



The Regulation and  
Quality Improvement  
Authority

Bluegate Lodge  
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1 Plantation Road  
Garvagh  
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**Announced Finance Inspection  
of  
Bluegate Lodge**

**27 October 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 27 October 2015 from 10.30 to 12.30. 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 and the DHSSPS Residential Care Homes Minimum Standards (2011).

### 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>	1	4

The details of the QIP within this report were discussed with Mrs Edel Mullan, deputy 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> Mrs Mairead Brolly	<b>Registered Manager:</b> Mrs Mairead Brolly
<b>Person in Charge of the Home at the Time of Inspection:</b> Mrs Edel Mullan, Deputy Manager	<b>Date Manager Registered:</b> 24/08/2010
<b>Categories of Care:</b> RC-DE, RC-I	<b>Number of Registered Places:</b> 5
<b>Number of Residents in receipt of a service on the day of Inspection:</b> 5	<b>Weekly Tariff at Time of Inspection:</b> £485

### 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 Deputy 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 payments of fees for three residents
- Records of lodgements made on behalf of residents
- Records of payments to hairdresser
- Records of safe contents
- Inventory of residents personal possessions
- 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 unannounced care inspection dated 20 October 2015. The completed QIP is due to be returned to the care 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. The guide detailed the services provided for the weekly fee and any additional services that had to be paid by the resident. A written agreement was included as part of the guide. Review of three residents' files (one of which was a private resident) evidenced that individual written agreements were in place for all three residents. We noticed that residents placed by the local Health and Social Care Trusts were charged an additional "third party top up" per week.

Review of the three agreements confirmed that as in line with The Residential Care Homes Regulations (Northern Ireland) 2005 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 noticed that the agreements for care managed residents provided a breakdown of the amount of the fee paid by the local Health and Social Care Trust and the amount paid by the third party on behalf of residents.

We noticed that the agreements did not show the current weekly fee paid by, or on behalf of, the residents. All three agreements were signed by the resident, their representative and a representative from the home.

A Requirement is listed within the QIP of this report in relation to the above findings.

#### **Is Care Effective?**

Review of records and discussion with the deputy 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 deputy 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.

We noticed that there were comprehensive policies and procedures in place including a policy for the safeguarding of residents' finances. We also noticed that a record was maintained showing that staff had signed to confirm that they had read and understood the policies.

### Is Care Compassionate?

Review of records showed that residents or their representatives had been informed, in writing, of any previous increase in fees.

### Areas for Improvement

Overall on the day of inspection, we found care to be effective and compassionate in relation to statement 1. Safe care was found to be good, however there was one area identified for improvement; this was for residents agreements to be updated to show the current fee paid by, or on behalf of, residents.

<b>Number of Requirements:</b>	<b>1</b>	<b>Number of Recommendations:</b>	<b>0</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?

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). The remittances confirmed that a number of residents were paying a contribution towards their fee directly to the home. Records also showed the amount paid by the private resident.

Discussion with the deputy 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.

Review of records of payments made by or on behalf of three residents (one of which was a private resident) confirmed that the amounts received agreed to the contribution owed by each resident.

As previously stated within this report a requirement is listed within the QIP for residents to be issued with up to date agreements showing the current fee paid by the resident and the amount paid on their behalf.

#### Is Care Effective?

Discussion with the deputy manager confirmed that it was policy at the home for the hairdresser and podiatrist to be paid directly by the residents' family or representatives. We noticed that residents and their representatives were issued with a price list for both services.

Discussion with the deputy manager and review of records confirmed that monies were deposited on behalf of one resident for safekeeping. We noticed that receipts were not issued at the time the monies were deposited.

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

Discussion with the deputy manager confirmed that residents' representatives purchase toiletries and other items when required. The deputy manager also confirmed that no bank accounts were managed on behalf of residents.

### **Is Care Compassionate?**

As previously stated in this report, no member of staff acted as an appointee or agent on behalf of residents.

Discussion with the deputy manager confirmed that residents are encouraged to manage their own finances. Where a resident lacks capacity to manage their monies representatives manage the finances on their behalf.

### **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 was one area identified for improvement; this related to the issuing of a receipt when monies are deposited at the home on behalf of residents for safekeeping.

<b>Number of Requirements:</b>	<b>0</b>	<b>Number of Recommendations:</b>	<b>1</b>
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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?**

A safe place was provided within the home for the retention of monies and valuables belonging to residents. Discussion with the deputy manager and review of records confirmed that at the time of inspection, monies were held on behalf of one resident. We counted the monies held and the amount retained agreed to the balance recorded at the home. We were satisfied with the controls around the physical location of the safe place and the staff members with access. No valuables were held on behalf of residents at the time of the inspection.

Discussion with the deputy manager confirmed that the monies held on behalf of the resident were withdrawn by the resident's representative to pay the hairdresser or to make purchases in behalf of the resident. We noticed that there were no records showing when the monies were withdrawn from, or returned to the safe place.

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

We noticed that there was no record of a regular reconciliation of the monies held on behalf of the resident. We highlighted to the deputy manager that standard 15.12 of the DHSSPS Residential Care Homes Minimum Standards (2011) states that monies held on behalf of residents should be reconciled at least quarterly.

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

**Is Care Effective?**

Discussions with the deputy manager and review of records confirmed that an inventory of residents' property was maintained at the home. We noticed that the inventory was recorded in a receipt book which was also used to record monies received on behalf of residents. We highlighted to the deputy manager that a separate record should be maintained for inventory. We also noticed that there was no record of residents' inventory being reconciled on a regular basis (at least quarterly).

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

**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 compassionate care in relation to statement 3. Three areas were identified for improvement in relation to safe and effective care; these were:

- The retention of a record showing when resident's monies were withdrawn from, or returned to the safe place.
- The retention of a record of reconciliations of the monies held on behalf of the resident
- A separate record to be maintained of residents personal belongings.

<b>Number of Requirements:</b>	<b>0</b>	<b>Number of Recommendations:</b>	<b>3</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?**

Although a transport scheme was not provided a transport policy was in place at the time of the inspection. We noticed that the policy stated that any outings organised by the home to places of interest would be paid by the home.

**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 Edel Mullan, deputy 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. 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

### Statutory Requirements

<p><b>Requirement 1</b></p> <p><b>Ref:</b> Regulation 5 (1) (a)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> 30 November 2015</p>	<p>The registered person must ensure that residents' agreements are updated to include the current amount paid by or on behalf of the residents.</p> <p>Copies of the updated agreements must be retained within residents' files.</p>
	<p><b>Response by Registered Person(s) Detailing the Actions Taken:</b></p> <p>The updated agreements have all been signed and are now in place in resident agreement file.</p>

### Recommendations

<p><b>Recommendation 1</b></p> <p><b>Ref:</b> Standard 15.7</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> From the date of inspection</p>	<p>It is recommended that the registered person ensures that a receipt is issued when monies are deposited at the home on behalf of residents for safekeeping</p>
	<p><b>Response by Registered Person(s) Detailing the Actions Taken:</b></p> <p>Receipts are issued for any monies/valuables deposited for safekeeping.</p>
<p><b>Recommendation 2</b></p> <p><b>Ref:</b> Standard 15.5</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> From the date of inspection</p>	<p>It is recommended that the registered person ensures that a record is maintained showing when monies or other items held in the safe place, are withdrawn from and returned to the safe place. The record should be signed and dated by the resident's representative and a member of staff.</p> <p>Where the representative is unable to sign or chooses not to sign, two members of staff who witness the hand-over should sign and date the record.</p>
	<p><b>Response by Registered Person(s) Detailing the Actions Taken:</b></p> <p>There is a new Hard Backed book recording these transactions replacing the previously used page.</p>
<p><b>Recommendation 3</b></p> <p><b>Ref:</b> Standard 15.12</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b></p>	<p>It is recommended that the registered person ensures that the monies held on behalf of the resident, identified during the inspection, are reconciled regularly(at least quarterly).</p> <p>A record should be maintained of the reconciliation; the record should be signed by the member of staff carrying out the reconciliation and countersigned by a senior member of staff.</p>

From the date of inspection	<p><b>Response by Registered Person(s) Detailing the Actions Taken:</b> All monies held are reconciled at least quarterly.</p>		
<p><b>Recommendation 4</b></p> <p><b>Ref:</b> Standard 8.7</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> 30 November 2015</p>	<p>It is recommended that the registered person ensures that an up to date inventory is maintained of furniture and personal possessions brought into the home by, or on behalf of, residents</p> <p>The inventory should be recorded separately from any other activity within the home (e.g. recording of monies received on behalf of residents). The record should give clear details of the items listed.</p> <p>A reconciliation of these records should be undertaken regularly (at least quarterly).</p> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> A new Hard Backed book is now in place detailing all personal possessions brought by or on behalf of residents. This is updated at east quarterly or if any new possessions are brought.</p>		
<b>Registered Manager Completing QIP</b>	Mairead Brolly	<b>Date Completed</b>	24/11/15
<b>Registered Person Approving QIP</b>	Mairead Brolly	<b>Date Approved</b>	24/11/15
<b>RQIA Inspector Assessing Response</b>	Joe McRandle	<b>Date Approved</b>	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\**