CQC RPIR

NHS & Combined Trusts

Information & Metric Additional Guidance for Providers

This document provides guidance to the 'Universal Routine Provider Information Return (RPIR)' and the supporting rationale for each metric*

*metric in this instance may refer to a request for information or a free text question

Contents

Routine Provider Information Return
Introduction

This document provides a brief overview of the rationale for the information requested in your Routine Provider Information Request (RPIR), details which Key Line of Enquiry requests align to where relevant and provides detail on the type of information required for each individual requests. Further to this document detailed guidance is also included in the RPIR workbook itself.

The RPIR is sent to an organisation once annually and provides a providers view of their own quality, some quantitative and qualitative data and some contextual information around services provided or national data.

The RPIR It is formatted into four separate documents; firstly a universal PIR that all NHS trusts will receive and are required to complete and then three separate documents with additional requests relevant to either acute, community health or mental health trusts. As routine all trusts will receive the universal PIR and then additional components of the RPIR depending on which services which they provide (i.e. an organisation exclusively providing mental health services will receive the universal PIR and the PIR relevant to mental health only). Combined providers will receive a mix of these that matches their make-up.

The RPIR is formatted as Excel workbooks that contains a mixture of quantitative and qualitative questions that we would like you to answer, as well as a list of documents that we require you to submit. The workbooks allow CQC to gain a deeper understanding of the provider performance and the core services that it provides.

Please Note: We recognise not every organisation is structured the same way and so we have tried to adapt the PIR to be flexible enough to allow for this. However in instances where you are worried your structures make it difficult to complete the PIR please contact your named CQC contact as soon as possible to discuss. We have also included an appendix sheet which lists the definitions CQC methodology uses to determine which speciality sits under which core service. You may find it useful to use this to help you extract data.

Navigation
Guidance document – in the contents page the Press Ctrl on your keyboard and click on a heading to navigate to that section in this document.

RPIR workbooks - The workbook has a contents page which hyperlinks to all sheets. All sheets have a back button which hyperlink back to the contents page.

Data Sharing Agreement
We will share the data from the RPIR with NHS Improvement (NHSI) as part of our priority to promote a single, shared view of quality. We are also negotiating access to their data which will enable us to drop some questions from this document to avoid duplication of submission.

If there is anything you would not be happy for us to share with NHSI please do let us know.

Key Points

When completing your RPIR:
- For the universal RPIR you must fill in the type of trust in the drop down on the front sheet of the workbook in order to display relevant core services. For example Mental Health only trust or Acute and Community Health Services Combined.
- Time periods are included for all requests however please note the following:
  - Where we refer to the last 12 months we mean from the time you are filling in the workbook.
    - Where we mean financial year or year to date (YTD) this is specified.
    - When we ask for data monthly we would like month one (M1) to be 12 months ago and month 12 (M12) to be the most recent data.
- Examples are identified in red text in the workbooks as guidance.
- Cells for provider completion are highlighted in yellow.
- If something is not relevant to you, or you do not provide the service, please do not leave blank but respond with N/A. If you do provide the service but the answer is none then please input a 0. There should be no blank spaces.
- Where giving numerical data please use no more than one decimal place
- Please try and limit narrative answers to 250 words, or the limit designated. We recognise the word limits is tight and welcome brief high level responses, or even bullet points. These answers are a starting point for potential discussion or context around data we already hold so do not need to be exhaustive.
- Where we ask you to provide documents you do not always have to do this. We recognise you may not participate in all audits, collect the information we have asked for or in some instances a document may be impractical to send. In the box called 'Provided to CQC' please indicate whether you have provided documents or not and we will follow up as required.
- In sections where we ask for information by staff groups we use the standard ESR grouping specified by NHS Digital and have included a lookup to occupation codes in the appendix so you can map to your own data.
- There is a hidden sheet called 'no edit' sheet which feeds data into other sheets (for example the drop down boxes). Please do not amend this unless advised to do so by your CQC liaison.

When submitting documents:
- For all documents submitted please ensure that the appropriate RPIR ID indicated for each return is included as part of the file name (eg, P1 etc.) and is the first word in the document title. We request you use the following naming convention for files RPIR ID /trust ODS code/ Document name (eg, P69 RZZ Infection Control Report 2017).
- When returning documents please do not embed documents. We often have issues downloading these from our document storage system.
- If documents are password protected or coded please remember to tell us.
- Documents may be submitted in any commonly recognised office format (e.g. Word, Excel, PDF) but we ask that quantitative data is not submitted as a PDF so that we are able to analyse it.
- People often work off multiple versions of the workbook so that individual tabs can be completed by the relevant staff member and then compile into one to be submitted. However the workbook has drop down options auto populated and other formatting which will be impacted by this. It is better to paste answers back into the relevant tabs otherwise you will lose the formatting which is designed to assist you.
- Please refer to the accompanying letter for instructions on how to submit your completed PIR workbook and any related documents via our online portal.

Universal Information Requests

Context

Beds /wards

RPIR ID	P1
KLOE Heading	N/A
KLOE prompt	N/A
Guidance	Some brief headline figures around inpatients beds, service locations and admission figures.
Time Period	Current

Sites

RPIR ID	P2
KLOE Heading	N/A
KLOE prompt	N/A
Guidance	A detailed list of all provider sites and locations, services provided and contact details. We have colour coded the section that needs to be returned before the rest of the PIR. This will help us assist you to map your data to CQC core services.
Time Period	Current

Trust self-assessment of ratings

RPIR ID	P3
KLOE Heading	N/A
KLOE prompt	N/A
Guidance	An opportunity for trusts to give their own assessment of how they feel they perform against CQC's ratings.
Time Period	Current

Trust quality statement

RPIR ID	P4
KLOE Heading	N/A
KLOE prompt	N/A
Guidance	An opportunity for a trust to comment on improvement since last inspection, outstanding practices and their own view of quality.
Time Period	Current

Context of Pharmacy Services

RPIR ID	P5
KLOE Heading	N/A
KLOE prompt	N/A

Guidance	Comment on contextual information about any pharmacy services provided by your trust, or contracted services – please specify.
Time Period	Current

Staff diversity

RPIR ID	P6
KLOE Heading	N/A
KLOE prompt	N/A
Guidance	If this information is contained within the Workforce Race Equality Standard (WRES) report submitted then this tab may be left blank. If the WRES report does not have this level of detail please fill in the tab.
Time Period	Current

Safety

Equipment Maintenance

RPIR ID	P7
KLOE Heading	How do systems, processes and practices keep people safe and safeguarded from abuse?
KLOE prompt	S1.10
Guidance	An overview of how assurance is reached about equipment maintenance and what the current priorities are. This relates to all trust equipment.
Time Period	Current

Complex needs

RPIR ID	P8
KLOE Heading	How do systems, processes and practices keep people safe and safeguarded from abuse?
KLOE prompt	S1.2
Guidance	In this area we have picked some patient types with complex needs and would like to know what flagging and assessment processes are in place for these individuals to keep them safe and how you audit their care.
Time Period	As advised on tab

Children

RPIR ID	P9
KLOE Heading	How do systems, processes and practices keep people safe and safeguarded from abuse?
KLOE prompt	S1.2
Guidance	This tab only needs to be answered if you provide any services to children (ages 17 and under). We would like to know activity levels by core service and how they are flagged as minors if they are not located

	in a paediatric unit/ward.
Time Period	Last 12 months

Safeguarding overview

RPIR ID	P10
KLOE Heading	How do systems, processes and practices keep people safe and safeguarded from abuse?
KLOE prompt	S1.1
Guidance	An overview of how the governance of safeguarding is operated at your trust.
Time Period	Current

Safeguarding referrals

RPIR ID	P11
KLOE Heading	How do systems, processes and practices keep people safe and safeguarded from abuse?
KLOE prompt	S1.1
Guidance	We would like to know the number of safeguarding referrals made for both adults and children over the previous 12 months. If referrals are recorded on a quarterly basis, please add to relevant fields and note the explanation in 'comments' column.
Time Period	Last 12 months

Serious Case Review (SCR) or Safeguarding Adults Review (SAR)

RPIR ID	P12
KLOE Heading	What is the track record on safety?
KLOE prompt	S5.3
Guidance	Updates on any SCRs or SARs the trust has been mentioned in and any actions and outstanding actions resulting.
Time Period	Last 12 months

Deprivation of Liberty Safeguards (DoLS)

RPIR ID	P13
KLOE Heading	How do systems, processes and practices keep people safe and safeguarded from abuse?
KLOE prompt	S1.2
Guidance	We would like to know the number applications made, approved and not approved including those currently in progress.
Time Period	Last 12 months

Female Genital Mutilation (FGM) & Sexual Exploitation

RPIR ID	P14
KLOE Heading	How do systems, processes and practices keep people safe and safeguarded from abuse?
KLOE prompt	S1.6

Guidance	We would like to know how these incidences are recorded when found, and where they are reported. If you have never had an incidence please note that but still let us know the procedures you have in place if you suspect or discover this.
Time Period	Last 12 months

Latest annual IPC or DIPC Report

RPIR ID	P67
KLOE Heading	How do systems, processes and practices keep people safe and safeguarded from abuse?
KLOE prompt	S1.8
Guidance	The most recent annual Infection Prevention Control report available
Time Period	Should not be older than 12 months old.

Safeguarding annual reports (adults & children)

RPIR ID	P68
KLOE Heading	How do systems, processes and practices keep people safe and safeguarded from abuse?
KLOE prompt	S1.1
Guidance	Last annual reports available on safeguarding for adults, and children if also relevant.
Time Period	Should not be older than 12 months old

Safer staffing

RPIR ID	P15
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.2
Guidance	Only relevant to inpatient areas. Please tell us about where you publish your nursing 'safer staffing' levels and how you determine the levels.
Time Period	Current

Total Staffing

RPIR ID	P16
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.2
Guidance	Planned versus actual staffing levels by each staffing group (see ESR lookup is in the appendix for details of how staff map to each group). A row for each staff group, by site and/or ward levels for two years.
Time Period	Last two years

Vacancies

RPIR ID	P17
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.1
Guidance	An overview of vacancies. Detailed instructions on tab. Where possible map staff to location, ward/unit, occupation codes, staff group and CQC core service. But at a bare minimum to location, staff group and core service.
Time Period	Last 12 months

Turnover

RPIR ID	P18
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.1
Guidance	An overview of staff turnover. Detailed instructions on tab. Where possible map staff to location, ward/unit, occupation codes, staff group and CQC core service. But at a bare minimum to location, staff group and core service.
Time Period	Last 12 months

Sickness

RPIR ID	P19
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.1
Guidance	An overview of sickness. Detailed instructions on tab. Where possible map staff to location, ward/unit, occupation codes, staff group and CQC core service. But at a bare minimum to location, staff group and core service.
Time Period	Last 12 months

Nursing bank/agency use

RPIR ID	P20
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.3
Guidance	Detailed data on bank and agency nurse use and unfilled shifts. Also highlighting any high use areas and providing context.
Time Period	Last 12 months

Medical locum/agency use

RPIR ID	P21
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.3
Guidance	Detailed data on locum use and unfilled shifts. Also highlighting any high use areas and providing context.
Time Period	Last 12 months

Consultant cover

RPIR ID	P22
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.1
Guidance	Access to consultants for children and out of hours.
Time Period	Current

Suspensions or supervisions

RPIR ID	P23
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.7
Guidance	Details of staff on supervised practice or suspended in the last year. Please keep anonymised. The CQC will only report on numbers and will not share person identifiable information.
Time Period	Last 12 months

Detentions

RPIR ID	P24
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.5
Guidance	Details of detentions under MHA over the last 12 months. Only those under a Section 5(2).
Time Period	Last 12 months

Training and induction policy for bank, agency staff and locums

RPIR ID	P69
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.3

Guidance	Please provide your latest policy that covers the training and induction of temporary staff
Time Period	Current

Safer staffing report to the DoN

RPIR ID	P71
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.1
Guidance	The latest report of safer staffing levels that has been sent to the director of nursing (DoN).
Time Period	Current

Audits of physiological Track and Trigger systems (PEWS, MEWS, EWS etc.)

RPIR ID	P70
KLOE Heading	How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
KLOE prompt	S2.6
Guidance	Provide the audits of these undertaken in the last 12 months by all core services.
Time Period	Last 12 months

Records management overview

RPIR ID	P25
KLOE Heading	Do staff have all the information they need to deliver safe care and treatment to people?
KLOE prompt	S3.2
Guidance	An overview of which systems you use to manage records and if they are shared. A list of any strengths and weaknesses with current systems and if you have any future plans to change systems. Also an outline of how outpatients' records are accessed.
Time Period	Current

Medicines Optimisation Strategy

RPIR ID	P26
KLOE Heading	How does the provider ensure the proper and safe use of medicines, where the service is responsible?
KLOE prompt	S4.2
For KLOE Prompt(s)	Please provide key headlines from the medicines optimisation strategy.
Time Period	Current

Medicines Audits

RPIR ID	P27
KLOE Heading	How does the provider ensure the proper and safe use of medicines, where the service is responsible?

KLOE prompt	S4.2
Guidance	Please list the key outcomes and actions for all medicines audits undertaken within the last year. A list of audits we are particularly interested in can be found on the tab. If you have not done those audits in the last year please leave them off the tab. If you plan to do them in the upcoming year please note on the audit plan. We understand if you do not provide pharmacy services you may not have completed some of these audits.
Time Period	Last 12 months

Medication Safety Committee (or equivalent) and ToR

RPIR ID	P72
KLOE Heading	How does the provider ensure the proper and safe use of medicines, where the service is responsible?
KLOE prompt	S4.2
Guidance	The meeting minutes for the last three meetings of the committee that discusses medication safety (may have a different name). Also please the terms of reference including who is represented at the meeting.
Time Period	Last 3 meetings

Medicines Management/Pharmacy Policy, Business Plan & Strategy

RPIR ID	P73
KLOE Heading	How does the provider ensure the proper and safe use of medicines, where the service is responsible?
KLOE prompt	S4.2
Guidance	Please provide policy and strategy for medicines management. If you provide pharmacy services then please also provide the policy and strategy for the pharmacy services. If they are provided by another provided please ignore.
Time Period	Last 12 months

Drugs and Therapeutics Committee (or equivalent) & Terms of Reference (ToR)

RPIR ID	P74
KLOE Heading	How does the provider ensure the proper and safe use of medicines, where the service is responsible?
KLOE prompt	S4.6
Guidance	The meeting minutes for the last three meetings of the committee that discusses drugs and therapeutic treatment (may have a different name). Also please the terms of reference including who is represented at the meeting.
Time Period	Current

Root Cause Analysis

RPIR ID	P75

KLOE Heading	What is the track record on safety?
KLOE prompt	S5.3
Guidance	A list of all the RCA's that have been completed for Serious Incidents within the last year. We may ask to review a sample of these at a later date or so please include internal reference numbers.
Time Period	Last 12 months

Action plans which have been developed as a result of Coroner's inquests and prevention of deaths reports

RPIR ID	P76
KLOE Heading	What is the track record on safety?
KLOE prompt	S5.3
Guidance	The actions plans and outstanding actions that have resulted from any of these reports within the last year
Time Period	Last 12 months

Incidents Overview

RPIR ID	P28
KLOE Heading	Are lessons learned and improvements made when things go wrong?
KLOE prompt	S6.4
Guidance	An overview of your incident recording procedures; how you learn from incidents and how that is disseminated across the organisation. Incidents in this instance are defined as all reportable incidents.
Time Period	Last 12 months

Serious Incidents

RPIR ID	P29
KLOE Heading	Are lessons learned and improvements made when things go wrong?
KLOE prompt	S6.2
Guidance	Serious incidents as reported to STEIS in the last year, highlighting which core service they relate to, if it was an EDHR incident and if they included a vulnerable person or an unexpected death (definitions on tab).
Time Period	Last 12 months

Duty of Candour (DoC)

RPIR ID	P30
KLOE Heading	Are lessons learned and improvements made when things go wrong?
KLOE prompt	S6.3
Guidance	An overview of DoC processes and training and also the volumes applied per core service.
Time Period	Last 12 months

Safety Alerts

RPIR ID	P31
KLOE Heading	Are lessons learned and improvements made when things go wrong?
KLOE prompt	S6.5
Guidance	To assess how safety alerts are used and disseminated within your organisation. Definition included on tab.
Time Period	Last 12 months

Effective

NICE Guidance compliance

RPIR ID	P32
KLOE Heading	Are people's needs assessed and care and treatment delivered in line with current legislation, standards and evidence-based guidance to achieve effective outcomes?
KLOE prompt	E1.1
Guidance	An overview of your approach to NICE guidance. Is it audited? How do you assure the board that guidance is being followed and if there are areas you know it isn't, are there reasons? How is that captured?
Time Period	Current

Serious Infections

RPIR ID	P33
KLOE Heading	Are people's needs assessed and care and treatment delivered in line with current legislation, standards and evidence-based guidance to achieve effective outcomes?
KLOE prompt	E1.1
Guidance	An overview of the process for the management of serious infections, such as sepsis.
Time Period	Last 12 months

Food Standards

RPIR ID	P34
KLOE Heading	Are people's needs assessed and care and treatment delivered in line with current legislation, standards and evidence-based guidance to achieve effective outcomes?
KLOE prompt	E1.5
Guidance	Please provide a self-assessment of your performance against the food and nutritional standards listed.
Time Period	Current

Performance dashboards for all services

RPIR ID	P77
KLOE Heading	How are people's care and treatment outcomes monitored and how do they compare with other similar services?
KLOE prompt	E2.1
Guidance	The most up to date dashboard for every CQC core service, and for pharmacy and financial services. Also the corporate or board level dashboard/summary. If you do not use a dashboard for a service please submit a summary of how you review and report on overall performance to the board.
Time Period	Most recent

Audits

RPIR ID	P35
KLOE Heading	How are people's care and treatment outcomes monitored and how do they compare with other similar services?
KLOE prompt	E2.4
Guidance	Please list every audit undertaken within the last 12 months including both clinical and local. Pharmacy audits can be excluded as they are captured elsewhere. We would like to hear about how these have changed practice and how you have implemented recommendations.
Time Period	Last 12 months

Patient Outcomes

RPIR ID	P36
KLOE Heading	How are people's care and treatment outcomes monitored and how do they compare with other similar services?
KLOE prompt	E2.2
Guidance	An overview on your best patient outcomes and those with room for improvement. We would like to know how you are assured about this and how you address any poorer performance.
Time Period	Current

Mortality rates

RPIR ID	P37
KLOE Heading	How are people's care and treatment outcomes monitored and how do they compare with other similar services?
KLOE prompt	E2.3
Guidance	An opportunity for the trust to comment on its current mortality rates (if relevant) and the process for reviewing any 'unexpected' deaths.
Time Period	Last 12 months

Clinical quality strategy

RPIR ID	P78
KLOE Heading	How are people's care and treatment outcomes monitored and how do they compare with other similar services?
KLOE prompt	E2.4
Guidance	A brief overview of the trust's current quality priorities or (if available) the trust's quality plan/strategy.
Time Period	Current

Mortality & Morbidity meeting mins last 12 months

RPIR ID	P79
KLOE Heading	How are people's care and treatment outcomes monitored and how do they compare with other similar services?
KLOE prompt	E2.1
Guidance	Minutes from the mortality and morbidity committee meetings within the last 13 months. If you do not have an M&M committee please provide minutes for the group that reviews deaths.
Time Period	Last 12 months

Green Light Toolkit

RPIR ID	P80
KLOE Heading	How are people's care and treatment outcomes monitored and how do they compare with other similar services?
KLOE prompt	E2.2
Guidance	This toolkit is to monitor and improve care of mental health patients with a learning disability. As such not all trusts will have used this. If it is not used please indicate this on the document log tab in the returned to CQC column.
Time Period	Current

Mandatory & statutory training

RPIR ID	P38
KLOE Heading	How does the service make sure that staff have the skills, knowledge and experience to deliver effective care, support and treatment?
KLOE prompt	E3.2
Guidance	A detailed view of what mandatory and statutory training is undertaken and the uptake figures for the last three years. Figures required by ward/unit and staff group where possible. Detailed explanations of what to include are on the tab.
Time Period	Last three years

Appraisals

RPIR ID	P39
KLOE Heading	How does the service make sure that staff have the skills, knowledge and experience to deliver effective care, support and treatment?
KLOE prompt	E3.4
Guidance	Numbers of appraisals completed by ward/team/unit (if possible). We would like the last year figures and the current figure year to date (YTD). Please provide appraisal target as a %.
Time Period	Last two years

Volunteer overview

RPIR ID	P40
KLOE Heading	How does the service make sure that staff have the skills, knowledge and experience to deliver effective care, support and treatment?
KLOE prompt	E3.7
Guidance	An overview of where you use volunteers, what pre-employment checks are in place and how they are trained and supervised.
Time Period	Current

EDHR Training plans

RPIR ID	P81
KLOE Heading	How does the service make sure that staff have the skills, knowledge and experience to deliver effective care, support and treatment?
KLOE prompt	E3.3
Guidance	The training plan and objectives for all equality, diversity and human rights training in the current year.
Time Period	Current year

24/7 Strategy for the trust

RPIR ID	P82
KLOE Heading	How does the service make sure that staff have the skills, knowledge and experience to deliver effective care, support and treatment?
KLOE prompt	E4.5
Guidance	Please provide your current 24/7 strategy. If there isn't one please provide a brief overview of your plans to improve access to services that are currently not available 24/7.
Time Period	Current

Consent policies (with regards to MCA, people living with dementia, learning disabilities, Gillick/Fraser etc.)

RPIR ID	P83
KLOE Heading	How are people's concerns and complaints listened and responded to and used to improve the quality of

	care?
KLOE prompt	E6.1
Guidance	All policies that cover consent to care and treatment, including but not limited to consent by children, those with mental health conditions, learning disabilities, autism, dementia etc.
Time Period	Current

Caring

Patient Surveys

RPIR ID	P41
KLOE Heading	How does the service support people to express their views and be actively involved in making decisions about their care, support and treatment as far as possible?
KLOE prompt	C2.5
Guidance	An opportunity to highlight what your patients/service users are telling you about the care your provide them with. Exclude feedback from nationally reported collections (e.g. Inpatient survey or Friends and Family Test) and include locally collected feedback.
Time Period	Last 12 months

Feedback methods - service users/carers

RPIR ID	P42
KLOE Heading	How does the service support people to express their views and be actively involved in making decisions about their care, support and treatment as far as possible?
KLOE prompt	C2.2
Guidance	We would like to understand what methods are available for patients and service users or their carers/guardians/parents/named relative. And how do they understand how to access these. Also we would like to know how this feedback may have led to improvements in the last year.
Time Period	Last 12 months

Patient involvement strategy

RPIR ID	P84
KLOE Heading	How does the service support people to express their views and be actively involved in making decisions about their care, support and treatment as far as possible?
KLOE prompt	C2.2
Guidance	The policy or strategy that outlines how you involve patients (and indeed their family/carers or guardians)

	in decisions about their care and treatment.
Time Period	Current

Bereavement Surveys

RPIR ID	P85
KLOE Heading	How is people's privacy, and dignity respected and promoted?
KLOE prompt	C3.2
Guidance	Please provide a summary of key points from all bereavement surveys undertaken within the last year and any actions. You may not have done any dependant on the services you provide, if this is the case please indicate on document log in document returned to CQC column.
Time Period	Last 12 months

Responsive

Ward moves

RPIR ID	P43
KLOE Heading	How do people receive personalised care that is responsive to their needs?
KLOE prompt	R1.3
Guidance	For inpatient stays. We would like to know how often a patient has moved ward/unit per admission for a non-clinical reason (eg capacity issues). Also how many of these, if any, were at the end of their life (definition included on tab). There is room to provide further or context on the information for the wards with highest volumes of patients moving.
Time Period	Last two years

Moves at night

RPIR ID	P44
KLOE Heading	How do people receive personalised care that is responsive to their needs?
KLOE prompt	R1.3
Guidance	Please provide details of patients moving ward/unit between 22:00pm and 08:00am for the past year, for clinical or non-clinical reasons. We would like this by month and by ward/unit. Exceptions included on tab.
Time Period	Last 12 months

Care planning

RPIR ID	P45
KLOE Heading	How do people receive personalised care that is responsive to their needs?
KLOE prompt	R1.1

Guidance	Similar to the question in the safety section around patients with complex needs, this tab looks at care planning for patients with complex needs but from the point of view of being responsive to their needs rather than around safeguarding. How is their care planned and tailored and how do you audit this? Do you have relationships with organisations who advise you on this?
Time Period	Current

Equality

RPIR ID	P46
KLOE Heading	Do services take account of the particular needs and choices of different people?
KLOE prompt	R2.2
Guidance	An outline of how patients/users with protected characteristics are having their needs met, including spiritual and religious needs.
Time Period	Current

Mixed sex breaches

RPIR ID	P47
KLOE Heading	Do services take account of the particular needs and choices of different people?
KLOE prompt	R2.1
Guidance	A detailed breakdown of all mixed sex breaches by ward/team/unit. CQC's definition of a mixed sex breach is broader than the Department of Health's definition so we have included it on the tab.
Time Period	Last 12 months

Accessibility

RPIR ID	P48
KLOE Heading	Do services take account of the particular needs and choices of different people?
KLOE prompt	R2.1
Guidance	An outline of how accessible the organisation is and actions you are taking to improve this if needed. This includes accessibility to those physical less abled, those requiring translation services and those needing accessible information as well as all protected characteristics. There is a definition of protected characteristics on the tab.
Time Period	Last 12 months

Delayed transfers of care (DTOC)

RPIR ID	P49
KLOE Heading	Can people access care and treatment in a timely way?
KLOE prompt	R3.6

Guidance	Number of patients discharged and number with delayed discharge (patients still in beds who should have been discharged in the period defined but are delayed for any reason), by CQC core service, for the last year.
Time Period	Last 12 months

Follow-ups

RPIR ID	P50
KLOE Heading	Can people access care and treatment in a timely way?
KLOE prompt	R3.3
Guidance	Data around patients who are due for follow-up appointments but have somehow been lost. How is this tracked and how are they re-engaged? Methodology – all patients/users who have breached their follow up target and still do not yet have a re-scheduled appointment date. Data also on the average waiting time (in weeks) for a follow up appointment by core service over the past year.
Time Period	Last 12 months

The trust's guidance for on-call health managers for management of OOH in crisis patients

RPIR ID	P86
KLOE Heading	Can people access care and treatment in a timely way?
KLOE prompt	R3.4
Guidance	What is the guidance for managers should a patient present with a mental health crisis out of hours? Crisis is defined as a situation where the individual is considered to be a risk to themselves or others and their judgement is impaired. This may be the beginning, deterioration or relapse of a mental illness
Location	Current

Escalation (bed pressures) procedure

RPIR ID	P87
KLOE Heading	Can people access care and treatment in a timely way?
KLOE prompt	R3.4
Guidance	Please outline the procedure that is followed when experiencing capacity issues. How is this escalated? Who is informed and how? What is the trigger to refuse admissions?
Time Period	Current

Complaints overview

RPIR ID	P51
KLOE Heading	How are people's concerns and complaints listened and responded to and used to improve the quality of care?
KLOE prompt	R4.3
Guidance	An overview of how complaints are dealt with in the trust and current performance figures.
Time Period	Last 12 months

Complaints

RPIR ID	P52
KLOE Heading	How are people's concerns and complaints listened and responded to and used to improve the quality of care?
KLOE prompt	R4.3
Guidance	All Complaints totals, by subject, profession and service area for the last year. This includes all formal, written complaints only. Please also highlight complaints that were made by mental health patients if this is tracked. Please highlight which complaints, if any, were referred to the Ombudsmen.
Time Period	Last 12 months

Compliments

RPIR ID	P53
KLOE Heading	How are people's concerns and complaints listened and responded to and used to improve the quality of care?
KLOE prompt	R4.5
Guidance	Compliments received in the last year, any themes identified and how this feedback is disseminated.
Time Period	Last 12 months

Annual complaints report

RPIR ID	P88
KLOE Heading	How are people's concerns and complaints listened and responded to and used to improve the quality of care?
KLOE prompt	R4.5
Guidance	Latest annual complaints report.
Time Period	Current

Complaints policy

RPIR ID	P89
KLOE Heading	How are people's concerns and complaints listened and responded to and used to improve the quality of care?

KLOE prompt	R4.5
Guidance	Latest policy around complaints and feedback.
Time Period	Current

Well Led

Leadership development

RPIR ID	P54
KLOE Heading	Is there the leadership capacity and capability to deliver high-quality, sustainable care?
KLOE prompt	W1.4
Guidance	A description of the general approach to succession planning and talent management. Also details of numbers of staff who have participated in leadership development programmes over the past two years.
Time Period	Current

Board list and diversity

RPIR ID	P55
KLOE Heading	Is there the leadership capacity and capability to deliver high-quality, sustainable care?
KLOE prompt	W1.1
Guidance	A list of all board members, the diversity of the team, their specific roles and responsibilities and length of service.
Time Period	Current

Record of all executive and non-executive director visits made to trust locations in the last 12 months

RPIR ID	P90
KLOE Heading	Is there the leadership capacity and capability to deliver high-quality, sustainable care?
KLOE prompt	W1.3
Guidance	A list of all visits made in the last year to trust locations by members of the board.
Time Period	Last 12 months

FPPR overview or policy and a list of FPPR checks that the Trust specifies are carried out on all board members on appointment (and on an ongoing basis).

RPIR ID	P91
KLOE Heading	Is there the leadership capacity and capability to deliver high-quality, sustainable care?
KLOE prompt	W1.1
Guidance	An overview of the Fit and Proper Persons Review process carried out by trust, or a copy of the policy. Please include a list of all specified checks.

Time Period	Current

Human Resources (HR) or people management strategy

RPIR ID	P92
KLOE Heading	Is there the leadership capacity and capability to deliver high-quality, sustainable care?
KLOE prompt	W1.2
Guidance	The document the covers your strategy for recruitment and management of resources in line with the current strategy for the organisation as a whole.
Time Period	Current

Leadership and talent management strategy (if not contained in BAF or above)

RPIR ID	P93
KLOE Heading	Is there the leadership capacity and capability to deliver high-quality, sustainable care?
KLOE prompt	W1.2
Guidance	The document the covers succession planning and talent management, unless covered by the Board Assurance Framework (BAF) which is requested later or the HR strategy.
Time Period	Current

Quality committee minutes

RPIR ID	P94
KLOE Heading	Is there the leadership capacity and capability to deliver high-quality, sustainable care?
KLOE prompt	W1.2
Guidance	The minutes from your quality committee or any similar groups that meets to discuss the strategic view on achieving delivery of high quality care.
Time Period	Last 3 meetings

Strategy

RPIR ID	P56
KLOE Heading	Is there a clear vision and credible strategy to deliver high-quality sustainable care to people who use services, and robust plans to deliver?
KLOE prompt	W2.2
Guidance	Please provide some commentary around the organisational strategy and how it was produced.
Time Period	Current

Trust strategy and clinical strategy document(s)

RPIR ID	P95
KLOE Heading	Is there a clear vision and credible strategy to deliver high-quality sustainable care to people who use services, and robust plans to deliver?

KLOE prompt	W2.2
Guidance	The current clinical strategy and the overall trust strategy.
Time Period	Current

Operation plan and trust's local joint strategic needs assessment (JSNA) and Sustainability and Transformation Plan (STP)

RPIR ID	P96
KLOE Heading	Is there a clear vision and credible strategy to deliver high-quality sustainable care to people who use services, and robust plans to deliver?
KLOE prompt	W2.2
Guidance	A copy of the current operational plan and the local copy of the JSNA and STP (only if relevant to trust).

It would be helpful to have a summary of how these impact the trust and what you are doing to plan for this. |
| Time Period | Current |

Whistleblowing

RPIR ID	P57
KLOE Heading	Is there a culture of high-quality, sustainable care?
KLOE prompt	W3.4
Guidance	An opportunity to comment on whistleblowing activity within the trust in the last year and how the trust has acted on this. Please remember to maintain confidentiality and only provide information at a high level that won't identify an individual.
Time Period	Last 12 months

Limited Capacity (Dementia, LD, Autism, MH etc.) policy and strategy

RPIR ID	P97
KLOE Heading	Do services take account of the particular needs and choices of different people?
KLOE prompt	R2.4
Guidance	Most recent policy and/or strategy document(s) covering the care of those with limited capacity (e.g. dementia/MH/LD etc.). This may be multiple documents.
Time Period	Current

Service Level Agreements (SLA's)

RPIR ID	P98
KLOE Heading	Do services take account of the particular needs and choices of different people?
KLOE prompt	R2.4

Guidance	Any service level agreements around the care of people subject to the Mental Health Act.
Time Period	Current

List of staff networks

RPIR ID	P99
KLOE Heading	Is there a culture of high-quality, sustainable care?
KLOE prompt	W3.1
Guidance	List of all networks available to staff (eg LGBT, BME, Religion; Disability etc.)
Time Period	Current

EDHR strategy, action plan and annual report

RPIR ID	P100
KLOE Heading	Is there a culture of high-quality, sustainable care?
KLOE prompt	W3.8
Guidance	Please provide the trusts EDHR strategy, current action plan and the last annual report.
Time Period	Current

Performance against EDS quality system

RPIR ID	P101
KLOE Heading	Is there a culture of high-quality, sustainable care?
KLOE prompt	W3.8
Guidance	Please provide an overview of the trusts approach and performance around the NHS Equality Delivery System 2 and the 18 associated outcomes.
Time Period	Last 12 months

Trust's WRES action plan and report against the nine indicators and quality objectives

RPIR ID	P102
KLOE Heading	Is there a culture of high-quality, sustainable care?
KLOE prompt	W3.8
Guidance	Please return the current Workforce Race Equality Report and the action plan against the nine indicators and objectives.
Time Period	Current

Freedom to speak guardian's report

RPIR ID	P103
KLOE Heading	Is there a culture of high-quality, sustainable care?
KLOE prompt	W3.5
Guidance	Please provide your latest freedom to speak report or state if not yet available.

Time Period	Current

Action plan for tackling bullying

RPIR ID	P104
KLOE Heading	Is there a culture of high-quality, sustainable care?
KLOE prompt	W3.5
Guidance	Please provide your action plan in relation to 'Tackling bullying in the NHS – a collective call to action' (Social Partnership Forum)
Time Period	Current

Organisation structures, lines of accountability

RPIR ID	P105
KLOE Heading	Are there clear responsibilities, roles and systems of accountability to support good governance and management?
KLOE prompt	W4.1
Guidance	Please provide organisational structures, lines of accountability and how all committees' link and feed to the board.
Time Period	Current

Ward to board assurance

RPIR ID	P58
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.1
Guidance	Provide a brief description of how ward to board assurance around safety and quality is achieved. Also how is information and data used to evidence this? An example of data used would be reviewing dashboards and risk registers.
Time Period	Current

Risk registers, BAF and associated action plans

RPIR ID	P106
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.1
Guidance	Please provide the most recent corporate risk register and risk registers for <u>EVERY</u> core service (and pharmacy) or directorates, if this level is not available. Please include the Board Assurance Framework and any relevant action plans.
Time Period	Current

Private board minutes

RPIR ID	P107

KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.1
Guidance	Please provide the private minutes for the last three board meetings. The public minutes we should be able to access on your website. If however they are not there please forward as well.
Time Period	Last three meetings

Use of resources assessment (if applicable)

RPIR ID	P108
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.3
Guidance	Please provide the latest internal assessment against NHSI's 'Use of Resources'. If this is not applicable to your organisation please indicate so in the document log (in the returned to CQC column).
Time Period	Current

Audit/risk assurance committee meeting minutes

RPIR ID	P109
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.3
Guidance	Please provide the minutes for the last three audit committee meetings.
Time Period	Last three meetings

Business continuity plan and major incident plan

RPIR ID	P110
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5
Guidance	Please provide the latest major incident plan and, if separate, the business continuity plan.
Time Period	Current

Cost improvement plan

RPIR ID	P111
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.1
Guidance	Please provide your latest cost improvement plan.
Time Period	Current

Annual financial plan and budget

RPIR ID	P112

KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.1
Guidance	Please provide your latest annual financial plan and budget.
Time Period	Current

New techniques or new procedures policy

RPIR ID	P113
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.5
Guidance	The policy for assessing the adoption of new techniques or procedures. By this we mean implementation of new clinical techniques or interventions. This can also apply to new mental health approaches and other non-clinical but nationally recognised interventions or approaches that you have chosen to adopt.
Time Period	Current

Finance department organisational chart

RPIR ID	P114
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.6
Guidance	The finance department organisational chart with list of the professional qualifications held by members.
Time Period	Current

Finance reporting structure

RPIR ID	P115
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.6
Guidance	Financial reporting structure with examples of reports at different levels including sample of divisional reporting (3 divisions at random) and Executive level report.
Time Period	Current

Finance self-evaluations

RPIR ID	P116
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.6
Guidance	Latest finance committee and audit committee self-evaluations/assessments.
Time Period	Current

Finance committee papers

RPIR ID	P117
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.6
Guidance	The latest set of finance committee papers.
Time Period	Current

Internal audit annual report

RPIR ID	P118
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.6
Guidance	The latest annual report on internal audit.
Time Period	Current

External reviews

RPIR ID	P119
KLOE Heading	Are there clear and effective processes for managing risks, issues and performance?
KLOE prompt	W5.6
Guidance	Submit any reports that have resulted from an external review – except those undertaken by CQC, NHSI or NHSE
Time Period	Current

Finances overview

RPIR ID	P59
KLOE Heading	Are there robust systems and processes for learning, continuous improvement and innovation?
KLOE prompt	W5.1

Guidance	An overview of key financial figures and performance and projections over a four year period. Budget - how much is planned or available to spend (the budget for that year). Income is the actual or projected income that year (this may be different to the budget as you may have a planned over or under spend in the budget which is not reflected in actual income.) Full costs are the total actual or projected expenditure. This should leave an actual surplus or deficit. There is also an opportunity to provide context to these figures.
Time Period	Four years

External reviews

RPIR ID	P60
KLOE Heading	Is appropriate and accurate information being effectively processed, challenged and acted upon?
KLOE prompt	W6.1
Guidance	An opportunity to indicate and comment on any external reviews or investigations you may have been involved in. This does not include any standard auditing, performance review or peer review processes. This does include where you have invited an external organisation in to conduct a review or they have decided to conduct an investigation or review into your services for a specified reason.
Time Period	Last 12 months

Data Quality

RPIR ID	P61
KLOE Heading	Is appropriate and accurate information being effectively processed, challenged and acted upon?
KLOE prompt	W6.4
Guidance	An over view of data quality in your organisation and an opportunity to discuss any future investment plans.
Time Period	Current

Local staff surveys

RPIR ID	P62
KLOE Heading	Are the people who use services, the public, staff and external partners engaged and involved to support high-quality sustainable services?
KLOE prompt	W7.1
Guidance	A brief overview of any themes noted from local staff surveys. Please exclude nationally reported survey results from this analysis.
Time Period	Last 12 months

Engagement and morale

RPIR ID	P63

KLOE Heading	Are the people who use services, the public, staff and external partners engaged and involved to support high-quality sustainable services?
KLOE prompt	W7.3
Guidance	An outline of performance around staff engagement, morale and leadership including results from all staff surveys undertaken (including local and NHS staff survey).
Time Period	Last 12 months

Partners

RPIR ID	P64
KLOE Heading	Are the people who use services, the public, staff and external partners engaged and involved to support high-quality sustainable services?
KLOE prompt	W7.4
Guidance	An opportunity to outline how you work with your local partners and how effective these relationships are.
Time Period	Last 12 months

Public engagement strategy

RPIR ID	P121
KLOE Heading	Are the people who use services, the public, staff and external partners engaged and involved to support high-quality sustainable services?
KLOE prompt	W7.1
Guidance	The latest strategy for engaging with the public about your organisation and its services and any news or changes they need to be aware of. How do involve them in decisions?
Time Period	Last 12 months

Public surveys

RPIR ID	P121
KLOE Heading	Are the people who use services, the public, staff and external partners engaged and involved to support high-quality sustainable services?
KLOE prompt	W7.1
Guidance	All surveys where you have undertaken public consultation for any reason.
Time Period	Last 12 months

NHS Staff Survey action plan

RPIR ID	P122

KLOE Heading	Are the people who use services, the public, staff and external partners engaged and involved to support high-quality sustainable services?
KLOE prompt	W7.3
Guidance	Latest NHS staff survey action plan.
Time Period	Current

Innovations

RPIR ID	P65
KLOE Heading	Are there robust systems and processes for learning, continuous improvement and innovation?
KLOE prompt	W8.1
Guidance	An opportunity to highlight innovative practice or awards by core service within the last 13 months. Also to comment on how you support patients to be healthier and your approach to continuous learning and innovation.
Time Period	Last 12 months

Accreditations

RPIR ID	P66
KLOE Heading	Are there robust systems and processes for learning, continuous improvement and innovation?
KLOE prompt	W8.1
Guidance	A list of all accreditation and peer-review schemes you are a part of.
Time Period	Last 12 months