



The Regulation and
Quality Improvement
Authority

El Shammah
RQIA ID: 1601
2 North Circular Road
Lisburn
BT28 3AH

Inspector: Joe McRandle
Inspection ID: IN023294

Tel: 028 9266 0617
Email: elshammah@btconnect.com

**Unannounced Finance Inspection
of
El Shammah**

24 September 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 September 2015 from 10:30 to 14:30. 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	4	6

The details of the QIP within this report were discussed with Adrian McCready, 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: Amstecos Ltd	Registered Manager: Adrian McCready
Person in Charge of the Home at the Time of Inspection: Adrian McCready	Date Manager Registered: 09/09/2014
Categories of Care: RC-I, RC-PH, RC-PH(E), RC-TI, RC-DE, RC-A, RC-MP(E)	Number of Registered Places: 35
Number of Residents accommodated on the day of Inspection: 31 (including 13 private)	Weekly Tariff at Time of Inspection: £500 - £520

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 themes have been met:

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 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.

The following records were examined during the inspection:

- The resident's guide
- Five residents' individual files
- Records of Trust remittances showing fees paid by Trust on behalf of residents
- Records of payments of fees for three residents
- Records of lodgements made on behalf of residents
- Records of payments to hairdresser and podiatrist on behalf of residents
- Records of safe contents
- Inventory of residents personal possessions
- Financial agreement for five residents
- 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 04 August 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 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 detailed the services provided for the weekly fee and any additional services that had to be paid by the resident. A written agreement (named by the home as "Service User's Contract") was included as part of the guide. Review of five residents' files (two of which were private residents) evidenced that individual written agreements were in place for all five residents. We noticed that residents placed by the local Health and Social Care Trusts were charged an additional "third party top up" per week. This additional weekly charge depended on the type of room accommodated by the resident.

Review of the agreements confirmed that as in line with The Residential Care Homes Regulations (Northern Ireland) 2005 the method of payment of the fee and the details of the person by whom the fee was payable were included in the agreements. We noticed that the agreements for care managed residents did not provide a breakdown of the amount of the fee paid by the local Health and Social Care Trust and the amount paid by the third party on behalf of the residents.

All five agreements reviewed showed the current fee for each resident and were signed by the resident, or their representative and a representative from the home.

A requirement is listed within the QIP to this report for residents' agreements to be updated to show the amount of fees paid by, or on behalf of, the residents.

We noticed that the terms and conditions of the written agreements for both care managed and private residents were not consistent e.g. temporary absence from the home by the resident. The agreements for care managed residents were not in line with the terms and conditions of the contract between the registered person and the Health and Social Care Trust, however the agreement for one of the private residents was in line with the Trust contract.

A requirement is listed within the QIP to this report for the agreements for care managed residents to be updated to be in line with the terms and conditions of the Trust contract.

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 person 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 policy and procedure for residents' finances was in place at the time of inspection. The policy detailed the arrangements of the support provided by the home to enable residents to manage their finances. We noticed that it was the policy for the home not to take responsibility for residents' personal finances.

Is Care Compassionate?

We noticed that residents or their representatives were informed of previous increases in fees within the legislative time period of at least 28 days.

The resident's agreement included a provision for residents or their representatives to allow staff at the home to hold and manage residents' monies for payment to the hairdresser and podiatrist. We noticed that residents had the option of paying for these services directly.

Review of the resident's agreement showed that a provision was included which allowed the home to apply an interest charge to residents for late payments of their fee. Discussion with the registered manager and review of records confirmed that no residents were previously charged for late payments. We highlighted that residents were not responsible for late payments made by the Health and Social Care Trusts.

A recommendation is listed within the QIP for consideration to be given for the removal of the provision for those residents whose fees are paid by the Health and Social Care Trusts.

Areas for Improvement

A number of issues were identified during the finance inspection in relation to the delivery of safe, effective and compassionate care. These were:

- Residents' agreements to be updated to show breakdown of fee
- The terms and conditions of the agreements for care managed residents to be in line with the Health and Social Care Trust contract
- The application of an interest charge for late payment of fee.

Number of Requirements:	2	Number of 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?

Review of records confirmed that copies of payment remittances from Health and Social Care Trusts were retained at the home. The remittances showed the amount of fees paid by the Trust on behalf of residents and the amount to be contributed by the resident (if any).

Records also showed the amount paid by private residents. Discussion with the registered manager confirmed that no resident was paying an additional amount towards their fee over and above the amount agreed with the Health and Social Care Trusts.

Review of records of payments for fees made by or on behalf of three residents (including one private resident) confirmed that copies of the invoices forwarded to residents or their representatives detailing the amount charged each month were not retained at the home. Discussion with the registered manager confirmed that receipts were issued to residents or their representatives when payment was received. We noticed that copies of the receipts were also not retained at the home. We contacted the home's head office during the inspection, discussion with the administrator confirmed that the amounts charged by the home agreed to the contribution owed by each resident.

A recommendation is included within the QIP to this report in relation to the above findings.

We noticed that one care managed resident had accrued significant arrears in relation to their fee. Discussion with the registered manager confirmed that the arrears were in relation to the contribution of the fee owed by the resident from their Social Security Benefits and the additional amount paid on behalf of the resident by a third party.

The registered manager was unsure as to whether the resident or their representative received the benefits. Following further discussion the registered manager agreed to contact the commissioning Health and Social Care Trust to inform them of the arrears and to seek clarification from the Trust as to whom the benefits were being paid. We highlighted during the discussion that the arrears for the third party top up cannot be paid by the resident.

A requirement is listed within the QIP for the registered manager to contact the relevant Health and Social Care Trust to seek clarification in relation to who receives the resident's benefits and to discuss any proposals to recover the outstanding arrears.

Is Care Effective?

Discussion with the registered manager and review of records confirmed that the only transactions undertaken on behalf of residents were payments to the hairdresser and podiatrist. It was the policy at the home for residents or their representatives to purchase essential items directly, e.g. toiletries.

Review of records showed that transaction sheets were maintained for each resident. The sheets were used to record payments made on behalf of residents and to record any monies deposited by, or on behalf of residents. We reviewed records of payments to the hairdresser; records showed that a hairdressing sheet was completed 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. The sheet identified residents who had paid the hairdresser directly. Records also showed that two signatures were recorded on the hairdressing sheet after the details were completed. We noticed that the hairdresser was not always one of the signatures.

We reviewed the resident's individual transaction sheets and the hairdressing sheets. The amounts charged to residents corresponded to the amounts recorded in the hairdressing sheet for specific dates. We noticed that the hairdresser did not always issue a receipt when receiving payment. We also noticed that two signatures were not recorded against each entry in the residents' transaction sheets.

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

Review of payments to the podiatrist confirmed that a sheet was completed by the podiatrist on the day the service was provided to residents. Details recorded included the name of the resident, the service provided and the amount charged to the resident. We noticed that a member of staff and the podiatrist had signed the sheets to confirm the residents received the service.

The podiatrist's sheet identified residents who had paid for the service directly. We reviewed the resident's individual transaction sheets to the podiatrist sheets. The amounts charged to residents corresponded to the amounts recorded in the podiatrist sheet for specific dates. Two signatures were recorded against each entry in the residents' transaction sheets. We noticed that the podiatrist had issued a receipt when receiving payment for the service provided.

Review of records of monies deposited at the home on behalf of residents confirmed that a member of staff and the person depositing the monies signed the record showing the monies deposited. We noticed that there were no copies retained of the receipts issued to the person depositing the monies. Discussion with the registered manager confirmed that receipts were issued however no copies were retained. We were shown the documents used to provide a receipt, we highlighted that this was not best financial practice as it was not a formal receipt.

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

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

Is Care Compassionate?

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

We discussed the arrangements for depositing monies on behalf of residents after office hours. The registered manager confirmed that a facility existed for senior staff to receive monies on behalf of residents. Review of records confirmed that no receipts were available from the transactions. As previously mentioned in this report a recommendation is listed within the QIP in relation to the issuing and retention of receipts.

Areas for Improvement

A number of issues were identified during the finance inspection in relation to the delivery of safe, effective and compassionate care. These were:

- Arrears owed by one resident for their contribution towards their fee
- Retention of copies of invoices for residents' fees and copies of receipts when receiving payment for fees
- Hairdresser to sign transaction sheet and issue receipt when receiving payment
- Adequate receipts to be issued to residents or their representatives when monies deposited at home.

Number of Requirements:	1	Number of Recommendations:	3
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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?

We noticed that a safe place was provided within the home for the retention of residents' monies and valuables. We counted the monies held on behalf of three 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 monies held on behalf of residents were reconciled monthly. A record was maintained of the reconciliation and as in line with best practice the record was signed by two members of staff.

Is Care Effective?

Discussion with the registered manager and review of records confirmed that an inventory of residents' property was maintained at the home. We noticed that the records did not give a clear description of the item listed, e.g. make and model of television. There was no record of the residents' inventory being reconciled on a regular basis (at least quarterly).

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

Is Care Compassionate?

A safe place is provided to enable residents to deposit monies and valuables when required. A lockable facility was also provided in each resident's room.

Areas for Improvement

Overall on the day of inspection, we found care to be safe and compassionate in relation to statement 3. The effectiveness of care was found to be good, however there was one area identified for improvement; this was in relation to the recording and reconciliation of residents' personal possessions.

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?

At the time of inspection, the home did not provide a transport scheme to residents.

Is Care Effective?

At the time of inspection, the home did not provide a transport scheme to residents.

Is Care Compassionate?

Review of the "service User's Contract" showed that it was the policy for staff not to accompany residents on emergency admissions or any appointments outside of the home. The provision stated that if it had been agreed formally by the resident or their representative then a member of staff would accompany the resident to a hospital appointment at a cost of £10 per hour. We noticed that this cost was not included in the list of charges for additional services in either the resident's guide or "service User's Contract".

A requirement is listed within the QIP for this information to be incorporated into the resident's guide and the "service user's contract" as an additional charge. The registered person should confirm that there is an escort policy and procedure for accompanying vulnerable residents to appointments outside of the home, including the procedure for those residents with no next of kin (A copy of this information should be enclosed when returning the Quality Improvement Plan).

Confirmation that a copy of the escort policy has been forwarded to the referring Health and Social Care Trust should also be forwarded.

A recommendation is also listed within the QIP for a record to be maintained at the home showing how the £10 per hour was determined.

Areas for Improvement

Overall on the day of inspection, we found care to be safe and effective in relation to statement 4. Compassionate care was found to be good, however there were two areas identified for improvement; these were

- To inform RQIA of the escort policy for accompanying vulnerable adults to appointments outside of the home.

- The retention of a record showing how the supervision rate of £10 per hour was determined.

Number of Requirements:	1	Number of Recommendations:	1
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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 Mr Adrian McCready, 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. 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. 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

Statutory Requirements

Requirement 1

Ref: Regulation 5 (1)

(a) (b)

Stated: First time

To be Completed by:

13 November 2015

The registered person must provide an updated written agreement to each resident (or their representative) accommodated at the home.

The agreement must comply with the requirements under regulation 5 of The Residential Care Homes Regulations (Northern Ireland) 2005 and meet standard 4.2 of the DHSSPS Residential Care Homes Minimum Standards (2011).

The agreements must show the amount paid by the Health and Social Care Trust, the resident and the third party.

Response by Registered Person(s) Detailing the Actions Taken:

All residents or their representative will be issued with an updated written agreement detailing; the amount paid by the Health and Social Care Trust the resident and third party when relevant.

Requirement 2

Ref: Regulation 4 (4)

Stated: First time

To be Completed by:

13 November 2015

The registered person must ensure that the terms and conditions within the written agreement for care managed residents are in line with the contract between the home and the Health and Social Care Trust.

Response by Registered Person(s) Detailing the Actions Taken:

Terms and conditons of the written agreement have been ammended to ensure that all conditions are in compliance with the Health and Social Care Trust contract.

Requirement 3

Ref: Regulation 14 (4)

Stated: First time

To be Completed by:

13 November 2015

The registered person must contact the relevant Health and Social Care Trust to seek clarification in relation to who is in receipt of the resident's (identified during the inspection) Social Security Benefits, in order to establish who the arrears are to be invoiced to.

The registered person should also contact the Trust to make them aware of the amount of the arrears and to discuss any proposals to recover the outstanding arrears.

The amount of the arrears in relation to the third party top up should not be paid by the resident.

Any recoupment of the debt should be proportional, measured and ensures the resident retains sufficient funds.

Response by Registered Person(s) Detailing the Actions Taken:

The Trust identified that the resident concenred was in receipt of their own financial paperwork and subsequently the resident is issued their own invoices for fees owed to El Shammah. The Trust were made

	<p>aware of the current statement and the amount in arrears has been paid by a thrd party.</p>
<p>Requirement 4</p> <p>Ref: Regulation 13 (1) (a)</p> <p>Stated: First time</p> <p>To be Completed by: When returning completed QIP</p>	<p>The registered person must ensure that the additional hourly rate for accompanying residents to outside appointments is incorporated into the resident's guide and the "service user's contract".</p> <p>The registered person must confirm that there is an escort policy and procedure for accompanying vulnerable residents to appointments outside of the home, including the procedure for those residents with no next of kin (A copy of this information should be enclosed when returning the Quality Improvement Plan).</p> <p>The registered person must confirm that a copy of the escort policy has been forwarded to the referring Health and Social Care Trust.</p> <p>Response by Registered Person(s)Detailing the Actions Taken: Since this service was introduced there has not been any need for staff to accompany residents to hospital appointments. This service is only available if there are staff available. It has been decided that at present this service will not be provided and if a need arises for this in the future, management wil review the provision of the service. At that time appropriate written policies and procedures will be forwarded to the RQIA and Health and Social Care Trust.</p>
Recommendations	
<p>Recommendation 1</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be Completed by: 13 November 2015</p>	<p>It is recommended that the registered person reviews the resident's agreement in relation to the application of an interest charge for late payments. Consideration should be given for the removal of the provision for those residents whose fees are paid by the Health and Social Care Trusts.</p> <p>The revised agreement should be issued to residents or their representatives. A signed copy of the updated agreements must be retained within residents' files.</p> <p>Response by Registered Person(s)Detailing the Actions Taken: The agreement in realtion to interest charged on late fees will remain. This has been clarified in relation to the resident or third party not being liable for late fees in relation to money paid directly from the Health and Social Care Trust.</p>
<p>Recommendation 2</p> <p>Ref: Standard 15.4</p> <p>Stated: First time</p>	<p>In order to aid the audit process it is recommended that the registered person retains copies of the invoices forwarded to residents or their representatives for payment of fees. Copies of the receipts issued to residents or their representatives when fees are paid should also be retained.</p>

<p>To be Completed by: From the date of the inspection.</p>	<p>Response by Registered Person(s)Detailing the Actions Taken: Copies of invoices and receipts issued to residents and third parties on payment of fees will now be kept on file in EI Shammah</p>
<p>Recommendation 3</p> <p>Ref: Standard 15.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of the inspection.</p>	<p>It is recommended that the hairdresser and a member of staff signs the hairdressing sheet to confirm that the service took place.</p> <p>The resident or their representative and a member of staff should sign the transaction sheets against each entry recorded. Where a resident or their representative is unable to sign or chooses not to sign then two members of staff should sign the record.</p> <p>It is recommended that the hairdresser issues a receipt when receiving payment for the service provided.</p> <p>Response by Registered Person(s)Detailing the Actions Taken: Individual, separate signatures from staff and the hairdresser will now confirm services from the hairdresser for each resident. The hairdresser will also be asked to issue a receipt for money received from EI Shammah on behalf of a resident and this will be kept on file.</p>
<p>Recommendation 4</p> <p>Ref: Standard 15.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of the inspection</p>	<p>It is recommended that the registered person retains copies of the receipts issued to the person depositing monies at the home on behalf of residents.</p> <p>The system for issuing receipts should be reviewed in order for adequate receipts to be issued, e.g. the use of a duplicate receipt book.</p> <p>Response by Registered Person(s)Detailing the Actions Taken: A copy of receipts issued to people depositing money for residents' cash will now be kept on file in EI Shammah.</p>
<p>Recommendation 5</p> <p>Ref: Standard 8.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of the inspection</p>	<p>It is recommended that the registered person ensures 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: A more detailed list of property (ie colours, makes, descriptions) will be documented and this will be reconciled quarterly.</p>
<p>Recommendation 6</p>	<p>It is recommended that the registered person ensures that a record is maintained at the home showing how the £10 per hour for</p>

Ref: Standard 4.2 Stated: First time	accompanying residents on appointments outside of the home was determined.
To be Completed by: 13 November 2015	Response by Registered Person(s) Detailing the Actions Taken: This service has been reviewed and will no longer be offered at present as the service has not been required since it was introduced. In the event that this service will be offered at a later date, a breakdown of how the fee was determined will be documented.

Registered Manager Completing QIP	Adrian McCready	Date Completed	19/11/2015
Registered Person Approving QIP	Emer bevan	Date Approved	19/11/2015
RQIA Inspector Assessing Response	Joe McRandle	Date Approved	04/12/2015

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