



The Regulation and  
Quality Improvement  
Authority

De La Cour House  
RQIA ID: 1596  
48 Woodcot Avenue  
Belfast  
BT5 5JB

Inspector: Joe McRandle  
Inspection ID: IN023292

Tel: 028 9073 9848  
Email: [maureen.corry@clanmil.org.uk](mailto:maureen.corry@clanmil.org.uk)

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**Announced Finance Inspection  
of  
De La Cour House**

**15 September 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](http://www.rqia.org.uk)

## 1. Summary of Inspection

An announced finance inspection took place on 15 September 2015 from 10.30 to 14.30. Less than 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
<b>Total number of requirements and recommendations made at this inspection</b>	5	6

The details of the QIP within this report were discussed with Mrs Maureen Corry, registered manager, as part of the inspection process. The timescales for completion commence from the date of inspection.

## 2. Service Details

<b>Registered Organisation/Registered Person:</b> Clare McCarty	<b>Registered Manager:</b> Maureen Corry
<b>Person in Charge of the Home at the Time of Inspection:</b> Maureen Corry	<b>Date Manager Registered:</b> 21/11/2013
<b>Categories of Care:</b> RC-I	<b>Number of Registered Places:</b> 13
<b>Number of Residents accommodated on the day of Inspection:</b> 12	<b>Weekly Tariff at Time of Inspection:</b> £486

### 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 manager
- 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
- Three residents' individual files
- Records of Trust remittances showing fees paid by Trust on behalf of residents
- Records of payment of fees for three residents
- Records of lodgements made on behalf of two residents
- Records of purchases made on behalf of three residents
- Residents' comfort fund
- Records of safe contents
- Consent forms for staff to make purchases on behalf of residents.
- Policy and Procedure on residents' finances.

## 5. The Inspection

### 5.1 Review of Requirements and Recommendations from Previous Inspection

The previous inspection of the home was an unannounced care inspection dated 27 March 2015. The care inspector approved the returned QIP and there were no issues to be followed up during this inspection.

### 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. The guide detailed the services provided for the weekly fee and any additional services that had to be paid by the resident. We noticed that the details for admission within the guide stated *"Once you have made your decision you need to decide what furniture and personal possessions you wish to bring with you in order to set up your new home. The guide also stated "You will have your own flatlet, which comprises a bed-sitting room, which you may decorate to your own taste and furnish with your own furniture and personal belongings. Carpeting is provided."*

The registered manager told us that due to the type of accommodation provided at the home, it was policy for residents to furnish their own rooms on admission.

We discussed regulation 18 (2) (c) of The Residential Care Homes Regulations (Northern Ireland) 2005 with the registered manager which states that adequate furniture, bedding and other furnishing must be provided to residents. The finance inspector informed the registered manager that he would discuss his findings with the RQIA care inspector for the home and it was agreed the issues regarding furniture and fittings would be followed up by the care inspector at subsequent inspections.

A requirement is listed within the QIP to this report for the resident's guide, the home's statement of purpose and the resident's agreement to be updated to show that adequate furniture, bedding and other furnishing will be provided by the home.

The regulations permit residents, so far as it is practicable to do so, to bring in their own furniture and furnishing subject to fire and safety requirements.

The guide included a written agreement which is issued to residents on admission to the home ("Clanmil Housing care/support agreement"). Review of three residents' files evidenced that individual written agreements were in place for all three residents. We noticed that the method of payment of the fee and the details of the person by whom the fee was payable were included in the agreements. We also noticed that the agreements did not show the current weekly fee to be paid by, or on behalf of, the residents. One agreement was not signed by a representative from the home.

A requirement is listed within the QIP of this report for residents' agreements to be updated to show the current fee paid by, or on behalf of, the residents. The agreements must be signed by the residents or their representatives and a representative from the home.

We noticed that the terms and conditions of the written agreement were not in line with the terms and conditions of the contract between the registered person and the Health and Social Care Trust e.g. temporary absence from the home by the resident.

A requirement is listed within the QIP for the resident's agreement to be updated to be in line with the terms and conditions of the Trust contract.

### **Is Care Effective?**

Review of records and discussion with the registered manager confirmed that no member of staff at the home acted 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.

Discussion with the registered manager also confirmed that no member of staff 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 the registered manager confirmed that the local Health and Social Care Trust managed the personal allowance monies for one resident. The Trust forwarded monies to the home when required. Review of records confirmed that monies were previously received from the Trust. Records also showed that the amounts forwarded were recorded in the resident's transaction book. Two signatures were recorded against each entry.

We noticed that the above financial arrangements were not recorded in the resident's written agreement. A recommendation is listed within the QIP to this report, for the resident's agreement to be updated to include the details of the financial arrangements in place with the local Health and Social Care Trust.

A Policy and procedure surrounding the safeguarding of residents' finances was in place at the time of inspection.

We noticed that the resident's agreement stated that residents will be responsible for their own monies and valuables and are "expected" to maintain control of their own financial affairs. The guide also states that if the resident is unable to manage their monies then "family or friends" are encouraged to assist.

This was not the policy and procedure operated at the home at the time of the inspection (details of the current procedure are detailed under statement 2 of this report).

A requirement is listed within the QIP for the resident's guide and resident's written agreement to be updated to include the current procedure for managing residents' finances.

A recommendation is also listed for the registered person to ensure that the policies and procedures operated at the home reflect current practice.

### Is Care Compassionate?

We noticed that two agreements stated that the residents would be given seven days notice, in writing, of any change in their fee. A third agreement stated that four weeks' notice would be provided to the resident prior to a change in their fee. Review of records for the three residents also showed that one resident did not receive written notification of the most recent increase in their fee.

A requirement is listed within the QIP of this report for residents' agreements to be updated to show that residents or their representatives will be informed in writing at least 28 days in advance of any increase in fees, as in line with regulation 5 of The Residential Care Homes Regulations (Northern Ireland) 2005.

### Areas for Improvement

A number of issues were identified during the finance inspection in relation to the delivery of safe, effective and compassionate care. These were:

- Update resident's guide, statement of purpose and residents' agreements to show that furniture and other furnishing will be provided to residents on admission
- Updated written agreements to be issued to all residents
- The terms and conditions of the residents' agreements to be in line with the Health and Social care Trust contract
- Update residents' agreements to show that residents will be notified of any increase in fee within the legislative timeframe
- Update the resident's guide and residents' agreements to reflect current policy of managing residents' finances
- Update written agreement for resident identified during inspection with financial arrangements with local Health and Social Care Trust
- Update financial policies and procedures operated at the home to reflect current practice.

<b>Number of Requirements:</b>	<b>5</b>	<b>Number of Recommendations:</b>	<b>2</b>
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### 5.4 Statement 2 - Arrangements for receiving and spending residents' monies on their behalf are transparent, have been authorised and the appropriate records are maintained

#### Is Care Safe?

Copies of payment remittances from Health and Social Care Trusts showing the weekly fee for each care managed resident were forwarded to the home from their head office during the inspection. The remittances also showed that all of the residents' fees were paid by the Trusts. No resident paid a contribution towards their fee directly to the home.

Discussion with the registered manager 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.

## Is Care Effective?

Review of records confirmed that consent forms were in place authorising staff at the home to make purchases from residents' personal allowance monies. The forms were signed by the residents' representatives. We noticed that the forms did not give details of the items staff were authorised to purchase.

A recommendation is listed within the QIP for the consent forms to be updated to include the items staff were authorised to purchase.

Review of records confirmed that transaction books were maintained for each resident. The books provided details of the purchases undertaken on behalf of residents, along with the date and amount of the purchases. We noticed that two signatures were recorded against each entry in the books.

We reviewed records of five purchases made on behalf of three residents; we noticed that receipts were not retained from two of the purchases. We also noticed that the date of one of the purchases was not recorded in the resident's transaction book.

A recommendation is listed within the QIP to this report for receipts to be retained from all purchases made on behalf of residents. The details of the purchase should be recorded accurately.

We reviewed records of payments to the hairdresser and chiropodist. We noticed that as in line with best practice both the hairdresser and chiropodist issued receipts when receiving payment. We also noticed that two members of staff signed the residents' transaction books along with the hairdresser and chiropodist to confirm the service took place.

Review of records confirmed that when monies were deposited at the home on behalf of a resident, the person depositing the monies signed the record showing the amount deposited along with the member of staff receiving the monies. We noticed that receipts were not always issued to the person depositing the monies as in line with the home's written policy and procedure.

A recommendation is listed within the QIP in relation to this finding.

Review of records and discussion with the registered manager confirmed that a residents' comfort fund was operated at the home. We noticed that a bank account was in place to retain the monies. The name of the bank account confirmed that the monies belonged to the residents.

Discussion with the registered manager confirmed that purchases made from the comfort fund were for the benefit of all residents. We reviewed records of purchases made from the fund; receipts from the purchases were in place and two signatures were recorded against each entry in the book used to record the transactions.

We also noticed that when monies were deposited into the comfort fund, the person donating the monies signed the transaction book along with the member of staff receiving the monies. There was no record of a receipt being issued when monies were donated.

As previously mentioned within this report a recommendation is listed within the QIP in relation to issuing receipts when monies are deposited at the home.

### Is Care Compassionate?

Discussion with the registered manager confirmed that no assessed restrictions were in place for any resident receiving their monies.

We discussed the arrangements for depositing monies on behalf of residents outside of office hours. Staff confirmed that a facility existed for staff to receive monies on behalf of residents.

### Areas for Improvement

A number of issues were identified during the finance inspection in relation to the delivery of safe, effective and compassionate care. These were:

- Update consent forms to include a list of items staff are authorised to purchase.
- Retention of receipts from all purchases and record transactions accurately
- Issue of receipts when monies deposited at home on behalf of residents.

Number of Requirements:	0	Number of Recommendations:	3
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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?

We noticed that a safe place was provided within the home for the retention of residents' monies and valuables. We counted the monies held on behalf of three residents, the amount retained agreed to the balance recorded at the home. No valuables were held on behalf of residents at the time of the inspection. We were satisfied with the controls around the physical location of the safe place and the staff members with access.

We noticed that monies held on behalf of residents were reconciled weekly. A record was maintained of the reconciliation which was signed by two members of staff. We also noticed that the transaction books held on behalf of residents did not show when the reconciliation was undertaken.

A recommendation is listed within the QIP in relation to this finding.

#### Is Care Effective?

Discussion with the registered manager 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.

As stated previously within this report a requirement is listed within the QIP in relation to the provision of furniture and other furnishing to residents on admission.



**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 on the day of inspection, we found that the financial arrangements were contributing to safe, effective and compassionate care in relation to statement 3. One area was identified for improvement in relation to safe care, this was for residents' transaction books to be updated to show when the reconciliation was undertaken.

<b>Number of Requirements:</b>	<b>0</b>	<b>Number of Recommendations:</b>	<b>1</b>
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**5.6 Statement 4 - Arrangements for providing transport to residents are transparent and agreed in writing with the resident/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?**

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

**Areas for Improvement**

There were no areas of improvement in relation to statement 4.

<b>Number of Requirements:</b>	<b>0</b>	<b>Number of Recommendations:</b>	<b>0</b>
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**5.7 Additional Areas Examined**

No additional areas were examined during this inspection.

**6 Quality Improvement Plan**

The issues identified during this inspection are detailed in the QIP. Details of this QIP were discussed with Mrs Maureen Corry, 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.

### 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 etc. 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 [finance.team@rqia.org.uk](mailto:finance.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

<b>Statutory Requirements</b>	
<p><b>Requirement 1</b></p> <p><b>Ref:</b> Regulation 4 (1)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> 15 November 2015</p>	<p>The registered person must ensure that the resident's guide, the residents' agreements and the home's statement of purpose are updated to show that adequate furniture, bedding and other furnishing will be provided by the home to residents.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b> The Residents Agreement, Guide &amp; Statement of Purpose have been updated to reflect that we will offer new, incoming residents a choice of furniture &amp; bedding, or if they prefer to bring their own furniture that will also be accommodated.</p>
<p><b>Requirement 2</b></p> <p><b>Ref:</b> Regulation 5 (1) (a) (b)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> 31 October 2015</p>	<p>The registered person must provide an updated individual written agreement to each resident (or their representative) accommodated at the home.</p> <p>The agreement must comply with the requirements under regulation 5 of The Residential Care Homes Regulations (Northern Ireland) 2005 and meet standard 4.2 of the DHSSPS Residential Care Homes Minimum Standards.</p> <p>The agreements must detail the current amount paid by the Health and Social Care Trusts.</p> <p>Agreements should be signed by the resident or their representative (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 must be recorded.</p> <p>Where a Health and Social Care Trust managed resident does not have a representative to sign the agreement, the resident's agreement should be shared with a representative from the Trust.</p> <p>Copies of the signed agreements must be retained within residents' files.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b> All residents have signed copies of agreements in their files and can also have a copy for their own recorded offered/on request.</p>

<p><b>Requirement 3</b></p> <p>Ref: Regulation 4 (4)</p> <p>Stated: First time</p> <p>To be Completed by: 31 October 2015</p>	<p>The registered person must ensure that the terms and conditions within the written agreement for care managed residents are in line with the contract between the home and the Health and Social Care Trust.</p> <hr/> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> The terms and conditions within the written agreement for care managed residents are in line with the contract between the home and the Health and Social Care Trust.</p>
<p><b>Requirement 4</b></p> <p>Ref: Regulation 4 (1)</p> <p>Stated: First time</p> <p>To be Completed by: 31 October 2015</p>	<p>The registered person must ensure that the resident's guide and the residents' agreements are updated to reflect the current arrangements for managing residents' finances.</p> <hr/> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> Residents Guide has been updated to reflect this process.</p>
<p><b>Requirement 5</b></p> <p>Ref: Regulation 5 (2) (a)</p> <p>Stated: First time</p> <p>To be Completed by: 31 October 2015</p>	<p>The registered person must ensure that residents or their representatives are informed in writing at least 28 days in advance of any increase in fees. A copy of the correspondence should be retained in the residents' files.</p> <p>The individual written agreement should include a provision informing residents that written notification will be provided within the legislative timescale.</p> <hr/> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> Residents or their representatives are informed in writing within 28 days of any change in fees. The residents agreement informs residents that they will be provided with this within legislative timescales. This exercise is carried out at our Head Office, as all of clients across all tenures are informed of changes to fees/charges, with 28 days notice.</p>

<b>Recommendations</b>	
<p><b>Recommendation 1</b></p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be Completed by: 31 October 2015</p>	<p>It is recommended that the registered person updates the resident's individual agreement (identified during the inspection) with the details of their financial arrangements with the Local Health and Social Care Trust.</p> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> The agreement has been updated</p>
<p><b>Recommendation 2</b></p> <p>Ref: Standard 21</p> <p>Stated: First time</p> <p>To be Completed by: 31 October 2015</p>	<p>It is recommended that the registered person ensures that the financial policies and procedures operated at the home are updated to reflect current practice.</p> <p>A record should be retained showing that staff have read and understand the policies and procedures.</p> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> The procedure has been reviewed and issued to all relevant staff for review. This is also to be reviewed at the next team meeting and understanding tested at 1-1 staff supervisions</p>
<p><b>Recommendation 3</b></p> <p>Ref: Standard 4.2</p> <p>Stated: First time</p> <p>To be Completed by: 31 October 2015</p>	<p>It is recommended that the registered person ensures that the consent forms currently in place are revised to include a list of the items members of staff are authorised to purchase on behalf of residents. The forms should be signed by the resident or their representative (if resident lacks capacity to make decisions in relation to the management of their finances) and a representative from the home.</p> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> The form has been reformatting to show what purchases/ services staff are authorised to procure on residents behalf.</p>
<p><b>Recommendation 4</b></p> <p>Ref: Standard 15.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of inspection.</p>	<p>It is recommended that the registered person ensures that receipts are retained from all purchases made on behalf of residents (where possible). Where a receipt is not available, the record should be annotated to reflect this.</p> <p>The details of the transaction must be recorded accurately.</p> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> staff have been advised of the necessity of retaining receipts for all purchases and services obtained on behalf of the resident. These are also reviewed monthly by our internal auditors.</p>

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<p><b>Recommendation 5</b></p> <p>Ref: Standard 15.7</p> <p>Stated: First time</p> <p>To be Completed by: From the date of inspection.</p>	<p>It is recommended that the registered person ensures that receipts are issued when monies are deposited at the home on behalf of residents.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b> Staff have been advised that when money is deposited in the home for a resident a receipt is to be given to the person leaving the money with staff on behalf of their family member in addition to records.</p>
<p><b>Recommendation 6</b></p> <p>Ref: Standard 15.12</p> <p>Stated: First time</p> <p>To be Completed by: From the date of inspection</p>	<p>It is recommended that the registered person ensures that the books used to record transactions made on behalf of residents show when the monies held on behalf of residents are reconciled.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b> The date of reconciliation is now recorded in the residents books. This is carried out monthly and also sampled by internal auditors – date of reconciliation now recorded.</p>

Registered Manager Completing QIP	<i>M Pamy</i>	Date Completed	17-11-15
Registered Person Approving QIP	<i>Clarelli</i>	Date Approved	17-11-15
RQIA Inspector Assessing Response	<i>Paul M. Smith</i>	Date Approved	24/11/15

*\*Please ensure the QIP is completed in full and returned to [finance.team@rqia.org.uk](mailto:finance.team@rqia.org.uk) from the authorised email address\**