

Unannounced Care Enforcement Inspection Report 25 August 2020



Top Class Healthcare

Type of Service: Domiciliary Care Agency
Address: 1 Castle Street, 1 Castle Street, Co. Down, BT62 1BA
Tel No: 028 4176 1100
Inspector: Corrie Visser

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

Top Class Healthcare is a domiciliary care agency providing care to three individuals within their own homes within the Southern Health and Social Care Trust (SHSCT) area. The agency currently has six care workers providing the care to service users. Services provided include personal care, meal provision and night sits. All packages of care are commissioned by the SHSCT.

3.0 Service details

Organisation/Registered Provider: Top Class Healthcare Ltd Responsible Individual: Acknowledge Ngwena	Registered Manager: Acknowledge Ngwena
Person in charge at the time of inspection: Acknowledge Ngwena	Date manager registered: 12 March 2019

4.0 Inspection summary

An unannounced inspection took place on 25 August 2020 from 10.00 to 12.00 hours.

This inspection was underpinned by the Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003, the Domiciliary Care Agencies Regulations (Northern Ireland) 2007 and the Domiciliary Care Agencies Minimum Standards, 2011.

The inspection sought to assess the level of compliance achieved in relation to two Failure to Comply (FTC) Notices. The areas identified for improvement and compliance with the regulation were in relation to recruitment and the monthly quality monitoring report. The date of compliance with the notices was 24 August 2020.

Five FTC Notices were issued by RQIA on 15 June 2020 which expired on 27 July 2020. A follow up inspection was undertaken on 28 July and Top Class Healthcare was deemed fully compliant with three of the five notices. The action plans in two of the notices were not fully met therefore RQIA decided on 31 July 2020 that these notices would be extended until 24 August 2020 and a further follow up inspection undertaken on 25 August 2020.

The following FTC Notices were issued by RQIA:

FTC ref: FTC000097E1 issued on 31 July 2020
 FTC000100E2 issued on 31 July 2020

Evidence was available to validate compliance with the Failure to Comply Notices.

One area for improvement was identified during this inspection in relation to the monthly quality monitoring reports.

One area for improvement with regards to the regulations and three areas for improvement with regards to the standard were not inspected during this inspection and will be carried over to the next care inspection.

The findings of this report will provide the agency with the necessary information to assist them to fulfil their responsibilities, enhance practice and service users' experience.

4.1 Inspection outcome

	Regulations	Standards
Total number of areas for improvement	*2	**3

* one area for improvement was not inspected and is carried forward to the next care inspection.

** three areas for improvement were not inspected and are carried forward to the next care inspection.

Areas for improvement and details of the Quality Improvement Plan (QIP) were discussed with Mrs Acknowledge Ngwena, responsible individual, as part of the inspection process. The timescales for completion commence from the date of inspection.

Further 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:

- the requirements as indicated in the failure to comply notices FTC Ref: FTC000097E1 and FTC000100E2
- all correspondence or information received by RQIA since the previous inspection
- returned QIP from the inspection dated 28 July 2020.

During the inspection the inspector met with the responsible individual and the administrative officer.

The following records were examined during the inspection:

- staff recruitment files
- training matrix
- monthly quality monitoring reports.

Areas for improvement identified at the last care inspection were reviewed and assessment of compliance recorded as met or partially met.

The findings of the inspection were provided to the person in charge at the conclusion of the inspection.

6.0 The inspection

6.1 Review of areas for improvement from the most recent inspection dated 28 July 2020

The most recent inspection of the agency was an unannounced care inspection. One area for improvement was identified.

The completed QIP was returned and approved by the care inspector.

6.2 Review of areas for improvement from the last care inspection dated 28 July 2020 and 21 November 2018

Areas for improvement from the last care inspection		
Action required to ensure compliance with The Domiciliary Care Agencies Regulations (Northern Ireland) 2007		Validation of compliance
<p>Area for improvement 1</p> <p>Ref: Regulation 16(1)(a), (3), (4), (5)(a)</p> <p>Stated: First time</p>	<p>Where an agency is acting otherwise than as an employment agency, the registered person shall, having regard to the size of the agency, the statement of purpose and the number and needs of the service users, ensure that there is at all times an appropriate number of suitably skilled and experienced persons employed for the purposes of the agency;</p> <p>The registered person shall take such steps as may be necessary to address any aspect of the performance of a domiciliary care worker which is found to be unsatisfactory.</p> <p>The registered person shall ensure that each employee receives appropriate supervision.</p> <p>Where an agency is acting otherwise than as an employment agency, the registered person shall ensure that a new domiciliary carer worker (“the new worker”) is provided with appropriately structured induction training lasting a minimum of three full working days.</p> <p>Action taken as confirmed during the inspection: The inspector reviewed three recruitment records and it was evident that the staff members had received an induction period of three days as well as shadowing shifts to ensure they have the necessary skills and knowledge required to provide the care to the service users.</p>	Met
<p>Area for improvement 2</p> <p>Ref: Regulation 13(a) and (d)</p> <p>Stated: Second time</p>	<p>The registered person shall ensure that no domiciliary care worker is supplied by the agency unless:-</p> <p>(a) he is of integrity and good character; (d) full and satisfactory information is available in relation to him in respect of each of the</p>	Met

	<p>matters specified in Schedule 3.</p> <p>Action taken as confirmed during the inspection: The inspector reviewed three recruitment records and it was evident that the responsible individual has completed all actions in the FTC notice FTC00097E1. Further detail is outlined in section 6.3.</p>	
<p>Area for improvement 3</p> <p>Ref: Regulation 23(1), (2)(a), (b)(i) (ii), (c), (3), (4) and (5)</p> <p>Stated: First time</p>	<p>(1) The registered person shall establish and maintain a system for evaluating the quality of the services which the agency arranges to be provided.</p> <p>(2) At the request of the Regulation and Improvement Authority, the registered person shall supply to it a report, based upon the system referred to in paragraph (1), which describes the extent to which, in the reasonable opinion of the registered person, the agency-</p> <p>(a) arranges the provision of good quality services for service users;</p> <p>(b) takes the views of service users and their representatives into account in deciding-</p> <p>(i) what services to offer to them, and</p> <p>(ii) the manner in which such services are to be provided; and</p> <p>(c) has responded to recommendations made or requirements made imposed by the Regulation and Improvement Authority in relation to the agency over the period specified in the request.</p> <p>(3) The report referred to in paragraph (2) shall be supplied to the Regulation and Improvement Authority within one month of the receipt by the agency of the request referred to in that paragraph, and in the form and manner required by the Regulation and Improvement Authority.</p> <p>(4) The report shall also contain details of the measures that the registered person considers it necessary to take in order to improve the quality and delivery of the services which the agency arranges to be provided.</p> <p>(5) The system referred to in paragraph (1) shall provide for consultation with service users and their representatives.</p>	<p style="text-align: center;">Met</p>

	<p>This refers to the monthly quality monitoring reports which are required to be submitted to RQIA by the 5th day of every month until further notice. These reports are to contain a robust analysis of the operation of the agency.</p>	
	<p>Action taken as confirmed during the inspection: The inspector reviewed the monthly quality monitoring reports from July 2020 and August 2020. Improvements had been made and an action plan was included. Advice and guidance was provided to the responsible individual in relation to the format and content of these reports which will be passed to the independent person undertaking the reports. Further detail is outlined in section 6.3.</p>	
<p>Area for improvement 4 Ref: Regulation 5 (1) Stated: First time</p>	<p>The registered person shall ensure the statement of purpose is reviewed and includes the information listed in schedule 1 of the Domiciliary Care Agencies Regulations (Northern Ireland) 2007.</p>	<p>Carried forward to the next care inspection</p>
	<p>Action taken as confirmed during the inspection: 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 care inspection.</p>	
<p>Action required to ensure compliance with The Domiciliary Care Agencies Minimum Standards, 2011</p>		<p>Validation of compliance</p>
<p>Area for improvement 1 Ref: Standard 2.2 Stated: First time</p>	<p>The registered person shall ensure the service user's guide is reviewed and includes the information listed in standard 2.2 of the Domiciliary Care Agencies Minimum Standards.</p>	<p>Carried forward to the next care inspection</p>
	<p>Action taken as confirmed during the inspection: Action required to ensure compliance with this standard was not reviewed as part of this inspection and this will be carried forward to the next care inspection.</p>	

Area for improvement 2 Ref: Standard 14.1 Stated: First time	The registered person shall ensure the adult safeguarding policy and procedure is reviewed and is in accordance with regional policies and procedures.	Carried forward to the next care inspection
	Action taken as confirmed during the inspection: Action required to ensure compliance with this standard was not reviewed as part of this inspection and this will be carried forward to the next care inspection.	
Area for improvement 3 Ref: Standard 14.2 Stated: First time	The registered person shall ensure there are written procedures for safeguarding children and young people, consistent regional policies and procedures.	Carried forward to the next care inspection
	Action taken as confirmed during the inspection: Action required to ensure compliance with this standard was not reviewed as part of this inspection and this will be carried forward to the next care inspection.	

This inspection focused solely on the actions contained within the Failure to Comply Notices issued on 31 July 2020. The areas for improvement from the care inspection on 21 November 2018 were not reviewed as part of the inspection and are carried forward to the next care inspection.

6.3 Inspection findings

FTC Ref: FTC00097E1

Notice of failure to comply with Regulation 13 of the Domiciliary Care Agencies Regulations (Northern Ireland) 2007.

Regulation 13(a) and (d)

The registered manager shall ensure that no domiciliary care worker is supplied by the agency unless –

- (a) he is of integrity and good character;***
- (d) full and satisfactory information is available in relation to him in respect of each of the matters specified in Schedule 3.***

In relation to this notice the following six actions were required to comply with this regulation.

- The Registered Person must ensure that, at all times, staff are recruited and employed in accordance with statutory legislation and mandatory requirements. This includes the receipt of a satisfactory AccessNI Enhanced Disclosure check prior to the commencement of employment and full and satisfactory information is available in relation to them in

respect of each of the matters specified in Schedule 3. Records must be kept of all documentation relating to the recruitment process.

- The Registered Person must implement robust monitoring systems to ensure that the recruitment process is compliant with statutory legislation and mandatory requirements.
- The Registered Person must ensure that all staff undertake a formal structured induction lasting a minimum of three full working days and records are maintained in this regard.
- The Registered Person must ensure that all staff involved in the recruitment process receive training or refresher training in recruitment and selection and a record maintained.
- The Registered Person must ensure that an audit is undertaken of staff recruitment records to ensure that any identified shortfalls are addressed in accordance with this regulation, the minimum standards and the agency's policies and procedures.
- A weekly action plan to be submitted to RQIA detailing the Registered Person's actions to ensure compliance.

During the inspection, the inspector met with Mrs Acknowledge Ngwena, responsible individual to discuss the actions contained within the FTC Notice. This FTC Notice was reviewed at the last care inspection on 28 July 2020 however compliance was not met due to the responsible individual not having undertaken the required training in relation to the recruitment process. The other areas on the action plan were deemed to be met at this inspection. The inspector was provided with evidence that this training had been attended on 29 July 2020 and certificates had been issued to the responsible individual as well as to another staff member.

No new staff had been recruited since the last inspection.

The inspector reviewed three staff recruitment files and it was evident that the responsible person had been undertaking work to ensure compliance with the action plan as identified in FTC00097E1. The responsible individual had met with six of the care workers to ensure their recruitment file was compliant with Regulation 13. The remaining care workers were taken off the rota due to not meeting with the responsible individual to provide the outstanding information required. There were gaps in employment for one staff member, however the responsible individual contacted this staff member during the inspection and an explanation for these gaps were obtained. An audit was evident in the recruitment files to ensure all the required information was obtained for each member of staff and was signed by the responsible individual. There was a further audit which was completed by the external person who is completing the monthly quality monitoring reports. There was evidence that the staff members had engaged in an induction process prior to commencing employment.

Evidence was available to validate compliance with the Failure to Comply Notice.

FTC Ref: FTC00100E2

Notice of failure to comply with Regulation 23 of the Domiciliary Care Agencies Regulations (Northern Ireland) 2007.

Regulation 23 1, 2(a) and (b) i and ii, (c), 3, 4, 5

(1) The registered person shall establish and maintain a system for evaluating the quality of the services which the agency arranges to be provided.

(2) At the request of the Regulation and Improvement Authority, the registered person shall supply to it a report, based upon the system referred to in paragraph (1), which describes the extent to which, in the reasonable opinion of the registered person, the agency-

- (a) arranges the provision of good quality services for service users;**
(b) takes the views of service users and their representatives into account in deciding-
(i) what services to offer to them, and
(ii) the manner in which such services are to be provided; and
(c) has responded to recommendations made or requirements made imposed by the Regulation and Improvement Authority in relation to the agency over the period specified in the request.
- (3) The report referred to in paragraph (2) shall be supplied to the Regulation and Improvement Authority within one month of the receipt by the agency of the request referred to in that paragraph, and in the form and manner required by the Regulation and Improvement Authority.**
- (4) The report shall also contain details of the measures that the registered person considers it necessary to take in order to improve the quality and delivery of the services which the agency arranges to be provided.**
- (5) The system referred to in paragraph (1) shall provide for consultation with service users and their representatives.**

In relation to this notice the following six actions were required to comply with this regulation.

- The Registered Person must identify an external person to undertake the quality monitoring visits.
- The Registered Person should ensure that the person identified has the knowledge and skills to undertake the visits.
- The person identified should include in their report any areas for improvement in the RQIA quality improvement plan.
- The person with the responsibility of undertaking the monthly quality monitoring visits must specifically review the recruitment process and associated records.
- The Registered Person must ensure that there is follow up action taken in respect of areas for improvement identified in previous monthly quality monitoring reports.
- The Registered Person must ensure that the monthly quality reports are submitted to RQIA on a monthly basis, until further notice. This should be with RQIA no later than 5 days after the last day of the month.

This FTC Notice was reviewed during the inspection on 28 July 2020 and it was evidenced that some improvement and progress had been made to address the required actions within the notice. During this inspection, the inspectors noted that the monthly quality monitoring report dated 19 July 2020 had little detail recorded and was not being used effectively to identify and improve service delivery or to improve operational systems and processes that support and drive forward service improvement. The responsible individual was provided with advice and guidance in relation to the deficits identified which was subsequently provided to the external consultant.

The inspector reviewed the monthly quality monitoring report for July 2020 and August 2020. Improvements had been made however further improvements were required to ensure the report is robust and analyses every area within the agency. The inspector requested that the reports be completed on a word document rather than handwritten and that the areas required more information and any issues identified to be detailed and put in the action plan. The inspector gave advice to the responsible individual who agreed to provide this to the external consultant. The inspector requested that these reports continue to be issued to RQIA by the 5th

of every month so they can be reviewed and further advice and guidance provided if necessary. An area for improvement was made in this regard.

From the evidence provided by the responsible individual the inspector was assured that the service had acted appropriately and had made the necessary improvements to become compliant with Regulation 13 and Regulation 23 of the Domiciliary Care Agencies Regulations (Northern Ireland) 2007.

Areas of good practice

Areas of good practice were found in relation to the recruitment process as the responsible individual has undertaken training to ensure she fully understands recruitment and what is required to ensure compliance with regulation 13.

Areas for improvement

One area for improvement was identified from this inspection in relation to the monthly quality monitoring reports which required to be more robust.

	Regulations	Standards
Number of areas for improvement	1	0

6.4 Conclusion

Evidence was available to validate compliance with the Failure to Comply Notices.

7.0 Quality improvement plan

Areas for improvement identified during this inspection are detailed in the QIP. Details of the QIP were discussed with Mrs Acknowledge Ngwena, responsible individual, 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 agency. 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 Domiciliary Care Agencies Regulations (Northern Ireland) 2007 and the Domiciliary Care Agencies Minimum Standards, 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 Domiciliary Care Agencies Regulations (Northern Ireland) 2007

<p>Area for improvement 1</p> <p>Ref: Regulation 23(1)</p> <p>Stated: First time</p> <p>To be completed by: Immediately from the date of inspection</p>	<p>The registered person shall establish and maintain a system for evaluating the quality of the services which the agency arranges to be provided.</p> <p>Ref: 6.3</p>
	<p>Response by registered person detailing the actions taken:</p> <p>The registered manager will appoint an independent officer approved by RQIA to come and audit all the work done by The Class Healthcare to see if they are maintaining good practice as per RQIA's expectations.</p> <p>The manager will spend more time in the office auditing staff files and carry out staff supervisions using a desidned auditing template.</p> <p>The registered manager will do spot checks on staff members employed the agency regularly</p> <p>The agency will use training matrix inorder to make sure that all the trainings are still up to date.</p> <p>The agency will use Care Planner to do staff rotas</p> <p>The manager will do staff monitoring telephone calls every month as a way of improving the service provided by the agency.</p> <p>The manager will do Client monitoring telephone calls every month as a way of maintaining good communication with the clients and if there are any complaints the manager will solve them instantly.</p>
<p>Area for improvement 2</p> <p>Ref: Regulation 5 (1)</p> <p>Stated: First time</p> <p>To be completed by: Upon return of completed Quality Improvement Plan</p>	<p>The registered person shall ensure the statement of purpose is reviewed and includes the information listed in schedule 1 of the Domiciliary Care Agencies Regulations (Northern Ireland) 2007.</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 a future care inspection.</p> <p>Ref: 6.2</p>
	<p>Response by registered person detailing the actions taken:</p> <p>The Statement of Purpose is reviewed and is available anytime to the inspectors through email or hard copy during the inspecion time,</p>

Action required to ensure compliance with The Domiciliary Care Agencies Minimum Standards, 2011	
<p>Area for improvement 1</p> <p>Ref: Standard 2.2</p> <p>Stated: First time</p> <p>To be completed by: Upon return of completed Quality Improvement Plan</p>	<p>The registered person shall ensure the service user's guide is reviewed and includes the information listed in standard 2.2 of the Domiciliary Care Agencies Minimum Standards.</p> <p>Action required to ensure compliance with this standard was not reviewed as part of this inspection and this will be carried forward to the next care inspection.</p> <p>Ref: 6.2</p> <hr/> <p>Response by registered person detailing the actions taken: Service User's Guide was reviewed and is available to inspectors anytime through email or during the inspection time by RQIA</p>
<p>Area for improvement 2</p> <p>Ref: Standard 14.1</p> <p>Stated: First time</p> <p>To be completed by: Upon return of completed Quality Improvement Plan</p>	<p>The registered person shall ensure the adult safeguarding policy and procedure is reviewed and is in accordance with regional policies and procedures.</p> <p>Action required to ensure compliance with this standard was not reviewed as part of this inspection and this will be carried forward to the next care inspection.</p> <p>Ref: 6.2</p> <hr/> <p>Response by registered person detailing the actions taken: Adult Safeguarding Policy and Procedure is reviewed and is in accordance with regional policies and procedures and is available anytime to the inspectors through email or hard copy during the inspection time,</p>
<p>Area for improvement 3</p> <p>Ref: Standard 14.2</p> <p>Stated: First time</p> <p>To be completed by: Upon return of completed Quality Improvement Plan</p>	<p>The registered person shall ensure there are written procedures for safeguarding children and young people, consistent regional policies and procedures.</p> <p>Action required to ensure compliance with this standard was not reviewed as part of this inspection and this will be carried forward to the next care inspection.</p> <p>Ref: 6.2</p> <hr/> <p>Response by registered person detailing the actions taken: Children Safeguarding Policy and Procedure is available anytime to the inspectors through email or hard copy during the inspection time.</p>

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



The Regulation and Quality Improvement Authority
9th Floor
Riverside Tower
5 Lanyon Place
BELFAST
BT1 3BT

Tel 028 9536 1111
Email info@rqia.org.uk
Web www.rqia.org.uk
 [@RQIANews](https://twitter.com/RQIANews)