



The Regulation and
Quality Improvement
Authority

Chestnut Grove
RQIA ID: 10060
59-61 Somerton Road
Belfast
BT15 4DD

Inspector: Joe McRandle
Inspection ID: IN23975

Tel: 028 9504 1610
Email: mairead.mccartan@belfasttrust.hscni.net

**Unannounced Finance Inspection
of
Chestnut Grove**

21 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 21 January 2016 from 10.45 to 14.15. 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 | 10 |

The details of the QIP within this report were discussed with Mrs Mairead McCartan, Registered Manager, as part of the inspection process. The timescales for completion commence from the date of inspection.

2. Service Details

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| Registered Organisation/Registered Person: Belfast Health and Social Care Trust/ Mr Martin Joseph Dillon | Registered Manager: Mrs Mairead McCartan |
| Person in Charge of the Home at the Time of Inspection: Mrs Mairead McCartan | Date Manager Registered: 30 September 2015 |
| Categories of Care: RC-E, RC-MP(E), RC-PH, RC-PH(E), RC-I | Number of Registered Places: 44 |
| Number of Residents accommodated on the day of Inspection: 20 | 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: Residents' 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 registered 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
- Four residents' individual files
- 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
- Policies and Procedures for 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 29 September 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. The guide included the details of the services provided to residents as part of the weekly fee and a list of the additional services provided at the home to be paid by residents e.g. hairdressing.

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. Discussion with the registered manager confirmed that the resident was receiving respite care and no agreements were in place for respite residents. We highlighted to the registered manager that an agreement needed to be in place for all residents at the home regardless if they were permanent residents or receiving respite care.

The agreements reviewed did not show the current weekly fee to be paid by, or on behalf of, residents. The method of payment of the fee and the details of the person paying the fee were included in the agreements. All three agreements reviewed were signed by the resident or their representative and a representative from the home.

A recommendation is listed within the QIP of this report for agreements to be in place for all residents. The agreements should show the current fee paid by, or on behalf of, residents.

Is Care Effective?

The registered manager could not confirm if The Belfast Health and Social Care Trust (BHSCT) acted as an appointee for any residents within the home as records were held at BHSCT headquarters. Review of one resident's file showed that the BHSCT acted as a corporate appointee for the resident. There was no record of the details of the person nominated to act as appointee retained in the residents' file.

A recommendation is listed within the QIP for the registered person to confirm if the BHSCT acts as appointee for other residents at the home. Details of the person acting as the appointee should be retained in the relevant residents' files.

Discussion with the registered 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.

The financial arrangements were recorded in two of the four residents' files reviewed during the inspection. As in line with Standard 15.2 of the DHSSPS Residential Care Homes Minimum Standards (2011) a recommendation is listed within the QIP of this report for a record of the financial arrangements for each resident to be included within their agreements.

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.

Review of records and discussion with the registered manager confirmed that the BHSCCT managed Patient Private Property (PPP) Accounts on behalf of a number of residents.

Is Care Compassionate?

A provision within the residents' agreements stated that residents would be contacted three weeks in advance of any increase in fees. 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 4.7 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. The issues identified include:

- Written agreements to be issued to all residents and agreements to include the current weekly fee
- Confirmation of person at the Trust acting as appointee on behalf of residents
- Residents' agreements to include their financial arrangements
- Update financial policies and procedures operated at the home to reflect current practice.
- Notifying residents or their representatives of any increase in fee.

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| Number of Requirements: | 0 | Number of Recommendations: | 5 |
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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?

No records of fees paid by residents were available at the time of inspection. Discussion with the registered manager confirmed that all fees were managed by the BHSCCT.

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

One of the residents' files reviewed contained a record which indicated that the resident may not be paying the correct contribution towards their fee. The record stated that the BHSCT were seeking further information in relation to this matter. There was no record retained in the file of any outcome as to whether the resident was paying the correct contribution.

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

Is Care Effective?

Review of records and discussion with staff confirmed that Individual transaction sheets were maintained for each resident (named "Residents Cash Record"). 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. The cash record sheets were also used to record monies deposited at the home on behalf of residents.

A hairdressing book was used to record the details of the service provided to residents. The details recorded included the name of the resident, the service provided, the date the service was provided and the amount charged to the resident. Discussion with staff confirmed that the hairdressing book was used to update residents' cash records with the amount withdrawn from residents' monies to pay for the service.

A review of three entries recorded in the cash records for three residents showed that two staff signatures were recorded against each of the entries. We checked the residents' cash records with the entries recorded in the hairdressing book. We noticed that the required details were not recorded in the hairdressing book for two of the residents. The service provided to the residents and the date the service took place were not recorded in the book. One of the dates the service took place did not correspond with the date recorded in the resident's cash record sheet. Only one signature was recorded after the details were recorded in the hairdressing book. Discussion with staff confirmed that a member of staff had signed the book.

A recommendation is listed within the QIP of this report for the hairdresser to sign the hairdressing book along with a member of staff to confirm that the service took place. A further recommendation is listed for the system of recording transactions on behalf of residents in the hairdressing book to be reviewed in order to facilitate accurate recording and to aid the audit process.

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

Good practice was observed as a separate entry was recorded in the residents' cash record sheets showing monies returned from the purchases undertaken on behalf of residents. We noticed that the staff member that signed the monies in was not the staff member who made the original withdrawal to make the purchase.

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

Review of records of small amounts of monies deposited at the home on behalf of residents showed that the person depositing the monies signed the residents' cash record sheets along with a member of staff.

Is Care Compassionate?

Discussion with the registered manager 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 safe and effective Care. These were:

- Confirm resident is making correct contribution towards their fee
- hairdresser to sign hairdressing book along with member of staff
- accurate recording of transactions undertaken on behalf of residents in hairdressing book
- Staff member withdrawing monies also signs record when returning monies from purchases.

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| Number of Requirements: | 0 | Number of Recommendations: | 4 |
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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?

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 the retention of valuables for a number of residents and a small amount of money for one resident who was no longer residing at the home. The registered manager agreed to contact the BHSCT to discuss this issue.

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.

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 effective and compassionate care. One area was identified for improvement in relation to safe care; this was for the retention of a number of items on behalf of residents.

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| 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

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| 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 Mairead McCartan, Registered Manager, 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 4.2

Stated: First time

To be Completed by:
25 March 2016

The registered manager should ensure that updated written agreements are in place for all residents accommodated at the home.

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

The agreements must detail the current amount to be paid by the Health and Social Care Trust and the current contribution paid by residents.

Agreements should be signed by residents or their representatives (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 should be retained within residents' files.

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

The Trust has a written agreement in place for all permanent and community rehabilitation residents in Chestnut Grove. The finance agreement for permanent residents is held at the Trust's Finance department. All residents will have received a copy of this and receive yearly updates re their charge for care. The Trust Finance department holds all of this information and is protected by data protection. The inspector can view individual residence finance files and can contact the Trust's Finance department based at Knockbracken Healthcare Park.

Written agreements are completed by the community rehabilitation team prior to admission to a rehabilitation bed. The community rehabilitation service users guide will be updated to include any agreement for finance and charges. Currently the Belfast Trust does not charge for residents admitted to a residential bed at Chestnut Grove for their rehabilitation period.

Recommendation 2

The registered manager should contact the BHSCT to confirm if the

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| <p>Ref: Standard 15.10</p> <p>Stated: First time</p> <p>To be Completed by: 25 March 2016</p> | <p>Trust acts as appointee for other residents at the home.</p> <p>A record of the name of the person nominated to act as appointee should be retained in the residents' files. The record should also include the date the person was approved to act as appointee by the Social Security Agency.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: The Belfast Trust has a corporate appointee for residents and this information is held within the records at the Trust's Finance department. The Trust has one nominate corporate appointee for residents who require a nominated appointee.</p> |
| <p>Recommendation 3</p> <p>Ref: Standard 15.2</p> <p>Stated: First time</p> <p>To be Completed by: 25 March 2016</p> | <p>The registered manager should ensure that residents' agreements are updated 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>Response by Registered Person(s) Detailing the Actions Taken: The registered manager will include the details of the financial arrangements in place and the residents review will reflect this.</p> |
| <p>Recommendation 4</p> <p>Ref: Standard 21</p> <p>Stated: First time</p> <p>To be Completed by: 25 March 2016</p> | <p>The registered manager should ensure 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 revised policies and procedures.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: The current Belfast Trust policy and procedure on residents private property for the residential facilities for older people is currently being updated by a policy group.</p> |
| <p>Recommendation 5</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: The Department set the regional rate for residential care charges and notify the Trust. Once the Trust receive this all residents or their representatives are informed by the Trust's finance department in writing. A copy of this is held in the residents financial file at the Trust's finance department at Knockbracken.</p> |
| <p>Recommendation 6</p> <p>Ref: Standard 15.4</p> | <p>The registered manager should ensure that a record of the outcome as to whether the resident, identified during the inspection, is paying the correct contribution towards their fee is retained within the resident's file.</p> |

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| Stated: First time To be Completed by: 25 March 2016 | Response by Registered Person(s) Detailing the Actions Taken: The care manager has contacted the Trust's finance department and this issue is being dealt with to ensure the identified resident is paying the current contribution for residential charges. |
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| <p>Recommendation 7</p> <p>Ref: Standard 15.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of inspection</p> | <p>The registered manager should ensure that the hairdresser signs the hairdressing book along with a staff member to confirm residents received the service.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: As per the recommendation the hairdresser providing the service at Chestnut Grove also signs the hairdressing book along with the staff members.</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 inspection.</p> | <p>The registered manager should ensure that the procedure of recording transactions on behalf of residents in the hairdressing book is reviewed in order to facilitate accurate recording and to aid the audit process.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: The registered manager has reviewed this and the recording has details of the breakdown of the cost of services offered by the hairdresser and this is appropriately recorded.</p> | | |
| <p>Recommendation 9</p> <p>Ref: Standard 15.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of inspection.</p> | <p>The registered manager should ensure that the staff member signing residents' monies out to make purchases also signs the record when returning monies from the purchases.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: The manager will ensure that the same staff member who signs themonies out for residents purchases will sign these back into the residents account.</p> | | |
| <p>Recommendation 10</p> <p>Ref: Standard 15.5</p> <p>Stated: First time</p> <p>To be Completed by: 25 March 2016</p> | <p>The registered manager should contact the BHSCT in order to agree a decision in relation to the valuables held on behalf of a number of residents and a small amount of money for one resident, identified during the inspection.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: The manager has contacted the responsible person for patients property within the Trust to advise on the disposal of the small amounts of money remaining in the facility safe in respect of residents/family who have failed to collect this.</p> | | |
| <p>Registered Manager Completing QIP</p> | <p>Mairead McCartan</p> | <p>Date Completed</p> | <p>22.3.16</p> |
| <p>Registered Person Approving QIP</p> | <p>Martin Dillion</p> | <p>Date Approved</p> | <p>22.3.16</p> |
| <p>RQIA Inspector Assessing Response</p> | <p>Joseph McRandle</p> | <p>Date Approved</p> | <p>01/04/16</p> |

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