

The Regulation and  
Quality Improvement  
Authority

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**Enforcement Monitoring Inspection  
of  
Karina Lodge**

**24 April 2015**

The Regulation and Quality Improvement Authority  
9th Floor Riverside Tower, 5 Lanyon Place, Belfast, BT1 3BT  
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## 1. Summary of Inspection

An announced enforcement monitoring inspection took place on 24 April 2015 from 10:00 to 12:30 hours.

The purpose of the inspection was to assess the level of compliance achieved by the home with the two failure to comply notices issued on 25 February 2015. The areas for improvement and compliance with regulation were in relation to recruitment and selection practices (FTC/NH/1392/2014-15/01) and records (FTC/NH/1392/2014-15/02). The date for compliance with the notices was 28 April 2015.

FTC Ref: FTC/NH/1392/2014-15/01

Evidence was not available to validate full compliance with the above failure to comply notice. However, there was evidence of some improvement and progress made to address the required actions within the notice. Following the inspection, RQIA senior management held a meeting on 20 February 2015 and a decision was made to extend the compliance date for a further 30 days. Compliance with the notice must be achieved by 28 May 2015.

FTC Ref: FTC/NH/1392/2014-15/02

Evidence was available to confirm that a system is now in place to ensure inspectors can access required records at any time, including in the absence of the manager. Inspectors were satisfied that full compliance had been achieved with the above failure to comply notice.

### 1.1 Actions/Enforcement Taken Following the Last Inspection

Following an unannounced care inspection on 18 February 2015, two failure to comply notices were issued with regards to access to records and recruitment and selection processes.

### 1.2 Actions/Enforcement Resulting from this Inspection

FTC Ref: FTC/NH/1392/2014-15/01

With reference to the summary section above, the above notice was extended for a further 30 days with a date of compliance to be achieved by 28<sup>th</sup> May 2015.

FTC Ref: FTC/NH/1392/2014-15/02

As indicated above, evidence was available to validate full compliance with the above failure to comply notice.

## 2. Service Details

<b>Registered Organisation/Registered Person:</b> Thomas Girvan	<b>Registered Manager:</b> Mary Doherty
<b>Person in Charge of the Home at the Time of Inspection:</b> Mary Doherty	<b>Date Manager Registered:</b> 01 April 2005
<b>Categories of Care:</b> NH-I	<b>Number of Registered Places:</b> 15
<b>Number of Patients Accommodated on Day of Inspection:</b> 13	<b>Weekly Tariff at Time of Inspection:</b> £596

## 3. Inspection Focus

The inspection sought to assess the level of compliance with the required actions indicated within the two failure to comply notices issued on 25 February 2015. The date for compliance on the notices was 28 April 2015.

**FTC Ref: FTC/NH/1392/2014-15/01: A breach of Regulation 21(1) in relation to the recruitment and selection of staff.**

**FTC Ref: FTC/NH/1392/2014-15/02: A breach of Regulation 19 (2) and (3) (b) in relation to access to records.**

## 4. Methods/Process

Specific methods/processes used in this inspection include the following:

- discussion with Tom Girvan, responsible person
- discussion with Una Doherty, registered manager
- review of a training records in relation to recruitment and selection
- review of personnel records
- review of policies and procedures regarding recruitment and selection
- evaluation and feedback.

## 5. The Inspection

**FTC Ref: FTC/NH/1392/2014-15/01**

**Notice of Failure to Comply with Regulation 21 (1) of The Nursing Homes Regulations (Northern Ireland) 2005**

**The registered person shall not employ a person to work at the nursing home unless –**

- (a) the person is fit to work at the nursing home;**
- (b) subject to paragraph (5), he has obtained in respect of that person the information and documents specified in paragraphs 1 to 7 of Schedule 2;**
- (c) he is satisfied on reasonable grounds as to the authenticity of the references referred to in paragraph 3 of Schedule 2 in respect of that person;**

A review of staff personnel records and discussion with the registered manager and responsible person, confirmed that arrangements were in place to ensure that recruitment and employment processes were in line with statutory legislation and mandatory requirements.

The policies and procedures for the recruitment and selection of staff had not been reviewed. This was discussed with the registered persons who agreed to address this.

The responsible person confirmed that the identified member of staff without an Access NI enhanced disclosure check, had not undertaken any paid work at the home since the previous inspection, and that the required check had now been received in this respect.

Although the home was in possession of an Access NI enhanced disclosure check for the identified member of staff, it did not meet the statutory requirements as it had not been undertaken by the correct authority. This element of the failure to comply notice could not be validated.

Discussion with the registered persons confirmed a good knowledge of the application process and procedure to follow when the disclosure checks are received and confirmed that disclosure certificates are received for all staff prior to commencement of employment.

A review of 12 personnel records confirmed that all staff currently employed after 01 April 2008, have had an Access NI enhanced and barred list disclosure certificate issued as part of the home's recruitment process.

Discussion with the registered persons confirmed that they were knowledgeable regarding the process to follow when issues have been identified in Access NI enhanced disclosure checks. Decision making in this regard was appropriately documented. The policies and procedures regarding recruitment and selection should reflect this process and to ensure that the system is robust and embedded into practice.

Training in selection and recruitment had been provided to staff involved in recruitment and selection.

Discussion with the registered persons confirmed that a system was being developed to record the information contained on the Access NI enhanced disclosure check. The system which records the date the application was submitted to the umbrella organisation, the date the Access NI enhanced disclosure certificate was received and a record of the unique reference number was not available and could not be validated on the day of inspection.

Discussion with the registered persons confirmed that there was a system in place for the handling of disclosure information. The registered persons were referred to the Access NI Code of Practice.

**Evidence was not provided to validate full compliance with the requirements of the failure to comply notice. RQIA senior management made a decision to extend the notice for a further 30 days.**

#### **5.1 FTC Ref: FTC/NH/1392/2014-15/02**

##### **Notice of Failure to Comply with Regulation 19 (2) and (3) (b) of The Nursing Homes Regulations (Northern Ireland) 2005**

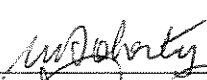
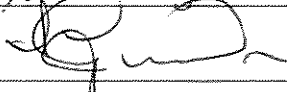
**19 (2) The registered person shall maintain in the nursing home the records specified in Schedule 4.**

**19 (3)(b)The registered person shall ensure that the records referred to in paragraphs (1) and (2) are at all times available for inspection in the home by any person authorised by the Regulation and Improvement Authority to enter and inspection the nursing home.**

The registered persons confirmed that a system was in place to ensure that the relevant records are available for inspection. We confirmed that this system included the registered nurses' who had responsibility for being in charge of the home in the absence of the registered manager.

**Evidence was provided to validate full compliance with the requirements of the failure to comply notice.**



I agree with the content of the report.			
Registered Manager		Date Completed	25/5/15.
Registered Person		Date Approved	25/5/15
RQIA Inspector Assessing Response	Aileen Donnelly	Date Approved	30/06/15

Please provide any additional comments or observations you may wish to make below:

*\*Please complete in full and return to RQIA\**

