

# Unannounced Finance Inspection Report 16 October 2018



## 2-1-2 Old Hollywood Road

**Type of Service: Residential**  
**Address: 212 Old Hollywood Road, Hollywood, BT18 9QS**  
**Tel No: 02890425554**  
**Inspector: Joseph McRandle**

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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 service from their responsibility for maintaining compliance with legislation, standards and best practice.

## 1.0 What we look for



## 2.0 Profile of service

This is a residential care home with twelve registered beds for adults assessed as having learning difficulties.

### 3.0 Service details

<b>Organisation/Registered Provider:</b> Cornerstone Care 212 Limited  <b>Responsible Individual:</b> Irene McBurney	<b>Registered Manager:</b> Irene McBurney
<b>Person in charge at the time of inspection:</b> Irene McBurney	<b>Date manager registered:</b> 10 July 2017
<b>Categories of care:</b> Residential Care (RC) LD - Learning Disability LD (E) – Learning disability – over 65 years	<b>Number of registered places:</b> 12 1 place for day care

### 4.0 Inspection summary

An unannounced inspection took place on 16 October 2018 from 11.00 to 13.00 hours.

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

The inspection assessed progress with any areas for improvement identified since the last finance inspection and to determine if the home was delivering safe, effective and compassionate care and if the service was well led.

Evidence of good practice was found in relation to: providing a place for residents to deposit items for safekeeping, checking items held in the safe place on a weekly basis, members of staff involved in managing residents' finances receiving adult safeguarding training, retaining records of the reconciliations between the monies held on behalf of residents and the records of monies held, two members of staff signing the transport records, retaining records for transport charges, retaining signed agreements within residents' files, the arrangements for any financial transactions undertaken on behalf of residents included within the agreements, updating the inventory of residents' property following admission to the home, recording transactions undertaken on behalf of residents and retaining receipts from these transactions.

One area requiring improvement was identified under standards in relation to writing over balances recorded in residents' transaction sheets.

The findings of this report will provide the home with the necessary information to assist them to fulfil their responsibilities, enhance practice and residents experience.

### 4.1 Inspection outcome

	Regulations	Standards
<b>Total number of areas for improvement</b>	0	1

Details of the Quality Improvement Plan (QIP) were discussed with Irene McBurney, 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.

#### **4.2 Action/enforcement taken following the most recent care inspection dated 14 August 2018**

The most recent inspection of the home was an unannounced care inspection undertaken on 14 August 2018. Other than those actions detailed in the QIP no further actions were required to be taken. Enforcement action did not result from the findings of this inspection.

### **5.0 How we inspect**

Prior to the inspection a range of information relevant to the service was reviewed. This included the following records: recent written and verbal communication received since previous care inspection, notifiable events submitted in relation to finance issues, there were no financial issues identified.

During the inspection the inspector met with the registered manager and the home administrator.

A poster indicating that the inspection was taking place was displayed at the entrance to the home and invited visitors or relatives to speak to the inspector. No relatives or visitors chose to speak to the inspector. The inspector provided the registered manager with "Have we missed you cards" which were then placed in a prominent position to allow residents or their relatives who were not present on the day of the inspection, the opportunity to give feedback to RQIA regarding the quality of service provision.

The following records were examined during the inspection:

- three residents' finance files
- three residents' written agreements
- cash held on behalf of three residents
- a sample of records of safe contents
- a sample of transaction sheets belonging to three residents
- one resident's records of personal property.
- records of purchases made on behalf of three residents
- a sample of copies of invoices forwarded to residents' for transport costs
- financial policies and procedures.
- transport policy for residents.
- Policy on takeaway meals
- Property records for one resident

Areas for improvement identified at the last finance inspection were reviewed and assessment of compliance recorded as met, not met or partially met.

The findings of the inspection were provided to the registered manager at the conclusion of the inspection.

## 6.0 The inspection

### 6.1 Review of areas for improvement from the most recent inspection dated 14 August 2018

The most recent inspection of the home was an unannounced care inspection. The completed QIP was returned and approved by the care inspector and will be validated at the next care inspection.

### 6.2 Review of areas for improvement from the last finance inspection dated 9 November 2016

Areas for improvement from the last finance inspection		
Action required to ensure compliance with The Residential Care Homes Regulations (Northern Ireland) 2005.		Validation of compliance
<b>Requirement 1</b>  <b>Ref:</b> Regulation 19 (2) Schedule 4 (9)  <b>Stated:</b> First time	The registered provider must ensure that the system of recording purchasing made on behalf of residents is reviewed in order to improve the accuracy of recording and to aid the audit process.	<b>Met</b>
	The system must include the retention of receipts from purchases undertaken by staff at all times. Where a receipt is not available, the record must be annotated to reflect this. At least two signatures must be recorded against the transactions at all times.	
	<b>Action taken as confirmed during the inspection:</b> A review of three purchases undertaken by members of staff evidenced a significant improvement in the recording process. The full details of the transactions were recorded including the date the transaction took place. Receipts from the purchases were retained at the time of the inspection.	
<b>Requirement 2</b>  <b>Ref:</b> Regulation 14 (4)	The registered provider must ensure that the practice of charging residents for takeaway meals in place of a scheduled meal ceases	<b>Met</b>

<p><b>Stated:</b> First time</p>	<p>immediately.</p> <p><b>Action taken as confirmed during the inspection:</b> Discussion with the registered manager and a review of records confirmed that the practice of charging residents for takeaway meals in place of a scheduled meal ceased immediately following the previous finance inspection on 9 November 2016.</p>	
<p><b>Requirement 3</b></p> <p><b>Ref:</b> Regulation 14 (4)</p> <p><b>Stated:</b> First time</p>	<p>The registered manager must inform RQIA of the outcome of the discussions with the SEHSCT in relation to charging residents for takeaway meals. The discussions should facilitate the reimbursement to residents for the meals previously paid for.</p> <p><b>Action taken as confirmed during the inspection:</b> The registered manager confirmed that discussions had taken place with two Health and Social Care Trusts however the discussions did not lead to any agreed outcomes. In light of this the registered person decided to reimburse residents the previous charge for takeaway meals. The registered manager informed the inspector that the amounts owed to residents were offset against the previous year's transport costs and that the health and social care trusts were aware of this decision.</p> <p>A review of records for two residents evidenced that the amounts owed for takeaway meals were deducted from the transport costs owed by the residents for the period April 2017 to March 2018.</p>	<p><b>Met</b></p>

<b>Action required to ensure compliance with Residential Care Homes Minimum Standards 2011.</b>		<b>Validation of compliance</b>
<b>Area for improvement 1</b>  <b>Ref:</b> Standard 15.12  <b>Stated:</b> First time	<p>The registered provider should ensure that the system of reconciling monies held on behalf of residents is reviewed in order to facilitate the audit process. The reconciliations should be undertaken at least quarterly.</p> <p>The record of the reconciliation should be signed by the person undertaking the reconciliation and countersigned by a senior member of staff.</p>	<b>Met</b>
	<p><b>Action taken as confirmed during the inspection:</b>  A review of records confirmed that reconciliations between the monies held on behalf of residents and the records of monies held were undertaken on a monthly basis.</p> <p>Records also confirmed that the person undertaking the reconciliation had signed the records along with a senior member of staff.</p>	
<b>Area for improvement 2</b>  <b>Ref:</b> Standard 4.7  <b>Stated:</b> First time	<p>The registered provider should ensure that copies of correspondence sent to residents or their representatives informing them of any increase in fees are retained within residents' files.</p>	<b>Met</b>
	<p><b>Action taken as confirmed during the inspection:</b>  Discussion with staff and a review of records confirmed that all residents' fees were paid by the Health and Social Care Trusts. Residents were informed of any increases by the Trusts.</p>	
<b>Area for improvement 3</b>  <b>Ref:</b> Standard 16.1  <b>Stated:</b> First time	<p>The registered provider should ensure that the SEHSCT is contacted in relation to the possibility of transferring the monies from the resident's bank account, identified during the inspection, into a Patient Private Property (PPP) account at the Trust.</p> <p>The registered provider should inform RQIA of the outcome of the discussions.</p>	<b>Met</b>
	<p><b>Action taken as confirmed during the inspection:</b>  Discussion with staff and a review of records confirmed that the bank account held previously for the resident was closed and the monies transferred into a Patient Private</p>	

	Property Account at the health and social care trust.	
<b>Area for improvement 4</b> <b>Ref:</b> Standard 8.7 <b>Stated:</b> First time	<p>The registered provider should ensure that the inventory of residents' possessions and items of furniture is reviewed and brought up to date. Any additional items brought into the home or items that have been disposed of (for which staff have been informed of) should be recorded. The records should be signed and dated by two members of staff; the records should be reconciled at least quarterly.</p>	<b>Met</b>
	<p><b>Action taken as confirmed during the inspection:</b>  Discussion with staff and a review of records evidenced that the inventory of residents' possessions had been brought up to date since the previous finance inspection.</p> <p>Discussion with staff also confirmed that records were updated with items acquired and disposed of after admission for which staff had been made aware of.</p>	
<b>Area for improvement 5</b> <b>Ref:</b> Standard 20.10 <b>Stated:</b> First time	<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 procedure for staff to purchase items on behalf of residents.</p> <p>The policy should include a provision for staff to return receipts from purchases made on behalf of residents within a reasonable time scale.</p> <p>A record should be retained showing that staff have read and understood the policies and procedures.</p>	<b>Met</b>
	<p><b>Action taken as confirmed during the inspection:</b>  A review of the policies and procedures evidenced that the policies were updated since the previous finance inspection on 9 November 2016. The financial procedures undertaken by staff on behalf of residents were included in the revised policies.</p> <p>The policy also included a provision for members of staff to return receipts within four days of the date of the purchase.</p>	

	A record of the names of the members of staff who had read and understood the revised policies and procedures was retained in the home at the time of the inspection.	
<b>Area for improvement 6</b> <b>Ref:</b> Standard 4.2 <b>Stated:</b> First time	<p>The registered provider should ensure that the residents' agreements are reviewed in relation to the application of an interest charge for late payments for those residents whose fees are paid by the Health and Social Care Trusts.</p> <p>The revised agreements should be issued to residents or their representatives. A signed copy of the updated agreements should be retained within residents' files.</p> <p><b>Action taken as confirmed during the inspection:</b>  A review of three residents' agreements evidenced that the terms and conditions for applying the interest charge for late payment of fees had been removed.</p>	<b>Met</b>
<b>Area for improvement 7</b> <b>Ref:</b> Standard 20.14 <b>Stated:</b> First time	<p>The registered provider should ensure that the records showing the details of residents' journeys are signed by the driver and a second member of staff.</p> <p><b>Action taken as confirmed during the inspection:</b>  A review of records confirmed that the book used to record residents' journeys was signed by the driver and a second member of staff.</p>	<b>Met</b>
<b>Area for improvement 8</b> <b>Ref:</b> Standard 15.2 <b>Stated:</b> First time	<p>The registered provider should ensure that details of residents' financial arrangements are included in their agreements e.g. the arrangements for managing a bank account on behalf of a resident, identified during the inspection, and the arrangements for making purchases on behalf of residents.</p> <p><b>Action taken as confirmed during the inspection:</b>  A review of three residents' agreements evidenced that the financial arrangements for each resident were included within their agreements.</p>	<b>Met</b>

<p><b>Area for improvement 9</b></p> <p><b>Ref:</b> Standard 4.2</p> <p><b>Stated:</b> First time</p>	<p>The registered provider should ensure that updated written agreements are in place for all residents accommodated at the home.</p> <p>The agreements should detail the current amount paid by the Health and Social Care Trust and the current contribution paid by residents.</p> <p>Agreements should be signed by residents or their representatives (if resident lacks capacity to make decisions in relation to the agreement) and a representative from the home. Where a resident or their representative is unable or chooses not to sign this should be recorded.</p> <p>Copies of the signed agreements should be retained within residents' files.</p>	<p><b>Met</b></p>
<p><b>Action taken as confirmed during the inspection:</b></p> <p>A review of three residents' files evidenced that agreements were retained in all three files. The agreements showed the current fee paid on behalf of residents. All three agreements were signed by the residents' representatives and a representative from the home.</p>		
<p><b>Area for improvement 10</b></p> <p><b>Ref:</b> Standard 20.10</p> <p><b>Stated:</b> First time</p>	<p>The registered provider should ensure that the policy and procedure on takeaway meals is updated to show that residents will not be charged for meals that are already paid for by the Health and Social Care Trusts.</p>	<p><b>Met</b></p>
<p><b>Action taken as confirmed during the inspection:</b></p> <p>A review of the policies and procedures evidenced that the policies were updated since the previous finance inspection on 9 November 2016. The policy stated that residents would not be charged for meals already included in the fee from the Health and Social Care Trusts.</p>		

**6.3 Inspection findings**

**6.4 Is care safe?**

**Avoiding and preventing harm to patients and clients from the care, treatment and support that is intended to help them.**

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 members of staff with access to it. Monies held on behalf of three residents were counted, the amounts retained agreed to the balance of monies recorded at the home.

No valuables were held on behalf of residents. A record of the contents held in the safe place was in place and up to date at the time of the inspection. Records showed that the items held on behalf of residents were checked on a weekly basis. In line with good practice two signatures were recorded to confirm the items were checked.

Policies and procedures for the management and control of residents’ finances were in place at the time of the inspection. The policies reflected the financial operational areas of the home.

Discussion with the registered manager confirmed that members of staff involved in managing residents finances had received training in relation to adult safeguarding.

Discussion with staff confirmed that there were no finance related restrictive practices in place.

**Areas of good practice**

There were examples of good practice found in relation to: providing a place for residents to deposit items for safekeeping, checking items held in the safe place on a weekly basis and members of staff involved in managing residents’ finances receiving adult safeguarding training.

**Areas for improvement**

No areas for improvement were identified during the inspection.

	<b>Regulations</b>	<b>Standards</b>
<b>Total number of areas for improvement</b>	0	0

**6.5 Is care effective?**

**The right care, at the right time in the right place with the best outcome.**

Discussion with the registered manager confirmed that no member of staff was the appointee for any resident i.e. a person authorised by the Social Security Agency 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 at the home 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 staff and review of records confirmed that reconciliations between the monies held on behalf of residents and the records of monies held were undertaken on a monthly basis. In line with good practice two signatures were recorded against the records of the reconciliations.

Discussion with staff confirmed that a transport scheme was operated the home. Discussion also confirmed that agreements detailing the terms and conditions of the scheme, including the rate per mile, were issued to the residents and their representatives. A sample of three residents' files evidenced that the terms and conditions of the transport scheme including the rate per mile charged for journeys were included in the residents' written agreements. The provision within the agreements stated that the miles incurred would be divided evenly among the residents undertaking the journey.

A review of records confirmed that a book was used to record the residents' journeys. A sample of journeys recorded in the book evidenced that the date of the journey, the names of the residents undertaking the journey and the destination were recorded. The miles incurred for the journeys were also recorded. Good practice was observed as the records of the journeys were signed by two members of staff.

Review of records confirmed that the book containing the details of residents' journeys was subsequently used to raise invoices to residents. A sample of invoices raised for one resident was reviewed: the miles incurred for the journeys were recorded along with the appropriate rate per mile. The mileage charged to the resident agreed to the miles recorded within the transport book.

Discussion with staff confirmed that no bank accounts were managed on behalf of any resident and no comfort fund monies were maintained on behalf of residents.

Discussion with staff confirmed that an inventory of residents' property was maintained when residents were admitted to the home. Discussion also confirmed that records were updated with items acquired and disposed of after admission for which staff had been made aware of.

### Areas of good practice

There were examples of good practice found in relation to retaining records of the reconciliations between the monies held on behalf of residents and the records of monies held, two members of staff signing the transport records, retaining records for transport charges, signed agreements detailing the terms and conditions of the transport scheme retained within residents' files and updating the inventory of residents' property following admission to the home.

### Areas for improvement

No areas for improvement were identified during the inspection.

	Regulations	Standards
<b>Total number of areas for improvement</b>	0	0

**6.6 Is care compassionate?**

**Patients and clients are treated with dignity and respect and should be fully involved in decisions affecting their treatment, care and support.**

Discussion with the registered manager confirmed that the arrangements for members of staff undertaking purchases on behalf of residents were included in the residents' written agreements. A review of three residents' files evidenced that a provision was included within the three agreements in relation to purchases. The provision stated that receipts from the purchases must be returned to the home by the staff member within four days of the date of the purchase.

**Areas of good practice**

There were examples of good practice found in relation to including the financial arrangements for each resident within their written agreements.

**Areas for improvement**

No areas for improvement were identified during the inspection.

	Regulations	Standards
<b>Total number of areas for improvement</b>	0	0

**6.7 Is the service well led?**

**Effective leadership, management and governance which creates a culture focused on the needs and experience of service users in order to deliver safe, effective and compassionate care.**

Review of records confirmed that copies of payment remittances from the health and social care trusts showing the weekly fee charged 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. Discussion with staff confirmed that all residents fees were paid by the health and social care trusts and no residents were paying a contribution towards their fee. Discussion with staff also confirmed that 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 the inspection. The guide included the details of the services provided to residents as part of their weekly fee. The residents' guide also included a written agreement which was issued to residents on admission to the home. A review of three residents' files evidenced that copies of signed written agreements were retained within all three files. The agreements were in line with standard 4.2 of the Residential Care Homes minimum standards as they included the current fee charged to residents, the individual charges for agreed itemised services e.g. hairdressing and the arrangements for any financial transactions undertaken on behalf of residents.

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 transactions undertaken on behalf of residents including purchases of items and payments for additional services e.g. hairdressing. The transaction sheets were also used to record monies deposited at the home on behalf of residents.

A review of records of three purchases undertaken by staff on behalf of three residents showed that the details of the purchases were recorded. Two signatures were recorded against each of the transactions. Receipts from the purchases reviewed were retained at the home at the time of the inspection.

A review of records of one payment to the hairdresser and one to the podiatrist evidenced that the hairdresser and podiatrist provided invoices after providing the service to residents. The invoices showed the name of the residents receiving the service, the service provided to the residents and the amount charged to each resident. The amounts deducted from the resident's monies agreed to the amounts listed on the invoices from the hairdresser and podiatrist. In line with good practice the hairdresser and podiatrist had signed the records along with a member of staff.

Review of records showed that a number of entries in one resident's transaction sheet were written over or scored out. No initials were recorded against the amendments and no explanation for the errors was recorded. This was discussed with the registered manager and identified as an area for improvement.

Discussion with the registered manager confirmed that since the previous finance inspection on 9 November 2016 residents were not charged for takeaway meals which were provided as part of a scheduled meal. The registered manager also confirmed that residents were reimbursed for previous charges and the amount owed to residents was deducted from the residents' transport costs.

A review of a sample of invoices raised for transport costs for two residents showed that the previous costs for takeaway meals were deducted from the cost of journeys undertaken by the residents for the period from 01 April 2017 to 31 March 2018.

We discussed arrangements in place in relation to the equality of opportunity for residents and the importance of staff being aware of equality legislation and recognising and responding to the diverse needs of residents. The registered manager confirmed that members of staff were aware of quality legislation and that arrangements were in place for residents to receive equal opportunities.

### **Areas of good practice**

There were examples of good practice found in relation to: written agreements in place with residents, the arrangements for any financial transactions undertaken on behalf of residents included in the agreements, recording transactions undertaken on behalf of residents and retaining receipts from these transactions.

### **Areas for improvement**

One area for improvement was identified under standards in relation to writing over balances recorded in residents' transaction sheets.

	Regulations	Standards
<b>Total number of areas for improvement</b>	0	1

## 7.0 Quality improvement plan

Areas for improvement identified during this inspection are detailed in the QIP. Details of the QIP were discussed with Irene McBurney, registered manager, as part of the inspection process. The timescales commence from the date of inspection.

The registered provider/manager should note that if the action outlined in the QIP is not taken to comply with regulations and standards this may lead to further enforcement action including possible prosecution for offences. It is the responsibility of the registered provider to ensure that all areas for improvement identified 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 the 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.

## 7.1 Areas for improvement

Areas for improvement have been identified where action is required to ensure compliance with The Residential Care Homes Regulations (Northern Ireland) 2005 and DHSSPS Residential Care Homes Minimum Standards, August 2011.

## 7.2 Actions to be taken by the service

The QIP should be completed and detail the actions taken to address the areas for improvement identified. The registered provider should confirm that these actions have been completed and return the completed QIP via Web Portal for assessment by the inspector.

## Quality Improvement Plan

### Action required to ensure compliance with DHSSPS Residential Care Homes Minimum Standards, August

<p><b>Area for improvement 1</b></p> <p><b>Ref:</b> Standard 20.14</p> <p><b>Stated:</b> First time</p> <p><b>To be completed by:</b> 05 October 2018</p>	<p>The registered person shall ensure that when transactions are recorded within the residents' transaction sheets errors are crossed out and a new line used to record the transaction. A reason for the error should be recorded and initialled by the staff member recording the transaction.</p> <p>The practice of writing over records should cease immediately.</p> <p>Ref: 6.7</p>
	<p><b>Response by registered person detailing the actions taken:</b></p> <p>The financial policy has been updated to include the following Any errors entered on the residents record must not be written over but must be altered by putting one line through the mistake, the person doing this must enter date and signature beside the error and must record the reason for the mistake. A new line must then be used to record the transaction correctly. This information is also recorded on the financial ledger.</p>



The **Regulation** and  
**Quality Improvement**  
Authority

The Regulation and Quality Improvement Authority

9th Floor

Riverside Tower

5 Lanyon Place

BELFAST

BT1 3BT

**Tel** 028 9051 7500

**Email** [info@rqia.org.uk](mailto:info@rqia.org.uk)

**Web** [www.rqia.org.uk](http://www.rqia.org.uk)

 [@RQIANews](https://twitter.com/RQIANews)