

Regulation Department Report to Council – dataset

Q2 2016-17 – 1 July 2016-30 September 2016

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 quarter.

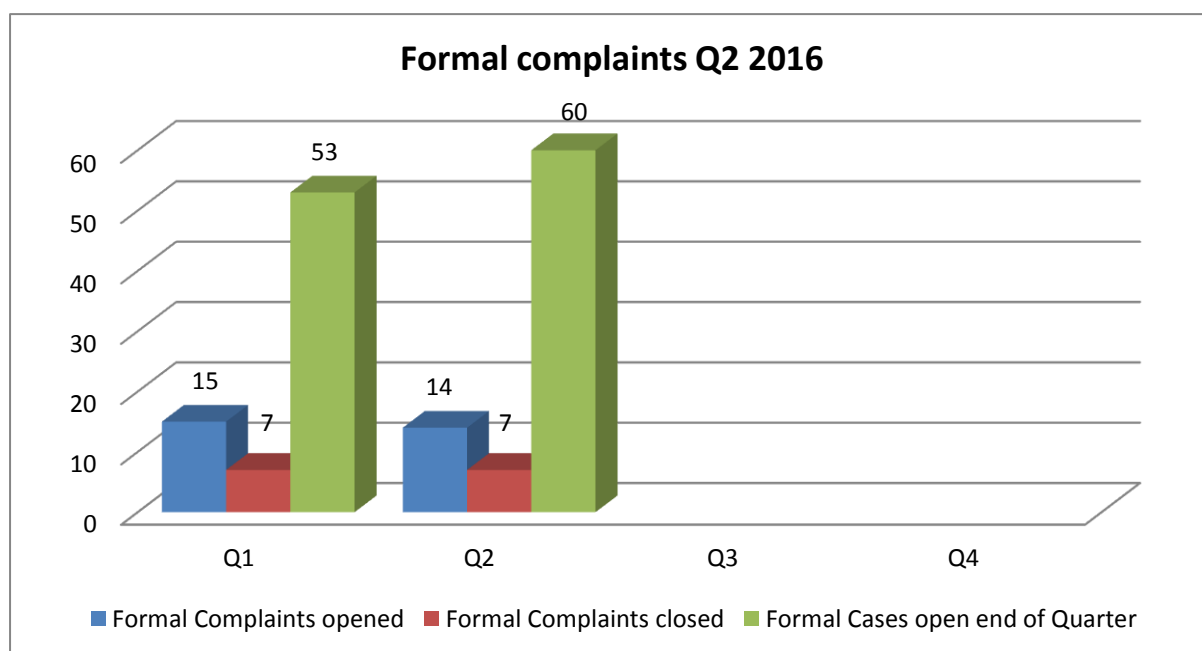
We received one more formal complaint and closed one less formal complaint in Q2 than in Q1.

The number of open formal cases rose from 53 to 61. This is in part due to a number of listed cases being only part heard by the PCC and the IC adjourning a larger number of cases (including 7 GTS advertising cases at its 15 August 2016 meeting) than in previous quarters.

Comparison

In Q2 2015-16 we received 9 formal complaints during that quarter and had 75 open formal complaints at the end of the quarter.

Number of complaints received	Q1	Q2	Q3	Q4
Formal complaints opened	15	14		
Formal complaints closed	7	7		
Formal cases open end of quarter	53	60		



Annex to 6

Source of formal complaints	Q1	Q2	Q3	Q4
Self-referral by the registrant	0	0		
Registrar's Allegation	2	1		
Referral by non-NHS employer	0	0		
Referral by patient or service user	7	5		
Referral by NHS	1	0		
Referral by another registrant	0	0		
Anonymous informant	0	0		
Referral by another regulator body	1	1		
Any other source	4	7		
Total	15	14		

Key points: The Q2 'Any other source' figure includes 6 GTS advertising complaints that had been referred to the Investigating Committee. Excluding those 6 complaints, 'Referral by patient or service user' is still the most common source of formal complaints in Q1 and Q2.

Allegations in formal complaints	Q1	Q2	Q3	Q4
Conduct	15	14		
Conviction	0	0		
Competency	1	3		
Adjunctive therapies	0	0		
Total	16	17		

Key points: A complaint can have more than type of allegation. For this reason the total allegations do not always equal the number of cases opened in the quarter. Conduct continues to be the main type of allegation raised in complaints. Q2 did see an increase however in allegations of competency against registrants.

Concerns

Key points: 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. The purpose of this initial closure procedure is to enhance transparency in our fitness to practise processes by outlining the method and timeframe for how the GOsC manages concerns raised where there is insufficient information to identify whether there are concerns regarding a registrant's fitness to practise.

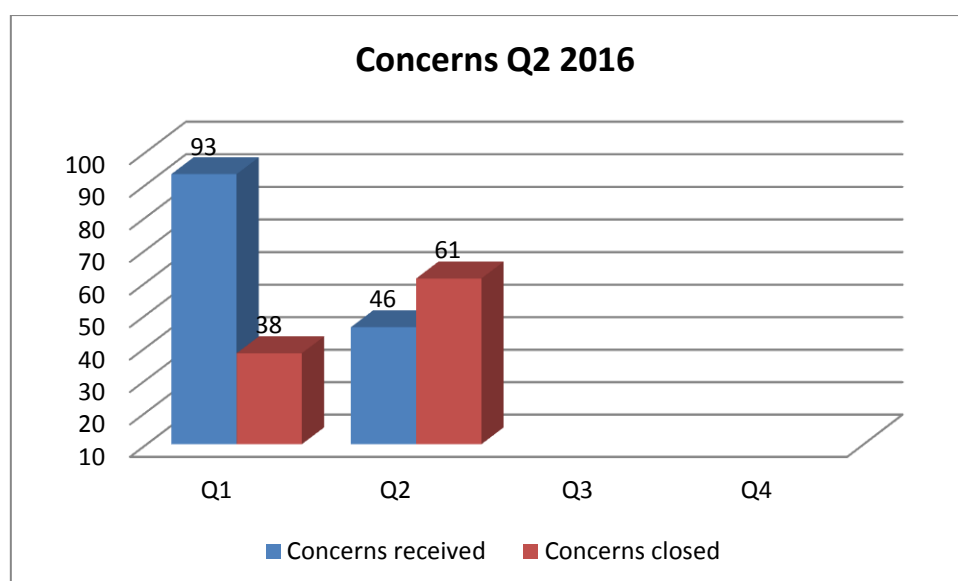
Concerns notified

46 concerns were notified to us in Q2. 24 were GTS advertising concerns leaving 22 'other' concerns. By contrast in Q1 were notified of 73 GTS concerns and 19 'others'. The decrease in GTS complaints from 74 in Q1 to 24 in Q2 has resulted in a 42% (47) decrease in notifications received in Q2 compared to Q1.

Concerns closed

In Q1 23 of the 38 concerns that were closed were GTS matters. In Q2 53 of the 61 closed concerns were GTS matters.

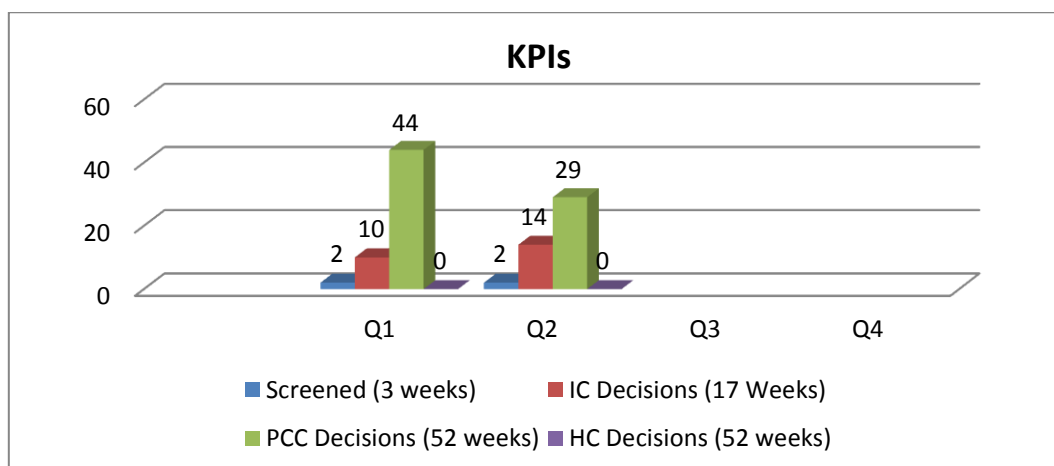
Number of concerns	Q1	Q2	Q3	Q4
Concerns notified	93	46		
Concerns closed	38	61		



Key performance indicators

Key points: All KPI's are measured in Median weeks. All KPIs were met in the quarter. There was a decrease in the PCC median from 44 weeks in Q1 to 29 weeks in Q2. The IC median increased from 10 weeks in Q1 to 14 in Q2 however this is still below the KPI of 17 weeks.

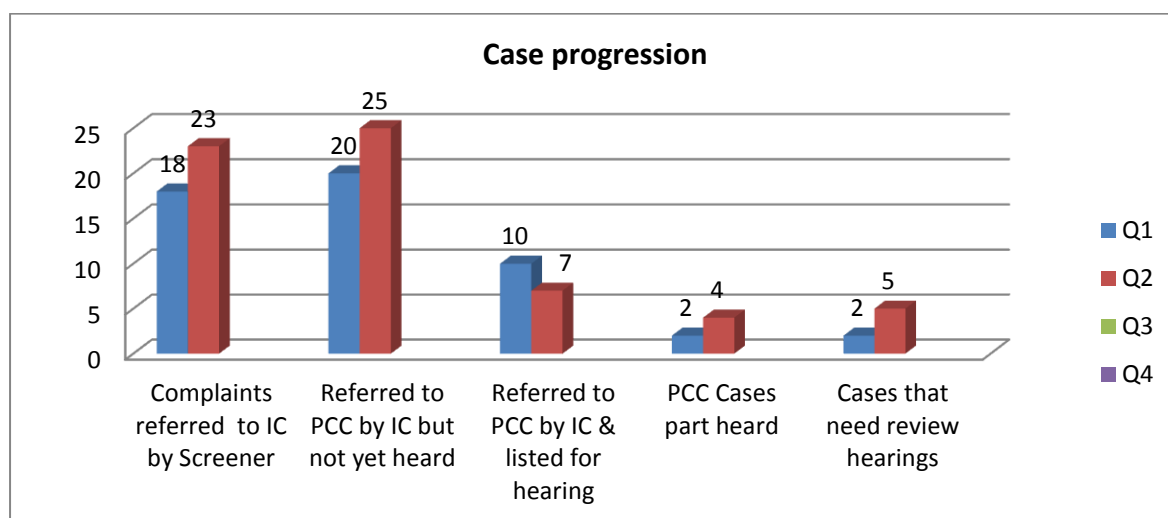
Performance against KPIs	Q1	Q2	Q3	Q4
Screened (3 weeks)	2	2		
IC Decisions (17 Weeks)	10	14		
PCC Decisions (52 weeks)	44	29		
HC Decisions (52 weeks)	0	0		



Performance against KPIs	Q1	Q2	Q3	Q4
Screened (3 weeks)	1	2	3	3
IC decisions (17 Weeks)	10	17	15	12
PCC decisions (52 weeks)	25	40	36	42
HC decisions (52 weeks)	0	29	25	0

Case Progression	Q1	Q2	Q3	Q4
Complaints referred to IC by Screener	18	23		
Referred to PCC by IC but not yet heard	20	25		
Referred to PCC by IC and listed for hearing	10	7		
PCC Cases part heard	2	4		
Cases that need review hearings	2	5		

Key Performance Indicators (continued)



Key points: The number of complaints awaiting listing for hearing increased slightly from Q1 to Q2. A new Listings Protocol commenced in early September 2016. This is designed to ensure that cases referred by the IC are listed more quickly as well as older cases.

Formal complaint to final IC decision (in weeks)	Q1	Q2	Q3	Q4
Median	15	14		
Longest Case	65	34		
Shortest Case	7	10		

Cases open end of quarter older than	Q1	Q2	Q3	Q4
52 weeks	9	17		
104 weeks	1	3		
156 weeks	1	1		

Key points: No substantive case was open for more than 52 weeks by the end of Q2. The three cases that are open for 104 weeks or more are two Health Committee review matters and a PCC suspension case requiring review in 2017.

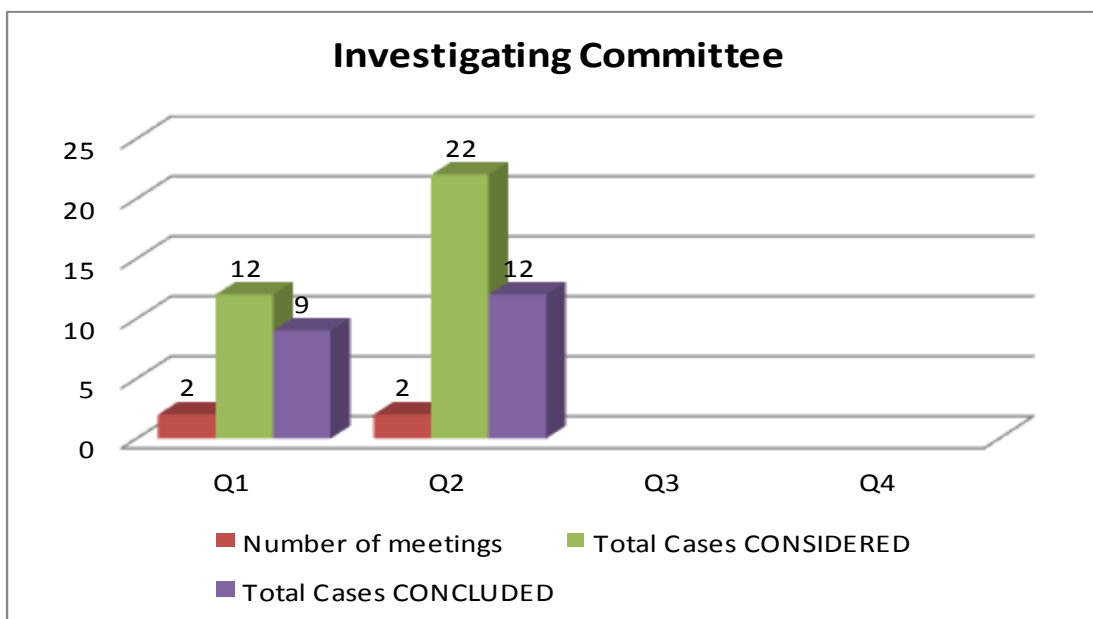
Investigating Committee

Key points: The number of cases considered by the IC in Q2 was significantly higher than Q1. The Total Case concluded rate in Q2 was 54% compared to 75% in Q1. This was due to a number of advertising cases being adjourned for referral to the ASA.

Two ISOs were applied for in the period. Both were granted.

Investigating Committee	Q1	Q2	Q3	Q4
IC MEETINGS				
Number of meetings	2	2		
Total cases considered	12	22		
Total cases concluded	9	12		
IC DECISIONS				
No case to answer	2	3		
Referred to PCC	7	8		
Referred to HC	0	1		
Referred to PCC and HC	0	0		
Adjourned	3	10		
IC Interim Suspension Order DECISIONS				
Applications made	0	2		
Interim Suspension Order imposed	0	2		
Undertaking	0	0		
Receipt of complaint to ISO decision (median weeks)	0	4.5		

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
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	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
IC Interim Suspension Order decisions				
Applications made	3	1	2	2
Interim Suspension Order imposed	3	1	1	2
Undertaking	0	0	0	0

Professional Conduct Committee

Key points: 55% of cases were concluded by the PCC in Q1 compared to 33% in Q2. The higher adjournment (Part Heard) rate in Q2 was due to combination of factors. This included difficulties due to self representation by registrants in two cases and a registrant having failed to attend a medical examination as ordered by the PCC at a previous hearing.

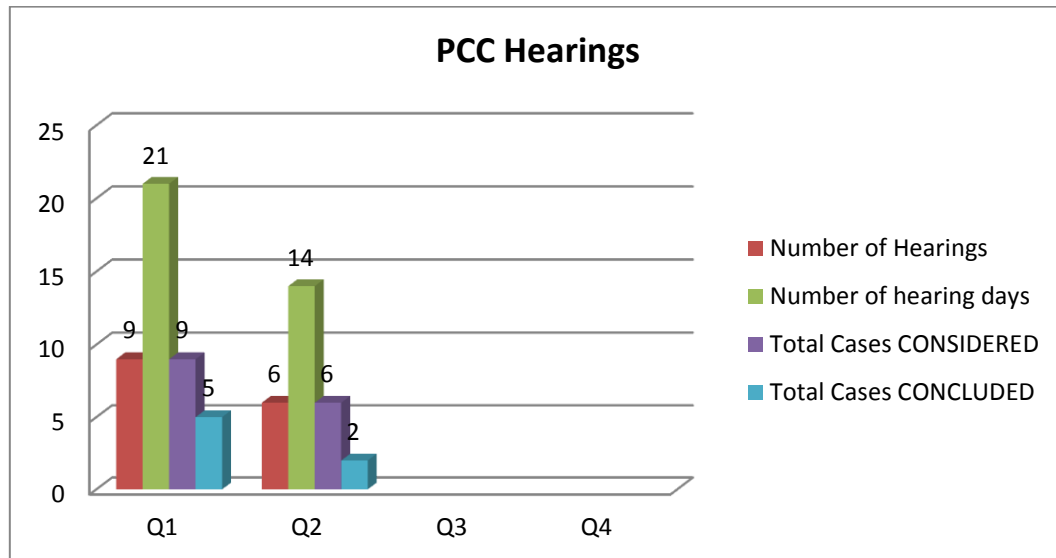
As at 30 September 2016 there are five part-heard cases in total. This compares to two part-heard cases as at 30 September 2015.

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
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 weeks)	4	3	4	2

Professional Conduct Committee	Q1	Q2	Q3	Q4
PCC hearings				
Number of hearings	9	6		
Number of hearing days	21	14		
Total cases considered	9	6		
Total cases concluded	5	2		
PCC DECISIONS				
Allegation not 'well founded'	0	2		
Admonished	2	0		
Conditions of Practice	1	0		
Suspension	1	0		
Removal	1	0		
Rule 19	0	0		
Adjourned	4	4		
Rule 8 Admonishment	0	0		

Annex to 6

PCC Interim Suspension Order decisions				
Applications made	1	1		
Interim Suspension Order imposed	1	0		
Undertaking	0	1		



Protection of title

Key points: We received 6 more concerns in Q2 compared to Q1 (72% increase). We sent more than double the number of cease and desist letters in Q2 and resolved double the number of complaints than in Q1. GOsC commenced a prosecution in Q2 against an osteopath who had been erased in 2015. The matter is listed for hearing on 25 October 2016. There were 26 active Protection of Title cases as at 30 September 2016.

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	Q1	Q2	Q3	Q4
Concerns received	16	22		
Cease and desist letters sent	8	18		
Resolved	5	10		
Prosecution commenced	0	1		
Conviction secured	0	0		

