

Announced Finance Inspection Report 21 July 2016



Colebrooke House

Residential (RC):
111 The Roddens, Larne, BT40 1PY:
Tel No: 028 2827 2696
Inspector: Joseph McRandle

www.rqia.org.uk

Assurance, Challenge and Improvement in Health and Social Care

1.0 Summary

An announced inspection of Colebrook House took place on 21 July 2016 from 10.45 to 14.15. Less than twenty four hours' notice was given prior to the inspection.

The inspection sought to assess progress with any issues raised during and since the previous inspection and to determine if the home was delivering safe, effective and compassionate care and if the service was well led.

Is care safe?

Evidence was reviewed which confirmed that the home does not manage or hold any monies on behalf of residents. Records examined showed that staff had received training in relation to the safeguarding of residents' monies. No areas for improvement were identified during the inspection.

Is care effective?

Evidence was reviewed which confirmed that residents' or their representatives were informed in writing four weeks in advance of any increase in fees. There was no evidence to show that copies of the correspondence were retained in residents' files. A recommendation was made in relation to retaining copies of correspondence forwarded to residents or their representatives informing them of an increase in fee.

Furniture located within residents' rooms was provided by the home. Evidence reviewed confirmed that one resident owned the television within their room. A review of records showed that the item was not listed in the resident's records. A recommendation was made to ensure that all residents' inventory records are reviewed and brought up to date.

Is care compassionate?

Evidence was reviewed which confirmed that although no transport scheme was operated at the home, support was given to residents wishing to undertake journeys. There was evidence that arrangements were in place to offer support for residents' managing their own monies. No areas for improvement were identified during the inspection.

Is the service well led?

Evidence was reviewed which confirmed that an additional third party payment was made on behalf of care managed residents. Records confirmed that residents were charged the correct fees. Review of records also confirmed that written agreements were in place for residents.

Additional services, e.g., hairdressing and podiatry, were provided and paid for by the home on behalf of residents. The home subsequently raised invoices on a monthly basis which were forwarded directly to the resident or their representative. No transactions were undertaken on behalf of residents by members of staff.

Three recommendations were made during the inspection. These related to updating residents' agreements, hairdresser to sign records and update of the home's policies and procedures to include the procedure for paying the hairdresser and podiatrist.

This inspection was underpinned by The Residential Care Homes Regulations (Northern Ireland) 2005 and the Residential Care Homes Minimum Standards 2011.

1.1 Inspection outcome

	Requirements	Recommendations
Total number of requirements and recommendations made at this inspection	0	5

Details of the Quality Improvement Plan (QIP) within this report were discussed with Mrs Caroline Lockwood, registered manager, as part of the inspection process. The timescales for completion commence from the date of inspection.

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

1.2 Actions/enforcement taken following the most recent finance inspection

There has been no previous RQIA finance inspection of Colebrooke House.

2.0 Service details

Registered organisation/registered provider: Colebrooke House/ Mrs A M Rowan	Registered manager: Mrs Caroline Lockwood
Person in charge of the home at the time of inspection: Mrs Caroline Lockwood	Date manager registered: 08 August 2015
Categories of care: RC-I, RC-DE	Number of registered places: 12

3.0 Methods/processes

Prior to the inspection, it was ascertained that no incidents involving services users' finances had been reported to RQIA in the last twelve months.

During the inspection the inspector met with the registered manager and the registered person. No relatives or visitors chose to meet with the inspector.

The following records were examined during the inspection:

- Four residents' finance file
- The residents' guide
- Four residents' signed agreements
- Records of fees paid by four residents
- Records of services provided by hairdresser and podiatrist
- Copies of invoices forwarded to residents for hairdressing and podiatry services
- Policy for "Gifts to staff and donations to the Home"
- Policy for "Residents Monies, Finances and Valuables"
- Policy for "Accounting & Financial Control Arrangements"
- Property records for one resident.

4.0 The inspection

4.1 Review of requirements and recommendations from the most recent inspection dated 12 May 2016

The most recent inspection of the home was an unannounced care inspection. The completed QIP was returned and approved by the care inspector. This QIP will be validated by the care inspector at their next inspection.

4.2 Review of requirements and recommendations from the last finance inspection

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

4.3 Is care safe?

Discussion with the registered manager and review of records confirmed that it was policy at the home for residents to manage their own finances. No monies or valuables were held on behalf of residents at the time of the inspection.

A safe place was provided at the home if residents required monies or valuables to be held for safekeeping. At the time of the inspection there were satisfactory controls around the physical location of the safe place and the staff members with access.

Discussion with the registered manager confirmed that staff had received training in relation to safeguarding residents' monies. The registered manager was able to demonstrate knowledge of their specific role and responsibilities in relation to any concerns raised in relation to residents' finances.

Areas for improvement

No areas for improvement were identified during the inspection.

Number of requirements	0	Number of recommendations:	0
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4.4 Is care effective?

Review of records and discussion with the registered manager confirmed that no member of staff at the home acted as an 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 also 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.

A provision was included in the residents' agreements for residents or their representatives to be informed four weeks in advance of any increase in fees. The registered manager showed the inspector a copy of the letter sent to residents or their representatives. Review of residents' files evidenced that copies of the letters sent to residents were not retained within their files.

A recommendation is listed within the QIP of this report for copies of correspondence relating to increase in fees to be retained within residents' files.

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

Review of records and discussion with the registered manager confirmed that furniture located within residents' rooms were provided and owned by the home. The registered manager informed the inspector that one resident owned the television within their room. A review of records showed that the item was not listed in the resident's records.

A recommendation was made to ensure that all residents' inventory records are reviewed and brought up to date, as necessary. Any addition or disposal from the records must be signed and dated by two members of staff; the records should be reconciled at least quarterly.

Areas for improvement

Two areas for improvement were identified during the inspection. These related to retaining copies of correspondence forwarded to residents or their representatives informing them of an increase in fees and the updating of residents' inventory records.

Number of requirements	0	Number of recommendations:	2
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4.5 Is care compassionate?

At the time of the inspection the home did not provide a transport scheme. Discussion with the registered manager confirmed that alternative arrangements were in place to support residents wishing to undertake journeys; this included the use of taxis which were paid by the residents or their representatives.

Discussion with the registered manager confirmed that arrangements were in place to offer support for residents' managing their own monies.

Areas for improvement

No areas for improvement were identified during the inspection.

Number of requirements	0	Number of recommendations:	0
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4.6 Is the service well led?

Review of records confirmed that copies of payment remittances from Health and Social Care Trusts showing the weekly fee for each care managed resident were retained at the home. The remittances also showed the amount of fees paid by the Trusts on behalf of residents and the amount paid by care managed residents directly to the home. Records were also available showing the amount received from private residents for their fee.

Review of records of payments made by, or on behalf of four residents confirmed that the amounts received agreed to the contribution owed by each resident. Discussion with the registered manager confirmed that residents were not paying an additional amount towards their fee over and above the amount agreed with the Health and Social Care Trusts.

A resident's guide was in place at the time of inspection which included the details of the services provided to residents as part of the weekly fee. The guide also included a list of the charges for additional services provided at the home e.g. hairdressing and podiatry.

The guide included a written agreement which is issued to residents on admission to the home. Review of four residents' files (two of which were private residents) evidenced that individual written agreements were in place for all four residents.

A weekly third party payment was made on behalf of care managed residents. Discussion with the registered manager confirmed that the amount was not for any additional services provided to residents but the difference between the fee charged by the home and the amount paid to the home by the Health and Social Care Trusts.

The agreements reviewed were not in line with minimum standard 4 of the DHSSPS Residential Care Homes Minimum Standards (2011) as they did not show the current weekly fee paid by, or on behalf of, residents. The details of the person paying the fee (including the third party payment) were also not included in the agreements. The method of payment of fees was included in the agreements. The agreements 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.

Discussion with the registered manager and review of records confirmed that additional services, e.g., hairdressing and podiatry, were paid by the home on behalf of residents. The home subsequently raised invoices on a monthly basis which were forwarded directly to the resident or their representative. Residents or their representatives had the option of paying for these services directly.

Evidence reviewed showed that records were completed by the hairdresser and podiatrist on the day the service was provided to residents. The details recorded included the name of the resident, the service provided and the amount charged to the resident. A member of staff had signed the records however the hairdresser had not signed the records to confirm that the service took place.

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

Review of a sample of the invoices confirmed that the amounts invoiced to residents or their representatives corresponded to the records of residents receiving the treatments from the hairdresser and podiatrist.

Good practice was observed in relation to the invoicing of residents or their representatives for the provision of additional services. Copies of the invoices were retained at the home and when payment was received the date of payment along with “paid” were recorded on the copies.

Review of the home’s policies and procedures confirmed that the procedure for paying the hairdresser and podiatrist and the subsequent invoicing to residents was not included in the policies.

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

Discussion with the registered manager confirmed that no transactions were undertaken on behalf of residents by members of staff. The inspector was informed by the registered manager that residents or their representatives purchased toiletries and other personal items when required. Review of the residents’ agreements confirmed that a provision was included in the agreements informing residents or their representatives of this practice prior to signing the agreements.

Areas for improvement

Three areas for improvement were identified during the inspection. These related to updating residents’ agreements, hairdresser to sign records and the updating of the home’s policies and procedures to include the procedure for paying the hairdresser and podiatrist.

Number of requirements	0	Number of recommendations:	3
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5.0 Quality improvement plan

The issues identified during this inspection are detailed in the QIP. Details of this QIP were discussed with Mrs Caroline Lockwood, registered manager, as part of the inspection process. The timescales commence from the date of inspection.

The registered provider/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 provider/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 this residential care home. 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.

5.1 Statutory requirements

This section outlines the actions which must be taken so that the registered provider/s meets legislative requirements based on The Residential Care Homes Regulations (Northern Ireland) 2005.

5.2 Recommendations

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

5.3 Actions taken by the registered manager/registered provider

The QIP will be completed by the registered manager to detail the actions taken to meet the legislative requirements stated. The registered provider will review and approve the QIP to confirm that these actions have been completed by the registered manager. Once fully completed, the QIP will be returned to RQIA's office 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 areas for improvement that exist in the service. The findings reported on are those which came to the attention of RQIA during the course of this inspection. The findings contained within this report do not exempt the registered provider/manager from their responsibility for maintaining compliance with the regulations and standards. It is expected that the requirements and recommendations outlined in this report will provide the registered provider/manager with the necessary information to assist them to fulfil their responsibilities and enhance practice within the service.

REGULATION AND QUALITY
17 NOV 2016
IMPROVEMENT PLAN

RQIA ID: 1334 Inspection ID: IN023984

REGULATION AND QUALITY	
17 NOV 2016	
IMPROVEMENT PLAN	
Recommendations	
<p>Recommendation 1</p> <p>Ref: Standard 4.7</p> <p>Stated: First time</p> <p>To be completed by 23 September 2016 and thereafter the date of next increase in fees.</p>	<p>The registered provider should ensure that copies of correspondence forwarded to residents in relation to the increase in fees are retained in residents' files.</p> <p>Response by registered provider detailing the actions taken:</p> <p><i>Any further correspondence of this nature will be retained in the resident's files.</i></p>
<p>Recommendation 2</p> <p>Ref: Standard 8.7</p> <p>Stated: First time</p> <p>To be completed by 23 September 2016</p>	<p>The registered provider should ensure that the records belonging to the resident, identified during the inspection, are updated to show that the television within their room belongs to the resident.</p> <p>All residents' inventory records should be reviewed and brought up to date for similar items belonging to residents. Any addition or disposal from the records must be signed and dated by two members of staff. The records should be reconciled at least quarterly.</p> <p>Response by registered provider detailing the actions taken:</p> <p><i>Our inventory records have been updated as requested.</i></p>
<p>Recommendation 3</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be completed by 30 September 2016</p>	<p>The registered provider should ensure that updated written agreements are in place for all residents accommodated at the home.</p> <p>The agreements should meet standard 4 of the DHSSPS Residential Care Homes Minimum Standards (2011).</p> <p>The agreements should detail the current amount paid by the Health and Social Care Trust, the current contribution paid by residents and the current amount paid on behalf of residents (including additional third party payment).</p> <p>Response by registered provider detailing the actions taken:</p> <p><i>Our agreements have been updated and are being provided to all residents.</i></p>

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<p>Recommendation 4 Ref: Standard 15.7 Stated: First time To be completed by 16 September 2016</p>	<p>The registered provider should ensure that a system is in place for the hairdresser to sign the records along with a member of staff to confirm that the service took place and that the hairdresser received payment.</p> <p>Response by registered provider detailing the actions taken:</p> <p><i>This system has been implemented</i></p>
<p>Recommendation 5 Ref: Standard 21 Stated: First time To be completed by 23 September 2016</p>	<p>The registered provider should ensure that the home's policies and procedures are updated to include the procedure for paying the hairdresser and podiatrist and the subsequent invoicing of the charges to residents.</p> <p>Response by registered provider detailing the actions taken:</p> <p><i>Our policies and procedures have been updated as requested.</i></p>

<p>Name of Registered Manager/Person Completing QIP:</p>	<p><i>Caroline Lockwood</i></p>		
<p>Signature of Registered Manager/Person Completing QIP:</p>	<p><i>[Signature]</i></p>	<p>Date:</p>	<p><i>13/09/16</i></p>
<p>Name of Registered Provider Approving QIP:</p>	<p><i>ANNE MARIE ROWAN</i></p>		
<p>Registered Provider Approving QIP:</p>	<p><i>[Signature]</i></p>	<p>Date:</p>	<p><i>19-9-16</i></p>
<p>RQIA inspector Assessing Response</p>	<p><i>[Signature]</i></p>	<p>Date:</p>	<p><i>17/11/16</i></p>



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