
CQC Statutory Notifications (England) Policy

Policy Statement

This policy shows how the care service complies with the various regulations that require it to notify the Care Quality Commission (CQC) of incidents that have occurred in the running of the service.

Under the Care Quality Commission (Registration) Regulations 2009 (Part 4), the following regulations require notifications to be made to the CQC by a registered care service for adults.

1. Regulation 12 — Statement of Purpose: when there are changes to the service's Statement of Purpose.
2. Regulation 14 — Notice of Absence: when a registered person plans to be or has been absent from the service for 28 days or more.
3. Regulation 15 — Notice of Changes: when there are changes to the conditions of registration of the service.
4. Regulation 16 — Notification of Death of Service User: when a person has died in the course of a regulated activity being carried out or under circumstances of unauthorised absence.
5. Regulation 18 — Notification of Other Incidents: under the following circumstances (all services):
 - a. serious injuries to people who use services (as defined in Regulation 18(a) and (b)), which have occurred in the carrying out of the service, including where the person has died from the injuries
 - b. any abuse or allegation of abuse in relation to a person who uses the services (very relevant for a domiciliary care service in relation to safeguarding responsibilities)
 - c. any incident (concerning the delivery of the service) that is reported to, or investigated by, the police (relevant for a domiciliary care service in relation to safeguarding responsibilities)
 - d. any event which prevents, or appears to the service provider to threaten or prevent, the service provider's ability to continue to carry on the regulated activity safely, including where there is:

- i. an insufficient number of suitably qualified, skilled and experienced persons being employed for the purposes of carrying on the regulated activity (relevant for a domiciliary care service)
 - ii. an interruption in the supply to premises owned or used by the service provider for the purposes of carrying on the regulated activity of electricity, gas, water or sewerage where that interruption has lasted for longer than a continuous period of 24 hours (applies mainly to care homes, but under some circumstances would be relevant for a domiciliary care service, for example, if the agency could not provide a service because of the disruption)
 - iii. physical damage to premises owned or used by the service provider for the purposes of carrying on the regulated activity, which has, or is likely to have, a detrimental effect on the treatment or care provided to people who use services (as for ii)
 - iv. the failure, or malfunctioning, of fire alarms or other safety devices in premises owned or used by the service provider for the purposes of carrying on the regulated activity where that failure or malfunctioning has lasted for longer than a continuous period of 24 hours (as for ii and iii).
- e. any application made under the Mental Capacity Act 2005 to secure standard or urgent authorisation for the person's deprivation of liberty (and to keep the CQC informed of changes to the authorisation requirements) (applies to care homes, domiciliary services are not responsible for making DoLS applications).

Procedures

The service understands that where it is required to make any of the above notifications it must do so by completing the applicable form available on the CQC website.

The registered manager acting for the registered person is responsible for reporting notifiable events to the CQC but duty managers are given delegated authority to report in the absence of the registered manager so that notifications will always be made without any unreasonable delays.

The service recognises that where an incident has occurred that has resulted in the death of or serious injury to a person receiving care, which must be reported to the CQC under Regulation 18 of the Care Quality Commission (Registration) Regulations 2009. The service will also need to exercise its Duty of Candour in line with Regulation 20 of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014.

Training

Relevant staff are instructed in the service's CQC notification procedures, which involves:

- studying and understanding the latest CQC guidance for making statutory notifications, as made available on its website
- knowing how to complete the correct notification form, making it clear who has made the report and their authority for doing so and the person who should be contacted by the CQC.

Review

Signed: _____

Date: _____

Policy review date: _____
