



The Regulation and
Quality Improvement
Authority

Pinewood
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**Announced Finance Inspection
of
Pinewood Residential Home**

26 January 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 announced finance inspection took place on 26 January 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	5

The details of the QIP within this report were discussed with Mrs Mairead Donnelly, 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: Northern Health and Social Care Trust/ Mr Anthony Stevens	Registered Manager: Mrs Mairead Donnelly
Person in Charge of the Home at the Time of Inspection: Mrs Mairead Donnelly	Date Manager Registered: 16 October 2015
Categories of Care: RC-I	Number of Registered Places: 36
Number of Residents accommodated on the day of Inspection: 22	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
- Three residents' individual files
- Records of lodgements made on behalf of a resident
- Records of monies paid to a resident
- 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 15 September 2015. The completed QIP was returned and approved by the care inspector.

There has been no previous finance inspection of this service.

5.2 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 a written agreement which is issued to permanent residents on admission to the home. Review of three residents' files evidenced that individual written agreements were in place for all three residents. We noticed that the agreements 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 paid by, or on behalf of, residents. The services provided for the weekly fee, the method of payment of the fee and the details of the person paying the fee were also not included.

Discussion with the registered manager confirmed that the home accommodated four permanent residents at the time of inspection. The remaining residents were not issued with a standard agreement as they were only residing at the home for short term rehabilitation. We highlighted to the manager that an agreement needed to be in place for all residents regardless if they were permanent residents or receiving short term rehabilitation.

The registered manager agreed to contact the Northern Health and Social Care Trust (NHSCT) in order to discuss the introduction of an agreement which would be suitable for residents on short term rehabilitation.

A Recommendation is listed within the QIP of this report in relation to the above findings.

Is Care Effective?

Discussion with the registered manager confirmed that no member of staff at the home or at the NHSCT 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 Acting Manager confirmed that the NHSCT acted as an agent for one resident at the home, i.e. a person authorised by a resident or their representative to collect social security benefits on the resident's behalf. As in line with the minimum standards written authorisation from the resident for the NHSCT to act as an agent was retained in the resident's file. The record also detailed the bank account the resident authorised their benefits to be paid in to.

Records of residents' financial arrangements were not retained in the files reviewed during the inspection. 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.

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

Review of records and discussion with the registered manager confirmed that the NHSCT managed a Patient Private Property (PPP) Account on behalf of the resident the Trust acted as an agent.

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 4.7 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 show the current weekly fee paid by, or on behalf of, residents
- Residents' agreements to include their financial arrangements
- Notifying residents or their representatives of any increase in fee

Number of Requirements:	0	Number of Recommendations:	3
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5.3 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 NHSCT.

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.

Is Care Effective?

Review of the resident's guide and discussion with the registered manager confirmed that it was policy at the home for the hairdresser to be paid directly by residents or their representatives. A price list was displayed in the hairdressing room to inform residents and

their representatives of the charges for the services provided. The registered manager informed us that the hairdresser issued a receipt when receiving payment. The manager also confirmed that the receipt book was retained in the hairdressing room. Good practice was observed as the manager informed us that she would periodically check the receipt book to confirm that the amounts charged to residents for the service provided agreed with the hairdresser's pricelist.

The home retains a small amount of money on behalf of the resident the NHSCT acts as an agent. The home would request monies from the Trust and the Trust would subsequently forward the monies to the home in order to be paid over to the resident.

A review three records of monies received from the Trust showed that the amounts received agreed to the records of the amounts requested by the home. Two signatures were recorded against each entry. We also reviewed three records of the same monies forwarded to the resident. The resident had signed for the monies received and a member of staff had countersigned each of the records.

Discussion with staff and review of records confirmed that no purchases or other transactions were made by staff on behalf of residents. Residents or their representatives purchased essentials directly when required e.g. toiletries.

Is Care Compassionate?

Discussion with staff confirmed that no assessed restrictions were in place for any resident receiving their monies. Review of records showed that when the resident, for whom the Trust acts as an agent, requested monies, the amounts were forwarded by the Trust on a timely basis.

Areas for Improvement

There were no areas of improvement in relation to statement 2

Number of Requirements:	0	Number of Recommendations:	0
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5.4 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 monies and valuables belonging to residents. Discussion with the registered manager and review of records confirmed that at the time of inspection, a small amount of money was held on behalf of one resident. We counted the monies held and 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.

Discussion with staff confirmed that a regular reconciliation was undertaken of the money held on behalf of the resident identified during the inspection. We noticed that the book used to record the monies received for the resident and the monies paid over to the resident did not

show when the monies were reconciled. Standard 15.12 of the DHSSPS Residential Care Homes Minimum Standards (2011) states that a record should be maintained of regular reconciliations of monies or valuables held on behalf of residents, at least quarterly.

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 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 compassionate care in relation to statement 3. Two areas were identified for improvement in relation to safe and effective care. These were for a record to be maintained of regular reconciliations in the book used to record transactions on behalf of a resident and 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:	2
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5.5 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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5.6 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 Donnelly, 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

<p>Recommendation 1</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be Completed by: 31 March 2016</p>	<p>The registered manager should ensure that updated written agreements are in place for all residents accommodated at the home.</p> <p>The agreements must meet standard 4 of the DHSSPS Residential Care Homes Minimum Standards (2011).</p> <p>The agreements must detail the current amount to be paid by the Health and Social Care Trust and the current contribution paid by residents. The method of payment 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 must be recorded.</p> <p>Copies of the signed agreements should be retained within residents' files.</p>
	<p>Response by Registered Person(s) Detailing the Actions Taken: This recommendation has been actioned and agreements amended as requested.</p>
<p>Recommendation 2</p> <p>Ref: Standard 15.2</p> <p>Stated: First time</p> <p>To be Completed by: 31 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 agent and procedure for receiving resident's monies.</p>
	<p>Response by Registered Person(s) Detailing the Actions Taken: This recommendation has been actioned and agreements amended as requested.</p>
<p>Recommendation 3</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: A copy of this report and recommendations has been forwarded to NHSCT finance department for consideration and action as required. In respect of services within the home these will be recorded as requested.</p>

<p>Recommendation 4</p> <p>Ref: Standard 15.12</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 a record is maintained in the book used for the resident, identified during the inspection, of the reconciliation of monies held on behalf of the resident.</p> <p>The record should be signed by the person undertaking the reconciliation and countersigned by a senior member of staff.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: This recommendation has been implemented.</p>		
<p>Recommendation 5</p> <p>Ref: Standard 8.7</p> <p>Stated: First time</p> <p>To be Completed by: 18 March 2016</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 least quarterly).</p> <p>Response by Registered Person(s) Detailing the Actions Taken: This recommendation has been implemented.</p>		
<p>Registered Manager Completing QIP</p>	<p>M Donnelly</p>	<p>Date Completed</p>	<p>24.03.16</p>
<p>Registered Person Approving QIP</p>	<p>Dr Tony Stevens Una Cunning</p>	<p>Date Approved</p>	<p>7/04/16</p>
<p>RQIA Inspector Assessing Response</p>	<p>Joseph Mcrandle</p>	<p>Date Approved</p>	<p>7/04/16</p>

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