FOI Reference No.	Original Request	Response			
2016 – 17 Quarter 1					
FOI 2016 – 06	I was wondering if you would be able to send me any statistics of the number of warnings/disciplinary actions that were taken regarding inadequate/poor assessment of binocular vision in the past year, compared to 10 years ago, or previous years?	We can confirm that we hold this information. However, this information is not recorded in a structured way to enable us to provide a response to this request. Due to the manner in which we store our data to provide the information you have requested we would need to fully review all FTPC and CE/IE decisions/case files to identify and collate the information you have requested. The information requested could not be identified without incurring disproportionate costs. Disproportionate cost means that we estimate that the cost of complying with your request would exceed the appropriate limit of £450. The appropriate limit has been specified in the regulations and for public bodies it is set at £450. This represents the estimated cost of one person spending 18 working hours in determining whether the General Optical Council holds the information, and locating, retrieving and extracting the information. Under section 12 of the Freedom of Information Act we are not obliged to comply with your request and we will not be processing your request further. Details of previous FTP hearings (for the previous 12 months) are publically available on the General Optical Council website https://www.optical.org/en/Investigating_complaints/Hearings/past_hearings/index.cfm I would suggest that this may be an ideal starting point for you to ascertain the number of relevant cases over a twelve month period. I wish you			
FOI 2016 - 07	1. Current number of registrants with a criminal conviction 2. Number of registrants who have been removed from the register and have successfully reregistered in the last two years before the expiration of their original suspension period (due to fitness to practice issues)	every success with your research and your Optometry studies. We can confirm that we hold this information. However, this information is not recorded in a structured way to enable us to provide a response to this request. As of 31 March 2015, there were 29,162 optometrists, dispensing opticians, student opticians and optical businesses on the register. The General Optical Council collects and retains three types of declaration: • Criminal: • Investigation; and • Health. Some of the Criminal and Investigation declarations are linked together as a criminal declaration outside of the registration/retention period may prompt an investigation by either ourselves, the police, the NHS or another regulatory body. For these cases, the records would be logged as an 'Investigation' declaration rather than a 'Criminal' declaration.' With regards to criminal convictions. This is a very broad term. Criminal convictions includes police cautions and fixed penalty orders. I have attached a copy of the following document, <i>Declarations guidance for fully qualified registrants</i> , to this letter to assist you in understanding the level of criminal convictions that we collect on registration and the rationale behind the collection of this data. The relevant section is entitled "Declarations relating to criminal or disciplinary investigations or outcomes" pages 8 - 12. Furthermore, in some instances there is no requirement for registrants to declare criminal convictions post their initial registration with the General Optical Council. To provide the information you have requested would require an employee to search not only the individual registration system but also the paper originals. As such the information requested could not be identified without incurring disproportionate costs. Disproportionate cost means that we estimate that the cost of complying with your request would exceed the appropriate limit of £450. The appropriate limit has been specified in the regulations and for public bodies it is set at £450. This rep			

seneral Optio	al Council Freedom of Information R					
		Under section 12 of the Freedom of Information Act we are not obliged to comply with your request and we will not be processing your request further.				
		We are providing the following information outside of the Freedom of Information Act:				
		Regarding your second question. Zero registrants have been removed from the register and have successfully re-registered in the last two years before the expiration of their original suspension period (due to fitness to practise matters).				
		I feel it pertinent to explain that suspended registrants are not removed from the register, they are as the term implies "suspended" from it. Towards the end of any suspension period there would be a review if no further action or sanction is required then the suspension lapses and the registrant is returned to the register. There is no re-registration process and as such re-registration during a period of suspension is not possible.				
		I would again encourage you to discuss your Freedom of Information request with me to assist you to identify the information you are looking for within the scope of the Freedom of Information Act.				
FOI 2016 – 08	 Suppliers who applied used for the provision of transcription services The value of outsourced transcription services 	I can confirm that we hold the information you have requested, however we are not obliged to provide information relating to commercial interests. In this case we believe that the information would, or would be likely to, prejudice the commercial interests of any person including the public authority who holds it (section 43(2) of the Freedom of Information Act, FOIA).				
	 Confirmation of contractual status, expiry dates, and extension details If a contract exists, has a decision been made yet on whether the framework(s)/contract(s) are being either extended or renewed? 	We are also not required to provide information that is available by other means (section 21 of the Act). Section 21 is an absolute exemption which means there is no requirement to carry out a public interest test if the requested information is exempt. Suppliers who are used for the provision of transcription services This information is publically available on website. As such this information is exempt from release under Section 21 – information available by other means – exemption of the FOIA. This information can be found on all of our published hearing notices.				
	Who is the senior officer (outside of procurement) responsible for this service?	The value of outsourced transcription services Confirmation of contractual status, expiry dates, and extension details If a contract exists, has a decision been made yet on whether the framework(s)/contract(s) are being either extended or renewed? This information is exempt under section 43 (commercial interests) of the FOIA, as the information would be likely to prejudice the commercial interests.				
		We have considered the public interest in disclosing the information and have determined that the prejudice arising from disclosure outweighs the benefit to the public. It has determined that disclosure could result in competitive disadvantage to the supplier and could damage the supplier's and the GOC's commercial interests. Revealing the requested information could weaken the supplier's position in a competitive environment by revealing market sensitive information of potential usefulness to its competitors.				
		Who is the senior officer (outside of procurement) responsible for this service? Use of transcription services is limited to our Fitness To Practise team.				
		Details of our Senior Management Team can be found https://www.optical.org/en/about_us/People/senior-management-team.cfm				
		Details of upcoming tenders can be accessed on our website: https://www.optical.org/en/about_us/working_for_us/goc-tenderscfm				
FOI 2016 – 09	Name of complainant	The Freedom of Information Act 2000 is an Act of Parliament that creates a "public right of access" to information held by public authorities. However, the Act is subject to certain exemptions. The information you have requested would be considered "personal" information.				
		Under section 40(2) of the FOIA, we are not obliged to provide information that is the personal information of another person if releasing would contravene any of the provisions in the Data Protection Act (DPA) 1998.				
		As the information you require relates to an identifiable individual we consider that to confirm or deny that the information exists or to disclose the information if it were to be held could breach the privacy rights of the individual. The terms of this exemption in the FOIA mean that we do not have to consider whether or not it would be in the public interest for us to reveal whether or not the information is held.				
FOI 2016 – 10	Would the GOC please forward the details	Would the GOC please forward details of the GOC investigation that had the time frame May 2012 to January 2013?				
	of the Specsavers UK practices that were proved to be unregistered by the GOC					

General Ontic	al Council Freedom of Information R	equests 1 Anril – 30 June 2016				
	Investigation that took place between May 2012 and January 2013? Would the GOC please forward the details of the	A complaint was received, from an individual, that Specsavers joint venture companies (JVCs) were using the title "Optician" without being registered with the General Optical Council and that this was in contravention of the Opticians Act 1989. The Opticians Act 1989 requires that (with specified exceptions) corporate bodies must register with the GOC in order to use the title "Optician".				
	Specsavers UK practices that were proved to be registered by the GOC Investigation that took place between May 2012 and	Specsavers Optical Group (SOG), responsible for backroom services to all Specsavers JVCs, were informed of the complaint and in response arranged for all JVCs to register with us.				
	June 2013? Would the GOC please give reasons why the search criteria	At this point we closed our files on the basis that the issue had been resolved and that there were no further ongoing concerns.				
	'Registered/Bodies Corporate/Boots' and 'Registered/Corporate Bodies/Specsavers' give different results? Would the GOC confirm that each of the 481 listed Boots	What were the details of the Specsavers UK practices which were identified as registered? Under Section 14(2) of the Act, a public authority does not have to comply with a request which is identical, or substantially similar to a previous request submitted by the same individual, unless a reasonable period has elapsed between those requests. There is no public interest test. We				
	Opticians Professional Services was included under the same GOC number in	have provided a response to this question as part of your previous Freedom of Information Request (2016-03).				
	2015 Opticians Register.	What were the details of the Specsavers UK practices which were identified as unregistered?				
		Under Section 14(2) of the Act, a public authority does not have to comply with a request which is identical, or substantially similar to a previous request submitted by the same individual, unless a reasonable period has elapsed between those requests. There is no public interest test. We have provided a response to this question as part of your previous Freedom of Information Request (2016-03).				
		Would the GOC please give the reasons why the search criteria Register/Bodies Corporate/ Company Boots and Register/Bodies Corporate/Company Specsavers give different results?				
		Under Section 14(2) of the Act, a public authority does not have to comply with a request which is identical, or substantially similar to a previous request submitted by the same individual, unless a reasonable period has elapsed between those requests. There is no public interest test. We have provided a response to this question as part of your previous Freedom of Information Request (2016-03).				
		Would the GOC confirm that each of the 481 listed Boots Opticians Professional Services was included under the same GOC number in the 2015 opticians register?				
		I can confirm that Boots Opticians Professional Services have retained the GOC number CO-3673. I can also confirm that each of the 481 listed Boots Opticians Professional Services was included under the same GOC number in the 2015 opticians register.				
FOI 2016 - 11	Please provide a copy under FOIA of the KPGM report referenced in this article	Acceptable Behaviour Policy invoked – No response provided				
	"Consultants from auditing company KPMG reviewed the GOC's methods and highlighted 45 points of improvement. This					
	feedback has been incorporated into six 'quick fixes' to be introduced, including a policy that triages a complaint based on risk					
	and the creation of new policy and guidance documents.					
FOI 2016 - 12	Information about of the number of fitness to practice cases the General Optical Council has received over the last ten years that relate to sexual misconduct/sexual abuse of children and	Number received where concerns were raised Seven cases were opened relating to allegations of sexual misconduct/sexual abuse of children and young people (under 18 years old). All cases relate to male registrants and can be broken down as follows: 2013 one case, 2014 four cases and 2015 two cases.				
	young people (under 18 years old). Please					

provide this information broken down by year and gender (of alleged perpetrator):

- Number received where concerns were raised
- Number that occurred within the work context
- Number that proceeded to a substantive fitness to practice hearing and
- number that resulted in:
- a) the individual being removed/erased from your register
- b) the individual having a restriction imposed or sanction made against them
- 2) If there are any relevant cases, please could you send me copies of any fitness to practice determination decision documents relating to any cases involving female practitioners who have been considered by GOC for sexual misconduct/sexual abuse with children and young people (regardless of whether this has occurred within or outwith the work environment).

Number that occurred within the work context Three of the cases occurred within the work context. One case involves patients aged 16 and 17 and two of the cases relate to colleagues aged under 18. There were two cases relating to convictions for possession of abusive images of children and two cases related to convictions for sexual assault.

Number that proceeded to a substantive fitness to practice hearing, the individual being removed/erased from your register, the individual having a restriction imposed or sanction made against them. Four cases to date have been referred to the Fitness to Practise Committee. Of these four cases, three registrants were erased by the Committee. One case is pending hearing before the Committee.

Two cases are currently still at investigation stage, one of which is currently subject to an interim conditions of practise order. One case was closed at preliminary stage by case examiners as the alleged victim refused to participate in proceedings.

If there are any relevant cases, please could you send me copies of any fitness to practice determination decision documents relating to any cases involving female practitioners who have been considered by GOC for sexual misconduct/sexual abuse with children and young people (regardless of whether this has occurred within or outwith the work environment). Between 2013 and 2016 no cases involving female practitioners have been considered by the GOC for sexual misconduct/sexual abuse with children and young people within or outwith the work environment.

FOI 2016 - 13

- Nature of the complaint levied against us.
 Whether the complainant is a registered optometrist.
- 3. Is the complainant affiliated to a public body or private entity

I understand that you, and [Name Removed], have been corresponding with my colleagues in the Fitness to Practise team and that you have been provided with the disclosable information pertaining to the complaint. I also understand that the complaint made about [Name Removed] has now been closed.

You filed a FOI request (FOI 2016-09) for the name of the complainant on 4 May 2016 to which we responded on 5 May 2016 citing Section 40 (2) – Personal Information exemption. The Freedom of Information Act (FOIA) 2000 is an Act of Parliament that creates a "public right of access" to information held by public authorities. However, the Act is subject to certain exemptions which apply in relation to your request.

Section 30 1(a) of the FOIA states that information held by a public authority is exempt information if it has at any time been held by the authority for the purpose of –

- (a) any investigation which the public authority has a duty to conduct with a view to it being ascertained –
- (i) whether a person should be charged with an offence, or
- (ii) whether a person charged with an offence is guilty of it. One of our statutory functions as a public body is investigating and acting on concerns that a registrant is not fit to practise, train as an optician or run a GOC-registered business.

We therefore consider that information relating to the complaint made against [Name Removed] is exempt from release under FOIA by virtue of Section 30 1 (a).

Furthermore we consider that questions two & three would also be considered "personal" information. Under section 40(2) of the FOIA, we are not obliged to provide information that is the personal information of another person if releasing would contravene any of the provisions in the Data Protection Act (DPA) 1998.

As the information you require may relate to an identifiable individual we consider that to confirm or deny that the information exists or to disclose the information if it were to be held could breach the privacy rights of the individual.

Both section 30 and 40 of the FOIA are absolute exemptions and are not subject to public interest test.

General Optical Council Freedom of Information Requests 1 April – 30 June 2016 FOI 2016 – 14 I spoke to [Name Removed] back in In the retention period from 2010 to present we have received 75 declarations of which six were related to vision. December 2014 in regards to my question related to declarations from optometrists to the GOC regarding their own health. [Name Removed] advised me that you had in total received 41 declarations in the retention period from 2010 of which 6 were related to vision. This information was requested for my university dissertation, however I am now turning this into a review paper, with a hope to get it published in a journal. Therefore, I wanted to re-check these figures and wondered if you could give me an up to date approximation. **FOI 2016 - 15** Can I please have a copy of your Retention I can confirm that the General Optical Council hold a copy of the information you have requested. Please find attached copy of the GOC Records of Records Policy. & Retention Policy (document available upon request). The GOC are currently reviewing all of its information governance policies and as such this policy may be subject to change or amendment. The National Archives provide advice to organisations on Records management. The following links may be useful for you. http://www.nationalarchives.gov.uk/information-management/manageinformation/policyprocess/disposal/advice-on-retention/ http://www.nationalarchives.gov.uk/documents/informationmanagement/sched info management.pdf **FOI 2016 – 16** We are currently completing a review of the We can confirm that we hold this information. roles of those whom we call 'partners' and wonder if you would be able to assist. **Panel Member** Are you able to provide me with a copy of Role and responsibilities of an Education Visitor Panel member the role briefs/job descriptions please: Role profile . Panel Member . Panel Chair Optometrists and dispensing opticians need comprehensive and relevant training so that they can deliver good standards of eye care to the . Legal Assessor public. We assess and approve the quality and content of education provided for those training to qualify as optometrists and dispensing . Visitor opticians in the UK against our standards of competence via regular quality assurance visits. . Registration Assessor Students must demonstrate that they are proficient in the core competencies, which are the knowledge and skills that support safe and effective practice, in order to gain a qualification, register with us and practise in the UK. These core competencies include technical, clinical, communication skills along with ethical standards of behaviour. There are core competencies in four areas of practice: • optometry; • dispensing optics; • contact lenses (for dispensing opticians); and • therapeutic prescribing (for optometrists).

To gain these skills and appropriate clinical experience, students work with patients and the public throughout their course of study. The

Education Visitor Panel provides advice to our Education Committee by conducting accreditation and quality assurance visits to education and training providers offering optical qualifications. Following an assessment of the quality and content of the courses against our Accreditation and

Quality Assurance Handbooks and standards of competence, visitor panel members recommend whether to grant approval for new qualifications, continue approval for existing qualifications or withdraw approval. They also recommend conditions that providers must meet or suggestions for improving the quality of the training provided. The decision whether to grant approval or withdraw approval of a qualification rests with the GOC Council.

Responsibilities

These include:

- reading and analysing the documentation sent in advance of the visit and provided during the visit;
- participating in the visit to gather, test and verify evidence (including questioning staff and students and visiting clinical facilities);
- making judgements (against GOC Standards of Education) on the adequacy and quality of a programme, assessment systems, the assurance of patient safety and equality and diversity issues; and
- contributing to the drafting of the report on the visit, including recommendations made to those responsible for the delivery of the programme.

Panel Chair

Role and responsibilities of an Education Visitor Panel Chair

Role profile

Optometrists and dispensing opticians need comprehensive and relevant training so that they can deliver good standards of eye care to the public. We assess and approve the quality and content of education provided for those training to qualify as optometrists and dispensing opticians in the UK against our standards of competence via regular quality assurance visits.

In order to gain a qualification, register with us and practise in the UK, students must demonstrate that they are proficient in the core competencies, which are the knowledge and skills that support safe and effective practice.

These core competencies include technical, clinical and communication skills along with ethical standards of behaviour.

There are core competencies in four areas of practice:

- optometry:
- dispensing optics;
- contact lenses (for dispensing opticians); and
- therapeutic prescribing (for optometrists).

To gain these skills and appropriate clinical experience, students work with patients and the public throughout their course of study. The Education Visitor Panel provides advice to our Education Committee by conducting accreditation and quality assurance visits to education and training providers offering optical qualifications. Following an assessment of the quality and content of the courses against our Accreditation and Quality Assurance Handbooks and standards of competence, visitor panel members recommend whether to grant approval for new qualifications, continue approval for existing qualifications or withdraw approval.

They also recommend conditions that providers must meet or suggestions for improving the quality of the training provided. Under our Scheme of Delegation, the Education Committee's role is "to keep themselves informed as to the instruction at each approved establishment and the assessment which leads to the approved qualification." In practice, this means that the Panel's visit reports will be reported to Education Committee, who decide whether to approve, amend or reject conditions and recommendations proposed by the Education Visitor Panel.

Panel Chairs will be asked to attend the Education Committee to provide further details of the visit outcome.

The decision whether to grant approval or withdraw approval of a qualification rests with the GOC Council, following a recommendation from the Education Committee.

The composition of each panel will include a Chair, with the remainder of the panel's make up to be determined based on the type of qualification that is being provided by the education institution being visited.

Responsibilities For members, responsibilities include:

- reading and analysing the documentation sent in advance of the visit and provided during the visit;
- participating in the visit to gather, test and verify evidence (including questioning staff and students and visiting clinical facilities);
- making judgements (against GOC Standards of Education) on the adequacy and quality of a programme, assessment systems, the assurance of patient safety and equality and diversity issues and considering all evidence and form a consensus view;
- review evidence of completion of any conditions; and
- contributing to the drafting and review of the report on the visit, including recommendations made to those responsible for the delivery of the programme.

In addition, Chairs have responsibilities to:

- liaise with GOC staff to prepare for visits;
- manage the quality assurance visit team during the visit including delegating tasks, ensuring that procedures as stated in the Handbook are appropriately followed and that members conduct themselves properly and with due courtesy and fully consider all evidence provided;
- collate feedback from the quality assurance visit team to inform the visit report;
- review visit reports in conjunction with GOC Executive;
- present findings of the quality assurance visit to the senior management team of the education provider at the conclusion of visit;
- present findings of visits to the GOC Education Committee; and
- agree objectives and conduct the biennial appraisal of other visitors.

All visitors are trained in the quality assurance visit process and receive ongoing training and appraisal throughout their appointment.

Legal Assessor

Legal Advisors/Legal Assessors (taken from Opticians Act)

Legal advisers 23D. (1) The Council shall appoint persons to be legal advisers.

The legal advisers are appointed for the purpose of giving advice to –

- a) the Fitness to Practise Committee; and
- b) the Registration Appeals Committee, on questions of law arising in connection with any matter which the Committee is considering.

To be qualified for appointment as a legal adviser, a person must –

- a) have at least a five year general qualification (within the meaning of section 71 of the Courts and Legal Services Act 1990);
- b) be an advocate or solicitor in Scotland of at least five years standing; or
- c) be a member of the Bar of Northern Ireland or Solicitor of the Supreme Court of Northern Ireland of at least five years standing.
- A legal adviser must not be a member of the Council. The Council may pay such fees, allowances and expenses to a legal adviser as the Council consider appropriate.

Legal advisers appointed under this section may be appointed either generally or for any particular class of proceedings, and shall hold and vacate office in accordance with the terms of the instrument under which they are appointed.

The Council may make rules as to the functions of legal advisers appointed under this section and those rules may in particular contain provision

- a) for legal advisers to advise on the drafting of decisions;
- b) (for securing that where the adviser advises a Committee on any question of law as to evidence, procedure or any other matters set out in the rules, he shall do so in the presence of every party, or person representing a party, to the proceedings who appears at the proceedings, or, if the

	al Council Freedom of Information	advice is tendered after the Committee have begun to deliberate as to their findings, that every such party or person shall be informed as to the advice tendered by the legal adviser; and c) for incidental and supplementary matters. Visitor See point 1: Role and responsibilities of an Education Visitor Panel member
		5. Registration Assessor
		I have attempted to call you to clarify the "Registration Assessor" role. I interpreted this to be the role of Registration Officer, if this is not the role profile you were requesting please contact me to discuss.
		Registration Officer
		Role Profile
		The role holder is responsible as a member of the registrations team for the delivery of all aspects of the registrations process in relation to students, individual and company registrants and restorations, in line with the needs of the registrations calendar and team resources.
		The department is responsible for the maintenance of accurate and accessible registers. They will also act as the 'process owner' for designated key processes, and develop products and approaches to ensure that the process works efficiently and meets required goals.
		They will develop operating procedures to ensure that all members of the team are able to undertake all key steps in the process and will recommend changes and improvements to ensure that customer service and the efficiency of the team as a whole continues to be maximised.
		They act as a coach to others as necessary and are a point of escalation for issue resolution, in areas where they have most expertise.
		• To support the activity of the Registrations team by delivering on any part of the registrations process as required including responding to queries by phone, email, fax or letter, entering and validating data to expected levels of quality and accuracy, ensuring data storage requirement are met and undertaking process reviews as required
		• To process applications and payments in accordance with KPIs and expected quality standards • To recommend and develop process change improvements which ensure that registrants and the public continue to receive the best service possible in line with agreed targets, and statutory requirements.
		• To act as the process owner for designated key processes, ensuring process efficiency and ensuring that other members of the team are fully supported and coached in key activities.
		 To prepare reports for the Registrar, the Head of Registration and other departments within the GOC to ensure that they are fully informed of relevant progress and statistics. To assist in the management of the development of products and approaches to support the implementation of regular or one off processes so
		that they run smoothly and meet agreed objectives (e.g. road shows, process improvement and implementation of new operational procedures) • To act as team coach and a centre of competence on aspects of process delivery and the point of contact where issues are escalated and resolved (e.g. direct debits, declarations affecting fitness to practise, EU applications, company registrations), involving colleagues outside Registrations in cases where necessary.
		 To develop standard operating procedures for agreed processes and ensure that process steps are documented, maintained and communicated to facilitate team efficiency. Develop and maintain both internal and outward facing templates (forms, website content, correspondence templates) for own areas of
		 responsibility To produce process metrics and information on a regular and ad hoc basis in line with registration activity cycles or key projects. To develop and maintain relationships with key external stakeholders relevant to processes owned (e.g. within educational establishments,
FOI 2016 – 17	I am trying to look at some demographic	health organisations, police service) and ensure that information is shared appropriately in line with process and customer service requirements I can confirm that the GOC holds a copy of the information you have requested.
	data for optometrists and contact lens	

	opticians and found that there was a table with a split along the line of age (see screen		Age	Optometrists	Dispensing Opticians	
	grab below). Do you know if there is any way that I get the data with more detailed split, ie rather than by 15 year groups perhaps 5 year groups?		Under 25	689	128	
			25-29	2370	615	
			30-34	2524	991	
			35-39	2354	915	
			40-44	1401	860	
			45-49	1516	779	
			50-54	1292	833	
			55-59	1086	689	
			60-64	772	361	
			65+	478	171	
			Total	14482	6342	
FOI 2016 – 18	How many applications were there for the	I can confirm that the General Optical Council h	old a copy o	of the information yo	u have requested.	There were 39 applicants for the Education
	Education Visitor Panel Chair recruitment?	Visitor Panel Chair vacancy.				