

# Review of compliance

<b>Ashbourne (Eton) Limited</b> Sowerby House Care Home	
<b>Region:</b>	Yorkshire and Humberside
<b>Location address:</b>	Front street Sowerby Thirsk North Yorkshire
<b>Type of service:</b>	Accommodation for persons who require personal or nursing care.
<b>Publication date:</b>	April 2011

# Summary of our findings for the essential standards of quality and safety

## What we found overall

**We found that Sowerby House Care Home was meeting all the essential standards of quality and safety we reviewed but, to maintain this, we suggested that some improvements were made.**

The summary below describes why we carried out the review, what we found and any action required.

### Why we carried out this review

We carried out this review because concerns were identified in relation to:

- Care and welfare of people who use services
- Safeguarding people who use services from abuse
- Management of medicines
- Safety and suitability of premises
- Records

### How we carried out this review

We reviewed all the information we hold about this provider carried out a visit on 29 March 2011, observed how people were being cared for, and talked with people who use services, talked with staff, checked the provider's records, and looked at records of people who use services.

### What people told us

People told us they were happy with the care they were receiving. They said that staff were very good, and kind. Visitors to the home told us that when they visited the staff made them feel very welcome. They also told us that they were satisfied with the care their relative was receiving at the home. They told us they thought the staff were competent and 'very professional' in their work.

Staff said that they felt supported by the manager at the home. They said they enjoyed working at Sowerby House and thought they provided a good standard of care to the people who lived there.

### What we found about the standards we reviewed and how well Sowerby House Care Home was meeting them.

#### **Outcome 4: People should get safe and appropriate care that meets their needs and supports their rights**

Overall, we found that Sowerby House Care Home was meeting this essential standard but, to maintain this, we suggested that some improvements were made.

On the whole people experience safe and effective care and support. Their care needs are recorded and reviewed regularly. People's individual choice and preferences about how they receive care and support are taken into account. However, further work is needed to ensure that care records demonstrate fully how people's needs are to be met.

#### **Outcome 7: People should be protected from abuse and staff should respect their human rights**

Overall, we found that Sowerby House Care Home was meeting this essential standard.

Policies and procedures are in place to ensure people are protected as far as possible from abuse. Staff are trained regularly in these procedures and are confident about what to do if they have concerns or suspect abuse is taking place.

#### **Outcome 9: People should be given the medicines they need when they need them, and in a safe way**

Overall, we found that Sowerby House Care Home was meeting this essential standard but, to maintain this, we suggested that some improvements were made.

Generally people's medication is ordered, stored and administered safely. However staff need to be more vigilant in recording when prescribed creams or lotions are administered to people.

#### **Outcome 10: People should be cared for in safe and accessible surroundings that support their health and welfare**

Overall, we found that Sowerby House Care Home was meeting this essential standard but, to maintain this, we suggested that some improvements were made.

People live in a home that is well maintained and reasonably clean. The equipment that is provided is suitable for people to use and ensures their comfort and safety. However consideration should be given to the arrangements for accessing the ground floor toilet facilities, especially when mobility aids are used, in relation to maintaining people's privacy and dignity when using the toilet.

#### **Outcome 21: People's personal records, including medical records, should be accurate and kept safe and confidential**

Overall, we found that Sowerby House Care Home was meeting this essential standard.

People who use the service can be confident that their personal records are accurate, fit for purpose, held securely and remain confidential

### **Action we have asked the service to take**

We have asked the provider to send us a report within 28 days of them receiving this report, setting out the action they will take to improve. We will check to make sure that the improvements have been made.

**What we found**  
for each essential standard of quality  
and safety we reviewed

The following pages detail our findings and our regulatory judgement for each essential standard and outcome that we reviewed, linked to specific regulated activities where appropriate.

We will have reached one of the following judgements for each essential standard.

**Compliant** means that people who use services are experiencing the outcomes relating to the essential standard.

A **minor concern** means that people who use services are safe but are not always experiencing the outcomes relating to this essential standard.

A **moderate concern** means that people who use services are safe but are not always experiencing the outcomes relating to this essential standard and there is an impact on their health and wellbeing because of this.

A **major concern** means that people who use services are not experiencing the outcomes relating to this essential standard and are not protected from unsafe or inappropriate care, treatment and support.

Where we identify compliance, no further action is taken. Where we have concerns, the most appropriate action is taken to ensure that the necessary improvements are made. Where there are a number of concerns, we may look at them together to decide the level of action to take.

More information about each of the outcomes can be found in the *Guidance about compliance: Essential standards of quality and safety*.

# Outcome 4: Care and welfare of people who use services

## What the outcome says

This is what people who use services should expect.

People who use services:

- Experience effective, safe and appropriate care, treatment and support that meets their needs and protects their rights.

## What we found

### Our judgement

**There are minor concerns** with outcome 4: Care and welfare of people who use services

### Our findings

**What people who use the service experienced and told us**  
We spoke with several people who use the service. One person said 'I am happy living here, I feel safe and looked after'. Another person said 'well it is not home, but it's as good as, I am well looked after and I have everything I need here'. We spoke to a visitor to the home who said 'I am pleased with how the home manages my mother she is always clean and tidy. They let me know if she is unwell or needs the doctor, they keep me very well informed'.

**Other evidence**  
We looked at the care records of four people who live at the home. We found a comprehensive range of assessments that were completed to identify each person's current health, personal and social care needs. This information was then used to devise individual care plans. The plans identified how care and support was to be given, and addressed areas such as moving and handling, skin integrity, personal hygiene, health, social interests and activities. We talked to staff about people's care plans, and they confirmed that the care they delivered was in conjunction with the care records and with risk assessments.

The care records had been reviewed regularly and demonstrated that the person receiving the care and their advocates were involved in this review. Personal preferences and choices of how people were to be cared for was clearly documented.

However, in one of the records examined we found that the person was verbally and

physically aggressive towards staff. Whilst both of these incidents of aggression had been documented in the daily record's there was no actual instruction to staff on how to deal with this when it occurred. This leaves both staff and the person concerned vulnerable to being placed at risk of harm.

**Our judgement**

On the whole people experience safe and effective care and support. Their care needs are recorded and reviewed regularly. People's individual choice and preferences about how they receive care and support are taken into account. However, further work is needed to ensure that care records demonstrate fully how people's needs are to be met.

# Outcome 7: Safeguarding people who use services from abuse

## What the outcome says

This is what people who use services should expect.

People who use services:

- Are protected from abuse, or the risk of abuse, and their human rights are respected and upheld.

## What we found

### Our judgement

**The provider is compliant** with outcome 7: Safeguarding people who use services from abuse

### Our findings

**What people who use the service experienced and told us**  
We did not directly talk to people who use the service about if they felt protected from abuse. Instead we talked to staff and looked at records that told of how people were being protected and safeguarded.

**Other evidence**  
Towards the end of last year there had been a significant safeguarding issue that had occurred at the home. This was investigated by the local authority, and action was taken by the home with regards to how safeguarding incidents would be managed in the future. All staff have been given the opportunity to reflect on these events and 'lessons learnt' sessions have been provided to all staff to ensure they have a greater understanding with regards to protecting vulnerable people.

The home's policies and procedures surrounding making sure people are safe from abuse have been reviewed and amended. All staff who work at the home have received further training in the safeguarding of vulnerable people. In addition, the local authority has also provided extra safeguarding training to staff and the North Yorkshire and York safeguarding policies and procedures were available at the home for staff to refer to.

Staff who were spoken with during the site visit were very clear on what to do should they suspect a person was being abused.

**Our judgement**  
Policies and procedures are in place to ensure people are protected as far as

possible from abuse. Staff are trained regularly in these procedures and are confident about what to do if they have concerns or suspect abuse is taking place.

# Outcome 9: Management of medicines

## What the outcome says

This is what people who use services should expect.

People who use services:

- Will have their medicines at the times they need them, and in a safe way.
- Wherever possible will have information about the medicine being prescribed made available to them or others acting on their behalf.

## What we found

### Our judgement

**There are minor concerns** with outcome 9: Management of medicines

### Our findings

**What people who use the service experienced and told us**  
We did not directly talk to people who use the service about their medication. Instead we talked to staff and senior nurses and looked at how people’s medication was administered at the home.

**Other evidence**  
We looked at the medication systems that are used in the home. Medication is stored correctly and the medication administration records are kept accurately. People receive their prescribed medication properly and controlled drugs were being stored, recorded and administered correctly.

A regular medication audit takes place at the home. The past two months audits were inspected, and actions that have resulted from the audits have been implemented.

There was however some discrepancies over the recording of when prescribed creams and lotions were administered. Whilst the creams and lotions were recorded on the medication record sheet they had not been signed for. We were told that the member of staff who administers the cream or lotion signs a cream/ lotion chart in the person's bedroom. We looked at some charts in people’s bedrooms and found in some instances that this was not being done. We were therefore unable to determine if people were in receipt of their prescribed creams and lotions.

**Our judgement**

Generally people's medication is ordered stored and administered safely. However staff need to be more vigilant in recording when prescribed creams or lotions are administered to people.

# Outcome 10: Safety and suitability of premises

## What the outcome says

This is what people should expect.

People who use services and people who work in or visit the premises:

- Are in safe, accessible surroundings that promote their wellbeing.

## What we found

### Our judgement

**There are minor concerns** with outcome 10: Safety and suitability of premises

### Our findings

**What people who use the service experienced and told us**  
People told us that the home was clean and tidy. One person said ‘the cleaning staff are very good, my bedroom gets vacuumed and dusted almost daily’. Another person said ‘I have a very nice room, there is plenty of space for me to get around, I have to use a walking frame to help me, but there is plenty of room and it doesn't feel cramped.’  
Another person said that they enjoyed sitting in the garden when the weather was warm. They said that the grounds are well kept, and suitable for them to access in a wheelchair.

**Other evidence**  
At the site visit we looked around the communal areas and some bedrooms at the home. The lounge and dining areas were well maintained; at the back of the home was a secluded garden area for people to use.

We were told by staff that the ground floor toilets had been refurbished. At a previous visit to the home we had been told by people who use the service that they were unhappy because male and female both used these facilities, and they did not offer very much privacy as there were no locks fitted on the toilet doors. At this site visit staff confirmed that the toilets are still used for both male and female. We looked at the facilities and found the toilets to be dirty and the flooring heavily stained. The senior nurse on duty said that the evening domestic would clean the toilets immediately. Locks had been fitted to the doors on both cubicles in the toilet. However the cubicle areas are small and should a person require equipment such as a hoist or walking frame they would be unable to access these toilets and have their privacy protected. Staff said that if somebody should require this type of

equipment then they would find an alternative toilet for them to use.

Staff told us that there was plenty of equipment to use such as hoists, adjustable beds, specialist mattresses and air cushions for people to use.

**Our judgement**

People live in a home that is well maintained and reasonably clean. The equipment that is provided is suitable for people to use and ensures their comfort and safety. However consideration should be given to the arrangements for accessing the ground floor toilet facilities, especially when mobility aids are used, in relation to maintaining people's privacy and dignity when using the toilet.

# Outcome 21: Records

## What the outcome says

This is what people who use services should expect.

People who use services can be confident that:

- Their personal records including medical records are accurate, fit for purpose, held securely and remain confidential.
- Other records required to be kept to protect their safety and well being are maintained and held securely where required.

## What we found

### Our judgement

**The provider is compliant** with outcome 21: Records

### Our findings

**What people who use the service experienced and told us**  
People who we spoke with during the site visit knew that they had records held at the home about them. They were aware that they had a plan of care and that it was kept safe 'in the nurse's office'.

**Other evidence**  
At this site visit we found that the records were held securely. We did not see any care plans or personal records belonging to people who use the service left out when not in use by the staff at the home.  
Of the records view during the site visit we found them to be accurate and the recordings in them up-to-date.

**Our judgement**  
People who use the service can be confident that their personal records are accurate, fit for purpose, held securely and remain confidential.

## Action

we have asked the provider to take

### Improvement actions

The table below shows where improvements should be made so that the service provider **maintains** compliance with the essential standards of quality and safety.

Regulated activity	Regulation	Outcome
Accommodation for persons who require nursing or personal care	9	4. Care and welfare of people who use the service
	<p><b>Why we have concerns:</b> On the whole people experience safe and effective care and support. Their care needs are recorded and reviewed regularly. People's individual choice and preferences about how they receive care and support are taken into account. However, further work is needed to ensure that care records demonstrate fully how people's needs are to be met.</p>	
Accommodation for persons who require nursing or personal care	13	9. Management of medicines
	<p><b>Why we have concerns:</b> Generally people's medication is ordered stored and administered safely. However, staff need to be more vigilant in recording when prescribed creams or lotions are administered to people.</p>	
Accommodation for persons who require nursing or personal care	15	10. Safety and suitability of equipment.
	<p><b>Why we have concerns:</b> People live in a home that is well maintained and reasonably clean. The equipment that is provided is suitable for people to use and ensures their comfort and safety. However consideration should be given to the arrangements for accessing the ground floor toilet facilities, especially when mobility aids are used, in relation to maintaining people's privacy and dignity when using the toilet.</p>	

The provider must send CQC a report about how they are going to maintain compliance with these essential standards.

This report is requested under regulation 10(3) of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2010.

The provider's report should be sent within 28 days of this report being received.

CQC should be informed in writing when these improvement actions are complete.

# What is a review of compliance?

By law, providers of certain adult social care and health care services have a legal responsibility to make sure they are meeting essential standards of quality and safety. These are the standards everyone should be able to expect when they receive care.

The Care Quality Commission (CQC) has written guidance about what people who use services should experience when providers are meeting essential standards, called *Guidance about compliance: Essential standards of quality and safety*.

CQC licenses services if they meet essential standards and will constantly monitor whether they continue to do so. We formally review services when we receive information that is of concern and as a result decide we need to check whether a service is still meeting one or more of the essential standards. We also formally review them at least every two years to check whether a service is meeting all of the essential standards in each of their locations. Our reviews include checking all available information and intelligence we hold about a provider. We may seek further information by contacting people who use services, public representative groups and organisations such as other regulators. We may also ask for further information from the provider and carry out a visit with direct observations of care.

When making our judgements about whether services are meeting essential standards, we decide whether we need to take further regulatory action. This might include discussions with the provider about how they could improve. We only use this approach where issues can be resolved quickly, easily and where there is no immediate risk of serious harm to people.

Where we have concerns that providers are not meeting essential standards, or where we judge that they are not going to keep meeting them, we may also set improvement actions or compliance actions, or take enforcement action:

**Improvement actions:** These are actions a provider should take so that they **maintain** continuous compliance with essential standards. Where a provider is complying with essential standards, but we are concerned that they will not be able to maintain this, we ask them to send us a report describing the improvements they will make to enable them to do so.

**Compliance actions:** These are actions a provider must take so that they **achieve** compliance with the essential standards. Where a provider is not meeting the essential standards but people are not at immediate risk of serious harm, we ask them to send us a report that says what they will do to make sure they comply. We monitor the implementation of action plans in these reports and, if necessary, take further action to make sure that essential standards are met.

**Enforcement action:** These are actions we take using the criminal and/or civil procedures in the Health and Social Care Act 2008 and relevant regulations. These enforcement powers are set out in the law and mean that we can take swift, targeted action where services are failing people.

## Information for the reader

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