

Documentation normally submitted for registration of an establishment or agency

The following information is normally submitted to this Authority when an applicant applies to register an establishment or agency. During the initial phase of registration of new services, submission of this information is not required.

However, the documentation must be available within the establishment or agency at the time of application and subsequently held available at all times for inspection by a duly authorised person.

Schedule 1: Parts I, II and III of The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005

Paragraph 4

Every applicant (other than where the applicant is an officer of a Health and Social Services Board or HSS Trust)

- a reference from a bank expressing an opinion as to the applicant's financial standing
- a statement as to whether the responsible person has been adjudged bankrupt, or sequestration of his estate has been ordered, or he has made a composition or arrangement with, or granted a trust deed for, his creditors
- a statement as to the applicant's ability to ensure the financial viability of the establishment or agency for the purpose of achieving the aims and objectives of the establishment or agency set out in its statement of purpose
- a business plan in respect of the establishment or agency
- details as to cash-flow in respect of the establishment or agency

Paragraph 7

Statement of Purpose

A written statement of purpose in respect of the establishment or agency (refer to guidance on “statement of purpose” as set out within Schedule 1 of the following (as appropriate)

- The Nursing Homes Regulations (NI) 2005
- The Residential Care Homes Regulations (NI) 2005
- The Children's Homes Regulations (NI) 2005
- The Nursing Agencies Regulations (NI) 2005
- The Independent Health Care Regulations (Northern Ireland) 2005
- The Domiciliary Care Agencies Regulations (Northern Ireland) 2007
- The Day Care Setting Regulations (Northern Ireland) 2007
- The Residential Family Centre (Northern Ireland) 2007
- The Adult Placement Agencies Regulations (Northern Ireland) 2007
- The Voluntary Adoption Agencies Regulations (Northern Ireland) 2010

Paragraph 8

Statement of Accommodation, Facilities and Services

A written statement as to the accommodation, facilities and services which are to be provided by the establishment or agency including the extent and, where appropriate, location of such accommodation, facilities and services

Paragraph 10

Scale of Charges

Details of the scale of charges payable by service users

Paragraph 11

Premises to be used by an Establishment

A written statement in respect of the premises to be used by an establishment including

- a description of the premises, including a statement as to whether the premises are purpose-built or have been converted for use as an establishment

- a description of the area in which the premises are located

Paragraph 12

Premises to be used by an Establishment or for the purposes of an Agency

A written statement as to whether at the date the application is made the premises are capable of being used for the purpose of

- achieving the aims and objectives set out in the statement of purpose of the establishment or agency
- providing facilities and services in accordance with the statement of accommodation, facilities and services referred to above

(without the need for planning permission, building works, or conversion of the premises and, if the premises are not capable of such use at the date the application is made, details of the planning permission, building works or conversion needed)

Paragraph 13

Security Arrangements

A written statement of the security arrangements including arrangements for the purposes of

- safeguarding access to information held by the establishment or agency
- restricting access from adjacent premises or, when the premises form part of a building, from other parts of the building

Paragraph 16

Information about Staff

In respect of any person, other than the applicant, who works at, or is intended to work at the establishment or agency, details of

- the person's name, sex and date of birth
- the person's duties and responsibilities in relation to his work

Paragraph 17

Further Information about Staff

In respect of any person, other than the applicant, who works at, or is intended to work at the establishment or for the purposes of the agency

- whether the person is, or is intended to be, resident in the premises used as the establishment or for the purposes of the agency
- if he is a relative of any person who has made an application in respect of the establishment or agency, his relationship to such person
- whether the person works or is intended to work, on a full-time basis or on a part-time basis, the number of hours per week for which it is intended that the person will work
- the date on which the person commenced, or is intended to commence, working at the establishment or for the purposes of the agency
- information as to the person's qualifications, experience and skills in so far as is relevant to the work that he person is to perform
- a statement by the applicant that he is satisfied as to the authenticity of the qualifications, and has verified the experience and skills that are referred to in the subparagraph above
- a statement as to
 - the suitability of the person's qualifications for the work that the person is to perform
 - whether the person has the skills necessary for such work
 - the person's fitness for work, and have regular contact, with service users
- a statement by the person as to the state of his physical and mental health
- a statement by the applicant that the person is physically and mentally fit for the purposes of the work which he is to perform
- a statement by the applicant as to whether he is satisfied as to the person's identity , the means by which he so satisfied himself and whether he has obtained a copy of the person's birth certificate
- confirmation by the applicant that he has a recent photograph of the person
- a statement by the applicant that he has obtained two references relating to the person and that he is satisfied as to the authenticity of these references
- details of any criminal offences of which the person has been convicted, including details of any convictions which are spent within the meaning of **The Rehabilitation of**

Offenders (Northern Ireland) Order 1978 and which may be disclosed by virtue of **The Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979**, and, in relation to each such offence, a statement by the person as to

- whether in his view the offence is relevant to his suitability to care for, train, supervise or be in ole charge and, if so
 - why he considers that he is suitable to perform the work in which he is to be employed
- details of any criminal offences in respect of which he has been cautioned by a constable and which, at the time the caution was given, he admitted

Information as to Staff engaged after Application is made

Where the applicant applies for registration as a person who carries on an establishment or agency, and before the application is determined, engages a person to work at the establishment or for the purposes of an agency, he shall, in respect of each person so engaged obtain the information at Paragraphs 16 and 17 above. He shall also, in respect of each person so engaged, obtain the documents listed in Schedule 2 Paragraph 10 of **The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005** (except where any certificate or information on any matters referred to below is not available to an individual because any provision of **The Police Act 1997** has not been brought into force) and shall make the said documents available to The HPSS Regulation and Improvement Authority if so requested

Annual Reports and Finances

Where the applicant is a corporate body, a copy of each of its last two annual reports

Where the application is a subsidiary of a holding company, the name and address of the registered or principal office and the last two annual reports (if any) of the holding company and of any other subsidiary of that holding company

The last annual accounts (if any) of the establishment or agency

Except where the applicant is a HSS Board or HSS Trust, a reference from a bank expressing an opinion as to the applicant's financial standing