

Title		Professional Registration Policy
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Local Ref (optional)		N/A
Main points the document covers		This policy details the processes to be followed in respect of professional registration.
Who is the document aimed at?		All professionally qualified clinical staff
Author		People Services Team
Approval process		
Who has been consulted in the development of this policy?		Joint Negotiating Partnership
Approved by (Committee/Director)		People Committee
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Full Equality Impact Assessment		No
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Other		None
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No	Date	Amendment
1	September 2015	Paragraph numbers added, section 2.1 updated, addition of section 4.3 Nursing Midwifery Council, removal of compliance monitoring table and replaced with paragraph 11.2.1, removal of agency proforma as included in Safer Recruitment Policy.
2	May 2017	Added additional line manager and staff responsibility regarding notification of third party/self-referrals to regulatory body (3.3 and 3.4).
3	February 2019	3 yearly review of policy undertaken; references to General Social Care Council removed as organisation no longer exists, removal of the regulatory bodies table in section 2.2 as a duplication of appendix 1 and formatting and renumbering as appropriate.

4	January 2023	Recruitment Team address updated, page 10. Date, Name, Address, Job Title and requirement to add letter head information on template letter and enclose this policy, page 11.
5	August 2024 Version 4.1	<p>Front sheet updated, job titles, service names updated throughout and renumbering paragraphs as appropriate.</p> <p>Section 4 – removed requirement for managers to complete form in appendix 2 and send to Recruitment in relation to checking employee documentation for renewals, added paragraphs to reference to individuals receiving notification from NMC and ESR when registration is due to expire.</p> <p>Appendix 2 'confirmation of renewed registration' removed as no longer required.</p>

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1. Introduction

- 1.1 All professionally qualified clinical staff must, by law, register with the appropriate regulatory body. In order to ensure all professional clinical staff are appropriately registered to undertake the posts to which they have been appointed, individuals will be required to provide evidence of their registration prior to commencement of employment and during their employment with the Trust.
- 1.2 In order to protect patients, no professional member of staff will be allowed to work in a professional capacity unless fully qualified and registered with the appropriate regulatory body.
- 1.3 The requirement for professional registration for any particular post will be identified in the person specification. It is a contractual condition that the healthcare professional has appropriate registration throughout their employment.
- 1.4 Registration details will be recorded on the Trust's Electronic Staff Record (ESR) and this will provide alerts to line managers and the Recruitment Team of registrations due to lapse or lapsed. The Trust will monitor registrations by regular checks on ESR.

2. Purpose and Scope

- 2.1 The purpose of this policy is to ensure that adequate and reliable procedures are in place to assist managers in their responsibilities. By complying with the policy the Trust will help to safeguard patients and clients from professional bad practice or misconduct.
- 2.2 This policy and procedure applies to all staff registered with the following regulatory bodies and applies to both permanent and temporary staff.
 - General Dental Council (GDC)
 - General Medical Council (GMC)
 - General Pharmaceutical Council (GPhC)
 - Health and Care Professions Council (HCPC)
 - Nursing & Midwifery Council (NMC)
- 2.3 Bank workers, agency, and locum workers are not employed by the Trust but who nevertheless are engaged to cover work and must hold current registration.
- 2.4 Where agency or locum workers are engaged to work for the Trust written confirmation must be obtained from the agency that the worker has appropriate current professional registration, and that there are no restrictions or conditions attached to the registration.
- 2.5 If proof of current registration cannot be supplied, the agency or locum worker should not be engaged to work.

3. Duties

- 3.1 **Director of Nursing and Clinical Delivery** is responsible for ensuring any notices/circulars received from professional bodies concerning professional conduct are disseminated promptly to appropriate line managers.
- 3.2 **Recruitment Team** will undertake all pre-employment checks including a physical check of professional registration with regulatory body websites. In addition they will record and maintain professional registration details on ESR.

3.3 **Line Managers** are responsible for: -

- Checking any notices or circulars against current staffing lists to ensure that staff that appear on such lists are identified and appropriate action taken. Such records should also be shared with Recruiting Managers for recruitment purposes.
- Ensuring that staff are aware of their responsibilities under this policy.
- Ensuring they see original documentation relating to renewed registrations (e.g. certificates/PIN numbers, printouts from appropriate regulatory body websites) and sign date and retain copies of renewed registration documents on the individual's personnel file.
- Contacting the People Services team and the Director of Nursing & Operations if a member of staff discloses that they are the subject of either a third-party referral or self-referral to their regulatory body.

3.4 **Employees** are responsible for:

- Familiarising themselves with this policy and procedure.
- Registering with the appropriate professional body.
- Ensuring that they have received the details of their registration PIN number/registration certificate.
- Ensuring the registration body's records are correct in respect of their registration.
- Ensuring that both the registration body and immediate line manager have an up-to-date record of registration.
- Ensuring that both the registration body and immediate line manager are notified of any changes in registration status.
- The payment of any fees required for registration.
- Ensuring registration is obtained and renewed within specific timescales laid down by the registration bodies.
- Abiding by their code of conduct at all times.
- Immediately bringing it to the attention of their Line Manager if they become subject to either a third-party referral or a self-referral to their regulatory body.

3.5 It is the individual's responsibility to ensure registration is effective at all times of employment with the Trust including during extended periods away from the workplace e.g. maternity, paternity and adoption leave, career breaks.

3.6 Failure to re-register and to continue in practice is against all professional codes and can be viewed as professional misconduct by employers and regulatory bodies. In addition staff are expected to adhere to the Trust's clinical strategies on clinical supervision.

4. **Procedure for Checking Professional Registration**

4.1 **New Employees**

4.1.1 The Recruitment Team (RT) will carry out a registration check with the appropriate registration body as detailed in the person specification prior to commencement.

The registration check will involve:

- Confirming that the applicant is registered to carry out the role.
- Whether the applicant's registration is subject to current restriction which might affect duties proposed.

- Confirming if the prospective employee has investigations against them about their fitness to practice.

4.1.2 The RT will check the statement of entry and regulatory website to ensure that it is appropriate for the post and that all registrations are valid. Copies of the following documents will be held on the individual's personal file and details entered on to ESR.

- Statement of entry (confirms personal details, registration status at time of issue, recorded qualifications, and initial registration date).
- Printout from Regulatory Body website

4.2 During Employment

4.2.1 It is the responsibility of all professional staff to ensure they keep their registration valid and that all fees are paid before their registration is due to expire.

4.2.2 Line managers receive ESR notifications that an employee's registration is due to expire and should remind their member of staff that the renewal is due, and that they must provide evidence of renewal. Line managers should ensure they see original documentation of the renewal, obtain a print-out from the regulatory body's website and retain signed and dated copies confirming they have seen original documentation in personal files.

4.3 Professional Regulatory Bodies

4.3.1 The NMC website advises that names will automatically be removed from their register when a registration has lapsed. Individuals will then be required to apply for readmission to be able to practice again, and the process can take up to six weeks, depending on circumstances. Individuals are not allowed to practise as a nurse, or nursing associate while unregistered as this would contravene The Code and is illegal.

4.3.2 The NMC email individuals 60 days before the fee expiry date or revalidation application date as a reminder.

4.3.3 Electronic Staff Record (ESR) sends a notification to individuals when their professional registration is due to expire at 120 days (3 months) and 30 days (1 month).

5. Failing to Maintain Professional Registration

5.1 Guiding Principles

5.1.1 If an employee is unable to produce evidence of current registration the line manager must ensure that the individual does not continue to practice in a registered capacity until such time as written evidence of current registration is produced.

5.1.2 Depending on the circumstances of the situation the line manager should consider a range of options which could include allowing the individual to work in an unregistered capacity (or lower band) with commensurate level of pay, moving the individual to another area of work (e.g. admin/reception) or suspension without pay if no suitable roles available.

- 5.1.3 In such instances the line manager should contact People Services for further advice. People Services will consult with the Director of Nursing & Clinical Delivery or in their absence their Deputy or the appropriate professional lead prior to a decision being made.
- 5.1.4 If, whilst working in an unregistered capacity, an individual works at a lower band, and is subsequently unfit for work or takes annual leave, remuneration will be commensurate with the lower band.
- 5.1.5 When considering advice in section 5 checks should be undertaken by the line manager in order to establish the cause for lapse or delay in registration. Registration checks in relation to any of the below situations can be obtained either by telephoning the professional registration bodies confirmation service or via the on-line system (Appendix 1).
- 5.1.6 Unregistered professional staff are likely to fall into one of three categories which should be dealt with as follows:
- **Newly registered staff** should not be allowed to work in a registered capacity whilst unregistered and should be paid at an appropriate unregistered band until registration is verified. If there is doubt in relation to the rate of pay an individual should be paid, the line manager should contact People Services for advice.
 - **Unregistered staff due to lapsed membership** should work in an unregistered capacity and will be paid at an appropriate unregistered band until they become re-registered. If there is doubt in relation to the rate of pay an individual should be paid, the line manager should contact People Services for advice.
 - **Unregistered staff due to NMC delay** Nursing staff are given prior notice by the NMC that registration is due. Nurses who can prove they have applied to re-register within a reasonable timescale (at least 4 weeks prior to their registration date lapsing) and can prove that delays are beyond their control should not be financially penalised. They should work in an unregistered capacity whilst maintaining their current salary.

5.2 Process to Follow in Respect of Unregistered Professionals

- 5.2.1 In the event of a lapsed/delayed registration the line manager should consider a range of options to ensure the individual does not continue to practice in a registered capacity.
- 5.2.2 If an individual's professional registration has lapsed then depending on the circumstances of the situation, the line manager should consider a range of options:
- allowing the individual to work in an unregistered capacity (or lower band) with commensurate level of pay up to a maximum of 12 weeks.
 - moving the individual to another area of work (e.g. admin/reception) or undertaking mandatory training/e-learning and paid as an unregistered member of staff.
 - Suspension without pay should be a last resort.

- 5.2.3 In such instances the line manager should contact People Services for further advice. People Services will then consult with the Director of Nursing & Operations or in their absence their Deputy or the appropriate professional lead for a decision to be made.
- 5.2.4 The line manager must complete an incident form in each case where non-registration is discovered and include the reasons for non-registration and any actions taken.
- 5.2.5 The line manager will meet with the individual to review registration status and agree a course of action including timescales. Employees may be supported by a work colleague or staff side (trade union or professional organisation). Discussions and actions relating to lapsed registrations should be confirmed in writing, and a copy kept on the employee's personal file (Appendix 3 should be used and can be adapted to individual circumstances).
- 5.2.6 If the individual fails to obtain registration within the agreed timescale without a satisfactory reason acceptable to the line manager, the issue may become subject to the Trust's Disciplinary Policy and could lead to dismissal.
- 5.2.7 The outcome of any disciplinary action should be notified to the relevant Director for that service. In the event the professional body needs notifying, the Director will liaise with the relevant professional lead in notifying the regulatory body.
- 5.2.8 When information has been received that re-registration has been successful, the manager will confirm registration and will advise the employee verbally and in writing that they may resume their professional responsibilities and duties.
- 5.2.9 Payment of salary for the appropriate professional grade will be re-instated from the date that confirmation of valid registration is received by the Trust. Salary will not be backdated to the original expiry date.

6. Notices from Regulatory Bodies

- 6.1 The Recruitment Team complete a Healthcare Practitioner Alert Notice (HPAN) check on commencement as per the NHS employer guidance which advises 'Employers must also check that there is no known information held about registered healthcare professionals on the healthcare professional alert notice system. If an individual is subject to an alert notice, then employers must check whether there are any restrictions which would prevent them from undertaking the duties of the role, before allowing them to commence employment.'

7. Related Documents

- 7.1 The following Trust documents can be found in the policies and procedures section of the Staff Zone and should be referred to for related information:
- Recruitment and Selection Policy (Safer Recruitment)
 - Disciplinary Policy

8. Dissemination

8.1 This Policy will be disseminated by being published on the Website and awareness raising by People Services and formal staff side representatives.

9. Advice

9.1 Advice on this policy should be sought in the first instance from People Services.

10. Policy Review and Compliance Monitoring

10.1 Policy Review

10.1.1 The rules and operation of this policy and procedure will be periodically reviewed (at least every 3 years) in light of any developments at either national policy level, or locally and, if necessary, revised in order to ensure their continuing relevance and effectiveness. Any amendments will be introduced only after consultation with staff-side representatives.

10.2 Compliance Monitoring

10.2.1 The People Services team will monitor the processes that underpin this policy, identifying any issues and amend any forms and processes as necessary. These amendments to the policy and relevant supporting documentation will be communicated to manager's who are responsible for implementing improvements where identified.

10.2.2 Random checks may be made at any time and/or as part of the Trust's Internal Audit Programme.

Appendix 1 - Professional Regulatory Bodies

Professional regulatory bodies can be contacted via telephone or by accessing their website.

Managers who access the website need to be aware that there is usually a transition period of around one week before new or amended registration details are passed to the website. Managers should also ensure registration is applicable to the individual they are verifying details for and therefore will need to have the individual's full name, date of birth and pin/reference number.

Staff Group	Professional Body	Telephone Number	Registration Period
Dentist, Clinical Dental Technician, Dental Hygienist, Dental Nurse, Dental Technician, Dental Therapist, and Orthodontic Therapist	General Dental Council (GDC) www.gdc-uk.org	020 7167 6000	Renew registration – annually
Doctors	General Medical Council (GMC) www.gmc-uk.org/	0161 923 6602	Renew registration - annually Revalidation – every 5 years
Pharmacist, Pharmacy Technician	General Pharmaceutical Council (GPhC) www.pharmacyregulation.org	020 3713 8000	Renew registration – annually
Art Therapist, Biomedical Scientist, Chiropodist, Podiatrist, Clinical Scientist, Dietician, Occupational Therapist, Orthoptist, Paramedic, Physiotherapist, Psychologist, Prosthetist and Orthotist, Radiographer, Social Worker, Speech and Language Therapist	Health and Care Professions Council (HCPC) www.hcpc-uk.org	0300 500 6184	Renew registration – every 2 years
Nurse, Health Visitor and Midwife	Nursing & Midwifery Council (NMC) www.nmc.org.uk	020 7637 7181	Renew registration - annually Revalidation – every 3 years

Appendix 2 - Template Letter for Lapsed Registration

Date

Name

Address

Dear

Reference - Professional Registration

Further to our meeting on (insert date) with yourself and (TUPO representative / work colleague), I write to confirm that your registration has lapsed as of (insert date).

We discussed the reasons for the lapse in registration, which you gave as (insert reasons).

I explained that a condition of your employment with the Trust is that your registration is kept current.

In light of the above it is with regret that I confirm that (insert agreed action following reference to section 5) until your registration has been confirmed).

You agreed to rectify the situation as a matter of urgency and to confirm your registration status to me by (insert date). Failure to obtain registration within this timescale without a satisfactory explanation may mean that the issue becomes subject to the Trust's disciplinary policy.

I have enclosed a copy of the Trust's current Professional Registration Policy for your information and if you wish to discuss the contents of my letter please do not hesitate to contact me.

Yours sincerely

Name

Job Title

Copy: Personal File
People Services
Staff Side Representative (if appropriate)

Enc: Professional Registration