



The Regulation and
Quality Improvement
Authority

80 Malone Road
RQIA ID: 1005
Belfast
BT9 5BU

Inspector: Joe McRandle
Inspection ID: IN23970

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**Unannounced Finance Inspection
of
80 Malone Road

5 January 2016**

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 5 January 2016 from 10.30 to 15.30. 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	12

The details of the QIP within this report were discussed with Mrs Vanessa Grattan, 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/ Martin Joseph Dillion.	Registered Manager: Vanessa Grattan (Acting).
Person in Charge of the Home at the Time of Inspection: Vanessa Grattan (Acting Manager).	Date Manager Registered: 01 April 2005
Categories of Care: RC-LD, RC-LD(E)	Number of Registered Places: 14
Number of Residents accommodated on the day of Inspection: 11	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 theme has been met:

Inspection Theme: Patients' finances and property were appropriately managed and safeguarded

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, none of which were finance related

The following records were examined during the inspection:

- The resident's guide
- Three residents' individual files
- Records of payment of fees by 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 22 October 2015. The completed QIP was returned and approved by the care inspector.

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. We noticed that the guide did not list the services provided as part of the weekly fee or the charges for any additional services provided at the home e.g. hairdressing. We also noticed that the rates charged to residents included in the guide related to 2012.

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 three residents' files evidenced that individual written agreements were in place for two of the residents. No agreement was available for the remaining resident. We noticed that the agreements in place were not in line with standard 4.2 of the DHSSPS Residential Care Homes Minimum Standards (2011).

The agreements did not show the current weekly fee to be paid by, or on behalf of, the residents. The terms and conditions for staying at the home were also not included in the agreements. The two agreements in place were signed by the resident or their representative and a representative from 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 (BHSCT) was the corporate appointee for all 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 one of the files reviewed included the financial arrangements for the resident. There were no arrangements recorded in the remaining files. Standard 15.2 of the DHSSPS Residential Care Homes Minimum Standards (2011), states that the financial arrangements for each resident should be included in their 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 managed Patient Private Property (PPP) Accounts on behalf of a number of residents. We noticed that one resident's file contained a certificate from The Office of Care and Protection (OCP) authorising two members of staff to manage a bank account on behalf of the resident. We also noticed that one of the staff members listed on the certificate had recently left the home.

A recommendation is listed within the QIP for the BHSCT to contact OCP informing them that one of the members of staff listed on the certificate no longer works at the home.

Comprehensive policies and procedures for the management and control of residents' finances were in place at the time of the inspection.

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 services included in fee and charges for additional services
- Written agreements to be issued to all residents and agreements to be in line with standard 4.2
- Details of the person acting as appointee to be retained in residents' files
- Residents' agreements to include their financial arrangements

- Notifying OCP that one of the staff members listed on certificate is no longer employed at the home
- Notifying residents or their representatives of increase in fees

Number of Requirements:	0	Number of Recommendations:	6
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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?

Discussion with staff and review of records confirmed that residents' benefits were either paid into the Residents' PPP account at the Trust or into a bank account in the name of the resident. The BHSCT subsequently issued invoices to the residents or their representatives for their contribution towards their fee. We noticed that copies of the invoices raised were retained within the residents' files reviewed during the inspection.

The inspector could not verify that the amounts invoiced corresponded with the amounts owed by the residents as no record of the residents' contributions were recorded in their agreements.

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

Is Care Effective?

Review of records and discussion with staff confirmed that Individual transaction sheets ("residents' record 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 noticed that other transaction sheets ("Cash flow sheets") were used to record monies received from the BHSCT on behalf of residents and withdrawn by staff to make the purchases.

Review of six records of monies forwarded by the BHSCT to the home on behalf of three residents showed that five of the records had corresponding entries in the residents' cash flow sheets for the monies received. We could not verify the remaining amount received in June 2015 as the record was archived. Records also showed that one entry had only one signature recorded against it when monies were received.

A recommendation is listed within the QIP of this report for the home to extend the period for archiving residents' records in order to aid the audit process. A further recommendation is listed for two signatures to be recorded against all transactions undertaken on behalf of residents.

We reviewed records of six purchases made by staff on behalf of three residents. The records included the details of the purchases and the date and amount of the purchases. Records showed that the monies withdrawn were recorded in the cash flow sheets and the expenditure was recorded in the residents' record sheets. We noticed that the dates recorded in both sheets did not correspond for three of the records. We also noticed that the record sheet for one purchase made in March 2015 was not available as it was archived. Five of the records contained only one signature. Receipts were available at the time of the inspection for all the purchases reviewed.

A recommendation is listed within the QIP of this report for the dates recorded in the residents' cash flow sheets to correspond with the dates recorded in the residents' record sheets.

Review of records of three payments to the hairdresser for two residents showed that one signature was recorded against each entry in the transaction sheets. Discussion with staff confirmed that a member of staff signed the sheets to confirm the service took place.

Records showed that the hairdresser issued a receipt when they received payment. We noticed that the amount received by the hairdresser was not recorded on two of the three receipts reviewed. We also noticed that there was no residents record sheet for one of the payments made to the hairdresser in November 2015 as the record was archived.

A recommendation is listed within the QIP for the hairdresser to sign the records to confirm they received payment and to list the amount received on their receipt. A recommendation has been previously listed in relation to archiving residents' records.

We commented on the good practice of retaining a list of staff signatures and their initials in the file used to retain the residents record sheets for audit purposes. The inspector also commented on the good practice of retaining two separate sheets to record transactions as an additional control mechanism employed by the home.

Is Care Compassionate?

Review of the three residents' files confirmed good practice as written authorisations were retained in all three files. The authorisations listed the items staff were permitted to purchase and the services to be paid on behalf of residents e.g. hairdresser. We noticed that the authorisation form in one file was signed by the resident. Discussion with staff confirmed that the resident would not have the capacity to understand the form for which they signed. The acting manager agreed to issue a new consent form to the resident's representative for signing. The remaining forms were signed by the residents' representatives.

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

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

Areas for Improvement

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

- Extend the period for archiving residents' records.
- Two signatures to be recorded against all transactions
- Dates recorded in separate transaction sheets to correspond
- Hairdresser to sign records and include amount received on receipt
- Consent form to be signed by resident's representative.

Number of Requirements:	0	Number of Recommendations:	5
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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 three residents, the amount retained agreed to the balance recorded at the home. No valuables were held on behalf of residents at the time of the inspection. We were satisfied with the controls around the physical location of the safe place and the staff members with access.

We noticed that as in line with standard 15.12 of the DHSSPS Residential Care Homes Minimum Standards (2011) a record was maintained of regular reconciliations of monies held on behalf of residents.

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 not always updated when items were brought into the home by or on behalf of residents following admission.

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 that the financial arrangements were contributing to safe and compassionate care in relation to statement 3. One area was identified for improvement in relation to effective care; this was for the recording of personal possessions and furniture brought into the home by, or on behalf of, residents following admission.

Number of Requirements:	0	Number of Recommendations:	1
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5.6 Statement 4 - Arrangements for providing transport to residents are transparent and agreed in writing with the resident/their representative

Is Care Safe, Effective and Compassionate?

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

Areas for Improvement

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

Number of Requirements:	0	Number of Recommendations:	0
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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 Mrs Vanessa Grattan, 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.

Recommendations	
<p>Recommendation 1</p> <p>Ref: Standard 3.2</p> <p>Stated: First time</p> <p>To be Completed by: 19 February 2016</p>	<p>The registered manager should ensure that the resident's guide is updated to include the current fees and the services provided as part of the fee. The charges for any additional services provided at the home e.g. hairdressing should also be included in the guide.</p> <hr/> <p>Response by Registered Person(s) Detailing the Actions Taken: In response to this recommendation the registered manager has ensured that the residents' guide has been updated to include the current fees and the services provided as part of the fee, along with the charges for any additional fees for services provided at the home.</p>
<p>Recommendation 2</p> <p>Ref: Standard 4</p> <p>Stated: First time</p> <p>To be Completed by: 19 February 2016</p>	<p>The registered manager should ensure that agreements are in place for all residents accommodated at the home.</p> <p>The agreement must meet standard 4 of the DHSSPS Residential Care Homes Minimum Standards (2011) e.g. include the services provided for the fee and the terms and conditions for staying at the home.</p> <p>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. The method of payment and the details of the person paying the fee should also be included in the agreements.</p> <p>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.</p> <p>Copies of the signed agreements must be retained within residents' files.</p> <hr/> <p>Response by Registered Person(s) Detailing the Actions Taken: In response to this recommendation the registered manager has ensured that agreements detail the amount to be paid by the H&SC Trust and the contribution to be paid by the resident. The method of payment and the details of the person paying the fee. Each Financial Support Plan is signed by the Manager, the Key Worker and by the resident or their representative when a resident lacks capacity to make decisions in relation to the agreement. Where a resident or their representative is unable or chooses not to sign this is recorded. Copies of the agreements are retained within the residents file. This meets Standard 4 of the DHSSPS Residential Care Homes Minimum Standards (2011).</p>
<p>Recommendation 3</p> <p>Ref: Standard 15.10</p>	<p>The registered manager should ensure that a record of the name of the person nominated to act as appointee is kept in residents' files. The record should also include the date the person was approved to act as appointee by the Social Security agency.</p>

Stated: First time To be Completed by: 19 February 2016	Response by Registered Person(s) Detailing the Actions Taken: In response to this recommendation the registered manager has ensured the appointee is recorded in the residents file along with the date the person was approved to act as appointee by Social Security agency.
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<p>Recommendation 4</p> <p>Ref: Standard 15.2</p> <p>Stated: First time</p> <p>To be Completed by: 19 February 2016.</p>	<p>The registered manager should ensure that details of residents' financial arrangements are included in their agreements e.g. the arrangements for the Trust to act as appointee and the arrangements for managing a bank account on behalf of a resident.</p> <p>Response by Registered Person(s)Detailing the Actions Taken: In response to this recommendation the registered manager has ensured details of the residents financial arrangements are included in their agreements.</p>
<p>Recommendation 5</p> <p>Ref: Standard 20.14</p> <p>Stated: First time</p> <p>To be Completed by: 19 February 2016.</p>	<p>The registered manager should ensure that the BHSCT contacts OCP to inform them that the person named in the certificate issued for the resident, identified during the inspection, no longer works at the home. A copy of all correspondence should be retained in the resident's file.</p> <p>Response by Registered Person(s)Detailing the Actions Taken: In response to this recommendation the registered manager informed OCP that there had been a change of Manager. Certificates are no longer issued by OCP. A copy of correspondence is retained in the patients file.</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>The registered manager should ensure that a written record showing that residents or their representatives are informed at least 28 days in advance of any increase in fees is retained within the residents' files.</p> <p>Response by Registered Person(s)Detailing the Actions Taken: In response to this recommendation the registered manager ensures that a written record showing the resident and their representative are informed at least 28 days in advance of any increase in fees is retained in the residents file.</p>
<p>Recommendation 7</p> <p>Ref: Standard 20.14</p> <p>Stated: First time</p> <p>To be Completed by: 5 February 2016.</p>	<p>The registered manager should ensure that the period for archiving residents' records is extended to aid the audit process.</p> <p>The procedure should be included in the policies and procedures operated at the home.</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: In response to this recommendation the registered manager has ensured that the period for archiving residents' records is extended to aid the audit process. The records for 2014 and 2015 were available within the facility.</p> <p>This procedure is included in the Trust policy which is adhered to by the home.</p>

	An Evidence of Responsibility form is in place, this is signed by staff when they have read and understood policies and procedures.
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<p>Recommendation 8</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>The registered person should ensure that at least two signatures are recorded against all entries in the residents' transaction sheets.</p> <hr/> <p>Response by Registered Person(s) Detailing the Actions Taken: In response to this recommendation the registered manager has informed all staff that there must be 2 signatures for each transaction. This was discussed and recorded at the February staff meeting and will be monitored monthly by the registered manager to ensure compliance.</p>
<p>Recommendation 9</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>The registered manager should ensure that the dates recorded in the residents "cash flow sheets" correspond with the dates recorded in the "residents' record sheets".</p> <hr/> <p>Response by Registered Person(s) Detailing the Actions Taken: In response to this recommendation the registered person has put in place a monthly audit to ensure dates are recorded. These will be checked to ensure 'cash flow sheets' and 'residents' record sheets' correspond.</p>
<p>Recommendation 10</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>The registered manager should ensure that the hairdresser signs the records along with a staff member to confirm residents received the service.</p> <p>The amount received by the hairdresser for payment for providing the service to residents should be recorded in their receipt.</p> <hr/> <p>Response by Registered Person(s) Detailing the Actions Taken: In response to this recommendation the registered manager has informed all staff to ensure that the hairdresser and a staff member signs each residents record. The amount received for payment is also recorded.</p>
<p>Recommendation 11</p> <p>Ref: Standard 15.2</p> <p>Stated: First time</p> <p>To be Completed by: 19 February 2016.</p>	<p>The registered manager should ensure that a new consent form is forwarded to the representative of the resident, identified during the inspection, in order to be signed.</p> <p>A copy of the signed document should be retained in the resident's file.</p> <hr/> <p>Response by Registered Person(s) Detailing the Actions Taken: In response to this recommendation the registered manager has forwarded an agreement form to the representative of the resident identified, to be signed as no one can give consent for another adult.</p>
<p>Recommendation 12</p> <p>Ref: Standard 8.7</p> <p>Stated: First time</p>	<p>The registered manager should ensure that an up to date inventory is maintained of furniture and personal possessions brought into the home by, or on behalf of, residents. The record should give clear details of the items listed.</p> <p>A reconciliation of these records should be undertaken regularly (at</p>

To be Completed by: 19 February 2016.	least quarterly). Response by Registered Person(s) Detailing the Actions Taken: In response to this recommendation the registered manager has ensured an inventory of furniture and personal possessions is in place. A reconciliation of these records is completed on a quarterly basis and record maintained.
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Registered Manager Completing QIP	Vanessa Grattan	Date Completed	15/02/16
Registered Person Approving QIP	Martin Dillon	Date Approved	18/02/16
RQIA Inspector Assessing Response	Joseph McRandle	Date Approved	24/02/16

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