



The **Regulation** and
Quality Improvement
Authority

**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)**

**9th Floor Riverside Tower 5 Lanyon Place Belfast BT1 3BT
Tel: (028) 9051 7500 Fax: (028) 9051 7501**

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 (January 2012), please refer to Appendix 1.

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 inspected at the next inspection by the Regulation and Quality Improvement Authority (RQIA).

RQIA is able to monitor the quality improvement plans of day care settings in a way that is proportionate to the quality of care and support provided.

3. 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.
4. 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?

5. 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 announced or unannounced basis.

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

6. 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.
7. 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.

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.

*It is recognised that, in many day care settings, it is unlikely that the sample of service user's representatives will be available. In these circumstances the monitoring officer should carry out more detailed interviews with service users and contact their representatives by telephone.

8. They must inspect the environment of the setting.
9. 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?

10. 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.
11. 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.
12. 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?

13. 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.
14. They must keep the report available for inspection by RQIA on file and provide RQIA with a copy of this if requested.
15. RQIA will use any submitted reports to monitor action against the registered provider's quality improvement plan. The reports that RQIA receives will form part of the record of the standard of care and support in any Day Care Setting.
16. If RQIA requests the registered provider to send their report, they can do so by any means e.g. by hand, post, fax or e-mail. The registered provider may wish to consider sending the report by secure means if it contains any confidential, particularly private, personal information.
17. 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 and
- 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 incidents by type can be reviewed and any learning disseminated early 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 (NI) 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 (January 2012)

- 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 and address of registered provider	
Date and time of visit	
Was this visit announced or unannounced?	

Name of person in charge of the setting:

Number of service users:

- 1. Number of service users interviewed and summary of their views on the quality of care and support provided by the setting.**

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- 2. Number of service user representatives interviewed and summary of their views on the quality of care and support provided by the setting.**

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3. Number of staff interviewed and summary of their comments on the standard of care and services provided by the setting.

4. The number of accidents/incidents or other untoward events, as defined in the setting's procedures, which occurred during the month.

5. Key findings from looking at the records of incidents and complaints.

6. Aspects of the quality improvement plan looked at during the visit.

7. Commentary on progress made on planned improvements.

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8. Condition of the setting premises and detail any action to be taken.

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9. Other improvements planned as a result of this visit.

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

Action	By whom	Completion date

Signed:	
Designation:	
Date completed:	
Date report forwarded to registered manager and other relevant persons:	