

Occupational Therapy Governance Toolkit

RAPID GOVERNANCE SNAPSHOT

CONTROLLED PUBLIC SAMPLE

Ten representative prompts to help independent occupational therapists notice governance strengths, gaps and priorities.

WHAT THIS SAMPLE GIVES YOU

A brief, practical snapshot drawn from GP-02 Professional Governance Checklist. It demonstrates the Toolkit's approach, but it is not the complete 50-point checklist and does not constitute a governance assessment, compliance decision or assurance opinion.

Document code	Version	Status
OTGT-SAMPLE-001	1.0	Public promotional sample
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Derived from the published Occupational Therapy Governance Toolkit, Version 1.0 - Founding Edition.
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How to use this snapshot

Choose one response for each prompt. Point to current evidence and identify what must happen next.

Response	Use when	What follows
YES	The arrangement is current, proportionate, accessible and evidenced.	Maintain and review it.
PARTLY	It exists but has a gap, inconsistency, outdated element or weak evidence.	Record a specific improvement.
NO	A relevant arrangement is absent.	Assess urgency and assign action.
N/A	It genuinely does not apply to your role or context.	Record a brief rationale.

ACT NOW WHERE NECESSARY

Escalate urgent safety, safeguarding, legal, professional-registration or information-security concerns immediately. Do not wait for routine action planning. This sample must not delay required action.

Keep the check useful

- Point to the authoritative current evidence; do not copy confidential material into this sample.
- A checked box is not evidence unless the arrangement is implemented and can be demonstrated.
- The seriousness of one gap may matter more than the number of completed prompts.
- Proportionate governance supports practice; it should not create unnecessary bureaucracy.

Rapid Governance Snapshot - 1 of 2

Mark the response that best reflects your current position, then note the evidence or action.

1. PROFESSIONAL ACCOUNTABILITY

Professional registration, authorisation and role-specific credentials are current and evidenced.

☐ Yes ☐ Partly

☐ No ☐ N/A

Evidence or authoritative location

Action or rationale

2. INSURANCE

Professional indemnity and relevant business insurance arrangements are current and appropriate.

☐ Yes ☐ Partly

☐ No ☐ N/A

Evidence or authoritative location

Action or rationale

3. SCOPE AND BOUNDARIES

The scope of practice, service offer and professional boundaries are clearly defined.

☐ Yes ☐ Partly

☐ No ☐ N/A

Evidence or authoritative location

Action or rationale

4. EXTERNAL CHANGE

There is a process for identifying and responding to relevant changes in standards, legislation, regulation and guidance.

☐ Yes ☐ Partly

☐ No ☐ N/A

Evidence or authoritative location

Action or rationale

5. IMPLEMENTATION

Required policies, procedures and operational records are current, controlled and implemented in practice.

☐ Yes ☐ Partly

☐ No ☐ N/A

Evidence or authoritative location

Action or rationale

Rapid Governance Snapshot - 2 of 2

Mark the response that best reflects your current position, then note the evidence or action.

6. INFORMATION GOVERNANCE

Records are secure, retrievable, appropriately retained and disposed of, with access and backup arrangements reviewed.

☐ Yes ☐ Partly

☐ No ☐ N/A

Evidence or authoritative location

Action or rationale

7. SAFEGUARDING

Safeguarding responsibilities, reporting routes and escalation arrangements are clear.

☐ Yes ☐ Partly

☐ No ☐ N/A

Evidence or authoritative location

Action or rationale

8. SUPERVISION AND COMPETENCE

Supervision is appropriate to the role, and competence and professional capability are periodically reviewed.

☐ Yes ☐ Partly

☐ No ☐ N/A

Evidence or authoritative location

Action or rationale

9. QUALITY AND LEARNING

Outcomes, feedback, incidents and review findings lead to documented learning and improvement actions.

☐ Yes ☐ Partly

☐ No ☐ N/A

Evidence or authoritative location

Action or rationale

10. CONTINUITY

Business-continuity and service-disruption arrangements are current, proportionate and tested or reviewed.

☐ Yes ☐ Partly

☐ No ☐ N/A

Evidence or authoritative location

Action or rationale

Turn observations into proportionate action

Do not create a numerical pass mark. Summarise the pattern, then prioritise the highest-value gaps.

Priority	Use when	What to do
Immediate attention	There is a current or credible risk to safety, legality, safeguarding, professional practice, information security or continuity.	Act and escalate without delay. Record interim controls and advice.
Priority improvement	A significant gap could affect quality, accountability or future safety if not addressed promptly.	Assign an owner and near-term target date. Review frequently.
Routine development	The action would strengthen governance but does not represent an immediate or significant risk.	Plan it within the normal improvement cycle.
Maintain and monitor	Current arrangements are effective but require continued oversight or periodic review.	Record maintenance and the next review date.

Your snapshot conclusion

Current strengths	Immediate concerns
Planned improvements	Next review date

What the full Toolkit adds

The sample contains ten representative prompts. The full Toolkit provides a controlled system for assessment, action, assurance, monitoring, review and continuity.

Code	Controlled resource	Primary outcome
GP-01	Professional Governance Self-Assessment	Explore maturity, strengths, gaps and priorities in depth.
GP-02	Professional Governance Checklist	Check 50 essential arrangements using the full rapid-review tool.
GP-03	Governance Action Plan	Manage owners, dates, evidence, effectiveness and closure.
GP-04	Annual Governance Review	Complete a structured retrospective review.
GP-05	Scope and Professional Assurance	Review scope, competence and assurance.
GP-06	Responsibilities Planner	Clarify ownership, contribution and escalation.
GP-07	Governance Register	Locate authoritative records and review evidence.
GP-08	Governance Audit and Dashboard	Monitor findings, trends and significant concerns.
GP-09	Business Continuity Plan	Plan for disruption, safe interim operation and recovery.

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Professional boundaries

This sample and the full Toolkit support professional judgement and structured governance review. They do not confirm legal or regulatory compliance, provide accreditation, replace urgent escalation, external audit or inspection, or remove responsibility for applying current legislation, regulation, contractual requirements and organisational procedures.

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