



Norfolk and Norwich
University Hospitals

NHS Foundation Trust

CQC information for staff



Introduction

Inspections are our opportunity to present all of the excellent work you complete every day. Take the time with inspectors to tell them about what makes you proud to work for the NHS and how you provide the best possible care for our patients, visitors and colleagues. Identify projects, new ways of working or patient stories to share that demonstrate outstanding care.

This booklet introduces the CQC Fundamental Standards. The questions are those that the CQC, internal audit or other visitors may ask you and we would expect you to be able to answer.

Please review the questions in this booklet and if you don't know how you would answer any query please ask your line manager or a colleague.



The Norfolk and Norwich University Hospitals NHS Trust strives for excellence for our Patients, Staff and Visitors. We welcome our colleagues in the Care Quality Commission and other regulators to our organisation to review our services and advise us how we can provide the best environment for both working and caring. To be an outstanding organisation we need all employees to be outstanding and the questions in this booklet are those that if you can answer them positively demonstrate your personal excellence. We are so proud of the journey this organisation has taken so far and we look forward to continuing to build an outstanding hospital for all.

Pride values

Our vision is to 'provide every patient with the care we want for those we love the most',
Our PRIDE values support our vision and guide the behaviour of everything we do.



- **People-focused:** We look after the needs of our patients, carers and colleagues, to provide a safe and caring experience for all.
- **Respect:** We act with care, compassion and kindness and value others' diverse needs.
- **Integrity:** We take an honest, open and ethical approach to everything we do.
- **Dedication:** We work as one team and support each other to maintain the highest professional standards.
- **Excellence:** We continuously learn and improve to achieve the best outcomes for our patients and our hospital.

Please note: the word patient is used throughout this booklet, but you should use the word that is appropriate to your client group.

The CQC describe their function as
"We make sure health and social care services provide people with safe, effective, compassionate, high-quality care and we encourage them to improve."

The inspection process reviews our services and following their visits the inspectors provide us with feedback on those areas of good practice and also recommendations of how we can improve. In instances where there are safety concerns that can issue performance notices and increase the level of scrutiny or frequency of visits.

Following review our services will be given one of 4 inspection ratings:

- ★ **Outstanding** - the service is performing exceptionally well.
- **Good** - the service is performing well and meeting our expectations.
- **Requires improvement** - the service isn't performing as well as it should and we have told the service how it must improve.
- **Inadequate** - the service is performing badly and we've taken enforcement action against the provider of the service.

The inspection team reviews services in relation to the five key questions and rates them on the scale above. The CQC can inspect as a follow up to a previous inspection or in response to a particular issue or concern.

What to do when an inspector calls

- Welcome the inspector to your service; be friendly and polite as usual.
- Check and confirm the identity of the inspector and legitimacy and purpose of the visit.
- Ask them to sign in (where required).
- Inform your line manager, if not present at the time, who will contact anybody else in the Trust that needs to be informed/involved in the process.



What happens during an inspection?

During an inspection the CQC inspectors will gather information in a variety of ways. For example, the CQC may:

- Speak with patients/carers.
- Hold a public listening event or a series of smaller focused events to gather the public's views.
- Hold focus groups with separate groups of staff.
- Hold drop-in sessions for patients and staff.
- Interview directors as well as all Trust staff.
- Check that the right systems and processes are in place.
- Review patient and staff records.
- Review documentation – e.g. policies, training records and audits.

Key tips for inspections

- Answer any questions openly and honestly.
- If you don't know the answer, don't panic; explain who you would ask or where you would go for the information.
- Business as usual; behave as you usually do.
- If you are dealing with patients, continue to do so and understand that your patients come first.
- Respect patient confidentiality and always check with patients if the inspector wants them to observe your interaction with them.
- Do not share log-in details to any computer systems with the inspector. You may, however, allow them to view a system that you are logged into. If in any doubt, please refer to your line manager.
- Patient files may be viewed by the inspector, but should not be removed.
- Most of all, be proud of the work you and your team do and use this as an opportunity to showcase your good work.

How can we prepare?



There is a lot we can do to ensure that our services meet the Fundamental Standards, which will also help us prepare for a CQC inspection.

Remember, an inspection is our time to show how we make a difference; for staff to showcase what we do well and what we as a Trust are doing to make improvements to the services we deliver.

General house-keeping for everyone

- Wear your name badge at all times.
- Follow the Trust's Dress Code.
- Check noticeboards are up-to-date and information leaflet stands are current and stocked; the CQC may ask you about information that is displayed.
- Ensure hand sanitiser and any appropriate PPE is available and used on entering the premises (where appropriate).
- Make sure all areas including offices/ reception areas are clean and tidy.
- Replace broken furniture or remove items no longer used.
- Escalate outstanding estates jobs, especially where they relate to patient or staff safety.
- Make sure your appraisal, management/ professional/clinical supervision and mandatory training is up-to-date.



- Know how you would raise a concern – e.g. safeguarding, and how to contact the Freedom To Speak Up Guardian.
- Know what your team is proud of and also understand plans to improve any areas of concern.
- Know how lessons from complaints or incidents are shared and learned from in your team.

Five key questions – quick guide

Safe

- S1 Safety and safeguarding
- S2 Monitoring and managing safe services
- S3 Information needed to deliver care
- S4 Medicines
- S5 Safety performance and monitoring
- S6 Incident reporting and learning lessons

Effective

- E1 Evidence-based guidance and standards
- E2 Monitoring patient outcomes
- E3 Staff skills, knowledge and experience
- E4 Working together
- E5 Health improvement
- E6 Consent to care and treatment

Caring

- C1 Kindness, respect and compassion
- C2 Accessible communication and involvement
- C3 Privacy and dignity



Responsive

R1 Personalised, responsive care

R2 Meeting different people's needs

R3 Timely access

R4 Concerns and complaints

Well led

W1 Leadership capacity and capability

W2 Vision and strategy

W3 Organisation culture

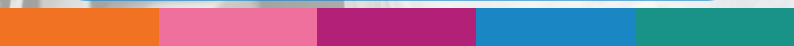
W4 Accountability, governance and management

W5 Risks, issues and performance

W6 Performance information

W7 Patient, public, staff and partner engagement

W8 Continuous learning, improvement and innovation



Is my service safe

Are patients protected from abuse and avoidable harm?

	Yes	No
• Do I ensure patient safety is a priority in my day-to-day role?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know who to contact to raise concerns in relation to signs or allegations of abuse, safeguarding, patient safety incidents and near misses?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know how to recognise, record and report an adult safeguarding concern?	<input type="checkbox"/>	<input type="checkbox"/>
• Have I attended safeguarding training specific to the area I work in?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I act promptly to make sure patients'/carers' concerns are addressed in a timely way?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know when I should follow the Duty of Candour and what to do and say to the patient or their carer?	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
• Are incidents and lessons learned regularly discussed within my team?	<input type="checkbox"/>	<input type="checkbox"/>
• Are actions taken and improvements made when things go wrong?	<input type="checkbox"/>	<input type="checkbox"/>
• Are staffing levels planned and reviewed?	<input type="checkbox"/>	<input type="checkbox"/>
• Do all staff in my team (including bank, agency and locum) receive a local induction?	<input type="checkbox"/>	<input type="checkbox"/>
• Do effective shift handovers take place?	<input type="checkbox"/>	<input type="checkbox"/>
• When a patient is discharged, do I make sure all information is shared with the relevant team/service/agency?	<input type="checkbox"/>	<input type="checkbox"/>
• Does every patient have a risk assessment (e.g. falls, pressure ulcers, mental capacity)?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I monitor my patients (for both physical and mental health) and ensure notes, care/treatment plans and risk assessments are updated accordingly and act promptly to make changes?	<input type="checkbox"/>	<input type="checkbox"/>

- Are patient records reviewed/audited on a regular basis, i.e. accurate, complete, legible, up to date and stored securely?
- Am I trained and confident in the use of electronic systems that I use?
- Do I make sure the clinical environment is safe before seeing a patient?
- Is the equipment used in my job role regularly checked and maintained?
- Do I understand what a single-use device is?
- Am I trained and competent to use the equipment required for my job role?
- Do I know where to locate resuscitation equipment and is the equipment regularly checked and maintained?
- Do I always follow the hand hygiene procedures before and after contact with a patient?

Yes No

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	Yes	No
• Do I know who the Infection Prevention and Control Link Practitioner is for my service and how to contact them for advice on infection control?	<input type="checkbox"/>	<input type="checkbox"/>
• Have I had my flu jab?	<input type="checkbox"/>	<input type="checkbox"/>
• Have I had my COVID jabs?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I understand medicines policies and processes relevant to my job role?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know how to obtain advice on medicines?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know the procedures for controlled drugs and safe handling/securing of drugs?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I always check a patient's allergy status and note this?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know what to do if a patient has an adverse reaction or if their health deteriorates?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know what to do in an emergency?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know how well my team performs against safety goals?	<input type="checkbox"/>	<input type="checkbox"/>

Is my service effective?

Do patients receive care, treatment and support that achieves good outcomes, promotes a good quality of life and is based on best available evidence?

- Am I aware of National guidance relevant to my job role? Do I follow it?
- Do I get involved in clinical audits, benchmarking, accreditation, peer review, research or trials and can I show resulting improvements?
- Do I always seek patient consent to care and treatment in line with legislation guidance?
- Do I provide the information (benefits/risks) to gain valid consent?
- Am I able to test for capacity (under the Mental Capacity Act) and do I understand DoLS (Deprivation of Liberty Safeguards)?

Yes

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No

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- | | Yes | No |
|---|--------------------------|--------------------------|
| • If a patient lacks capacity, do I know how to ensure their best interests are assessed and recorded? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Do I assess patients holistically and consider all their care needs? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Are these reflected in their care/treatment plans? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Do I have all the information needed to deliver effective care and treatment (e.g. assessments, care/treatment plans, notes, test results)? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Do I involve patients in the design of their own care/treatment plan and offer them a copy? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Does my service monitor patient outcomes and take action to make improvements? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Do I involve and support carers to be able to care for their loved ones? | <input type="checkbox"/> | <input type="checkbox"/> |

Yes

No

- Do I ensure multi-disciplinary involvement in patient care and participate in handover and multi-disciplinary meetings?
- Do I work with others to access and plan ongoing care and treatment in a timely way when people are due to move between teams/services?
- Do I ensure people who are approaching end of life are identified and care delivered according to their care treatment plan?
- Do I ensure my patients' nutrition and hydration needs are assessed, met and recorded?
- Do I support pain management in a timely way?
- Do I know what the protected characteristics are under the Equality Act?

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	Yes	No
• Did I receive a local induction when I started this job role?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I maintain my personal knowledge by attending training/conferences or reading guidance and journals?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I attend regular meaningful clinical supervision (group or individual) and feel supported in my personal development?	<input type="checkbox"/>	<input type="checkbox"/>
• Does supervision include a review of patient records and mandatory training?	<input type="checkbox"/>	<input type="checkbox"/>
• Have all my competencies been assessed and signed off?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know how my team monitors compliance against the CQC Fundamental Standards and Key Lines of Enquiry (KLOEs)?	<input type="checkbox"/>	<input type="checkbox"/>

Is my service caring?

Are patients involved in their care, is their care tailored to their needs and are patients treated with compassion, kindness, dignity and respect?

- Do I always introduce myself to patients/carers and wear my name badge at all times?
- Do I give patients/carers support and information about the services that are available to them, about their treatment or medication and where to gain further support?
- Are noticeboards and information leaflets up-to-date and stocked?
- Do I always consider patients' personal, cultural and religious needs?
- Do I know how to access additional support for patients such as language interpreters, easy read, audio, specialist advice or advocates?

Yes

No

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	Yes	No
• Do I understand equality and diversity within my service?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I always treat patients/carers with dignity, respect and kindness, provide privacy and confidentiality at all times?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I always involve patients/carers in decisions about their care or treatment so that they understand their care, treatment and condition?	<input type="checkbox"/>	<input type="checkbox"/>
• Are care/treatment plans personalised?	<input type="checkbox"/>	<input type="checkbox"/>
• Are patients/carers involved in developing their care/treatment plans? How?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I respond in a compassionate, timely and appropriate way when a patient experiences physical pain, discomfort or emotional distress?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I report any disrespectful, discriminatory or abusive behaviour towards patients/staff?	<input type="checkbox"/>	<input type="checkbox"/>

Yes

No

- Do I feel confident having difficult conversations with patients/carers (e.g. breaking bad news)?
- Do patients/carers know how to make a complaint/compliment?
- Is the environment clean and comfortable?

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Is my service responsive?

Patients get the treatment or care at the right time, without excessive delay and are involved and listened to.

- Is there an operational policy for my service and am I up to date with the contents?
- Do I always take a personalised approach to care?
- Do I prioritise patients according to their need?
- Is my team able to meet the needs and preferences of different groups, including people with protected characteristics under the Equality Act?
- Do I make appropriate arrangements to support people with complex needs for example living with a learning disability or dementia?

Yes

No

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- | | Yes | No |
|---|--------------------------|--------------------------|
| • Are reasonable adjustments made so that disabled people can access and use services on an equal basis to others? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Do I know how to contact an advocate or an interpreter for a patient? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Are patients' waiting times kept to a minimum and are these managed? | <input type="checkbox"/> | <input type="checkbox"/> |
| • If I cancel an appointment, do I give an explanation and provide a follow-up? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Do I ensure patients are seen as close to their home as possible? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Are patients kept on a ward for the minimum amount of time needed? | <input type="checkbox"/> | <input type="checkbox"/> |
| • Do I encourage patients to feedback their experiences of the service and provide the means to do this (e.g. the Friends and Family Test)? | <input type="checkbox"/> | <input type="checkbox"/> |

	Yes	No
• Do I know what patients are feeding back about the service and do I act on patient/care feedback? Do I know what improvements are being made?	<input type="checkbox"/>	<input type="checkbox"/>
• Are patients informed about how to make a compliment?	<input type="checkbox"/>	<input type="checkbox"/>
• Are patients informed about how to raise a concern or make a complaint?	<input type="checkbox"/>	<input type="checkbox"/>
• Does the team share lessons and learn from clinical audits, incidents or complaints/compliments? Can I think of some examples?	<input type="checkbox"/>	<input type="checkbox"/>
• Am I aware of the Trust's Quality priorities?	<input type="checkbox"/>	<input type="checkbox"/>
• Am I aware of any Quality Improvement plans in my service?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know what the issues are and what actions are taking place and progress to date?	<input type="checkbox"/>	<input type="checkbox"/>

Is my service well led?

Is there effective leadership, management and governance at all levels that assures the delivery of high-quality person-centred care, supports learning and innovation and promotes an open and fair culture?

	Yes	No
• Did I have a corporate induction when I started work here?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know the Trust's vision and values?	<input type="checkbox"/>	<input type="checkbox"/>
• Am I aware of the Trust's Quality and Safety Improvement Strategy?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I understand my own and others' roles and responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>
• Have I had my annual performance appraisal and ongoing supervision with my manager?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I have a personal development plan?	<input type="checkbox"/>	<input type="checkbox"/>
• Is my mandatory training up-to-date?	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
• Do I have access to reflective practice groups (where relevant)?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I attend team meetings and staff listening events ?	<input type="checkbox"/>	<input type="checkbox"/>
• Does the culture in my team encourage positive behaviours such as openness, honesty and respect?	<input type="checkbox"/>	<input type="checkbox"/>
• Am I aware of how and who to escalate staffing concerns to if required?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know how to complain whistleblow, or raise a safeguarding alert?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know how to find support from HR, occupational health, staff wellbeing or a union?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I understand the process for reporting sickness absence?	<input type="checkbox"/>	<input type="checkbox"/>
• Are my leaders visible and approachable?	<input type="checkbox"/>	<input type="checkbox"/>
• Does my team leader promote the safety and wellbeing of staff?	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
• Do I know what the current risks are for my team/service?	<input type="checkbox"/>	<input type="checkbox"/>
• Does my team have arrangements in place for identifying, recording and managing risks, issues and mitigating actions?	<input type="checkbox"/>	<input type="checkbox"/>
• Does my service have mechanisms in place for patient involvement and gathering patient feedback?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I know what patients are saying about my team/service?	<input type="checkbox"/>	<input type="checkbox"/>
• Are lessons shared and learned from incidents/complaints/audits/patient feedback? Do I know what actions are in place?	<input type="checkbox"/>	<input type="checkbox"/>
• Do I have opportunities for continuous learning, improvement and innovation?	<input type="checkbox"/>	<input type="checkbox"/>
• Is my team actively involved in research?	<input type="checkbox"/>	<input type="checkbox"/>
• Am I supported to be part of the equality staff networks and attend meetings if I wish to?	<input type="checkbox"/>	<input type="checkbox"/>



This booklet is based on publications developed by Lincolnshire Partnership NHS Foundation Trust and Cambridge and Peterborough NHS Foundation Trust.