

Agenda Item 11

Enclosure 8

**Health and Care Professions Council
04 July 2018**

**Review of fitness to practise case
classification**

To note

From Sarah Richie, Policy Officer

Council, 4 July 2018

Review of fitness to practise case classification

Executive summary

Introduction

The Corporate plan for 2018-20 sets out strategic priorities to make better use of data, intelligence and research evidence to drive improvement and engagement. It also aims to ensure that the organisation is fit for the future and is agile in anticipating and adapting to the changes in the external environment. The research strategy for 2016-20 further sets out an aspiration to deliver more research internally.

With these aims in mind, we have identified a need to improve the data we are able to collect and report on in fitness to practise, so that in the future we are able to focus our research activities and provide better information to our stakeholders. In particular, this was informed by the challenges faced by the University of Surrey research team when reviewing types of fitness to practise cases about paramedics and social workers.

In 2017-18 we undertook initial scoping work in this area including considering the classification systems developed by other regulators. Following on from this, in 2018 the Policy and Standards team conducted a review of our approach to classification of fitness to practise cases, specifically the classification structure for allegations. The aim was to develop a new case classification framework for fitness to practise cases.

By improving our classification of allegation types, we hope to be able to support more meaningful research, and provide more detailed reports on our fitness to practise function.

Need for review

The case classification framework we currently use (see page 20 of appendix A) pre-dates our case management system. As a result it does not reflect the current range of cases which are handled by our fitness to practise department. Classifications also vary in level of detail, do not reflect the wording of our standards, and are duplicated in some places.

The challenges which arise from the above mean that the existing framework is often applied inconsistently. As a result data is often incomplete, preventing us from accurately reporting on the types of cases passing through fitness to practise.

Whilst we have not received any direct criticism of our classification framework, our framework is also significantly less detailed than that of other regulators (see appendix A).

A comprehensive update of the framework will ensure that it better reflects existing case types, and will enable us to capture trends in our case loads. This will in turn allow us to inform our approach to fitness to practise, and our engagement with key stakeholders to ensure that we are effectively working to address any issues which may arise.

Case classification data collection for 2017-18

Council members have requested information about the nature of allegations to be included in this year's FTP annual report. However, we consider that it would be more beneficial to provide such an analysis once this review of case classification has been completed, and the revised framework and guidance has been implemented early in the reporting period. The revised approach will allow us to consistently capture the nature of concerns in a more meaningful way and at appropriate points in the case life cycle.

For the 2017-18 annual report, fitness to practise have however selected case studies to highlight the most frequently occurring types of fitness to practise concerns, referring to the HCPC standards and giving examples of restrictions which may be put in place when there are failings in the referenced areas. We hope that this approach will promote learning to support the development of professional practice and contribute to protection of the public.

The review process

In order to undertake this piece of work, the Policy and Standards team have worked closely with Fitness to Practise colleagues. This has included:

- meeting with case managers to review the existing classification framework and discuss where it could be improved; and
- regular meetings with representatives from across the department, to develop the framework and provide feedback on project progress.

The team has also reviewed a random sample of approximately 150 cases (spanning the first six months of 2017), across all stages of the FTP process. Specifically, the sample included cases which failed to meet the standards of acceptance, cases which were closed at the Investigation Committee Panel and at final hearings. We classified these cases, and separately considered areas with reporting or future value, to establish a final draft framework.

The team will now focus on developing internal guidance for colleagues on how to apply the new case classification framework. This will provide clarification of particular terminology, as well as provide illustrative case studies to guide colleagues on how to categorise particular cases. Policy and Standards will also be recommending a regular review of the framework, and will provide guidance on particular triggers for future review, such as the extension of our regulatory remit to new professions.

We will also work with FTP to establish how this will be implemented internally. We hope to run some testing over the summer, with case managers trialing the new framework and using it to classify cases. A finalised version of the framework will then be incorporated into the fitness to practise case management system at the next suitable opportunity.

Decision

The Council is invited to note the content of the appendixes.

Background information

- The current classification framework can be found on page 20 of appendix A (also available at https://www.professionalstandards.org.uk/docs/default-source/publications/research-paper/categorisation-of-fitness-to-practise-data-annexe-december-2017.pdf?sfvrsn=b94d7320_2).
- Minutes for the Council meeting dating 21 March 2018, where this review was last discussed, can be found at <http://www.hcpc-uk.org/assets/documents/10005777Enc01-MinutesoftheCouncilmeetingof21March2018.pdf>

Resource implications

The resource implications associated with undertaking this review have been taken into account in departmental work plans for 2018/2019.

Financial implications

The financial implications have been taken into account in budget planning for 2018/19.

Appendices

- Appendix A: PSA report on categorisation of fitness to practise data annexe (see existing HCPC classification framework on page 20)
- Appendix B: Revised case classification model

Date of paper

22 June 2018

Categorisation of fitness to practise data annexe

This document holds the category lists of all nine regulators and accompanies a report describing the category lists

December 2017

About the Professional Standards Authority

The Professional Standards Authority for Health and Social Care¹ promotes the health, safety and wellbeing of patients, service users and the public by raising standards of regulation and voluntary registration of people working in health and care. We are an independent body, accountable to the UK Parliament.

We oversee the work of nine statutory bodies that regulate health professionals in the UK and social workers in England. We review the regulators' performance and audit and scrutinise their decisions about whether people on their registers are fit to practise.

We also set standards for organisations holding voluntary registers for people in unregulated health and care occupations and accredit those organisations that meet our standards.

To encourage improvement we share good practice and knowledge, conduct research and introduce new ideas including our concept of right-touch regulation.² We monitor policy developments in the UK and internationally and provide advice to governments and others on matters relating to people working in health and care. We also undertake some international commissions to extend our understanding of regulation and to promote safety in the mobility of the health and care workforce.

We are committed to being independent, impartial, fair, accessible and consistent. More information about our work and the approach we take is available at www.professionalstandards.org.uk.

¹ The Professional Standards Authority for Health and Social Care was previously known as the Council for Healthcare Regulatory Excellence

² The Professional Standards Authority. 2015. *Right-touch regulation – revised* [Online] Available at: <http://www.professionalstandards.org.uk/policy-and-research/right-touch-regulation> [Accessed: 31/10/2016]

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1. General Chiropractic Council

Category	Sub category
Clinical care	a. Inappropriate or excessive treatment/lack of clinical justification
	a. Concern about treatment techniques/approach
	a. Rough/aggressive treatment/injury/pain
	a. Failure to work within limits of knowledge, skills and competence
	a. Misdiagnosis
	a. Inadequate assessment/case history
	a. Lack of clinical justification for investigations/x-rays
	a. Lack of further investigation/follow up/review
	a. Failure to refer, when appropriate
	a. Failure to examine/inadequate examination
	b. Inadequate record keeping
	c. Poor hygiene practice.
	d. Breach of patient confidentiality
	Probity
e. Improper use of patient database/soliciting patients	
e. Removal of patient records/data from clinic	
f. Misleading advertising/claims made on website	
f. False representation of skills/experience/registration	
g. Financial deception/fraud/improper charging	
h. Practising without indemnity insurance	
i. Dishonesty	
Relationship with patients	j. Communciation - rudeness to patient
	j. Communciation - inappropriate comments
	j. Communication - failure to explain fees adequately/mechanisms for payment
	j. Communciation - failure to explain diagnosis/treatment plan/results
	j. Communication - failure to provide adequate information about complaints procedure
	j. Communication - failure to explain refusal to treat

	k. Consent - failure to obtain informed consent
	k. Consent - removed pts clothing without consent
	l. Sexual boundaries - inappropriate personal/sexual relationship with patient
	l. Sexual boundaries - sexualised language/comments
	l. Sexual boundaries - indecent/sexualised behaviour
	l. Sexual boundaries - inappropriate contact with patient's body/intimate areas
	m. Failure to preserve patient's privacy and dignity
	n. Failure/delays in providing access to records
	o. Intimidation of patient/pressure/undue influence to undergo treatment
	p. Financial impropriety with patients
Working with colleagues	q. Failure to share relevant information with colleagues
	q. Failure to provide clear treatment fees policy
	q. Undermined advice/lack of respect for healthcare colleagues
	q. Abusive to staff/healthcare colleagues/chiropractor
Advertising	
Conviction/criminal offence	s. Driving under the influence of alcohol
	s. Other motoring offences/driving without tax/insurance/licence
	s. Controlled drug offences
	s. Other
Practising on non practising register	
Compliance with GCC investigations	
Business/employment issues	
Health	r. Health - substance/alcohol problems
	r. Health - other
Teaching/supervision	
Clinic facilities/premises	
Other	

2. General Dental Council

Consideration type	Consideration subtype then detail	
Putting patients' interests first	Advertising	Misleading information on website
		Not displaying information required in advertising guidance
		Endorsing products inappropriately
		Misuse of specialist title
		Misleading information on advertising material
	Attitude	Rudeness to patients
		Poor attitude towards patients
		Bringing the profession into disrepute
		Expressing personal beliefs
	Discrimination	Age
		Disability
		Gender reassignment
		Marriage and civil partnership
		Pregnancy and maternity
		Race
		Religion and belief
		Sex
		Sexual orientation
		Nationality
		Special needs
		Health
		Lifestyle
	Other	
	Indemnity	Not having appropriate insurance or indemnity
		Failure or delay in contacting provider
	Laws and regulations	Premises
		Employment
		Disposal of clinical and hazardous waste
		Radiography
		Health and Safety
		Decontamination
		Medical Devices
Vaccinations - self		
Vaccinations - employee/dental team		
Blood borne viruses - Self		
Blood borne viruses - employee/dental team		
Medical emergencies		

		Patient safety incidents
		Equalities legislation
		Data protection
		Human rights
		Failure to register with other regulators
	Not acting honestly and fairly	Failure to act honestly and fairly with patients
		Putting personal or financial gain before patients' interests
		Not making clear when NHS treatment
		Pressuring patients into private treatment
		Accepting gift which affects professional judgment
		Referring patient for financial benefit
	Not treating patients as individuals	Not taking patients' preferences into account
		Not taking patients' overall health into account
	Pain management	Failure to manage pain and anxiety
	Putting patients at risk	Not taking action to raise a concern about own health, performance or conduct
		Not taking action to raise a concern about colleague's health, performance or conduct
		Not taking action to raise a concern about clinical environment
	Treatment	Failure to discuss treatment options
		Providing treatment that is not in patients' best interests
	Other	Other
Communicating effectively	Not communicating effectively	Not explaining options, risks, benefits
		Failure to provide full information on treatment
		Not explaining role
		Not involving other team members in patient care
		Not checking patients' understanding
		Failure to provide information on out of hours or referrals
		Failure to provide information on costs and guarantees
	Treatment plan	Not providing up to date written treatment plan

		Not providing sufficient information in treatment plan for colleagues	
	Other	Other	
Obtain valid consent	Failure to obtain valid consent	Failure to obtain consent before treatment starts	
		Failure to tailor consent and check understanding	
		Continuing to treat with consent withdrawn	
		Failure to acknowledge lack of capacity	
		Failure to reaffirm consent when treatment changed	
	Documenting consent	Failure to document valid consent obtained	
	Other	Other	
Maintain and protect patients' information	Confidentiality	Failure to keep patients' information confidential	
		Other team members not aware of importance of confidentiality	
		Posting information about patients on social networking sites	
		Not explaining reasons for release of patients' information	
		Not documenting efforts to encourage release of information	
		Failure to release information when in the public interest	
		Failure to document when information has been released	
		Patient records	Failure to follow laws on retaining, storing and disposing
	Illegible records		
	Inaccurate records		
	Incomplete records		
	Not allowing patients access to their records		
	Inappropriate charging for access to records		
		Other	Other
	Clear and effective complaints procedure	Complaints handling	No complaints procedure
Failure to follow complaints procedure			
Failure to provide a full or constructive response			
Staff not aware or not trained on handling complaints			
Inadequate complaints procedure			
Failure to maintain log of complaints			

		Not making patients aware of complaints procedure
		Delay in responding to complaint
		Not keeping patient informed of complaint progress
		Not advising of other avenues open to patients
	Other	Other
Working with colleagues	Team working	Failure to work as a team
		Not treating colleagues fairly and with respect
		Not making patients aware of the team members involved in their care
		Poor conduct of non registered team members
		Not working with another member of the dental team when treating patients
		Not having staff trained in dealing with medical emergencies
	Referrals	Requiring others to exceed scope of practice
		Inappropriate referrals
		Failure to refer when outside training and competence
		Failure to explain referral process to patient
	Management and leadership	Failure to provide induction to staff
		Poor performance management of staff
		Failure to develop staff
		Failure to ensure staff appropriately registered
		Poor communication with team
		Failure to make provisions for medical emergencies
		Poor team management
		Failure to display information about team and GDC
	Other	Other
	Professional knowledge and skills	Failure to provide a good quality care record
Fillings		
Implants		
Root canal treatments		
Examination		
Tooth whitening		
Veneers		
Bridges		
Dentures		

		Crowns
		Botox and other cosmetic procedures
		Gum disease
		Periodontal treatment
		Caries
		Abscesses
		Bone loss
		Orthodontics
		Inappropriate prescribing
		Inadequate aftercare
		Extractions
	Training and competence	Working outside of training or competency
		Working outside of scope of practice
		Working outside of mental and physical capabilities
Not doing appropriate CPD		
Other	Other	
Raising concerns	Raising concerns	Failure to raise concern when patients at risk
		Failure to act on concerns promptly
		Failure to raise FtP concerns with the GDC
		Failure to encourage raising of concerns
	Acting on concerns	Failure to encourage raising of concerns
		Failure to act on concerns promptly
	Gagging clauses	Entering into contract with gagging clause
		Offering a contract with gagging clause
Other	Other	
Personal behaviour	Personal behavior	Publishing inappropriate information
		Making disparaging remarks about colleagues
		Not maintaining appropriate boundaries with patients
		Not informing GDC of criminal proceedings
		Not informing GDC of other regulatory action
		Behaviour not justifying public trust in registrant or profession
		Not informing GDC of barred status
		Charge - Fraud
		Charge - Forgery

		Charge - Female circumcision
		Charge - Offences under abortion act
		Charge - Weapons offences
		Charge - Serious driving offences
		Charge - Driving w/out tax/ins/lic
		Charge - Minor motoring offences
		Charge - Driving under influence of drugs
		Charge - Driving under influence of alcohol
		Charge - Controlled substance offences
		Charge - Attempted rape
		Charge - Rape
		Charge - Accessing internet child porn
		Charge - Possessing indecent images of child
		Charge - Making indecent images of child
		Charge - Attempted murder
		Charge - Manslaughter
		Charge - Murder
		Charge - Threats to kill
		Charge - Assault
		Charge - GBH
		Charge - ABH
		Charge - Domestic violence
		Charge - Assault common
		Charge - Theft
		Charge - Robbery
		Charge - Sexual offence
		Charge - Terrorism offences
		Charge - Perjury
		Charge - Resisting arrest
		Charge - Drunk and disorderly
		Charge - Breach of the peace
		Charge - Harassment
		Charge - Soliciting
		Charge - Other offences
		Caution - Fraud
		Caution - Forgery
		Caution - Female circumcision
		Caution - Offences under abortion act
		Caution - Possessing an offensive weapon
		Caution - Firearms offences
		Caution - Serious driving offences

		Caution - Driving w/out tax/ins/lic
		Caution - Minor motoring offences
		Caution - Driving under influence of drugs
		Caution - Driving under influence of alcohol
		Caution - Controlled substance offences
		Caution - Rape/attempted rape
		Caution - Accessing internet child porn
		Caution - Possessing indecent images of child
		Caution - Making indecent images of child
		Caution - Attempted murder
		Caution - Manslaughter
		Caution - Murder
		Caution - Threats to kill
		Caution - Assault
		Caution - ABH
		Caution - GBH
		Caution - Domestic violence
		Caution - Assault common
		Caution - Theft
		Caution - Robbery
		Caution - Sexual offence
		Caution - Terrorism offences
		Caution - Perjury
		Caution - Resisting arrest
		Caution - Drunk and disorderly
		Caution - Breach of the peace
		Caution - Harassment
		Caution - Soliciting
		Caution - Other offences
		Conviction - Fraud
		Conviction - Forgery
		Conviction - Female circumcision
		Conviction - Offences under abortion act
		Conviction - Possessing an offensive weapon
		Conviction - Firearms offences
		Conviction - Serious motoring offences
		Conviction - Driving w/out tax/ins/lic
		Conviction - Minor motoring offences
		Conviction - Driving under influence of drugs

	Conviction - Driving under influence of alcohol
	Conviction - Controlled substance offences
	Conviction - Attempted rape
	Conviction - Rape
	Conviction - Accessing internet child porn
	Conviction - Possessing indecent images of child
	Conviction - Making indecent images of child
	Conviction - Attempted murder
	Conviction - Manslaughter
	Conviction - Murder
	Conviction - Threats to kill
	Conviction - Assault
	Conviction - ABH
	Conviction -GBH
	Conviction - Domestic violence
	Conviction - Assault common
	Conviction - Theft
	Conviction -Robbery
	Conviction - Sexual offence
	Conviction - Terrorism offences
	Conviction - Perjury
	Conviction - Resisting arrest
	Conviction - Drunk and disorderly
	Conviction - Breach of the peace
	Conviction - Soliciting
	Conviction - Harassment
	Conviction - Other offences
Protecting patients from risks	Own health - F10 Substance - alcohol
	Own health - F11 Substance - Opioids
	Own health - F12 Substance - Cannabinoids
	Own health - F13 Substance - Sedatives/Hypno
	Own health - F14 Substance - cocaine
	Own health - F15 Substance - Stimulants
	Own health - F16 Substance - Hallucinogens
	Own health - F17 Substance - Tobacco
	Own health - F18 Substance - Solvents

		Own health - F19 Substance - Multiple
		Own health - other
		Own health - F00-09 Organic mental etc
		Own health - F20-29 Schizophrenia
		Own health -F30-39 Affective disorders
		Own health -F40-49 Neuroses
		Own health - F50-59 Behavioural
		Own health - F60-69 Personality
		Own health -F80-89 Psycholog Develop't
		Own health -Other M&B illness
		Own health - Motor skills
		Own health - Vision
		Own performance
		Own conduct
		Not seeking advice about own health, performance or conduct
	Co-operating with inquiry	Failure to co-operate with GDC enquiry
		Failure to co-operate with other enquiry
	Other	Other

3. General Medical Council

Domain	Type	Sub Type	
Knowledge, Skills and Experience	Develop and maintain your professional performance	Fail to follow GMC guidance	
		Fail to get necessary training	
		Fail to remedy deficiencies	
		Inadequate clinical skills	
		Inadequate knowledge base	
		Inadequate knowledge of law/codes/guidance	
		Inadequate leadership	
		Inadequate participation in medical education	
		No information/evidence folder	
		Practising without a licence	
		Regulations breach re home/clinic	
		Work when suspended from performers list	
			Delay in diagnosis
			Fail to get 2nd opinion
		Fail to optimise pain relief	

	Apply knowledge and experience to practice	Fail to refer when appropriate
		Fail to respect advance wishes
		Fail to respect patient's views
		Failure to diagnose
		Failure to examine
		Failure to recognise own limits
		Inadequate assessment/history taking
		Inadequate examination
		Inadequate follow up
		Inadequate knowledge of English language
		Inappropriate delay in providing care
		Inappropriate/irresponsible prescribing
		Inappropriate referral
		Inefficient use of resources
		Lack of further investigation
		Misdiagnosis
		No consent
		Not consulting colleagues
		Prescribing without adequate history
		Prescribing without examination
		Prompt action not taken
		Refuse to get 2nd opinion
		Substandard treatment
		Suitable action not taken
		Treating/prescribing – family/friends
		Treating/prescribing - self
		Unclear re: responsibilities
	Withholding treatment	
	Substandard treatment	
	Suitable action not taken	
	Treating/prescribing – family/friends	
	Unclear re: responsibilities	
	Withholding treatment	
Record your work clearly, accurately and legibly	Accidental breach of information security	
	Delay in providing report/document	
	Illegible medical records	
	Inaccurate medical records	
	Incomplete medical records	
	Intentional breach of information security	
Safety and Quality	Contribute to and comply with systems to protect patients	Fail to appropriately audit/review
		Fail to provide relevant info
		Fail to reflect on practice
		Fail to report adverse reaction
		Poor reaction - adverse event
Respond to risks to safety	Delay in reporting colleague	
	Fail to ensure basic care	
	Fail to offer appropriate help	
	Fail to provide adequate systems	
	Fail to raise concerns - patient safety	

		Fail to report colleague
		Fail to report inadequate systems
		Fail to respond - possible abuse
		Inadequate practice arrangements
	Protect patients and colleagues from any risk posed by your health	F00-09 organic mental
		F10 substance - alcohol
		F11 opioids
		F12 substance - cannabinoids
		F13 substance - sedatives/hypno
		F14 substance - cocaine
		F15 substance - stimulants
		F16 substance - hallucinogens
		F17 substance - tobacco
		F18 substance - solvents
		F19 substance multiple
		F20-29 schizophrenia etc
		F30-39 affective disorders
		F40-49 neuroses
		F50-59 behavioural etc
		F60-69 personality etc
		F80 - 69 psychological development
		F90-98 Behavioural disorders
		Fail to change practice
		Fail to protect colleagues
		Fail to protect patients - HepB
		Fail to protect patients - other
		Fail to seek independent advice
	Fail to seek independent medical care	
	Other M&B illness	
	Other physical illness	
Communication, partnership and teamwork	Communicate effectively	Fail to listen to patient
		Fail to meet communication needs
		Fail to share appropriate information (patients family/friends)
		Failure to visit
		Not accessible when on duty
		Poor communication with young/old patients
	Work collaboratively with colleagues to maintain or improve patient care	Bullying colleagues - physical/verbal
		Fail to respect others skills
		Fail to take up post
		Harassment - colleagues
		Ignoring colleagues advice
		Inappropriate personal comments
		Leave post early/without notice
		Poor communication skills
	Teaching, training, supporting and assessing	Poor relations with colleagues
		Fail to appropriately supervise
		Fail to be objective
		Fail to support colleagues

		Inaccurate reference/appraisal
		Lack of commitment
		Poor appraisal/assessment
		Poor teaching
	Continuity and coordination of care	Not keeping individuals GP informed
		Delay in handover of records
		Delegation to inappropriate doctor/other
		Fail to arrange adequate cover
		Fail to arrange on-going care
		Fail to handover to a named clinician/team
		Fail to keep colleagues informed/share appropriate info
		Insufficient information on delegation
	Establish and maintain partnerships with patients	Insufficient information on referral
		Chaperone not offered/present
		No alternative offered - (conscientious objection)
		Fail to maintain patient confidentiality
		Fail to promote health
		Fail to respect patient's dignity
		Fail to work in partnership
		Failure to provide appropriate information
Inappropriate examination		
Inappropriate factors taken into account		
Maintaining Trust	Show respect for patients	Rough handling of patient
		Rudeness to patient
		Fail to explain error/issue
		Fail to offer apology
		Fail to rectify harm
	Treat patients and colleagues fairly and without discrimination	Improper relationship with patient
		Inappropriate expression of beliefs
		Care prejudiced by complaint
		Discrimination (colleague) - pregnancy/maternity
		Discrimination (colleague) - age
		Discrimination (colleague) - culture
		Discrimination (colleague) - disability
		Discrimination (colleague) - gender/sex
		Discrimination (colleague) - gender-reassignment/transsexual
Discrimination (colleague) - race		
Discrimination (colleague) - religion and belief		
Discrimination (colleague) - sexual orientation		
Discrimination (colleague) - socio-economic status		
Discrimination (patient) - religion and belief		
Discrimination (patient) - age		
Discrimination (patient) - culture		

		Discrimination (patient) - disability
		Discrimination (patient) - gender/sex
		Discrimination (patient) - gender-reassignment/ transsexual
		Discrimination (patient) - lifestyle
		Discrimination (patient) - pregnancy/maternity
		Discrimination (patient) - race
		Discrimination (patient) - sexual orientation
		Discrimination (patient) - socio-economic status
		Fail to make reasonable adjustments
		Fail to prioritise on basis of clinical need
		Fail to provide name/GMC ref no.
		Fail to respond to complaints
		Inappropriate refusal to provide care
		No indemnity/insurance
		Patient lacking capacity
		Unfairly ending relationships
	Acting with honesty/integrity	Accepting inducements
		Breach of confidentiality - social media
		Coercion of possible participants
		Delay in advising GMC of charge/offence
		Fail to advise GMC of Caution
		Fail to advise GMC of Charge
		Fail to advise GMC of Conviction
		Fail to advise GMC of other offence
		Delay in telling employer (suspension/restriction)
		Fail to tell employer (suspension/restriction)
		Delay in telling patients (suspension/restriction)
		Fail to tell patients (suspension/restriction)
		Dishonesty with patients/colleagues
		Encouraging gifts/donations
		Ethical approval not obtained
		Exploiting patients
		Fail to clarify own limits
		Fail to comply - Health Assessment
		Fail to comply – Language Assessment
		Fail to comply - Performance Assessment
		Fail to cooperate with complaint procedures
		Fail to cooperate with inquest/inquiry
		Fail to cooperate with investigation
		Fail to declare interest
		Fail to maintain trust - social media
		Fail to pay - fees to another doctor
		Fail to provide information re: fees

		Fail to verify before signing
		False certifications
		False claims to experience
		False claims to membership
		False claims to qualifications
		False claims to regulatory status
		False or misleading advertising
		False/misleading evidence
		False/misleading report (research)
		False/misleading reporting
		Financial deception
		Forgery
		Impaired by barring dec
		Improper alteration of records
		Dishonest reference/appraisal
		Inappropriate canvassing
		Inappropriate IT use
		Inappropriate use of information in research
		Inappropriate use of medical records
		Indecent behaviour
		Interests affect patient care
		Irres supplying of medicine
		Licence application - FTP declaration
		Maladministration - nursing/residential home
		Misuse of funds
		Offering inducements
		Pressure to go private
		Pressurising patients
		Private dispute
		Research fraud
		Unjustifiable claims
		Unnecessary risk to participants
		Use of inappropriate participants
		Work when suspended by IOT

4. General Optical Council

Category
Personal conduct
Other clinical
Spectacle prescription
Conviction/caution
Complaint handling – business
Cataracts
Procedures - business
Tumour

Multiple (clinical/conduct)
Glaucoma
Retinal detachment
Testing unregistered
Fraud
Multiple (clinical)
Related to laser eye surgery
Contact lenses
Domiciliary
Macular degeneration
Ill health
Supervision of student
Management of child patients
Other miscellaneous
Fitting/dispensing
Breach of Opticians Act
Exam/qualification fraud
Non declaration to PCT
Non declaration of a criminal conviction to the GOC
Theft
Restricted activities
Advertising Standards Authority
Testing unsupervised

5. General Osteopathic Council

Category	Sub category
Conduct	Failure to communicate effectively
	Communicating inappropriately
	Failure to treat the patient considerately/politely
	Failure to obtain valid consent – no shared decision making with the patient
	Breach of patient confidentiality
	Data Protection – management/storage/access of confidential data
	Failure to maintain professional indemnity insurance
	Failure to act on/report safeguarding concerns
	Conducting a personal relationship with a patient
	Sexual impropriety
	Failure to protect the patient's dignity/modesty
	Failure to comply with equality and anti-discrimination laws
	No chaperone offered/provided
	Dishonesty/lack of integrity in financial and commercial dealings
	Dishonesty/lack of integrity in research
Fraudulent act(s) – e.g. insurance fraud	
Exploiting patients – e.g. borrowing money, encouraging large gifts, charging inappropriate fees, pressurising patients to obtain services for financial gain	

	Forgery – providing false information in reports
	Forgery – providing false information in research
	Forgery – providing false information in patient records
	False/misleading advertising
	Disparaging comments about colleagues
	Business dispute between principal and associate osteopaths
	Business dispute between osteopaths
	Business dispute between osteopath and other
	Unclean/unsafe practice premises
	Not controlling the spread of communicable diseases
	Non-compliance with health and safety laws/regulations
	Lack of candour
	Conduct which brings the profession into disrepute
	Failure to respond to requests for information and/or complaints from a patient
	Failure to respond to requests for information from the GOsC
	Failure to notify the GOsC of any criminal convictions or police cautions
	Failure to co-operate with external investigations/engage with the fitness to practise process.
Clinical care	Inadequate case history
	Inadequate examination, insufficient clinical tests
	No diagnosis/inadequate diagnosis
	No treatment plan/inadequate treatment plan
	Failure to refer
	Inappropriate treatment or treatment not justified
	Forceful treatment
	Treatment administered incompetently
	Providing advice, treatment or care that is beyond the competence of the osteopath
	Treatment causes new or increased pain or injury
	Failure to maintain adequate records
	Value for money
	Termination of osteopath-patient relationship
Criminal convictions	Common assault/battery
	Actual/greivous bodily harm
	Public order offence (e.g. harassment, riot, drunken and disorderly, and racially aggravated offences)
	Manslaughter/murder (attempted or actual)
	Driving under the influence of alcohol/drugs
	Drug possession/dealing/trafficking
	Conspiracy to supply
	Sexual assaults
	Child pornography
Rape	
Police cautions	Common assault/battery
	Drug possession/dealing/trafficking
	Criminal damage
	Theft
	Possession of indecent images

Complaint relating to adjunctive therapy	Acupuncture
	Applied Kinesiology
	Naturopathy
Health	Fitness to practise impaired due to physical and/or mental health

6. General Pharmaceutical Council

Alleged impairment type categories
Admonition and/or absolute discharge (Scotland)
Adverse physical or mental health
Bound over to keep the peace (Magistrates' Court – England or Wales)
Conviction
Deficient professional performance
Determination of Impairment by another Regulatory Body
Failure to comply with a performance assessment
Fixed penalty: conditional offer (Scotland)
Inclusion on a barred list
Inclusion on a protection of vulnerable groups list (Scotland)
Illegal practice
Misconduct
Penalty as alternative to prosecution
Police caution

Current allegation classifications
Alcohol and/or drugs misuse/dependency
Breach of confidentiality
CD Dispensing Errors
Child Pornography
Child protection/abuse of vulnerable adults
Conscientious Objection
Discrimination
Dishonesty (practise)
Dispensing Errors (medium/high harm or death)
Dispensing Errors (No harm)
Driving/motor vehicle related

Failing to maintain professional boundaries
Failure to co-operate with GPhC investigation
Failure to Obtain Consent
Fraud (non-practise)
Homeopathy
Minor motoring offences
NHS related fraud
No Indemnity Insurance
Physical/Mental Health
Prescription fraud
Sexual misconduct/Assault
Social media
Supply chain
Unlicensed medicines
Violence
Working while suspended

7. Health and Care Professions Council

Category	Sub category
Absence without leave	
Abuse	Physical
	Sexual
	Verbal
Assault	
Attending work	Under the influence of drink
	Under the influence of drugs
Breach of confidentiality	
Bringing the profession into disrepute	
Dishonesty	False claim to qualifications
	Falsifying records
	Fraud
	Fraudulent entry to the register
	Previous employment
	Sick leave – false claims
Driving	Under the influence of drink
	Under the influence of drugs
	Without insurance
	Without license
Failure to	Act in an emergency
	Collaborate with colleagues
	Communicate – patient
	Complete adequate/accurate report

	Conduct a full/accurate assessment
	Disclose previous convictions
	Maintain adequate records
	Obtain consent
	Provide adequate care
	Report incidents
	Respect dignity of patient
	Update practice
Harassment/Bullying	Colleague
	Other
	Patient
Health	Alcohol
	Depression
	Drugs
	Dyslexia
	Mental
	Physical
Holding against their will	
Inappropriate relationship	Colleague
	Patient
Incorrect entry to the Register	
Indecent exposure	
Keeping equipment at Home/in Car	
Manslaughter	
Misappropriation of Drugs	
Misuse of Employer's Information Technology	Pornography (Adult)
	Pornography (Child)
Misuse/Inappropriate Use of Patient Information/Personal Details	
Murder	
Other Drug/Drink related	Convictions
	Offences
Other Motoring Offences	
Plagiarism	
Poor Time Management/Organisational skills	
Pornography not in the workplace	Adult
	Child
Publishing of Article That Was Defamatory	
Serious Violence ABH, GBH	
Sleeping on Duty	
Speeding	
Theft	Colleagues
	Employers
	Patient
Unnecessary Exposure to Radiation	
Unsafe Clinical Practice	
Using Registration for Personal Gain	

8. Nursing and Midwifery Council

Category	Sub category	
Behaviour or Violence	Bullying, intimidation or harassment	Bullying, intimidation, or harassment of colleagues
		Bullying, intimidation, or harassment of patients or families
		Bullying, intimidation, or harassment out of work
		Other
	Discrimination	Race discrimination
		Age discrimination
		Disability discrimination
		Gender reassignment based discrimination
		Marriage and Civil Partnership based discrimination
		Pregnancy and maternity based discrimination
		Religion or belief based discrimination
		Sex discrimination
		Sexual orientation discrimination
	Other	
	Verbal abuse	Verbal abuse of colleagues
		Verbal abuse of patients
		Verbal abuse out of work
		Other
	Violence or violent behaviour	Violence or violent behaviour out of work
		Violence or violent behaviour towards colleagues
		Violence or violent behaviour towards patients
		Violence in work not person specific
		Other
Other behaviour or violence	Other	
Communication issues	Ineffective communication	Ineffective communication with colleagues
		Ineffective communication with patients
		Other
	Language problems	
	Not abiding by duty of candour	
	Not contacting patients or family about issue	
	Not giving full or right information to patients and their families	

	Swearing and inappropriate language or communication		
	Unfriendly, uncaring or rude manner	Unfriendly, uncaring or rude manner to colleagues	
		Unfriendly, uncaring or rude manner to patients or families	
	Other		
Other communication issues		Other	
Dishonesty	Employment related dishonesty		
	Non work related dishonesty		
	Patient care related dishonesty		
	Other dishonesty	Other	
Employment and contractual issues	Collusion to cover up information		
	Concealing or misrepresenting training or employment record		
	Missing on duty		
	Not completing training or abiding by remedial measures	Not abiding by local remedial measures	
		Not completing capability programme successfully	
		Not completing other training or unspecified training	
		Not completing preceptorship or probation successfully	
		Midwife not completing supervised practice programme successfully	
		Only able to work in supernumerate capacity	
		Other	
	Not notifying employers of criminal proceedings		
	Sleeping on duty		
	Working elsewhere in breach of contract		
Other employment and contract issues	Other		
Information access	Breach of patient confidentiality		
	Inappropriate access of medical records	Inappropriate access of medical records of colleague	
		Inappropriate access of medical records of other people	
		Inappropriate access of medical records of patient	
		Inappropriate access of medical records of registrant	
		Other	
Other information access	Other		
Investigations by other bodies	Barring		
	Determination by another body		
	Not cooperating with FtP investigations by other healthcare regulators		
	Not cooperating with other formal investigations		

	Not cooperating with other investigations by healthcare regulators		
	Not cooperating with police investigations		
	Other investigations by other bodies	Other	
Issues in non nursing or midwifery roles	Beauty treatments		
	Dentistry		
	Other issues in non-nursing or midwifery roles	Other	
Management issues	Allocation of staff time and resources		
	Line and staff management issues		
	Not ensuring adequate patient care	Inadequate systems and procedures	
		Medication ordering, management, and administration	
		Other	
	Not managing health and safety issues appropriately		
	Not reporting incidents and complaints		
	Not acting appropriately on an incident or complaint		
	Provision of training		
	Supervision		
	Other management issues	Other	
Motor vehicle related	Drink driving		
	Speeding		
	Other motor vehicle related issues	Other	
NMC registration and proceedings	Fraudulent or incorrect entry to NMC register	Fraudulent entry to NMC register	
		Incorrect entry to NMC register	
		Other	
	Not cooperating with NMC investigation	Referral subject not cooperating with NMC investigation	
		Witness not cooperating with NMC investigation	
		Other	
	Not disclosing NMC investigation to employer		
	Not notifying NMC of criminal proceedings		
	Practising in breach of NMC Order		
	Practising without NMC registration		
	Other NMC registration and proceedings	Other	
Not maintaining professional boundaries	Not maintaining professional boundaries, sexually	Not maintaining professional boundaries with colleagues, sexual	
		Not maintaining professional boundaries, with patients or families, sexual	
	Other		

	Not maintaining professional boundaries, nonsexually	Not maintaining other professional boundaries with colleagues
		Not maintaining other professional boundaries with patients or families
		Other
	Other not maintaining professional boundaries	Other
Other crimes and offences	Benefit fraud	
	Drug crimes	
	Female Genital Mutilation	Not reporting FGM
		Performing FGM
		Other
	Financial abuse of patients	
	Murder or manslaughter	
	Theft	Theft from colleagues
		Theft from employer
		Theft from patients
		Theft out of work
		Other
	Wilful neglect or ill treatment	Wilful neglect or ill treatment of child in registrant's personal care
		Wilful neglect or ill treatment of patient
Wilful neglect or ill treatment of vulnerable adult in registrant's personal care		
Other		
Other crime or offence	Other	
Other fraud or false representation	Other	
Patient Care	Badly prepared discharge	
	Diagnosis, observation, assessment	Carrying out observation or assessment incorrectly or inadequately
		Disability or fitness to work or occupational health assessments
		Not conducting patient observations, assessment or follow up
		Not monitoring condition of mother and baby during labour
		Not recognising signs and symptoms or missed diagnosis
		Other
	Handling patients	Inappropriate confinement of patients

		Inappropriate use of restraint
		Not ensuring appropriate turning
		Rough handling
		Other
	Hydration and nutrition	
	Hygiene and infection control	
	Inappropriate delegation of patient care	
	Inappropriate or delayed response to negative signs, deterioration, or incidents	CPR and resuscitation
		Escalating or communicating issues to colleagues, clinicians, or emergency services
		Other
	Leaving patients unattended	
	Not abiding by safeguarding requirements	
	Not acting on or following care plan	
	Not assisting colleagues or responding to instructions	
	Not obtaining patient consent	
	Not responding to patient preferences or requests	
	Pain management	
	Patient handover	
	Practising outside of scope of practice	
	Provision and use of equipment	
Other patient care issues	Other	
Prescribing and medicines management	Administered at the incorrect time	
	Administered incorrect dosage	
	Administered incorrect drug	
	Administered to incorrect patient, mix up of drugs between patients	
	Breach of controlled drugs procedures	
	Breach of other local drugs policies or procedures	
	Inappropriate or incorrect delivery of medication	
	Inappropriate storage, transportation, preparation, disposal	
	Not administering or refusing to administer medication	
	Not completing checks before administering medication	
	Not notifying or escalating a drug administration error	
	Prescribing	Administered drug without prescription or clinical review
		Prescribed incorrect drug
		Prescribing when not a qualified prescriber
		Other
	Theft or misappropriation of drugs from workplace	
	Other drugs administration or medicines management errors	Other
Record keeping	Care plan	Inappropriate or incorrect entry to care plan
		Not creating or maintaining adequate care plan
		Other

	Drug or medication records	Inappropriate or incorrect entry to record
		Not recording drug administration or related issues
		Other
	Patient or clinical records	Inappropriate or incorrect entry to record
		Not ensuring records in place e.g. risk assessment
		Not recording observation, care given, incident
		Other
Other record keeping issues	Other	
Registrant's health	Alcohol misuse or dependency	
	Drugs misuse or dependency	
	Mental health	
	Physical health	
	Other health issues not further specified	Other
Sexual offences	Adult sexual assault	Colleague sexual assault
		Adult out of work sexual assault
		Adult patient sexual assault
		Other
	Child sexual abuse	Out of work child sexual abuse
		Child patient sexual abuse
		Other
	Possessing child pornography	
Other sexual offences	Other	
Social media	Posting inappropriate material	Posting inappropriate material about colleagues
		Posting inappropriate material about employer or NHS
		Posting inappropriate material about general issues
		Posting inappropriate material about other specific individuals outside work
		Posting inappropriate material about patients
		Posting inappropriate material about the nature of their work
		Posting inappropriate material about themselves
		Other
	Other social media activity	Other
Criminal proceedings	Arrest	
	Caution	
	Charge	
	Conditional discharge	
	Conviction	

	Fine	
	Fixed Penalty Notice	
	Investigation	
	Other criminal proceeding	Other
Other allegations	Other types of allegations	

9. Pharmaceutical Society of Northern Ireland

Category
Conduct
Performance
Health

Professional Standards Authority for Health and Social Care
157-197 Buckingham Palace Road
London SW1W 9SP

Email: michael.warren@professionalstandards.org.uk
Website: www.professionalstandards.org.uk
Telephone: 020 7389 8030

Behaviour	Failure to be open and honest	Lying, misrepresentation or deceit regarding experience, qualifications and skills
		Failure to be open and honest during investigations into serious adverse events or serious errors in care or treatment
		Falsifying expenses, timesheets, sick leave or other claims
		Lying to legal or other state authorities
		Failure to declare cautions / convictions
		Failure to declare compromised health
		Failure to declare actions or findings by another regulator
		Failure to declare restrictions, suspensions or dismissals by an employer
		Failure to declare issues that might create a conflict of interest
		<i>Find failure to report a serious error in care or treatment under 'raising concerns...'</i>
	Complaint handling	Failure to appropriately support service users and carers who want to raise complaints
		Failure to offer a helpful and honest response to a complaint from a service user or carer
	Alcohol and drugs	Presenting as under the influence of alcohol at work
		Presenting as under the influence of drugs at work
		Smelling of drugs or alcohol at work
		Use of drugs on-duty
		Consumption of alcohol on-duty
	<i>Find drugs offences under 'criminal matters or behaviour'</i>	
	Violence, aggression and threatening behaviour	Verbal abuse towards a service user or carer
		Verbal abuse towards a colleague
		Verbal abuse towards others outside of the workplace
		Violent or aggressive behaviour towards a service user or carer
		Violent or aggressive behaviour towards a colleague
Violent or aggressive behaviour towards others outside of the workplace		

		Threatening or intimidating behaviour towards a service user or carer
		Threatening or intimidating behaviour towards a colleague
		Threatening or intimidating behaviour towards others outside of the workplace
		Other
		<i>Find violent offences under 'criminal matters or behaviour' and rude, inappropriate, offensive or sexual statements under 'inappropriate written or verbal communications'</i>
	Bullying and harassment	Bullying of a service user or carer
		Bullying of a colleague
		Harassment of a service user or carer
		Harassment of a colleague
		Harassment of others outside the workplace
		Other
	Discrimination	Discrimination on the basis of protected characteristics against service users, carers or colleagues
		Other discrimination
		Failure to challenge discrimination by colleagues
Communication and information sharing	Inappropriate written or verbal communications	Rude, inappropriate or offensive statements or language towards a service user or carer
		Rude, inappropriate or offensive statements or language towards a colleague
		Sexual statements or language towards a service users or carer
		Sexual statements or language towards a colleague
		Unprofessional conduct on social media
		Hate speech
	Breach of confidentiality	Inappropriate access or processing of confidential information
		Inappropriate disclosure of confidential information
		<i>Find failure to keep records secure under 'record keeping'</i>

	Information sharing	Failure to appropriately share accurate and relevant information with colleagues
		Failure to provide accurate and relevant information to service users and carers
		Failure appropriately involve service users and carers, in a service user's care treatment or other services
	Other ineffective communication	
Criminal matters or conduct	Violent offences	Serious assault (e.g. GBH / ABH)
		Gross negligence manslaughter
		Manslaughter
		Murder
		Other
		<i>Find other concerns about violence and aggression under 'behaviour'</i>
	Sexual offences	Grooming
		Offences relating to indecent images of children
		Sexual assault of an adult - non-service user
		Sexual assault of an adult - service user
		Sexual abuse of a minor - non-service user
		Sexual abuse of a minor - service user
		Rape (minor)
		Rape (adult)
		Other
		<i>Find other concerns about inappropriate touching, physical contact and relationship under 'professional boundaries'</i>
	Pornography	Accessing pornography in the workplace
		Accessing, making or distributing indecent images of children
		Other
	Female Genital Mutilation (FGM)	Performing FGM
Failure to report FGM		
Motoring offences	Driving under the influence	

		Driving under the influence on duty / in a work vehicle
		Dangerous driving
		Dangerous driving on duty / in a work vehicle
		Death by dangerous driving
		Speeding
		Other
	Financial related offences	Fraud
		Theft
		Tax avoidance
		Misuse of corporate funds
		Other
		<i>Find financial abuse of a service user under 'abuse of position'</i>
	Drug offences	Possession
		Supply
<i>Find prescription fraud under 'medicines and prescribing'</i>		
Other		
HCPC / regulatory issues	Fraudulent or incorrect entry to the Register	
	Plagiarism of CPD profile	
	Failure to meet other registration requirements	
	Failure to co-operate with investigations into conduct or competence	Failure to co-operate with investigations into your conduct or competence
		Failure to co-operate with investigations into the conduct or competence of others
Failure to comply with a Committee Order		
Health	Physical health	
	Mental health	
	Alcohol dependency	
	Drug dependency	
	Abuse of position	Misleading service users and carers

Professional boundaries		Influencing care or treatment decisions for personal reasons
		Financial abuse of a service user or carer
		Other
	Touching or physical contact	Inappropriate physical contact with a service user or carer
		Inappropriate physical contact with a colleague
	Inappropriate relationships	Sexual relationship with a service user or carer
		Inappropriate personal relationship with a service user or carer
Inappropriately contacting a service user or carer in a non-professional capacity		
Professional practice	Care and treatment	Failure to demonstrate knowledge or proficiency appropriate to experience
		Ignoring needs or requests of a service user or carer
		Failing to appropriately address the needs or concerns of a service user or carer
		Failure to assess a service user
		Incorrect or inadequate assessment of a service user
		Failing to respect privacy and dignity of service users
		Incorrect diagnosis
		Failure to follow care plan
		Failure to perform tests or interventions
		Incorrect or inadequate performance of tests or interventions
		Incorrect interpretation or reporting of investigation results
		Falsification of investigation results
		Inappropriate treatment decision
		Failure to review or follow-up a service user
		Inadequate review or follow-up of a service user
		Inappropriate discharge of a service user
		Failure to appropriately refer a service user to another practitioner
Failure to appropriately obtain informed consent		
Failure to act in an emergency		

		Inappropriate exposure to radiation <i>Find medicines and prescribing concerns under 'medicines and prescribing'</i>
	Other professional responsibilities	Failure to appropriately maintain clinical equipment or supplies Failure to keep skills and knowledge up-to-date Failure to work autonomously and independently Poor time management skills Poor case progression Failure to keep up to date with and follow the law, HCPC guidance and local or other requirements <i>Find CPD and registration requirements under 'HCPC / regulatory issues'</i>
	Medicines and prescribing	Supplying or administering medicines without the relevant legal and regulatory entitlements Prescribing without the relevant legal and regulatory entitlements Error in supply or administration of medicines Inappropriate prescribing decision Prescribing error Failure to supply, administer or prescribe medicines Failure to follow controlled drugs procedures Unsafe or inappropriate storage and transportation of medicines Unsafe or inappropriate disposal of medicines Theft or misappropriation of drugs from the workplace Prescription fraud <i>Find failure to report a serious error in care or treatment under 'raising concerns...'</i>
	Acting beyond skills, knowledge and experience	
	Supervision and delegation issues	Failure to secure appropriate supervision Failure to provide appropriate supervision to colleagues

		Inappropriate delegation
	Team and management issues	Failure to follow instructions from management or seniors
		Failure to obtain senior authorisation for actions
		Failure to work within a multi-disciplinary team
		Lying to or misleading team members about actions or omissions in care of service users
Raising concerns, complaints, safeguarding and risk management	Raising concerns	Failure to recognise or report concerns promptly and appropriately
		Failure to support, follow up or escalate concerns
	Putting the safety or wellbeing of others at unacceptable risk	Placed service users or carers at risk
		Placed colleague at risk
	Safeguarding	Failure to put in place adequate safeguarding arrangements
		Failure to adequately respond to a safeguarding alert
	Failure to complete risk assessment	
	Failure to complete an adequate risk assessment	
Failure to manage foreseeable risks to service users, their carers or colleagues		
Failure to report a serious adverse events or errors in care or treatment		
Working excessive or unsafe hours		
Record keeping	Failure to keep full, clear and accurate records	
	Failure to complete records promptly	
	Failure to keep records secure	Records taken into personal possession
		Loss or misfiling of records
		Other
Falsification of records		
Matters not for further investigation	<i>IMPORTANT: Category only for use in cases that do not meet the SOA</i>	
	Matters outside of remit	Complaint about a service or organisation

		Complaint about fees and charges with no evidence of financial abuse
		Concerns have been previously investigated by the HCPC
		Registrant has been struck off
		Concern relates to a professional not registered with the HCPC
	Matters which do not raise fitness to practice concerns	Employment, contractual or business dispute
		Disagreement with a registrant's reasonable professional decision, report or expert evidence
		Private family or personal disputes
		Managed health conditions