



The Regulation and  
Quality Improvement  
Authority

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**Announced Finance Inspection  
of  
Ross Lodge/ Ross House**

**22 April 2015**

The Regulation and Quality Improvement Authority  
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## **1. Summary of Inspection**

An announced finance inspection took place of Ross Lodge on 22 April 2015 from 11.00 to 18.00. Overall on the day of the inspection the home was found not 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**

As a result of the findings of a care inspection of the home on 11 March 2015 RQIA began enforcement proceedings as follows –

Two Notices of Failure to Comply were issued in respect of the home's non-compliance with Regulation 14(4) and Regulation 30 (1)(d)(g) of the Residential Care Homes Regulations Northern Ireland ( 2005).

A Notice of Proposal under Article 15-(1) of the Health and Personal Social Services (Quality Improvement and Regulation) (Northern Ireland) Order 2003 was issued to cancel the registration of Mrs Joyce McKinney as Registered Manager.

### **1.2 Actions/Enforcement Resulting from this Inspection**

During the inspection a number of concerning matters arose relating to how the registered persons were managing the finances of residents.

These matters have been referred to the Northern Health and Social Care Trust under the Adult Safeguarding arrangements.

In accordance with RQIA's Enforcement Policy, RQIA wrote to the registered persons and outlined the intention to serve notices of failure to comply with the Residential Care Homes Regulations (Northern Ireland) 2005.

The registered persons and a representative of the registered persons attended a meeting with RQIA on 5 May 2015.

In light of the inspection findings and discussions held with the registered persons and their representative, RQIA issued the registered persons with two notices of failure to comply with the Regulations, in respect of Regulation 19 (2) and Regulation 14 (4) of the Residential Care Homes Regulations (Northern Ireland) 2005.

The timescales for compliance and actions required to comply with these regulations are outlined within the notices FTC/RCH/1710/2015-16/01 and FTC/RCH/1710/2015-16/02, and within the Quality Improvement Plan accompanying this report.

### 1.3 Inspection Outcome

	Requirements	Recommendations
<b>Total number of requirements and recommendations made at this inspection</b>	17	1

The details of the QIP within this report were discussed with Mr Alex McKinney and Mrs. Joyce McKinney, registered persons, 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> Mr Alex McKinney and Mrs Joyce McKinney	<b>Registered Manager:</b> Mrs Joyce McKinney
<b>Person in Charge of the Home at the Time of Inspection:</b> Mrs Joyce McKinney	<b>Date Manager Registered:</b> 24 June 2013
<b>Categories of Care:</b> RC-LD, RC-LD(E), RC-PH, RC-PH(E)	<b>Number of Registered Places:</b> 13
<b>Number of Residents Accommodated on Day of Inspection:</b> 6	<b>Weekly Tariff at Time of Inspection:</b> £407.59 - £624.06 Permanent Tariff

### 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 persons and other members of staff
- 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
- Four 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 income received on behalf of three residents
- Records of purchases made on behalf of three residents
- Records of transport charges for three residents
- Authorisation forms for staff to make purchases on behalf of residents.

## **5. The Inspection**

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

The previous inspection of the home was an unannounced care inspection on 11 March 2015. The completed QIP had not been returned by the registered persons at the time of this inspection on 22 April 2015.

The finance inspector was not required to follow up on any outstanding matters as part of the care inspection.

### **5.2 Review of Requirements and Recommendations from the last Finance Inspection**

There was no previous finance inspection of this home by RQIA.

### **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 inspector examined the individual files for four residents. No individual written agreements were retained in any of the four files examined. Discussions with the registered persons established that no agreements were in place for any of the residents at the home. The registered persons could not provide an explanation as to why agreements were not in place with residents or their representatives. The inspector explained that as in line with regulation 5 of The Residential Care Homes Regulations (Northern Ireland) 2005, each resident must be issued with a written agreement detailing the terms and conditions for residing at the home.

A requirement has been listed within the QIP to this report in relation to this finding.

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

The registered person is the appointee for two residents at the home i.e. a person authorised by the Social Security Agency (SSA) to receive and manage the social security benefits on behalf of an individual.

The residents' files examined by the inspector contained written confirmation from SSA of the name of the staff member acting as an appointee for one of the residents. No written confirmation was retained in the remaining resident's file. The inspector also noticed that the registered person was the power of attorney for one other resident. No record of the financial arrangements for this resident was retained in their individual file.

All four residents' files examined during the inspection did not contain the financial arrangements for each resident.

There was no evidence at the time of the inspection of a policy and procedure in place to detail the arrangements where support is provided by the home to enable residents to manage their finances, including the procedure for staff at the home to act as an appointee or power of attorney on behalf of residents.

Requirements have been listed within the QIP to this report in relation to these findings.

#### **Is Care Compassionate?**

The four residents' files examined did not include written notification to residents or their representatives of any previous increases in the fees payable.

There was no evidence of residents, their representatives or representatives from the Health and Social care Trusts being involved and agreeing to the financial arrangements currently in place for each resident.

Requirements have been listed within the QIP to this report in relation to these findings.

## Areas for Improvement

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

- No individual written agreements issued to residents
- No written confirmation from SSA for staff member to act as appointee
- No written confirmation for staff member to be power of attorney
- No agreed financial arrangements in place for each resident
- No policy and procedure in place for supporting residents with their finances.

<b>Number of Requirements:</b>	<b>5</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?

Copies of remittances from Health and Social Care Trusts showing the weekly fee for each 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 contributed by, or on behalf of, the resident (if any).

Payments made on behalf of two residents for their contribution to their fee were examined. Records showed that the payment received from one resident's relative was less than the amount owed by the resident as indicated in the Trust remittance. No explanation could be given as to the reason for the shortfall.

The registered person informed the inspector that the amount received from the other resident's relative included four weeks of their personal allowance monies.

The inspector noticed that the income received for this resident was over and above the minimum amount of personal allowance paid to the resident. This additional amount was equivalent to the amount of savings credit paid as part of the personal allowance to certain individuals by SSA; this could not be confirmed by the inspector.

The registered person informed the inspector that this additional amount was agreed with the resident's relative for the purchase of certain items of food.

The inspector was concerned that no records were maintained of the additional monies received on behalf of the resident.

At a meeting at RQIA offices on 5 May 2015 the registered persons acknowledged that the foods in this case are not an additional treat purchased with personal allowance but a recognised part of the resident's daily food intake. As the registered persons receive payment from the Trust which includes full board, RQIA have requested that the registered persons refund the additional amount back to the resident.

No records were maintained of the social security benefits received on behalf of the residents for which the registered person acts as an appointee. The inspector was unable to reconcile the benefits paid directly into a bank account, in the name of the registered person, against one of the residents for which benefits were received.

There was no record of an agreement from residents, their representatives or a representative from The Health and Social Care Trust for residents' benefits to be paid into a bank account in the name of the registered person.

There was no record of the benefits received on behalf of the resident the registered person is power of attorney. Discussions with the registered person established that resident's relative receives the benefits and pays the resident's contribution towards their fee from these benefits. The registered person also informed the inspector that the relative retains the resident's personal allowance monies.

The inspector was concerned that no explanation could be given for the resident's relative receiving the benefits when the registered person is responsible for receiving the benefits as power of attorney. The inspector was also concerned that this issue was not raised with the Health and Social Care Trust as a potential safeguarding issue.

Requirements have been listed within the QIP to this report in relation to these findings.

### **Is Care Effective?**

Records did not show the amount of benefits received by the registered persons being retained for payment towards the residents' fees. There were no records of the personal allowance monies (including mobility monies) paid over to residents following the deduction from benefits for their fee.

The inspector was concerned that the registered persons were unable to confirm if additional benefits for Christmas bonus and fuel allowance were received on behalf of residents for which the registered person acts as an appointee and power of attorney.

Purchases made on behalf of residents by staff were examined by the inspector. Individual transaction books are maintained which gives details of the purchases undertaken on behalf of residents. The inspector examined a number of transaction books, each entry had the date of the purchase, the details and amount of the purchase. Two signatures were also recorded against each entry.

It was noticed by the inspector that these books were implemented by the registered persons from January 2015. Prior to this date a different system was used to record purchases made on behalf of residents.

The inspector was concerned with the recording of purchases prior to January 2015. There was one entry for each type of purchase which gave the total purchased for the month e.g. toiletries. The absence of the details for each individual purchase resulted in the inspector having difficulty reconciling receipts with the corresponding purchases. The inspector was also concerned that all entries prior to January 2015 were recorded in pencil.

The inspector was concerned that no records were maintained of the purchases made on behalf of the resident the registered persons received the additional amount of personal allowance. The inspector was unable to determine the amount spent from the additional monies or the balance remaining following the purchase.

Written authorisation from residents' relatives for staff to make purchases on behalf of residents was available. It was noticed that not all of the items purchased by staff were included in the list.

Requirements have been listed within the QIP to this report in relation to these findings.

### **Is Care Compassionate?**

There was no evidence of the arrangements for the registered person to act as an appointee or power of attorney being discussed with the residents, their representatives or a representative from the Health and Social Care Trust.

The inspector was concerned that the registered person was unaware of their responsibilities for acting as an appointee for two residents and power of attorney for another resident. The inspector recommended that the registered persons contact the Health and social care trust to request that the Trust consider taking over these responsibilities.

Requirements and one recommendation have been listed within the QIP in relation to these findings.

### **Areas for Improvement**

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

- No records of income received on behalf of residents
- Use of resident's personal allowance monies
- Residents'; benefits paid into bank account in registered person's name
- Potential safeguarding issue
- Responsibilities as appointee and power of attorney.
- Training of staff in relation to safeguarding of residents' finances

<b>Number of Requirements:</b>	<b>8</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 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 is provided within the home for the retention of monies and valuables belonging to residents. The inspector examined monies held on behalf of four residents, the amount retained agreed to the balance recorded at the home for each resident. The inspector was satisfied with the controls around the physical location of the safe place and the staff members with access.

Records showed the personal allowance received each week by the registered persons on behalf of residents which were recorded in the residents' transaction books. As previously mentioned a requirement is listed within the QIP for the additional amount of personal allowance received for one resident to be recorded in their transaction book.

Reconciliations of the monies held on behalf of residents are undertaken twice daily. The record is signed by the staff member undertaking the reconciliation and countersigned by the registered person.

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

No written finance arrangements were in place in respect of the assessed needs of each resident. As mentioned previously in this report a requirement is listed for the financial arrangements for each resident to be included in their individual agreement.

Discussions with the registered persons established that residents are provided with all the furniture within their rooms. The registered persons informed the inspector that they also provide a television in each room.

#### **Is Care Compassionate?**

As previously mentioned in this report one resident for whom the registered person is power of attorney was not receiving their weekly personal allowance. A requirement is listed within the QIP for this issue to be addressed with the Health and Social Care Trust.

#### **Areas for Improvement**

A number of issues were identified during the finance inspection in relation to the delivery of safe, effective and compassionate care. The issues identified in this area have been addressed under statements 1 and 2 of this report.

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

Discussions with the registered persons established that a minibus is used to transport residents to hospital appointments and other outings. The bus is owned by the registered persons.

The registered persons informed the inspector that the full mobility monies for residents for whom they act as appointee and the mobility monies forwarded to the home from the Trust are retained as payment towards the above journeys.

The inspector was concerned that no agreements were in place between the registered persons and residents, or their representatives, detailing the terms and conditions of providing transport to residents.

The inspector could not establish if residents were charged a reasonable rate for transport as no records were maintained of the annual running costs of the minibus and the actual miles incurred for the journeys undertaken.

Requirements have been listed within the QIP to this report in relation to these findings.

## **Is Care Effective?**

No records were maintained of the journeys undertaken by residents, including the destination, the date of the journey and the number of miles incurred.

There was no transport policy in place at the time of inspection.

Requirements have been listed within the QIP to this report in relation to these findings.

## **Is Care Compassionate?**

There was no evidence that the needs and resources of residents were considered when applying the charge for using the minibus. There was also no evidence that residents or their representatives had the opportunity to opt out of using the minibus.

RQIA have requested that the registered persons, in conjunction with the Health and Social Care Trust, undertake a review to ascertain if residents have been appropriately charged for using the minibus and to identify any overpayments made. RQIA have also required the registered provider to forward the outcome of the review to RQIA with an acceptable proposal for any repayments.

Requirements have been listed within the QIP to this report in relation to these findings.

## **Areas for Improvement**

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

- Retention of residents' full mobility monies as payment for using minibus
- No agreements in place for transport charges
- No record of annual running costs of minibus to establish rate per mile
- No record of journeys undertaken by residents

<b>Number of Requirements:</b>	<b>4</b>	<b>Number of Recommendations:</b>	<b>0</b>
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## 5.7 Additional Areas Examined

No additional areas were examined during the inspection.

## 6 Quality Improvement Plan

The issue(s) identified during this inspection are detailed in the QIP. Details of this QIP were discussed with Mr Alex McKinney and Mrs. Joyce McKinney, registered persons 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, 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) (b)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> 30 June 2015.</p>	<p>The registered person must provide an individual 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 agreement should detail the charges for any additional services provided at the home e.g. hairdressing.</p> <p>Agreements should be signed by the resident or their representative (if resident lacks capacity to make decisions in relation to the agreement) and a representative from the home. Where a resident or their representative is unable or chooses not to sign this must be recorded.</p> <p>Where a Health and Social Care Trust managed resident does not have a representative to sign the agreement, the resident's agreement should be shared with a representative from the Trust.</p> <p>Copies of the signed agreements must be retained within residents' files.</p>
	<p><b>Response by Registered Person(s) Detailing the Actions Taken:</b></p> <p>An individual written agreement was given to each resident and their representative, the agreement detailed charges for additional services and complied with all relevant regulations.</p> <p>Agreements were signed by each residents and each residents representative.</p> <p>Copies are kept in each residents file.</p>
<p><b>Requirement 2</b></p> <p><b>Ref:</b> Regulation 19 (2)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> As per FTC Notice FTC/RCH/1710/2015- 16/01: 6 July 2015.</p>	<p>The registered person must ensure that records of the agreed financial arrangements are in place for each resident at the home. The arrangements must include:</p> <p>the agreed arrangements for the registered manager to act as the residents' appointee and authorisation for residents' benefits to be paid into a bank account in the name of the registered manager.</p> <p>The agreed arrangements for the registered manager to act as power of attorney for one resident, including the arrangements for receiving the resident's benefits.</p> <p>The financial arrangements must be agreed with the residents' representatives and a representative from The Health and Social Care</p>

	<p>Trust.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b>  A written agreement was put in place for the register manager to act as appointee and in one case power of attorney. The agreement also stated the register manager had authorisation to have any benefits paid into her bank account.  Copies are kept in each residents file.</p>
<p><b>Requirement 3</b></p> <p><b>Ref:</b> Regulation 19 (2)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b>  As per FTC Notice  FTC/RCH/1710/2015-16/01: 6 July 2015.</p>	<p>The registered person must ensure that written confirmation is obtained from The Social security Agency of the name of the person at the home acting as appointee for the resident identified during the inspection.</p> <p>The registered person must ensure written confirmation is obtained from the Office of Care and Protection for the registered person to act as power of attorney for the resident identified during the inspection.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b>  Letters were sent to all relevant benefit agencies requesting copies of each residents BF56 or written confirmation that the registered manager was acting as appointee.  Letter was also sent to the Office of Care and Protection requesting confirmation the registered manager was acting as power of attorney for one resident.  Copies have been kept in each residents files.</p>
<p><b>Requirement 4</b></p> <p><b>Ref:</b> Regulation 19 (2)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b>  30 June 2015</p>	<p>The registered person must ensure that the financial policies and procedures operated at the home are updated to include the arrangements to support residents to manage their finances, including the procedure for staff at the home to act as an appointee or power of attorney.</p> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b>  Financial policies and procedures were updates accordingly.</p>
<p><b>Requirement 5</b></p> <p><b>Ref:</b> Regulation 5 (2) (a)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b>  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><b>Response by Registered Person(s) Detailing the Actions Taken:</b>  Letter has been drafted and will be used as and when needed to inform residents representative of any increase in fees.</p>

<p><b>Requirement 6</b></p> <p><b>Ref:</b> Regulation 19 (2)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> <b>From the date of inspection</b></p>	<p>The registered person must ensure that all monies received on behalf of residents are recorded. The record must be signed by the resident or their representative and a member of staff at the home. Where the resident or their representative is unable to sign or chooses not to sign, two members of staff should sign.</p> <hr/> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b> All monies received are recorded in each resident's monies book and signed by two members of staff or when possible a member of staff and the resident. These books are checked at each handover.</p>
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<p><b>Requirement 7</b></p> <p><b>Ref:</b> Regulation 19 (2)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> As per FTC Notice FTC/RCH/1710/2015- 16/01: 6 July 2015</p>	<p>The registered person must ensure that the additional amount of personal allowance received on behalf of the resident, identified during the inspection, is refunded from when the registered person commenced receiving the monies.</p> <p>A record of the resident or their representative, acknowledging receipt of the refund must be retained.</p> <p>The Health and Social Care Trust should be informed of the amount refunded to the resident.</p> <hr/> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> The identified additional personal allowance received was refunded to the residents representative. A signed copy of the receipt was retained for file and the Health and Social Care Trust was informed via email.</p>
<p><b>Requirement 8</b></p> <p><b>Ref:</b> Regulation 14 (4)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> As per FTC Notice FTC/RCH/1710/2015- 16/01: 6 July 2015</p>	<p>The registered person must ensure that a record is maintained of the social security benefits received on behalf of residents. The record must show the amount being retained by the registered person for payment of fees. The record must also show the amount of personal allowance monies (including mobility monies) paid over to residents following the deduction for fees.</p> <hr/> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> A record for each resident has been put in place detailing the date and amount of each benefit received. The record also shows the amount being retained for fees and the amount of personal allowance monies paid over to each resident after the deduction of fees.</p>
<p><b>Requirement 9</b></p> <p><b>Ref:</b> Regulation 14 (4)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> As per FTC Notice FTC/RCH/1710/2015- 16/02: 6July 2015</p>	<p>The registered person must ensure that the designated vulnerable adults officer at the Trust is informed, in writing, of a potential safeguarding issue in relation to personal allowance monies for a resident being retained by their relative.</p> <p>The registered person, as power of attorney, must contact the Office of Care and Protection and the Social Security Agency, in writing, informing them that they do not receive benefits on behalf of the resident.</p> <hr/> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> The designated vulnerable adults officer at the Trust was informed of the potential safeguarding issue in relation on one residents personal allowance money. The register person made them aware that as power of attorney they did not receive all of the named residents benefits and that two of the clients family members were in receipt of benefit for the resident also. The relevant benefit agencies were informed.</p>

<p><b>Requirement 10</b></p> <p><b>Ref:</b> Regulation 19 (2)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> As per FTC Notice FTC/RCH/1710/2015- 16/01: 6 July 2015</p>	<p>The registered person must ensure that records of benefits received on behalf of residents are reviewed (as far back as records allow) to identify if additional benefits such as Christmas bonus and fuel allowance were received. Any amounts of additional benefits received must be paid over to residents.</p> <hr/> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b> Records were reviewed back to April 2012 and all additional benefits received were noted and paid over to the residents.</p>
<p><b>Requirement 11</b></p> <p><b>Ref:</b> Regulation 19 (2)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> <b>From the date of inspection</b></p>	<p>The registered person must ensure that all purchases made on behalf of residents are recorded.</p> <p>Receipts must be retained (were possible) from all purchases made on behalf of residents.</p> <p>Where a receipt is not available from a purchase, the record should be annotated to reflect this.</p> <p>Entries must not be recorded in pencil.</p> <hr/> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b> All purchases made on behalf of the residents are recorded in each residents personal allowance book and a receipt retained where possible. When it is not possible to get a receipt this is recorded in the book with a reason as to why. The books are signed by two members of staff. These books are checked at each handover.</p>
<p><b>Requirement 12</b></p> <p><b>Ref:</b> Regulation 19(2)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> <b>30 June 2015</b></p>	<p>The registered person must ensure that the written authorisation from residents' representatives includes all items purchased by staff on behalf of residents.</p> <hr/> <p><b>Response by Registered Person(s) Detailing the Actions Taken:</b> The registered manager has written authorisation from the resident's representative that staff can purchase items on behalf of each client. Copies are kept in each residents file.</p>
<p><b>Requirement 13</b></p> <p><b>Ref:</b> Regulation 14 (4)</p> <p><b>Stated:</b> First time</p>	<p>The registered person must ensure that agreements are in place between the registered person and the resident or their representative detailing the terms and conditions for using the transport scheme.</p> <p>The needs and resources of residents must be considered when</p>

<p><b>To be Completed by:</b> As per FTC Notice FTC/RCH/1710/2015- 16/02: 6July 2015</p>	<p>applying the charge for using the minibus. The agreement should include a provision for residents or their representatives to opt out of using the minibus.</p> <hr/> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> The registered manager has put in place a new transport policy and scheme complying with all relevant regulations. The charge for the minibus was determined by considering the costs of the minibus and the mileage. The residents were given the option of agreeing or opting out. The policy and scheme have been sent to the Trust for approval.</p>
<p><b>Requirement 14</b></p> <p><b>Ref:</b> Regulation 14 (4)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> As per FTC Notice FTC/RCH/1710/2015- 16/02: 6July 2015</p>	<p>The registered person must ensure that records are maintained of the journeys undertaken by residents including the date of the journey, the destination and the miles incurred.</p> <hr/> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> A travel log book is completed for each journey, detailing the name of the residents on the bus, from, to and mileage. The journey is then recorded in each residents individual travel book and the appropriate charges made depending on how many residents shared the journey.</p>
<p><b>Requirement 15</b></p> <p><b>Ref:</b> Regulation 14 (4)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> 30 June 2015</p>	<p>In order to ascertain if a reasonable charge is levied to residents, the annual running costs of the minibus should be retained at the home.</p> <p>The policy and Procedures must be updated to include the procedure for operating a transport scheme at the home.</p> <hr/> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> All running costs of the minibus are retained at the home and policy and procedures have been updated.</p>
<p><b>Requirement 16</b></p> <p><b>Ref:</b> Regulation 14 (4)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> As per FTC Notice FTC/RCH/1710/2015-</p>	<p>The registered person must ensure that a review is undertaken, with the Health and Social Care Trust, to ascertain that residents have been appropriately charged for using the minibus. The registered person must submit to RQIA an outcome of the review with an acceptable proposal for making repayments if any charges have been found to be inappropriate.</p> <p>Any transport scheme in place at the home must be fair, transparent and proportionate to the needs of the residents. The charges to</p>

16/02: 6July 2015	<p>residents for using the scheme must be equitable.</p> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> The register manager has sent all relevant documents on the transport policy and scheme to the Trust for approval and is waiting on a reply.</p>
<p><b>Requirement 17</b></p> <p><b>Ref:</b> Regulation 14 (4)</p> <p><b>Stated:</b> First time</p> <p><b>To be Completed by:</b> As per FTC Notice FTC/RCH/1710/2015- 16/02: 6July 2015</p>	<p>The registered person must ensure that relevant staff are adequately trained in the safeguarding of residents' finances including the procedure for raising potential safeguarding issues.</p> <p>A record must be retained confirming that members of staff received the training.</p> <p><b>Response by Registered Person(s)Detailing the Actions Taken:</b> All relevant staff have been trained in the safeguarding of residents finances including the procedure for raising potential safeguarding issues. A record has been retained confirming which staff members received the training.</p>

<b>Recommendations</b>			
<b>Recommendation 1</b>  <b>Ref:</b> Standard 15.2  <b>Stated:</b> First time  <b>To be Completed by:</b> 30 June 2015  <b>Registered Manager</b> <b>Completing QIP</b>	It is recommended that the registered person contacts the Health and Social Care Trust to request that the Trust considers taking over the responsibilities of appointee and power of attorney for residents.		
	<b>Response by Registered Person(s) Detailing the Actions Taken:</b>		
	The registered manager has contacted all relevant benefit agencies and Health and Social Care Trust confirming she does not wish to act as appointee for any of the residents, the register manager requested the Trust take over the responsibilities and as of June 2015 the Trust is now acting appointee for all of the residents. The manager and the Trust is still waiting on confirmation from one benefit agency regarding one resident.		
<b>Registered Person Approving QIP</b>	Joyce McKinney	<b>Date Completed</b>	31/08/2015
<b>RQIA Inspector Assessing Response</b>	Joe McRandle	<b>Date Approved</b>	15/09/15

*\*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\**

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.