

## **Registration: Frequently Asked Questions**

Updated November 2019

### **1. Registering a new establishment or agency**

#### **What documents should I submit if I am applying to register a new establishment or agency?**

When applying to register a new establishment or agency the following documents should be submitted:

- Registration fee – if applicable (see below for schedule of registration fees);
- Application for Registration of an Establishment or Agency;
- Application for Registration – Responsible Person or Individual of Establishment or Agency: This should be submitted along with all of the supporting documents listed in part 12 of the form;
- Financial documents (see financial documents checklist included within the establishment / agency application form);
- Proposed Statement of Purpose;
- Proposed Service User Guide;
- Details of proposed staffing;
- Application for Registration as Manager of Establishment or Agency: This should be submitted along with all of the supporting documents listed in part 11 of the form.

If you are applying to register a new Nursing Home, Children's Home, Residential Home or Day Care Setting you will also be required to submit estates documents in respect of the building. For lists of required estates documents please refer to the relevant estates document checklist.

Please note that we are unable to make an assessment of any building plans until a formal application for registration and relevant fee has been submitted, therefore it is important that the relevant minimum standards are referred to when plans for the building are being drawn up. The minimum standards are available at the following link:

<https://www.rqia.org.uk/guidance/legislation-and-standards/standards/>

## **What registration fee should be submitted with my application?**

If you are applying to register a new establishment or agency then the following fees will apply:

- Nursing Home, Residential Home or Children's Home with 4 or more registered beds: £952;
- Nursing Home, Residential Home or Children's Home with 3 registered beds or less: £261;
- Independent Hospital (including cosmetic laser services), Independent Clinic or Independent Medical Agency: £952;
- Dental Practice: £952;
- Nursing Agency: £30;
- Domiciliary Care Agency, Day Care Setting, Adult Placement Agency, Residential Family Centre or Voluntary Adoption Agency: No registration fee applicable.

## **I wish to register a business carrying out class 3b or 4 laser / IPL treatments (such as laser hair or tattoo removal).**

RQIA has developed specialised application forms and guidance for the registration of cosmetic laser services which can be accessed on our website:

<https://www.rqia.org.uk/what-we-do/register/how-to-register-with-rqia/registration-of-a-laser-service/>

## **I wish to register a Dental Practice with RQIA in order to private dental treatment.**

Please refer to the Dental Regulation section of our website where the appropriate and service specific application forms and guidance can be accessed and downloaded:

<https://www.rqia.org.uk/what-we-do/register/how-to-register-with-rqia/registration-of-a-dental-practice/>

## **2. Annual Fees**

### **Am I required to re-register on an annual basis?**

No, although your establishment or agency will be subject to at least one or two inspections a year depending on the service type as per the requirements of The Regulation and Improvement Authority (Fees and Frequency of Inspections) Regulations (Northern Ireland) 2005. You will not be issued with a new certificate of registration unless there has been a change in your registration details.

### **Do I need to pay an annual fee to maintain my registration?**

Whether an annual fee needs to be paid depends on the type of service registered. Annual fees are calculated as follows:

- Nursing Home, Residential Home or Children's Home with 4 or more registered beds: £46 per registered bed;
- Nursing Home, Residential Home or Children's Home with 3 registered beds or less: £34;
- Independent Hospital: £46 per registered bed (not applicable for independent hospitals without overnight beds);
- Dental Practice: £46 per registered dental chair;
- Independent Clinic or Independent Medical Agency: £215;
- Nursing Agency: £15;
- Domiciliary Care Agency, Day Care Setting, Adult Placement Agency, Residential Family Centre or Voluntary Adoption Agency: No annual fee applicable.

The annual fee is due on the first anniversary of your date of initial registration and the RQIA shall issue you an invoice when this payment is due or at the beginning of the new financial year.

### **How can I pay my annual fee or application fee to RQIA?**

Fee payments can either be made by cheque (made payable to the 'Regulation & Quality Improvement Authority') or by BACS transfer. BACS payments should be made to the following account details (Sort Code 902127, Account No 88056622) and the accompanying narrative should include details which will identify your service (such as the establishment or agency name, RQIA ID number or invoice number).

### **3. Transfer of ownership / Change of entity in control**

#### **If I intend to sell my establishment or agency what should I do?**

As an existing registered provider you are required to notify us of your intention to deregister as responsible person. The new provider will need to make a full application and complete the vetting process regardless of whether he/she is currently registered with the RQIA. The necessary paperwork should preferably be submitted at least 3 months prior to the proposed date of the transfer to allow the registration process to be completed in a timely manner. The RQIA is aware of issues surrounding commercial sensitivity & confidentiality in such situations and we are prepared to work with both parties to facilitate a smooth transfer of ownership.

#### **If my service is registered but I am planning to change the business entity in control of the service is there a requirement to reapply?**

Yes. Under The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005 if a new entity is coming forward in respect of a registered establishment or agency then there is a requirement for a new application. This would apply in such cases where, for example, a sole provider is forming a limited company. In this case the registered person will need to reapply as he/she shall be coming forward in respect of a newly formed entity.

#### **What documents should I submit if I am taking over an existing establishment or agency?**

- Registration fee – if applicable (see below for Schedule of registration fees);
- Application for Registration of an Establishment or Agency;
- Application for Registration – Responsible Person or Individual of Establishment or Agency;
- This should be submitted along with all of the supporting documents listed in part 12 of the form;
- Financial documents (see financial documents checklist);
- Proposed Statement of Purpose;
- Proposed Service User Guide.

The current owner of the service should also complete and submit an application for cancellation of their registration via our web portal (see the guidance below). Receipt of this cancellation form will be taken as the outgoing provider giving consent for RQIA to engage with the proposed new provider. A cancellation application can be withdrawn at a later date if the transfer / sale is not completed.

## **What registration fee should be submitted with my application?**

If you are applying to take over an existing establishment or agency or if you are re-registering your establishment or agency as a new business entity then the following fees will apply:

- Nursing Home, Residential Home or Children's Home with 4 or more registered beds: £952;
- Nursing Home, Residential Home or Children's Home with 3 registered beds or less: £261;
- Independent Hospital, Independent Clinic or Independent Medical Agency: £952
- Dental Practice: £952
- Nursing Agency: £30
- Domiciliary Care Agency, Day Care Setting, Adult Placement Agency, Residential Family Centre or Voluntary Adoption Agency: No registration fee applicable.

## **I wish to change the Responsible Individual but there is no change to business entity. What should I submit in this scenario?**

If the provider organisation is not changing then there is not the requirement for a full application and registration fee, however, the new responsible individual will need to go through the vetting process and will need to be formally approved for registration by the RQIA before he/she can take on this role. The individual should complete the Responsible Person Application & the online AccessNI form. The applicant will also need to attend a 'fit person' interview, usually facilitated by the lead inspector of the service. In this scenario the registration fee is non-applicable but the applicant will need to submit a payment of £33 to cover their enhanced disclosure fee. The current Responsible Individual should also submit formal notice to RQIA in writing of their intention to relinquish the role of Responsible Individual.

## **What if the service is registered under a partnership but we wish to add an additional partner to the registration?**

The 2005 Registrations Regulations state that, where the applicant is a partnership, each member of the partnership must be a registered person. If a new partner is to be added to the partnership then this person must successfully complete the registration process (as above). The existing partners should also confirm the new arrangements in writing. In this scenario the registration fee is non-applicable but the applicant will need to submit a payment of £33 to cover their enhanced disclosure fee.

#### **4. Registration of manager**

**I wish to register a manager or I have a manager who is leaving and so I need to register his/her replacement.**

If you are appointing a new manager this person will need to apply for registration with the RQIA and complete the vetting process before his/her registration can be confirmed. In this case the manager should complete and submit the Manager Application, online AccessNI form and the requiring supporting documents.

Depending on the type of service the manager is registering for there may be a manager registration fee applicable. The schedule of manager registration fees is listed on page 12 of the Application for Registration as a Manager of an Establishment or Agency - Guidance Notes. The applicant will also need to submit a payment of £33 to cover their enhanced disclosure fee.

Before appointing your manager and submitting application to RQIA you should refer to the relevant minimum standards for your service type, as published by the DHSSPS. Specifically you should refer to the section of the standards relating to 'fitness of registered manager' which outlines the qualifications & experience which the registered manager must hold. The minimum standards can be downloaded from our website at the following link:

<https://www.rqia.org.uk/guidance/legislation-and-standards/standards/>

A manager application can currently be submitted by hard copy **or** completed via our web portal. The following guidance documents outline how a provider can set up their new manager as a delegated portal user and how the manager can complete and submit their application form via the portal:

[https://rqia.org.uk/RQIA/media/RQIA/Web%20Portal%20Docs/How-to-make-a-Manager-Application-\(Provider-guidance\)\\_1.pdf](https://rqia.org.uk/RQIA/media/RQIA/Web%20Portal%20Docs/How-to-make-a-Manager-Application-(Provider-guidance)_1.pdf)

[https://rqia.org.uk/RQIA/media/RQIA/Web%20Portal%20Docs/How-to-complete-a-manager-application-\(Applicant-guidance\).pdf](https://rqia.org.uk/RQIA/media/RQIA/Web%20Portal%20Docs/How-to-complete-a-manager-application-(Applicant-guidance).pdf)

**If my manager has left their post or will be absent for an extended period of time which form should I complete?**

If the registered manager has left the post or if the manager is absent for a period exceeding 28 days you are required to complete a notification of manager absence form. You are permitted to have an 'Acting Manager' as an interim measure if there is a gap between the appointment of a new manager or if the existing registered manager is absent for a prolonged period (e.g. due to long term illness, maternity leave etc.).

From the 1 April 2019, Web Portal will become the only method of submitting a notification of manager absence form.

A step-by-step guide on how to complete this online form can be found on the RQIA website:

<https://rqia.org.uk/RQIA/media/RQIA/Web%20Portal%20Docs/How-to-complete-a-Notification-of-Manager-Absence.pdf>

### **How do I notify RQIA that my registered manager has returned to post following a period of absence?**

In this scenario you should complete the Return of Registered Manager Form through the web portal. Please refer to the step-by-step guidance below:

<https://rqia.org.uk/RQIA/media/RQIA/Web%20Portal%20Docs/How-to-complete-a-Return-of-Registered-Manager-form.pdf>

### **I am a registered manager and have changed my surname – how do I update my certificate?**

If you are already a registered person and have changed your name you should submit documentation to the registration team which confirms this change (e.g. a marriage certificate).

## **5. Application for variation to registration**

### **If there are any changes to my establishment or agency which shall impact on my registration do I need to submit an application?**

Yes, although in this case you would submit a variation to registration application. An example of when a variation form must be submitted would be if you intend to increase or decrease your maximum number of beds or change your registered categories of care. The fee applicable in this case would be £100\*. If your proposed changes constitute a minor variation (defined as a variation which in the opinion of RQIA would involve no material alteration to the register kept by RQIA) in this case the fee is £25.

*\*If the variation application is in respect of a Domiciliary Care Agency, Day Care Setting, Adult Placement Agency, Residential Family Centre or Voluntary Adoption Agency then a variation fee is not applicable.*

From the 1 April 2019, Web Portal will become the only method of submitting a variation to registration form.

A step-by-step guide on how to complete this online form can be found on the RQIA website:

<https://rqia.org.uk/RQIA/media/RQIA/Web%20Portal%20Docs/How-to-complete-an-application-for-Variation-to-Registration.pdf>

## **What documents should I submit if I wish to make an application to change my registration details?**

- Application for Variation Registration (complete via the portal);
- Statement of Purpose – this should be revised to reflect the proposed changes (upload an electronic version of the document along with your web form);
- Service User Guide, revised to reflect the proposed changes (upload an electronic version of the document along with your web form);
- Variation fee £100 – if applicable: refer to page 4 of Application for Variation Registration – Guidance Notes;
- If there are to be any material changes to the building (i.e. extension or change in use of rooms) then building plans should also be submitted. Where possible, this document should be uploaded through the web portal. If the plans cannot be uploaded electronically, they should be submitted in hard copy.

Please note an application for variation should also be submitted if you are proposing to carry out any internal alterations (i.e. change in use of rooms), even if you are not proposing to make any changes to the conditions of registration. In this case a 'Minor Variation' is applicable and this would incur the lesser fee of £25.

## **6. Cancellation of registration**

### **If I wish to cancel my registration what is the process?**

If you wish to voluntarily cancel the registration of your establishment or agency you are required to provide RQIA with a minimum of 3 months' notice. The responsible person should complete and return the application for voluntary cancellation of registration. Also the certificate of registration should be returned within 14 days of the final closure date.

The voluntary cancellation form should also be completed in the scenario where a registered provider is selling their establishment or agency to new owners.

From the 1 April 2019, Web Portal will become the only method of submitting a voluntary cancellation of registration form.

A step-by-step guide on how to complete this online form can be found on the RQIA website:

<https://rqia.org.uk/RQIA/media/RQIA/Web%20Portal%20Docs/How-to-complete-an-Application-for-Voluntary-Cancellation.pdf>

## **7. General Queries**

**Application forms, checklists and further guidance are available at the following link:**

<https://www.rqia.org.uk/what-we-do/register/how-to-register-with-rqia/>

Alternatively if you require hard copies of the application forms to be posted out to you please contact the Registration Team on (028) 9536 1111 (select option 3) or by email at [registration@rqia.org.uk](mailto:registration@rqia.org.uk) .