# Radius Residential Care Limited - Radius Hampton Court

## Introduction

This report records the results of a Surveillance Audit of a provider of aged residential care services against the Health and Disability Services Standards (NZS8134.1:2008; NZS8134.2:2008 and NZS8134.3:2008).

The audit has been conducted by Health and Disability Auditing New Zealand Limited, an auditing agency designated under section 32 of the Health and Disability Services (Safety) Act 2001, for submission to the Ministry of Health.

The abbreviations used in this report are the same as those specified in section 10 of the Health and Disability Services (General) Standards (NZS8134.0:2008).

You can view a full copy of the standards on the Ministry of Health’s website by clicking [here](http://www.health.govt.nz/our-work/regulation-health-and-disability-system/certification-health-care-services/health-and-disability-services-standards).

The specifics of this audit included:

**Legal entity:** Radius Residential Care Limited

**Premises audited:** Radius Hampton Court

**Services audited:** Hospital services - Medical services; Hospital services - Geriatric services (excl. psychogeriatric); Rest home care (excluding dementia care)

**Dates of audit:** Start date: 8 January 2015 End date: 8 January 2015

**Proposed changes to current services (if any):** None

**Total beds occupied across all premises included in the audit on the first day of the audit:** 45

# Executive summary of the audit

## Introduction

This section contains a summary of the auditors’ findings for this audit. The information is grouped into the six outcome areas contained within the Health and Disability Services Standards:

* consumer rights
* organisational management
* continuum of service delivery (the provision of services)
* safe and appropriate environment
* restraint minimisation and safe practice
* infection prevention and control.

As well as auditors’ written summary, indicators are included that highlight the provider’s attainment against the standards in each of the outcome areas. The following table provides a key to how the indicators are arrived at.

**Key to the indicators**

| **Indicator** | **Description** | **Definition** |
| --- | --- | --- |
|  | Includes commendable elements above the required levels of performance | All standards applicable to this service fully attained with some standards exceeded |
|  | No short falls | Standards applicable to this service fully attained  |
|  | Some minor shortfalls but no major deficiencies and required levels of performance seem achievable without extensive extra activity | Some standards applicable to this service partially attained and of low risk |
|  | A number of shortfalls that require specific action to address | Some standards applicable to this service partially attained and of medium or high risk and/or unattained and of low risk |
|  | Major shortfalls, significant action is needed to achieve the required levels of performance | Some standards applicable to this service unattained and of moderate or high risk |

## General overview of the audit

Hampton Court is part of the Radius Residential Care Group. Hampton Court cares for residents requiring hospital and rest home level care. On the day of the audit there were 26 residents receiving rest home level care and 19 receiving hospital level care.

The facility manager is a registered nurse with many years of aged care management experience. She has been at the service for four and a half years, and is supported by a clinical manager and the Radius regional manager.

The three previous shortfalls have been addressed. These were around neurological observations, staff training and transcribing.

This audit identified improvements required around documentation and implementation of care interventions and aspects of medication management.

## Consumer rights

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| Includes 13 standards that support an outcome where consumers receive safe services of an appropriate standard that comply with consumer rights legislation. Services are provided in a manner that is respectful of consumer rights, facilities, informed choice, minimises harm and acknowledges cultural and individual values and beliefs. |  | Standards applicable to this service fully attained. |

There is an open disclosure and interpreters policy that staffs understand. Family/friends are able to visit at any time and interviews verified on-going involvement with community activity is supported. There is a complaints policy supporting practice and an up to date register. Staff interviews confirmed an understanding of the complaints process.

## Organisational management

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| Includes 9 standards that support an outcome where consumers receive services that comply with legislation and are managed in a safe, efficient and effective manner. |  | Standards applicable to this service fully attained. |

There are organisational wide processes to monitor performance. There is a quality system that is being implemented in line with the quality plan. Staff and quality meetings are used to monitor quality activities such as audit, complaints, health and safety, infection control and restraint. There is an adverse event reporting system implemented at and monthly data collection monitors predetermined indicators. There are implemented human resource processes. There is an annual education programme and records of attendance are maintained. There is documented rationale for staffing the service.

## Continuum of service delivery

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| Includes 13 standards that support an outcome where consumers participate in and receive timely assessment, followed by services that are planned, coordinated, and delivered in a timely and appropriate manner, consistent with current legislation. |  | Some standards applicable to this service partially attained and of medium or high risk and/or unattained and of low risk. |

The residents` needs, outcomes and/or goals have been identified in the assessments and care plans are reviewed six monthly or more often as required. There are improvements required around documentation and implementation of care interventions. A team approach to care delivery and continuity of service delivery is encouraged.

There is an implemented medication management system. Three monthly medication reviews are being completed by the general practitioners.

Food services are managed effectively. Meals are prepared on site. Nutritional guidelines and advice is available which is appropriate for this service setting. The food service is managed by a contractor. The menu plans have been reviewed by a dietitian and are suitable for the elderly and/or disabled residents.

An activities programme is provided and enjoyed by the residents. Participation is encouraged but is voluntary. Community outings are arranged and entertainers are invited to participate in the programme.

## Safe and appropriate environment

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| Includes 8 standards that support an outcome where services are provided in a clean, safe environment that is appropriate to the age/needs of the consumer, ensure physical privacy is maintained, has adequate space and amenities to facilitate independence, is in a setting appropriate to the consumer group and meets the needs of people with disabilities. |  | Standards applicable to this service fully attained. |

There is a current building warrant of fitness.

## Restraint minimisation and safe practice

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| Includes 3 standards that support outcomes where consumers receive and experience services in the least restrictive and safe manner through restraint minimisation. |  | Standards applicable to this service fully attained. |

There is a documented definition of restraint and enablers that aligns with the definition in the standards. There were no residents requiring restraint and no residents with identified enablers.

## Infection prevention and control

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| Includes 6 standards that support an outcome which minimises the risk of infection to consumers, service providers and visitors. Infection control policies and procedures are practical, safe and appropriate for the type of service provided and reflect current accepted good practice and legislative requirements. The organisation provides relevant education on infection control to all service providers and consumers. Surveillance for infection is carried out as specified in the infection control programme. |  | Standards applicable to this service fully attained. |

Hampton Court has an infection control programme that complies with current best practice. Infection control surveillance is established that is appropriate to the size and type of services. There is a defined surveillance programme with monthly reporting by the infection control coordinator

## Summary of attainment

The following table summarises the number of standards and criteria audited and the ratings they were awarded.

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| **Attainment Rating** | **Continuous Improvement****(CI)** | **Fully Attained****(FA)** | **Partially Attained Negligible Risk****(PA Negligible)** | **Partially Attained Low Risk****(PA Low)** | **Partially Attained Moderate Risk****(PA Moderate)** | **Partially Attained High Risk****(PA High)** | **Partially Attained Critical Risk****(PA Critical)** |
| **Standards** | 0 | 14 | 0 | 0 | 2 | 0 | 0 |
| **Criteria** | 0 | 37 | 0 | 0 | 2 | 0 | 0 |

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| **Attainment Rating** | **Unattained Negligible Risk****(UA Negligible)** | **Unattained Low Risk****(UA Low)** | **Unattained Moderate Risk****(UA Moderate)** | **Unattained High Risk****(UA High)** | **Unattained Critical Risk****(UA Critical)** |
| **Standards** | 0 | 0 | 0 | 0 | 0 |
| **Criteria** | 0 | 0 | 0 | 0 | 0 |

# Attainment against the Health and Disability Services Standards

The following table contains the results of all the standards assessed by the auditors at this audit. Depending on the services they provide, not all standards are relevant to all providers and not all standards are assessed at every audit.

Please note that Standard 1.3.3: Service Provision Requirements has been removed from this report, as it includes information specific to the healthcare of individual residents. Any corrective actions required relating to this standard, as a result of this audit, are retained and displayed in the next section.

For more information on the standards, please click [here](http://www.health.govt.nz/our-work/regulation-health-and-disability-system/certification-health-care-services/health-and-disability-services-standards).

For more information on the different types of audits and what they cover please click [here](http://www.health.govt.nz/your-health/services-and-support/health-care-services/services-older-people/rest-home-certification-and-audits).

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| **Standard with desired outcome** | **Attainment Rating** | **Audit Evidence** |
| Standard 1.1.13: Complaints Management The right of the consumer to make a complaint is understood, respected, and upheld.  | FA | Interviews with residents and relatives (two from the hospital and three from the rest home) were familiar with the complaints procedure and state all concerns /complaints are addressed. The complaints log/register includes date of incident, complainant, summary of complaint, signature off as complete. There have been five complaints in 2014. All have documentation of full investigation and resolution including communication with complainants is documented for all complaints. D13.3h. A complaints procedure is provided to residents within the information pack at entry. |
| Standard 1.1.9: CommunicationService providers communicate effectively with consumers and provide an environment conducive to effective communication. | FA | There is an open disclosure policy. There are two monthly resident/relative meetings facilitated by the activities staff allowing residents/relatives to raise issues. Relatives and residents interviewed stated they were welcomed on entry and were given time and explanation about services and procedures. Six incident reports reviewed (January 2015) all recorded family notification. The relative interviewed confirmed they are notified of any changes in their family member's health status. D16.1b.ii The residents and family are informed prior to entry of the scope of services and any items they have to pay that are not covered by the agreement. The facility has an interpreter policy to guide staff in accessing interpreter services |
| Standard 1.2.1: GovernanceThe governing body of the organisation ensures services are planned, coordinated, and appropriate to the needs of consumers. | FA | Hampton Court is part of the Radius Residential Care Group. The service provides care for up to 45 residents requiring hospital and rest home level care. On the day of the audit there were 26 residents receiving rest home level care and 19 receiving hospital level care. The facility manager reports monthly to the regional manager on a range of operational matters in relation to Hampton Court including strategic and operational issues, incidents and accidents, complaints, health and safety.  A three year business/quality/risk management plan 2014/2017 is reported against monthly at Hampton Court. The service has a documented structure that supports continuity of management and care delivery. The facility manager is a registered nurse and has been in the role since 2005. The clinical manager was on leave.The organisation provides annual conferences for their managers and annual regional conferences. ARC,D17.3di (rest home), D17.4b (hospital), The manager has maintained at least eight hours annually of professional development activities related to managing a hospital |
| Standard 1.2.3: Quality And Risk Management SystemsThe organisation has an established, documented, and maintained quality and risk management system that reflects continuous quality improvement principles. | FA | The quality system continues to be implemented at Hampton Court. Interviews with healthcare assistants confirmed that quality data is discussed at monthly staff meetings. There is also a monthly quality improvement meeting where all quality data and indicators are discussed. Minutes of these meetings are made available to all staff.There are policies and procedures appropriate for service delivery. Policy manuals are reviewed two yearly. New/updated policies are sent from head office.Monthly reports by the facility manager to the regional manager are provided on service indicators. Radius benchmarks its own facilities against predetermined indicators that are reported monthly from facilities. The service collects internal monitoring data (internal audits) with the audit schedule being implemented at Hampton Court by the facility manager. Quality improvement data such as incidents /accidents, hazards, internal audit, infections are collected and analysed/evaluated at the quality meeting. Corrective action plans were developed for incident reports (sighted) and all audits where there has been less than 95% conformity.D19.3 There is implemented risk management, and health and safety policies and procedures in place including accident and hazard management. D19.2g: Falls prevention strategies such as aggregating data monthly that includes considering time of occurrence. |
| Standard 1.2.4: Adverse Event Reporting All adverse, unplanned, or untoward events are systematically recorded by the service and reported to affected consumers and where appropriate their family/whānau of choice in an open manner.  | FA | D19.3b; There is an accident/incident reporting and open disclosure policy/procedure. There was indicator month by month data collection including (but not limited to): falls (no injury, soft tissue, and fractures), skin tears, medication and pressure areas. Monthly aggregation of data is undertaken (falls monthly summary's sighted) and outcomes are discussed at all meetings - management, quality improvement, and staff meetings. Eight incident forms sampled evidence detailed investigations and corrective action plans following incidents. Incident forms sampled where there has been a head injury have been followed up with neuro -obs. This is an improvement since previous audit.Monthly data is taken to the quality improvement meeting. The four healthcare assistants and the registered nurse interviewed could describe the process for management and reporting of incidents and accidents.D19.3c Discussions with the service (regional manager and facility manager) confirms an awareness of the requirement to notify relevant authorities (DHB) in relation to essential notifications.  |
| Standard 1.2.7: Human Resource Management Human resource management processes are conducted in accordance with good employment practice and meet the requirements of legislation.  | FA | Recruitment, selection and appointment of staff policy are in place. Five staff files were reviewed current performance appraisal are up to date. Current practicing certificates are kept on file. Hampton Court has an orientation programme that is specific to worker type and includes manual handling, health and safety in service and competency testing. In all five staff files reviewed there was a record that an orientation had been completed. The service has an internal training programme directed by head office. The training programme has exceeded eight hours in 2014. All sessions include a quiz which is used at Hampton Court to embed information from the sessions provided. Challenging Behaviour and dementia are part of the training programme. Training occurred around cultural safety (November 2013) and infection control (November 2014) and this is an improvement since previous audit.D17.7d: RN competencies include: hand washing, manual handling, restraint, medication and syringe driver.  |
| Standard 1.2.8: Service Provider Availability Consumers receive timely, appropriate, and safe service from suitably qualified/skilled and/or experienced service providers. | FA | Acuity and clinical staffing ratio policy in place that includes a documented rationale for staffing the service. Staffing rosters were sighted and staff on duty to match needs of different shifts. The facility manager who is a registered nurse works full time. The clinical nurse manager was currently on leave. Staff turnover is low. The four healthcare assistants and registered nurse interviewed stated that there is adequate staffing to manage their workload on any shift. There is a registered nurse on duty 24 hours per day in addition to the facility manager.Five residents and one relative interviewed confirmed that there are sufficient staff on site. |
| Standard 1.3.12: Medicine Management Consumers receive medicines in a safe and timely manner that complies with current legislative requirements and safe practice guidelines. | PA Moderate | Medications are checked against the doctor's medication profile on arrival from the pharmacy by an RN. Any mistakes by the pharmacy are regarded as an incident. Designated staffs are listed on the medication competency register which shows signatures/initials to identify the administering staff member. Resident medication charts are identified with demographic details and photographs. The fridge that medications are kept in has a weekly temperature check. All 10 medication charts had allergies (or nil known), documented. All medications are stored appropriately.There are currently no residents who self-administer medication. D16.5.e.i.2: Ten medication charts reviewed identified that the GP had seen and reviewed the resident three monthly and the medication chart was signed. Improvements are required around medication documentation. |
| Standard 1.3.13: Nutrition, Safe Food, And Fluid ManagementA consumer's individual food, fluids and nutritional needs are met where this service is a component of service delivery.  | FA | The service has a large workable kitchen. There is a rotating four weekly menu in place that was designed by a dietitian. Diets are modified as required. There is a choice of foods and the kitchen can cater to specific requests if needed. Food safety information and a kitchen manual are available in the kitchen. Food served on the day of audit was hot and well presented.The residents interviewed spoke highly about meals provided and they all stated that they are asked by staff about their food preferences. The service has a process of regular checking of food in both the fridge and freezers to ensure it is disposed of when use by date expires. All food is stored and handled safely. The kitchen is clean.D19.2: Kitchen staff has been trained in safe food handling. |
| Standard 1.3.6: Service Delivery/Interventions Consumers receive adequate and appropriate services in order to meet their assessed needs and desired outcomes. | PA Moderate | Wound care plans, infection control plans, diabetes specific plans, fluid balance management plans and pain management plans were utilised as required. The use of short term care plans were routinely used for acute changes in health status. Shortfalls were identified around implementation of care plan interventions. The GP interviewed stated the facility applied changes of care advice immediately and was highly complementary about the quality of service delivery provided. Residents' needs are assessed prior to admission and residents’ primary care is provided by the facility GP unless the resident chooses another GP. D18.3 and 4 Dressing supplies are available and a treatment room is stocked for use.Continence products are available and resident files include a urinary continence assessment, bowel management, and continence products identified for day use, night use, and other management.Specialist continence advice is available as needed and this could be described.Wound assessment and wound management plans are in place for residents with wounds. There is evidence in files of the wound specialist referrals.Files sampled do not have interventions in the care plan for all identified areas of need. Examples included weight loss, seizures and falls. This is an area for improvement.  |
| Standard 1.3.7: Planned ActivitiesWhere specified as part of the service delivery plan for a consumer, activity requirements are appropriate to their needs, age, culture, and the setting of the service. | FA | The diversional therapist employed by the service works 24 hours over five days and an activities assistant works on a fifth day. All recreation/activities assessments and reviews are up to date. On the day of audit, residents were observed being actively involved with a variety of activities in the main lounge. Residents have a comprehensive assessment completed over the first few weeks after admission obtaining a complete history of past and present interests, career and family.Activities are age appropriate and have been comprehensively planned. Activities provided are meaningful and reflect ordinary patterns of life. All residents and the one family member interviewed stated that activities are appropriate and variedD16.5d: Five resident files reviewed identified that the individual activity plan is reviewed at the time of the care plan review.  |
| Standard 1.3.8: Evaluation Consumers' service delivery plans are evaluated in a comprehensive and timely manner. | FA | All initial care plans in files sampled were developed by an RN within three weeks of admission and evaluated at least six monthly or if there is a change in health status. There is a three monthly review by the GP. Changes in health status are documented and followed up. GP's review residents medication at least three monthly or when requested if issues arise or health status changes. |
| Standard 1.4.2: Facility Specifications Consumers are provided with an appropriate, accessible physical environment and facilities that are fit for their purpose. | FA | There is a current building warrant of fitness. |
| Standard 3.5: SurveillanceSurveillance for infection is carried out in accordance with agreed objectives, priorities, and methods that have been specified in the infection control programme. | FA | The surveillance of infection data assists in evaluating compliance with infection control practices. Infections are collated monthly - including urinary tract, upper respiratory and skin. This data is reported to the quality improvement meetings and also to staff meetings. Monthly data was seen in staff areas. The service submits data monthly to Radius head office where benchmarking is completed. |
| Standard 2.1.1: Restraint minimisationServices demonstrate that the use of restraint is actively minimised.  | FA | The service philosophy around restraint is that it is used as an intervention that requires a rationale and is regarded as a last intervention when all other interventions or calming/defusing strategies have not worked. There is a regional restraint group at the organisational level and a restraint group at the facility where restraint is reviewed. There are currently no residents with enablers or restraints.  |

# Specific results for criterion where corrective actions are required

Where a standard is rated partially attained (PA) or unattained (UA) specific corrective actions are recorded under the relevant criteria for the standard. The following table contains the criterion where corrective actions have been recorded.

Criterion can be linked to the relevant standard by looking at the code. For example, a Criterion 1.1.1.1: Service providers demonstrate knowledge and understanding of consumer rights and obligations, and incorporate them as part of their everyday practice relates to Standard 1.1.1: Consumer Rights During Service Delivery in Outcome 1.1: Consumer Rights.

If there is a message “no data to display” instead of a table, then no corrective actions were required as a result of this audit.

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| --- | --- | --- | --- | --- |
| **Criterion with desired outcome** | **Attainment Rating** | **Audit Evidence** | **Audit Finding** | **Corrective action required and timeframe for completion (days)** |
| Criterion 1.3.12.1A medicines management system is implemented to manage the safe and appropriate prescribing, dispensing, administration, review, storage, disposal, and medicine reconciliation in order to comply with legislation, protocols, and guidelines. | PA Moderate | Doctors are responsible for prescribing and all ten medication charts sampled have been reviewed at least three monthly by the GP. Eight of ten charts document the indication for use of prescribed as required medication. The RN interviewed is aware that eye drops should be dated when they are opened. | (i) Three of ten medication charts sampled have regular medications that have not been signed as administered. (ii) Two of ten medication charts sampled do not document an indication for use for as required medication. (iii) Three eye drops have not been dated when opened and a further five have been opened longer than 30 days. | (i) Ensure medications are administered as prescribed. (ii) Ensure as required medications document an indication for use. (iii) Ensure eye drops are dated when opened and discarded when they expire.60 days |

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| Criterion 1.3.6.1The provision of services and/or interventions are consistent with, and contribute to, meeting the consumers' assessed needs, and desired outcomes. | PA Moderate | Needs are assessed using pre admission documentation; doctors notes, and the assessment tools which are completed by a registered nurse. Care plans are goal orientated and reviewed at six monthly intervals. There are annual multidisciplinary reviews.  | (i) Three of five files sampled (two hospital and one rest home) do not have interventions in the care plan for all identified areas of need. Examples include weight loss, seizures and falls. (ii) One rest home resident was recommended by the pharmacist in the multidisciplinary review to have regular potassium and magnesium level checks in November 2013. This has not yet occurred. (iii) One rest home resident was to have BD blood glucose levels for one week. This was only completed for five days. | (i) Ensure that there are interventions in the care plan for all identified areas of need. (ii) and (iii) Ensure that residents receive all interventions/care that is required or recommended.60 days |

# Specific results for criterion where a continuous improvement has been recorded

As well as whole standards, individual criterion within a standard can also be rated as having a continuous improvement. A continuous improvement means that the provider can demonstrate achievement beyond the level required for full attainment. The following table contains the criterion where the provider has been rated as having made corrective actions have been recorded.

As above, criterion can be linked to the relevant standard by looking at the code. For example, a Criterion 1.1.1.1 relates to Standard 1.1.1: Consumer Rights During Service Delivery in Outcome 1.1: Consumer Rights

If, instead of a table, these is a message “no data to display” then no continuous improvements were recorded as part of this of this audit.

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End of the report.