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## PROFESSIONAL REGISTRATION PROCEDURE

### Introduction and Aim

Cardiff and Vale University Health Board (UHB) recognises that professional regulation is intended to protect the public, making sure that those who practice a health profession are doing so safely. The purpose of this Procedure is to ensure that the UHB is fully able to exercise its duty to protect the public and patients through the employment of registered staff.

It is a requirement that individuals who work within certain professional groups and who are employed and/or undertake work on behalf of the Cardiff and Vale University Local Health Board (the UHB), are registered with their respective professional regulatory organisation.

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.

In view of the professional and legal obligations, it is the policy of the UHB to ensure that all staff who have a requirement to be registered with a statutory regulatory body in order to practice their profession are appropriately registered at all times.

Failure to obtain or maintain registration may lead to disciplinary action, including dismissal. During any investigation into failure to be registered and while registration is being sought, staff will be required to take any annual leave accrued up until the date registration lapsed or if this is not possible, will be required to take unpaid leave.

### Objectives

- To set out UHB's requirements for all professionally registered staff to maintain their professional registration
- To provide guidance to managers on the processes for checking and recording professional registration at the recruitment stage
- To ensure that all staff employed (whether on substantive, temporary or fixed term contracts) or engaged on honorary appointments maintain their registration during employment.
- To provide information on the actions managers should take if it is discovered that a practitioner's registration has lapsed.

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## Scope

This Procedure applies to all staff within the UHB whose employment requires them to be registered with their respective professional regulatory organisation. The Procedure also applies to staff engaged by the Nurse Bank, Honorary Contract, Locum/Agency staff and Contractors.

<b>Equality &amp; Health Impact Assessment</b>	An <a href="#">Equality &amp; Health Impact Assessment</a> has been completed and found there to be a positive impact.
<b>Documents to read alongside this Procedure</b>	Recruitment and Selection <a href="#">Policy</a> and <a href="#">Procedure</a> <a href="#">Disciplinary Policy</a>
<b>Accountable Executive or Clinical Board Director</b>	Executive Director of Workforce and OD
<b>Author(s)</b>	Head of Workforce Governance /UNITE staff representative
<p style="text-align: center;"><b><u>Disclaimer</u></b></p> <p>If the review date of this document has passed please ensure that the version you are using is the most up to date either by contacting the document author or the <a href="#">Governance Directorate</a>.</p>	

Summary of reviews/amendments			
Version Number	Date Review Approved	Date Published	Summary of Amendments
Trust 1		January 2005	New Policy
Trust 2	January 2006	January 2006	Rolled forward to September 2009
Trust 3	October 2008	October 2008	No changes to version 2. Rolled over to September 2012
UHB 1	29.01.2013	29.01.2016	Updated to UHB document – Title changed from Statutory to Professional Registration Policy
UHB 1A	11/09/18	06/11/18	Rolled forward with no changes except reallocated from Policy to Procedure

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<b>1</b>	<b>ROLES AND RESPONSIBILITIES</b>
<b>1.1</b>	<b>RESPONSIBILITIES OF THE EMPLOYEE</b>
	<p>The UHB regards it as the responsibility of the individual employee to register and ensure that they maintain such registration as is necessary to enable them to practise their profession.</p> <p>As such, it is the responsibility of the individual employee to:</p> <ul style="list-style-type: none"> <li>• provide evidence of statutory registration and qualifications prior to commencement with the UHB.</li> <li>• be aware of when his/her registration is due for renewal.</li> <li>• ensure they maintain their registration and meet the requirements of CPD for their profession throughout their employment with the UHB including: <ul style="list-style-type: none"> <li>○ when a member of staff is on maternity, adoption or paternity leave (see maternity guidance and Keeping in Touch days);</li> <li>○ absent from work due to sickness;</li> <li>○ on secondment;</li> <li>○ on an employment break;</li> <li>○ any other period away from the workplace</li> </ul> </li> <li>• have taken account of the need to pay the required fee and submit the correct documents to enable registration or renewal to occur.</li> <li>• have the responsibility to inform their manager of any issues relating to re-registration.</li> <li>• ensure that their manager is provided with evidence of their registration and the expiry date, on renewal of his/her registration.</li> <li>• inform the relevant statutory regulatory body and the UHB of any change in personal circumstances, e.g. change of address, name, status</li> <li>• Medical staff practising medicine are required to maintain a licence to practice and a requirement to comply with the GMC requirements for revalidation of their professional registration.</li> <li>• understand that failure to obtain or maintain registration may lead to disciplinary action, including dismissal.</li> <li>• utilise any annual leave accrued up to the date of the registration lapse or taking unpaid leave, during any investigation into failure to be registered and while registration is sought.</li> <li>• notify his/her manager immediately of any material facts inside or outside of work which may impact on his/her registration, such as being arrested or receiving a police caution</li> <li>• understand that if they are removed from the register by their own Professional body they will no longer be able to be legally employed by the UHB</li> </ul>

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1.2	<b>UHB RESPONSIBILITIES</b>
	<p>Within the UHB managers must ensure that:</p> <ul style="list-style-type: none"> <li>• they are familiar with the requirements of relevant legislation governing employment of registered professional staff.</li> <li>• they verify the qualifications and professional registration of any new employees at the recruitment stage.</li> <li>• each Directorate must designate an appropriate manager(s) with responsibility for ensuring that the follow up process for checking statutory registration is undertaken and that a centralised record of statutory registrations, including registration numbers and renewal dates, is maintained.</li> <li>• establish procedures within their area to ensure the registration of honorary contracts holders, agency and locum workers is verified.</li> <li>• prompt action is taken to protect the interests of the public and patients where a member of staff is found not to be registered (see Section 7 below).</li> </ul>
2	<b>DEFINITIONS</b>
	<p><b>Professional Registration</b></p> <p>The process of compiling and maintaining a list of names of people who have met specified professional standards</p> <p><b>Regulatory Body</b></p> <p>An association responsible for setting and maintaining standards of professional training, performance and conduct of healthcare professions that it regulates.</p>
3	<b>PROCEDURE FOR VALIDATION OF STATUTORY REGISTRATION</b>
3.1	<p><b>NEW EMPLOYEES</b></p> <p>All prospective employees of the UHB are required to submit details of professional qualifications and professional registration details as part of the recruitment process. Validation of professional registration will be undertaken by the appointing manager or nominee 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. The original documentation will also be viewed during the enrolment process and a copy of the registration certificate will be placed on the practitioner's personal file. For all staff, the appropriate manager or nominee will confirm registration status, including relevant part(s) of the register, using the appropriate registration confirmation service. (Appendix A)</p> <p>Once the registration has been confirmed, the registration details will be included in the Staff Enrolment Form and then entered on the Electronic Staff Record (ESR) system. Employees whose evidence of statutory registration cannot be verified will not be allowed to commence their duties and their offer of employment will be withdrawn.</p>

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3.1.1	<p><b>NEW ENTRANTS TO REGISTER</b></p> <p>There may be occasions where newly qualified professional staff commence employment prior to receipt of confirmation of registration.</p> <p>In such circumstances the individual will initially be employed and may work supervised at the pay scale for the relevant level for a Health Care Support Worker in that area until their registration is confirmed. Once registration can be confirmed the individual will change to the appropriate registered grade, pay will not be retrospectively adjusted as staff will not have worked to the job description of a registered member of staff during this period.</p>
3.2	<p><b>EXISTING STAFF</b></p> <p>Each Directorate/Division must have an active follow up process which ensures regular checks of statutory registration.</p> <p>For all staff where registration is required the appropriate manager or nominee will confirm registration status (including relevant part of the register where appropriate) using the appropriate registration confirmation service, either online, by telephone or in writing (Appendix A).</p> <p>The UHB will additionally monitor the ongoing registration of Medical and Nursing staff via the Electronic Staff Record (ESR) interfaces with the General Medical Council (GMC) and Nursing and Midwifery Council (NMC)</p>
3.3	<p><b>BANK STAFF</b></p> <p>Staff engaged on Bank duties will be subject to the arrangement for new employees and existing staff detailed above.</p>
3.4	<p><b>AGENCY / LOCUM STAFF</b></p> <p>The relevant agency/locum provider will be asked to provide the UHB with the registration details (registration number, renewal date and date of birth) of the individual identified for the placement.</p> <p>The department concerned will check the registration with the appropriate regulatory body using the appropriate registration confirmation service, either online, by telephone or in writing.</p> <p>Outside office hours the information will be provided to the Site Manager who will forward it to the Department for checking at the earliest working day opportunity.</p>
3.5	<p><b>CONTRACTORS</b></p> <p>Any professional staff contracted to provide a service on behalf of the UHB, will be required to be registered with the appropriate registration body.</p>

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	<p>The Contractors will be asked to verify the statutory registration of each individual providing a service on behalf of the UHB, prior to the engagement of the individual.</p> <p>The Contractors will be asked to provide the UHB with the registration details of the professional, including the registration number and renewal dates.</p>
3.6	<p><b>WORK PLACEMENTS AND TRAINEES</b></p> <p>Any registered professional staff attending the UHB to participate in specific work placements or participate in training will be required to be registered with the appropriate professional body.</p> <p>The host employer of the professional will be required to verify the statutory registration of the individual prior to their commencement of their work placement or training.</p>
3.7	<p><b>HONORARY CONTRACT HOLDERS</b></p> <p>Any professional staff holding an Honorary Contract with the UHB will be required to be registered with the appropriate professional body.</p> <p>The host employer of the professional will be required to verify the professional registration of the individual prior to their commencement of their duties. In addition, the employer will be asked to provide the UHB with the registration details of the professional, including the registration number and renewal dates.</p> <p>In respect of medical staff, the Medical Workforce Department will verify that the GMC professional registration is current and appropriate.</p>
4	<p><b>PROCEDURE FOR DEALING WITH INSTANCES OF LAPSED PROFESSIONAL REGISTRATION</b></p>
	<p>Within the UHB there should be clear and robust audit mechanisms in place to ensure that there is adherence to registration and re-registration procedures, as outlined above.</p>
4.1	<p><b>INVESTIGATION &amp; ACTION</b></p> <p>From time to time situations arise whereby individual members of these professions allow their registration with the appropriate professional body to lapse.</p> <p>Failure to have or to renew registration will result in the practitioner being managed and supported as follows:</p> <ul style="list-style-type: none"> <li>The practitioner concerned will be advised that <b>until they are restored to the appropriate register they cannot continue to undertake their professional</b></li> </ul>

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### **duties.**

- As such, they will be required to remain away from the workplace until their re-registration has been confirmed. To facilitate this, the individual may take up to 5 days Annual leave, paid at the band at which it was previously accrued.
- In situations where the registrant does not have any remaining Annual Leave, this will be taken as unpaid leave.
- Where this is not resolved in the given timescales unpaid leave will need to be taken unless extenuating circumstances can be proved.

This will support the individual to ensure they are able to be compliant with registration requirements.

If registration is not renewed within the given timescales, this will be investigated under the UHB Disciplinary Policy and could lead to disciplinary action in relation to all those individuals concerned. It is worth noting that the Disciplinary Policy states that failure to maintain registration with relevant mandatory professional body is categorised as Serious Misconduct.

Any issues around lapsed Registration, including the individual's culpability, will be fully investigated by the appropriate manager concerned to ensure that robust systems are in place. Risk assessments will also be carried out into clinical practice.

In circumstances where lapsed registration has occurred due to the failure of the statutory regulatory body the manager will clarify the position with the professional body concerned.

The subsequent return to work of the member of staff and/or the resumption of pay will be subject to the availability of confirmation of re-registration. As soon as re-registration can be confirmed, whether or not the person is immediately returned to duty, their pay should be reinstated where they have taken unpaid leave.

The relevant manager or nominee will confirm re-registration via the appropriate registration service either online, by telephone or in writing.

## **4.2 PROFESSIONAL UPDATING**

In the circumstances where the lapse of registration requires an extended period of professional updating, the individual will be paid at the relevant pay band (bottom point of scale) of an unregistered Health Care Support Worker in the area concerned for the complete period of updating.



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5	<b>REPORTING</b>
	In all cases of lapsed registration, a full report of the circumstances and action taken should be submitted to the Divisional HR Manager and the appropriate Divisional Director (or named representative).
6	<b>NOTIFICATION TO REGISTERING BODIES OF BREACHES OF PROFESSIONAL CODES OF CONDUCT</b>
	In circumstances where an individual, registered with a professional registering body, is proven to have breached their relevant professional code of conduct, the UHB will follow the relevant professional registering body's mechanism for notification in such circumstances.
7	<b>CHANGES TO THE REGISTER</b>
	The UHB is advised by the Welsh Government, via Alert Letters, of any changes to professional registers (including removals and suspensions) on an ongoing basis.

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## Appendix A

### Registration Bodies

#### 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 Foundation Programme Year 1 posts within hospital settings.

**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)

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## **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)

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## 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:

Radiographers	28 February
Physiotherapists	30 April
Art Therapists (including Art, Music & Drama)	31 May
Practitioner Psychologists	31 May
Dietitians	30 June
Chiropodists/Podiatrists	31 July
Hearing Aid Dispensers	31 July
Orthoptists	31 August
Paramedics	31 August
Clinical Scientists	30 September
Prosthetists and Orthotists	30 September
Speech and Language Therapists	30 September
Occupational Therapists	31 October
Biomedical Scientists	30 November
Operating Department Practitioners	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 S11 4BU

Telephone Number: 0207 582 0866 / 0845 3004 472

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

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## **General Pharmaceutical Council (GPhC)**

All Pharmacists and Pharmacy Technicians must be registered with the GPhC (formerly the Royal Pharmaceutical Society of Great Britain) and registrations are renewable annually.

Address for Correspondence:

General Pharmaceutical Council (GPhC)  
1 Lambeth High Street  
London SE1 7JN

Telephone Number: 020 3365 3400

Website: [www.pharmacyregulation.org/register](http://www.pharmacyregulation.org/register)

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

The GDC holds two registers that provide registration information on all dental care professionals:

- The Dentists Register, and
- The Dental Care Professionals Register which includes Dental Hygienists, Dental Therapists, Orthodontic Therapists, Clinical Dental Technicians, Dental Nurses and Dental Technicians

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)

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## **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)