



The Regulation and
Quality Improvement
Authority

Our ref: KF/PW

12 August 2013

To: **All registered persons, Day Care Settings**

Dear registered person

Annual Review of Quality by Registered Persons

Please find attached RQIA's guidance for the annual review of quality of care for Day Care Settings. The guidance contains a template that you may wish to use in your service, although you may of course use another format that addresses the necessary areas required under the legislation. The guidance document and template will also be available on RQIA's website.

It is important to note that the annual quality review is a key element in ensuring that arrangements are in place that supports quality improvement and consistency in management practice and service delivery. The review also provides an opportunity to evaluate the effectiveness of service provision on an annual basis. It is expected that this review is completed every year and this should mirror RQIA's inspection year which runs from April to March. It is expected that this review of the quality of care takes place annually and inspectors of day care services will look to see that this is in place for the inspection year ending March 2014.

You will recall that this was referenced during the most recent road shows and it is important to note that this process operates in tandem with the monthly monitoring that you already undertake.

Those services that have an already established mechanism in place to capture the required information need do nothing except to confirm that the information they are gathering is consistent with the information required under Schedule 3 of The Day Care Settings Regulations (NI) 2007.

Please contact the inspector for your service if you have any queries.

Yours sincerely

Kathy Fodey
Director of Regulation and Nursing

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Assurance, Challenge and Improvement in Health and Social Care



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**TEMPLATE FOR
ANNUAL REVIEW OF THE QUALITY OF CARE
BY A REGISTERED PERSON OF A
DAY CARE SETTING**

**(Regulation 17 of the Day Care Setting Regulations
(Northern Ireland) 2007)**

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Who must conduct the annual quality review of a day care setting?

Main points

1. In accordance with Regulation 17.— (1) The registered person* is responsible for reviewing the quality of service provided in their day care setting not less than on an annual basis, please refer to Appendix 1.
2. This requirement is also reflected within paragraph 17.11 of the Minimum Standards for Day Care Settings (January 2012), please refer to Appendix 1.

In accordance with Regulation 17(1) of the Day Care Setting Regulations (NI) 2007, RQIA may request submission of any review report compiled. The registered provider must keep a copy of the report so that it can be inspected at the next inspection by the Regulation and Quality Improvement Authority (RQIA). A copy of the report should also be made available to service users.

What must the registered person cover as part of the annual quality review?

1. The detail of what must be included in the annual quality review is contained in Schedule 3 of The Day Care Settings Regulations (NI) 2007. All elements of this schedule must be included in the annual review report.
2. The registered person* must ensure that the report details the level and content of consultation with service users and their representatives (Regulation 17 (3)).

Consultations that will give a good overview of the experiences of people using and working in the setting, with particular regard to their equality and diversity can be included.

How must the registered person document the annual quality review?

1. The registered person* must write a report. The report will describe what they found out about the service being provided and report on what progress is being made on the setting's quality improvement plan. The report should include a commentary on the experiences of people using and working in the setting.
2. The report is primarily a tool that the registered provider can use as part of their management of the quality of their service and will support their responsibilities to monitor the service on a monthly basis as detailed under regulation 28 of The Day Care Setting Regulations (Northern Ireland) 2007.

*"registered person" means a person who is the registered provider or registered manager in respect of an establishment or agency; - please see Regulation 2(1) of The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005.

3. The template in Appendix 2 provides a suggested format for the report that the registered person may wish to use. The registered person may wish to develop their own format for the annual quality review report that fits in with other aspects of their quality monitoring.
4. It is important to note that the annual review of quality is more than a collection of the previous year's monthly quality reports. Whilst these will clearly inform the annual quality report, they cannot be regarded as a substitute for it.

What happens once the report is written (what must you the registered person do with the annual quality review report)?

1. The report will ensure the registered person is meeting their statutory responsibility to regularly monitor and improve the quality of their service in ways that matter to the people using it.
2. The registered person must keep the report available for inspection by RQIA on file and provide RQIA with a copy of this if requested.
3. RQIA will use any submitted reports to provide evidence the registered person is focussed on improvement in the quality of their service. The reports that RQIA receives will inform RQIA's view regarding the standard of care and support in any Day Care Setting.
4. The registered person must also make the report available to service users.

Expected outcomes

1. The registered person will be actively monitoring the quality of the service provided in their day care setting.
2. The views of service users and/or their representatives will be taken into account.
3. Trend data on the number of incidents (accidents, use of restraint etc.) by type can be reviewed and any learning will be disseminated to all staff and inform future practice.
4. The number of complaints by type and action taken to resolve these will be reviewed and recorded. Any learning will be disseminated to all staff and inform future practice.
5. Any health and safety matters and fire safety measures are assessed as adequate for the setting.

6. Any issues concerning the setting's premises and environment will be reported on as well as the action required to address these matters with a timescale.
7. The report will document how the setting plan to improve the quality and standard of care provided over the next twelve months.

Appendix 1

Review of quality of care

- 17.—(1) The registered person shall establish and maintain a system for —
- (a) monitoring the matters set out in Schedule 3 not less than annually; and
 - (b) improving the quality of care provided in the day care setting.
- (2) The registered person shall supply to the Regulation and Improvement Authority a report in respect of any review conducted by him for the purpose of paragraph (1) and make a copy of the report available to service users.
- (3) The system referred to in paragraph (1) shall provide for consultation with service users and their representatives.

Schedule 3 makes explicit the areas that need to be considered as part of this review and these are noted below.

SCHEDULE 3 MATTERS TO BE MONITORED BY THE REGISTERED PERSON

1. In respect of each service user cared for in the day care setting, compliance with the written care plan for the care of the service user.
2. Daily menus.
3. All accidents and injuries sustained in the day care setting.
4. Complaints in relation to service users and their outcomes.
5. Any allegations or suspicions of abuse in respect of service users and the outcome of any investigation.
6. Recruitment records and conduct of required checks for new workers in the day care setting.
7. Visitors to the day care setting.
8. The use of measures of restraint in respect of service users.
9. Risk assessments for health and safety purposes and subsequent action taken.
10. Medicines, medical treatment and first aid administered to any service user.
11. Duty rosters of persons working in the day care setting, and the rosters

actually worked.
12. The day care setting's record of events and complaints.
13. Fire drills and tests of alarms and of fire equipment.
14. Records of appraisals of persons employed and the training and development plan.
15. Minutes of management meetings.

Standard 17.11

The quality of services provided is evaluated on at least an annual basis and follow-up action taken. Key stakeholders are involved in this process.

APPENDIX 2

Annual Review of Quality of Care Report by the Registered Person of a Day Care Setting

Name and address of the Day Care Setting	
Name of registered person producing this report	

Name of person in charge of the setting:

Number of service users:

1. Overview of the consultation with service user's over the last twelve months and summary of their views on the quality of care and support provided by the setting. Please include the methods of consultation and the approximate number of service users consulted.

2. Overview of the consultation with the service user representatives interviewed and summary of their views on the quality of care and support provided by the setting. Please include the methods of consultation and the approximate number of service users consulted.

- 3. Overview of the consultation with the staff interviewed and summary of their comments on the standard of care and services provided by the setting. Please include the methods of consultation and the approximate number of staff consulted.**

- 4. Number of service user's care plans reviewed and commentary regarding these; including improvements planned for the next inspection year.**

- 5. Commentary on the daily menus that have been provided by the setting over the last twelve months including improvements planned for the next inspection year as appropriate.**

- 6. Commentary on the number and nature of accidents in the setting over the last twelve months and the management of these; including improvements planned for the next inspection year.**

- 7. Details of any measures of restraint used in respect of service users and commentary on the level and appropriateness of such measures. Please comment on any lessons learnt.**

- 8. Commentary on the number and nature of complaints received by the setting and the outcomes regarding investigations undertaken. What, if any, improvements are planned for the next inspection year to prevent reoccurrence?**

- 9. Commentary on the outcome of any allegations or suspicions of abuse reported and the outcome of any investigations. Please identify if any improvement in the processes in place is required regarding same.**

- 10. Commentary on the adequacy of recruitment records and conduct of required checks for new workers in the day care setting.**

- 11. Details of the review of any visitors to the setting and any commentary regarding this.**

- 12. Commentary on the adequacy of any risk assessments for health and safety purposes and subsequent action taken.**

- 13. Commentary on the management of medicines, medical treatment and first aid administered to any service user.**

- [Empty box]
- 14. Commentary on the duty rosters of persons working in the day care setting, and the rosters actually worked. Specific comment should be made regarding the adequacy of staffing and how any shortfalls were managed and addressed.**

- [Empty box]
- 16. Commentary on the day care setting's recording of events and complaints. How has the organisation responded to the reported events and complaints and have any actions been taken by the organisation.**

- [Empty box]
- 17. Commentary on the adequacy of fire drills and tests of alarms and of fire equipment.**

- [Empty box]
- 18. Commentary regarding the records of appraisals of persons employed and the training and development plan for staff in the setting.**

[Empty box]

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19. Comment on the minutes of operational management meetings and the areas of improvement covered in these meetings.

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20. Action plan agreed as a result of this report - by whom and the timescale for completion.

Action	By whom	Completion date

Signed:	
Designation:	
Date report completed:	