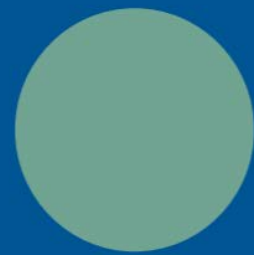


Candidate Information Pack 2021:

Two GOC Lay Independent Member Vacancies

Ref: GOC05/21



This information pack is available in alternative formats (for example large print).

Please submit your request to the Secretariat team(appointment@optical.org)

Welcome Letter



Thank you for expressing your interest in these positions and for taking the time to read this information pack, which I hope gives you all the details you need to apply.

We are seeking to appoint two lay independent members; one for the GOC Audit, Risk and Finance Committee and one for the Remuneration Committee.

The role of the Audit, Risk and Finance Committee is to provide Council with assurances around the management of GOC finances and risk, the internal control environment and corporate and charity governance.

The role of the Remuneration Committee is to provide assurance to Council that there are adequate processes in place to determine executive remuneration, reward and performance management and advise Council on the payment of fees to members.

Successful candidates will contribute to the Audit, Risk and Finance and the Remuneration Committees by providing independent, objective and impartial advice and judgement in compliance with the Equality Act.

Who are we looking for? Critical thinkers able to express their point of view and who can provide objective advice.

We would welcome applications from individuals who are disabled and from diverse ethnic backgrounds as these are currently under-represented on our council and committees.

Being an independent member gives you the opportunity to share your particular skills and experience while learning from others too. We are committed to supporting personal and professional development in the role.

If you welcome the challenge of helping to shape optical regulation at this time, we will be delighted to hear from you. Please email appointment@optical.org for further information and we will aim respond to your query within 48 hours. Please quote reference **GOC05/21** on all correspondence.

A handwritten signature in black ink that reads "Anne Wright". The signature is written in a cursive style.

Dr Anne Wright CBE, Council Chair
December 2021

Introduction

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Timeline

Key dates for this appointment are as follows:

Application Deadline

Sunday 16 January 2022 (23:00 hours GMT)

Interviews

Monday 28 February & Tuesday 1 March 2022

Appointment Start Date

1 April 2022

Lay Independent Member Induction*

Week Commencing 14 March 2022

*Subject to all of the appointment processes having been completed beforehand, the successful candidates will be expected to attend.

Key contact: appointment@optical.org

About the GOC

Background

We are one of 13 organisations in the UK known as health and social care regulators. These organisations oversee the health and social care professions by regulating individual professionals. We are the regulator for the optical profession in the UK. We currently register around 30,000 optometrists, dispensing opticians, student opticians and optical businesses.

We have four core functions:

Setting standards for optical education and training, performance, and conduct

Approving qualifications leading to registration

Maintaining a register of those who are qualified and fit to practise, to train or carry on business as optometrists and dispensing opticians

Investigating and acting where registrants' fitness to practise, to train or carry on business is impaired

Legislation

Our primary legislation is the Opticians Act 1989 (as amended) and we also have a series of related rules that describe how we carry out our statutory functions. This information can be found on our [website](#)

Our values

The interests of patients and the general public are at the heart of all we do, and we aspire to the timeless seven (Nolan) public sector principles of public life (selflessness, integrity, objectivity, accountability, openness, honesty and leadership).

Our values underpin the way we work with each other, and with the public, our registrants and partner organisations:

- We act with **integrity**
- We pursue **excellence**
- We **respect** other people and ideas
- We are **agile** and responsive to change
- We show **empathy**
- We behave **fairly**

About the Audit, Risk and Finance Committee

The independent member has an important role to play to provide an independent, objective and impartial advice and judgement on audit, risk and finance matters. The Audit, Risk and Finance Committee usually meets six times a year focusing separately on risk and finance. The terms of reference can be viewed [here](#)

The Audit, Risk and Finance Committee has responsibility for:

To appoint, reappoint and remove the external supplier of internal audit services and associated fees.

**To approve the external audit annual plan and terms of engagement.
To approve the internal audit plan.**

**To approve financially related policies.
To approve statement included in the annual report concerning internal controls and risk management.**

About the Remuneration Committee

The independent member has an important role to play to provide an independent, objective and impartial advice and judgement on matters relating to payment of fees to members and assurance of adequate processes in place to determine executive remuneration, reward and performance management. The Committee usually meets twice a year. The terms of reference can be viewed [here](#)

The Remuneration Committee has responsibility for approving:

The level of remuneration and payments to be made in relation to pensions, gratuities or superannuation schemes to the Chief Executive and Registrar and other members of the Senior Management Team

To approve the process of appraisal for the Chief Executive and Registrar and other members of the Senior Management Team

To approve relevant sections of the annual report in relation to Council members' remuneration and expenses ensuring that they meet best practice requirements

To approve a statement in the annual report about its membership, role and remit for the preceding year

Appointment Information and Expectation

Remuneration and Time Commitment

Independent members are remunerated at a rate of £421 per day plus reasonable travel and subsistence expenses.

The appointed member will be expected to commit a minimum of 7 days per annum for the Audit, Risk and Finance Committee and a minimum of 3 days per annum for the Remuneration Committee.

Both Audit, Risk and Finance and Remuneration Committee meetings will take place either on MS Teams or at the GOC Offices 10 Old Bailey, London EC4M 7NG.

Appointment and Tenure of Office

The initial appointment will be for a maximum of four years, with the term of office determined by the Nominations Committee on appointment. Independent members may serve for a maximum period of eight years in any period of 20 years.

Reappointment (subject to the maximum period of service) will be dependent on a satisfactory performance appraisal and the ongoing requirements of the Nominations Committee.

Member Reviews

All Committee members are required to take part in our [member review process](#), which involves self-assessment and one to one meetings with the Chair and third-party feedback on completion of a specified term of office. A satisfactory appraisal will normally be required for Committee members to continue to hold office.

Training and Development

Appropriate training and induction will be provided and tailored to the appointed candidate. Induction will take place prior to appointment where possible. All members are expected to undertake routine refresher training on key areas – such as information governance and equality, diversity and inclusion as a condition of appointment.

Standards in Public Life

You will be expected to demonstrate high standards of corporate and personal conduct including impartiality, integrity and objectivity in the execution of the role and its responsibilities.

To ensure that these values are maintained by those in public service, the successful candidate will be required to subscribe to our code of conduct on appointment.

You must also confirm that you understand the standards of probity required by public appointees outlined in the “Seven Principles of Public Life”. These principles are

included within our [Code of Conduct](#).

You should be aware that this post is a public appointment or statutory office, rather than a job and therefore is not subject to the provisions of employment law.

Disqualification

Appointments to healthcare professional regulatory bodies are governed by regulations which include details of the circumstances in which an individual may be disqualified from holding office.

The criteria for disqualification from appointment as a member Committee member are set out in Part 2 of [The General Optical Council \(Constituting\) Order 2009](#).

Please read this carefully before you submit an application.

Due to our statutory requirements, this appointment is only open to lay individuals who are not registered with the GOC as an Optometrist or Dispensing Optician.

Management of Interests

You should note your requirement to declare any interests you hold which relate to the advertised role. These are:

- Business or personal interests that might be relevant to our work, and which could lead to a real or perceived conflict of interest were you to be appointed, should be declared at the application stage.
- Any close personal relationships with any GOC employee or Council, committee or Hearings Panel members. Any actual, potential or perceived conflicts of interest will be fully explored by the selection panel at shortlisting and interview stage. Candidates will be given an opportunity to propose how they would manage or eliminate the conflict.

It is possible that certain interests will not be manageable or might be dealt with as a condition of appointment (for example, a candidate needing to terminate their conflicting activity in order to take up the role).

We strongly recommend that you read our [Management of Interests policy](#), which can be found on our [website](#), and consider any interests that may conflict with the role before deciding to apply.

On appointment you will be required to declare any interests you hold which could conflict or be perceived to conflict with your role as a lay independent member. In order to be transparent, these interests will be published on our website.

If you wish to discuss an interest before submitting your application, please email appointment@optical.org or call the Secretariat Team on 0207 307 3934.

Role Description and Person Specification

Audit, Risk and Finance Committee Role Description

The Audit, Risk and Finance Committee currently has four members, all of whom are Council Members. The Chair, Clare Minchington (lay Council member), David Parkins (registrant Council member), Mike Galvin (lay Council member) and Sinead Burns (lay Council member). Their biographies can be found on our [website](#)

In order for the Committees to be properly effective it is important that they have a mix of skills, experiences and backgrounds. The independent member has an important role to play to provide independent, objective and impartial advice and judgement.

The independent member, in conjunction with other members of the Audit, Risk and Finance Committee will:

- Approve the internal audit plan.
- Approve policies relating to finances, risk management, contracts and procurement and information governance.
- Provide Council with advice on accounts/financial statements and the annual report, proposed budgets and financial performance reports, appointment, reappointment and remove of external auditors and associated fees and plans; the reserves policy and the risk appetite statement.
- Approve the statements concerning internal controls and risk management included in the annual report.
- Appoint, reappoint and remove the external supplier of internal audit services and associated fees;
- Provide Council with assurances around the management of GOC finances and risk, the internal control environment and corporate and charity governance.

Role Description and Person Specification

Audit, Risk and Finance Committee Independent Member Person Specification

Candidates will be required to provide examples of how their experience matches the criteria outlined below. Candidates who provide evidence that also support the desirable criteria may be even better positioned to demonstrate that they meet the challenges of the position.

Essential Criteria

- Ability to operate strategically as an effective member of the Audit, Risk and Finance committee and contribute positively to the GOC in a non-executive capacity.
- Understanding of financial, audit and risk management issues affecting charitable organisations and the role of the Audit, Risk and Finance Committee.
- Ability to provide specialist knowledge, support and information relevant to the work of the Committee.
- Ability to listen, communicate and influence effectively.
- Ability to build effective relationships and work effectively as part of a team.
- Awareness of equality and diversity issues.
- Analytical capacity, intellectual flexibility and sound independent judgement.
- A professional accountancy qualification

Desirable Criteria

- Previous experience of working with an Audit, Risk and Finance Committee.
- A general understanding of, and interest in, regulation, healthcare professions and optical care in the UK.
- Experience of non-executive work, understanding the boundaries between executive and non-executive responsibilities.
- Knowledge of delivering governance in the public or private sector.

Role Description and Person Specification

Remuneration Committee Independent Member Role description

The Remuneration Committee currently has two members, both of whom are Council Members. The Chair, Glenn Tomison (Senior Council member) and Tim Parkinson (lay Council member). Their biographies can be found on our [website](#).

The independent member, in conjunction with other members of the Remuneration Committee will:

- Advise Council on the payment of fees to members.
- Provide assurance to Council that there are adequate processes in place to determine executive remuneration, reward and performance management which are in line with the GOC's values and principles.
- Approve the level of remuneration and payments to be made in relation to pensions, gratuities or superannuation schemes to the Chief Executive and Registrar and other members of the Senior Management Team.
- Approve the process of appraisal for the Chief Executive and Registrar and other members of the Senior Management Team.
- Approve relevant sections of the annual report in relation to Council members' remuneration and expenses ensuring that they meet best practice requirements.
- Approve a statement in the annual report about its membership, role and remit for the preceding year;
- To advise the Chief Executive and Registrar on the staff expenses policy.

Role Description and Person Specification

Remuneration Committee Independent Member Person Specification

Candidates will be required to provide examples of how their experience matches the criteria outlined below. Candidates who provide evidence that also support the desirable criteria may be even better positioned to demonstrate that they meet the challenges of the position.

Essential Criteria

- Ability to operate strategically as an effective member of the Remuneration committee and contribute positively to the GOC in a non-executive capacity.
- Understanding of pay structure and pay policy issues affecting charitable organisations and the role of the Remuneration Committee.
- Ability to provide specialist knowledge, support and information relevant to the work of the Committee.
- Ability to listen, communicate and influence effectively.
- Ability to build effective relationships and work effectively as part of a team.
- Awareness of equality and diversity issues.
- Analytical capacity, intellectual flexibility and sound independent judgement.

Desirable Criteria

- Previous experience of working with an Remuneration Committee.
- A general understanding of, and interest in, regulation, healthcare professions and optical care in the UK.
- Experience of non-executive work, understanding the boundaries between executive and non-executive responsibilities.
- Knowledge of delivering governance in the public or private sector.

We are committed to ensuring that in exercising all of our functions we operate in a fair and transparent manner and in a way that is free from discrimination, harassment and victimisation. Within all of our functions, we are committed to promoting equality; valuing diversity; being inclusive; and meeting our equality duties. We will not discriminate on age; disability; gender reassignment; race/ethnicity; religion or belief; gender; sexual orientation; marriage and civil partnership; and pregnancy, maternity and geographical locations outside of London.

How to Apply

Your Application

Please apply with your CV and a statement of no more than 2 sides of A4 indicating how you meet the person specification.

Equality Monitoring

We would welcome applications from individuals who are disabled and from diverse ethnic backgrounds as these are currently under-represented on our council and committees.

When submitting your application, you will also be asked to complete equality, diversity and inclusion (EDI) monitoring information. This is to ensure all candidates are treated fairly, through our process. The form can be accessed [here](#).

Please note the information you submit will be treated in the strictest confidence and used for monitoring purposes only. This will be separated from your application and will not be seen by anyone directly involved in the selection process.

Deadline

Please complete your application by **23:00 hours (GMT), Sunday 16 January 2022**.

If you have any questions, please email them to appointment@optical.org and we will aim to respond to you within 48 hours. You may also contact us by telephone 0207 307 3934.

Appointments Process

For more information on our appointments process, read our [Appointments Policy and Process](#) which is available on our website.

We will process your application as quickly as possible and keep you informed at key stages. **Please read the information below carefully, which outlines important information and our process once we receive your application:**

- We will acknowledge receipt of your CV, statement and EDI form (by email) and check it for completeness and eligibility.
- The selection panel for both of these appointments will be comprised of: Glenn Tomison (Selection Panel chair [Registrant Council Member]), Clare Minchington (Lay Council Member) and Nick Yeo (Independent Member).
- The selection panel will rely only on the information you provide in your CV and statement whether you have demonstrated that you meet selection criteria, as set out in the person specification.
- Where 30 or more applications are received, applications will be “pre-assessed” before being forwarded to the full selection panel for consideration. In this event, you should be aware that your application might not be considered in full by all selection panel members.
- **Candidates shortlisted for interview will be notified in the week commencing 21 February 2022.**
- If you have **not** heard from us by this date, please assume you have not been invited to interview. This will be confirmed to you via email at a later date. Please note that individual feedback will only be available to candidates who attend interview (but are not appointed).
- Interviews will take place remotely via Microsoft Teams on Monday 28 February and Tuesday 1 March 2022.
- Where a candidate is unable to attend an interview on the published dates, the selection panel *may* consider a new date, but at their discretion and in light of those interviewed first time.
- If invited to interview, the selection panel will question you about your experience and expertise and ask specific questions to find whether you meet the selection criteria.
- Written references from two referees and other due diligence checks (including google/LinkedIn/Facebook searches, director/trustee checks) for the candidates

invited to interview will be undertaken after a successful interview. Please ensure that your referees are aware and will be able to respond when contacted.

- All candidates who have been interviewed will be notified of the outcome once the final decision has been made which we expect to be by mid-March.
- On appointment, you will receive further information about training and induction.



Equal Opportunities and Accessibility

Equality Diversity and Inclusion

We strive to be as diverse as the public we protect and welcome applications from everyone, regardless of age, disability, gender reassignment, race/ethnicity, religion or belief, gender, sexual orientation, marriage and civil partnership, pregnancy, maternity and geographical locations outside of London. We are committed to equality of opportunity for all and appointments will be made solely on merit. We believe that for any organisation to be successful, it needs to work with the most talented and diverse people available. We positively encourage applications from people from all of the community, from all backgrounds and with a broad range of experience.

To ensure all candidates are treated fairly, we monitor diversity at all stages of the appointments process. The application process includes a monitoring section which is submitted online. Providing this information is optional, but we would be grateful for your co-operation.

Information provided will be treated as strictly confidential and will be used for monitoring purposes only. It will not be seen by anyone directly involved in the selection process and will not be treated as part of your application. No information will be published or used in any way which allows any individuals to be identified. Monitoring information gathered from application processes is published annually in our [monitoring report](#). Our approach to monitoring can be viewed on our [website](#).

Access Requirements

We have a duty to promote equality of opportunity for people who have disabilities. One of the ways we are doing this is through identifying barriers to opportunity facing people with disabilities and making reasonable adjustments to remove them.

If you would like to discuss your requirements for reasonable adjustments at any stage of the recruitment process in more detail, please contact Secretariat on 0207 307 3934. If you would like more information on reasonable adjustments please read this link:

<https://www.gov.uk/reasonable-adjustments-for-disabled-workers>

Data Protection

Our data protection policy is published on our [website](#). We are required to retain information about the people who apply for public appointments, and make this available for audit purposes, if requested to do so. Our retention policy in relation to the information we collect in respect of public appointments is that we keep the following information for two years and then it is destroyed:

- initial contact details, including your name and address;
- application form and any supporting documentation; and
- monitoring information.

Some of the information requested on the application form will be made public if you are appointed (e.g. your name, brief career/background history, other public appointments held, any other information that it is in the public interest to disclose). Moreover, we may be required to release information, including personal data, on request under the UK Data Protection Act 2018. However, we will not permit any unwarranted breach of confidentiality nor will we act in contravention of our obligations under the General Data Protection Regulation.

Questions and Concerns

We aim to process all applications as quickly as possible and in accordance with our [Appointments Policy and Process](#) which will be applied consistently to all applicants. However, if you have a complaint about the process used in this recruitment campaign, please refer to our [Recruitment Complaints Procedure](#) which provides guidance on what can and cannot be considered and how to raise concerns. In the first instance, you should raise your concern/complaint informally within 72 hours of the action you are complaining about.

You can raise your concern by email (appointment@optical.org) or telephone (0207 307 3934).

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www.optical.org

Email: goc@optical.org

Twitter: [@GOC_UK](https://twitter.com/GOC_UK)

The GOC is a charity registered in England and Wales (1150137)