

Adapted Registration Guidance for applicants and providers in response to COVID-19

November 2020



Contents

1. Prioritisation and approach
2. Adapted processes
- [Annex 1](#). Medical Reference Self-certification
- [Annex 2](#). Disqualification Self-declaration
- [Annex 3](#). Site Visit Decision Matrix
- [Annex 4](#). Requirement for interview considerations
- [Annex 5](#). Pre-Virtual Site Visit checklist

1. Prioritisation and approach

Prioritisation

We recognise there will be a need to increase capacity in the social care and childcare and play sectors in response to the COVID-19 emergency. Working within our adapted methodology we will prioritise our registration and variation work in the order outlined below:

1. All registration and variation work that supports providers to provide services as a result of COVID-19.
2. All registration and variation work that will bring additional capacity to the sector.
3. Registration of services operating without registration.
4. High-risk registrations or variations, for example relating to the purchase of services in administration.
5. All other registration and variation work.

Variations to increase maximum numbers

All applications to increase maximum numbers will be prioritised on the basis that they bring additional capacity to the sector.

Our approach to this work will vary depending on whether the increase in maximum numbers is intended to be permanent or is solely in response to COVID-19. If this is not specified within the application, we will contact the provider to establish the nature of the application.

Applications to increase maximum numbers on a permanent basis will be subject to our usual processes and Regulatory requirements.

We aim to process COVID-19 applications within 2 working days of accepting them.

A condition will be placed on the registration to reflect the increased maximum number:

“In response to the COVID-19 emergency, an additional X people may be accommodated at the service.”

2. Adapted Processes

In all cases we will contact applicants to request permission to correspond with them electronically.

Documentary evidence

- RISCA and Child Care & Play applications submitted via CIW Online will include all required documentary evidence. Any revisions are to be provided via email.
- For any application where additional documentary evidence (including revisions) is required, this can be provided via email (with the exception of identification documents or DBS certificates).

Where the applicant or service is already registered with CIW, we will take a proportionate approach in relation to the documentary evidence we require.

References

We will make reasonable efforts to obtain references, although we accept the practicalities of this may be challenging. Where we are unable to obtain references via email, we will endeavour to contact referees via telephone. Our inability to obtain references will not prevent us from completing our registration work.

Medical references

Applicants and Responsible Individuals (RIs) are encouraged to provide a self-certification, due to the additional burden currently in place on the NHS.

Social services checks

In recognition of the challenge currently faced by social services departments, where we have not received a response to a social services check request within 3 weeks CC&P applicants will be required to submit a self-declaration in respect of any disqualifying convictions or Court orders.

Site visits

We will take a risk based approach to deciding whether to carry out an in person or virtual premises visit.

For vacant premises, there should be no persons present except for key persons, for example applicants and RIs.

If a visit is made to an occupied premises, this should be done at a time when the least number of people possible are present, and all relevant risks assessments must be completed prior to the visit.

When arranging site visits the inspector will make contact to ask the person they will be meeting to confirm that they do not have any symptoms of COVID 19 (as defined in the NHS and Public Health Wales guidance) The latest Public Health Wales Guidance can be found [here](#). If the person is already in quarantine or self-isolation or is experiencing any of the symptoms of COVID-19 the visit will be re-arranged.

The visit is for the purpose of viewing the premises only.

[Annex 3](#) sets out the factors we will consider when deciding if an in person site visit is required. Where a virtual site visit is deemed appropriate the following will apply,

Prior to the virtual visit

Prior to undertaking the virtual visit, the virtual tool to be used will be agreed with the applicant/provider.

Virtual Tools

The following tools are available:

- Skype
- Microsoft Teams
- Zoom
- Google Meet
- WebEx

The **virtual site visit checklist** at [Annex 5](#) will be emailed to the applicant/provider in advance of the visit, allowing sufficient time for it to be completed and returned. The applicant/provider will need to fill in as much information as they are able to about the premises they plan to use.

If the premises is occupied, the applicant/provider will be asked to advise any individuals present in the service that a virtual visit will be taking place and that the visit is not being video recorded.

During the Virtual Visit

During the virtual visit, the applicant/provider will be asked to show the inspector all areas of the premises, including any outdoor areas that they are intending to use. For child minders this will include all areas of the home.

If the lighting or angle makes it difficult to see certain areas, the applicant/provider will be asked to take a photograph (possibly at a different time of day) of this area and email in to ciwregistration@gov.wales.

Any ID or DBS documentation can be viewed during the virtual visit, if not already seen.

Following the Virtual Visit

The inspector will record that a virtual visit has taken place and note any areas that require follow up at any future inspection.

Interviews

Interviews with applicants and RIs will take place remotely, by telephone, or virtual tools.

We will take a proportionate approach to the need to interview applicants and RIs.

Annex 1. Medical Reference Self-certification

Medical self-declaration in respect of a person applying to be a Registered Person or Responsible Individual



Name:	
Address and postcode:	
Date of birth:	
Tel No:	
E-mail:	
Role:	

Are you aware of any circumstances regarding your health or do you have an existing injury or condition or a pre-existing injury or condition that would interfere with your ability to perform the duties of the role?

YES

NO

If yes, please provide details below –

--

Signature:	
------------	--

Date:	
-------	--

Annex 2. Disqualification Self-declaration

Please answer the following questions. Be aware that a failure to disclose a matter which would disqualify you from registration is an offence, and may also affect your ability to be granted a waiver. Annex 8 of our Registration Guidance provides more information about Disqualification.

Have you or any person who lives or works in your household ever:	
Been refused registration in the UK or the Isle of Man in respect of a children's home or voluntary home?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Had their registration in the UK or the Isle of Man in respect of a children's home or a voluntary home cancelled?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been concerned in the management of, or had any financial interest in, a children's home or voluntary home in respect of which another person has had their registration cancelled in the UK or the Isle of Man?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been refused registration in respect of the provision of nurseries, day care, child minding or other provision of day care in the UK, Guernsey or the Isle of Man?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been disqualified from registration in respect of the provision of nurseries, day care, child minding or other provision of day care in the UK, Guernsey or the Isle of Man?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Had registration cancelled in respect of the provision of nurseries, day care, child minding or other provision of day care in the UK, Guernsey or the Isle of Man?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been the subject of a care or supervision order?	Yes <input type="checkbox"/> No <input type="checkbox"/>

Had a care or supervision order made with respect to a child in their care?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been disqualified from fostering a child privately under the Disqualification from Caring for Children (Wales) Regulations 2004?	Yes <input type="checkbox"/> No <input type="checkbox"/>
To the best of your knowledge and belief do you know of any reason why you or any person aged 16 or over who lives and/or works at and/or is otherwise present in your household may be disqualified from registration as a child minder or a day care provider under the Child Minding and Day Care (Disqualification) (Wales) Regulations 2010?	Yes <input type="checkbox"/> No <input type="checkbox"/>
I confirm that the service provider will act in an open and transparent way in accordance with the relevant Regulations.	Yes <input type="checkbox"/> No <input type="checkbox"/>
I confirm that I will act in an open and transparent way in accordance with the relevant Regulations.	Yes <input type="checkbox"/> No <input type="checkbox"/>

I certify that the information I have provided is true and accurate to the best of my knowledge and belief. I understand that knowingly making a statement that is false or misleading in an application for registration with Care Inspectorate Wales is a criminal offence and may lead to enforcement action being taken.

Signed

Date.....

Annex. 3. Site Visit Decision Matrix

Care Home Services

Type of application	Adapted process
Initial application for registration of an accommodation based service not registered with CIW – unoccupied only	Site visit
Initial application for registration of an accommodation based service not registered with CIW – occupied OWR service	Starting point - Virtual visit By exception - Site visit (depending on risk factors)
Initial application for registration of an accommodation based service for children not registered with CIW – occupied OWR service	Starting point - Site visit (taking into account risk factors) By exception – Virtual visit
Initial application for registration of a service already registered with CIW, for example change of legal entity	Starting point – No visit required By exception – Virtual visit If environmental issues
Increase in maximum number of people cared for	Starting point - Virtual visit By exception - Site visit (depending on risk factors)
<p>Registered Service Provider acquiring a registered service:</p> <ul style="list-style-type: none"> • Inspection conducted within previous 12 months prior to application being submitted and no non-compliance issues or concerns received in relation to the environment. All documentation provided is satisfactory • Non-compliance issues with environment and/or concerns related to environment and/or the existing provider confirms changes have been made since initial registration and/or documentation causes concerns and/or concerns after discussion with RI 	<p>No visit required</p> <p>Starting point - Virtual visit By exception - Site visit (depending on risk factors)</p>

<ul style="list-style-type: none"> Increase in numbers from existing Service Provider's registration 	Starting point - Virtual visit By exception - Site visit (depending on risk factors)
---	---

Child Minders

Type of application	Adapted process
Initial application for registration - service not previously known to CIW	Site visit – if empty premises (depending on risk factors) Virtual visit - if occupied
Initial application for registration – to work with another already registered child minder at the registered child minder's address	Starting point – No visit required By exception – Virtual visit if the maximum number of children is increasing
House move	Site visit – if empty premises (depending on risk factors) Virtual visit - if occupied
Increase in maximum number of children cared for	Starting point – No visit required By exception – Virtual visit if environmental issues
Application to vary or remove an additional condition (non-routine conditions) which has been imposed due to environmental issues	Starting point – No visit required By exception – Virtual visit if environmental issues

Day Care Service

Type of application	Adapted process
Initial application for registration - service not previously known to CIW	Site visit – if empty premises (depending on risk factors) By exception – virtual visit
Initial application for registration of a premises/service already registered with CIW, for example change of legal entity	Starting point – No visit required By exception – Site visit or Virtual visit if environmental issues
Increase in maximum number of children cared for	Starting point – No visit required By exception – Site visit or Virtual visit if environmental issues
New Registered Person or Responsible individual	No visit required
Application to vary or remove an additional condition (non-routine conditions) which has been imposed due to environmental issues	Starting point – No visit required By exception – Site visit or Virtual visit if environmental issues

Annex. 4. Requirement for interview considerations

An applicant/RI Interview will be required in the following circumstances

- For all first time new applications,
- For all add a new Responsible Individual variation applications for existing service(s) where the RI is not known to us,
- For all Add a Service variation applications for existing service providers where there are current compliance or oversight concerns about the service(s),
- In each instance where the new nominated RI is a similar officer of the organisation,
- In all instances where there are any concerns as regards RI capacity to perform role in relation to an increasing number of services, and
- In any instance where the nominated RI has a positive DBS which has not previously been discussed with CIW.

Annex 5. Pre-Virtual Visit checklists

Pre-Virtual Visit Checklist

Day Care services



Please complete the following with as full answers as possible:

Please list the areas of your premises that you will be using to provide care	
ROOMS - GENERAL	
How many smoke detectors are in your premises and where are they located?	
Do you have the following as required for fire safety: <ul style="list-style-type: none"> • Fire extinguishers • Fire evacuation notices • Fire exit doors What is the date that this equipment was last checked?	
What heating appliances do you have (radiators/ fire place/ log burner etc), and how do you ensure that children are kept safe?	
How are blind / curtain cords secured out of children's reach?	
Do you have any single pane thickness glass at child height (internal doors/ tables/ cupboards)? If so have you covered this with safety film?	
How is your television secured so that it could not fall?	
How do you ensure children cannot access the kitchen unaccompanied?	
How have you ensured all electric cables are out of children's reach?	
Where do children sleep? How do you monitor children when they are sleeping?	
How do you ensure children are safe from falling out of windows in upper floor rooms?	
STAIRS	
How is the carpet secured?	

How do you ensure that the stairs are free from clutter?	
How do you prevent children going up and downstairs unaccompanied?	
Is the space between the spindles narrow enough that a child could not put their head/ body through?	
BATHROOM	
How do you maintain the temperature of the water so that it does not get too hot?	
Where do you store bathroom cleaning materials, and items such as razors?	
How do you ensure that children have privacy, but cannot lock themselves in the bathroom?	
How do you promote infection control in the bathroom? (individual or paper towels/ liquid soap etc)	
NAPPY CHANGING	
Where will nappies be changed?	
How will nappies be changed – on the floor or changing unit? If a changing unit does this have a securing strap or high edge to ensure children's safety?	
What measures will you put in place to ensure that there is no cross infection?	
KITCHEN	
How do you ensure the worktop is clear from hazards (knives/ kettle or overhanging wires out of children's reach etc)	
How do you ensure children cannot access storage cupboards (cleaning materials/ glass/ plastic bags/ matches/ knives etc)	
Do you have a first aid box?	
What is the date of your first aid certificate?	

How many staff have a current first aid certificate?	
Do you have a fire blanket? Have you been trained how to use it?	
How do you ensure children cannot access the kitchen unaccompanied?	
If you have a utility/ laundry room how do you ensure children cannot gain access unaccompanied?	
STAFF FACILITIES	
How do you ensure that staff have somewhere separate to have breaks and to store their belongings?	
What toilet facilities do you have for staff?	
How can parents talk to staff in private if needed?	
DOORS	
How is the front, rear, patio or any other external door kept secure from children opening it?	
Where are keys stored?	
If there are steps up to/ down from these doors how are children kept safe?	
GARDEN/ OUTSIDE AREA	
Briefly describe the surface type(s), eg lawn, paved, tarmac etc	
How is the garden/ outside area kept enclosed and secure, and access restricted?	
If there are steps or different levels how is safety maintained?	
Do you have a pet? If so how do you ensure that children are kept safe? Is there a separate area internally/ externally for this pet?	
How do you ensure safety if you have any of the following: <ul style="list-style-type: none"> • hose pipe • LPG Gas cylinder 	

<ul style="list-style-type: none"> • BarBQ • dust bins • open drains 	
Do you have a water feature/ pond/ running water in your garden? If so how do you ensure children's safety?	
Have you checked that all plants are not poisonous/ hazardous to children (including nettles, sap which causes blisters, bramble and other thorny plants, plants with berries or pods etc)	
Do you have a greenhouse? How is this secured and made safe for children?	
Do you have a shed/ garage? How is this secured and made safe for children?	

Please add examples of the Toys/Activities/Equipment that you have to support the following types of learning:

Emotional (e.g role play, books, puppets)	
Physical (e.g running, dancing, park visits)	
Social (e.g mixing, group games, talking)	
Intellectual (e.g reading, maths)	
Language (e.g talking, story, singing)	
Creative (e.g art and craft, dressing up)	

EQUIPMENT INDOORS AND OUTDOORS

Where do children have their meals? What are the arrangements at meal times?	
Do all high chairs/low chairs have a 5 point harness?	
Do you have sufficient age appropriate car/ booster seats?	
Do you have sufficient pushchairs/ prams?	

How and where will children sleep – cots/ sleep mats etc? How will you monitor sleeping children?	
Do you have any of the following, and if so how will you ensure children's safety: <ul style="list-style-type: none">• Swing• Slide• Paddling pool• Water tray• Sand tray/ pit• Trampoline• Climbing frame• Mud kitchen	

Pre-Virtual Visit Checklist

Child Minder



Please complete the following with as full answers as possible:

Please list the areas of your premises that you will be using to provide care	
ROOMS - GENERAL	
How many smoke detectors are in your premises and where are they located?	
What heating appliances do you have (radiators/ fire place/ log burner etc), and how do you ensure that children are kept safe?	
How are blind / curtain cords secured out of children's reach?	
Do you have any single pane thickness glass at child height (internal doors/ tables/ cupboards)? If so have you covered this with safety film?	
How is your television secured so that it could not fall?	
How do you ensure children cannot access the kitchen unaccompanied?	
How have you ensured all electric cables are out of children's reach?	
Where do children sleep? How do you monitor children when they are sleeping?	
How do you ensure children are safe from falling out of windows in upper floor rooms?	
STAIRS	
How is the carpet secured?	
How do you ensure that the stairs are free from clutter?	
How do you prevent children going up and downstairs unaccompanied?	
Is the space between the spindles narrow enough that a child could not put their head/ body through?	

BATHROOM	
How do you maintain the temperature of the water so that it does not get too hot?	
Where do you store bathroom cleaning materials, and items such as razors?	
How do you ensure that children have privacy, but cannot lock themselves in the bathroom?	
How do you promote infection control in the bathroom? (individual or paper towels/ liquid soap etc)	
NAPPY CHANGING	
Where will nappies be changed?	
How will nappies be changed – on the floor or changing unit? If a changing unit does this have a securing strap or high edge to ensure children's safety?	
What measures will you put in place to ensure that there is no cross infection?	
KITCHEN	
How do you ensure the worktop is clear from hazards (knives/ kettle or overhanging wires out of children's reach etc)	
How do you ensure children cannot access storage cupboards (cleaning materials/ glass/ plastic bags/ matches/ knives etc)	
Do you have a first aid box?	
What is the date of your first aid certificate?	
Do you have a fire blanket? Have you been trained how to use it?	
How do you ensure children cannot access the kitchen unaccompanied?	
If you have a utility/ laundry room how do you ensure children cannot gain access unaccompanied?	

DOORS	
How is the front, rear, patio or any other external door kept secure from children opening it?	
Where are keys stored?	
If there are steps up to/ down from these doors how are children kept safe?	
GARDEN/ OUTSIDE AREA	
Briefly describe the surface type(s), eg lawn, paved, tarmac etc	
How is the garden/ outside area kept enclosed and secure, and access restricted?	
If there are steps or different levels how is safety maintained?	
Do you have a pet? If so how do you ensure that children are kept safe? Is there a separate area internally/ externally for this pet?	
How do you ensure safety if you have any of the following: <ul style="list-style-type: none"> • hose pipe • LPG Gas cylinder • BarBQ • dust bins • open drains 	
Do you have a water feature/ pond/ running water in your garden? If so how do you ensure children's safety?	
Have you checked that all plants are not poisonous/ hazardous to children (including nettles, sap which causes blisters, bramble and other thorny plants, plants with berries or pods etc)	
Do you have a greenhouse? How is this secured and made safe for children?	
Do you have a shed/ garage? How is this secured and made safe for children?	

Please add examples of the Toys/Activities/Equipment that you have to support the following types of learning:

Emotional (e.g role play, books, puppets)	
Physical (e.g running, dancing, park visits)	
Social (e.g mixing, group games, talking)	
Intellectual (e.g reading, maths)	
Language (e.g talking, story, singing)	
Creative (e.g art and craft, dressing up)	

EQUIPMENT INDOORS AND OUTDOORS

Where do children have their meals? What are the arrangements at meal times?	
Do all high chairs/low chairs have a 5 point harness?	
Do you have sufficient age appropriate car/ booster seats?	
Do you have sufficient pushchairs/ prams?	
How and where will children sleep – cots/ sleep mats etc? How will you monitor sleeping children?	
Do you have any of the following, and if so how will you ensure children's safety: <ul style="list-style-type: none"> • Swing • Slide • Paddling pool • Water tray • Sand tray/ pit • Trampoline • Climbing frame • Mud kitchen 	

Pre-Virtual Visit Checklist

RISCA Services



Please complete the following with as full answers as possible:

ACCESS	
How do you ensure that the people living in the home and visitors can access the premises unhindered?	
Describe the security measures, which are in place to prevent unauthorised access to the premises?	
Do you use any surveillance equipment at the premises?	
COMMUNAL AREAS	
Describe how you provide suitable and sufficient sitting, recreational / educational and dining space for service users	
Describe how the layout and structure of the premises enables people to move around safely?	
What facilities are available to enable service users to meet visitors in areas away from their private rooms?	
STORAGE	
What facilities are available for the storage of equipment e.g hoists	
What facilities are available for the storage of clinical waste?	

What facilities do you have for the secure storage of records?	
MEDICATION	
Where is medication stored and how this area is secured form unauthorised access?	
Describe the facilities and equipment available where medication is stored	
Describe how the temperature is maintained where medication is kept	
Describe any facilities you have to enable individuals to self-medicate	
STAFF FACILITIES	
Where do you undertake supervision of staff?	
What facilities are available for staff during working hours and if they are required to stay overnight?	
KITCHEN	
What facilities and equipment are available?	
What type of flooring has been laid?	
What equipment is available to maintain infection control in the kitchen?	
LAUNDRY	
Describe the facilities and equipment available	
What equipment is available to maintain infection control in the laundry?	
BEDROOMS	

<p>How many bedrooms do you have?</p> <p>How many of these bedrooms are shared rooms?</p> <p>How many of these bedrooms have en-suite facilities?</p>	
<p>What furnishing and equipment do you provide for people moving into the home?</p>	
<p>How does the layout and the facilities in the bedrooms meet individual needs?</p>	
<p>Please describe the type of door and window locks installed in bedrooms</p>	
<p>How can individuals regulate the heating and ventilation in their bedrooms?</p>	
<p>BATHROOMS & TOILETS</p>	
<p>How many of the following do you have at the property, and where are they located (excluding the en-suite facilities noted above):</p> <ul style="list-style-type: none"> • Toilets • Bathrooms • Showers 	
<p>How do you ensure that they are easily and safely accessible?</p>	
<p>How have you ensured that these areas are suitably equipped to meet individual needs?</p>	
<p>LIFT</p>	
<p>How many and of what type of lift(s) do you have and where are they located?</p>	
<p>FIRE SAFETY</p>	

Describe any pieces of fire safety equipment you have and where they are located	
EMERGENCY AID	
Describe any pieces of equipment you have and where they are located	
OUTSIDE SPACE	
Describe the outside areas available to service users, including the surface type(s), eg lawn, paved, tarmac etc	
How is the outside area kept enclosed and secure, and access restricted?	
Describe how the outside areas are designed to meet the needs of all individuals including those with physical/ mobility problems, sensory and cognitive impairment.	
<u>For children's homes:</u> how have you ensured the fact it is a home is not identified to the wider public?	