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| Approval in Principle (AIP) |
| Guide to application for AIP for a Non-Emergency Patient Transport serviceApril 2016 |

# Guide to application for Approval in Principle for a Non-Emergency Patient Transport (NEPT) service

## Who should apply for an Approval in Principle?

Any person planning to operate a Non-Emergency Patient Transport (NEPT) service in Victoria may apply for Approval in Principle (AIP) to operate the NEPT service. An AIP to operate a NEPT service is not compulsory – it is possible to apply for a NEPT licence without an AIP. The AIP process allows you to:

* Obtain an assessment of whether you will meet the requirements for licensing before you commit to purchasing vehicles or premises; and
	+ Remedy any issues that might prevent you from obtaining a licence.

In addition, the Department cannot refuse to issue a licence on any ground that is inconsistent with an AIP.

When the NEPT service is set up the operator then needs to complete the application process for a NEPT service licence.

## How is the application assessed?

The Department assesses an application of a NEPT licence in accordance with the criteria detailed in section 9 of the NEPT Act. These criteria include:

* Whether the applicant is a fit and proper person to operate a NEPT service; and
	+ The suitability of the equipment and vehicles that are proposed to be used in the NEPT service having regard to the safety, health and well being of the patients who are likely to be transported in the vehicles and the requirements of the NEPT Regulations.

## How to complete an application for an AIP

 The paperclip symbol indicates that a document is required to be attached to the application.

### 1. Schedule 1 form and prescribed fee

 Applicants are required to complete Schedule 1 - Application for approval in principle to operate a non-emergency patient transport service (see attached form) and include all the information outlined below.

**The application must include the prescribed fee.** The fee is indexed annually Click [here](https://www2.health.vic.gov.au/hospitals-and-health-services/patient-care/ambulance-and-nept/non-emergency-transport/applying-to-be-nept/nept-licensing-fees) to access the current fees.

**Cheques or money orders should be made payable to “Department of Health”.** Payment by EFT is also available. The Department can provide an invoice to assist you with making payment.

The Department requests the following information to assist the Secretary (or Delegate) in considering the above criteria and deciding whether to grant a NEPT licence. If additional information is required, the applicant will be notified.

### 2. Fitness and propriety

The NEPT Actrequires that the Department ensures 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) company extract search obtained with 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.  |
| The names of each of the directors (see attached form). | The most recent Annual Report or Annual Return. |
| Where the company is a subsidiary, provide a complete company structure chart. | The names of each of the board/committee members or controlling office bearers and the offices held by each of these persons (see attached form). |

 For each natural person or for each director and officer of the body corporate who does or who may exercise control over the NEPT service provide:

* a completed Statutory Declaration – Fitness and Propriety (see attached form);
* A National Police Certificate (either an original or a certified copy) issued within the past 6 months.\* Online applications can be downloaded fromthe[**Victoria Police website**](http://www.police.vic.gov.au/content.asp?Document_ID=274)**.**

Complete the form and send directly to Victoria Police. Please forward the original certificate to the Department (it will be copied and returned to you). **Please do not forward the application form for the police check to the Department.**

### 3. Financial capacity

The NEPT Act requires that the Department consider 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 NEPT service, and complete the relevant form.

### 4. Business name extract

 Provide a copy of the Certificate of Registration of Business Name which can be obtained from Consumer Affairs Victoria for the proposed name of the NEPT Service.

### 5. Vehicles

The NEPT Regulations contain requirements for vehicles (including aircraft).

 Please review the requirements of the NEPT Regulations for the particular type of service you are applying for and provide details about the vehicles that are proposed to be used for the NEPT service and the equipment that will be used in the vehicles.

### 6. Management and staffing

The *Non-Emergency Patient Transport Regulations 2016* (NEPT Regulations) contain a number of requirements for:

* Staffing of vehicles according to the acuity of patients
* Competence, skills and experience of staff
	+ Annual mandatory training

 Please provide copies of the following documents:

* Staff policies relating to clinical requirements, credentialing, orientation and training; and
* Details of the staff profile for each of the types of services (low, medium or high acuity) that you propose to provide.

### 7. Quality

Regulation 30 of the NEPT Regulations requires that a person applying for a licence must have obtained accreditation or certification of their Quality Assurance Program from a recognised body or obtain it within 3 months of being granted a licence.

When you apply for a licence you will be required to submit either:

* A gap analysis of your draft quality assurance plan; or
	+ A copy of your quality assurance plan and accreditation

 Please provide details of your proposed quality accreditation/certification arrangements.

 Please provide details of your proposed infection control management arrangements.

### 8. Accuracy of information

It is an offence under section 50(b) of the *Non-Emergency Patient Transport Act 2003* to knowingly make any false or misleading statements in any application to the Secretary made under this Act.

## What happens after an application is made?

An Officer from the Private Hospitals Branch will contact your organisation to request any further information or clarification of information that has been provided.

### Timeframes

The Secretary (or Delegate) has 60 days after receiving an application (comprising the Schedule 4 form and the prescribed fee) 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 an application for AIP.

### Certificate of AIP

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

* the name of the person to whom the certificate is issued;
* any conditions to which the AIP is subject;
* the type or types of vehicles for which the approval is granted;
* the class or classes of services for which approval is granted;
	+ the period during which the approval continues in force (usually one year, but it may be shorter or longer).

### Completed application should be sent to:

Manager

Private Hospitals Unit

Private Hospitals Branch

Department of Health

GPO Box 4541

MELBOURNE VIC 3001

If you require further information please contact the Private Hospitals Unit on +61 (3) 9096 2164.

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