

Guidance

Undertakings bank for the case examiners

For consultation only - guidance not in use

Introduction

Where the case examiners determine that the allegation ought to be considered by a practice committee, the case examiners must either:

- a. refer the allegation to the appropriate practice committee, or
- b. invite the registrant to comply with such undertakings as the case examiners consider appropriate (except where there is a realistic prospect that, if the allegation were referred for consideration by a practice committee, the registrant's name would be erased from the register)¹.

Undertakings are a useful and proportionate tool to support the resolution of concerns about the fitness to practise of a registrant. They are an agreement between the GDC and a registrant about the registrant's future conduct or practice, and they should always be considered where there is no real prospect of erasure.

Undertakings may be agreed to limit a registrant's practice, for example by them undertaking not to practise in certain circumstances, carry out certain treatments, or treat particular categories of patient without supervision. Registrants may also undertake, for example, to undergo particular training, or to provide reports, logs, and/or audits to the GDC.

Like any disposal option considered by the case examiners, undertakings must meet the GDC's overarching objective which is protection of the public².

Undertakings may be appropriate when the following factors are present:

- a. There are discrete aspects of the registrant's practice where shortcomings have been identified.
- b. The registrant has shown evidence of insight (please refer to section on insight, set out at paragraphs [89] to [94] of Guidance for the case examiners).
- c. The registrant has indicated a willingness to respond positively to undertakings or proactively offered to accept undertakings.
- d. It is possible to formulate undertakings that will protect the public during the period they are in force.
- e. It is possible to formulate undertakings that protect the wider public interest.
- f. It is possible to formulate workable undertakings that do not in effect amount to a suspension.

In general, undertakings should be:

¹ Rules 6(6) and 6(7) of the Rules.

² Sections 1(1ZA) and 1(1ZB) of the Dentists Act 1984 (the Act).

- a. necessary in order to protect the public, maintain public confidence in the professions, or maintain proper professional standards
- b. workable
- c. enforceable, including (where applicable) having clear and appropriate timeframes for compliance
- d. clear
- e. relevant
- f. addressed only to the registrant (not to third parties)
- g. proportionate to the issues identified
- h. written in such a way that compliance can be monitored.

Using this undertakings bank

The undertakings set out in the bank below have been designed to help guide case examiners when formulating a set of undertakings.

Case examiners have discretion in relation to the undertakings which are offered and how they are worded. This undertakings bank, however, aims to support consistency and, as such, it is recommended the undertakings are only adapted where necessary.

It is presented in three sections:

1. The first has standard undertakings which should be used in all sets of undertakings.
2. The second has undertakings that can be used to address clinical or behavioural concerns.
3. The final section has undertakings that can be used to address risks arising from health concerns.

The 'guidance column' is designed to assist in selecting the appropriate undertakings to address the areas of concern identified by the case examiners.

Please note that all 'days' referred to within this undertakings bank refer to calendar days.

Throughout the undertakings found in the bank, square brackets (e.g. [X]), indicate the need to include text to tailor the undertaking to suit the individual circumstances of the case, so the areas of concern identified can be addressed appropriately.

The following abbreviations are used throughout:

- Confidential (C)
- Dental care professional (DCP)

- General Dental Council (GDC)
- Non-confidential (NC)

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Section 1: Standard undertakings

In any set of undertakings agreed with a registrant, undertakings 1 to 4 should be included.

In all sets of undertakings:

- Numbers 1 to 3 should be the first undertakings listed.
- Number 4 should be the final undertaking listed.

These standard undertakings allow for the monitoring of the registrant's practice while undertakings are in place.

1.0	Standard undertakings	C/NC	Guidance column
1	I undertake to provide the GDC, within seven days, the contact details and arrangements for any appointment I accept or are currently undertaking which requires GDC registration, and allow the GDC to exchange information with my employer or any contracting body for which I provide dental services. [I also undertake to provide the GDC, within seven days, the contact details for the commissioning body in whose Dental Performers List I am included, or seeking inclusion (at the time of application)]	NC	<p>You should always include this undertaking as it ensures the GDC knows if and where the registrant is practising at any time when the undertakings apply.</p> <p>Without this undertaking, the GDC may not be able to monitor compliance with the restrictions agreed to by the registrant.</p> <p>You should include the text in square brackets if the registrant is a dentist working with the NHS.</p>
2	<p>From the date that these undertakings take effect, I undertake to inform the GDC within seven days of being notified of:</p> <ol style="list-style-type: none"> any formal disciplinary action taken against me any NHS investigation any regulatory or enforcement action taken against me or a practice for which I am the registered provider any patient complaint received about my clinical practice or conduct at work. 	NC	<p>You should always include this undertaking so that the GDC is notified of any further concerns raised about the registrant while the undertakings apply.</p> <p>The undertaking also ensures the GDC can monitor any new patient complaints received about the dental professional's work or conduct at work. The GDC can use this to check if these are similar in nature to the areas of concern that undertakings were intended to address and consider whether the current undertakings are still appropriate, or whether they may need to be varied.</p>
3	I undertake to inform the GDC, within seven days of these undertakings	NC	This ensures that the GDC is aware if the

1.0	Standard undertakings	C/NC	Guidance column
	<p>taking effect, if I am registered with any overseas regulator (or equivalent authority) or within seven days of making an application for registration with any overseas regulator or equivalent authority.</p>		<p>registrant is practising in another country.</p> <p>The GDC are then able to notify the appropriate overseas regulator(s) of the undertakings that have been agreed with the registrant.</p>
4	<p>I undertake to inform the following parties that my registration is subject to the undertakings listed at [X] to [X]:</p> <ul style="list-style-type: none"> • Any organisation or person employing me or who has an arrangement with me to undertake dental work (within seven days). • Any professional regulatory body I am registered with (within seven days), or apply to be registered with (at the time of application). • Any locum agency or out-of-hours service I am registered with (within seven days), or apply to be registered with (at the time of application). • Any prospective employer (at the time of application), or any organisation or person with whom I intend to enter into an arrangement to undertake dental work (at the time the arrangement is made). • [The commissioning body in whose Dental Performers List I am included (within seven days), or seeking inclusion (at the time of application)] <p>I undertake to forward written evidence of my compliance with this undertaking to the GDC within seven days of</p>	NC	<p>This should usually be listed as the final undertaking in any set of undertakings.</p> <p>All non-confidential undertakings should be entered into the brackets marked at [X].</p> <p>Include the text in square brackets if the registrant is a dentist who is working with in the NHS (final bullet point, left).</p>

1.0	Standard undertakings	C/NC	Guidance column
	notifying the relevant parties of my undertakings.		

Undertaking 5 should be included for any registrant living outside of the UK.

1.1	Dental professionals who reside or work outside the UK	C/NC	Guidance column
5	I undertake to immediately inform the GDC if you return to the UK to provide dental services which require GDC registration.	NC	<p>This undertaking enables the GDC to effectively monitor compliance with undertakings should a registrant return to practise in the UK.</p> <p>This should be the first undertaking for any registrant living outside the UK.</p>

Section 2: Undertakings relating to clinical or behavioural concerns

Undertakings 6 to 12 can be used where the concerns regarding the registrant's fitness to practise relate to their clinical competency.

2.0	Workplace supervision	C/NC	Guidance column
6	At any time I am employed to provide dental services which require me to be registered with the GDC, I undertake to remain under the [direct/close/delete altogether for standard] supervision* of a workplace supervisor nominated by me and approved by the GDC. The workplace supervisor must be [a GDC registered dentist; a GDC registered dentist or DCP (where applicable - in the same prescribed profession of the register as you); or a GDC registered dentist with experience in [X specialty]].	NC	<p>If you use this undertaking, you need to consider what level of supervision is required. Undertaking 6 should be used where you feel supervision, close supervision, or direct supervision (the different levels of workplace supervision are defined within the Glossary of Terms) in the workplace is required to address the shortcoming identified by the case examiners.</p> <p>Whether undertakings are workable is one of the considerations case examiners should take into account. As such, where direct supervision is required, consideration should be given</p>

2.0	Workplace supervision	C/NC	Guidance column
	<p>I undertake to not start/restart work until my proposed workplace supervisor has been approved by the GDC.</p> <p>* [Enter Glossary of Terms definition for relevant level of supervision]</p>		<p>to whether this should be direct supervision of the registrant's day-to-day work in general (i.e. all of their clinical practice), or of specified elements of the registrant's work (i.e. particular clinical procedures). Where direct supervision of specified elements of a registrant's work is appropriate, undertaking 23 should be considered in addition to undertaking 6.</p> <p>To ensure the registrant is clear about the level of supervision being undertaken, you should include the relevant definition from the Glossary of Terms in the third set of square brackets.</p> <p>You will also need to consider who should provide the workplace supervision for the registrant i.e.:</p> <ul style="list-style-type: none"> • dentist • dentist or DCP (with option of DCP being in the same prescribed profession as the registrant) • DCP (with option of DCP being in the same prescribed profession as the registrant) • dentist with experience in a certain area, e.g. orthodontics, implants etc. <p>You may decide that it is appropriate for the workplace supervisor to be the same person as the workplace reporter (see below), if applicable. If not, you should clearly specify that these roles need to be undertaken by different individuals in this undertaking.</p> <p>The workplace supervisor must not be nominated or named within the set of undertakings.</p> <p>Further detail on the approvals process can be found on our website.</p>

2.0	Workplace supervision	C/NC	Guidance column
7	<p>I undertake to provide reports from my workplace supervisor to the GDC every [X] months to enable ongoing monitoring and to inform any case examiner reviews.</p> <p>I undertake that the report will address:</p> <p>[insert bullet point list of specific clinical issues/practice to be addressed by the report]</p>	NC	<p>Whenever you use undertakings 6 and 23, this undertaking should also be included so that the GDC and any future reviewing case examiners receive regular updates about the registrant's practice when the undertakings apply.</p> <p>Specify in the square brackets (marked [X]) how often the workplace supervisor reports should be submitted to the GDC (usually three months).</p> <p>Specify in the second set of square brackets the specific clinical issues/practice that the report must address.</p> <p>The GDC has a template report form that the Case Review Team make available to workplace supervisors at the point they are approved. This aims to make the preparation of reports easier, and to ensure the reports contain the relevant information.</p>
8	<p>I undertake to stop working immediately if my workplace supervisor directs me to do so, and I undertake to inform the GDC within seven days of receiving this direction.</p>	NC	<p>You may wish to include this undertaking as an additional measure to mitigate risk in high-risk cases.</p>
9	<p>I undertake to arrange for my workplace supervisor to directly observe a minimum of [X] [name of assessments, and/or procedures, and/or treatments], [every X months], over the course of the undertakings period.</p>	NC	<p>The role of direct observation is to enable the assessment of specific clinical skills.</p> <p>You will need to specify how many observations are required in the first set of brackets, and which clinical skills need to be observed in the second set of brackets. If you require the observations to be spaced over the course of the undertakings period, you should use the third set of brackets.</p> <p>When directly observing the specified</p>

2.0	Workplace supervision	C/NC	Guidance column
			<p>clinical skills, the workplace supervisor should use the direct observation form template that the Case Review Team will make available to workplace supervisors at the point they are approved. This aims to make the recording of observations easier, and to ensure relevant information can be recorded and subsequently shared with the GDC.</p>
10	<p>I undertake to provide all workplace supervisor records of direct observations to the GDC every [X] months to enable ongoing monitoring and to inform any case examiner reviews.</p>	NC	<p>Whenever you use undertaking [9], you should also always include this undertaking so that the GDC and any future reviewing case examiners receive regular updates about the registrant's clinical performance in relation to the specified clinical skills, and the professional's insight into that performance.</p> <p>Specify in the square brackets (marked [X]) how often the records should be submitted to the GDC.</p>
11	<p>As part of my regular meetings with my workplace supervisor, I undertake to arrange a minimum of [X] case-based discussions, focussing on [insert particular clinical skill(s) to focus on], [every X months] over the course of the undertakings period.</p>		<p>The role of case-based discussions is set out in the Glossary of Terms.</p> <p>Case-based discussions can be used by workplace supervisors, even without this undertaking being used, where they feel they would be helpful in the course of supervision. This undertaking should be used where the case examiners wish to explicitly require the use of case-based discussions as part of broader workplace supervision arrangements.</p> <p>You will need to specify how many case-based discussions are required in the first set of brackets, and the particular areas of clinical activity which should be focussed on in the second set of brackets. If you require the observations</p>

2.0	Workplace supervision	C/NC	Guidance column
			<p>to be spaced over the course of the undertakings period, you should use the third set of brackets.</p> <p>When conducting a case-based discussion, the workplace supervisor should use the case-based discussion form template that the Case Review Team will make available to workplace supervisors at the point they are approved. This aims to make the recording of observations easier, and to ensure relevant information can be recorded and subsequently shared with the GDC.</p>
12	I undertake to provide all workplace supervisor records of case-based discussions to the GDC every <input checked="" type="checkbox"/> months to enable ongoing monitoring and to inform any case examiner reviews.	NC	<p>Whenever you use undertaking [11], you should also always include this undertaking so that the GDC and any future reviewing case examiners receive regular updates about the registrant's clinical performance in relation to the specified clinical skills, and the professional's insight into that performance.</p> <p>Specify in the square brackets (marked <input checked="" type="checkbox"/>) how often the records should be submitted to the GDC.</p>

Undertakings 13 to 14 can be used where the concerns regarding the registrant's fitness to practise relate to health or conduct concerns.

2.1	Workplace reporter	C/NC	Guidance column
13	At any time I am employed to provide dental services which require me to be registered with the GDC, I undertake to agree to the appointment of a workplace reporter nominated by me and approved	NC	<p>The definition for the role of workplace reporter can be found in the Glossary of Terms.</p> <p>In the case of non-clinical concerns, you may wish to require a workplace</p>

2.1	Workplace reporter	C/NC	Guidance column
	<p>by the GDC.</p> <p>The workplace reporter must be a GDC registered dental professional.</p> <p>I undertake to not start/restart work until my proposed workplace reporter has been approved by the GDC</p> <p>.</p>		<p>reporter.</p> <p>The workplace reporter must not be nominated or named within the set of undertakings.</p> <p>Further detail on the approvals process are available online.</p>
14	<p>I undertake to provide reports from my workplace reporter to the GDC every [X] months to enable ongoing monitoring and to inform any case examiner reviews.</p> <p>In addition to addressing general compliance with the undertakings, any complaints received, and any other relevant information, I undertake that the report will specifically address:</p> <p>[insert bullet point list of specific issues to be addressed by the report]</p>	NC	<p>Whenever you use undertaking 13, should also always include this undertaking so that the GDC and any future reviewing case examiners receive regular updates about the registrant's compliance with their undertakings.</p> <p>The report should address general compliance with the undertakings, any complaints received and any other relevant information.</p> <p>Specify in the square brackets (marked [X]) how often the workplace reporter report should be submitted to the GDC (usually three months).</p> <p>Specify in the second set of square brackets the specific issues/practice that the report should address.</p> <p>The GDC has a template report form that the Case Review Team make available to workplace reporters at the point they are approved. This aims to make the preparation of reports easier, and to ensure the reports contain the relevant information.</p>

2.2	Clinical audit	C/NC	Guidance column
15	I undertake to carry out an audit in the following areas of my practice [name of	NC	The role of a clinical audit is defined in

2.2	Clinical audit	C/NC	Guidance column
	<p>[procedure or activity] every [X] months. I undertake that the audit will be checked and signed by my workplace supervisor.</p>		<p>the Glossary of Terms.</p> <p>You should use this undertaking where you feel a quality assurance, or quality improvement, process may be required.</p> <p>If you use this undertaking, you need to outline the area(s) that should be audited.</p> <p>You will also need to consider the frequency of the audits.</p>
16	<p>I undertake to provide a copy of this audit to the GDC every [X] months to enable ongoing monitoring and to inform any case examiner reviews. Alternatively, where there have been no such cases, I undertake to provide a statement confirming this, which has been counter-signed by my [workplace supervisor/reporter].</p>	NC	<p>Whenever you use undertaking 15, you should also always include this undertaking so that the GDC and any future reviewing case examiners receive regular updates about the registrant's compliance with their undertakings</p> <p>Specify in the square brackets (marked [X]) how often the audits should be submitted to the GDC.</p>

2.3	Practice restrictions – general work	C/NC	Guidance column
17	<p>I undertake to confine my dental practice to [type of post] posts only.</p>	NC	<p>You will need to specify in the square brackets (marked [type of post]) which type of dental practice the registrant should be restricted to, for example, salaried GD, associate, assistant, teaching, research etc. This list is not exhaustive.</p>
18	<p>I undertake to only work at premises where another dentist is [or dental</p>	C or NC	<p>You will need to specify whether the registrant is undertaking to have a</p>

2.3	Practice restrictions – general work	C/NC	Guidance column
	<p>professionals are] working at the same time as I am working [and with whom I have made personal contact before I commence treatment of patients at each morning and/or afternoon session].</p>		<p>dentist, or any DCP, working at the same premises when they are working by either keeping or deleting the first square bracket of text.</p> <p>This undertaking should always be used when there are concerns that the registrant has attended the workplace intoxicated, or there are other health concerns identified that could unexpectedly impact/impair their fitness to practise. The second bracket of text should always be included when this undertaking is used to address areas of concern relating to health.</p> <p>You may want to use this undertaking when you believe the areas of concern can be addressed by ensuring the registrant is not working in isolation.</p>
19	I undertake to not work at any dental practice which I own.	NC	This undertaking may be used to help address areas of concern where conflicts of interest, fraud, or other similar risks are present.
20	I undertake to not be responsible for the management/administration of any dental practice.	NC	This undertaking may be used to help address areas of concern where conflicts of interest, fraud, or where the concerns raised relate to practice management or clinical governance.

These undertakings can be used where the concerns regarding the registrant's fitness to practise relate to specific procedures or practice within a particular title.

2.4	Practice restrictions – specific procedures or practice within a particular title	C/NC	Guidance column
21	I undertake to confine my practice to [specify].	NC	It may be necessary for a registrant's practice to be restricted to address

2.4	Practice restrictions – specific procedures or practice within a particular title	C/NC	Guidance column
			<p>areas of concern.</p> <p>You must specify in the square brackets what the registrant’s practice is being restricted to (marked [specify]). Examples include:</p> <ul style="list-style-type: none"> • A particular type of practice, e.g. general dentistry. • NHS or private practice. • Indirect or direct clinical care of individual patients. • Non-invasive treatment. • Dental research posts. • Educational posts. <p>This list is not exhaustive.</p>
22	I undertake to not carry out [name of procedure or activity].	NC	<p>To address areas of concern, it may be necessary for the registrant to undertake not to perform specific procedures in certain circumstances.</p> <p>You will need to specify which procedures the registrant is undertaking not to perform in the square brackets (marked [name of procedure or activity]). Examples include:</p> <ul style="list-style-type: none"> • NHS or private practice. • Locum or out-of-hours work. • Implants • Bridges. <p>This list is not exhaustive.</p>
23	I undertake to not carry out [name of procedure] unless directly supervised* by a workplace supervisor nominated	NC	<p>This undertaking may be useful to address areas of concern while still enabling the registrant to continue to</p>

2.4	Practice restrictions – specific procedures or practice within a particular title	C/NC	Guidance column
	<p>by me and approved by the GDC. The workplace supervisor must be [a GDC registered dentist; a GDC registered dentist or DCP (where applicable - in the same prescribed profession of the register as you); or a GDC registered dentist with experience in [X specialty]].</p> <p>I undertake to not carry out [name of procedure] until my proposed workplace supervisor has been approved by the GDC.</p> <p>* Directly Supervised: the workplace supervisor must observe the registrant's day-to-day work, or the particular element(s) of the registrant's work, as prescribed in the relevant condition or undertaking. The workplace supervisor must always be on site and available to directly observe the specified element(s) when the registrant is working. Where the workplace supervisor is unavailable through illness or planned absence, the registrant must not carry out the specified element(s) of their work unless an approved alternative workplace supervisor is in place. Conditions or undertakings will specify which element(s) of a registrant's practice to observe.</p>		<p>carry out the procedures specified under direct supervision.</p> <p>You will need to specify which procedure(s) the registrant is undertaking not to perform without direct supervision in the square brackets (marked [name of procedure]).</p> <p>Examples include:</p> <ul style="list-style-type: none"> • Implants. • Orthodontics. • Root canal treatment. <p>This list is not exhaustive.</p> <p>You may wish to consider including an undertaking that the registrant will keep a log of these procedures and submit this to the GDC. The log should be signed by the workplace supervisor carrying out the direct supervision.</p>

These undertakings can be used where the concerns regarding the registrant's fitness to practise relate to inappropriate prescribing.

2.5	Practice restrictions – prescribing	C/NC	Guidance column
24	I undertake to not prescribe or administer psychoactive drugs at my practice, including opiate analgesics and benzodiazepines, unless required	C or NC	You can use this undertaking when addressing concerns presented by the registrant's prescription of psychoactive drugs at their practice.

2.5	Practice restrictions – prescribing	C/NC	Guidance column
	for the treatment of medical emergencies.		
25	I undertake to not administer or prescribe [specify drug or group of drugs] unless required for the treatment of medical emergencies.	C or NC	<p>You may use this undertaking to address concerns relating to the registrant's ability to prescribe or administer a specific drug, group of drugs or schedule of drug.</p> <p>You will need to specify in the square brackets (marked [specify drug or group of drugs]) which drug, group or schedule of drugs the registrant is undertaking to not prescribe or administer. Examples include:</p> <ul style="list-style-type: none"> • Psychoactive drugs. • Any drugs listed in schedules 1-4 of the Misuse of Drugs Regulations 2001. • Benzodiazepines or other sedating drugs, for example Midazolam. • Opiate analgesics. • Antimicrobials. <p>This list is not exhaustive.</p> <p>Consideration should be given to whether such restrictions should be combined with workplace supervision/restrictions on lone working, to avoid delays in patients accessing urgent medication (for example, antimicrobials).</p>
26	I undertake to not prescribe for myself, a partner/spouse, or a member of my family.	C or NC	You can use this undertaking to address concerns associated with the registrant prescribing drugs for themselves or people close to them.

2.5	Practice restrictions – prescribing	C/NC	Guidance column
27	I undertake to not prescribe any drugs.	C or NC	<p>This undertaking should be used where the prescription of any drugs by the registrant presents a risk.</p> <p>Consideration should be given to whether such restrictions should be combined with workplace supervision/restrictions on lone working, to avoid delays in patients accessing urgent medication (for example, antimicrobials).</p>
28	I undertake to only prescribe drugs under arrangements which have been agreed by my medical supervisor and after I have notified the GDC of these arrangements.	C or NC	<p>You must only use this undertaking where a medical supervisor is required by undertaking 53.</p> <p>This should be used if there are health risks identified with the registrant prescribing drugs.</p>
29	I undertake to only prescribe [specify drug(s)] under arrangements which have been agreed by my [medical/workplace] supervisor and after I have notified the GDC of these arrangements.	C or NC	<p>Can be used as a lighter touch undertaking where the prescription of a drug, group or schedule of drugs by the registrant presents risk, but which you feel can be mitigated through supervision.</p> <p>You must specify which drug, group of drugs, or schedule of drugs should be prescribed by the registrant under supervision arrangements in the square brackets (marked [specify drug(s)]) and whether these arrangements should be agreed with the registrant’s medical or workplace supervisor in the square brackets (marked [medical/workplace]).</p> <p>You may wish to include undertaking 40 and 41, requiring the registrant to take a log of each time they have prescribed the specified drug(s) and provide this to the GDC.</p>

2.6	Practice restrictions – patient and colleague safety	C/NC	Guidance column
0	<p>Within seven days of these undertakings taking effect, I undertake to agree to the appointment of a chaperone or chaperones, nominated by me and approved by the GDC. I undertake to also provide written evidence that my chaperone(s) has/have accepted the role. My chaperone(s) must be a registered [dentist/DCP/registered healthcare professional - please delete as appropriate].</p>	C or NC	<p>The definition for the role of a chaperone can be found in the Glossary of Terms.</p> <p>This undertaking should be used where there are risks associated with the registrant having unobserved contact with certain groups of patients or colleagues/staff, e.g. patients under the age of 18, female patients or colleagues, patients with a learning disability. This list is not exhaustive.</p> <p>You must state who the chaperone(s) must be i.e.:</p> <ul style="list-style-type: none"> • dentist • DCP (with option of DCP being in the same prescribed profession as the registrant) • other registered healthcare professional • any other factor that may be relevant (for example where a chaperone(s) of a specific gender should be nominated) • that there are no potential conflicts of interest. <p>If this undertaking is used, the following six undertakings (31-37) should also be used.</p>

2.6	Practice restrictions – patient and colleague safety	C/NC	Guidance column
31	Within seven days of these undertakings taking effect, I undertake to share a copy of these undertakings with my chaperone(s) and provide written evidence to the GDC to demonstrate I have done so.	C or NC	You should only use this undertaking in conjunction with undertaking 30.
32	Except in life threatening emergencies, I undertake to not undertake consultations with [group of patients] patients/[group of colleagues] colleagues without my chaperone(s) present.	C or NC	<p>You should only use this undertaking in conjunction with undertaking 30.</p> <p>In the sets of brackets (marked [group of patients] and [group of colleagues]) you must specify which group of patients/colleagues are of concern, e.g. patients under the age of 18, female patients or colleagues, patients with a learning disability. This list is not exhaustive.</p>
33	I undertake to maintain a log of all consultations with [group of patients] patients/[group of colleagues] colleagues, which I undertake will be signed by my chaperone(s) confirming my chaperone's presence throughout the consultation.	C or NC	<p>You should always consider including this undertaking when using undertaking 30.</p> <p>In the sets of brackets (marked [group of patients] and [group of colleagues]) you must specify which group of patients/colleagues are of concern, e.g. patients under the age of 18, female patients or colleagues, patients with a learning disability. This list is not exhaustive.</p> <p>This undertaking helps to monitor the consultations that the registrant holds with the group of patients concerned.</p>
34	I undertake to maintain a log detailing every case where I have undertaken a consultation with [group of patients] patients/[group of colleagues] colleagues in a life-threatening emergency, without my chaperone(s) present.	C or NC	<p>You should always consider including this undertaking when using undertaking 30.</p> <p>In the set of brackets (marked [group of patients] and [group of colleagues]) you must specify which group of patients are of concern, e.g.</p>

2.6	Practice restrictions – patient and colleague safety	C/NC	Guidance column
			patients under the age of 18, female patients or colleagues, patients with a learning disability. This list is not exhaustive.
35	I undertake to provide a copy of these logs to the GDC every [X] months to enable ongoing monitoring and to inform any case examiner reviews. Alternatively, I undertake to provide a statement confirming there have been no such consultations. I undertake that the log or statement will be signed by my chaperone(s).	C or NC	<p>This undertaking should always be used if using either of undertaking 33 or 34, so that the registrant undertakes to submit the logs which are to be kept under those undertakings.</p> <p>You must specify within the square brackets (marked [X]) how often these logs are to be submitted to the GDC (usually every three months).</p>
36	I undertake to provide reports from my chaperone(s) to the GDC every [X] months to enable ongoing monitoring and to inform any case examiner reviews.	C or NC	<p>You should always consider including this undertaking when using undertaking 30.</p> <p>If a chaperone is required, you should consider including this undertaking so that the GDC receives regular updates regarding the registrant's interaction with the groups of patients/colleagues concerned.</p> <p>You will need to specify within the square brackets (marked [X]) how often reports are to be submitted to the GDC (usually every three months).</p>
37	Except in life threatening emergencies, I undertake to not undertake consultations with [group of patients] patients/[group of colleagues] colleagues.	C or NC	<p>In the sets of brackets (marked [group of patients] and [group of colleagues]) you must specify which group of patients/colleagues are of concern, e.g. patients under the age of 18, female patients or colleagues, patients with a learning disability. This list is not exhaustive</p>

2.6	Practice restrictions – patient and colleague safety	C/NC	Guidance column
38	I undertake to maintain a log detailing every case where I have undertaken a consultation with [group of patients] patients/[group of colleagues] colleagues in a life-threatening emergency.	C or NC	In the set of brackets (marked [group of patients] and [group of colleagues]) you must specify which group of patients are of concern, e.g. patients under the age of 18, female patients or colleagues, patients with a learning disability. This list is not exhaustive.
39	I undertake to provide a copy of these logs to the GDC every [X] months to enable ongoing monitoring and to inform any case examiner reviews. Alternatively, where there have been no such cases, I undertake to provide a statement confirming this. I undertake that the log or statement will be signed by my workplace reporter.	C or NC	This undertaking should always be used if using undertaking 38, so that the registrant undertakes to submit the logs which are to be kept under that undertaking. You must specify within the square brackets (marked [X]) how often these logs are to be submitted to the GDC (usually every three months).

These undertakings can be used to monitor the registrant's practice and allow the GDC to assess that individual's ongoing fitness to practise.

2.7	Logs	C/NC	Guidance column
40	I undertake to maintain a log detailing every case where I have undertaken [specify].	C or NC	This undertaking may be used to log other restrictions in place as a result of the set of undertakings. This can also be used as a lighter touch option, where you feel the risk can be mitigated by the registrant logging certain procedures or practices. You must specify in the square brackets (marked [specify]) what you want the registrant to keep a log of, e.g. implants, root canal treatment, prescribing certain or all medications. This list is not exhaustive.

2.7	Logs	C/NC	Guidance column
41	<p>I undertake to provide a copy of this log [verified by my [specify]] to the GDC every [X] months to enable ongoing monitoring and to inform any case examiner reviews. Alternatively, I undertake to provide a statement if there have been no such cases during that period [also verified by my [specify]].</p>	C or NC	<p>If using undertaking 40 you should also include this undertaking to ensure the logs are submitted to the GDC to enable ongoing monitoring and to inform any case examiner reviews.</p> <p>You must specify whether you want the logs to be verified by a workplace supervisor or workplace reporter in the first and in the final square brackets (marked [verified by my [specify]]). If there is no workplace reporter or workplace supervisor required by the undertakings, please delete the square bracket regarding verification.</p> <p>You will need to specify within the square brackets (marked [X]) how often the logs are to be submitted to the GDC (usually every three months).</p>

2.8	Development adviser and educational supervisor involvement	C/NC	Guidance column
42	<p>[England only: I undertake to agree to the appointment of a development advisor nominated by me and approved by the GDC.]</p> <p>[Scotland, Wales, Northern Ireland: I undertake to arrange the appointment of an educational supervisor. This role can be fulfilled either by a postgraduate dental dean or a nominated deputy approved by the postgraduate dental dean.]</p> <p>I undertake to have an approved [development adviser/educational supervisor] in place within one month of these undertakings taking effect.</p>	NC	<p>Where the need for remediation in clinical matters has been identified, these undertakings should be considered.</p> <p>The first and second sets of brackets reflect the different arrangements in place for registrants working in England (development advisor), and those working in Scotland, Wales and Northern Ireland (educational supervisor) – please select the relevant option and delete the other*.</p> <p>Please delete as appropriate from the third set of square brackets.</p>

2.8	Development adviser and educational supervisor involvement	C/NC	Guidance column
	<p>I undertake to work with my [development adviser/educational supervisor] to formulate a Personal Professional Development Plan, specifically designed to address the deficiencies in the following areas of my practice:</p> <p>[List the areas requiring development]</p> <p>[I undertake to not start/restart practice until these arrangements have been put in place]</p>		<p>You must list the areas of clinical practice which require development in the fourth set of square brackets.</p> <p>When using this undertaking, the case examiners must consider the seriousness of the clinical matters which require remediation. The fifth set of square brackets should be included if the case examiners require these arrangements to be in place before the registrant resume practice.</p> <p>* The GDC provides further information about how these different arrangements work in practice:</p> <ul style="list-style-type: none"> • Information for dental professionals who are subject to conditions or have agreed undertakings. • Development adviser: person specification.
43	<p>Within seven days of the [development adviser/educational supervisor] being approved by the GDC, I undertake to provide their contact details to the GDC.</p>	NC	<p>You should always include this undertaking when using undertaking 42 as it enables the GDC to communicate, where necessary, with the development adviser/education supervisor about the progress of the registrant's remediation.</p> <p>The square brackets reflect the different arrangements in place for registrants working in England (development adviser), and those working in Scotland, Wales and Northern Ireland (educational supervisor) – please select the relevant option and delete the other.</p>

2.8	Development adviser and educational supervisor involvement	C/NC	Guidance column
44	<p>I undertake to provide a copy of the [full case examiner decision/published undertakings and undertakings summary] to the [development adviser/educational supervisor].</p> <p>I undertake to forward written evidence of my compliance with this undertaking to the GDC within seven days of the [development adviser/educational supervisor] being approved by the GDC.</p>	NC	<p>You should consider including this undertaking when using undertaking 42 so that the development advisor /educational supervisor is sufficiently informed of the clinical matters which require remediation.</p> <p>In this consideration, you should consider (and reflect in the first set of square brackets) whether it is necessary for the full case examiner decision to be shared, or whether the published undertakings and undertakings summary provide sufficient information to the development advisor/educational supervisor about the clinical matters to be addressed.</p> <p>The second and third sets of square brackets reflect the different arrangements in place for registrants working in England (development advisor), and those working in Scotland, Wales and Northern Ireland (educational supervisor) – please select the relevant option and delete the other.</p>
45	<p>I undertake to meet with the [development adviser/educational supervisor] regularly and discuss my progress towards achieving the aims set out in my Personal Professional Development Plan.</p> <p>The frequency of these meetings is to be set by the [development adviser/educational supervisor].</p>	NC	<p>You should always include this undertaking when using undertaking 42.</p> <p>The square brackets reflect the different arrangements in place for registrants working in England (development advisor), and those working in Scotland, Wales and Northern Ireland (educational supervisor) – please select the relevant option and delete the other.</p>

2.8	Development adviser and educational supervisor involvement	C/NC	Guidance column
46	<p>I undertake to provide a copy of my Personal Professional Development Plan to the GDC within [X] months of the [development adviser/educational supervisor] being approved by the GDC, and then updated copies of this document to enable ongoing monitoring and to inform any case examiner reviews.</p>	NC	<p>You should always include this undertaking when using undertaking 42 to ensure the GDC has a record of the original Personal Professional Development Plan and subsequently updated copies of Personal Professional Development Plans prior to any review hearing.</p> <p>You must state when the Registrant should submit their agreed Personal Professional Development Plan to the GDC in the first set of square brackets.</p> <p>The second set of square brackets reflect the different arrangements in place for registrants working in England (development adviser), and those working in Scotland, Wales and Northern Ireland (education supervisor) – please select the relevant option and delete the other.</p>

2.9	Advertising	NC	Guidance column
47	<p>I undertake to remove all information from my [website/publicity material/plaque/surgery] that the case examiners have found stands a real prospect of being found to be misleading within [X days/weeks] of the agreement of these undertakings, and provide written evidence of my compliance with this undertaking to the GDC within seven days of the deadline set by this undertaking.</p> <p>This information includes:</p>	NC	<p>This undertaking should be considered where the case examiners have identified the continuing existence of misleading information in the registrant's advertising materials.</p> <p>You must specify where the registrant undertakes to remove the identified misleading information from in the first set of square brackets, and set the deadline for having done so in the second set of square brackets. You must include</p>

2.9	Advertising	NC	Guidance column
	[list of misleading information to be removed].		an explicit list of the misleading information, and their location(s) to be removed in the third set of square brackets.

Section 3: Health concerns

Where there are concerns about the registrant’s health, the case examiners should bear in mind that the GDC’s principal duty is to protect members of the public and the wider public interest, and not to assume responsibility for, or give priority to, the treatment or rehabilitation of the registrant.

Where the case examiners consider it appropriate to agree undertakings in a health case, in order to allow the GDC to monitor the registrant’s health over time, these should include undertakings that relate to the registrant’s ongoing treatment and appropriate supervision of the registrant.

3.0	Health concerns	C/NC	Guidance column
48	<p>Within [X] days of these undertakings taking effect, I undertake to place myself, and remain under the care of, a [specify], provide them with a full copy of this determination and notify the GDC of the name and contact details of this individual.</p> <p>I undertake to attend all scheduled appointments and follow any medical advice I am given.</p> <p>I undertaken to limit my dental practice in accordance with medical advice and inform the GDC within seven days if I have been advised to stop working.</p>	C	<p>To address the health risk(s) identified, you may wish to include this undertaking to ensure a healthcare professional is monitoring the registrant’s health. This undertaking can be used when you do not feel that a medical supervisor is required.</p> <p>You will need to specify the type of healthcare professional under whose care the registrant is undertaking to be. Examples include:</p> <ul style="list-style-type: none"> • a general medical practitioner • a consultant psychiatrist • an occupational health practitioner. <p>This list is not exhaustive.</p> <p>Within the square brackets (marked [X] and [specify]) you will need to state how quickly the registrant should place themselves under the care of the health professional and the type of health</p>

3.0	Health concerns	C/NC	Guidance column
			<p>professional required.</p> <p>When this undertaking is in place you should also consider using undertakings 49 to 52.</p>
49	<p>Within 14 days of placing myself under the care of [specify], I undertake to provide the GDC with evidence to demonstrate that I have provided this individual with a full copy of this determination, and their confirmation of receipt.</p>	C	<p>This undertaking should only be used in conjunction with undertaking 48.</p> <p>It ensures that the GDC is satisfied that the healthcare professional responsible for the registrant's care is aware of the concerns.</p>
50	<p>Within seven days of these undertakings taking effect, I undertake to inform the GDC of the name and contact details of my general medical practitioner [and any other medical practitioner responsible for my care].</p>	C	<p>This undertaking ensures that the GDC has the contact details of the GP and if applicable, any other medical practitioners responsible for the registrant's care (include highlighted text in square brackets) in case there is a need for the GDC to contact them.</p> <p>When using this undertaking, you should also consider using undertakings 49, 51 and 52.</p>
51	<p>I undertake to seek a report from [specify] for consideration by the case examiners and submit this to the GDC every [X] months to enable ongoing monitoring and to inform any case examiner reviews.</p>	C	<p>If using undertakings 48 and/or 50, you should also include this undertaking so that the GDC receives regular updates regarding the registrant's health.</p> <p>You need to specify within the square brackets which healthcare professional(s) should be providing the reports (marked [specify]) and how often these are to be submitted to the GDC.</p>
52	<p>I undertake to inform the GDC within seven days of any change in my general medical practitioner registration and provide the contact details for my new general medical practitioner.</p>	C	<p>This should be included if the registrant is required to notify the GDC of their GP registration, i.e. when undertakings 48 and/or 50 are used.</p>

3.0	Health concerns	C/NC	Guidance column
53	<p>Within <input checked="" type="checkbox"/> days of these undertakings taking effect, I undertake to place myself under the supervision of a medical supervisor, nominated by me and approved by the GDC.</p> <p>I undertake to attend all scheduled appointments and follow any medical advice I am given.</p> <p>I undertake to limit my dental practice in accordance with medical advice and inform the GDC within seven days if I have been advised to stop working.</p>	C	<p>The definition for the role of medical supervisor can be found in the Glossary of Terms.</p> <p>If the registrant has a health issue that raises a risk to the public or to public confidence in the professions, you may wish to include this undertaking to mitigate that risk, particularly if attendance at appointments is necessary, or the registrant needs to follow medical advice or comply with recommended treatment.</p> <p>You will need to consider how many days it will take the registrant to nominate a medical supervisor to the GDC for approval and specify this in the square brackets (marked <input checked="" type="checkbox"/>). This is usually set between 14 and 28 days, depending on the circumstances of the case.</p> <p>When this undertaking is in place you should also consider undertaking 55 to ensure the GDC receives appropriate reports from the medical supervisor.</p>
54	<p>I undertake to provide a copy of the full determination and the name and contact details of my general medical practitioner to my medical supervisor within seven days of their approval by the GDC.</p> <p>I undertake to demonstrate to the GDC that I have given this information to my medical supervisor within 14 days of doing so.</p>	C	<p>Whenever using undertaking 53 you should also always include this undertaking. This ensures that the medical supervisor has all the information that has led to the undertakings being agreed and that they also have the contact details for the registrant's GP should this be required.</p>
55	<p>I undertake to provide reports from my medical supervisor to the GDC every <input checked="" type="checkbox"/> months to enable ongoing monitoring and to inform any case</p>	C	<p>If medical supervision is required, you should always include this undertaking as well so that the GDC receive regular, independent updates regarding the</p>

3.0	Health concerns	C/NC	Guidance column
	<p>examiner reviews.</p> <p>I undertake that the report will address: [insert bullet point list of specific areas to be addressed by the report]</p>		<p>registrant's health.</p> <p>You will need to specify within the square brackets (marked [X]) how often reports are to be submitted to the GDC (usually every three or six months).</p> <p>Specify in the second set of square brackets the specific areas that the report must address.</p>
56	<p>I undertake to not accept or resume any post for which GDC registration is required until I have obtained advice that I am fit do so from my [specify].</p> <p>I undertake to forward written evidence of this advice to the GDC prior to starting or resuming any post for which GDC registration is required.</p>	C	<p>You can use this undertaking to remove the risk of a registrant with a health concern from starting a role that they are not considered medically fit to carry out.</p> <p>You will need to specify who the registrant must obtain approval from in the square brackets marked [specify], such as medical supervisor, general medical practitioner, psychiatrist. This list is not exhaustive.</p>

3.1	Personal alcohol and/or drug misuse concerns	C/NC	Guidance column
57	<p>I undertake to abstain absolutely from the consumption of [X].</p>	C	<p>Where a registrant's use of drugs or alcohol presents risks, you can use this undertaking to prohibit them from using the substance(s) entirely to mitigate that risk.</p> <p>You will need to specify which substance(s) the registrant must abstain from in the square brackets (marked [X]), e.g. alcohol, opiate-based medication. This list is not exhaustive.</p> <p>Abstinence can be monitored using the chemical testing undertaking 58.</p>
58	<p>I undertake to comply with any arrangements made by, or on behalf of, the GDC to test for the ingestion of</p>	C or NC	<p>This undertaking should be used when you want the registrant to be tested for</p>

3.1	Personal alcohol and/or drug misuse concerns	C/NC	Guidance column
	<p>[alcohol and/or drugs] on a [X] monthly basis. The cost of this testing will be met by the GDC.</p>		<p>alcohol or drug use.</p> <p>You will need to specify substance(s) to be tested for in the square brackets (marked [alcohol and/or drugs]). This should not include all drugs and should be specific to the risk being mitigated.</p> <p>The type of testing carried out will depend on the substance(s) tested for. You should also specify the frequency of the testing.</p>
59	<p>I undertake to attend [monthly/bi-monthly] meetings of [specify support group], save where outside my control (e.g. a meeting is cancelled), if recommended to do so by my [medical supervisor/ general medical practitioner/ psychiatrist].</p> <p>I undertake to provide written evidence of my attendance at such meetings to the GDC every [X] months to enable ongoing monitoring and to inform any case examiner reviews.</p>	C or NC	<p>You may decide that attendance at a support group or counselling could help mitigate risk e.g. Alcoholics Anonymous, Narcotics Anonymous, the Doctors and Dentists Group, individual alcohol and/or drug counselling. This list is not exhaustive.</p> <p>If you include this undertaking, you must specify the frequency of the registrant's attendance in the square brackets (marked [monthly/bi-monthly]), the group(s) you want them to attend in the second set (marked [specify support group]) and how often evidence of their attendance should be provided to the GDC (marked [X]) (usually every six months).</p> <p>When using this undertaking, you should consider stipulating in undertaking 55 that the first report submitted from the medical supervisor should address this matter.</p>
60	<p>If I do drink alcohol and/or take drugs, I undertake to inform my [healthcare professional(s)] and the GDC within 24 hours and follow any medical advice I am given.</p>	C or NC	<p>This undertaking should always be considered when undertaking 57 is used and alcohol and/or drugs are listed for abstinence.</p> <p>Please specify in the square brackets (marked [healthcare professional(s)])</p>

3.1	Personal alcohol and/or drug misuse concerns	C/NC	Guidance column
			<p>who the registrant should notify if they do drink and/or take drugs, e.g. medical supervisor, psychiatrist, GP. This list is not exhaustive.</p> <p>Rapid reporting ensures that the healthcare professional(s) can provide any medical support they deem necessary and the GDC can assess the circumstances as soon as possible and determine whether an early review is required.</p>
61	<p>I undertake to limit my alcohol consumption in accordance with my [health care professional(s)]'s written medical advice and provide this advice to the GDC within seven days of receipt.</p>	C or NC	<p>You may wish to use this undertaking where a lighter touch approach is sufficient to mitigate risk rather than imposing abstinence through undertaking 57.</p> <p>Please specify in the square brackets (marked [healthcare professional(s)]) who should provide such advice to the registrant, e.g. medical supervisor, psychiatrist, GP. This list is not exhaustive.</p>
62	<p>I undertake to not possess and/or take [specify drug(s)] unless prescribed for me by any registered healthcare practitioner.</p>	C or NC	<p>Where there may be legitimate medical reasons for the possession or use of a group of particular drugs, but where those drugs may also represent a substance misuse risk, you can use this undertaking to limit the registrant's use of such drugs to prescription use only.</p> <p>You must specify which medications you are restricting in the square brackets (marked [specify drug(s)]), e.g. opiate-based medications.</p>
63	<p>I undertake to submit to the GDC copies of all prescriptions provided to</p>	C or NC	<p>This undertaking should always be used when you use undertaking 62.</p>

3.1	Personal alcohol and/or drug misuse concerns	C/NC	Guidance column
	me on a <input checked="" type="checkbox"/> monthly basis.		<p>You may also include this undertaking without using undertaking 62 when there is a risk associated with the misuse of prescription drugs.</p> <p>You must specify how often you would like the registrant to submit copies of the prescriptions provided to them in the square brackets (marked <input checked="" type="checkbox"/>.</p>

CONSULTATION ONLY

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