

Monitoring and Managing Health Practitioners' Compliance with Conditions on Registration

Summary This Policy Directive establishes processes for NSW Health organisations to facilitate the identification, monitoring and compliance of conditions on registration associated with health, performance and conduct for any practitioner working within the NSW public health system.

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Audience Workforce & Clinical Governance Directorates; Clinical Governance; Directors Clinical Governance; Clinical staff, All managers, Workforce, Clinical Governance, Professional standards units, Audit

MONITORING AND MANAGING HEALTH PRACTITIONERS' COMPLIANCE WITH CONDITIONS ON REGISTRATION

POLICY STATEMENT

NSW Health organisations are to have systems in place to identify, manage and monitor all registered health practitioners engaged by the organisation with undertakings or conditions placed on their registration.

In this Policy, a registered health practitioner includes employees, contractors, practitioners appointed to academic positions, Clinical Academics, and unpaid positions (honorary). It also includes locum or agency staff where the requirement for checking and monitoring of undertakings or conditions is not included in the service agreement with the agency/contractor.

SUMMARY OF POLICY REQUIREMENTS

Registered health practitioners within the NSW public health system are required to practise in compliance with any undertakings or conditions imposed on their registration and notify the Chief Executive or delegate in writing of any undertakings or conditions imposed, varied or removed.

The mandatory verification of registration, including identification of any conditions and/or undertakings must be completed prior to any registered health practitioner commencing duties within the organisation. This must include checking the status of the applicant's registration on the Australian Health Practitioner Regulation Agency (AHPRA) Online Register.

NSW Health organisations are to conduct annual checks of registered practitioners working in the NSW Health organisation, using the AHPRA Register of Practitioners.

NSW Health organisations must develop and implement individual management and clinical supervision plans for each practitioner with conditions and/or undertakings on their registration and ensure the practitioner undertakes duties in compliance with those conditions and/or undertakings.

Each NSW Health organisation is to establish and maintain a central register of practitioners with conditions and undertakings.

NSW Health organisations must have processes in place to report a breach of any condition and/or undertaking to the relevant Health Professional Council.

Where a health practitioner is non-compliant with any condition and/or undertaking placed on their registration, the NSW Health organisation must complete a risk assessment and take appropriate actions to address the risks.

REVISION HISTORY

Version	Approved by	Amendment notes
February-2022 (PD2022_003)	Deputy Secretary People, Culture & Governance,	Policy requirements extended to cover 16 registered health professions. Consolidates key information from GL2015_010
December 2008 (PD2008_071)	Director General	New policy

ATTACHMENTS

1. Monitoring and managing health practitioners' compliance on conditions with registration: Procedures.

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1 BACKGROUND

The community has a right to expect that safe and appropriate care is provided in the NSW Public Health System and that all registered health practitioners are fit to practise to a satisfactory standard. At times, concerns may arise regarding a practitioner's health, conduct and/or performance. To protect the public and/or the practitioner, the National Law contains provisions which permit the regulatory authorities to impose conditions on the registration of a health practitioner. The conditions imposed may be protective, educative or prohibitive in nature.

In NSW, conditions may be imposed or directed by a number of different adjudication bodies, including the relevant NSW Health Professional Council, Professional Standards Committee, Performance Review Panel, or Civil or Administrative Tribunal of NSW. In addition, where the practitioner has previously resided or practised interstate, the relevant interstate adjudication body, such as the National Board, may impose conditions.

In some cases, the adjudication bodies may seek and accept an undertaking from the practitioner to limit their practice in some way if it is necessary to protect the public. An undertaking is similar to a condition; an undertaking requires the practitioner to agree to do, or to not do something in relation to their practice of the profession.

Conditions and undertakings relating to a registered health practitioner are published on the register of practitioners which is maintained by the Australian Health Practitioner Regulation Agency and is available through its website (see: <https://www.ahpra.gov.au/>). While the details of health conditions are not published on the AHPRA Register of Practitioners, section 176BA of the National Law provides for the content and detail of health conditions to be provided to an employer to assist with the oversight and supervision of a practitioner with conditions related to health.

Practitioners are obliged to comply with the terms of all conditions and undertakings on their registration. When the practitioner is working within the public health system this may require a coordinated approach by the practitioner and the NSW Health organisation/s to ensure the practitioner can appropriately continue to undertake their duties in line with those conditions and/or undertakings; in some circumstances the organisation may consider assigning the practitioner to alternate duties.

A practitioner who does not comply with all conditions and/or undertakings on their registration may be guilty of unsatisfactory professional conduct or, in serious cases, of professional misconduct. The NSW Health Professional Councils can take immediate action against a practitioner as a result of a breach of conditions or an undertaking, including suspending the practitioner.

1.1 About this document

This document establishes processes to facilitate the identification, monitoring and compliance of conditions on registration associated with health, performance and conduct for any practitioner working within the NSW public health system.

The identification of practitioners with conditions and/or undertakings on their registration will help to ensure:

- The public is protected from practitioners with health, performance or conduct issues
- The NSW Health organisation manages its risks appropriately
- The practitioner is appropriately supported and managed
- Appropriate levels of service can be maintained, and
- There is compliance with the conditions/undertakings on registration.

This Policy does not refer to conditions associated with limited registration. Limited registration may be granted to practitioners who do not qualify for general or specialist registration, but who meet the eligibility and qualification requirements set out in section 65 – 70 of the National Law and any registration standards issued by the Board. The four sub-types of limited registration are:

- Limited registration for postgraduate training or supervised practice
- Limited registration for area of need
- Limited registration for teaching or research
- Limited registration in the public interest

The monitoring and management of practitioners with limited registration remains the responsibility of NSW Health organisations, but it is recognised that practitioners with limited registration are generally managed through terms of employment and established training and supervision programs.

1.2 Relevant Legislation

Health Services Act 1997

Health Practitioner Regulation National Law (NSW) No 86a

Privacy and Personal Information Protection Act 1998

Health Records and Information Privacy Act 2002

1.3 Related NSW Health Policy Directives

NSW Health Policy Directives / Manuals	
(PD2017_040)	Recruitment and Selection of Staff of the NSW Health Service
(PD2019_027)	Employment Arrangements for Medical Officers in the NSW Public Health Service
(PD2011_010)	Visiting Medical Officer (VMO) – Performance Review Arrangements
(PD2019_056)	Credentialing & Delineating Clinical Privileges for Senior Medical Practitioners & Senior Dentists
(PD2016_052)	Visiting Practitioner Appointments in the NSW Public Health System
(PD2015_049)	NSW Health Code of Conduct
(PD2018_032)	Managing Complaints or Concerns about Clinicians

NSW Health Policy Directives / Manuals	
(PD2015_036)	NSW Health Privacy Management Plan
(PD2019_034)	Incident Management Policy
(Manual)	Privacy Manual for Health Information

1.4 Key definitions

Adjudication body

A body that is authorised by the provisions of the National Law to recommend or impose conditions on the registration of health practitioners. In NSW this includes the NSW Health Professional Council, Professional Standards Committee, Impaired Registrants Panel, Performance Review Panel, NSW Civil and Administrative Tribunal. If the practitioner has previously resided or practised in another State or Territory, the National Board, relevant Panel, Committee or Tribunal can impose conditions.

Australian Health Practitioner Regulation Agency (AHPRA)

AHPRA is the national agency which supports the 15 National Boards that are responsible for regulating the health professions.

AHPRA Register of Practitioners

The on-line national Register published by AHPRA listing the currently registered health practitioners for each of the 16 regulated professions. The Register contains notification of conditions and undertakings on the health practitioner's registration. The Register can be found at: www.ahpra.gov.au/Registration/Registers-of-Practitioners.aspx

Condition

A condition imposed by an adjudication body under Part 8 of the National Law – Health, Performance and Conduct. A condition places some form of restriction on the practitioner and changes the way they may practise the profession prospectively until the condition is changed or removed. The condition aims to restrict a practitioner's practice in some way to protect the public. Current conditions which restrict practice are published in detail on the AHPRA Register of Practitioners. Conditions relating to health are not usually published in detail, but will be noted as '*not publically available due to privacy considerations*'; however the employer is notified of the details directly.

Health Professional Council Authority (HPCA)

The Health Professional Councils Authority is an administrative body that supports the 15 NSW Health Professional Councils to perform their regulatory and legislative functions under the National Registration and Accreditation Scheme.

Health Professional Regulatory Authorities

AHPRA, National Boards, NSW Health Professional Councils, Professional Standards Committees (PSC), Performance Review Panels, Impaired Practitioners Panels, NSW Civil and Administrative Tribunals (NCAT), and Health Care Complaints Commission (HCCC).

National Law

The Health Practitioner Regulation National Law (NSW)

Nominated Information Recipient

The person (or persons) in the NSW Health organisation nominated by the Chief Executive to receive notifications from a NSW health professional Council of conditions or variations of conditions relating to conduct, health or performance imposed on a registered health practitioner.

NSW Health organisation

Public Health Organisation, NSW Ambulance, HealthShare NSW, eHealth NSW, Health Infrastructure, NSW Health Pathology or any other administrative unit of the Health Administration Corporation.

Order

In NSW an adjudication body can impose an order rather than a condition on a health practitioner. An order requires the practitioner to do a specific task or activity, whilst a condition will limit or restrict the way the practitioner can practise their profession. There is no statutory requirement for an order to be recorded in the AHPRA Register of Practitioners, but the National Board may choose to record it, if it deems appropriate. If the decision-maker intends for an order to be publically available, it may be expressed as a condition. Section 139B(1)(d) provides that contravention of an order is deemed to be unsatisfactory conduct.

Practice

Any role, whether remunerated or not, in which the individual uses their skills and knowledge as a health practitioner in their profession. Practice is not restricted to the provision of direct clinical care. It also includes using professional knowledge in a direct non-clinical relationship with patients/clients, working in management, administration, education, research, advisory, regulatory or policy development roles, and any other roles that impact on safe, effective delivery of services in the profession.

Public Health Organisation

Local health districts, statutory health corporations and affiliated health organisations (with respect to their recognised services) are referred to collectively as Public Health Organisations under the *Health Services Act 1997*.

Registered Practitioner

A health practitioner registered or required to be registered under the National Registration and Accreditation System. Currently there are 16 health professions which are required to be registered: Medical, Nursing, Midwifery, Pharmacy, Dental, Aboriginal and Torres Strait Islander Health Practice, Chinese Medicine, Chiropractic, Medical Radiation Practice, Occupational Therapy, Optometry, Osteopathy, Paramedicine, Physiotherapy, Podiatry, and Psychology.

Undertaking

In other states and territories excluding NSW, adjudication bodies can seek and accept an undertaking from a practitioner to limit their practice in some way if it is necessary to

protect the public. An undertaking can also be given at registration. The undertaking means the practitioner agrees to do, or to not do something in relation to their practice of the profession. Current undertakings relating to health are not published in detail and will be noted as '*not publically available due to privacy considerations*'. While an undertaking is voluntary, compared with a Condition which is imposed on registration, both must be complied with.

2 IDENTIFICATION OF PRACTITIONERS WITH CONDITIONS

There are four main ways in which a NSW Health organisation can be advised that a registered practitioner has conditions on their practice:

1. Notification from Health Professional Regulatory Authorities
2. Notification by the registered practitioner
3. In the course of checking credentials as part of the recruitment process; and
4. Ongoing monitoring of the AHPRA Register of Practitioners.

2.1 Notification by Health Professional Regulatory Authority

The National Law provides for a NSW health professional Council to notify the relevant NSW Health organisation of conditions or variations of conditions relating to conduct, health or performance imposed on a registered health practitioner. Where the condition has been imposed by another adjudication body such as a Performance Review Panel, Professional Standards Committee or the NSW Civil and Administrative Tribunal, the health professional Council will also notify of the conditions imposed by that body.

This means NSW Health organisations will receive notice of all practitioners who have had conditions/orders made on their registration, including health conditions. The Health Professional Council Authority (HPCA) issues a weekly email to the Chief Executive, or their nominated information recipient, which lists the practitioners who have had new or altered orders/conditions made or imposed on their registration in the week preceding. The list provides the name and AHPRA registration number for those practitioners whose principal place of practice is NSW. The list also identifies practitioners whose registration has been suspended or cancelled (de-registered) as well as practitioners who change their registration status to non-practising or who surrender (relinquish) their registration as a result of a performance, conduct or health process.

2.1.1 Nominated Information Recipients

Under s176BA of the *Health Practitioner Regulation National Law (NSW)*, the Chief Executive can decide to nominate another person or persons in the organisation to receive the information, and such person or persons will be the nominated information recipient.

The Chief Executive can only nominate a person as the nominated information recipient if the person is:

- Involved in the supervision or oversight of the relevant health practitioners, or classes of practitioners, during their work; or

- Responsible for ensuring the safety of patient at premises used by registered health practitioners, or classes of practitioners

This means, for example, that the Chief Executive can nominate different officers for different parts of their workforce. For example, one person could be the nominated information recipient for medical practitioners and another for nurses and midwives and another for all other registered health practitioners. Alternatively, there could be a nominated information recipient for all registered health practitioners. The key requirement is that the person nominated must have a role in supervising the relevant health practitioners or be otherwise responsible for ensuring the safety of patients at the premises.

Chief Executives will need to:

- Determine who is best placed to receive the information from the Councils and ensure that the person or persons are involved in the supervision or oversight of the relevant health practitioners or responsible for ensuring the safety of patients at the premises (given the sensitivity of the information to be received, it is expected that only senior officers will be nominated as “nominated information recipient”), and
- Ensure that the individual Councils are notified of the details of any nominated information recipient and are provided with up to date contact details for nominated information recipients. As a practical matter, details of any nominated information recipient may be sent to the Director of the HPCA who will ensure that the information is received by the relevant Councils.

If the Chief Executive does not nominate a “nominated information recipient”, the Council may notify the Chief Executive directly or, after consulting the Chief Executive, may choose on a case-by-case basis to notify another person they consider to be:

- Involved in the supervision or oversight of registered health practitioners of the kind concerned during the course of their work, or
- Responsible for ensuring the safety of patients at premises used by registered health practitioners of the kind concerned during the course of their work.

Chief Executives are encouraged to establish a standalone email address to which Councils can send relevant notifications. Chief Executives may decide to have one specific email address for all notifications or have different email addresses for different professions. For example, Chief Executive might decide to establish one specific email address to receive notifications from the Medical Council, another to receive notifications from the Nursing and Midwifery Council and a third to receive notifications in respect of all other professions. Such a specific email address will ensure that notifications can be received and acted upon even when one nominated recipient is away from work.

2.1.2 Disclosure of Information obtained from Councils

The information that will be provided by the Council may include information relating to the impairment of the practitioner. This will involve sensitive health information that is to be treated carefully in order to properly protect the privacy of the practitioner.

Section 176BA of the *Health Practitioner Regulation National Law (NSW)* contains provisions limiting the disclosure that can be made of such information relating to a practitioner's impairment. The nominated information recipient may only use or disclose the information relating to the impairment for the purposes of:

- The supervision or oversight of registered health practitioners during the course of the practitioner's work for the employer or accreditor, or
- Ensuring the safety of patients at premises used by the practitioner during the course of the practitioner's work for the employer or accreditor.

The Chief Executive, and nominated information recipients, must take steps to ensure that information relating to a practitioner's impairment is not unnecessarily disclosed. It is an offence to breach these requirements of the *Health Practitioner Regulation National Law (NSW)*.

2.2 Notification by the Registered Practitioner

There are legal, professional and ethical obligations placed on health practitioners to report certain matters relating to their registration.

- Under section 99 of the *Health Services Act 1997 (NSW)* a visiting practitioner has a duty to report to the Chief Executive within seven days any charge or conviction of a serious sex or violence offence, and any finding of unsatisfactory professional conduct or professional misconduct under the National Law.
- Under the *Health Services Act 1997 (NSW)* and the *Health Services Regulation 2018* any staff member working in a public health organisation or NSW Ambulance has a duty to report to the Chief Executive within seven days any charge or conviction of a serious sex or violence offence, and any finding of professional misconduct under the National Law.
- Paragraph 4.3.12 of the NSW Health Code of Conduct (PD2015_049) mandates that a registered health practitioner must '*report all changes in professional registration (such as the imposition of conditions on registration) to their manager*'.
- Registered health practitioners may also, in some circumstances be required by a Health Professional Registration Authority to provide a copy of conditions imposed to their employer or nominated person such as the Director of Medical Services, Director of Nursing and Midwifery, Director Allied Health or relevant Executive Officer or Head of Department.

2.3 Information obtained during recruitment processes

The NSW Health Policy Directive PD2017_040 *Recruitment and Selection of Staff to the NSW Health Service* (Section 2.10) requires the mandatory verification of registration, including identification of any conditions and/or undertakings, prior to the practitioner commencing duties. This must include checking the status of the applicant's registration on the AHPRA Online Register at <http://www.ahpra.gov.au/Registration/Registers-of-Practitioners.aspx>

2.4 Review of the AHPRA Register of Practitioners

At a minimum, NSW Health organisations are to conduct annual checks of registered practitioners working in the NSW Health organisation, using the AHPRA Register of Practitioners. This can be done using AHPRA's Employer Access Online Services for multiple registration checks (or via eCredential for those senior medical practitioners and dentists covered by that system). It is recommended that a check is completed following the passing of the scheduled annual renewal date for each of registered health professions.

3 MANAGEMENT OF PRACTITIONERS WITH CONDITIONS

3.1 Assessment of Conditions

Where it has been identified that a practitioner has conditions and/or undertakings on their registration, active management is required and an assessment of their ability to satisfactorily perform their duties in light of the conditions and/or undertakings must be completed.

Examples of conditions and/or undertakings include:

- Complete specified further education or training within a specified period
- Undertake a specified period of supervised practice
- Do, or refrain from doing, something in connection with the practitioner's practice
- Manage their practice in a specified way
- Report to a specified person at specified times about the practitioner's practice
- To not treat, examine or consult with a specified person or class of persons.

There may also be conditions and/or undertakings related to a practitioner's health (such as psychiatric care or drug screening).

The presence of conditions and/or undertakings 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.

The existence of conditions and/or undertakings on a health practitioner's registration does not necessarily preclude initial engagement or ongoing employment. An assessment must be made of whether the conditions and/or undertakings are relevant to the practitioner's employment or engagement and how they can be supported. The terms of the conditions and/or undertakings are to be assessed with consideration given to both the practitioner's ongoing ability to undertake the duties required of their position, and the organisation's ability to appropriately manage and supervise the conditions and/or undertakings in the workplace. Where a health practitioner will rotate, or currently rotates across facilities, the assessment must consider each facility's capacity to accommodate the conditions and/or undertakings imposed on that health practitioner's registration.

The outcomes from the assessment and any recommendations on the health practitioner's duties or engagement are to be referred to:

- The Director of Clinical Governance/Director Workforce/Director Nursing and Midwifery/Director of Medical Services/Director of Allied Health, or their equivalents to determine how and if clinical aspects of the practitioner's duties will be maintained in light of these conditions of registration
- The Medical and Dental Appointments Advisory Committee (MDAAC) and Credentials Subcommittee (in relation to senior medical practitioners and dentists)
- The Director of Workforce or its equivalent for inclusion in the NSW Health organisation's *Register of Practitioner's with Conditions* where conditions and/or undertakings are identified and managed by the relevant organisation (see 4.1), and
- The Chief Executive of the NSW Health organisation.

3.2 Management and Clinical Supervision Plan

The NSW Health organisation must develop and implement an individual Management and Clinical Supervision Plan for each practitioner with conditions and/or undertakings on their registration and is to consider each facility in which the practitioner is engaged within the organisation, and ensure the practitioner undertakes duties in compliance with those conditions and/or undertakings.

The Plan is to include at a minimum:

- The name, designation and registration number of the practitioner
- The name and designation of their supervisor/manager
- The conditions/undertakings/orders on the practitioner's registration
- Any restrictions or changes to their duties and/or appointment conditions
- Timeframes for the review of the practitioner's performance in relation to the conditions/undertakings/orders (in some instances it may be appropriate to manage this within the established performance management framework, depending on the nature of the conditions)
- Timeframes for the review of the practitioner's Plan (annually as minimum, or more frequently as appropriate)
- A statement, after the above review, of the practitioner's compliance or not with the conditions and (altered) duties
- Other relevant issues or actions arising.

The individual practitioner's plan is to be signed off by the practitioner, their supervisor, and the NSW Health organisation's authorised officer; and a copy provided to each person for their records. If the practitioner has health related conditions, the disclosure of the plan is permitted only as outlined in section 2.1.2 of this document.

Following removal of the conditions, the plan is to be finalised and the completed plan securely and confidentially placed on, or linked to that practitioner's Human Resources personnel file.

Management of all individual Management and Clinical Supervision Plans must comply with section 2.1.2 of this document, as well as the *Privacy and Personal Information Protection Act 1998*, *Health Records and Information Privacy Act 2002*, the NSW Health Policy Directive *Privacy Management Plan* ([PD2015_036](#)) and, where relevant, the [Privacy Manual for Health Information](#).

4 GOVERNANCE AND COMPLIANCE

4.1 Register of practitioners with conditions and/or undertakings

Each NSW Health organisation is to maintain a central register of practitioners with conditions and/or undertakings. This register is to include summary details of the Management and Clinical Supervision Plans for each practitioner with conditions, the name of their supervisor, the conditions/ undertakings, changes to duties, and scheduled review dates. A sample *Register of Practitioner's with Conditions* is provided in Section 5 (Implementation Tools).

When the practice conditions in an individual health practitioner's plan are updated, the register is also to be updated for that practitioner.

4.1.1 Management and review of information in the register

Responsibility for maintenance of the organisation's register resides with the Director of Workforce (or equivalent position as nominated by the Chief Executive). Management of the day to day oversight of the Register can be delegated to a designated officer to ensure regular identification processes and individual practitioner reviews are undertaken.

NSW Health organisations must also regularly review the status of registered practitioners with conditions to ensure the information held is accurate and up to date. Such reviews inform the remedial actions if a practitioner was found to be practising outside the terms of their registration.

Documentation of reviews undertaken by the organisation are to be kept on file for future reference or review, including by the Ministry of Health.

Management of the Register must comply with section 2.1.2 of this document, as well as the *Privacy and Personal Information Protection Act 1998*, *Health Records and Information Privacy Act 2002*, the NSW Health Policy Directive *Privacy Management Plan* ([PD2015_036](#)) and, where relevant, the [Privacy Manual for Health Information](#).

4.2 Managing non-compliance

NSW Health organisations must have processes in place to report a breach of any condition and/or undertaking to the relevant Health Professional Council.

When a practitioner is found to have their registration suspended, cancelled, surrendered or changed to non-practising, have conditions on registration not previously reported, is found to be practising outside the terms of their conditions, or is non-compliant with any

condition and/or undertaking placed on their registration, the NSW Health organisation is to:

- Assess and document the risk arising, and take appropriate actions to address the risk. Where the risk arising is significant (SAC1 / Harm Score 1 per the NSW Health Incident Management Policy) the NSW Health organisation is to:
 - Promptly inform the Ministry of Health via a Corporate Reportable Incident Brief (RIB) and clearly set out the actions taken to rectify and monitor compliance.
 - Promptly inform the Chief Executive of any other NSW Health organisation, where it is known that the health practitioner is practicing within that organisation, of the non-compliance.
- Review internal procedures to identify and address any process or system issues

4.3 Verification reporting to the Ministry of Health

Through the Annual Corporate Governance Attestation process, the Chief Executive certifies that all required processes for the monitoring and review of conditions are in place and effective. The attestation is to be based on effective monitoring and review of the processes in place for compliance within the NSW Health organisation.

5 IMPLEMENTATION TOOLS

The following implementation tools are provided for use:

- **Sample Register of Practitioner's with Conditions and/or Undertakings (Minimum Requirements):** This Register will contain details of the Management and Clinical Supervision Plans for all practitioners that have conditions and/or undertakings.
- **Self-Assessment Tool:** The Self-Assessment Tool can be used by the NSW Health organisation to evaluate that it is compliant with this Policy and procedures. The Tool is also available as a PDF form, enabling information to be captured digitally. It is available for NSW Health staff to download from the NSW Health Intranet <http://internal.health.nsw.gov.au/cgrm/forms.html>.

The Ministry of Health may conduct random periodic reviews to monitor compliance and self-assessment history.

5.1 Sample Register of Practitioners with Conditions and/or Undertakings

AHPRA Registration Number	Profession	Surname	First Name(s)	Date of Birth	Employment Status	Place/s of Work	Conditions and/or Undertaking	Date Conditions Applied	Date Conditions Expire	Methods of Monitoring	Alternate duties	Supervisors Name & Contact details	Date of Review by Health Organisation	Compliance with Conditions	Issues / Actions

Details of non-compliance management

	AHPRA Registration Number	Profession	Surname	Non-compliance reason	Notice to Health Professional Council of non-compliance	Other action by Health Services
1						
2						
3						

5.2 Self-assessment tool

Health organisations are encouraged to complete this self-assessment at least annually.

The completed self-assessment is to be provided to the Chief Executive and Board prior to the end of each financial year and is to be saved as supporting documentation for the annual corporate governance attestation statement.

Name of organisation:	
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Assessor name and job title:	Date of assessment:
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1. What is the current total number of registered health practitioners working or engaged with the NSW Health organisation at the time of the self-assessment?	
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2. What is the total number of registered health practitioners with conditions and/or undertakings on registration?	
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A	Aboriginal & Torres Strait Islander Health Practitioner		I	Occupational Therapist	
B	Chinese Medicine Practitioner		J	Osteopath	
C	Chiropractor		K	Paramedicine	
D	Dental Practitioner		L	Pharmacist	
E	Medical Practitioner		M	Physiotherapist	
F	Medical Radiation Practitioner		N	Podiatrist	
G	Midwife		O	Psychologist	
H	Nurse		TOTAL		

The TOTAL must equal the answer in Q2

3. Is a Register of Practitioners with Conditions and/or Undertakings held centrally by the NSW Health organisation?	
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4. Are all practitioners with conditions and/or undertakings identified on the central <i>Register of Practitioners with Conditions and Undertakings</i> ?	
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If you answered 'no' to Question 4, please explain why not:

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5. Does each practitioner with conditions and/or undertakings have a Management and Clinical Supervision Plan in place?

If you answered 'no' to Question 5, please explain why not:

6. Do the management and clinical supervision plans meet the minimum requirements as set out in the Policy Directive *Monitoring and Managing Health Practitioners' Compliance with Conditions on Registration*?

If you answered 'no' to Question 6, please explain why not:

7. Are those practitioners with conditions and/or undertakings on their registration being managed and supervised in accordance with their conditions?

If you answered 'no' to Question 7, please explain why not:

8. Is there a process in place to identify cancelled and suspended practitioners?

If you answered 'no' to Question 8, please explain why not and any corrective action:

9. Do service agreements with all agencies which provide locum and casual staff include terms which require the agency to identify and monitor clinicians with conditions and/or undertakings?

If you answered 'yes' to Question 9, please provide details of the terms:

10. Have any practitioners with conditions and/or undertakings been non-compliant with their conditions since the last self-assessment?

11. How many practitioners have been found to be non-compliant in the last 12 months?

12. Were all instances of non-compliance with conditions or undertakings reported to the Ministry of Health via a Corporate Reportable Incident Brief (RIB)?	
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If you answered 'no' to Question 12, please explain why not:

13. What were the health professions of practitioner/s found to be non-compliant in the last 12 months?

A	Aboriginal & Torres Strait Islander Health Practitioner		I	Occupational Therapist	
B	Chinese Medicine Practitioner		J	Osteopath	
C	Chiropractor		K	Paramedic Psychologist	
D	Dental Practitioner		L	Pharmacist	
E	Medical Practitioner		M	Physiotherapist	
F	Medical Radiation Practitioner		N	Podiatrist	
G	Midwife		O	Psychologist	
H	Nurse				

This Self-Assessment Tool is also available as a PDF form and can be downloaded from the NSW Health Intranet <http://internal.health.nsw.gov.au/cgrm/forms.html>

6 EXTERNAL RESOURCES

Australian Health Practitioner Registration Authority

<http://www.ahpra.gov.au/>

Health Care Complaints Commission

www.hccc.nsw.gov.au

Health Professionals Council Authority

www.hpca.nsw.gov.au

Medical Board of Australia

www.medicalboard.gov.au

Medical Council of New South Wales

www.mcnsw.org.au

Nursing and Midwifery Board of Australia

<http://www.nursingmidwiferyboard.gov.au/>

Nursing and Midwifery Council of New South Wales

<http://www.hpca.nsw.gov.au/Nursing-and-Midwifery-Council/Home/Home/default.aspx>