



**TEMPLATE FOR VISITS BY A  
REGISTERED PROVIDER OR DESIGNATED PERSON  
TO A NURSING HOME OR RESIDENTIAL CARE HOME**

**(REGULATION 29 OF THE NURSING HOMES REGULATIONS (NI) 2005  
AND THE RESIDENTIAL CARE HOMES REGULATIONS (NI) 2005)**

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## **Who must visit the nursing home or residential care home?**

### **Main points**

- 1 Registered providers are responsible for monitoring the quality of service provided in their nursing and residential care homes.
- 2 Where the registered provider of a nursing or residential care home is not in day-to-day charge of the nursing or residential care home, the Nursing Homes and Residential Care Homes Regulations require that they undertake a monthly unannounced visit. During the visit a check is required to be made on the quality of service provided at the home. Providers must take into account the views of people living in their nursing or residential care home. 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).

The RQIA is able to monitor the quality improvement plans of nursing and residential care homes in a way that is proportionate to the quality of nursing and residential care provided.

- 3 If the registered provider is an organisation or partnership, the nursing home or residential care home must be visited by:
  - the responsible individual or one of the partners as the case may be;
  - a director or other persons who is responsible for the management of the organisation or partnership or an employee of the organisation or partnership who is not directly involved in the day to day running of the nursing home or residential care home.
- 4 In some cases, an organisation's or partnership's responsible individual and their 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 nursing and residential care 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 nursing or residential care home, to carry out the monthly visits and report on what they find.

## **When must they visit the nursing home or residential care home?**

- 5 The responsible individual must visit the nursing or residential care home at least once a month. The visit should be unannounced.

### **What must they do at the unannounced visit?**

6 The visit provides an opportunity for the registered provider to monitor the quality of the service being provided in their nursing or residential care home. They 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. They should look at how they are promoting equality and meeting the diverse needs of their patients/residents.

7 They must interview, with consent and in private, a representative sample of:

- Patients/residents of the nursing or residential care home
- Representatives of patients/residents
- Staff working at the nursing or residential care home.

They should select a representative sample that will give a good overview of the experiences of people living and working in the nursing or residential care home with particular regard to their equality and diversity.

8 They must inspect the premises of the nursing or residential care home.

9 They must inspect the home's record of accidents / incidents and record of any complaints.

### **How must they record their visit?**

10 They 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 home's quality improvement plan. The report should include a commentary on the experiences of people living and working in the home.

11 The report is primarily a tool that the registered provider can use as part of their management of the quality of their service. 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 form in Appendix 2 provides a suggested format for the report that registered provider may wish to use.

### **What must they do with the report?**

- 13 The report helps the registered provider to 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 as part of the RQIA's monitoring of services.
- 15 If RQIA is concerned about the quality of service being provided at the nursing or residential care home, for example, if there are staffing difficulties, RQIA may ask the registered provider to send copies of their reports. The frequency for the reports being requested by RQIA will depend on the quality of service being delivered and the rate of improvement noted. The RQIA will use these reports to monitor action against the registered provider's quality improvement plan. The reports RQIA receives will form part of the record of the standard of care in any nursing or residential care home.
- 16 If RQIA requests the registered provider to send their report, they can do so by any means eg 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.

### **Expected outcomes**

- 1 The registered provider can monitor the quality of the service provided in their nursing or residential care home.
- 2 The views of residents, 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 environment of the home will be promptly addressed.
- 6 The home will continuously improve the quality and standard of care provided.

## **Appendix 1**

### **Regulation 29 of The Nursing Homes Regulations (NI) 2005 and The Residential Care Homes Regulations (NI) 2005 state:**

- 1 Where the registered provider is an individual, but not in day-to-day charge of the nursing home or residential care home, he shall visit the home in accordance with this regulation.
- 2 Where the registered provider is an organisation or partnership, the nursing home or residential care home shall be visited in accordance with this regulation by -
  - (a) the responsible individual or one of the partners, as the case may be;
  - (b) another of the directors or other persons 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 nursing home or residential care home.
- 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 shall be unannounced.
- 4 The person carrying out the visit shall -
  - (a) interview, with their consent and in private, such of the patients or residents and their representatives and persons working at the nursing home or residential care home as appears necessary in order to form an opinion of the standard or nursing or residential care provided in the home;
  - (b) inspect the premises of the nursing home or residential care home, its record of events and records of any complaints; and
  - (c) prepare a written report on the conduct of the nursing home or residential care home.
- 5 The registered provider shall maintain a copy of the report required to be made under paragraph (4)(c) in the home and make it available on request to -
  - (a) the Regulation and Improvement Authority;
  - (b) the registered manager;
  - (c) the patient, resident or their representative;
  - (d) an officer of the Health and Social Care Trust in the area of which the nursing home or residential care home is situated.
- 6 In the case of a visit under paragraph (2) -
  - (a) where the registered provider is an organisation, to each of the directors or other persons responsible for the management of the organisation; and
  - (b) where the registered provider is a partnership, to each of the partners.

**APPENDIX 2**

**1. Report of a registered provider or designated person's unannounced monitoring visit to a nursing or residential home.**

Name and address of the establishment:	
Name of the registered provider/designated person completing this report:	
Name of the registered manager:	
Date of visit:	
Duration of visit:	From: <input type="text"/> <input type="text"/> To: <input type="text"/> <input type="text"/>
	Confirm type of visit: Unannounced <input type="checkbox"/> Announced <input type="checkbox"/>
Name of person in charge of the home at the time of the visit:	
Number of patients/residents in the home:	
Number of residents in the home (for nursing homes with registered residential beds)	

2. **Review of all matters identified in action plan from previous monitoring visit and record of progress made:**

3. **Confirm number of patients/residents interviewed by unique identifier and summary of their views on the quality of care and services provided by the home:**

Number of patients:       Number of residents:

Summary of patient/resident views by unique identifier:

**4. Confirm relatives/other visitors interviewed and summary of their views on the quality of the service provided in the home:**

Number of relatives:	<input type="text"/>	Number of visitors:	<input type="text"/>
Summary of their views:			
<div style="border: 1px solid black; height: 200px;"></div>			

**5. Number and position of staff interviewed and summary of their comments on the standard of care and delivery of services provided in the home (all grades of staff):**

<div style="border: 1px solid black; height: 300px;"></div>
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**6. Staff on duty on day of monitoring visit:**

Comment on the adequacy of staff (staff rota) in terms of numbers, qualifications, stability of staff group and experience to meet the needs of the current resident group. Please also outline action required and/or taken to address vacancies in the staff team:

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**7. Records**

**a. \*Records Monitored (listed under Schedule 1 - 4):**

Records Monitored	Compliant Y/N	Date
Patient/Resident 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		

***\*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:

**8. Notifiable accidents/incidents or other untoward events, as detailed under Regulation 30 which occurred during the month:**

Number of notifiable events since the last monitoring visit :	<input style="width: 90%;" type="text"/>				
Confirm if accident/incident audit(s) completed:	<table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 25%;">Yes</td><td style="width: 25%;"></td><td style="width: 25%;">No</td><td style="width: 25%;"></td></tr></table>	Yes		No	
Yes		No			
If yes, confirm date of last audit:	<table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 33%;"></td><td style="width: 33%;"></td><td style="width: 33%;"></td></tr></table>				
Provide detail on outcome of audit of accidents/incidents including identification of any themes/patterns and follow up action taken/required:					

**9. Incidents**

**a. Safeguarding incidents (SOVA): status i.e. referral to professional body/ RQIA / Trust / ISA and relatives informed:**

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

**10. Key findings from a review of the complaints records:**

Number of complaints received since the last monitoring visit on    /    /   

List the source, issue and outcomes of complaints recorded:

<u>Source</u>	<u>Main Issue</u>	<u>Outcome</u>	
		Complainant Satisfied?	Complaint Substantiated?
		Fully/Partly/Not	Fully/Partly/Not
<ul style="list-style-type: none"> <li>• <i>Service User</i></li> <li>• <i>Relative</i></li> <li>• <i>Informal Advocate</i></li> <li>• <i>Formal Advocacy Service</i></li> <li>• <i>Other, please specify</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>Care Practice</i></li> <li>• <i>Environmental Issue</i></li> <li>• <i>Staff Attitude</i></li> <li>• <i>Service User finance</i></li> <li>• <i>Food and Nutrition</i></li> <li>• <i>Other, please specify</i></li> </ul>		

Confirm if complaints audit completed:    Yes        No   

If yes, confirm date:     /  /

Provide detail on outcome of audit of complaints including identification of any themes/patterns and action taken/required:

**11. Compliments/Positive Feedback to home:**

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**12. RQIA Quality Improvement Plan (QIP) – Progress Update**

**a. Progress made against the QIP (requirements and recommendations) looked at during this visit:**

Date of last inspection:	<input type="text"/>	<input type="text"/>	<input type="text"/>	Type	<input type="text"/>
Progress Update:	<i>i.e. care/pharmacy/estates</i>				

**b. Update of progress made against recommendations made by other regulators (i.e. fire, health and safety executive, public health agency) reviewed during this visit:**

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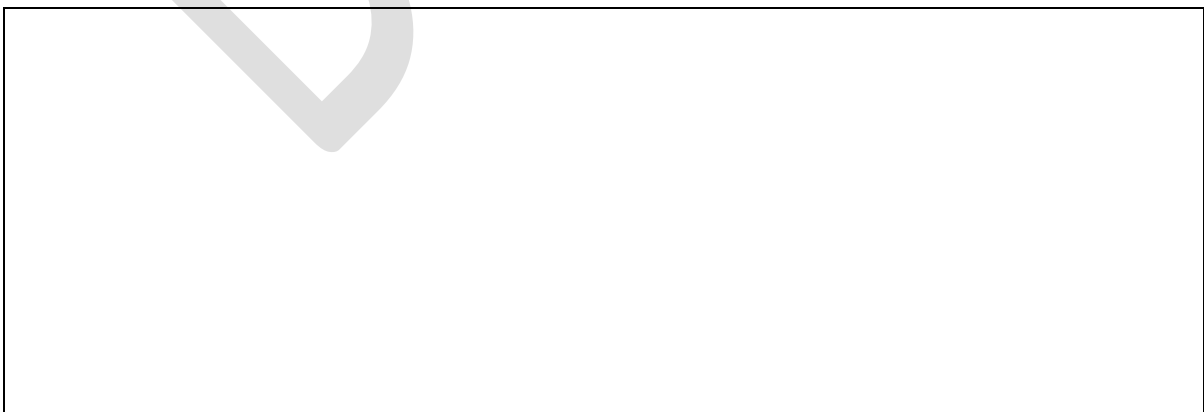
- 13. Condition and maintenance of the home's environment and detail any action to be taken in identified areas including any health and safety issues:**



- 14. Commentary on any other planned improvements for the home and timescales.**



- 15. Concluding comments of the registered provider/delegated person regarding the overall quality of care and/or services provided in the home; and confirmation that the home is operating in line with its Statement of Purpose and categories of care, as indicated in the home's registration certificate.**



16. Action plan agreed with the registered/acting manager/person in charge of home as a result of this visit -

Action	By whom	Completion date

## 17. Report Conclusion

I confirm that this report is an accurate reflection of the unannounced monitoring visit of *(insert the name of the nursing/residential home)* on *(insert date)*. Verbal feedback was provided to ....*insert name and status...* during and/or at the conclusion of the visit.

Registered provider/designated person completing this report	
Signature:	
Designation:	
Date report completed:	
Date report forwarded to the person below:	
Registered manager/acting manager/person in charge	
Signature:	
Designation:	
Date report received:	
Registered provider	
Signature:	
Date final copy received:	