

**Fitness to practise dataset Q1 2017-18**

**Concerns and Formal Complaints**

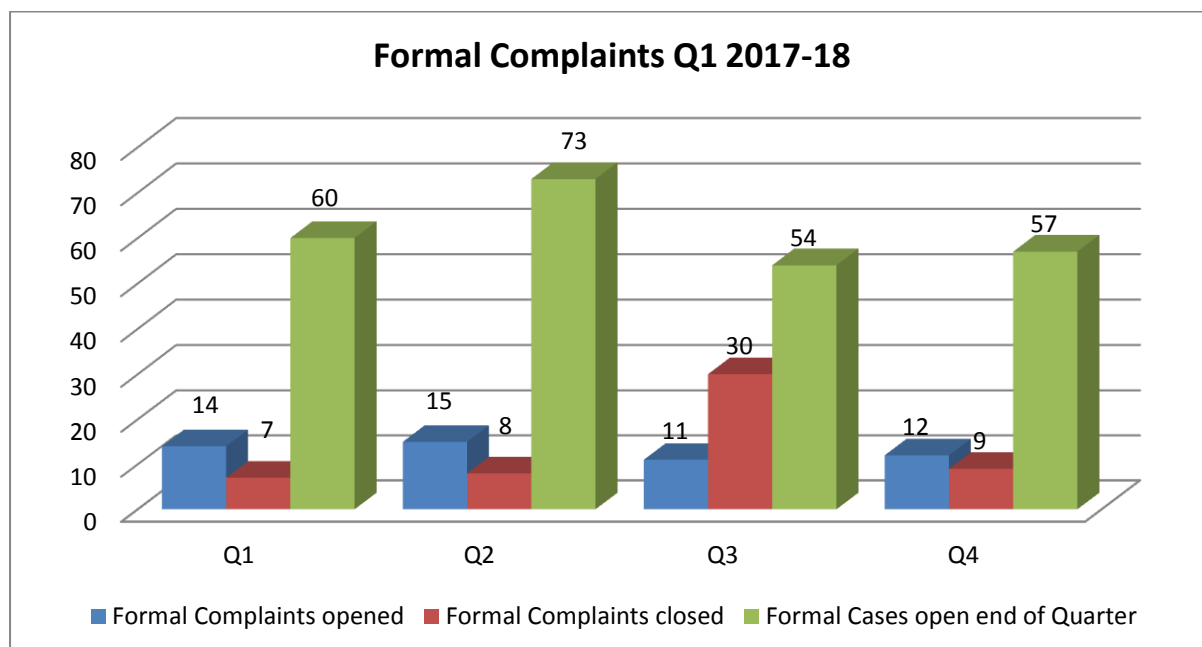
**Formal Complaints – key points**

The figures for concerns and complaints received and closed are calculated as at the end of the relevant quarter.

We received one more formal complaint and closed 21 less formal complaints in Q1 than in Q4 of 2016-17.

In Q3 of 2016-17 we closed 30 formal cases. The total number of open cases has increased slightly from 54 in Q4 to 57 in Q1. This is due to five cases considered by the PCC in Q1 adjourning part-heard which has adversely impacted on the end of quarter total.

Number of Complaints Received	Q2	Q3	Q4	Q1
Formal Complaints opened	14	15	11	12
Formal Complaints closed	7	8	30	9
Formal Cases open end of Quarter	60	73	54	57



## Annex A to 6

Source of Formal Complaints	Q2	Q3	Q4	Q1
Self-referral by the registrant	0	1	2	0
Registrar's Allegation	1	2	1	4
Referral by non-NHS employer	0	0	0	0
Referral by patient or service user	5	7	3	5
Referral by NHS	0	1	0	0
Referral by another registrant	0	0	2	0
Anonymous informant	0	0	0	0
Referral by another regulator body	1	0	0	0
Any other informant	7	4	3	3
<b>Total</b>	<b>14</b>	<b>15</b>	<b>11</b>	<b>12</b>

**Key points:** 'Referral by patient or service user' continues to be the most common source of formal complaints. Q1 has also seen a significant increase in 'Registrar's Allegations' compared to Q4 of 2016-17. The increase was due to a number of health, professional indemnity insurance and conviction allegations.

Allegations in Formal Complaints	Q2	Q3	Q4	Q1
Conduct	14	14	8	11
Conviction	0	1	1	1
Competency	3	0	2	0
Adjunctive Therapies	0	0	0	0
<b>Total</b>	<b>17</b>	<b>15</b>	<b>11</b>	<b>12</b>

**Key points:** Conduct continues to be the main type of allegation raised in complaints. Q1 has seen an increase on the number of conduct cases received compared to Q4 of 2016-17. A complaint can have more than one type of allegation. For this reason the total allegations do not always equal the number of cases opened in the quarter.

**Concerns**

**Key Points**

(Note: from 1 July 2016 what were previously known as 'Informal Complaints' are now termed 'Concerns'. This is a result of the Council having approved the new 'Initial Closure Procedure' policy at its July 2016 Council meeting.)

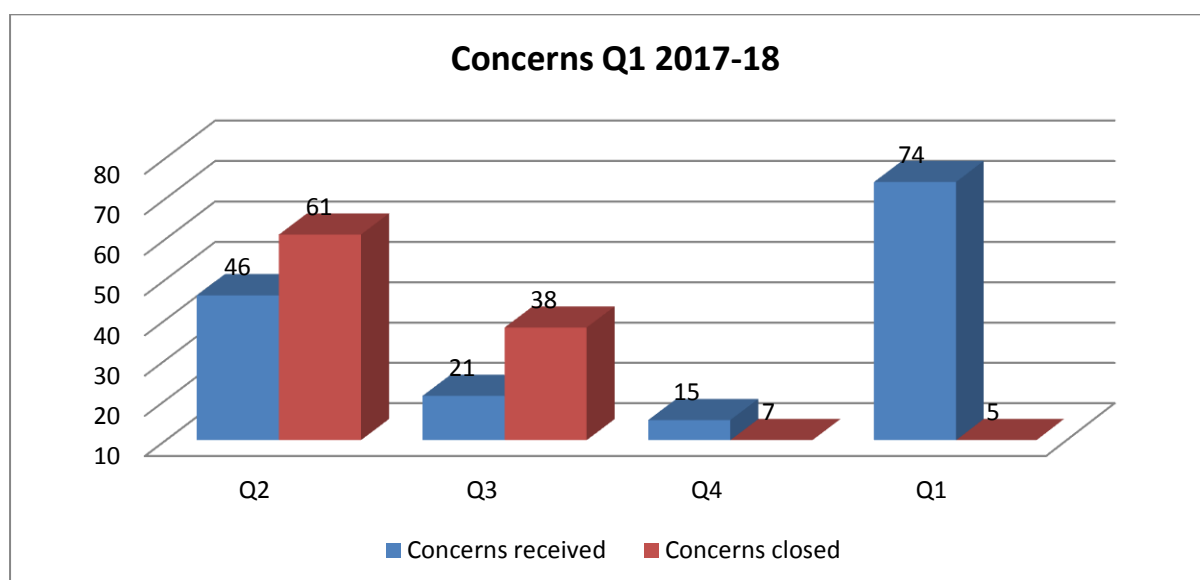
**Concerns Received**

74 concerns were received in Q1. The large increase in concerns received during this period was due to the receipt of 53 advertising referrals. Since March 2017, the Regulation department has been receiving between 15-20 advertising referrals from the Good Thinking Society every month.

**Concerns Closed**

Five concerns were closed during Q1 under the Threshold Criteria and the Initial Closure Procedure. These concerns related to advertising, patient records and treatment.

Number of Concerns Received	Q2	Q3	Q4	Q1
Concerns received	46	21	15	74
Concerns closed	61	38	7	5

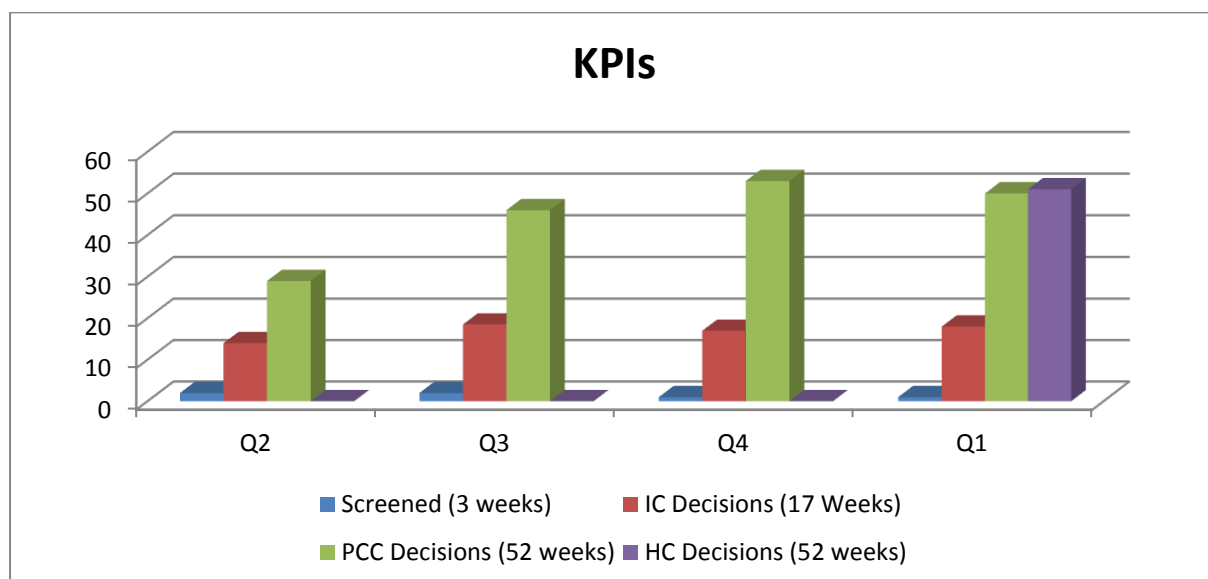


### Key Performance Indicators

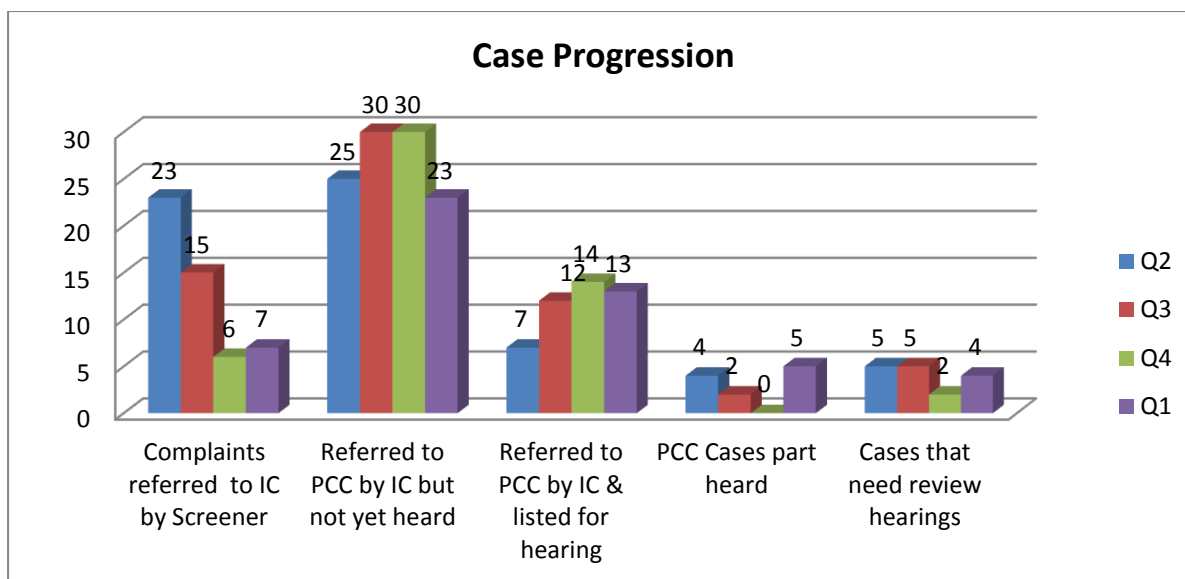
**Key points:** All KPI's are measured in Median weeks. The KPI for screened, PCC Decisions and HC Decisions have all been met. The KPI for IC Decisions exceeded the 17 week target by one week. This was due to the consideration of one case by the IC which involved a complex investigation which encountered significant delays.

The PCC Decisions median has decreased from 53 weeks in Q4 to 50 weeks in Q1.

Performance Against KPIs	Q2	Q3	Q4	Q1
Screened (3 weeks)	2	2	1	1
IC Decisions (17 Weeks)	14	18.5	17	18
PCC Decisions (52 weeks)	29	46	53	50
HC Decisions (52 weeks)	0	0	0	51



Case Progression	Q2	Q3	Q4	Q1
Complaints referred to IC by Screener	23	15	6	7
Referred to PCC by IC but not yet heard	25	30	30	23
Referred to PCC by IC & listed for hearing	7	12	14	13
PCC Cases part heard	4	2	0	5
Cases that need review hearings	5	5	2	4



**Key points:** Q1 has seen a decrease in the number of cases referred by the IC but not yet heard. The Regulation team adopts a proactive approach to listing cases and it is expected that this figure will continue to decrease during the remainder of 2017-18.

The number of part-heard cases has increased from 0 in Q4 to 5 in Q1. Four of the five cases have been relisted for conclusion later in the year.

Formal Complaint to Final IC decision (in weeks)	Q2	Q3	Q4	Q1
Median	14	18.5	17	18
Longest Case	34	67	108	53
Shortest Case	10	6	4	7

**Key points:** The median figure has increased compared to Q4 and exceeds the KPI by one week. The longest case took 53 weeks for an IC decision and is a significant improvement on Q4. Due to the complex nature of the investigation which concerned allegations of professional incompetence, the progression of the longest cases encountered significant delays.

Cases open end of 1/4 older than	Q2	Q3	Q4	Q1
52 weeks	17	19	9	15
104 weeks	3	3	1	3
156 weeks	1	1	0	0

**Key points:** Q1 has seen an increase in the number of cases older than 52 and 104 weeks compared to Q4 of 2016-17. Nine of the 15 cases older than 52 weeks have been considered by the PCC and are either part heard or have an order in place which requires review. Two of the 3 cases older than 104 weeks have a current order in place which requires review.

### Investigating Committee

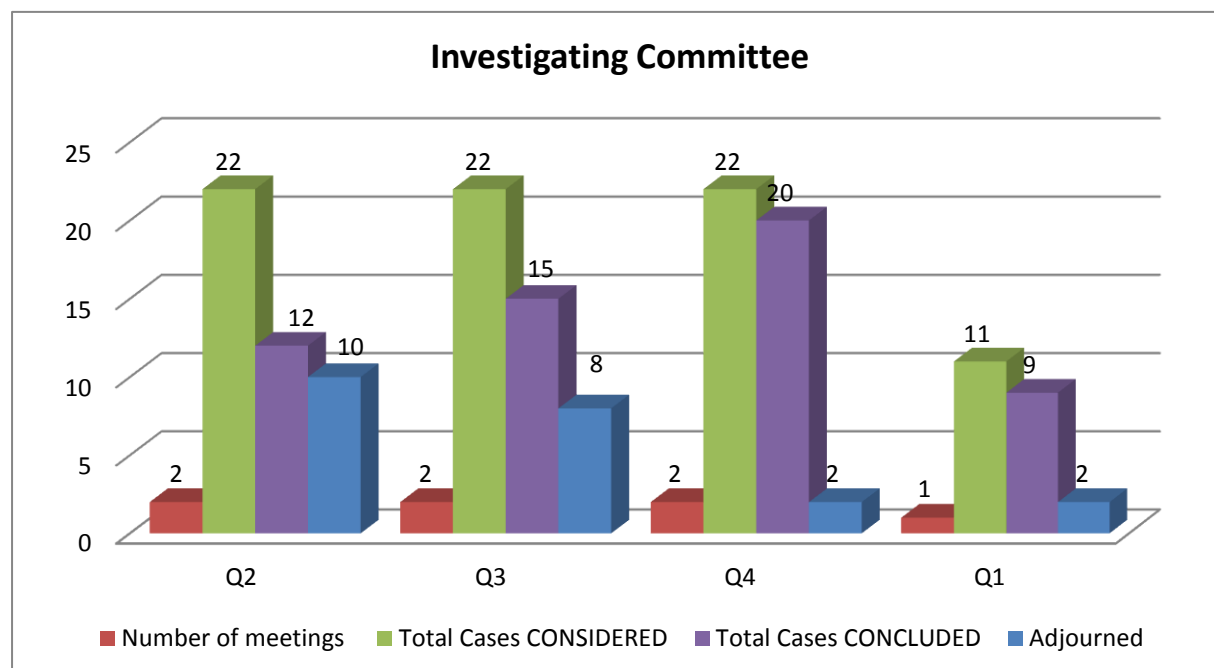
**Key points:** The IC only held one meeting in Q1 and considered 11 cases. The majority of cases considered by the IC were referred to the PCC.

The IC considered one interim suspension order application in Q1 and no order was made. This matter was considered by the IC within 3 weeks of the receipt of the complaint ensuring that the risk to the public is appropriately managed.

Investigating Committee	Q2	Q3	Q4	Q1
IC MEETINGS				
Number of meetings	11	2	2	1
Total Cases CONSIDERED	22	22	22	11
Total Cases CONCLUDED	12	15	20	9
IC DECISIONS				
No Case to Answer	3	4	6	3
Referred to PCC	8	11	14	6
Referred to HC	1	0	0	0
Referred to PCC and HC	0	0	0	0
Adjourned	10	8	2	2
IC Interim Suspension Order DECISIONS				
Applications made	2	1	1	1
Interim Suspension Order Imposed	2	1	1	0
Undertaking	0	0	0	0
Receipt of complaint to ISO Decision (MEDIAN in weeks)	5	4	10	3

Investigating Committee	Q1	Q2	Q3	Q4
IC MEETINGS				
Number of meetings	2	2	1	2
Total Cases CONSIDERED	6	12	13	18
Total Cases CONCLUDED	5	7	10	13
IC DECISIONS				
No Case to Answer	1	0	4	3
Referred to PCC	2	6	6	10

Referred to HC	0	1	0	0
Referred to PCC and HC	0	0	0	0
Adjourned	1	5	3	5
<b>IC Interim Suspension Order DECISIONS</b>				
Applications made	3	1	2	2
Interim Suspension Order Imposed	3	1	1	2
Undertaking	0	0	0	0
Receipt of complaint to ISO Decision (MEDIAN in weeks)	4	3	10	3



### Professional Conduct Committee

**Key points:** In Q1 the PCC considered one less case than in the previous quarter. The total cases concluded decreased from 18 in Q4 to 12 in Q1. This was due to the PCC being unable to consider 5 cases within the allocated timeframe.

One case considered by the PCC, which had a Conditions of Practice Order (COPO) in place, concluded with the PCC determining that the order would lapse at the end of the order period. A separate column has been added to the below table to capture this outcome.

The PCC considered one ISO application during this quarter and no order was imposed.

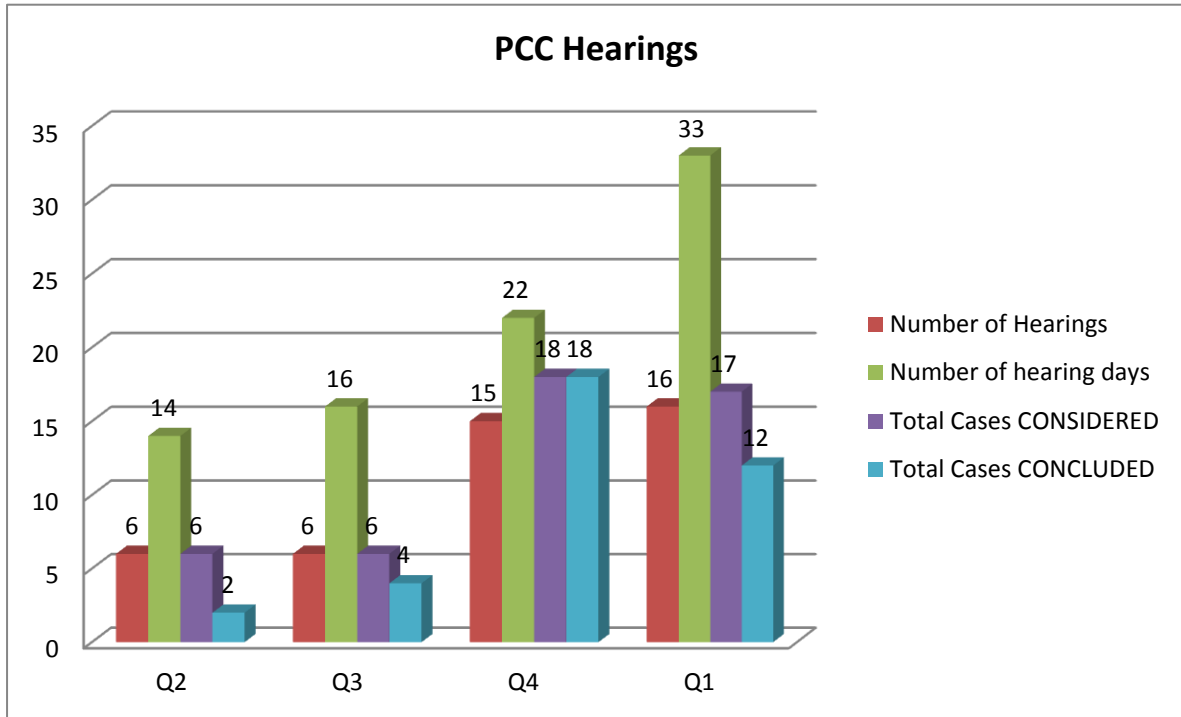
Investigating Committee	Q1	Q2	Q3	Q4
<b>IC MEETINGS</b>				
Number of meetings	2	2	1	2
Total Cases CONSIDERED	6	12	13	18
Total Cases CONCLUDED	5	7	10	13

## Annex A to 6

IC DECISIONS				
No Case to Answer	1	0	4	3
Referred to PCC	2	6	6	10
Referred to HC	0	1	0	0
Referred to PCC and HC	0	0	0	0
Adjourned	1	5	3	5
IC Interim Suspension Order DECISIONS				
Applications made	3	1	2	2
Interim Suspension Order Imposed	3	1	1	2
Undertaking	0	0	0	0
Receipt of complaint to ISO Decision (MEDIAN in weeks)	4	3	4	2

Professional Conduct Committee	Q2	Q3	Q4	Q1
PCC Hearings				
Number of Hearings	6	6	15	16
Number of hearing days	14	16	22	33
Total Cases CONSIDERED	6	6	18	17
Total Cases CONCLUDED	2	4	18	12
PCC DECISIONS				
Allegation not 'well founded'	2	1	7	4
Admonished	0	1	4	2
Conditions of Practice	0	0	0	2
Suspension	0	0	0	2
Removal	0	1	2	0
Rule 19	0	0	2	0
Adjourned	4	0	0	1
Conditions of Practice/Suspension to expire at end of order	0	0	0	1
Rule 8 Admonishment	0	0	2	0
PCC Interim Suspension Order DECISIONS				
Applications made	1	2	2	1
Interim Suspension Order Imposed	0	1	1	0
Undertaking	1	0	1	0





**Protection of Title**

**Key Points:** We received 3 fewer concerns in Q1 compared to Q4 2016/2017. There are 22 active protection of title cases as at 30 June 2017.

(The figures for protection of title concerns received and resolved are calculated as those received and resolved during the quarter. It is possible to resolve more concerns in a quarter than were received taking into account for example the time delay between sending out a Cease and Desist letter in one quarter and receiving a response in another).

Protection of Title	Q2	Q3	Q4	Q1
Concerns Received	22	11	20	17
Cease and Desist letters sent	18	4	9	8
Resolved	10	7	4	7
Prosecution Commenced	1	1	0	0
Conviction Secured	0	1	1	0

