



The Regulation and
Quality Improvement
Authority

Tullywest Manor
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21 DEC 2015

**Announced Finance Inspection
of
Tullywest Manor
1 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**

1. Summary of Inspection

An announced finance inspection took place on 1 October 2015 from 10.30 to 14.00. Less than twenty four hours' notice was given prior to the inspection. Overall on the day of the inspection areas for improvement were identified in relation to safe, effective and compassionate care for the management of residents' finances 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
Total number of requirements and recommendations made at this inspection	3	10

The details of the QIP within this report were discussed with Mrs Anne McCleery, registered manager, and Mr Philip McCleery, assistant manager, as part of the inspection process. The timescales for completion commence from the date of inspection.

2. Service Details

Registered Organisation/Registered Person: Mrs Anne McCleery Mr James McKelvey	Registered Manager: Anne McCleery
Person in Charge of the Home at the Time of Inspection: Mrs Anne McCleery	Date Manager Registered: 1 April 2005
Categories of Care: RC-I, RC-PH, RC-DE, RC-PH(E)	Number of Registered Places: 26
Number of Residents accommodated on the day of Inspection: 25	Weekly Tariff at Time of Inspection: £470 plus 60 per month third party contribution

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
- Five 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 residents
- Records of purchases made on behalf of residents
- Records of safe contents
- Inventory of residents personal possessions
- 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 3 September 2015. The completed QIP was returned and approved by 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 to residents as part of the weekly fee and any additional services that had to be paid by residents. The guide included a written agreement which is issued to residents on admission to the home. Review of five residents' files (two of which were private residents) evidenced that individual written agreements were in place for the two private residents. No agreements were available for the remaining three residents.

We noticed that the two agreements in place did not show the current weekly fee to be paid by, or on behalf of, the resident. The method of payment of the fee and the details of the person paying the fee were also not included in the agreements. We also noticed that one of the agreements was not signed by a representative from the home.

Review of records confirmed that residents were charged an additional third party top up per week. Discussion with the registered manager confirmed that the additional amount was paid towards the fee only and not for any additional services provided to residents. There was no evidence to confirm that residents were issued with a statement detailing the additional amount to be paid and the person paying the additional charge.

We noticed that the agreements reviewed were not in line with regulation 5 of The Residential Care Homes Regulations (Northern Ireland) 2005 and minimum standard 4.2 of the DHSSPS Residential Care Homes Minimum Standards (2011).

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 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.

A policy and procedure surrounding residents' finances was in place at the time of inspection. We noticed that the home was not adhering to the policy for a number of practices e.g. the details to be included in the resident's agreement and the recording of transactions undertaken on behalf of residents.

A recommendation is listed within the QIP of this report for the policy and procedure operated at the home to be updated to reflect current practice and for staff at the home to adhere to the policy.

Is Care Compassionate?

We noticed that the two agreements reviewed did not include a provision for residents or their representatives to 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.

There was no evidence in residents' files that residents or their representatives had been informed of any previous increase in fees.

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

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:

- Updated written agreements to be issued to all residents
- Agreements to be in line with The Residential care Homes Regulations (NI) 2005 and the DHSSPS Minimum Standards (2011)
- Notifying residents or their representatives of any increase in fee.
- Update financial policies and procedures operated at the home to reflect current practice.

Number of Requirements:	2	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). The remittances confirmed that a number of residents were paying a contribution towards their fee directly to the home. Records also showed the amounts paid by private residents.

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.

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 assistant manager and review of records confirmed that transaction books were maintained for each resident. The books were used to record purchases or payments made on behalf of residents and to record any monies deposited by, or on behalf of residents.

We reviewed records of payments to the hairdresser and podiatrist; records showed that a separate hairdressing and podiatrist book were completed on the day the service was provided to residents. The details recorded included the name of the resident, the service provided and the amount charged to the resident. We noticed that the cost of the service was not recorded against each resident in the podiatrist book. We also noticed that the hairdresser, podiatrist and a member of staff had not signed the books after the details were recorded to confirm that the service took place.

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

The hairdressing and podiatrist books identified residents who had paid the hairdresser and podiatrist directly. Discussion with the registered manager confirmed that the home paid the hairdresser and podiatrist for the remaining residents and subsequently withdrew the amount owed from the residents' personal monies.

We reviewed the resident's individual transaction books. We noticed that there were no corresponding entries recorded in the books showing monies being withdrawn to reimburse the home for paying the hairdresser and podiatrist. Discussion with the registered manager confirmed that the monies were not usually withdrawn from the residents' personal monies. We highlighted that although the home was covering the costs for these residents other residents were paying for the service provided.

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

We reviewed two payments to a local clothes supplier. Receipts were provided by the supplier when they received payment for the clothes. We noticed that the supplier signed the receipt however no member of staff had signed the receipts to confirm the resident received the clothes.

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

The inspector had difficulty reconciling other transactions recorded in the residents' books this was due to:

- Insufficient details of the transaction
- Determining if monies were withdrawn or deposited
- No date in one of the entries
- Person depositing monies not signing receipt book
- No details to show if monies were used to purchase items or were given directly to resident.

We noticed that correction fluid was used on a number of entries in the transaction books. We also noticed that monies deposited on behalf of a resident and subsequently withdrawn were recorded on the same line.

We highlighted that it was best financial practice for any errors to be crossed out and a new line used to record the transaction. Two signatures should be recorded against each entry. We also highlighted that a separate entry should be recorded for each transaction with two signatures recorded against each entry.

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

A recommendation is also listed within the QIP for the system of recording transactions on behalf of residents (including the retention of receipts from purchases) to be reviewed in order to facilitate accurate recording and to aid the audit process.

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

Is Care Compassionate?

Review of records confirmed that no consent forms were in place authorising staff at the home to make purchases or payments from residents' monies.

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

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

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:

- Hairdresser, podiatrist and member of staff to sign hairdressing and podiatrist books
- Reimbursement from residents' monies when home pays hairdresser and podiatrist
- Member of staff to sign receipt from clothes supplier
- Accurate recording of transactions

- Review of system used to record transactions
- Residents/representatives to sign consent forms for staff to make purchases/payments on behalf of residents.

Number of Requirements:	0	Number of Recommendations:	6
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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 there was no record of a regular reconciliation of monies held on behalf of residents. The last recorded date was May 2014. We highlighted 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 registered manager and review of records confirmed that an inventory of residents' property was maintained at the home on admission. We noticed that the lists for personal belonging were not always updated when items were brought into the home by or on behalf of residents following admission. 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 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. Two areas were identified for improvement in relation to safe and effective care; these were for residents' monies to be reconciled at least quarterly and the recording and reconciliation of residents' personal possessions.

Number of Requirements:	0	Number of Recommendations:	2
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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?

We noticed that the resident's guide states under "Escort Arrangements" that families are expected to escort their relatives to pre-arranged appointments. It also states that "If the family request a member of staff for escort duties then they may incur an additional cost for this service."

We noticed that this cost was not included in the list of charges for additional services in either the resident's guide or resident's agreement.

A requirement is listed within the QIP for this information to be incorporated into the resident's guide and the resident's agreement as an additional charge. The registered person should confirm that there is an escort policy and procedure for accompanying vulnerable residents to appointments outside of the home, including the procedure for those residents with no next of kin (A copy of this information should be enclosed when returning the Quality Improvement Plan). The policy should also detail the amount that would be charged for staff escorting residents.

Confirmation that a copy of the escort policy has been forwarded to the referring Health and Social Care Trust should also be forwarded.

A recommendation is also listed within the QIP for a record to be maintained at the home showing how the amount to be charged to residents was determined.

Areas for Improvement

Overall on the day of inspection, we found care to be safe and effective in relation to statement 4. Compassionate care was found to be good. However, there were two areas identified for improvement; these were

- To inform RQIA of the escort policy for accompanying vulnerable adults to appointments outside of the home.
- The retention of a record showing how the charge for accompanying residents was determined.

Number of Requirements:	1	Number of Recommendations:	1
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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 Anne McCleery, registered manager, and Mr Philip McCleery, assistant 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 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>Requirement 1</p> <p>Ref: Regulation 5 (1) (a) (b) & (2) (a)</p> <p>Stated: First time</p> <p>To be Completed by: 13 November 2015</p>	<p>The registered person must provide an updated written agreement to each resident (or their representative) accommodated at the home. 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 amount to be paid by the Health and Social Care Trust and the contribution to be paid by the resident and the third party. The method of payment and the details of the person paying the fee must also be included in the agreement.</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>A provision should be included in the resident's agreement informing residents that they will be informed of any increase in fees by the legislative timeframe.</p> <p>Copies of the signed agreements must be retained within residents' files.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: NEW AGREEMENT COMPLETED AND ISSUED FOR ALL RESIDENTS / REPRESENTATIVES TO SIGN & RETURN</p>
<p>Requirement 2</p> <p>Ref: Regulation 5 (2) (a)</p> <p>Stated: First time</p> <p>To be Completed by: From the date of next increase in fees</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 residents' files.</p> <p>Response by Registered Person(s) Detailing the Actions Taken: RESIDENTS OR REPRESENTATIVES ARE INFORMED AT LEAST 28 DAYS IN ADVANCE OF ANY INCREASE IN FEES. COPIES OF NOTIFICATION WILL NOW BE HELD IN RESIDENTS FILES.</p>

<p>Requirement 3</p> <p>Ref: Regulation 13 (1)</p> <p>Stated: First time</p> <p>To be Completed by: 13 November 2015</p>	<p>The registered person must ensure that the details of any additional charge for accompanying residents on outside appointments are incorporated into the resident's guide and the "resident's agreement".</p> <p>The registered person must confirm that there is an escort policy and procedure for accompanying vulnerable residents to appointments outside of the home, including the procedure for those residents with no next of kin (A copy of this information should be enclosed when returning the Quality Improvement Plan).</p> <p>Confirmation that a copy of the escort policy has been forwarded to the referring Health and Social Care Trust should also be forwarded.</p> <p>Response by Registered Person(s) Detailing the Actions Taken:</p> <p>N/A RESIDENTS ACCOMPANIED BY RELATIVES TO APPOINTMENTS</p>
<p>Recommendations</p>	
<p>Recommendation 1</p> <p>Ref: Standard 21</p> <p>Stated: First time</p> <p>To be Completed by: 13 November 2015</p>	<p>It is recommended that the registered person updates the policies and procedures operated at the home to include all of the financial procedures undertaken by staff on behalf of residents.</p> <p>A record should be retained showing that staff have read and understood the policies and procedures.</p> <p>Response by Registered Person(s) Detailing the Actions Taken:</p> <p>POLICY UPDATED TO REFLECT THE AGREEMENT MORE ACCURATELY. RELEVANT STAFF AWARE</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 inspection</p>	<p>It is recommended that the registered person ensures that the hairdresser, podiatrist and a member of staff signs the relevant books to confirm that the service took place.</p> <p>The full details of the service provided, including the cost, should be recorded.</p> <p>Response by Registered Person(s) Detailing the Actions Taken:</p> <p>RELEVANT BOOKS NOW BEING SIGNED.</p>

<p>Recommendation 3</p> <p>Ref: Standard 21</p> <p>Stated: First time</p> <p>To be Completed by: 13 November 2015</p>	<p>It is recommended that the registered person ensures that the policy and procedure for payment to the hairdresser and podiatrist are reviewed. This should include the procedure for any reimbursement from residents when the home pays the hairdresser or podiatrist on the residents' behalf.</p> <p>A record should be retained showing that staff have read and understood the policies and procedures.</p> <p>Response by Registered Person(s) Detailing the Actions Taken:</p> <p>FINANCIAL POLICY & PROCEDURE UPDATED TO INCLUDE THE ABOVE.</p>
<p>Recommendation 4</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 a member of staff signs the receipt along with the clothes supplier to confirm that the resident received the items purchased.</p> <p>Response by Registered Person(s) Detailing the Actions Taken:</p> <p>RECEIPTS NOW SIGNED.</p>
<p>Recommendation 5</p> <p>Ref: Standard 15.7</p> <p>Stated: 13 November time</p> <p>To be Completed by: From the date of inspection</p>	<p>It is recommended that the registered person ensures that all transactions made on behalf of residents are recorded accurately, this should include</p> <ul style="list-style-type: none"> • The date the transaction took place. • Adequate details of the transaction <p>The registered person must ensure that correction fluid is not used to amend entries. Each transaction undertaken should be recorded separately along with two signatures.</p> <p>Response by Registered Person(s) Detailing the Actions Taken:</p> <p>NEW RECORDING BOOK NOW IN PLACE DETAILING ALL ABOVE INSTRUCTIONS.</p>
<p>Recommendation 6</p> <p>Ref: Standard 21</p> <p>Stated: First time</p>	<p>It is recommended that the registered person ensures that the system of recording transactions on behalf of residents and the system for the retention of receipts are reviewed in order to facilitate recommendation 5 and to aid the audit process.</p> <p>NEW RECORDING BOOK NOW IN PLACE & QUARTERLY AUDITS TO BE CARRIED OUT.</p>

<p>To be Completed by: From the date of the inspection</p>	<p>Response by Registered Person(s)Detailing the Actions Taken:</p>
<p>Recommendation 7 Ref: Standard 15.2 Stated: First time To be Completed by: 13 November 2015</p>	<p>It is recommended that the registered person obtains written consent from residents or their representatives for staff to make purchases or payments from resident's monies. A list of the items members of staff are authorised to purchase and the services authorised to be paid e.g. hairdresser should be included</p> <p>The authorisation should be signed by the resident or their representative (if resident lacks capacity to make decisions in relation to the management of their finances).</p> <p>Response by Registered Person(s)Detailing the Actions Taken:</p> <p>AUTHORISATION FORM CREATED & BEING ISSUED TO RELEVANT RESIDENTS/REPRESENTATIVES.</p>
<p>Recommendation 8 Ref: Standard 15.12 Stated: First time To be Completed by: From the date of the inspection</p>	<p>It is recommended that the registered person ensures that monies held on behalf of residents are reconciled at least quarterly</p> <p>A record should be maintained of the reconciliation. The record should be signed by the person undertaking the reconciliation and countersigned by a senior member of staff.</p> <p>Response by Registered Person(s)Detailing the Actions Taken:</p> <p>QUARTERLY AUDITS TO BE UNDERTAKEN</p>
<p>Recommendation 9 Ref: Standard 8.7 Stated: First time To be Completed by: 13 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. 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>Response by Registered Person(s)Detailing the Actions Taken:</p> <p>INVENTORY HELD IN RESIDENTS CARE PLAN.</p>

Recommendation 10 Ref: Standard 15.2 Stated: First time To be Completed by: 13 November 2015	<p>It is recommended that the registered person ensures that a record is maintained at the home showing how the amount charged to residents for accompanying them to appointments outside of the home was determined.</p> <p>Response by Registered Person(s) Detailing the Actions Taken:</p> <p>N/A . RELATIVES / REPRESENTATIVES ACCOMPANY RESIDENTS TO OUTSIDE APPOINTMENTS .</p>
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Registered Manager Completing QIP	<i>A. McElreath</i>	Date Completed	<i>23-12-2015</i>
Registered Person Approving QIP	<i>A. McElreath</i>	Date Approved	<i>23-12-2015</i>
RQIA Inspector Assessing Response	<i>Joe McElreath</i>	Date Approved	<i>4/1/16.</i>

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