

Livewell Southwest

## **Professional Registration Protocol**

Version No 1.13

Review: December 2021

**Notice to staff using a paper copy of this guidance:**

**The policies and procedures page of the Livewell Southwest intranet holds the most recent version of this guidance. Staff must ensure they are using the most recent guidance.**

**Author:** Human Resources

**Asset Number:** 780

## Reader Information

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<b>Associated Documentation</b>	<ul style="list-style-type: none"> <li>• Impact Assessment</li> <li>• Recruitment &amp; Selection Policy</li> <li>• Appraisal Policy</li> <li>• Competency Appraisal Policy for Adult Social Care</li> <li>• Medical Appraisal Policy</li> <li>• Disciplinary Policy including Adult Social Care Disciplinary Policy</li> <li>• Redeployment Policy</li> <li>• Maternity Guidelines</li> <li>• Career Break Protocol</li> </ul>
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### Document Review History

Version No.	Type of Change	Date	Originator of Change	Description of Change
1	Ratified	February 2010	Extraordinary policy ratification group	
1:1	Reviewed	Jan 2012	Author	Review date extended as per PRG directions, no other changes made.
1.2	Amendments	March 2012	Employee Relations Manager	Amended to reflect current practice, amendment to section 7 and changes in professional bodies.
1.3	Extended	April 2014	Employee Relations Manager	Extended no changes.
1.4	Extended	October 2014	HR Manager	Extended no changes.
1.5	Extended	October 2015	HR Manager	Extended no changes.
1.6	Reviewed	November 2015	HR Manager	Minor changes made
1.7	Reviewed	May 2016	HR Department	Minor changes made.
1.8	Review	April 2017	HR Policy Group	Minor Update – additional info in Section 9.
1.9	Extended	July 2018	Head of HR & Staff Wellbeing	Extended
1.10	Reviewed	November 2019	HR Department	Minor changes made to reflect responsibilities of line manager and employee
1.11	Extended	March 2020	Associate	Extended

			Director of HR and Engagement	
1.12	Extended	January 2021	HR Admin	Extended
1.13	Extended	April 2021	HR Admin	Extended

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# Professional Registration Policy

## 1 Introduction

- 1.1 In order to best serve and protect patients and the public, all staff where relevant must be registered with a professional body. If a member of staff's registration lapses they will not contractually, and in many cases legally, be able to continue to carry out the duties of their post if their post requires them to be registered.
- 1.2 All doctors who wish to practise medicine in the UK will, by law, need to be registered with a licence to practise. When a Doctor's registration lapses, their license to practice also lapses.
- 1.3 Livewell Southwest monitors registration and carries out checks directly with the relevant professional body, in accordance with their recommendations and has access to their databases.

## 2 Purpose

- 2.1 The Policy outlines the process for checking and recording professional registration at recruitment stage and for ensuring that all staff employed (whether on substantive, temporary or fixed term contracts) or engaged in honorary appointments in the posts listed maintains their registration during employment. It further provides information on the action Livewell Southwest will take if it is discovered that a practitioner's registration has lapsed.

## 3 Definitions

- 3.1 **Professional Registration** – the process of compiling and maintaining a list of names of people who have met specified professional standards.
- 3.2 **Regulatory body** – an association responsible for setting and maintaining standards of professional training, performance and conduct of the healthcare professions that it regulates (see Appendix A).

## 4 Duties

- 4.1 The **Chief Executive** is responsible for approving and overseeing implementation of this policy.
- 4.2 The **Board** for Livewell Southwest have a responsibility to ensure that safe employment practices exist to protect patients and staff which are achieved through a robust recruitment and selection process, thus meeting its legal obligations as well as strategic obligations.
- 4.3 The **Associate Director of Human Resources** and Engagement and **Community Service Managers** will:
  - 4.3.1 Direct the introduction, operation and monitoring of the Policy.
  - 4.3.2 Ensure the provision of briefings on the policy, guidance and support for

managers on the operation of the policy.

4.3.3 Ensure the provision of accurate and regular statistical information as requested.

4.3.4 Oversee relevant audits are undertaken.

4.2 **Line Managers** are responsible for:

4.2.1 Ensuring staff who are required to hold and maintain a valid professional registration are fully able to discharge their duties and act in accordance with their professional code of conduct.

4.2.2 Ensuring they act on any notification from ESR/HR to ensure staff maintain their relevant registration with the appropriate regulatory body through the period of employment

4.2.3 Attending recruitment and selection training workshops.

4.3 The **Human Resources** department has certain responsibilities relating to professional registration throughout the recruitment and selection process, as well as during the course of an individual's employment. These are namely:

4.3.1 To ensure applicants receive a person specification, which states it is essential to hold professional registration.

4.3.2 Via the application form, that all applicants are asked to state details of their professional registration.

4.3.3 Those shortlisted for interview will be requested in their interview invitation to bring evidence of their professional registration to the interview for photocopying and checking by the Recruiting Manager. For medical appointments, the Medical Staffing team will check registration details at interview stage.

4.3.4 As appropriate, formal offer letters will state that the offer of employment is subject to valid professional registration.

4.3.5 At the offer stage, Human Resources will contact the relevant Registration Body, either by telephone, fax or internet, to check the registration details to ensure the individual is not subject to:

- a) any temporary or permanent limitations
- b) suspension from the register
- c) removal from the register
- d) a fitness to practice investigation
- e) any pending action or
- f) any other reason why the practitioner would be prevented from working

4.3.6 The contract of employment will include a clause specifying the requirement, where appropriate, for registration.

- 4.3.7 Human Resources will ask for details when employment commences with Livewell Southwest. These details will be entered on to ESR (Electronic Staff Record) and photocopies taken of the relevant documentation which will be kept on the individual's personal file.
- 4.3.8 Reports will be generated on a regular basis by Human Resources to remind employees of registration coming up for renewal and any expired. Managers are contacted where employees have failed to renew their registration.
- 4.3.9 Renewal dates will be entered on to ESR.
- 4.3.10 With regard to medical appointments, the prime responsibility for checking registration lies with Medical Staffing.
- 4.3.11 Monitor the expiry of professional registrations through the ESR.
- 4.3.12 Advise managers and individuals on professional registration expiry dates, where there is a potential impact on the employee's ability to discharge their duties.

4.4 **Employees** who are required to hold a valid professional registration will:

- 4.4.1 Register and maintain registration with the appropriate Regulatory Body throughout their employment with Livewell Southwest in a timely manner.
- 4.4.2 Notify their manager immediately if there are any problems which will result in any failure to renew professional registration.
- 4.4.3 Keep the documentation relating to this registration/re-registration safe.
- 4.4.4 Act on any reminders sent via ESR
- 4.4.5 On receipt of renewed registration, ensure that the appropriate manager has seen this and is able to update records appropriately (i.e. with line manager and Human Resources).
- 4.4.6 Contact the appropriate Regulatory Body for appropriate proof/evidence/ written documentation if requested to provide it.
- 4.4.7 Keep the relevant Regulatory Body informed of changes of address, name, status, etc., so that their records are accurate, up-to-date and that renewal advice and information from the Regulatory Body is timely.
- 4.4.8 Comply with the Regulatory Body Code of Professional Conduct and/or standards.
- 4.4.9 Notify their manager immediately of any material facts inside or outside of work which may impact on his/her registration.

## **5 Pre-Employment**

- 5.1 All prospective employees of Livewell Southwest are required to submit details of professional qualifications and professional registration details as part of the standard application form.
- 5.2 Verification of professional registration will be undertaken by the Recruiting Manager and by the Recruitment Team before offering the position to the successful applicant. This should take place as soon as the decision is made to follow up applicants successful at interview. In addition, checks are undertaken to ensure the applicant is the person they purport to be.
- 5.3 Formal confirmation of an offer of employment is subject to verification with the appropriate professional body that an individual is registered in line with the agreed protocols and processes managed by Human Resources.

## **6 Existing Employees**

- 6.1 Once in employment, the re-registration date for current employees will be recorded within ESR by Human Resources, who monitor on a monthly basis the registrations that are due to expire over the forthcoming month (Appendix A). Employees registered with NMC will receive a reminder from ESR.
- 6.2 Where it is identified that an employee has not updated their registration, Human Resources will issue a reminder to re-effect registration as a matter of priority.
- 6.3 Human Resources will, within the last week of the month, re-check the registration status of these employees and, if necessary, speak with the employee to ascertain registration status.
- 6.4 In the event that registration has not been re-effected, Human Resources will make contact with the employee's line manager so that appropriate work arrangements can be made (see Section 7).
- 6.5 Human Resources will inform the relevant Regulatory Body of any employees who are/have been put on unpaid leave from duty due to lapsed registration, and who have left Livewell Southwest.

## **7 Failure to Renew Registration**

- 7.1 Human Resources will advise and discuss with the appropriate senior manager any employee whose professional registration becomes invalid due to expiry through their own action or omission.
- 7.2 Employees whose professional registration lapses will immediately be put on unpaid leave from duty whilst the registration is renewed. However, each case will be assessed on the basis of individual merit and extenuating circumstances, with agreement from the Head of Service and Director of People and Professionalism or Associate Director of Human Resources and Engagement sought before being placed on unpaid leave. The line manager will be responsible for seeking this assessment and will be required to provide the full facts of the circumstances.



- 7.3 Where the registration is not renewed for a period exceeding fourteen calendar days, Livewell Southwest reserves the right to amend the staff member's incremental date by the length of time their registration is invalid. The disciplinary procedure may also be invoked at this stage.
- 7.4 Human Resources will record the action in the ESR system and personal file.
- 7.5 For Registered Nurses and Midwives who are due for revalidation – the latest date for REVALIDATION is the FIRST day of the month in which registration expires (online applications will open 60 days prior to this date). If a registrant does not apply by this date then their registration will lapse and can only be renewed by an application for resubmission which can take up to 6 weeks, during which time the registrant will be unable to practice. The registration RENEWAL date is the LAST day of the month in which registration expires.
- 7.5 Each year a sample of nurses and midwives will be selected to provide further information to allow the Nursing and Midwifery Council to verify the declarations made as part of the revalidation application. Registration for any nurse or midwife selected for verification will not be renewed until the verification process is complete. The process will be completed within 3 months of the registrants renewal date. Any nurse or midwife selected for verification will remain on the register whilst the verification process is undertaken and can continue to practice whilst the information provided is reviewed. Nurses who receive a request for further information following application for revalidation should inform their line manager and Human Resources in order that the organisation is aware of potential lapses in renewal.
- 7.6 Additional information and guidance for professional registration of registered nurses and midwives is available online from NMC website.

## **8 Alert Letters**

- 8.1 Upon receipt of alert letters from the relevant Regulatory Body, Human Resources will check the details against ESR to verify whether there are any implications and inform the relevant senior manager accordingly.

## **9 Notification to Professional Bodies**

- 9.1 In accordance with the Disciplinary Policy of Livewell Southwest, the outcome sanction of a disciplinary matter may require the organisation to notify the relevant professional body.
- 9.2 Upon completion of the disciplinary hearing it will be the responsibility of the panel Chair to make a referral to the relevant professional body where applicable. This may include the NMC, HCPC, or other relevant professional regulation bodies.

## **10 Training and Development**

- 10.1 Livewell Southwest provide the following training and development as part of the core management training programme takes place to support the monitoring of professional registration:

- Leadership for Managers
- Managing the performance of your staff
- Recruitment & Selection

## **11 Monitoring**

### **11.1 Existing Staff**

11.1.1 A report will be generated by Human Resources on a monthly basis pending checking of referrals for circulation to managers. Proof of registration will be required. This evidence should be in the form of a receipt for Pharmacists or a Certificate of Registration for Medical Staff and AHP's. Registration status for other groups may be checked via on-line registers.

### **11.2 Returners from Sickness, Career Break and Maternity Leave etc.**

11.2.1 When an employee returns from a prolonged period of absence, such as a Career Break, Maternity leave or long-term sickness absence, the manager should check that the employee has maintained their registration during their absence by asking the employee to produce evidence of their Registration.

11.2.2 Line managers should then contact Human Resources for them to verify that registration remains valid through contacting the relevant professional body's registration service.

11.2.3 Where registration has lapsed during a prolonged period of absence, consideration will be given in line with the Equality Act 2010 to establish whether any reasonable adjustments are required.

### **11.3 Staff on Secondment from Other Organisations and Staff with Honorary Contracts**

11.3.1 Managers should ask the individual or the individual's employer to provide evidence of registration or their registration number.

11.3.2 For clinical staff the manager should advise Human Resources in order that registration can be verified through the relevant professional body's registration service.

11.3.3 The registration should be checked again at the time that renewal is due (see Appendix A). Managers should keep a record that the registration has been checked along with the individual's other details.

11.3.4 If the registration is found to have lapsed the individual should be asked to cease working with Livewell Southwest immediately. Any honorary contract will be deemed to be void.

### **11.4 Agency Workers**

11.4.1 Livewell Southwest will only use temporary workers from agencies registered with the Crown Commercial Services.

11.4.2 It is the responsibility of the supplying agency to ensure professionally qualified staff supplied to Livewell Southwest have their registrations up-to-date.

11.4.3 Livewell Southwest from time to time will also carry out a programme of spot checks and takes appropriate action with the relevant supplying agencies.

## 11.5 Non-Clinical Staff

11.5.1 Where it is an essential requirement for non-clinical staff to hold a relevant professional qualification and be registered with the associated professional body, this requirement should be made clear in the person specification for the post and in the individual's main statement of terms and conditions of service (i.e. CCAB for finance, CIPD for Human Resources). This applies whether the person carrying out the work is an employee of Livewell Southwest or a contractor, and checks should be carried out before the work commences and at appropriate intervals thereafter if the qualification requires updating.

11.5.2 There are a small number of jobs carried out within Estates and Facilities that are subject to statutory regulations requiring registration with a Regulatory Body (i.e. gas fitters must be registered with Gas Safe). It is the responsibility of the recruiting manager to verify and record this upon appointment.

## 11.6 Standards and Key Performance Indicators

11.6.1 Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 – Regulation 18: Staffing:

- The intention of this regulation is to make sure that providers deploy enough suitably qualified, competent and experienced staff to enable them to meet all other regulatory requirements described in this part of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014. To meet the regulation, providers must provide sufficient numbers of suitably qualified, competent, skilled and experienced staff to meet the needs of the people using the service at all times.

## 11.7 Professional Registration Policy

11.7.1 The Director of People and Professionalism has responsibility for the overall monitoring of the policy.

11.7.2 The effectiveness of this Policy will be monitored by:

- a) Internal Audit may monitor the effectiveness of this policy by arrangement
- b) JCCN will monitor compliance against this policy.
- c) Via ESR Reports to managers.
- d) Care Quality Commission

**All policies are required to be electronically signed by the Lead Director. Proof of the electronic signature is stored in the policies database.**

**The Lead Director approves this document and any attached appendices. For operational policies this will be the Locality Manager.**

**The Executive signature is subject to the understanding that the policy owner has followed the organisation process for policy Ratification.**

Signed: Director of People and Professionalism

Date: 4 December 2019

## Registration Bodies

### 1) General Medical Council (GMC)

**Doctors' registration** with the General Medical Council is renewable on an annual basis.

**Licence to Practice** - every doctor who wants to practise medicine must not only be registered, but also hold a Licence to Practise from the GMC.

In addition, licensed doctors must be revalidated by the GMC every five years. This means that doctors will be asked to evidence that they have been practising medicine in line with the principles set out in the guidance booklet, Good Medical Practice

**Full Registration** – allows doctors to engage in any form of professional employment within the United Kingdom.

It should be noted that for Doctors to work in an **unsupervised capacity** in their chosen category of medicine need to be on the GP or Specialist Register of the GMC.

**Provisional Registration** – is held by newly qualified doctors for one year to enable them to complete their pre-registration House Officer posts within hospital settings.

**Doctors over 65** - when a Doctor has reached the age of 65 they become exempt from paying a registration fee but must ensure that they remain registered. They will also be required to hold a Licence to Practice and be revalidated.

**General Ophthalmic Practitioners** must be registered with the General Medical Council as detailed above.

Address for Correspondence: General Medical Council  
178 Great Portland Street  
London  
W1W 5JE

Telephone Number: 0207 915 3630

Website: [www.gmc-uk.org](http://www.gmc-uk.org)

### 2) Nursing and Midwifery Council (NMC)

All Nurses, Midwives and Health Visitors must be registered with the NMC, and registrations are renewable annually. The Register is split into three parts as follows:

- Nursing
- Midwifery
- Specialist Community Public Health Nursing

Registration with the NMC may not be the only requirement needed for employment in certain positions. Appointing managers must ensure that they are familiar with all the necessary requirements for the profession concerned and that, prior to making offers of employment; they check that each appointee complies with those requirements.

Address for Correspondence:     Nursing and Midwifery Council  
23 Portland Place  
London W1B 1PZ  
Telephone Number:             0207 333 9333  
Website:                         [www.nmc-uk.org](http://www.nmc-uk.org)

### 3) **Health and Care Professions Council (HCPC)**

Practitioners covered by the HCPC are registered every two years, with set expiry dates for practitioner groups (their expiry years all differ). The practitioner groups covered are:

<b>Radiographers</b>	29 February
<b>Physiotherapists</b>	30 April
<b>Practitioner Psychologists</b>	31 May
<b>Art Therapists (including Art, Music &amp; Drama)</b>	31 May
<b>Dietitians</b>	30 June
<b>Chiropodists/Podiatrists</b>	31 July
<b>Orthoptists</b>	31 August
<b>Paramedics</b>	31 August
<b>Clinical Scientists</b>	30 September
<b>Prosthetists and Orthotists</b>	30 September
<b>Speech and Language Therapists</b>	30 September
<b>Occupational Therapists</b>	31 October
<b>Operating Department Practitioners</b>	30 November

Registration with the HCPC may not be the only requirement needed for employment in certain positions. Appointing managers must ensure that they are familiar with all the necessary requirements for the profession concerned and that, prior to making offers of employment; they check that each appointee complies with those requirements.

Address for Correspondence:     HCPC  
Park House  
184 Kennington Park Road  
London SE11 4BU  
Telephone Number:             0207 582 0866 / 0845 3004 472  
Website:                         [www.hcpc-org.uk](http://www.hcpc-org.uk)

#### **4) Royal Pharmaceutical Society of Great Britain**

All Pharmacists must be registered with the Royal Pharmaceutical Society of Great Britain and registrations are renewable annually.

Address for Correspondence: Royal Pharmaceutical Society of Great Britain  
1 Lambeth High Street  
London SE1 7JN  
Telephone Number: 0207 735 9141  
Website: <http://www.rpharms.com/home/home.asp>

#### **5) British Psychological Society (BPS)**

All Psychologists must be registered with the British Psychological Society and registrations are renewable annually.

Address for Correspondence: The British Psychological Society  
St Andrews House  
48 Princess Road East  
Leicester LE1 7DR  
Telephone Number: 0116 254 9568  
Website: [www.bps.org.uk](http://www.bps.org.uk)

#### **6) General Dental Council (GDC)**

This is a Statutory Register. The GDC maintains the Dentists Register and the Rolls of Dental Nurses (Dental Hygienists and Dental Therapists), by registering all those who wish to practise as dentists, dental nurses, dental hygienists or dental therapists and who hold the required qualifications.

For dentists, there are two categories of registration, full and temporary, although the latter is granted only in certain circumstances. There are also Specialist Lists - Oral Surgery, Surgical Dentistry, Endodontics, Periodontics, Prosthodontics, Restorative Dentistry, Dental Public Health, Orthodontics, Paediatric Dentistry, Oral Medicine, Oral Microbiology, Oral Pathology and Dental and Maxillofacial Radiology. Registrations are renewable annually.

Address for correspondence: General Dental Council  
37 Wimpole Street  
London W1G 8DQ  
Telephone: 020 7887 3800  
Website: [www.gdc-uk.org](http://www.gdc-uk.org)

#### **7) General Optical Council (GOC)**

This is a statutory Register. There are two registers of optometrists; one for those who test sight and fit and supply optical appliances (the majority); the second register is for those optometrists who test sight only. There is one register for dispensing opticians. Dispensing opticians do not test sight. Dispensing Opticians fit and supply optical appliances and, if qualified to do so, may fit contact lenses. Registrations are renewable annually.

Address for correspondence: General Optical Council  
41 Harley Street  
London W1G 8DJ  
Telephone 020 7580 3898  
Website: [www.optical.org](http://www.optical.org)

## **8) Social Work England**

This is the statutory specialist regulator for the profession. Social Workers must renew their registration annually.

Address for correspondence: 1 North Bank  
Blonk Street  
Sheffield S3 8JY  
Telephone: 0808 1962274  
Website: <https://www.socialworkengland.org.uk/>