



The Regulation and
Quality Improvement
Authority

Carmen House
RQIA ID: 1586
3 Carmen Lane
Bangor
BT20 3PL

Inspector: Joe McRandle
Inspection ID: IN23290

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**Announced Finance Inspection
of
Carmen House**

23 July 2015

The Regulation and Quality Improvement Authority
9th Floor Riverside Tower, 5 Lanyon Place, Belfast, BT1 3BT
Tel: 028 9051 7500 Fax: 028 9051 7501 Web: www.rqia.org.uk

1. Summary of Inspection

An announced finance inspection took place on 23 July 2015 from 10:30 to 15:00. Twenty four hours' notice was given prior to the inspection. Overall on the day of the inspection the home was found to be delivering safe, effective and compassionate care in relation to the management of residents' finances. Areas for improvement were identified and are set out in the Quality Improvement Plan (QIP) appended to this report. This inspection was underpinned by the Residential Care Homes Regulations (Northern Ireland) 2005.

1.1 Actions/Enforcement Taken Following the Last Inspection

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

1.2 Actions/Enforcement Resulting from this Inspection

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

1.3 Inspection Outcome

	Requirements	Recommendations
Total number of requirements and recommendations made at this inspection	0	3

The details of the QIP within this report were discussed with Mr Alexander Millar, registered person, as part of the inspection process. The timescales for completion commence from the date of inspection.

2. Service Details

Registered Organisation/Registered Person: Alexander Millar	Registered Manager: Patricia Millar
Person in Charge of the Home at the Time of Inspection: Alexander Millar	Date Manager Registered: 20 September 2007
Categories of Care: RC-DE, RC-I	Number of Registered Places: 15
Number of Residents on the day of Inspection: 15	Weekly Tariff at Time of Inspection: £470

3. Inspection Focus

The inspection sought to assess progress with the issues raised during and since the previous inspection and to determine if the following themes have been met:

Statement 1

The home maintains complete and up to date records in respect of the terms and conditions of the provision of accommodation and personal care.

Statement 2

Arrangements for receiving and spending residents' monies on their behalf are transparent, have been authorised and the appropriate records are maintained.

Statement 3

A safe place is provided within the home premises for the storage of money and valuables deposited for safekeeping; clear, up to date and accurate records are maintained.

Statement 4

Arrangements for providing transport to residents are transparent and agreed in writing with the resident/their representative.

4. Methods/Process

Specific methods/processes used in this inspection include the following:

- Discussion with registered person
- Audit traces carried out on a sample of residents' records
- Audit of residents' individual files
- Spot check on residents' monies and valuables
- Audit of policies and procedures
- Evaluation and feedback.

Prior to inspection the following records were analysed:

- Records of incidents notified to RQIA in the last twelve months.

The following records were examined during the inspection:

- The resident's guide
- Four residents' individual files
- Records of Trust remittances showing fees paid by Trust on behalf of residents
- Records of payment of fees for two residents
- Records of payments to hairdresser and chiropodist
- Audit of invoices to residents for purchases
- Consent forms for staff to make purchases on behalf of residents.
- Policies and Procedures for residents' finances.

5. The Inspection

5.1 Review of Requirements and Recommendations from Previous Inspection

The previous inspection of the home was an announced estates inspection dated 28 April 2015. The completed QIP was returned and approved by the estates inspector.

5.2 Review of Requirements and Recommendations from the last Finance Inspection

There has been no previous finance inspection of this service.

5.3 Statement 1 - The home maintains complete and up to date records in respect of the terms and conditions of the provision of accommodation and personal care

Is Care Safe?

A resident's guide was in place at the time of inspection. A written agreement was included as part of the guide. Review of four residents' files (one of which was a private resident) evidenced that individual written agreements were in place for all four residents. As in line with the Residential Care Homes Regulations (Northern Ireland) 2005 the agreements provided a breakdown of the fee to be paid by, or on behalf of, the resident. The method of payment for fees was also included in each of the residents' agreements.

Discussion with the registered person and review of records confirmed that residents were recently provided with an updated agreement which showed the current weekly fee to be paid by or on behalf of the resident.

All of the agreements reviewed were signed by the resident, or their representative and a representative from the home.

Is Care Effective?

Review of records and discussion with the registered person confirmed that no member of staff at the home acts as an appointee for any resident, i.e. a person authorised by the Social Security Agency (SSA) to receive and manage the social security benefits on behalf of an individual.

Review of records and discussion with the registered person confirmed that the registered person acts as an agent for one resident, i.e. a person authorised by a resident or their representative to collect social security benefits on the resident's behalf. A record of the arrangements to act as an agent was included in the resident's agreement. We noticed that a letter from the resident was also retained with the agreement. The letter authorised the registered person to act as their agent. The letter also gave authorisation for the resident's benefits to be paid into a named bank account; details of the account were identified within the letter.

Discussion with the registered person confirmed that the arrangements for the management of one resident's personal monies were currently with the Office of Care and Protection (OCP). The registered person informed the inspector that the resident's care manager at the South Eastern Health and Social Care Trust (SEHSCT) was involved and liaising with OCP.

A recommendation is listed within the QIP to this report, for the registered person to update the resident's individual agreement with the details of their financial arrangements once they have been received from the care manager or OCP.

RQIA will be in contact with the SEHSCT in relation to this finding.

A policy and procedure for residents' finances was in place at the time of inspection. The policy detailed the arrangements of the support provided by the home to enable residents to manage their finances.

Is Care Compassionate?

Review of records confirmed that residents or their representatives receive written notification of increases in fees payable as in line with The Residential care Homes Regulations (Northern Ireland) 2005.

Review of records showed that the individual written agreement included a provision authorising staff to make purchases of small items (e.g. toiletries) on behalf of residents. The residents or their representatives are subsequently invoiced for the items purchased.

Areas for Improvement

Overall on the day of inspection, we found care to be safe and compassionate in relation to statement 1. Effective care was found to be good. However, there was one area identified for improvement; this was for the registered person to update resident's individual written agreement when financial arrangements are received.

Number of Requirements:	0	Number of Recommendations:	1
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5.4 Statement 2 - Arrangements for receiving and spending service users' monies on their behalf are transparent, have been authorised and the appropriate records are maintained

Is Care Safe?

Review of records confirmed that copies of payment remittances from Health and Social Care Trusts showing the weekly fee 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 and the amount to be contributed by the resident (if any). Records showed the amount paid by the private resident.

Review of records of payments made by or on behalf of two residents (including the private resident) confirmed that the amounts received agreed to the contribution owed by each resident.

Is Care Effective?

Discussion with the registered person confirmed that the hairdresser and chiropodist were paid by the registered person for providing treatments to residents. The registered person subsequently raised an invoice each month, which was forwarded directly to the resident or their representative.

We reviewed a sample of invoices raised. We were provided with records of residents who received treatment from either the hairdresser or chiropodist on a specific date. The details of the treatments and the amounts charged were included in the record. As in line with good

practice the hairdresser or the chiropodist and a member of staff signed the record. The amounts charged to residents agreed to the charges listed in the residents' agreements.

We noticed that the amount invoiced to each resident or their representative corresponded to the record of residents receiving the treatment from the hairdresser or chiropodist for the same period. We noticed that as in line with good practice both the hairdresser and chiropodist were paid by cheque.

Discussion with the registered person confirmed that if a resident requested small items such as toiletries, the registered manager would purchase the items and the resident or their representative were subsequently invoiced. A sample of purchases were examined by the inspector, receipts from the purchases were available at the time of the inspection. We sampled a number of invoices and we were able to confirm that the amounts invoiced agreed to the receipts from the purchases made by the registered manager.

We noticed that the receipts from the purchases were not kept with copies of the invoices. We also noticed that the procedure for making purchases on behalf of residents was not included in the policies and procedures operated at the home.

A recommendation is listed within the QIP for receipts from purchases to be kept with copies of the invoices in order to aid the reconciliation process.

A recommendation is also listed for the procedure for making purchases on behalf of residents to be included in the home's policies and procedures.

Review of records and discussion with the registered person confirmed that a clothes supplier visits the home periodically. The registered person or registered manager would pay for any clothes selected by the resident or their representative. The resident or representative was subsequently invoiced by the registered person. We noticed that the clothes supplier issued an invoice and a receipt when payment was made. The supplier and a member of staff signed the receipt to confirm the purchase.

The registered person informed the inspector that residents are under no obligation to buy from the supplier visiting the home. Residents have the option of making purchases outside of the home.

Review of records showed the benefits for the resident the registered person acts as an agent paid into a bank account. Discussion with the registered person confirmed that the personal allowance monies belonging to the resident were withdrawn from the bank account every four weeks and paid over to the resident.

We reviewed records of the amounts paid over to the resident. The records showed the date and the amount paid over to the resident. The weekly amount paid to the resident agreed to the amount remaining after the residents' contribution towards their fee was deducted from their benefits.

The inspector was able to see from the records that additional benefits paid into the bank account i.e. Christmas bonus was paid over to the resident. We noticed that the resident and a member of staff signed the record when the monies were paid over to the resident.

Discussion with the registered person confirmed that no bank accounts were managed on behalf of residents.

Is Care Compassionate?

As previously stated in this report, a record of the financial arrangements for the registered person to act as an agent on behalf of a resident was retained in the resident's file.

Discussion with the registered person confirmed that additional activities were provided to residents at no additional cost, e.g. entertainment and outings with staff to a local coffee shop.

Areas for Improvement

Overall on the day of inspection, we found care to be safe and compassionate in relation to statement 2. Effective care was found to be good. However, there were two areas identified for improvement; these related to the retention of receipts from purchases and for the policies and procedures operated at the home to be updated to include the procedure for making purchases on behalf of residents.

Number of Requirements:	0	Number of Recommendations:	2
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5.5 Statement 3 - A safe place is provided within the home premises for the storage of money and valuables deposited for safekeeping; clear, up to date and accurate records are maintained.

Is Care Safe?

Discussion with the registered person confirmed that it is the policy at the home for residents or their representatives to manage their own monies. No monies or valuables were held on behalf of residents at the time of the inspection.

A safe place was provided at the home if residents required monies or valuables to be held for safekeeping. We were satisfied with the controls around the physical location of the safe place and the staff members with access.

Is Care Effective?

Discussion with the registered person and review of records confirmed that an inventory of residents' property was maintained at the home. The inventory was updated when items were brought into the home by or on behalf of residents

Is Care Compassionate?

A safe place is provided to enable residents to deposit monies and valuables when required. A lockable facility was also provided in each resident's room.

Areas for Improvement

Overall the inspector found that care was safe, effective and compassionate in relation to statement 3.

Number of Requirements:	0	Number of Recommendations:	0
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5.6 Statement 4 - Arrangements for providing transport to service users are transparent and agreed in writing with the service user/their representative

Is Care Safe?

At the time of inspection the home did not operate a transport scheme.

Is Care Effective?

At the time of inspection the home did not operate a transport scheme.

Is Care Compassionate?

Although a transport scheme was not provided at the home, a car was available for journeys that may be required by a resident. Discussion with the registered person confirmed that the relevant insurance was in place and the vehicle met all current road traffic legislation. Residents were not charged for this provision.

Areas for Improvement

Overall the inspector found that care was safe, effective and compassionate in relation to statement 4.

Number of Requirements:	0	Number of Recommendations:	0
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5.7 Additional Areas Examined

No additional areas were examined during this inspection.

6 Quality Improvement Plan

The issue(s) identified during this inspection are detailed in the QIP. Details of this QIP were discussed with Mr Alexander Millar, registered person, 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.

6.1 Statutory Requirements

This section outlines the actions which must be taken so that the registered person/s meets legislative requirements based on The HPSS (Quality, Improvement and Regulation) (Northern Ireland) Order 2003, The Residential Care Homes Regulations (Northern Ireland) 2005.

6.2 Recommendations

This section outlines the recommended actions based on research, recognised sources and the Residential Care Homes Minimum Standards. They promote current good practice and if adopted by the registered person may enhance service, quality and delivery.

6.3 Actions Taken by the Registered Manager/Registered Person

The QIP should be completed by the registered person/registered manager and detail the actions taken to meet the legislative requirements stated. The registered person will review and approve the QIP to confirm that these actions have been completed. Once fully completed, the QIP will be returned to Agencies.Team@rqia.org.uk and assessed by the inspector.

It should be noted that this inspection report should not be regarded as a comprehensive review of all strengths and weaknesses that exist in the home. The findings set out are only those which came to the attention of RQIA during the course of this inspection. The findings contained within this report do not absolve the registered person/manager from their responsibility for maintaining compliance with minimum standards and regulations. It is expected that the requirements and recommendations set out in this report will provide the registered person/manager with the necessary information to assist them in fulfilling their responsibilities and enhance practice within the home.

Quality Improvement Plan

Recommendations	
<p>Recommendation 1</p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be Completed by: When financial arrangements for resident received.</p>	<p>It is recommended that the registered person updates the resident's individual agreement with the details of their financial arrangements once they have been received from the care manager at the Trust or from The Office of Care and Protection.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: This will be organised immediately once details are received from OCP. Talks are still ongoing but some finance has been provided by the trust for the resident.</p>
<p>Recommendation 2</p> <p>Ref: Standard 15.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of the inspection.</p>	<p>It is recommended that the receipts from purchases made on behalf of residents are kept with copies of the invoices forwarded to residents in order to aid the reconciliation process.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: All receipts will be kept on our copies of the invoices and new forms have been produced for hairdressing, podiatry, etc.</p>
<p>Recommendation 3</p> <p>Ref: Standard 21</p> <p>Stated: First time</p> <p>To be Completed by: From the date of the inspection.</p>	<p>It is recommended that the procedure for making purchases on behalf of residents is included in the home's policies and procedures.</p> <p>A record should be retained showing that staff have read and understand the policies and procedures.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: This has been added to our policy & procedures. Only the Registered Manager is allowed to purchase items for residents. All staff read and sign for changes in policy and procedures.</p>

Registered Manager Completing QIP	Patricia Millar	Date Completed	07/09/15
Registered Person Approving QIP	Alexander Millar	Date Approved	07/09/15
RQIA Inspector Assessing Response	Joe McRandle	Date Approved	17/09/15

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