



Department of  
**Health, Social Services  
and Public Safety**

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# Minimum Care Standards for Independent Healthcare Establishments

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## Introduction

This document sets out minimum standards for independent health care. The standards specify the arrangements, facilities and procedures that need to be in place and implemented to ensure the delivery of a quality service.

Standards are based on the provisions of the HPSS (Quality, Improvement and Regulation) (Northern Ireland) Order, 2003 and the Independent Healthcare Regulations (Northern Ireland) 2005 and the amendments set out in the Regulation and Improvement Authority (Independent Health Care) (Fees and Frequency of Inspections) (Amendment) Regulations (Northern Ireland) 2011 and apply to those establishments regulated under the provisions of these regulations.

Article 38 of the Health and Personal Social Services (Quality Improvement and Regulation) (Northern Ireland) Order 2003 gives powers to the Department of Health, Social Services and Public Safety (DHSSPS) to publish minimum standards that the Regulation and Quality Improvement Authority (RQIA) must take into account in the regulation of establishments and agencies. These Minimum Standards for Independent Healthcare Establishments are written under the provisions of Article 38.

Compliance with the regulations is mandatory and non-compliance with some specific regulations is considered an offence. The Regulation and Quality Improvement Authority (RQIA) must take into account the extent to which the minimum standards have been met in determining whether or not a service maintains registration or has its registration cancelled, or whether to take action for breach of regulations.

The regulations and minimum standards have been prepared in response to extensive consultation. **They are the minimum standards below which no provider is expected to operate.**

Additionally, each establishment is expected to comply with all other relevant legislation, regulations, guidance and best practice. A key responsibility of the

Registered Manager is to ensure that the treatments, procedures and services provided are evidence based and in line with current best practice, for example as defined by professional bodies and national standard setting organisations.

The standards apply **to independent hospitals, independent clinics, and independent medical agencies**. The legal definition of hospital in this case includes hospices, independent hospitals providing in-patient mental health care and treatment, dentists and certain beauty salons.

An **independent hospital** is defined as an establishment the main purpose of which is to provide medical or psychiatric treatment for illness or mental disorder or palliative care, or in which **listed services** are provided; or in which treatment or nursing (or both) is provided for persons liable to be detained under the Mental Health Order 1986. Hospices are included through providing palliative care.

The **listed services** are defined as:

*(a) medical treatment under anaesthesia or sedation;*

*(b) dental treatment (thus all dental practices delivering private treatment are subject to regulation by RQIA)*

*(c) obstetric services and in connection with child birth, medical services;*

*(d) Cosmetic surgery (excepting ear and body piercing; tattooing; subcutaneous injection of substances into the skin for cosmetic purposes and removal of hair roots by application of heat, using an electric current);*

*(e) Use of prescribed techniques or technology, i.e. class 3B or class 4 lasers; filtered radiation, aimed at causing thermal, mechanical or chemical damage to hair follicles and skin blemishes; endoscopy; in vitro fertilisation techniques; haemodialysis or peritoneal dialysis and certain hyperbaric therapies [Thus beauty clinics delivering certain laser treatment or hair removal fall to be regulated by RQIA.]*

An **independent clinic** is an establishment, which is not a hospital, in which services are provided by medical practitioners who don't deliver any HSC services.

An **independent medical agency** is an undertaking which includes the provision of services by medical practitioners where none of the services are provided for the purposes of an independent clinic or for delivering HSC services.

Additionally, if an establishment employs a doctor who only works in the independent sector and does not work at all in the HSC, the establishment must be regulated by RQIA.

Private dental practices are required to be registered with RQIA as independent hospitals. However, these standards do not apply to dental practices, which have their own discrete minimum standards (published in 2011).

Due to the wide scope of the standards, not all establishments will have to comply with all standards or even all criteria within the standards. The Statement of Purpose for each establishment will determine the extent to which compliance with standards and criteria is expected.

The safety and quality of services provided in an independent healthcare establishment is the responsibility of every person working in the establishment but ultimately the Registered Persons are accountable for the delivery of the services in accordance with these Minimum Standards.

Providers of services must be committed to continuous improvement through systematically auditing practice and reviewing policies and procedures, taking account of results from patient surveys, complaints investigations and risk assessments, and making changes as required.

The manager must be in control of the operations within the establishment and provide leadership and direction for the staff team. Investing in staff, providing learning and development opportunities, and supporting and valuing the staff team are vital.

## Using These Standards

The standards are split into sections explained below.

Standards 1 - 28 cover common areas for the range of independent healthcare services and will be applicable to every establishment. All regulated establishments should comply with most, if not all, of these standards and then proceed through the book to find the other standards that apply to the individual setting.

Standards 29 - 36 are applicable to hospitals, clinics, independent medical agencies and hospices. However, it is recognised that not all establishments will comply with all standards – for example an establishment may not provide surgery or treat children – and in these cases RQIA will not look for evidence of compliance.

Standards 37 - 43 are applicable only to hospices.

Standards 44 - 47 are only applicable to establishments providing IVF and assisted conception services.

Standard 48 is only for services providing laser treatments using class 3B lasers, class 4 lasers and intense light sources.

Standard 49 is only for services providing dialysis.

Standard 50 applies only to settings providing hyperbaric oxygen therapy.

Standards 51 - 67 apply only to independent hospitals providing in-patient mental health services.

Section two covers the standards for registration. The statement of purpose defines what services and facilities the establishment will provide and the operational policy describes how they will be provided.

An individual who intends to carry on an establishment must be registered and is referred to as the Registered Person. An organisation that intends to carry on an establishment is also required to nominate one person to be registered on behalf of the organisation, who is the Responsible Individual.

The manager of the establishment must also be registered and is referred to as the Registered Manager. The Registered Person may also be the Registered Manager. Those applying for registration as the Registered Person and/or the Registered Manager must meet the relevant criteria for fitness of these positions.

At the time of procuring new premises to be used for the purposes of an independent health care establishment, the design, construction, installation, commissioning and validation of the premises, engineering services and equipment should be in accordance with the health care standards contained in the relevant Health Building Notes, Health Technical Memoranda, Health Facilities Notes and Design Guides.

These technical documents are complex and extensive and cannot be summarised here - therefore they must be referred to when requiring information in relation to independent health care premises, engineering services and equipment.

## **Values Underpinning the standards**

The standards are based on a set of values that recognise the rights that people have as citizens and all aspects of planning, delivery and review of services must reflect these values.

Managers and staff must base their practice on these values, recognising people's rights and aim to provide quality services that are patient-centred.

Patients should experience quality care and support. They are fully informed and involved in all decisions affecting their treatment and care, and contribute to the planning and evaluation of services.

### **Dignity and Respect**

The uniqueness and intrinsic value of individual patients is acknowledged and each person is treated with respect.

### **Independence**

Patients have as much control as possible over their lives whilst being protected against unreasonable risks.

### **Rights**

Patients' individual and human rights are safeguarded.

### **Equality and Diversity**

Patients are treated equally and their background and culture are valued.

### **Choice**

Patients are offered the opportunity to select independently from a range of options based on clear, accurate and accessible information.

**Privacy**

Patients have the right to be left alone, undisturbed and free from unnecessary intrusion into his or her affairs and there is a balance between the consideration of the individual's own and others' safety.

**Confidentiality**

Patients know that information about them is managed appropriately and will not be disclosed without permission, except when required by legislation or the need to protect the well-being of others.

**Safety**

Patients feel safe in all aspects of their treatment and care, and are free from exploitation, neglect and abuse.

The belief that people in receipt of services are central in all aspects of planning, delivery, review and improvements of the service is a conviction that underpins these standards.

## **COMMON STANDARDS (for all establishments)**

### **Standards for Patients and Clients**

- **Informed Decision Making**
- **Informed Consent**
- **Safeguarding**
- **Dignity, Respect and Rights**
- **Patient and Client Partnerships**
- **Care Pathway**
- **Complaints**
- **Records**
- **Clinical Governance**

## **Informed Decision Making**

### ***Standard 1***

***Patients and clients and prospective patients and clients have access to clear, accurate and accessible information about the establishment and the services it offers.***

#### **Criteria**

- 1.1 There is written information for patients that provides a clear explanation of their condition and any treatment, investigation or procedure proposed, including risks, options and expected outcomes. Patients and clients are fully involved in planning their treatment and care.
- 1.2 Information is written without jargon and if requested available in languages and formats required to make it accessible to all patients and clients and prospective patients and clients. Formats include easy read measures such as Braille, audio description, sign language interpreters and interpretation services for those clients and service users for whom English is an additional language. This information reflects the content of the Statement of Purpose.
- 1.3 The Patient or Clients' Guide is made available to patients and clients. The Guide includes:
  - A summary of the Statement of Purpose;
  - The terms and conditions of services to be provided including the amount and method of payment for all aspects of treatment;
  - A standard form of contract for the provision of services and facilities by the registered provider to patients and clients;
  - A summary of the complaints' procedure;
  - A summary of the results of engagement with patients and clients;
  - Contact details for the RQIA; and

- The most recent inspection report or information on how to obtain these reports.
- 1.4 Information is accurate, accessible and up to date and does not make claims for treatments or services that cannot be justified.
  - 1.5 Information on the price of treatment or services is clear, accurate, accessible, up to date and reflective of all associated costs.
  - 1.6 All publicity material conforms to the general principles in the guidelines of the General Medical Council; the Code of the Nursing and Midwifery Council; and any other appropriate regulatory body.
  - 1.7 Advertising and marketing campaigns comply with guidance issued by professional bodies and national standard setting organisations. They are legal, factual and not misleading. Where discounts linked to a deadline for booking appointments or surgery or other date-linked incentives are offered, best practice guidance must be adhered to.

## **Informed Consent**

### **Standard 2**

***Patients and clients are involved in decision making in line with the Department's guidance on consent, treatment and care.***

#### **Criteria**

- 2.1 There is a written policy and procedures on obtaining informed consent which covers capacity and withdrawal of consent in line with the Department of Health Social Services and Public Safety (DHSSPS) guidance on Consent, Treatment and Care.<sup>1</sup> All patients and clients, their family and carers will be informed of this guidance in a manner which is accessible and fully addresses concerns which patients and clients may have in relation to their treatment and care.
- 2.2 Patients and clients are effectively involved in making decisions about their treatment and are provided with clear and accessible information about the implications of the treatment and any options available to them. Staff are suitably trained to obtain consent for patients and clients with disabilities.
- 2.3 Informed consent or refusal is documented in the patient or client's record and completed consent forms are kept with patient and client records.
- 2.4 Providers must ensure that patients and clients understand what is involved in the procedures for their treatment and care as well as the skills and experience of those undertaking the procedures.
- 2.5 Patients and clients have a planned programme of care setting out what they can expect from the time of accessing a service to discharge.

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<sup>1</sup> DHSSPS guidance on Consent, Treatment and Care can be accessed at: [http://www.dhsspsni.gov.uk/public\\_health\\_consent](http://www.dhsspsni.gov.uk/public_health_consent)

2.6 Patients and clients have accessible written information about their treatment that is available for them to take away after a consultation, procedure or operation. This includes general and procedure-specific information and where appropriate identifies any complications associated with the treatment and actions taken as a result of complications. Formats include easy read measures such as Braille, audio description, sign language interpreters and interpretation services for those clients and service users for whom English is an additional language

## **Safeguarding**

### **Standard 3**

***There are arrangements in place for safeguarding in accordance with current regional guidance.***

#### **Criteria**

- 3.1 There is a written policy and written procedures for safeguarding which is consistent with current regional guidance and includes the names of nominated persons within the establishment and contact details for onward referral to external agencies.
- 3.2 Patients, clients, families and carers will be informed of the general and specific safeguarding arrangements in place.
- 3.3 Safeguarding policies and procedures are easily accessible to all staff and there is evidence that all staff have read and understood the policy.
- 3.4 All suspected, alleged or actual safeguarding incidents are reported to the relevant nominated persons and external agencies in accordance with the policy and procedures.
- 3.5 All suspected, alleged or actual incidents of abuse are fully and promptly referred to the appropriate agencies for investigation in accordance with procedures and written records maintained of the investigation, outcome and actions taken.
- 3.6 All relevant persons and external agencies are notified of the outcome of any investigation undertaken by the establishment.
- 3.7 Procedures for safeguarding are included in the induction process for all staff and volunteers and there is appropriate managerial support to deal with

safeguarding issues. Staff and volunteers who are inducted can provide evidence that they have been provided with training/induction in this area.

3.8 Within 3 months of commencing employment, staff complete training and can demonstrate knowledge of safeguarding principles including:

- Protection from abuse;
- Indicators of abuse;
- Responding to suspected, alleged or actual abuse; and
- Reporting suspected, alleged or actual abuse.

3.9 Safeguarding training is refreshed for all staff in accordance with RQIA's mandatory training requirements.<sup>2</sup>

3.10 Where any shortcomings in systems are highlighted as a result of an investigation, additional identified safeguards are put in place.

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<sup>2</sup> RQIA mandatory training requirements can be found at:  
[http://rqia.org.uk/cms\\_resources/Mandatory%20Training%20Guidance%202012-2013%20.pdf](http://rqia.org.uk/cms_resources/Mandatory%20Training%20Guidance%202012-2013%20.pdf)

## **Dignity, Respect and Rights**

### ***Standard 4***

***Patients, clients, visitors and staff are respected and their rights are recognised and upheld.***

#### **Criteria**

- 4.1 Patients, clients, visitors and staff are treated and cared for in accordance with legislative requirements for equality and rights.
- 4.2 Patients and clients are treated in accordance with the DHSSPS standards for patient & client experience<sup>3</sup>.
- 4.3 Patients' and clients' rights to make decisions about care and treatment are acknowledged and respected.
- 4.4 Patients' and clients' modesty and dignity is respected at all times. They can access an area that safely provides privacy for consultation and (where required) for visitors.

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<sup>3</sup> DHSSPS standards for patient and client experience can be found at [http://www.dhsspsni.gov.uk/improving\\_the\\_patient\\_and\\_client\\_experience.pdf](http://www.dhsspsni.gov.uk/improving_the_patient_and_client_experience.pdf)

## **Patient and Client Partnerships**

### **Standard 5**

***The views of patients and clients, carers and family members are obtained and acted on in the evaluation of treatment, information and care.***

#### **Criteria**

- 5.1 Patients and clients, carers (and family members where appropriate) are asked for their comments on the quality of treatment, information and care received. This information is obtained from all patients and clients. The information is collected in an anonymised format, summarised and used by the establishment to make improvements to services.
- 5.2 The summary of patients' and clients' comments is made available to patients, prospective patients and other interested parties.
- 5.3 Reports summarising patients' and clients' comments and action taken by the organisation are presented regularly to the setting's management group (where appropriate) and are made available to staff.
- 5.4 Treatment and care services should be planned and developed with meaningful patient, family and carer involvement; facilitated and supported as appropriate; and provided in a flexible manner to meet individual and changing requirements.

## Care Pathway

### Standard 6

***Patients and clients have a planned programme of care from the time of referral to a service through to discharge and continuity of care is maintained.***

#### Criteria

- 6.1 Patients and clients receive all the necessary information about their admission and treatment. This is available in an alternative language or format when required.
- 6.2 Patients and clients receive an explanation of the clinical assessments, which will be carried out by different members of the health care team. This is communicated in a language and manner which is appropriate to the patient or client's age and understanding.
- 6.3 On admission, patients and clients have a comprehensive assessment of their health care needs using evidence based assessment tools. The results of assessments are used to draw up an individualised, person-centred care plan. Where possible the care plan is shared and signed by patient/client.
- 6.4 There are arrangements in place to meet the patient or client's assessed needs - including, if necessary, referral to specialised services. There are arrangements for immediate post operative care in line with the patient or client's assessed needs.
- 6.5 The treatment plan and ongoing care needs are agreed with the patient or client and communicated to the multidisciplinary care team.
- 6.6 The results of investigations and treatment are clearly explained to patients and clients and any options available to them are discussed.

- 6.7 All treatment and care is recorded in the patient or client's clinical record.
- 6.8 There is a planned programme for discharge from the establishment that provides the patient or client with written information on:
- Future management of the condition;
  - Supply of medicines;
  - Where appropriate, liaison with community services; and
  - Follow up advice and support including what to do if complications or problems occur.
- 6.9 Where appropriate to the setting and in line with the patient or client's wishes, a discharge letter summarising the patient or client's treatment and care is sent to their general practitioner and other professionals involved in their ongoing treatment and care.
- 6.10 When specialist services including radiology and chemotherapy are provided, these are carried out in accordance with legislation, regulations and current best practice.
- 6.11 Arrangements are in place to enable relevant professionals to contribute to the multidisciplinary review of outcomes of patient care.

## **Complaints**

### **Standard 7**

***All complaints are taken seriously and dealt with appropriately and promptly.***

#### **Criteria**

- 7.1 The organisation operates a complaints procedure in accordance with the relevant legislation and DHSSPS guidance on complaints handling. There are clear arrangements for the management of complaints from HSC and private patients and clients.
- 7.2 Arrangements for dealing with complaints are publicised.
- 7.3 A copy of the complaints procedure is provided to patients and clients and to any person acting on their behalf. The procedure is available in a range of formats suited to the patient or client's age and level of understanding if required.
- 7.4 Staff know how to receive and deal with complaints.
- 7.5 Complaints are investigated and responded to within 28 working days (in line with regulations) and when this is not possible, complainants are kept informed of any delays.
- 7.6 Records are kept of all complaints and these include details of all communications with complainants, the result of any investigation, the outcome and the action taken. The complainant is notified of the outcome and action taken. These records are treated in line with data protection law.
- 7.7 When required, a summary of all complaints, outcomes and actions taken is made available to the RQIA.

7.8 Information from complaints is used to improve the quality of services.

## Records

### **Standard 8**

***Records are maintained for every patient and client in accordance with legislative requirements and best practice guidelines.***

#### **Criteria**

8.1 There is a written policy and procedures in accordance with the Independent Healthcare Regulations for the management of records including detail on their:

- Creation;
- Use;
- Retention;
- Storage;
- Transfer; and
- Disposal.

Access to records is also covered.

8.2 The policy and procedure for record keeping in relation to patient treatment and care comply with guidelines and standards from statutory regulatory bodies.

8.3 Records required under legislation are available for inspection in the establishment at all times.

8.4 Appropriate staff are trained in records management in line with good practice and legislative requirements. All staff are aware of and understand the importance of effective records management. Refresher/updated training is provided

8.5 Patients and clients have access to their records in accordance with the Data Protection Act 1998 and, where appropriate, the Information Commissioner's Office regulations and Freedom of Information legislation.

## **Clinical Governance**

### **Standard 9**

***Patients and clients are provided with safe and effective treatment and care based on best-practice guidance, demonstrated by procedures for recording and audit.***

#### **Criteria**

- 9.1 Treatment, care and service improvement is delivered in line with best practice guidance.
- 9.2 When new procedures are introduced, these are linked to appropriate training to support effective implementation.
- 9.3 Working practices are systematically audited to ensure they are consistent with legislation, best practise guidance and the establishment's documented policies and procedures. Remedial action is taken when necessary.
- 9.4 There are procedures in place to facilitate clinical audit where appropriate.
- 9.5 The Registered Person/Responsible Individual monitors the quality of services in accordance with the establishment's written procedures and completes a monitoring report on a 6-monthly basis. This report summarises patients', clients' and employees comments about the quality of the service provided, an inspection of complaints and any actions taken by the Registered Person/ Manager to ensure that the establishment is being managed in accordance with the relevant regulations. This report is maintained and available for inspection.
- 9.6 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.

9.7 Where appropriate, there are clear arrangements for monitoring the quality of clinical care that include as a minimum the following clinical indicators:

- Unplanned returns to theatre;
- Peri-operative deaths as defined by the National Confidential Enquiry into peri-operative deaths;
- Unplanned re-admissions to hospital;
- Unplanned transfers to other hospitals;
- Adverse clinical incidents; and
- Post-operative infection rates for the hospital and/or clinic.

9.8 Where appropriate, there is a written agreement and written procedures between the establishment and an HSC provider for accessing additional services and where the clinic does not provide overnight stay; arrangements are in place to access inpatient beds.

9.9 All accidents, incidents, communicable diseases and deaths occurring in the establishment are reported to the RQIA and other relevant organisations in accordance with legislation and procedures.

9.10 The Registered Person/Manager has arrangements in place to ensure that before any research involving patients and clients takes place, a research proposal is prepared and approval is obtained from the appropriate Research Ethics Committee.

## **Standards for Workforce Governance**

- **Qualified Practitioners, Staff and Indemnity**
- **Practising Privileges**
- **Staffing**
- **Professional Supervision, Training and Development**
- **Recruitment**
- **Volunteers**

## **Qualified Practitioners, Staff and Indemnity**

### ***Standard 10***

***Staff are educated, trained and qualified for their roles and responsibilities and maintain their training and qualifications.***

#### **Criteria**

- 10.1 All practitioners are registered with the relevant regulatory body and comply with that body's codes of practice or rules of professional conduct.
- 10.2 All practitioners have the necessary training, qualifications, experience and expertise to safely and competently undertake the treatments and services they offer.
- 10.3 The Registered Person/Manager has arrangements in place for dealing with professional alert letters, managing identified lack of competence and poor performance for all staff including those with practising privileges, and reporting incompetence in line with guidelines issued by the DHSSPS and professional regulatory bodies.
- 10.4 The Registered Person/Manager requires and ensures all staff abide by published codes of professional practice relevant to their professional role and obtains evidence that professional registration and revalidation requirements are met.
- 10.5 All registered medical practitioners with a licence to practice must meet the GMC's requirements for revalidation. The organisation must support them in fulfilling those requirements through:
- Acting as a designated body where required under The Responsible Officer Regulations (NI) 2010;

- Providing an annual appraisal consistent with the GMC's appraisal and assessment framework where they employ a doctor; or
- Providing sufficient information to a doctor's responsible officer to support their revalidation where they are not an employee.

10.6 All practitioners who are employed by the establishment have an annual appraisal by an appropriately trained and qualified appraiser.

10.7 All practitioners are covered by appropriate professional indemnity **either** as specifically identified employees of the establishment or through the policies of insurance maintained by the establishment **or** as members of a professional body.

10.8 Clinical Nurse Specialists working in hospice care have a specialist practice qualification in palliative care nursing or are working towards this or have appropriate experience of working in a specialist palliative care environment.

10.9 Care assistants work as part of the multi-disciplinary team and are supervised by a registered health professional.

10.10 Care assistants are encouraged and supported to achieve an appropriate qualification.

10.11 All newly appointed staff receive an appropriate induction. Induction for newly appointed social care staff complies with the Northern Ireland Social Care Council's (NISCC) Induction Standards for new workers in social care<sup>4</sup>.

10.12 Social work staff are registered with NISCC.

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<sup>4</sup> Information about NISCC's Induction Standards can be accessed at:  
[http://www.niscc.info/workforce\\_development-5.aspx](http://www.niscc.info/workforce_development-5.aspx)

## **Practising Privileges**

### **Standard 11**

***Medical practitioners may only use facilities in the establishment for consultation with and treatment of patients if they have been granted practising privileges.***

#### **Criteria**

11.1 There is a written procedure that defines the process for application, granting, maintenance and withdrawal of practising privileges.

11.2 Before practising privileges are granted:

- The applicant's identity is confirmed;
- AccessNI and police checks are carried out (where applicants come from countries outside UK or Republic of Ireland, pre-employment checks are carried out with the national agency in the country of origin);
- Registration status with relevant regulatory body is confirmed;
- Qualifications, training and experience of the practitioner for the type of treatment he/she has requested practising privileges is checked; and
- Indemnity arrangements are confirmed.

11.3 Consultants and practitioners are interviewed before practising privileges are granted.

11.4 The practising privileges granted define the specialty or specialties in which the practitioner may treat patients and clients.

11.5 There is a written agreement between the practitioner and the establishment that sets out the terms and conditions of granting practising privileges. Practising privileges agreements are reviewed at least every 2 years.

11.6 There is a written procedure for the sharing of information between the establishment and HSC employers to enable 'whole practice appraisal' to take place.

11.7 Medical practitioners with practising privileges (including those who are employed by a HSC Trust and those who are retired and continue to work within the independent sector) are required to provide evidence of their annual appraisal and meet the regulatory requirements of their professional body or council.

## **Staffing**

### **Standard 12**

***The number and ratio of staff on duty at all times meets the care needs of patients and clients.***

#### **Criteria**

- 12.1 At all times, the number and ratio of staff on duty meets the assessed care needs of all patients and clients and takes into account the size and layout of the establishment, the Statement of Purpose and fire safety requirements.
- 12.2 There are arrangements in place to provide cover at all times by appropriately qualified, trained and experienced practitioners. The procedure for contacting a medical practitioner where necessary and appropriate is clearly defined and known to all staff.
- 12.3 Where necessary, appropriate administrative and ancillary staff are employed to ensure that standards relating to food and meals, transport, laundry, cleaning and maintenance of the premises and administration are fully met.
- 12.4 There is a qualified, trained and experienced person in charge of the establishment at all times.
- 12.5 Records are kept of all staff. These records include names, starting and leaving dates, posts held, training and hours of employment. In relation to professional staff, records must also include details of timely and updated renewal of professional registration and qualifications.
- 12.6 Where appropriate, a record is kept which shows the rota of staff working over each 24 hour period and the capacity in which they were working.

12.7 Where appropriate, staff meetings take place on a regular basis and at least quarterly. Records are kept which include:

- The date of all meetings;
- The names of those attending;
- Minutes of discussions; and
- Any actions agreed.

## Professional Supervision, Training and Development

### **Standard 13**

***Staff are supervised and their performance appraised to promote the delivery of quality care. Effective training is given as part of the process of professional development.***

#### **Criteria**

13.1 Mandatory training needs (as outlined by RQIA) of all staff are met<sup>5</sup>.

13.2 The training needs of individual staff are identified and arrangements are in place to meet them. A training needs analysis for individual staff must be carried out relative to the needs of the client group and the types of services delivered.

13.3 Newly appointed staff, agency staff, students and those with practising privileges are required to complete a structured induction and orientation within three months of employment. Records of the completed induction are retained.

13.4 A record is kept of all training (including induction) and professional development activities undertaken by staff. The record includes:

- The names and signatures of those attending the training event;
- The dates of the training;
- The name and qualification of the trainer or training agency; and
- Content of the training programme.

13.5 There is a written training and development programme that is kept under review and updated at least annually. It reflects the training needs of individual staff and the aims and objectives of the establishment.

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<sup>5</sup> [http://rqia.org.uk/cms\\_resources/Mandatory%20Training%20Guidance%202012-2013%20.pdf](http://rqia.org.uk/cms_resources/Mandatory%20Training%20Guidance%202012-2013%20.pdf)

- 13.6 The effect of training on practice and procedures is evaluated as part of quality improvement.
- 13.7 Managers and supervisory staff are trained in professional supervision and performance appraisal in line with regional professional policy e.g. CNO Standards for Supervision in Nursing and there is a written policy and written procedures that detail the arrangements for the professional supervision and appraisal of staff.
- 13.8 The supervision and support for staff and volunteers corresponds to their role and responsibilities. There is a written record or evidence of professional supervision having taken place.
- 13.9 Staff have a recorded annual appraisal to review their performance against their job description and agree personal development plans.

## Recruitment

### **Standard 14**

***Staff are recruited and employed in accordance with relevant employment legislation and best practice guidance.***

#### **Criteria**

14.1 The policy and procedures for staff recruitment detail the recruitment process and comply with legislative requirements.

14.2 Before making an offer of employment:

- Positive Proof of identity including recent photograph is confirmed
- Two written references, linked to the requirements of the job are obtained, one of which is from the applicant's present or most recent employer;
- Any gaps in an employment record are explored and explanations recorded;
- AccessNI checks are carried out (where applicants come from countries outside the United Kingdom or Republic of Ireland, pre-employment checks are carried out with the national agency in the country of origin);
- Professional and vocational qualifications are confirmed;
- Registration status with relevant regulatory bodies is confirmed;
- A pre-employment health assessment is obtained;
- Current status of work permit/employment visa is confirmed;
- Details of any criminal convictions or offences; and
- Details of any professional indemnity issues.

14.3 Records are kept of all the documentation relating to the recruitment process. AccessNI disclosures should only be retained in line with AccessNI's Code of Practice.

14.4 The Registered Person has arrangements in place to ensure that if international recruitment of health and social care professionals is carried out, it is in accordance with inter-country arrangements and complies with legislative requirements and DHSSPS guidance.

14.5 Staff are issued with a written statement of main terms and conditions of employment prior to commencing employment and no later than 13 weeks after appointment.

14.6 Job descriptions are issued to staff on appointment.

## **Volunteers**

### **Standard 15**

***Where appropriate, volunteers contribute to the service in the best interests of patients and clients.***

#### **Criteria**

- 15.1 The procedure for the involvement of volunteers details the arrangements for their recruitment, induction, training and management.
- 15.2 Volunteers are not taken into account in the overall staffing complement.
- 15.3 AccessNI checks are completed on any person who volunteers before he or she begins to contribute to the work of the establishment.
- 15.4 Patients and clients and staff are informed about individual volunteers' roles and responsibilities.
- 15.5 The scope of activity and responsibility of each volunteer is specified in writing.
- 15.6 Records are kept of the recruitment, training, and monitoring and support arrangements for volunteers.
- 15.7 A record is kept of volunteers deployed, the hours of service and the range of work undertaken.

## **Standards for Management of the Establishment**

- **Management and Control of Operations**
- **Risk Management**
- **Dealing with Medical Emergencies**
- **Policies and Procedures**

## **Management and Control of Operations**

### **Standard 16**

***Management systems and arrangements are in place that ensure the delivery of quality treatment and care.***

#### **Criteria**

- 16.1 There is a defined management structure that identifies the lines of accountability, specifies roles and details responsibilities for areas of activity.
- 16.2 The Registered Person/Manager ensures the establishment delivers services effectively on a day-to-day basis with good professional relationships in accordance with legislative requirements, DHSSPS Minimum Standards and other standards set by professional bodies and national standard setting organisations. Issues arising are reported to the Registered Person/Manager.
- 16.3 Any absence of the Registered Person/Manager of more than 28 days is notified to the RQIA. Arrangements for managing the establishment in the absence of the Registered Person/Manager are approved by the RQIA.
- 16.4 The Registered Person/Manager undertakes training and education to ensure they are up-to date in all areas relevant to the management and provision of services.
- 16.5 Services are delivered in accordance with the Statement of Purpose as approved by the RQIA at the time of registration.
- 16.6 The Statement of Purpose is kept under review.
- 16.7 Any changes to:
- The Statement of Purpose; or

- The person registered on behalf of the organisation;

Or any change in:

- The Registered Manager; or
- The premises

may only be made with the approval of the RQIA.

16.8 The Patient Guide is kept under review, revised when necessary and up-dated versions are provided to the RQIA.

16.9 Where meals are provided, there are arrangements in place to ensure these are nutritionally balanced, suited to the needs of the patient or client and are prepared and served by staff who are appropriately trained and qualified. There is assistance and support with meals for those patients and clients who need it. Meals are provided in accordance with Departmental guidance.

16.10 The Registered Person/Manager has arrangements in place to confirm that staff supplied by an agency have been recruited and checked in accordance with the recruitment procedures used by the establishment. There are policies and procedures in place to ensure that agency staff receive an appropriate induction in the establishment.

16.11 There is a written policy and procedures that identify to whom staff report concerns about poor practice. There are appropriate mechanisms to support staff in reporting concerns about poor practice. Furthermore there is a written policy on “whistle blowing” for staff to follow when internal processes do not address their concerns.

16.12 Insurance cover is in place against loss or damage to the assets of the business. The level of cover should reflect the full replacement value of buildings, fixture, fittings and equipment.

16.13 Insurance cover is held (to limits commensurate with the level and extent of activities undertaken by the establishment or to the minimum required by the RQIA) for:

- Employer's liability;
- Public and third party liabilities;
- Business interruption costs;
- Loss of earnings; and
- Costs to providers of meeting contract liabilities.

16.14 All legally required certificates and licences are kept up to date, displayed if required and are accessible for the purpose of inspection.

## Risk Management

### Standard 17

***All risks in connection with the establishment, treatment and services are identified, assessed and managed.***

#### Criteria

17.1 There are comprehensive risk management procedures that, where appropriate, comply with legislation for the following areas:

- The identification and assessment of risks throughout the establishment;
- Health and safety;
- Fire safety;
- Infection control;
- Management of medicines;
- Decontamination;
- Blood and blood products;
- Control of Substances Hazardous to Health (COSHH);
- Inadequate Staffing/Poor Performance
- Moving and handling; and
- Accidents, incidents and near misses.

17.2 There are designated members of staff to send, receive and act on information from the Northern Ireland Adverse Incident Centre (NIAIC). A record is kept of guidance issued by NIAIC and warning notices are distributed and recommendations contained in the notices are implemented.<sup>6</sup>

17.3 Where blood and blood products are used, this should be in line with good practice including DHSSPS circular HSS (MD) 17/2011.<sup>7</sup>

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<sup>6</sup> The NIAIC website can be accessed at <http://www.dhsspsni.gov.uk/index/hea/niaic.htm>

<sup>7</sup> Circular HSS (MD) 17/2011 can be accessed at: <http://www.dhsspsni.gov.uk/hss-md-17-2011.pdf>

17.4 The Registered Person/Manager reviews all information relating to accidents, incidents, near misses and claims and ensures that corrective action is taken and learning disseminated through the organisation. Regular audits are carried out.

## **Dealing with Medical Emergencies**

### ***Standard 18***

***There are arrangements in place in case of medical emergencies.***

#### **Criteria**

18.1 There is a written protocol for dealing with recognised medical emergencies.

18.2 Appropriate staff are trained in immediate basic life support skills and such training is provided in line with timescales stated on the validation certificate.

18.3 In line with resuscitation guidance, any emergency resuscitation equipment is readily accessible and monitored to ensure it is in good working order. A record is maintained with the signature of the person carrying out the check.

## **Policies and Procedures**

### **Standard 19**

***There are policies and procedures in place that are in line with legislation and promote safe, high-quality treatment, care and services.***

#### **Criteria**

- 19.1 The policies and procedures for all operational areas of the establishment are in accordance with statutory requirements.
- 19.2 The policies and procedures for clinical treatment and care are evidenced-based and in line with current best practice (for example as defined by professional bodies and national standard setting organisations).
- 19.3 Where appropriate, there are arrangements to ensure that policies and procedures are developed and reviewed with input from staff and patients and clients.
- 19.4 Policies and procedures are centrally indexed and compiled in a policy manual and dated when issued, reviewed or revised.
- 19.5 Policies and procedures are subject to a systematic three yearly review, and the Registered Person ratifies any introduction of new policies and procedures as well as the revision of those already existing.
- 19.6 Systems are in place to ensure that all relevant persons are notified of any changes to policies and procedures.
- 19.7 Staff sign to state they have read, understood and agree to abide by policies and procedures.

## **Standards for Infection Prevention and Control and Decontamination**

- **Infection Prevention and Control**
- **Decontamination**

## Infection Prevention and Control<sup>8</sup>

### **Standard 20**

***There is a managed environment that minimises the risk of infection for patients and clients, visitors and staff.***

#### **Criteria**

- 20.1 Responsibility for infection prevention and control is clearly defined. There are clear lines of accountability throughout the establishment and key members of staff have responsibility for the implementation of infection prevention and control policies and procedures (including identification of the lead person for infection prevention and control).
- 20.2 There are policies and procedures that are applicable to the setting in line with regional infection control guidelines.
- 20.3 All staff (including those employed in support services) receive education and training in infection prevention and control that is commensurate with their work activities and responsibilities.
- 20.4 There are written guidelines for staff on making referrals for advice and support to infection control nurses, microbiology services and public health medical staff who have expertise in infection prevention and control.
- 20.5 The risk of cross-infection to patients and clients, staff and visitors is minimised by single-use equipment (where possible) or decontamination of reusable medical devices and equipment in line with manufacturer's instructions and current best practice.

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<sup>8</sup> <http://www.infectioncontrolmanual.co.ni/>

20.6 There is information available on infection prevention and control for patients and clients, their representatives and staff. This is accessible and available in a range of formats where required.

20.7 There is an annual infection control programme of audits appropriate to the setting or service provided.

20.8 Outbreaks of infection are managed in accordance with procedures, reported to the RQIA and records kept.

## **Decontamination**

### **Standard 21**

***Decontamination is carried out in line with current best practice and standards.<sup>9</sup>***

#### **Criteria**

- 21.1 In order to eliminate the need for decontamination, single-use medical devices should be used where possible and cost effective - provided this does not compromise clinical outcomes.
- 21.2 The establishment has comprehensive policies and procedures covering all aspects of decontamination, including lines of accountability, ensuring appropriate training of all staff involved in the use, procurement, reprocessing and maintenance of surgical instruments.

#### **Re-useable medical devices**

- 21.3 There is a register of all re-useable medical devices outlining individual decontamination arrangements.
- 21.4 The policies and procedures for the decontamination of medical devices and equipment are in accordance with manufacturers' guidance and DHSSPS requirements.
- 21.5 All contaminated re-usable medical devices and equipment are handled, collected and transported for decontamination in a manner that avoids the risk of contamination to handlers, patients and clients, staff and visitors to the establishment.

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<sup>9</sup> It is recognised that not all facilities will use re-usable medical devices or equipment. This standard only applies to those that do.

- 21.6 There is a policy to ensure that decontamination of all medical devices, equipment and surfaces used on a patient known to have, or suspected of having CJD, or in a risk category for CJD, is carried out in accordance with DHSSPS guidance.
- 21.7 Where offsite decontamination is used, there must be a contract with an appropriately accredited establishment.
- 21.8 There is a designated senior member of staff with responsibility for managing all aspects of decontamination, ensuring best practice is implemented and maintained and that future developments and improvements in technology are implemented as appropriate. An annual report on decontamination issues is submitted to the medical advisory committee.
- 21.9 Decontamination of reusable medical devices is carried out in a sterile services department accredited under the Medical Devices Directive 93/42/EEC. The department complies with DHSSPS requirements.
- 21.10 Local decontamination should be the exception, and, where unavoidable, must be carried out in accordance with the Protocol for Local Decontamination of Surgical Instruments issued by DHSSPS.

## **Endoscopes**

- 21.11 Decontamination of flexible endoscopes should be carried out in line with current best practice and DHSSPS guidance.
- 21.12 Personnel exposure to chemicals and other agents including detergents, disinfectants and sterilants is such that exposure limits set out in the Control of Substances Hazardous to Health (COSHH) legislation are not exceeded.
- 21.13 There are policies and procedures in place to manage the transportation of contaminated equipment.

21.14 Decontaminated medical devices are transported with appropriate documentation and stored in a manner which does not lead to degradation of their packaging system, compromise their microbiological status or lead to increased risk to handlers, patients and clients, staff and the public. Organisations must comply with the “Safe Management of Healthcare Waste” (HSENI/ADR Regulations)

## **Standards for Premises, Engineering Services and Equipment (Including Medical Devices)**

- **Premises and Grounds**
- **Medical Devices and Equipment**
- **Fire Safety**

## **Premises and Grounds**

### **Standard 22**

***The premises and grounds are safe, well-maintained and suitable for their stated purpose.***

#### **Criteria**

- 22.1 The procedures for maintaining the premises, grounds, engineering services and clinical equipment are in line with legislation, current standards of best practice and manufacturers' and suppliers' guidance that are regularly reviewed and updated.
- 22.2 All structural changes or change of use to the premises used for the purposes of the independent health care establishment and/ or alterations to engineering services, since the last inspection must be approved by the RQIA, and (where relevant) other statutory authorities.
- 22.3 The premises, engineering services, plant and clinical equipment are kept safe and suitable; maintained in line with relevant legislation, current standards of good practice and the manufacturers' and installers' guidance; and records are kept of work undertaken. All required maintenance certificates and documents are available for inspection. Records should be maintained as evidence of compliance with legislations and manufacturer's and supplier's guidance.
- 22.4 Where used, medical gas pipeline systems are designed, installed, commissioned, validated and managed in accordance with the guidance provided in the relevant Health Technical Memorandum.
- 22.5 The establishment complies with the requirements of the Health and Safety Executive for Northern Ireland, Northern Ireland Fire and Rescue Service, Environmental Health Department of the relevant District Council and the Disability Discrimination Act 1995.

- 22.6 There are structures and processes to support, review and action the organisation's governance arrangements for independent healthcare establishments. This includes, but is not limited to, corporate, financial, health and safety, social and clinical care, information management and research governance arrangements. The establishment has business continuity management plans in place that can be activated in order to maintain essential services to a pre-defined level through a business disruption e.g. in the event of the home suffering a business continuity incident as a result of fire, flood, severe weather, loss of power/IT/utilities, an infectious disease outbreak or high staff absence/ unavailability of key staff. These arrangements should be clearly outlined in contractual arrangements with individuals, organisations or other interested parties.
- 22.7 Security measures are operated that restrict unauthorised access to the establishment.
- 22.8 There is adequate access for emergency vehicles, where appropriate.
- 22.9 Where appropriate, there is clear signage from the approach to the site, entering the building, around the building and to the way out.
- 22.10 Front entrance and reception areas are welcoming and staff provide assistance to patients and clients and visitors as required.
- 22.11 The building is kept clean, hygienic and in good decorative order at all times.
- 22.12 Furniture, fittings and any equipment or mobility aids are positioned to take into account the mobility and overall needs of the patients and clients including those with sensory impairments.
- 22.13 The expected temperature in areas occupied or used by patients and clients is in accordance with CIBSE guidance.

22.14 The temperatures at all hot water outlets at wash hand basins, and (where appropriate) showers and baths accessible to patients and clients are maintained in accordance with Safe Hot Water and Surface Temperature Health Guidance Note.

22.15 The procedures for storage, segregation, collection, transport and disposal of clinical and non-clinical waste is in accordance with current legislation and DHSSPS guidelines.

22.16 All areas used by patients and clients are well lit, internally and externally.

### **Additional Standards for Establishments with Beds for In-Patients or Day Patients**

22.17 Space around beds facilitate all clinical care, the use of equipment (including, where appropriate, hoists), and accommodates visitors in comfort.

22.18 All in-patients have access to single sex washing and toilet facilities.

22.19 The procedure for the handling and storage of clean laundry and storage and collection of used laundry is agreed with all relevant disciplines and is in line with the regional infection control manual.

22.20 There are call systems throughout the patient care areas and these are fully operational.

## **Medical Devices and Equipment**

### **Standard 23**

***Medical devices and clinical equipment are purchased, maintained, used, and stored in accordance with legislation, Standard Operating Procedures, and manufacturers' instructions.***

#### **Criteria**

- 23.1 There are clearly defined lines of accountability for the management of medical devices and equipment.
- 23.2 The policies and procedures for the management and use of medical devices and equipment are in accordance with manufacturers' guidance.
- 23.3 Designated staff are trained in the management and use of medical devices and equipment.
- 23.4 Medical devices designated by the manufacturer for single-use are not reused under any circumstances.
- 23.5 There are systems in place for confirming that any medical device or equipment on loan has been maintained and checked in accordance with manufacturers' and installers' guidance and records kept of the confirmation received.
- 23.6 There is a planned preventative maintenance (PPM) and replacement programme for all equipment and records are kept of all maintenance and servicing carried out.

## **Fire Safety**

### **Standard 24**

***Fire safety precautions are in place that reduce the risk of fire and protect patients and clients, staff and visitors in the event of fire.***

#### **Criteria**

24.1 There is a current Fire Safety Risk Assessment and Fire Safety Policy and Emergency Fire Action Plan that is revised and actioned when necessary or whenever the fire risk has changed.

24.2 The physical fire safety precautions are provided and maintained in accordance with relevant legislation, manufacturers and installers' guidance, current guidance documents and British Standards.

24.3 Action required following fire inspections is taken. The Registered Person/Manager sends any report made by fire inspectors that highlights areas for action following an inspection by them to the RQIA.

24.4 At the start of their employment, all staff undertake training provided by a competent person in the fire precautions to be taken or observed in the establishment, including the action to be taken in case of fire. This is repeated once every year. There must be appropriate arrangements for temporary/agency staff.

24.5 At all times, there is a competent person who has responsibility for fire safety in the establishment.

24.6 All staff attend a fire evacuation drill at least once a year. Where this identifies problems or defects, action is taken and recorded.

24.7 There must be a record kept of all fire drills.

## **Standards for Medicines<sup>10</sup>**

- **Management of Medicines**
- **Medicines Storage**
- **Controlled Drugs**
- **Medicines Records**

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<sup>10</sup> It is acknowledged that not all settings will hold or use medication on site. If your setting is one of these, the standards do not apply in your case. However, as the majority of settings will carry some sort of medications, this chapter has been included as a set of common standards.

## Management of Medicines

### Standard 25

***Medicines are managed<sup>11</sup> safely, securely and effectively in compliance with legislative requirements, professional standards and guidelines.***

#### Criteria

- 25.1 Within the organisation the pharmacist has overall responsibility for the safe, secure and effective management of medicines. Where there is no pharmacist, these responsibilities are defined with clear lines of accountability leading to the Chief Executive or Board, where applicable.
- 25.2 A pharmacist (or where there is no pharmacist employed, a named appropriately qualified practitioner) authorises any orders to obtain prescription only medicines and medicinal products from suppliers.
- 25.3 Written policies and standard operating procedures for the management of medicines are up to date and cover all aspects of medicines management within the organisation including a purchasing for safety policy.
- 25.4 The management of medicines is conducted by qualified, trained and competent staff. Systems are in place to monitor and review staff competency in the management of medicines. Records of training and competency are maintained.
- 25.5 Medicines are prescribed in accordance with legislative requirements and professional standards and administered to a patient in accordance with the

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<sup>11</sup> Adapted from the Audit Commission's definition of medicines management:

**Medicines management defined** - Medicines management in hospitals encompasses the entire way that medicines are selected, procured, delivered, prescribed, administered and reviewed to optimise the contribution that medicines make to producing informed and desired outcomes of patient care.

prescriber's instructions by a registered nurse, a doctor or by another healthcare professional competent to administer those medicines.

25.6 Destruction or otherwise disposal of medicines no longer required is carried out by authorised, qualified, trained and competent staff and in compliance with all legislative requirements, professional standards and good practice guidance.

25.7 The organisation has an effective system for the management of drug alerts, medical device alerts and safety warnings about medicines.

25.8 There are systems in place to report safety problems relating to medicines, medical devices, blood and defective medicines to the Medicines and Healthcare Regulatory Agency (MHRA) and the management of any subsequent action required.

25.9 The organisation has an effective incident reporting system in place for the identifying, recording, reporting, analysing and learning from adverse incidents and near misses involving medicines and medicinal products.

25.10 The risk management process contained within the risk management standard is applied to the safe and secure handling of medicines.

25.11 The organisation accesses and uses up-to-date information relating to relevant legislation, medicines references sources and guidance relating to the safe and secure handling of medicines.

25.12 The organisation has internal arrangements in place to audit all aspects of the management of medicines. Evidence of the activity is maintained. The organisation can demonstrate if necessary that mechanisms have been put in place to change practice.

25.13 Patient Group Directions (PGDs) are used in compliance with current legislation and professional standards.

25.14 The use of unlicensed and off label medicines is in line with current legislation and professional standards.

25.15 Medicines are prepared immediately prior to their administration from the container in which they are dispensed under appropriate conditions in accordance with their Summary of Product Characteristics.

25.16 Standard operating procedures are in place for the management of self administered medicines. This includes an agreed protocol to assess patients' and clients' suitability for self administration of medicines, which documents informed consent to participate if applicable and relevant training for staff involved.

## **Medicines Storage**

### **Standard 26**

***Medicines are safely and securely stored in compliance with legislative requirements, professional standards and guidelines.***

#### **Criteria**

26.1 Medicines are stored in compliance with the manufacturer's requirements as stated in the Summary of Product Characteristics and equipment to store medicines (e.g. fridges, freezers) is approved, monitored and serviced regularly. Records are maintained relating to the regular monitoring and servicing of equipment to store medicines.

26.2 Standard operating procedures are in place for patients' and clients' own medicines that are brought into the establishment. These medicines are assessed before use and where they are not used they are kept separate from other medicines and held in a safe place until discharge of the patient or client when they are returned to them or their representative. Staff are trained on these procedures.

26.3 Systems are in place to ensure that the security of all medicines storage is monitored.

26.4 There are clear lines of responsibility with regard to the control of medicines' keys.

26.5 Medicines which are self-administered are kept in a locked storage space that the patient or client and clinical staff may access.

26.6 Medicines required for resuscitation or other medical emergency are clearly defined and are regularly monitored. These medicines are readily accessible in suitable packaging and available for use at all times. Accessible records are

maintained relating to the regular monitoring of medicines required for resuscitation or other medical emergencies.

## **Controlled Drugs**

### ***Standard 27***

***The management of controlled drugs is in compliance with legislative requirements, professional standards and guidelines.***

#### **Criteria**

- 27.1 The administration of controlled drugs is in accordance with the provisions of legislation and complies with professional standards and published guidance.
- 27.2 The organisation, where appropriate, appoints an Accountable Officer (AO) who has responsibility for securing the safe management and use of controlled drugs in accordance with the Controlled Drugs (Supervision of Management and Use) Regulations (Northern Ireland) 2009.
- 27.3 The organisation, unless specifically exempted by the Misuse of Drugs Regulations (Northern Ireland) 2002, holds a controlled drug licence issued by DHSSPS, relevant to the activities it undertakes.
- 27.4 There is an internal auditing and monitoring process in place which evaluates and documents findings in relation to the organisation's management and use of controlled drugs.
- 27.5 The organisation has systems in place to alert the AO - or where there is no AO, a senior person - of any complaints or concerns involving the management or use of controlled drugs.
- 27.6 The organisation has adequate and up to date standard operating procedures in place to cover access, storage, security, destruction, disposal and record keeping of controlled drugs.

- 27.7 The requisitioning, dispensing and supply of controlled drugs must be in accordance with the provisions of legislation, and comply with professional standards and published guidance.
- 27.8 Where a pharmacist is employed and is responsible for the dispensing and supply of medicines the purchase and issue of controlled drugs are under his or her direct supervision, including authorisation of orders to suppliers. Where no pharmacist is employed in that role, orders to suppliers are signed by the person in charge or acting person in charge of the hospital countersigned by a doctor or dentist employed or engaged by the organisation.
- 27.9 Controlled drugs are stored in accordance with the Misuse of Drugs (Safe Custody) (Northern Ireland) Regulations 1973 and published guidance.
- 27.10 The key of the controlled drugs cabinet is held separately from other medicine cupboard keys and is held/carried by the person in charge.
- 27.11 Quantities of Schedule 2 and Schedule 3 controlled drugs which are subject to safe custody legislation, and other controlled drugs when deemed appropriate by the organisation, are reconciled in accordance with DHSSPS guidance.

## **Medicines Records**

### **Standard 28**

***Medicines records comply with legislative requirements, professional standards and guidelines.***

#### **Criteria**

28.1 Medicine records are legible and constructed, completed and retained in such a manner as to ensure that there is a clear audit trail.

28.2 The following medicine records are maintained:

- Medicines requested and received
- Medicines prescribed;
- Medicines administered;
- Medicines refused;
- Medicines doses omitted;
- Medicines doses delayed
- Medicines that are self-administered;
- Medicines transferred; and
- Medicines disposed of.

28.3 Suitable arrangements are in place to ensure medicine records are fully and accurately completed on each occasion.

28.4 The organisation ensures that there are robust audit trails in place relating to the management and use of controlled drugs including a record of the ordering, receipt, supply, administration and disposal of controlled drugs.

28.5 A system is in place to manage recording errors.

28.6 Where medicines are prescribed on a 'when required' basis, parameters of use are clearly defined in the patient's records.

## **Standards for Hospitals, Clinics and Hospices**

- **Medical Cover**
- **Medical Advisory Committee**
- **Resuscitation**
- **Surgery**
- **Services for Children and Young People**
- **Pathology**
- **Breaking Bad News**
- **Care of the Dying**

## **Medical Cover**

### **Standard 29**

***Medical cover in the setting is provided at all times by appropriately qualified, trained skilled and experienced practitioners.***

#### **Criteria**

- 29.1 Staff providing medical cover have post-registration clinical experience relevant to the clinical work undertaken in the hospital or clinic.
- 29.2 The roles and responsibilities of staff providing medical cover are clearly defined and include who they report to, shift patterns, hours required to be on-call and handover arrangements.
- 29.3 Staff providing medical cover have access to advice and support from medical consultants with practising privileges. Consultants' responsibilities in this area are documented and communicated to resident medical officers.
- 29.4 There is a member of staff providing medical cover available on immediate call at all times. This should be on site where there are acutely ill or surgical patients. In hospices, the staff must be available for immediate advice, for example by telephone.
- 29.5 There is a medical cover rota displayed in all clinical areas.

## **Medical Advisory Committee**

### **Standard 30**

***Where appropriate, the establishment has a medical advisory committee that grants practising privileges and provides the Registered Person with professional medical advice.***

#### **Criteria**

30.1 There are written terms of reference for the medical advisory committee and procedures for granting practising privileges.

30.2 The medical advisory committee meets quarterly as a minimum; formal minutes are kept; and a record of meetings is maintained. There are arrangements for extraordinary meetings where necessary.

30.3 The medical advisory committee makes recommendations to the Registered Person/Manager regarding eligibility for practising privileges.

30.4 The medical advisory committee, together with the Registered Manager, reviews all members' practising privileges every two years. Individual reviews may be undertaken more frequently as a result of concerns about practice or complaints received.

30.5 The medical advisory committee advises the hospital or clinic management on developments in clinical practice.

30.6 The medical advisory committee reviews information collated by the Registered Manager on adverse clinical incidents (broken down by specialty, procedure and by clinical responsibility) on a quarterly basis to include as a minimum:

- All deaths at the hospital or clinic;
- All unplanned re-admissions to hospital or clinic;

- All unplanned returns to theatre;
- Adverse events;
- All unplanned transfers to other hospitals or clinics;
- Other relevant clinical incidents; and
- Complaints and compliments.

The committee advises the hospital or clinic management on corrective action when necessary. This information is made available to the RQIA.

## Resuscitation

### Standard 31

***Resuscitation equipment is readily accessible and resuscitation is carried out by trained competent staff and in line with the Statement of Purpose.<sup>12</sup>***

#### Criteria

- 31.1 There are policies and procedures in relation to resuscitation which are appropriate to the establishment.
- 31.2 Patient's rights are central to decision making on resuscitation, including taking account of advance directives and refusal of treatment.
- 31.3 All 'do not resuscitate' decisions are documented by the most senior healthcare professional caring for the patient, with the reason and date for review in the patient's clinical record. This information is provided to other relevant health professionals and is reviewed and documented by the planned review date or when there are any significant changes in the patient's condition.
- 31.4 There is a health care professional available at all times designated to make resuscitation decisions.
- 31.5 There is a written procedure for the steps to be undertaken in reaching a decision to withdraw treatment.
- 31.6 There are identified members of staff with responsibility for ensuring that resuscitation is carried out in accordance with policies and procedures.
- 31.7 There is at least one person with Advanced Life Support (ALS) training on duty at all times. They undertake simulation exercises at regular intervals, at least

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<sup>12</sup> It is recognised that not all facilities will require this level of resuscitation however where the establishment provides surgery or acute inpatient care (not palliative) all criteria will apply.

annually. Staff providing medical cover are trained in resuscitation to the appropriate level (including defibrillation and intubation skills). This training is up-dated in line with RQIA mandatory training requirements. If the establishment treats children, this training includes Paediatric Advanced Life Support.

31.8 Where children are admitted for treatment there is at least one person with Paediatric Advanced Life Support (PALS) training on duty at all times. They undertake simulation exercises at regular intervals, at least annually.

31.9 Equipment for resuscitating patients is in line with the Resuscitation Council (UK)<sup>13</sup>.

31.10 Resuscitation equipment is checked and restocked to ensure all equipment remains in working order and suitable for use at all times. Checks are carried out daily by a designated person and recorded.

31.11 Resuscitation equipment is cleaned and decontaminated after each usage, including practice use.

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<sup>13</sup> <http://www.resus.org.uk/pages/mediMain.htm>

## **Surgery**

### **Standard 32**

***There are arrangements in place to support the provision of safe and effective surgical practices.***

#### **Criteria**

- 32.1 The policies and procedures for surgical services are in accordance with best practice guidelines as defined by professional bodies and national standard setting organisations including the WHO Surgical Checklist and Surgical Pause.
- 32.2 There is a defined staffing structure for surgical services that defines lines of accountability, specifies roles and details responsibilities for areas of activity. Staffing levels are in line with professional guidance for the procedures being undertaken.
- 32.3 A senior registered nurse or operating department practitioner who has operating theatre experience is in charge at all times in the operating theatre.
- 32.4 Equipment, installations and facilities are in place to provide services in accordance with the Statement of Purpose and are used, serviced and maintained in line with DHSSPS requirements and manufacturers' and installers' guidance.
- 32.5 Scheduling of patients and clients for surgical procedures takes into account patient and client requirements, staffing levels, nature of surgical procedure, facilities and equipment available. Any associated risks are managed.
- 32.6 The anaesthetist is present in the operating theatre throughout the operation and is present on-site until the patient or client has recovered from the immediate effects of anaesthesia.

32.7 An appropriate register of all surgical operations performed in the establishment is kept in accordance with the Independent Health Care Regulations (Northern Ireland) 2005.

## **Patient Care**

32.8 Patients and clients receive verbal and written pre-operative information on:

- Fasting;
- Taking of existing medication; and
- Arrangements for escort to and from theatre.

This information is in a format which is accessible according to the patient or client's age and level of understanding and must be provided in alternative formats if necessary.

32.9 The anaesthetist who is to give the anaesthetic visits the patient or client, assesses the general medical fitness, and reviews any medication being taken prior to surgery. Possible plans of management are discussed with the patient and available options are explained, to enable the patient or client to make an informed choice.

32.10 The surgeon/practitioner who is to undertake the surgical procedure visits the patient or client and obtains consent for the proposed surgery and ensures the consent form(s) are signed prior to surgery.

32.11 Patients and clients are observed during surgery and in the recovery room on a one-to-one basis by staff trained in anaesthetics and resuscitation.

32.12 The anaesthetist who administered the anaesthesia discharges patients and clients in accordance with recovery room procedures.

32.13 There is written information for patients and clients post-operatively on:

- Pain relief;
- Bleeding;

- Care of the post-operative site;
- The potential effects of anaesthesia; and
- Emergency telephone numbers in the event of postoperative complications and any advice regarding postoperative recovery, exercises and expectations.

## Services for Children and Young People<sup>14</sup>

### Standard 33

***Services for children and young people are child-centred, age appropriate and based on a partnership with the family and the health care team. They are provided by qualified, trained staff, using appropriate equipment and facilities.***

#### Criteria

- 33.1 The philosophy of care for children and young people is developed in line with current best practice and national guidelines.
- 33.2 The policies and procedures for services to children and young people promote safe practice within a safe physical environment that is child-centred, and address the specific needs of children and young people including those from different ethnic, cultural or religious backgrounds.
- 33.3 There are dedicated services to meet the need of children and young people in accordance with the Statement of Purpose.
- 33.4 Children and young people and their parents/carers must be involved in all assessments and discussion about care planning and discharge processes.
- 33.5 Information (verbal and written) is provided to children, young people and their families about the planned programme of treatment and care from the time of referral through to discharge. This information is appropriate to their age and understanding.
- 33.6 The information on consent to treatment is explained to children, young people and their families prior to admission.

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<sup>14</sup> Children as defined in the Children Order 1995.

33.7 Children and young people are admitted to single rooms or those shared with other children or young people of the same gender. Accommodation is available for a parent or carer to stay overnight in the child or young person's room or close by.

33.8 Children under the age of 12 are supervised in their rooms at all times either by hospital staff or by their parents.

## **Staffing**

33.9 There is an appropriate number and skill mix of staff to meet the needs of children and young people in accordance with the Statement of Purpose.

33.10 In dedicated children's services and on each inpatient ward dedicated to the care of children, there is a minimum of two registered children's nurses (either Registered Nurses (Children) or registered Nurse (RN) Child Branch certificate) on duty at all times.

33.11 When children and young people are cared for in a hospital that does not have a dedicated children's unit, there is at least one registered children's nurse (either Registered Nurses (Children) ) or registered Nurse (RN) Child Branch certificate) on duty at all times.

33.12 The registered children's nurse is responsible for implementing a care plan that is based on the child or young person's assessed needs.

33.13 The procedure for preoperative care of children and young people includes scheduling child-only lists or scheduling children and young people at the start of a general operating list.

## **Anaesthesia**

33.14 Anaesthesia is administered to children and young people by a consultant anaesthetist who has appropriate paediatric training in line with RCoA guidelines and undertakes regular child lists and maintains CPD in this specialty.

33.15 There are registered nurses and operating department practitioners with paediatric training and experience available at all times to assist with anaesthesia.

33.16 Recovery staff have awareness, training and experience on the needs of children and young people.

## **Equipment**

33.17 A paediatrician is responsible for advising the Registered Manager on the provision of paediatric equipment and paediatric medication.

33.18 Paediatric equipment and paediatric doses of medication are available.

33.19 Paediatric resuscitation equipment is separate from adult equipment and the same system is used for wards and theatres.

## **Admission to Theatre**

33.20 The admission to theatre is made as pleasant as possible with the minimum number of frightening or painful procedures while the child is conscious.

33.21 Parents are facilitated and encouraged to be with the child or young person during induction of anaesthesia and immediately after recovery from anaesthesia.

33.22 Post-operative procedures include the provision of a one to one ratio of nurse to child in the recovery room and adequate post-operative pain relief.

33.23 The paediatric anaesthetist examines children and young people prior to discharge from the recovery room.

## **Pathology**

### **Standard 34**

***Pathology services are provided by a laboratory enrolled in an accreditation scheme accredited by the UK Accreditation Service (UKAS).***

#### **Criteria**

- 34.1 There are procedures for the collection, labelling, storage, preservation, transport and administration of specimens.
- 34.2 Written procedures include arrangements for the integrated management of requests for collection of pathology specimens with documentation to ensure continuous identification of the individual from whom the specimen is collected.
- 34.3 The procedure for reporting test results includes the use of information technology and safeguards confidentiality.
- 34.4 Reports are filed in the patient or client's clinical record after review by the relevant clinical staff.

## **Breaking Bad News**

### **Standard 35**

***Patients and clients have bad news delivered by professionals who are well informed and in a manner that is sensitive and understanding of their needs.***

#### **Criteria**

- 35.1 The procedure for delivering bad news to patients and clients, their families and other significant people is developed in accordance with guidance such as Breaking Bad News regional guidelines.
- 35.2 Bad news is delivered to patients and clients by professionals who are trained in communication skills and in accordance with the procedure.
- 35.3 The patient or client's consent is obtained before information regarding their bad news is shared with others.
- 35.4 The outcome of breaking bad news to patients and clients, the options discussed, and future treatment plans are recorded, and with the patient's and client's consent shared with their general practitioners and relevant health professionals.

## Care of the Dying

### Standard 36

***The dying and death of patients and clients is handled with care and sensitivity and families and carers are supported in a sensitive and appropriate manner.***

#### Criteria

- 36.1 Care and comfort are given to patients and clients who are dying, and their death is handled with sensitivity.
- 36.2 Palliative or end of life care and after-death arrangements are discussed with the patient or client and their family and/or carer(s) and documented in the care plan. This takes account of cultural and spiritual preferences. Information is given to patients and clients and their families and carers in a format and manner which is accessible and understandable according to their individual preferences and levels of understanding.
- 36.3 The privacy and dignity of the patient or client who is dying are maintained at all times and their cultural and spiritual needs and rights are respected and observed.
- 36.4 The care delivered to the dying patient or client is planned by the multi-disciplinary team.
- 36.5 There is evidence of use of an appropriate personalised care plan written into patient notes, ensuring that attention has been paid to key elements of end of life care including communication, review of interventions, symptom control and hydration and nutrition.
- 36.6 There are arrangements in place for referral to specialist palliative care services to meet patients' and clients' palliative care needs.

36.7 The family and other significant people of the dying patient or client are offered support during this period.

36.8 The body of a patient or client who has died is handled with dignity, sensitivity and respect in accordance with their expressed social, cultural and religious preferences.

## **Additional Standards for Hospices**

- **Arrangements for the Provision of Specialist Palliative Care**
- **Discharge Planning**
- **Bereavement Care Services**
- **Specialist Palliative Care Team**
- **Assessment and Care of Children and Young People in Hospices**
- **Qualifications and Training for Staff Caring for Children in Hospices**
- **Hospice Environment for the Care of Children and Young People**

## Arrangements for the Provision of Specialist Palliative Care

### **Standard 37**

***Patients, prospective patients, their families and carers are clear about the arrangements for the provision of specialist palliative care. The needs of patients and carers are appropriately assessed and kept under review.***

#### **Criteria**

- 37.1 The referral procedure includes information about the treatment and care provided by the hospice and how to access this.
- 37.2 Patients receive all the necessary verbal and written information about the specialist palliative care services provided by the hospice. This is accessed in an alternative language or suitable format when required.
- 37.3 Patients receive an explanation of the assessments that will be carried out by different members of the care team.
- 37.4 A holistic assessment of patients' care needs using validated tools is carried out in accordance with procedures and within agreed timescales. The results of the assessments are used to draw up an individualised patient-centred care plan ensuring that attention has been paid to key elements of end of life care including communication, review of interventions, symptom control and hydration and nutrition.
- 37.5 Options for treatment and care are clearly explained to patients and carers giving sufficient information, time and support to enable them to make decisions and to give consent.
- 37.6 The care plan and ongoing care needs are agreed with the patient and carer and communicated to the multidisciplinary care team.

37.7 There is a member of the multi-professional team identified as the principal contact for each patient and carer.

37.8 The care plan is reviewed with the patient and carer in keeping with their changing needs.

37.9 The multi-professional team, with the patient's consent, provides information and support to carers and family members.

37.10 Information about carer support services and how they may be accessed is easily accessible in a variety of formats and places.

## **Discharge Planning**

### **Standard 38**

***Patients have a planned programme for discharge from the hospice to ensure continuity of care.***

#### **Criteria**

38.1 Discharge planning is agreed with the patient and carer in accordance with the discharge procedure.

38.2 The discharge plan is co-ordinated with the services involved in the patient's ongoing care and treatment.

38.3 The planned programme for discharge from the hospice provides the patient and carers with clear, accessible written information on:

- The discharge arrangements;
- Future management of care;
- Liaison with community services; and
- Advice and support available.

38.4 Written information on the patient's treatment and care is provided to the patient's general practitioner, other professionals and services involved in the patient's ongoing treatment and care.

## **Bereavement Care Services**

### **Standard 39**

***The patient's family and significant others have access to bereavement care services.***

#### **Criteria**

- 39.1 The hospice offers bereavement care services and support to the patient's family and significant others in accordance with the Statement of Purpose.
- 39.2 The patient's family and significant others are provided with written information about the range of bereavement services available and how to access these.
- 39.3 There are written referral and assessment procedures for accessing bereavement services.
- 39.4 Support is available from staff trained in the provision of bereavement support.

## **Specialist Palliative Care Team**

### ***Standard 40***

***Patients are cared for by a multi-professional team with expertise and training in providing specialist palliative care.***

#### **Criteria**

- 40.1 The provision of specialist palliative care is in accordance with current best practice and national guidelines.
- 40.2 The policies and procedures for specialist palliative care services promote safe practice by a multi-professional team.
- 40.3 The multi-professional team includes staff with specialist palliative care expertise to ensure that the holistic care needs of patients and carers are met.
- 40.4 Multi-professional team meetings are held at least weekly to review the management of patient care with arrangements in place for ethical decision-making and patient advocacy where this is indicated and required.

## **Assessment and Care of Children and Young People in Hospices**

### **Standard 41**

***The special needs of children and young people are addressed.***

#### **Criteria**

- 41.1 The child or young person and their family's needs are assessed (prior to admission if possible) and their unique wishes are taken into account in the development of an individualised care plan.
- 41.2 There should be facilitated arrangements for the child or young person and family members to visit the hospice before admission to become familiar with the establishment and staff.
- 41.3 The assessment process includes the child or young person's physical, developmental and educational needs and builds on information provided by other services.
- 41.4 The child or young person, their parents or significant others are fully involved in all decisions about treatment and care and options are explained with sufficient information, time and support to enable them to make decisions and to give consent.
- 41.5 The child or young person's care plan is reviewed on each visit to the hospice or during each episode of care in the community but also updated as and when changes in care are indicated.
- 41.6 The services provided are child and family-centred and promote a child-orientated routine.

- 41.7 Parents or significant others accompany the child or young person on the first admission to the hospice to assist the care team to develop and implement the care plan.
- 41.8 The treatment and care provided encourages involvement of parents in their child's care.
- 41.9 Care and treatment is provided in accordance with the child or young person's established routine especially in relation to feeding and sleeping.
- 41.10 The child or young person and their parents are kept informed about any changes or deterioration in the child or young person's condition.
- 41.11 In partnership with parents, information is provided to the child or young person and their siblings about treatment and care. Such information is appropriate to their age, understanding and the specific circumstances.
- 41.12 Children and young people are aware of their rights in relation to their behaviours and the range of methods and controls that may be used by staff to influence them.
- 41.13 Symptom control is used to promote comfort and enhance quality of life for the child or young person.
- 41.14 Symptom control is evaluated at least daily by a designated member of the multi-professional team and involves the family, and where necessary other services and agencies contributing to the care of the child or young person and their family.
- 41.15 The symptom control and evaluation takes account of the particular vulnerabilities of children and young people with sensory impairment and those who are unable to communicate.

- 41.16 The body of a deceased child or young person is handled with care and respect and takes account of religious and cultural requirements.
- 41.17 Facilities are provided in a separate room where the child or young person's body can remain until the time of the funeral in accordance with the parents' wishes.
- 41.18 The family is offered accommodation at the hospice during this period and a designated team member is available to give emotional support and information about, or practical help with, organising the funeral and any other aspects relating to the death.
- 41.19 Bereavement care is offered in accordance with the wishes of the family, which includes pre- and post -bereavement support for siblings.
- 41.20 Staff communicate regularly and work in close co-operation with the primary health care team or voluntary health care workers involved in the care of the child or young person and their family.

## **Qualifications and Training for Staff Caring for Children in Hospices**

### **Standard 42**

***Children and young people are cared for by a multi-professional team with expertise and training in providing palliative care for children.***

#### **Criteria**

42.1 The multi-professional team at a children's hospice is led by a registered children's nurse with a further qualification in paediatric palliative care and/or experience in the palliative care of children and young people.

42.2 There are arrangements in place to provide cover at all times by appropriately trained and experienced medical and health care practitioners. The procedure for contacting a doctor is clearly defined and known to staff.

42.3 There is a minimum of one children's nurse on duty at all times.

42.4 The staffing complement meets the assessed care needs of all children, taking into account the size and layout of the hospice, the statement of purpose and fire safety requirements.

42.5 Staff are trained in the calculation and administration of medicines to children, and only these trained staff are allowed to check drugs for children.

42.6 All care staff are trained in paediatric resuscitation.

## **Hospice Environment for Care of Children and Young People**

### **Standard 43**

***Children and young people's special needs are addressed by the facilities provided.***

#### **Criteria**

43.1 The hospice is furnished and equipped to meet the needs of children and young people, with particular efforts made to minimise the clinical and institutional environment and to promote a homely and welcoming setting.

43.2 Accommodation is provided for the child or young person's family, including siblings, and unrestricted parental involvement in the child or young person's care is promoted.

43.3 Children and young people have their play and educational rights and needs assessed, planned, met and recorded in the care plan.

43.4 Arrangements are made to ensure that:

- Qualified play staff are employed;
- Indoor and outdoor play areas are accessible to all (including children and young with physical, sensory or learning disabilities and mental health needs); and
- There is a wide variety of play equipment to meet the needs of infants and children and young people of different ages, developmental stages, and differing intellectual abilities, and to help them express their feelings and prepare for experiences ahead.

43.5 There is access to teaching staff, educational facilities, and equipment for children and young people when required. These are provided according to the individual needs of the children and young people.

- 43.6 Children and young people should not be cared for in an establishment unsuitable for their age. Ideally they should be cared for alongside children and young people in similar peer groups.
- 43.7 The use of cameras, mobile phones and the internet is controlled to ensure the safety and well-being of children and young people. Where children and young people have access to the internet in the establishment, they are supported and educated with regards to online safety.
- 43.8 Provision is made to meet the needs of children and young people with disabilities, including access to indoor and outdoor facilities.
- 43.9 Meals are a family occasion, centred on a communal dining area with a varied menu. Choice of where to take meals is also available.
- 43.10 A children's menu is available which complies with current nutritional guidance and can be adapted for children and young people of different age groups in terms of size, content and timing of meals.
- 43.11 The children's menu should cater for the tastes and preferences of children and young people and include therapeutic diets.
- 43.12 Cutlery and utensils are available which suit the needs of children and young people of different ages and abilities.
- 43.13 Planning of the environment for children and young people includes preventing access by a child or young person to hot surfaces, hot water, storage of cleaning materials, and access to power points.
- 43.14 Security measures are operated that restrict unauthorised access to the hospice to protect children and young people.

## **Standards for Fertility Services and Assisted Conception**

- **Facilities for Assisted Conception Services**
- **Information and Decision Making for Patients and Clients Undergoing Fertility Treatment**
- **Counselling and Support for Patients and Clients Undergoing Fertility Treatment**
- **Management of Patients and Clients Undergoing Fertility Treatment**

## Facilities for Assisted Conception Services

### Standard 44

*The facilities are appropriate for fertility treatment and in line with HFEA requirements.*<sup>15</sup>

#### Criteria

- 44.1 The service facilities and layout of the clinic are designed to ensure that the need for privacy and protection of confidentiality of people seeking treatment is met.
- 44.2 There is a dedicated room for the production of semen specimens.
- 44.3 The room used for egg collection for in-vitro fertilisation is close to the laboratory where fertilisation is to take place.
- 44.4 There are written protocols for the delivery of specimens to the laboratory.
- 44.5 There is secure atmospheric and temperature controlled storage for gametes, embryos and reagents.
- 44.6 There are written procedures for the indelible labelling of material from individual patients and clients to ensure the unique identification of a patient's material and records at all stages of treatment.
- 44.7 Gametes and embryos are stored in a secure designated area with access only by authorised personnel.
- 44.8 There are written protocols for the storage and handling of liquid nitrogen that comply with current health and safety requirements.

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<sup>15</sup> <http://www.hfea.gov.uk/code.html>

## **Information and Decision Making for Patients and Clients Undergoing Fertility Treatment**

### **Standard 45**

***Patients and clients are effectively involved in making decisions about treatment.***

#### **Criteria**

45.1 Services are provided in line with licensing arrangements as set out by the Human Fertilisation and Embryo Authority (HFEA).

45.2 The written information for patients and clients who are seeking treatment includes risks and safeguarding confidentiality. This information is made available in a range of alternative formats as required.

45.3 The guidelines for diagnosis and fertility treatment are evidence based and in line with current best practice as defined by e.g. HFEA, Royal College of Obstetricians and Gynaecologists and national standard setting organisations.

45.4 There is written information for patients and clients setting out the factors that will be taken into consideration before treatment can be confirmed.

45.5 All publicity material conforms to the general principles in the guidelines of the HFEA, General Medical Council and the Code of Professional Conduct of the Nursing and Midwifery Council.

## **Counselling and Support for Patients and Clients Undergoing Fertility Treatment**

### ***Standard 46***

***Counselling and support is offered to all patients and clients before, during and after treatment.***

#### **Criteria**

- 46.1 A dedicated counselling and support service that complies with HFEA specific requirements is offered to patients and clients throughout all stages of fertility investigations and treatment.
- 46.2 There are referral arrangements to specialist genetic counselling when required.
- 46.3 There is information for patients and clients on local and national counselling and support organisations.

## **Management of Patients and Clients Undergoing Fertility Treatment**

### ***Standard 47***

***Patient and client care is managed, delivered and reviewed by professional staff who provide care safely and effectively in line with HFEA Guidance.***

#### **Criteria**

- 47.1 Local protocols for the management of patients and clients are developed and agreed by all professionals. Protocols are in line with the HFEA code of Practice.
- 47.2 The protocols for the prevention and management of ovarian hyper stimulation syndrome are evidence-based in line with current best practice as defined by professional bodies and national standard setting organisations.
- 47.3 All deaths, including those from ovarian hyper stimulation, are reported to Northern Ireland Maternal and Child Health (NIMACH) whether or not the woman had a positive pregnancy test.
- 47.4 There are written protocols for healthcare professionals on semen cryostorage in cases where men are undergoing medical treatment likely to make them infertile so the situation is dealt with quickly and effectively.
- 47.5 There are written protocols for the close monitoring of patients and clients in order to avoid unnecessary complications, including multiple pregnancy.
- 47.6 There are written up to date protocols setting out the number of embryos placed in a woman in any one cycle that comply with the HFEA's Code of Practice.

## **Standards for Lasers and Intense Light Sources**

These standards cover both Class 3B and Class 4 lasers and intense light procedures that are carried out in a variety of settings and for a variety of purposes.

These powerful devices which, if faulty or incorrectly used, have the potential to cause serious injury to those operating them, recipients of treatment and other persons in the vicinity, and to ignite flammable materials.

The Independent Healthcare Regulations define these lasers as:

(a) a Class 3B or Class 4 laser product, as defined in Part I of British Standard EN 60825-1 (Radiation safety of laser products and systems)

(b) an intense light, being broadband non-coherent light which is filtered to produce a specified range of wavelengths; such filtered radiation being delivered to the body with the aim of causing thermal, mechanical or chemical damage to structures such as hair follicles and skin blemishes while sparing surrounding tissues.

## **Lasers and Intense Light Sources**

### **Standard 48**

***Laser and intense light source procedures are carried out by appropriately trained staff in accordance with best practice.***

#### **Criteria**

48.1 All patients and clients have an appointment consultation with the authorised operator who will be carrying out the laser or intense light procedure to assess the patient or client. This is documented in the treatment record.

48.2 A register of authorised users must be maintained and kept up to date.

48.3 Laser and intense light source procedures are carried out by authorised operators in accordance with a treatment protocol produced by a named registered medical or dental practitioner who is trained and experienced in the relevant discipline within which treatment is provided. The protocol sets out:

- Treatment contra-indications;
- Technique;
- Pre-treatment tests;
- Pre-treatment checks;
- Post-treatment care;
- Recognition of treatment-related problems;
- Procedure if anything goes wrong with treatment;
- Permitted variation on machine variables; and
- Procedure in the event of equipment failure.

48.4 There is a system in place for the continuous review of the treatment protocol by the named registered medical or dental practitioner.

48.4 The treatment protocol is supported by written procedures known as local rules that detail the normal operation of equipment including when it is being used on a trial or demonstration basis, and these cover:

- The potential hazards associated with lasers and intense light sources including a risk assessment;
- Controlled and safe access;
- Authorised operators' responsibilities;
- Methods of safe working;
- Safety checks;
- Personal protective equipment;
- Prevention of use by unauthorised persons; and
- Adverse incident procedures.

48.6 Authorised operators sign to indicate that they accept and understand the procedures known as local rules and medical treatment protocols drawn up for the use of lasers and intense light sources.

48.6 There is written confirmation of the appointment and duties of a certificated laser protection advisor that is renewed annually.

48.7 There is written confirmation of the appointment and duties of a person who has overall onsite responsibility for safety during laser and intense light procedures.

48.8 Provision is made for a follow-up service to ensure effective continuity of care for the patient or client.

48.9 A register is maintained every time the laser or intense light is operated including:

- The name of the person treated;
- The date;
- The operator;
- The treatment given;

- The precise exposure; and
- Any accidents or adverse incidents.

48.10 There is an accurate and up to date treatment record for every patient or client which includes:

- Patient or client details;
- Medical history;
- Signed consent form;
- Skin assessment (where appropriate);
- Patch test (where appropriate); and
- Record of treatment delivered including number of shots and fluence settings (where appropriate).

48.11 A risk assessment has been undertaken by the Laser Protection Advisor which is reviewed in agreement with LPA and provider at least every three years

### **Training for Staff**

48.12 Laser and intense light source authorised operators have up to date training in laser and intense light source safety and their use that complies with current legislative requirements and professional guidelines.

48.13 All support staff have up to date awareness training in laser and intense light source safety.

### **Safe Operation of Lasers and Intense Light Sources**

48.14 The area around lasers and intense light sources is controlled to protect other persons while treatment is in progress. The controlled area is clearly defined and not used for other purposes, or as access to areas, when treatment is being carried out.

- 48.15 While the equipment is in use, the safety of all persons in the controlled area is the responsibility of a named member of staff. No other laser or intense light source is in use in the same controlled area at the same time.
- 48.16 Warning signs that comply with current legislation, directives and standards are displayed on the equipment and on the outside of doors to the controlled area (and removed when the equipment is not in use).
- 48.17 Protective eyewear is available for the patient and authorised operator in accordance with the local rules.
- 48.18 The door of the treatment room is locked when the laser or intense light equipment is in use which can be opened from the outside in the event of an emergency.
- 48.19 For all lasers and intense light sources with a key switch, there are formal written arrangements for the safe custody of the key, separate from the equipment. The key is not left unattended with the equipment.
- 48.20 Lasers and intense light sources are serviced and maintained in accordance with manufacturer's instructions to ensure they are operating within their design specification. A detailed record of all servicing and repairs is kept.
- 48.21 A laser safety file is in place which contains all of the relevant information in relation to laser or intense light equipment.

## Standard for Dialysis

### Standard 49

***Dialysis is carried out according to best practice guidance.***

#### Criteria

- 49.1 There is an accurate and up to date treatment record for every patient.
- 49.2 Dialysis units are staffed according to guidance set out in British Renal Society document: *The Renal Team. A Multi-Professional Renal Workforce Plan for Adults and Children with Renal Disease*<sup>16</sup>.
- 49.3 Establishments comply with guidance set out in the UK Renal Association and Association of Renal Technologists Guideline on water treatment facilities, dialysis water and dialysis fluid quality for haemodialysis and related therapies Clinical Practice Guideline<sup>17</sup>.
- 49.4 Establishments comply with guidance set out in the Health Building Note 07-01<sup>18</sup> for Satellite Units and Health Building Note for 07-02 for Main Renal Units.
- 49.5 Dialysis is carried out according to the Renal Association Guidelines for Haemodialysis<sup>19</sup>.

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<sup>16</sup> [http://www.britishrenal.org/getattachment/Workforce-Planning/WFP\\_Renal\\_Book1.pdf.aspx](http://www.britishrenal.org/getattachment/Workforce-Planning/WFP_Renal_Book1.pdf.aspx)

<sup>17</sup> [http://www.renal.org/Libraries/Guidelines/RA\\_and\\_ART\\_guideline\\_final\\_version\\_20\\_01\\_12\\_1.sflb.a.shx](http://www.renal.org/Libraries/Guidelines/RA_and_ART_guideline_final_version_20_01_12_1.sflb.a.shx)

<sup>18</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/147869/HBN\\_07-01\\_Final.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/147869/HBN_07-01_Final.pdf)

<sup>19</sup> <http://www.renal.org/Clinical/GuidelinesSection/Haemodialysis.aspx>

## Standards for Hyperbaric Oxygen Treatment

Hyperbaric Oxygen Treatment (HBOT) involves specialised equipment and experienced staff to deliver oxygen (which may be combined with other gases) at higher than atmospheric pressures. Patients receive the treatment through a mask whilst in a chamber which is gradually pressurised with compressed air.

Treatment is carried out by or under the supervision of a medical practitioner.

HBOT is used to treat a variety of conditions, including the following:

- Air or gas embolism;
- Decompression illness;
- Carbon monoxide poisoning;
- Gas gangrene;
- Necrotizing fasciitis; and
- Thermal burns.

Regulations state that Hyperbaric Therapies must be regulated except where the primary use of the chamber is:

*“pursuant to regulation 6(3)(b) of the Diving at Work Regulations (Northern Ireland) 2005(a) or regulation 8 or 12 of the Work in Compressed Air Regulations (Northern Ireland) 2004 (b); or otherwise for the treatment of workers in connection with the work which they perform.”*

## Hyperbaric Therapies

### **Standard 50**

***Hyperbaric therapies are carried out in suitable premises, using appropriate equipment and in accordance with legislative and best practice guidance.***

#### **Criteria**

50.1 All treatment is carried out by or under the supervision of a medical practitioner.

50.2 Treatment is carried out in accordance with standards and best practice guidance as developed by standard setting organisations.

50.3 All patients and clients have an appointment consultation for assessment with the medical practitioner who will be carrying out or supervising the procedure. This is documented in the treatment record.

50.4 There are written procedures that detail the treatment protocol and normal operation of equipment (including when it is being used on a trial or demonstration basis) and these cover:

- Treatment contra-indications;
- Technique;
- Pre-treatment tests;
- Pre-treatment checks;
- Post-treatment care;
- Recognition of treatment-related problems;
- Procedure if anything goes wrong with treatment;
- Permitted variation on machine variables;
- Procedure in the event of equipment failure;
- The potential hazards associated with hyperbaric oxygen treatment including a risk assessment;
- Controlled and safe access;

- Operators' responsibilities;
- Methods of safe working;
- Safety checks;
- Personal protective equipment;
- Prevention of use by unauthorised persons; and
- Adverse incident procedures.

50.5 There is an accurate and up to date treatment record for every patient or client which includes:

- Patient or client details;
- Medical history;
- Signed consent form; and
- Record of treatment delivered.

### **Training for Staff**

50.6 Operators of hyperbaric treatment chambers have up to date training in safety and their use that complies with current legislative requirements and professional guidelines.

50.7 All support staff have up to date awareness training in hyperbaric oxygen chamber safety.

### **Equipment**

50.8 Providers comply with the NI HTM 83 Fire Safety in Healthcare Premises (2010).

50.9 Decompression Chambers and Hyperbaric Chambers manufactured in Carbon Steel conform to PD5500 and Quality Standard ISO 9001:2000.

50.10 Decompression Chambers and Hyperbaric Chambers are:

- Built in accordance with the European Pressure Directive (PED);

- Certified by Lloyds Register as “Pressure Vessels Safe for Human Occupancy” (PVHO);
- Lloyds Register “design appraised”; and
- CE marked.

50.11 Chambers are operated in accordance with the limits set out in PD5500 Cat 1.

50.12 Hyperbaric chambers are serviced and maintained in accordance with manufacturer’s instructions to ensure they are operating within their design specification. A detailed record of all servicing and repairs is kept.

## **Standards for Mental Health Hospitals**

This section contains standards specific to establishments treating people with mental health problems, and in particular those detained for assessment and treatment under the Mental Health (NI) Order 1986 as amended<sup>20</sup>.

The standards apply to all units providing in-patient mental health services, whether for adults or children and young people.

In addition, the Mental Health (Private Hospitals) Regulations (NI) 2013 apply additional safeguards to patients detained in independent hospitals.

Providers should also be aware of the standards set out in the DHSSPS Service Framework for Mental Health and Wellbeing<sup>21</sup>.

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<sup>20</sup> The Act can be accessed at: <http://www.nidirect.gov.uk/the-mental-health-act>.

<sup>21</sup> This can be found at: [http://www.dhsspsni.gov.uk/index/phealth/sqs/sqsd-standards-service-frameworks/sqsd\\_service\\_frameworks\\_mental\\_health.htm](http://www.dhsspsni.gov.uk/index/phealth/sqs/sqsd-standards-service-frameworks/sqsd_service_frameworks_mental_health.htm)

## **Standards for Mental Health Hospitals**

- **Staff Training on the Mental Health (Northern Ireland) Order 1986 as amended**
- **Admission and Assessment**
- **Empowerment**
- **Risk Assessment and Management**
- **Levels of Observation**
- **Safeguarding Children and Adolescents in Adult Mental Health Wards**
- **Electro-convulsive Therapy (ECT)**
- **Specific Treatments**
- **Managing Disturbed Behaviour**
- **Patient Restraint and Physical Interventions**
- **Unexpected Patient Death**
- **Patients and clients who leave without informing staff**

### **The Following Standards all relate to Detained Patients**

- **Detained Patients**
- **The Rights of Patients under the Mental Health (Northern Ireland) Order 1986 as amended**
- **Seclusion of Patients**
- **Leave**
- **Absence Without Leave under Article 29**

## **Staff Training on the Mental Health (Northern Ireland) Order 1986 as amended.**

### **Standard 51**

***Patients and clients receive care and treatment from staff trained and conversant with, the provisions of the Mental Health (Northern Ireland) Order 1986, as amended, and its Code of Practice.***

#### **Criteria**

- 51.1 All staff are trained and aware of their responsibilities under the Mental Health (Northern Ireland) Order 1986, as amended, and its Code of Practice and receive regular updates on aspects of mental health legislation.
- 51.2 There are written policies, which are reviewed at least every 3 years, to guide staff in explaining to patients and clients (and their carers/family members) their legal rights and responsibilities under the mental health legislation.
- 51.3 All clinical staff receive training on Article 15 (leave procedures) which forms part of the induction of new staff, and are updated when necessary.
- 51.4 All care staff receive training and regular updating on consent to treatment matters including compliance with Part IV of the Mental Health (Northern Ireland) Order 1986, as amended.
- 51.5 All staff receive training on responsibilities regarding Mental Health Review Tribunals and patients and clients have full access to relevant advice.

## **Admission and Assessment**

### ***Standard 52***

***Patients and clients are admitted and assessed appropriately.***

#### **Criteria**

- 52.1 There are written policies and procedures for admission, which are compliant with the Mental Health (Northern Ireland) Order 1986, as amended, and the Mental Health (Private Hospitals) Regulations (NI) 2013.
- 52.2 Patients and clients receive a personalised, comprehensive assessment (including a physical health assessment) on admission or transfer from another team. This should reflect individual strengths, promotion of recovery and safety planning.
- 52.3 The assessment process includes an assessment of the family (including consideration of assessment under Understanding the Needs of Children in Northern Ireland (UNOCINI) as appropriate), employment and social circumstances of patients and clients, forensic history and in the case of children their educational needs, (especially those with behavioural problems) after admission and prior to discharge.

## **Empowerment**

### **Standard 53**

***Patients and clients and their carers are informed about their rights and their care and have access to independent advocacy.***

#### **Criteria**

53.1 Patient and client information leaflets are written in plain language which the patient will understand and are published and disseminated to patients and clients, their family and carers. Where necessary, alternative formats are made available which are appropriate to the patient or client's age and level of understanding. Leaflets should include information on:

- Rights;
- Responsibilities;
- Care plan;
- Medication; and
- Therapies.

53.2 There are proactive approaches, including all patients and clients being given written details of local organisations providing independent advocacy to ensure that patients and clients are aware of, and enabled, to access appropriate advocacy services. Advocacy provided by the voluntary sector should be available for all patients and clients detained under legislation.

53.3 Details of organisations retained by the establishment to provide independent advocacy are displayed in the establishment.

## **Risk Assessment and Management**

### **Standard 54**

***All potential clinical risks are assessed and managed to ensure the promotion of the safety of patients and clients, staff and the general public.***

#### **Criteria**

54.1 There are written policies, protocols and procedures on the prevention of self harm/suicide, which take account of the recommendations of the Mental Health Clinical Outcome Review Programme and all relevant National Institute for Clinical Excellence (NICE) guidance<sup>22</sup>.

54.2 Individual clinical risk assessments are undertaken by the multidisciplinary team on admission and an appropriate care plan put in place and reviewed in line with Departmental guidance, contained in Promoting Quality Care (PQC)<sup>23</sup> unless a specific incident demands an immediate review.

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<sup>22</sup> NICE guidance endorsed by DHSSPS can be found at:  
<http://www.dhsspsni.gov.uk/index/phealth/sqs/sqsd-guidance/sqsd-guidance-nice-guidance.htm>.

Other NICE guidance can be found at [www.NICE.org.uk](http://www.NICE.org.uk)

<sup>23</sup> <http://www.dhsspsni.gov.uk/mhld-good-practice-guidance-2010.pdf>

## Levels of Observation

### **Standard 55**

***Appropriate arrangements are made for the observation of patients and clients.***

#### **Criteria**

- 55.1 There are written policies and procedures which are reviewed at least every three years for determining levels of observation, engagement, communication and supervision for inpatients. The policies follow the Health and Social Care Board (HSCB)/Public Health Agency's (PHA) Regional Guidance on the Use of Observations and Therapeutic Engagement in Adult Psychiatric Inpatient Facilities in Northern Ireland<sup>24</sup>.
- 55.2 All inpatients are considered subject to general observation, which includes staff actively engaging and interacting with the patient.
- 55.3 The reasons for imposing or altering the observation level are recorded in the clinical and nursing notes.
- 55.4 There are regular clinical audits of the use of observation, including staff competencies and the results are discussed with all members of the multi-professional team.

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<sup>24</sup> <http://www.publichealth.hscni.net/publications/regional-guideline-use-observation-and-therapeutic-engagement-adult-psychiatric-inpatie>

## **Safeguarding Children and Adolescents in Adult Mental Health Wards**

### **Standard 56**

***Arrangements are in place to safeguard children and young people whilst on an adult ward.***

#### **Criteria**

56.1 The unit must adhere to protocols set out in the DHSSPS guidance “Co-operating to Safeguard Children”<sup>25</sup>.

56.2 All staff must be trained in safeguarding, with refresher training provided at appropriate intervals.

56.3 There are protocols in place to ensure the safety and wellbeing of children visiting patients and clients on adult wards and there is a safe and appropriate child-sensitive environment for visits from children and young people.

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<sup>25</sup> <http://www.dhsspsni.gov.uk/show-publications?txtid=14022>

## **Electro-convulsive Therapy (ECT)**

### ***Standard 57***

***ECT is provided in a suitable clinical environment to patients and clients by trained competent practitioners, who maintain an appropriate level of skill.***

### **Criteria**

57.1 There are written policies and procedures, reviewed at least every three years, on the use of electro-convulsive therapy (ECT) which are followed by staff. These adhere to NICE guidance and the Royal College of Psychiatrists ECTA Scheme<sup>26</sup>.

57.2 The unit must have access to appropriate resuscitation services.

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<sup>26</sup> <http://rcpsych.ac.uk/default.aspx>

## **Specific Treatments**

### **Standard 58**

***Specific treatments are administered in keeping with the requirements under the Mental Health (Northern Ireland) Order 1986, as amended.***

### **Criteria**

58.1 There is a policy to include consent to treatment and administration to patients and clients detained under the Mental Health (Northern Ireland) Order 1986, as amended. A copy of the current Certificate of Consent to Treatment (Form 22) or Certificate of Second Opinion (Form 23) – and if relevant Article 67 Review of Treatment/MHAC 1 – is attached to the patient's medicine card and checked by a registered nurse each time the relevant medication is administered. The written policy on consent to treatment includes clear guidance on:

- Treatment under Article 63 requiring consent and a second opinion, i.e. psychosurgery, implantation of hormones;
- Treatment under Article 64 requiring consent or a second opinion, e.g. electroconvulsive therapy (ECT) and medication beyond 3 months;
- Withdrawal of consent;
- Review of Treatment under Article 67; and
- Urgent treatment under Article 68.

58.2 All Certificates of Consent to Treatment (Form 22) and Certificates of Second Opinion (Form 23) are audited on a regular basis.

## **Managing Disturbed Behaviour**

### **Standard 59**

***Patients and clients displaying aggressive and violent behaviour are managed in the least restrictive manner.***

#### **Criteria**

59.1 Staff are trained in an accredited model of managing disturbed behaviour

59.2 There is a specific individual treatment plan for all those patients and clients who are seriously disturbed which is recorded in the multi-disciplinary patient records.

59.3 The policies for dealing with disturbed behaviour include the levels of observation to be used and the degree of restriction required.

59.4 The degree of restriction is communicated and implemented by all staff involved in each patient's care.

59.5 Where a staff member has been threatened or attacked by a patient, when possible any immediate decision about that patient's treatment plan is taken by other members of the clinical team.

59.6 The nurse in charge will communicate all major changes in the treatment of disturbed or potentially violent patients and clients (including changes of medication) to all nursing and other relevant staff in contact with the patient. Responsibility for this belongs to the registered nurse in charge at the start of the shift.

59.7 Facilities are available for the separate care of seriously disturbed patients and clients and, where this is not possible, they are nursed separately from other patients and clients. If this involves the use of seclusion, see standard 65.

59.8 There are written policies and procedures for staff in relation to responding to patients and clients who:

- Refuse to participate in therapeutic programmes;
- Verbally abuse and/or threaten physical harm to others; or
- Destroy property.

## **Patient Restraint and Physical Interventions**

### **Standard 60**

***Patients and clients who require restraint are managed appropriately and safely.***

#### **Criteria**

- 60.1 There are written policies and procedures on restraint and seclusion which are consistent with the DHSSPS Guidance on Restraint and Seclusion and the Mental Health (Northern Ireland) Order 1986, as amended, and its Code of Practice (where appropriate), including where appropriate informing patients and clients/family/patient advocates.
- 60.2 The policy includes procedures for rapid tranquillisation and emergency medication.
- 60.3 Staff receive training every 3 years on the prevention of violence and aggression including de-escalation techniques and the management of aggression.
- 60.4 All clinical areas have resources to minimise/intervene in episodes of violence or dangerous behaviour and staff are aware of these and the procedures for use.
- 60.5 Patient mix, environment and staffing levels are reviewed to minimise incidents of disturbed behaviour requiring the use of physical intervention techniques.
- 60.6 Physical intervention procedures are reviewed to ensure that they are employed appropriately by the team.

60.7 When it has been necessary for a patient to be restrained, a full nursing and medical review, including a physical examination, is carried out as soon as practicable.

60.8 There is an up-to-date register of staff who have completed courses in restraint and physical intervention.

60.9 The number, duration and form of restraint of patients and clients is recorded and included on documentation available to the RQIA.

## Unexpected Patient Death

### **Standard 61**

***Appropriate procedures are in place to manage circumstances in which a patient dies unexpectedly.***

#### **Criteria**

61.1 There are arrangements in place for informing family members and carers following a patient's death.

61.2 Support and information is provided to family members and carers following an unexpected patient death.

61.3 There are arrangements in place to support staff following an unexpected patient death.

61.4 There are procedures in place to secure the records following an unexpected death.

61.5 There is a procedure in place for an investigation into the death to be instigated in keeping with HSCB/PHA guidance<sup>27</sup>.

61.6 The manager informs the RQIA of any review into the death of detained patients and clients, and relevant dates of inquiry and inquest.

61.7 Management and members of internal investigating teams are trained in the investigative process so that they understand the stages of investigation.

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<sup>27</sup>

[http://www.hscboard.hscni.net/publications/Policies/102%20Procedure\\_for\\_the\\_reporting\\_and\\_follow\\_up\\_of\\_Serious\\_Adverse\\_Incidents-Oct2013.pdf](http://www.hscboard.hscni.net/publications/Policies/102%20Procedure_for_the_reporting_and_follow_up_of_Serious_Adverse_Incidents-Oct2013.pdf)

## **Patients and Clients who Leave Without Informing Staff**

### **Standard 62**

***Effective arrangements are in place to manage situations when patients and clients leave without informing staff.***

#### **Criteria**

- 62.1 Procedures for dealing with the situation of when patients and clients leave without informing staff are appropriate and clear.
- 62.2 These procedures are reviewed regularly and staff are made aware of them and must comply with them.
- 62.3 There are written policies and procedures, for dealing with patients and clients who leave without informing staff, including risk assessments, which are reviewed at least every 3 years and made known to all staff.
- 62.4 There are clearly visible notices for patients and clients requesting their co-operation in informing staff of their whereabouts at all times.
- 62.5 Patients and clients with a high incidence of leaving without informing staff should be reviewed regularly and care plans re-adjusted to minimise re-occurrence.
- 62.6 The establishment records levels of absconding and formally reviews them at least annually. Reviews explore the reasons for absconding and ways of minimising recurrence following any significant increase in number of absences or following the absconding of any high-risk patient.
- 62.7 Appropriate arrangements are made for missing patients and clients

**Detained Patients – This section (Standards 63 – 67) contains standards specific to those detained for assessment and treatment under the Mental Health (NI) Order 1986 as amended<sup>28</sup>**

### **Standard 63**

***Detained patients receive care and treatment as per the Mental Health (Northern Ireland) Order 1986, as amended, its consequential regulations and its Code of Practice.***

### **Criteria**

63.1 Copies of the following documents are available in the establishment:

- Mental Health (Northern Ireland) Order 1986, as amended;
- Mental Health (Northern Ireland) Order 1986 Code of Practice;
- The Mental Health (Private Hospitals) Regulations (NI) 2013;
- The Mental Health (Nurses, Guardianship, Consent to Treatment and Prescribed Forms) Regulation (Northern Ireland) 1986, as amended;
- Guide to the Mental Health (Northern Ireland) Order 1986;
- Transfers of Mentally Disordered Patients (August 2011)<sup>29</sup>
- Promoting Quality Care; and
- Mental Health Services Charter.

63.2 There are written policies and procedures for the assessment, care, treatment and discharge of detained patients, which are drafted in accordance with the most recent version of the Code of Practice, and include policies on:

- Patients' correspondence;
- Medical practitioners' and nurses' holding powers under Article 7 of the Mental Health (Northern Ireland) Order 1986 as amended;
- Patients presenting with particular management problems, including the use of seclusion;

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<sup>28</sup> The Act can be accessed at: <http://www.nidirect.gov.uk/the-mental-health-act>.

<sup>29</sup> <http://www.dhsspsni.gov.uk/guidance-on-the-transfer-of-mentally-disordered-patients-2011.pdf>

- Physical restraint;
- Psychological treatments, including “time out”;
- Review of treatment (Article 67 of the Mental Health (Northern Ireland) Order 1986, as amended);
- Patients concerned with criminal proceedings;
- Leave of absence;
- Absence without leave;
- The re-taking of a detained patient in the community;
- Mental Health Review Tribunals;
- Managers’ hearings;
- The giving of information to detained patients;
- Treatment requiring the patient’s consent or a second opinion (Article 64 of the Mental Health (Northern Ireland) Order 1986, as amended);
- Urgent treatment (Article 68 of the Mental Health (Northern Ireland) Order 1986, as amended); and
- Personal searches.

63.3 Staff are trained and aware of the policies and procedures for services for detained patients, which are reviewed at least every 3 years.

63.4 Guidelines for assessment of patients for admission under the Mental Health (Northern Ireland) Order 1986, as amended, which spell out the roles of all involved, are jointly developed, implemented and reviewed regularly.

63.5 A form is completed by the responsible medical practitioner every time urgent treatment is given under Article 68 of the Mental Health (Northern Ireland) Order 1986, as amended.

63.6 The use of Article 68 of the Mental Health (Northern Ireland) Order 1986, as amended, is regularly monitored by managers.

63.7 Staff, are aware of their obligations under the Mental Health Review Tribunal Regulations, to produce timely and appropriate reports and to be available to give evidence at a tribunal.

63.8 Appropriate accommodation is made available for Mental Health Review Tribunal hearings, including appropriate facilities for witnesses, and with due regard to the need for confidentiality.

63.9 There are written policies and procedures covering all the statutory functions of the hospital managers, reviewed at least every three years.

### **Discharge of Detained Patients**

63.10 Arrangements for the discharge of detained patients are appropriate and clear, and in accordance with the requirements of the 1986 Mental Health (Northern Ireland) Order, as amended, and its Code of Practice.

63.11 The medical practitioner should not delegate his or her discharge function to persons who are either on the staff of the hospital or have a financial interest in it.

**The Rights of Patients under the Mental Health (Northern Ireland) Order 1986, as amended.**

***Standard 64***

***Patients and clients must be informed of all relevant rights under Mental Health Legislation.***

**Criteria**

64.1 Detained patients and their nearest relatives are made aware of their rights and entitlements under the Mental Health (Northern Ireland) Order 1986, as amended, and its Code of Practice.

64.2 Written accessible information is produced, displayed and disseminated to all new patients and, as appropriate, given to their nearest relative or carer. This should include:

- The patient's current legal position;
- The provision of advocacy;
- The patient's right to apply to a Mental Health Review Tribunal;
- The role and function of RQIA; and
- The availability of solicitors recognised by the Law Society as being proficient in mental health work.

64.3 There is a written policy and procedure, reviewed at least every 3 years, detailing the implementation of Part IV of the 1986 Mental Health (Northern Ireland) Order as amended (see 15.2).

## Seclusion of Patients

### Standard 65

***There must be clear written protocols which deal with the seclusion of patients.***

#### Criteria

65.1 There are written policies and procedures on seclusion which are consistent with the Mental Health (Northern Ireland) Order 1986, as amended, its Code of Practice and DHSSPS Guidance on Restraint and Seclusion<sup>30</sup>.

65.2 The written policies include guidance on:

- Minimising the use of seclusion;
- The roles of professionals in initiation and review;
- Monitoring by care teams and senior management;
- The appropriate use of seclusion;
- Not removing the patient's clothing during or following an incident; and
- The presence of same sex staff.

65.3 Each episode of seclusion is reviewed by professionals independent of those staff in direct contact with the patient.

65.4 Where a patient in seclusion has been sedated, a registered nurse remains in sight and sound of the patient and vital signs are recorded at regular intervals.

65.5 Rooms used for seclusion:

- Provide privacy from other patients;
- Enable staff to observe the patient at all times;

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<sup>30</sup> [http://www.dhsspsni.gov.uk/restraint\\_and\\_seclusion\\_august\\_2005.pdf](http://www.dhsspsni.gov.uk/restraint_and_seclusion_august_2005.pdf)

- Do not contain anything which could cause harm to the patient or others;
- Are comfortably furnished and lit;
- Have controllable heating and ventilation; and
- Are quiet but not soundproofed and include a means of calling for attention.

65.6 A quarterly report of episodes of seclusion is produced for senior management and RQIA, with a brief explanation of each occasion.

## Leave

### **Standard 66**

***Arrangements for Article 15 leave of absence are appropriate and clear, and in accordance with the requirements of the Mental Health (Northern Ireland) Order 1986, as amended, and its Code of Practice.***

### **Criteria**

66.1 There are written policies and procedures for detained patients going on Article 15 (Mental Health (Northern Ireland) Order 1986 as amended) leave.

66.2 The policies and procedures for Article 15 leave include requirements that:

- The level of the patient's co-operation with assessment and treatment is taken into account in deciding to grant leave;
- Leave is not granted until the patient has been resident for sufficient time to allow an adequate risk assessment to be undertaken; and
- The named nurse/escort attends the patient reviews to report on previous leave and is party to discussion about future leave.

66.3 All conditions pertaining to the leave are recorded on the Article 15 form including:

- Whether it is escorted, including number of escorts, or unescorted;
- Level of observation;
- Period of leave;
- Location at which the leave will be taken;
- The purpose of the leave;
- The expected date and time of return; and
- Any other specific conditions.

66.4 Careful consideration is given to the choice of venue taking account of:

- Its purpose and suitability;

- The level of risk posed to the patient in that setting;
- The patient's reason for choosing it; and
- Public sensitivities.

66.5 Leave is cancelled if an appropriate escort or appropriate transport is not available.

## **Absence Without Leave under Article 29**

### **Standard 67**

***Procedures on dealing with the situation of when patients leave without informing staff, under Article 29 are appropriate and clear, and in accordance with the requirements of the Mental Health (Northern Ireland) Order 1986, as amended, and its Code of Practice.***

#### **Criteria**

67.1 Procedures on dealing with the situation when patients are absent without leave are reviewed regularly and made known to all staff.

67.2 There are clear, visible notices for patients requesting their co-operation in informing staff of their whereabouts at all times.

67.3 Patients with a high incidence of leaving without informing staff should be reviewed regularly and care plans re-adjusted to minimise re-occurrence.

67.4 The establishment records levels of absconding and formally reviews them at least annually. Reviews explore the reasons for absconding and ways of minimising recurrence following any significant increase in number of absences or following the absconding of any high-risk patient.

67.5 Appropriate arrangements are made for missing patients.

## **Section 2 - Requirements for Registration**

**Statement of Purpose**

**Fitness of the Registered Person**

**Fitness of the Registered Manager**

**Suitability of the Premises to be Registered**

## **Statement of Purpose**

The written Statement of Purpose for the establishment includes the following information:

- The aims and objectives of the establishment or agency;
- The name and address of the registered provider and of any registered manager;
- The relevant qualifications and experience of the registered provider and any registered manager;
- The number, relevant qualifications and experience of the staff working in the establishment, or for the purposes of the agency;
- The organisational structure of the establishment or agency;
- The kinds of treatment and any other services provided for the purposes of the establishment or agency, the range of needs which those services are intended to meet and the facilities which are available for the benefit of patients;
- The arrangements made for consultation with patients about the operation of the establishment or agency;
- The arrangements made for contact between any in-patients and their relatives, friends and representatives;
- The arrangements for dealing with complaints; and
- The arrangements for respecting the privacy and dignity of patients.

## **Fitness of Registered Person**

To determine the fitness of the person applying for registration the following are required:

- Two satisfactory written references;
- A pre-employment health assessment;
- Satisfactory AccessNI checks and police checks;
- Evidence of qualifications (if any) and registration with professional regulatory bodies;
- Confirmation of identity;
- Financial/Business plan; and
- Adequate insurance arrangements.

In addition the RQIA is assured through the registration process that the person:

- Has knowledge and understanding of his or her legal responsibilities;
- Intends to carry on the establishment in accordance with legislative requirements, DHSSPS Minimum Standards and other standards set by professional bodies and standard setting organisations;
- Intends to undertake update training to ensure he or she has the necessary knowledge and skills; and
- Will adhere to the professional codes of conduct of the relevant regulatory bodies.

## **Fitness of Registered Manager**

To determine the fitness of the person applying for registration as the Registered Manager the RQIA is assured through the registration process that the person:

- Having regard to the size of the establishment or agency, the Statement of Purpose and the number and needs of the patients and clients, has the necessary qualifications, skills and experience necessary to manage the establishment or agency.

Where healthcare procedures are carried out, there must be a clinical lead.

The following are also required:

- A satisfactory employment history together with a written explanation of any gaps in employment;
- A pre-employment health assessment;
- Two satisfactory written references one of which is from the applicant's present or most recent employer;
- Confirmation of identity;
- Satisfactory AccessNI and police checks; and where appropriate
- Evidence of professional and vocational qualifications; and
- Evidence of registration with professional regulatory bodies.

In addition the RQIA is assured through the registration process that the person:

- Has knowledge and understanding of his or her legal responsibilities;
- Intends to carry on the establishment in accordance with legislative requirements, DHSSPS Minimum Standards and other standards set by professional bodies and standard setting organisations;
- Intends to undertake update training to ensure he or she has the necessary knowledge and skills; and
- Will adhere to the professional codes of conduct of the relevant regulatory bodies.

## **Suitability of Premises to be Registered**

To determine the fitness of the proposed premises the following must be met:

- The design and construction of the building and grounds must comply with all relevant legislative requirements and guidance documents as set out in Health Building Notes, Health Technical Memoranda, Health Facilities Notes and design guides at the time of registration. Certificates and commissioning documents with regard to engineering services and plant, and approval letters and letters certifying completion of works from other agencies and authorities confirm this; and
- The premises are fully commissioned and operational.

## **APPENDIX 1 - Policies and Procedures**

Independent health care providers must develop policies, procedures and protocols appropriate to the setting, for the following:

Absence of the Registered Manager

Admission

Advance Directives

Access to health records

Accidents and adverse incidents

Accounting, financial and auditing procedures

Advertising

Arrangements for admission, acceptance, transfer and discharge of patients and clients

Arrangements for assessment, diagnosis and treatment of patients and clients

Breaking bad news

Certification of death

Clinical procedures

Complaints

Completion of Clinical Records

Confidentiality

Consent

Consultation with patients and clients about treatment and care

Contracts and delivery of services

Death and bereavement care

Decontamination

Disclosure of patient information

Displaying legally required certificates and licences

Electro-convulsive Therapy (ECT)

Examination and treatment of children and young people

Fire precautions and fire safety policy and emergency fire action plan

First Aid

Fitness of the premises

Food Hygiene

Human Resources that include:

- Dealing with Alert letters issued by DHSSPS and professional regulatory bodies;
- Health clearance for health care staff;
- International recruitment;
- Job descriptions;
- Offers of gifts to staff;
- Organisational structure of the establishment;
- Practising privileges;
- Professional Supervision and appraisal;
- Recruitment of staff and volunteers;
- Smoking;
- Staffing;
- Staff uniforms;
- Staff contracts;
- Staff Appraisal
- Staff records;
- Staff training and development;
- Using agency staff;
- Using AccessNI;
- Violence towards staff;
- Volunteers – roles and responsibilities;
- Whistle blowing; and
- Whole practice appraisal and information sharing with the HSC.

Infection prevention and control

Information provision to patients and clients

Inspections of the establishment

Insurance arrangements

Labeling of Material

Laundry

Maintenance of the premises and grounds

Maintenance of equipment, plant, premises and grounds

Management, control and monitoring of the establishment  
Management of medical gases and cylinders  
Management of medicines  
Medical Devices and Equipment  
Medical Emergencies  
Moving and Handling  
Missing items  
Missing patients and clients  
Monitoring the quality of services, clinical treatment and care  
Monitoring the suitability of facilities and equipment  
Observations  
Operational policy  
Out of hours cover for Allied Health Professionals  
Out of hours medical cover  
Palliative Care Services  
Pathology services  
Patient and clients' guide  
Patient and clients' money and valuables  
Patients and clients on Leave  
Pharmaceutical services during normal working hours and out of hours  
Prevention of Suicide  
Quality improvement  
Records and information management  
Referral arrangements to relevant health professionals  
Reporting accidents, incidents, infectious diseases and deaths (including RIDDOR Arrangements)  
Research  
Restraint  
Resuscitation  
Risk assessment and management  
Safe and healthy working practices  
Safeguarding  
Seclusion  
Security of the establishment

Seeking the views of patients and clients, their carers and family members  
Transport and administration of blood and blood products  
Transfer and transportation of specimens  
Using and operating equipment  
Waste Management

**Pre-Operative Procedures:**

Assessing the patient's fitness for treatment  
Counting and accounting for items such as swabs, needles, operative instruments and blades  
Positioning the patient on the operating table  
Pre-anaesthetic assessment.  
Protection of patient from diathermy burns  
Protection of patient from laser and radiation risks  
Pre-operative check list

**Operating Theatre Procedures:**

Dental surgery under general anaesthesia  
Minimising hazards from blood and body fluid  
Planning peri-operative care  
Preventing and managing surgical complications  
Register of surgical procedures and operations

**Roles And Responsibilities Of Theatre Staff:**

Day surgery  
Recording Details of Implanted Medical Devices  
Recording Tissue Sent For Laboratory Examination  
Scheduling of patients and clients  
Servicing equipment  
Surgical procedures

**Post-operative procedures:**

Bleeding  
Care of the post-operative site

Critical care

Discharge from the recovery room

Pain relief

Post-operative instruction for patients and clients