

NEXT PHASE METHODOLOGY (2017)

Core services

Acute

Inspection framework: NHS acute hospitals

Core service: Outpatients

Outpatient services include all areas where people:

- receive advice or care and treatment without being admitted as an inpatient or day case

It does not include children's outpatient services, as these are covered under the children and young people service.

Areas to inspect*

The inspection team should carry out an initial visual inspection of each area. Your observations should be considered alongside data/surveillance to identify areas of risk or concern for further inspection.

- Ophthalmic clinics
- Orthopaedic clinics, including fracture clinics
- Cardiothoracic clinics and cardiac investigations, e.g. exercise test, Chest Pain Clinic
- Neurology clinics
- Pre-operative assessment clinics (cross reference with surgery)
- Sample of physiological monitoring areas, e.g. Respiratory Clinic
- Renal and dialysis clinics
- Ante natal clinics (cross reference with maternity and family planning services)
- Women's services (cross reference with maternity and family planning services)
- ENT clinics
- Pathology, including phlebotomy
- Children's areas (cross reference with children's and young peoples' services)

Interviews, observations

You should conduct interviews of the following people at every inspection:

- People who use services and those close to them
- Clinical director / lead
- Nursing lead for each unit / area
- Directorate / divisional manager

You could gather information about the service from the following people, depending on the staffing structure:

- Pathology lead
- Administrative staff such as reception

- Nurses
- Doctors
- Physicists and technicians
- Health care assistants
- Volunteers
- Medical and surgical secretaries

Safe

By safe, we mean people are protected from abuse* and avoidable harm.

*Abuse can be physical, sexual, mental or psychological, financial, neglect, institutional or discriminatory abuse.

Key lines of enquiry: S1

S1. How do systems, processes and practices keep people safe and safeguarded from abuse?

Report sub-heading: Mandatory training

Prompts	Professional standard	Sector specific guidance
<ul style="list-style-type: none"> S1.1 How are safety and safeguarding systems, processes and practices developed, implemented and communicated to staff? S1.5 Do staff receive effective training in safety systems, processes and practices? 		<ul style="list-style-type: none"> Have staff received training to make them aware of the potential needs of people with: <ul style="list-style-type: none"> mental health conditions learning disability autism dementia?

Report sub-heading: Safeguarding

<ul style="list-style-type: none"> S1.1 How are safety and safeguarding systems, processes and practices developed, implemented and communicated to staff? S1.2 How do systems, processes and practices protect people from abuse, neglect, harassment and breaches of their dignity and respect? How are these monitored and improved? 	<ul style="list-style-type: none"> Safeguarding Children and Young People: Roles and Competencies for Health Care Staff (March 2014) HM Government: Working together to safeguard children: A guide to inter-agency working to safeguard and promote the welfare of children. March 2015 	<ul style="list-style-type: none"> Have staff been trained in safeguarding ? NB – all staff in paediatric outpatients should have Level 3 – all others Level 2 Is a process in place for the identification and management of people at risk of the abuse (including domestic violence) and follow the appropriate policies?
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<ul style="list-style-type: none"> • S1.3 How are people protected from discrimination, which might amount to abuse or cause psychological harm? This includes harassment and discrimination in relation to protected characteristics under the Equality Act. • S1.4 How is safety promoted in recruitment practice, arrangements to support staff, disciplinary procedures, band ongoing checks? (For example, Disclosure and Barring Service checks.) • S1.5 Do staff receive effective training in safety systems, processes and practices? • S1.6 Are there arrangements to safeguard adults and children from abuse and neglect that reflect relevant legislation and local requirements? Do staff understand their responsibilities and adhere to safeguarding policies and procedures, including working in partnership with other agencies? • S1.7 Do staff identify adults and children at risk of, or suffering, significant harm? How do they work in partnership with other agencies to ensure they are helped, supported and protected? 	<ul style="list-style-type: none"> • Female genital mutilation multi-agency practice guidelines published in 2016 • DH Female Genital Mutilation and Safeguarding: Guidance for professionals March 2015 • Guidelines for physicians on the detection of child sexual exploitation (RCP, November 2015) • Not always restricted to, but includes interventions under the MHA, see MHA Code of Practice. 	<ul style="list-style-type: none"> • Are there arrangements in place to safeguard women or children with, or at risk of, Female Genital Mutilation (FGM)? • If a patient is assessed to be at risk of suicide or self-harm, what arrangements are put in place to enable them to remain safe? • Are there policies and procedures in place extra observation or supervision, restraint and, if needed, rapid tranquilisation?
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Report sub-heading: **Cleanliness, infection control and hygiene**

<ul style="list-style-type: none"> • S1.1 How are safety and safeguarding systems, processes and practices developed, implemented and communicated to staff? 	<ul style="list-style-type: none"> • Code of practice on the prevention and control of infections • NICE QS61 Statement 3: People receive healthcare from healthcare workers who decontaminate their 	<ul style="list-style-type: none"> • What precautions are taken when seeing people with suspected communicable diseases? E.g. TB / Flu etc
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<ul style="list-style-type: none"> S1.8 How are standards of cleanliness and hygiene maintained? Are there reliable systems in place to prevent and protect people from a healthcare-associated infection? 	<p>hands immediately before and after every episode of direct contact or care.</p> <ul style="list-style-type: none"> NICE QS61 Statement 4: People who need a urinary catheter have their risk of infection minimised by the completion of specified procedures necessary for the safe insertion and maintenance of the catheter and its removal as soon as it is no longer needed. NICE QS61 Statement 5: People who need a vascular access device have their risk of infection minimised by the completion of specified procedures necessary for the safe insertion and maintenance of the device and its removal as soon as it is no longer needed. Decontamination of surgical instruments (CFPP 01-01) (chapter 6) Health Technical Memorandum 01-06: Decontamination of flexible endoscopes 	<p>What infection control measures are in use when carrying out a consultation / performing a scan on people requiring isolation? E.g. people with infectious diarrhoea</p> <ul style="list-style-type: none"> What are the results of local cleaning / hand hygiene audits? Is the trust managing and decontaminating reusable medical devices in line with national guidance such as the DH Health Technical Memorandum on decontamination? Is the trust following the guidance outlined in the management and decontamination of flexible endoscopes HTM?
<p>Report sub-heading: Environment and equipment</p>		
<ul style="list-style-type: none"> S1.1 How are safety and safeguarding systems, processes and practices 		<ul style="list-style-type: none"> Is resuscitation equipment readily available?

<p>developed, implemented and communicated to staff?</p> <ul style="list-style-type: none"> • S1.9 Do the design, maintenance and use of facilities and premises keep people safe? • S1.10 Do the maintenance and use of equipment keep people safe? • S1.11 Do the arrangements for managing waste and clinical specimens keep people safe? (This includes classification, segregation, storage, labelling, handling and, where appropriate, treatment and disposal of waste.) 		<ul style="list-style-type: none"> • How does the service ensure specialised personal protective equipment is available and used?
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Key line of enquiry: **S2**

S2. How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?

Report sub-heading: **Assessing and responding to patient risk**

Prompts	Professional standard	Sector specific guidance
<ul style="list-style-type: none"> • S2.5 Are comprehensive risk assessments carried out for people who use services and risk management plans developed in line with national guidance? Are risks managed positively? • S2.6 How do staff identify and respond appropriately to changing risks to people who use services, including deteriorating health and wellbeing, medical emergencies or behaviour that challenges? Are staff able to seek support from senior staff in these situations? 	<ul style="list-style-type: none"> • Sepsis: recognition, diagnosis and early management (NICE Guideline 51) • NICE QS34 (Self harm) Statement 2 - initial assessments • NICE CG16 (Self harm in over 8s) • National Safety Standards for Invasive Procedures (NatSSIPs) Version number: 1 published: 7 September 	<ul style="list-style-type: none"> • Are there clear pathways and processes for the assessment of people within outpatient clinics or who are clinically unwell and require hospital admission? • Do staff have access to 24/7 mental health liaison (covering the age range of the ward/ clinic) and/or other specialist mental health support if they are concerned about risks associated with a patient's mental health?

	<p>2015</p> <ul style="list-style-type: none"> • Brief guide: NatSSIPs and LocSSIPs (CQC internal guidance) 	<ul style="list-style-type: none"> • Do staff know how to make an urgent referral to them? • Do they get a timely response? • Are staff provided with a debrief/ other support after involvement in aggressive or violent incidents? • How do leaders ensure that employees who are involved in the performance of invasive procedures develop shared understanding and are educated in good safety practice, as set out in the national standards? • Have managers ensured that there is a plan in place to develop local Safety Standards for Invasive Procedures using the national Safety Standards for Invasive Procedures. Have they assessed the need for these against all invasive procedures carried out? • For services that treat children, do they have access to a registered children's nurse that can provide advice at all times? • For services that treat children, what additional wider arrangements are there in place to manage a deteriorating child? •
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Report sub-heading: Nurse staffing		
<ul style="list-style-type: none"> • S2.1 How are staffing levels and skill mix planned and reviewed so that people receive safe care and treatment at all times and staff do not work excessive hours? • S2.2 How do actual staffing levels and skill mix compare with the planned levels? Is cover provided for staff absence? • S2.3 Do arrangements for using bank, agency and locum staff keep people safe at all times? • S2.4 How do arrangements for handovers and shift changes ensure that people are safe? • S2.7 How is the impact on safety assessed and monitored when carrying out changes to the service or the staff? 		<p>Note: there are no standards or guidelines for how OP clinics should be staffed (either medical or nursing)</p> <ul style="list-style-type: none"> • How are staffing requirements ascertained? • Do they use agency? What are the local induction policies? • For services that treat children, do they have access to a registered children's nurse that can provide advice at all times? (The registered nurse does not have to be on site , however they must be reachable for advice at all times for example, by telephone.
Report sub-heading: Medical staffing		
<ul style="list-style-type: none"> • S2.1 How are staffing levels and skill mix planned and reviewed so that people receive safe care and treatment at all times and staff do not work excessive hours? • S2.2 How do actual staffing levels and skill mix compare with the planned levels? Is cover provided for staff absence? • S2.3 Do arrangements for using bank, agency and locum staff keep people safe at all times? 		<p>Note: there are no standards or guidelines for how OP clinics should be staffed (either medical or nursing)</p> <ul style="list-style-type: none"> • How are staffing requirements ascertained? • Do they use agency? What are the local induction policies?

<ul style="list-style-type: none"> • S2.4 How do arrangements for handovers and shift changes ensure that people are safe? • S2.7 How is the impact on safety assessed and monitored when carrying out changes to the service or the staff? 		
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Key line of enquiry: **S3**

S3. Do staff have all the information they need to deliver safe care and treatment to people?

Prompts	Professional standard	Sector specific guidance
Report sub-heading: Records		
<ul style="list-style-type: none"> • S3.1 Are people’s individual care records, including clinical data, written and managed in a way that keeps people safe? • S3.2 Is all the information needed to deliver safe care and treatment available to relevant staff in a timely and accessible way? (This may include test and imaging results, care and risk assessments, care plans and case notes.) • S3.3 When people move between teams, services and organisations (which may include at referral, discharge, transfer and transition), is all the information needed for their ongoing care shared appropriately, in a timely way and in line with relevant protocols? • S3.4 How well do the systems that manage information about people who use services support staff, carers and partner agencies to 	<ul style="list-style-type: none"> • Records management code of practice for health and social care • NICE QS15 Statement 12: Patients experience coordinated care with clear and accurate information exchange between relevant health and social care professionals. • NICE QS121 Statement 3: People prescribed an antimicrobial have the clinical indication, dose and duration of treatment documented in their clinical record. 	<p>Is there a system for ensuring medical records availability for clinics?</p> <ul style="list-style-type: none"> ➤ Is this audited? ➤ What has been done to increase compliance? ➤ Can risk be mitigated - i.e. are records available electronically? <ul style="list-style-type: none"> • What happens if notes not available – are clinic appointments cancelled or people seen without notes? • How does the provider communicate with GP’s? How long does it take? Is this measured / monitored by the provider? • When people are prescribed an antimicrobial do they have the

<p>deliver safe care and treatment? (This includes coordination between different electronic and paper-based systems and appropriate access for staff to records.)</p>		<p>clinical indication, dose and duration of treatment documented in their clinical record?</p> <ul style="list-style-type: none"> • When appropriate, do records contain details of patients' <ul style="list-style-type: none"> ○ mental health needs ○ learning disability needs ○ autism needs ○ dementia needs <p>alongside their physical health needs?</p> <ul style="list-style-type: none"> • Are staff confident the records will tell them if a patient has one of these underlying diagnoses? • What systems are in place to identify patients with pre-existing <ul style="list-style-type: none"> ○ mental health conditions ○ learning disability ○ autism diagnosis ○ dementia? • If a patient has been seen by a member of the mental health liaison team, is their mental health assessment, care plan and risk assessment accessible to staff on the ward/ clinic? • Does the staff team have advice from mental health liaison about what to do if the patient attempts to discharge themselves, refuses treatment or other contingencies?
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- When relevant, do staff have access to patient-specific information, such as care programme approach (CPA) care plans, positive behaviour support plans, health passports, communication aids? Do they use or refer to them?

Key line of enquiry: **S4**

S4. How does the provider ensure the proper and safe use of medicines, where the service is responsible?

Prompts

Professional standard

Sector specific guidance

Report sub-heading: **Medicines**

- S4.1 How are medicines and medicines-related stationery managed (that is, ordered, transported, stored and disposed of safely and securely)? (This includes medical gases and emergency medicines and equipment.)
- S4.2 Are medicines appropriately prescribed, administered and/or supplied to people in line with the relevant legislation, current national guidance or best available evidence?
- S4.3 Do people receive specific advice about their medicines in line with current national guidance or evidence?
- S4.4 How does the service make sure that people receive their medicines as intended, and is this recorded appropriately?
- S4.5 Are people's medicines reconciled in line with current national guidance on transfer between locations or changes in levels of care?

- [Nursing and Midwifery Council NMC - Standards for Medicine Management](#)
- [NICE QS61 Statement 1](#): People are prescribed antibiotics in accordance with local antibiotic formularies.
- [NICE QS121 Statement 4](#): People in hospital who are prescribed an antimicrobial have a microbiological sample taken and their treatment reviewed when the results are available
- [Start Smart then Focus: Antimicrobial Stewardship Toolkit](#)
- [NICE CG52](#) Drug misuse in over 16s: opioid detoxification

- Is an outpatient survey carried out and does it include information about: proportion of respondents to the survey indicating that a member of staff did **not** explain to them:
 - How to take new medications?
 - The purpose of the medications they were to take at home in a way they understood?
 - About medication side effects to watch for?
 - The reason for the change to their medication in a way that they could understand?
- Are there arrangements to ensure safe arrangements for safety of controlled drugs and chemotherapy given in outpatients?

<ul style="list-style-type: none"> • S4.6 Are people receiving appropriate therapeutic drug and physical health monitoring with appropriate follow-up in accordance with current national guidance or evidence? • S4.7 Are people's medicines regularly reviewed including the use of 'when required' medicines? • S4.8 How does the service make sure that people's behaviour is not controlled by excessive or inappropriate use of medicines? 	<ul style="list-style-type: none"> • NICE CG100 Alcohol-use disorders: diagnosis and management of physical complications 	<ul style="list-style-type: none"> • Are there arrangement to ensure safe storage of prescription FP10`s? • When people are prescribed an antimicrobial do they have a microbiological sample taken and is their treatment reviewed when results are available? • When someone dependent on alcohol or illegal drugs is admitted, are they offered medicines to assist their withdrawal and associated side-effects?
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Key line of enquiry: **S5 & S6**

S5. What is the track record on safety?

S6. Are lessons learned and improvement made when things go wrong?

Prompts	Professional standard	Sector specific guidance
Report sub-heading: Incidents		
<ul style="list-style-type: none"> • S5.1 What is the safety performance over time? • S5.2 How does safety performance compare with other similar services? • S5.3 How well safety is monitored using information from a range of sources (including performance against safety goals where appropriate)? • S6.1 Do staff understand their responsibilities to raise concerns, to record safety incidents, concerns and near misses, 	<ul style="list-style-type: none"> • A never event is a <i>serious, wholly preventable</i> patient safety incident that has the <i>potential to cause serious patient harm or death, has occurred in the past and is easily recognisable and clearly defined.</i> <ul style="list-style-type: none"> ➢ Revised never events policy and framework (2015) ➢ Never events list 2015/16 • Never Events List 2015/15 - FAQ 	<ul style="list-style-type: none"> • Do mortality and morbidity reviews feed into service improvement? Are these undertaken monthly, MDT attended, minuted and lessons learnt? • Is there evidence in incident investigations that duty of candour has been applied?

<p>and to report them internally and externally, where appropriate?</p> <ul style="list-style-type: none"> • S6.2 What are the arrangements for reviewing and investigating safety and safeguarding incidents and events when things go wrong? Are all relevant staff, services, partner organisations and people who use services involved in reviews and investigations • S6.3 How are lessons learned, and themes identified and is action taken as a result of investigations when things go wrong? • S6.4 How well is the learning from lessons shared to make sure that action is taken to improve safety? Do staff participate in and learn from reviews and investigations by other services and organisations? • S6.5 How effective are the arrangements to respond to relevant external safety alerts, recalls, inquiries, investigations or reviews? 	<ul style="list-style-type: none"> • Serious Incidents (SIs) should be investigated using the Serious Incident Framework 2015. • (NICE QS66 Statement 4): For adults who receive intravenous (IV) fluid therapy in hospital, clear incidents of fluid mismanagement are reported as critical incidents. • Duty of Candour: As soon as reasonably practicable after becoming aware that a notifiable safety incident has occurred a health service body must notify the relevant person that the incident has occurred, provide reasonable support to the relevant person in relation to the incident and offer an apology. 	
<p>Report sub-heading: Safety Thermometer</p>		
<ul style="list-style-type: none"> • S5.1 What is the safety performance overtime? • S5.2 How does safety performance compare with other similar services? • S5.3 How well safety is monitored using information from a range of sources (including performance against safety goals where appropriate)? 	<ul style="list-style-type: none"> • NICE QS3 Statement 1: All patients, on admission, receive an assessment of VTE and bleeding risk using the clinical risk assessment criteria described in the national tool. • NICE QS3 Statement 4: Patients are re-assessed within 24 hours of admission for risk of VTE and bleeding. 	

	<ul style="list-style-type: none">• Safety Thermometer	
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Effective

By effective, we mean that people's care, treatment and support achieves good outcomes, promotes a good quality of life and is based on the best available evidence.

Key line of enquiry: E1

E1. Are people's care, treatment and support achieves good outcomes, promotes a good quality of life and is based on the best available evidence.

Prompts

Professional standard

Sector specific guidance

Report sub-heading: Evidence-based care and treatment

<ul style="list-style-type: none"> E1.1 Are people's physical, mental health and social needs holistically assessed, and is their care, treatment and support delivered in line with legislation, standards and evidence-based guidance, including NICE and other expert professional bodies, to achieve effective outcomes? E1.2 What processes are in place to ensure there is no discrimination, including on the grounds of protected characteristics under the Equality Act, when making care and treatment decisions? E1.3 How is technology and equipment used to enhance the delivery of effective care and treatment and to support people's independence? E1.4 Are the rights of people subject to the Mental Health Act 1983 (MHA) protected and 	<ul style="list-style-type: none"> NICE guideline NG28 – Type 2 diabetes in adults: management NICE guideline 101 – COPD in over 16s: diagnosis and management NICE guideline 118 – Colonoscopic surveillance for preventing colorectal cancer in adults with ulcerative colitis, Crohn's disease or a denomas NICE QS66 Statement 2: Adults receiving intravenous (IV) fluid therapy in hospital are cared for by healthcare professionals competent in assessing patients' fluid and electrolyte needs, prescribing and 	<ul style="list-style-type: none"> How does the service ensure it identified and implements relevant best practice and guidance, such as NICE guidance? Are there protocols/ proformas in place in clinics? Do they audit their practice locally against the guidelines? Are outpatient procedures such as hysteroscopy / cystoscopy etc carried out in line with professional guidance? Participation in National benchmarking clinical audits
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<p>do staff have regard to the MHA Code of Practice?</p> <ul style="list-style-type: none"> • E1.7 Are people told when they need to seek further help and advised what to do if their condition deteriorates? 	<p>administering IV fluids, and monitoring patient experience.</p> <ul style="list-style-type: none"> • (NICE QS3 Statement 5): Patients assessed to be at risk of VTE are offered VTE prophylaxis in accordance with NICE guidance. • NICE QS90 (2015) UTI in adults • NICE QS121 Statement 6: Prescribers in secondary and dental care use electronic prescribing systems that link indication with the antimicrobial prescription • Use of the Lester tool supports the recommendations in NICE CG 178 Psychosis and schizophrenia in adults: prevention and management and NICE CG 155 Psychosis and schizophrenia in children and young people: recognition and management • NICE NG10 - Violence and aggression: short-term management in mental health, health and community settings • NICE CG42 - Dementia: supporting people with dementia and their carers in health and social care • NICE CG90 - Depression in adults: recognition and management 	<ul style="list-style-type: none"> • In assessing whether NICE guidance is followed, take the following into account: <ul style="list-style-type: none"> ○ Details of the provider's Clinical Audit programme to support and monitor implementation of NICE guidance ○ Details of additional prescribing audits that may be completed by junior doctors on rotation. ○ Utilisation of NICE implementation support tools such as the baseline assessment tools. • A Provider submission demonstrating good practice to the NICE shared learning database. NICE checks that the examples are in line with their recommendations and quality statements. • Do prescribers in secondary care use electronic prescribing systems which link the indication with the antimicrobial prescription? • Do staff follow best practice for assessing and monitoring the physical health of people with severe mental illness? For example do they undertake appropriate health screening for example cardiometabolic screening and falls risk assessment?
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	<ul style="list-style-type: none"> • NICE CG91 - Depression in adults with a chronic physical health problem: recognition and management • Assessing mental health in acute trusts – guidance for inspectors 	<ul style="list-style-type: none"> • Are relevant staff able to deal with any violence and aggression in an appropriate way? • Do staff handovers routinely refer to the psychological and emotional needs of patients, as well as their relatives / carers? • Do older people who may be frail or vulnerable receive (or get referred for) a comprehensive assessment of their physical, mental and social needs as a result of their contact with the service? • Are patients who are suspected to be experiencing depression referred for a mental health assessment?
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Report sub-heading: Nutrition and hydration

<ul style="list-style-type: none"> • E1.5 How are people's nutrition and hydration needs (including those related to culture and religion) identified, monitored and met? Where relevant, what access is there to dietary and nutritional specialists to assist in this? 	<ul style="list-style-type: none"> • NICE QS15 Statement 10: Patients have their physical and psychological Needs regularly assessed and addressed, including nutrition, hydration, pain relief, personal hygiene and anxiety. 	<ul style="list-style-type: none"> • What arrangements are in place in terms of food and drink for patients who are in the department for any length of time?
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Report sub-heading: Pain relief

<ul style="list-style-type: none"> • E1.6 How is a person's pain assessed and managed, particularly for those people where there are difficulties in communicating? 	<ul style="list-style-type: none"> • Core Standards for Pain Management Services in the UK • NICE QS15 Statement 10: Patients have their physical and psychological 	<ul style="list-style-type: none"> • How has the service implemented the Faculty of Pain Medicine's Core Standards for Pain Management (2015)?
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	<ul style="list-style-type: none"> needs regularly assessed and addressed, including nutrition, hydration, pain relief, personal hygiene and anxiety. 	<ul style="list-style-type: none"> Do staff use an appropriate tool to help assess the level of pain in patients who are non-verbal? For example, DisDAT (Disability Distress Assessment Tool) helps to identify the source of distress, e.g. pain, in people with severe communication difficulties. GMC recommended. Abbey Pain Scale for people with dementia.
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Key line of enquiry: **E2**

E2. How are people's care and treatment outcomes monitored and how do they compare with other similar services?

Prompts	Professional standard	Sector specific guidance
Report sub heading: Patient outcomes		
<ul style="list-style-type: none"> E2.1 Is information about the outcomes of people's care and treatment (both physical and mental where appropriate) routinely collected and monitored? E2.2 Does this information show that the intended outcomes for people are being achieved? E2.3 How do outcomes for people in this service compare with other similar services and how have they changed over time? E2.4 Is there participation in relevant quality improvement initiatives, such as local and national clinical audits, benchmarking, (approved) accreditation schemes, peer review, research, trials and other quality improvement initiatives? Are all relevant 		<ul style="list-style-type: none"> How has the service responded to the CQC Inpatient Survey, in particular the proportion of respondents who stated that they rated the care they received at the outpatients department as poor or very poor? Does the provider participate in the Improving Quality in Physiological Services (IQIPS). If so what departments are accredited and what level of accreditation does it hold?

staff involved in activities to monitor and use information to improve outcomes?

Key line of enquiry: E3

E3. How does the service make sure that staff have the skills, knowledge and experience to deliver effective care, support and treatment?

Prompts

Professional standard

Sector specific guidance

Report sub heading: **Competent staff**

- E3.1 Do people have their assessed needs, preferences and choices met by staff with the right skills and knowledge?
- E3.2 How are the learning needs of all staff identified? Do staff have appropriate training to meet their learning needs to cover the scope of their work and is there protected time for this training?
- E3.3 Are staff encouraged and given opportunities to develop?
- E3.4 What are the arrangements for supporting and managing staff to deliver effective care and treatment? (This includes one-to-one meetings, appraisals, coaching and mentoring, clinical supervision and revalidation.)
- E3.5 How is poor or variable staff performance identified and managed? How are staff supported to improve?
- E3.7 Are volunteers recruited where required, and are they trained and supported for the role they undertake?

- [NICE NG11](#) - Challenging behaviour and learning disabilities prevention and interventions for people with learning disabilities whose behaviour challenges
- [NICE QS121 Statement 5](#): Individuals and teams responsible for antimicrobial stewardship monitor data and provide feedback on prescribing practice at prescriber, team, organisation and commissioner level.
- [Start Smart then Focus: Antimicrobial Stewardship Toolkit](#)

- Are sub-speciality clinics run by clinicians with the required training in the field?
- Do individuals and teams responsible for antimicrobial stewardship monitor data and provide feedback on prescribing practice at prescriber and team level?
- For services that treat children do staff have the appropriate skills to recognise and treat a deteriorating child? For example, allergic reaction to contrasting medium or vaccine.
- Do staff have the skills to sensitively manage any difficult behaviours that patients may display?
- Do staff have the skills, knowledge and experience to identify and manage issues arising from patients'
 - mental health conditions

		<ul style="list-style-type: none"> ○ learning disability ○ autism ○ dementia? <ul style="list-style-type: none"> ● Does the psychiatric liaison or similar team have members with the skills, knowledge and experience to work with patients with <ul style="list-style-type: none"> ○ learning disabilities ○ autism ○ dementia diagnoses?
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Key line of enquiry: **E4**

E4. How well do staff, teams and services within and across organisations work together to deliver effective care and treatment?

Prompts	Professional standard	Sector specific guidance
Report sub-heading: Multidisciplinary working		
<ul style="list-style-type: none"> ● E4.1 Are all necessary staff, including those in different teams, services and organisations, involved in assessing, planning and delivering care and treatment? ● E4.2 How is care delivered and reviewed in a coordinated way when different teams, services or organisations are involved? ● E4.3 How are people assured that they will receive consistent coordinated, person-centred care and support when they use, or move between different services? ● E4.4 Are all relevant teams, services and organisations informed when people are discharged from a service? Where relevant, 	<ul style="list-style-type: none"> ● PHSO: A report of investigations into unsafe discharge from hospital ● Transition between inpatient hospital settings and community or care home settings for adults with social care needs (NICE guideline 27) ● NICE NG43 Transition from children's to adults' services for young people using health or social care services 	<ul style="list-style-type: none"> ● Does the service use specialist nurses in clinic? ● Does the service provide one stop clinics involving different disciplines of staff working together? ● Are there established links with <ul style="list-style-type: none"> ○ mental health services ○ learning disability ○ autism ○ dementia services? ● Is there evidence of multi-disciplinary/ interagency working

<p>is discharge undertaken at an appropriate time of day and only done when any necessary ongoing care is in place?</p>		<p>when required? If not, how do staff ensure safe discharge arrangements for people with complex needs?</p> <ul style="list-style-type: none"> • Are there established links with <ul style="list-style-type: none"> ○ Child and Adolescent Mental Health Services (CAMHS) ○ Children’s Social Services teams? • Is there evidence of multi-disciplinary/ interagency working when required?
<p>Report sub-heading: Seven-day services</p>		
<ul style="list-style-type: none"> • E4.5 How are high-quality services made available that support care to be delivered seven days a week and how is their effect on improving patient outcomes monitored? 		
<p>Key line of enquiry: E5</p>		
<p>E5. How are people supported to live healthier lives and where the service is responsible, how does it improve the health of its population?</p>		
<p>Prompts</p>	<p>Professional standard</p>	<p>Sector specific guidance</p>
<p>Report sub-heading: Health promotion</p>		
<ul style="list-style-type: none"> • E5.1 Are people identified who may need extra support? This includes: <ul style="list-style-type: none"> • people in the last 12 months of their lives • people at risk of developing a long-term condition • carers 		

- E5.2 How are people involved in regularly monitoring their health, including health assessments and checks, where appropriate and necessary
- E5.3 Are people who use services empowered and supported to manage their own health, care and wellbeing and to maximise their independence?
- E5.4 Where abnormalities or risk factors are identified that may require additional support or intervention, are changes to people's care or treatment discussed and followed up between staff, people and their carers where necessary?
- E5.5 How are national priorities to improve the population's health supported? (For example, smoking cessation, obesity, drug and alcohol dependency, dementia and cancer.)

Key line of enquiry: **E6**

E6. Is consent to care and treatment always sought in line with legislation and guidance?

Prompts

Professional standard

Sector specific guidance

Report sub-heading: **Consent, Mental Capacity Act and DOLs**

- E6.1 Do staff understand the relevant consent and decision making requirements of legislation and guidance, including the Mental Capacity Act 2005 and the Children's Acts 1989 and 2004 and other relevant national standards and guidance?

- [Consent: patients and doctors making decisions together \(GMC\)](#)
- [Consent - The basics \(Medical Protection\)](#)

- Are any patients detained under the Mental Health Act? If so, are staff aware there are additional steps to consider if the patient does not consent to treatment? Do they know where to get advice on this?

<ul style="list-style-type: none"> • E6.2 How are people supported to make decisions in line with relevant legislation and guidance? • E6.3 How and when is possible lack of mental capacity to make a particular decision assessed and recorded? • E6.4 How is the process for seeking consent monitored and reviewed to ensure it meets legal requirements and follows relevant national guidance? • E6.5 When people lack the mental capacity to make a decision, do staff ensure that best interests decisions are made in accordance with legislation? • E6.6 How does the service promote supportive practice that avoids the need for physical restraint? Where physical restraint may be necessary, how does the service ensure that it is used in a safe, proportionate, and monitored way as part of a wider person centred support plan? • E6.7 Do staff recognise when people aged 16 and over and who lack mental capacity are being deprived of their liberty, and do they seek authorisation to do so when they consider it necessary and proportionate? 	<ul style="list-style-type: none"> • Department of Health reference guide to consent for examination or treatment • BMA Consent Toolkit • BMA Children and young people tool kit • Gillick competence • MHA Code of Practice (including children and young people - chapter 19) 	
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Caring

By caring, we mean that the service involves and treats people with compassion, kindness, dignity and respect.

Key line of enquiry: C1, C2 & C3

C1. How does the service ensure that people are treated with kindness, dignity, respect and compassion, and that they are given emotional support when needed?

C2. 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?

C3. How is people's privacy and dignity respected and promoted?

Generic prompts	Professional Standard	Sector specific guidance
Report sub-heading: Compassionate care		
<ul style="list-style-type: none"> C1.1 Do staff understand and respect the personal, cultural, social and religious needs of people and how these may relate to care needs, and do they take these into account in the way they deliver services? Is this information recorded and shared with other services or providers? C1.2 Do staff take the time to interact with people who use the service and those close to them in a respectful and considerate way? C1.3 Do staff show an encouraging, sensitive and supportive attitude to people who use services and those close to them? 	<ul style="list-style-type: none"> NICE QS15 Statement 1: Patients are treated with dignity, kindness, compassion, courtesy, respect, understanding and honesty. NICE QS15 Statement 3: Patients are introduced to all healthcare professionals involved in their care, and are made aware of the roles and responsibilities of the members of the healthcare team. 	<ul style="list-style-type: none"> Are service users able to speak to the receptionist without being overheard? How do staff ensure that when intimate personal care and support is being given by a member of the opposite sex, service users are offered the option on a chaperone? How do staff ensure that chaperones are, where possible, the same gender as the service user? Do staff members display understanding and a non-judgemental attitude towards (or when talking

<ul style="list-style-type: none"> • C1.4 Do staff raise concerns about disrespectful, discriminatory or abusive behaviour or attitudes? • C3.1 How does the service and staff make sure that people's privacy and dignity needs are understood and always respected, including during physical or intimate care and examinations? • C3.2 Do staff respond in a compassionate, timely and appropriate way when people experience physical pain, discomfort or emotional distress? 		<ul style="list-style-type: none"> about) patients who have <ul style="list-style-type: none"> ○ mental health, ○ learning disability, ○ autism ○ dementia diagnoses? • How do staff respond to patients who might be <ul style="list-style-type: none"> ○ frightened ○ confused ○ phobic about medical procedures or any aspect of their care?
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Report sub-heading: Emotional support

<ul style="list-style-type: none"> • C1.5 Do staff understand the impact that a person's care, treatment or condition will have on their wellbeing and on those close to them, both emotionally and socially? • C1.6 Are people given appropriate and timely support and information to cope emotionally with their care, treatment or condition? Are they advised how to find other support services? • C2.7 What emotional support and information is provided to those close to people who use services, including carers, family and dependants? 	<ul style="list-style-type: none"> • NICE QS15 Statement 10: Patients have their physical and psychological needs regularly assessed and addressed, including nutrition, hydration, pain relief, personal hygiene and anxiety. 	<ul style="list-style-type: none"> • Do staff provide people who use services with information leaflets / written information to explain their condition and treatment plan? • Are treatment options discussed with people and are they encouraged to be part of the decision making process? • Are patients (and their families) who receive life-changing diagnoses given appropriate emotional support, including help to access further support services? • (Life-changing conditions include, but are not limited to, terminal illness, bariatric surgery or HIV. Menopause
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		<p>can also impact on women's emotional health)</p> <ul style="list-style-type: none"> • If a patient becomes distressed in an open environment, how do staff assist them to maintain their privacy and dignity?
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Report sub-heading: **Understanding and involvement of patients and those close to them**

<ul style="list-style-type: none"> • C2.1 Do staff communicate with people so that they understand their care, treatment and condition and any advice given? • C2.2 Do staff seek accessible ways to communicate with people when their protected equality or other characteristics make this necessary? • C2.3 How do staff make sure that people who use services and those close to them are able to find further information, including community and advocacy services, or ask questions about their care and treatment? How are they supported to access these? • C2.4 Are people empowered and supported, where necessary, to use and link with support networks and advocacy, so that it will have a positive impact on their health, care and wellbeing? • C2.5 Do staff routinely involve people who use services and those close to them (including carers and dependants) in planning and making shared decisions about their care and treatment? Do people feel 	<ul style="list-style-type: none"> • NICE QS15 Statement 2: Patients experience effective interactions with staff who have demonstrated competency in relevant communication skills. • NICE QS15 Statement 4: Patients have opportunities to discuss their health beliefs, concerns and preferences to inform their individualised care. • NICE QS15 Statement 5: Patients are supported by healthcare professionals to understand relevant treatment options, including benefits, risks and potential consequences. • NICE QS15 Statement 13: Patients' preferences for sharing information with their partner, family members and/or carers are established, respected and reviewed throughout their care. 	<ul style="list-style-type: none"> • Following their appointment, do service users understand how and when they will receive test results / next appointment date? • Do service users describe receiving copies of letters sent between the hospital and their GP? • Do service users describe knowing who to contact if they were worried about their condition or treatment after they left hospital? • Is information regarding safeguarding from abuse displayed where service users will see it? • Are service users informed in advance if there is a planned change of consultant? • Do staff have access to communication aids to help patients
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<p>listened to, respected and have their views considered?</p> <ul style="list-style-type: none"> • C2.6 Are people’s carers, advocates and representatives including family members and friends, identified, welcomed, and treated as important partners in the delivery of their care? • C3.3 How are people assured that information about them is treated confidentially in a way that complies with the Data Protection Act and that staff support people to make and review choices about sharing their information? 	<ul style="list-style-type: none"> • GMC Guidance and resources for people with communication difficulties 	<p>become partners in their care and treatment? For example, is there evidence that they use the patient’s own preferred methods or are easy read materials available (and used)?</p>
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Responsive

By responsive, we mean that services meet people's needs

Key line of enquiry: R1 & R2

R1. How do people receive personalised care that is responsive to their needs?

R2. Do services take account of the particular needs and choices of different people?

Prompts	Professional standard	Sector specific guidance
Report sub-heading: Service delivery to meet the needs of local people		
<ul style="list-style-type: none"> R1.1 Do the services provided reflect the needs of the population served and do they ensure flexibility, choice and continuity of care? R1.2 Where people's needs and choices are not being met, is this identified and used to inform how services are improved and developed? R1.3 Are the facilities and premises appropriate for the services that are delivered? 	<ul style="list-style-type: none"> Butterfly scheme (other schemes exist) Change can disorientate people with these conditions, and sometimes triggers behaviour that challenges, for example: NICE CG142 Autism: recognition, referral, diagnosis and management of adults on the autism spectrum 	<ul style="list-style-type: none"> Is the environment appropriate and patient centred (comfortable/ sufficient seating, toilets and magazines, drinks machine, separate play area for children in an adult clinic)? Is there sufficient care parking available (change available from a machine, shuttle service from distant car parks, parking paid for on exit, one price per appointment therefore if clinics running late then still pay same amount)? Is the department clearly signposted (or volunteers to help)?

		<ul style="list-style-type: none">• Is information provided to service users in accessible formats before appointments, e.g. contact details, hospital map and directions, consultant name, information about any tests / samples / fasting required?• Are there specialist clinics for local population (eg people with sickle cell disease)?• Is public transport availability considered? What is the timeliness of appointments?• Are there out of hours clinics - evening and weekends?• Are people who use services given pagers so they can leave the waiting room for a break?• Is there any use of telemedicine / skype / telephone appointments as alternative to face to face appointments?• Is there support in place to aid the delivery of care to patients in need of additional support? For example dementia champions or dementia symbols above bed or Learning Disability link nurses or stickers on paper records.
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		<ul style="list-style-type: none"> • Are the needs of patients with <ul style="list-style-type: none"> ○ mental health conditions ○ learning disability ○ autism ○ dementia <p>routinely considered when any changes are made to the service? For example, through use of an impact assessment.</p> <ul style="list-style-type: none"> • Is there a quiet area where patients can wait if they find busy environments distressing? • How do staff know where to find patients who are not waiting in the usual place? • Are signage and/or public announcements clear enough to be understood by people who are unfamiliar with the environment?
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Report sub-heading: Meeting people's individual needs

<ul style="list-style-type: none"> • R1.4 How does the service identify and meet the information and communication needs of people with a disability or sensory loss. How does it record, highlight and share this information with others when required, and gain people's consent to do so? • R2.1 How are services delivered, made accessible and coordinated to take account of the needs of different people, including those 	<ul style="list-style-type: none"> • NICE QS15 Statement 9: Patients experience care that is tailored to their needs and personal preferences, taking into account their circumstances, their ability to access services and their coexisting conditions • Accessible Information Standard 	<ul style="list-style-type: none"> • How does the service ensure that appointments for new service users allow time to ask questions and have follow-up tests? • Is support with transport available to service users with mobility issues?
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<p>with protected characteristics under the Equality Act and those in vulnerable circumstances?</p> <ul style="list-style-type: none"> • R2.2 How are services delivered and co-ordinated to be accessible and responsive to people with complex needs?¹ • R2.3 How are people, supported during referral, transfer between services and discharge? • R2.4 Are reasonable adjustments made so that people with a disability can access and use services on an equal basis to others? • R2.5 Do key staff work across services to coordinate people's involvement with families and carers, particularly for those with multiple long-term conditions? • R2.9 How are services delivered and coordinated to ensure that people who may be approaching the end of life are identified, including those with a protected equality characteristic and people whose circumstances may make them vulnerable, and that this information is shared? (CYP core service framework only) • R2.10 How are people who may be approaching the end of life supported to make informed choices about their care? Are people's decisions documented and delivered through a personalised care plan and shared 	<ul style="list-style-type: none"> • NICE NG27 Transition between inpatient hospital settings and community or care home settings for adults with social care needs. Of particular relevance to Looked After Children and Young People – see NICE QS31 • ‘Dementia Charter’ 	<ul style="list-style-type: none"> • Does the service provide appropriate support for bariatric patients? • How does the service manage care of vulnerable service users; for example, allowing service users living with dementia to bypass queues at reception / when clinics are running late? • How does the service take account of individual needs of the following groups of patients: <ul style="list-style-type: none"> ○ People with complex needs ○ People with mental health conditions ○ People with learning disabilities or autism ○ People with dementia • In areas where ethnic minority groups form a significant proportion of the local population, are processes in place to aide translation? • If people with <ul style="list-style-type: none"> ○ a mental health condition ○ learning disability ○ autism ○ dementia need extra support or supervision on the ward or in the clinic is this available?
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¹. For example, people living with dementia or people with a learning disability or autism.

<p>with others who may need to be informed? (CYP core service framework only)</p> <ul style="list-style-type: none"> R2.11 If any treatment is changed or withdrawn, what are the processes to ensure that this is managed openly and sensitively so that people have a comfortable and dignified death? (CYP core service framework only) 		<ul style="list-style-type: none"> Are appropriate discharge arrangements in place for people with complex health and social care needs? This may mean taking account of chaotic lifestyles. When appropriate do Community Mental Health Teams (CMHTs), Community Learning Disabilities Teams (CLDTs), Child and Adolescent Mental Health Teams (CAMHS) or similar, get copied into discharge correspondence?
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Key line of enquiry: **R3**

R3. Can people access care and treatment in a timely way?

Prompts	Professional standard	Sector specific guidance
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Report sub-heading: **Access and flow**

<ul style="list-style-type: none"> R3.1 Do people have timely access to initial assessment, test results, diagnosis, or treatment? R3.2 Can people access care and treatment at a time to suit them? R3.3 What action is taken to minimise the length of time people have to wait for care, treatment, or advice? R3.4 Do people with the most urgent needs have their care and treatment prioritised? 		<ul style="list-style-type: none"> Are there arrangements for temporary workforce / homeless / travellers (specifically thinking about communication of appointments and letters)? Are service users offered a choice of appointments? Are same day / next day appointments available if needed? (so called 'hot' clinics)
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<ul style="list-style-type: none"> • R3.5 Are appointment systems easy to use and do they support people to access appointments? • R3.6 Are appointments care and treatment only cancelled or delayed when absolutely necessary? Are delays or cancellations explained to people, and are people supported to access care and treatment again as soon as possible? • R3.7 Do services run on time, and are people kept informed about any disruption? • R3.8 How is technology used to support timely access to care and treatment? Is the technology (including telephone systems and online/digital services) easy to use? 		<ul style="list-style-type: none"> • What is the waiting times for outpatient appointments to be made? Including cancer waiting times? • How long are people kept waiting once they arrive in the department? • Is the waiting time for appointments / at appointments communicated? • How does the service manage DNA rates? • Are people with urgent mental health needs seen within one hour of referral by an appropriate mental health clinician and assessed in a timely manner?
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Key line of enquiry: R4

R4. How are people’s concerns and complaints listened and responded to and used to improve the quality of care?

Prompts	Professional standard	Sector specific guidance
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Report sub-heading: **Learning from complaints and concerns**

<ul style="list-style-type: none"> • R4.1 How well do people who use the service know how to make a complaint or raise concerns and how comfortable do they feel doing so in their own way? How are people encouraged to make a complaint, and how confident are they to speak up? 	<p>The NHS constitution gives people the right to</p> <ul style="list-style-type: none"> ➤ Have complaints dealt with efficiently and be investigated. ➤ Know the outcome of the investigation. 	<ul style="list-style-type: none"> • How many complaints have been referred to the Parliamentary and Health Service Ombudsman?
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<ul style="list-style-type: none"> • R4.2 How easy is it for people to use the system to make a complaint or raise concerns? Are people treated compassionately and given the help and support, through use of accessible information or protection measures if they need to make a complaint? • R4.3 How effectively are complaints handled, including to ensure openness and transparency, confidentially, regular updates for the complainant, a timely response and explanation of the outcome, and a formal record? • R4.4 How are people who raise concerns or complaints protected from discrimination, harassment or disadvantage? • R4.5 To what extent are concerns and complaints used as an opportunity to learn and drive improvement? 	<ul style="list-style-type: none"> ➤ Take their complaint to an independent Parliamentary and Health Service Ombudsman. • Receive compensation if they have been harmed. 	
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Well-led

By well-led, we mean that the 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.

Key line of enquiry: **W1**

W1. Is there the leadership capacity and capability to deliver high-quality, sustainable care?

Prompts	Professional standard	Sector specific guidance
Report sub-heading: Leadership		
<ul style="list-style-type: none">• W1.1 Do leaders have the skills, knowledge, experience and integrity that they need – both when they are appointed and on an ongoing basis?• W1.2 Do leaders understand the challenges to quality and sustainability, and can they identify the actions needed to address them?• W1.3 Are leaders visible and approachable?• W1.4 Are there clear priorities for ensuring sustainable, compassionate, inclusive and effective leadership, and is there a leadership strategy or development programme, which includes succession planning?		

Key line of enquiry: **W2**

W2. Is there a clear vision and credible strategy to deliver high-quality sustainable care to people who use services, and robust plans to deliver?

Prompts

Professional standard

Sector specific guidance

Report sub-heading: **Vision and strategy**

- W2.1 Is there a clear vision and a set of values, with quality and sustainability as the top priorities?
- W2.2 Is there a robust, realistic strategy for achieving the priorities and delivering good quality sustainable care?
- W2.3 Have the vision, values and strategy been developed using a structured planning process in collaboration with staff, people who use services, and external partners?
- W2.4 Do staff know and understand what the vision, values and strategy are, and their role in achieving them?
- W2.5 Is the strategy aligned to local plans in the wider health and social care economy, and how have services been planned to meet the needs of the relevant population?
- W2.6 Is progress against delivery of the strategy and local plans monitored and reviewed, and is there evidence to show this?

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Key line of enquiry: **W3**

W3. Is there a culture of high-quality, sustainable care?

Generic prompts

Professional Standard

Sector specific guidance

Report sub-heading: **Culture**

- W3.1 Do staff feel supported, respected and valued?
- W3.2 Is the culture centred on the needs and experience of people who use services?
- W3.3 Do staff feel positive and proud to work in the organisation?
- W3.4 Is action taken to address behaviour and performance that is inconsistent with the vision and values, regardless of seniority?
- W3.5 Does the culture encourage, openness and honesty at all levels within the organisation, including with people who use services, in response to incidents? Do leaders and staff understand the importance of staff being able to raise concerns without fear of retribution, and is appropriate learning and action taken as a result of concerns raised?
- W3.6 Are there mechanisms for providing all staff at every level with the development they need, including high-quality appraisal and career development conversations?
- W3.7 Is there a strong emphasis on the safety and well-being of staff?
- W3.8 Are equality and diversity promoted within and beyond the organisation? Do all staff, including those with particular protected characteristics under the Equality Act, feel they are treated equitably?

- [NMC Openness and honesty when things go wrong](#): the professional duty of candour
- [NRLS - Being Open Communicating patient safety incidents with patients, their families and carers](#)
- [Duty of Candour](#) – CQC guidance
- [Eight high impact actions to improve the working environment for junior doctors](#)

- What processes and procedures does the provider have in place to ensure they meet the duty of candour? For example, training, support for staff, policy and audits.

<ul style="list-style-type: none"> W3.9 Are there cooperative, supportive and appreciative relationships among staff? Do staff and teams work collaboratively, share responsibility and resolve conflict quickly and constructively? 		
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Key line of enquiry: W4

W4. Are there clear responsibilities, roles and systems of accountability to support good governance and management?

Generic prompts	Professional Standard	Sector specific guidance
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Report sub-heading: **Governance**

<ul style="list-style-type: none"> W4.1 Are there effective structures, processes and systems of accountability to support the delivery of the strategy and good quality, sustainable services? Are these regularly reviewed and improved? W4.2 Do all levels of governance and management function effectively and interact with each other appropriately? W4.3 Are staff at all levels clear about their roles and do they understand what they are accountable for, and to whom? W4.4 Are arrangements with partners and third-party providers governed and managed effectively to encourage appropriate interaction and promote coordinated, person-centred care? 	<ul style="list-style-type: none"> NICE QS121 Statement 5: Individuals and teams responsible for antimicrobial stewardship monitor data and provide feedback on prescribing practice at prescriber, team, organisation and commissioner level. 	<ul style="list-style-type: none"> What are the governance procedures for managing and monitoring any SLAs the provider has with third parties?
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Key line of enquiry: W5

W5. Are there clear and effective processes for managing risks, issues and performance?

Generic prompts	Professional Standard	Sector specific guidance
Report sub-heading: Managing risks, issues and performance		
<ul style="list-style-type: none"> • W5.1 Are there comprehensive assurance systems, and are performance issues escalated appropriately through clear structures and processes? Are these regularly reviewed and improved? • W5.2 Are there processes to manage current and future performance? Are these regularly reviewed and improved? • W5.3 Is there a systematic programme of clinical and internal audit to monitor quality, operational and financial processes, and systems to identify where action should be taken? • W5.4 Are there robust arrangements for identifying, recording and managing risks, issues and mitigating actions? Is there alignment between the recorded risks and what staff say is 'on their worry list'? • W5.5 Are potential risks taken into account when planning services, for example seasonal or other expected or unexpected fluctuations in demand, or disruption to staffing or facilities? • W5.6 When considering developments to services or efficiency changes, how is the impact on quality and sustainability assessed 	<ul style="list-style-type: none"> • NICE QS121 Statement 5: Individuals and teams responsible for antimicrobial stewardship monitor data and provide feedback on prescribing practice at prescriber, team, organisation and commissioner level. 	<ul style="list-style-type: none"> • Is there effective trust board oversight of performance regarding antimicrobial prescribing and stewardship? What action is taken when issues are identified?

and monitored? Are there examples of where financial pressures have compromised care?

Key line of enquiry: W6

W6. Is appropriate and accurate information being effectively processed, challenged and acted upon?

Generic prompts

Professional Standard

Sector specific guidance

Report sub-heading: **Managing information**

- W6.1 Is there a holistic understanding of performance, which sufficiently covers and integrates people’s views with information on quality, operations and finances? Is information used to measure for improvement, not just assurance?
- W6.2 Do quality and sustainability both receive sufficient coverage in relevant meetings at all levels? Do all staff have sufficient access to information, and do they challenge it appropriately?
- W6.3 Are there clear and robust service performance measures, which are reported and monitored?
- W6.4 Are there effective arrangements to ensure that the information used to monitor, manage and report on quality and performance is accurate, valid, reliable, timely and relevant? What action is taken when issues are identified?

<ul style="list-style-type: none"> • W6.5 Are information technology systems used effectively to monitor and improve the quality of care? • W6.6 Are there effective arrangements to ensure that data or notifications are submitted to external bodies as required? • W6.7 Are there robust arrangements (including internal and external validation) to ensure the availability, integrity and confidentiality of identifiable data, records and data management systems, in line with data security standards? Are lessons learned when there are data security breaches? 		
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Key line of enquiry: **W7**

Are the people who use services, the public, staff and external partners engaged and involved to support high-quality sustainable services?

Generic prompts	Professional Standard	Sector specific guidance
Report sub-heading: Engagement		
<ul style="list-style-type: none"> • W7.1 Are people's views and experiences gathered and acted on to shape and improve the services and culture? Does this include people in a range of equality groups? • W7.2 Are people who use services, those close to them and their representatives actively engaged and involved in decision-making to shape services and culture? Does this include people in a range of equality groups? 		<ul style="list-style-type: none"> • Are outpatient surveys in use? • Are the questions sufficiently open ended to allow people to express themselves?

<ul style="list-style-type: none"> • W7.3 Are staff actively engaged so that their views are reflected in the planning and delivery of services and in shaping the culture? Does this include those with a protected characteristic? • W7.4 Are there positive and collaborative relationships with external partners to build a shared understanding of challenges within the system and the needs of the relevant population, and to deliver services to meet those needs? • W7.5 Is there transparency and openness with all stakeholders about performance? 		
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Key line of enquiry: **W8**

W8. Are there robust systems and processes for learning, continuous improvement and innovation?

Prompts	Professional standard	Sector specific guidance
Report sub-heading: Learning, continuous improvement and innovation		
<ul style="list-style-type: none"> • W8.1 In what ways do leaders and staff strive for continuous learning, improvement and innovation? Does this include participating in appropriate research projects and recognised accreditation schemes? • W8.2 Are there standardised improvement tools and methods, and do staff have the skills to use them? • W8.3 How effective is participation in and learning from internal and external reviews, including those related to mortality or the death of a person using the service? Is 		<ul style="list-style-type: none"> • How does the service ensure that links with Operation Delivery Networks are maintained and well managed?

<p>learning shared effectively and used to make improvements?</p> <ul style="list-style-type: none">• W8.4 Do all staff regularly take time out to work together to resolve problems and to review individual and team objectives, processes and performance? Does this lead to improvements and innovation?• W8.5 Are there systems to support improvement and innovation work, including objectives and rewards for staff, data systems, and processes for evaluating and sharing the results of improvement work?		
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