

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0705	I would like to make a request to see a copy of the minutes, papers and agenda of the last three meetings of the Regulatory Governance Committee please.	21-Jan-16	22-Mar-16	Partial Disclosure	S31 (1)/(2)
0810	<p>i) Does CQC require regulated organisations to provide these lists of all serious incidents requiring investigation, in a form that allows cases to be cross checked against individual records, i.e. can patients be identified for the purpose of cross-checking?</p> <p>ii) If so, does CQC cross check these trust lists against individual records and does CQC check that all SIs on these lists have been investigated?</p> <p>iii) Did CQC obtain lists of all serious incidents requiring investigation before the inspections of the following trusts, and to what extent did CQC cross-check the trusts' lists of serious incidents against evidence that the serious incidents were investigated? Somerset Partnership NHSFT; Northamptonshire Healthcare NHSFT; Rotherham, Doncaster and South Humber NHSFT; Leicestershire Partnership NHSFT; Dorset Healthcare Partnership NHSFT; Derbyshire Healthcare NHSFT; Sheffield Health and Social Care NHSFT; Pennine Care NHSFT; Cambridgeshire & Peterborough NHSFT; West London Mental Health Trust; Sussex Partnerships NHSFT; Nottinghamshire Healthcare NHSFT</p> <p>2) In your reply you also advised: "We also consider death notifications from both sources mentioned i.e. CQC direct notifications and NRLS. However, due to the differing nature of how these incidents are recorded it is not possible to "cross-check" individual records." My understanding is that statutory, direct deaths notifications to CQC include a unique identifier for each patient (as per the CQC statutory notification forms: http://www.cqc.org.uk/file/4733 and http://www.cqc.org.uk/content/mental-health-notifications). However, CQC has advised in its reply that it does not cross check against any deaths notification data. Please can CQC advise why it does not cross check at least the cases that can be traced using the unique identifiers provided in statutory notifications (which in fact relate to the most serious incidents).</p>	29-Feb-16	09-Mar-16	Partial Disclosure	S12 (1)

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0816	At any time there will be a number of statutory inspections that have been carried out (with reference to the date or dates of the site visit) but for which the final report has not yet been published, referred to here as “unpublished reports”, whatever the interval between the inspection and publication of the report. 1. Please supply the number of such unpublished reports as at 1st April 2015. 2. Please supply the number of such unpublished reports as at 1st January 2016. I am interested in the overall numbers. If, additionally, the figures are readily available by sector then I would also request that breakdown.	02-Mar-16	02-Mar-16	Not Held	
0831	1. Please supply me with all correspondence between the dates of December 1st 2015 and February 3rd 2016, exchanged between CQC Chief Executive David Behan and any other member of the CQC board (including non-executive members), and discussing, referring to or mentioning in any way the Experts by Experience programme. This request includes correspondence that discusses, refers to or mentions the Experts by Experience in short or abbreviated form including (though not restricted to) Experts, EbyE etc. 2. Please supply me with all correspondence between the dates of December 1st 2015 and February 3rd 2016 exchanged between CQC Chief Executive David Behan and CQC Director of Engagement Chris Day discussing, referring to or mentioning in any way the Experts by Experience programme. This request includes correspondence that discusses, refers to or mentions the Experts by Experience in short or abbreviated form including (though not restricted to) Experts, EbyE etc.	03-Mar-16	04-Mar-16	Partial Disclosure	S43 (2)
0832	Please supply a full list of the registered providers and geographical location ID (eg postcode) whose ratings were so increased.	09-Mar-16	07-Mar-16	Full Disclosure	
0834	Request for information regarding financial accounting software.	10-Mar-16	01-Mar-16	Full Disclosure	
0836	With regard to our conversation my only interest is in any assurances supplied by Cambridgeshire Social Services in respect of their investigation into this matter.	11-Mar-16	11-Mar-16	Partial Disclosure	S40 (2)/(3)
0839	Please can you advise me of how I can view the report from The Old Rectory along with any responses and follow up documentation. The report would have been sent between the 3rd and 17th April 2015 despite the text above stating 2016.	25-Mar-16	04-Mar-16	Full Disclosure	

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0847	<p>I would like to know how IT is structured within your organisation in terms of:</p> <ol style="list-style-type: none"> 1. Who is the head of IT in terms of recruitment. 2. I would like a structure diagram of the IT team(s) including how many people work there, and the names of employees. 3. I would also like to know your recruitment process within IT, whether you use contractors and how much money is spent on recruiting both internally and from agencies. 	16-Mar-16	15-Mar-16	Partial Disclosure	S40 (2)/(3)
0848	<p>(1) Please provide details of the number of workers who have contacted you in relation to your duties as a prescribed regulator between the years 2011-2016. Please include the following details:</p> <ol style="list-style-type: none"> i. Whether each individual contacted you on an anonymous, confidential, or self identified basis ii. a brief summary of the types of concerns raised iii. If information was passed on to another regulator or local authority enforcement team please indicate this and specify whether the concern was monitored by you following referral. iv. In respect of both ii and iii above, please identify (if appropriate) whether any subsequent action was taken. <p>Information regarding the handling of whistleblowing concerns from vulnerable migrant workers:</p> <ol style="list-style-type: none"> (2) Please identify whether you have a policy/ policies for handling whistleblowing concerns received from migrant workers. (3) If the answer to the above is yes, please disclose your policies/ internal guidelines. (4) Please identify whether you have specific procedures for handling whistleblowing concerns received from migrant workers. (5) If the answer to the above is yes, please identify what these procedures are. (6) Please identify whether you are able to receive whistleblowing concerns in languages other than English. (7) If the answer is yes, please identify how your organisation would handle concerns raised in another language. 	16-Mar-16	04-Mar-16	Partial Disclosure	S12 (1)

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0849	I would like to see copies of all correspondence, including emails, between the Care Quality Commission and University Hospitals Birmingham NHS Foundations Trust, including those that the CQC has been copied into, relating to the results in cardiac surgery at UHB and the inspection the CQC undertook at the Queen Elizabeth Hospital in Birmingham in December. I would also like to see all correspondence, including emails, between the CQC and HQIP and the CQC and NICOR relating to cardiac surgery results at UHB NHS Foundations Trust - including those that the CQC may have been copied into.	17-Mar-16	17-Mar-16	Withheld	S31 (1)/(2)
0854	3.1 Explain the process for identifying and recruiting members to the governing body (CQC) 3.2 Describe the procedures for monitoring induction, training and on going development for newly appointed members to the governing body. (CQC) We are specifically looking at the recruiting and training of members of the board.	18-Mar-16	08-Mar-16	Full Disclosure	
0855	Can you please provide copies of any communication between CQC & Dorchester County Hospital detailing any and all CQC external regulatory visits, planned or unplanned, attended or cancelled between 1st October 2015 and 31st December 2015. This request is to include provision of a copy of any written communication (e-mail or letter) that specifically affected the "key stakeholder" and/or any of the Maternity Unit staff on the 30th November 2015?	21-Mar-16	15-Mar-16	Partial Disclosure	S40 (2)/(3)

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0863	<p>We request disclosure of:</p> <ol style="list-style-type: none"> 1. All documentation including, guidance, training notes, internal memoranda and proforma documents relating to the process followed by the CQC when a request is made from a Provider for a review of their rating awarded following an inspection. In terms of our reference to “process”, we refer to all steps taken by the CQC from the time a request for rating review is received through to final determination. 2. All documentation including, guidance, training notes, internal memoranda and proforma documents setting out the guidance to be followed by the rating review team in making a determination as to whether the request for rating review should be accepted. 3. All documentation including, guidance, training notes, internal memoranda and proforma documents defining what constitutes “the process for making ratings decisions and aggregating them” which the CQC states is amenable to review. 4. Details of the current number of people employed by the CQC in the Rating Review team. 5. The number of Rating Review Requests received for ACS services during the period 1 October 2014 to 31 January 2016. 6. In respect of request number 5, How many of the requests for review were concluded within a. 14 days? b. 30 days? c. 60 days? d. 90 days? e. 120 days? f. Greater than 120 days? (reference to days includes weekends – 14 days equates to 2 weeks) 7. How many of the rating reviews referred to at 5 above have been referred for consideration by an Independent Reviewer? 8. Please confirm the status, job description and position within the CQC of the persons appointed as an Independent Reviewer? 9. How many of the requests for rating reviews referred to at 5 above referred to an Independent Reviewer for consideration resulted in a change to the rating initially awarded to one or more domain? 10. How many of the requests for rating reviews referred to at 5 above referred to an Independent Reviewer for consideration resulted in a change to the overall rating? 11. How many of the rating reviews referred to at 5 above were determined without being referred to an Independent Reviewer, of these how many ratings were changed? 12. Any documentation produced by the CQC following any system review or analysis of the effectiveness of the Rating Review process? 13. How many complaints have been received relating to the Rating Review process? 	23-Mar-16	14-Mar-16	Partial Disclosure	S12 (1)

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0866	<p>I would like to request information surrounding the Experts By Experience procurement, in particular:</p> <ol style="list-style-type: none"> 1) Breakdown of the funds allocated to Remploy/Maximus for managing Experts By Experience 2) Whether inspectors and others on the ground during CQC inspections were involved in the process (ie. whether their opinion was sought). E-mails around this would be of use. 3) Whether Experts By Experience were involved in the procurement, if yes, how and relevant documentation (emails etc.) in relation to this. 4) E-mail correspondence of Rose Sibley & specifically any concerns raised. 5) E-mail correspondence of David Behan & specifically any concerns raised. 6) E-mail correspondence of Andrea Sutcliffe & specifically any concerns raised. 7) E-mail correspondence of Sir Mike Richards & specifically any concerns raised. 8) E-mail correspondence of Kay Sheldon & specifically any concerns raised. 9) E-mail correspondence of Paul Bate & specifically any concerns raised. 10) Information surrounding any complaints or suggestions received in relation to the procurement process. 11) Memorandums sent out internally to CQC staff relating to the Experts by Experience Procurement 12) Minutes or information of any meeting within the CQC surround the Experts by Experience procurement and/or difficulties in deploying Experts By Experience. 13) Information surround the cap on working hours by Experts by Experience (For example 30 hours cap on comprehensive inspections) - ie. How the decision was made and what information was taken into consideration 	29-Mar-16	03-Mar-16	Withheld	S12 (4)
0867	<p>I would like to make a request under the Freedom of Information Act. I would like to request all the relevant information, associated correspondence and e-mails relating to a recent inspection at the Queen Elizabeth Hospital Birmingham involving the cardio-thoracic department.</p>	29-Mar-16	07-Mar-16	Withheld	S31 (1)/(2)

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0869	<p>I am writing under the Freedom of Information Act 2000 to request details of breaches of the Data Protection Act within in your organisation; specifically I am asking for:</p> <p>1a. Approximately how many members of staff do you have?</p> <p>1b. Approximately how many contractors have routine access to your information?</p> <p>2a. Do you have an information security incident/event reporting policy/guidance/management document(s) that includes categorisation/classification of such incidents?</p> <p>2b. Can you provide me with a copy of the latest version of these document(s)? (This can be an email attachment or a link to the document on your publicly facing web site)</p> <p>3a. Do you know how many data protection incidents your organisation has had since April 2011? (Incidents reported to the Information Commissioners Office (ICO) as a Data Protection Act (DPA) breach) Answer: Yes, No, Only since (date):</p> <p>3b. How many breaches occurred for each Financial Year the figures are available for? Answer FY11-12: FY12-13: FY13-14: FY14-15:</p> <p>4a. Do you know how many other information security incidents your organisation has had since April 2011? (A breach resulting in the loss of organisational information other than an incident reported to the ICO, eg compromise of sensitive contracts or encryption by malware.) Answer: Yes, No, Only since (date):</p> <p>4b. How many incidents occurred for each Financial Year the figures are available for? Answer FY11-12: FY12-13: FY13-14: FY14-15:</p> <p>5a. Do you know how many information security events/anomaly your organisation has had since April 2011? (Events where information loss did not occur but resources were assigned to investigate or recover, eg nuisance malware or locating misfiled documents.) Answer: Yes, No, Only since (date):</p> <p>5b. How many events occurred for each Financial Year the figures are available for? Answer FY11-12: FY12-13: FY13-14: FY14-15:</p> <p>6a. Do you know how many information security near misses your organisation has had since April 2011? (Problems reported to the information security teams that indicate a possible technical, administrative or procedural issue.) Answer: Yes, No, Only since (date):</p> <p>6b. How many near-misses occurred for each Financial Year the figures are available for? Answer FY11-12: FY12-13: FY13-14: FY14-15:</p>	29-Mar-16	09-Mar-16	Full Disclosure	

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0870	I would like to receive a data-export of information that is on your website to obtain the ratings for all Care Homes only during the period 2010 to present. A. Organisation ID, B. Organisation Name, C. Organisation Status, D. Organisation Local Authority, E. Organisation Region, F. Organisation Post Code, G. Publication Date, H. Service, I. Domain, J. Rating, K. Type of Service, L. Specialisms/Services, M. Who Runs this Service, N. Accountable Person		31-Mar-16	Clarification/ID not Provided	S21 (1)
0871	I am looking to obtain: - Organisational chart inc. contact names (operational level) - Contractor/agency staff (non-clinical, non-medical) headcount - Contractor/agency staff (non-clinical, non-medical) recruitment spend 2015 - 2016 - Contractor/agency staff (non-clinical, non-medical) recruitment budget 2016 - 2017 - Contractor/agency staff price caps; rates to be applied at CQC - Maximum rate per hour / per day (excluding VAT) - Complete list of projects / programmes managed by	31-Mar-16	31-Mar-16	Full Disclosure	
0872	Regarding interim appointments to the National Guardian's Office: 1) Please may I have copies of the job descriptions for the three interim appointee 2) Please can you advise which organisation Will Flowers is coming from? 3) At what grade(s) have these interim appointments been made? 4) What experience do these three individuals have of whistleblowing? Lastly, please may I ask an additional question: How many whistleblowers were put forward for these interim posts and how many of these whistleblowers were not appointed?	24-Mar-16	02-Mar-16	Partial Disclosure	S40 (2)/(3)
0873	I should like to make a request in respect of North Hill Nursing Home , North Hill ,St Austell , Cornwall . Specifically , how many times you have received complaints about the home for the period 1 jan 2013 to 30 Aug 14, how many were with respect to the conduct of the senior and deputy charge nurse for the period above . names are not required	04-Apr-16	11-Mar-16	Partial Disclosure	S40 (2)/(3)
0880	Please can you supply me with a list of all the GP practices names, address, CQC id number and date registered on CQC.	06-Apr-16	07-Mar-16	Full Disclosure	S21 (1)

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0883	1. The South Western Ambulance Service Foundation Trust (SWAST) has admitted that there have been six 'serious incidents' connected to its 111 service last year in 2015. Please can you confirm a) How many of these incidents have been reported to the CQC, if any; b) The nature of the serious incidents; c) Did any individuals die as a result of the incidents? If so, please give details. D) Did any individuals sustain adverse health effects as a result of the incidents? If so, please give details. E) The ages of the individuals involved; f) What action was carried out by the CQC in response to these incidents, if any.	06-Apr-16	22-Mar-16	Neither Confirm or Deny	S31 (1)/(2)
0885	I would like to request under FOI correspondence (emails, letters etc.) between David Behan and Dame Eileen Sills in relation to the latter's decision to resign as National Guardian for the freedom to speak up.	06-Apr-16	31-Mar-16	Withheld	S40 (2)/(3)
0889	Request from a relative of a deceased individual asking if CQC were notified of the death of a relative in November 2015.	07-Apr-16	09-Mar-16	Full Disclosure	
0891	A recent written parliamentary answer by the Department of Health stated that 1,431 employees of the Care Quality Commission receive a car allowance. Please can you tell me, under the Freedom of Information Act: 1. Why these staff receive the car allowance? 2. What are the job titles of the staff receiving the allowance? 3. What is/are the value of the allowance/allowances? 4. What is the total annual cost to the CQC of the allowances?	07-Apr-16	15-Mar-16	Full Disclosure	
0899	RE Courtfield Lodge care home, Ormskirk. Incident on 23rd February 2016 I am enquiring if I can have access to the report to the CQC concerning this incident.	13-Apr-16	14-Mar-16	Partial Disclosure	S40 (2)/(3)

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0900	<p>Rose Brae Nursing and Residential Home Recent Inspection</p> <p>1. I would like to see the draft report for the Feb/Mar 2016 inspection of this home and also would like to know the names of the people that carried out the inspections.</p> <p>2. I would like to see the communications to and from this facility in particular letters sent during and following this inspection asking for urgent remedial action, the proposals given by the owner of the facility and the reasons that the CQC found these proposals unsatisfactory. But also any other communications pertinent to this situation.</p> <p>3. I would like to know what other options were explored before the decision was made to take action to force the closure of the home.</p>	12-Apr-16	21-Mar-16	Withheld	S31 (1)/(2)
0901	<p>If you hold these details, could you please provide me with the names and business addresses of all owners of dental practices (individuals, partnerships and corporate bodies) who currently have registered with the CQC between 10 or more dental practices?</p>	13-Apr-16	23-Mar-16	Full Disclosure	
0904	<p>1. During last year's CQC inspection of the South London and Maudsley how many Increasing Access to Psychological Therapy clinical staff (high intensity therapist and PWP) from each of the four IAPT services that they deliver did you meet with and interview?</p> <p>2. Which IAPT services were visited and inspected as part of the overall Trust inspection.</p> <p>3. What proportion of the inspection focused on IAPT services and what proportion on secondary services - you can express this however you like (eg inspection hours, number of inspectors allocated to each area) but please show how you have reached the figure?</p> <p>4. If one or more of the IAPT services were not inspected by the CQC what other mechanisms are there in place to ensure the IAPT services are effective, safe and spending money wisely?</p>	12-Apr-16	23-Mar-16	Full Disclosure	
0908	<p>Could you send me a spreadsheet of all the services rated by the CQC in Nottinghamshire (including Nottingham city), including their last inspection ratings.</p>	15-Apr-16	16-Mar-16	Full Disclosure	S21 (1)

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0910	Ref: 715263-0001 East Sussex Healthcare NHS Trust; CQC Inspection Report 2010/2011 - I would be grateful if you could provide me with a copy of the above report for the inspection of the ESHT	14-Apr-16	29-Mar-16	Full Disclosure	
0915	I would appreciate a copy of all the notes taken by the inspection team during the visit to my nursing home.	18-Mar-16	17-Mar-16	Partial Disclosure	S40 (2)/(3)
0916	I am looking for the annual spend for the PwC UK contract for internal audit services also can I have the contract dates for this please? can you provide the internal contact responsible from within the organisation for the contracts.	15-Apr-16	18-Mar-16	Not Held	

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0918	<p>I should be grateful if you would provide me with the following:</p> <p>1. For the period 1 January 2015 to 31 December 2015 in respect of NHS Trusts and NHS Foundation Trusts, (together, referred to below as “Trusts”):</p> <p>i. the number of draft CQC inspection reports issued to Trusts</p> <p>ii. The number of draft CQC inspection reports issued in relation to which the Trusts submitted a challenge under CQC’s Factual Accuracy Process (“Challenges)</p> <p>iii. In respect of the total number of Challenges made under ii. Above:</p> <p>a. The number of Challenges that resulted in revisions being made to the draft report</p> <p>b. the number of Challenges that resulted in changes to ratings, and if so to how many ratings, of the draft report</p> <p>c. the number of Challenges that were followed by a request for a CQC Ratings Review from the Trust</p> <p>iv. The names of the Trusts making up the numbers referred to in i., ii., iii.a., iiib. And iiic. Above</p> <p>2. For the period 1 January 2014 to 31 December 2014 in respect of Trusts:</p> <p>i. the number of draft CQC inspection reports issued to Trusts</p> <p>ii. The number of draft CQC inspection reports issued in relation to which the Trusts submitted a challenge under CQC’s Factual Accuracy Process (“Challenges)</p> <p>iii. In respect of the total number of Challenges made under 2 ii. Above:</p> <p>a. The number of Challenges that resulted in revisions being made to the draft report</p> <p>b. the number of Challenges that resulted in changes to ratings, and if so to how many ratings, of the draft report</p> <p>c. the number of Challenges that were followed by a request for a CQC Ratings Review from the Trust</p> <p>iv. The names of the Trusts making up the numbers referred to in 2 i., 2 ii., 2 iii.a., 2 iiib. And 2 iiic. Above</p>	15-Apr-16	24-Mar-16	Withheld	S12 (1)
0920	<p>A copy of a dossier was hand delivered in, approximately July 1993, to Herbert Laming, as Head of Social Services Inspectorate by lawyer John Trotter of Bates Wells and Braithwaite solicitors acting on behalf of Liz Davies, senior social worker in Islington 1986-1992. The dossier was around 100 pages and about the abuse of children in Islington Childrens Homes. Could you send me a copy of the dossier, redacted to protect victims names.</p>	20-Apr-16	23-Mar-16	Not Held	

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0922	Could you please provide me with a list of all Care Homes in England that have been rated as Inadequate from the beginning of the new regulation process (including pilot)	19-Apr-16	21-Mar-16	Full Disclosure	S21 (1)
0924	I have a query about the data used for a graph on page 94 of your latest annual report. We are publishing a research paper on primary care shortly and we would like to include this excellent graph, fully referencing the CQC of course. To do so, we would need the data so that we could recreate it in our own format. Would it be possible to point me towards where the data is published (or if it is not published, to simply send over the figures)?	19-Apr-16	23-Mar-16	Full Disclosure	
0927	Please could you tell me the annual funding received by the CQC from 2010 to date.	21-Apr-16	23-Mar-16	Full Disclosure	S21 (1)
0929	We are contacting you to inquire whether your institution can provide us with annual data on the number of foreign-trained physicians/doctors practising in the UK by country of training (i.e. country where doctors obtained their main degree or primary qualification) and by UK hospitals for the years 2008-2014. If you cannot provide such information, as a second best option the number of foreign-born physicians by area in the UK over the same period, would be satisfactory.	22-Apr-16	24-Mar-16	Not Held	
0930	Please would you send me a map of the directorate areas – your helpline do not seem to have access to geographical areas of cover for each area	22-Apr-16	24-Mar-16	Partial Disclosure	
0933	ref Prof Sir Mike Richards letter re Medway NHS 19//1/2016 to SoS The final paragraph of this letter contains the phrase "ensure the necessary contingency plans for alternative provision are in place." I am sure that such notice would not have been given without an analysis of its effects. Putting plans in place for the future of a major Hospital Trust could be an expensive exercise, please provide CQC's estimate of how much that sentence will cost the health economy	22-Apr-16	24-Mar-16	Not Held	
0938	I wish to know the death rate of residents at Safe Harbour Dementia Care Home, 1 Abbots Drive, Bebington CH63 3BW between April 2012 and January 2015. I also wish to know how the death rate at Safe Harbour compares with other dementia care home in Wirral during the same period.	26-Apr-16	30-Mar-16	Not Held	

Ref	Description	Deadline	Date of Disclosure	Outcome	Exemptions
0944	As of 31 March 2016 How many care homes in Bradford West Yorkshire are rated Requires improvement Inadequate How many care homes have been inspected in Bradford I have tried to see the information on the web site using the filter with ratings but it is not showing all or up to date information .	28-Apr-16	31-Mar-16	Full Disclosure	S21 (1)