

Announced Follow up Finance Inspection Report 21 February 2018



River House

Type of Service: Residential Care
Address: 114 Milltown Road, Belfast, Co Antrim, BT8 &XP
Tel No: 02890 648314
Inspector: Joseph McRandle

www.rgia.org.uk

Assurance, Challenge and Improvement in Health and Social Care

It should be noted that this inspection report should not be regarded as a comprehensive review of all strengths and areas for improvement that exist in the service. The findings reported on are those which came to the attention of RQIA during the course of this inspection. The findings contained within this report do not exempt the service provider from their responsibility for maintaining compliance with legislation, standards and best practice.

1.0 What we look for



2.0 Profile of service

This is a residential care home with 8 beds that provides care and support for four adults with a learning disability.

3.0 Service details

Organisation/Registered Provider: Parkcare Homes No2 Ltd Responsible Individual(s): Nicola Cooper	Registered Manager: Mark Beattie
Person in charge at the time of inspection: Mark Beattie	Date manager registered: 5 July 2017
Categories of care: Residential Care (RC) LD - Learning Disability LD (E) – Learning disability – over 65 years	Number of registered places: 8

4.0 Inspection summary

An announced inspection took place on 21 February 2018 from 10.00 to 13.00 hours.

This inspection was underpinned by The Residential Care Homes Regulations (Northern Ireland) 2005 and the DHSSPS Residential Care Homes Minimum Standards, August 2011.

The inspection sought to assess progress with issues raised in the unannounced Finance Inspection on 07 December 2017 as outlined in section 6.2 below.

The following areas were examined during the inspection:

- Refresher training for members of staff in relation to the safeguarding of residents' monies
- The system for recording the reconciliations between residents' monies held and the records of monies held for one of the safe places since the previous finance inspection
- The system for recording transactions undertaken on behalf of residents since the previous finance inspection
- Evidence of investigation in relation to receipts returned from purchases undertaken on behalf of residents since the home initially opened
- Evidence of monies reimbursed to residents following the above investigation
- Residents' written agreements
- Evidence of monthly statements of income and expenditure provided to residents or their representatives since previous finance inspection
- System for returning receipts from purchases undertaken on behalf of residents since previous finance inspection

The findings of this report will provide the home with the necessary information to assist them to fulfil their responsibilities, enhance practice and residents experience.

4.1 Inspection outcome

	Regulations	Standards
Total number of areas for improvement	0	*1

*Indicates one area for improvement stated for a second time.

Areas for improvement and details of the Quality Improvement Plan (QIP) were discussed with Mark Beattie, registered manager, as part of the inspection process. The timescales for completion commence from the date of inspection.

Enforcement action did not result from the findings of this inspection.

4.2 Action/enforcement taken following the most recent finance inspection dated 7 December 2017

Following the inspection on 07 December 2017 a serious concerns meeting was held at RQIA's offices on 10 January 2018. The registered person, the registered manager and the home's regional Operations Director were in attendance. This meeting was held to discuss RQIA's concerns raised during the inspection on 07 December in relation to the governance arrangements within the home and the recording of transactions undertaken on behalf of residents.

At the meeting, the registered person and their representatives provided a full account of the actions taken following the inspection on 07 December 2017 and those which were proposed, to ensure the improvements necessary to achieve full compliance with the required regulations. This included an internal audit by the home's head office and an investigation of the purchases undertaken on behalf of residents since the home initially opened.

During the meeting the registered manager stated that the above internal audit and investigation will be completed within three weeks of the meeting. After consideration of documentation presented at the meeting and assurances provided by the registered person, RQIA informed the representatives of the home that a follow up finance inspection will take place four to six weeks following the meeting to confirm if compliance with the regulations has been met.

5.0 How we inspect

Prior to the inspection, a range of information relevant to the service was reviewed. This included the following records: the report and QIP from the previous unannounced finance inspection, records of any notifiable events communicated to RQIA, records of any calls received to RQIA's duty call system and records of any other communication received by RQIA from or in respect of the home.

During the inspection the inspector met with Mark Beattie, registered manager, Roberta Wilson, Operations Director for NI and Lynne Abernethy, Administrator. No discussions were held with residents during the inspection. No visiting professionals or other representatives were present during the inspection.

The following records were examined during the inspection:

- Training records for two members of staff since previous finance inspection
- Two residents' finance files
- Written agreement for one resident
- A sample of records of reconciliations between residents' monies held and records of monies held since previous finance inspection
- Transaction books for two residents
- A sample of records of purchases undertaken on behalf of two residents since previous finance inspection
- Records of investigation into transactions undertaken on behalf of residents since the home initially opened
- Records of monies reimbursed to residents from investigation
- Copies of income and expenditure statements forwarded to two residents' representatives since previous finance inspection
- A sample of receipts returned from purchases undertaken by members of staff for two residents.

10 areas for improvement identified at the last finance inspection on 07 December 2017 were reviewed and assessment of compliance recorded as met, partially met, or not met.

One area for improvement identified at the last finance inspection was not reviewed as part of this inspection and is carried forward to be validated at the next finance inspection.

The findings of the inspection were provided to Mark Beattie, registered manager and Roberta Wilson, Operations Director for NI at the conclusion of the inspection.

6.0 The inspection

6.1 Review of areas for improvement from the most recent inspection dated 7 December 2017

The most recent inspection of the home was an unannounced finance inspection. 11 areas for improvement were identified. The completed QIP was returned and approved by the finance inspector. This QIP was validated by the finance inspector at the inspection on 21 February 2018.

6.2 Review of areas for improvement from the last finance inspection dated 7 December 2017

Areas for improvement from the last finance inspection		
Action required to ensure compliance with The Residential Care Homes Regulations (Northern Ireland) 2005		Validation of compliance
Area for improvement 1 Ref: Regulation 14 (4) Stated: First time To be completed by: 31 January 2018	The registered person shall ensure that the financial policy and procedure for the recording of transactions undertaken on behalf of residents is strengthened with staff.	Met
	Action taken as confirmed during the inspection: Discussion with the registered manager confirmed that a meeting was held with all senior support workers to address the findings from the finance inspection undertaken on 07 December 2017. The registered manager also confirmed that during the meeting the financial policy and procedure for the recording of transactions undertaken on behalf of residents was strengthened with staff. The registered manager provided records from the meeting held with senior staff. A review of the records for two members of staff showed that the meeting was held on 08 December 2017 and comprised of feedback from the finance inspection undertaken the previous day. The records confirmed that the policy for recording transactions undertaken on behalf of residents was discussed with staff. Records also confirmed that staff members were made aware of the new procedure for recoding transactions. The records were signed by the registered manager and the members of staff.	

<p>Area for improvement 2</p> <p>Ref: Regulation 14 (4)</p> <p>Stated: First time</p> <p>To be completed by: 31 January 2018</p>	<p>The registered person shall ensure that members of staff receive refresher training in relation to the safeguarding of residents' monies.</p> <hr/> <p>Action taken as confirmed during the inspection: Discussion with the registered manager confirmed that the meeting held with senior support workers on 08 December 2017 included refresher training in relation to the safeguarding of residents' monies. A review of the records provided for the two members of staff confirmed that during the meeting on 08 December 2017, the registered manager and the home's admin officer provided refresher training in relation to the handling and management of residents' finances. The training included the new procedure for recording transactions on behalf of residents. Records also confirmed that the registered manager had carried out further training with senior support workers following the meeting on 08 December 2017.</p>	<p>Met</p>
<p>Area for improvement 3</p> <p>Ref: Regulation 12 (b)</p> <p>Stated: First time</p> <p>To be completed by: 15 January 2018</p>	<p>The registered person shall develop and implement a system for regular reconciliations between the monies held in the additional safe place and the records of the monies held on behalf of residents. The system should facilitate accurate and up to date recording. The records should be signed by the person undertaking the reconciliation and countersigned by a senior member of staff.</p> <hr/> <p>Action taken as confirmed during the inspection: Discussion with staff confirmed that a revised system for reconciling residents' monies had been implemented following the finance inspection on 07 December 2017. Staff also confirmed that the revised system facilitated accurate recording of the reconciliations which were undertaken on a weekly basis.</p> <p>A review of three residents' transaction books confirmed that the system for the reconciliation between the residents' monies held in the additional safe place and the records of the monies held had significantly improved since the previous finance inspection on 07 December 2017. Review of records also confirmed that the revised system facilitated</p>	<p>Met</p>

	<p>accurate recording and that the reconciliations were undertaken and recorded on a weekly basis. The records of the reconciliations were signed by the admin officer who had undertaken the reconciliations and countersigned by a senior member of staff.</p>	
<p>Area for improvement 4</p> <p>Ref: Regulation 12 (b)</p> <p>Stated: First time</p> <p>To be completed by: 15 January 2018</p>	<p>The registered person shall develop and implement a revised system for recording transactions on behalf of residents. The revised system should facilitate the recording of the full details of the transaction; the amounts of monies returned from the purchases and identify the member of staff receiving and returning residents' monies. At least two signatures must be recorded against the transactions at all times.</p> <hr/> <p>Action taken as confirmed during the inspection:</p> <p>Discussion with staff confirmed that a revised system for recording transactions undertaken on behalf of residents was implemented following the finance inspection on 07 December 2017. Staff also confirmed that the system facilitated the recording of the full details of the transaction; the amount of monies returned from the transactions and identified the member of staff receiving and returning residents' monies.</p> <p>A review of two residents' transaction books confirmed that the system for recording transactions undertaken on behalf of residents had significantly improved since the previous finance inspection on 07 December 2017. Review of records showed that the layout of the transaction books had been revised to facilitate the recording of the full details of the transactions undertaken on behalf of residents.</p> <p>A review of three purchases undertaken on behalf of two residents showed that the details of the purchases, the date and the amount of the purchases were recorded in the transaction books. Review of records confirmed that the remaining amounts from the purchases returned to the safe place were also recorded.</p> <p>The records identified the member of staff receiving the monies to make the purchase</p>	<p style="text-align: center;">Met</p>

	and returning the monies following the purchase. Two signatures were recorded against each of the reviewed transactions.	
<p>Area for improvement 5</p> <p>Ref: Regulation 14 (4)</p> <p>Stated: First time</p> <p>To be completed by: 31 January 2018</p>	<p>The registered person shall ensure that an investigation is undertaken in order to ascertain the total amount of residents' monies for which no valid receipts are available from the transactions undertaken by members of staff. Residents should be reimbursed any monies withdrawn that cannot be accounted for. The investigation should be from when the home initially opened.</p> <p>Action taken as confirmed during the inspection:</p> <p>Discussion with staff confirmed that an investigation of the transactions undertaken on behalf of residents since the home first opened had been completed. Staff also confirmed that the investigation identified an amount of monies for which no receipts could be located. The amount identified was reimbursed to the relevant residents.</p> <p>Review of records confirmed that an investigation was undertaken since the home initially opened. Records from the investigation showed the total amount of the transactions undertaken on behalf of each resident. Records also showed the amount of the receipts available from the corresponding transactions. Discussion with staff confirmed that an amount was identified for which no receipts were available. Review of records showed that seven residents had an amount recorded against their names which related the amount for which no receipts were available.</p> <p>Review of records showed that the corresponding amount recorded against each of the seven residents was reimbursed to the residents on 16 February 2018.</p> <p>The admin officer was commended on the work undertaken to identify the amount to be refunded to residents and the records retained from the investigation.</p>	<p>Met</p>

<p>Area for improvement 6</p> <p>Ref: Regulation 29 (5) (a)</p> <p>Stated: First time</p> <p>To be completed by: 31 January 2018 until further notice</p>	<p>The registered person shall provide RQIA with copies of the registered provider regulation 29 reports until further notice; these should include a review of the working practices and controls surrounding residents' finances.</p>	<p>Carried forward to the next finance inspection</p>
<p>Action taken as confirmed during the inspection:</p> <p>Action required to ensure compliance with this regulation was not reviewed as part of this inspection. The registered manager was informed that as this was on-going the area for improvement will be carried forward by the finance inspector and validated at the next finance inspection.</p>		
<p>Action required to ensure compliance with the DHSSPS Residential Care Homes Minimum Standards, August 2011</p>		<p>Validation of compliance</p>
<p>Area for improvement 1</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be completed by: 31 January 2018</p>	<p>The registered person shall update the residents' written agreements in order to be in line with standard 4.2 of the DHSSPS Residential Care Homes Minimum Standards, August 2011.</p> <p>The agreements should show the current amount paid by the Health and Social Care Trust and the current contribution paid by residents.</p> <p>The agreements should also identify the resident for which it belongs to.</p>	<p>Met</p>
<p>Action taken as confirmed during the inspection:</p> <p>Discussion with staff confirmed that updated copies of written agreements showing the current fee paid by, or on behalf of, residents were retained within residents' files.</p> <p>Discussion with staff also confirmed that all residents' fees were paid by the Health and Social Care Trusts and that this was reflected within the agreements.</p> <p>A review of one resident's file confirmed that an updated written agreement was retained within the file. The agreement showed the current fee to be paid by, or on behalf of, the resident. A provision was included within the agreement for the recording of the amount of the fee paid by the Health and Social Care Trust, the amount paid by the resident and the amount paid by a third party. The agreement reviewed showed that the total amount of the</p>		

	<p>fee was paid on behalf of the resident by the Health and Social Care Trust.</p>	
<p>Area for improvement 2</p> <p>Ref: Standard 4.4</p> <p>Stated: First time</p> <p>To be completed by: 31 January 2018</p>	<p>The registered person shall ensure that copies of signed agreements are retained within all residents' files. Where the resident or their representative is unable to sign or chooses not to sign, this is recorded.</p> <hr/> <p>Action taken as confirmed during the inspection:</p> <p>Discussion with staff confirmed that copies of updated written agreements were retained within residents' files. Discussion with staff also confirmed that only one agreement had been signed and returned by a resident's representative and that written correspondence had been forwarded to the remaining residents' representatives reminding them to sign and return the agreements.</p> <p>Review of two residents' files confirmed that a signed agreement had been returned by one of the resident's representative. There was evidence within the other resident's file that written correspondence was forwarded to the representative on more than one occasion requesting that the agreement was signed and returned. It was recorded within the file that the agreement was not signed by the representative.</p>	<p>Met</p>
<p>Area for improvement 3</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be completed by: 31 January 2018 and thereafter</p>	<p>The registered person shall ensure that residents or their representatives are provided with a statement on request or at least once a month detailing all income, expenditure and the balance held as in line with the provision included within the resident's agreement.</p> <hr/> <p>Action taken as confirmed during the inspection:</p> <p>Discussion with staff confirmed that since the previous finance inspection on 07 December 2017. A system was implemented for copies of statements to be forwarded to residents' representatives. Discussion with staff also confirmed that this commenced from the end of January 2018 and will continue on a monthly basis.</p> <p>A review of one resident's file confirmed that a</p>	<p>Met</p>

	<p>copy of a statement forwarded to their representative showing the transactions undertaken on behalf of the resident was retained within the resident's file. In line with good practice the statement showed the details of the amounts received on behalf of the resident, the expenditure incurred on behalf of the resident and the balance of monies held on behalf of the resident at 31 January 2018. The statement was signed by the admin officer and countersigned by a senior member of staff.</p>	
<p>Area for improvement 4 Ref: Standard 4.8 Stated: First time To be completed by: 31 January 2018</p>	<p>The registered person shall review the residents' agreements in order for the removal of the provision to apply an interest charge for the late payment of fees for which the fees are paid by the health and social care trusts.</p> <hr/> <p>Action taken as confirmed during the inspection: Discussion with the registered manager and the home's regional manager confirmed that correspondence had been forwarded to the home's head office requesting an update on the removal of the provision from residents' agreements for which the total fee was paid by the Health and Social Care Trusts.</p> <p>Discussion with the regional manager also confirmed that at the time of the inspection head office were still waiting on legal advice in relation to the area for improvement. This area for improvement has been restated within the QIP of this report.</p>	<p>Not met</p>
<p>Area for improvement 5 Ref: Standard 15.7 Stated: First time To be completed by 08 December 2017</p>	<p>The registered person shall ensure that receipts are returned by members of staff at all times (where possible) following purchases of items made on behalf of residents. Where a receipt is not available, the record must be annotated to reflect this.</p> <hr/> <p>Action taken as confirmed during the inspection: Discussion with the registered manager confirmed that the meeting held with senior support workers on 08 December 2017 included refresher training in relation to the procedure for returning receipts from purchases made on behalf of residents. The registered manager also confirmed that receipts were to be returned on the day of the</p>	<p>Met</p>

	<p>purchase and in the absence of a receipt a note was to be provided of the details of the purchase. The note was to be signed by two members of staff.</p> <p>A review of three purchases undertaken on behalf of two residents showed that receipts were available from two of the purchases. In line with good practice a record of the remaining purchase was provided by staff. The record provided the full details of the purchase and was signed by two members of staff.</p>	
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This inspection focused solely on the areas for improvement outlined in the QIP from the previous finance inspection on 07 December 2017 and set out in section 6.2 above.

7.0 Quality improvement plan

Areas for improvement identified during this inspection are detailed in the QIP. Details of the QIP were discussed with Mark Beattie, registered manager, as part of the inspection process. The timescales commence from the date of inspection.

The registered provider/manager should note that if the action outlined in the QIP is not taken to comply with regulations and standards this may lead to further enforcement action including possible prosecution for offences. It is the responsibility of the registered provider to ensure that all areas for improvement identified within the QIP are addressed within the specified timescales.

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

7.1 Areas for improvement

Areas for improvement have been identified where action is required to ensure compliance with The Residential Care Homes Regulations (Northern Ireland) 2005 and DHSSPS Residential Care Homes Minimum Standards, August 2011.

7.2 Actions to be taken by the service

The QIP should be completed and detail the actions taken to address the areas for improvement identified. The registered provider should confirm that these actions have been completed and return the completed QIP via Web Portal for assessment by the inspector.

Quality Improvement Plan

Action required to ensure compliance with the DHSSPS Residential Care Homes Minimum Standards, August 2011

<p>Area for improvement 1</p> <p>Ref: Standard 4.8</p> <p>Stated: Second time</p> <p>To be completed by: 31 March 2018</p>	<p>The registered person shall review the residents' agreements in order for the removal of the provision to apply an interest charge for the late payment of fees for which the fees are paid by the health and social care trusts.</p> <p>Ref: 6.2</p>
	<p>Response by registered person detailing the actions taken: Residents agreements still remain with Priory legal team to approve removal of this clause from company wide documents. This cannot be altered at local level. Work underway to ensure this is completed as soon as possible</p>

Carried forward from previous inspection dated 7 December 2017

<p>Area for improvement 1</p> <p>Ref: Regulation 29 (5) (a)</p> <p>Stated: First time</p> <p>To be completed by: 31 January 2018 until further notice</p>	<p>The registered person shall provide RQIA with copies of the registered provider regulation 29 reports until further notice; these should include a review of the working practices and controls surrounding residents' finances.</p> <p>Action required to ensure compliance with this regulation was not reviewed as part of this inspection and this will be carried forward to the next finance inspection.</p> <p>Ref: 6.2</p>
	<p>Response by registered person detailing the actions taken: Regulation 29 reports for January, February and March 2018 including information/checks relating to residents' finances have been forwarded to RQIA by the registered person. These will continue to be provided until further notice.</p>

Please ensure this document is completed in full and returned via Web Portal



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