan 2017.

<b>Financial implications</b>	The financial implications arising from the delivery of the 2017 Business Plan are highlighted in the attached 2017 Budget paper.
<b>Legal Implications</b>	There are no legal implications
<b>Risk Implications</b>	There are no risk implications
<b>Equality Implications</b>	There are no equality implications
<b>Communications implications</b>	The business plan will be placed on the GCC website once agreed.

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## **Business Plan 2017**

### **Our Role**

The General Chiropractic Council (GCC) regulates all chiropractors in the UK to ensure the safety of patients undergoing chiropractic treatment.

The GCC is an independent statutory body established by Parliament to regulate the chiropractic profession. We protect the health and safety of the public by ensuring high standards of practice in the chiropractic profession.

### **Our strategic aims**

The Strategic Statement 2015-17 sets out our strategic aims being 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.*

### **Our plan for 2017**

Our work this year is designed to continue to achieve the strategic aims as set out in our Strategic Statement.

Our continuing statutory core work requires us to:

- deal efficiently and appropriately with concerns raised about a chiropractor's fitness to practice
- ensure that chiropractic education and training meet our standards
- ensure that only those individuals who meet our standards are registered to practise as chiropractors
- ensure that chiropractors keep their knowledge and skills up-to-date

The activities set out in this Business Plan are the main additional activities which we will undertake in 2017 to help us achieve our strategic aims. These activities are in addition to carrying out our statutory core work to a high standard and seek to allow us to enhance and expand on our core work. We will endeavour to ensure that equality, diversity and inclusion remain integral in all that we do. We also seek to ensure that our communications and engagement strategy supports the activities contained in this Business Plan.

A more detailed operational plan underpins the activities in this Business Plan.



**Strategic aim 1: Protect Patients and the Public**

We will work to protect patients and the public by continuing to seek improvements in our legislative framework. Those changes would allow us to carry out our functions both more effectively and help us to maintain the public's confidence in our work.

In 2017 we will:

- identify those changes we wish to see incorporated into any new legislative framework and engage with other regulators in shaping regulatory reform
- continue to develop our proposals for the assurance of registrants' continuing fitness to practise by piloting with registrants the new components of mandatory subjects, structured discussions on CPD and the use of objective activities

**Strategic aim 2: Uphold and improve professional standards**

We will work with chiropractors and other stakeholders to ensure that current and future registrants have the tools they need to achieve high standards of professionalism.

In 2017 we will:

- continue to seek to raise awareness of the Code by engaging more actively with registrants with the aim of reducing circumstances giving rise to complaints
- implement the new Education Standards and revised quality assurance processes for current and new degree programmes
- carry out research into student professionalism, student preparedness for practice and work with CQC on issues relating to IR(ME)R
- review guidance including indicative sanctions guidance, student and education provider FTP guides

**Strategic aim 3: Engage effectively and have constructive dialogue with our stakeholders**

We will develop further our engagement with the profession, patients and other stakeholders to share information and best practice, gaining greater benefit from the feedback and to understand what information they need from the regulator.

In 2017 we will:

- build on our stakeholder engagement to reflect patient and public needs and expectations in our work
- work with fellow regulators to ensure the Welsh language standards implemented are fair and proportionate
- build closer relationships with our domestic and international stakeholders to ensure we are abreast of major developments in the regulatory world

**Strategic aim 4: Improve our effectiveness, ensuring our systems are cost effective and fit for purpose**

We will build on our work in improving the skills level of all staff and seek to provide them with systems and data which will allow them to carry out their work more productively.

In 2017 we will:

- finalise our IT strategy to develop more integration within the systems that we use to improve decision-making;
- build on our research projects to capture relevant fitness to practise (FTP) data in order to assist in providing appropriate information for both registrants and complainants to enable upstream engagement on problem areas
- review our quality assurance and training systems for FTP committees
- implement our case management system
- review our accommodation strategy to ensure that we maintain our standards of staff accommodation in line with the needs of the organisation.
- consider projects which will enhance collaborative working with other regulators on a number of work streams



**To:** The Council, General Chiropractic Council  
**From:** Paul Ghuman, Director of Resources and Regulation  
**Subject:** Budget 2017  
**Date:** 5 December 2016

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### Background

1. Council considered the first draft of the 2017 budget at its closed meeting of Council in September. The deficit forecast for the year at that time was £253k.
2. **Annex A** contains data in columns which contain the year end management forecast for 2016, the agreed 2016 budget, the proposed budget for 2017 and the movement between the budget proposed 2017 and that agreed for 2016.
3. Since 2011, the GCC has implemented a series of efficiency measures which have sought to reduce expenditure of the organisation, particularly on our Fitness to Practise (FtP) function.
4. The overall expenditure profile of the organisation has reduced since 2010 when the expenditure for the year was £2,971K compared to an agreed budget for 2016 of £2,544k. The proposed budget for 2017 does show an increase in expenditure to £2,784k. This is still below the level of expenditure incurred some six years prior previously.
5. FtP costs have also reduced substantially since 2010 when Professional Conduct and Investigating Committee costs were £1,062k compared to a proposed budget for 2017 of £684K, a reduction of 36%. This reduction has also taken place during a period when the level of complaints rose six-fold.
6. For the 2017 budget we are forecasting a higher deficit of £267k.

### Key assumptions

- The budget has been prepared on the basis of the current strategic aims and the business plan 2017, which are subject to review and agreement by Council.
- The budget for 2017 assumes no reduction in the Annual Retention Fee paid by registrants during the period, as we seek legislative change to implement the reduction agreed by Council.
- There is no allowance for continuing fitness to practise (formerly known as revalidation) costs as these costs are to be met from the DH grant fund.
- The figures in relation to Test of Competence are not included in the budget as these are difficult based on a break even basis. The figures are reported on a quarterly basis in the management accounts.

## Summary of 2017 budget

- The proposed 2017 budget predicts an income of £2,517k against the 2016 budget figure of £2,461k. This is an increase of 2.3% (£56k).
- The budget predicts an expenditure spend of £2,784k against the 2016 budget of £2,544k, an increase of £240k.
- The projected deficit for 2017 is £267k which is an increase on the deficit of £84k in 2016.

## Income

7. The GCC is reliant on registrant fee income to fund the proposed expenditure programme with over 93% of the income coming from some form of registration fee.
8. Initial registration figures have been revised following lower conversion rate of graduates who actually go on to register with the GCC. This is a trend that is likely to continue as some educational establishments now attract a larger proportion of students from outside the UK.
9. Retention fee income increases from actual receipt of £2,214k in 2016 to a proposed 2017 budget of £2,252k, an increase of just under 2%.
10. Investment income has been calculated on the basis of a 3% return (as per investment strategy) on the current portfolio valuation of £4M.

## Expenditure

11. There is an increase in staff costs from £1,119K in 2016 to £1,260K in 2017. This is as a result of the full year effects of two new FtP posts to cover for the additional work in relation to advertising and also for additional paralegal cover for both IC and PCC work. An additional post to cover support for registration work is also included. In the past couple of years we have supplemented these shortfalls by using temporary staff and it is considered that these increases will allow for a more robust and resilient workforce. The figure also includes the pay award agreed by the Remuneration Committee in November including the costs of providing private medical cover.
12. Accommodation costs reduce by £23k. We had allowed for a charge from the landlord for installation of a new fire escape in 2016. We are advised that the freehold may be sold and until we get any further notification, this item has not been included in the 2017 budget.
13. Council costs have decreased by £33k primarily as a result of reduced appointment costs in 2017.
14. FtP costs are increased by £114k from £570k to £684k. This is to allow for additional costs in relation to dealing with advertising cases initially at the Investigating Committee (IC). We have also taken further steps to increase the front loading of IC cases (expert opinions etc) which inevitably increases costs. The number of hearing days has been maintained at 120 days.
15. Professional fees include legal fees and project and consultancy fees. The 2017 figure increases by £40k. This is as a result of a reduction in legal fees of £10k but an increase in project and consultancy fees of £51k.
16. Project and consultancy fees include the key audits and external costs in delivering the activities in the business plan. The total for 2017 is £149k, an increase of £51k from 2016. This is made up of:

<b>Professional consultancy fees</b>	<b>£</b>
Review of FtP decisions	6,000
Audit of case files- BB	25,000
Feedback system from FtP cases	2,000
Welsh Language scheme (new website)	30,000
Welsh Language scheme (translation cost - other)	25,000
Joint Research with other regulators on Sexual Boundaries	12,000
Indicative Sanctions Guidance notes	5,000
Student Professionalism research	2,000
Preparedness of Chiropractic students into practise	13,000
Review of staff policies	3,000
Accommodation and IT review	11,000
Student Fitness to Practise Guidance for Education providers	15,000
<b>Total</b>	<b>149,000</b>

### **Public protection implications**

17. The current level of hearing days seeks to ensure that cases are dealt with in a timely manner and we are thereby improving public protection.

### **Policy and Communications implications**

18. Policy projects planned are described in the Business Plan 2017.

### **Legal implications**

19. None arising from this paper.

### **Equality and Diversity implications**

20. None arising from this paper.

### **Resource implications**

21. These are highlighted in the paper.

### **Recommendations**

22. Council is asked to agree the proposed budget for 2017.

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## Annex A

### Budget 2017 Summary

	2016 Y/E forecast	Agreed Budget 2016	Proposed Budget 2017	Movement on Budget
<b>Income</b>				
Initial Registration	122,600	111,000	119,250	8,250
Retention - Practising	2,200,800	2,184,000	2,222,400	38,400
Retention - Non Practising	32,400	30,300	30,000	-300
Non practising to practising	17,600	8,000	16,000	8,000
Restoration	7,500	7,500	9,000	1,500
Investment Income	127,000	120,000	120,000	0
<b>Total Income (A)</b>	<b>2,507,900</b>	<b>2,460,800</b>	<b>2,516,650</b>	<b>55,850</b>
<b>Expenditure</b>				
Staff Costs	1,197,500	1,119,000	1,247,471	128,471
IT costs	51,500	58,000	62,000	4,000
Office Costs	127,000	137,000	124,620	-12,380
Accommodation costs	204,000	244,000	221,000	-23,000
Finance costs	26,600	22,100	21,500	-600
Professional fees	149,800	157,500	197,717	40,217
Council costs	190,000	197,000	164,000	-33,000
Communication	11,500	14,000	9,000	-5,000
Registrations	15,000	7,750	16,000	8,250
Education	12,000	18,000	23,366	5,366
Fitness to Practice	636,500	570,000	684,000	114,000
<b>Expenditure (B)</b>	<b>2,621,400</b>	<b>2,544,350</b>	<b>2,770,674</b>	<b>226,324</b>
<b>Surplus / (Deficit) sub total (A-B)</b>	<b>(113,500)</b>	<b>(83,550)</b>	<b>(254,024)</b>	<b>(170,474)</b>




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**To: The General Chiropractic Council**  
**From: The Education Committee**  
**Subject: The Annual Report of the Education Committee**  
**Date: 5<sup>th</sup> December 2016**

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## **Purpose**

This paper informs and updates Council on the work that has been undertaken by the Education Committee during 2016.

## **Background**

1. The Education Committee is currently one of the four statutory advisory committees of the GCC stipulated in the Chiropractor's Act 1994. The box below shows the function of the Education Committee as stated in the Act.

The Chiropractors Act 1994 states the function of the Education Committee as:

- having the general duty of promoting high standards of education and training in chiropractic and keeping the provision made for that education and training under review. (11.1)
- providing, or arranging for the provision of, education or training where it considers it to be necessary in connection with the discharge of its general duty (11.2)
- being consulted by the Council on matters relating to education, training, examinations or tests of competence (11.3)
- giving advice to the General Council on education, training, examinations or tests of competence matters at the request of Council or proactively (11.4)
- appointing persons to visit any place / 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 (12)
- the Council has the power to withdraw qualifications as a result of Visitor's report or on the basis of other information acquired by the Committee (e.g. through annual monitoring) (16).

## **Summary of Activities**

2. The Education Committee met three times in 2016 (April, September and November) and held workshops on the Education Standards and Quality Assurance procedures in September and November. This report summarises the work of the Committee and decisions taken and actions recommended and progress on work overseen by the Committee. Full minutes of all the meetings have been reported to Council.



### **Quality Assurance of 'recognised qualifications'**

3. During 2016 no new qualifications have been recognised or re-recognised. However, the Education Committee has continued to liaise with its education providers and consider issues arising such as the management restructure at the University of South Wales and the award of Taught Degree Awarding Powers and institutional designation to AECC and its implications. All education providers have been heavily involved in the review of the Education Standards.
4. Discussions have begun with a new education provider regarding the development of a new undergraduate chiropractic programme in London. London South Bank University attended the November meeting of the Committee to give a presentation and discuss its plans ahead of making a formal submission for recognition in spring 2017.

### **Annual monitoring**

5. In April 2016 the Committee met with the education providers separately and collectively to discuss issues arising from the annual monitoring returns for 2014/15 and share good practice. Following individual meetings with each education provider to discuss their respective reports the general discussion with all providers focused on support for students, student numbers and future plans. The Education Committee was content with all of the reports and has confidence in all of the current degree programmes.

### **Work of the GCC Education Committee 2016**

6. The Education Committee has been responsible for the following projects:
  - The implementation and Year 1 evaluation of the Test of Competence (TOC);
  - The review of the GCC's Continuing Professional Development (CPD) Scheme - and how this can be an aspect of assuring the continuing fitness to practise of registrants;
  - The review of the Degree Recognition Criteria and Quality Assurance System;
  - Pre-registrant professionalism research.

### **The Test of Competence**

7. During 2016 the Committee has continued to oversee the implementation of the new system, considered the Year 1 Evaluation report and the External Examiner's report. The evaluation has shown that overall the revised TOC has been effectively implemented in its first 15 months and that there appeared to be broad agreement from stakeholders in the process that the revised TOC is proportionate and fair. The Chair of the Education Committee chaired the annual review meeting with assessors and the External Examiner in November. The Director of Education, Registration





and Standards spoke about the Test of Competence at the WFC/ACC Education Conference in October in Montreal.

### **Assuring Continuing Fitness to Practise and CPD**

8. Following Council's agreement to the Education Committee's recommendations for redeveloping the CPD scheme the Committee has overseen the progress being made in taking forward the agreed work programme. New CPD guidance for 2016/17 has been issued, and the GCC has worked with the RCC to pilot an external quality assurance of CPD processes. The three development groups of chiropractors in Bristol, London and on-line have continued to meet with the GCC to develop the details of a new CPD scheme. Volunteers from these groups and the Education Committee have agreed to act as 'early adopters' and trial aspects of the new scheme.

### **Review of the Degree Recognition Criteria and Quality Assurance System**

9. The Committee began the review of the Degree Recognition Criteria and Quality Assurance system in autumn 2015. The review sought the views and involved the committee, education and training experts, education providers and other experts within chiropractic. Draft Standards were consulted upon and the findings considered by the Education Committee in September. The Standards will remain in draft until the completion of the whole project in early 2017.
10. The quality assurance system is undergoing a major review and new approval processes and policies are being developed. Discussions have been held with other regulators in the UK and also the chiropractic accreditation agencies around the world.

### **Pre-registrant Professionalism**

11. The Committee discussed and agreed the implementation in the autumn of 2015 of a research project measuring the professionalism at undergraduate level of chiropractic students. The proposals were discussed with the educational institutions and it was agreed that this would be a useful tool to identify lapses of professional behaviour in students and enable students to calibrate their own views about lapses with those of their cohort, chiropractic and medical students in general.
12. The committee discussed the initial findings with the education institutions in April and it was agreed to repeat the exercise in late 2016. It was agreed that it would be useful to see how attitudes change through the progression of an undergraduate course.



## Membership

13. During 2016 the Education Committee membership comprised:

<b>Name</b>	<b>Member details</b>	<b>Dates of membership</b>	<b>Meetings attended 2016</b>
Graham Pope (Chair)	Council lay member	All year	3 of 3
Mike Barber	External registrant member	All year	2 of 3
Phil Bunnell	External lay member	All year	3 of 3
Marie Cashley	Council registrant member	All year	1 of 3
Cliff Hancock	Co-optee Quality Assurance advisor	All year	2 of 3
Barry Mitchell	External lay member	All year	3 of 3
Aaron Porter	External lay member	All year	3 of 3
Liz Qua	Council lay member	All year	3 of 3
Carl Stychin	Council lay member	From July 2016	2 of 2
Gay Swait	Council registrant member	All year	3 of 3
Mark Webster	External registrant member	All year	3 of 3

Strategic Risk	Risk Event	Inherent Score			Controls and monitoring procedures currently in operation	Further actions planned to reduce the risk to a tolerable level and progress to date	Residual score		
		P	I	S			P	I	S
Failure to uphold confidence in the GCC	Failure to uphold stakeholders' confidence in the GCC's governance arrangements	4	4	16	CER	The action plan has been implemented and Council was advised of progress at its meetings during the year. The only outstanding point from the initial action plan is the introduction of a revised governance manual. This is scheduled for completion in October. The GCC will be seeking to take forward the appointment of a Chair in the following weeks. The Acting Chair has been in regular communication with the DoH and the PSA during the year and this will continue.	3	4	12
	Failure to meet the required standard in all areas of the PSA performance report.	4	4	16	CER	The previous 4 audits, up to and including the Feb 16 audit, have shown improvement in each audit report and there are were very few recommendations for improvement in the February 2016 report. The most recent report in June 2016 does show a trend that cases at the early stages of investigation have not progressed as well. This is as a result of additional work carried out at the early stages along with staffing changes and absences. As a result we have added a further member of staff to aid this problem and we consider that the case progression will be back on track over the next 3 months. The next FTP audit will take place in January 2017 and will be reported to this Committee in February 2017. We will be having an audit of FtP decisions made during 2016 in January 2017. This will inform the training sessions for both IC and PCC in early 2017.	3	3	9
	Risk of information security breaches of data	4	4	16	PG	A detailed note on data protection procedures has now been implemented within the office procedure manual. All members of staff have now received further training on their responsibilities in relation to both the Data Protection Act (DPA). Enhanced training was delivered in September 2014 for all members of staff. The GCC had also increased the skills and experience of the FtP team by appointing two FtP lawyer advocates and as a result we expect that the level of breaches will reduce. We have purchased an e learning Data Protection module for staff to ensure that new leavers and current members can refresh their skills on an ongoing basis. A further training day and an information governance audit will be implemented in 2017.	2	4	8
	Failure to manage changes in financial activity leading to capital withdrawals from the investment portfolio.	3	3	9	PG	Council had agreed a budget deficit for 2016. This will not require a drawdown from the investment portfolio. The current management accounts for the end of October 2016 do not indicate any major problem that would affect this position. There have been a number of additional costs incurred which were not budgeted for at the year end. These include governance investigations and associated work, recruitment of Chair and covering long term staff absentees. Again these do not lead to a drawdown from the portfolio. There is a large number of advertising complaints received by the GCC and the analysis of these cases may lead to an increase in the number of complaints referred for a hearing. If these were of a sizeable number, these may lead to a requirement to drawdown in the future.	2	3	6
	Failure of Council to work effectively and make policy decisions in the public interest	4	4	16	Chair	Council member appraisals have taken place. Recent governance issues do relate to the whether decisions were made effectively and appropriately. The governance review highlighted concerns in relation to confidentiality, individual member responsibility, collective Council member responsibility along with concerns about governance documentation. Training on the recommended areas was provided on March 9th. The changes to the governance manual have taken place and a final draft is being produced in the next month. There will be a further seminar on governance duties at the Council Seminar session in March 2017.	2	4	8
Failure to protect the public	The failure to agree a system of assuring the continued fitness to practice of chiropractors	3	5	15	PB	Council agreed in 2014 that the Education Committee would lead in carrying out a review of the CPD scheme in light of enhancements made by other regulators and to provide greater assurance of registrants continuing fitness to practice. The Education Committee reported upon progress in March 2015 and agreed a work programme to develop a scheme for Continuing Fitness to Practise. DH and PSA are kept up to date with progress in this area and regular meetings are held with other regulators in order to learn from them. The Education Committee discusses progress at each of its meetings and will update Council in June 2016 on work that has been carried out to improve the current scheme and work with registrants on new elements.	2	4	8



**To:** General Chiropractic Council  
**From:** Paul Ghuman, Director of Resources and Regulation  
**Subject:** Performance report for October 2016  
**Date:** 5 December 2016

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### **1. Purpose**

The purpose of the report is to present to Council the Performance report covering the period to 31 October 2016.

### **2. Background**

Council agreed the format of the report to include an overview front page, a financial summary, and an exception based KPI report along with a report of the business plan activities for the year.

### **3. Action required**

Council is asked to note the Performance report.

### **4. Financial implications**

There are highlighted within the report

### **5. Legal or Risk Implications**

There are no legal or risk implications arising from this paper

### **6. Equality Implications**

There are no equality implications arising from this paper

### **7. Communications Implications**

There are no communications implications arising from this paper

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# Performance Management and monitoring of the operational action plan

## October 2016

Prepared by the Senior Executive Board

## Overview

### Major Events

These have been reported in the reports by the Chair and Chief Executive earlier on the agenda.

### Business Plan delivery

Council agreed that the GCC's Executive should report on any activity that was not proceeding as planned.

### Key Performance Indicators

We are not hitting our target of determining 90% of IC cases from receipt of complaint. The current level is 73%.

As reported previously over a number of months, we are slightly below the 90% target to list cases before the PCC. The figure is 88% and this has not been reported separately as we are marginally below and no new actions are proposed. . We also have two long term absentees whose absence record is greater than the KPI.

### Financial

The net positive difference on income is £52k to date. There is a positive difference on both retention income of £19k and registration income of £21k. There is a further positive difference of £12k on investment income to date.

Expenditure at the end of the October 2016 is higher than forecast by £43k. This is primarily as a result of negative difference on staffing costs (£60k) and FtP costs (£46k). This is offset by positive differences on accommodation (£39k), Office (£9K) and professional fees (£18k).

The overall surplus at the end of October 2016 is £9K.

# October 2016 Performance report

C-1612/9

## Financial Summary – As at 31 October 2016

	Year To Date					Year End estimate
<b>Income</b>	Actual	Budget	Difference	2016 Budget	Note	
<b>Sales</b>						
Initial Registration	122,600	111,000	11,600	111,000	1	122,600
Non practising to practising	17,600	8,000	9,600	8,000	1	17,600
Restoration	7,350	7,500	-150	7,500	1	7,500
Retention - Practising	2,200,800	2,184,000	16,800	2,184,000	2	2,200,800
Retention - Non Practising	32,400	30,300	2,100	30,300	2	32,400
Investment Income	121,200	109,200	12,000	120,000	3	127,000
<b>Income (A)</b>	<b>2,501,950</b>	<b>2,450,000</b>	<b>51,950</b>	<b>2,460,800</b>		<b>2,507,900</b>
<b>Expenditure</b>						
Staff Costs	995,476	935,500	-59,976	1,119,000	4	1,197,500
IT costs	37,641	45,833	8,192	58,000		51,500
Office Costs	105,345	114,167	8,822	137,000		127,000
Accommodation Costs	158,889	197,605	38,716	244,000	5	204,000
Finance costs	8,714	4,667	-4,047	22,100		26,600
Professional fees	113,388	131,250	17,862	157,500	6	149,800
Council costs	126,424	118,667	-7,757	197,000		190,000
Communication	5,504	5,000	-504	14,000		11,500
Registrations	6,132	1,500	-4,632	7,750		15,000
Education	6,056	11,667	5,611	18,000		12,000
FtP	489,215	443,803	-45,412	570,000	7	636,500
<b>Expenditure (B)</b>	<b>2,052,783</b>	<b>2,009,658</b>	<b>-43,126</b>	<b>2,544,350</b>		<b>2,621,400</b>
<b>Surplus / (Deficit)</b>	<b>449,167</b>	<b>440,342</b>	<b>8,825</b>	<b>-83,550</b>		<b>-113,500</b>
Grant Funding - Earmarked for assuring continuing fitness to practise		Balance b/f	Income	Expenditure		Balance c/f
		69,698	0	12,190		57,508
Test of Competence			Income	Expenditure		Balance c/f
			49,500	45,442		4,058

### **Note 1:**

New registration figures are higher than forecast by £12k. Other registration income lines are higher than forecast by £9k.

### **Note 2:**

Retention fees are higher than forecast by £19k, a difference of less than 1%. This positive variance will be present for the remainder of the year.

### **Note 3:**

Investment income performance is higher than forecast by just over £12K to date. The main investment income is from the investment portfolio with the remainder from bank interest.

### **Note 4:**

Staffing costs are higher this year as a result of two employees being on long term leave and their work being covered by temporary staff. We have also recruited temporary staff in the FtP and Registrations teams this year to deal with the increase in workload and reducing the backlog of IC cases. Also, we have recently completed the recruitment of the CER at a cost of £22k. As a result, we have spent £60k more than budgeted.

### **Note 5**

Accommodation costs are lower than forecast by £39k as a result of moving from a fixed term contract for hearings to more flexible arrangement. This was justified as the number of hearing days required would be lower this year following the reduction in the caseload of PCC cases. We also were previously advised that the landlords would be carrying out work in 2016 of which the GCC pro rata share would have been £20k. This is no longer planned for 2016.

### **Note 6**

FtP costs are currently 10% higher than forecast as a result of the increase in complaints relating to advertising costs (taking initial expert opinions etc.) and also as a result of an increase in obtaining expert reports at the early stage of an investigation. These costs will be monitored closely in the next few months.



### Other costs

Council has put in place a number of streams of work which have affected the budget position for the year. Some of these are:

- Governance manual work carried out by haysmacintyre
- Additional legal work and advice on various governance matters
- Recruitment of Chair of Council

These costs were unknown when the budget was prepared in December 2015 and therefore will affect the budget for this year.

### Portfolio Valuation

The portfolio valuation was £4,611,328 as at 31 October 2016. This is an appreciable increase since the start of the year even after the events of Brexit and the results of the American presidency.

Key Performance Indicators

Fitness to Practise	Status	Exception Information
To determine 90% of IC complaints within nine months of referral		<p><b>Actual rate</b> 73% of cases determined by the IC have been determined within 9 months of receipt. This percentage has dropped below the standard required.</p> <p><b>Reason</b> This is as a result of some staffing changes, complexity of cases and multiple complaints against a few chiropractors.</p> <p><b>Action</b> We have added additional staff to alleviate this problem and expect that by the end of 2016 this standard will be met. However, with such few case numbers, a small number of cases can have a major impact on the KPI.</p>

The other FtP indicator that we are marginally below is that of listing cases within 9 months following referral by the IC. The current percentage is 88%.

Resources

The reported variance on staff absence was reported in the last report. Council agreed that this should not be repeated and any further exceptions to this KPI will be reported. Both members of staff are still on sick leave.

**Operational plan progress – by strategic aim and activity**

1. To protect patients and the public

We will seek to protect patients and the public by continuing to seek important changes in our legislation and further developing a system of continuing fitness to practise.

2. To uphold and improve professional standards

We will work with chiropractors to ensure that they have the tools they need to achieve high standards of professionalism.

3. We aim to engage effectively and have constructive dialogue with our stakeholders

We will build on our work with the profession, patients and other stakeholders to share information, best practice, gaining greater benefit from the feedback and to understand what information they need from the regulator.

4. We aim to improve our effectiveness, ensuring our systems are cost effective and fit for purpose.

We will build on our work in improving the skills level of all staff and seek to provide them with systems and data which will allow them to carry out their work more productively.

## October 2016 Performance report

C-1612/9

### The completed work activities are as follows:

- Work on a new guide for CPD providers.
- Introduction of the new Code and six guidance notes.
- The consultation on education standards has concluded. The amended standards have been considered by the Education Committee. A QA handbook is currently under development.
- Annual Review and Annual report have been completed.
- Surveys of new registrants and current registrants completed.
- Three documents have been produced which are “Working Together”, ‘The GCC at a Glance’ and ‘10 reasons to be registered’.
- Professionalism research with chiropractic students and tutors has been concluded and results shared with the Education Committee and phase 2 begun.

### There are also a number of activities listed as action throughout the year and there has been ongoing work in relation to these.

These include:

- Working with other regulators, PSA and the DH in taking forward the Healthcare Bill
- Discussion on the Welsh language scheme with the Commissioner and with inter-regulatory colleagues
- Work to develop the CPD scheme into a scheme for assuring the continuing fitness to practise of registrants

### Additional projects added by Council or as result of governance issues

Activity	Description	Status	Completion date	Lead
Review of Governance issues	Instruction to Dudley Smith who reported to Council in January	Completed	January 2016	Chair
Meetings and communication with PSA/DH re governance issues	Ongoing meetings with senior officials	A number of meetings have been held and briefing updates provided to Council	Ongoing	CER
Review of Governance Manual	Initial tenders taken and instruction placed with haysmacintyre	Completion due December 2016	March 17	PG
Recruitment of Chair of Council	Currently working with Gatenby Sanderson to progress this appointment	Completion Spring 2017	March 2017	PG
Further legal work and advice		Completed	March 2016	PG