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| Guideline to an Approval in Principle for a Non-Emergency Patient Transport (NEPT) licence |
| Non-Emergency Patient Transport – Licencing  |
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### Who can make an application?

A person or company may apply for an approval in principle (AIP) to operate a non-emergency patient transport (NEPT) service. An AIP is not compulsory; it is possible to apply for a NEPT licence without first obtaining an AIP.

The AIP process allows you to assess whether you will meet the requirements for licensing before you commit to purchasing vehicles or premises. It also allows you to remedy any issues that might prevent you from obtaining a licence.

### How is the application for an Approval in Principle assessed?

The Department of Health (the department) assesses an application for an approval in principle 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:

1. if the applicant is an individual, the applicant is a fit and proper person to operate a NEPT service; and
2. if the applicant is a body corporate, each director and officer of the body corporate who does or may exercise control over the service is a fit and proper person to operate a NEPT service; and
3. the applicant has established suitable clinical governance arrangements and management and staffing arrangements for the service; and
4. the equipment and vehicles to be used by the service are suitable.

### How to complete an application for an Approval in Principle?

**Please ensure that:**

1. all documents are appropriately titled, with document control properties (e.g. version number)
2. document titles must match the corresponding *Checklist for an application Approval in Principle NEPT Licence*
3. documents submitted are in a file format (e.g. PDF, word, excel) noting that links to ‘dropbox’ and alike will not be accepted
4. source referenced forms from the NEPT website at <https://www.health.vic.gov.au/patient-care/non-emergency-patient-transport-licencing>.
5.  The paperclip symbol indicates that a document is required to be attached digitally to the application.

Schedule 1 Form and Prescribed Fee

 Applicants are required to completed *Schedule 1 - Application for Approval in Principle to operate a Non-Emergency Patient Transport (NEPT) Service* and include all information outlined below.

**The application must include the prescribed fee**. The prescribed fee is 124 fee units. This 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.

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 and contact telephone number(s) during business 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:

1. a completed *Declaration of fitness and propriety* form
2. Nationally Coordinated Criminal History Check (Police Check) issued within the past 12 months.
3. 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:

1. 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
2. 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:

1. Clinical Oversight Committee (CoC) composition and terms of reference
2. 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
1. staff survey example questions
2. clinical advice procedure including recording of requests for advice
3. process for a NEPT request to be received and accepted or rejected by the NEPT service including assigning acuity and crew mix
4. patient handover
5. clinical nominee details.

Staff Credentialling

 Provide evidence of processes and policies to support the following:

1. staff credentialling (including qualification verification, competency assessment and supervision practices)
2. proposed skills maintenance training schedule
3. skills maintenance training record template
4. 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:

1. infection control
2. active clinical monitoring of patients
3. management of critical incidents
4. management of deteriorating patients
5. staff qualifications and training, assessment of qualifications and maintenance of the currency of qualifications
6. staff competencies and their maintenance and assessment by a registered training organisation
7. recognition of prior learning and overseas qualifications of staff providing clinical care and advice
8. access to clinical advice for crew members
9. drug security, including storage, use, disposal and records
10. manual handling of patients
11. patient records
12. transportation of personal belongings, including mobility devices
13. complaints management
14. clinical handover processes
15. vehicle equipment
16. vehicle crewing
17. vehicle and equipment maintenance
18. records of all maintenance and repairs to vehicles and equipment
19. vehicle and equipment cleaning
20. complaints register
21. process for investigating complaints.

Infection Control Management Plan

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

1. identify all possible areas where there is a risk of transmission of infection and the actions to be taken to control any such risk
2. identify the steps to be followed if any action referred to above is not taken
3. identify those aspects of the service provided that require ongoing infection control
4. 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
5. state the name and qualifications of the person responsible for identifying areas of risk
6. identify the mechanism by which compliance with the infection control management plan will be monitored
7. set out a process for the use, disposal and laundering of linen
8. include the vehicle-cleaning plan.

Occupational Health and Safety (OH&S) Plan

 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:

1. the maintenance of a hazard register
2. incident reporting and management
3. risk evaluation
4. staff safety when manually handling patients
5. recording of incidents and resulting actions.

 Reporting

 Please provide evidence of the following:

1. **Reporting of sentinel and adverse patient safety events**
	1. It is a requirement that a licence holder report any sentinel events or critical incidents to the Secretary within 24 hours.
2. **Records**
	1. All patient care and staff records be maintained in accordance with regulations.
3. **Complaints**
	1. 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.

Vehicles and equipment

 Provide the following:

1. proposed annual equipment maintenance schedule for all equipment and vehicles used in the course of transporting patients (including biomedical testing)
2. proposed equipment list and inventory
3. proposed vehicle procurement plan including details of proposed vehicle fit out
4. communication devices details
5. 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 50(b) of the Act to knowingly make any false or misleading statement in any application to the Secretary made under the Act.

**What happens after an Approval in Principle application is made?**

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.

Certificate of Approval in Principle

If the Secretary (or Delegate) approves the application, a certificate of Approval in Principle will be issued with the following information:

1. the name of the person to whom it is issued
2. any conditions to which it is subject
3. the types of vehicles for which the approval is granted
4. the classes of non-emergency patient transport services for which the approval is granted
5. the period during which the approval continues in force (being one year or, if the Secretary considers it appropriate that the period be longer or shorter, the period so specified by the Secretary)
6. any other prescribed matter.

Completed Applications

Email completed applications with the subject heading: ‘Attention: NEPT AIP application ‘, to NEPTFirstAidRegulation@health.vic.gov.au

Please note that incomplete applications may be returned to applicant.

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