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| **Key line of enquiry** |

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| **Key line of enquiry**  **CQC Visit Checklist** | **Potential Prompts & Questions that CQC may ask** | | **Narrative/Evidence** |
| **SAFE**  People are protected from abuse\* and avoidable harm.  \*Abuse can be physical, sexual, mental or psychological, financial, neglect, institutional or discriminatory abuse. | | | |
| Does the practice have a positive culture of safety, where all staff are able to raise concerns, safety incidents and near misses and lessons are learned and shared and improvements are made when things go wrong? | * Do staff understand their responsibilities to raise concerns & to report them internally and externally where appropriate? * **Does the practice have a policy for reporting incidents/raising concerns?** * **Is the policy in date & is there evidence it is reviewed regularly** * **Ask a member of staff what they would do if an incident occurred** * **Ask staff where to find the policy** * Does the practice report near misses as well as actual harm and non-patient safety incidents * Are there specific forms to fill in for Significant Events/Incidents * Is there a culture of no-blame learning or do staff seem reluctant to report incidents? * **Where are incidents discussed & how is learning cascaded?** * **Ask for evidence of procedures / activities that have changed following a Significant Event Analysis** * Are medical, nursing and non-clinical incidents discussed with all staff in the same forum or are they separated? * **Is learning documented in a minuted meeting with any actions being taken?** * Does the practice share learning with other practices or the CCG? * **Ask how many Significant Events/Incidents the practice has reported in the past 12 months – does this seem a reasonable number for the list size?** * Has the practice participated in the SafeQuest Safety Culture survey and discussed the results? * **Is there a process for monitoring & discussing CAS & Patient Safety Alerts?** * **Can the practice show evidence of actions carried out in response to alerts?** * **Look at an incident or complaint to see if people are given an apology and informed of any actions when things go wrong** | |  |
| Are there reliable systems, processes and practices in place to keep people safe and safeguarded from abuse and are all staff appropriately trained in them?  **Safeguarding adults and children arrangements**  **Medicines Management arrangements**  **Infection & HCAI arrangements** | * **Does the practice have suitable risk assessments e.g. fire, health & safety, legionella?** * **Check that all of all the recommendations have been implemented** * **Ask when the last fire drill was carried out** * **Has all equipment had electrical checks & is all clinical equipment calibrated (annual)?** * Do all appropriate staff, including locums have an enhanced DBS check? * **Ask to see up to date records of staff vaccinations & immunity e.g. Hep B** * **Ask staff if they have been offered the annual influenza vaccine by the practice?** * **Is there a training matrix for induction & the ongoing training needs of staff?** * Does the practice have a record of all current staff training? * **Check that the correct training is offered, that the practice has specified how often staff are to receive training & that all staff are in date** * **Are there Safeguarding policies for Children and Adults? Are they in date?** * **Do staff understand their responsibilities & adhere to safeguarding policies & procedures?** * **Ask staff to clearly articulate how to make a referral to children/adult social care** * **Ask staff who they would contact if their concerns are not being addressed or if they are unclear what to do** * **Ask staff who the designated leads for safeguarding children and adults are at the practice** * **Ask staff how they code Looked After Children, safeguarding children and vulnerable adults etc** * Are all GP’s trained to Safeguarding level 3 for both adults and children? * **Have all staff received appropriate training in safeguarding – check the practice records** * Are there clear notices displayed advising patients around the use of chaperones * Are all chaperones trained for the role and subject to a DBS check? * **Look in consulting/treatment room drawers/cupboards to ensure all medicines are locked away** * Does the practice audit all emergency drugs at least monthly, including those in GP bags? Are they all in date (and syringes)? * **Check that the vaccine fridges kept locked or in secured rooms** * **Check that the temperatures on the vaccine fridges are monitored daily with a high/low thermometer & recorded & that variations are acted on** * **Look to see if the practice stores paper records in a secure place non-accessible to the public?** * **Does the practice have a trained & active IPC Lead?** * **Has an audit on infection prevention been undertaken in the last year?** * **Where are the actions from the audit discussed & have they been completed?** * **Is there an in date infection control policy, covering: Hand hygiene, PPE, Isolation, Sharps & Splash Injury, Cleaning, Spillages etc.** * **Ask staff where to find the policy** * Does the practice look clean & tidy? – check tops of cupboards, shelves & rails for high dust * Is the fabric of the building well maintained (holes, marks, chips)? * **Check to see that the waste area & clinical waste bins are locked & inaccessible to the public** | |  |
| Are potential risks to individuals and the service assessed, anticipated and mitigated to maintain safety? | * Are clinics cancelled to accommodate annual leave? * Are staff trained to be multi-skilled to minimise absence impact? * **Are staffing rotas regularly reviewed to ensure sufficient cover & skill mix?** * Is there a first aid kit in the practice? * **Check the resuscitation equipment to ensure daily checks & all in date (inc. pads)** * Does the practice have a system to alert staff to emergencies e.g. instant messaging system on computers? * Have all staff received basic life support training? * Is there evidence of flexible staffing * **Check (e.g.) there is increased staffing for post bank holiday demand (including admin staff)** * Does the practice have a business continuity plan for major incidents e.g. power outage? * How would the practice contact staff in the event of a major incident? | |  |
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| **Medicines Management Supplementary** | * Is the practice prescribing antibiotics using the local Community Guidance as primary guidance? * **Check for evidence of staff accessing this guidance** * If the practice is above the national /CCG average for antibiotic prescribing, what actions have the practice taken to address this? * Does the practice undertake regular prescribing audits? * **Check to see if prescription pads are left in printers unsupervised / in unlocked rooms** * Is there evidence of GP’s signing scripts on the recommendation of non-prescribing nurses? * Does the practice have a robust system for monitoring patients on warfarin (and other high risk drugs)? * Does the practice prescribing lead attend CCG Medicines Optimisation meetings? * **Ask staff what has been fed back from the MO meetings** | |  |
| **Infection Control Supplementary** | * Has the practice published its annual infection prevention statement? * **Is there a water safety (legionella) risk assessment done by the practice or landlord within the last 3 years** * How does the practice monitoring its domestic cleaning? * **Look to see if there is evidence of any clinical procedures (joint injections, smears, phlebotomy) being done in rooms with carpets?** * **Is their access to a hand wash sink in every clinical room?** * **Is there a clinical waste (orange or yellow) & domestic waste (black) bin in every clinical area?** * **Are there posters on appropriate waste segregation?** * **Is there guidance for sharps bins on appropriate colouring coding?** * **Are all cytotoxic/cytostatic medicines disposed of in purple lidded sharps bins?** * **Are all sharps bins labelled with the date, person assembling & closing and practice on them?** * **Is the waste storage area clean?** | |  |
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| **Key line of enquiry** | **Potential Prompts & Questions that CQC may ask** | | **Narrative/Evidence** |
| **EFFECTIVE**  People’s care, treatment and support achieves good outcomes, promotes a good quality of life and is based on the best available evidence. | | | |
| Do people have their care needs assessed, planned and delivered in line with evidence-based guidance, standards and best practice? | * **Does the practice have a process to receive and note new NICE or national/local guidance?** * **Does the practice have regular education sessions for staff where the latest guidance is discussed?** * Do these sessions include all clinical staff, not just doctors? * **Can the practice give an example of a practice change related to NICE or national/local guidance?** * **Ask to see any audits or risk assessments around new guidance and its use in consultations** | |  |
| How are people’s care and treatment outcomes monitored and how do they compare with similar services? | * Does the practice use QOF data to monitor performance and outcomes? * **Is the practice an outlier for any QOF performance indicators? – If so, ask why and what the practice are doing about this** * Does the practice audit minor surgery complication rates or contraceptive coil failure rates? * Does the practice undertake other audits (e.g. TARGET) that show quality improvement? * **Ask to see an audit and the outcomes / improvements arising from it** | |  |
| Do staff have the skills, knowledge and experience to deliver effective care and treatment | * **Is there a documented induction process for new staff?** * **Ask to see the induction checklist to ensure that it is detailed and completed for the last inducted member of staff** * Does the staff induction apply to GPs and locums, as well as other staff? * **Ask to see the programme of ongoing training and frequencies** * **Ask the practice to show who has received mandatory training** * **How often are appraisals performed and by whom?** * **Ask to see the practice record of appraisals - have all staff have had one in the last 12 months?** * Is there 1:1 support or clinical supervision for staff? * Are there regular education meetings for staff e.g. M&M’s? * Is there role specific training e.g. vaccination / taking samples for the cervical screening? * Does the practice use ANP’s / Nurse Prescribers to run specialist clinics to increase choice and reduce pressure on the practice? * Does the practice have identified lead roles for all clinicians for the management of chronic conditions? | |  |
| How is care delivered in a coordinated way and information shared effectively? | * **Does the practice have a suitable computer system which includes patient records, results and access to forms, leaflets and resources?** * **Check staff have access to NHS information leaflets** * Does the practice operate a virtual wards scheme or MDT? * **Ask the practice to show how they keep care plans regularly reviewed and updated** * How does the practice follow-up patients recently discharged from hospital? * Does the practice have specific schemes for complex patients? * Does the practice operate any additional preventative schemes e.g. falls prevention? | |  |
| Is people’s consent to care and treatment always sought in line with legislation and guidance? | * Is there a framework for gaining written or verbal consent prior to procedures? * **Ask staff their understanding of Gillick Competence and Frazer guidelines when seeking consent from children under 16 years of age.** How is this process recorded? * **Ask staff how and whether they establish parental responsibility when consenting children for procedures e.g. vaccinations** * **Ask staff how they assess capacity –** *(assume capacity, if capacity is in doubt, can they describe the CURB test (Communicate (C) Can the person communicate their decision? • Understand (U) Can they understand the information given to them? • Retain (R) Can they retain the information given to them? • Balance (B) Can they balance, weigh up or use the information)?* * Does the practice help patients to plan ahead when diagnosed with long-term condition *(Lasting Power of attorney / Advance decisions / identifying life story / patient passport information (e.g. This is Me, - for person with dementia / My health passport – for person with LD)?* * **Ask a GP about ‘Best Interest Decision-making’ – do they understand it is a team process?** * Does the practice keep a list of patients with a Deprivation of Liberty Standards (DoLS) in place? * **Ask staff to describe their understanding of Restrictive Physical Intervention’ and ‘Therapeutic Holding’ for children undergoing procedures** | |  |
| How are people supported to live healthier lives? | * **Ask how the practice identifies patients in need of extra support? e.g. last 12 months of life, carers, those at risk of developing a long-term condition, smokers, recently discharged patients** * Does the practice offer onsite advice/services (e.g. dietary, dementia screening, carers advice packs, smoking cessation) * **Ask staff where they would refer patients to for the above if not offered in-house** * Is the practice performance for cervical screening / childhood immunisations / flu vaccine rates for the over 65’s and at risk groups in line with the CCG and national average? * What is the practice performance for health checks (new patients / NHS health checks (40–74yr)? | |  |

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| **CARING**  Staff involve and treat people with compassion, kindness, dignity and respect. | | |
| Are people treated with kindness, dignity, respect and compassion while they receive care and treatment? | * **Observe members of staff, do they behave in a respectful manner?** * **Have staff received equality and diversity and customer care (or equivalent) training?** * **Check if any of the complaints to the practice relate to staff attitude or behaviour** * **Are staff supportive and sensitive to individual’s needs – for example reception staff offering patients a private room to discuss sensitive needs?** * **Does the practice use music in the waiting room to protect patient’s confidentiality?** * **Ask patients if they feel the practice treats them with respect and dignity?** * **Ask a member of staff if they are happy to raise concerns about disrespectful behaviour?** * **Who would they raise the issue with?** * **Are there curtains around examination couches or a policy of locking doors?** * **Can anything be overheard in the waiting room(s)?** * **Are there prominent signs offering chaperones** * **Is there a private area identified at reception for patients to raise confidential issues?** * **Do receptionists/triage answer phones in the main reception area within earshot of patients?** | Relevant Patient Survey Data   * Find the receptionists at this surgery helpful * Last GP they saw or spoke to was good at giving them enough time * Confidence and trust in the last GP they saw or spoke to * Last GP they saw or spoke to was good at treating them with care and concern * Last nurse they saw or spoke to was good at giving them enough time * Last nurse they saw or spoke to was good at treating them with care and concern * Confidence and trust in the last nurse they saw or spoke to * Describe their overall experience of the practice as good |
| Are people who use services and those close to them involved as partners in their care and do they receive the support they need to cope emotionally with their care and treatment? | * **Ask a patient if they feel staff fully explain everything about their care / treatment / condition?** * **Does the practice involve patients in the development of care plans** – **check to see if care plans are signed by patients** * **What does the practice do if someone needs an interpreter?** * **Has the practice used sign language or other interpreters?** * **Ask a patient if they know what to do if they have more questions** * **How does the practice identify carers or veterans who need support? (at registration and on the list)?** * **If practices do identify carer’s, ask what do they do with this information** * **Does the practice display posters for support groups and organisations e.g. Cruse for bereavement support, Alzheimer’s society, cancer care self-help etc.** * **How do the practice manage families that have recently experienced a bereavement?** | Relevant Patient Survey Data   * Last GP they saw or spoke to was good at involving them in decisions about their care * Last GP they saw or spoke to was good at explaining tests and treatments * Last nurse they saw or spoke to was good at explaining tests and treatments * Last nurse they saw or spoke to was good at listening to them |

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| **RESPONSIVE**  Services are organised so that they meet people’s needs. | | |
| Are services planned and delivered to meet the needs of different patient groups and to help provide ensure flexibility, choice and continuity of care? | * **Are there male and female GP’s at all times to accommodate patient choice?** * **Does the practice offer extended early, late or weekend hours?** * **If not, is the practice participating in a local collaborative arrangement to offer extended hours to their patients and how do patients access this?** * **Are longer appointments available for people with learning disability or complex needs?** * **Ask how the practice manages vulnerable patients who miss appointments?** * **Ask if same day appointments are available for children and those with an urgent need?** * Are the nurses trained in the management of chronic conditions to offer clinics and health checks? * Does the practice provide onsite pregnancy checks / travel vaccines and contraception services (coils, implants)? * **Look to see if the practice is wheelchair friendly?** * **Look to see if there a disabled toilet?** * If some services are provided on an upper floor, is there a lift or are the services also available on the ground floor? * **Look to see if the reception desk at a suitable height for wheelchair users?** * **Do patients have online access to their medical records?** | Relevant Patient Survey Data   * Find it easy to get through to this surgery by phone * Usually get to see or speak to their preferred GP * Able to get an appointment to see or speak to someone the last time they tried * Last appointment they got was convenient * Describe their experience of making an appointment as good * Feel they don't normally have to wait too long to be seen * Satisfied with the surgery's opening hours    Send link |
| Can people access care and treatment in a timely way? | * **Ask patients how easy it is to get an appointment (routine and emergency) – can they get one when they need it?** * **Can patients get an appointment with the GP or Nurse of their choice?** * **Does the practice have online booking?** * **Are there sufficient appointments for the size of the practice (0.5 appointments per registered patient per month)?** * **Does the practice offer a ‘sit and wait’ clinic each day for routine appointments where patients can be seen on the day?** * **Does the practice use appointment cards and follow-up text messages to reduce DNA rates?** * **Ask patients if appointments run on time or more than 15 minutes late?** * **Ask the practice what the average and longest waiting time was in the last week for a telephone call back?** * **Does the practice operate a trained triage system?** * **Does the practice have a formal risk assessment for determining the urgency of home visits?** |  |
| How are people’s concerns and complaints listened and responded to and used to improve the quality of care? | * **Follow through a complaint to check for completeness, communication and outcome – are complaints fully investigated, responded to within timescales and apologies provided with learning points where appropriate?** * **Look to see if there is there prominent information on how to make a complaint on the website and in the practice** * **Ask a patient how they would go about making a complaint** * **Does the practice have a complaints policy with specified times for responding to complainants?** * **Are complaints forms readily available?** * **Are staff open to patients complaining?** * **Ask for an example of how the practice has changed due to feedback from a complaint** |  |

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| **WELL-LED** Leadership, management and governance of the organisation assures the delivery of high quality person-centred care, supports learning and innovation, and promotes an open and fair culture. | | |
| Is there a clear vision and strategy to deliver high-quality care and outcomes for people? | * What is the statement of purpose on the practice website? * Does this put quality at the heart of the service? * Can staff articulate the strategy and vision of the practice? * Did they help develop them? * **Ask staff how their roles influence/impact the practice strategy** |  |
| Do the governance arrangements ensure that responsibilities are clear and that risks are identified, understood and managed? | * Is there an overarching governance framework which supports the practice strategy? * **Is there a clear staffing structure with evidence of continuity and successional planning?** * Does the practice have suitable policies and procedures available to all staff? * Are there regular practice meetings to communicate the performance of the practice to staff? * **Ask to see the practices program of audit** * **Ask how the practice is supporting its nurses to revalidate** * **Ask how the practice identifies risks and where these are recorded and discussed** * **Ask staff members what they ‘worry about’ Does this correlate with the practice’s list of risks?** | Risk register |
| How does the leadership and promote good quality care? | * What is the atmosphere in the practice – are staff happy and motivated or discontented? –are the GP partners and PM approachable and visible? * Is there a clear leadership structure? **Ask who is the named lead for infection, safeguarding, complaints, information governance, medicines management etc.** * Do staff feel valued and respected? * Is there a culture of openness and transparency (e.g. when reporting & learning from mistakes)? |  |
| How are people who use the service, the public and staff engaged and involved? | * **Does the practice collect and use FFT data and look at NHS Choices?** * **Ask for examples of how this feedback has been used and changed practice** * **Does the practice support an active PPG?** * **Ask to see minutes of meetings and examples of PPG participation/feedback** * **How does the practice gather and use staff feedback?** * **Does the practice actively promote FFT?** * **Look to see if there are posters / feedback forms clearly displayed in the practice** * **Does the practice do ‘you said, we did’ feedback for patients?** |  |