



The Regulation and
Quality Improvement
Authority

Brae Valley
RQIA ID: 10058
2 Breda Terrace
Newtownbreda
Belfast, BT8 7BY

Inspector: Joe McRandle
Inspection ID: IN23956

Tel: 028 9504 2940
Email: gerry.robinson@belfasttrust.hscni.net

**Unannounced Finance Inspection
of
Brae Valley**

8 December 2015

The Regulation and Quality Improvement Authority
9th Floor Riverside Tower, 5 Lanyon Place, Belfast, BT1 3BT
Tel: 028 9051 7500 Fax: 028 9051 7501 Web: www.rqia.org.uk

1. Summary of Inspection

An unannounced finance inspection took place on 8 December 2015 from 10.00 to 14.30. Overall on the day of the inspection the home was found to be delivering safe, effective and compassionate care in relation to the management of residents' finances. Areas for improvement were identified and are set out in the Quality Improvement Plan (QIP) appended to this report. This inspection was underpinned by the Residential Care Homes Regulations (Northern Ireland) 2005 and the DHSSPS Residential Care Homes Minimum Standards (2011).

1.1 Actions/Enforcement Taken Following the Last Inspection

Other than those actions detailed in the previous QIP there were no further actions required to be taken following the last inspection.

1.2 Actions/Enforcement Resulting from this Inspection

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

1.3 Inspection Outcome

| | Requirements | Recommendations |
|---|--------------|-----------------|
| Total number of requirements and recommendations made at this inspection | 0 | 9 |

The details of the QIP within this report were discussed with Mr Gerry Robinson, Registered Manager (Acting), as part of the inspection process. The timescales for completion commence from the date of inspection.

2. Service Details

| | |
|--|--|
| Registered Organisation/Registered Person: Belfast Health and Social Care Trust/ Mr Martin Joseph Dillon | Registered Manager: Mr Gerry Robinson (Acting) |
| Person in Charge of the Home at the Time of Inspection: Mr Gerry Robinson (Acting) | Date Manager Registered: 6 June 2015 |
| Categories of Care: RC-DE | Number of Registered Places: 30 |
| Number of Residents accommodated on the day of Inspection: 21 | Weekly Tariff at Time of Inspection: £470 |

3. Inspection Focus

The inspection sought to assess progress with the issues raised during and since the previous inspection and to determine if the following themes have been met:

Statement 1

The home maintains complete and up to date records in respect of the terms and conditions of the provision of accommodation and personal care.

Statement 2

Arrangements for receiving and spending residents' monies on their behalf are transparent, have been authorised and the appropriate records are maintained.

Statement 3

A safe place is provided within the home premises for the storage of money and valuables deposited for safekeeping; clear, up to date and accurate records are maintained.

Statement 4

Arrangements for providing transport to residents are transparent and agreed in writing with the resident/their representative.

4. Methods/Process

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

- Discussion with Acting Manager and staff
- Audit traces carried out on a sample of residents' records
- Audit of residents' individual files
- Spot check on residents' monies and valuables
- Audit of policies and procedures
- Evaluation and feedback.

Prior to inspection the following records were analysed:

- Records of incidents notified to RQIA in the last twelve months.

The following records were examined during the inspection:

- The resident's guide
- Four residents' individual files
- Records of payment of fees for residents
- Records of lodgements made on behalf of residents
- Records of purchases made on behalf of residents
- Records of payments for additional services e.g. hairdressing
- Records of safe contents
- Inventory of residents personal possessions
- Policy and Procedure on residents' finances.

5. The Inspection

5.1 Review of Requirements and Recommendations from Previous Inspection

The previous inspection of the home was an unannounced care inspection dated 24 November 2015. The completed QIP was still to be returned to the care inspector at the time of issuing this report.

5.2 Review of Requirements and Recommendations from the last Finance Inspection

There has been no previous finance inspection of this service.

5.3 Statement 1 - The home maintains complete and up to date records in respect of the terms and conditions of the provision of accommodation and personal care

Is Care Safe?

A resident's guide was in place at the time of inspection. The guide included the details of the services provided to residents as part of the weekly fee. We noticed that the guide did not list the charges for additional services provided at the home e.g. hairdressing.

A recommendation is listed within the QIP of this report in relation to the above findings.

The guide included a written agreement which is issued to residents on admission to the home. Review of four residents' files evidenced that individual written agreements were in place for three of the residents. No agreement was available for the remaining resident. We noticed that the agreements in place did not show the current weekly fee to be paid by, or on behalf of, the residents. The method of payment of the fee and the details of the person paying the fee were not included in the agreements. We also noticed that two of the agreements were not signed by the resident or their representative. The remaining agreement was not signed by either the resident or a representative of the home.

A recommendation is listed within the QIP of this report in relation to the above findings.

Is Care Effective?

Discussion with the Acting Manager confirmed that The Belfast Health and Social Care Trust (BHSCCT) was the appointee for four residents at the home, i.e. a person authorised by the Social Security Agency (SSA) to receive and manage the social security benefits on behalf of an individual. We noticed that no record of the details of the person nominated to act as appointee was maintained in the residents' files.

A recommendation is listed within the QIP in relation to this finding.

Discussion with the Acting Manager confirmed that no member of staff 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.

We noticed that the financial arrangements for residents were not recorded in their agreements e.g. the arrangements for acting as appointee and the arrangements for paying for additional services on behalf of residents.

Standard 15.2 of the DHSSPS Residential Care Homes Minimum Standards (2011), states that the financial arrangements for each resident should be included in the resident's agreement.

A recommendation is listed within the QIP of this report, for residents' agreements to include their financial arrangements.

Review of records and discussion with the Acting Manager confirmed that the BHSCT manage Patient Private Property (PPP) Accounts on behalf of a number of residents.

Policies and procedures for the management and control of residents' finances were in place at the time of the inspection. We noticed that the policies did not reflect all of the procedures currently operated at the home e.g. the procedure for staff to purchase items on behalf of residents.

A recommendation is listed within the QIP of this report in relation to the above finding.

Is Care Compassionate?

Review of residents' files evidenced that there were no records of residents or their representatives being informed of any previous increase in fees as in line with Standard 4 of Residential Care Homes Minimum Standards (2011).

A recommendation is listed within the QIP of this report in relation to the above finding.

Areas for Improvement

A number of issues were identified during the finance inspection in relation to the delivery of safe, effective and compassionate care. These were:

- Update resident's guide to include a list of charges for additional services
- Written agreements to be issued to all residents and agreements to include the current weekly fee
- Details of the person acting as appointee to be retained in residents' files
- Residents' agreements to include their financial arrangements
- Notifying residents or their representatives of any increase in fee
- Update financial policies and procedures operated at the home to reflect current practice.

| | | | |
|--------------------------------|----------|-----------------------------------|----------|
| Number of Requirements: | 0 | Number of Recommendations: | 6 |
|--------------------------------|----------|-----------------------------------|----------|

5.4 Statement 2 - Arrangements for receiving and spending residents' monies on their behalf are transparent, have been authorised and the appropriate records are maintained

Is Care Safe?

As previously mentioned in this report a recommendation has been listed within the QIP for residents' individual agreements to be updated to show the current weekly fee to be paid by, or on behalf of, residents.

No records of fees paid by residents were available at the time of inspection. During the inspection the acting manager contacted the BHSCT. The Trust confirmed that the amounts owed by residents towards their fees were deducted from the benefits received on behalf of the residents the Trust acted as appointee. The remaining monies due to the residents' following the deduction towards their fee was subsequently transferred into the residents' PPP accounts.

Is Care Effective?

Review of records and discussion with staff confirmed that Individual transaction sheets were maintained for each resident. The sheets were used to record the details of purchases undertaken on behalf of residents and the payments made for additional services e.g. hairdressing.

We reviewed records of payments to the hairdresser and podiatrist for two residents, the details recorded included the name of the residents, the service provided and the amount charged to the residents. Records confirmed that the both the hairdresser and Podiatrist issued receipts when they received payment. We noticed that the hairdresser, Podiatrist and a member of staff signed the hairdressing and podiatrist records to confirm payment and to confirm the residents received the service. We compared the residents' transaction sheets to the hairdressing and podiatrist sheets, we noticed that the amounts recorded in the transaction sheets corresponded to the amounts listed in the hairdressing and podiatrist sheets.

We reviewed records of two purchases made by staff on behalf of two residents. The records included the details of the purchases and the date and amount of the purchases. Two signatures were recorded against each entry and the receipts from the purchases were available at the time of the inspection.

We noticed that there was no record of the monies initially withdrawn by staff to make the purchases or of the monies returned following the purchases.

A recommendation is listed within the QIP of this report in relation to this finding.

Discussion with staff and review of records confirmed that a local pharmacist was used to purchase toiletries on behalf of residents when needed. Discussion with staff also confirmed that residents or their representatives had the option of purchasing these items outside of the arrangement with the local pharmacist.

We noticed that the arrangements for purchasing toiletries from the pharmacist were not included in the residents' agreements. We also noticed that this practice was not reflected in the policies and procedures operated at the home.

As previously stated within this report a recommendation is listed within the QIP for residents' agreements to include the financial arrangements for each resident. A further recommendation is listed for the policies and procedures operated at the home to be updated to include all the procedures undertaken on behalf of residents.

Review of records evidenced good practice when errors were made in the residents' transaction sheets. The error was crossed out and a new line was used to record the accurate transaction. Both entries were initialled by two members of staff.

Review of records showed good practice when monies were deposited at the home on behalf of residents. Records showed that the person depositing the monies signed a receipt book along with two members of staff. The amount deposited was subsequently recorded in the residents' transaction sheets. The amounts received were forwarded to the BHSCT to be deposited in the residents' PPP accounts.

Discussion with the acting manager confirmed that apart from the PPP accounts held at the BHSCT no bank accounts were managed on behalf of residents.

Is Care Compassionate?

Discussion with staff confirmed that no assessed restrictions were in place for any resident receiving their monies.

We discussed the arrangements for depositing monies on behalf of residents outside of office hours. Staff confirmed that the receipt book was used by senior staff when monies were received on behalf of residents.

Areas for Improvement

Overall on the day of inspection, we found care to be safe and compassionate in relation to statement 2. The effectiveness of care was found to be good. However, there was one area identified for improvement; this was in relation to staff recording the monies withdrawn to make purchases on behalf of residents.

| | | | |
|--------------------------------|----------|-----------------------------------|----------|
| Number of Requirements: | 0 | Number of Recommendations: | 1 |
|--------------------------------|----------|-----------------------------------|----------|

5.5 Statement 3 - A safe place is provided within the home premises for the storage of money and valuables deposited for safekeeping; clear, up to date and accurate records are maintained

Is Care Safe?

We noticed that a safe place was provided within the home for the retention of residents' monies and valuables. We counted the monies held on behalf of residents, the amount retained agreed to the balance recorded at the home.

A record of the valuables held on behalf of residents was maintained at the home. Good practice was observed as the monies and valuables held on behalf of residents were reconciled daily. The record of the reconciliation was signed by the staff member undertaking the reconciliation and countersigned by a second member of staff. We were satisfied with the controls around the physical location of the safe place and the staff members with access.

We discussed with staff the system used to retain residents' monies, specifically the record of monies held and the actual amount held. Following the discussion staff agreed to review the current system in order that the balance recorded reflected the amount held at all times.

A recommendation is listed within the QIP of this report in relation to this finding.

Is Care Effective?

Review of records and discussion with staff confirmed that an inventory of residents' property was maintained at the home. The list was updated when items were brought into the home by or on behalf of residents. We noticed that the record was not reconciled on a regular basis (at least quarterly).

A recommendation is listed within the QIP of this report in relation to this finding.

Is Care Compassionate?

A safe place is provided to enable residents to deposit monies and valuables when required. A lockable facility was also provided in each resident's room.

Areas for Improvement

Overall on the day of inspection, we found care to be compassionate in relation to statement 3. Safe and effective care were found to be good. However, there were two areas identified for improvement; these were in relation to undertaking a review of the system used to retain residents' monies and the reconciliation of residents' furniture and personal belongings.

| | | | |
|--------------------------------|----------|-----------------------------------|----------|
| Number of Requirements: | 0 | Number of Recommendations: | 2 |
|--------------------------------|----------|-----------------------------------|----------|

5.6 Statement 4 - Arrangements for providing transport to residents are transparent and agreed in writing with the resident/their representative**Is Care Safe?**

At the time of inspection, the home did not provide a transport scheme.

Is Care Effective?

At the time of inspection, the home did not provide a transport scheme.

Is Care Compassionate?

Although no transport scheme was provided at the time of inspection. Review of records and discussion with staff confirmed that transport was provided for social outings at no cost to the residents.

Areas for Improvement

There were no areas of improvement in relation to statement 4.

| | | | |
|--------------------------------|----------|-----------------------------------|----------|
| Number of Requirements: | 0 | Number of Recommendations: | 0 |
|--------------------------------|----------|-----------------------------------|----------|

5.7 Additional Areas Examined

No additional areas were examined during this inspection.

6 Quality Improvement Plan

The issues identified during this inspection are detailed in the QIP. Details of this QIP were discussed with Mr Gerry Robinson, Registered Manager (Acting) as part of the inspection process. The timescales commence from the date of inspection.

The registered person/manager should note that failure to comply with regulations may lead to further enforcement action including possible prosecution for offences. It is the responsibility of the registered person/manager to ensure that all requirements and recommendations contained 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 your premises. The registration is not transferable so that in the event of any future application to alter, extend or to sell the premises the RQIA would apply standards current at the time of that application.

6.1 Statutory Requirements

This section outlines the actions which must be taken so that the registered person/s meets legislative requirements based on The HPSS (Quality, Improvement and Regulation) (Northern Ireland) Order 2003, The Residential Care Homes Regulations (Northern Ireland) 2005.

6.2 Recommendations

This section outlines the recommended actions based on research, recognised sources and The Residential Care Homes Minimum Standards (2011). They promote current good practice and if adopted by the registered person may enhance service, quality and delivery.

6.3 Actions Taken by the Registered Manager/Registered Person

The QIP should be completed by the registered person/registered manager and detail the actions taken to meet the legislative requirements stated. The registered person will review and approve the QIP to confirm that these actions have been completed. Once fully completed, the QIP will be returned to finance.team@rqia.org.uk and assessed by the inspector.

It should be noted that this inspection report should not be regarded as a comprehensive review of all strengths and weaknesses that exist in the home/agency/service. The findings set out are only those which came to the attention of RQIA during the course of this inspection. The findings contained in this report do not absolve the registered provider/manager from their responsibility for maintaining compliance with minimum standards and regulations. It is expected that the requirements and recommendations set out in this report will provide the registered provider/manager with the necessary information to assist them in fulfilling their responsibilities and enhance practice within the home.

Quality Improvement Plan

Recommendations

Recommendation 1

Ref: Standard 3.2

Stated: First time

To be Completed by:
22 January 2016

It is recommended that the registered manager ensures that the resident's guide is updated to include a list of the charges for additional services provided to residents e.g. hairdressing.

Response by Registered Person(s) Detailing the Actions Taken:

The Registered Manager has reviewed and updated the existing residents guide and highlighted the additional service charges for Hairdressing Appointments and Private Chiropody treatments.

Recommendation 2

Ref: Standard 4

Stated: First time

To be Completed by:
22 January 2016

It is recommended that the registered manager ensures that updated written agreements are in place for all residents accommodated at the home.

The agreement must meet standard 4 of the DHSSPS Residential Care Homes Minimum Standards (2011).

The agreements must detail the amount to be paid by the Health and Social Care Trust and the contribution to be paid by the resident (if any). The method of payment and the details of the person paying the fee should also be included in the agreements.

Agreements should be signed by the resident or their representative (if resident lacks capacity to make decisions in relation to the agreement) and a representative from the home. Where a resident or their representative is unable or chooses not to sign this must be recorded.

Copies of the signed agreements must be retained within residents' files.

Response by Registered Person(s) Detailing the Actions Taken:

The Registered Manager has discussed the existing service agreement with the trust Finance department, they confirmed that they provide each resident/representative with details of fees and contributions. The Manager has requested that the Finance dept provide the home with a copy of these finance arrangements so that a copy is retained on residents files. The content of the current Service agreement form has been reviewed and updated to ensure it meets standard 4 of the DHSSPS Residential care home standards (2011). All service agreements are signed by one home senior staff member /manager and representative at all times. The service agreements will continue to be retained on residents files as per existing practice.

| | |
|---|---|
| <p>Recommendation 3</p> <p>Ref: Standard 15.2</p> <p>Stated: First time</p> <p>To be Completed by: 22 January 2016</p> | <p>It is recommended that the registered manager updates residents' agreements to include the details of their financial arrangements e.g. the arrangements for the Trust acting as an appointee and the arrangements for making purchases on behalf of residents.</p> <p>The financial arrangements should include written consent from residents or their representatives authorising staff at the home to make purchases on behalf of residents and to make payments on behalf of residents for additional services. A list of the items members of staff are authorised to purchase and the services authorised to be paid e.g. hairdressing, should be included</p> <p>The authorisation should be signed by the resident or their representative (if resident lacks capacity to make decisions in relation to the management of their finances).</p> <p>Response by Registered Person(s)Detailing the Actions Taken: The registered Manager will ensure that a written consent form is in place for the authorisation of staff making purchases and making payments on behalf of the residents. This consent will include all potential services, eg: Hair dressing, Podiatry, Clothing and Toiletries etc. The Manager will ensure this consent form is discussed and signed by representatives on admission to the home.</p> |
| <p>Recommendation 4</p> <p>Ref: Standard 15.10</p> <p>Stated: First time</p> <p>To be Completed by: 22 January 2016</p> | <p>It is recommended that the registered manager ensures that a record of the name of the person nominated to act as appointee is kept in the files of the four residents identified during the inspection. The record should also include the date the person was approved to be the residents' appointee by the Social Security agency.</p> <p>Response by Registered Person(s)Detailing the Actions Taken: The Manager has discussed with the Finance dept the small number of residents that the trust act as appointee. The Finance dept are to confirm the exact named person acting as appointee and confirmation of when this was approved. This information will then be retained on residents files.</p> |
| <p>Recommendation 5</p> <p>Ref: Standard 21</p> <p>Stated: First time</p> <p>To be Completed by: 22 January 2016</p> | <p>It is recommended that the registered manager ensures that the policies and procedures operated at the home are updated to include all of the financial procedures undertaken by staff on behalf of residents e.g. arrangements for purchasing items.</p> <p>A record should be retained showing that staff have read and understood the policies and procedures.</p> <p>Response by Registered Person(s)Detailing the Actions Taken: The existing written Financial procedures have been reviewed and will include procedures undertaken by staff on behalf of residents: eg: Purchasing toiletries from local Pharmacy.</p> |

| | |
|--|--|
| <p>Recommendation 6</p> <p>Ref: Standard 4.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of next increase in fees</p> | <p>It is recommended that the registered manager ensures that residents or their representatives are informed in writing at least 28 days in advance of any increase in fees. A copy of the correspondence should be retained in the residents' files.</p> <hr/> <p>Response by Registered Person(s) Detailing the Actions Taken: The Trust finance Department provide written notice to all residents or their representatives in advance of any fee increases. The finance department has been asked to provide the home with a copy of this notification that can be retained on the residents file.</p> |
| <p>Recommendation 7</p> <p>Ref: Standard 15.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of the inspection</p> | <p>It is recommended that the registered manager ensures that monies withdrawn by staff to make purchases on behalf of residents and the monies returned from the purchases are recorded in the residents' transaction sheets. The records should be signed by two members of staff.</p> <hr/> <p>Response by Registered Person(s) Detailing the Actions Taken: The Registered Manager has addressed this with the Senior Team of the unit both in Senior Meetings and at Individual Supervision and the procedures outlined by RQIA have been adopted.</p> |
| <p>Recommendation 8</p> <p>Ref: Standard 20.14</p> <p>Stated: First time</p> <p>To be Completed by: From the date of the inspection</p> | <p>In order to facilitate accurate recording and to aid the audit process, it is recommended that the registered manager ensures that the system used to retain residents' monies is reviewed in order that the balance of monies recorded as held reflects the actual balance held at all times.</p> <hr/> <p>Response by Registered Person(s) Detailing the Actions Taken: The Written financial procedures for Residential homes are currently been reviewed and updated within the local Policy/Procedure group. This forum is led by ASM and includes, managers, senior staff and Service users. The updated version will include arrangements for staff purchasing items on behalf of the residents. The last Procedure meeting was held on 24th February 2016.</p> |

| | | | |
|---|--|------------------------------|---------------------|
| <p>Recommendation 9</p> <p>Ref: Standard 8.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of the inspection</p> | <p>It is recommended that the registered manager ensures that a reconciliation of residents' inventory is undertaken regularly (at least quarterly).</p> <p>Two signatures should be recorded against the reconciliation.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: The Registered Manager has discussed and agreed this issue within the Senior Team and a quarterly audit reconciliation will be undertaken of all residents inventory of possessions.</p> | | |
| <p>Registered Manager Completing QIP</p> | <p>Gerry Robinson</p> | <p>Date Completed</p> | <p>January 2016</p> |
| <p>Registered Person Approving QIP</p> | <p>Martin Dillion</p> | <p>Date Approved</p> | <p>April 2016</p> |
| <p>RQIA Inspector Assessing Response</p> | <p>Joseph McRandle</p> | <p>Date Approved</p> | <p>6/04/16</p> |

Please ensure this document is completed in full and returned to finance.team@rqia.org.uk from the authorised email address