



The Regulation and
Quality Improvement
Authority

River House
RQIA ID: 1646
131 Central Promenade
Newcastle
BT33 0EU

Inspector: Joe McRandle
Inspection ID: IN23980

Tel: 028 4372 3206
Email: akernaghan@pcibsw.org

**Announced Finance Inspection
of
River House**

10 February 2016

The Regulation and Quality Improvement Authority

9th Floor, Riverside Tower, 5 Lawford Place, Belfast, BT1 3BT

Tel: 028 9061 7500 Fax: 028 9061 7501 Web: www.rqia.org.uk

1. Summary of Inspection

An announced finance inspection took place on 10 February 2016 from 10.45 to 15.15. 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 Alison Kernaghan, acting manager as part of the inspection process. The timescales for completion commence from the date of inspection.

2. Service Details

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|---|--|
| Registered Organisation/Registered Person: Presbyterian Board of Social Witness / Linda Wray | Registered Manager: Mrs Alison Kernaghan (acting manager) |
| Person in Charge of the Home at the Time of Inspection: Mrs Alison Kernaghan | Date Manager Registered: N/A |
| Categories of Care: RC-DE, RC-I | Number of Registered Places: 29 |
| Number of Residents accommodated on the day of Inspection: 26 | 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 acting 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
- Five residents' individual files
- Records of payment of fees for residents
- Records of lodgements made on behalf of two residents
- Records of purchases made on behalf of residents
- Records of payments for additional services e.g. hairdressing
- Records of safe contents
- Bank statements and other records for residents' comforts fund
- 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 8 September 2015. The completed QIP was returned and approved by the care inspector. No areas from the previous inspection were to be addressed during the finance inspection.

5.2 Review of Requirements and Recommendations from the last Finance Inspection

There has been no previous RQIA 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 included a written agreement which is issued to residents on admission to the home. Two types of agreements are issued to residents, one for care managed residents and one for private residents. Review of five residents' files (two of which were private residents) evidenced that individual written agreements were in place for three of the residents. No agreements were retained in the remaining two residents' files. Discussion with staff confirmed that one of the agreements had been forwarded to the resident's representative to be signed and had yet to be returned.

We noticed that the agreements in place 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. All three agreements reviewed at the time of the inspection were not signed by a representative from the home.

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

Is Care Effective?

Review of records and discussion with the acting 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.

Policies and procedures surrounding residents' finances were in place at the time of inspection. The policies detailed the arrangements of the support provided by the home to enable residents to manage their finances.

Is Care Compassionate?

A provision was included in the agreements for residents to be informed of any increase in fees thirty days in advance of the increase. 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 and compassionate care. The issues identified include:

- Updated Agreements, in line with minimum standard 4.2, to be in place for all residents at the home
- Record maintained of residents or their representatives being notified of any increase in fee

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| Number of Requirements: | 0 | Number of Recommendations: | 2 |
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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 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 Trust 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 two residents confirmed that the amounts received agreed to the contribution owed by each resident.

Is Care Effective?

Review of records and discussion with staff confirmed that individual transaction sheets were maintained for each resident. The sheets were used to record the details of purchases undertaken on behalf of residents and the payments made for additional services e.g. hairdressing. The transaction sheets were also used to record small amounts of monies deposited at the home on behalf of residents.

Review of two records of monies deposited at the home on behalf of two 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. A receipt was issued for one of the deposits; we noticed that the person depositing the monies had not signed the receipt. 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.

We reviewed records of payments to the hairdresser and podiatrist for two residents, the details recorded included the name of the residents, the service provided and the amount charged to residents. Records confirmed that the podiatrist issued and signed receipts, along with a member of staff, when they received payment. The hairdresser had signed the hairdressing sheets along with a member of staff to confirm payment and that residents received the service. Residents capable of managing their own financial affairs paid the hairdresser and podiatrist directly.

Review of records and discussion with staff confirmed that newspapers were provided to residents by a local newsagent. The newsagent forwarded invoices to the home detailing the amounts owed by each resident. We reviewed residents' transaction sheets showing payments to the newsagent. The amounts withdrawn from the residents' monies agreed to the amounts invoiced by the newsagent.

Discussion with the acting manager confirmed that a shop was available at the home for residents to purchase certain items e.g. toiletries and treats. The acting manager informed us that proceeds from the shop were for the replenishment of stock; no financial gain was obtained from selling the items. We reviewed records of purchases made from the shop, the records showed the details of the purchases, the date and the amount of the purchases. Two signatures were recorded against each entry in the residents' transaction sheets. Receipts from the purchases were available at the time of the inspection.

We observed good practice as a list of signatures of the members of staff involved in making purchases on behalf of residents was maintained at the home. We noticed that the list did not include the signatures of all staff members authorised to make purchases.

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

Review of records and discussion with staff confirmed that a bank account was operated at the home for the retention of comfort fund monies on behalf of residents. The name of the bank account confirmed that the monies retained in the account belonged to residents. Staff also confirmed that purchases made from the comfort fund were for the benefit of all residents. We reviewed records of purchases made from the comfort fund; the purchases were for the benefit of all residents. Receipts were available from the purchases reviewed.

A policy and procedure was in place at the time of the inspection for the operation of the comfort fund.

Is Care Compassionate?

Review of residents' files confirmed good practice as written authorisations were in place for staff to purchase items on behalf of residents. Authorisation was also given for staff to pay for services on behalf of residents e.g. hairdressing. The authorisation forms were signed by the residents' or their representatives.

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

Areas for Improvement

Overall on the day of inspection, we found care to be safe and compassionate in relation to statement 2. The effectiveness of care was found to be good. However, there were two areas identified for improvement; these were in relation to issuing receipts when monies were deposited at the home on behalf of residents and for the signature list of staff authorised to make purchases on behalf of residents to be updated.

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| Number of Requirements: | 0 | Number of Recommendations: | 2 |
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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?

~~A safe place was provided within the home for the retention of monies and valuables belonging to residents. We counted monies held on behalf of three residents, the amount retained agreed to the balance recorded at the home for each resident. We were satisfied with the controls around the physical location of the safe place and the staff members with access.~~

We noticed that the monies held on behalf of residents were reconciled monthly. As in line with best practice the record was signed by the staff member undertaking the reconciliation and countersigned by a senior member of staff.

A record of the contents of the safe was maintained. We took a sample of the valuables held on behalf of residents. The valuables inspected agreed to the items recorded in the safe register. We noticed that there was no record of valuables being reconciled at least quarterly as in line with standard 15.12 of the DHSSPS Residential Care Homes Minimum Standards (2011).

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 updated when items were brought into the home by or on behalf of residents.~~

Discussion with the acting manager and review of records confirmed that a new system for recording residents' personal possessions brought into the home will be implemented following the inspection. The new system will include more detailed coding of items and allow for regular reconciliations of residents personal possessions.

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 care to be effective and compassionate in relation to statement 3. Safe care was found to be good. However, there was one area identified for improvement; this was in relation to maintaining a record of the reconciliation of residents' valuables.

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| 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, 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.

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| 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 Mrs Alison Kernaghan, acting 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.

Quality Improvement Plan

Recommendations

Recommendation 1
Ref: Standard 4.2
Stated: First time
**To be Completed by:
15 April 2016**

The registered person should ensure that updated written agreements are in place for all residents accommodated at the home.

The agreements must meet standard 4 of the DHSSPS Residential Care Homes Minimum Standards (2011).

The agreements should detail the current amount paid by the Health and Social Care Trusts 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.

The services provided for the fee and any additional services to be paid by residents should be included in the agreements.

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.

Copies of the signed agreements should be retained within residents' files.

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

Updated Agreements, including those effective from 1st April 2016, have been issued to all residents and their representatives. Agreements issued to both Private and Care Managed residents now include the current weekly fee paid by, or on behalf of, each resident and any contributions payable by. They also state the method of payment and payee.

Both types of Agreement now include a detailed list of all services provided within the Home. Each Agreement is signed by the resident (or their representative) and the Registered Manager. In the event of an Agreement not being signed by a resident (or their representative), a detailed record is kept of the date issued, reminders sent and any other significant details. These signed Agreements are now retained in each Residents' file when returned to office.

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| <p>Recommendation 2</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 person should ensure that a written record showing that residents or their representatives are informed at least four weeks in advance of any increase in fees is retained within the residents' files.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: All Residents, or their representatives, have been notified four weeks in advance of the increase in fees for April 2016. A signature was obtained when notice was issued and placed in each Resident's file.</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 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: The Small Monies Receipt Book is now placed in the Cash Box. Only Senior Staff have access to the Safe and have been instructed that all receipts, where possible, must have 3 signatures - one from the resident (or person) depositing the Monies and two signatures from Staff as witnesses. In the event that the person depositing Monies is unwilling or unable to sign the Receipt Book, Senior Staff must notify the Head of Home of reason given immediately. Safe Balance Reconciliations will take place monthly.</p> |
| <p>Recommendation 4</p> <p>Ref: Standard 20.14</p> <p>Stated: First time</p> <p>To be Completed by: 1 April 2016</p> | <p>The registered person should ensure that the signatory list maintained at the home is updated to include the signatures of all staff authorised to make transactions on behalf of residents.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: Signatory List now includes signatures of all Management, Administration and Care Staff currently employed by the Home. This will enable residents or their representatives to deposit Monies at any time, including evenings or weekends when Management or Administrative staff are not on duty. This list will be reviewed quarterly or when staff changes.</p> |

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| Recommendation 5 Ref: Standard 15.12 Stated: First time To be Completed by: From the date of Inspection | The registered person should ensure that a record of the quarterly reconciliation of residents' valuables is maintained at the home. Response by Registered Person(s) Detailing the Actions Taken: Whilst balances for Monies In the Safe are checked during each transaction and reviewed monthly by Registered Manager and Administrative Assistant, procedures are now in place for these staff members to reconcile all other valuables within the Safe quarterly or when any item is added or removed. | | |
| Registered Manager Completing QIP | A. Kenaghan | Date Completed | 14.04.16 |
| Registered Person Approving QIP | Linda Wray | Date Approved | 18/4/16 |
| RQIA Inspector Assessing Response | John Nivala | Date Approved | 19/4/16 |

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

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 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 service.