

Unannounced Finance Inspection Report 4 October 2018



Loughshore 1

Type of Service: Residential Care Home
Address: 646 Shore Road, Newtownabbey, BT37 0PR
Tel No: 028 9085 5888
Inspector: Joseph McRandle

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 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 registered residential care home which is registered to provide residential care for up to 16 adults who have a learning disability.

3.0 Service details

Organisation/Registered Provider: Amore (Watton) Limited Responsible Individual(s): Nicola Cooper	Registered Manager: Catherine Busby
Person in charge at the time of inspection: Catherine Busby	Date manager registered: 17 July 2018
Categories of care: Residential Care (RC) LD - Learning Disability LD (E) – Learning disability – over 65 years	Number of registered places: 16

4.0 Inspection summary

An unannounced inspection took place on 4 October 2018 from 10.30 to 13.30 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 assessed progress with any areas for improvement identified since the last finance inspection and to determine if the home was delivering safe, effective and compassionate care and if the service was well led.

Evidence of good practice was found in relation to: providing a place for residents to deposit items for safekeeping, members of staff involved in managing residents' finances receiving refresher training in adult safeguarding, reconciling monies held on behalf of residents, updating the inventory of residents' property following admission to the home, retaining copies of residents' financial arrangements within their files, providing support for residents to undertake journeys outside of the home, informing residents of increases in fees, recording transactions undertaken on behalf of residents and retaining receipts from these transactions.

One area requiring improvement was restated for a second time under standards, in relation to reviewing the residents' written agreements in order to remove the provision for the late payment of fees for residents for whom the fees are paid by the health and social care trusts.

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

Details of the Quality Improvement Plan (QIP) were discussed with Catherine Busby, 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 care inspection dated 30 July 2018

The most recent inspection of the home was an unannounced care inspection undertaken on 30 July 2018. Other than those actions detailed in the QIP no further actions were required to be taken. Enforcement action did not result from the findings of this inspection.

5.0 How we inspect

Prior to the inspection a range of information relevant to the service was reviewed. This included the following records:

- recent written and verbal communication received since previous care inspection, this included a copy of a report from a recent internal audit of the home and a copy of the governance action plan for the home
- notifiable events submitted in relation to finance issues, there were no financial issues identified
- the returned QIP from the previous finance inspection
- the previous finance inspection report.

During the inspection the inspector met with the registered manager and the home administrator.

A poster indicating that the inspection was taking place was displayed at the entrance to the home and invited visitors or relatives to speak to the inspector. No relatives or visitors chose to speak to the inspector. The inspector provided the registered manager with "Have we missed you cards" which were then placed in a prominent position to allow residents or their relatives who were not present on the day of the inspection, the opportunity to give feedback to RQIA regarding the quality of service provision.

The following records were examined during the inspection:

- two residents' finance files
- two residents' written agreements
- cash held on behalf of residents
- a sample of records of safe contents
- a sample of transaction sheets belonging to two residents
- a sample of records of reconciliations between residents monies held and records of monies held
- a sample of staff records confirming adult safeguarding training
- a sample of staff records confirming staff had read and understood financial policies and procedures
- the residents' guide.

Areas for improvement identified at the last finance inspection were reviewed and assessment of compliance recorded as met, not met or partially met.

The findings of the inspection were provided to the registered manager at the conclusion of the inspection.

6.0 The inspection

6.1 Review of areas for improvement from the most recent inspection dated 30 July 2018

The most recent inspection of the home was an unannounced care inspection. The completed QIP was returned and approved by the care inspector and will be validated at the next care inspection.

6.2 Review of areas for improvement from the last finance inspection dated 8 March 2018

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	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 members of staff had attended governance meetings since the previous finance inspection. The meetings also included the procedure for handling residents' cash. A review of records showed a list of the staff members who had attended the above meetings. Records also included a list of staff members confirming that they had read and understood the policies and procedures in relation to residents' finances.	

<p>Area for improvement 2</p> <p>Ref: Regulation 14 (4)</p> <p>Stated: First time</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 members of staff involved in managing residents finances had received refresher training in relation to adult safeguarding.</p> <p>A review of records showed a list of staff members who had received refresher training in adult safeguarding since the previous finance inspection.</p>	<p>Met</p>
<p>Area for improvement 3</p> <p>Ref: Regulation 12 (b)</p> <p>Stated: First time</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 accurate recording of the transactions. The full details of the transaction must also be recorded. At least two signatures must be recorded against the transactions at all times.</p> <p>The practice of writing over records should cease immediately. Errors should be crossed out and a new line used to record the transaction. A reason for the error should be recorded and initialled by the staff member recording the transaction.</p> <hr/> <p>Action taken as confirmed during the inspection: Discussion with the registered manager confirmed that meetings were held with staff following the previous finance inspection. The policy for recording transactions on behalf of residents was strengthened with staff during the meetings.</p> <p>A review of records showed a list of staff members who had attended the above meetings. Records of five transactions undertaken by staff on behalf of two residents showed that the details of the transactions were recorded. Two signatures were recorded against each of the transactions. One error was noticed during the review. The error was crossed out and a new line was used to record the transaction.</p>	<p>Met</p>

	The record was initialled by two members of staff.	
Action required to ensure compliance with DHSSPS Residential Care Homes Minimum Standards, August 2011		Validation of compliance
Area for improvement 1 Ref: Standard 15.12 Stated: First time	<p>The registered person shall implement a system for including the additional monies held on behalf of residents in the weekly reconciliation of residents' monies. The records of the reconciliations should be signed by the person undertaking the reconciliation and countersigned by a senior member of staff to evidence that they have taken place.</p>	Met
	<p>Action taken as confirmed during the inspection: A review of records confirmed that the additional amounts held on behalf of residents were included in the weekly reconciliations. Records also confirmed that the person undertaking the reconciliation had signed the records along with a senior member of staff.</p> <p>The inspector advised staff to consider reviewing the recording of the additional monies in order to show the total amount held for each resident.</p>	
Area for improvement 2 Ref: Standard 4.4 Stated: First time	<p>The registered person shall ensure that residents' agreements are signed by the resident or their representative (if resident is not capable of understating the agreement) and a representative from the home.</p> <p>Copies of signed agreements should be retained within all residents' files. Where the resident or their representative is unable to sign or chooses not to sign, this is recorded.</p>	Met
	<p>Action taken as confirmed during the inspection: A review of two residents' files evidenced that signed agreements were retained in both of the residents' files. The agreements were signed by the residents' representatives and a representative from the home.</p>	

Area for improvement 3 Ref: Standard 4.8 Stated: First time	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.	Not met
	Action taken as confirmed during the inspection: The comments in the returned QIP from the previous finance inspection stated that the provision had been removed from the residents' agreements. A review of two residents' files evidenced that the provision was still included within the two agreements. This was discussed with the registered manager. The inspector clarified that if part of the fee was paid by the health and social care trusts then the provision within the agreement should be amended to state that the resident would not incur a penalty for fees paid by the health and social care trusts. The area for improvement has been restated for a second time.	

6.3 Inspection findings

6.4 Is care safe?

Avoiding and preventing harm to patients and clients from the care, treatment and support that is intended to help them.

A safe place was provided within the home for the retention of residents' monies and valuables. At the time of the inspection there were satisfactory controls around the physical location of the safe place and the members of staff with access to it. Monies held on behalf of residents were counted, the amount retained agreed to the balance recorded at the home.

Discussion with staff confirmed that an additional safe place was used to facilitate members of staff undertaking purchases on behalf of residents. A sample of monies held for three residents agreed to the balance recorded at the home. Satisfactory controls were also in place in relation to the physical location and the members of staff with access to the additional safe place.

Policies and procedures for the management and control of residents' finances were in place at the time of the inspection. The policies reflected the financial operational areas of the home. Concerns were raised during the previous finance inspection on 8 March 2018 as members of staff were not adhering to the policy and procedure for recording transactions on behalf of residents.

A review of records during the inspection on 4 October 2018 confirmed that a significant improvement had been made in recording transactions since the previous inspection. Discussion with the registered manager and review of records also confirmed that the policy and procedure for the recording of transactions had been strengthened with staff since the last finance inspection.

The recording of transactions undertaken on behalf of residents is discussed further under section 6.7 of this report.

Discussion with the registered manager and a review of records confirmed that members of staff involved in managing residents finances had received training in relation to adult safeguarding since the previous finance inspection.

An up to date safe contents book was in place however, no valuables were held on behalf of residents at the time of the inspection.

Discussion with staff confirmed that there were no finance related restrictive practices in place.

Areas of good practice

There were examples of good practice found in relation to: providing a place for residents to deposit items for safekeeping and members of staff involved in managing residents' finances receiving refresher training in adult safeguarding.

Areas for improvement

No areas for improvement were identified during the inspection.

	Regulations	Standards
Total number of areas for improvement	0	0

6.5 Is care effective?

The right care, at the right time in the right place with the best outcome.

Discussion with the registered manager confirmed that no member of staff was the appointee for any resident i.e. a person authorised by the Social Security Agency to receive and manage the social security benefits on behalf of an individual. Discussion with the registered manager also confirmed that no member of staff at the home acted as an agent for any resident, i.e. a person authorised by a resident or their representative to collect social security benefits on the resident's behalf.

Discussion with staff and review of records confirmed that reconciliations between the monies held on behalf of residents and the records of monies held were undertaken on a weekly basis. In line with good practice two signatures were recorded against the records of the reconciliations. During the previous finance inspection on 8 March 2018 additional monies held on behalf of a number of residents were not included in the weekly reconciliations. A review of records during the inspection on 4 October 2018 confirmed that these amounts were included in the reconciliations. The inspector advised staff to consider reviewing the recording of the additional monies in order to show the total amount of monies held for each resident.

Discussion with staff confirmed that no bank accounts were managed on behalf of any resident. Discussion also confirmed that no comfort fund monies were maintained on behalf of residents.

Discussion with staff confirmed that an inventory of residents' property was maintained when residents were admitted to the home. Discussion with the registered manager also confirmed that records were updated with items acquired and disposed of after admission for which staff had been made aware of.

Areas of good practice

There were examples of good practice found in relation to retaining records of the reconciliations between the monies held on behalf of residents and the records of monies held and updating the inventory of residents' property following admission to the home.

Areas for improvement

No areas for improvement were identified during the inspection.

	Regulations	Standards
Total number of areas for improvement	0	0

6.6 Is care compassionate?

Patients and clients are treated with dignity and respect and should be fully involved in decisions affecting their treatment, care and support.

Good practice was observed as a review of a resident's file showed that a copy of the resident's recorded financial arrangements was retained within their file.

The home did not operate a transport scheme at the time of the inspection. Discussion with the registered manager confirmed that alternative arrangements were in place to support residents wishing to undertake journeys; this included the use of vehicles provided by the home at no cost to the residents.

Areas of good practice

There were examples of good practice found in relation to retaining copies of residents' financial arrangements within their files and providing support for residents to undertake journeys outside of the home.

Areas for improvement

No areas for improvement were identified during the inspection.

	Regulations	Standards
Total number of areas for improvement	0	0

6.7 Is the service well led?

Effective leadership, management and governance which creates a culture focused on the needs and experience of service users in order to deliver safe, effective and compassionate care.

Discussion with staff confirmed that copies of payment remittances from the Health and Social Care Trusts showing the weekly fee for each care managed resident were retained at the home's head office. Discussion with staff also confirmed that records of fees received from residents were also held at head office.

A review of two residents' files evidenced that copies of correspondence forwarded to the residents notifying them of the latest increase in fees were retained within their files. The files also contained signed written agreements which showed the current weekly fee paid by, or on behalf of, the two residents.

During the previous finance inspection on 8 March 2018 the resident's agreement included a provision which allowed the registered provider to apply an interest charge to care managed residents for the late payment of fees. It was highlighted during the previous inspection that these residents could not be responsible for the late payment of fees paid by the Health and Social Care Trusts. An area for improvement was listed during the previous inspection for the provision to be removed from residents' agreements. The comments in the returned QIP from the registered person confirmed that the provision had been removed.

During the inspection on 4 October 2018 it was noticed that the provision was still included within the two agreements reviewed. This was discussed with the registered manager. The inspector clarified that if part of the fee was paid by the resident or their representative then the agreement needed to reflect that the resident would not incur a penalty for the amount paid by the health and social care trusts. The area for improvement has been restated within the QIP of this report.

Discussion with staff confirmed that transaction sheets were used to record the transactions undertaken on behalf of residents. Discussion with the registered manager also confirmed that members of staff signed out residents' monies to make purchases and that residents' accompanied staff when making the purchases.

A review of records of five transactions undertaken by staff on behalf of two residents showed that the details of the transactions were recorded. Two signatures were recorded against each of the transactions. Receipts from the purchases reviewed were retained at the home at the time of the inspection.

We discussed arrangements in place in relation to the equality of opportunity for residents and the importance of staff being aware of equality legislation and recognising and responding to the diverse needs of residents. The registered manager confirmed that members of staff were aware of equality legislation and that arrangements were in place for residents to receive equal opportunities.

Areas of good practice

There were examples of good practice found in relation to: informing residents of increases in fees, written agreements in place with residents, recording transactions undertaken on behalf of residents and retaining receipts from these transactions.

Areas for improvement

An area for improvement was identified under standards in relation to reviewing the residents' written agreements to remove the provision for late payment of fees for residents for whom the fees are paid by the health and social care trusts.

	Regulations	Standards
Total number of areas for improvement	0	1

7.0 Quality improvement plan

Areas for improvement identified during this inspection are detailed in the QIP. Details of the QIP were discussed with Catherine Busby, 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 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: 16 November 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: 6.7</p>
	<p>Response by registered person detailing the actions taken: This has been removed from the residents' agreement.</p>

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



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