

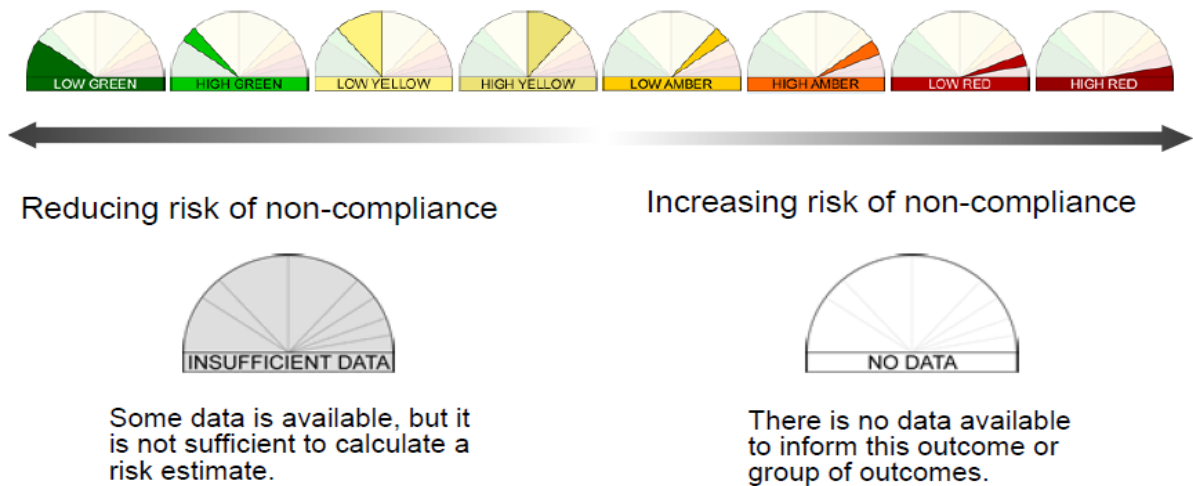
APPENDIX 4 – CARE QUALITY COMMISSION

As part of the Care Quality Commission's (CQC) monitoring of providers' compliance with the essential standards of quality and safety, CQC gather relevant information about each registered provider. The quality and risk profile (QRP) is a tool they use to gather all the information they have in on place.

The Trust as a provider, should use the QRP information to support internal monitoring of quality by identifying areas of lower than average performance and where necessary, take action to address them.

Below is a key to the dials of the risk rating used:

A key to the dials in QRP



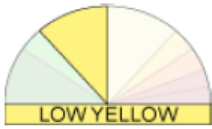
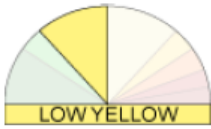
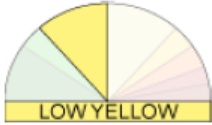
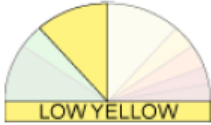
The latest risk estimates below gives an overview of each outcome showing the latest risk estimate which is February 2013 data and previous risk estimate which relates to January 2013 data.

Latest risk estimates

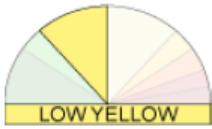
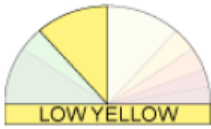


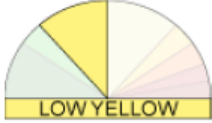
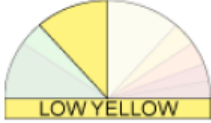
The Care Quality Commission's quality and risk profiles (QRPs) bring together information about a care provider and provide an estimate of risk of non-compliance against each of the 16 essential standards of quality and safety.

They are primarily intended as a tool to support the day to day work of CQC's inspectors. The table below lists the two most recent risk estimates for each of the 16 standards.

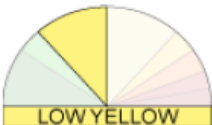
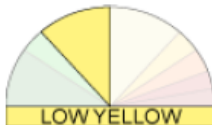
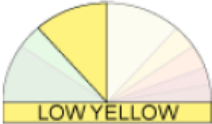






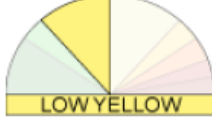
Section 1 - Involvement and information

Outcome	Previous Risk Estimate	Latest Risk Estimate	Latest Data Summary
Outcome 1 (R17) Respecting and involving people who use services	 A semi-circular chart divided into 10 segments. The bottom segment is yellow, and the rest are light green. The text 'LOW YELLOW' is at the bottom.	 A semi-circular chart divided into 10 segments. The bottom segment is yellow, and the rest are light green. The text 'LOW YELLOW' is at the bottom.	Total number of data items: 132 Number of qualitative data items: 28 Number of quantitative data items: 104
Outcome 2 (R18) Consent to care and treatment	 A semi-circular chart divided into 10 segments. The bottom segment is yellow, and the rest are light green. The text 'LOW YELLOW' is at the bottom.	 A semi-circular chart divided into 10 segments. The bottom segment is yellow, and the rest are light green. The text 'LOW YELLOW' is at the bottom.	Total number of data items: 7 Number of qualitative data items: 1 Number of quantitative data items: 6



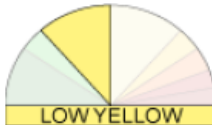
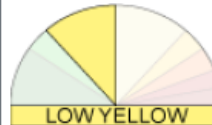
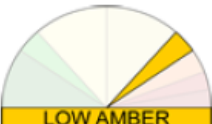
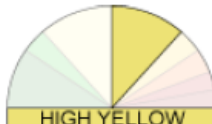
Section 2 - Personalised care

Outcome	Previous Risk Estimate	Latest Risk Estimate	Latest Data Summary
Outcome 4 (R9) Care and welfare of people who use services	 A semi-circular chart divided into 10 segments. The bottom segment is yellow, and the rest are light green. The text 'LOW YELLOW' is at the bottom.	 A semi-circular chart divided into 10 segments. The bottom segment is yellow, and the rest are light green. The text 'LOW YELLOW' is at the bottom.	Total number of data items: 286 Number of qualitative data items: 33 Number of quantitative data items: 253
Outcome 5 (R14) Meeting nutritional needs	 A semi-circular chart divided into 10 segments. The bottom segment is dark green, and the rest are light green. The text 'LOW GREEN' is at the bottom.	 A semi-circular chart divided into 10 segments. The bottom segment is dark green, and the rest are light green. The text 'LOW GREEN' is at the bottom.	Total number of data items: 27 Number of qualitative data items: 8 Number of quantitative data items: 19
Outcome 6 (R24) Cooperating with other providers	 A semi-circular chart divided into 10 segments. The bottom segment is yellow, and the rest are light green. The text 'LOW YELLOW' is at the bottom.	 A semi-circular chart divided into 10 segments. The bottom segment is yellow, and the rest are light green. The text 'LOW YELLOW' is at the bottom.	Total number of data items: 21 Number of qualitative data items: 4 Number of quantitative data items: 17

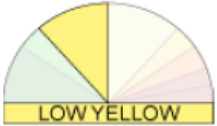
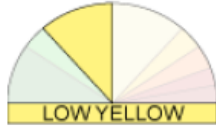




Section 3 - Safeguarding and safety

Outcome	Previous Risk Estimate	Latest Risk Estimate	Latest Data Summary
Outcome 7 (R11) Safeguarding people who use services from abuse	 LOW YELLOW	 LOW YELLOW	Total number of data items: 8 Number of qualitative data items: 6 Number of quantitative data items: 2
Outcome 8 (R12) Cleanliness and infection control	 LOW YELLOW	 HIGH YELLOW	Total number of data items: 78 Number of qualitative data items: 8 Number of quantitative data items: 70
Outcome 9 (R13) Management of medicines	 HIGH YELLOW	 HIGH YELLOW	Total number of data items: 19 Number of qualitative data items: 3 Number of quantitative data items: 16
Outcome 10 (R15) Safety and suitability of premises	 LOW GREEN	 LOW GREEN	Total number of data items: 50 Number of qualitative data items: 2 Number of quantitative data items: 48
Outcome 11 (R16) Safety, availability and suitability of equipment	 LOW YELLOW	 LOW YELLOW	Total number of data items: 14 Number of qualitative data items: 1 Number of quantitative data items: 13

Section 4 - Suitability of staffing

Outcome	Previous Risk Estimate	Latest Risk Estimate	Latest Data Summary
Outcome 12 (R21) Requirements relating to workers	 HIGH YELLOW	 HIGH YELLOW	Total number of data items: 7 Number of qualitative data items: 2 Number of quantitative data items: 5
Outcome 13 (R22) Staffing	 LOW YELLOW	 LOW YELLOW	Total number of data items: 16 Number of qualitative data items: 5 Number of quantitative data items: 11
Outcome 14 (R23) Supporting staff	 LOW AMBER	 HIGH YELLOW	Total number of data items: 82 Number of qualitative data items: 9 Number of quantitative data items: 73

Section 5 - Quality and management

Outcome	Previous Risk Estimate	Latest Risk Estimate	Latest Data Summary
Outcome 16 (R10) Assessing and monitoring the quality of service provision			Total number of data items: 43 Number of qualitative data items: 7 Number of quantitative data items: 36
Outcome 17 (R19) Complaints			Total number of data items: 11 Number of qualitative data items: 2 Number of quantitative data items: 9
Outcome 21 (R20) Records			Total number of data items: 89 Number of qualitative data items: 7 Number of quantitative data items: 82

Section 2 – Third parties of the Monitoring Governance Risk Rating summary shows that in each quarter there has been an unannounced visit from the CQC. The following details the actions required where appropriate:

Quarter	Outcomes Reviewed	Action Type Required (if appropriate)	Action Required
1	Outcomes 4, 7, 8, 9, 11, 14 and 16	Compliance Actions	<p>CIC A&E visit</p> <p>Outcome 8 - Cleanliness and infection control, judged as non-compliant (minor impact) People were not protected from the risk of infection because appropriate guidance had not been followed.</p> <p>Outcome 11 - Safety, availability and suitability of equipment, judged as non-compliant (minor impact). People were not protected from unsafe or unsuitable equipment.</p> <p>Outcome 14 - Supporting workers, judged as non-compliant (moderate impact). People were not being cared for by staff who were supported appropriately. Mandatory training was not being completed by sufficient amounts of staff.</p> <p>Outcome 16 - Assessing and monitoring the quality of service provision, judged as non-compliant (minor impact). The provider did not have effective systems in place to monitor the quality of care that people receive.</p>
2	Outcomes: 4, 6, 8, 13, 14 and 16	n/a	<p>WCH Overwater visit</p> <p>No actions required – fully compliant.</p>

3	IRMER Inspection	Improvement Actions All actions completed.	CIC Radiotherapy Dept: Regulation 4: Duties of employer <ol style="list-style-type: none"> 1. The trust should keep under review how it maintains IR(ME)R employers procedures and associated work instructions, in accordance with regulation 4(1) and schedule 1. 2. The trust should review its arrangements for ensuring that all relevant staff read and understood the employer's written procedures in order that they can comply with them. 3. Protocols for treatment exposures should be reviewed as a matter of urgency, to ensure they reflect practice at the Cumberland Infirmary site. 4. 5. The trust should review its arrangements for triage and escalation of clinical incidents in radiotherapy treatment to ensure that those exposures 'much greater than intended' are duly notified to the Commission
4	Outcomes 8, 11, 14 and 16	n/a	CIC A&E follow up visit from Q1 No actions required – Trust confirmed compliant with outcomes 8, 11, 14 and 16 following actions which had been put in place.
4	Outcomes 4 and 13	TBC	CIC Elm B – Theme of Inspection: The frail acute elderly patient with a focus on care planning and dementia. Formal CQC feedback awaited, however, Code B notice was issued on the day of inspection.