



The Regulation and
Quality Improvement
Authority

Sir Samuel Kelly
RQIA ID: 1653
39 Bangor Road
Holywood
BT18 0NE

Inspector: Joe McRandle
Inspection ID: IN022315

Tel: 028 9042 2293
Email: linda.hook@salvationarmy.org.uk

**Announced Finance Inspection
of
Sir Samuel Kelly Memorial Eventide Home**

11 February 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 announced finance inspection took place on 11 February 2016 from 10.30 to 16.30. 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	12

The details of the QIP within this report were discussed with Linda Hook, 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: The Salvation Army/ Elaine Cobb	Registered Manager: Linda Hook
Person in charge of the home at the time of inspection: Linda Hook	Date manager registered: 30 September 2008
Categories of care: RC-MP, RC-TI, RC-I, RC-DE	Number of registered places: 40
Number of residents accommodated on day of inspection: 39	Weekly tariff at time of inspection: £546-£581

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/processes

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

- Discussion with registered manager and staff
- Audit traces carried out on a sample of residents' records
- Audit of residents' individual files
- Spot check on residents' monies and valuables
- Audit of policies and procedures
- Evaluation and feedback

Prior to inspection the following records were analysed:

- Records of incidents notified to RQIA in the last twelve months, none of which were finance related

The following records were examined during the inspection:

- The resident's guide
- Five residents' individual files
- 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
- Records of comfort funds
- 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 16 June 2015. No requirements or recommendations were made as a result of this 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 Standard 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 (named "Residency Agreement") which is issued to residents on admission to the home. Review of five residents' files (two of which were private residents) evidenced that individual written agreements were in place for all five residents. The agreements did not show the current weekly fee paid by, or on behalf of, residents. The fee listed in one resident's agreement was higher than the amount identified by the Health and Social Care Trust. One agreement was not signed by either the resident or their representative.

An additional third party payment was made on behalf of care managed residents. Discussion with the registered manager confirmed that the additional payment was the difference between the fee charged by the home and the amount paid to the home by the Health and Social Care Trusts. The registered manager also confirmed that the additional third party payment was not for any additional services provided to residents.

Review of the three files for care managed residents showed that the details of the current amount of the additional payment were not included in their agreements.

A recommendation is listed within the QIP of this report in relation to residents' agreements.

We noticed that some of the charging arrangements within the agreements for care managed residents were not in line with the terms and conditions of the contract between the home and the Health and Social Care Trusts e.g. temporary absence from the home by a resident. The agreements stated that the additional third party payment would be sought from residents' representatives; there was no indication within the agreements that the additional payment would be agreed with the Health and Social Care Trusts as in line with DHSSPS guidelines.

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

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 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. We noticed that some practices e.g. the procedure for the retention of residents' monies were not in line with the policies currently operated at the home.

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

Is care compassionate?

A provision within the residents' agreements stated that residents would be contacted at least two weeks before any increase in fees. We highlighted to the registered manager that Standard 4.7 of the Residential Care Homes Minimum Standards (2011) states that residents should be given a minimum of four weeks' notice for the introduction of new charges.

Review of residents' files confirmed that there were no records of residents or their representatives being informed of any previous increase in fees.

Two recommendations are 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 additional third party payment)
- update residents' agreements to correspond with Local Health and Social Care Trusts contracts and DHSSPS guidelines
- review practices at the home for the retention of residents monies in order to be in line with the policies and procedures operated at the home
- update agreements to indicate that residents or their representatives will be notified at least four weeks in advance of any increase in fees
- Record of notification to residents or their representatives of increase in fees to be retained in residents' files

Number of requirements:	0	Number of recommendations:	5
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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 care managed residents 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 amounts received from private residents for their fees.

Review of records of payments made by, or on behalf of three 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 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. Receipts were issued when monies were received on behalf of residents. As in line with good practice the person depositing the monies signed the receipt along with a member of staff.

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.

We reviewed records of three purchases made by staff on behalf of two residents. The records included the details of the purchases, the date and the amount of the purchases. Two signatures were recorded against each entry in the transaction sheets. Receipts from the purchases were available at the time of the inspection. We had difficulty locating the corresponding receipts from the purchases reviewed. Following discussions the registered manager and the administration manager agreed to review the current system for the retention of receipts.

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

Review of records and discussion with staff confirmed that newspapers were purchased on behalf of residents. A staff member was provided with residents' monies a number of weeks in advance of the purchases. We noticed that the staff member making the purchases did not sign the transaction sheets when they received the monies. No receipts were available from the purchases. We also noticed that the balance in one resident's transaction sheet was not completed following the recording of the details of the purchase.

We discussed the practice of purchasing newspapers with the registered manager highlighting that there was no policy in place for the current practice. The registered manager agreed to review the procedure.

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

Review of records and discussion with staff confirmed that a comfort fund was operated at the home. Staff also confirmed that purchases made from the comfort fund were for the benefit of all residents. We were told by staff that the fund was operated by head office and records of purchases from the fund were also retained at head office.

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

Is Care Compassionate?

The policies and procedures stated that authorisation would be obtained from residents or their representatives for every purchase made on behalf of residents. Review of residents' files confirmed that no authorisation forms were retained in their files.

A recommendation is listed within the QIP of this report 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:

- Review the current procedure for the retention of receipts from purchases made on behalf of residents
- Staff member receiving residents' monies to make purchases should sign residents' transaction sheets when receiving monies
- Receipts should be retained from purchase of newspapers(where possible)
- Accurate recording of residents transactions at all times
- Review policies and procedures in relation to purchase of newspapers
- Obtain authorisation from residents or their representatives for staff at the home to make purchases on behalf of residents and to pay for additional services e.g. hairdressing

Number of Requirements:	0	Number of Recommendations:	6
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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.

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 residents' monies and 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 following admission.

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' monies and valuables.

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.

Number of Requirements:	0	Number of Recommendations:	0
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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 Linda Hook, 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, Residential Care Homes Regulations (Northern Ireland) 2005.

6.2 Recommendations

This section outlines the recommended actions based on research, recognised sources and The DHSSPS 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 Agencies.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 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

Recommendation 1

Ref: Standard
Regulation 4.2

Stated: First time

To be completed by:
22 April 2016

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

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

The agreements should 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 (additional third party payment).

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.

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.

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

Response by Registered Person(s) detailing the actions taken:

Actions now in place.

Recommendation 2

Ref: Standard 4.8

Stated: First time

To be completed by:
22 April 2016

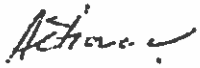


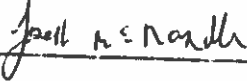
The registered person should ensure that the charging arrangements within the written agreements for care managed residents are updated to be in line with the contracts between the home and the Health and Social Care Trusts and DHSSPS guidelines e.g. temporary absence from the home by the resident and agreement with Health and Social Care Trusts for additional third party payments.

Response by Registered Person(s) detailing the actions taken:

Actions now in place

<p>Recommendation 3</p> <p>Ref: Standard 21</p> <p>Stated: First time</p> <p>To be completed by: from the date of inspection</p>	<p>The registered person should ensure that the financial practices operated at the home adhere to the home's policies and procedures e.g. the procedure for retaining residents' monies.</p> <p>Response by Registered Person(s) detailing the actions taken:</p> <p><i>Actioned & Attached.</i></p>
<p>Recommendation 4</p> <p>Ref: Standard 4.7</p> <p>Stated: First time</p> <p>To be completed by: From the date of the next increase in fees</p>	<p>The registered person should ensure that a written record showing 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:</p> <p><i>Actioned copies of letters to files</i></p>
<p>Recommendation 5</p> <p>Ref: Standard 4.7</p> <p>Stated: First time</p> <p>To be completed by: 22 April 20156</p>	<p>The registered person should ensure that the provision within residents agreements for informing residents of any increase in fees is updated to show that at least four weeks noticed with be given prior to the implementation of new charges for services and facilities.</p> <p>Response by Registered Person(s) detailing the actions taken:</p> <p><i>Actioned and implemented</i></p>
<p>Recommendation 6</p> <p>Ref: Standard 20.14</p> <p>Stated: First time</p> <p>To be completed by: From the date of inspection</p>	<p>The registered person should ensure that a review is undertaken of the procedure for retaining receipts in order to facilitate the audit process.</p> <p>Response by Registered Person(s) detailing the actions taken:</p> <p><i>Actioned & in place.</i></p>
<p>Recommendation 7</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 the staff member withdrawing residents' money to make purchases signs the residents' transaction sheets.</p> <p>Response by Registered Person(s) detailing the actions taken:</p> <p><i>Actioned</i></p>

<p>Recommendation 8</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 obtained (where possible) from the purchase of newspapers.</p> <p>Where a receipt is not available, the record should be annotated to reflect this.</p> <p>Response by Registered Person(s) detailing the actions taken:</p> <p><i>Actions</i></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 inspection</p>	<p>The registered person should ensure that transactions undertaken on behalf of residents are recorded accurately at all times.</p> <p>Response by Registered Person(s) detailing the actions taken:</p> <p><i>Actions</i></p>
<p>Recommendation 10</p> <p>Ref: Standard 20.14</p> <p>Stated: First time</p> <p>To be completed by: From the date of inspection</p>	<p>The registered person should ensure that a review is undertaken of the procedure for purchasing newspapers on behalf of residents. The policies and procedures operated at the home should be updated to include the revised procedure.</p> <p>Response by Registered Person(s) detailing the actions taken:</p> <p><i>reviewed & new policy in place on finance file</i></p>
<p>Recommendation 11</p> <p>Ref: Standard 15.2</p> <p>Stated: First time</p> <p>To be completed by: 22 April 2016</p>	<p>The registered person should ensure that written consent is obtained from residents or their representatives authorising staff to make purchases on behalf of residents and to make payments on behalf of residents for additional services. 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>Copies of the signed authorisations should be retained within residents' files.</p> <p>Response by Registered Person(s) detailing the actions taken:</p> <p><i>New documentation in place.</i></p>

Recommendation 12 Ref: Standard 15.12 Stated: First time To be completed by: From the date of inspection	The registered person should ensure that a record is maintained of the reconciliation of monies and valuables held on behalf of residents. The record should be signed by the person undertaking the reconciliation and countersigned by a senior member of staff.		
	Response by Registered Person(s) detailing the actions taken: 		
Registered Manager completing QIP		Date completed	14-6-2016
Registered Person approving QIP		Date approved	14-4-16
RQIA Inspector assessing response		Date approved	18/4/16

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

