



The Regulation and  
Quality Improvement  
Authority

Willowview  
RQIA ID: 1664  
45 Killyleagh Road  
Saintfield  
BT24 7EH

Inspector: Joe McRandle  
Inspection ID: IN023300

Tel: 028 9751 0878  
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**Announced Finance Inspection**  
**of**  
**Willowview**  
**25 August 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 25 August 2015 from 10:30 to 13:30. 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> | 4            | 7               |

The details of the QIP within this report were discussed with Mrs Elizabeth Joan Dolan, registered person, 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><br>Mrs Imelda Margaret Flanagan<br>Mrs Elizabeth Joan Dolan | <b>Registered Manager:</b><br>Mrs Imelda Margaret Flanagan |
| <b>Person in Charge of the Home at the Time of Inspection:</b><br>Mrs Elizabeth Joan Dolan                    | <b>Date Manager Registered:</b><br>01/04/2005              |
| <b>Categories of Care:</b><br>RC-DE, RC-I, RC-PH  | <b>Number of Registered Places:</b><br>11                  |
| <b>Number of Residents accommodated on the day of Inspection:</b><br>9  | <b>Weekly Tariff at Time of Inspection:</b><br>£470        |

### 3. Inspection Focus

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

#### Statement 1

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

#### Statement 2

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

#### Statement 3

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

#### Statement 4

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

### 4. Methods/Process

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

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

Prior to inspection the following records were analysed:

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

The following records were examined during the inspection:

- The resident's guide
- 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 residents
- Records of purchases made on behalf of three residents
- 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 16 June 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. A written agreement was included as part of the guide. Review of three residents' files evidenced that an individual written agreement was in place for one of the residents. We noticed that the agreement did not show the current weekly fee paid by, or on behalf of the resident. We also noticed that the agreement did not list the charges for additional services provided at the home e.g. hairdressing and podiatry.

We noticed that the resident had signed the agreement however it was not signed by a representative from the home. Discussion with the registered person confirmed that the resident lacked the capacity to understand the terms and conditions of the agreement they signed.

A requirement is listed within the QIP to this report for written agreements to be issued to all residents. The agreements must show the current weekly fee paid by, or on behalf of the residents. Where a resident lacks the capacity to understand the agreement the resident's representative should sign the agreement.

We noticed that the terms and conditions of the agreement were not in line with the terms and conditions of the contract between the registered persons 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 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 person 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 person 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.

Review of records and discussion with staff confirmed that the home's policy is not to manage residents' finances. The residents or their representatives are expected to manage the finances. We noticed that there was no policy and procedure in place in relation to the safeguarding of residents' finances e.g. procedure for paying hairdressing and podiatry services.

A recommendation is listed within the QIP to this report for policies and procedures to be issued in relation to the safeguarding of residents' finances.

### **Is Care Compassionate?**

Review of records confirmed that residents or their representatives were not informed at least 28 days in advance of any previous increase in fees. The written agreement reviewed during the inspection did not have a provision for residents to be informed within the legislative time period.

A requirement is listed within the QIP to this report for residents or their representatives to be informed in writing prior to any increase in fees as in line with regulation 5 of The Residential Care Homes Regulations (Northern Ireland) 2005. A provision for residents or their representatives to be informed in writing should also be included in the written agreement.

We noticed that a provision was included in the resident's agreement permitting the home to apply an interest charge to residents for late payment of their fee. Discussion with the registered person confirmed that there had been no previous instances of late payments. The registered person agreed to review this finding with the consideration of the provision being removed as all residents' fees are paid by the Health and Social Care Trusts.

A recommendation is listed within the QIP in relation to this 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:

- Written agreements issued to all residents.
- The terms and conditions of the written agreement to be in line with Trust contract
- Issuing of policies and procedures in relation to safeguarding of residents' finances.
- Notifying residents or their representatives of any increase in fee
- The application of an interest charge for late payment of fee.

|                                |          |                                   |          |
|--------------------------------|----------|-----------------------------------|----------|
| <b>Number of Requirements:</b> | <b>3</b> | <b>Number of Recommendations:</b> | <b>2</b> |
|--------------------------------|----------|-----------------------------------|----------|

#### **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).

Discussion with the registered person and review of records confirmed that residents' fees were paid by the Health and Social Care Trusts. No residents paid a contribution towards their fee directly to the home. Discussion with the registered person also confirmed that residents were not charged an additional amount towards their fee over and above the amount agreed with the Health and Social Care Trusts.

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

We reviewed records of payments to the hairdresser and podiatrist. Discussion with the registered person confirmed that the hairdresser and podiatrist were paid by the home and residents or their representatives were subsequently invoiced for the service provided.

Records showed that the hairdresser completed a book after providing a service to residents. The book included the name of the resident, the service provided and the amount charged to the resident. We noticed that there were no signatures recorded in the book after being completed by the hairdresser. Records also showed that as in line with good practice the hairdresser was paid by cheque.

A recommendation is listed within the QIP to this report for the hairdresser and a member of staff to sign the book at the time of recording the details of the service provided.

Discussion with the registered person confirmed that the details from the hairdressing book were used to raise invoices to residents or their representatives. We reviewed a sample of invoices raised. We had difficulty reconciling the amounts listed within the invoices to the book completed by the hairdresser; this was due to the records of payment to the hairdresser not corresponding with the date the service was provided. Records showed that the hairdresser was paid a number of weeks after the service took place.

We also reviewed records of payments to the podiatrist. We noticed that the podiatrist was not consistent in issuing either invoices for the service provided or receipts when receiving payment. A recommendation is listed within the QIP to this report for the registered person to review the system for invoicing residents for hairdressing and podiatry services.

Review of records and discussion with the registered person confirmed that newspapers were provided to one resident by a local newsagent. The newsagent invoiced the home at the end of each month. The invoice was paid by the home and the resident was subsequently invoiced for the newspapers. We reviewed two invoices forwarded to the resident. We noticed that not all of the receipts were retained for one invoice; all receipts were in place for the second invoice.

A recommendation is listed within the QIP in relation to the retention of receipts.

Review of records confirmed that transaction sheets were retained on behalf of residents. We noticed that the sheets were not updated at the time payments were made on behalf of residents. A recommendation is listed within the QIP in relation to this finding.

We reviewed records of toiletries purchased on behalf of one resident. Discussion with the registered person confirmed that the resident's personal allowance monies were managed by the local Health and Social Care Trust. The registered person purchased the items and the Trust was subsequently invoiced for the items purchased.

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

### **Is Care Compassionate?**

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

Discussion with the registered person 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 were four areas identified for improvement; these related to:

- Hairdresser and podiatrist to sign records along with member of staff
- A review of the system of invoicing residents for services provided
- Retention of receipts
- The recording of payments on transaction sheets

|                                |          |                                   |          |
|--------------------------------|----------|-----------------------------------|----------|
| <b>Number of Requirements:</b> | <b>0</b> | <b>Number of Recommendations:</b> | <b>4</b> |
|--------------------------------|----------|-----------------------------------|----------|

### **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 registered person and review of records confirmed that at the time of inspection, monies were held on behalf of one resident. We counted the monies held; the amount retained was greater than the amount recorded as being held on behalf of the resident. Review of records and discussion with the registered person confirmed that payments for services provided to the resident on specific dates e.g. hairdressing had yet to be deducted from the monies held on behalf of the resident.

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

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.

### Is Care Effective?

Discussions with the registered person and review of records confirmed that an inventory of residents' property was maintained at the home. We noticed that the record did not give clear details of the items listed as belonging to residents. We also noticed that there was no record of the inventory book 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 care to be compassionate in relation to statement 3. Safe and effective care were found to be good. However, there were two areas identified for improvement; these were in relation to the accurate recording of monies held on behalf of one resident and the recording and reconciliation of residents' property.

|                                |          |                                   |          |
|--------------------------------|----------|-----------------------------------|----------|
| <b>Number of Requirements:</b> | <b>1</b> | <b>Number of Recommendations:</b> | <b>1</b> |
|--------------------------------|----------|-----------------------------------|----------|

## 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 provide transport to residents.

### Is Care Effective?

At the time of inspection, the home did not provide transport to residents

### Is Care Compassionate?

At the time of inspection, the home did not provide transport to residents

### Areas for Improvement

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

|                                |          |                                   |          |
|--------------------------------|----------|-----------------------------------|----------|
| <b>Number of Requirements:</b> | <b>0</b> | <b>Number of Recommendations:</b> | <b>0</b> |
|--------------------------------|----------|-----------------------------------|----------|



## 5.7 Additional Areas Examined

No additional areas were examined during this inspection.

## 6 Quality Improvement Plan

The issue(s) identified during this inspection are detailed in the QIP. Details of this QIP were discussed with Mrs Elizabeth Joan Dolan, registered person as part of the inspection process. The timescales commence from the date of inspection.

The registered person/manager should note that failure to comply with regulations may lead to further enforcement action including possible prosecution for offences. It is the responsibility of the registered person/manager to ensure that all requirements and recommendations contained within the QIP are addressed within the specified timescales.

Matters to be addressed as a result of this inspection are set in the context of the current registration of your premises. The registration is not transferable so that in the event of any future application to alter, extend or to sell the premises the RQIA would apply standards current at the time of that application.

### 6.1 Statutory Requirements

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

### 6.2 Recommendations

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

### 6.3 Actions Taken by the Registered Manager/Registered Person

The QIP should be completed by the registered person/registered manager and detail the actions taken to meet the legislative requirements stated. The registered person will review and approve the QIP to confirm that these actions have been completed. Once fully completed, the QIP will be returned to [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)<br/>(a) (b)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b><br/>30 September 2015</p> | <p>The registered person must provide a 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 agreement must give details of the current amount paid by the Health and Social Care Trust and the contribution paid by the resident (if any).</p> <p>The agreement must 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 agreements must be retained within residents' files.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b><br/>Copies of the reviewed written agreement have been issued to each resident/representative and copies of the signed agreements are kept in each residents file.</p> |
| <p><b>Requirement 2</b></p> <p><b>Ref:</b> Regulation 4 (4)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b><br/>30 September 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> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b><br/>The terms and conditions within the written agreement for residents have been reviewed and are in line with the contract between the home and the trust.</p>  |
| <p><b>Requirement 3</b></p> <p><b>Ref:</b> Regulation 5 (2)<br/>(a)</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><b>Stated: First time</b></p> <p><b>To be Completed by:</b><br/>From the date of the next increase in fees</p>   | <p>The individual written agreement should include a provision informing residents that written notification will be provided within the legislative timescale.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b><br/>The individual written agreement states that Willaview will give one months notice prior to fee changes - all notifications will have a copy held in each residents file</p>   |
| <p><b>Requirement 4</b></p> <p><b>Ref: Regulation 19 (2) Schedule 4 (9) (a)</b></p> <p><b>Stated: First time</b></p> <p><b>To be Completed by:</b><br/>31 August 2015</p> | <p>The registered person must ensure that monies held on behalf of the resident identified during the inspection are recorded accurately.</p> <p>A reconciliation of monies must be undertaken to determine the amount owned by the resident following the deduction of monies for services provided.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b><br/>A reconciliation was carried out and Willaview no longer holds monies on behalf of residents.</p>  |
| <b>Recommendations</b>  |  |
| <p><b>Recommendation 1</b></p> <p><b>Ref: Standard 15.7</b></p> <p><b>Stated: First time</b></p> <p><b>To be Completed by:</b><br/>From the date of inspection</p>        | <p>It is recommended that the hairdresser, podiatrist and a member of staff sign the hairdressing and podiatry records to confirm the service took place.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b><br/>In place and ongoing.</p>  |
| <p><b>Recommendation 2</b></p> <p><b>Ref: Standard 21</b></p> <p><b>Stated: First time</b></p> <p><b>To be Completed by:</b><br/>30 September 2015</p>                    | <p>It is recommended that policies and procedures are implemented in relation to the safeguarding of residents' finances. All procedures undertaken on behalf of residents should be included.</p> <p>A record should be retained showing that staff have read and understood the policies and procedures.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b><br/>Policies and procedures have been reviewed and implemented. A record is retained showing staff have read and understood the policy and procedure.</p> |

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| <p><b>Recommendation 3</b></p> <p><b>Ref:</b> Standard 4.2</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b><br/>30 September 2015</p>                | <p>It is recommended that the registered person reviews the resident's agreement in relation to the application of an interest charge for late payments.</p> <p>The revised agreement should be issued to residents or their representatives. A signed copy of the updated agreements must be retained within residents' files.</p>   |
| <p><b>Recommendation 4</b></p> <p><b>Ref:</b> Standard 21</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b><br/>30 September 2015</p>                 | <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b></p> <p>The resident's agreement has been reviewed and issued to residents / representatives - signed copies of the updated agreements are retained within residents' files.</p>   |
| <p><b>Recommendation 4</b></p> <p><b>Ref:</b> Standard 21</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b><br/>30 September 2015</p>                 | <p>It is recommended that the registered person reviews the system of invoicing residents or their representatives for services provided.</p> <p>The podiatrist should issue an invoice for service provided and issue a receipt for any payment received on behalf of residents.</p>   |
| <p><b>Recommendation 5</b></p> <p><b>Ref:</b> Standard 15.7</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b><br/>From the date of the inspection</p> | <p>It is recommended that the registered person ensures that receipts are retained from all transactions undertaken on behalf of residents.</p> <p>Where a receipt is not available, the record should be annotated to reflect this.</p>  |
| <p><b>Recommendation 5</b></p> <p><b>Ref:</b> Standard 15.7</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b><br/>From the date of the inspection</p> | <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b></p> <p>In place and ongoing</p>   |
| <p><b>Recommendation 6</b></p> <p><b>Ref:</b> Standard 15.7</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b><br/>From the date of the inspection</p> | <p>It is recommended that the registered person updates residents' transaction sheets with payments made on behalf of residents for services provided and when items are purchased on behalf of residents'.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b></p> <p>This was completed on the date of the inspection. Willawview no longer holds money for residents. Willawview purchases and invoices resident/representative for all residents.</p> |

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|--|--|
| <p><b>Recommendation 7</b></p> <p>Ref: Standard 8.7</p> <p>Stated: First time</p> <p>To be Completed by:<br/>30 September 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. It is also recommended that the registered person ensures that a retrospective record is made of the furniture and personal possessions owned by existing residents accommodated in the home.</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></p> <p>An up to date inventory of furniture and personal possessions brought into the home by or on behalf of all residents at Willowview is in place and quarterly reconciliations are ongoing.</p>   |

|                                   |               |                |             |
|-----------------------------------|---------------|----------------|-------------|
| Registered Manager Completing QIP | Liz Dolan     | Date Completed | 12 Oct 2015 |
| Registered Person Approving QIP   | L M Flanagan  | Date Approved  | 19 Oct 2015 |
| RQIA Inspector Assessing Response | Joe M. Nadeau | Date Approved  | 24/10/15    |

\*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\*