

**General Osteopathic Council**

**Regulation Department**

**Internal Audit/Peer Review Checklist**

**Case management and customer service**

**Informal and formal fitness to practise cases**

**Scrutiny period: received during 1 October to 31 December 2013**

**Case:.....**

**File Reviewed by:..... Date of File Review:.....**

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**1. Informal complaints**

<b>Criteria</b>	<b>Achieved</b>	<b>Comment</b>
Is there evidence that regular and active efforts are being made to get the complainant to sign witness statement/complaint form		
Is there evidence that the complainant is being provided with sufficient information about our procedures and support to encourage them to proceed with the complaint?		

**2. Formal complaints**

**2.1. Action upon receipt of formal complaint**

<b>Criteria</b>	<b>Achieved</b>	<b>Comment</b>
Was the complaint acknowledged within: 2 working days if received electronically 5 working days if received by post		
Was complaint Screened within 3 weeks of receipt?		
Was screening notification sent to parties within 5 working days of screening decision?		

**3.2 Risk Assessment**

<b>Criteria</b>	<b>Achieved</b>	<b>Comment</b>
Has a Risk Assessment Form been completed?		
Have reasons been recorded on the Risk Assessment form for seeking/not seeking an Interim Order		
Is there evidence that risk is being continually assessed (at least at case meetings)?		
Has information been sought from the Registrant about employment/arrangements to provide services?		
Has information been		

received from the Registrant about employment/arrangements to provide services		
If not, is there evidence that reasonable efforts have been made to obtain information about the Registrant's employment/arrangement to provide services		

**3.3 Investigation**

<b>Criteria</b>	<b>Achieved</b>	<b>Comment</b>
<p>Are the following documents on file?</p> <ul style="list-style-type: none"> <li>• Consent to obtain records, where appropriate.</li> <li>• Caseworker chronology</li> <li>• Investigation plan</li> <li>• Evidence grid</li> <li>• Case Management Form</li> <li>• Particulars of Concern</li> </ul>		
Is there evidence that regular case reviews are taking place (at least every two weeks)		
Is there evidence that the complainant and any other witnesses are kept updated every month		
Is there any evidence of periods of prolonged inaction on a case?		
Where the Registrant has provided a response, was		

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the response acknowledged within 2 working days of receipt?		
Where the Registrant has provided a response, was the response sent to complainant for comment within 10 working days of receipt?		
Where the complainant has commented on the Registrant's response, were the receipt of the complainants comments acknowledged within 2 working days of receipt?		
Do the Particulars of Concern reflect all the concerns of the complainant		
Was any of the material identified in the evidence grid not obtained?		
What was the reasons for that?		

**4. Consideration by IC**

<b>Criteria</b>	<b>Achieved</b>	<b>Comment</b>
Is there evidence that the Registrant was notified of the date on which their case was to be considered by the IC?		
Was the case considered by the IC within 4 months of receipt of the signed witness statement or complaint form?		
Where the case was considered by the IC, have the registrant and complainant been notified of the IC decision within 10 working days of the decision?		
Where the case was referred by the IC, has the GOsC notified the registrant's employer/person with whom the registrant has an arrangement to provide services?		

**5. Post PCC actions**

<b>Criteria</b>	<b>Achieved</b>	<b>Comment</b>
Where the PCC concluded the case, was the PCC decision confirmed in writing to the complainant and the registrant within 2 working days?		
Where the PCC concluded the case, was the Professional Standards Authority notified of the decision within 2 working days?		
Where the PCC concluded the case, was the decision published, as required by the FTP Publication Policy?		
Has the GOsC notified the Registrant's employer/person with whom the Registrant has an arrangement to provide services?		

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<b>Document title</b>	<b>Document Author</b>	<b>Version</b>	<b>Date</b>	<b>Detail of Amendments</b>
Audit/Peer-review checklist	David Gomez	1.1	28/10/13	N/A
		1.2	6/12/13	Amended to incorporate reference to Policy on Notification of Fitness to Practise Outcomes
		1.3	9/12/13	Amended to incorporate reference to Risk assessment reasons.