



Inspection Report on

Stokes Case Management

**House 3 The Maltings
East Tyndall Street
Cardiff
CF24 5EA**

Mae'r adroddiad hwn hefyd ar gael yn Gymraeg

This report is also available in Welsh

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About Stokes Case Management

Type of care provided	Domiciliary Support Service
Registered Provider	Stokes Case Management Ltd
Registered places	0
Language of the service	Both
Previous Care Inspectorate Wales inspection	
Does this service provide the Welsh Language active offer?	Yes. It identifies and meets the Welsh language needs of people/children who use, or intend to use their service.

Summary

Stokes Case Management (SCM) describe themselves as having a 'creative and can-do approach'. They aim to ensure clients' rights and entitlements and find ways to give them maximum control over their lives, and meet their developing needs and goals. This was supported by information seen and clients and staff who were spoken with. SCM provide a bespoke service to each individual. Representatives/relatives of people who receive their services speak highly of them using terms such as: "*outstanding*"; "*excellent*"; "*brilliant*"; and "*phenomenal*". They describe them as transparent, welcoming, understanding and sympathetic, and say that they "*really do care*". Staff enjoy their jobs and feel well supported by SCM, and one said "*As an employee of Stokes you are never alone, someone is always there day or night!*" As a case management service, they do not employ support staff, but help with their recruitment and provide ongoing monitoring, training and supervision on behalf of their clients. Support staff are employed directly by the clients or their representatives, including lawyers, professional deputies and litigators. Sometimes clients use domiciliary support services. The manager and responsible individual (RI) of SCM have direct and regular contact with the clients and their representatives and understand their needs and aspirations. They employ case managers who co-ordinate all the services needed by a client, often involving a multi-discipline team of professionals.

Well-being

Clients receive the support they need to ensure their rights and entitlements, find ways to gain maximum control over their lives, and to meet their developing needs and goals. SCM's role is to assess the needs of each client, which are often complex and require input from many professionals to meet them, and arrange and co-ordinate the provision of the required services. Clients' physical and mental health, emotional well-being and independence are at the heart of what SCM do, and they seek creative ways of achieving each client's aims. They work closely with clients' families and representatives who report good relationships with them. Clients benefit from the holistic assessment provided by SCM and the report they produce (Initial Needs Assessment (INA)) which includes goals and recommendations for the first 6 months with costings, and is used by the courts. SCM also discuss Individual cultural and religious needs, as well as linguistic needs, on an individual basis as part of the client's assessment. They meet clients' language needs by providing support staff who can communicate in the client's preferred language, or ensuring an interpreter is also present. A recent example was arranging a case manager who has BSL as their first language to work with a client who communicated by BSL. All staff, including the RI and manager, are now receiving training in BSL. Clients who speak Welsh can receive their service from Welsh speaking staff. Clients' needs are reviewed on a regular basis as they change, often due to improvement.

Clients who have difficulty with written communication can benefit from a short, animated film SCM have made to explain their services. This was viewed and was easy to follow. They have three other films in production, including one case study which a client had requested. This proactive, innovative approach is considered excellent practice. They are continually aware of clients' changing needs and look for ways of improving the services they provide to improve the quality of life for each client.

Clients' interests are explored at the initial assessment with the aim of improving their well-being. They encourage clients to say what their interests are and what they would like to do, then source activities and support the client to do them. Examples include surfing, skiing, boxing, and speed boating. This was confirmed by a client's representative who said SCM are proactive in suggesting activities and arranging them if her son wants to do them. Several clients are supported to attend art classes and some of their work is framed and displayed around the office. The art group has had work commissioned and has been on 'The One Show'. They have organised their own exhibitions and sold their artwork to raise funds. Another example is the SCM company allotment which can be used by clients. SCM are always sourcing new activities to suggest to their clients.

Clients are protected from abuse and neglect. Staff are trained in safeguarding and have clear policies and procedures to guide them in recognising and reporting possible abuse,

and protecting clients' well-being. One client's representative said that they felt safe and well looked after.

Care and Support

Individuals benefit from bespoke care packages to meet their needs, and being the focus of their assessments, reviews and personal plans. SCM find ways for them to have maximum input in expressing their aspirations and desired outcomes. They are able to meet and choose from several staff, whom they wish to provide their support. Personal plans are detailed and comprehensive, with sections appropriately indexed and easy to find. Monthly reviews are recorded and dated.

Clients benefit from well trained and well supported staff identifying and arranging provision of their individual care and support to aid their rehabilitation and develop their skills and interests. A client's representative said that, since SCM became involved, their needs are finally being met, "*after 20 years of fighting for everything*". She spoke of SCM "*taking the weight off her shoulders*". She said that they don't just meet her son's immediate needs but are always planning ahead for the following 6-12 months. "*They do what they say they are going to do and communication is key*". Another representative said that her son's needs and well-being outcomes were now being met and improved by SCM who had organised such things as assistive technology for speaking and music therapy. She said: "*They get moving on things and get stuff sorted pretty quickly*". Both said that SCM also consider their needs as parents/representatives.

Most of their clients have complex needs and SCM's role is to organise multi-discipline teams (MDT) of professionals to meet the individual's needs, and to organise regular meetings to discuss the client's changing needs and development. The MDTs include such professionals as physiotherapists, occupational therapists, speech and language therapists, GPs, social workers, some clients requiring input from all of these. One representative talked of SCM arranging for professionals to come to the house to provide the care and support for her son. She also said that they have "*brilliant legal support*" and that SCM work well with her son's legal representative. She said: "*Communication is fantastic*" and that she is always kept in the loop. Her son is over 18 and his SCM case manager also visited his college to gain further insight.

Clients' well-being is enhanced by being supported to undertake a wide range of activities. SCM recognise that encouraging independence can come with risks and that individuals should not be prevented from taking risks. Clients are protected by each activity being risk assessed prior to commencement and risk management plans put in place. Comprehensive risk assessment templates were seen.

Clients are protected by SCM infection control and health and safety policies and procedures, in which staff are trained. SCM provide PPE to regulated service areas where the local authority does not, and it is sent from Stokes Cardiff office via a delivery service to

the clients' homes. They have also supported clients in receipt of direct payments to access PPE via their local authority.

Environment

This theme does not form part of the inspection remit for domiciliary support services as the services are provided in the clients' homes, but the agency operates from one office in Cardiff from which they manage all their services in Wales. The office has appropriate arrangements for storing confidential information. There was a positive, collaborative atmosphere in the office on the day of the visit.

Individual client files are also kept in clients' homes, in some cases online, in others paper copies. There are client-specific arrangements for staff to gain entry to a client's home. Staff have identity cards and an example was seen. Staff complete an initial, comprehensive risk assessment form regarding the safety of the client's premises. An example confirmed this. Any equipment that the client needs in the home, has maintenance/monitoring records which staff complete on each visit, and which team leaders monitor.

Leadership and Management

The service provider has a clear management structure and established systems in place to support the smooth operation of the service. The RI produces regular, comprehensive reports, covering the areas required by legislation. The company is financially stable as their activities are fully costed then approved by the courts who award the clients' funds. The RI and manager have a clear understanding of the legislation regarding which of their many services need to be registered, although some documents needed to be amended to be accurate and specific to the Welsh legislation. They had already taken much action on this and had agreed further action to complete this exercise. Staff are supported with a wide range of policies and procedures. Most of these were checked as part of the post-registration follow-up and detailed feedback was given at the time. Many of the recommended amendments needed were to make them compliant with Welsh legislation and guidance, but SCM took prompt action to rectify this.

Although SCM staff do not administer medication, they monitor the medication administration records (MAR) on behalf of clients who employ the care staff/care agency. The records for December 2021 were comprehensive but had some gaps in signatures. The SCM manager picks up on gaps when she monitors the records. She then follows each one up and decides on appropriate action, such as re-training in medication administration. These records had not yet been audited as they had only recently been returned to the office. There was evidence that the manager audits them on a regular basis and there had been three audits in 2021 and one so far in 2022. The manager recognised the need for the records to be returned to the office more frequently and said she would make arrangements for this.

SCM does not employ care staff, it organises recruitment on behalf of clients or their representatives, and then has ongoing involvement in staff training, supervising and monitoring. They have thorough recruitment procedures and a wide range of checks are undertaken and recorded on checklists. Documents seen need just a few amendments to be fully compliant with the legislation. These were discussed in detail and confirmed in writing, and the manager agreed to make the amendments.

Staff feel well supported by their managers and the company provides appropriate training and encourages them to gain further qualifications. This was confirmed by staff and in team meeting minutes. A wide range of topics is covered in their e-learning programme and the manager said that the Wales Induction Framework is followed. This is supplemented with client-specific training including practical training with the client in their home. Staff training records showed when each topic of training had been undertaken and the date when refresher training was due. A presentation used for training SCM case managers and assistant case managers, in England and Wales, was found to be inaccurate and lacking in information about Welsh legislation and procedures. It was recommended that separate

slides be produced for training in Wales. The RI agreed to take this action. Staff spoke highly of their training and one said: *"It's ...SCM where I have been able to progress my training further and I have now successfully completed my NVQ level 5"*.

Staff feel supported by regular supervision and SCM make arrangements for those staff not based near to Cardiff to have supervision locally. SCM keep clear records of when supervision is due and when it has taken place to ensure compliance with legislation and guidance. Examination of these records indicated that one member of staff had only had one supervision in his first seven months. This was investigated during the inspection visit and it was found that they had taken place but had not been uploaded to the system. Also, during the visit, the RI arranged for another member of staff to take over and he had already arranged a session for that week. The RI and manager decided during the visit, that, due to these issues, they would ensure HR increase the frequency of their audits so that issues such as these would be picked up sooner.

Clients benefit from staff who are supported by regular team meetings, both with the team for a particular client, and general staff team meetings. Minutes were comprehensive with clear actions identified. There is an online log for complaints, concerns, accidents, incidents, and near misses, and the category of each entry is clearly marked. It is comprehensive with links to relevant documents.

Their quality of care review report requires further development. Information, such as details of feedback, results, and required action, was available in other documents, but this needs to be included in the report. This was discussed in detail and the RI and manager agreed to pursue this. They also plan to widen the range of people from whom they seek feedback to include, for example solicitors and legal deputies.

Summary of Non-Compliance

Status	What each means
New	This non-compliance was identified at this inspection.
Reviewed	Compliance was reviewed at this inspection and was not achieved. The target date for compliance is in the future and will be tested at next inspection.
Not Achieved	Compliance was tested at this inspection and was not achieved.
Achieved	Compliance was tested at this inspection and was achieved.

We respond to non-compliance with regulations where poor outcomes for people, and / or risk to people’s well-being are identified by issuing Priority Action Notice (s).

The provider must take immediate steps to address this and make improvements. Where providers fail to take priority action by the target date we may escalate the matter to an Improvement and Enforcement Panel.

Priority Action Notice(s)

Regulation	Summary	Status
N/A	No non-compliance of this type was identified at this inspection	N/A

Where we find non-compliance with regulations but no immediate or significant risk for people using the service is identified we highlight these as Areas for Improvement.

We expect the provider to take action to rectify this and we will follow this up at the next inspection. Where the provider has failed to make the necessary improvements we will escalate the matter by issuing a Priority Action Notice.

Area(s) for Improvement

Regulation	Summary	Status
N/A	No non-compliance of this type was identified at this inspection	N/A

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