



STATUTORY NOTIFICATION OF INCIDENTS AND DEATHS

GUIDANCE FOR REGISTERED PROVIDERS AND MANAGERS OF REGULATED SERVICES

UPDATED SEPTEMBER 2017

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Appendix 1: Legislative Framework

Appendix 2: Grid

1 Introduction

This guidance document has been produced for registered providers and managers of establishments and agencies regulated by the Regulation and Quality Improvement Authority (RQIA) and aims to:

- provide guidance on the statutory requirement to notify RQIA of events affecting service users and others;
- detail the procedure of notification to RQIA;
- assist to improve the quality of information submitted to RQIA.

It should be noted that this document is not intended to replace the professional judgement of registered providers and managers.

2 Why am I required to notify RQIA?

Article 23 (7)(d) of The Health and Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 (the 2003 Order) states that

“Regulations may make provision as to the conduct of establishments and agencies, and such regulations may in particular -
make provision as to the notification of incidents occurring in establishments or in premises used for the purposes of agencies;”

and regulations in relation to establishments and agencies make statutory provision for registered providers and managers to notify RQIA of events affecting service users. Details of the service user(s) affected are required by RQIA in accordance with Articles 40 and 43 (2) of the 2003 Order.

Registered providers and managers must familiarise themselves with the legislative requirements relating to their regulated service and the notification process.

Where the notification of events is delegated to other personnel, it is the responsibility of the registered provider and manager to ensure that the legislation and notification process is followed.

Registered providers and managers have the primary responsibility for the investigation, risk management and notification of these events. It is the responsibility of registered providers and managers to ensure that incidents are followed up and that any necessary actions following the occurrence of a notifiable event are taken to ensure the safety and wellbeing of service users.

3 When should I make a notification?

The specific notification requirements vary for regulated establishments and agencies and the service specific regulations define the events that registered providers and managers should make notification on. Refer to:

Appendix 1: Legislative Framework, and

Appendix 2: Grid showing notification requirements by service type

It is important that registered providers and managers adhere to the timescales for notification to RQIA ie without delay/within 24 hours. Refer to the service specific regulations for details.

If you have reviewed the legislation and notification requirements and remain in doubt as to whether an event should be reported, you should contact the Inspector for your establishment or agency.

4 How do I make a notification to RQIA?

RQIA provides notification forms on the web portal facility to support the consistency in information submitted. The notification must provide an accurate and detailed account of the event. For general information about the web portal go to www.rqia.org.uk/webportal

In order to make a notification using the web portal facility, you will need log in details and the correct permissions for the service concerned. If you have a specific issue regarding the web portal eg missing log in details, technical problem contact the support team at email: webportalservice@rqia.org.uk

When you log in to the home page, you should select the “Notifications” sub-menu. You will be allowed sixty minutes to complete the form. After this time the system will log you out for security reasons and unsaved work will be lost. If you anticipate that you may be called away before you complete this task, we recommend completing the event details off line (ie in a Word document) and copy and past the narrative across.

Home
Change password
Contact details

Notifications

Changes to registration
Registration of a new service
Post inspection evaluations
Paperlite
Report & QIP
Permissions

RQIA Portal Version 1.0.1.25

Home

Welcome to RQIA's Web Portal. Please use the navigation menu on the left
Training videos are available for RQIA's Web Portal [here](#).

My Services

Name	Town	Service Type	Sub-Ty
A new Test Service (020222)	Testville	Fostering Agency (FA)	

At the Notifications page, select a service from the drop down menu in the centre of the page and select the option to submit a Form 1a (adults services) from the menu on left hand side of the screen. If you are submitting a notification form in respect of a children's home, you will be given the Form 1b option.

Home
Notifications

Form 1a - Initial Notification - Adult Services

Changes to registration
Registration of a new service
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RQIA Portal Version 1.0.1.25

Notifiable Events

Notifiable events can now be logged and viewed via RQIA's [here](#).
To log a notifiable event, please select the relevant form fr
To view previous notifiable events, select your service from
for viewing notifiable events:

Open - Notifiable events that have been sent through to R
Ongoing - Notifiable events that are currently under revie
submitted.
Closed - An archive of previously processed notifiable eve

Open Ongoing Closed

Service:

No Submitted Notifications Found...

Complete the form with all of the relevant details relating to the incident. Mandatory data fields are marked with a red asterisk.

Confidentiality

It is the duty of Registered Providers and Managers to comply with the Data Protection Act 1998 by not sending confidential personal information electronically.

Notifications **MUST NOT** contain names or personal details of service users, staff or other persons involved in the event.

Registered providers and managers are required to put in place a system to allocate unique identifiers to service users of their service and about whom notifications are made. It is not sufficient to abbreviate to a person's initials or their room number. You must ensure that service users and other persons referred to in a notification can be identified if required.

Time remaining: 59:54

Form (1a) - Statutory Notification of Events (Adult Services)

External Incident Administration

Service: *

Event Date/Time: *
(Please select using the calendar tool, or alternatively text can be entered in the format DD/MM/YYYY HH:MM)

Part 2: Details of Service Users Affected *

Service User Identifier: *

Year of Birth:

Gender:

Admission Date:

* If more than one service user affected, please provide details on the next page

Part 3: Information About the Event/Death

Notification Type: *

Part 3: Information About the Event/Death

Select the appropriate notification type and, where provided, the appropriate sub-category.

Should the event be related to more than one event type, select the type with the **most severe consequence** ie “accident” leading to an injury to the head should be notified as a head injury.

The time of the event will be recorded using the **24 hour clock** ie 16:20 not 4.20pm

Explanatory notes to specific event categories

Event Code	Event Category	Explanatory Note
G1	Death	Provide the certified cause of death if known at the time of the notification. Specify if the death was unexpected ie occurred as the result of an incident or a sudden unexpected illness. Advise if any review into the care and treatment provided to the service user is to be undertaken.
G3	Accident	An accident which occurs in the service involving service users, staff or other persons where medical intervention needs to be sought.
G5	Outbreak of infectious disease	Symptoms in two or more service users that may indicate a possible outbreak are: Cough and/or fever eg influenza; Diarrhoea and/or vomiting eg Norovirus, Clostridium Difficile; Itchy skin, lesion/rash eg scabies.
G6	Allegation of misconduct	Allegations that relate to staff <u>not</u> service users . May include <ul style="list-style-type: none">• Suspicion of, or actual abuse;• Events that may give rise to criminal charges eg theft, fraud or misuse of drugs;• Incidents that may give rise to referral to a professional body eg Nursing and Midwifery Council; NI Social Care Council; General Dental Council; General Medical Council;• Events involving serious damage to property or breach of security;• Persistent failures by a person employed by or for the establishment/agency, which over time have the potential to, or actually, cause harm;• Actual serious injury or harm to a service user as a result of breach of confidentiality.

Event Code	Event Category	Explanatory Note
G7	Incident involving the police	Event not covered by other categories that required the police to be called.
G8	Any other event adversely affecting a service user	<p>The most serious category of misconduct should be selected.</p> <ul style="list-style-type: none"> • Failure in a basic utility (electricity, gas, water, sewage) that lasts for more than 24 hours; • Fire at the premises, or any occasion on which the fire alarm equipment is operated (false alarms); • Significant damage to premises; • Failure of any safety related equipment eg call systems; • Incidents of alcohol or drug abuse by a service user where this is not already recognised as a risk and included in their care plan. <p>Medication Incident is an error in the administration of prescribed medication, any unexplained loss or theft of prescribed medication, a near miss; - any event involving the management of medicines whereby an error was noticed prior to administration (including dispensing/prescribing errors).</p> <p>Behavioural Issue is serious incidents of threatening or challenging behaviour in which a service user is harmed or at risk of harm.</p> <p>Suicide/Self-Harm is actual self-harm where this is not already recognised as a risk and included in their care plan or the attempted suicide by a service user.</p> <p>Estates Issue is relates to health and safety, including damage to building, fire safety.</p>

Event Code	Event Category	Explanatory Note
CHILDREN'S SERVICES ONLY		
C1	Serious Complaint	Any complaints that relate to child protection, serious harm and/or exploitation of a child or young person. Do not include those matters resolved at the informal stage of the complaints process.
C2	Child Protection Enquiry	Instigation and outcome of any child protection involving a child accommodated in the establishment or a parent who is under the age of 18 accommodated in the residential family centre.
C3	Allegation of Serious Offence	Any offence that could result in a remand, court appearance or custodial sentence.
C4	Sexual Exploitation	Refer to definitions used in the Area Child Protection Committee's Regional Policy and Procedures.

Identify other organisations/individuals that have also been notified. This should include those organisations where there is a statutory requirement to do so.

Part 4: Concise description of surrounding circumstances

Ensure the notification is concise and avoid jargon. Provide details of any immediate action taken following the event. Be open about what has occurred and detail what measures have been taken to minimise recurrence and lessons learned (where appropriate).

Part 5: Form completed by

Provide details of name, job role and date form completed.

When the notification form is completed, select 'Save and Continue'.

The screenshot shows a web-based form with the following sections:

- Other authorities notified:** A single text input field.
- Part 4: Concise description of surrounding circumstances**
 - Details of the event/death:** A text input field.
 - Any immediate action taken following the event:** A text input field.
 - Any action taken to prevent reoccurrence:** A text input field.
- Part 5: Form Completed By**
 - Form Completed By:** A text input field containing "Captain Nemo".
 - Job Role:** An empty text input field.
 - Form Completed On:** A text input field containing "26/09/2017".

At the bottom, there are two buttons: "Cancel" and "Save and Continue", with the latter highlighted in red.

The next page will allow you to add 'Additional Services Users' details if required. When you have completed this page, select 'Submit'.

Time remaining: 59:56

Additional Service Users

If the notifiable event relates to more than one service user, please insert the additional details below:

No Additional Service Users Found...

When you return to the Notifications menu, you will see the web form you have submitted within the "Open" notifications section. At this point, you can still update or amend the notification form by selecting the form and using the 'Update/View' button.

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Notifications
Form 1a - Initial Notification - Adult Services

Changes to registration

Registration of a new service

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Report & QIP

Permissions

RQIA Portal Version 1.0.1.25

Notifiable Events

Notification created

Notifiable events can now be logged and viewed via RQIA's Web Portal. Current guidance on Notifiable events is available [here](#).

To log a notifiable event, please select the relevant form from the menu on the left.

To view previous notifiable events, select your service from the drop down list below. There are three available selections for viewing notifiable events:

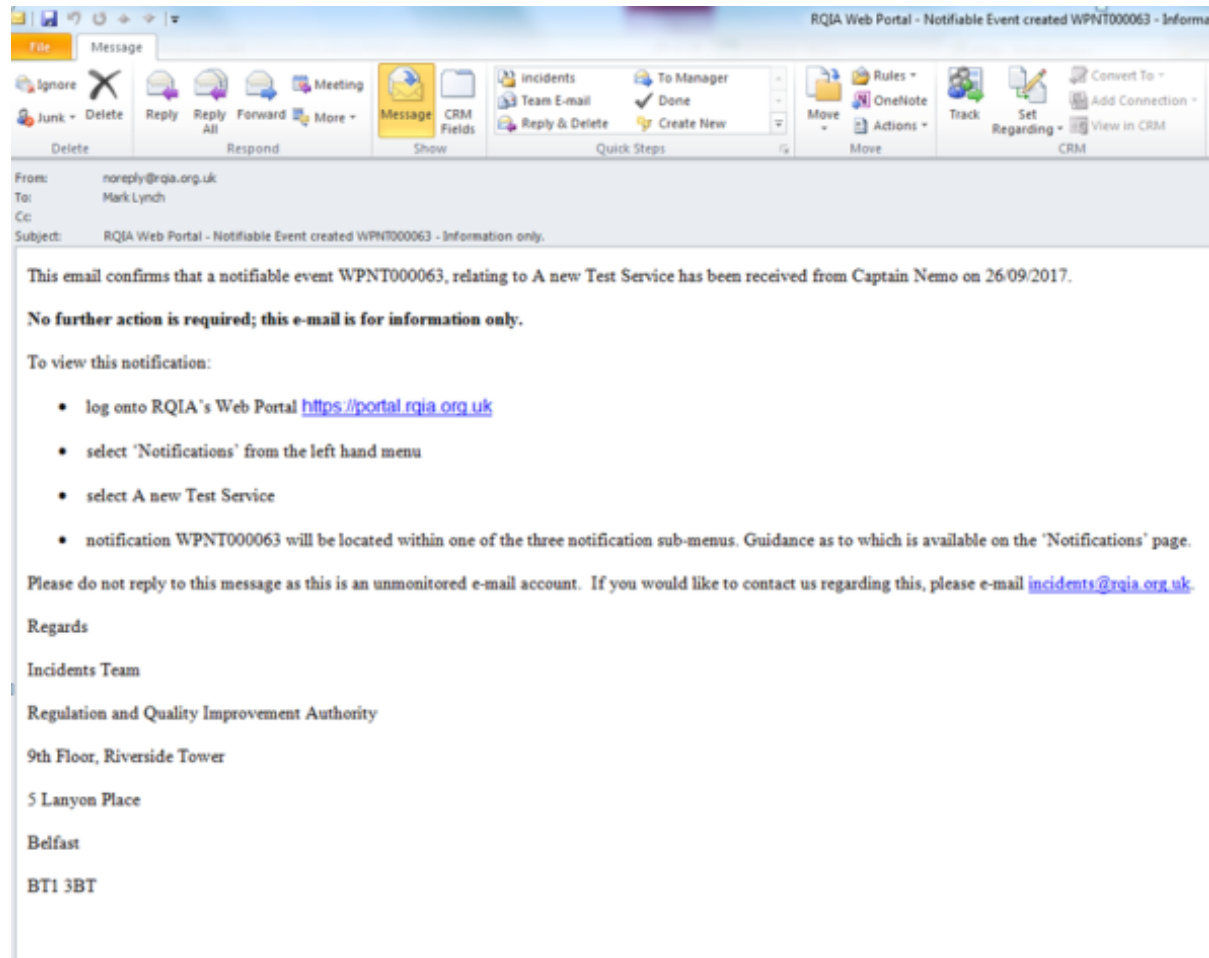
- Open** - Notifiable events that have been sent through to RQIA, and can still be edited.
- Ongoing** - Notifiable events that are currently under review by RQIA and cannot be edited. A follow up ("Form 2") can be submitted.
- Closed** - An archive of previously processed notifiable events that were submitted via RQIA's Web Portal.

Open Ongoing Closed

Service:

Id	Type	SubType	Date Submitted	Submitted By	Status	Further Details
<input checked="" type="radio"/> WPNT000063	A2 Absence	Uncategorised	26/09/2017	Captain Nemo	1. Submitted	

Once the notification is submitted, you (and the service manager, if different) should receive an automated confirmation email.



5 What happens after I have submitted a notification to RQIA?

Quantitative assessment undertaken by Incidents Administration

Incidents Administration will review the notification to check that the form does not contain obvious errors. If no errors are identified, the form is validated.

Once a form has been validated by RQIA, it can no longer be updated (although you can still submit a “Follow Up” – see overleaf. The notification will move to the “Ongoing” section of your Notifications menu. If you wish, you can also save or print out the notification.

- Home
- Notifications
 - Form 1a - Initial Notification - Adult Services
- Changes to registration
 - Registration of a new service
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RQIA Portal Version 1.0.1.25

Time remaining: 59:45

Captain Nemo - Last Login - 25/09/2017 17:15:15 - Logout

Notifiable Events

Notifiable events can now be logged and viewed via RQIA's Web Portal. Current guidance on Notifiable events is available [here](#).

To log a notifiable event, please select the relevant form from the menu on the left.

To view previous notifiable events, select your service from the drop down list below. There are three available selections for viewing notifiable events:

Open - Notifiable events that have been sent through to RQIA, and can still be edited.

Ongoing - Notifiable events that are currently under review by RQIA and cannot be edited. A follow up ("Form 2") can be submitted.

Closed - An archive of previously processed notifiable events that were submitted via RQIA's Web Portal.

Open Ongoing Closed

Service:

View

Print PDF

Follow up

Notification Number	Type	SubType	Follow Up Required	Follow Up Submitted	Follow Up Information	Date of Event
<input checked="" type="radio"/> NT160080	A2 Absence	Uncategorised	<input type="checkbox"/>	<input type="checkbox"/>		26/09/2017
<input type="radio"/> NT160077	G2 Injury	G2.1 Fracture (Hip)	<input type="checkbox"/>	<input type="checkbox"/>		25/07/2017
<input type="radio"/> NT160076	G3 Accident	Uncategorised	<input checked="" type="checkbox"/>	<input type="checkbox"/>	test	24/07/2017

Where a notification contains errors, it will be rejected and returned to your "Open" notifications section with instructions on how it should be corrected and resubmitted. You will also receive an automated email message

The onus is on the registered provider and manager to ensure that this is actioned immediately.

Open Ongoing Closed

Service:

Update / View

Print PDF

Id	Type	SubType	Date Submitted	Submitted By	Status	Further Details
<input type="radio"/> WPNT000064	A1 Theft/Burglary	Uncategorised	26/09/2017	Captain Nemo	3. Rejected	Please change the notification type and resubmit

Qualitative assessment undertaken by Inspection Team

The Inspection Team will review the notification with the aim of doing so within one week of it being reported. If required, contact will be made with the service to ensure that the incident has been dealt with appropriately – this may include a request for additional information or confirmation that other organisations have been notified of the event.

Inspectors may also review the type and occurrence of any incidents in relation to the service in advance of an announced or unannounced inspection and during the inspection process.

When the notification has been closed by RQIA, the notification will move to the “Closed” section of your Notifications menu. At this point you will not be able to complete any further actions against this notification but you can still save or print a PDF version of the notification form.

6 How do I submit a follow up to a notification submitted to RQIA?

You may be prompted to do this by an automated email request from RQIA. The Follow Up Required tick box will be automatically populated on your Notifications page. Alternatively you may wish to submit this form voluntarily for any “Ongoing” notification.

Select the relevant notification and then use the ‘Follow up’ button.

Open Ongoing Closed

Service:

Notification Number	Type	SubType	Follow Up Required	Follow Up Submitted	Follow Up Information	Date of Event
<input checked="" type="radio"/> NT160080	A2 Absence	Uncategorised	<input type="checkbox"/>	<input type="checkbox"/>		26/09/2017
<input type="radio"/> NT160077	G2 Injury	G2.1 Fracture (Hip)	<input type="checkbox"/>	<input type="checkbox"/>		25/07/2017
<input type="radio"/> NT160076	G3 Accident	Uncategorised	<input checked="" type="checkbox"/>	<input type="checkbox"/>	test	24/07/2017

Input the relevant information into the Form 2 and then click the 'Submit' button.

Time remaining: 59:55

Form (2) - Statutory Notification of Events (Follow up)

Detail of Follow up action

Notification Number:

Summary of incident follow up:

Lessons learned:

Training needs identified:

Form Completed By

Form Completed By:

Job Role:

Form Completed On:

The updated incident will then be positioned within the “Ongoing” notifications section with the ‘Follow up Submitted’ tick box selected.

Open Ongoing Closed

Service:

Notification Number	Type	SubType	Follow Up Required	Follow Up Submitted	Follow Up Information	Date of Event
<input type="radio"/> NT160080	A2 Absence	Uncategorised	<input type="checkbox"/>	<input checked="" type="checkbox"/>		26/09/2017
<input type="radio"/> NT160077	G2 Injury	G2.1 Fracture (Hip)	<input type="checkbox"/>	<input type="checkbox"/>		25/07/2017
<input type="radio"/> NT160076	G3 Accident	Uncategorised	<input checked="" type="checkbox"/>	<input type="checkbox"/>	test	24/07/2017

7 Records retention

Notifications are retained, archived or destroyed according to RQIA’s Records Management Policy and Procedure and Retention and Disposal Schedule.

Registered providers and managers, as the originators of the document, are required to retain the original record of the notifications made in line with their records management policy and procedure. Any additional records relating to the notification should also be retained.

APPENDIX 1: LEGISLATIVE FRAMEWORK

THE HEALTH AND PERSONAL SOCIAL SERVICES (QUALITY, IMPROVEMENT AND REGULATION) (NORTHERN IRELAND) ORDER 2003

Regulations relating to establishments and agencies

23.—(1) Regulations may impose in relation to establishments and agencies any requirements which the Department thinks fit for the purposes of this Part and may in particular make any provision such as is mentioned in paragraph (2) or (7).[...]

(7) Regulations may make provision as to the conduct of establishments and agencies, and such regulations may in particular—[...]

(d) make provision as to the notification of incidents occurring in establishments or in premises used for the purposes of agencies;

Power to require information from establishments and agencies and power of entry and inspection

40.—(1) The Regulation and Improvement Authority may at any time require a person who carries on or manages an establishment or agency to provide it with any information relating to the establishment or agency which the Regulation and Improvement Authority considers it necessary or expedient to have for the purposes of its functions.

Restrictions on disclosure of information under Article 40 or 41

43. - (1) Subject to subsection (2), a person shall not be required under Article 40 or 41 to provide confidential information which relates to and identifies a living individual unless -

(a) the information is disclosed in a form in which the identity of the individual cannot be ascertained;

(b) the individual consents to the information being disclosed; or

(c) the individual cannot be traced despite the taking of all reasonable steps.

(2) A person may be required to provide confidential information which relates to and identifies a living individual if -

(a) it is not practicable to disclose the information in a form in which the identity of the individual cannot be ascertained;

(b) the Regulation and Improvement Authority considers that there is a serious risk to the health or safety of any person; and

(c) having regard to that risk and the urgency of the exercise of those functions, the Regulation and Improvement Authority considers that the information should be disclosed without the consent of the individual.

(3) A person shall not be required under Article 40 or 41 to provide information the disclosure of which is prohibited under another statutory provision unless -

(a) the prohibition on the disclosure of information operates by reason of the fact that the information is capable of identifying an individual; and

(b) the information in question is in a form in which the identity of the individual cannot be ascertained.

(4) In a case where -

(a) the disclosure of information is prohibited under this Article; and

(b) the prohibition operates by reason of the fact that the information is capable of identifying an individual, the Regulation and Improvement Authority or a person authorised by it under Article 40 or 41 may require the person holding the information to put the information in a form in which the identity of the individual concerned cannot be identified, in order that the information may be disclosed.

(5) In this Article "confidential information" means information which is held subject to a duty of confidence, and includes information contained in an accessible record within the meaning of section 68 of the Data Protection Act 1998 (c. 29).

THE NURSING HOMES REGULATIONS (NORTHERN IRELAND) 2005

30.—(1) The registered person shall give notice to the Regulation and Improvement Authority without delay of the occurrence of –

- (a) the death of any patient, in the nursing home, including the circumstances of his death;
- (b) the outbreak in the nursing home of any infectious disease which in the opinion of any medical practitioner attending persons in the home is sufficiently serious to be so notified;
- (c) any serious injury to a patient in the nursing home;
- (d) any event in the nursing home which adversely affects the wellbeing or safety of any patient;
- (e) any theft or burglary in the nursing home;
- (f) any accident in the nursing home;
- (g) any allegation of misconduct by the registered person or any person who works at the nursing home.

(2) Any notification made in accordance with this regulation which is given orally shall be confirmed in writing within 3 days of the oral report.

THE RESIDENTIAL CARE HOMES REGULATIONS (NORTHERN IRELAND) 2005

Notification of death, illness and other events

30.—(1) The registered person shall give notice to the Regulation and Improvement Authority without delay of the occurrence of –

- (a) the death of any resident, including the circumstances of his death;
- (b) the outbreak in the home of any infectious disease which in the opinion of any medical practitioner attending persons in the home is sufficiently serious to be so notified;
- (c) any serious injury to a resident in the home;
- (d) any event in the home which adversely affects the care, health, welfare or safety of any resident;
- (e) any theft or burglary in the home;
- (f) any accident in the home;
- (g) any allegation of misconduct by the registered person or any person who works at the home.

(2) Any notification made in accordance with this regulation which is given orally shall be confirmed in writing within 3 working days of the oral report.

THE NURSING AGENCIES REGULATIONS (NORTHERN IRELAND) 2005

Notification of incidents

13. Where an agency acting as an employment business supplies a nurse to provide nursing care in the private residence of a service user or patient, the registered person shall notify the Regulation and Improvement Authority of any incident reported to the police not later than 24 hours after the registered person –

- (i) has reported the matter to the police;
- (ii) is informed that the matter has been reported to the police.

THE DOMICILIARY CARE AGENCIES REGULATIONS (NORTHERN IRELAND) 2007

15.—(1) Paragraphs (2) to (12) apply only to the supply of domiciliary care workers to service users by an agency which is acting otherwise than as an employment agency.

[...]

(6) The registered person shall ensure that where the agency arranges the provision of prescribed services to a service user, the arrangements shall—

- (a) specify the procedure to be followed after an allegation of misconduct, neglect or other harm has been made;

[...]

(12) The procedure referred to in paragraph (6)(a) shall in particular provide for—

[...]

- (b) the Regulation and Improvement Authority to be notified of any incident reported to the police, not later than 24 hours after the registered person—(i) has reported the matter to the police; or(ii) is informed that the matter has been reported to the police.

THE INDEPENDENT HEALTHCARE REGULATIONS (NORTHERN IRELAND) 2005

Notification of deaths and other events

28.—(1) The registered person shall give notice to the Regulation and Improvement Authority of –

(a) the death of a patient –

(i) in an establishment;

(ii) during treatment provided by an establishment or agency; or

(iii) as a consequence of treatment provided by an establishment or agency within the period of seven days ending on the date of the death, and the circumstances of his death;

(b) any serious injury to a patient;

(c) the outbreak in an establishment of any infectious disease, which in the opinion of any medical practitioner employed in the establishment is sufficiently serious to be so notified;

(d) any event in the establishment or agency which adversely affects the well-being or safety of any patient;

(e) any allegation of misconduct resulting in actual or potential harm to a patient by the registered person, any person employed in or for the purposes of the establishment or for the purposes of the agency, or any medical practitioner with practising privileges;

(f) any theft, burglary or accident in the establishment or agency.

(2) Notice under paragraph (1) shall be given within the period of 24 hours beginning with the event in question and, if given orally, shall be confirmed in writing as soon as practicable.

THE CHILDREN'S HOMES REGULATIONS (NORTHERN IRELAND) 2005

Notifiable events

29—(1) If, in relation to a children's home, any of the events listed in column 1 of the table in Schedule 5 takes place, the registered person shall without delay notify the persons indicated in respect of the event in column 2 of the table.

[...]

(3) Any notification made in accordance with this regulation which is given orally shall be confirmed in writing.

Events and Notifications required to be reported to the RQIA as per Column 2 Schedule 5:

Death of a child accommodated in the home

Referral to the Department pursuant to Article 4(1) (a) of the Protection of Children and Vulnerable Adults (Northern Ireland) Order 2003 (b) of an individual working at the home

Serious illness or serious accident sustained by a child accommodated in the home

Outbreak of any infectious disease which in the opinion of a registered medical practitioner attending children at the home is sufficiently serious to be so notified

Allegation that a child accommodated at the home has committed a serious offence

Involvement or suspected involvement of a child accommodated at the home in sexual exploitation

Serious incident necessitating calling the police to the home
Any serious complaint about the home or persons working there
Instigation and outcome of any child protection enquiry involving a child accommodated at the home

THE DAY CARE SETTING REGULATIONS (NORTHERN IRELAND) 2007

Notification of death, illness and other events

29.—(1) The registered person shall give notice to the Regulation and Improvement Authority without delay of the occurrence of—

- (a) the death of any service user in the day care setting, including the circumstances of his death;
- (b) the outbreak in the day care setting of any infectious disease which in the opinion of any general medical practitioner is sufficiently serious to be so notified;
- (c) any serious injury to a service user in the day care setting;
- (d) any event in the day care setting which adversely affects the wellbeing or safety of any service user;
- (e) any theft or burglary in the day care setting;
- (f) any accident in the day care setting;
- (g) any allegation of misconduct by the registered person or any person who works in the day care setting.

(2) Any notification made in accordance with this regulation which is given orally shall be confirmed in writing within 3 working days of the oral report.

THE RESIDENTIAL FAMILY CENTRE REGULATIONS (NORTHERN IRELAND) 2007

Notifiable events

30.—(1) If, in relation to a residential family centre, any of the events listed in column 1 of the table in Schedule 5 takes place, the registered person shall without delay notify the persons indicated in respect of the event in column 2 of the table.

[...]

(3) Any notification made in accordance with this regulation which is given orally shall be confirmed in writing.

(4) References in column 1 of the table in Schedule 5 to a centre shall be construed as references to a residential family centre.

Events and Notifications required to be reported to the RQIA as per Column 2 Schedule 5

Death of a resident accommodated in the centre

Referral to the Department pursuant to Article 4(1) (a) of the Protection of Children and Vulnerable Adults (Northern Ireland) Order 2003 (b) of an individual working at the centre

Serious illness or serious accident sustained by a child accommodated in the centre

Outbreak of any infectious disease which in the opinion of a registered medical practitioner attending residents at the centre is sufficiently serious to be so notified

Allegation that a resident accommodated at the centre has with the committed a serious offence

Involvement or suspected involvement in prostitution of the (i) a child; or (ii) a parent who is under the age of 18 accommodated in the centre
Serious incident necessitating calling the police to the centre
Any serious complaint about the centre or persons working there
Instigation and outcome of any child protection involving (i) a child; or (ii) a parent who is under the age of 18 accommodated in the centre

THE ADULT PLACEMENT AGENCIES REGULATIONS (NORTHERN IRELAND) **2007**

Notification of incidents

33.—(1) The registered person shall notify the Regulation and Improvement Authority and the placing authority if an incident described in paragraph (3) takes place.

(2) That notification must be made within 24 hours of the registered person being informed, or otherwise becoming aware, of the incident.

(3) The incidents are—

(a) the death of any service user, including the circumstances of his death;

(b) the outbreak within the adult placement carer's home of any infectious disease which, in the opinion of any medical practitioner attending persons in the home, is sufficiently serious to be so notified;

(c) any serious injury to a service user;

(d) any serious illness of a service user;

(e) any event of which the adult placement carer is aware which adversely affects the care, health, welfare or safety of any service user;

(f) any theft or burglary at the adult placement carer's home;

(g) any incident which—

(i) occurs in connection with the placement; and

(ii) is reported to, or investigated by the police;

(h) any allegation of misconduct by a service user in relation to the adult placement carer or a member of his family;

(i) any unexplained absence of more than 12 hours of a service user from the adult placement carer's home.

(4) Any notification under this regulation which is given orally shall be confirmed in writing within 3 working days of the oral report.

(5) The registered person must ensure that members of staff are required to inform the registered person forthwith when they become aware of the occurrence of any of the incidents described in paragraph (3).

THE VOLUNTARY ADOPTION AGENCIES REGULATIONS (NORTHERN IRELAND) 2010

20.—(1) If, in relation to an agency, any of the events listed in column 1 of the table in Schedule 4 takes place, the registered provider and the manager shall without delay notify the person indicated in that table.

(2) Any notification made in accordance with this regulation which is given orally shall be confirmed in writing within 14 days.

(3) In the table in Schedule 4 —

“approved by the agency” means approved by the agency as suitable to be an adoptive parent in accordance with the Adoption Agencies Regulations (Northern Ireland) 1989;

“placing agency” means the adoption agency that placed the child for adoption with the prospective adopter;

Column 2 Schedule 4

Death of child placed for adoption by the agency or in the care of that agency pending placement.

Referral to the Independent Safeguarding Authority (2) pursuant to Article 37 of the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007 (3) of an individual working for the agency.

Serious illness of, or serious accident sustained by, a child placed for adoption by the agency *or in* the care of that agency pending placement.

Any serious complaint about a prospective adopter approved by the agency where no child is placed for adoption with that prospective adopter.

Any serious complaint about a prospective adopter approved by the agency where a child is placed for adoption with that prospective adopter by the agency.

Any serious complaint about a prospective adopter approved by the agency where a child is placed for adoption with that prospective adopter by another agency.

Instigation and outcome of any child protection enquiry involving a child placed for adoption by the agency *or in* the care of that agency pending adoption

APPENDIX 2 – REPORTING REQUIREMENTS GRID

	Category	Category and Subcategory	Residential Family Centres	Children's Homes	Nursing Homes	Residential Care Homes	Day Care Settings	Independent Health	Adult Placement Agencies	Domiciliary Care Agencies	Nursing Agencies	Voluntary Adoption Agencies
For Forms 1a and 1b	G1	Death										
	G1.1	Expected			✓	✓		✓	✓			✓
	G1.2	Unexpected	✓	✓			✓					
	G2	Serious Injury										
	G2.1	Fracture (Hip)										
	G2.2	Fracture (Other)	✓	✓	✓	✓	✓	✓	✓			✓
	G2.3	Head Injury										
	G3	Accident										
	G3	Uncategorised	✓	✓	✓	✓	✓	✓				✓
	G4	Serious Illness										
	G4	Uncategorised	✓	✓					✓			✓
	G5	Outbreak of Infectious Disease										
	G5	Uncategorised	✓	✓	✓	✓	✓	✓	✓			
	G6	Allegation of Misconduct										
	G6.1	Physical										
	G6.2	Sexual										
	G6.3	Psychological/Emotional										
	G6.4	Financial/Material										
	G6.5	Neglect/Acts of Omission	✓	✓	✓	✓	✓	✓	✓			✓
	G6.6	Institutional										
	G6.7	Discriminatory										
	G6.8	Damage to property										
	G6.9	Misuse of drugs										
G7	Incident involving the police											
G7	Uncategorised	✓	✓						✓	✓ ¹	✓ ²	
G8	Any other event adversely affecting service user											
A3.1	Medication Incident	✓	✓									
A3.2	Behavioural Issue			✓	✓	✓	✓	✓				
A3.3	Self-Harm											

Footnotes

1. Only when the police involvement is the result of a safeguarding concern.
2. Only when the incident occurs in a service user's private residence.