



The Regulation and
Quality Improvement
Authority

York House
RQIA ID: 1693
13-14 Lansdowne Crescent
Portrush
BT56 8AY

Inspector: Joe McRandle
Inspection ID: IN023301

Tel: 028 7082 3567
Email: hwalker@pcibsw.org

**Announced Finance Inspection
of
York House**

2 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 announced finance inspection took place on 2 September 2015 from 10:30 to 15:30. 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.

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	3	4

The details of the QIP within this report were discussed with Mrs Hazel Walker, registered manager and Ms Hilary McIlreavy, clerical officer, as part of the inspection process. The timescales for completion commence from the date of inspection.

2. Service Details

Registered Organisation/Registered Person: Mrs Linda Wray	Registered Manager: Mrs Hazel Walker
Person in Charge of the Home at the Time of Inspection: Mrs Hazel Walker	Date Manager Registered: 1 April 2005
Categories of Care: (Care homes ONLY) RC-DE, RC-PH(E), RC-I, RC-MP(E)	Number of Registered Places: 32
Number of Residents on the day of Inspection: 25 (including 6 Private residents)	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 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 and clerical officer
- 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 payment of fees for four residents
- Records of lodgements made on behalf of residents
- Records of purchases made on behalf of five residents
- Residents' comfort fund
- Records of safe contents
- Consent forms for staff to make purchases on behalf of residents.
- Policy and Procedure on 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 28 August 2015, the findings from which will be reported on separately.

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. The guide included a written agreement which was issued to residents when admitted to the home. We noticed that there were two types of agreements issued to residents, one for care managed residents and a separate agreement for private residents. Review of five residents' files (two of which were private residents) evidenced that individual written agreements were in place for four of the residents. Discussion with staff confirmed that the agreement for the remaining resident had still to be signed and returned by the resident's representative.

We noticed that one of the agreements reviewed did not show the current weekly fee to be paid by, or on behalf of, the resident. We also noticed that although the remaining agreements showed the current fee they did not show the amount paid by the local Health and Social Care Trust and the amount paid by the Resident. The method of payment of the fee and the details of the person by whom the fee was payable were included in the agreements. All of the agreements reviewed 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 written agreements to be updated to show the current fee paid by, or on behalf of, the resident. The amount paid by the Local Health and Social Care Trust and the resident should also be shown.

We noticed that the terms and conditions of the agreement for care managed residents was not in line with the terms and conditions of the contract between the registered person and the Health and Social Care Trust e.g. temporary absence from the home by the resident.

A requirement is listed within the QIP for the agreement 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 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.

A Policy and procedure surrounding residents' finances was in place at the time of inspection. We noticed that the policy did not include all of the procedures involved in managing residents' finances, e.g. the procedure for charging residents for the hairdresser and Podiatrist.

A recommendation is listed within the QIP to this report for the policy and procedure operated at the home to be updated to include all the procedures undertaken in relation to the safeguarding of residents' finances.

Is Care Compassionate?

One agreement reviewed stated that the resident or their representative would be notified three weeks in advance of a change in their fee. A requirement is listed within the QIP to this report for residents' agreements to be updated to show that residents or their representatives will be informed in writing at least 28 days in advance of any increase in fees, as in line with regulation 5 of The Residential Care Homes Regulations (Northern Ireland) 2005.

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:

- Updated written agreements issued to all residents.
- The terms and conditions of the agreement to be in line with Trust contract
- Update policy and procedure in relation to safeguarding of residents' finances.
- Notifying residents or their representatives of any increase in fee

Number of Requirements:	3	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 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 the resident directly to the home (if any). Records were also available which showed the amount received from private residents for their fee.

Review of records of payments made by, or on behalf of four residents, (two of which were private residents) confirmed that the amounts received agreed to the contribution owed by each resident.

Is Care Effective?

Review of records confirmed that consent forms were in place with residents' representatives authorising staff at the home to make purchases from residents' personal allowance monies. The consent forms listed the items staff were permitted to purchase e.g. toiletries, hairdressing and podiatry services. Records also showed that transaction sheets were maintained for each resident. These records provided details of the purchases undertaken along with the date and amount of the purchase. Two signatures were recorded against each entry.

Discussion with staff confirmed that the hairdresser and podiatrist were paid by the home and residents or their representatives were subsequently invoiced for the service provided. We reviewed records of payments to the hairdresser. Records showed that a hairdressing book 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. Records also showed that two signatures were recorded in the book after the details were recorded. We noticed that the hairdresser was not one of the signatures.

A recommendation is listed within the QIP to this report for the hairdresser and a member of staff to sign the book at the time of recording the details of the service provided.

Discussion with staff confirmed that the details from the hairdressing book were used to raise invoices to residents or their representatives. We reviewed a sample of invoices raised, the amounts included in the invoices agreed to the charges listed within the hairdressing book and the amounts recorded in the residents' transaction sheets. Receipts were issued by the hairdresser when they received payment. The inspector commented on the good practice of numbering the receipts and recording the corresponding receipt number in the residents' transaction sheets which aided the reconciliation process.

We reviewed records of payments to the podiatrist; we noticed that the recording system for the podiatrist was in line with the system used for the hairdressing service. Two signatures were recorded in the book at the time of recording the service. We noticed that the podiatrist was not one of the signatories. We also noticed that the podiatrist was not consistent in issuing receipts when receiving payment. A recommendation is listed within the QIP for the podiatrist to sign the book used to record details of the service and to provide a receipt when receiving payment.

Review of records and discussion with staff confirmed that newspapers were provided to residents by a local newsagent. The newsagent invoiced the home at the end of each month. The invoice was paid by the home and the resident was subsequently invoiced for the newspapers. We reviewed invoices forwarded to the resident. We noticed that the amount listed agreed to the amount charged by the newsagent.

We reviewed records of purchases made on behalf of one resident by members of staff. Discussion with staff confirmed that the home's monies were used to make the purchase and the resident was subsequently invoiced for the items. Receipts were in place from the purchases reviewed. We noticed that two signatures were recorded against each entry.

Review of records and discussion with staff confirmed that when monies were deposited at the home on behalf of a resident, the person depositing the monies signed the record showing the amount deposited along with the member of staff receiving the monies. We noticed that as in line with best practice a receipt was issued to the person depositing the monies at the home.

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 fund; we noticed that the payments were made by cheque and receipts were available from the purchases reviewed. We also noticed that when monies were deposited at the home for the comfort fund, receipts were issued to the person depositing the monies.

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. Staff confirmed that a facility existed for senior staff to receive monies on behalf of residents. Review of records confirmed that senior staff issued a receipt to the person depositing the monies.

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:

- Hairdresser to sign records to confirm service took place
- Podiatrist to sign records and to issue a receipt when receiving payment

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. 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.

Is Care Effective?

Review of records and discussion with staff confirmed that monies held on behalf of residents (including comfort fund monies) were reconciled on a monthly basis. We noticed that the records of the reconciliation were not signed by the member of staff undertaking the reconciliation and countersigned by a senior member of staff. A recommendation is listed within the QIP to this report in relation to this finding.

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. The inventory record was reconciled at least quarterly.

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 recording signatures when residents' monies are reconciled.

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 transport to residents.

Is Care Effective?

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

Is Care Compassionate?

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

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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5.7 Additional Areas Examined

No additional areas were examined during this inspection.

6 Quality Improvement Plan

The issue(s) identified during this inspection are detailed in the QIP. Details of this QIP were discussed with Mrs Hazel Walker, registered manager and Ms Hilary McIlreavy, clerical officer, 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 etc. 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

<p>Requirement 1</p> <p>Ref: Regulation 5 (1) (a) (b)</p> <p>Stated: First time</p> <p>To be Completed by: 16 October 2015</p>	<p>The registered person must provide an updated individual written agreement to each resident (or their representative) accommodated at the home.</p> <p>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.</p> <p>The agreements must detail the current amount paid by the Health and Social Care Trust and the amount paid directly to the home by the resident (if any).</p> <p>Copies of the updated agreements must be retained within residents' files.</p>
<p>Response by Registered Person(s) Detailing the Actions Taken: Agreement updated to comply with Minimum Standards</p>	

<p>Requirement 2</p> <p>Ref: Regulation 4 (4)</p> <p>Stated: First time</p> <p>To be Completed by: 16 October 2015</p>	<p>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 e.g. temporary absence from the home by the resident.</p>
<p>Response by Registered Person(s) Detailing the Actions Taken: Written Agreements are in line with the Contract between the HOME and the Health & Social Care Trust.</p>	

<p>Requirement 3</p> <p>Ref: Regulation 5 (2) (a)</p> <p>Stated: First time</p> <p>To be Completed by: 16 October 2015</p>	<p>The registered person must ensure that the residents' agreements are updated to include a provision for residents or their representatives to be informed in writing at least 28 days in advance of any increase in fees.</p>
<p>Response by Registered Person(s) Detailing the Actions Taken: All Agreementd state that residents or their representatives will be informed in writing at least 28 days in advance of any fee increase.</p>	

Recommendations

<p>Recommendation 1</p> <p>Ref: Standard 21</p>	<p>It is recommended that the home's financial policy and procedure is updated to include all procedures undertaken at the home on behalf of residents e.g. the procedure for paying the hairdresser and podiatrist and the subsequent procedure for invoicing residents.</p>
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Stated: First time To be Completed by: 16 October 2015	Response by Registered Person(s)Detailing the Actions Taken: The Policy lists the services & procedures undertaken at the home.
Recommendation 2 Ref: Standard 15.7 Stated: First time To be Completed by: From the date of inspection	It is recommended that the hairdresser signs the hairdressing book along with a member of staff to confirm the service took place. Response by Registered Person(s)Detailing the Actions Taken: The Hairdresser and staff member sign the hairdressing book.
Recommendation 3 Ref: Standard 15.7 Stated: First time To be Completed by: From the date of inspection	It is recommended that the podiatrist signs the book used to record details of the service provided along with a member of staff. It is also recommended that the podiatrist issues a receipt when receiving payment. Response by Registered Person(s)Detailing the Actions Taken: Podiatrist now signs the Podiatry Book along with a member of staff and confirms receipt of payment.
Recommendation 4 Ref: Standard 15.12 Stated: First time To be Completed by: From the date of inspection	It is recommended that the person undertaking the monthly reconciliation signs the record of the reconciliation. A senior member of staff should countersign the record. Response by Registered Person(s)Detailing the Actions Taken: 2 members of staff sign the monthly reconciliation.

Registered Manager Completing QIP	Hazel Walker	Date Completed	03/12/15
Registered Person Approving QIP	Linda Wray	Date Approved	03/12/15
RQIA Inspector Assessing Response	Joe McRandle	Date Approved	7/12/15

Please ensure the QIP 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 **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 within this report do not absolve the registered person/manager from their responsibility for maintaining compliance with minimum standards and regulations.