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Learning from recent CQC Inspections

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Introduction

Compliance and Accountability

Common pitfalls

Areas to focus on

When am I due my CQC Inspection?

Support

Mock visits

Coaching for Interviews

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Compliance and Accountability

- Registered Managers and Providers **retain legal responsibility for compliance** with all Regulations, even when delegating responsibilities to third parties or contractors
- **Failure to comply** with Regulations **may result in regulatory action** by the Care Quality Commission (CQC), including refusal of registration.

Assurances, risk assessments, competency

The CQC expect GP practices to provide **assurance** that they have carried out risk assessments to identify all risks and that they are managing these risks.

All systems require a **risk assessment**, but not all systems will require elaborate control measures.

CQC does not make any requirements about who carries out the risk assessment other than that they should be **competent to carry out the task**.

CQC want to see that the practice **adhere to the regulations**, that is all that is expected.

Integration into Practice Operations:

Incorporate Regulation requirements into operational policies, procedures, and training programmes within the GP practice

Conduct regular audits and assessments to monitor compliance with Regulations and remedy any identified deficiencies promptly and document.

Listening

Learning

Impact

Compliance implementation:

Implementing Effective Systems and Processes

Regular Audits and Assessments: Conduct frequent inspections and compliance checks.

Training and Development: Continuous training for staff on CQC standards and best practices.

Risk Management: Implement proactive measures to mitigate risks and potential non-compliance.

Health and safety:

Signage: Fire, hazardous waste

Business continuity Plan: What happens if there is a Power cut/ Fire/flood? Buildings insurance – cover

Documenting Compliance

Checklist

Record Keeping: Maintain comprehensive records of care, maintenance, and staff training.

Evidence of Compliance: Collect and store evidence to demonstrate adherence to CQC regulations

Recent Areas where Practices have fallen down

Fire Safety:

Equipment

Fire drills

Fire risk assessment.

Check monthly

Service annually

Medical Equipment and Drugs

Equipment Calibration and Maintenance:

Fridge temperatures - As per manufacturer guidelines.

Drug Storage and Expiry Dates:

Replace items as necessary and discard expired items

Emergency Kit:

Do you have the right emergency drugs? Has a Risk assessment been carried out for items you do not keep on site?

Replace items as necessary and discard expired items

Helpful reminders **Check the week of CQC inspection**

General Practice CQC Compliance Premises Checklist

Cleanliness and Hygiene

Cleaning Schedule Compliance:

Review cleaning logs monthly. Areas – patients, staff, shared

New Primary Care specific cleaning tool

Declutter, Coat of Paint? And Deep clean prior to CQC visit

Risk assessments in place for storage of hazardous substances e.g. liquid nitrogen, storage of chemicals:

COSHH Folder, secure storage, signage – shared areas

Helpful reminders Check the week of CQC inspection Responsibility? Landlord/Shared

Staff Facilities, Training and Appraisals – Practice and PCN Level

Staff Records:

Review annually and update training as necessary

CV? Gaps

References

DBS – how frequent - clinical vs non - clinical

Immunisations - Job Role?

Mandatory Training

Appropriate safeguarding Training level for Job Role?

Appropriate Training for Job Role – Minor procedures

Outcomes from Appraisals – have they been actioned?

Evidence that you have assured yourself they are safe to deliver care for your patients

Non – Medical Prescribers

ARRS roles

Supervision

Do your staff know who the Leads are?

Documentation and Record Keeping

CQC Registration and Compliance Documents:

Review annually.

Complaints and Significant Events Log:

Review and update monthly

Clinical vs Non clinical

Audit trail

How was the Learning shared – evidence?

Need for escalation?

Policies and Procedures Manual:

Review and update annually or when regulations change

Can you demonstrate these are embedded in your daily practice?

When will I have my CQC visit?

CQC uses a **risk-based inspection schedule**

If you have been rated "**Requires Improvement**" or "**Inadequate**" are inspected more frequently, sometimes within 6 to 12 months.

"**Good**" or "**Outstanding**" are inspected less frequently (every 3 to 5 years)

Check your last inspection date?

Practices can sometimes request a re-inspection

When will I have my CQC visit?

Changes in Services or Leadership

Any significant changes, such as changes in partners, leadership? Mergers or takeovers?

Patient or Stakeholder Concerns

If CQC receives **complaints** or information of concern from patients, whistleblowers, or other stakeholders?

Watch out for complaints or issues raised by patients on public platforms, as these can flag risks to the CQC.

When will I have my CQC visit?

Performance Data and Indicators

The CQC regularly reviews data on patient outcomes, safety, Access and patient feedback to identify practices that may be at risk of delivering poor care.

CQC Insight report (available to practices) show performance across several areas, including safety, effectiveness, and patient satisfaction. If your practice's data shows deterioration, this could trigger an inspection.

When will I have my CQC visit?

Keep an eye on CQC communications

If they are asking for updated information, it could be a sign that they're planning an inspection. CQC often send routine notifications or surveys to practices before inspections.

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Stay Prepared for an Inspection

Keep track of these indicators

Ensure you are addressing any outstanding issues from your last inspection

Keep your policies, procedures, and documentation up to date.

Regular internal audits, patient and staff feedback reviews can also help ensure readiness

Simon Neale

CQC Expert

Helpful Guide developed for NHS Sussex

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Helpful contacts



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Remember...

We are here to support

LMC support:

LMC Observer

NTPM: New to site checklist, some premises considerations

Interview coaching

ICB support:

Erika Bowker (Surrey Heartlands ICB) - visits and VERY helpful guide

Fiona Kellet and Karen Sallis (Sussex ICB) – VERY helpful guide written by Simon Neale

Andy McMylor (South West London ICB)

Medicines Management Team

Infection Control

Quality Leads

Federation Support:

Remember...

Use available resources

CQC Evidence Table

CQC website

CQC Mythbusters

CQC questions

CQC survey questions

Interview Practice

6 facet survey

SSLMCs Training

Practice Index

Training Hub

Helpful resources

CQC

Premises Cost Directions

BMA

LMC

ICBs

Federations



Thank you and any Questions?