



**TEMPLATE FOR VISITS BY A
REGISTERED PROVIDER OR DESIGNATED PERSON
TO A
DAY CARE SETTING**

**Regulation 28 of The Day Care Setting Regulations
(Northern Ireland) 2007**

Who must visit the day care setting?

Main points

1. Registered providers are responsible for monitoring the quality of service provided in their day care setting, please refer to Appendix 1.
2. Where the registered provider of a day care setting is not in day-to-day charge of the service, the Day Care Setting Regulations require that the registered person shall establish and maintain a system for evaluating the quality of the services which the setting provides. The nature of the required monitoring is set out within paragraph 17.10 of the Minimum Standards for Day Care Settings (Revised August 2021), please refer to Appendix 1.
3. In accordance with Regulation 17(2) of the Day Care Setting Regulations (NI) 2007, RQIA may request submission of any monitoring report compiled. The registered provider needs to keep a copy of the report so that it can be provided to the Regulation and Quality Improvement Authority (RQIA) if requested.
4. If the registered provider is an organisation or partnership, the setting must be visited by:
 - the responsible individual or one of the partners as the case may be;
 - a director or other person responsible for the management of the organisation or partnership or
 - an employee of the organisation or partnership who is not directly concerned with the conduct of the setting.
5. In some cases, an organisation's responsible individual or a member of the partnership and the registered manager may be the same individual. This could lead to a conflict of interest as that individual could be responsible, as manager, for delivering the care and support and, as responsible individual, for reporting on its quality. The organisation or partnership will need to show RQIA how they will manage the possible conflict of interest between the individual's two roles. They may do this by getting someone else from the list in paragraph 3 above, who is not directly involved in the day to day running of the setting, to carry out the monthly visits and report on what they find. This individual is referred to as "the monitoring officer" in this document.

How frequently must the registered provider/monitoring officer visit the day care setting?

The responsible individual must visit the setting at least once a month. Taking into account the nature of the service, the responsible individual should record within the report whether the visit was conducted in an announced or unannounced manner.

What must the registered provider/monitoring officer do at the monitoring visit?

1. The visit provides an opportunity for the registered provider/monitoring officer to monitor the quality of the service being provided in their setting. The registered provider/monitoring officer may wish to concentrate on aspects of the service that people using it have told them they need to improve. They should include all the issues requiring action in their quality improvement plan. The registered provider/monitoring officer should look at how they are promoting equality and meeting the diverse needs of the people using the service.

2. They must interview, with consent and in private, a sample of:
 - Users of the day care setting
 - Representatives of service users
 - Staff working for the day care setting
3. They should select a sample 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.
4. *It is recognised that, in many day care settings, it is unlikely that the sample of service user's representatives will be available during the monthly visit by the registered provider/monitoring officer. In these circumstances the registered provider/monitoring officer should carry out more detailed interviews with service users and, where appropriate, contact their representatives with the consent of the service user.
5. They must inspect the environment of the setting.
6. They must inspect the setting's record of accidents / incidents and the record of any complaints.

How must the registered provider/monitoring officer record their visit?

1. The registered provider/monitoring officer must write a report about their visit. The report should reflect what they did and 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 review at least annually the quality of care as detailed under Regulation 17 of The Day Care Setting Regulations (Northern Ireland) 2007. The registered provider may wish to develop their own format for the report that fits in with other aspects of their quality monitoring.
3. The template in Appendix 2 provides a suggested format for the report that the registered provider may wish to use.

What must they do with the report?

1. The report will assist the registered provider to meet their responsibility to regularly monitor and improve the quality of their service in ways that matter to the people using it.
2. They must keep the report available for inspection by RQIA on file and provide RQIA with a copy of this if requested.
3. RQIA may use any submitted reports to monitor actions taken against the registered provider's quality improvement plan.
4. If RQIA requests the registered provider to send their report, they can do so by means such as: by hand, post, fax or e-mail. The registered provider should send the report by secure means if it contains any confidential, particularly private, personal information.

5 The registered provider must also make the report available to:

- the service's registered manager and
- if the registered provider is an organisation, to each of the directors or other people responsible for the management of the organisation; or
- if the registered provider is a partnership, to each of the partners.

In addition, the report should be made available on request to:

- any service user or their representative
- any officer of the HSC Trust in which the day care setting is situated.

Expected outcomes

1. The registered provider can monitor the quality of the service provided in their day care setting.
2. The views of service users, relatives and/or their representatives and staff can be taken into account.
3. Trend data on the number of accident and incidents by type are reviewed and any learning disseminated to all staff.
4. The number of complaints by type and action taken to resolve these will be reviewed and recorded.
5. Any issues concerning the settings premises and environment will be promptly addressed.
6. The setting will continuously improve the quality and standard of care provided.

Appendix 1

Regulation 28 of The Day Care Setting Regulations (Northern Ireland) 2007

Visits by registered provider

- 28.**— (1) Where the registered provider is an individual who does not manage the day care setting himself, he shall visit the day care setting in accordance with this regulation.
- (2) Where the registered provider is an organisation or partnership, the day care setting shall be visited in accordance with this regulation by—
- (a) the responsible individual or one of the partners, as the case may be;
 - (b) a director or other person responsible for the management of the organisation or partnership; or
 - (c) an employee of the organisation or the partnership who is not directly concerned with the conduct of the day care setting.
- (3) Visits under paragraph (1) or (2) shall take place at least once a month or as agreed with the Regulation and Improvement Authority and may be unannounced.
- (4) The person carrying out the visit shall—
- (a) interview, with their consent and in private, such of the service users and their representatives and persons employed in the day care setting as appears necessary in order to form an opinion of the standard of care provided in the day care setting;
 - (b) inspect the premises of the day care setting, its record of events and records of any complaints; and
 - (c) prepare a written report on the conduct of the day care setting.
- (5) The registered provider shall maintain a copy of the report required to be made under paragraph (4)(c) in the day care setting and make it available on request to —
- (a) the Regulation and Improvement Authority;
 - (b) the registered manager;
 - (c) a service user or his representative;
 - (d) an officer of the HSS trust in the area of which the day care setting is situated;
 - (e) in the case of a visit under paragraph (2)—
 - (i) where the registered provider is an organisation, to each of the directors or other persons responsible for the management of the organisation; and
 - (ii) where the registered provider is a partnership, to each of the partners.

Extract from Standard 17 of the Minimum Standards for Day Care Settings (Revised August 2021)

17.10 The registered person monitors the quality of services in accordance with the day care setting's written procedures, and completes a monitoring report on a monthly basis. This report summarises any views of service users ascertained about the quality of the service provided, and any actions taken by the registered person or the registered manager to ensure that the organisation is being managed in accordance with minimum standards.

APPENDIX 2

Report of Registered Provider/Monitoring Officer's visit to the Day Care Setting:

Name and address of the Day Care Setting:	
Name of the registered provider and their position in the organisation:	
Name of the registered manager:	
Date of visit:	
Time and duration of visit:	
Name and designation of the monitoring officer:	
Was this visit announced or unannounced?	
Name of person in charge of the Day Care Setting during the monitoring visit:	
Number of service users attending on the day of the monitoring visit:	
Total number of staff on duty on the day of the monitoring visit:	

Actions from previous visit	Progress

1. Details of service users consulted and summary of their views on the quality of care and services provided by the Day Care Setting. This section should reflect a selection of all service users each month. Unique identifiers to be detailed for monitoring purposes.

2. Details of relatives/representatives consulted and a summary of their views on the quality of care and support provided by the Day Care Setting. This section should reflect a selection of all relatives/representatives each month. Unique identifiers to be detailed for monitoring purposes.

3. Details of staff, on duty or off duty, consulted and a summary of their comments on the standard of care and support provided. Unique identifiers to be detailed for monitoring purposes.

4. Details of multidisciplinary professionals involved in the care and/or support of service users consulted and a summary of their comments on the standard of care provided by the Day Care Setting

5. **Records**

a. *Records Monitored (listed under Schedule 1-5). Unique identifiers to be detailed for monitoring purposes:

Records Monitored	Compliant Y/N	Date
Service Users Records		
Complaints		
Incident / Accident Records		
Health & Safety (Risk Assessments)		
Duty Rota		
Fire Safety Records		
Record of Staff Meetings		
Record of Activities / Programme of Events		
Mandatory Training Records		
Staff Recruitment Records		
Staff Induction Records (including Agency staff)		
Adult safeguarding records		

****Above list not exhaustive and reference should be made to the schedules indicated for monitoring of required records.***

b Quality and Compliance of Records Monitored -

Comment on the quality and compliance of records monitored and detail any action required in specific records for improvement and/or compliance

6. Notifiable accidents/incidents or other untoward events, as detailed under Regulation 29 which occurred during the month:

Number of notifiable events since the last monitoring visit:	
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Confirm if accident/incident audit(s) completed	Yes		No	
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If yes, confirm date of last audit	DD	MM	YYYY

Provide detail on outcome of audit of accidents/incidents including identification of any themes/patterns and follow up action taken/required.

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7. Incidents

- a. Safeguarding incidents; please include: nature of the incident; immediate action taken by the service to safeguard service users; any reporting by the service to third parties e.g. Health and Social Care Trust, RQIA, relatives; if the safeguarding incident remains ongoing or closed.

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- b. Confirm if staff disciplinary procedures implemented and outcomes: i.e. Staff disciplined / suspended / referral to NMC/NISCC

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8. Complaints

Number of complaints received since the last monitoring visit on / /			
List the source, issue and outcomes of complaints recorded:			
Source	Main Issue	Outcome	
<ul style="list-style-type: none"> • <i>Service User</i> • <i>Relative</i> • <i>Informal Advocate</i> • <i>Formal Advocacy Service</i> <i>Other, please specify</i>	<ul style="list-style-type: none"> • <i>Care Practice</i> • <i>Service User Finance</i> • <i>Staff Attitude</i> • <i>Environmental Issue</i> • <i>Food and Nutrition</i> <i>Other, please specify</i>	Complainant Satisfied?	Complaint Substantiated?
		Fully/Partly/Not	Fully/Partly/Not
Confirm if complaints audit completed:			Yes
			No
If yes, confirm date:		DD	MM
		YYYY	
Provide detail on outcome of audit of complaints including identification of any themes/patterns and action taken/required:			

9. Compliments/Positive Feedback regarding the Day Care Setting

10. RQIA Quality Improvement Plan (QIP) – Progress Update
 a. Progress made against the QIP (areas for improvement) looked at during this visit:

Date of last inspection	DD	MM	YYYY	Type
Progress Update				

- b. Update of progress made against requirements / recommendations made by other regulators (i.e. fire, environmental health, public health agency) reviewed during this visit

11. The responsible individual/monitoring officer should **note** the system in place to ensure that any person who lacks capacity in relation to the management of their finances has had their legal entitlement to the provisions outlined in the Mental Capacity Act (Northern Ireland) 2016 and the Deprivation of Liberty Safeguards (DoLS). The responsible individual /quality monitoring officer should **note** any potential alternatives explored, evidence of best interest decision making and regard for personal preferences.

12. Staff Training Records – are all training records up to date and recorded appropriately? Record the number of training topics audited and unique staff identifiers for those records reviewed. Review in particular the numbers of staff who have undertaken **DoLS** training at the relevant level, **dysphagia awareness** training and **moving and handling** training, including the use of **specific equipment**.

13. Supervision Records – supervision/appraisal is undertaken in line with the Day Care Setting's policy? Record number of staff files audited and unique staff identifiers for those records reviewed.

14. Staff Professional Registrations with NISCC/NMC – Are all staff registered with their relevant regulatory body? Record number of staff files audited and unique identifiers for those records reviewed, if not maintained on a central record/matrix.

15. Condition and maintenance of the Day Care Setting's environment and detail any action to be taken in identified areas including any health and safety issues

16. Commentary on any other planned improvements for the Day Care Setting and timescales

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17. Concluding comments of the registered provider/monitoring officer regarding the overall quality of care and/or services provided in the Day Care Setting; and confirmation that the Day Care Setting is operating in line with its Statement of Purpose.

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18. Action plan agreed with the registered/acting manager/person in charge of the Day Care Setting as a result of this visit.

Action	By whom	Completion date

19. Report Conclusion

I confirm that this report is an accurate reflection of the unannounced monitoring visit of **(insert the name of the day care setting)** on **(insert date)**.

Verbal feedback was provided to **(insert name and role)** during and/or at the conclusion of the visit.

Registered provider/designated person completing this report	
Signature:	
Designation:	
Date report completed:	
Registered manager/acting manager receiving the report	
Signature:	
Designation:	
Date report received:	
Date report reviewed	
Registered Provider receiving the report	
Signature:	
Date report received:	
Date report reviewed:	