



Professional Registrations Policy

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DOCUMENT CHANGE HISTORY

Initiated by	Date	Author (s)
		HR
Version	Date	Comments (i.e., viewed, or reviewed, amended approved by person or committee)
V1.2	25 May 2011	Review for NHSLA at HR Policy Group
V1.3	3 June 2011	Sent to SPF for approval
V2.0	20 June 2011	Approved at EMT
V2.1	3 August 2011	Minor revisions to section 6 and 7 for NHSLA. Agreed by SPF co-chairs. Notified to SPF 5 August 2011.

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V3.0	2 August 2013	SPF extended review date to September 2013
V3.1	November 2013	Full Review
V3.2	4 December 2013	Minor revisions agreed by SPF co-chairs. Notified to SPF 6 December 2013
V4.0	6 December 2013	SPF Approved
V4.1	3 July 2020	Review by HR Policy Sub-Group
V4.2	15 th September 2020	Policy sent to Union Regional meeting
V4.3	16 November 2020	Policy sent to Heads of Ops
V4.4	8 December 2020	Policy sent to Professional Standards Group,
V4.5	17 January 2022	Resubmitted to Trust Wide Professional Standards Group, approved with changes to section 10.4
V5.0	24 January 2022	Approved by Compliance and Risk Group

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Document Reference	POL115
Recommended at Date	Directorate: HR NHSLA – Relevant to Standard/Criterion 1.1.9
Approved at Date	Professional Standards Group 23 March 2021
Valid Until Date	CRG 24 January 2022
Equality Analysis	May 2024
Linked procedural documents	26 January 2021
Dissemination requirements	Recruitment and Selection Policy Variations in Clinical Practice and Clinical Competence Policy Managing the Use of Agency Workers Policy HR Services Procedure, Employment Checks, HRS001, and Disciplinary Policy (Managing Conduct and Performance)
Part of Trust’s publication scheme	All Trust employees by intranet

The East of England Ambulance Service NHS Trust has made every effort to ensure this policy does not have the effect of unlawful discrimination on the grounds of the protected characteristics of: age, disability, gender reassignment, race, religion/belief, gender, sexual orientation, marriage/civil partnership, pregnancy/maternity. The Trust will not tolerate unfair discrimination on the basis of spent criminal convictions, Trade Union membership or non-membership. In addition, the Trust will have due regard to advancing equality of opportunity

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between people from different groups and foster good relations between people from different groups. This policy applies to all individuals working at all levels and grades for the Trust, including senior managers, officers, directors, non-executive directors, employees (whether permanent, fixed-term or temporary), consultants, governors, trainees, seconded staff, homeworkers, volunteers, interns, agents, sponsors, or any other person associated with the Trust.

All Trust policies can be provided in alternative formats.

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1. Policy Statement

- 1.1 This procedure aims to ensure that all persons being appointed or holding positions which require professional or registration in the Trust are appropriately registered.

2. Scope

- 2.1 This procedure applies to permanent and voluntary staff as well as persons undertaking work on a casual/bank or contract basis.

- 2.2 Examples of roles which require professional or registration in the Trust include:

- Registered Paramedics (Health & Care Professions Council);
- Doctors (General Medical Council); and,
- Nurses (Nursing and Midwifery Council).
- Non-clinical roles (CIPD and CIMA & ACCA)

3. Access to the Policy

- 3.1 This procedure is intended for use by the Human Resources Department, however all employees are entitled to access this procedure which is located in the HR Policies and Procedures Folders and/or on the Trust's Intranet. However, if you require this procedure in any other format please seek guidance from the Human Resources Department, your line management or trade union representative.

4. Roles and Responsibilities

- 4.1 The Human Resources Department is responsible for keeping the provisions within this procedural guidance in line with best practice people management principles and NHS guidelines.

- 4.2 Managers, HR staff and trade union representatives are responsible for providing advice and guidance to employees and external applicants on the application of this procedure.

- 4.3 Management and trade union representatives are responsible for bringing any mutually beneficial improvements to this procedure to the attention of the Trust.
- 4.4 The Human Resources Department is responsible for:
- Ensuring compliance with the NHS Employment Check Standards on initial appointment;
 - completing documented random monthly audit checks on current employees who are required to hold a valid professional registration;
 - ensure that the correct procedure is followed for employees whose registration has lapsed, altered, had sanctions applied or been withdrawn (this list is not exhaustive);
 - ensuring the entry and maintenance of the electronic data systems (ESR).
- 4.5 Line managers are responsible for:
- liaising with the Human Resources Department, to put in place remedial actions to ensure that the individual does not operate in a capacity for which they are not eligible to do so as a result of their non-registration;
 - Ensuring that the processes contained within this Procedure are adhered to.
- 4.6 All persons undertaking, or applying for, posts within the Trust which require professional or state registration are responsible for ensuring that they hold the necessary registration. Any lapses in registration are the sole responsibility of the post holder.
- 4.7 All persons undertaking, or applying for, posts within the Trust which require professional or state registration are responsible for providing such information and documentation as is necessary to confirm their necessary registration status.

5. Recording of Registration Information

- 5.1 Documentary evidence of registrations will be retained by the Human Resources Department.

Details of registrations will also be recorded on the Trust's Electronic Staff Records (ESR) and Global Resourcing Solutions (GRS) systems. These electronic records will include details of the individual's registration (or pin) number and date of expiry.

6. Pre-employment Checks

- 6.1 Pre-employment checks apply equally to both external and internal applicants for posts in the Trust as detailed within the HR Services Procedure, Employment Checks, HRS001.

- 6.2 No person can start working with patients in a post which requires registration until valid identification and current registration has been checked directly with the relevant regulatory body.

- 6.3 As outlined in the Trust's Recruitment and Selection Policy, Managing the Use of Agency Workers Policy and HR Services Procedure, Employment Checks, HRS001, all permanent, fixed term, voluntary and casual/bank appointments in the Trust (including those carried out by all external agencies) are subject to receipt of:

- Proof of membership of any professional bodies applicable to the post.

- 6.4 Responsibility for ensuring that the above check is completed rests with the Human Resources Department. A 'recruitment tracker' is utilised to aid adherence to the Trust's recruitment check requirements for all appointments and a signed off copy is placed on an individual's file when all the checks are met.

- 6.5 In all cases, the Human Resources Department will ensure checks are made directly with the relevant professional body, in accordance with their recommendations, in respect of all appointments in the Trust. Furthermore, evidence of the relevant professional or state registration will be retained by the Human Resources Department and recorded on ESR and GRS as per Section 5 above.
- 6.6 In instances where the applicant fails to satisfy the checking requirements, the Human Resources Department will advise the recruiting manager(s), and steps will be taken to withdraw the offer of employment or cease employment as appropriate.
- 6.7 See section 9 for the website links for relevant registering bodies.

7. Checking Process for Current Staff, Volunteers and Casual Workers/Bank

- 7.1 It is ultimately the responsibility of the individual themselves to ensure that they are appropriately registered at all times, the following registration checking process will be undertaken by the HR Department in accordance with the renewal criteria of each registered body (section 9 below), to support this requirement:

7.2 Step One

Confirmation of registration will be validated on the appropriate professional registrations website.

Step Two

Monthly report run through ESR to identify registrations due to expire in the next 60 days.

Step Three

For any persons whose registrations are due to expire, the Trust will remind them either by a standard letter or via an article using the Trust's communication network.

- Registered Paramedics (Health & Care Professions Council) - on a two yearly basis on 31st August;
- Doctors (General Medical Council) – as at the identified expiry date;
- Nurses (Nursing and Midwifery Council) – as at the identified expiry date.

Step Four

Prior to the expiry of their registration, the Human Resources Department will check the relevant professional registration website (as outlined in Section 9) to confirm that the employee has renewed their registration. On occasions, employees may be asked to provide a copy of their registration certificate to the Human Resources Department. This should be done in a timely manner.

Step Five

The revised registration information will then be entered onto ESR and GRS and a copy of the registration information will be retained on the individuals personnel file (where applicable).

- 7.3 The Human Resources Department will carry out a monthly random audit check of registrations, as set out within the HR Services Procedure, HCPC Registration Audit Checks, HRS004 and Professional Registrations Audit Check, HRS005.

8. Late Provision of Documentary Evidence

- 8.1 In exceptional circumstances (i.e. only if the employee has applied for the renewal in good time, but has not received it back due to a delay with the registering body), the Trust may give permission to allow the evidence of renewal to be forwarded to the Trust up to a month after the expiry date. In such situations, the Human Resources Department will check directly with the relevant professional body, in accordance with their recommendations, to ensure that the individual is appropriately registered.

9. Verification of Registration

9.1 Registered Paramedics

For Registered paramedics the registrant name needs to be checked against the Health & Care Professions Council Paramedic Register. Checks can be made by specifying the Profession as 'paramedic' and entering the registrant's surname at:

<http://www.hcpc-uk.org/landing/?id=4>

If the individual is registered then their details will be listed on the screen. If the individuals name does not appear on the online register then they are NOT registered and therefore cannot practice.

9.2 Registered Nurses

For Registered Nurses and Midwives the registrant names need to be checked against the Nursing and Midwifery Council Register. Checks can be made by specifying combination of PIN number, first name/s and surname at:

<http://www.nmc-uk.org/Search-the-register>

If you do not have enough information on the person, asterisks can be used to produce a more accurate search. The asterisks should be used either after the first name(s) and/or the surname.

If the individual is registered then their details will be listed on the screen. If the individuals name does not appear on the online register, they are NOT registered and therefore cannot practice.

9.3 Doctors

For Doctors, the registrant name(s) need to be checked against the General Medical Council. This can be found by specifying a combination of GMC reference number, first name(s) and surname at:

<http://www.gmc-uk.org/register/search/index.asp#>

If the individual is registered then their details, and their “licence to practice” will be listed on the screen together with details of their year of registration. If the individuals name does not appear on the online register then you will need to phone the GMC registration line to confirm whether the Doctor is registered. If the GMC confirm that the Doctor is not registered with them they cannot practice.

10. Failure to Maintain Registration – Employees

- 10.1 Failure to maintain the required registration is a serious matter which places the employees continued employment in that role at risk.
- 10.2 If the employee has not registered within the required time frame, the Human Resources Department will write to them reminding them of the need to re-register in order to continue to practice and advise their line manager accordingly.
- 10.3 It is the responsibility of the line manager in liaison with the Human Resources Department, to put in place remedial actions to ensure that the individual does not operate in a capacity for which they are not eligible to do so as a result of their non-registration.
- 10.4 If after the reminder from the Human Resources Department, the member of staff is still unable to demonstrate registration, the Human Resources Department will liaise with the line manager with a view to temporarily moving the individual into an alternative role with the associated pay relating to that post as a short term interim measure to provide the employee with a period of time in which to address their non-registration. This period should not normally be for more than 4 weeks.

10.5 Any continued failure to retain registration after the above-mentioned concessionary period, will be actionable under the Trust’s Disciplinary Policy (Managing Conduct and Performance) and could result in dismissal.

11. Failure to Maintain Registration – Volunteers and Bank/Casual Workers

11.1 Failure to maintain the required registration is a serious matter. Volunteers and bank/casual workers will not be permitted to undertake any work/activities with the Trust unless appropriately registered.

11.2 If a volunteer or bank/casual worker has not registered within the required time frame, the Human Resources Services Team will write to them and advise them that they will not be permitted to practice until they meet the registration requirements for the post.

12. Monitoring

12.1 On a monthly basis, the HR Services Team will make random checks of persons in positions requiring registration to ensure that their registration is current and that the Trust is in possession of the required documentary evidence or registration and that this information is recorded on ESR and GRS.

12.2 Monitoring of the above processes will be undertaken periodically to ensure that practices remain ‘fit for purpose’ and that registrations are renewed in a timely manner. The evidence of this will be kept by the Human Resources Department. Please see appendix A below.

13. Further Information

Further advice or information is available from:

- The Human Resources Department

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- Health & Care Professions Council - 0300 500 6184
- www.hcpc-uk.org
- General Medical Council - 0161 923 6602
- www.gmc-uk.org
- Nursing and Midwifery Council - 020 7637 7181
- www.nmc-uk.org

14. Procedure Review

This procedure will be reviewed on a three yearly basis or amended in the light of new NHS guidance or requirements.

Appendix A – Monitoring Table

What	Who	How	Frequency	Evidence	Reporting arrangements	Acting on recommendations	Change in practice and lessons to be shared
a. Duties	Human Resources Department, Managers, Staffside representatives, employees	Monthly audits undertaken within Workforce Directorate	Monthly auditing of random sample of Workforce Directorate Recruitment Checklists, or more regularly depending on the recruitment campaign	Audit workbook, audit pro forma, ESR records	HR Services Manager and the Deputy Director of Workforce Resources, email audit trails	Escalation to Head of HR	HR Local Operational team meetings and HR managers meetings

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b. Types of check required	HR Services	NHS Employers Employment Check Standards	Random checks on a monthly basis of 10 employees who are required to have registration, checks for each relevant applicant	Recruitment checklist, audit workbook, audit pro forma, ESR records	Head of HR and the Deputy Director of Workforce, email audit trails	Escalation to Head of HR	HR Local Operational team meetings and HR managers meetings
c. Checking Procedures	Workforce Directorate	HPC Registration Audit Check (HRS004) Professional Registration Check (HRS005)	Random checks on monthly basis of 10 employees who are required to have registration, checks for each	Audit workbook, audit pro forma, ESR records	Head of HR and the Deputy Director of Workforce, email audit trails	Escalation to Head of HR	HR Local Operational team meetings and HR managers meetings

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			relevant applicant				
d. Process for following up those who fail to satisfy the checking arrangements	HR Services	HPC Registration Audit Check (HRS004) Professional Registration Check (HRS005), Recruitment Checklist	At least monthly	Recruitment checklist, audit workbook, audit pro forma, ESR records	Head of HR and the Deputy Director of Workforce, email audit trails	Escalation to Head of HR	HR Local Operational team meetings and HR managers meetings
e. Process for monitoring/receiving assurance that checks are being carried out by all external agencies used by the	Line Manager	Appendix 1 of the Managing the use of Agency Workers Policy	By appointment	Appendix 1 of the Managing the use of Agency Workers Policy	Head of HR Procurement and the Deputy Director of Workforce, email audit trails	Escalation to Head of HR /Head of Procurement	HR Local Operational team meetings and HR managers meetings

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Trust in respect of all temporary and voluntary staff							
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Appendix B

Returning to Practice

- 1.0 The following requirements are required for staff who are returning to practice at EEAST
 - 1.1 If you have been away from practice from 0 to 2 years, you do not need to formerly update your skills, unless you cannot practice at the competency level required of that role.
 - 1.2 If you have been away from practice for 2 to 5 years you will be required to undertake 30 days of updating / development to return to practice.
 - 1.3 If you have been away from practice for more than 5 years, you will need to undertake 60 of updating / development to return to practice.
 - 1.4 Update days are based on 7 hours of updating.
- 2.0 For registrants, the requirements of the registering body will also need to be met and the individual will need to successfully be approved to practice with that body demonstrating you can meet the standards of practice of the regulator of that profession for registrants (after completion of the update days).
- 3.0 Updating should be a combination of the following aspects
 - 3.1 Supervised practice under the supervision of a substantively and equitably / senior qualified individual of the person returning to practice (at least 50%)
 - 3.2 Private study and updating
 - 3.3 Formal study and updating

Appendix C - Equality Impact Assessment



EIA Cover Sheet															
Name of process/policy	Professional Registrations Policy														
Is the process new or existing? If existing, state policy reference number	Version 4														
Person responsible for process/policy	Corporate Records Manager														
Directorate and department/section	HR														
Name of assessment lead or EIA assessment team members	EqIA panel members														
Has consultation taken place? Was consultation internal or external? (please state below):	INTERNAL CONSULTATION This policy has been written in partnership by management and staff side, and in accordance with current employment legislation.														
The assessment is being made on:	<table border="1"> <tbody> <tr> <td>Guidelines</td> <td></td> </tr> <tr> <td>Written policy involving staff and patients</td> <td>x</td> </tr> <tr> <td>Strategy</td> <td></td> </tr> <tr> <td>Changes in practice</td> <td></td> </tr> <tr> <td>Department changes</td> <td></td> </tr> <tr> <td>Project plan</td> <td></td> </tr> <tr> <td>Action plan</td> <td></td> </tr> </tbody> </table>	Guidelines		Written policy involving staff and patients	x	Strategy		Changes in practice		Department changes		Project plan		Action plan	
Guidelines															
Written policy involving staff and patients	x														
Strategy															
Changes in practice															
Department changes															
Project plan															
Action plan															

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	<p>Other (please state)</p> <p>Training programme.</p>
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Equality Analysis																							
<p>What is the aim of the policy/procedure/practice/event?</p> <p>This procedure aims to ensure that all persons being appointed or holding positions which require professional or registration in the Trust are appropriately registered.</p> <p>This procedure applies to permanent and voluntary staff as well as persons undertaking work on a casual/bank or contract basis.</p> <p>Examples of roles which require professional or registration in the Trust include:</p> <ul style="list-style-type: none"> • Registered Paramedics (Health & Care Professions Council); • Doctors (General Medical Council); and, • Nurses (Nursing and Midwifery Council). • Non-clinical roles (CIPD and CIMA & ACCA) 																							
<p>Who does the policy/procedure/practice/event impact on?</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">Race</td> <td style="width: 5%; text-align: center;">×</td> <td style="width: 25%;">Religion/belief</td> <td style="width: 5%; text-align: center;">×</td> <td style="width: 30%;">Marriage/Civil Partnership</td> <td style="width: 5%; text-align: center;">×</td> </tr> <tr> <td>Sex</td> <td style="text-align: center;">×</td> <td>Disability</td> <td style="text-align: center;">×</td> <td>Sexual orientation</td> <td style="text-align: center;">×</td> </tr> <tr> <td>Age</td> <td style="text-align: center;">×</td> <td>Gender re-assignment</td> <td style="text-align: center;">×</td> <td>Pregnancy/maternity</td> <td style="text-align: center;">×</td> </tr> </table>						Race	×	Religion/belief	×	Marriage/Civil Partnership	×	Sex	×	Disability	×	Sexual orientation	×	Age	×	Gender re-assignment	×	Pregnancy/maternity	×
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Sex	×	Disability	×	Sexual orientation	×																		
Age	×	Gender re-assignment	×	Pregnancy/maternity	×																		

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<p>Who is responsible for monitoring the policy/procedure/practice/event?</p> <p>Corporate Records Manager/HR</p>																			
<p>What information is currently available on the impact of this policy/procedure/practice/event?</p> <p>No negative impact has been recorded.</p>																			
<p>Do you need more guidance before you can make an assessment about this policy/procedure/ practice/event? No</p>																			
<p>Do you have any examples that show that this policy/procedure/practice/event is having a positive impact on any of the following protected characteristics? Yes. If yes please provide evidence/examples:</p> <p>Please provide evidence:</p> <table border="0"> <tr> <td>Race</td> <td>×</td> <td>Religion/belief</td> <td>×</td> <td>Marriage/Civil Partnership</td> <td>×</td> </tr> <tr> <td>Sex</td> <td>×</td> <td>Disability</td> <td>×</td> <td>Sexual orientation</td> <td>×</td> </tr> <tr> <td>Age</td> <td>×</td> <td>Gender re-assignment</td> <td>×</td> <td>Pregnancy/maternity</td> <td>×</td> </tr> </table> <p>The policy links into:</p> <ul style="list-style-type: none"> ▪ Recruitment and Selection Policy ▪ Variations in Clinical Practice and Clinical Competence Policy ▪ Managing the Use of Agency Workers Policy ▪ HR Services Procedure, Employment Checks, HRS001, and ▪ Disciplinary Policy (Managing Conduct and Performance) 		Race	×	Religion/belief	×	Marriage/Civil Partnership	×	Sex	×	Disability	×	Sexual orientation	×	Age	×	Gender re-assignment	×	Pregnancy/maternity	×
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Sex	×	Disability	×	Sexual orientation	×														
Age	×	Gender re-assignment	×	Pregnancy/maternity	×														
<p>Are there any concerns that this policy/procedure/practice/event could have a negative impact on any of the following characteristics? Yes/No, if so please provide evidence/examples: NO.</p>																			

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Race	<input type="checkbox"/>	Religion/belief	<input type="checkbox"/>	Marriage/Civil Partnership	<input type="checkbox"/>
Sex	<input type="checkbox"/>	Disability	<input type="checkbox"/>	Sexual orientation	<input type="checkbox"/>
Age	<input type="checkbox"/>	Gender re-assignment	<input type="checkbox"/>	Pregnancy/maternity	<input type="checkbox"/>

Please provide evidence:

No concerns raised.

Action Plan/Plans - SMART

Specific

Measurable

Achievable

Relevant

Time Limited

Evaluation Monitoring Plan/how will this be monitored?

Who

How

By

Reported to