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| Guideline to an application to vary a Certificate of an Approval in Principle to operate a Non-Emergency Patient Transport (NEPT) service |
| Non-Emergency Patient Transport – Licencing  |
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### Who can make an application?

A person or company that holds a Certificate of an Approval in Principle (AIP) to operate a Non-Emergency Patient Transport (NEPT) service may apply to transfer this certificate.

### How is the application to vary a NEPT AIP certificate assessed?

The Department of Health (the department) assesses an application to vary or transfer a Certificate of an Approval in Principle (AIP) to operate a Non-Emergency Patient Transport (NEPT) service. in accordance with the criteria prescribed in **Section 9** of the *Non-Emergency Patient Transport and First Aid Services Act 2003* (the Act). These criteria include:

* Whether the proposed transferee (individual or body corporate) is a fit and proper person(s) who are of sound financial reputation and stable financial background;
* The suitability of the equipment and vehicles to be used by the NEPT service;
* The suitability of the clinical governance, management and staffing arrangements for the service and the compliance of those arrangements with regulations and approved standards;
* The suitability of the arrangements for recording, monitoring and reviewing the clinical governance, management and staffing arrangements for the service;
* Whether the arrangements for the care to be provided by the service to patients are such that the service will be safe and of an appropriate quality.

The information required by the department to assess the application in accordance with these criteria is specified in more detail below.

### How to complete an application for the variation or transfer of a Certificate of AIP to operate a NEPT service?

**Please ensure that:**

* All documents are appropriately titled, with document control properties (e.g. version number).
* Document titles must match the corresponding *Checklist for variation or transfer of a Certificate of Approval in Principle to operate a NEPT Service.* Documents submitted are in a file format (e.g. PDF, word, excel) noting that links to ‘dropbox’ and alike will not be accepted.
* Source referenced forms from the NEPT website at <https://www.health.vic.gov.au/patient-care/non-emergency-patient-transport-licencing>
* The paperclip symbol indicates that a document is required to be attached digitally to the application.

Schedule 2 Form and Prescribed Fee

 Applicants are required to complete *Schedule 2– Application for variation or transfer of a Certificate of Approval in Principle to operate a NEPT Service* and include all information outlined below.

**The application must include the prescribed fee**. The prescribed fee depends on the number of vehicles covered by the existing licence, and when you pay the fee. The fee is indexed annually. Refer to the NEPT website (<https://www.health.vic.gov.au/patient-care/nept-licensing-fees>) to access the current fees.

Detailed evidence of the variation requested should be attached under the applicable headings. Where there is no change to the previously supplied licence it is not necessary to attach these documents.

Fitness and propriety

The Act requires that the proposed licence holder is a fit and proper person to operate a NEPT service. The following documents must be provided for the person or entity who is proposed to be the licence holder.

 The following table sets out the documents to be included:

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| **A. Natural Person (including Partnership)** | **B. Company** | **C. Incorporated Association or Other Body Corporate** |
| Name of each person,residential address andcontact telephonenumber(s) duringbusiness hours. | Name, address and telephone number of the registered company office. | Name, address and telephone number of the registered office of the incorporated association or body corporate. |
| An Australian Securities and Investments Commission (ASIC) full company extract obtained within the previous one month of making an application, as evidence of the status of the company. | Certificate of Incorporation or other document as evidence of the status of the incorporated association or body corporate.  |
| Complete ‘*List of directors or controlling officers form – NEPT*.’ | The names of each of the directors, board members or controlling officers. Complete ‘*List of directors or controlling officers form – NEPT*.’ | The most recent Annual Report or Annual Return. |
| Where the company is a subsidiary, provide a complete company structure chart that shows the relationship between entities. | The names of each of the board/committee members or controlling office bearers and the offices held by each of these persons. Complete ‘*List of directors or controlling officers form – NEPT*.’ |

 For each natural person (individual or partnership) or for each director or officer of the body corporate (e.g., company, charity, incorporated association), who does or who may exercise control over the NEPT Service:

* A completed *Declaration of fitness and propriety* form
* Nationally Coordinated Criminal History Check (Police Check) issued within the past 6 months.

Registered Business name extract

*  Where a Business Name is being used, provide a copy of the Australian Securities and Investments Commission (ASIC) Registered Business Name extract obtained in the last 30 days for the NEPT service.

Financial capacity

 The Act requires that the department considers whether persons are of sound financial reputation and stable financial background. Please arrange for an appropriately qualified independent certified practicing accountant (CPA) or associate chartered accountant (ACA) to review the proposed licence holder’s financial situation and its capacity to develop the proposed NEPT service and complete the ‘*Accountant Statement- Application for NEPT licence*’ form.

Insurance

 Provide evidence of the following insurance requirements:

* Evidence of or a quote from an insurance broker for each licence holder obtaining public liability insurance to a value not less than $20,000,000
* Evidence of or a quote from an insurance broker for each licence holder obtaining professional indemnity liability insurance to a value not less than $20,000,000.

NB: Insurance does not need to be active during the AIP process as an AIP does not allow you to operate a NEPT service.

Clinical governance

 Provide evidence of processes and policies to support the following:

* Clinical Oversight Committee (CoC) composition and terms of reference
* CoC review and audit responsibilities including the following:
* Adverse patient safety event review process (including sentinel events)
* Patient transport review process
* Patient care record audit process
* Staff survey example questions
* Clinical advice procedure including recording of requests for advice
* Process for a NEPT request to be received and accepted or rejected by the NEPT service including assigning acuity and crew mix
* Patient handover
* Clinical nominee details.

Staff Credentialling

 Provide evidence of processes and policies to support the following:

* Staff credentialling (including qualification verification, competency assessment and supervision practices)
* Proposed skills maintenance training schedule
* Skills maintenance training record template
* Staff identification (copy or photo).

Quality Assurance Plan

 Provide a Quality Assurance Plan and evidence of enrolment in or certificate of accreditation from an applicable accreditation agency or body.

The Quality Assurance Plan must include the following:

* Infection control
* Active clinical monitoring of patients
* Management of critical incidents
* Management of deteriorating patients
* Staff qualifications and training, assessment of qualifications and maintenance of the currency of qualifications
* Staff competencies and their maintenance and assessment by a registered training organisation
* Recognition of prior learning and overseas qualifications of staff providing clinical care and advice
* Access to clinical advice for crew members
* Drug security, including storage, use, disposal and records
* Manual handling of patients
* Patient records
* Transportation of personal belongings, including mobility devices
* Complaints management
* Clinical handover processes
* Vehicle equipment
* Vehicle crewing
* Vehicle and equipment maintenance
* Records of all maintenance and repairs to vehicles and equipment
* Vehicle and equipment cleaning
* Complaints register
* Process for investigating complaints.

Infection Control Management Plan

 Provide a copy of the Infection Control Management Plan which evidences how the NEPT service will:

* Identify all possible areas where there is a risk of transmission of infection and the actions to be taken to control any such risk
* Identify the steps to be followed if any action referred to above is not taken
* Identify those aspects of the service provided that require ongoing infection control
* Identify the type of education to be provided to staff involved in the provision of clinical care to patients or the cleaning of a vehicle
* State the name and qualifications of the person responsible for identifying areas of risk
* Identify the mechanism by which compliance with the infection control management plan will be monitored
* Set out a process for the use, disposal and laundering of linen
* Include the vehicle-cleaning plan.

Occupational Health and Safety

  Provide a copy of the OH&S Plan and evidence of enrolment in or certificate of accreditation issued by an applicable accreditation agency or body that includes:

* Maintenance of a hazard register
* Incident reporting and management
* Risk evaluation
* Staff safety when manually handling patients
* Recording of incidents and resulting actions.

Reporting and records

 Provide evidence of the following:

* **Reporting of sentinel and adverse patient safety events**
	+ It is a requirement that a licence holder report any sentinel events or critical incidents to the Secretary within 24 hours in addition to notification to [Safer Care Victoria](https://www.safercare.vic.gov.au/report-manage-issues/sentinel-events/notify-and-review-a-sentinel-event) within 3 days of awareness of incident. A policy outlining the management and reporting of sentinel events is required as per the Quality Assurance Plan (QAP) and clinical governance requirements.
* **Records**
	+ All patient care and staff records be maintained in accordance with regulations. Submission of a sample version of intended patient care record (PCR) and subsequent PCR usage and storage policies, PCR reviews is required. Ensure these align to clinical governance and QAP requirements.
	+ Evidence of staff competencies and training records are required as per QAP
* **Complaints**
	+ It is a requirement that a licence holder establish a complaints register and any investigations be carried out in a manner that is not detrimental to the complainant. A policy outlining the management and record keeping procedures of complaints procedure is required as per QAP.

Vehicles and equipment

 Provide the following:

* Annual equipment maintenance schedule for all equipment and vehicles used in the course of transporting patients (including biomedical testing)
* Minimum equipment list and inventory as per class of NEPT service sought
	+ Low acuity is defined in regulation 6
	+ Medium acuity is defined in regulation 7
	+ High acuity is defined in regulation 8
	+ The minimum equipment list can be found in Appendix 6 of the [Non-emergency patient transport clinical practice protocols](https://www.health.vic.gov.au/sites/default/files/2024-09/non-emergency-patient-transport-clinical-practice-protocols-2024.docx)
* *Vehicle data form - NEPT*
* Communication devices details.

If you intend to provide aeromedical transport within the proposed NEPT service, please contact the department for further information.

 Accuracy of information

It is an offence under section 50X of the *Non-Emergency Patient Transport and First Aid Services Act 2003* to knowingly make any false or misleading statement in any application to the Secretary made under the Act.

**What happens after an application to vary a Certificate AIP to operate a NEPT service is made?**

A Compliance Officer from the Regulated Services team will contact your organisation to request any further information and arrange a site inspection. Following the review of documents provided, the application will be presented to the Secretary (or Delegate) for review and a decision will be made.

Timeframes

The Secretary (or Delegate) has 60 days after receiving an application to inform the applicant of a decision. If the Secretary (or Delegate) requests the applicant to provide additional information, a decision must be made within 28 days of receipt of the information last requested or within the 60-day period, whichever is later. Applicants should keep these timeframes in mind when submitting a variation to a NEPT Service AIP certificate.

Certificate

If the Secretary (or Delegate) approves the application, an AIP certificate will be issued with the following information:

* The name and address of the holder of the certificate
* The class or classes of services that may be operated under the certificate
* The type or types of vehicles for which the certificate is issued
* The conditions to which the certificate is subject
* The date on which the certificate expires; and
* Any other prescribed matter.

Completed Applications

Email completed applications to: Attention Team Leader, NEPTFirstAidRegulation@health.vic.gov.au

Please note that incomplete applications may be returned to applicant.

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