

Doc Control Reference	01-001-00-GLS24	Approval Status	Approved	
Controlled Doc Type	Guidance	Effective date	01/02/18	
Version No	2.0	Review date	01/02/21	
Owner	Carol Grogan			



## Enhanced Authority Monitoring Approach

### Introduction

In order to safeguard vulnerable people, the Health Information and Quality Authority (HIQA) regulates designated centres, which are institutions where residential services are provided to certain groups of people.

Following a review of how the Office of the Chief Inspector monitors and inspects designated centres for older people and people with disabilities, we are introducing an enhanced monitoring approach on February 2018. This approach incorporates what we have learned over the past 10 years to ensure that regulation is efficient and effective. This document summarises the enhancements that you will see as providers of designated centres for older people and people with disabilities and special care units.

### Registration

The registration process safeguards people using services by determining which designated centres can be registered and who can be its registered provider.

### Applications for registration or renewal

From February 2018, an application for registration or a renewal of registration will only be accepted where it meets the requirements of the Health Act 2007, that is, they contain a completed application form and the prescribed fee. Any applications that do not meet these requirements will be returned.

When applying to register a new extension or new building that increases the size of an already registered designated centre, you should use an application to register (applications

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to vary the current registration will no longer be accepted). New buildings and extensions should be ready for assessment when you apply.

### Minor amendments to application forms

There are minor changes to the following application forms:

- new designated centres
- renewal of registration for a designated centre
- a new intended provider who is seeking to take over the running of an existing registered designated centre where written consent has been given by the current registered provider
- new commencements where centres are 'as if' registered under the provision of Section 69 of the Health Act 2007 as amended.

All forms are available on [www.hiqa.ie](http://www.hiqa.ie).

### Guidance on registration

We have developed **new guidance** on:

- on the statement of purpose for your centre and how it should be used to define the service for residents or children.

We have **updated guidance** on:

- the Statement of Purpose
- the fitness of the provider, persons participating in management and person in charge.
- The making of an application for or renewal of registration.
- The making of an application to vary or remove condition(s) of registration.
- Registration related notifications.

All guidance documents are available on [www.hiqa.ie](http://www.hiqa.ie).

### Registered provider's representative

A key change is the introduction of the role of a **registered provider's representative**. This is the person or people put forward to represent the provider when the registered provider is a partnership, company, unincorporated body or statutory body.

### Monitoring Compliance

We continuously monitor and assess designated centres to make judgments on compliance with the regulations and nationally mandated standards. This means we review and analyse all the information we have about a centre.

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## Announced inspections

**Planned announced inspections** will now be notified to the provider four weeks in advance of the date of inspection. There will be at least one planned announced inspection in every three-year cycle of registration of a designated centre.

We have also introduced **short notice announced inspections**, which will only be used in exceptional circumstances. At least 48 hours will given of these inspections to facilitate meeting with the provider or the people who participate in management.

All other inspections we carry out are unannounced.

## What happens during an inspection?

**Arrival** — The inspector will now complete a **full walk around of the centre** with the person in charge of the centre on the day of the inspection to allow them to outline how the service is being delivered in accordance with the statement of purpose.

**Gathering evidence** — We have published a newly combined assessment and judgment framework detailing how HIQA carries out inspections.

### Judgments on compliance with regulations

Once inspectors have gathered information, they make a judgment about the level of compliance against each regulation reviewed.

**Judgment descriptors** will now indicate whether the registered provider or person in charge has been found to be **compliant, substantially compliant or not compliant** with the regulations associated with them.

A **feedback meeting** will continue to be held with the provider, the person in charge and the people participating in management at the close of each inspection.

## Reporting the findings of inspection

A significant change will occur in how the findings of an inspection are reported.

Following an inspection you will receive a stage 1 inspection report. The report template is new and includes the following sections:

- About the designated centre
- Views of the people who use the service
- Capacity and capability of the registered provider to deliver a safe quality service
- Quality and safety of the service
- Risk rating of all non-compliant regulations.

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## Compliance Plan

We are replacing the Action Plan with a Compliance Plan. Where non-compliance to a regulation is identified during an inspection, a compliance plan will be issued to you for response on how you intend to comply.

As part of this revised process, you will only get **one** attempt to return a satisfactory compliance plan within 15 working days.

## Feedback

If you believe the judgments are incorrect or there are factual inaccuracies in the stage 1 inspection report, you may choose to submit feedback. We have streamlined our feedback process and submissions process.

## Notifications

We have introduced new notification forms and updated guidance on submitting notifications. We have separated our notification guidance into notifications as outlined in either the registration regulations or care and welfare or care and support regulations.

## How can you be prepared for regulation?

- ✓ Ensure from February 2018
- ✓ Make sure your service is delivered in accordance with your Statement of Purpose
- ✓ Check that you and your staff are familiar with the Act, Regulations and Standards
- ✓ Speak with inspectors when they are on site, tell them about the improvements or changes you have made.
- ✓ Make sure you have complied with the regulations and standards
- ✓ Make sure you have complied with any conditions of registration
- ✓ Respond to requests for information in a timely manner, dealing with all matters as outlined in the requests
- ✓ Make sure you have all the required records available for inspection.