



The Regulation and  
Quality Improvement  
Authority

## **PRIMARY INSPECTION**

**Name of Agency:** Triangle Housing Association  
**Agency ID No:** 12196  
**Date of Inspection:** 2 February 2015  
**Inspector's Name:** Jim McBride  
**Inspection No:** 020986

**The Regulation And Quality Improvement Authority**  
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**General Information**

<b>Name of agency:</b>	Triangle Housing Association
<b>Address:</b>	83 Ballyeaston Road Ballyclare BT39 9SG
<b>Telephone Number:</b>	02893324336
<b>E mail Address:</b>	<a href="mailto:alison.simpson@trianglehousing.org.uk">alison.simpson@trianglehousing.org.uk</a>
<b>Registered Organisation / Registered Provider:</b>	Mr Christopher Alexander
<b>Registered Manager:</b>	Ms Martina Donaghy
<b>Person in Charge of the agency at the time of inspection:</b>	Ms Martina Donaghy
<b>Number of service users:</b>	3
<b>Date and type of previous inspection:</b>	Pre-Registration Inspection 15 October 2014
<b>Date and time of inspection:</b>	Primary Announced Inspection 2 February 2015 09:00-13:30
<b>Name of inspector:</b>	Jim McBride

## Introduction

The Regulation and Quality Improvement Authority (RQIA) is empowered under The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 to inspect supported living type domiciliary care agencies. A minimum of one inspection per year is required.

This is a report of a primary inspection to assess the quality of services being provided. The report details the extent to which the standards measured during the inspection were met.

## Purpose of the inspection

The purpose of this inspection was to ensure that the service is compliant with relevant regulations, minimum standards and other good practice indicators and to consider whether the service provided to service users was in accordance with their assessed needs and preferences. This was achieved through a process of analysis and evaluation of available evidence.

RQIA not only seeks to ensure that compliance with regulations and standards is met but also aims to use inspection to support providers in improving the quality of services. For this reason, inspection involves in-depth examination of an identified number of aspects of service provision.

The aims of the inspection were to examine the policies, procedures, practices and monitoring arrangements for the provision of domiciliary care, and to determine the provider's compliance with the following:

- The HPSS (Quality, Improvement and Regulation) (Northern Ireland) Order 2003
- The Domiciliary Care Agencies Regulations (Northern Ireland) 2007
- The Department of Health, Social Services and Public Safety's (DHSSPS) Domiciliary Care Agencies Minimum Standards (2011)

Other published standards which guide best practice may also be referenced during the inspection process.

## Methods/process

Committed to a culture of learning, RQIA has developed an approach which uses self-assessment, a critical tool for learning, as a method for preliminary assessment of achievement of the Minimum Standards.

The inspection process has three key parts; self-assessment, pre-inspection analysis and the visit undertaken by the inspector.

Specific methods/processes used in this inspection include the following:

- Analysis of pre-inspection information
- Discussion with the registered manager
- Examination of records
- Consultation with stakeholders
- File audit

- Evaluation and feedback

Any other information received by RQIA about this registered provider and its service delivery has also been considered by the inspector in preparing for this inspection.

### Consultation process

During the course of the inspection, the inspector spoke to the following:

Service users	0
Staff	6
Relatives	1
Other Professionals	1

Questionnaires were provided, prior to the inspection, to staff to find out their views regarding the service. Matters raised from the questionnaires were addressed by the inspector in the course of this inspection.

Issued To	Number issued	Number returned
Staff	14	9

### Inspection focus

The inspection sought to assess progress with the issues raised during and since the previous inspection and to establish the level of compliance achieved with respect to the following quality themes:

The following four quality themes were assessed at this inspection:

- **Theme 1 - Service users' finances and property are appropriately managed and safeguarded**
- **Theme 2 – Responding to the needs of service users**
- **Theme 3 - Each service user has a written individual service agreement provided by the agency**

### Review of action plans/progress to address outcomes from the previous inspection

The agency's progress towards compliance with the requirements made following the inspection of 15 October 2014 was assessed. The agency has fully met the requirements stated previously.

The registered provider and the inspector have rated the service's compliance level against each good practice indicator and also against each quality theme.

The table below sets out the definitions that RQIA has used to categorise the service's performance:

<b>Guidance - Compliance statements</b>		
<b>Compliance statement</b>	<b>Definition</b>	<b>Resulting Action in Inspection Report</b>
<b>0 - Not applicable</b>		A reason must be clearly stated in the assessment contained within the inspection report
<b>1 - Unlikely to become compliant</b>		A reason must be clearly stated in the assessment contained within the inspection report
<b>2 - Not compliant</b>	Compliance could not be demonstrated by the date of the inspection.	In most situations this will result in a requirement or recommendation being made within the inspection report
<b>3 - Moving towards compliance</b>	Compliance could not be demonstrated by the date of the inspection. However, the service could demonstrate a convincing plan for full compliance by the end of the Inspection year.	In most situations this will result in a requirement or recommendation being made within the inspection report
<b>4 - Substantially compliant</b>	Arrangements for compliance were demonstrated during the inspection. However, appropriate systems for regular monitoring, review and revision are not yet in place.	In most situations this will result in a recommendation, or in some circumstances a requirement, being made within the inspection report
<b>5 - Compliant</b>	Arrangements for compliance were demonstrated during the inspection. There are appropriate systems in place for regular monitoring, review and any necessary revisions to be undertaken.	In most situations this will result in an area of good practice being identified and comment being made within the inspection report.

## Profile of service

Triangle Ballyclare is a domiciliary care type Supported Living Scheme operated by Triangle and provides domiciliary care to adults with a learning disability and complex needs within a residential area of Ballyclare.

Service users avail of care and support commissioned on their behalf by the HSC Trust. Services are available on a 24 hour basis with agency staff also providing waking cover at night.

Service users rent their accommodation from Triangle Housing association and share two bungalows No 83 and 103 which have access at both the front and rear of the property. There are six single rooms which service users are supported to furnish and decorate to their own personal taste.

## Summary of inspection

The inspection was undertaken on 2 February 2015. The inspector met with the registered manager during the inspection.

The inspector had the opportunity to observe two service users throughout the inspection who were going about their daily activities. One service user engaged with the inspector and appeared to be at home within the service.

The inspector spoke to six staff during the inspection. Staff stated that all service users have a care and support plan that meets their needs and has been prepared with HSC trust involvement.

The inspector had the opportunity to discuss the quality of the service with **one** HSC Trust staff member and one relative. The comments received have been added to this report.

Records examined show evidence of a person centred and individual service. This was acknowledged within individual care plans examined by the inspector as well as during discussion with the manager and staff.

It was good to note that human rights legislation is outlined explicitly in each care and support plan.

Staff interviewed stated that they have attended human rights training and that they promote individual human rights daily in their work with service users. The last recorded training session was on the 13 January 2015

## Service user's comments:

This was difficult due to the nature of individual disabilities however the inspector did observe service users in their own being support by staff when requested.

**Staff Comments:**

“Good communication”  
“Training is good”  
“Induction prepared me for my role”  
“One to one support to service users is important to the service users”  
“Supervision and support is good for staff”  
“Staff work well together”  
“Good team meetings”

**HSC Trust staff member comments:**

“My client has settled well”  
“The feedback from families is excellent they are happy with the service and happy their relatives have settled”  
“I have regular contact”  
“The staff are supportive and helpful”

**Relatives Comments:**

“All the staff are friendly and approachable”  
“My relative has settled well and is happy there”  
“I have seen such a change in him since his move, he responds to us well”  
“I am happy with the service”  
“Staff treat my relative very well and encourage him to communicate”  
“I have no complaints about the service”

Nine staff questionnaires were received prior to and during the inspection; the inspector also spoke to six members of staff on duty during the inspection and has added their comments to this report.

**The nine questionnaires returned indicated the following:**

- Protection from abuse training was received by all nine staff
- Training was rated as good or excellent
- Staff competency was assessed via questions/answers, group discussion, individual participation, handovers and supervision.
- Tenants views and experiences are taken into account
- Monthly monitoring takes place and comments are received from service users, staff and relatives
- Staff are aware of the main principles of supported living
- Service users have in place individual service agreements
- Care-plans are prepared in conjunction with HSC Trusts.

Records in place, examined by the inspector verify the above statements received from staff.

It was evident from reading individual person centred support plans and discussions with staff that the service users and their representatives have control/input over individual care and support.

### **Individual comments on the principles supported living from staff:**

- “Person centred support, level of support based on individual need”
- “Greater control of how their own lives, choices to be respected and adhered to”
- “Social inclusion”
- “Support service users in their own home”
- “To live their life to their full potential”
- “Promote choice, independence and social inclusion”
- “Promote service users human rights”
- “To live a full a life as possible”

Staff also stated that systems are in place to ensure individual opinions are heard they include.

### **The areas indicated above were verified by:**

- Discussion with staff
- Monthly monitoring visit records
- Staff training records.

### **Detail of inspection process:**

#### **Theme 1 - Service users' finances and property are appropriately managed and safeguarded**

The agency has achieved a compliance level of '**compliant**' in relation to Theme 1.

The inspector viewed a range of documentation including financial policies, the service user guide, HSC Trust assessments, financial support plans, financial agreements, cash books and receipts in order to assess compliance with Theme 1.

The inspector noted that the terms and conditions and amounts paid for services were stated in the financial agreements and service user guide. The cash books viewed by the inspector maintained a clear and up to date record of all financial transactions and are signed by two staff members.

The inspector noted that the apportioning of shared costs was stated in the financial agreement of service users, the payments to the service user were seen in the cash book and other documentation.

During the inspection the arrangements for receiving and handling service user's monies were examined. The inspector viewed the assessments and financial support plans which clarified the support each service user required in respect of handling money. The inspector viewed documentation of methods of daily, weekly and quarterly financial reconciliations completed by the agency, including random checks.

The inspector was informed that staff purchase their own food for consumption whilst on duty. The agency does not act as appointee for any service user.

Staff who took part in the inspection confirmed that service users could access their money at any time.

## **Theme 2 – Responding to the needs of service users**

The agency has achieved a compliance level of '**compliant**' in relation to Theme 2.

The inspector viewed a range of care and support plans which incorporated service users' needs from assessments completed by the HSC Trust. Care and support plans were person centred, reflected a range of interventions, and included the involvement of the service user and/ or their representative.

Documentation and feedback from staff, professionals and relatives showed that the agency responds to the changing needs of service users, reviews care practices, and adapts care and support plans accordingly.

It was good to note that the agency has included human rights considerations within care and support plans.

The inspector viewed up to date training records and discussed the system of training and evaluation with the registered manager. Staff reported that they had received training to equip them to carry out their roles. The knowledge and values acquired by staff were reflected in feedback through questionnaires and discussion.

In the course of inspection staff were able to describe care practices which could result in restrictions for the service user or impact on others. Feedback showed that staff have an understanding of human rights issues in relation to restrictive practice.

The agency keeps a register of restrictive practice which is under regular review. The manager discussed the current restrictive practices in place i.e. door alarms. The inspector viewed care and support plans, assessments completed by the HSC Trust and regular review reports which showed an evaluation of this practice and the human rights issues around it.

## **Theme 3 - Each service user has a written individual service agreement provided by the agency**

The agency has achieved a compliance level of '**compliant**' in relation to Theme 3.

The inspector viewed a range of support and care plans which were consistent with care commissioned by the HSC Trust. Care and support plans were person centred, individualised and reflected the needs and preferences of the service user. Service users' representatives had an understanding of the amount and type of care provided by the agency.

Financial agreements viewed by the inspector stated the number of hours of care and support provided by the agency. Financial agreements were signed by the service user and/or their representative.

The registered manager confirmed the report of care reviews commissioned by the HSC Trust that all service users had annual reviews from 1 April 2013 – 31 March 2014. Review meeting records viewed by the inspector showed involvement of the service user and/or their representative, the agency and HSC Trust staff.

## **Additional matters examined**

### **Monthly Quality Monitoring Visits by the Registered Provider**

Reports of monthly quality monitoring were viewed by the inspector from August 2014 to December 2014. The reports reflected consultation with service users, relatives, staff and professionals. Where unsuccessful attempts were made to contact professionals, this was noted. Previous quality improvement plans were referenced and improvement measures were evident. It should be noted that the registered person has ensured that restrictive practices are reflected in the reports of monthly monitoring.

### **Charging Survey**

At the request of RQIA and in advance of this inspection, the agency submitted to RQIA a completed survey in relation to the arrangements for charging service users.

The registered manager confirmed that agency staff do not act on behalf of service users as appointees but do act as agents and are in receipt of monies for safekeeping ensuring they keep income and expenditure records.

The returned survey shows that no service user is paying for additional care services that do not form part of the HSC trust's care assessment.

### **Care reviews**

The registered manager completed and returned to RQIA a questionnaire which sought information about the role of the HSC Trust in reviewing the needs and care plans of service users during the period 1 April 2013 – 31 March 2014 (in accordance with In accordance with the DHSSPS Circular HSC (ECCU) 1/2010 "Care Management, provision of services and charging guidance"). Reviews have been completed; confirmation of this was reviewed by the inspector and confirmed by the HSC Trust staff spoken to.

### **Statement of Purpose:**

The agency's statement of purpose was examined and reflected the current nature and range of services provided by the agency at the time of the inspection. The agency's statement of purpose was reviewed January 2015.

The inspector would like to thank the service users and agency staff for their warm welcome and full cooperation throughout the inspection process.

**Follow-up on previous issues**

No.	Regulation Ref.	Requirements	Action Taken - As Confirmed During This Inspection	Number of Times Stated	Inspector's Validation of Compliance
1	13 Sch 39	<p>The registered person must ensure that recruitment records include details of employees' physical and mental health including immunisation status, and a statement by the registered provider that the employee is physically and mentally fit for the work he is to perform.</p>	<p>The agency has updated their recruitment records and the relevant information is now in place.</p>	One	Fully Met
2	15(3) (a)	<p>The registered person shall-                      (a) make the service user's plan available to:                      (i) the service user:                      (ii) any representative of a service who was consulted on its preparation or revision.</p> <p>This requirement refers to service users' needs assessments and care plans which are required to be signed by the service user and or their representatives.</p>	<p>The inspector examined all four care plans which have been signed off by the relevant parties.</p>	One	Fully Met

<b>THEME 1 - SERVICE USERS' FINANCES AND PROPERTY ARE APPROPRIATELY MANAGED AND SAFEGUARDED</b>	
<p><b>Statement 1:</b>  <b>The agency maintains complete and up to date records in respect of the terms and conditions of the provision of personal care</b></p> <ul style="list-style-type: none"> <li>• The agency provides to each service user a written guide, including a personalised written agreement detailing the specific terms and conditions in respect of any specified service to be delivered, including the amount and method of payment of any charges to the service user;</li> <li>• The individual agreement details all charges payable by the service user to the agency, the services to be delivered in respect of these charges and the method of payment;</li> <li>• Where service users pay for additional personal care services which do not form part of the HSC trust's care assessment, documentation exists confirming that the HSC trust are aware of any arrangements in place between the agency and the service user;</li> <li>• The individual agreement clarifies what arrangements are in place to apportion shared costs between the agency and the service user(s). This includes those costs associated with any accommodation used in connection with agency business, where this is conducted from the service users' home;</li> <li>• There are arrangements in place to quantify the costs associated with maintaining any unused areas within the service users' home which they do not have exclusive possession of;</li> <li>• The service user guide/ individual agreement clarifies what the arrangements are for staff meals while on duty in the service users' home;</li> <li>• Where the agency is involved in supporting a service user with their finances or undertaking financial transactions on the service user's behalf, the arrangements and records to be kept are specified in the service user's individual agreement;</li> <li>• The agency has a policy and procedure in place to detail the arrangements where support is provided by agency staff to enable the service users to manage their finances and property;</li> <li>• The agency notifies each service user in writing, of any increase in the charges payable by the service user at least 4 weeks in advance of the increase and the arrangements for these written notifications are included in each service user's agreement user's home looks like his/her home and does not look like a workplace for care/support staff.</li> </ul>	<p><b>COMPLIANCE LEVEL</b></p>

<p><b>Provider's Self-Assessment</b></p>	
<p>Each Service User receives a written agreement (statement of purpose) detailing the specific terms and conditions of specified services to be delivered including the amount and method of payment and charges to the service user. An individual finance agreement is completed prior to admission which details all charges relating to their support and care which includes costs for communal charges and arrangements for staff meals.</p> <p>Arrangements for staffs meals while on duty in the service users home is detailed in the service user guide. Following an assessment of need the level of support is defined in their finance support plan.</p> <p>The Organsiation has clear procedures in place which details the arrangements for supporting a Service User with their finances.</p> <p>The agency notifies in writing each service user increases in charges yearly which is attached to to the Service User guide.</p>	<p>Substantially compliant</p>
<p><b>Inspection Findings:</b></p>	
<p>The inspector viewed the service user guide which includes the terms and conditions of the service to be delivered. The individual financial agreements and service user guide viewed by the inspector state the amount and payment of charges and methods of payment. The inspector was advised by the registered manager that service users only pay for care that is provided on the basis of a HSC Trust assessment of need.</p> <p>The inspector noted that apportioning of shared costs is set out in the financial agreement of the service user whose home is used in connection with agency business. The inspector was advised that staff use a sleepover room/office space, and staff toilet within the service user's home. The inspector viewed a policy which stated that Triangle Housing Association pays 10% of all oil and electric costs of the service user's home from petty cash. The inspector viewed financial records in a cash book which showed regular and up to date financial transactions to the service user in respect of utility bills.</p> <p>The arrangements for staff meals are stated in the service user guide; staff are responsible for purchasing food they consume whilst on duty. The amounts which the agency pays towards a staff meal during an outing with a service user are stated in the financial agreement and in the support plans seen by the inspector. The inspector viewed support plans which clearly stated the arrangements for supporting service users with their finances; in accordance with the financial policy and procedure.</p> <p>The arrangements for written notification four weeks in advance of changes in charges are stated in the service user guide.</p>	<p>Compliant</p>

<b>THEME 1 - SERVICE USERS' FINANCES AND PROPERTY ARE APPROPRIATELY MANAGED AND SAFEGUARDED</b>	
<p><b>Statement 2:</b>  <b>Arrangements for receiving and spending service users' monies on their behalf are transparent, have been authorised and the appropriate records are maintained:</b></p> <ul style="list-style-type: none"> <li>• The HSC trust's assessment of need describes the individual needs and capabilities of the service user and the appropriate level of support which the agency should provide in supporting the service user to manage their finances;</li> <li>• The agency maintains a record of the amounts paid by/in respect of each service user for all agreed itemised services and facilities, as specified in the service user's agreement;</li> <li>• The agency maintains a record of all allowances/ income received on behalf of the service user and of the distribution of this money to the service user/their representative. Each transaction is signed and dated by the service user/their representative and a member of staff. If a service user/their representative are unable to sign or choose not to sign for receipt of the money, two members of staff witness the handover of the money and sign and date the record;</li> <li>• Where items or services are purchased on behalf of service users, written authorisation is place from the service user/their representative to spend the service user's money on identified items or services;</li> <li>• There are contingency arrangements in place to ensure that the agency can respond to the requests of service users for access to their money and property at short notice e.g.: to purchase goods or services not detailed on their personal expenditure authorisation document(s);</li> <li>• The agency ensures that records and receipts of all transactions undertaken by the staff on each service user's behalf; are maintained and kept up-to-date;</li> <li>• A reconciliation of the money/possessions held by the agency on behalf of service users is carried out, evidenced and recorded, at least quarterly;</li> <li>• If a person associated with the agency acts as nominated appointee for a service user, the arrangements for this are discussed and agreed in writing with the service user/ their representative, and if involved, the representative from the referring Trust. These arrangements are noted in the service user's agreement and a record is kept of the name of the nominated appointee, the service user on whose behalf they act and the date they were approved by the Social Security Agency to act as nominated appointee;</li> <li>• If a member of staff acts as an agent, a record is kept of the name of the member of staff, the date they acted in this capacity and the service user on whose behalf they act as agent;</li> <li>• If the agency operates a bank account on behalf of a service user, written authorisation from the</li> </ul>	<p><b>COMPLIANCE LEVEL</b></p>

<p>service user/their representative/The Office of Care and Protection is in place to open and operate the bank account,</p> <ul style="list-style-type: none"> <li>Where there is evidence of a service user becoming incapable of managing their finances and property, the registered person reports the matter in writing to the local or referring Trust, without delay;</li> </ul> <p>If a service user has been formally assessed as incapable of managing their finances and property, the amount of money or valuables held by the agency on behalf of the service user is reported in writing by the registered manager to the referring Trust at least annually, or as specified in the service user's agreement.</p>	
<b>Provider's Self-Assessment</b>	
<p>Prior to admission the HSC Trust identifies needs of the Service User and provide a statutory care plan. An offer letter is sent from the agency outlining the costs to the HSC Trust in regard to the individual service user. All transactions are detailed in the service users cash record book. Where items over the value of £250 as recommended by RQIA finance inspector their representative is contacted and notified of expenditure. Each Service User in their support plan has agreed amount to withdraw each week which covers expenditure as detailed in their financial agreement. If Service User wish to withdraw more money the agency support the service user to do so. Where the Trust/family manage the Service User finances a request will be made to the named worker for additional money. Where agency staff support a service user all records are completed and receipts retained. Agency staff carry out a reconciliation after each transaction and hand all finances over to keyholder coming on shift.. Audits are carried out monthly by the Service Manager off all transactions, receipts and expenditure. The Regional Manager carries out sample audits to ensure the procedure is followed. Triangle finance department also carry out internal audits. The Service Users finance support plans details the arrangements if the agency acts as nominated appointee. A record is kept of sample signature for all staff.</p>	Substantially compliant
<b>Inspection Findings:</b>	
<p>The HSC Trust assessments of need viewed by the inspector include the individual needs and capabilities of service users in relation to managing finances. The inspector viewed finance books which are kept in the home of each service user. The finance books maintain an up to date record of amounts paid in, distributions of money to the service user, and transactions for services, in accordance with financial agreements. Each transaction is signed by two members of staff.</p>	Compliant

The inspector saw written evidence in finance books of checks and reconciliations carried out by agency staff. The agency carries out a range of checks: the balance of each service user’s money tin is checked daily; weekly reconciliations are completed by the service manager. The inspector saw evidence of random receipt balances by the service manager and random quarterly compliance audits completed by the registered manager. Where agency staff are involved in supporting service users to make purchases, the inspector viewed receipts and up to date written records of the transactions. Receipts are numbered and can be cross referenced with the individual service user’s finance book.

Agency staff confirmed that staff members will respond to service users’ requests for access to their money tin at any time. The agency does not act as appointee for any service user or operate any bank account on behalf of service users. The registered manager described how the HSC Trust would be requested to complete a financial capacity assessment in the case of a service user becoming incapable of managing finances.

<b>THEME 1 - SERVICE USERS' FINANCES AND PROPERTY ARE APPROPRIATELY MANAGED AND SAFEGUARDED</b>	
<p><b>Statement 3:</b>  <b>Where a safe place is provided within the agency premises for the storage of money and valuables deposited for safekeeping; clear, up to date and accurate records are maintained:</b></p> <ul style="list-style-type: none"> <li>• Where the agency provides an appropriate place for the storage of money and valuables deposited for safekeeping, robust controls exist around the persons who have access to the safe place;</li> <li>• Where money or valuables are deposited by service users with the agency for safekeeping and returned, a record is signed and dated by the service user/their representative, and the member of staff receiving or returning the possessions;</li> <li>• Where a service user has assessed needs in respect of the safety and security of their property, there are individualised arrangements in place to safeguard the service user's property;</li> <li>• Service users are aware of the arrangements for the safe storage of these items and have access to their individual financial records;</li> <li>• Where service users experience restrictions in access to their money or valuables, this is reflected in the service user's HSC trust needs/risk assessment and care plan;</li> </ul> <p>A reconciliation of the money and valuables held for safekeeping by the agency is carried out at regular intervals, but least quarterly. Errors or deficits are handled in accordance with the agency's SVA procedures.</p>	<b>COMPLIANCE LEVEL</b>
<b>Provider's Self-Assessment</b>	
<p>An identified area for the storage of money is agreed with the Service User and documented in the finance support plan. On each shift an identified key holder assumes responsibility for all finances. The agency has a procedure SS3-8 Personal belongings /Valuables and missing items which includes a property record form which details property belonging to the user. The support plan details the level of restriction where appropriate in regard to money and property.</p>	Substantially compliant
<b>Inspection Findings:</b>	
<p>The registered manager advised the inspector that service user monies is kept in a tin in a locked cupboard in their own home. In the case of a service user choosing or being unable to hold their key, this is assessed and noted in their financial support plan. The pin number and bank card of a service user are kept separately in a locked cabinet, in accordance with advice provided by a RQIA finance inspector. The arrangements for this are noted in the financial support plan signed by the service user. Controls exist around who holds keys whilst on shift.</p>	Compliant

Due to the high level of disability services users need appropriate help to access their monies. The manager stated that service users can indicate when they want access to money for outing to shops etc.	
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<p><b>THEME 1 - SERVICE USERS' FINANCES AND PROPERTY ARE APPROPRIATELY MANAGED AND SAFEGUARDED</b></p>	
<p><b>Statement 4:</b>  <b>Arrangements for providing transport to service users are transparent and agreed in writing with the service user/their representative:</b></p> <ul style="list-style-type: none"> <li>• The needs and resources of the individual service user are considered in conjunction with the HSC Trust assessment;</li> <li>• The charges for transport provision for an individual service user are based on individual usage and are not based on a flat-rate charge;</li> <li>• Service users have the opportunity to opt out of the transport scheme and the arrangements for opting out are detailed within the agency's policies and procedures;</li> <li>• Written agreement between the service user and the agency is in place, detailing the terms and conditions of the transport scheme. The agreement includes the charges to be applied and the method and frequency of payments. The agreement is signed by the service user/ their representative/HSC trust where relevant and a representative of the service;</li> <li>• Written policies and procedures are in place detailing the terms and conditions of the scheme and the records to be kept;</li> <li>• Records are maintained of any agreements between individual service users in relation to the shared use of an individual's Motability vehicle;</li> <li>• Where relevant, records are maintained of the amounts of benefits received on behalf of the service user (including the mobility element of Disability Living Allowance);</li> <li>• Records detail the amount charged to the service user for individual use of the vehicle(s) and the remaining amount of Social Security benefits forwarded to the service user or their representative;</li> <li>• Records are maintained of each journey undertaken by/on behalf of the service user. The record includes: the name of the person making the journey; the miles travelled; and the amount to be charged to the service user for each journey, including any amount in respect of staff supervision charges;</li> <li>• Where relevant, records are maintained of the annual running costs of any vehicle(s) used for the transport scheme;</li> <li>• The agency ensures that the vehicle(s) used for providing transport to service users, including private (staff) vehicles, meet the relevant legal requirements regarding insurance and road worthiness.</li> </ul>	<p><b>COMPLIANCE LEVEL</b></p>

<p>Where the agency facilitates service users to have access to a vehicle leased on the Motability scheme by a service user, the agency ensures that the above legal documents are in place;</p> <ul style="list-style-type: none"> <li>Ownership details of any vehicles used by the agency to provide transport services are clarified.</li> </ul>	
<p><b>Provider's Self-Assessment</b></p> <p>Care plans are in place and detail the needs and resources of the individual service user, in conjunction with the HSC trust, when using transport.</p> <p>The agency has a Travel by Car Procedure which details the arrangements in respect of charges. The agency does not operate a transport scheme.</p> <p>A consent form which details they are agreeing to pay the mileage cost incurred if they choose to use another persons vehicle.</p> <p>Each year the Social Security Agency provides family/trust with benefit entitlement.</p> <p>Within the Travel by car procedure it is detailed their responsibilities in regard to the legal requirement. when a staff member uses their car to transport Service User.</p> <p>As part of the performance review process, staff are required to provide up to date copies of driving license, MOT and insurance.</p>	Substantially compliant
<p><b>Inspection Findings:</b></p> <p>The inspector was advised that the agency does not provide a transport scheme currently and that service users use private taxis for outings.</p>	Compliant

<p><b>PROVIDER'S OVERALL ASSESSMENT OF THE AGENCY'S COMPLIANCE LEVEL AGAINST THE STANDARD ASSESSED</b></p>	<p><b>COMPLIANCE LEVEL</b></p>
	<p>Substantially compliant</p>

<p><b>INSPECTOR'S OVERALL ASSESSMENT OF THE AGENCY'S COMPLIANCE LEVEL AGAINST THE STANDARD ASSESSED</b></p>	<p><b>COMPLIANCE LEVEL</b></p>
	<p>Compliant</p>

<b>THEME 2 – RESPONDING TO THE NEEDS OF SERVICE USERS</b>	
<p><b>Statement 1:</b>  <b>The agency responds appropriately to the assessed needs of service users</b></p> <ul style="list-style-type: none"> <li>• The agency maintains a clear statement of the service users’ current needs and risks.</li> <li>• Needs and risk assessments reflect the input of the HSC Trust and contain the views of service users and their representatives.</li> <li>• Agency staff record on a regular basis their outcome of the service provided to the individual</li> <li>• Service users’ care plans reflect a range of interventions to be used in relation to the assessed needs of service users</li> <li>• Service users’ care plans have been prepared in conjunction with the service user and their HSC Trust representative(s) and reflect appropriate consideration of human rights.</li> </ul>	<b>COMPLIANCE LEVEL</b>
<p><b>Provider’s Self-Assessment</b></p> <p>Each Service User has a completed assessment of need which outlines the needs and risk. The HSC Trust is involved in the assessments and contain the users/representatives views.                      The Agency staff record daily the outcome of care plans and risk assessment on progress records which capture a wide range of interventions to meet assessed need.                      We are currently reviewing care planning to capture the appropriate human right consideration.</p>	Substantially compliant
<p><b>Inspection Findings:</b></p> <p>The inspector viewed a range of care and support plans which incorporated service users’ needs from assessments completed by the HSC Trust. The inspector noted that care and support plans adapted to changes in the needs of service users and included HSC Trust reassessments. Care and support plans reflected the involvement of the service user and/or their representative and the HSC Trust. Care and support plans were person centred and reflected a range of interventions appropriate to the needs of the individual. Agency staff and HSC professionals reported that care and support plans were adapted to respond to the changing needs of service users.                      The outcome of services provided was recorded in daily records and could also be seen in review records. The inspector noted that human rights were appropriately considered in care and support plans. A copy of human rights information was held in the service user’s file and had been documented as discussed at the tenants’ meeting. A written consideration of human rights was included at the front service users’ files and human rights were reflected implicitly throughout the care and support plan. Staff stated that they have had training in human rights , the last recorded session was on the 13 January 2015</p>	Compliant

<b>THEME 2 – RESPONDING TO THE NEEDS OF SERVICE USERS</b>	
<p><b>Statement 2:</b>  <b>Agency staff have the appropriate level of knowledge and skill to respond to the needs of service users</b></p> <ul style="list-style-type: none"> <li>• Agency staff have received training and on-going guidance in the implementation of care practices</li> <li>• The effectiveness of training and guidance on the implementation of specific interventions is evaluated.</li> <li>• Agency staff can identify any practices which are restrictive and can describe the potential human rights implications of such practices.</li> <li>• The agency maintains policy and procedural guidance for staff in responding to the needs of service users</li> <li>• The agency evaluates the impact of care practices and reports to the relevant parties any significant changes in the service user’s needs.</li> <li>• Agency staff are aware of their obligations in relation to raising concerns about poor practice</li> </ul>	<b>COMPLIANCE LEVEL</b>
<p><b>Provider’s Self-Assessment</b></p> <p>Staff on induction receive the following training which underpins the implementation of care practice. They receive support services induction which includes the roles and responsibilities of a social care work and models of practice in relation to the job role. At Respect training which is the management of challenging behaviour staff complete an assessment afterwards the training which shows their understanding of the course delivered around restrictive practice and the potential human rights implication.. If the trainers have concerns around their response their line manager would be contacted so they could discuss further with the staff member.</p> <p>As part of the performance review process, training is evaluated.</p> <p>The Organisation maintains the relevant policy &amp; procedures in these areas.</p> <p>The agency keeps a risk registrar of all restrictive practices which is reviewed quartely by the the relevant registered manager with multi disciplinary involvement.</p> <p>The impact of care practice is evaluated and reported to the relevant named worker when required.</p> <p>At training staff are reminded of their obligation to raise concerns about poor practice.</p>	Substantially compliant

<b>Inspection Findings:</b>	
<p>The inspector viewed training records which showed that staff have received training relevant to the implementation of care practices. The registered manager described the agency’s training system, which involves a training team identifying staff that require training, including mandatory areas. The registered manager showed records kept which monitor when staff have attended training. Staff provided feedback that they had received training to equip them to carry out their roles.</p> <p>The registered manager discussed the agency’s methods of evaluating the effectiveness of training including: staff feedback, review of training by managers, use of supervision, and observations of staff whilst on duty. The registered manager showed the inspector records of staff training and the documentation used twice yearly for performance review. In addition, staff receive one to one supervision twice yearly, and finance and medication competency testing yearly. Staff who took part in the inspection reported having good access to informal supervision and guidance via senior staff on duty.</p> <p>In the course of the inspection, staff interviewed were able to discuss human rights implications and practices which could result in restriction of service users.</p> <p>The inspector viewed the agency’s policy on responding to the needs of service users and service user support and care policy.</p> <p>Feedback from HSC professionals described the agency as responding appropriately to the ongoing and changing needs of service users, and communicating appropriately with the HSC Trust. The inspector viewed review reports and care records which showed how agency staff had evaluated the impact of care practices and reported changes in the service user’s needs appropriately.</p> <p>The inspector received feedback from staff who could clearly describe how to report concerns about poor practice.</p>	<p>Compliant</p>

<b>THEME 2 – RESPONDING TO THE NEEDS OF SERVICE USERS</b>	
<p><b>Statement 3:</b>  <b>The agency ensures that all relevant parties are advised of the range and nature of services provided by the agency</b></p> <ul style="list-style-type: none"> <li>• Service users and their relatives and potential referral agents are advised of any care practices that are restrictive or impact on the service users’ control, choice and independence in their own home.</li> <li>• The agency’s Statement of Purpose and Service User Guide makes appropriate references to the nature and range of service provision and where appropriate, includes restrictive interventions</li> <li>• Service users are advised of their right to decline aspects of their care provision. Service users who lack capacity to consent to care practices have this documented within their care records.</li> <li>• Service users are provided with a copy of their care plan (in a format that is appropriate to their needs and level of understanding) and receive information in relation to potential sources of (external) support to discuss their needs and care plan.</li> <li>• The impact of restrictive practices on those service users who do not require any such restrictions.</li> </ul>	<b>COMPLIANCE LEVEL</b>
<p><b>Provider’s Self-Assessment</b></p> <p>Restrictive practices are discussed and agreed with the service users, relatives and the referring trust. Within the Service User guide and statement of purpose, it details that the organisation has a challenging behaviour and restrictive practice procedure in place. Any practice that restricts the service users control, choice and independence in their own home is agreed with the service user and or family/career and referring trust.</p> <p>Also within this document Service Users are advised of their right to decline aspects of their care provision. Where a Service User lacks capacity their named worker and representative are involved and agree to the care and support plans.</p> <p>Restrictive practices are detailed in the service users care and support plans.</p> <p>Service Users can have a copy of their care plan if they wish in a user friendly format.</p>	Substantially compliant

Inspection Findings:	
<p>The inspector viewed the Statement of Purpose and service user guide which include appropriate reference to restrictive practice. The Statement of Purpose advises of the right to decline care practices. Service users are provided with a copy of their care and support plans which are kept in their own homes. Relatives who spoke with the inspector knew what services were being provided. Feedback from relatives and discussion with the manager highlighted that the agency involves relatives in the consideration of appropriate care practices. Relatives who spoke with the inspector were aware of possible care practices which could keep their relative safe, but would result in unnecessary and disproportionate restriction if used. As stated by the agency in their self-assessment there are restrictive measures in place. This was verified by the manager and staff interviewed during discussion. Care practices which are restrictive are undertaken only when there are clearly identified and documented risks and needs.</p> <p>Care practices which are restrictive can be justified, are proportionate and are the least restrictive measure to secure the safety or welfare of the service user. This was discussed with the service user and the manager. Care practices are in accordance with the DHSSPS (2010) Circular HSC/MHDP – MHU 1 /10 – revised. Deprivation of Liberty Safeguards. (DOLS) – Interim Guidance. Agency staff who met with the inspector described their understanding of restrictive practice and identified the use of a restrictive practice in the homes of service users.</p> <p>The agency evaluates the impact of restrictive care practices and reports to the relevant parties any significant changes in the service user’s needs. This was in evidence the inspector reviewed the comprehensive records of the review and evaluation in pace within the agency.</p> <p>Staff were able to describe the training in place both in challenging behaviour and human rights and how they uphold individual rights.</p>	<p>Compliant</p>

<b>THEME 2 – RESPONDING TO THE NEEDS OF SERVICE USERS</b>	
<p><b>Statement 4</b>  <b>The registered person ensures that there are robust governance arrangements in place with regard to any restrictive care practices undertaken by agency staff.</b></p> <ul style="list-style-type: none"> <li>• Care practices which are restrictive are undertaken only when there are clearly identified and documented risks and needs.</li> <li>• Care practices which are restrictive can be justified, are proportionate and are the least restrictive measure to secure the safety or welfare of the service user.</li> <li>• Care practices are in accordance with the DHSSPS (2010) Circular HSC/MHDP – MHU 1 /10 – revised. Deprivation of Liberty Safeguards. (DOLS) – Interim Guidance.</li> <li>• The agency evaluates the impact of restrictive care practices and reports to the relevant parties any significant changes in the service user’s needs.</li> <li>• The agency maintains records of each occasion restraint is used and can demonstrate that this was the only way of securing the welfare of the service user (s) and was used as a last resort.</li> <li>• Restraint records are completed in accordance with DHSSPS (2005) Human Rights Working Group on Restraint and Seclusion: Guidance on Restraint and Seclusion in Health and Personal Social Services.</li> <li>• The agency forwards to RQIA and other relevant agencies notification of each occasion restraint is used</li> <li>• The registered person monitors the implementation of care practices which are restrictive in nature and includes their on-going assessment of these practices within the monthly quality monitoring report</li> </ul>	<b>COMPLIANCE LEVEL</b>
<p><b>Provider’s Self-Assessment</b></p> <p>The agency has a policy and associated procedure in regard of the use of restrictive practice which includes a definition of physical restraint. The agency has developed a risk register of any restrictive practices within its services, this includes the review of any agreed plans which may limit a service user's ability to leave their home or access areas within their home. The risk register is reviewed quartely by the registered manager and the agency is committed to reducing the use of restrictive practice. Restrictive interventions are put in place in consultation with service users where possible, their representatives and with involvement of the trust behaviour team.</p> <p>The agency's policy and procedures reflects full compliance with DHSSPS guidance in relation to restrictive practices.</p>	Substantially compliant

<p>Multi-disciplinary assessments and decisions made in relation to restrictive practice is documented in the service users records with a Trust Risk Assessment.                  All decisions are focused on the best interests of the individual service users and where appropriate actions is taken to safeguard one or more service users, this is agreed by the trust and monitored.                  Where a behaviour programme may impact on others the registered manager would highlight this to the trust before it is agreed.</p>	
<p><b>Inspection Findings:</b></p>	
<p>The inspector viewed the HSC Trust specialist assessments and records of discussion in relation to service users who experience care and support which is restrictive. The documentation examined showed service user involvement in the care and support plan which is subject to regular review by the multi-disciplinary team. The outcomes of this practice had been recorded in documentation viewed by the inspector. The manager was able to show how this practice was justified, proportionate and the least restrictive measure.</p> <p>The inspector was advised that the agency does use restraint when necessary for one service user, this is clearly recorded within the individuals care and support plan and is when used documentation is sent to the HSC Trust and recorded as appropriate.</p> <p>The inspector viewed the agency’s restrictive practice register which is updated monthly. The registered person ensures that any practice which could be regarded as restrictive is evaluated within the monthly quality monitoring report.</p>	<p>Compliant</p>

<p><b>PROVIDER’S OVERALL ASSESSMENT OF THE AGENCY’S COMPLIANCE LEVEL AGAINST THE STANDARD ASSESSED</b></p>	<p><b>COMPLIANCE LEVEL</b></p>
	<p>Substantially compliant</p>

<p><b>INSPECTOR’S OVERALL ASSESSMENT OF THE AGENCY’S COMPLIANCE LEVEL AGAINST THE STANDARD ASSESSED</b></p>	<p><b>COMPLIANCE LEVEL</b></p>
	<p>Compliant</p>

<b>THEME 3 - EACH SERVICE USER HAS A WRITTEN INDIVIDUAL SERVICE AGREEMENT PROVIDED BY THE AGENCY</b>	
<b>Statement 1</b>	<b>COMPLIANCE LEVEL</b>
<p><b>Evidence inspected confirms that service users/representatives have written information and/or had explained to them the amount and type of care provided by the agency</b></p> <ul style="list-style-type: none"> <li>• Service users/representatives can describe the amount and type of care provided by the agency</li> <li>• Staff have an understanding of the amount and type of care provided to service users</li> <li>• The agency’s policy on assessment and care planning and the statement of purpose/service user guide describe how individual service user agreements are devised.</li> <li>• The agency’s service user agreement is consistent with the care commissioned by the HSC Trust. The agency’s care plan accurately details the amount and type of care provided by the agency in an accessible format.</li> </ul>	
<p><b>Provider’s Self-Assessment</b></p> <p>Each Service User is provided with A Service User Guide before Admissiom which details the type of care provided by the Agency. Each staff member recieves induction and are provided the opportunity to read Service Users assessment of need careplans and associated risk plan. The Agency has clear procedure ( SS3-2 ) which explains this process Each Service Users has an individual Financial Agreement which clearly states the amount of care and support hours commissioned .</p>	Substantially compliant
<p><b>Inspection Findings:</b></p> <p>Service users’ relatives and representatives have an understanding of the amount and type of care provided by the agency. Service users were observed by the inspector engaging with staff to come to assist them with certain activities. Staff showed a clear understanding of the amount and type of care provided to service users, whilst operating a flexible service where they can respond to service user need. The inspector viewed the agency’s policy on assessment on care planning. The Statement of Purpose describes how care and support plans are devised. Service user agreements and care plans viewed by the inspector were consistent with care commissioned by the HSC Trust. Care and support plans viewed by the inspector reflected the needs and preferences of service users and how these should be met. Financial agreements viewed by the inspector stated the number of hours of care and support provided by the agency.</p>	Compliant

<b>THEME 3 - EACH SERVICE USER HAS A WRITTEN INDIVIDUAL SERVICE AGREEMENT PROVIDED BY THE AGENCY</b>	
<b>Statement 2</b>	<b>COMPLIANCE LEVEL</b>
<p><b>Evidence inspected confirms that service users/representatives understand the amounts and method of payment of fees for services they receive as detailed in their individual service agreement.</b></p> <ul style="list-style-type: none"> <li>• Service users/representatives can demonstrate an understanding of the care they receive which is funded by the HSC Trust</li> <li>• Service users/representatives can demonstrate an understanding of the care which they pay for from their income.</li> <li>• Service users/representatives have an understanding of how many hours they are paying for from their income, what services they are entitled to and the hourly rate.</li> <li>• Service users/representatives have an understanding of how to terminate any additional hours they are paying for from their income</li> <li>• Service users/representatives have been informed that cancellation of additional hours they are paying for from their income will not impact upon their rights as a tenant.</li> </ul>	
<p><b>Provider's Self-Assessment</b></p> <p>At the yearly multi disciplinary review we discuss the care and support delivered to the service user as funded by the referring trust and supporting people.                      Finance agreement is updated annually which details the care and support hours delivered to the service user. this is agreed with the service user and or famil/career.                      The Service User guide clearly outlines how a Service User/representative can terminate any additional hours they pay from their income. The guide also informs them by cancellation of additional hours will not impact as a Tenant.</p>	Substantially compliant
<p><b>Inspection Findings:</b></p> <p>The inspector viewed financial agreements which stated the amount of care funded by the HSC Trust and the amount of support funded by the NIHE supporting people scheme. Financial agreements were signed by the service users' representative.</p>	Compliant

<b>THEME 3 - EACH SERVICE USER HAS A WRITTEN INDIVIDUAL SERVICE AGREEMENT PROVIDED BY THE AGENCY</b>	
<b>Statement 3</b>	<b>COMPLIANCE LEVEL</b>
<p><b>Evidence inspected confirms that service users’ service agreements, care plans are reviewed at least annually confirming that service users/representatives are in agreement with the care provided and the payment of any fees.</b></p> <ul style="list-style-type: none"> <li>• Service users/representatives confirm that their service agreement, care plans are reviewed at least annually by the commissioning HSC Trust, and confirm that they are in agreement with the care provided and the payment of any fees.</li> <li>• Records and discussion with staff confirm that the agency contributes to the HSC Trust annual review.</li> <li>• Records and discussion with staff confirm that reviews can be convened as and when required, dependent upon the service user’s needs and preferences.</li> <li>• Records confirm that service users’ service agreements, care plans are updated following reviews. Authorisation from the HSC Trust and consent from the service user/representative is documented in relation to any changes to the care plan or change to the fees paid by the service user.</li> </ul>	
<b>Provider’s Self-Assessment</b>	
<p>Each Service Users has an annual review with the commissioning HSC Trust where their care plans, associated risk management plans and service agreements are reviewed and agreed with the Service User/representative.</p> <p>The agency contributes to this review by completing a preparation of review form with the Service User. Staff can confirm that reviews can be arranged as and when required.</p> <p>Any agreed changes from reviews is documented and care plans are updated or changes to the fees paid by the Service User.</p>	Substantially compliant
<b>Inspection Findings:</b>	
<p>The report of care reviews commissioned by the HSC Trust confirmed that all service users had annual reviews from 1 April 2013 – 31 March 2014. The inspector viewed a range of review meeting records, showing that some service users have had additional reviews due to their identified needs. Review meeting records viewed by the inspector were signed by the service user and/or their representative, the agency and HSC Trust staff. The manager described how the agency completes a preparation for review form with the service user, and takes a record of the review meeting in advance of receiving documentation from the HSC Trust. The inspector viewed care and support plans which had been amended following review.</p>	Compliant

<b>PROVIDER'S OVERALL ASSESSMENT OF THE AGENCY'S COMPLIANCE LEVEL AGAINST THE STANDARD ASSESSED</b>	<b>COMPLIANCE LEVEL</b>
	Substantially compliant

<b>INSPECTOR'S OVERALL ASSESSMENT OF THE AGENCY'S COMPLIANCE LEVEL AGAINST THE STANDARD ASSESSED</b>	<b>COMPLIANCE LEVEL</b>
	Compliant

## **Any other areas examined**

### **Complaints**

The agency has had no complaints during the last year; this was verified by returns sent to RQIA and examination of records held on site.

### **Quality improvement plan**

The details of the Quality Improvement Plan appended to this report were discussed with Ms Martina Donaghy as part of the inspection process.

The timescales for completion commence from the date of inspection.

The registered provider/manager is required to record comments on the Quality Improvement Plan.

Matters to be addressed as a result of this inspection are set in the context of the current registration of your premises. The registration is not transferable so that in the event of any future application to alter, extend or to sell the premises the RQIA would apply standards current at the time of that application.

Enquiries relating to this report should be addressed to:

**Jim McBride**  
**The Regulation and Quality Improvement Authority**  
**9th Floor**  
**Riverside Tower**  
**5 Lanyon Place**  
**Belfast**  
**BT1 3BT**



No requirements or recommendations resulted from the **primary announced** inspection of 83 Ballyeaston Road which was undertaken on **2 February 2015** and I agree with the content of the report.

Please provide any additional comments or observations you may wish to make below:

SIGNED: 

NAME: CHRIS ALEXANDER.  
Registered Provider

DATE 11/02/15.

SIGNED: 

NAME: Martina Donaghy  
Registered Manager

DATE 10-2-15

Approved by:	Date
<u>JIM MC BRIDE</u>	<u>19.2.2015</u>