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**Effective in cases from 1 April 2019**

## Non-compliance conditions

Non-compliance conditions can be imposed on doctor's registration by Medical Practitioners Tribunal during a non-compliance hearing where the tribunal decide that the doctor's registration should be made conditional on his or her compliance. The condition at NC1 is the only unique non-compliance condition. All further conditions in this bank exist to protect against any risks identified by the tribunal.

### Which conditions are confidential?

Most conditions are not confidential, which means we publish them on the online medical register and disclose them to people who ask for them. These conditions are assigned a 'P' for 'publicly-available' in the tables below.

Other conditions – particularly those about the treatment of a doctor's health – are confidential. We do not publish these conditions on the online medical register and we will not disclose them. These conditions are assigned a 'C' in the tables below.

### Exceptions

From 18 January 2016, a change in the law\* means that we have to tell European medical regulators when a doctor has restrictions on their registration, including those doctors who have undertakings that affect their practice. We may have to give further information about

\* The change in the law means that the GMC has to send alerts to European medical regulators or competent authorities about restrictions on a doctor's registration, including undertakings that affect their practice. This change was set out in the *Directive 2005/36/EC of the European Parliament and of the Council on the Recognition of Professional Qualifications* (as amended by *Directive 2013/55/EU* and the *Commission Implementing Regulation (EU) 2015/983 of 24 June 2015*).

specific cases, including cases that involve a doctor's health, in response to specific requests from a European regulator. If we disclose further information, we will advise the doctor that this has taken place.

## Amending the conditions

Decision makers can amend the text highlighted in grey to tailor the condition to a particular doctor. For NC1, the condition should be amended to include details of the specific direction or request. The date by which a doctor should comply with the request or direction should be sufficiently long to allow the doctor to demonstrate full compliance. See paragraphs 41-46 of the Non-compliance Tribunal Guidance for further information.

## Further non-compliance conditions

Where a doctor's registration is made conditional on his or her compliance (NC1), the tribunal should ensure that any restrictions necessary for the protection of members of the public or in the doctor's interests are put in place. If the doctor was previously under interim orders, the conditions should protect against the same risks identified by the IOT (where the tribunal consider these risks still to be present) or any new risks identified by the tribunal. See paragraphs 57-60 of the Non-compliance Tribunal Guidance for further information.

## Notes for decision makers

When drafting the decision:

- conditions 1–4 should go before all publicly-available conditions,
- condition 5 should be the last publicly-available condition,
- confidential conditions should be placed after the list of publicly-available conditions.

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<b>NC1</b>	<b>Area: Compliance with a direction or request</b>	<b>P</b>	
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Before [date], you must:

- a Contact the GMC to make arrangements to undergo an assessment of your [health/performance/English language]
- b Before [date], you must
  - i submit to and comply with an assessment of your [health/performance/English language];
  - ii having submitted to the above assessment, comply with all requirements in respect of that assessment;

**OR**

- iii provide the GMC with [information or document].

NC2	Area: Notifying the GMC within seven days	P
<p>You must personally ensure the GMC is notified within seven calendar days of the date these conditions become effective:</p> <ul style="list-style-type: none"><li>i of the details of your current post, including:</li><li>ii your job title</li><li>iii job location</li><li>iv your responsible officer (or their nominated deputy)</li><li>v of the contact details for your employer and any contracting body, including your direct line manager</li><li>vi of any organisation where you have practising privileges and/or admitting rights.</li><li>vii of any training programmes you are in</li><li>viii [for GPs only: of the organisation on whose medical performers list you are included]</li><li>ix [of the contact details of any locum agency or out-of-hours service you are registered with]</li></ul>		

**NC3**

**Area: Notifying the GMC appropriately in future**

**P**

**No notes**

You must personally ensure the GMC is notified:

- a of any post you accept, before starting it
- b that all relevant people have been notified of your conditions, in accordance with condition [insert sequence number of NC5]
- c if any formal disciplinary proceedings against you are started by your employer and/or contracting body, within seven calendar days of being formally notified of such proceedings
- d if any of your posts, practising privileges or admitting rights have been terminated by your employer before the agreed date within seven calendar days of being notified of the termination
- e if you apply for a post outside the UK.

NC4

Area: Exchanging information

P

You must allow the GMC to exchange information with your employer and/or contracting body for which you provide medical services.

Notes for the doctor:

'Person' may include, but is not limited to the doctor's:

- [responsible officer](#) (or their nominated deputy)
- employer and/or [contracting body](#)
- [workplace reporter](#)
- [educational supervisor](#)
- [clinical supervisor](#).

[Contracting body](#), in this instance, does not include private patients with whom the doctor directly contracts.

NC5

Area: Informing others

P

Notes for the doctor:

You must personally ensure that the following persons are notified of the conditions listed at 1 to [insert number of last public condition]:

- a your responsible officer (or their nominated deputy)
- b the responsible officer of the following organisations:
  - i your place(s) of work and any prospective place of work (at the time of application)
  - ii all your contracting bodies and any prospective contracting body (prior to entering a contract)
  - iii any organisation where you have, or have applied for, practising privileges and/or admitting rights (at the time of application)
  - iv any locum or out-of-hours service you are registered with
  - v If any organisation listed at i) to iv) does not have a responsible officer, you must notify the person with responsibility for overall clinical governance within the organisation. If you are unable to identify this person, you must contact the GMC for advice before working for that organisation.
- c [for GPs only: the responsible officer for the medical performers list on which you are included or seeking inclusion (at the time of application)]
- d [for F1 doctors only: the Director of your foundation school and the Dean of your medical school]
- e [the Approval Lead of your regional Section 12 tribunal]
- f your immediate line manager and senior clinician (where there is one) at your place of work, at least 24 hours before starting work (for current and new posts, including locum posts).

5.e For Scotland only, any local Health Board or the State Hospitals Board with whom you are registered as an Approved Medical Practitioner under Section 22 of the Mental Health (Care and Treatment) (Scotland) Act 2003.

Doctors in private practice who contract with private medical insurers or directly with private patients (not as part of an insurance arrangement), are required to disclose any publicly-available conditions to insurers and patients with whom they are entering or maintaining a contractual arrangement to provide medical services.

**Part 1: Standard non-compliance conditions (health)**

**(C) Non-compliance conditions for all doctors**

<b>NC6</b>	<b>Area: Treating GP</b>	<b>C</b>	<b>No notes</b>
<p>You must be registered with a GP and give them a copy of all your conditions.</p>			

<b>NC7</b>	<b>Area: Exchanging information</b>	<b>C</b>	<b>Notes for doctors</b>
<p>a You must personally ensure that the GMC is notified of the contact details of your GP and/or any other doctor or health professional responsible for your treatment and care.</p> <p>b You must let the GMC exchange information about your health with any person involved in your treatment and care.</p>			<p>Person may include but is not limited to the doctor's: <b>not list</b></p> <ul style="list-style-type: none"><li>• Medical supervisor (where applicable)</li><li>• Treating psychiatrist and/or mental health professional (where applicable)</li><li>• Occupational health provider (where applicable)</li></ul> <p>The GMC Adviser is the Medical Supervisor.</p>

<b>NC8</b>	<b>Area: Person advising the GMC</b>	<b>P</b>	
<p>a You must ask for a report from the person advising the GMC, for consideration by this panel, before any review hearing.</p> <p>b You must keep your professional commitments under review and limit your work if recommended to do so by the person advising the GMC.</p> <p>c You must stop work immediately if the person advising the GMC recommends that you do.</p>			

**Part 1: Standard non-compliance conditions**

**(D) Non-compliance conditions for all doctors (alcohol and/or drug issues)**

<b>NC9</b>	<b>Area: Testing</b>	<b>C</b>	<p><b>Notes for the doctor:</b></p> <p>If you return to the UK, after residing overseas, we may require you to undertake testing on your return.</p>
<p>You must comply with arrangements made by, or on behalf of, the GMC for the announced or unannounced testing of breath / blood / urine / saliva / hair / nails to test for the recent and long-term ingestion of alcohol and/or other drugs.</p>			

<b>NC10</b>	<b>Area: Support groups</b>	<b>C</b>	
<p>a If [your GP/ occupational health provider / treating consultant / treating psychiatrist etc.] advises you to, you must attend regular meetings of Alcoholics Anonymous / Narcotics Anonymous / the Doctors and Dentists Group / any other support group / individual alcohol/drug counselling.</p> <p>b You must show the GMC evidence of your attendance on request.</p>			

## Part 1: Standard non-compliance conditions

## (E) Non-compliance conditions for all doctors (provisionally registered)

<b>NC11</b>	<b>Area: Foundation year one doctor</b>	<b>P</b>	
<p>a You must only work in a Foundation Programme year one (F1) training post / locum appointment for training (LAT) post approved by your postgraduate deanery, local education and training board (LETB) or foundation school, and your medical school.</p> <p>b You must not work as a locum, except in an approved LAT post.</p>			

## Part 2: Discretionary non-compliance conditions

## (A) Health

<b>NC12</b>	<b>Area: Occupational health</b>	<b>C</b>	
<p>a You must inform your employer's occupational health provider and/or your contracting body's occupational health provider at least one working day before working:</p> <ul style="list-style-type: none"><li>i that you have a GMC medical supervisor</li><li>ii of all of your non-compliance conditions.</li></ul> <p>b You must let the GMC exchange information with the occupational health provider(s) for your employer and any contracting body.</p>			

## Part 2: Discretionary non-compliance conditions

## (B) Treating psychiatrist

<b>NC13</b>		<b>C</b>	
a	You must stay under, or return to, the care of a consultant psychiatrist and/or mental health professional and follow their advice until you are formally discharged from their care.		
b	You must restart treatment if, at any point, your GP or medical supervisor recommends re-referral to a consultant psychiatrist and/or a mental health professional.		
c	You must ask for a report from your consultant psychiatrist and/or mental health professional, for consideration by the panel, before any review hearing.		

## Part 2: Discretionary non-compliance conditions

## (C) Alcohol and/or drug issues

<b>NC14</b>		<b>C</b>	<b>Notes for the doctor:</b>
	You must limit your alcohol consumption, as advised by your [GP/ occupational health provider / treating consultant / treating psychiatrist], abstaining absolutely if required.		This condition also applies when you are overseas.

<b>NC15</b>		<b>C</b>	<b>Notes for the doctor:</b>
	You must abstain absolutely from consuming alcohol.		This condition also applies when you are overseas.

<b>NC16</b>	<b>C</b>	<p><b>Notes for the doctor:</b></p> <p>This condition includes any pharmacy (P) or general sale list (GSL) medicines that can be bought online.</p> <p>This condition also applies when you are overseas.</p>
<p>a You must not take prescription-only medicines (POM) unless they are prescribed or administered for you by an appropriate practitioner, e.g. a registered doctor, dentist, paramedic, pharmacist, midwife or nurse responsible for your treatment.</p> <p>b You must only self-medicate with pharmacy (P) or general sale list (GSL) medicines.</p>		

<b>NC17</b>	<b>C</b>	<p><b>Notes for the doctor:</b></p> <p>This condition includes any pharmacy (P) or general sale list (GSL) medicines that can be bought online.</p> <p>This condition also applies when you are overseas.</p>
<p>a You must not take prescription-only medicines (POM) unless they are prescribed or administered for you by an appropriate practitioner, e.g. a registered doctor, dentist, paramedic, pharmacist, midwife or nurse responsible for your treatment.</p> <p>b You must only self-medicate with general sale list (GSL) medicines.</p>		

<b>NC18</b>	<b>C</b>	<p><b>Notes for the doctor:</b></p> <p>This condition includes any pharmacy (P) or general sale list (GSL) medicines that can be bought online.</p> <p>This condition also applies when you are overseas.</p>
<p>a You must not take drugs listed in schedules 1–4 of <i>the Misuse of Drugs Regulations 2001</i> [and...], unless prescribed or administered for you by a registered doctor, dentist, paramedic, pharmacist, midwife or nurse for the treatment of a clinical need.</p> <p>b You must inform the GMC that you have been prescribed or administered a drug listed in schedules 1–4 of the <i>Misuse of Drugs Regulations 2001</i> [and...], and the circumstances of this, within seven calendar days or as soon as reasonably practicable.</p>		

Part 2: Discretionary non-compliance conditions

(D) Prescribing

<b>NC19</b>	<b>P</b>	<b>No notes</b>
<p>a You must only prescribe, administer, and have primary responsibility for drugs under arrangements that have been agreed by your responsible officer (or their nominated deputy).</p> <p>b You must not work until:</p> <ul style="list-style-type: none"><li>i Your responsible officer (or their nominated deputy) has agreed these arrangements</li><li>ii You have been personally ensured that the GMC has been notified of these arrangements</li><li>iii You must confirm the agreed arrangements at the next review hearing.</li></ul>		

<b>NC20</b>	<b>P</b>	
You must not [prescribe, administer, have primary responsibility for] drugs listed in schedules 1–4 of the <i>Misuse of Drugs Regulations 2001</i> [and...].		

<b>NC21</b>	<b>P</b>	
You must not [prescribe, administer, have primary responsibility for] [[list specific drug, e.g. opioids or benzodiazepines for the treatment of addiction etc.].		

<b>NC22</b>	<b>P</b>	<b>No notes</b>
You must not prescribe any drugs for yourself, or anyone with whom you have a close personal relationship.		

<b>NC23</b>	<b>P</b>	
You must not [prescribe, administer, have primary responsibility for] any drugs.		

## Part 2: Discretionary non-compliance conditions

## (E) Practice restrictions (general)

<b>NC24</b>	<b>P</b>	<b>Notes for the doctor:</b>
You must get the approval of the GMC before working in a non-NHS post or setting.		If the doctor is working privately, the GMC will consider whether the post and/or organisation has an appropriate management structure and clinical governance in place, as well as an ability to facilitate an appropriate level of supervision.

<b>NC25</b>	<b>P</b>	<b>No notes</b>
You must only work in a group practice setting where there are a minimum of two GP partners or employed GPs (excluding yourself). The GPs must be partners or permanently employed GPs who are on the GP register (this excludes locum staff).		

**NC26**

**P**

You must only work as a [specify role, e.g. salaried GP, forensic medical examiner, ophthalmic medical practitioner / at the level of [X] or below].

**NC27**

**P**

You must only work in [specify service, e.g. family planning clinics, public health medicine, medical assessments etc.].

**NC28**

**P**

You must not work in any post for more than [X] sessions per week.

<b>NC29</b>	<b>P</b>	<b>No notes</b>
<p>a You must be directly supervised in all of your posts by a clinical supervisor, as defined in the <i>Glossary for undertakings and conditions</i>. Your clinical supervisor must be appointed by your responsible officer (or their nominated deputy).</p> <p>b You must not work until:</p> <ul style="list-style-type: none"><li>i your responsible officer (or their nominated deputy) has appointed your clinical supervisor and approved your supervision arrangements.</li><li>ii you have personally ensured that the GMC has been notified of these arrangements.</li></ul> <p>c You must provide a report from your clinical supervisor to the tribunal at your next review hearing.</p>		

<b>NC30</b>	<b>P</b>	<b>No notes</b>
<p>a You must be closely supervised in all of your posts by a clinical supervisor, as defined in the <i>Glossary for undertakings and conditions</i>. Your clinical supervisor must be appointed by your responsible officer (or their nominated deputy).</p> <p>b You must not work until:</p> <ul style="list-style-type: none"><li>i your responsible officer (or their nominated deputy) has appointed your clinical supervisor and approved your supervision arrangements.</li><li>ii you have personally ensured that the GMC has been notified of these arrangements.</li></ul> <p>d You must give a report from your clinical supervisor to the tribunal at your next review hearing.</p>		

<b>NC31</b>	<b>P</b>	<b>No notes</b>
<p>a You must be supervised in all of your posts by a clinical supervisor, as defined in the <i>Glossary for undertakings and conditions</i>. Your clinical supervisor must be appointed by your responsible officer (or their nominated deputy).</p> <p>b You must not work until:</p> <ul style="list-style-type: none"> <li>i your responsible officer (or their nominated deputy) has appointed your clinical supervisor and approved your supervision arrangements</li> <li>ii you have personally ensured that the GMC has been notified of these arrangements.</li> </ul> <p>c You must give a report from your clinical supervisor to the tribunal at your next review hearing.</p>		

## Part 2: Discretionary non-compliance conditions

## (F) Practice restrictions (specific)

<b>NC32</b>	<b>P</b>	
<p>a Except in life-threatening emergencies, you must not carry out [name of procedure] unless directly supervised.</p> <p>b You must maintain a log detailing every [name of procedure], which must be signed by your supervisor.</p> <p>c You must give a copy of this log to the tribunal at your next review hearing.</p>		

**NC33**

**P**

- a Except in life-threatening emergencies, you must not carry out [name of procedure].
- b You must inform the GMC within seven calendar days of any occasion you carry out [name of procedure] in a life-threatening emergency.

**NC34**

**P**

- a Except in life-threatening emergencies, you must not carry out consultations with [insert patient group: male patients, female patients, patients younger than X years].
- b You must inform the GMC within seven calendar days of any occasion you carry out a consultation with [insert patient group: male patients, female patients, patients younger than X years] in a life-threatening emergency.

**NC35****P**

- a Except in life-threatening emergencies, you must not carry out consultations with [insert patient group: male patients, female patients, patients younger than X years] without a chaperone present.
- b You must keep a log detailing every case where you have carried out a consultation with such a patient, which must be signed by the chaperone.
- c You must keep a log detailing every case where you have carried out a consultation with such a patient in a life-threatening emergency, without a chaperone present.
- d You must give a copy of these logs to the tribunal at your next review hearing.

**NC36****P**

- a Except in life-threatening emergencies, you must not carry out an intimate examination of [insert patient group: male patients, female patients, patients younger than X years] without a chaperone present.
- b You must keep a log detailing every case where you have carried out an intimate examination of [insert patient group: male patients, female patients, patients younger than X years], which must be signed by the chaperone
- c You must maintain a log detailing every case where you have carried out an intimate examination of [insert patient group: male patients, female patients, patients younger than X years] in a life-threatening emergency, without a chaperone present
- d You must give a copy of these logs to the tribunal at your next review hearing.

<b>NC37</b>	<b>P</b>	<b>No notes</b>
<p>Except in life-threatening emergencies, you must not carry out intimate examinations of patients.</p>		

**Part 2: Discretionary non-compliance conditions**

**(G) Locum / on-call / out-of-hours restrictions**

<b>NC38</b>	<b>P</b>	
<p>You must not work: [select the appropriate option]</p> <p>a [as a locum/in a fixed term contract]</p> <p>b [out-of-hours]</p> <p>c [on-call].</p>		

<b>NC39</b>	<b>P</b>	
<p>You must not work in any locum post or fixed term contract of less than [X] duration.</p>		

<p><b>NC40</b> [REDACTED] <b>P</b></p> <p>You must only work on-call at a named location, as approved by your responsible officer (or their nominated deputy).</p>	<p>No notes</p>
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**Part 2: Discretionary non-compliance conditions**

**(H) Audit**

<p><b>NC41</b> [REDACTED] <b>P</b></p> <p>a You must keep a log detailing every case where <input checked="" type="checkbox"/>.</p> <p>b You must give a copy of this log to the tribunal at your next review hearing.</p>	
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# Glossary for undertakings and conditions

This glossary is intended to support consistency in the General Medical Council (GMC) and Medical Practitioner Tribunal Service's (MPTS) use of terms featured in the guidance:

- Agreeing a doctor's undertakings
- Imposing conditions on a doctor's registration
- Imposing interim conditions on a doctor's registration.

This document outlines the wording that decision makers (GMC and MPTS) should use when restricting or placing requirements on a doctor in relation to their practice, behaviour, supervision and training. The glossary will also be helpful to:

- doctors and their representatives
- responsible officers / employers / contracting bodies
- GMC associates
- the public.

Given the pace of change in the UK health sector, this glossary should be regarded as a living document. Please send any comments about this document to [FTPPolEnq@gmc-uk.org](mailto:FTPPolEnq@gmc-uk.org).

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**Admitting rights**

A formal arrangement with a private hospital or organisation for a doctor to admit their own private patients for inpatient care. Overall responsibility for the patient's care remains with the admitting doctor.

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**Appropriate practitioner**

A health professional who can prescribe medicine under UK law, e.g. a registered doctor, dentist, pharmacist, nurse or midwife.

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**Case-based discussion**

The case-based discussion assesses the performance of a doctor in their management of a patient to give an indication of competence in areas such as clinical reasoning, decision making and application of medical knowledge in relation to patient care. It serves as a method to document conversations about, and presentations of, cases by doctors who must be supervised as a requirement of conditions or undertakings.

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**Chaperone**

A chaperone is an independent person (usually a healthcare professional) whose role is to observe the examination, procedure or consultation undertaken by the doctor. The doctor's restrictions will outline specific situations when a chaperone should be used. This applies whether or not the doctor is the same gender as the patient. A relative or friend of the patient is not an independent observer and so would not usually be a suitable chaperone, but the doctor should comply with a reasonable request to have such a person present, as well as a chaperone.

A chaperone should usually be a suitably trained person who will:

- be familiar with the procedures involved in a routine examination/consultation
  - stay for the whole examination/consultation and be able to see what the doctor is doing, if practical and the patient consents to this
  - be prepared to raise concerns if they are concerned about the doctor's behaviour or actions
  - be sensitive and respect the patient's dignity and confidentiality
  - reassure the patient if they show signs of distress or discomfort.
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**Contracting body**

See full definition under [employer](#).

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## Clinical supervision

Clinical supervision is carried out by a named clinical supervisor (either a consultant or a practising GP appointed as a clinical supervisor by the responsible officer (or their nominated deputy), who takes overall responsibility for the arrangements of a doctor's supervision. They will give constructive feedback to the doctor and will lead the review of their clinical practice throughout the period of supervision. The clinical supervisor must give the GMC regular feedback about the doctor's progress. The roles of clinical supervisor and workplace reporter may be merged.

If the doctor works for more than one organisation, they will need a clinical supervisor at each organisation (this does not include different sites within the same organisation, as long as the doctor's clinical supervisor is able to cover both).

The doctor must inform the GMC of the approved supervision arrangements, including:

- the name and contact details of the clinical supervisor
- frequency of meetings
- deputy arrangements.

The clinical supervisor is responsible for ensuring that the doctors they supervise are not expected to take responsibility for, or perform, any clinical activity or technique if they do not have the appropriate experience and expertise.

The tables below outline three possible levels of clinical supervision for a doctor with conditions or undertakings working in a GP or hospital context. In exceptional circumstances, the GMC may agree different clinical supervision arrangements. The GMC must be satisfied that the other arrangements give the same level of assurance and feedback as the requirements set out in the tables below.

It is possible for the clinical supervisor to delegate some of the duties involved in supervision to a named deputy or deputies, typically providing support/assistance when the supervised doctor is carrying out any activity that involves patient contact such as consultations, examinations and procedures.

For all levels of supervision in the table below the named deputy or deputies must:

- be a senior doctor with appropriate experience. The decision about appropriate experience is at the discretion of the clinical supervisor
- be informed of the doctor's conditions or undertakings
- provide feedback to the clinical supervisor about the doctor's clinical practice.

## Clinical supervision requirements for GPs

<p><b>What level should the clinical supervisor be?</b></p>	<p>The clinical supervisor should be a practising GP who is on the GP Register. The clinical supervisor cannot be an employee of the supervised doctor.</p>
<p><b>Which organisation should the supervisor work for?</b></p>	<p>Any organisation approved by the Responsible Officer.</p>
<p><b>How should the clinical supervision arrangements be carried out?</b></p> 	<p><b>Supervised</b></p> <p>The doctor's clinical work must be supervised. The supervised doctor must not work as a single-handed practitioner. The supervised doctor may make unsupervised home visits to patients.</p> <p>Whoever carries out the active supervision of clinical work does not need to be on site at all times, but must be available to give advice and/or assistance (e.g. by phone). This can be either by the clinical supervisor or by a suitable named deputy/deputies, under the same established arrangements made and overseen by the clinical supervisor.</p> <p>If the clinical supervisor is away for more than a working week, the Responsible Officer (or their nominated deputy) must approve another practising GP to take over overall responsibility for clinical supervision under the same established arrangements.</p> <p>The clinical supervisor must:</p> <ul style="list-style-type: none"> <li>• take overall responsibility for the arrangements for the doctor's supervision</li> <li>• meet with the doctor formally, in person, at least once a fortnight for a case-based discussion.</li> </ul> <p>The named deputy or deputies must:</p> <ul style="list-style-type: none"> <li>• be a senior doctor with appropriate experience. The decision about appropriate experience is at the discretion of the clinical supervisor</li> <li>• be informed of the doctor's conditions or undertakings</li> <li>• be available to give advice and/or assistance as required</li> <li>• provide feedback to the clinical supervisor about the doctor's clinical practice.</li> </ul>

### **Closely supervised**

The doctor's clinical work must be closely supervised. The supervised doctor must not work as a single-handed practitioner. The supervised doctor must not make unsupervised home visits to patients.

Whoever carries out the active supervision of clinical work must be on site and available to the supervised doctor at all times. This can be either by the clinical supervisor or a suitable named deputy/deputies, under the same established arrangements made and overseen by the clinical supervisor.

If the clinical supervisor is away for more than a working week, the Responsible Officer (or their nominated deputy) must approve another practising GP to take over overall responsibility for clinical supervision under the same established arrangements.

The clinical supervisor must:

- take overall responsibility for the arrangements for the doctor's supervision
- meet with the doctor formally, in person, at least once a fortnight for a [case-based discussion](#)
- meet with the doctor, in person, at least once a week for a [feedback session](#).

The named deputy or deputies must:

- be a senior doctor with appropriate experience. The decision about appropriate experience is at the discretion of the clinical supervisor
- be informed of the doctor's conditions or undertakings
- be on site and available to give advice and/or assistance as required
- provide feedback to the clinical supervisor about the doctor's clinical practice.



### **Directly supervised**

The doctor must be directly supervised. The supervised doctor must not work as a single-handed practitioner. The supervised doctor must not make unsupervised home visits to patients. Direct supervision means that:

- any activity that involves patient contact such as consultations, examinations and procedures must be supervised in person at all times
- all other aspects of the doctor's work must be subject to oversight and approval. This can be either by the clinical supervisor or by a suitable named deputy/deputies, under the same established arrangements made and overseen by the clinical supervisor.

If the clinical supervisor is away for more than a working week, the Responsible Officer (or their nominated deputy) must approve another practising GP to take over overall responsibility for clinical supervision under the same established arrangements.

The clinical supervisor must:

- take overall responsibility for the arrangements for the doctor's direct supervision
- make and oversee arrangements for a suitable deputy or deputies to directly supervise in person all aspects of the doctor's clinical work. The arrangements must include mechanisms for the named deputy or deputies to feedback to the clinical supervisor about the doctor's clinical practice. This feedback should be reviewed with the doctor at each feedback session.
- take responsibility at all times for all aspects of the doctor's clinical work
- ensure that all of the supervised doctor's prescribing is monitored, in a manner that the clinical supervisor feels provides suitable safeguards
- meet with the doctor formally, in person, at least once a fortnight for a [case-based discussion](#)
- meet with the doctor, in person, at least once a week for a [feedback session](#)

The named deputy or deputies must:

- be a senior doctor with appropriate experience. The decision about appropriate experience is at the discretion of the clinical supervisor
- be informed of the doctor's conditions or undertakings
- be available to give advice and/or assistance at all times
- provide feedback to the clinical supervisor about the doctor's clinical practice.

## Clinical supervision requirements for doctors working in a hospital

<b>What level should the clinical supervisor be?</b>	Consultant
<b>Which organisation should the doctor and supervisor work for?</b>	The clinical supervisor must work for the same healthcare organisation as the doctor under supervision, unless the responsible officer (or their nominated deputy) is satisfied with an alternative arrangement and this arrangement does not conflict with supervision requirements.

## How should the clinical supervision arrangements be carried out?

### Supervised

The doctor's clinical work must be supervised.

Whoever carries out the active supervision of clinical work does not need to be on site at all times but must be available to give advice and/or assistance (e.g. by phone). This can be either by the clinical supervisor or by a suitable named deputy/deputies, under the same established arrangements made and overseen by the clinical supervisor.

If the clinical supervisor is away for more than a working week, the Responsible Officer (or their nominated deputy) must name another Consultant to take over overall responsibility for clinical supervision under the same established arrangements.

The clinical supervisor must:

- take overall responsibility for the arrangements for the doctor's supervision
- meet with the doctor formally, in person, at least once a fortnight for a [case-based discussion](#).

The named deputy or deputies must:

- be a senior doctor with appropriate experience. The decision about appropriate experience is at the discretion of the clinical supervisor
- be informed of the doctor's conditions or undertakings
- be available to give advice and/or assistance as required
- provide feedback to the clinical supervisor about the doctor's clinical practice.



### **Closely supervised**

The doctor's clinical work must be closely supervised. This means that whoever carries out the active supervision of clinical work must be on site and available to the supervised doctor at all times. This can be either by the clinical supervisor or by a suitable named deputy/deputies, under the same established arrangements made and overseen by the clinical supervisor.

If the clinical supervisor is away for more than a working week, the Responsible Officer (or their nominated deputy) must name another consultant to take over overall responsibility for clinical supervision under the same established arrangements.

The clinical supervisor must:

- take overall responsibility for the arrangements for the doctor's supervision
- meet with the doctor formally, in person, at least once a fortnight for a [case-based discussion](#)
- meet with the doctor, in person, at least once a week for a [feedback session](#).

The named deputy or deputies must:

- be a senior doctor with appropriate experience. The decision about appropriate experience is at the discretion of the clinical supervisor
- be informed of the doctor's conditions or undertakings
- be on site and available to give advice and/or assistance as required
- provide feedback to the clinical supervisor about the doctor's clinical practice.



### **Directly supervised**

The doctor must be directly supervised. Direct supervision means that:

- any activity that involves patient contact such as consultations, examinations and procedures must be supervised in person at all times
- all other aspects of the doctor's work must be subject to oversight and approval. This can be either by the clinical supervisor or by a suitable named deputy/deputies, under the same established arrangements made and overseen by the clinical supervisor.

The active supervision of clinical work may be carried out either by the named clinical supervisor or by a suitable named deputy/deputies, under appropriate arrangements made and overseen by the clinical supervisor.

If the clinical supervisor is away for more than a working week, the Responsible Officer (or their nominated deputy) must name another consultant to take over overall responsibility for clinical supervision, as described in this Glossary, under the same established arrangements. The clinical supervisor or named deputies must be on site and available to the supervised doctor at all times.

The clinical supervisor must:

- take overall responsibility for the arrangements for the doctor's direct supervision
- make and oversee arrangements for a suitable deputy/deputies to directly observe in person all aspects of the doctor's clinical work. The arrangements must include mechanisms for the named deputy/deputies to provide feedback to the named clinical supervisor about the doctor's clinical practice. This feedback must be reviewed with the supervised doctor at each feedback session
- take responsibility at all times for all aspects of the doctor's clinical work.
- ensure that all of the supervised doctor's prescribing is monitored, in a manner that the clinical supervisor feels provides suitable safeguards
- meet the doctor formally, in person, at least once a fortnight for a [case-based discussion](#)
- meet the doctor, in person, at least once a week for a [feedback session](#).

The named deputy or deputies must:

- be a senior doctor with appropriate experience. The decision about appropriate experience is at the discretion of the clinical supervisor
- be informed of the doctor's conditions or undertakings
- be available to give advice and/or assistance at all times
- provide feedback to the clinical supervisor about the doctor's clinical practice.

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### **Educational supervision**

Doctors whose fitness to practise is impaired as a result of deficient professional performance must all have an educational supervisor when they are in a medical post. Educational supervision may also be required in other cases where a doctor's fitness to practise is found to be impaired.

Educational supervision is given by an educational supervisor who is an approved trainer appointed within the postgraduate training arrangements at a trust or board, led by the directors of medical education. The educational supervisor is responsible for the overall supervision and management of a doctor's learning and educational progress throughout the period of supervision. The educational supervisor must agree to give the GMC regular feedback about the doctor's educational progress, with reference to the aims of their [personal development plan](#) however the educational supervisor is not responsible for the supervision of the doctor's clinical practice.

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### **Employer / contracting body**

An employer is an organisation or individual that employs a doctor to provide medical services. For example, an NHS Trust may employ a full time consultant oncologist under a contract of employment.

A contracting body is an organisation or individual with which a doctor has a contract to provide services in, or in relation to, any area of medicine. For example, a general practitioner (GP) may have a contract with National Health Service (NHS) England to provide primary care services to a group of patients, and a private doctor may have a contract with an individual patient to provide medical services directly to them.

In the case of locum doctors their employer may be the locum agency or out-of-hours service with which they are registered, and the contracting body will be the organisation in which they work.

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## English language tests acceptable to the GMC

The GMC routinely accepts two English language tests as evidence of English language competence – the academic version of the International English Test System (IELTS) and the medical version of the Occupational English Test (OET).

Both tests have four parts – listening, reading, writing and speaking and there is no pass or fail score for either test.

### International English Language Testing System

Doctors sitting an IELTS will receive individual scores of between 9 and 1 for each of the four parts, and an overall score of up to 9 for all parts. We accept a score of at least 7 in each of the four parts, and an overall score of at least 7.5.

If doctors choose to submit an IELTS scores they must show evidence that:

- a. they achieved a score of at least 7.0 in each testing area (speaking, listening, reading and writing), and an overall score of at least 7.5
- b. they have achieved these scores in the same test
- c. they took the academic version of the test.

### Occupational English Test

Doctors sitting an OET will receive individual scores of between A and E, or a numerical score of between 500 and 0, for each of the four testing areas. We accept at least a grade B or a numerical score of at least 350 in each testing area.

If doctors choose to submit OET scores they must show evidence that:

- a. they have achieved at least a grade B or a numerical score of at least 350 in each testing area (speaking, listening, reading and writing)
- b. they have achieved these scores in the same test
- c. they took the medicine profession version.

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## Feedback session

This is a structured discussion which is part of the arrangements for [clinical supervision](#) of a doctor who has close or direct supervision as a requirement of conditions or undertakings. The session is led by the clinical supervisor and the doctor, who may both select cases on which to structure the discussion. The emphasis on the session is to give feedback, identify learning points, and give advice and support.

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## General sale list (GSL) medicines

These are medicines which are available in a wide range of shops and pharmacies and may be bought without a prescription or pharmacist supervision.

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**Intimate examination**

For the purposes of undertakings and conditions an intimate examination is an examination of breasts, genitalia or the rectum, or an examination that requires exposure of these areas.

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**Locum**

A doctor who is standing in for an absent doctor, or who is temporarily covering a vacancy, in an established post or position. A locum is often, but not always, employed by a locum agency and carries out a locum placement at a hospital or GP practice etc.

For a doctor with restricted registration, the GMC considers:

- a fixed-term contract to be the same as a locum contract
  - where a minimum duration is specified in an undertaking or condition, a zero hours contract is not an acceptable alternative to a locum post or fixed-term contract
  - where a minimum duration is specified in an undertaking or condition, the locum post must require the doctor to work at least five sessions per week for the duration of the post or contract. The doctor must take into account any planned leave to ensure that the minimum duration of the post can be fulfilled in light of that leave. a locum appointment for training (LAT) post and a locum appointment for service (LAS) post to be the equivalent of a substantive post, therefore not a true locum post in the case of fully registered doctors, ie not provisionally registered doctors.
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**Locum appointment for service (LAS)**

A short-term appointment used to fill a service gap in a training programme. LAS posts must not be taken on by provisionally registered doctors.

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**Locum appointment for training (LAT)**

An appointment to fill a gap in a training programme. LAT posts are typically only available to those in the second year of the Foundation Programme (F2) in Scotland or Northern Ireland.

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## Logs

A record of an individual clinical consultation, examination or procedure that is made at the time the consultation, examination or procedure is undertaken.

The log must always include the:

- doctor's name
- date of the consultation, examination or procedure
- patient's anonymous identifier (e.g. NHS or hospital number)
- patient's clinical signs and symptoms
- procedure carried out or diagnosis
- outcome
- any other information needed to meet the restriction on the doctor's practise (eg signature of chaperone, supervising consultant, or workplace reporter to verify the information).

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## Medical supervision

Medical supervision is the framework the GMC uses to monitor a doctor's health and progress during a period of restricted practise. Doctors whose fitness to practise is impaired as a result of adverse physical or mental health must have a medical supervisor.

The medical supervisor is appointed from an approved list held by the GMC. The medical supervisor is not responsible for or involved in the doctor's treatment or care. The supervisor meets with the doctor regularly to discuss their progress, and liaises with any treating doctors, as well as the workplace, clinical or educational supervisors. The medical supervisor will obtain information from a variety of sources but will not disclose confidential information to an employer without the doctor's consent, except in exceptional circumstances.

The medical supervisor reports to the GMC on a regular basis, setting out their opinion about the doctor's progress under treatment, whether the doctor is complying with conditions or undertakings and the doctor's fitness to practise in general.

Where the doctor has restrictions placed on their prescribing privileges, the medical supervisor will have responsibility for agreeing these. These should then be approved by the Responsible Officer.

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## Mentor

A more senior and experienced colleague who is able to offer guidance to a doctor. Mentoring is wide-ranging, covering clinical work, professional relationships and career plans. The relationship between the doctor and mentor is confidential and the GMC do not expect the mentor to give reports or feedback, other than to confirm that a mentoring relationship is in place.

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## Misuse of Drugs Regulations 2001

Drugs controlled under the *Misuse of Drugs Act 1971* are placed in schedules 1–5 of the *Misuse of Drugs Regulations 2001* based on:

- an assessment of their medicinal or therapeutic usefulness and the need for legitimate access
- their potential harms when misused.

The more harmful a drug can be when misused, the higher the schedule and the stronger the regime around its availability.

**Schedule 1:** covers drugs that have no therapeutic value and are usually used in research under a Home Office licence. Examples include cannabis, MDMA (ecstasy) and lysergamide.

**Schedule 2:** covers drugs that have therapeutic value, but are highly addictive. These are strictly controlled and subject to special requirements relating to their prescription, dispensing, recording and safe custody. Examples include potent opioids such as diamorphine and morphine.

**Schedule 3:** covers drugs that have therapeutic value, but have slightly lighter control, special requirements relating to their prescription, dispensing, recording and safe custody (where applicable). Examples include temazepam, midazolam and buprenorphine, and methylphenobarbitone.

**Schedule 4:** Part 1 covers benzodiazepines (examples include bromazepam, diazepam (Valium) and triazolam) and Part 2 covers anabolic and androgenic steroids (examples include prasterone, testosterone, nandrolone and bolandiol), which is subject to lighter regulation with no possession offence.

**Schedule 5:** covers weaker preparations of Schedule 2 drugs that present little risk of misuse and can be sold over the counter as a pharmacy medicine (without prescription). Examples include codeine, medicinal opium or morphine (in less than 0.2% concentration).

For further information and a full list of drugs classified in each schedule, please refer directly to the legislation. Please note: Though the above list was correct at the time of publication of this document, drugs may sometimes be reclassified.

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## Non-NHS post

Any paid or unpaid position where a doctor is employed or contracted to provide services in, or in relation to, any area of medicine within a private organisation or private setting. This includes providing services to NHS patients in a private setting.

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**On-call duties****For hospital doctors**

A doctor is on call when, as part of an established arrangement with their employer or contracting body, they are available outside their normal working hours, either at the workplace, at home or elsewhere, to attend work to deal with unplanned patient care.

**For GPs**

A GP may be on call when, as part of an established arrangement, they are available in normal working hours to deal with unplanned patient care. The on-call GP may be required to consult patients in the GP practice, over the telephone, or at a patient's home.

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**One month**

Any period of one calendar month, on a rolling basis.

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**One session**

A half day. Where this period is not appropriate, a session can be a continuous period of work of 3.5–5 hours.

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**One week**

Any period of seven days, on a rolling basis.

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**Out of hours work**

Work carried out during 18:30–08:00 on weekdays, and all day at weekends and on bank holidays.

The GMC may approve a different work pattern when the normal hours of a doctor's employer or contracting body do not match this time range. For example, a GP practice may normally be open from 07:00–19:00.

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**Personal development plan (PDP)**

A prioritised list of a doctor's educational needs, intended learning aims and plans for continuing professional development over a defined period. All doctors should have an active PDP that is reviewed regularly throughout their appraisal process.

For doctors with conditions or undertakings, the PDP is a starting point for remediation or retraining. The plan should cover all areas of the GMC core guidance for doctors, *Good medical practice*, but must specifically set out an action plan for addressing the deficiencies listed in the relevant condition or undertaking.

Against each action, the PDP should set out measures that will help assess whether the action has been achieved and a target date for completing the action. The doctor's responsible officer (or their nominated deputy) can give a doctor advice on how to prepare a PDP. But it is the doctor's responsibility to:

- prepare the PDP
  - seek the responsible officer's approval on the prepared PDP
  - carry out the activities needed
  - reflect on the impact of their learning on their performance and practice.
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<b>Pharmacy medicines (P)</b>	These are medicines or medicinal products that are sold in registered pharmacies. They are not on the general sale list and a pharmacist must make or supervise the sale.
<b>Place of work</b>	The location in which you carry out your work as a doctor.
<b>Post</b>	Any paid or unpaid position where a doctor is employed or contracted to provide services in any area of medicine, or in relation to any area of medicine, e.g. research, teaching or pharmaceuticals. A post can be on a locum or a substantive basis and includes work carried out in a private hospital, organisation or setting where the doctor holds practising privileges and/or admitting rights.
<b>Practising privileges</b>	A formal arrangement with a private hospital or organisation for a doctor to consult with or treat their own private patients on the premises of the hospital or organisation.
<b>Prescribing practices</b>	<p>There are three ways a doctor may have responsibility for or come into contact with drugs. These are:</p> <p><b>To administer</b> - To give a drug to a patient by any prescribed route. This includes administering a drug that has been prescribed by another healthcare practitioner, for example an intravenous painkiller in Accident and Emergency, in which case the doctor will come into direct contact with the drug.</p> <p><b>To have primary responsibility</b> - A doctor has primary responsibility for a drug when:</p> <ul style="list-style-type: none"> <li>• they hold the drug for transportation for the purposes of future administration</li> <li>• they are the practitioner with overall responsibility for the administration and disposal of a drug.</li> </ul> <p><b>To prescribe</b> - To authorise the administration of a drug to a patient by signing a document setting out:</p> <ul style="list-style-type: none"> <li>• the name of the drug</li> <li>• the route of administration</li> <li>• the amount to be administered</li> <li>• the timing of administration.</li> </ul> <p>The doctor may give the prescription to the patient or another healthcare practitioner, in which case the doctor may never come into direct contact with the drug which they have prescribed.</p>
<b>Prescription-only medication (POM)</b>	These are medicines which must be prescribed by an appropriate practitioner, e.g. a registered doctor, dentist, paramedic, pharmacist, nurse or midwife responsible for your treatment.
<b>Prohibitive undertakings</b>	Undertakings that prohibit a doctor from working in a particular area of medicine or from performing a specific procedure.

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## Provisional registration

Under the *Medical Act 1983*, a UK medical graduate is entitled to provisional registration with a licence to practise so long as their fitness to practise is not impaired. The purpose of provisional registration is to enable a graduate to participate in and complete an acceptable programme for provisionally registered doctors.

The only acceptable programme for provisionally registered doctors that the GMC recognises is the first year of the Foundation Programme (F1). Provisionally registered doctors are only allowed to take up F1 posts in the Foundation Programme and to do so they must also hold a licence to practise.

According to the GMC guidance *Promoting excellence standards for medical education and training*, F1 doctors are not allowed to take on any form of locum appointment, except a locum appointment for training (LAT) post approved by the F1 doctor's postgraduate deanery, local education and training board (LETB) or foundation school, and their medical school. LAT posts are however, typically only available at F2.

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## Responsible officer

Most doctors who are registered with a licence to practise in the UK are linked to a Responsible Officer (RO) – a senior doctor who makes sure the doctor is meeting the GMC's standards, including keeping their skills and knowledge up to date. The link is made through the doctor having a prescribed connection to an organisation with an RO. The RO must be registered with a licence to practise in the UK and have been practising for more than five years. In some cases, this may mean that the role is an extension of the current role of the medical director.

As part of our system of checks on a doctors' revalidation, the RO makes a recommendation to the GMC, usually every five years, about whether the doctor should continue to be registered with a licence to practise. The RO is also responsible for making sure the systems of local clinical governance and appraisal in their organisation are appropriate for revalidation.

Responsible Officers play a role in monitoring a doctor's compliance with restrictions and ensuring that return to practice is appropriately and safely managed. The restrictions ensure that ROs (or their nominated deputies) are involved in approving those arrangements.

If the doctor who is subject to restrictions (undertakings and/or conditions) on their practice does not have a RO, the doctor should identify another person with the necessary expertise and ability who is able to fulfil this role. That person must agree that they are able to fulfil the role. If the doctor has a Suitable Person (SP) for the purposes of revalidation, that person may be able to take on this role as they already monitor restrictions for the purpose of revalidation.

Please note that there is no legal requirement for the doctor's SP to fulfil this role. However, they may agree to do so. If the SP is not to fulfil this role, the doctor should ask another person with the necessary experience and ability who agrees to fulfil this role. Any such arrangement must be agreed with the GMC prior to the doctor starting or restarting work. If the doctor does not have a RO and cannot identify an appropriate person to fulfil this role, they should inform their GMC caseworker and should not work unless and until alternate or other arrangements have been able to be agreed with the GMC.

More information about the role of a RO in monitoring a doctor's compliance with restrictions may be found at [http://www.gmc-uk.org/concerns/employers\\_information.asp](http://www.gmc-uk.org/concerns/employers_information.asp).

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**Senior clinician**

The most senior person with clinical responsibility for your workplace.

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**Training programme**

A programme is a formal alignment or rotation of placements, which together comprise a programme of training in a given specialty (including GP and foundation training) or sub-specialty. A programme may either deliver all of the curriculum through linked stages in an entirety to Certificates of Completion of Training, or the programme may deliver different component elements of the approved curriculum.

The GMC approves programmes of training in all specialties, including general practice and foundation, which are based on a particular geographical area (which could cover one or more postgraduate deaneries or local education and training boards). They are managed by a training programme director (TPD) or their equivalent. A programme is not a personal programme undertaken by a particular doctor in training.

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**Work**

In the context of the restrictions banks, work means to work as a registered medical practitioner.

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**Workplace reporting**

Every doctor who is working and has conditions or undertakings on their registration must have a workplace reporter, appointed by the responsible officer, with the exception of doctors with interim conditions and doctors with prohibitive undertakings. The workplace reporter would normally be the doctor's immediate line manager or a senior colleague. In exceptional circumstances, the workplace reporter may be a senior administrator in the GP practice or hospital, or from the trust or board.

The workplace reporter must give regular feedback to the GMC, the medical supervisor and the responsible officer (or their nominated deputy). Feedback should include:

- confirmation that the doctor is complying with their practice-related conditions or undertakings
- any information which shows the doctor is progressing and which may suggest that restrictions may be relaxed or removed
- confirmation and details of complaints or concerns received about the doctor which reach the *GMC thresholds* guidance
- any other relevant information and documentation.

More detailed information and guidance can be found in the document *Workplace reporting for doctors with restrictions on their practice*.

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