

Unannounced Finance Inspection Report 6 October 2016



Ard Cuan

Type of service: Residential Care
Address: 1 Demesne View, Portaferry BT22 1QX
Tel No: 02842728806
Inspector: Briega Ferris

www.rgia.org.uk

Assurance, Challenge and Improvement in Health and Social Care

1.0 Summary

An unannounced inspection of Ard Cuan took place on 6 October 2016 from 09:00 to 13:00 hours.

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?

Systems in place to safeguard residents' money and valuables were found to be operating effectively; no areas for improvement were identified in relation to this domain.

Is care effective?

Controls in place in respect of documenting residents' money and valuables were found to be in place, two areas for improvement were identified during the inspection. These related to ensuring that each resident or their representative is given written notice of all changes to the agreement and these are agreed in writing by the resident or their representative; and ensuring that reconciliations of money or valuables are carried out, recorded and signed and dated by two people at least quarterly.

Is care compassionate?

Compassionate practice was evidenced from observation whilst in the home, from discussion with the registered manager and senior care assistant and with one resident's family member who was visiting during the inspection. No areas for improvement were identified in relation to this domain.

Is the service well led?

Governance and oversight arrangements were found to be in place in the home; however one area for improvement was identified during the inspection. This related to ensuring that each resident is provided with an individual written agreement which details the fees payable, by whom and payable by which method. Agreements should be kept up to date to reflect any changes (such as fees and financial arrangements); changes to a resident's agreement should be agreed in writing by the resident or their representative.

This inspection was underpinned by the Residential Care Homes Regulations (Northern Ireland) 2005 and the Department of Health, Social Services and Public Safety (DHSSPS) Residential Care Homes Minimum Standards (Updated 2011).

1.1 Inspection outcome

	Requirements	Recommendations
Total number of requirements and recommendations made at this inspection	1	2

Details of the quality improvement plan (QIP) within this report were discussed with Frances Mullan, 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

Other than those actions detailed in the previous QIP, there were no further actions required to be taken following the last inspection.

2.0 Service details

Registered organisation/registered person: Ard Cuan/ James Caldwell & William McClintock	Registered manager: Frances Ann Mullan
Person in charge of the home at the time of inspection: Frances Mullan	Date manager registered: 29 September 2007
Categories of care: RC-I, RC-DE	Number of registered places: 17

3.0 Methods/processes

Prior to the inspection, the record of notifiable incidents reported to RQIA in the last twelve months was reviewed; this established that none of these incidents related to services users' money or valuables. The record of calls made to RQIA's duty system was also reviewed and this did not identify any relevant issues. The care inspector for the home was contacted and confirmed that there were no matters to be followed up from the previous care inspection.

During the inspection, we met with Frances Mullan, the registered manager, one senior care assistant and one relative. A poster detailing that the inspection was taking place was positioned at the entrance of the home.

The following records were examined during the inspection:

- The home's Resident Guide
- Written Policies in respect of:
 - Accounting and financial control arrangements
 - Adult Safeguarding
 - Whistleblowing
 - Complaints
- A sample of residents' property/furniture and personal possessions
- A sample of residents' personal income and expenditure records
- A sample of written agreements in place between residents and the home

4.0 The inspection

4.1 Review of requirements and recommendations from the most recent inspection dated 25 May 2016

The most recent inspection of the home was an unannounced care inspection. No QIP was issued to the home following this inspection.

4.2 Review of requirements and recommendations from the last finance inspection dated 21 October 2008

A finance inspection of the home was carried out on 10 July 2006; the findings from that inspection were not brought forward as part of the inspection on 6 October 2016.

4.3 Is care safe?

The registered manager described how there were a variety of arrangements in place with regards to how individual residents' money and valuables were managed. She explained how some residents could independently manage their money; some family members managed individual residents' monies and in small number of cases, the home supported residents to manage their money insofar as the home had money belonging to residents which had been deposited for safekeeping. Further detail on the latter arrangements is provided in section 4.4 of this report.

The home had a range of policies and procedures in place to guide practice and day-to-day procedures relating to how residents' money and valuables were safeguarded; the inspector noted that these were easily accessible on the day. Policies in place included those addressing the prevention of abuse (including financial abuse) and whistleblowing.

During discussion, the registered manager confirmed that there were no current suspected, alleged or actual incidents of financial abuse, nor were there any finance-related restrictive practices in place for any resident. The home had a safe place available for the deposit of cash or valuables belonging to residents; the inspector was satisfied with the location of the safe

place. On the day of inspection, a small number of cash balances were being held for individual residents; no valuables belonging to residents were being held on the day.

No areas for improvement were identified during the inspection.

Number of requirements	0	Number of recommendations:	0
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4.4 Is care effective?

The registered manager confirmed that the home did not provide transport services to residents; nor were there any bank accounts managed on behalf of residents individually or jointly.

The registered manager explained arrangements in place for two identified residents. She clearly described the respective arrangements and the rationale for these being in place. She confirmed that the respective arrangements were overseen by the relevant HSC trust for each resident and that care management were therefore in agreement with the arrangements.

The inspector provided guidance to the registered manager on how to explicitly record the detail of the respective arrangements in the residents' individual agreements with the home. In discussions regarding individual agreements, the registered manager confirmed that the home did not issue updated agreements (detailing current fees and financial arrangements) to the residents over time.

A recommendation was therefore made that the home should ensure that each resident or their representative is given written notice of all changes to the agreement and these are agreed in writing by the resident or their representative.

(Further detail on individual agreements is detailed in section 4.5 of the report).

As noted above, records of income and expenditure were maintained by the home for a small number of residents for whom money was deposited for safekeeping. A review of the records identified that each entry in the records had been signed and dated by two people. The records evidenced reconciliation, however the frequency of these was beyond a quarterly basis and reconciliations were only signed by one person.

A recommendation was made to ensure that records of money or valuables are carried out, recorded and signed and dated by two people at least quarterly.

A sample of lodgements of money by family representatives were traced to the duplicate receipt book held by the home and these corresponded in the cases sampled. Hairdressing costs were also recorded.

A sample of the records of property held within their rooms was requested and the registered manager provided those requested. A review of the book evidenced that each of the residents selected had a written record of property on their care file and each record evidenced that it had been updated over time with items added or removed. However inconsistency was evidenced within the records: some of the entries were dated, while some were not; some entries were signed by two people, while others were signed only by one person. Advice on ensuring consistency was provided to the registered manager in feedback.

Areas for improvement

Two areas for improvement were identified during the inspection. These related to ensuring that each resident or their representative is given written notice of all changes to the agreement and these are agreed in writing by the resident or their representative; and ensuring that records of money or valuables are carried out, recorded and signed and dated by two people at least quarterly.

Number of requirements	0	Number of recommendations:	2
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4.5 Is care compassionate?

As noted above, the day to day arrangements in place in the home to support residents were discussed. The registered manager described these in detail and the rationale for why they were in place.

The registered manager also described how the home had a residents' forum which was a method used to obtain feedback from residents about a range of issues.

Discussion took place regarding residents having access to the money outside of normal office hours. The registered manager explained that when she was not in the home, the person in charge of the home (normally the senior care assistant) had access to the safe place. This mechanism enabled any resident who had money deposited for safekeeping to have access to their money at all times. Discussion also established that information could be provided to residents in a number of formats, including in a number of languages.

The registered manager showed the inspector the safe storage arrangements within and home and also noted that residents had a locked space within their rooms, which contained a cash box, so that residents could look after their own money independently if they wished.

Areas for improvement

No areas for improvement were identified during the inspection.

Number of requirements	0	Number of recommendations:	0
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4.6 Is the service well led?

As noted above, a broad range of written policies and procedures addressing the safeguarding of residents' money and valuables were in place; the registered manager confirmed that these were normally reviewed on an annual basis, but at least every three years.

There was a clear organisational structure within the home, which was set out in the home's resident guide; following discussion with the registered manager and one of the senior care assistants, it was evident that they were familiar with their roles and responsibilities in relation to safeguarding residents' money and valuables.

The registered manager advised that residents' care files also contained their individual financial agreements with the home. Four residents' files were selected in order to review the written agreements in place between the home and the resident/their representative. A review

of the four files evidenced that only three of four residents had a written agreement on their file. Two of the three agreements had been signed and dated; one agreement had not been signed (or dated). The two agreements which were signed were dated 2010 and 2013 respectively.

A requirement was made to ensure that every resident is provided with an individual written agreement, which details the fees payable, by whom and by which method. The agreement should reflect the current fees and financial arrangements in place for each individual resident. It was highlighted that if there was any financial arrangement in place between the home and individual residents, these should also be detailed within the resident's agreement. It was noted that agreements should be kept up to date to reflect any changes such as fees and that changes to a resident's agreement, agreed in writing with the resident or their representative.

The registered manager was also advised that in reviewing the position regarding all of the resident agreements, the home's standard agreement should be compared with DSSSPS minimum standard 4.2 to ensure that it contains all of the required elements.

During the inspection, discussions were held with one relative whose relative had money deposited with the home for safekeeping. The lady who met with the inspector provided very positive feedback in relation to her experiences regarding how money was safeguarded and spent on any goods and services on behalf of her relative. She described the controls that were in place for instance when she would deposit money and described how she had always received a receipt detailing the deposit. During discussion, the lady also spoke very highly of the home and in general provided very positive feedback about many aspects of care provided to her relative by the home.

Areas for improvement

One area for improvement was identified during the inspection; this related to ensuring that each resident is provided with an individual written agreement which details the fees payable, by whom and by which method. Agreements should be kept up to date to reflect any changes (such as fees and financial arrangements) and changes to a resident's agreement agreed in writing by the resident or their representative.

Number of requirements	1	Number of recommendations:	0
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5.0 Quality improvement plan

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

The registered person/manager should note that failure to comply with regulations may lead to further enforcement action including possible prosecution for offences. It is the responsibility of the registered person/manager to ensure that all requirements and recommendations contained within the QIP are addressed within the specified timescales.

Matters to be addressed as a result of this inspection are set in the context of the current registration of your premises. The registration is not transferable so that in the event of any future application to alter, extend or to sell the premises the RQIA would apply standards current at the time of that application.

5.1 Statutory requirements

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

5.2 Recommendations

This section outlines the recommended actions based on research, recognised sources and Department of Health, Social Services and Public Safety (DHSSPS) Residential Care Homes Minimum Standards (Updated 2011). They promote current good practice and if adopted by the registered provider(s) 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 finance.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

Requirement 1

Ref: Regulation 5 (1)
(a) (b)

Stated: First time

To be completed by:
06 November 2016

The registered provider must ensure that each resident is provided with an individual written agreement which details the fees payable, by whom and by which method.

Response by registered provider detailing the actions taken:

Each resident has been issued with a reviewed and revised resident's agreement. As per advice from the inspector, each agreement has an individualised appendix. Included in the revised agreement are details of fees payable by whom and by which method.

Recommendations

Recommendation 1

Ref: Standard 15.12

Stated: First time

To be completed by:
07 October 2016

The registered provider should ensure that a reconciliation of money or possessions held by the home on behalf of residents is carried out, recorded and evidenced at least quarterly (Reconciliations should be carried out by two people).

Response by registered provider detailing the actions taken:

The reconciliation of money and possessions held on behalf of residents is now carried out quarterly, this is recorded and evidenced by two members of staff.

Recommendation 2

Ref: Standard 4.6

Stated: First time

To be completed by:
07 October 2016

The registered provider should ensure that resident or their representatives is given written notice of all changes to the agreement and these are agreed in writing by the resident or their representative. Where the resident or their representative is unable to sign or chooses not to sign, this is recorded.

Response by registered provider detailing the actions taken:

Written notice of any changes to the agreement will be given to the resident or their representative. Any changes agreed will be recorded and signed by the resident or their representative.

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



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