

Livewell Southwest

Professional Registration Protocol

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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.

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Document Review History

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For previous review history please contact the PRVG Coordinator.				
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 Director of HR and Engagement	Extended
1.12	Extended	January 2021	HR Admin	Extended
1.13	Extended	April 2021	HR Admin	Extended
1.14	Extended	January 2022	HR Admin	Extended
2	Reviewed	July 2022	HR Department	Reviewed and updated. References section updated. Contact details in Appendix D updated.
2.1	Reviewed	May 2025	People Team	Full review Changes to job titles & policies named 10.1 Update Training & Development details 11.4 Update Agency Workers information
2.2	Update	January 2026	People Team	Minor changes

Contents		Page
1	Introduction	5
2	Purpose	5
3	Definitions	5
4	Duties	6
5	Pre-Employment	8
6	Existing Employees	8
7	Failure to Re-Effect Registration	9
8	Alert Letters	10
9	Notification to Professional Bodies	10
10	Training & Information	10
11	Monitoring	10
Appendix A	Registration Bodies	

Professional Registration Policy

1 Introduction

- 1.1 Livewell Southwest recognises its legal duty of care to protect the public and will take appropriate measures to verify the registration of employees and other staff covered by this policy, both before appointment and annually thereafter. The organisation will have systems in place to ensure our people know how to raise concerns with regulatory bodies and how to respond to requests and information received from them. It is expected that employees will be responsible for maintaining their own registration.
- 1.2 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.
- 1.3 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.
- 1.4 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** – registration is the process by which an individual's name is included on a regulatory or professional bodies register. Where it is an essential requirement of a post to hold professional registration, it is the responsibility of the post holder to maintain the relevant registration through the re registration processes the regulator has identified.
- 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).
- 3.3 **Revalidation** - is a requirement of some regulatory bodies in order to maintain registration. The purpose of revalidation is to ensure registrants remain fit to practise throughout their careers.

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 **Director of People and Professionalism** has responsibility for the ongoing management of the policy and ensuring, systems, processes and procedures are in place to enable the organisation to fulfil its responsibilities. The **Director of People and Professionalism** and **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.
- 4.4 **Line Managers** are responsible for:
 - 4.4.1 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.
 - 4.4.2 Ensuring they act on any notification from ESR/HR People Team to ensure staff maintain their relevant registration with the appropriate regulatory body through the period of employment
 - 4.4.3 Attending recruitment and selection training workshops.
- 4.5 The HR People Team have 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:
 - 4.5.1 To ensure applicants receive a person specification, which states it is essential to hold professional registration.
 - 4.5.2 Via the application form, that all applicants are asked to state details of their professional registration.
 - 4.5.3 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.

- 4.5.4 As appropriate, formal offer letters will state that the offer of employment is subject to valid professional registration.
- 4.5.5 At the offer stage, the HR People Team 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
- 4.5.6 The contract of employment will include a clause specifying the requirement, where appropriate, for registration.
- 4.5.7 The HR People Team 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.
- 4.5.8 Reports will be generated on a regular basis by the HR People Team to remind employees of registration coming up for renewal and any expired. Managers are contacted where employees have failed to renew their registration.
- 4.5.9 Renewal dates will be entered on to ESR.
- 4.5.10 With regard to medical appointments, the prime responsibility for checking registration lies with Medical Staffing.
- 4.5.11 Monitor the expiry of professional registrations through the ESR.
- 4.5.12 Advise managers and individuals on professional registration expiry dates, where there is a potential impact on the employee's ability to discharge their duties.
- 4.6 **Employees** who are required to hold a valid professional registration will:
 - 4.6.1 Register and maintain registration with the appropriate Regulatory Body throughout their employment with Livewell Southwest in a timely manner.
 - 4.6.2 Notify their manager immediately if there are any problems which will result in any failure to renew professional registration.
 - 4.6.3 Keep the documentation relating to this registration/re-registration safe.
 - 4.6.4 Act on any reminders sent via ESR
 - 4.6.5 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 the HR People Team).

- 4.6.6 Contact the appropriate Regulatory Body for appropriate proof/evidence/ written documentation if requested to provide it.
- 4.6.7 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.
- 4.6.8 Comply with the Regulatory Body Code of Professional Conduct and/or standards.
- 4.6.9 Notify their manager immediately of any material facts inside or outside of work which may impact on his/her registration.
- 4.6.10 Those employees in advanced roles or responsibilities that require additional annotations or endorsements must maintain up-to-date registration including any required annotations and practice only within scope permitted by their registration and annotations.

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 the HR People Team.

6 Existing Employees

- 6.1 Once in employment, the re-registration date for current employees will be recorded within ESR by HR People Team, 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, the individual staff member and their manager will receive an email informing them that their registration is due to lapse and if no confirmation is received they will need to be placed on a period of unpaid leave until they can provide evidence of registration.
- 6.3 The HR People Team will, 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, the HR People Team will make contact with the employee's line manager so that appropriate work arrangements can be made (see Section 7).

7 Failure to Renew Registration

- 7.1 The HR People Team 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 Assistant Director and Director/Deputy of People and Professionalism 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 The Manager will record the action in the ESR system and personal file.
- 7.5 For Registered Qualified Nursing Associates, 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.
- 7.6 Each year a sample of qualified nursing associates, 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 registrant's 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 the HR People Team in order that the organisation is aware of potential lapses in renewal.
- 7.7 Additional information and guidance for professional registration of qualified nursing associates, registered nurses and midwives is available online from NMC website.
- 7.8 Certain advanced roles require additional annotations or endorsements such as:
- NMP (Non-Medical Prescribing)
 - ACP (Advanced Clinical Practitioner)
 - DNSP (Designated Non-Medical Prescriber).

These employees are responsible for maintaining any required annotations and practicing only within the scope permitted by their registration and annotations.

8 Alert Letters

- 8.1 Upon receipt of alert letters from the relevant Regulatory Body, the HR People Team 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 Conduct Policy of Livewell Southwest, the outcome sanction of a conduct 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 which takes place to support the monitoring of professional registration:
- Recruitment & Selection
 - Completing the Induction Checklist during the probationary period.
 - Managing the performance of your staff

11 Monitoring

11.1 Existing Staff

11.1.1 A report will be generated by the HR People Team 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 the HR People Team 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 the HR People Team 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 primarily uses agencies from approved framework agreements. These frameworks are essentially lists of vetted recruitment agencies that have been approved to supply staff to, via the Health Trust Europe framework.

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 HR People Team). 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 Head of Service.

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: 9th October 2025