

## Guidelines: Consultation draft

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Date: 22 December 2010

### Proposed Guidelines on supervision (for Limited registration)

#### Introduction to the consultation draft

Under the *Health Practitioner Regulation National Law Act 2009* (the National Law), the Dental Board of Australia (the Board) is empowered to develop and approve guidelines to provide guidance to registered dental practitioners.

The Board has drafted *Guidelines on supervision* to supplement the requirements set out in the Board's (draft) registration standards relating to **Limited registration**. The guidelines outline the Board's expectations of supervisors and the limited registrants being supervised and its requirements for supervision planning and reporting. The Board has also prepared a template Supervision Plan and a template Supervision Report to provide additional guidance.

#### *Your comments invited*

The Board now invites interested stakeholders to provide their written comments on the draft documents. Your feedback can be emailed or posted:

**To:** The Executive Officer  
Dental Board of Australia

**Email:** [dentalboardconsultation@ahpra.gov.au](mailto:dentalboardconsultation@ahpra.gov.au) or  
**Post:** GPO Box 9958  
Melbourne VIC 3001

**Due date:** Friday **18 March 2011**.

Your submission will be published on the website unless you request otherwise.

The Board will consider all submissions received before finalising the proposed guidelines and publishing them on the website.

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## GUIDELINES ON SUPERVISION Roles and Responsibilities of the Supervisor and requirements of a Supervision Plan and Supervision Report

### Introduction

These Guidelines have been developed by the Dental Board of Australia ('the Board') under section 39 of the *Health Practitioner Regulation National Law Act 2009* ('National Law').

A number of the Limited Registration - Registration Standards (the Standards) for dental practitioners require the **Limited registrant** to have a supervisor and in addition, some supervisors of *Limited registrants* are required to provide supervision plans and reports to the Board. The Standards establish the requirements of the Board in relation to a supervisor, supervision plans and supervision reports. These Guidelines provide further detail in relation to the requirements of the Standards and the roles and responsibilities of the supervisor and the requirements of a supervision plan and supervision report.

The purpose of supervised practice is to ensure that:

- (a) the Limited registrant's performance is evaluated and monitored;
- (b) the Limited registrant demonstrates that she or he can practise the profession safely and competently; and
- (c) the Limited registrant develops skills that enable her or him to operate within the local and Australian health care systems.

### Who needs to use these guidelines?

These Guidelines apply to **Limited registrants** who have a supervisor and to **supervisors of Limited registrants** who are required to provide supervision plans and reports to the Board.

These Guidelines do **not** apply to the broader supervision requirements of dental practitioners. Dental practitioners with general registration are able to supervise the practice of other dental practitioners or student dental practitioners which is within their scope of practice Registration Standard. For dental therapists, dental hygienists and oral health therapists the supervision of other dental practitioners or student dental practitioners must be included in the arrangements of the structured relationship with a dentist.

### Summary of guidelines

The Board has developed these Guidelines to further set out:

1. the requirements of a supervisor;
2. the requirements of a supervision plan; and
3. the requirements of a supervision report.

#### 1. Supervisor

The nominated supervisor must have a minimum of **four (4) years** experience and **must** have current registration as a general dental practitioner in Australia.

For those employed in the public sector the nominated supervisor **must hold a clinical public sector position which is of a higher level than that held by the Limited registrant.**

Supervisors must ensure that the Limited registrant, who has not practised in an Australian health care setting, is provided with a Practice Induction/Orientation program which includes an overview of the

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health system in Australia, an introduction to professional standards, information on cultural differences and practice policies and procedures.

The supervisor should be a person who has consented to act as a supervisor and must be listed on the original application form for Limited registration (unless the Board has been advised in writing and agreed to a change in supervisor during the course of the employment). The supervisor should be able to comply with the requirements of the supervision required. The relationship between supervisor and registrant must be professional. Therefore the Board will not approve a supervisor to supervise someone who is a close relative or friend or where there is another potential conflict of interest that could impede objectivity and/or interfere with the Limited registrant's achievements of learning outcomes or relevant experience. Supervisors should not themselves be subject to supervisory arrangements.

The supervisor must take reasonable steps to ensure that the registrant is practising safely by such measures as direct observation, individual case review, periodic performance review and remediation of identified problems or other techniques that are relevant to the limited registration category.

## Requirements for Supervisor to notify the Board

The supervisor must notify the Board immediately if there are concerns in relation to the registrant's clinical performance, health or non-compliance with conditions or undertakings. The supervisor must ensure that the registrant is practising in accordance with the approved work arrangements and must notify the Board of non-compliance with, or of any proposed changes to, those arrangements.

The Board must be notified if the supervisor is no longer able to provide the level of supervision that is required. A notification to the Board is not required if the supervisor takes temporary leave from their supervising role for a period of up to 3 months. However, the nominated supervisor must arrange for another general registrant to undertake supervision while the nominated supervisor is on leave.

## 2. Supervision plan

The supervision plan must detail the type and amount of supervision the supervisor will provide to the applicant for Limited registration (it needs to be submitted with the application for limited registration). It should reflect a balance between the applicant's current level of training, competence and scope of practice and the employment role or the nature of the training program.

(A sample template for this Plan is provided at Attachment A.)

## 3. Supervision report

The Supervision Report is the annual (or more regular) report which is provided to the Board. The Supervision Report should provide detail against the requirements of the supervision plan and reflect whether or not the elements of the supervision plan are being achieved and if not, the measures implemented to address those elements not achieved.

(A sample template for this Report is provided at Attachment A.)

## Reference

- Dental Board of Queensland - Policy and Procedure - No 19 - Special Purpose Registration Of Dentists Under Queensland Public Sector Dental Workforce Scheme

## Review

Date of issue:

Date of review: The Board will review these Guidelines every three years.

Last reviewed:

### Supervision Plan and Supervision Report for Limited Registration

#### Introduction

#### Who needs to provide supervision plans and reports and when do they need to be provided?

The table below summarises the supervision planning and reporting requirements for the various types of limited registration categories.

**Table: Overview of supervision requirements for categories of Limited registration**

No	Section of the National Law	Type of Limited Registration	Requirements for Supervision		
			Plan	Report	Report Frequency
1.	66	To undertake supervised practice in the Public Sector Dental Workforce Scheme [PSDWS] Where qualifications are on <i>ADC approved list</i>	✓	✓	12 monthly, at renewal
2.	66	To undertake supervised practice in the Public Sector Dental Workforce Scheme [PSDWS] where qualifications are <i>not</i> on <i>ADC approved list</i>	✓	✓	3 monthly <i>including at renewal</i>
3.	66	To undertake <b>Postgraduate</b> training	✓	✓	12 monthly at renewal
4.	66	To sit an <b>examination</b> or undertake a clinical training program in preparation prior to sitting an examination	x	x	N/A
5.	68	To practise in the <b>Public Interest</b> Where duration of registration is ≤ 1 month	x	x	N/A
6.	68	To practise in the <b>Public Interest</b> Where duration of registration is ≥ 1 month and ≤ 3 months	✓	x	N/A
7.	69	To fill a <b>Teaching</b> position	✓	✓	3 monthly <i>including at renewal</i>
8.	69	To fill a <b>Research</b> position	✓	✓	3 monthly <i>including at renewal</i>

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## Supervision Plan and Supervision Report for Limited Registration

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### Purpose of the Supervision Plan and Report

Supervision should be an interactive process between the registrant and the supervisor. The supervisor should monitor and oversee the registrant and give direct feedback and instructive critique to assist them. The evaluation process should be:

- **clear:** supervisor needs to be clear and honest about the message being delivered
- **regular:** feedback should be given at each supervision session
- **balanced:** a balance of negative and positive feedback should be given
- **specific:** generalised feedback is difficult to learn from.

The Dental Board of Australia (the Board) has established its *Guidelines on Supervision* to provide guidance to practitioners about what it expects of both the supervisor and the registrant being supervised. The primary reason for requiring supervision in these situations is to ensure that the registrant practises safely.

The supervisor is responsible for ensuring that the registrant's work or training is conducted in accordance with the Board-approved supervision plan.

Supervisors have an ethical responsibility to monitor the quality of dental care that is being delivered by the registrant.

### The Supervision Plan

When preparing the supervision plan, the requirements of the Board's *Guidelines on Supervision* and these planning and reporting templates should be reviewed to ensure the supervisor and registrant are clear about the required documentation, the expectations of both parties and the Board's reporting requirements. The following matters are relevant in planning the supervision:

- availability of the supervisor
- expectations, rights and responsibilities of both parties
- reporting arrangements including those outside the requirements of the supervised practice program; for example, at the workplace
- processes for feedback
- objectives to be achieved during the supervision period and how these will be achieved
- method of supervision
- scope of supervision
- frequency of supervision.

The specific details of the supervision arrangement will vary depending on the nature and purpose of the limited registration as well as the experience and employment history of both the supervisor and the registrant.

In the context of employment in a **Public Sector Dental Workforce Scheme** supervision may focus on evaluating the core areas of general dental practice in which the registrant must demonstrate competence and safety. The purpose of the supervised practice program in the public sector is that:

- the registrant's performance is monitored and evaluated
- the registrant demonstrates that he or she can practise the profession safely and competently
- the registrant develops skills that enable him or her to operate within the local and Australian health care systems.

The Board's expectation is that the supervisor and registrant meet regularly to monitor practice performance including workload and any significant clinical issues. The extent of the supervision may vary over time as the registrant becomes more confident. The supervisor ensures that:

- the practice of the registrant is in accordance with acceptable standards
- there are mechanisms in place to ensure that the registrant is practising at a safe standard
- the treatment provided and treatment outcomes are reviewed, via eg random audit of patients which also verifies that the scope of routine dental practice has been undertaken.

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### Supervision Plan and Supervision Report for Limited Registration

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The registrant takes responsibility for individual patient care. The supervisor maintains an indirect responsibility for the patient through ensuring that appropriate safeguards are in place for monitoring performance and referral as required.

#### The Supervision Report

The Board expects the supervision reports to identify any issues that the supervisor believes the Board should be aware of, as they impact on the ability of the registrant to practise in a way that ensures the safety of the public.

In the supervision report, the supervisor reports on how the supervision plan has been implemented, highlighting where necessary any shortfalls or issues with the implementation and the proposals to address and rectify any problems. A supervision report includes a clear evaluation of the registrant's work performance, progress and plans for his or her future development.

It is expected that the supervision arrangements will be reviewed and may need to be changed during the period of supervision.

#### Monitoring

The Board or one of its Registration Committees will review the supervision plans and reports submitted and may require additional information from the supervisor or the registrant.

The Board will rely on supervisors to assess the needs of the registrant and put in place the appropriate level and type of supervision within the parameters outlined here and in its *Guidelines on supervision*.

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## SECTION A. DETAILS OF REGISTRANT

Full Name	
Division of Registration	
Registration Number (if known)	
Date of Birth	

## SECTION B. DETAILS OF SUPERVISOR

Full Name	
Division of Registration	
Registration Number	
Date of Birth	
Job Title	
Description of supervisor's role in organisation that is employing or training registrant	

## SECTION C. DETAILS OF EMPLOYMENT / POSTGRADUATE TRAINING / PUBLIC INTEREST ROLE / TEACHING POSITION / RESEARCH POSITION

What category of Limited registration is being sought? [*Please tick relevant category*]

- Public Sector Dental Workforce Scheme employment
- Postgraduate training
- Public Interest
- Teaching position
- Research position

Describe the **location, duration and nature** of the registrant's employment role or postgraduate training:

Location	
Duration	
Description of registrant's employment role /postgraduate training	

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## SECTION D. DETAILS OF SUPERVISION ARRANGEMENT

Describe the type of supervision that is being proposed for the registrant (include the nature, extent, amount, method and type of supervision to be provided)

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## SECTION E. UNDERTAKINGS

In signing this plan, the **supervisor** undertakes:

- to carry out the supervision in the manner set out here
- to take reasonable steps to ensure the registrant is practising safely and is not placing the public at risk
- to observe the registrant's work, conduct case reviews, periodically conduct performance reviews or other supervision activities as described in the plan or identified as required during the period of supervision and address any problems that are identified
- to notify the Board immediately if she or he has any concerns about the registrant's clinical performance, health or failure to comply with the requirements of the terms of the limited registration
- to inform the Board if she or he is no longer able to undertake the role of the registrant's supervisor
- to provide supervision reports to the Board at **3 OR 12** *monthly* intervals  
[circle the relevant period]

### Supervisor

Name	
Signature	
Date	/ /

In signing this plan, the limited **registrant** undertakes:

- to practise dentistry in accordance with the supervision requirements set out here
- to take reasonable steps to ensure she or he is practising safely by such measures as seeking assistance from other practitioners, cooperating in individual case reviews, periodic performance reviews with the supervisor and seeking remediation of identified problems
- to seek assistance if she or he has concerns about her or his own health, clinical performance or compliance with any conditions or undertakings
- to practise in accordance with the approved work arrangement

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- to notify the Board immediately if she or he has concerns about the terms of the supervision arrangement
  - to ensure that supervision reports are provided to the Board at **3** *OR* **12** *monthly* intervals  
(including at renewal) [circle the relevant period]

### Registrant

Name	
Signature	
Date	/      /

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## **Notes:**

- If the Board identifies that the supervisory arrangements have not been complied with, it will take appropriate action which may include cancelling or refusing to renew registration.
- The supervisor is to complete this report.

## **SECTION A. DETAILS OF REGISTRANT**

Full Name	
Division of Registration	
Registration Number	

## **SECTION B. DETAILS OF SUPERVISOR**

Full Name	
Division of Registration	
Registration Number	

What type of Limited registration does the registrant have? *[Please tick relevant category]*

- Public Sector Dental Workforce Scheme employment
- Postgraduate training
- Public Interest
- Teaching position
- Research position

## **SECTION C. DETAILS OF SUPERVISION ARRANGEMENT**

1. Is this the first supervision report for the registrant?

- Yes - Go to Question 2
- No - Go to Question 3

2. When did the registrant complete the orientation program?

*Note: Limited registrants must undertake an induction or orientation program which includes an overview of the health system in Australia, an introduction to professional standards, information on cultural differences and practice policies and procedures.*

...../...../.....  
day month year

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3. When was the last supervision report for the registrant provided to the Board?

...../...../.....  
day month year

4. Have the supervision requirements for the registrant changed since the last report?

Yes

No

If yes, provide details

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5. Has the location of the registrant's practice changed since the last report?

Yes

No

If yes, provide details

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6. Has the nature of the registrant's work or role for which supervision is being provided changed since the last report?

Yes

No

If yes, provide details

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**7. What is the plan for supervision of the registrant in the coming 3 or 12 months?  
Provide details**

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**8. Has the registrant's performance in the period since the last report been satisfactory?**

**Yes**

**No**

*Supervisors can refer to the examples of clinical competencies for general dental practice and safe practice principles listed at Appendix 1 below for information about what the Board would expect the evaluation to incorporate.*

If **Yes**, describe how the registrant's performance has been evaluated and the key outcomes of that assessment

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If **No**,

a) describe how the registrant's performance has been evaluated and the key outcomes of that assessment (include an outline of the ways in which the registrant's performance has not been of a satisfactory standard)

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b) outline what actions you and the registrant plan to take to address any shortfalls in knowledge, skills, attitudes and behaviours that have been identified

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TEMPLATE Supervision Report**

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**Supervisor**

Name

Signature

Date

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## TEMPLATE Supervision Report

### Examples of general dental practice clinical competencies and safe practice principles expected of limited registrants

The supervisor should ensure that the registrant is practising dentistry in a professional and safe manner and assess the quality of the work performed by the registrant in a range of clinical procedures that are required for general dental practice. The Board expects that workplaces employing practitioners in limited registration categories would have performance management processes in place and competency 'checklists' that cover the kinds of matters outlined below.

*The following list identifies some of the key areas in which the Board would expect a supervisor to assess the registrant's performance and competency.*

AREA	EXAMPLES OF BEHAVIOURS AND ABILITIES
<b>Clinical teamwork</b>	<ul style="list-style-type: none"> <li>• Communicates openly and effectively with clinical support staff</li> <li>• Maintains effective communication with other health professionals</li> </ul>
<b>Personal development and ethics</b>	<ul style="list-style-type: none"> <li>• Takes responsibility for improving own knowledge and skills</li> <li>• Seeks feedback from supervisor and colleagues</li> <li>• Gives appropriate feedback in clinical team</li> <li>• Readily accepts supervisor's recommendations</li> <li>• Practices in an ethical manner</li> <li>• Complies with workplace health and safety practices and confidentiality and privacy requirements</li> </ul>
<b>Knowledge</b>	<ul style="list-style-type: none"> <li>• Demonstrates sound understanding of mechanisms underpinning medical conditions and oral conditions</li> <li>• Demonstrates sound understanding of rationale for various dental procedures</li> </ul>
<b>Critical thinking and clinical reasoning</b>	<ul style="list-style-type: none"> <li>• Reflects and learns from past experiences</li> <li>• Makes balanced, thoughtful, evidence-based clinical decisions</li> <li>• Makes appropriate self-assessment of clinical sessions</li> <li>• Understands own limitations and knows when to refer</li> </ul>
<b>Patient management</b>	<ul style="list-style-type: none"> <li>• Takes into account patient needs and expectations</li> <li>• Provides appropriate feedback to patients</li> <li>• Effectively communicates appropriate oral health information and advice relating to treatment of patients</li> </ul>
<b>Clinical diagnostic and treatment skills</b>	<ul style="list-style-type: none"> <li>• Demonstrates skills in accurate history taking, clinical examination and treatment planning for elective and emergency care</li> <li>• Demonstrates competency in evaluation of treatments performed</li> <li>• Has skills in recognising oral/dental implications of medical conditions and medications used by patients</li> <li>• Formulates patient-focussed, appropriate treatment plans</li> <li>• Provides care following the appropriate treatment plan</li> <li>• Demonstrates knowledge of appropriate materials and procedures</li> <li>• Maintains accurate clinical dental records</li> <li>• Demonstrates effective infection control procedures at all times</li> </ul>