Medical Practitioners - Compliance with Registration Conditions

Summary  Requires Health Services to establish procedures to ensure compliance with medical registration conditions for all medical practitioners and provide quarterly reports to the DoH on compliance of medical practitioners with NSW Medical Board practice conditions.

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Author branch    Legal and Regulatory Services
Branch contact   9391 9654
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Policy manual    Not applicable
File number      08/2252
Previous reference N/A
Status           Review

Functional group Clinical/Patient Services - Governance and Service Delivery
Personnel/Workforce - Conditions of employment, Recruitment and selection

Applies to Area Health Services/Chief Executive Governed Statutory Health Corporation, Board Governed Statutory Health Corporations, Community Health Centres, NSW Ambulance Service, Ministry of Health, Public Hospitals

Distributed to Public Health System, Community Health Centres, NSW Ambulance Service, Ministry of Health, Public Hospitals

Audience Directors of Workforce and administration;Clinical Governance;medical practitioners

Secretary, NSW Health
This Policy Directive may be varied, withdrawn or replaced at any time. Compliance with this directive is mandatory for NSW Health and is a condition of subsidy for public health organisations.
IDENTIFICATION AND MANAGEMENT OF MEDICAL PRACTITIONERS IN COMPLIANCE WITH REGISTRATION CONDITIONS

POLICY STATEMENT
All medical practitioners engaged by NSW public health organisations, whether employed or contracted directly or indirectly, must practise in compliance with their registration and any conditions imposed on that registration by the NSW Medical Board.

To ensure this occurs, and to provide the users and those responsible for managing the health system with confidence that this is the case, Health Services must implement and periodically review procedures to verify that all such medical practitioners are practising in compliance with their registration and any relevant conditions imposed by the NSW Medical Board.

PURPOSE
1. To ensure that all doctors practising within the NSW public health system do so in compliance with their medical registration and any relevant conditions that may be imposed on that registration.
2. To provide direction to Health Services and personnel on requirements for the identification and management of doctors with conditions on their registration, and the review of those practices and systems.
3. To specify Health Service verification and reporting in relation to doctors with practice conditions on their registration.

ROLES AND RESPONSIBILITIES
Applicable to Area Health Service/Chief Executive Governed Statutory Health Corporations, Board Governed Statutory Health Corporations, Public Health System Support Division, Community Health Centres, NSW Ambulance Service, NSW Department of Health, Public Hospitals. Applicable to:
- All medical practitioners whether employed or directly or indirectly contracted by NSW Public Health Services
- All personnel with responsibility, either direct or by delegation, for the recruitment, appointment or supervision of medical practitioners within the NSW public health system

The Chief Executive is responsible for:
- Ensuring that the principles and requirements of this policy are applied, achieved and sustained;
- Ensuring that relevant health personnel are made aware of and understand the importance of the requirements and obligations created by this policy and are accountable for the ongoing adherence to the policy
- Verifying that the above policies and procedures are adhered to and do identify and manage doctors with registration conditions

The Director of Workforce is responsible for:
- Maintaining the health service’s ‘Register of Doctors with Practice Conditions’
- Ensuring that policies and procedures are in place within their Health Service to identify and manage doctors with practice conditions on their registration
- Ensuring that processes are in place for reviews to be undertaken of the identification and management of doctors with conditions and of the results of those processes

The Director of Clinical Governance /Director of Workforce is responsible for:
- Determine how and if clinical aspects of the practitioner’s duties will be maintained in light of these conditions on registration

The Medical Practitioner is responsible for:
- Notifying any changes to current conditions or where conditions are imposed by the NSW Medical Board
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IDENTIFICATION AND MANAGEMENT OF MEDICAL PRACTITIONERS IN COMPLIANCE WITH REGISTRATION CONDITIONS

This policy is mandatory for all Health Services in New South Wales

1. OVERVIEW

1.1 INTRODUCTION

Clients and staff of the NSW public health system have a right to expect that all medical practitioners working within the health system that are required to be registered with the NSW Medical Board (The Board) are so registered. Further to that expectation, where conditions are imposed on the medical practitioner’s registration by the Medical Board, their continued practice within the health system must be compliant with those conditions.

The purpose of this policy, and the procedures it indicates, is to ensure that:

1. Health Services have procedures in place to facilitate identification, monitoring and compliance with relevant medical registration conditions for any medical practitioner working within the NSW public health system.

2. Sets out processes for monitoring and quarterly reporting by Health Services to the Department of Health on all medical practitioners with practice conditions imposed on their registration by the NSW Medical Board.

Adherence to this policy should support the achievement of the organisational goal of providing safe, high quality health services, and minimise corporate and clinical governance risks that arise through non-compliance.

Definitions –

- **Health Services** – For the purposes of this policy directive, Health Services include area health services, statutory health corporations, as well as the Ambulance Service of NSW and Public Health System Support Division of the Health Administration Corporation (currently includes the Institute for Medical Education and Training, Health Support Services and Health Infrastructure).

- **Practitioner or medical practitioner** – For the purposes of this policy directive refers to medical practitioners who are registered or required to be registered under the Medical Practice Act 1992.

1.2 POLICY STATEMENT

All medical practitioners engaged by Health Services, whether employed or directly or indirectly contracted, must practise in compliance with their registration and any conditions imposed on that registration.
To ensure this occurs, and to provide the users and those responsible for managing the health system with confidence that this is the case, Health Services must implement processes to:

- identify all medical practitioners with conditions
- ensure all medical practitioners registered in New South Wales are uniquely identified by their registration number called ‘MPO number’ allocated by the NSW Medical Board. This number must be recorded as part of the recruitment process, used for monitoring of any doctor with conditions and recorded in all Human Resource and payroll systems
- manage the practice of those medical practitioners to ensure it complies with the relevant conditions
- periodically review the identification and management processes to ensure all such medical practitioners are identified and appropriately managed, and
- verify that all such medical practitioners are identified and managed in accordance with registration conditions, and that those processes reviewed are accurate and effective.

1.3 SCOPE

This policy directive relates to all medical practitioners employed or otherwise engaged by the applicable services, and will include interns, resident medical officers, registrars, staff specialists, clinical academics, career medical officers, unpaid positions (honorary), agency locums, career medical officers/hospitalists and visiting medical practitioners (visiting medical officers or honorary medical officers).

Where there are health issues or concerns with a doctor, it may result in the imposition of health conditions on that doctor – for example, that the doctor is required to access specific health services. Whilst the Board publishes the existence of health conditions on its website, it does not publish the details of any such conditions. The Board’s approach is generally that the details of health conditions imposed on a practitioner is a private matter, and that it is the Board’s responsibility to ensure compliance by a practitioner of such conditions.

The existence of health issues or concerns about a doctor may also result in conditions being imposed that restrict or impact on the doctor’s practice of medicine (called registration or practice conditions). The details of registration or practice conditions on a practitioner are published on the Board’s website, and Health Services are required to monitor compliance with such conditions by a practitioner in the course of their employment or appointment with the Health Service in accordance with this policy.

2 IDENTIFICATION OF PRACTITIONERS WITH CONDITIONS

2.1 PURPOSE OF IDENTIFYING PRACTITIONERS WITH CONDITIONS

Health Services and the NSW Medical Board endeavour to ensure that all medical practitioners are qualified, fit and capable to practise to a satisfactory standard. At times concerns may arise regarding a practitioner’s conduct, performance or behaviour. Therefore, the Medical Practice Act (NSW) 1992 permits conditions to be
imposed on a registered medical practitioner's registration. Conditions are imposed to protect the public and/or the doctor. Those conditions may be protective, educative or prohibitive in nature.

Conditions may relate to the registration category of the medical practitioner. They may be imposed by the NSW Medical Board (including at the time of the doctor’s registration, or pursuant to the Board’s “emergency” powers to protect the public), with the consent of the practitioner, or by a disciplinary or impairment body such as the Medical Tribunal, a Professional Standards Committee, an Impaired Registrants Panel, or a Performance Review Panel.

For the purposes of this policy, the source of the conditions is irrelevant. The matter which must be considered in administering the policy is whether the conditions relate to the practitioner’s employment or engagement within the Health Service. The Board characterises conditions on its website as practice conditions, registration conditions and health conditions, regardless of the source of those conditions. The Health Service need only be concerned with practice and registration Conditions which relate to the doctor’s practice in the Service, or health conditions about which it has been specifically advised.

Where a body such as the Medical Tribunal, an Impaired Registrants Panel or the Board, considers that a health condition should be drawn to the attention of an employer or other person, it will specifically order or authorise that that be done.

Practitioners are legally obliged to comply with the terms of any such conditions and where they work within the public health system this may require a co-ordinated approach by the practitioner and the Health Service to ensure the practitioner can appropriately continue to undertake their duties in line with those conditions.

The identification of practitioners with practice or registration conditions will help to ensure:

- appropriate levels of service can be maintained
- clients/patients are protected from practitioners with performance or behaviour issues
- the Health Service manages its risks appropriately
- the practitioner is appropriately managed and supported
- there is compliance with the conditions.

The NSW Medical Board is the authority with a statutory responsibility for maintaining records of all conditions placed on the registration of medical practitioners in NSW, and for monitoring compliance with those conditions. The Board is always to be considered the primary source of such information and all checks on medical registrations must be made directly with the Board, which publishes all conditions imposed on practitioners, as well as suspended and deregistered medical practitioners, on its website (http://www.nswmb.org.au).
2.2 **NOTIFICATION WITHIN THE HEALTH SERVICE TO THE CHIEF EXECUTIVE**

Where conditions are found to apply to a currently engaged medical practitioner, or a preferred applicant to be offered an appointment, the medical practitioner, their appointment status and the conditions are to be notified to the:

- Medical and Dental Appointments Advisory Committee (MDAAC) and Credentials SubCommittee
- Director of Workforce for inclusion in the Health Service’s *Register of Doctors with Practice Conditions* where practice conditions are identified
- Area Health Service Director of Clinical Governance/Director Workforce to determine how and if clinical aspects of the practitioner’s duties will be maintained in light of these conditions on registration
- Chief Executive, Health Service

The Director of Workforce is responsible for ensuring that a ‘Register of Doctors with Practice Conditions’ is maintained by the Health Service. Further details of the minimum content and management of this Register are outlined at Section 3 Management of Doctors With Conditions.

There are four main ways in which a Health Service will become aware that a practitioner has conditions on their practice. These are:

- Notification from The Board
- Notification by the Practitioner
- During the recruitment process
- Health service review of the NSW Medical Board On-Line listing of registered practitioners.

2.3 **NOTIFICATION FROM THE NSW MEDICAL BOARD**

When conditions are applied or altered the Board is obliged by section 191B of the Medical Practice Act to notify current employers or health services where the practitioner is accredited. The Board may also notify subsequent employers or accrediting entities where the Board considers it appropriate to do so.

2.4 **NOTIFICATION BY THE PRACTITIONER**

A Health Service may be notified directly by a medical practitioner that the practitioner is subject to conditions on his or her registration. A practitioner who acts inconsistently with any conditions on his or her registration will be guilty of unsatisfactory professional conduct, or in serious cases of professional misconduct.

Practitioners must notify of any changes to current conditions, or where conditions are imposed. This obligation is consistent with the requirement contained in the NSW Health Code of Conduct for reporting of any situations that may affect clinical or professional standards.
2.5 DURING RECRUITMENT PROCESSES

NSW Health recruitment policies require the registration of all medical practitioners to be engaged, either as employees or as direct or indirect contractors (e.g. through a credentialing and privileging process) to be verified before any offer is made, and certainly before duties are commenced. This must include (amongst a range of checks) checking the status of the applicant’s registration on the New South Wales Medical Board’s Online Register. Records of the recruitment process should include indication that the applicant’s registration was checked with the NSW Medical Board, and the results of that check, i.e that registration is current and valid and whether or not any conditions have been applied to the practitioner’s registration.

The existence of conditions on a medical practitioner’s registration does not necessarily preclude engagement of that practitioner by a Health Service. However, where conditions do exist, consideration must be given to the practitioner’s ability to fulfil the terms of engagement and to undertake the duties required of the position, and the ability of the Health Service to be able to accommodate the conditions imposed on the medical practitioner. Where a medical practitioner is going to rotate across facilities, each individual facility needs to be aware of the medical practitioner’s conditions and the facility’s capacity to accommodate the conditions imposed on that medical practitioner’s registration.

Further information about the assessment and management of medical practitioners with practice conditions is at Section 3 Management of Doctors with Practice Conditions.

Ref:  PD2006_059 Recruitment and Selection Policy and Business Processes – NSW Health Service
      PD2005_496 – Visiting Practitioner Appointments
      PD2005_500 – Staff Specialist Appointments

2.6 REVIEW OF THE REGISTER OF MEDICAL PRACTITIONERS

Health Services must check the registration status of all their employed or contracted medical practitioners (including locums and doctors engaged through employment agencies) with the NSW Medical Board’s On-line Register on at least an annual basis (website www.nswmb.org.au).

Health Services must also however check the registration status of all their employed or contracted medical practitioners who have practice conditions placed on their registration by the NSW Medical Board each quarter and report compliance to the Department of Health using the form shown at Section 6 Implementation Tools called Health Service Verification DOH Reporting Proforma.

The Board’s On-line Register provides a number of mechanisms to assist the quick and thorough review of a service’s practitioners’ registration status. Further information on these processes is found in the Appendix 5.2 - Procedures for Searching the NSW Medical Board Online Register.
3 MANAGEMENT OF DOCTORS WITH CONDITIONS

3.1 PURPOSE OF MONITORING DOCTORS WITH PRACTICE CONDITIONS

Health Services need to ensure that at all times the medical practitioners they engage practise according to the terms of their registration. This forms part of the Health Service’s general obligation to provide appropriate and quality services, and is part of their human resource management responsibilities. Failure to do so and instances of a practitioner practising contrary to their registration may put clients/patients at risk and place the Health Service and the practitioner at risk of legal action.

Where it has been identified that a medical practitioner engaged by the Health Service has practice conditions, active management is required and an assessment of their ability to satisfactorily perform their duties in light of the conditions must be undertaken. The presence of conditions on a practitioner’s registration may:

- Have no impact on their duties or continued engagement
- Require changes or restrictions to their duties or engagement
- Necessitate the cessation of their duties or engagement

3.2 MANAGING A MEDICAL PRACTITIONER WITH PRACTICE CONDITIONS

3.2.1 Management and Clinical Supervision Plan

The presence of practice conditions will require the development of a local ‘Management and Clinical Supervision Plan’ to ensure the practitioner undertakes duties in compliance with the conditions. The Plan should establish a system and timeframes for review of the Plan and the practitioner’s performance in relation to both the Plan and the conditions. The Plan should include at least:

- The name and designation of the practitioner
- The name and designation of their supervisor
- The NSW Medical Board registration and conditions
- Any restrictions or changes to their duties and/or appointment conditions
- Timeframes for the review of the practitioner’s performance in relation to both the conditions and the Management and Clinical Supervision Plan
- A statement, after the above review, of the practitioner’s compliance or not with the conditions and (altered) duties
- Other issues or actions arising.

A Management and Clinical Supervision Plan should be generated for practitioners already engaged by the Health Services and for any new practitioners with conditions when they commence.

On cessation of the conditions the Management and Clinical Supervision Plan should be finalised and the completed Plan securely and confidentially placed on or linked to that practitioner’s Human Resources personnel file.
The individual practitioner’s Management and Clinical Supervision Plan should be signed off by the practitioner, their supervisor and the Health Service’s designated compliance officer and a copy provided to each for their records.

### 3.2.2 Register of Doctors with Practice Conditions

In addition to an individual practitioner’s Management and Clinical Supervision Plan, the health service must maintain a central ‘Register of Doctors with Practice Conditions’. This Register will contain details of the Management and Clinical Supervision Plans for all practitioners that have practice conditions. Information to be included in the Register must identify the practitioner, their supervisor, conditions and changes to duties, review dates and confirmation of the practitioner’s compliance with the relevant practice conditions and duties.

When the individual practitioner’s Management and Clinical Supervision Plan in relation to their practice conditions has been finalised the Register should also be updated and the record for that practitioner completed.

Responsibility for maintenance of the Health Service’s Register resides with the Area Health Service Director, Workforce and the designated compliance officer who must report to the Director Workforce.


A sample ‘Register of Doctors with Practice Conditions’ is provided below at Section 6 Implementation Tools.

### 4 REVIEW AND REPORTING

#### 4.1 PURPOSE OF REVIEW AND REPORTING

As the potential implications of a medical practitioner not working in compliance with his/her registration and any attached conditions are significant, the identification and management of such practitioners should be periodically reviewed. This is to ensure the processes and intended outcomes are accurately and effectively achieved.

In addition to following the requirements for the identification and management of practitioners, Health Services should monitor that these processes are followed and outcomes attained. Where any practitioners are found to be either not registered or deregistered or suspended or not compliant with their conditions, the Health Service must promptly respond and report on issues of misconduct or potential liability to the appropriate authority. Health Services must verify:

- That the Health Service itself has met its obligations
- How non compliance occurred
- That the New South Wales Medical Board is notified of all reported breaches of conditions.
Such remedial action should address not only the circumstances specific to the practitioner, but where appropriate, those processes or failures to follow procedure that gave rise to the non compliance.

This policy directive also requires Health Services to report findings of their quarterly reviews to the NSW Department of Health. This report should verify that all doctors with practice conditions working in Health Services are compliant with their registration and any attached practice conditions.

4.2 HEALTH SERVICE REVIEW

As noted in Section 2 Identification of Practitioners with Conditions the Health Service’s Director Workforce must be notified of all medical practitioners engaged by the health service that have conditions. Management of the ‘Register of Doctors with Practice Conditions’ should be delegated to a designated compliance officer to ensure regular identification processes and required individual practitioner reviews are undertaken.

Health Services should undertake an annual review of all practitioners on the Health Service’s Register and quarterly reviews of all practitioners with practice conditions on their registration to ensure it is accurate and up to date. Such reviews would assist and could precede the Health Service’s quarterly verification reporting, and inform the remedial actions if a practitioner was found to be practising outside the terms of his/her registration.

Health Services are required to have their Health Service Audit team conduct periodic or rolling audits once procedures have been implemented and report findings to the Chief Executive.

4.3 VERIFICATION REPORTING TO THE DEPARTMENT OF HEALTH

Health Services are required to provide a quarterly report to the Department of Health that all medical practitioners with practice conditions on their registration are in compliance with their registration and that those practitioners are suitably managed.

Health Service reporting to the Department of Health includes:

- total number of doctors working in the Health Service
- number of practitioners with registration practice conditions
- details of any and how practitioners were non-compliant, and
- actions taken to address non-compliance.

The person responsible for preparing the report and Health Service Chief Executive are required to sign off on the report indicating that all relevant practitioners are compliant with their registration.

Health Services are required to report on a quarterly basis using the ‘Health Service Verification Reporting Form’ as show in Section 6 of this policy direction.
5 APPENDICES

5.1 REFERENCES

NSW Health Policy Directives

- PD2005_497 – Delineation of clinical privileges for visiting practitioners and staff specialists: Policy for Implementation
- PD2005_496 – Visiting Practitioner Appointments
- PD2006_059 – Recruitment and Selection Policy and Business Processes: NSW Health Service
- PD2005_500 – Staff Specialist Appointments
- PD2005_554 Privacy Management Plan – NSW Health
- PD2007_087 Medical Officers – Employment Arrangements in the NSW Public Health System
- PD2005_498 Visiting Practitioners – Performance review
- PD2008_060 Staff Specialist/Visiting Practitioner Appointments (incl. Clinical Academics) – Critical Actions Compliance Declaration
- PD2005_626 NSW Code of Conduct
- PD2006_007 Complaint or Concern about a Clinician – Principles of Action

Relevant Legislation

- Health Service Act (NSW) 1997
- Medical Practice Act (NSW) 1992
- Privacy and Personal Information Protection Act (NSW) 1998
- Health Records and Information Privacy Act (NSW) 2002

External Resources

- NSW Medical Board [www.nswmb.org.au](http://www.nswmb.org.au)
5.2 PROCEDURES FOR SEARCHING THE NSW MEDICAL BOARD ONLINE REGISTER

Accessing Information on the Registration Status of Doctors

Introduction

The following information explains how to access the registration status of doctors in New South Wales from the NSW Medical Board On-line Register.

The information can be obtained via the NSW Medical Board’s website http://www.nswmb.org.au.

The information can be retrieved in four (4) ways:

1. **Simple** search on a single MPO number, Surname and First Name
2. **Multiple** MPO Search and Excel file Export – for Multiple MPO searches only
3. Accessing a list of **Current Suspended Doctors**
4. Accessing a list of **Current De-registered Doctors**

1. **Simple Search**

- Select “Register of Medical Practitioners” from the menu circled in red.
- Enter the search criteria using either MPO number, Surname and/or First Name
- Names can be either partial or full e.g. smith or smi
- Click search to return results

- http://www.nswmb.org.au
- Home Page
- Register of Medical Practitioners

![Screen shot of NSW Medical Board website](image)

- Search for a specific doctor's details using the MPO number, Surname, and/or First Name.
- Choose the appropriate search criteria from the menu.
- Click on the search button to retrieve the results.

![Screen shot of search results](image)
Search Results Screen

- By clicking on the MPO number, more information on an individual doctor can be obtained.

Detailed Registration Screen

- The detailed registration screen contains only details that are relevant to that doctor's registration status.
- For example for doctors who are no longer registered there is no registration category or suburb information.
- Explanatory notes for certain fields can be found by clicking on the appropriate link.

2. Multiple MPO Search and Export to Excel

- **Enter up to 1,000 MPO Numbers separated by a space** (eg, 334110 211352 106696 353993). Click on the 'Search' icon to return results. (Please note that MPO Numbers can also be separated by a comma, however this reduces the system's capacity to deal with larger volumes of numbers.) [See example A]
Example A

- A list of MPO Numbers can also be copied from a table (eg, in Word) or spreadsheet (eg, in Excel) and pasted into the MPO Number search field. (This process automatically separates the numbers by a space. Please note the multiple pasted MPO numbers will not appear on screen.) **Click on the ‘Search’ icon to return results.**
  [See examples B1 and B2]

- Results will only be displayed for valid MPO numbers.

**EXAMPLE B1**
EXAMPLE B2

To export results directly to Excel spreadsheet, Click on "Download Excel Export". You may need to click allow file download from toolbar if blocked by Internet Explorer security.
The excel file created from the search can be opened, as shown here, or saved directly to your hard drive.

Please ensure to scroll to the right of the excel file to view all the information provided by the search, including the registration status details of each doctor.

3. Current Suspended Doctors

Clicking on **Current Suspended Doctors** from the home page menu, displays a list of doctors who are currently suspended, as indicated below.

The table shows the MPO number of the doctor, Surname, Given names, and the date of suspension in NSW.
4. Current De-registered Doctors

Clicking on **Current De-registered Doctors** from the home page menu, displays a list of doctors who are currently de-registered, as indicated below.

The table shows the MPO number of the doctor, Surname, and given names, date of current order and any preclusion period on their registration.

Clicking on any name in blue, allows you to access the Medical Tribunal of NSW reports on each doctor. These can be printed in the current screen or saved to a hard drive.
6 IMPLEMENTATION TOOLS

The following implementation tools are provided:

- **Sample ‘Register Of Doctors With Practice Conditions’**

- **Health Service Verification DOH Reporting Proforma** - single page for reporting to the Department of Health quarterly

- **Policy Directive - Self Assessment Checklist** - for the AHS implementation of this policy directive “Identification and Management of Medical Practitioners in Compliance with Registration Conditions”
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<th>Surname</th>
<th>First Name(s)</th>
<th>DoB</th>
<th>Specialty</th>
<th>NSW Medical Board Conditions and date of effect – start/finish</th>
<th>Have Practice conditions changed since last Report</th>
<th>Methods of Monitoring &amp; Supervisors Name</th>
<th>XXAHS Hospital (s)</th>
<th>Classification</th>
<th>Status</th>
<th>Employment Status</th>
<th>Dr Inform AHS of Conditions</th>
<th>AHS Aware of Conditions</th>
<th>Compli ance with Conditions</th>
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<tr>
<td>123456</td>
<td>XXXX</td>
<td>XXXX</td>
<td>16.9.08</td>
<td>ENT</td>
<td>1. Not to prescribe, possess, handle or administer Schedule 8 drugs, other than in a hospital setting, in strict accordance with the hospital's protocol for the handling of Schedule 8 drugs. Any future change in his Schedule 8 authority will be in accordance with the procedures detailed in the Health Program Participant's Handbook. 2. To advise the NSW Medical Board prior to changing the nature or place of practice. 3. To authorise the NSW Medical Board to notify his employer/s of any issues arising in relation to compliance with any of his conditions. <strong>Health Conditions:</strong> The doctor's registration is subject to conditions that relate to his/her personal health. These conditions are not publicly available due to privacy considerations. <strong>Period of Restriction:</strong> Not known</td>
<td>Answer Yes or No for each condition</td>
<td>Pharmacy and other key staff are aware of his conditions. Medical Superintendent discusses and monitors conditions with key staff on a weekly basis.</td>
<td>XXXX</td>
<td>Resident</td>
<td>Staff</td>
<td>Still Employed</td>
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</table>

In his Authorisation and Undertaking form dated 14.01.04 Dr declares that there are no conditions on his registration but he refers to correspondence from MB. Letter from MB dated xxx. AHS conducted audit (24.2.06) and requested a copy of Dr MB registration for file. Additional information provided by xxx hospital-copy of MB registration details including conditions. Yes

Last Reviewed: date
AREA HEALTH SERVICE VERIFICATION REPORTING FORM
MEDICAL PRACTITIONERS WITH PRACTICE CONDITIONS

QUARTERLY SUMMARY REPORT

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<th>May *</th>
<th>August *</th>
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<td>with their practice conditions</td>
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* This report due to Department of Health Friday of the 3rd week of reporting month

DETAILS OF NON-COMPLIANCE MANAGEMENT (for this reporting period)

<table>
<thead>
<tr>
<th>DR</th>
<th>Non-Compliance Reason</th>
<th>Notice to NSW Medical Board of Conditions Breach Y/N</th>
<th>Other Action by Health Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td>5</td>
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Insert additional rows if more non-compliant practitioners identified; Doctors names are not to be identified; AHS are to advise the reason if a doctor is non compliant eg. Local system failure, policy not adhered etc.

COMPLIANCE VERIFICATION

<table>
<thead>
<tr>
<th></th>
<th>FEBRUARY*</th>
<th>MAY *</th>
<th>AUGUST *</th>
<th>NOVEMBER*</th>
</tr>
</thead>
<tbody>
<tr>
<td>100% Compliance Verified</td>
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<tr>
<td>(following action)</td>
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Report completed by (name): __________________________________ Telephone contact: ________________

This Compliance Report authorised for submission by:

Chief Executive: __________________________________ Date: __________________

☑ Completed PDF report emailed to cgrm@doh.health.nsw.gov.au

Enquiries to: Director Corporate Governance and Risk Management, Department of Health (02) 9391 9477
SELF ASSESSMENT CHECKLIST

Requirement:                   Self Assessment: 

| In development | Partially Achieved | Achieved |

A. STRATEGIC FUNDAMENTALS

1. The Health Service has developed procedures and processes for the Health Service to manage identification and management of Medical Practitioners in Compliance with NSW Medical Board Registration Conditions

|   |   |   |

2. There are resources and support to action the Identification and Management of Medical Practitioners in Compliance with Registration Conditions policy directive and regular monitoring of progress by a compliance officer

|   |   |   |

B. INTEGRATION INTO NORMAL BUSINESS SYSTEMS

3. Responsibility and accountability for the documentation and management of monitoring doctors with registration conditions is clearly stated in position descriptions and incorporated into performance review for the AHS Director Workforce and HR Compliance Officer

|   |   |   |

4. The design, approval and implementation of procedures and processes to regularly monitor doctors with registration conditions is consistent with the state policy directive

|   |   |   |

C. ORGANISATIONAL IMPLEMENTATION

5. A Register of Doctors with Practice Conditions has been established

|   |   |   |

6. All doctors with conditions are check annually and all doctors with practice conditions are check and reported to DOH quarterly

|   |   |   |

7. Rolling audits are conducted for compliance with the state policy

|   |   |   |

8. There is a process for escalation and management of risks applicable to non-compliant doctors to the Director Workforce and Chief Executive

|   |   |   |

9. Processes for quarterly reporting to the Director-General, Department of Health on compliance of all medical practitioners with practice conditions in place

|   |   |   |