

Guidance for providers

How to tell us about notifiable events

This guidance tells you what you need to notify us about by law and when you must do this. It includes a form for you to use when making a notification.

Main points

1. You may want to look at our website www.cqc.org.uk to read about how we use the information we receive from providers to help us plan our inspections and other work in a proportionate way. This helps us to reduce unnecessary burdens on providers and use our resources wisely.
2. Providers have to tell us about a variety of different events. There is a different timescale for each kind of notification. These events involve:
 - People who use the service
 - Registered persons and their staff
 - Premises, fixtures, fittings and equipment
 - Events flowing from the bankruptcy of a registered person or the insolvency of a service
3. There are different regulations for each kind of service:
 - Care homes
 - Adult placement schemes
 - Domiciliary care agencies
 - Nurses' agencies.

Each set of kind of service has different notifications requirements. Information about the relevant regulations and the events you have to tell us about for your type of service is given at [Annexe 1](#).

4. Most providers are familiar with the need to make notifications, which have to be made in writing. The Care Quality Commission provides standard forms for use by care homes.

5. Using the Care Quality Commission forms simplifies the notification process. There are two forms for each type of service:
 - The first for notifications about people who use the service
 - The second for notifications about the service’s premises, registered provider(s), registered manager, staff, or statement of purpose
 Each form has a series of tick boxes and spaces you can use quickly and easily to tell us about notifiable events.

6. There is a space for you to tell us what you have done about the event, and other tick boxes and spaces you can use to give us additional information. The forms say which information the law requires you to give us, and where we ask for additional information. You don’t have to provide the additional information, but if you do we will have a better understanding of what happened, and be able to make a judgment about how well you dealt with it. We will only intervene or contact you for further information when necessary.

7. **Most notifications include personal information and must be sent by post to comply with the Data Protection Act 1998.**
 - **Fax and email are not secure.**
 - **Please only send notifications once: do not duplicate them by fax or email.**

Guidance:

Question	Guidance
<p>Do notifications have to be in writing? Can't I just telephone them in?</p>	<ul style="list-style-type: none"> • That law says which circumstances must be notified to the commission and that they must be made in writing. We must receive them within the timescale set for each type. See Annexe 1 for further information about the type of information that you must tell us about. • It may sometimes be useful to tell us about a serious matter immediately by telephone, but if you do so, you must follow this up in writing within the set timescale.
<p>Can I fax or email them in?</p>	<ul style="list-style-type: none"> • Written notifications may be: <ul style="list-style-type: none"> ○ faxed ○ posted ○ delivered by hand ○ e-mailed with a scanned signature • BUT if the notification includes information about a person you must ensure that their right to privacy is properly respected. It is illegal under the Data Protection Act to send confidential information by e-mail or fax, as they are not secure. • Please only send the notification in once. Most notifications must be sent by post. Do not send them in again by fax or email.

<p>Are there forms I use to send notifications in?</p>	<ul style="list-style-type: none"> • Template forms are available for you to use. They can be copied from our website or you can ask for hard copies. • There are two separate forms for each type of service: one for notifications about the people who use the service, the other for notifications about registered persons, staff, the premises, and the statement of purpose. • You can print and fill the forms in by hand, or you can fill them in on a computer before printing. If you use them on a computer you can move quickly from text field to text field by using the tab key, and you can put an 'X' in the check boxes by pressing the space bar. • If you need to add extra sheets of paper they should be numbered, and you should always include the name of your service on each sheet. • Some providers have their own notification forms and we will accept them as long as they tell us what the regulations say they must.
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<p>Where do I send them?</p>	<ul style="list-style-type: none"> • You should send them to our National Correspondence Centre. You can find the address at annexe 2.
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<p>Some of the notifications regulations are not very precisely worded. Do I have to tell you about every single potentially notifiable event?</p>	<ul style="list-style-type: none"> • Some regulations about notifications are broad in scope and in theory could require you to tell us about some very minor events. • We want to work in a proportionate way and not burden you unnecessarily. You must use your judgment about whether an event is significant enough to tell us about. • Annexe 1 gives examples of events that should be notified under each regulation and service type. These examples are not an exhaustive or prescriptive list. If in doubt, notify.
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<p>Who has to fill in the form?</p>	<ul style="list-style-type: none"> • The regulations say that a registered person must make the notification, meaning either a registered provider or registered manager. • If members of staff make the notification they can only do so under the authority of a registered person. Policies and procedures and staff training arrangements must ensure that we are told about notifiable events properly. We need to know the name of the person who sends in a notification.
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<p>What do you do with notifications?</p>	<ul style="list-style-type: none">• We will record the notification as part of our inspection record for your service. Whether we take any further action will depend on what the notification is about and what we know about your service. If it concerns a routine event we will take no further action. We will carefully assess what you have done about other events and respond accordingly.• If it includes an allegation or concern that one of the people who uses your service has suffered abuse we will need to make sure that you have followed the safeguarding adults procedures (or safeguarding children procedures if the person is under 18) for your area of the country.• If it is about something that changes your registered details you will also have to make a new application for registration, for example where a new manager has been appointed.• Your notification will add to our knowledge of your service and will help us to plan our inspection activity.
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Annex 1:

What should be notified?

CH =	Care Home
AP =	Adult Placement Scheme
DCA =	Domiciliary Care Agency
NA =	Nurses Agency
The number quoted is the regulation number for that type of service, taken from:	
The Care Homes Regulations 2002	CH
The Adult Placement Schemes (England) Regulations 2004	AP
The Domiciliary Care Agencies Regulations 2002	DCA
The Nurses Agency Regulations 2002	NA

Regulation & timescale	Event to be notified	Example / Notes
CH 6 (b) AP 6 DCA 6 (b) NA 6 (b) 28 days	Any change to your statement of purpose	Any change to your statement of purpose that reflects an actual or proposed significant change to the way the service is run and the needs of the people who use it.
CH 8 (2) AP 9 (2) DCA 8 (2) NA 8 (2) Forthwith	The appointment of a manager	The appointment of a new manager (who may also need formally to apply for registration).
CH 11 AP 12 DCA 11 NA 11 Forthwith	The conviction of a registered person or of any responsible individual nominated by a provider organisation.	Any criminal conviction of a registered person or responsible individual. The notification must include details of the date and place of the conviction, the offence(s), and the penalty(ies) imposed.
DCA 14(12)(b) NA 13 (3)(b) Within 24 hours of making the report or of becoming aware of the report.	An allegation or instance of abuse, neglect or other harm that has been reported to the police.	Any instance of abuse, neglect or harm to/of a person who uses the service that has been reported to the police
CH 37(1) (a) AP 33 (3) (a) Without delay (Care Homes)	The death of any person who uses the service, including the circumstances of the death	Any death of a person who uses the service. Should include the date, time and cause of death (if known) and any other relevant information. Also include the name of the person certifying the death, if known.

Regulation & timescale	Event to be notified	Example / Notes
Within 24 hours of becoming aware (Schemes)		Where the service is a care home we also ask for the date of admission (though this is not statutorily required).
<p>CH 37 (b) AP 33 (3) (b)</p> <p>Without delay (Care Homes)</p> <p>Within 24 hours of becoming aware (Schemes)</p>	The outbreak of any infectious disease which in the opinion of any registered medical practitioner attending persons in the care home is sufficiently serious to be so notified	<p>Any disease that is notifiable under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR).</p> <p>Any disease that requires notification under the Public Health (Control of Disease) Act 1984 or Public Health (Infectious Diseases) Regulations 1988.</p> <p>When a person contracts a serious infectious disease the provider should ask their GP and / or the Health Protection Agency whether it should be notified to the Commission.</p> <p>Diseases that should be notified include C Difficile, MRSA and hepatitis.</p>
<p>CH 37(1) (c) AP 33 (3) (c)</p> <p>Without delay (Care Homes)</p> <p>Within 24 hours of becoming aware (Schemes)</p>	Any serious injury to a person who uses the service	<p>The development of a pressure sore of grade 2 or above.</p> <p>A serious injury that results in a consultation with a medical practitioner.</p> <p>Self-harm not already anticipated in the person's care plan.</p>
<p>CH 37(1)(d) AP 33 (3) (d)</p> <p>Without delay (Care Homes)</p> <p>Within 24 hours of becoming aware (Schemes)</p>	<p>The serious illness of a person who uses the service</p> <p>nb; not required of care homes registered to provide nursing care</p>	<p>Where care staff have to be trained in a procedure or form of care normally given by a qualified nurse. This often involves invasive procedures such as PEG feeding or insulin injections.</p> <p>Where a person develops a serious and unexpected illness that requires nursing care.</p>
<p>CH 37 (1)(e) AP 33 (3) (e)</p>	Any event which adversely affects the well-being or safety of any person who	Serious incidents of threatening or challenging behaviour in which a person is harmed or at risk of harm.

Regulation & timescale	Event to be notified	Example / Notes
<p>Without delay (Care Homes)</p> <p>Within 24 hours of becoming aware (Schemes)</p>	<p>uses the service;</p>	<p>Any allegation or suspicion of abuse of a person who uses the service.</p> <p>Incidents or allegations of harassment or discrimination against a person.</p> <p>Staff levels falling below a safe level.</p> <p>Any occasion on which the missing persons procedure is used.</p> <p>Involvement of the police in a matter involving the well being of a person.</p> <p>An error in the administration of prescribed medication that leads to a medical consultation.</p> <p>Any error involving controlled drugs, including unexplained loss or theft.</p> <p>Failure in a basic utility (electricity, gas, water, sewage) that lasts for more than one day.</p> <p>Significant damage to premises that affects residents.</p> <p>Failure of any safety related equipment such as fire detection or call systems.</p> <p>Attempted suicide by a person where this is not already recognised as a risk and included in their care plan.</p> <p>Incidents of alcohol or drug abuse by a resident where this is not already recognised as a risk and included in their care plan.</p>
<p>CH 37(1)(f) AP 33 3 (f)</p> <p>Without delay (Care Homes)</p> <p>Within 24 hours of becoming aware</p>	<p>Any theft, burglary or accident in a care home or AP carer's home</p>	<p>Any allegation of theft of personal items belonging to a person.</p> <p>Any burglary of the service's premises.</p> <p>Any serious accident involving a resident where medical assistance is sought.</p> <p>Any accident involving a resident and a substance regulated under COSHH.</p>

Regulation & timescale	Event to be notified	Example / Notes
(Schemes)		
CH 37 (1) (g) Without delay	Any allegation of misconduct by the registered person or any person who works at the care home.	Any conduct which leads to the use of disciplinary procedures.
AP 33 (3) (g) Within 24 hours of becoming aware	Any incident reported to or investigated by the police.	Any incident related to an Adult Placement Scheme placement that is reported to or investigated by the police.
CH 38 (1) AP 34 (1) DCA 24 (1) NA 22 (1) 1 month before, or 1 week after if due to an emergency	Any absence of a registered person for 28 or more days.	<p>Owners in day-to-day charge and registered managers must give the Commission one month's notice of any planned absence from a service of 28 or more days. The Commission can agree to a shorter notice period where appropriate.</p> <p>The Commission must be notified of unplanned absences likely to exceed 27 days within 7 days of the beginning of the absence.</p> <p>The notification must include:</p> <ul style="list-style-type: none"> • The expected length of the absence • The reason for it • How the service will be run • The name, address and qualifications of the person who will be responsible for the service • Arrangements made for the appointment of a different or replacement manager (where applicable)
CH 38 (5) AP 34 (5) DCA 24 (5) NA 22 (1) 7 days	Return of a registered person from an absence of 28 or more days.	Owners in day-to-day charge and registered managers must notify the Commission of their return from an absence of 28 or more days.
CH 39 (a) AP 35 (1) (a) DCA 25 (a) NA 23 (a)	A person other than the Registered Person carries on or manages the service.	<p>Should a person other than the registered provider or manager take over running the service for any reason the Commission must be notified as soon as practicable. This may happen where:</p> <ul style="list-style-type: none"> • an organisation is taken over by a different company • a partnership converts into a company.

Regulation & timescale	Event to be notified	Example / Notes
As soon as practicable		<ul style="list-style-type: none"> during an individual's illness or a holiday. <p>This notification must be made in advance wherever possible.</p>
CH 39(b) AP 35 (1)(b) DCA 25 (b) NA 23 (b)	A person ceases or plans to cease carrying on or managing the service.	<p>This notification might follow on from the one above, perhaps where an owner or manager has returned from sick leave or an extended holiday.</p> <p>Even if the person concerned is not registered, the Commission should be notified of this change in day-to-day arrangements.</p> <p>The notification may be needed because a manager hands in their notice to quit, or if an owner in day-to-day charge of a service plans to appoint a manager to run it for them.</p> <p>In summary, we should be notified when a person who is registered to carry on or manage a service, or a temporary unregistered person covering for them, stops doing so.</p> <p>This notification must be made in advance wherever possible.</p>
CH 39 (c) AP 35 (1)(c) DCA 25 (c) NA 23 (c)	A change to a registered person's name, where that person is an individual.	<p>When a registered person changes their name, for whatever reason. This might be due to marriage or for cultural or religious reasons.</p> <p>This notification must be made in advance wherever possible.</p>
CH 39 (d) AP 35(1)(e) DCA 25 (d) NA 23 (d)	A change to the membership of partnership	<p>Where a service is carried on by a partnership the Commission must be told whenever anyone leaves or joins the partnership.</p> <p>This notification must be made in advance wherever possible.</p>
CH 39 (e) AP 35(1) (f) DCA 25 (e) NA 23 (e)	A change to a registered provider's name or address (where the provider is an organisation or partnership)	<p>A company or partnership that changes its name or address must notify the Commission.</p> <p>This notification must be made in advance wherever possible.</p>

Regulation & timescale	Event to be notified	Example / Notes
CH 39 (e) AP 35(1)(f) DCA 25 (e) NA 23 (e) As soon as practicable	Any change of director, manager, secretary or other similar officer of a registered organisation	This notification must be made in advance wherever possible.
CH 39 (e) AP 35(1)(f) DCA 25 (e) NA 23 (e) As soon as practicable	A change of responsible individual	This notification must be made in advance wherever possible.
CH 39 (f) AP 35(1)(g) DCA 25 (f) NA 23 (f) As soon as practicable	The appointment of a trustee in bankruptcy (for an individual provider)	<p>An individual provider is the subject to bankruptcy proceedings.</p> <p>This notification must be made in advance wherever possible.</p>
CH 39 (g) AP 35(!)(h) DCA 25 (g) NA 23 (g) As soon as practicable	Provider's notification of the appointment of a receiver, manager, liquidator or provisional liquidator to run their service (for an organisation).	This notification must be made in advance wherever possible.
CH 41 (1)(a) AP 36 (1)(a) DCA 26(1)(a) NA 24(1)(a) 28 days	Liquidator's or trustee in bankruptcy's notification of their appointment	<p>The notification must include the reason why they were appointed.</p> <p>The liquidator / trustee must appoint a manager to run the service. This manager will need to make a separate application for registration.</p>
CH 41(1)(c) AP 36 (1)(b) DCA 26(1)(c) NA 24 (1)(b) 28 days	Liquidator's or trustee's plans for the future of the service	Any liquidator or trustee taking over a service must let the Commission know how they intend the business to be run within 28 days.
CH 39 (h) AP 35(1)(i) DCA 25 (h) NA 23 (h)	<p>Significant alterations to premises (CH)</p> <p>The acquisition of additional premises (CH, AP, DC, NA).</p>	A care home plans changes to its premises that will significantly impact upon the quality of life and / or the services and facilities used by residents.

Regulation & timescale	Event to be notified	Example / Notes
As soon as practicable		<p>A care home plans an extension with more bedrooms (a separate registration application will be required in due course).</p> <p>A care home plans to install new technological aids that will change the way the service is delivered.</p> <p>An agency or AP scheme plans to open additional office premises.</p> <p>An AP scheme plans to open new day facilities for users.</p> <p>This notification must be made in advance wherever possible.</p>
CH 40 (2) (b) As soon as practicable	The registered person must provide a statement explaining why it was impracticable to give proper notice when asking a care home resident to leave immediately.	<p>A resident is asked to leave immediately and without notice to them, their next of kin and / or a placing local authority.</p> <p>The next of kin and placing authority must also be sent a copy of the statement.</p>
CH 42 (2) (a) AP 37(2) (a) DCA 27(2)(a) NA 25 (2)(a) Without delay	The Death of a registered person (individual or partner).	<p>Where an individual was carrying on the service their 'personal representative' should notify the Commission; typically their next of kin.</p> <p>Where a member of a partnership dies a surviving partner should make the notification.</p>
CH 42 (2) (b) AP 37 (2)(b) DCA 27 (2)(b) NA 25 (2)(b) 28 days	The personal representative or surviving partner's plans for the future of a service after the death of a registered person.	<p>While the family or partner(s) of a deceased provider will need time to arrange their affairs and decide about the future of the service, the Commission will need to ensure that proper plans for it's registration are made without undue delay.</p> <p>Where a partner's death leaves a single person as provider of the service and they plan to continue to carry it on, the surviving partner will need to re-apply to be registered as the individual owner.</p>

Annexe 2

Care Quality Commission
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Gallowgate
Newcastle Upon Tyne
NE1 4PA

Fax us on: 03000 616172

Or email your regional team:

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