

The Regulation and
Quality Improvement
Authority

Application for Registration in Respect of an Independent Hospital Providing Dental Treatment

GUIDANCE NOTES

informing and improving health and social care
www.rdia.org.uk

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1 INTRODUCTION

The Regulation and Quality Improvement Authority (RQIA) is the independent body responsible for monitoring and inspecting the availability and quality of health and social care services in Northern Ireland, and encouraging improvements in the quality of those services. Part of regulation is the requirement for persons carrying on or managing regulated services to register with RQIA in accordance with Article 12 of The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003.

The Independent Health Care Regulations (Northern Ireland) 2005, as amended by The Regulation and Improvement Authority (Independent Health Care) (Fees and Frequency of Inspections) (Amendment) Regulations (Northern Ireland) 2011, stipulate that except where the sole purpose is the provision of general dental services or personal dental services by a dental practitioner, any establishment in Northern Ireland in which dental treatment is provided and which is not vested in the Department of Health, Social Services and Public Safety Northern Ireland (DHSSPSNI) or managed by an HSS Trust is required to be regulated by RQIA as an independent hospital providing dental treatment. Providers of these services are therefore required to apply for registration with RQIA.

The Health and Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 as amended and associated Regulations, in particular The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005 as amended and The Regulation and Improvement Authority (Fees and Frequency of Inspections) Regulations (Northern Ireland) 2005 as amended prescribe the detail of information and documents to be supplied when making such an application.

Applications should be made on forms issued by RQIA providing the prescribed information. Details about the required information, as well as the process used to assess the application, are outlined in this guidance document.

To enable registration RQIA is required to ensure that the service meets the legislative requirements and minimum standards set by DHSSPSNI by assessing the information and documentation supplied as part of the application. If the applicant can evidence fitness for registration the process for registration, in accordance with legislative requirements, is as follows:

1. RQIA receives a full application including supporting documentation and fees.
 2. RQIA checks the application. This includes
 - Checking for completeness and accuracy;
 - Vetting of applicants including receipt of enhanced disclosure certificate;
 - Assessment of fitness of manager;
 - Financial assessment.
 3. Inspection to assess fitness of
 - Service;
 - Premises;
 - Responsible persons.
 4. Review of all information and assessment against the legislative requirements
5. Issue of certificate of registration.

2 FORMAT OF THE APPLICATION

The application form is divided into three parts for ease of reference:

Part A - Information About the Establishment	Part B - Information About the Responsible	Part C - Information About the Manager
<p>To be submitted once in relation to each establishment and signed by each responsible person.</p> <p>Documentation associated with this part of the application should be submitted once (see checklist at end of Part A).</p>	<p>To be submitted by each responsible person.</p> <p>Documentation associated with this part of the application should be submitted by each responsible person (see checklist at end of Part B).</p>	<p>To be submitted if a manager has been appointed for the establishment.</p> <p>Documentation associated with this part of the application should be submitted once (see checklist at end of Part C).</p> <p>(A sole provider/individual is not required to appoint a manager providing he/she is in day to day charge of the establishment. Should no manager be appointed the responsible person or individual will be recorded as the manager. In this case it is not required to complete Part C).</p>

3 SUBMISSION OF APPLICATION

- RQIA would encourage applicants to download the application forms from its website and complete the forms electronically for legibility. The forms can be found using the following link - [http://www.rqia.org.uk/what we do/registration inspection and reviews/departmentalregulation.cfm](http://www.rqia.org.uk/what-we-do/registration-inspection-and-reviews/departmental-regulation.cfm)
 - Should you be unable to obtain and complete forms electronically, please photocopy parts of the application form that require multiple use.
 - Following completion, forms should be printed out and signed by all applicants
 - You are advised to retain a copy of your application for your own record.
- The complete application pack i.e. Parts A, B and C and documentation associated with each part should be submitted together in an envelope marked

CONFIDENTIAL
 The Registration Team
 Regulation and Quality Improvement Authority
 9th Floor Riverside Tower
 5 Lanyon Place
 BELFAST
 BT1 3BT

Hand delivery of applications to RQIA

You may do so Monday to Friday from 10.00 am – 12 noon and 2.00 pm – 4.00 pm. You should bring photocopies of your original documentation you are submitting as part of your application. This will enable RQIA to verify the documentation as you wait.

4 CONTENT OF APPLICATION

4.1 GUIDANCE ON PART A - INFORMATION ABOUT THE ESTABLISHMENT

This section should be read in conjunction with Part A of the application form.

4.1.1 Completion of Information about the Establishment

Section 1 - Information About the Establishment

Please provide name, address including postcode as well as contact details.

You should provide a business email address if you deem this as a suitable means of communication with RQIA. This email address will be used by RQIA for the purpose of important correspondence or letters and should therefore be an address which is checked regularly during the working week by an authorised person in the establishment and is enabled to receive emails up to a size of 2MB. Should your email details change, the Registration Team at RQIA should be notified immediately by emailing registration@rqia.org.uk.

Section 2 - Proposed Registration Details

2.1 Description of the Establishment

This application form is specifically designed for establishments providing private dental treatment and as such fall under the category of Independent Hospitals (IH) - Dental Treatment.

Please state the maximum number of approved places (dental chairs) to be registered. Dental chairs are defined as the dental practitioner's chair used for the purposes of the provision of dental treatment. Note that this number will determine the annual fee (currently set at £46 per annum per chair). The maximum number of chairs in the practice should be registered. Once registered, any change in number will require an application for variation to be made to RQIA which incurs a fee of £100.

Establishment Opening Date

Please give the date when the practice was established (or is proposed to be established) under the current management arrangements.

Section 3 - Information About the Establishment

3.1 Information About the Services Provided

Please outline the services you provide within your establishment such as availability of hygienist services. This should include information about types of patient accepted including information about the availability of specialist services such as oral surgery, orthodontics, implants and whether referrals are accepted. This can be done as a list. You should also include any services you intend to provide following registration.

3.2 Information About the Premises

Please provide Information about the premises such as - statement about accommodation and facilities, description of premises, opening hours, parking availability, disability access, out of hours cover.

Use tick box to clearly state if the premises were purpose built and provide details of any other business carried out in the same premises (if any). Please also provide a description of the area.

3.3 Fitness of Premises

Please state clearly if the premises are capable of achieving the aims and objectives set out in the statement of purpose by ticking the appropriate box. By ticking yes, you confirm that at date the application is made, the premises are capable of achieving the aims and objectives set out in the statement of purpose of the establishment without the need for planning permission, building works or conversion of the premises.

If the premises are not capable of such use at the date the application is made, please tick no and provide details of the planning permission, building works or conversion needed to achieve this.

Section 4 - Security Arrangements

The statement in relation to the arrangements to safeguard access to information (records) held by the establishment should be a short statement outlining how access to information held by the practice is made secure - this should include details of where patient records, staff records and any other patient identifiable information is held and how access to this information is controlled e.g. storage in locked filing cabinets and who has access to keys.

The statement in relation to arrangements to restrict access from other parts of the building not used by the establishment or other adjacent premises should be a short statement outlining measures restricting access to the premises - this could include details of alarm systems, key holders etc.

Section 5 - Financial Viability

Please outline how you ensure the financial viability of the establishment for the purpose of achieving the aims and objectives as set out in its statement of purpose

Section 6 - Documents to be Supplied in Respect of Each Establishment

A checklist has been added to the application form for your convenience. Please use this to ensure that all required documents are enclosed. See Section 4.1.2 of this guidance document below for further information on document to be submitted.

Section 7 - Declaration

Please read the declaration section carefully.

Note that it is an offence under The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 to knowingly make a statement which is false or misleading in a material respect.

4.1.2 Submission of Supporting Documentation

This section provides guidance on the documentation required to be submitted. Should you fail to provide the required documentation, RQIA will assess your application based on the information provided which may result in your application being refused.

Please ensure the following documents are enclosed in relation to this part of the application as per checklist on Part A of application form:

- 1 Fully completed application form Part A**
- 2 Proposed statement of purpose**
- 3 Staffing details**
- 4 Pre registration self assessment**
- 5 a) Annual accounts or
b) Business plan and cash flow**
- 6 Liability insurance in respect of the establishment**
- 7 Fee payment of £952 (see section 4.1.3) by
a) Cheque or
b) BACS remittance advice**

Further detail in respect of Items 2 - 6 is outlined below:

Item 2 Statement of purpose

Regulation 7 of The Independent Health Care Regulations (Northern Ireland) 2005 require the applicant to prepare a written statement of purpose for their establishment or organisation. The information as specified in Schedule 1 of the above regulations includes:

1. The aims and objectives of the establishment.
2. The name and address of the registered person(s) and of any registered manager.
3. The relevant qualifications and experience of the registered person(s) and any registered manager.
4. The number, relevant qualifications and experience of the staff working in the establishment.
5. The organisational structure of the establishment.
6. The kinds of treatment and any other services provided for the purposes of the range of needs those services are intended to meet and the facilities which are available for the benefit of the patients.
7. The arrangements made for consultation with patients about the operation of the establishment.
8. The arrangements for dealing with complaints.
9. The arrangements for respecting the privacy and dignity of patients.

Item 3 - Staffing details (Appendix 1 of Part A)

Details about any staff in the establishment need to be submitted as part of the application form as per Schedule 1, Part 2 of The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005. A pro forma which should be used to supply the required information can be found as Appendix 1 of Part A of the application form.

Item 4 - Pre registration self assessment

This is a document that needs to be completed by a person coming forward for registration in respect of the establishment. The assessment tool is part of the application pack and is also available for download on the RQIA web site.

Item 5 a) Annual accounts or 5 b) Business plan and cash flow

This should be the most recent set of accounts for the establishment. If there is no recent set of accounts available, please submit a current business plan and current details in respect of the cash flow of the establishment.

Item 6 Liability insurance in respect of the establishment

Please provide a certificate of insurance for the applicant in respect of liability which may be incurred by him in relation to the establishment in respect of death, injury public liability, damage or other loss. This would entail a copy of the insurance schedule currently in place at the establishment.

4.1.3 Fee Payment

As per Regulation 3 of The Regulation and Improvement Authority (Fees and Frequency of Inspections) Regulations (Northern Ireland) 2005 as amended **a fee payment of £952** is required in respect of each application to carry on an establishment.

Method of Payment

Fee payments can currently be made by cheque or BACS payment

Cheques should be made **payable to "RQIA"**

BACS payments details are as follows: **Sort Code** 902127
Account No 88056622

The cheque or BACS remittance advice should be included in the application pack. Any reference numbers should be noted in the checklist section of the application form.

Failure to submit the appropriate fee(s) might result in your application being refused.

4.2 GUIDANCE ON PART B – INFORMATION ABOUT THE RESPONSIBLE PERSON

This section should be read in conjunction with Part B of the application form.

Providers of regulated establishments require to be registered with RQIA in accordance with Article 12 of The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 as it is an offence to carry on establishment of any description without being registered in respect of it.

To register, an application requires to be submitted to RQIA providing information and supporting documentation as prescribed by The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 and its associated regulations, in particular Schedule 3, Regulation 3(3) of The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005.

This section requires to be completed by each responsible person i.e.

Where the application is made by	Person(s) required to complete this part of the form
An individual	The individual
A partnership	Each partner of the partnership
An organisation	The Individual responsible for overseeing the management of the establishment

After making an application, the applicant is required to notify the Registration Team in RQIA of any changes in circumstances that may affect the application for registration.

4.2.1 Completion of Information About The Responsible Person

Section 1 - Information about the Provider Organisation

1.1 Purpose of Application

Please select the purpose of the application. State if you are applying for

- Registration as responsible individual of an organisation
- Registration as partner in the partnership
- Registration as sole provider/individual

Where you are sole provider/individual and you are in day to day charge of the establishment, you are not required to appoint a manager, however you may wish to do so.

If you manage the establishment yourself, please tick the appropriate box to indicate that you intend to do so. In this instance, Part C of the application will not be required and RQIA will also record your name as the name of the manager of this establishment.

1.2 Details of Organisation or Partnership

Please provide the name of the organisation, partnership or business as well as address details. By providing email addresses you indicate that this is an acceptable means for you to communicate with RQIA in relation to your application.

1.3 Details of Registered or Principal Office

Where the applicant is a limited company please provide the name and address of the registered office or principal office of the organisation.

1.4 Principal Office of Holding Company and Other Subsidiaries *(if applicable)* If the organisation is a subsidiary of a holding company, please supply the name and address of the registered or principal office of the holding company and of any other subsidiary of that holding company in addition to the details of registered or principal office.

1.5 Establishments in Respect of Which This Application is Made

Please provide details in respect of all regulated services that are carried on by the organisation or partnership and whose management the responsible person will oversee. This is required to ensure that the suitability of the responsible person can be assessed against the appropriate services. In most instances applications would be made in respect of one establishment.

Where an individual carries on more than one establishment, Part A of the application pack should be completed in respect of each establishment. This includes a fee payment and documentation in respect of any additional practice as a separate registration will need to be granted in respect of each establishment.

Section 2 - Information About the Responsible Person

The responsible person can either be a partner (in the case of a partnership) or an individual (in the case of an organisation). The responsible individual is defined in legislation as the director, manager, secretary or other officer of an organisation who is responsible for supervising the management of an establishment. Please provide all required details and also your business email details, if you deem this a suitable method of communication with you.

Section 3 - Qualifications

Please provide details of professional, technical or vocational qualifications relevant to providing services for persons to whom treatment is to be provided in the establishment. The dates that qualifications were obtained and the awarding body should also be included. This should be supported by certificates or other suitable evidence to be enclosed in the application pack (see Section 4.2.2 in relation to required documentation).

Section 4 - Details of Registration with Professional Body

Please provide details about registration with professional bodies relevant to the application. Please note that RQIA may verify the status of any membership.

Section 5 - Experience

Please complete all required sections ensuring you provide a full employment history, including a history of management experience within health and social care, together with a written explanation of any gaps in employment. Detail in particular any experience relevant to carrying on the type of establishment in respect of which you are applying to be registered.

Section 6 - Other Relevant Experience/Training

Please include any other experience or skills which you consider relevant to this application. Details of any professional training relevant to the carrying on of an establishment should also be included in particular. All information provided by you will be considered by RQIA when reaching a decision with respect to your application for registration.

Section 7 - Other Business Interests

Please provide details of any business currently or previously carried on or managed by you. Please also outline specifically any financial interests in any other services regulated by RQIA.

Section 8 - Referees

Please provide the names and addresses of two persons who are willing to provide a satisfactory reference in respect of the requirements of your prospective registration and who meet the following criteria:

- (a) Are not related to you;
- (b) Each of whom are able to provide a reference as to your competence to carry on an establishment of the same description as the establishment in respect of which you are applying for registration;
- (c) At least one of whom has employed you for at least 3 months;
- (d) One of whom is the applicant's present or most recent employer.

If the requirement at point (c) or (d) is impracticable an alternative referee should be provided and the reason clearly stated on the application form.

Note that RQIA may approach your referee for further information or verification as required.

Section 9 - Statement of Financial Standing

This is a statement from the responsible person required in the legislation, stating whether they have ever been declared bankrupt, or if the estate has been placed in receivership. Should you have been adjudged bankrupt, or sequestration of your estate has been ordered, or you have made a composition or arrangement with, or granted a trust deed for, your creditors, please provide details.

Section 10 – Assurance of Medical Fitness

You should ask your Medical Practitioner to sign Section 10 of the application form as to your physical and mental fitness. If you are unable to provide a signed report, then you are required to complete the self declaration at Section 10 of Part B of the application form.

Section 11 - Information Required Under The Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979

In accordance with The Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, you are required to provide information about convictions, cautions and bind-over orders which would otherwise be considered as spent. You are also required to disclose information of any outstanding prosecutions or pending court action against you. Please include all offences, even minor matters such as motoring offences.

Note that in addition The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005, Schedule 3, Regulation 3(3) para 12 requires an enhanced criminal record certificate to be disclosed as part of your application for registration. It is important that you are aware that this enhanced disclosure will reveal details of spent and unspent convictions and cautions. It will also contain any other relevant information about you which is held in police records or by other law enforcement agencies. For more details see the information on the completion of the AccessNI application form for an enhanced disclosure within Section 4.2.2 - Submission of Supporting Documentation.

If you are barred from working with vulnerable adults or children you should refrain from seeking an application for registration.

Section 12 - Documents to be Supplied in Respect of the Application

A checklist has been added to the application form for your convenience. Please use this to ensure that all required documents are enclosed. See Section 4.2.2 of this guidance document for further detail.

Section 13 - Declaration

Please read the declaration section carefully.

Note that it is an offence in accordance with The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 to knowingly make a statement which is false or misleading in a material respect.

4.2.2 Submission of Supporting Documentation

This section provides guidance on the prescribed documents required. Should you fail to provide the required documentation, RQIA will assess your application based on the information provided which may result in your application being refused. You will be required to submit the following to RQIA as one complete application:

- 1 **Fully completed application form Part B**
- including statement of medical fitness
 - 2 **Photograph**
 - 3 **Birth certificate**
 - 4 **Documentary evidence of qualifications (if required)**
 - 5 **Copy most recent certificate of registration with professional body (if applicable)**
 - 6 **Evidence of professional indemnity insurance *(if applicable)***
 - 7 **Two references completed by referees named in application form**
 - 8 **Bank reference**
 - 9 **AccessNI enhanced disclosure application with parts B, D, E, F and G only completed**
 - 10 **Valid identification documents (3 or 5) as per AccessNI guidance below**
 - 11 **Cheque of £33 payable to RQIA to cover the fee payable to AccessNI (see Section 4.2.3)**
- If the application is made by responsible individual of a corporate body:*
- 12 **Annual accounts of the last two years of the corporate body**
- If the above organisation is a subsidiary of a holding company:*
- 13 **Annual accounts of the last two years of the holding company and any other subsidiaries of the holding company**

Further detail in respect of Items 2 - 13 is outlined below:

Item 2/3 Identification documents required by RQIA

- The following two items of identification are required:
- One passport sized photograph which will be retained by RQIA. It must be recent, and a true likeness of you. Please sign and date the photograph;
 - Your birth certificate. This is a legislative requirement in accordance with Schedule 2 of The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005.

Item 4 Documentary evidence of qualifications

You should provide copies as evidence relating to your professional, technical or vocational qualifications, including accredited training, so far as they are relevant to providing services for persons for whom services are to be provided at the establishment and that are relevant to your application.

Item 5 Copy most recent certificate of registration with professional body (if applicable)

If you are a dental practitioner, please submit documentation to confirm GDC registration.

Item 6 Details of any professional indemnity insurance

If the applicant is a qualified dentist please submit proof of professional indemnity insurance.

Item 7 Two references provided by named referees

You need to approach the referees for a reference. The referees should use the template which can be found in Appendix 2 of Part B of the application form. You are then required to submit these two signed references to RQIA as part of your full application pack.

Referees should meet the following criteria:

- (a) Are not related to you;
- (b) Each of whom are able to provide a reference as to your competence to carry on an establishment of the same description as the establishment in respect of which you are applying for registration;
- (c) At least one of whom has employed you for at least 3 months;
- (d) One of whom is the applicant's present or most recent employer.

If the requirement at point (c) or (d) is impracticable an alternative referee should be approached and the reason clearly stated on the application form.

Note that RQIA may contact your referee for further information or verification as required.

Item 8 Bank reference

You need to provide a bank reference as part of your application pack. This is a letter of reference from a bank expressing an opinion as to the applicant's financial standing. An explanatory note to bank staff outlining the legislative requirement to support a request can be found in Appendix 1 of the application form. Should you have difficulties in obtaining this reference, please contact the Registration Team in RQIA for assistance.

This reference should be sought in respect of the persons seeking registration ie the sole provider, each partner of a partnership, or in the case of an organisation, the reference should be sought in respect of the accounts used for the running of the establishment.

Item 9 AccessNI enhanced disclosure application form

The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005, Schedule 2, Regulation 3(2) (b), requires an enhanced criminal record certificate to be disclosed as part of your application for registration. The application for this disclosure must be countersigned by RQIA.

An enhanced disclosure will be obtained by making application to AccessNI using the enclosed disclosure application form. RQIA cannot make an application for an enhanced records disclosure without your consent. It is important therefore that if you wish to apply for registration that you complete the disclosure application form. To do so:

- Complete Parts B, D, E, F and G of the AccessNI enhanced disclosure application form;
- Return to RQIA as part of your completed application pack;
- Enclose original identity documents (see guidance below at Item 10) and fee payment of £33 (Item 11);
- Refer to the AccessNI guidance notes, if required.

RQIA will verify your identity, countersign the application form and forward to AccessNI. The fee you submit will be lodged by RQIA and paid against the invoice issued by AccessNI to RQIA for the disclosure certificates issued on a monthly basis.

AccessNI will issue two copies of the enhanced disclosure certificate: one will be forwarded directly to you and the second will be issued to the Authorised Counter Signatory within RQIA. If you dispute any of the information disclosed about you, please contact the Registration Manager at RQIA without delay. RQIA will write to AccessNI with the details of any discrepancy you raise. Disputes must be raised with AccessNI within three months from the date of issue of the Disclosure Certificate. RQIA will comply with the AccessNI Code of Practice with respect to the handling, storage, usage, retention and disposal of any information RQIA receives about you, as a result of an application for an enhanced criminal disclosure certificate.

Please be aware that the enhanced disclosure will reveal details of spent and unspent convictions and cautions. It will also contain any other relevant information about you which is held in police records or by other law enforcement agencies. Disclosure of a criminal record or other information will not automatically debar you from becoming registered unless RQIA considers the information disclosed to render you unsuitable. In reaching this decision, RQIA will consider whether the matter revealed is relevant to your application, the seriousness of the matter, the length of time since it occurred and any other factors which may be relevant. Any matters disclosed on the certificate which may cause a delay or possibly prevent your application from proceeding will be discussed with you in confidence by an authorised person from RQIA. If you are barred from working with vulnerable adults or children you should refrain from seeking an application for registration.

Item 10 Identification documents required by AccessNI

The identification documents required by AccessNI differ from the requirements for identification documents by RQIA. It is important that you enclose the relevant documents as failure to do so will result in your application being returned to you.

- Please provide three documents in the name of the applicant; one from Group 1 and two from Group 2 (see table below);
- If this is not possible, then five documents from Group 2 must be produced;
- At least one of these documents must include photographic identification.

GROUP 1		GROUP 2	
<input type="checkbox"/>	Valid Passport	<input type="checkbox"/>	Marriage certificate/ Civil Partnership Certificate
<input type="checkbox"/>	UK Driving License Full or Provisional – England/Wales/Scotland/Northern Ireland/Isle of Man; either photo card or paper a photo card or paper (a Photo card is only valid if accompanied with the paper counterpart)	<input type="checkbox"/>	Non-original UK birth certificate (issued after 12 months of date of birth, full or short form acceptable)
<input type="checkbox"/>	Original UK birth certificate (issued within 12 months of date of birth, full or short form acceptable)	<input type="checkbox"/>	P45/P60 statement
<input type="checkbox"/>	Valid photo identity card (EU countries only)	<input type="checkbox"/>	Utility bill (electricity, gas, water, telephone – including mobile phone contract/bill)
<input type="checkbox"/>	UK Firearms license	<input type="checkbox"/>	Valid TV license
<input type="checkbox"/>	HM Forces ID card (UK)	<input type="checkbox"/>	Credit card statement
<input type="checkbox"/>	Adoption Certificate (UK)	<input type="checkbox"/>	Store card statement
<p>* documentation must be less than 3 months old</p> <p>** documentation must be issued within the last 12 months</p>		<input type="checkbox"/>	Mortgage Statement
		<input type="checkbox"/>	Valid insurance certificate
		<input type="checkbox"/>	Certificate of British nationality
		<input type="checkbox"/>	British work permit/visa **
		<input type="checkbox"/>	Asylum Registration Card
		<input type="checkbox"/>	AccessNI Disclosure Certificate
		<input type="checkbox"/>	Personal correspondence or a document from a Government Department *
		<input type="checkbox"/>	Bank or Building Society Document **
		<input type="checkbox"/>	Financial statement e.g. pension, endowment, ISA **
		<input type="checkbox"/>	Valid vehicle registration document
		<input type="checkbox"/>	Mail order catalogue statement*
		<input type="checkbox"/>	Court summons
		<input type="checkbox"/>	Valid NHS card
		<input type="checkbox"/>	Court Claim Form
		<input type="checkbox"/>	Addressed pay slip*
		<input type="checkbox"/>	National insurance number card
		<input type="checkbox"/>	Examination certificate (e.g. GCSE, NVQ)
<input type="checkbox"/>	Letter from a Head Teacher*		
<input type="checkbox"/>	Child Benefit book		
<input type="checkbox"/>	Smart pass		

Any identification documentation will be returned to you by recorded delivery, marked confidential to your business address.

Item 11 Fee payment

See section 4.2.3

Item 12 Annual accounts of the last two years of the corporate body

Annual accounts of the last two years only have to be supplied in the case where the application is made by responsible individual of a corporate body.

Item 13 Annual accounts of the last two years of the holding company and any other subsidiaries of the holding company

If the above organisation is a subsidiary of a holding company annual accounts for the last two years of this holding company have to be supplied.

Regulations require that annual accounts for any subsidiaries of this holding company also have to be supplied for the last two years.

4.2.3 Fee Payment - AccessNI Fee

As outlined overleaf, RQIA is required to countersign an application for an enhanced records disclosure in respect of an applicant for registration. To do so, the applicant is required to enclose evidence of **payment of £33** payable to RQIA by cheque or BACS remittance advice to cover the cost of obtaining an enhanced disclosure certificate from AccessNI. This fee is set by AccessNI.

Method of Payment

Fee payments can currently be made by cheque or BACS payment.

Cheques should be made **payable to RQIA**

BACS payment details are as follows: **Sort Code** 902127
Account No 88056622

The cheque or BACS remittance advice should be included in the application pack. Any reference numbers should be noted in the checklist section of the application form.

Failure to submit the appropriate fee(s) might result in your application to be refused.

4.3 GUIDANCE ON PART C - INFORMATION ABOUT THE MANAGER

This section should be read in conjunction with the Part C of the application form.

4.3.1 Completion of Information About the Manager

Responsible persons of regulated services are required to appoint a manager where

- there is no registered manager;
- where the registered provider is an organisation or partnership;
- the responsible individual is not a fit person; or
- he or she does not intend to manage the establishment themselves ie does not intend to be in day-to-day charge.

Only an individual can be appointed as manager.

Where an appointment is made, responsible persons are required to give RQIA notice of the name of the person appointed and the effective date.

Managers of regulated establishments are required to register with RQIA in accordance with Article 12 of The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 as any person who carries on or manages an establishment of any description without being registered under this part in respect of it (as an establishment of that description) shall be guilty of an offence.

To register, the manager is required to submit an application to RQIA providing information and documentation as prescribed by The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 and associated regulations, in particular Schedule 3, Regulation 3(3) of The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005.

After having made an application, the applicant is required to notify the Registration Team in RQIA of any changes in circumstances that may affect the application for registration.

Section 1 - Information About the Establishment

Please provide all required information. If the application is in respect of an already registered service, please include RQIA ID of the service at this stage. RQIA ID of the service can be found on the certificate of registration. Note: If you apply to manage more than one service registered with RQIA you are required to submit an application in respect of each of the services. This includes fee payments. Only one AccessNI application for enhanced disclosure/AccessNI Fee will be required if the applications are made at the same time.

Section 2 - Information About the Applicant

Please provide all required details and also your business email details, if you deem this a suitable method of communication with you.

Section 3 - Qualifications

Please provide all required details of professional, technical or vocational qualifications relevant to the position in respect of which you seek registration. The dates that qualifications were obtained and the awarding body should also be included. You should enclose proof of the respective qualification in your application pack (see Section 4.3.2 on required documentation).

Section 4 - Registration with Professional Body

Please refer to the previous table in Section 3 - Qualifications and complete this section if relevant. The requirements for professional registration are outlined by the relevant regulations and/or DHSSPSNI Minimum Standards. Please note that RQIA will verify the status of your professional registration as part of the registration process.

Section 5 - Experience

Please complete all required sections ensuring you provide a full employment history, in particular including history of management experience within health and social care, together with a written explanation of any gaps in employment. Detail in particular any experience relevant to managing the type of establishment in respect of which you are applying for registration.

Section 6 - Other Relevant Experience/Training

Please include any other experience or skills which you consider relevant to this application. Details of any professional training relevant to managing an establishment should also be included. All information provided by you will be considered by RQIA when reaching a decision with respect to your application for registration.

Section 7 - Other Business Interests

Please provide details of any business currently or previously carried on or managed by you as per legislative requirements.

Section 8 - References

Please provide the names and addresses of two persons who are willing to provide a satisfactory reference in respect of the requirements of your prospective registration and who meet the following criteria:

- (a) Are not related to you;
- (b) Each of whom are able to provide a reference as to your competence to carry on an establishment of the same description as the establishment in respect of which you are applying for registration;
- (c) At least one of whom has employed you for at least 3 months in the last 5 years;
- (d) One of whom is the applicant's present or most recent employer.

If the requirement at point (c) or (d) is impracticable, an alternative referee should be provided and the reason clearly stated on the application form.

Note that RQIA may approach your referee for further information or verification as required.

Section 9 – Assurance of Medical Fitness

You should request your Medical Practitioner to sign Section 9 of the application form as to your physical and mental fitness. If you are unable to provide a signed report from your Medical Practitioner then you should complete the self declaration at Section 9.

Section 10 - Information Required Under The Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979

In accordance with The Rehabilitation of Offenders (Exceptions) Order (NI) 1979, you are required to provide information about convictions, cautions and bind-over orders which would otherwise be considered as spent. You are also required to disclose information of any outstanding prosecutions or pending court action against you. Please include all offences, even minor matters such as motoring offences.

Note that in addition The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005, Schedule 3, Regulation 3(3) para 12 requires an enhanced criminal record certificate to be disclosed as part of your application for registration. It is important that you are aware that this enhanced disclosure will reveal details of spent and unspent convictions and cautions. It will also contain any other relevant information about you which is held in police records or by other law enforcement agencies. For more details see the information on the completion of the AccessNI enhanced disclosure application form within Section 4.3.2 - Submission of Supporting Documentation.

If you are barred from working with vulnerable adults or children you should refrain from seeking an application for registration.

Section 11 – Documents to be Supplied in Respect of the Manager

A checklist has been added to the application form for your convenience to ensure that all required documents are enclosed. See 4.3.2 for details about submission of supporting documentation.

Section 12 - Declaration

Please ensure that the declaration section is signed by both the applicant and the responsible person.

Please read the declaration section carefully.

Note that it is an offence under The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 to knowingly make a statement which is false or misleading in a material respect.

4.3.2 Submission of Supporting Documentation

This section provides guidance on the prescribed documents required. Should you fail to provide the required documentation, RQIA will assess your application based on the information provided which may result in your application being refused.

You will be required to submit the following to RQIA as one complete application:

- 1 **Fully completed application form Part C
-including statement of medical fitness**
- 2 **Photograph**
- 3 **Birth Certificate**
- 4 **Documentary evidence of qualifications (if required)**
- 5 **Evidence of professional indemnity insurance (*if applicable*)**
- 6 **Two references**
- 7 **Registration fee payment of £261 by
Cheque or
BACS remittance advice**
- 8 **AccessNI enhanced disclosure application with Part B, D, E, F and
G only completed**
- 9 **Valid identification documents (3 or 5) as per AccessNI guidance below**
- 10 **AccessNI fee payment of £33 to RQIA by
Cheque or
BACS remittance advice**

Further detail in respect of Items 2 - 10 is outlined below:

Item 2/3 Identification documents required by RQIA

The registration regulations require the following two items:

- One passport sized photograph which will be retained by RQIA. It must be recent and a true likeness of you. Please sign and date the photograph.
- Your birth certificate. This is requirement in accordance with Schedule 3 of The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005.

Item 4 Documentary evidence of qualifications

You should provide copies as evidence relating to your professional, technical or vocational qualifications, including accredited training, so far as they are relevant to providing services for persons for whom services are to be provided at the establishment and that are relevant to the registration as manager.

Item 5 Details of any professional indemnity insurance

Please provide a copy of your current certificate of any professional indemnity insurance.

Item 6 Two references provided by named referees

You will need to approach the referees for a reference and enclose it in your application pack. A template for this reference as well as an explanatory letter to the referee can be found as Appendix 1 of Part C of the application pack.

Referees should meet the following criteria:

- (a) Are not related to you;
- (b) Each of whom are able to provide a reference as to your competence to manage an establishment of the same description as the establishment in respect of which you are applying for registration;
- (c) At least one of whom has employed you for at least 3 months;
- (d) One of whom is the applicant's present or most recent employer.

If the requirement at point (c) or (d) is impracticable an alternative referee should be approached and the reason clearly stated on the application form.

Note that RQIA may contact your referee for further information or verification as required.

Item 7 Registration fee of £261

See Section 4.3.3 on Fee Payments

Item 8 AccessNI enhanced disclosure application form

The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005, Regulation 3(2)(b), Schedule 2 requires an enhanced criminal record certificate to be disclosed as part of your application for registration. The application for this disclosure must be countersigned by RQIA.

An enhanced disclosure will be obtained by making application to AccessNI using the enclosed disclosure application form. RQIA cannot make an application for an enhanced records disclosure without your consent. It is important therefore that if you wish to apply for registration that you complete the disclosure application form.

- Please complete Parts B, D, E, F and G of the AccessNI enhanced disclosure application form;
- Return to RQIA as part of your completed application pack;
- Enclose original identity documents (see below guidance on Item 9) and fee
- payment of £33 (Item 10);
- Please refer to the AccessNI guidance notes, if required.

RQIA will verify your identity, countersign the application form and forward to AccessNI. The fee you submit will be lodged by RQIA and paid against the invoice issued by AccessNI to RQIA for the disclosure certificates issued on a monthly basis.

AccessNI will issue two copies of the enhanced disclosure certificate: one will be forwarded directly to you and the second will be issued to the Authorised Counter Signatory within RQIA. If you dispute any of the information disclosed about you, please contact the Registration Manager at RQIA without delay. RQIA will write to AccessNI with the details of any discrepancy you raise. Disputes must be raised with AccessNI within three months from the date of issue of the Disclosure Certificate. RQIA will comply with the AccessNI Code of Practice with respect to the handling, storage, usage, retention and disposal of any information we receive about you, as a result of an application for an enhanced criminal disclosure certificate

Please be aware that the enhanced disclosure will reveal details of spent and unspent convictions and cautions. It will also contain any other relevant information about you, which is held in police records or by other law enforcement agencies. Disclosure of a criminal record or other information will not automatically debar you from becoming registered unless RQIA considers the information disclosed to render you unsuitable. In reaching this decision RQIA will consider whether the matter revealed is relevant to your application, the seriousness of the matter, the length of time since it occurred and any other factors which may be relevant. Any matters disclosed on the certificate which may cause a delay or possibly prevent your application from proceeding will be discussed with you in confidence by an authorised person from RQIA. If you are barred from working with vulnerable adults and children you should refrain from seeking an application for registration.

Item 9 Identification documents required by AccessNI

The identification documents required by AccessNI differ from the requirements for identification documents by RQIA. It is important that you enclose the relevant documents as failure to do so will result in your application being returned to you.

- Please provide three documents in the name of the applicant; one from Group 1 and two from Group 2 (see below table).
- If this is not possible, then five documents from Group 2 must be produced.
- At least one of these documents includes photographic identification.

GROUP 1		GROUP 2	
<input type="checkbox"/>	Valid Passport	<input type="checkbox"/>	Marriage certificate/ Civil Partnership Certificate
<input type="checkbox"/>	UK Driving License Full or Provisional – England/Wales/Scotland/Northern Ireland/Isle of Man; either photo card or paper a photo card or paper (a Photo card is only valid if accompanied with the paper counterpart)	<input type="checkbox"/>	Non-original UK birth certificate (issued after 12 months of date of birth, full or short form acceptable)
<input type="checkbox"/>	Original UK birth certificate (issued within 12 months of date of birth, full or short form acceptable)	<input type="checkbox"/>	P45/P60 statement
<input type="checkbox"/>	Valid photo identity card (EU countries only)	<input type="checkbox"/>	Utility bill (electricity, gas, water, telephone – including mobile phone contract/bill)
	UK Firearms license		Valid TV license
	HM Forces ID card (UK)		Credit card statement
<input type="checkbox"/>	Adoption Certificate (UK)		Store card statement
<p>* documentation must be less than 3 months old</p> <p>** documentation must be issued within the last 12 months</p>			Mortgage Statement
		<input type="checkbox"/>	Valid insurance certificate
		<input type="checkbox"/>	Certificate of British nationality
		<input type="checkbox"/>	British work permit/visa **
			Asylum Registration Card
			AccessNI Disclosure Certificate
		<input type="checkbox"/>	Personal correspondence or a document from a Government Department *
		<input type="checkbox"/>	Bank or Building Society Document **
		<input type="checkbox"/>	Financial statement e.g. pension, endowment, ISA **
		<input type="checkbox"/>	Valid vehicle registration document
		<input type="checkbox"/>	Mail order catalogue statement*
		<input type="checkbox"/>	Court summons
			Valid NHS card
			Court Claim Form
			Addressed pay slip*
			National insurance number card
			Examination certificate (e.g. GCSE, NVQ)
	Letter from a Head Teacher*		
<input type="checkbox"/>	Child Benefit book		
<input type="checkbox"/>	Smart pass		

Any identification documentation will be returned to you by recorded delivery, marked confidential to your business address.

Item 10 AccessNI fee payment

See Section 4.3.3 Fee Payments below

4.3.3 Fee Payments

This section outlines the fee payments required. There are two payments required in relation to the registered manager:

- **Payment 1 - Payment of Application Fee to RQIA (Registration Fee)**
The Regulation and Improvement Authority (Fees and Frequency of Inspections) Regulations (Northern Ireland) 2005 as amended prescribe the level of fee required to accompany applications for registration as a manager. Establishments providing private dental treatment are regulated as Independent Hospitals. As such a **fee payment of £261** payable to RQIA is required by cheque or BACS.
- **Payment 2 - AccessNI Fee**
As outlined previously, RQIA is required to countersign an application for an enhanced records disclosure in respect of an applicant for registration. To do so, the applicant is required to enclose evidence of **payment of £33** payable to RQIA by cheque or BACS remittance advice to cover the cost of obtaining an enhanced disclosure certificate from AccessNI. This fee is set by AccessNI.

Method of Payment

Fee payments can currently be made by cheque or BACS payment.

Cheques should be made **payable to RQIA**

BACS payment details are as follows: **Sort Code** 902127
Account No 88056622

The cheque or BACS remittance advice should be included in the application pack Any reference numbers should be noted in the checklist section of the application form.

Failure to submit the appropriate fee(s) might result in your application to be refused.

5 ASSESSMENT OF APPLICATION

On receipt of an application, the RQIA Registration Team will check each application for completeness and where the appropriate fee payments have been made, the application is accepted.

Should there be any outstanding items the applicant will be informed of this. Should the applicant fail to provide the outstanding items within the given timescale, the application will be assessed based on the information submitted. This might result in the application being refused.

On receipt of a fully completed and legible application form, together with all other documents/information and fee(s) as specified, the Registration Team will write to you to acknowledge receipt of the application and commence carrying out the required checks as prescribed by legislation. This might include the verification of references, checking of relevant registration with professional bodies as well as applying for an enhanced disclosure certificate. The process to apply for an enhanced disclosure with AccessNI takes up to four weeks. Only if this information has been received, the application is deemed complete and the Inspection Team is able to assess the application.

Applications deemed complete will be passed on to Inspection Staff for assessment.

If further information or clarification is required by the Inspection Staff to assess the application, the applicant will be informed of this and requested to clarify the required detail. Should the applicant fail to provide the outstanding clarification within the given timescale, the application will be assessed based on the information submitted. This might result in the application being refused.

5.1 Part A - Assessment of the Establishment

The assessment involves a pre registration inspection of the establishment which will be carried out once all required information and documentation has been received.

Applicants will be notified of the date of the pre registration inspection in advance. On the day of the inspection, the Inspection Team will use the pre registration self assessment submitted by you in conjunction with Part A of the application pack to inform the inspection process.

5.2 Part B - Assessment of Fitness of Responsible Person

Following the receipt of all required documentation as well as the AccessNI enhanced disclosure certificate in respect of the responsible person(s), RQIA will assess the application for registration in accordance with the regulations.

Regulations require RQIA to ensure that the responsible person -

- (a) is of integrity and good character;
- (b) is physically and mentally fit to carry on the establishment;
- (c) that full and satisfactory information is available in relation to him as outlined in this guidance

The registered provider is required, having regard to the size of the establishment, its statement of purpose and the number and needs of service users to carry on the establishment with sufficient care, competence and skill. Regulations also stipulate that that a person shall not carry on an establishment if—

- (a) he/she has been adjudged bankrupt or sequestration of his estate has been awarded and (in either case) he/she has not been discharged and the bankruptcy order has not been annulled or rescinded; or
- (b) he/she has made a composition or arrangement with his/her creditors and has not been discharged in respect of it.

For this reason, financial documentation in respect of the responsible person will also be reviewed as part of the registration process by a specialist Finance Inspector.

As part of the assessment of the fitness as outlined above, an Inspector or other Officer of RQIA will arrange to meet with all responsible persons. This is referred to as the Responsible Person Interview which you will be required to attend in accordance with Regulation 5 of The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005. It is envisaged that the fit person interview will be undertaken during the pre registration inspection of your establishment.

Following the receipt of all documentation in respect of the applicant, RQIA will contact the responsible person(s) to arrange a suitable date for the interview and pre registration inspection.

5.3 Part C - Assessment of Fitness of Manager

Managers of regulated services hold responsibility for safeguarding and promoting the welfare of vulnerable people in their care. They should have knowledge of and commitment to good care and possess the competencies necessary for the management of the service. Honesty, integrity and trustworthiness are essential requirements in determining the suitability of an applicant for registration.

There are currently no formal qualification requirements for registration as Manager of an Independent Hospital providing dental treatment.

6 OUTCOME

There are three outcomes to the application for registration. RQIA can:

- Approve the application;
- Approve the application with conditions; or
- Refuse the application, if the applicant is unable to evidence that the establishment and applicants for registration meet the minimum requirements for registration.

6.1 Application Approved (without condition)

Once all parts of your application have been assessed and approved, RQIA will issue you with a certificate of registration providing details of the establishment and the registered person(s). You are required to display the certificate of registration in a prominent place within your establishment.

6.2 Application Approved (with condition)

Should your application be approved subject to conditions, RQIA will issue you with a notice of proposal in conjunction with a time bound Quality Improvement Plan. You are given a period of 28 days in which to respond to the notice by disputing the notice and making written representation to RQIA. You will be provided with a form on which to make your representation.

Where you have disputed the notice and made written representation to RQIA, this will be considered by RQIA who will decide to accept or refuse the written representation (or parts thereof). You will be advised of the outcome by the issue of a notice of decision and will be given a period of 28 days in which to respond to the notice on a form provided. At this stage you may either accept the notice or appeal the matter to the Care Tribunal. Where you have accepted the notice, and the registration is subject to conditions, a certificate of registration for the establishment will be issued containing these conditions.

If you do not respond to the notice issued by RQIA within the 28 day period allowed, this is taken as your acceptance of the details it contains and a certificate of registration will be issued to you.

6.3 Application Refused

Should your application be refused, RQIA will issue you with a notice of proposal to refuse your application. You are given a period of 28 days in which to respond to the notice by disputing it and making written representation to RQIA. You will be provided with a form on which to make your representation.

Where you have disputed the notice and made written representation to RQIA, this will be considered by RQIA who will decide to accept or refuse the written representation (or parts thereof). You will be advised of the outcome through the issue of a notice of decision and will be given a period of 28 days in which to respond to the notice on a form provided. At this stage you may either accept the notice or appeal the matter to the Care Tribunal.

If you do not respond to the notice issued by RQIA within the 28 day period, this is taken as your acceptance of the details it contains. A refusal or return of application will not prevent you from reapplying once you are able to evidence that all requirements as per legislation and minimum care standards can be fulfilled.

7 COMPLAINTS

RQIA operates a complaints procedure that allows any applicant to make a complaint if they are dissatisfied or consider RQIA has not followed its registration procedures.

As previously outlined, the complaints procedure cannot be used to challenge a decision made. Decisions may be challenged by making a written representation after a Notice of Proposal has been issued or by appealing to the Care Tribunal after a Notice of Decision has been issued.

8 DATA PROTECTION ACT 1998 - FAIR PROCESSING NOTICE

Personal data in this form may be accessed and used in accordance with RQIA's requirements as outlined in The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 and associated Regulations in line with RQIA's registration and notification with the Information Commissioner's Office under the Data Protection Act 1998 and in compliance with the Freedom of Information Act 2000. To comply with statutory and government requirements, data may be disclosed to external agencies such as (but not exclusively): DHSSPSNI, Northern Ireland Audit Office, AccessNI. RQIA will not disclose any personal information to any third parties without the express consent of the Data Subject, except where required by law. From January 2005 personal data may, in exceptional circumstances where the public interest outweighs the individual's rights to privacy, be released under the auspices of the Freedom of Information Act 2000. Any queries concerning Data Protection and Freedom of Information should be addressed to the Head of Information within RQIA.

Contact details and further information in relation to the use of personal data can be found on RQIA's web site <http://www.rqia.org.uk> For general information please visit <http://www.informationcommissioner.gov.uk>

9 FURTHER INFORMATION AND CONTACT DETAILS

RQIA would like to encourage applicants to post in electronically completed application forms to ensure legibility.

An electronic version of this guidance as well as the associated application forms can be found at link

[http://www.rqia.org.uk/what we do/registration inspection and reviews/dental regulation.cfm](http://www.rqia.org.uk/what-we-do/registration-inspection-and-reviews/dental-regulation.cfm)

An electronic copy of the AccessNI application form for enhanced disclosures can be found at link

<http://www.accessni.gov.uk/home/resource-library/applicationformtemppage.htm>

(Please ensure to complete the **Enhanced** Disclosure Application Form)

Further information in relation AccessNI and the process to obtain an enhanced disclosure, can also be obtained from the AccessNI Code of Conduct:

[http://www.accessni.gov.uk/home/who-uses-ani/code-of-.htm.](http://www.accessni.gov.uk/home/who-uses-ani/code-of-.htm)

A List of legislation specifically applicable to regulation by RQIA can be found at link

<http://www.rqia.org.uk/publications/legislation.cfm>

The DHSSPSNI has published Minimum Standards for Dental Care and Treatment available at link

<http://www.dhsspsni.gov.uk/minimumstandardsfordentalcareandtreatment.pdf>

Should you have further queries, please contact the Registration Team

Phone: (028) 9051 7500

Fax: (028) 9051 7501

Email: registration@rqia.org.uk

Regulation and Quality Improvement Authority

9th Floor Riverside Tower

5 Lanyon Place

BELFAST

BT1 3BT

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The Regulation and
Quality Improvement
Authority

The Regulation and Quality Improvement Authority
9th Floor
Riverside Tower
5 Lanyon Place
BELFAST
BT1 3BT

Tel: (028) 9051 7500

Fax: (028) 9051 7501

Email: info@rqia.org.uk

Web www.rqia.org.uk