Member Development Plan 2014-2017

July 2015

Prepared by the GOC Governance team
Approved by the Council on 29 July 2015
To be reviewed by the Governance team next in April 2017

Contents

1. Policy statement

1.1 Council members should be provided with relevant induction and training to enable them to perform their role as trustees appropriately. In doing so, ensuring the organisation is governed aptly, our strategic objectives are met, and we are complying with our legislative framework and reducing the risk of reputational damage.

1.2 Committee members should be provided with relevant induction and training to enable members to perform their role effectively.

1.3 This approach is consistent with our Values – responsible, forward thinking and principled.

2. Purpose

2.1 This plan:
  2.1.1 defines what we mean by member development;
  2.1.2 sets out our expectations of members in relation to their personal development; and
  2.1.3 outlines how we will provide development opportunities to members.

2.2 This plan underlines our commitment to the development of members, and clarifies our expectations from members.

3 Scope

3.1 This policy applies to all Council and Committee members[1]. Although the majority of the plan relates to Council members, we will seek to provide development opportunities to Committee members in a way that is proportionate to their role.

4 Induction

4.1 It is important to have an appropriate induction plan for all Council and Committee members in order for them to gain a basic knowledge of the GOC, how it operates, its strategic and business plans and their role and responsibilities in order for them to perform effectively in their role.

On appointment

4.2 As soon as appointment is confirmed new members will be sent a GOC induction pack as relevant to their role. Investigation Committee and Hearing Panel members will also be provided with an additional pack of information

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[1] Members are individuals who work with the GOC who are neither employees nor contractors (as defined by their contract with us).

specific to the FTP process. The content of the induction packs are contained in Annex A.

4.3   Once appointed, members will be assigned a "buddy" who they can turn to for advice and guidance throughout their first year of appointment. The "buddy" will another member, usually lay for registrant appointees and vice versa.

Induction session

4.4   An induction session will be arranged annually on the day before the February Council meeting to which all new Council and committee members will be invited. The session will enable an opportunity to visit the office, meet the employees and engage with existing Council members. The induction session will last three to four hours and cover:

4.4.1 the GOC, and how it works – our statutory remit, mission and values, strategic objectives, overview of our work in standards, education, registration, fitness to practice and legal compliance (supported by the briefing papers, see GOC specific knowledge);

4.4.2 Optometrists and Dispensing Opticians – for lay members;

4.4.3 Key sector trends – based on the Optical Sector report;

4.4.4 Council – including functions, responsibilities, governing documents,

4.4.5 Council members – including preparation, attendance, conduct, participation and debate at meetings, confidentiality, information governance, equality and diversity, code of conduct, conflicts of interest and other committees; and

4.4.6 the Executive – including an explanation of the directorate structure.

4.5   If other committee members are appointed during the year and need to wait more than four months for the induction session, consideration will be given to any pre induction sessions which will be required, such as meetings with appropriate members of the Executive.

4.6   The members of the Investigation Committee and Hearings panel will have a separate induction session arranged as soon as possible after appointment. It will include the same content as the member induction (see paragraph 4.4), as well as sessions which will cover the key knowledge required to undertake the role.

4.7   In addition, as part of the induction a visit to a local optician will be arranged for lay members.

GOC Specific knowledge

4.8   There is a requirement for all members to receive induction in areas which are specific to the GOC, in order to ensure that they understand the GOC policies and processes on which they are required to scrutinise performance or make

policy decisions. These areas will be affected by the priorities of Council in achievement of the strategic plan.

4.9 A suite of briefing papers will be developed (over time) on the following regulatory and operational areas, published on the GOC website and provided to all new members on appointment:
4.9.1 Registration;
4.9.2 Standards;
4.9.3 Education;
4.9.4 Continuing Education and Training scheme;
4.9.5 FTP process (inc. OCCS);
4.9.6 Illegal practice;
4.9.7 Legal framework and statutory functions;
4.9.8 How the GOC s governed and managed; and
4.9.9 GOC budget and business planning process.

4.10 In addition the IC-GOC is sent to all employees, Council and advisory committee members on a monthly basis to provide an update on our work.

4.11 Members should take responsibility for ensuring that they understand the GOC processes to a level appropriate to their role. The briefing papers sent as part of the induction pack will provide an initial briefing on all core areas, which will be explained further at the member induction session, when questions can be answered. If further development on these areas is required members should ask relevant members of the Executive for further reference material or for a one on one briefing.

4.12 Current members will be provided with links to these briefings once they are published on the GOC website.

4.13 When Council or Committees consider a new area of GOC responsibilities that has not been covered by a briefing paper, consideration will be given to whether a briefing paper is required. Council or committee papers covering a new area will refer to the briefing papers available and any other reference material as a source of further information.

5   Member Personal development

Knowledge to perform the role
5.1 Members should take responsibility for their own development to ensure they have the skills, knowledge and experience to fulfil their role. They should identify any development needs and discuss these with their Chair at appointment or appraisal. Any needs identified should be accompanied by a plan on how to address them, including a timeline, which will be reviewed at the

following appraisal meeting. The development may be able to be provided by a member of the Executive; other Council or committee members; or it might need to be sourced from an external training company.

5.2 If formal training is required, a relevant training course should be identified and discussed with the Chair. Consideration will also be given to whether members can fulfil their needs by attendance at other GOC meetings. It will be the member's responsibility to agree their personal development plan with their Chair and arrange any training or attendance at meetings with the relevant Executive.

5.3 There are a number of external courses available relevant to Council and committee members, examples are included as Annex C (which will be updated over time) to show the types of training which have and can be delivered.

5.4 Any personal development external training will be approved, sourced and organised following the system for GOC employees. Members should complete a GOC training form (annex B); and include suggestions as to where relevant training could be sourced. All forms will be reviewed by the Head of Governance to ensure budget and approved by their Chair. The HR team will then organise and pay for training.

5.5 Payment for fees and expenses will be paid in accordance with the member fees and expenses policy.

5.6 Payment for formal training courses for trustees (Council members) is classified as a member benefit and therefore will need to be declared in the annual report, along with remuneration and expenses.

5.7 Personal development needs will be kept confidential between members and their Chair (apart from during the sign off and payment process).

Compliance Knowledge

5.8 There is a requirement for the GOC to ensure all who work with us have an appropriate level of knowledge in key areas where we have a corporate responsibility to do so.

5.9 In the majority of cases such training will be delivered to members on an individual online basis, which can be completed by members at a convenient time. The following areas of development have been identified in this area:
    5.9.2 equality, diversity and inclusion (EDI) (online - knowledge);
    5.9.3 information governance (online - knowledge);
    5.9.4 corporate social responsibility (online - knowledge);
    5.9.5 whistleblowing (online-knowledge); and
    5.9.6 trustee duties (knowledge).

5.10 Some of this development will consist of refresher training to keep member's knowledge and skills up to date. However some will be new training required when legislation or guidance changes or in areas where the Council has changed its role. Undertaking such training will be a condition of appointment for all members, where relevant to the role.

5.11 This development will also be supported by relevant reference material provided to update members in a timely manner, for example in relation to any changes in guidance by the Charities Commission for trustees. A list of such documents already provided to members is included in the list of induction reference material (Annex A). New reference material will be incorporated into the induction list.

5.12 There are some areas of personal development where the GOC has a duty to provide training, but which are required by more than one member. An example is unconscious bias equality and diversity training in appointment decisions. All members who sit on selection panels for the appointment of members require development in this area. Where such development needs are identified, the Governance team will obtain approval from the Chair, and arrange the training in conjunction with the HR team, subject to budget. Once such training is arranged other members and employees may be invited to attend subject to availability.

6   Council development

6.1 It is important to have an appropriate training plan for all Council members in order for them to perform effectively in their role collectively as a Council and trustees. This development will be organised on the day before or after the May and November Council meetings annually. Each training day will comprise of one skills based session and one knowledge based session.

6.2 By delivering this development on a face-to face basis, it will enable members to discuss the issues which arise collectively to help embed training.

6.3 Risk management, risk planning and risk appetite (skill and knowledge); and investment management (skill and knowledge) have been identified as the priorities, to be provided in November 2015 and May 2016. The next areas identified are trustee duties (skill and knowledge), corporate performance management, board development and strategic thinking/engagement (skill).

6.4 Any areas of development related to board development or strategic thinking/engagement will be considered in the context of planning the annual Council evaluation day or strategic planning day. If relevant such training may be delivered as part of these days.

7   Committee development - group

7.1   Any training needs of any committee which needs to be provided to them as a group of members, will be identified when considering the committee work plan for the year. In addition, when members are asked to undertake a committee self-assessment, they will be asked to identify any development needs of the committee as a group.

7.2   Any training identified under this section will be delivered on the same days as meetings where possible.

7.3   The members of the Investigation Committee and Hearings Panel will have separate training organised by relevant members of the FTP team. Hearings Panel members will have training organised for them once they are appointed; and they will be invited to refresher training (two sessions a year, which are organised in quarter one (around April) and quarter three (around November)). Members of the IC will have training organised for them once they are appointed, based on the training provided to case examiners; and they will be invited to annual refresher training.

8   Sector knowledge, including horizon scanning

8.1   Members are required to keep up to date with changes in governance and regulation, including arising problems in healthcare and the impact on regulation, and differences across the nations, to ensure they understand the sector and views of registrants, stakeholders and consumers in advance of setting strategy and making policy decisions. This area of development will be affected by Council priorities in relation to achievement of the strategic plan and setting future strategic direction.

8.2   The Communications team will update members with relevant sector knowledge through the following means:
       8.2.1   weekly news digest (sent to all employees, Council and advisory committee members);
       8.2.2   weekly public affairs report (sent to some employees and Council);
       8.2.3   fortnightly Chief Executive and Registrar bulletins (sent to all employees and Council); and
       8.2.4   quarterly regulatory bulletin (FTP decision-makers).

8.3   Annually, members will be provided with the Optical Sector report at the annual strategic planning day (September/October) and at the November Council meeting. Statutory advisory committee members are involved in considering the Optical Sector report in advance of consideration by Council. Other members

will be provided with a copy of the report once published. A presentation of this report has been incorporated in the member induction and will be included in the induction pack (see section 4 of this policy for further information).

8.4   Members will also receive information on sector knowledge and horizon scanning in Council papers. The Chair and Chief Executive and Registrar reports provide this in general. When a new issue is considered, the Council paper will include relevant sector background information, references to other information, including advice of members of the advisory committees.

8.5   The GOC research programme is designed to ensure that members are provided with evidence on which they can base their decisions, and the results of research are presented to Council to tie in with policy decisions.

8.6   Members are also advised of relevant sector and horizon scanning knowledge from committee members. The committees have a remit to provide Council with advice, which can be in relation to particular policy decisions or other issues.

8.7   Development in relation to areas of sector knowledge will be included in the optical sector report, delivered at Council meetings in relation to policy work, or delivered as part of the annual strategy day.

9   Review of the plan
9.1   There is a requirement to ensure that the plan remains up to date and relevant to member requirements.

9.2   Members are appraised annually or biennially, including consideration of development requirements, Council has an annual evaluation day when it considers its collective performance and committees have an annual self-assessment discussion. Following the appraisals and evaluations, the Governance team will review and update the plan as required. Any significant changes will be advised to Nomco.

9.3   Once the Business plan for 2016/17 is agreed, the Governance team will give consideration to any changes required to the plan to ensure it is aligned with any work planned to achieve the strategic objectives, which has not already been included in the plan. Any significant changes will be advised to Nomco.

9.4   The plan will be reviewed every three years once a new strategic plan has been agreed. It is at this time that Nomco will review whether the plan is working and any changes to it. The plan will be agreed by Council every three years.

Annex A: Induction pack list

Corporate Information
1. GOC Strategic Plan http://www.optical.org/en/about_us/strategic_plan/
2. GOC Business Plan http://www.optical.org/en/about_us/strategic_plan/
3. Annual Report http://www.optical.org/en/news_publications/Publications/annual_reports_archive.cfm
4. Annual Performance report and most recent quarterly performance and finance reports
5. Risk management policy and corporate risk register
6. Stakeholder engagement strategy
7. Slides from the GOC induction pack including:
   - Overview of GOC
   - Role of the Council and its committees – structure, delegated authorities
   - Role of the Executive
   - Departments and functions
   - Departmental contacts: CEO&R, Directors and Heads of Departments
   - Role of Optician and Optometrist (Lay members)

Council Information
8. Link to GOC website – Council member biographies: http://www.optical.org/en/about_us/People/Council_member_profiles.cfm
9. Senior Council Member Role – link
10. Approved minutes from the last three Council meetings
11. Papers from the last Council meeting
12. Links to Committee Terms of Reference
13. Council Forward plan
14. Council meeting Protocol

Executive Information
15. HR Chart showing Executive
16. Link to GOC website – SMT biographies: http://www.optical.org/en/about_us/People/senior-management-team.cfm

Governance Information
17. Hard copies and link to GOC website – governance documents: http://www.optical.org/en/about_us/our-governance/index.cfm
   Inc.: Scheme of Delegation, Code of Conduct, Bribery Policy, Appointment and Appraisal policies, complaints policies etc.
18. Charity Guidance on being a trustee and conflicts of interest
19. Most recent Council evaluation report

20. Register of interests: http://www.optical.org/en/about_us/People/register-of-interests/index.cfm
21. Equality, Diversity and Inclusion Scheme - link

Legislative and technical information – as appropriate
22. Opticians Act 1989 https://www.optical.org/en/about_us/legislation/index.cfm
23. GOC Rules https://www.optical.org/en/about_us/legislation/rules_and_regulations.cfm
24. The General Optical Council (Fitness to Practise) Rules 2013 http://optical.pixl8-hosting.co.uk/en/Investigating_complaints/new-ftp-rules.cfm
25. Protocol for Criminal Prosecutions http://optical.pixl8-hosting.co.uk/en/news_publications/news_item.cfm/Council-adopts-new-criminal-offences-protocol
26. General Optical Council statement: Sale and supply of optical appliances 30 October 2006 https://www.optical.org/en/about_us/legislation/goc-statements-interpreting-legislation/sale-and-supply-of-optical-appliances.cfm
27. Zero powered contact lenses – factsheet http://optical.pixl8-hosting.co.uk/en/about_us/legislation/goc-statements-interpreting-legislation/zeropowered-contact-lenses--factsheet.cfm
28. General Optical Council: Buying contact lenses https://www.optical.org/en/news_publications/Publications/patient_leaflets.cfm

Professional Standards Authority for Health and Social Care (PSA) Information
29. PSA Performance review report (most recent)

Relevant reports and GOC responses
30. Most recent Optical sector report
31. GOC Francis Action Plan and related papers

GOC Specific knowledge briefing papers (to be developed over time and may replace content above
32. Registration;
33. Standards;
34. Education;
35. Continuing Education and Training scheme;
36. FTP process (inc. OCCS);
37. Illegal practice;
38. Legal framework and statutory functions;
39. How the GOC s governed and managed; and
40. GOC budget and business planning process

Committee Information [if applicable]
41. Approved minutes from last three relevant Committee meetings
42. Papers from latest Committee meetings.

43. Committee Terms of Reference.
44. Members of the committee- biographies
45. Committee work plan and dates of future meetings

Annex B: Training and Development request form

Name:

Post:

Name of Qualification/Training Programme
Training Provider:
Duration of Programme:
What will you gain from this training?
Please tick which tier this training falls into:
☐   Essential for the role ☐   Desirable ☐   Personal Development
If Essential or Desirable, how will this benefit the GOC?

If Study Leave required, give details:
Cost:

Approval	
Chair Recommendation: Yes / No Name: Date:	**Reason for Decision:**
SMT Approval: Yes / No Name: Date:	**Reason for Decision:**

Annex C: Member Development Plan Timetable

Date	Development	Who
Ongoing	Personal development plan training	All members
Annual (at own time) 2015	EDI online refresher training *	All members
12 November 2015 (to be confirmed)	Risk management, risk planning and risk appetite / Investment management	Council members
February 2016	Member induction	Members appointed since Jan 2015
Annual (at own time) 2016	Information Governance online refresher training *	All members
May 2016	Risk management, risk planning and risk appetite / Investment management *(subject to training received in November 2015)*	Council members
Annual (at own time) 2016	Whistleblowing online refresher training *	All members
Annual (at own time) 2016	Conflicts of interest online refresher training *	All members
November 2016	Trustee duties (skill and knowledge) and board development	Council members
February 2017	Member induction	Members appointed since Feb 2016
May 2017	Corporate Performance Measurement	Council members

*once developed

Annex D: Personal Development Courses

Finance
http://www.civilsociety.co.uk/events/training/content/18354/finance_for_trustees
http://www.iod.com/developing/courses/list-of-courses/finance-for-non-financial-directors
Non-Executive director/Trustee
http://www.iod.com/developing/courses/list-of-courses/role-of-the-non-executive-director
Chairing Skills
http://www.iod.com/developing/courses/list-of-courses/chairing-meetings-effectively
http://www.iod.com/developing/courses/list-of-courses/role-of-the-company-chairman