

Member review process guidance

Status of document:	FINAL
Version:	2.2
Approved by:	Nominations committee
Date of approval:	20 February 2018
Effective from:	1 March 2018
Owner:	Nicola Ebdon, Head of Governance
Author:	Howard Miller, Governance Manager
Relevant legislation:	None
Linked policies:	Member Development Plan Member Appointment and Reappointment Policy
Impact Assessment:	
Impact Assessment completion:	17 November 2017
Impact Assessment review:	
Next policy review date:	January 2021
Location - Website:	https://www.optical.org/en/about_us/our-governance/index.cfm
Location - internal:	H:\01 Shared Resources\01.06 Policies & Procedures\1. CENTRAL HUB - Policies and Procedures\1. Corporate

Member review process guidance

Contents

- 1. Statement..... 3
- 2. Purpose..... 3
- 3. Scope 4
- 4. Glossary of Terms 4
- 5. Roles and responsibilities..... 4
- 6. Review process – start of term (form at annex one)..... 6
- 7. Review process – mid-term (form at annex two) 7
- 8. Review process – to inform reappointment (form at annex three)..... 7
- 9. Third party feedback 8
- 10. Development needs 9
- 11. Preparation for review discussion 9
- 12. Compliance 10
- 13. Transparency 10
- 14. Annexes 10
- Annex one - New member form..... 11
- Annex two - Member mid-term review form..... 12
- Annex three - Member end of term form..... 13
- Review process flowchart..... 15

STRICTLY CONFIDENTIAL

Member review process guidance

1. Statement

- 1.1 To ensure the protection and promotion of the health and safety of the public we must ensure effective performance of our members, all of whom have a key role to play in providing advice and making decisions.
- 1.2 We are committed to good member performance through:
 - 1.2.1 effective appointment and re-appointment;
 - 1.2.2 timely review of effectiveness in the role;
 - 1.2.3 ensuring member competencies meet organisational requirements and expected behaviours of members are in accordance with the Principles of Public Life and GOC values;
 - 1.2.4 clear and timely objective setting for members with decision making responsibilities;
 - 1.2.5 identification and provision of required development; and
 - 1.2.6 enabling members' personal development and maintaining motivation throughout their term of office.

2. Purpose

- 2.1 This process is intended to:
 - 2.1.2 provide members with routine opportunities to reflect on fulfilment of their role and responsibilities and behaviour in line with our values and the standards of public life;
 - 2.1.3 provide Council, Hearings Panel (HP), Education Visitor Panel (EVP) and Investigation committee (IC) members with clear and current objectives and routine opportunities to reflect on how they are fulfilling their objectives;
 - 2.1.4 ensure members understand their responsibilities in relation to mandatory development for the role; and
 - 2.1.5 provide an evidence base for reaching conclusions regarding the reappointment of members at the end of their term of office.
- 2.2 Any concerns about a member's performance in the role should be raised with the relevant Chair, a member of the GOC Senior Management Team (SMT) or the Governance team – so the concerns can be raised with the member quickly. Such concerns should not wait until the member review meeting to be addressed.
- 2.3 Any member personal development requirements should be raised with the relevant Chair, a member of the GOC SMT or the Governance team outside of the review process and progressed using the [member development plan](#).
- 2.4 This process is not intended to be used to raise concerns or provide feedback about our policies, processes, employees, members or others working for us. In

Member review process guidance

appropriate instances members should make use of the [corporate complaints and feedback policy](#).

3. Scope

- 3.1 The policy applies to all GOC members. It does not apply to GOC employees or contractors.

4. Glossary of Terms

- 4.1 **Buddy:** a fellow member (on the same committee), who can be turned to for informal advice on the role of a member, share experiences and provide advice or guidance. The buddy is usually a different type of member (lay/registrant) so there is an opportunity to gain knowledge and skills from an alternative perspective.
- 4.2 **Independent member (IM):** A person who is able to provide a credible and unbiased perspective who is not a GOC employee or a member of Council or any of its committees and who is not a registrant of the GOC or an employee of a registrant.
- 4.3 **Members:** Individuals who work with the GOC who are neither employees nor contractors (as defined by their contract with us), including Council, committee and hearing panel members.
- 4.4 **Senior Council Member (SCM):** Acts as a sounding board for the Chair of Council, serves as an intermediary for other Council members and formally manages the appraisal of the Chair's performance annually.
- 4.5 **Senior Management Team (SMT):** Comprises the Chief Executive and Registrar and the Directors of Resources, Strategy and Fitness to Practise.
- 4.6 **Statutory Advisory Committees (SAC):** The Council's committees established by the Opticians Act 1989.

5. Roles and responsibilities

- 5.1 Reviewers for each member are as follows:

Member	Reviewer
Council Chair	Senior Council member
Council members	Council Chair
EVP Chairs	Head of Education
EVP members	EVP Chair allocated as reviewer on appointment
HP Chairs	Nominations committee independent member
HP members	HP Chair allocated as a buddy on appointment
IC Chair	Nominations committee independent member
IC members	IC Chair
SAC members and IM's	Committee Chair

Member review process guidance

- 5.2 The process shown in the flowchart at **annex four** will be followed when arranging all reviews.
- 5.3 The Governance team will:
 - 5.3.1 arrange a review date, time and location;
 - 5.3.2 request third party feedback if required;
 - 5.3.3 obtain an up to date CV from the member prior to each end of term review;
 - 5.3.4 obtain availability information as required;
 - 5.3.5 obtain a written self-assessment from all HP, IC, IM, EVP and Council members prior to their end of term review;
 - 5.3.6 distribute the review form, CV, third party feedback and other relevant information ahead of the review discussion to both the member and reviewer; and
 - 5.3.7 file the form appropriately and maintain confidentiality.
- 5.4 The Education team will co-ordinate the obtaining of feedback regarding the EVP Chairs and members after each visit and share the findings as part of the review process.
- 5.5 Members should:
 - 5.5.1 communicate effectively to ensure review meetings can be arranged and enable third party feedback obtained;
 - 5.5.2 provide an up to date CV when requested;
 - 5.5.3 provide availability information when requested;
 - 5.5.4 provide open and honest feedback about other members when requested to do so;
 - 5.5.5 prepare fully for the review discussion to ensure it is useful and constructive. All HP, IC, IM, EVP and Council members should complete and submit a written self-assessment prior to their end of term review in order for it to be considered as part of the review discussion;
 - 5.5.6 engage in the review discussion openly and honestly; and
 - 5.5.7 complete and return the review form promptly to the reviewer.
- 5.6 Reviewers should:
 - 5.6.1 communicate effectively to ensure review meetings and observations can be arranged;
 - 5.6.2 prepare fully for the review discussion to ensure it is useful and constructive;
 - 5.6.3 engage in the review discussion openly and honestly;
 - 5.6.4 complete and return the review form promptly to the member; and
 - 5.6.5 send the completed and agreed review form to the Governance team.

Member review process guidance

5.7 Members and reviewers should contact the Governance team if any support or advice is required or if there are any issues.

6. Review process – start of term (form at annex one)

- 6.1 All members will have an initial discussion with their reviewer (section 5.1) within six months of appointment to ensure full understanding of:
- 6.1.1 the work of the committee(s) and current issues under consideration;
 - 6.1.2 the requirements of the role;
 - 6.1.3 GOC strategic objectives;
 - 6.1.4 expected behaviours of members in relation to the Principles of Public Life and the GOC Code of Conduct and values; and
 - 6.1.5 any requirements to complete mandatory development.
- 6.2 All Council, HP, EVP and IC chairs and members and the IM's will also discuss and agree objectives (including any chairing duties and champion roles) to ensure they are able to contribute effectively and maximise their value to the GOC.
- 6.3 The following are suggested generic objectives to be considered alongside objectives specific to the member's role:
- 6.3.1 to support and actively promote the GOC's approach to equality, diversity and inclusion (EDI) and support the embedding of EDI in our processes, including identifying barriers to those from any protected characteristic group and challenging possible unconscious bias in decision making;
 - 6.3.2 to support and actively promote the GOC's approach to information governance, including identifying and mitigating risks to unintended disclosure of personal or sensitive information; and
 - 6.3.3 to remain up to date with optical issues and the different registrant roles and challenges.
- 6.4 The following additional objective is appropriate for committee/panel chairs: To chair meetings of the committee/panel, ensuring that:
- 6.4.1 it is purposeful and effective in its role;
 - 6.4.2 members remain engaged;
 - 6.4.3 members' performance is reviewed; and
 - 6.4.4 members' development needs are identified.
- 6.5 Additional objectives in the following areas should be considered where relevant:
- 6.5.1 roles on other committees;
 - 6.5.2 involvement in designated project work or as a Council champion; and/or
 - 6.5.3 sharing of specialist knowledge.

Member review process guidance

- 6.6 An additional review meeting is held within six months of re-appointment for Council, HP, EVP and IC chairs and members and the IM's to confirm objectives for subsequent terms.

7. Review process – mid-term (form at annex two)

- 7.1 All Council, HP, EVP and IC chairs and members and the IM's will meet with their reviewer (section 5.1) during their term to reflect on:
- 7.1.1 their effectiveness in the role – including fulfilment of the role competencies, completion of mandatory development, attendance and ability to meet time commitments (taking account of availability information as required);
 - 7.1.2 third party feedback;
 - 7.1.3 feedback from the reviewer based on observing the member performing the role;
 - 7.1.4 behaviours displayed in relation to the Principles of Public Life and the GOC Code of Conduct and values;
 - 7.1.5 progress made with objectives and any required changes; and
 - 7.1.6 any requirements to complete mandatory development.
- 7.2 Mid-term reviews will be held annually for Council members and every two years for HP, EVP and IC chairs and members and the IM's.
- 7.3 In addition, HP and IC chairs will be required to have an interim review discussion with their reviewer annually (when not holding a mid-term review) to check on progress (without third party feedback or observation at a hearing/meeting). A simple email record of the discussion will be agreed and filed.

8. Review process – to inform reappointment (form at annex three)

- 8.1 All members will meet with their reviewer (section 5.1) within six months before the end of their term of office, provided the member wishes to be considered for reappointment for a subsequent term, to consider:
- 8.1.1 their effectiveness in the role – including fulfilment of the role competencies, completion of mandatory development and attendance;
 - 8.1.2 the member's written self-assessment (HP, IC, EVP, IM and Council members only);
 - 8.1.3 future commitment to the role and ability to meet time commitments (taking account of the up to date CV and availability information);
 - 8.1.4 third party feedback;
 - 8.1.5 feedback from the reviewer based on observing the member performing the role;
 - 8.1.6 behaviours displayed in relation to the Principles of Public Life and the GOC Code of Conduct and values; and

Member review process guidance

8.1.7 progress made with objectives (Council, HP, EVP and IC chairs and members and the IM’s only).

8.2 The reviewer will make a recommendation to the Nominations committee regarding the member’s reappointment based on the outcome of the review.

9. Third party feedback

9.1 Third party feedback will be obtained to inform discussion at all end of term reviews leading to conclusions regarding reappointment and mid-term reviews of the Council chair, IC chair, HP and EVP chairs and members .

9.2 The sources of feedback are as follows (see paragraph 9.6 regarding EVP chairs and members):

Member role	Third party feedback
Council Chair ¹	CEO&R ² - annually Two Council members, one committee member and one external stakeholder - prior to reappointment
Council members	Two Council members, one committee member and CEO&R ² - prior to reappointment
HP Chairs ³	Two HP members and Executive lead ² - every two years
HP members	Two HP members and Executive lead ² - every two years
IC Chair ⁴	Two committee members, Executive lead ² and one legal adviser – every two years
IC members	Two committee members, Executive lead ² and one legal adviser - prior to reappointment
SAC members and IM’s	Two committee members and Executive lead ² - prior to reappointment

9.3 The member and reviewer will collectively agree individuals to be approached for feedback. The feedback will be obtained by the Governance team and sent to both parties prior to the review date and kept on the member’s file.

9.4 Feedback may additionally be obtained from appropriate sources in cases where the reviewer has not had sufficient opportunity to observe the member performing the role.

9.5 Feedback should be obtained from individuals who have worked with the member for at least 12 months and who, if possible, are able to comment on the

¹ The SCM will hold a private meeting with Council members to discuss the Chair’s performance in advance of the review annually.

² Includes feedback gathered from members of the SMT and other employees.

³ Reviews to include observation of the member acting as Chair of a meeting/hearing.

Member review process guidance

member's performance in different contexts, for example in meetings, as a Council champion, on working groups and working with external organisations.

- 9.6 Each EVP member (including the Chair and Executive) involved in a visit will be asked to provide anonymous feedback on each member (including the Chair) within 14 days after the visit. The education provider will also be invited to provide feedback on the EVP. This accumulated feedback will constitute the third party feedback for the EVP chairs and members.

10. Development needs

- 10.1 The GOC [member development plan](#) outlines our approach to providing relevant induction and development to enable members to perform their role effectively.

Mandatory development

- 10.2 There is some mandatory development which members are required to undertake on appointment, including:
- 10.2.1 induction relevant to the member role (advised on appointment);
 - 10.2.2 information governance e-learning; and
 - 10.2.3 equality, diversity and inclusion e-learning.
- 10.3 In addition some groups of members are required to undertake development relevant to their role – for example, unconscious bias in decision making.
- 10.4 Members will be notified by email of the requirement to undertake any development, and completion of development will be included on review forms.

Personal development

- 10.5 Members are responsible for their own development to ensure they have the skills, knowledge and experience to fulfil the role. Any additional development needs should be identified and discussed with their reviewer. This should be discussed as soon as a need is identified and does not need to wait for a review discussion.
- 10.6 Any development needs identified should be accompanied by a plan of how to address them, including a timeline and progress reviewed at the following review. Personal development needs will be kept confidential between members and their reviewer (apart from during the sign off and payment process).

11. Preparation for review discussion

- 11.1 Ahead of a review members and reviewers should reflect on the member's performance, considering all of the areas to be covered in the review discussion

Member review process guidance

– sections 6, 7 and 8, including any third party feedback provided – to ensure that the discussion will be beneficial.

12. Compliance

12.1 Engagement with the review process is a requirement of appointment. Failure to engage can result in the termination of appointment. Members are not remunerated for undertaking their own review as set out in our [Member fees policy](#).

13. Transparency

13.1 This guidance will be published on our website.

13.2 A written record of the discussion at all review meetings (including third party feedback) will be agreed by the member and reviewer and held confidentially by the Governance Team in order to facilitate the process.

14. Annexes

Annex one – new member form

Annex two – member mid-term review form

Annex three – member end of term review form

Annex four – review process flowchart

Annex one - New member form

(completed by Governance)

Member name:	
Appointment date:	
Date of meeting:	
Reviewer name:	

Roles within GOC (completed by Governance)

<u>Role</u>		Date
Council member:		
Chair of committee:		
Member of committee:		
Council champion:		
Additional role e.g. projects		

Feedback from reviewer (to be completed following discussion)

Feedback from member (to be completed following discussion)

Agreed objectives (Council, HP, EVP, IM and IC only - completed following discussion)

1.	
2.	
3.	
4.	

Member's signature and date (completed online):

Reviewer's signature and date (completed online):

Annex two - Member mid-term review form

(completed by Governance)

Member name:	
Role(s) of member:	
Appointment date:	
Reviewer name:	
Period under review:	
Date of review:	

Attendance and development (completed by Governance)

Name of committee or other role	Meetings held	Meetings attended

* For EVP & HP chairs and members information on availability offered/accepted, attendance and any dates vacated (with reasoning) will be included.

Development due (mandatory)	Completed?

Current objectives (transferred from new member form by Governance)

1.
2.
3.

Feedback from reviewer (to be completed following discussion)

Feedback from member (to be completed and submitted prior to discussion)

Agreed Objectives (if objectives are changed only - completed following discussion)

(to be completed following the appraisal discussion):

1.
2.
3.

Member’s signature and date (completed online):

Reviewer’s signature and date (completed online):

Annex three - Member end of term form

(completed by Governance)

Member name:	
Role(s) of member:	
Appointment date:	
Reviewer name:	
Period under review	
Date of review:	

Attendance and development (completed by Governance)

Name of committee or other role	Meetings held	Meetings attended

* For EVP & HP chairs and members information on availability offered/accepted, attendance and any dates vacated (with reasoning) will be included.

Development due (mandatory)	Completed?

Current objectives (Council, HP, EVP, IM and IC only - transferred by Governance)

1.
2.
3.
4.

Feedback from reviewer (to be completed following discussion)

Feedback from member (to be completed following discussion SAC's/ and submitted prior to discussion Council, HP, EVP, IM and IC)

Recommendation for reappointment (completed by the reviewer following discussion)

Member's signature and date (completed online):

Reviewer's signature and date (completed online):

STRICTLY CONFIDENTIAL

Review process flowchart

