



The Regulation and
Quality Improvement
Authority

Mount Alexander
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Castle Lodge Park
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BT23 5DW

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**Announced Finance Inspection
of
Mount Alexander House**

4 February 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 announced finance inspection took place on 4 February 2016 from 10.45 to 13.45. Less than twenty four hours' notice was given prior to the inspection. 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 | 6 |

The details of the QIP within this report were discussed with Angeline Taylor, 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: South Eastern Health and Social Care Trust/ Mr Hugh McCaughey | Registered Manager: Angeline Taylor |
| Person in Charge of the Home at the Time of Inspection: Angeline Taylor | Date Manager Registered: 1 April 2005 |
| Categories of Care: RC-DE | Number of Registered Places: 37 |
| Number of Residents accommodated on the day of Inspection: 30 | 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
- 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 lodgements made on behalf of two 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 11 June 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 RQIA 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 three residents' files evidenced that individual written agreements were in place for two of the residents. Discussion with staff confirmed that the remaining agreement had been forwarded to the resident's representative to be signed and had yet to be returned.

A recommendation is listed within the QIP of this report for the agreement to be followed up with the resident's representative.

The agreements reviewed showed that a provision was available for the details of the current fee paid by, or on behalf of, residents, the method of payment of the fee and the details of the person paying the fee. We noticed however that the details were not completed for the agreements reviewed. The agreements were signed by the resident or their representative and a representative from the home.

A recommendation is listed within the QIP for the agreements to be completed in order to show the above details for all residents accommodated at the home.

Is Care Effective?

Discussion with the registered manager confirmed that no member of staff at the home or at the South Eastern Health and Social Care Trust (SEHSCT) acted as the appointee for any resident, i.e. a person authorised by the Social Security Agency (SSA) to receive and manage the social security benefits on behalf of an individual.

Discussion with the registered manager confirmed that no member of staff at the home or at the SEHSCT 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.

A provision for the details of the financial arrangements for each resident was included in the reviewed agreements. We noticed that these details were not completed at the time of inspection.

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

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. The issues identified include:

- Agreement to be signed by resident's representative
- Agreements to be updated to include the details of the current fee, method of payment of the fee and the person paying the fee
- Residents' agreements to include their financial arrangements
- Record maintained of residents or their representatives being informed of any increase in fee

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

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 SEHSCT and all records of payments of residents' fees were held at the Trust.

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. The transaction sheets were also used to record small amounts of monies deposited at the home on behalf of residents.

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.

We reviewed records of four purchases made by staff on behalf of three 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 transaction sheets. Receipts from the purchases were available at the time of the inspection.

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 residents. Records confirmed that the podiatrist issued and signed receipts, along with a member of staff, when they received payment. The hairdresser had signed the hairdressing sheets along with a member of staff to confirm payment and that residents received the service.

Review of records and discussion with staff confirmed that newspapers were provided to residents by a local newsagent. The newsagent invoiced the home at the end of each week. We had difficulty reconciling the amounts paid by residents to the corresponding invoices from the newsagent. This was due to the period the payment related to not being recorded. During discussions the registered manager agreed to record these details for future payments.

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

Discussion with the registered manager confirmed that no bank accounts were managed on behalf of residents.

Is Care Compassionate?

Review of residents' files confirmed good practice as written authorisations were in place for staff to purchase items on behalf of residents. Authorisation was also given for staff to pay for services on behalf of residents e.g. hairdressing. The authorisation forms were signed by the residents' representatives.

Authorisation was also obtained from residents' representatives for the withdrawal of small amounts of residents' monies for the payment of social outings. These authorisation forms were also signed by the residents' representatives.

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

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 period for which the payment of newspapers, on behalf of residents, related to.

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| Number of Requirements: | 0 | Number of Recommendations: | 1 |
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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. 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 the monies held on behalf of residents were reconciled on a regular basis. As in line with best practice the record was signed by the staff member undertaking the reconciliation and countersigned by a senior member of staff. Good practice was also observed as records showed that the registered manager audited these records on a monthly basis.

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.

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.

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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 Angeline Taylor, 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 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 service.

Quality Improvement Plan

Recommendations

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| <p>Recommendation 1</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be Completed by: 15 April 2016</p> | <p>The registered manager should follow up on the outstanding agreement for the resident, identified during the inspection. A copy of the signed agreement should be retained in the resident's file.</p> <p>Where a signed agreement has not been returned by a representative, a copy of the agreement should be retained in the resident's file until the signed copy is received. Copies of correspondence reminding the representative to sign and forward the agreement should also be maintained within the resident's file.</p> |
| | <p>Response by Registered Person(s) Detailing the Actions Taken: The residents agreement as explained at inspection was taken home by a relative to read in their own time. This was returned and placed in file the next day.</p> |
| <p>Recommendation 2</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be Completed by: 15 April 2016</p> | <p>The registered manager should ensure that residents' agreements are updated to include the details of the current fee paid by the Health and Social Care Trust and the current contribution paid by, or on behalf of, residents. The method of payment of the fee and the person by whom the fee is paid should also be included in the agreements.</p> <p>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 should be recorded.</p> |
| | <p>Response by Registered Person(s) Detailing the Actions Taken: We will obtain this information within timeframe.</p> |
| <p>Recommendation 3</p> <p>Ref: Standard 15.2</p> <p>Stated: First time</p> <p>To be Completed by: 15 April 2016</p> | <p>The registered manager should ensure that residents' agreements are updated to include the details of their financial arrangements.</p> |
| | <p>Response by Registered Person(s) Detailing the Actions Taken: All agreements now have financial arrangements recorded</p> |

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| Recommendation 4 Ref: Standard 4.7 Stated: First time To be Completed by: From the date of next increase in fees | The registered manager should ensure that a written record showing that residents or their representatives were informed at least four weeks in advance of any increase in fees is retained within the residents' files. | | |
| | Response by Registered Person(s) Detailing the Actions Taken: This is directly managed by the Trust's finance department and not by us. | | |
| Recommendation 5 Ref: Standard 20.14 Stated: First time To be Completed by: From the date of the inspection | In order to facilitate the audit process, the registered manager should ensure that the records of payments to the newsagent include the period the payment relates to. | | |
| | Response by Registered Person(s) Detailing the Actions Taken: Dates are now being written for the period payment relates to. | | |
| Recommendation 6 Ref: Standard 8.7 Stated: First time To be Completed by: 15 April 2016 | 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. A reconciliation of these records should be undertaken regularly (at least quarterly). | | |
| | Response by Registered Person(s) Detailing the Actions Taken: We will update personal possession records on a quarterly basis | | |
| Registered Manager Completing QIP | Angeline Taylor | Date Completed | 07.04.16 |
| Registered Person Approving QIP | Hugh McCaughey | Date Approved | 08.04.16 |
| RQIA Inspector Assessing Response | Joseph McRandle | Date Approved | 23/05/16 |

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