



The Regulation and
Quality Improvement
Authority

Hollybank Manor
RQIA ID: 1618
186a Bangor Road
Newtownards
BT23 7PH

Inspector: Joe McRandle
Inspection ID: IN23974

Tel: 028 9182 3573
Email: janet@ashdoncare.co.uk

**Unannounced Finance Inspection
of
Hollybank Manor

19 January 2016**

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 19 January 2016 from 10.45 to 14.15. 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	11

The details of the QIP within this report were discussed with Janet Davison, Registered Manager Beverly Lodge (part of Asdon Care Ltd), as part of the inspection process. The timescales for completion commence from the date of inspection.

2. Service Details

Registered Organisation/Registered Person: Ashdon Care Ltd/ Mr James Cole	Registered Manager: Jessica Dobson
Person in Charge of the Home at the Time of Inspection: Janet Davison (registered manager Beverly Lodge)	Date Manager Registered: 23 May 2013
Categories of Care: RC-MP, RC-DE	Number of Registered Places: 9
Number of Residents accommodated on the day of Inspection: 8	Weekly Tariff at Time of Inspection: £485

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 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 payment of fees by residents
- records of lodgements made on behalf of residents
- records of purchases made on behalf of residents
- records of payments for additional services e.g. hairdressing
- records of safe contents
- inventory of residents personal possessions
- policies and procedures on residents' finances

5. The Inspection

5.1 Review of Requirements and Recommendations from Previous Inspection

The previous inspection of the home was an announced estates inspection dated 22 October 2015. The completed QIP was returned and approved by the estates inspector.

5.2 Review of Requirements and Recommendations from the last Finance Inspection

There has been no previous finance inspection of this service by RQIA.

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 included the details of the services provided to residents as part of the weekly fee and a list of additional services provided at the home e.g. hairdressing.

The guide included a written agreement which is issued to residents on admission to the home. Review of three residents' files (one of which was a private resident) evidenced that individual written agreements were in place for all three residents. The agreements did not show the current weekly fee paid by, or on behalf of, residents. The method of payment of the fee was included in the agreements. All three 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 for residents' agreements to be updated to show the current fee paid by, or on behalf of, residents.

An additional third party contribution (Top up) was paid on behalf of care managed residents. Review of records and discussion with staff confirmed that the additional amount was for the provision of podiatry services and the purchase of toiletries. Residents' agreements and the resident's guide stated that the additional charge was for podiatry and toiletries. Correspondence from the home to the residents' representatives explaining what the additional charge included was retained in residents' files.

The agreements reviewed during the inspection included the amount charged for the third party contribution. One agreement did not show the current top up paid on behalf of the resident. The agreements did not show an itemised list of the agreed services for the additional charge as in line with standard 4.2 of the Residential Care Homes Minimum Standards.

A recommendation is listed within the QIP for residents' agreements to show the cost of each service provided for the additional fee. As previously stated in his report a recommendation is listed within the QIP for residents' agreements to be updated to show the current fee.

The additional third party contribution was discussed with staff. We explained that the purchase of occasional services e.g. podiatry and the purchase of toiletries were normally paid from residents weekly personal allowance monies and not paid as part of the weekly fee.

As the third party payment was agreed via the Health and Social Care Trust for care managed residents. RQIA will be in further discussions with the Trust in relation to this matter.

Is Care Effective?

Review of records and discussion with staff 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 staff 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.

Policies and procedures for the management and control of residents' finances were in place at the time of the inspection. We noticed that the policies did not reflect all of the procedures currently operated at the home e.g. the procedure for staff to purchase items on behalf of residents.

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

Is Care Compassionate?

A provision within the residents' agreements stated that residents would be contacted 28 days in advance of any increase in fees. 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 findings.

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:

- update residents agreements to show current fee (including top up)
- update residents' agreements to show itemised list of services for top up
- record of notification to residents or their representatives of increase in fees to be retained in residents' files.
- update financial policies and procedures operated at the home to reflect all procedures undertaken on behalf of residents

Number of Requirements:	0	Number of Recommendations:	4
--------------------------------	----------	-----------------------------------	----------

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 contributed by residents. Review of records of payments made by, or on behalf of, three residents confirmed that the amounts received agreed to the amount identified as owed by the residents.

As previously stated within this report a recommendation is listed within the QIP for residents to be issued with up to date agreements showing the current fee paid by the resident and the amount paid on their behalf.

Is Care Effective?

Discussion with staff and review of records confirmed that transaction sheets were maintained on behalf of residents. The sheets were used to record purchases made on behalf of residents and payments for additional services e.g. hairdressing. The transaction sheets were also used to record monies deposited at the home 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 in the sheet included the name of the resident, the service provided and the amount charged to the resident. Two signatures were recorded on the sheets, discussion with staff confirmed that the hairdresser was not one of the signatures.

Discussion with staff confirmed that the hairdressing sheets were used to update residents' transaction sheets with the amount withdrawn from residents' monies to pay for the service. We reviewed five entries recorded in the transaction sheets for three residents. The amounts recorded in the transaction sheets corresponded with the amounts listed in the hairdressing sheets for four of the entries. We noticed that the amount for the remaining transaction was not recorded on the resident's transaction sheet. We also noticed that the amount for one other transaction was recorded in the column used to record monies received from, or on behalf of, the resident.

A recommendation is listed within the QIP of this report for the hairdresser to sign the sheets along with a member of staff in order to confirm that the service took place and the hairdresser received payment. A further recommendation is listed for the system of recording transactions on behalf of residents to be reviewed in order to facilitate accurate recording and to aid the audit process.

Review of records of monies deposited at the home on behalf of residents showed that the amounts received were recorded in the residents' transaction sheets. Two signatures were recorded against each entry in the sheets. Discussion with staff confirmed that two staff members signed the sheet; no receipts were issued to the person depositing the monies. We noticed that the person depositing the monies did not sign the transaction sheet in the absence of a receipt.

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

Review of records of two purchases made on behalf of two residents showed that receipts were available for one of the purchases. We noticed that the receipts in place were not signed by staff to confirm that the items purchased were given to the resident. As in line with good practice we noticed that monies returned from the purchases were recorded in the residents' transaction sheets.

A recommendation is listed within the QIP of this report for receipts to be retained from all purchases and for the receipts to be signed to show that the items were given to the residents.

Discussion with staff and review of records confirmed that a list of signatures of staff authorised to make transactions on behalf of residents was not maintained at the home. A recommendation is listed within the QIP of this report in relation to this finding.

Is Care Compassionate?

Review of records and discussion with staff confirmed that no consent forms were in place from residents or their representatives authorising staff to make purchases on behalf of residents or to make payments for additional services.

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

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

Areas for Improvement

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

- hairdresser to sign hairdressing sheets along with member of staff
- accurate recording of transactions undertaken on behalf of residents.
- issuing of receipts when monies deposited at the home on behalf of residents
- retention of all receipts from purchases made on behalf of residents and signing of receipts when items purchased given to residents
- retention of a list of signatures of staff authorised to make transactions on behalf of residents
- consent forms from residents or their representatives for staff to make purchases and pay for additional services

Number of Requirements:	0	Number of Recommendations:	6
--------------------------------	----------	-----------------------------------	----------

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 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 inspection.

Discussion with staff confirmed that one other item was retained in the safe place for one resident. No record was maintained of the item held at the time of the inspection.

A recommendation is listed within the QIP 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 updated when items were brought into the home by or on behalf of residents.

Is Care Compassionate?

A safe place was 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 that the financial arrangements were contributing to effective and compassionate care in relation to statement 3. One area was identified for improvement in relation to safe care; this was for a record to be maintained of additional items held in the safe place on behalf of residents.

Number of Requirements:	0	Number of Recommendations:	1
--------------------------------	----------	-----------------------------------	----------

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?

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
--------------------------------	----------	-----------------------------------	----------

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 Janet Davison, Registered Manager Beverly Lodge (part of Asdon Care Ltd), 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: 11 March 2016</p>	<p>The registered person 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, the current contribution paid by residents and the current amount paid on behalf of residents (Top Up).</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>Where a Health and Social Care Trust managed resident does not have a representative to sign the agreement, the resident's agreement should be shared with a representative from the Trust.</p> <p>Copies of the signed agreements must be retained within residents' files.</p>
	<p>Response by Registered Person(s) Detailing the Actions Taken:</p> <p>Contracts containing all relevant financial details and in accordance with standard 4 of the DHSSPS Residential Care Homes Minimum Standards (2011) issued to all residents and/or their representatives. Signed copies are retained in residents personal files. If a resident or their representative is unable to or chooses not to sign, this is recorded.</p>
<p>Recommendation 2</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be Completed by: 11 March 2016</p>	<p>The registered person should ensure that residents' agreements sets out an itemised list of the agreed services for the additional third party contribution (Top up)</p>
	<p>Response by Registered Person(s) Detailing the Actions Taken:</p> <p>In the event of additional third party contributions, an itemised list clearly details the agreed services</p>
<p>Recommendation 3</p> <p>Ref: Standard 21</p> <p>Stated: First time</p> <p>To be Completed by: 11 March 2016</p>	<p>The registered person should ensure that the policies and procedures operated at the home are updated to include all of the financial procedures undertaken by staff on behalf of residents e.g. arrangements for purchasing items.</p> <p>A record should be retained showing that staff have read and understood the policies and procedures.</p>

	<p>Response by Registered Person(s) Detailing the Actions Taken: Policy updated to include all financial procedures undertaken by staff. Staff signed to indicate that they have read and understood the policies and procedures</p>
<p>Recommendation 4 Ref: Standard 4.7 Stated: First time To be Completed by: From the date of next increase in fees</p>	<p>The registered person 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 residents' files.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: This will be completed and retained within residents files from the date of the next increase in fees.</p>
<p>Recommendation 5 Ref: Standard 15.7 Stated: First time To be Completed by: From the date of the inspection.</p>	<p>The registered person should ensure that the hairdressing sheets are signed at all times by the hairdresser and a member of staff to confirm residents received the service.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: Hairdressing sheets now signed by the hairdresser and a member of staff.</p>
<p>Recommendation 6 Ref: Standard 20.14 Stated: First time To be Completed by: 11 March 2016</p>	<p>The registered person should ensure that the procedure of recording transactions on behalf of residents is reviewed in order to facilitate accurate recording and to aid the audit process.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: Policy reviewed to facilitate accurate recording</p>
<p>Recommendation 7 Ref: Standard 15.7 Stated: First time To be Completed by: From the date of the inspection.</p>	<p>The registered person should ensure that receipts are issued at all times when monies are deposited at the home on behalf of residents. The person depositing the monies should be one of the signatures in the receipt book.</p> <p>Where the person depositing the money is unable to sign or chooses not to sign two members of staff witness the hand over and sign and date the record.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: Receipts issued and relevant signatures obtained. Two staff instructed to witness the handover, and date and sign record, in the event of money being deposited where a resident is unable to or chooses not to sign</p>
<p>Recommendation 8</p>	<p>The registered person should ensure that receipts are retained from all purchases made on behalf of residents (where possible). Where a</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>receipt is not available, the record should be annotated to reflect this.</p> <p>Receipts should be signed by the member of staff when items purchased are given to the residents.</p>		
	<p>Response by Registered Person(s)Detailing the Actions Taken: Receipts to be retained and signed by staff for all purchases made on behalf of residents</p>		
<p>Recommendation 9</p> <p>Ref: Standard 20.14</p> <p>Stated: First time</p> <p>To be Completed by: From the date of the inspection.</p>	<p>The registered person should ensure that a list of signatures of staff authorised to make transactions on behalf of residents is maintained at the home.</p>		
	<p>Response by Registered Person(s)Detailing the Actions Taken: Authorised list of signatures maintained</p>		
<p>Recommendation 10</p> <p>Ref: Standard 15.2</p> <p>Stated: First time</p> <p>To be Completed by: 11 March 2016</p>	<p>The registered person should ensure that written consent from residents or their representatives authorising staff at the home to make purchases on behalf of residents and to make payments on behalf of residents for additional services are retained in the residents' files. A list of the items members of staff are authorised to purchase and the services authorised to be paid e.g. hairdressing, should be included</p> <p>The authorisation should be signed by the resident or their representative (if resident lacks capacity to make decisions in relation to the management of their finances).</p>		
	<p>Response by Registered Person(s)Detailing the Actions Taken: Consent obtained from residents or their representative authorising staff to make purchases and payments. An itemised list of products that staff are permitted to buy are included. The authorisation is signed by the resident or their representative</p>		
<p>Recommendation 11</p> <p>Ref: Standard 15.5</p> <p>Stated: First time</p> <p>To be Completed by: From the date of the inspection.</p>	<p>The registered person should ensure that a record is maintained of the item retained in the safe place for the resident, identified during the inspection.</p> <p>Records should show when the item is withdrawn and returned to the safe place.</p>		
	<p>Response by Registered Person(s)Detailing the Actions Taken: Inventory updated</p>		
<p>Registered Manager Completing QIP</p>	<p>Janet Davison</p>	<p>Date Completed</p>	<p>17/03/16</p>
<p>Registered Person Approving QIP</p>	<p>James Cole</p>	<p>Date Approved</p>	<p>17/03/16</p>
<p>RQIA Inspector Assessing Response</p>	<p>Joseph McRandle</p>	<p>Date</p>	<p>21/03/16</p>

		Approved	
--	--	----------	--

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