



The Regulation and
Quality Improvement
Authority

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**Unannounced Finance Inspection
of
Northfield House**

24 November 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 24 October 2015 from 09.20 to 13.45. A poster detailing that the inspection was taking place was positioned at the entrance to the home.

Discussion was held with the Ms Angela Cartwright, the registered manager; no relatives or visitors chose to meet with us during the inspection.

Overall on the day of the inspection, the financial arrangements in place were found to be contributing to safe, effective and compassionate care; however two areas for improvement were identified which 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.

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 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	2

The details of the QIP within this report were discussed with Ms Angela Cartwright, the registered manager, as part of the inspection process. The timescales for completion commence from the date of inspection.

2. Service Details

Registered Organisation/Registered Person: South Eastern HSC Trust/Hugh Henry McCaughey	Registered Manager: Ms Angela Cartwright
Person in Charge of the Home at the Time of Inspection: Ms Angela Cartwright	Date Manager Registered: 8 September 2009
Categories of Care: RC-I, RC-MP, RC-MP(E), RC-PH, RC-PH(E), RC-A, RC-SI, RC-TI	Number of Registered Places: 41
Number of Residents Accommodated on the Day of Inspection: 11	Weekly Tariff at Time of Inspection: £470.00

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 are 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 include the following:

- Discussion with Ms Angela Cartwright, the registered manager
- Review of records
- Evaluation and Feedback

Prior to inspection the following records were analysed:

- Records of incidents notified to RQIA in the last twelve months; no finance-related incidents were noted

The following records were reviewed during the inspection:

- The residents' guide
- Three residents' agreements
- The home's policy on "handling of patients' cash and valuables"
- The home's policy on "dealing with residents monies and personal property"
- A sample of income and expenditure records
- One resident's care plan
- One resident's most recent care management review record
- A sample of hairdressing treatment records
- Three residents' personal property records

5. The Inspection

5.1 Review of Requirements and Recommendations from Previous Inspection

The previous inspection of the home was an unannounced care inspection carried out on 19 November 2015, the findings from which will be reported on separately.

5.2 Review of Requirements and Recommendations from the Last Finance Inspection

There has been no previous RQIA finance inspection of the home.

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?

The home has a resident guide which is provided to newly admitted residents and we were advised that a copy of the resident guide is provided in each resident's room. We noted that the guide included general information on: fees and the arrangements for payment of fees; arrangements in place for the home to safeguard residents' personal possessions and details as to insurance cover for the residents' personal property.

The home also provides a written agreement to newly admitted residents, this is further discussed below.

Is Care Effective?

We selected a sample of three residents in order to view the signed agreements in place with the home. On reviewing the files, we noted that two of the three residents had a signed agreement in place; the third resident's agreement was unsigned. The agreements which were signed did not reflect the up to date (2015) fees details; the fees noted in each case reflected the 2014 rates.

The residents' guide states: "Fees are updated at April"; therefore we noted that the registered manager should ensure that agreements are updated to reflect changes in the fees payable and that resident agreements should be updated as soon as the new details are known by the home. We highlighted that the agreements for residents in the home should be updated within one week of the date of the inspection.

A recommendation was made in respect of this finding. The day after the inspection, the registered manager contacted us to advise that the required amendments had been implemented.

We noted that the home has two written policies and procedures addressing how residents' money and valuables are safeguarded. Written evidence was provided which confirmed that staff who support residents with their money had received financial training.

Is Care Compassionate?

As noted above, a review of a sample of written agreements evidenced that notice of changes to each resident's agreement (increase in the fee) had not been provided in a timely manner by the home. A recommendation has been made above in respect of this finding.

Areas for Improvement

Overall on the day of inspection, the financial arrangements were found to be contributing to safe, effective and compassionate care. However there was one area identified for improvement. This related to notification to residents or their representatives regarding changes in the fees payable and to ensuring that residents' agreements are duly updated.

Number of Requirements	0	Number Recommendations:	1
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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 the registered manager and a review of the records established that two residents were contributing to their care costs. We discussed these arrangements with the registered manager who explained that the two residents had a bank account which was managed by the South Eastern HSC Trust. Records were provided which identified the amount being charged to the respective residents was correct.

The personal money received by the South Eastern HSC Trust on behalf of the two residents is safeguarded in a bank account managed by the HSC trust for each of the two residents. The registered manager explained that the home received amounts of personal allowance for the two residents which has been identified as appropriate by the home in light of the residents' individual spending patterns. Payment remittances for the personal allowance monies received on behalf of the two residents are retained by the home.

The home has a detailed and effective method of ensuring that the portion of patient benefits which are owed to home by way of the patients' contributions is transferred over to the HSC trust and clear records exist to substantiate the amount and the timing of these transfers.

Is Care Effective?

A review of the records established that where money is deposited by family representatives in order to pay for additional services such as hairdressing; a receipt is provided which is routinely signed by the person receiving the money and the person depositing the money, good practice was observed.

A review of a sample of three residents' files established that the agreement contained a "financial arrangements" section. This section included details as to the types of goods or services which the home is permitted to purchase from money deposited on behalf of a resident for this purpose. As noted earlier, only two of the three agreements sampled had been signed to indicate agreement; a recommendation has been made earlier in the report in respect of this finding.

A sample of the records of income and expenditure recorded on behalf of patients was reviewed. Robust records exist to support the receipt and expenditure of residents' money recorded on the residents' behalf. We reviewed a number of transactions from the records and were able to trace these entries to the corresponding records to substantiate each transaction, such as copies of the resident's bank statement for the bank account managed by the South

Eastern HSC Trust. A review of a sample of the records evidenced regular reconciliation of the records.

We noted that the records provided by the hairdresser, "record of client's hairdressing services" detailed the name of the resident, the date, and the signatures of two people. A sample of these records were reviewed which agreed to corresponding entries in the residents' income and expenditure records.

Discussions established that the home does not operate a fund for the benefit of the residents in the home; (often referred to as a comfort fund). The manager explained that the home can apply to the HSC trust's charitable fund to request monies for a specific purpose, as needs be.

The registered manager advised that the no-one from the home was acting as nominated Appointee for any resident; however she noted that the South Eastern HSC Trust were acting as Corporate Appointee for the two residents. We reviewed the two residents' individual agreements and noted that these details were included in one resident's agreement but not the second resident's agreement. We highlighted that the identified resident's agreement should be updated to detail the name of the Appointee, the resident on whose behalf they act and the date they were approved by the Benefits Agency.

A recommendation has been made in respect of this finding.

Is Care Compassionate?

Discussion with the registered manager established that one resident had an identified need in respect of supporting them with their money. The resident's care plan was reviewed which detailed the rationale for the individual arrangement in place in the home to appropriately support the resident, as described by the registered manager.

We also discussed access to residents' money outside of normal office hours. The registered manager explained that a senior member of care staff authorised to access the safe place was always on duty, therefore residents have access to their money at all times.

Areas for Improvement

Overall on the day of inspection, the financial arrangements were found to be contributing to safe, effective and compassionate care; however there was one area identified for improvement relating to updating one resident's agreement to reflect the details of the nominated Appointee.

Number of Requirements	0	Number 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 exists within the home to enable residents or their representatives to deposit cash or valuables; we viewed the safe place within the home and were satisfied with the controls around the physical location of the safe place and the persons with access. On the day of

inspection, no valuables belonging to residents were deposited for safekeeping; the balance of cash held on behalf of residents agreed to the records held by the home.

We noted that a clear record of the money deposited for safekeeping on behalf of residents was checked at least twice daily at the staff handovers and signed by two people, good practice was observed.

Is Care Effective?

As noted above, we discussed whether there were any general or specific arrangements in place to support any residents with their money, the registered manager advised that one resident had an assessed need in respect of their money and she was able to clearly explain the specifics of the resident's particular needs. We noted that the home had implemented individual arrangements to support the resident with their identified needs and there was a clear rationale for the defined arrangements being in place.

We requested the inventory/property records for three residents and were provided with a record for each of the residents sampled. We noted that each resident had a "clothing/equipment inventory" in place. There was evidence that the records had been updated and the records including any additions and disposals recorded were routinely signed by two people, good practice was observed.

Is Care Compassionate?

A safe place exists within the home to enable residents or their representatives to deposit cash or valuables should they wish to.

As noted above, one resident had particular arrangements in place to support them with identified needs regarding their money. We reviewed the resident's care plan and most recent HSC Trust care review and the individual arrangements in place at the home to support the resident were defined and agreed to therein.

Areas for Improvement

Overall on the day of inspection, the financial arrangements were found to be contributing to safe, effective and compassionate care; there were no areas for improvement identified in respect of Statement 3.

Number of Requirements	0	Number Recommendations:	0
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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?

The home does not provide transport services to residents.

Areas for Improvement

There were no areas of improvement identified in respect of Statement 4.

Number of Requirements	0	Number Recommendations:	0
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6. Quality Improvement Plan

The issues identified during this inspection are detailed in the QIP. Details of this QIP were discussed with Ms Angela Cartwright, the 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 Residential Care Home Minimum Standards (August 2011) etc. 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 us.

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. The findings set out are only those which came to the attention of RQIA during the course of this inspection. The findings contained within this report do not absolve the registered person/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 person/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 4.6 Stated: First time To be Completed by: 1 December 2015	<p>The resident or their representative is given written notice of all changes to the agreement and these are agreed in writing by the resident or their representative. Where the resident or their representative is unable to sign or chooses not to sign, this is recorded.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: The Resident's Agreement has been updated to reflect the Department of Health 2015 financial increase in Residential Accommodation charges.</p>		
Recommendation 2 Ref: Standard 15.10 Stated: First time To be Completed by: 1 December 2015	<p>If a person associated with the home acts as an appointee, the arrangements are noted in the resident's agreement and a record is kept of the name of the appointee, the resident on whose behalf they act and the date they were approved by the Benefits Agency.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: The Resident's Agreement has been completed to confirm that the South Eastern Trust is the appointee.</p>		
Registered Manager Completing QIP	Angela Cartwright	Date Completed	22.12.15
Registered Person Approving QIP	Hugh McCaughey	Date Approved	24.12.15
RQIA Inspector Assessing Response		Date Approved	04/01/2016

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