

Announced Finance Inspection Report 22 November 2016



Marriott House

Type of service: Residential
30 Castledawson Road, Magherafelt, BT45 6PA
Tel no: 028 7930 1100
Inspector: Joseph McRandle

www.rgia.org.uk

Assurance, Challenge and Improvement in Health and Social Care

1.0 Summary

An announced inspection of Marriott House took place on 22 November 2016 from 10:45 to 15:00. Less than twenty four hours' notice was given prior to the inspection.

The inspection sought to assess progress with any issues raised during and since the previous inspection and to determine if the home was delivering safe, effective and compassionate care and if the service was well led.

Is care safe?

Evidence was reviewed which confirmed that a safe place was provided within the home for the retention of monies and valuables belonging to residents. Discussion with the registered manager confirmed that staff had received training in relation to the safeguarding of residents' monies. The record of valuables held on behalf of residents was not up to date at the time of the inspection. A recommendation was made in relation to this finding.

Is care effective?

Evidence confirmed that policies and procedures for the management and control of residents' finances were in place at the time of the inspection. 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 was made in relation to this finding.

Evidence confirmed that monies and valuables held on behalf of residents were reconciled on a monthly basis. Only one signature was recorded against the reconciliations. A recommendation was made for two signatures to be recorded against the reconciliations at all times.

Evidence showed that monies were withdrawn from the residents' comfort funds to replace clothes for a resident which had been inadvertently damaged by the home. A recommendation was made for the monies to be refunded back to the comforts fund by the home.

Evidence confirmed that an inventory of possessions was not in place for one resident. Other inventory records were not always updated with additional items or when items were returned to the residents' representatives. A recommendation was made in relation to this finding.

Is care compassionate?

Evidence showed that written authorisations from residents or their representatives for staff to make purchases on behalf of residents were not retained within the residents' files. A recommendation was made in relation to this finding.

Evidence confirmed that residents' financial arrangements were not retained within the residents' files. A recommendation was made in relation to this finding.

No transport scheme was in place at the time of the inspection. Discussion with the registered manager confirmed that alternative arrangements were in place for residents wishing to undertake journeys.

Evidence confirmed that arrangements were in place to offer support to residents for managing their own monies.

Is the service well led?

Evidence confirmed that the amounts received by, or on behalf of, residents for their fees agreed to the contribution owed by each resident.

Evidence reviewed showed that written agreements were in place for residents. Three agreements reviewed did not include the details of the current fees paid by residents. Two of the agreements were not signed by a representative from the home. A recommendation was made in relation to this finding.

Evidence confirmed that a third party payment was made on behalf of one resident. The written agreement in place for the resident did not include the reason for the additional charge or if any additional services were provided for the charge. A recommendation was made in relation to this finding.

Evidence showed that the hairdresser did not sign records to confirm they received payment. A recommendation was made in relation to this finding.

Evidence confirmed good practice of issuing receipts for monies deposited at the home on behalf of residents. Good practice was also observed as a list of signatories of staff authorised to make transactions on behalf of residents was maintained at the home.

This inspection was underpinned by The Residential Care Homes Regulations (Northern Ireland) 2005 and the Residential Care Homes Minimum Standards 2011.

1.1 Inspection outcome

	Requirements	Recommendations
Total number of requirements and recommendations made at this inspection	0	10

Details of the Quality Improvement Plan (QIP) within this report were discussed with Mr Andrew Johnston, registered manager, as part of the inspection process. The timescales for completion commence from the date of inspection.

Enforcement action did not result from the findings of this inspection.

1.2 Actions/enforcement taken following the most recent finance inspection

There has been no previous RQIA finance inspection of Marriot House.

2.0 Service details

Registered organisation/registered person: Clanmil Housing Association/ Ms Clare McCarty	Registered manager: Andrew Johnston
Person in charge of the home at the time of inspection: Mr Andrew Johnston	Date manager registered: 01 April 2005
Categories of care: RC-DE, RC-A, RC-I	Number of registered places: 13

3.0 Methods/processes

Prior to the inspection, it was ascertained that no incidents involving residents' finances had been reported to RQIA in the last twelve months. The record of calls made to RQIA's duty system was reviewed and did not identify any relevant issues. Contact was also made with the inspector who had recently visited the home.

During the inspection the inspector met with the registered manager.

The following records were examined during the inspection:

- Three residents' finance files
- The residents' guide
- Three residents' written agreements
- Records of services provided by the hairdresser
- Records of transactions undertaken on behalf of three residents
- Records of safe contents
- Records of fees paid by two residents
- Records of monthly reconciliations
- Receipts from monies deposited at the home on behalf of residents
- Records from residents' comfort fund
- Financial policies and procedures
- Inventory records for two residents.

4.0 The inspection

4.1 Review of requirements and recommendations from the most recent inspection dated 28 June 2016

The most recent inspection of the home was an announced premises inspection. The completed QIP was returned and approved by the estates inspector. This QIP will be validated by the estates inspector at their next inspection.

4.2 Review of requirements and recommendations from the last finance inspection

There has been no previous RQIA finance inspection of this home.

4.3 Is care safe?

A safe place was provided within the home for the retention of residents' monies and valuables. At the time of the inspection there were satisfactory controls around the physical location of the safe place and the staff members with access.

Monies held on behalf of residents were counted, the amount retained agreed to the balance recorded at the home. No valuables were held on behalf of residents at the time of the inspection. A safe contents book was maintained at the home, the records had not been updated to show that items previously retained on behalf of residents had been returned to the residents or their representatives.

A recommendation is listed within the QIP of this report for the safe contents book to be updated.

Discussion with the registered manager confirmed that staff had received training in relation to the safeguarding of residents' monies. The registered manager was able to demonstrate knowledge of their specific role and responsibilities in relation to any concerns raised in relation to residents' finances.

Discussion with the registered manager confirmed that there were no finance related restrictive practices in place for any resident.

Areas for improvement

One area for improvement was identified during the inspection. This related to updating the safe contents book in relation to valuables previously held on behalf of residents.

Number of requirements	0	Number of recommendations	1
-------------------------------	---	----------------------------------	---

4.4 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.

Discussion with the registered manager confirmed that monies and valuables held on behalf of residents were reconciled on a monthly basis. Review of records showed that a representative from the home's head office reconciled residents' monies periodically. A review of the records of the reconciliations undertaken within the home showed that only one signature was recorded against each of the previous reconciliations.

A recommendation is listed within the QIP of this report for two signatures to be recorded against the reconciliations when undertaken at the home.

A provision was included in the residents' written agreements for residents or their representatives to be informed four weeks in advance of any increase in fees. Review of residents' files evidenced that copies of letters sent to residents or their representatives informing them of previous increases in fees were retained within the files.

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

Review of records and discussion with staff confirmed that a comfort fund was operated on behalf of residents. Monies held for the fund at the time of the inspection were counted and agreed to the balance recorded at the home. A bank account was operated to retain the monies within the fund.

Discussion with the registered manager confirmed that purchases from the fund were for the benefit of all residents. A review of purchases showed that receipts were in place for all the purchases reviewed. Two members of staff had signed each of transactions recorded.

One record showed that clothes were purchased for a resident from the comforts fund. Discussion with the registered manager confirmed that the resident's original clothes were inadvertently damaged due to no fault of the resident. Following further discussions the registered manager agreed to liaise with the home's head office for the monies to be refunded back to the residents' comfort fund by the home.

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

Discussion with the registered manager and review of records confirmed that an inventory of residents' property was maintained when residents were admitted to the home. A sample of records for two residents was taken; no record was available for one resident for which other records showed that they had purchased a profiling bed for their room.

Discussion with the registered manager confirmed that records of residents' personal possessions e.g. televisions and items of furniture were not always updated. One record reviewed did include details of a television owned by a resident.

A recommendation is listed within the QIP of this report for residents' inventory records to be reviewed and brought up to date. Any additional items or items that have been disposed of should be signed and dated by two members of staff; the records should be reconciled at least quarterly.

Policies and procedures for the management and control of residents' finances were in place at the time of the inspection. The policies reviewed included a procedure for two staff members to sign each transaction undertaken on behalf of residents. The policies however, did not include the current procedure for staff making purchases on behalf of residents.

The policies stated that personal possessions e.g. jewellery must not be accepted for safekeeping where possible. Regulation 18 (l) of The residential care Homes Regulations (NI) 2005 states that the provider shall provide a safe place where residents valuables may be deposited for safekeeping.

A recommendation is listed within the QIP of this report for the financial policies and procedures operated at the home to be updated to include all the procedures undertaken on behalf of residents e.g. the current procedure for making purchases on behalf of residents. The policies should reflect that residents are allowed to deposit their valuables in the safe place, if required, as stated within the regulations.

Areas for improvement

Four areas for improvement were identified during the inspection. These related to the recording of two signatures against the reconciliation of residents' monies, the use of comfort fund monies to buy clothes for a service user, updating residents' inventory records and the updating of the financial policies and procedures operated at the home.

Number of requirements	0	Number of recommendations	4
-------------------------------	---	----------------------------------	---

4.5 Is care compassionate?

The policies and procedures stated that if residents' relatives or their representatives wished staff to make purchases on behalf of residents then they must complete the relevant form ("appendix 2"). There was no evidence from the files reviewed during the inspection of authorisation forms being in place for residents.

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

Discussion with the registered manager and review of records confirmed that The Northern Health and Social Care Trust (NHSCT) forwarded monies to the home for one resident. The inspector discussed with the registered manager the current arrangements for paying the monies over to the resident after being received from the Trust. Review of the resident's file confirmed that this financial arrangement was not included in their written agreement as in line with standard 15.2 of the DHSSPS Residential Care Homes Minimum Standards (2011).

A recommendation is listed within the QIP of this report, for residents' agreements to include their financial arrangements. The financial arrangement in place for the resident identified above should be shared with the Trust.

No transport scheme was in place at the time of the inspection. Discussion with the registered manager confirmed that alternative arrangements were in place for residents wishing to undertake journeys. Residents' family members would provide transport or residents paid for taxis to undertake their journey.

Discussion with the registered manager confirmed that arrangements were in place to offer support to residents for managing their own monies.

Areas for improvement

Two areas of improvement were identified during the inspection. These related to obtaining authorisation from residents or their representatives for members of staff to make purchases and updating residents' agreements with their financial arrangements.

Number of requirements	0	Number of recommendations	2
-------------------------------	---	----------------------------------	---

4.6 Is the service well led?

Discussion with the registered manager confirmed that records of fees paid by, or on behalf of, residents were retained at the home's head office. Copies of the most recent payment remittances from the Health and Social care Trust were forwarded to the inspector during the inspection. The remittances 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.

The inspector contacted head office, during the inspection, to review payments made by, or on behalf of two residents. The representative from head office provided documentation which confirmed that the amounts received on behalf of the residents agreed to the contribution owed by each resident.

Discussion with the registered manager confirmed that existing residents were not paying an additional amount towards their fee over and above the amount agreed with the Health and Social Care Trusts.

A residents' guide was in place at the time of inspection. The guide included the details of the services provided to residents as part of their weekly fee and a list of the additional services provided at the home to be paid by residents e.g. hairdressing.

The guide included a written agreement which was issued to residents on admission to the home. Review of three residents' files 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, the residents. Two of the agreements were not signed by a representative from the home.

One agreement showed that a third party payment was made on behalf of a resident. Discussions confirmed that the resident was residing within a room which was similar to other residents who were not charged a third party payment. A review of the resident's agreement showed that there were no details included within the agreement of what the additional charge was for e.g. room fee or for additional services provided to the resident. The details of the person paying the additional amount on behalf of the resident were not included in the agreement.

Two recommendations are listed within the QIP in relation to residents' agreements.

Review of records and discussion with staff confirmed that Individual transaction books were maintained on behalf of residents. The books 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 books were also used to record amounts of monies deposited at the home on behalf of residents.

A review of records of four transactions made by staff on behalf of two residents showed that the details of the purchases, including the date and the amount of the purchases were recorded in the transaction books. Good practice was observed as three signatures were recorded against each entry in the books. Two members of staff signed the books and residents (who had capacity to understand what they were signing) also signed to confirm the purchase. Receipts from the purchases reviewed were available at the time of the inspection.

Records of payments to the hairdresser were reviewed. A receipt was issued by the hairdresser when receiving payment for the service provided. Review of residents' transaction books confirmed that the amounts recorded on the hairdresser's receipts agreed to the amounts withdrawn from residents' monies to pay for the service. A member of staff had signed the receipts, two members of staff and the resident had signed the transaction books. It was noticed that the hairdresser had not signed either the receipts or transaction books to confirm that they received payment.

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

Review of records showed good practice when monies were deposited at the home on behalf of residents. Receipts were issued to the person depositing the monies; a copy of the receipt was retained at the home. The receipt was signed by a member of staff and the person depositing the monies on behalf of the resident. A sample of records of monies deposited at the home on behalf of residents was examined, the amounts recorded in the residents' transaction sheets agreed to the amounts listed on the receipts.

Good practice was observed as a list of signatures for staff authorised to make transactions on behalf of residents was maintained at the home.

Areas for improvement

Two areas of improvement were identified during the inspection. These related to updating the written agreement for the resident a third party payment is made on their behalf and for the hairdresser to sign the records to confirm they received payment for the service provided.

Number of requirements	0	Number of recommendations	3
-------------------------------	---	----------------------------------	---

5.0 Quality improvement plan

Any issues identified during this inspection are detailed in the QIP. Details of the QIP were discussed with Mr Andrew Johnston, registered manager, as part of the inspection process. The timescales commence from the date of inspection.

The registered provider/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 provider 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 this residential care home. The registration is not transferable so that in the event of any future application to alter, extend or to sell the premises RQIA would apply standards current at the time of that application.

5.1 Statutory requirements

This section outlines the actions which must be taken so that the registered provider meets legislative requirements based on The Residential Care Homes Regulations (Northern Ireland) 2005.

5.2 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 provider/manager may enhance service, quality and delivery.

5.3 Actions to be taken by the registered provider

The QIP should be completed and detail the actions taken to meet the legislative requirements and recommendations stated. The registered provider should confirm that these actions have been completed and return the completed QIP to agencies.team@rqia.org.uk for assessment by the inspector.

It should be noted that this inspection report should not be regarded as a comprehensive review of all strengths and areas for improvement that exist in the service. The findings reported on are those which came to the attention of RQIA during the course of this inspection. The findings contained within this report do not exempt the registered provider from their responsibility for maintaining compliance with the regulations and standards. It is expected that the requirements and recommendations outlined in this report will provide the registered provider with the necessary information to assist them to fulfil their responsibilities and enhance practice within the service.

Quality Improvement Plan

Statutory requirements

Recommendations

<p>Recommendation 1</p> <p>Ref: Standard 15.5</p> <p>Stated: First time</p> <p>To be completed by: 16 December 2016</p>	<p>The registered provider should ensure that the system of recording valuables held on behalf of residents is reviewed. The records should show when the items were deposited for safekeeping and returned to the resident or their representative. The records should also include the dates when the items were reconciled, (at least quarterly).</p> <p>Records should be updated to show that valuables previously held have been returned to the residents or their representatives.</p> <p>Response by registered provider detailing the actions taken: System of recording updated and reconciled. Safe book will be included in addition to the other checks going forward</p>
<p>Recommendation 2</p> <p>Ref: Standard 15.12</p> <p>Stated: First time</p> <p>To be completed by: 16 December 2016</p>	<p>The registered provider should ensure that two signatures are recorded against the reconciliations of residents' monies and valuables undertaken following the inspection. The record should be signed by the person undertaking the reconciliation and countersigned by a senior member of staff.</p> <p>Response by registered provider detailing the actions taken: The monthly returns will be signed by Manager and Senior Carer prior to return to Head Office. Individual resident records already receive dual signatures.</p>
<p>Recommendation 3</p> <p>Ref: Standard 20.10</p> <p>Stated: First time</p> <p>To be completed by: 16 December 2016</p>	<p>The registered provider should ensure that the monies used to replace the damaged clothes for the resident identified during the inspection are refunded back to the residents' comfort fund.</p> <p>Response by registered provider detailing the actions taken: This method of payment was used to provide prompt reimbursement and refund processed to comfort funds.</p>
<p>Recommendation 4</p> <p>Ref: Standard 8.7</p> <p>Stated: First time</p> <p>To be completed by: 31 December 2016</p>	<p>The registered provider should ensure that the inventory of residents' possessions is reviewed and brought up to date. Any additions or disposals (which staff have been informed about) should be signed and dated by two members of staff; the records should be reconciled at least quarterly.</p> <p>Response by registered provider detailing the actions taken:</p>

	Inventory of items has been reviewed and will be reconciled quarterly going forward
--	---

<p>Recommendation 5</p> <p>Ref: Standard 20.10</p> <p>Stated: First time</p> <p>To be completed by: 31 December 2016</p>	<p>The registered provider 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. the current procedure for making purchases on behalf of residents.</p> <p>The policies should reflect that residents are allowed to deposit their valuables in the safe place, if required, as stated within the regulations.</p> <p>A record should be retained showing that staff have read and understood the updated policies and procedures.</p> <p>Response by registered provider detailing the actions taken: The relevant policies and procedures are under review and due to be completed by 31.01.17</p>
<p>Recommendation 6</p> <p>Ref: Standard 20.14</p> <p>Stated: First time</p> <p>To be completed by: 31 December 2016</p>	<p>The registered provider 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 (identified as appendix 2 during inspection).</p> <p>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. 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) and a representative from the home</p> <p>Response by registered provider detailing the actions taken: Consent forms have been reviewed to now include items that staff are authorised to purchase for residents</p>
<p>Recommendation 7</p> <p>Ref: Standard 15.2</p> <p>Stated: First time</p> <p>To be completed by: 31 December 2016</p>	<p>The registered provider should ensure that details of residents' financial arrangements are included in their written agreements e.g. the arrangements for managing the resident's monies forwarded from the Health and Social Care Trust.</p> <p>The arrangement currently in place for the resident receiving their monies should be shared with the Trust.</p> <p>Response by registered provider detailing the actions taken: Information shared with Trust representative in relation to managing residents money</p>

<p>Recommendation 8</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be completed by: 31 December 2016</p>	<p>The registered provider should ensure that updated written agreements are in place for all residents. The agreements should meet standard 4 of the DHSSPS Residential Care Homes Minimum Standards (2011).</p> <p>The agreements should detail the amount to be paid by the Health and Social Care Trust and the contribution to be paid by the resident. The method of payment and the details of the person paying the fee should also be included in the agreements.</p> <p>Agreements should be signed by the resident or their representative (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>Response by registered provider detailing the actions taken: Residents written agreements updated to include; method of payment, details of person paying and break down of payment</p>
<p>Recommendation 9</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be completed by: 31 December 2016</p>	<p>The registered provider should ensure that the written agreement for the resident, identified during the inspection, details the rationale for paying the third party payment.</p> <p>If the third party payment relates to any additional services provided to the resident, an itemised list of the agreed services and the charges for the services should be included in the agreement.</p> <p>Response by registered provider detailing the actions taken: The payment is the differential between that paid by the Trust and is the top up.</p>
<p>Recommendation 10</p> <p>Ref: Standard 20.14</p> <p>Stated: First time</p> <p>To be completed by: 16 December 2016</p>	<p>The registered provider should ensure that a system is in place for the hairdresser to sign the records at all times to confirm they received payment and that the residents received the service.</p> <p>Response by registered provider detailing the actions taken: Hairdresser now signs receipts along with 2 staff members</p>

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



The Regulation and Quality Improvement Authority
9th Floor
Riverside Tower
5 Lanyon Place
BELFAST
BT1 3BT

Tel 028 9051 7500
Fax 028 9051 7501
Email info@rqia.org.uk
Web www.rqia.org.uk
 @RQIANews