

**TÚSLA**

An Ghníomhaireacht um  
Leanaí agus an Teaghlach  
Child and Family Agency

# **ALTERNATIVE CARE**

**INSPECTION &  
MONITORING**

## **INSPECTION GUIDANCE SUPPORT FRAMEWORK**

### **Theme 6: Responsive Workforce**

# Children's Residential Centres

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## 1.0 Introduction

The Alternative Care Inspection and Monitoring Service is part of Children's Service Regulation and is a component of the Quality Assurance Directorate of the Child and Family Agency. The inspectorate which was originally established in 1998 under the former Health Boards was created under legislation purveyed by the 1991 Child Care Act, to fulfil two statutory regulatory functions:

1. To establish and maintain a register of children's residential centres in its functional area (see Part VIII, Article 61 (1)). A children's centre being defined by Part VIII, Article 59.
2. To inspect premises in which centres are being carried on or are proposed to be carried on and otherwise for the enforcement and execution of the regulations by the appropriate officers as per the relevant framework formulated by the minister for Health and Children to ensure proper standards and conduct of centres (see part VIII, Article 63, (1)-(3)); the Child Care (Placement of Children in Residential Care) Regulations 1995, the Child Care (Standards in Children's Residential Centres) Regulations, 1996 and the Health Information and Quality Authority (HIQA) National Standards for Children's Residential Centres, 2018, which replace the 2001, Department of Health and Children, National Standards for Children's Residential Services.

The Child Care (Standards in Children's in Residential Centres) Regulations, 1996 provide the framework against which registration decisions of children's residential centres are primarily made. The HIQA, National Standards for Children's Residential Centres, 2018 provide the framework against which inspections are carried out and provide the criteria against which centres structures and care practices are examined.

The Alternative Care Inspection and Monitoring Service is committed to carry out its duties in an even handed, fair and rigorous manner. The inspection of centres is carried out to safeguard the wellbeing and interests of children and young people living in them.

## 2.0 Purpose

The Alternative Care and Monitoring Service, Inspection Guidance Support Framework has been developed as a guidance document to assist inspectors in understanding the process of inspection, complying with the Child Care (Placement of Children in Residential Care) Regulations 1995, the Child Care (Standards in Children's Residential Centres) Regulations, 1996 and the National Standards for Children's Residential Centres, 2018 (HIQA).

Whilst the importance of professional judgment remains paramount during the inspection process it is the purpose of this Inspection Guidance Support Framework to promote:

- A standardised approach amongst inspectors in relation to the process of inspection, complying with regulations and standards.
- A structured framework to identify to registered providers and persons who participate in the management of designated centres what is required in ensuring they are delivering a safe and effective service that complies with the regulations and standards and any other legislation.

### 3.0 Structure of the Inspection Guidance Support Framework

The Inspection Guidance Support Framework provides detailed guidance to assist TUSLA inspectors and approved centres to improve the quality of services provided to each child/young person.

For each Theme of the National Standards for Children's Residential Centres, 2018 (HIQA), the Inspection Guidance Support Framework shall outline the specific standard and examples of information/evidence in relation to observation and documentation reviewed as part of the inspection. Interviews with senior management, centre management, staff, child/young person and observations are also used as part of the process where appropriate.

The Inspection Guidance Support Framework aims to promote the continuous improvement of the quality of services provided to children/young people residing in non-statutory children residential centres.

### 4.0 Glossary of Terms

**Accountability** – being answerable to another person or organisation for decisions, behaviour or any consequences.

**Care plan** – A document generated from an assessment of the child, setting out their goals, needs, aims and objectives of the placement and how the centre proposes to address them. The child's care plan, supervision and child in care reviews are requirements for the social work department under the Child Care (Placement of Children in Residential Care) Regulations 1995.

**Child** – a person under the age of 18 years. (Child Care Act, 2001)

**Child safeguarding** – ensuring safe practice and appropriate responses by staff and to concerns about the safety or welfare of children/young people, should these arise. Child safeguarding is about protecting the child/young person from harm, promoting their welfare and in doing so creating an environment which enables children and young people to grow, develop and achieve their full potential. (TUSLA, 2019)

**Child Safeguarding Statement** – a written statement that specifies the service being provided and the principles and procedures to be observed in order to ensure, as far as practicable, that a child/young person availing of the service is safe from harm. (TUSLA, 2019)

**Competency** – the behavioural definition of the knowledge, skills, values and personal qualities that underlie the adequate performance of professional activities.

**Incident** – an event or circumstance which could have (near miss) or did lead to harm. Incidents can be practice related or non-practice related and includes incidents associated with harm to or impact on:

- Children/young people
- Staff or visitors
- Non-compliance with standards or regulations. (TUSLA, 2017)

**Person in charge** – in relation to a registered children's residential centre, means the person whose name is entered in the register as the person in charge of the centre - Child Care (Placement of Children in Residential Care) Regulations 1995. The person in charge's duties

include overseeing the day-to-day running of the centre, managing the training and development of staff and ensuring the management of records, incidents and investigations in the centre. From time to time, some or all of these duties may be delegated to one or more suitably qualified staff members in the centre as appropriate. (HIQA, 2018)

**Placement plan** – outlines the needs and goals of the placement for the child for the duration of their placement. In the context of children's residential centres, the placement plan is informed by the care plan. (HIQA, 2018)

**Registered provider** – means the person whose name is entered in the register as the person carrying on the centre - Child Care (Placement of Children in Residential Care) Regulations 1995. The registered provider's responsibilities includes overseeing the management of the centre's care practices, operational policies and procedures; ensuring the centre has sufficient resources, facilities and access to services in line with the centre's statement of purpose and ensuring each child/young person in the centre is suitably placed, receives effective care and support and is assisted in preparations for leaving care, in line with their individual needs. (HIQA, 2018)

**Risk** – The probability/likelihood of an adverse event, outcome, danger, loss or injury within the healthcare system. (HIQA, 2014)

**Safe care and support** – how children's residential centres protect children and promote their welfare. Safe services also avoid, prevent and minimise harm, and learn when things go wrong. (HIQA, 2018)

**Serious Event Review Group** – multidisciplinary fora concerned with serious incidents involving children/young people placed in Children's Residential Services. The aims of the SERG is to:

- review a serious incident/a number of interrelated serious incidents.
- identify opportunities for learning about the causes of that incident/those incidents and about care practice at centre level.
- to ensure that learning is operationalised in respect of that incident/those incidents i.e. that risk is managed, underlying issues are addressed and future occurrences of same are prevented wherever possible. (TUSLA, 2017)

**Workforce** – all people working in a service.

## 5.0 THEME 6: RESPONSIVE WORKFORCE

### Standards 6.1 – The registered provider plans, organises and manages the workforce to deliver child centred, safe and effective care and support

A responsive workforce is about having the right number of staff with the right skills to meet the needs of each child.

All members of staff must be skilled and competent, while the team as a whole must be planned, configured and managed to meet children's needs. Staff team planning involves deciding what the right staffing levels, mix and distribution of skills, competencies and capabilities are within a centre. This involves recruitment, tracking of staff numbers and skills, learning, training and development, and workforce deployment. Effective residential centres need processes to ensure that there are sufficient staff available at the right time, with the right skills, diversity and flexibility to deliver child-centred, safe and effective care and support to each child living in the centre.

#### ***Child Care (Standards in Children's Residential Centres) Regulations, 1996, Part III Article 7:***

*The registered proprietor and person in charge of a centre shall satisfy the relevant health board that the number, qualifications, experience and availability of members of the staff of the centre are adequate having regard to the number of children residing in the centre and the nature of their needs.*

Regular audits shall be undertaken to determine compliance with Standard 6.1. These shall be completed via interviews, a review of relevant records, including incident reports, through observation and by utilising the appropriate audit tools.

#### **Examples of information/evidence that will be reviewed and how this will be done**

Standard 6.1: *The registered provider plans, organises and manages the workforce to deliver child centred, safe and effective care and support.*

#### **Documentation Review**

Inspectors will review documents including (but not limited to):

- Minutes of management meetings.
- Staff personnel files.
- Key work records.
- Placement plan.
- Supervision records.
- Internal audit reports.
- Rosters.
- Training records/schedules.
- Daily logs.

- Complaints logs.
- Handover records.
- Young person's meetings.
- Statement of purpose and function.
- Centre policies and procedures including:
  - Recruitment policies.
  - Vetting policies.
  - Induction policies.
  - Supervision policies.
  - Retention policies.
  - Staff training and development policies.
  - HR policies.
  - Staff support policies.
  - On call policy.
  - Staff code of conduct.
  - Safeguarding policy.
- Significant event notification reports.
- Application form submitted by the service for registration.
- Exit interviews with staff.

## Observation

Inspectors will observe:

- If the numbers of staff present in the centre support the care to be provided in line with the centre's mission, vision, policies and procedures, legislation, regulation, standards and evidenced based best practice.
- If there is adequate planning and allocation of staff resources through the centre hand over meeting.
- If relief staff are managed in line with the centre's policy.
- If staff interactions with children/young meets the needs of those living in the centre.
- If staff engage positively with children/young people.
- If there are appropriate supervision levels present based on the identified needs of the children/young people.

## Interview

Inspectors will communicate with children/young people:

- To explore if there are enough staff to care for them.
- To explore whether they are cared for by staff who are familiar with them and understand their needs.
- To explore if they have an assigned key worker and the work that is undertaken with them.
- If they are happy in the centre.
- If there is anything, they would like to see change.

Inspectors will communicate with staff:

- To determine if there are adequate staff in the centre in line with the centre's mission, vision, policies and procedures, legislation, regulation, standards and evidenced based best practice.
- To determine their knowledge and understanding of the centres policy and procedures and their implementation in relation to:
  - Recruitment.
  - Staff retention.
  - Induction.
  - Training.
  - Management structure and operation.
  - On call procedures.
  - Supervision.
- To determined how statutory care plans and placement plans are developed and implemented on a day-to-day basis.

Inspectors will communicate with the registered provider and person in charge or designated other:

- To determine if there are adequate staff in the centre in line with the centre's mission, vision, policies and procedures, legislation, regulation, standards and evidenced based best practice.
- To determine their knowledge and understanding of the centre's policy and procedures and their implementation in relation to:
  - Recruitment.
  - Staff retention.
  - Induction.
  - Training.
  - Management structure and operation.
  - On call procedures.
  - Supervision.
- To determine if there are adequate resources to ensure appropriate work force planning and development.
- To explore and determine if there are adequate resources within the centre in order to implement and deliver quality improvements.

Inspectors will communicate with social workers/relevant professionals:

- To determine if they are satisfied that there are adequate staff in the centre to meet the needs of the children placed there.
- To determine if they are satisfied that the training, experience and competencies of the staff are sufficient to meet the needs of the children placed there.

## Standards 6.2 – The registered provider recruits people with the required competencies to manage and deliver child-centred, safe and effective care and support

Staff are the most vital resource in providing quality care. They will be among the most important people in the child's life while in residential care. Recruitment, training and support policies should recognise this and should ensure that staff are equipped to fulfil their duties to children. The personal and professional skills which staff bring to the task of caring for children should create a living environment which is child oriented.

Regular audits shall be undertaken to determine compliance with Standard 6.2. These shall be completed via interviews, a review of relevant records, including incident reports, through observation and by utilising the appropriate audit tools.

### Examples of information/evidence that will be reviewed and how this will be done

Standard 6.2: *The registered provider recruits people with the required competencies to manage and deliver child-centred, safe and effective care and support.*

#### Documentation review

Inspectors will review documents including (but not limited to):

- Staff personnel files.
- Centre policies and procedures including:
  - Recruitment policies.
  - Vetting policies.
  - Induction policies.
  - Supervision policies.
  - Retention policies.
  - Staff training and development policies.
  - HR policies.
  - Staff support policies.
  - On call policy.
  - Staff code of conduct.
  - Safeguarding policy.
  - Job descriptions.
  - Staff contracts.
- Exit interviews with staff.

#### Observation

Inspectors will observe:

- If staff interactions with children/young meets the needs of those living in the centre.
- If staff engage positively with children/young people.
- If there are appropriate supervision levels present based on the identified needs of the children/young people.

- If the centre manager's interactions with children/young meets the needs of those living in the centre.
- If the centre manager's interactions with staff are appropriate and offer guidance, support and direction.

## Interview

Inspectors will communicate with children/young people:

- To explore their understanding of the manager's role and how this is fulfilled.
- To explore whether they are cared for by staff who are familiar with them and understand their needs.
- To explore if they have an assigned key worker and the work that is undertaken with them.

Inspectors will communicate with staff:

- To determine if they are satisfied that the training, experience and competencies of the staff are sufficient to meet the needs of the children placed there.
- To determine their understanding of how the centre is managed on a day-to-day basis.
- To determine their knowledge and understanding of the centres policy and procedures and their implementation in relation to:
  - Recruitment.
  - Staff retention.
  - Induction.
  - Training.
  - Organisational management structure and operation.
  - On call procedures.
  - Supervision.
  - Terms and conditions of employment.
  - Job descriptions.
  - Staff code of conduct.

Inspectors will communicate with the registered provider and person in charge or designated person:

- To determine if they are satisfied that the training, experience and competencies of the staff are sufficient to meet the needs of the children placed there.
- To determine their understanding of how the centre is managed on a day-to-day basis.
- To determine their knowledge and understanding of the centre's policy and procedures and their implementation in relation to:
  - Recruitment.
  - Staff retention.
  - Induction.
  - Training.
  - Organisational management structure and operation.
  - On call procedures.
  - Supervision.

- Terms and conditions of employment.
- Job descriptions.
- Staff code of conduct.

Inspectors will communicate with social workers/relevant professionals:

- To determine if they are aware of the management structure and how the centre is managed on a day-to-day basis.
- To determine if they are satisfied that the training, experience and competencies of the staff are sufficient to meet the needs of the children placed there.

### **Standards 6.3 – The registered provider ensures that the residential centre support and supervise their workforce in delivering child-centred, safe and effective care and support**

The staff team is key to delivering a safe, high-quality service and should be supported to do this. Safe and effective recruitment and workforce planning ensures that staff have the necessary abilities to undertake their role and fulfil the requirements of the service. All staff should receive support and supervision to ensure that they perform their role to the best of their ability. This includes providing supports to manage the impact of the working environment, such as access to an employee assistance programme. The performance of staff must be assessed at regular intervals.

Regular audits shall be undertaken to determine compliance with Standard 6.3. These shall be completed via interviews, a review of relevant records, including incident reports, through observation and by utilising the appropriate audit tool developed.

#### **Examples of information/evidence that will be reviewed and how this will be done**

Standard 6.3: *The registered provider ensures that the residential centre support and supervise their workforce in delivering child-centred, safe and effective care and support.*

#### **Documentation Review**

Inspectors will review documents including (but not limited to):

- Centre policies and procedures including:
  - Job description.
  - Terms and conditions of employment.
  - Staff code of conduct.
  - Safeguarding policy.
  - Child protection policies and procedures.
  - Health and safety policies.
  - Risk management and risk assessment policies.
  - Recruitment policies.

- Vetting policies.
- Induction policies.
- Supervision policies.
- Staff training and development policies.
- Staff support policies.
- On call policy.
- Statement of purpose and function.
- Application form submitted by the service for registration.
- Minutes of management meetings.
- Minutes of staff meetings.
- Significant event review group meeting minutes.
- Internal audit reports.
- Staff personnel files.
- Annual staff appraisals record.
- Handover records.
- Supervision records.
- Training records/schedules.
- Exit interviews with staff.
- Admissions policies.
- Pre-admission collective risk assessments.
- Key work records.
- Placement plan.
- Statutory care plans and review.
- Daily logs.
- Complaints logs.
- Young person's meetings.
- Significant event notification reports.

### Through observation

Inspectors will observe:

- If staff interactions with children/young people meet the needs of those living in the centre.
- If staff engage positively with children/young people.
- If staff interactions with each other and the centre manager are appropriate and meet the needs of those living in the centre.
- If the staff and centre manager's interactions at meetings such as handover and staff meetings are effective in relation to supporting care of the children/young people.
- If risk assessments and health and safety documents are effectively implemented to protect the staff working in the centre.

### Through communication (interview)

Inspectors will communicate with children/young people:

- To explore whether they are cared for by staff who are familiar with them and understand their needs.

- To explore if they feel safe living in the centre.

Inspectors will communicate with staff:

- To determine an understanding of their roles and responsibilities in the centre.
- To determine an understanding of the reporting structure within the centre and the organisation.
- To determine their knowledge and understanding of all the centres policies and procedures and their implementation in day-to-day practice.
- To determine how they are supported to develop in their role and learn within the centre.
- To determine how meetings held in the centre assist and promote team building and effective working relationships.
- To determine how supervision is provided in the centre and how this supports the effective provision of care to young people.
- To determine how staff are safeguarded in their day-to-day work in the centre.
- To determine how effective planning for children / young people occurs in the centre.
- To determine what supports exist in the centre for staff and their effectiveness.

Inspectors will communicate with the registered provider and person in charge or designated person:

- To determine how they satisfy themselves that all staff have an understanding of their roles and responsibilities in the centre.
- To determine how they satisfy themselves that staff have an adequate knowledge and understanding of all the centres policies and procedures and their implementation in day-to-day practice.
- To determine how they satisfy themselves that staff are supported to develop in their role and learn within the centre.
- To determine how they satisfy themselves that meetings held in the centre assist and promote team building and effective working relationships.
- To determine how they satisfy themselves that supervision is provided in the centre and how this supports the effective provision of care to young people.
- To determine how supervision is provided to the person in charge or designated other and the effectiveness of this.
- To determine how they satisfy themselves that staff are safeguarded in their day-to-day work in the centre.
- To determine how they satisfy themselves that planning for children/young people occurs in the centre.
- To determine what supports exist in the centre for staff and their effectiveness.

**Standards 6.4 – Training and continuous professional development is provided to staff to deliver child-centred, safe and effective care and support.**

As aspects of service provision change and develop over time, the service supports staff to continuously update and maintain their knowledge and skills. The training needs of staff are

monitored on an on-going basis and identified training needs are addressed to ensure the delivery of child-centred, safe and effective services. All staff receive specific training in safeguarding vulnerable children to ensure the centre is well equipped with the knowledge and skills they need to recognise the signs of abuse and or neglect, and the action or actions required to protect children from significant harm.

Regular audits shall be undertaken to determine compliance with Standard 6.4. These shall be completed via a review of relevant records, including incident reports, through observation and by utilising the appropriate audit tools developed and approved.

### **Examples of information/evidence that will be reviewed and how this will be done**

Standard 6.4: *Training and continuous professional development is provided to staff to deliver child-centred, safe and effective care and support.*

Through review of documentation
<p>Inspectors will review documents including (but not limited to):</p> <ul style="list-style-type: none"><li>• Staff and management questionnaires received prior to and during the inspection.</li><li>• Centre policies and procedures including:<ul style="list-style-type: none"><li>➤ Terms and conditions of employment.</li><li>➤ Induction policies.</li><li>➤ Induction records.</li><li>➤ Supervision policies.</li><li>➤ Supervision records.</li><li>➤ Staff training and development policies.</li><li>➤ Certificates of training.</li><li>➤ Centre training needs analysis.</li><li>➤ Minutes of management meetings.</li><li>➤ Minutes of staff meetings.</li><li>➤ Internal audit reports.</li><li>➤ Staff personnel files.</li><li>➤ Annual staff appraisals records.</li></ul></li></ul>
Observation
<p>Not applicable</p>

## Interview

Inspectors will communicate with staff:

- To determine how their training and development needs are assessed and met in line with the centre's mission, vision, policies and procedures, legislation, regulation, standards and evidenced based best practice.
- To determine how training needs analysis are carried out in the centre.
- To determine how staff induction is carried out in the centre.

Inspectors will communicate with the registered provider and person in charge or designated person:

- To determine how they satisfy themselves that staff training and development needs are assessed and met in line with the centre's mission, vision, policies and procedures, legislation, regulation, standards and evidenced based best practice.
- To determine how budgets and resources are allocated to the centre to support the staff training and development needs in the centre.
- To determine how they carry out staff induction in the centre.
- To determine what supports they put in place for continuous professional development.

## 6.0 References

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<b>QMS Reference</b>	ACIMS-GDE01.6
<b>Version</b>	V1.0
<b>Date of issue:</b>	03/03/2020