Infection Control and Prevention

Improving Quality, Safety & Care Conference
19th October 2018
Ginny Ryder
The ‘next phase’ Assessment Framework

Introduced 1st November 2017
How we monitor, inspect and rate services can be viewed in our shared handbook for providers, inspectors, public etc and is available from our website: www.cqc.org.uk
• Inspection teams use the updated framework to assess adult social care services, using the key lines of enquiry (KLOEs) and prompts where they are appropriate.

• A document can be downloaded from our website that inspectors reference on inspection. “Key lines of enquiry, prompts and ratings characteristics for adult social care services.”
Key changes affecting Infection Control & Prevention

Since 1st November 2017 Infection Control & Prevention has been a mandatory KLOE; within the key question of **SAFE**

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

**KLOE S5:** How well are people protected by the prevention and control of infection?
KLOE S5 Prevention and control of infection

- S5.1 What are the arrangements for making sure that premises are kept clean and hygienic so that people are protected from infections that could affect both staff and people using services?
- S5.2 Do staff understand their roles and responsibilities in relation to infection control and hygiene?
- S5.3 Are policies and procedures maintained and followed in line with current relevant national guidance?
- S5.4 Where it is part of the service’s role to respond to and help to manage infections, how does the service make sure that it alerts the right external agencies to concerns that affect people’s health and well-being?
- S5.5 Have all relevant staff completed food hygiene training and are correct procedures in place and followed wherever food is prepared and stored?
Inspection planning is key:

• Planning is **critical** to a successful, efficient and effective inspection.

• Planning takes into account information about the service’s history, risks and concerns.

• Planning tool records information and evidence known and needed to direct the how and what of the inspection. It also records inspector judgements about what that information means, what inspectors look at, when, with what resources, in what detail and level of priority.

• Good planning enables best use of resources and the gathering and corroboration of the most useful evidence from the best or most appropriate sources (e.g. people using services, carers, service staff, commissioning staff, community groups).

• The more thorough the planning, the better the inspection is likely to be.
An assessment of infection control and prevention at a residential setting may typically include:

- A walk around the building
- Speaking with people
- Observations
- Review of care records
- Review of policies, procedures, arrangements
- Review of any incidents
- Review of staff training
An inspector may still need to speak with people or review information up until the report is drafted.
• The majority of people are receiving good quality care. This is something to celebrate.

• However where standards fall below what we expect we are focusing on encouraging improvement in services rated as requires improvement

• The inspection findings will be shared with the local authority

• A meeting may be arranged so that the service can be signposted and supported to make improvements
Focused inspections based on risk
Key points

• In Next Phase, ASC will use focused inspections based on risk
• All focused inspections will consider Well-Led alongside any other Key Questions where there are risks, concerns or improvement
• The 6-month limit for a focused inspection to change an overall rating has been removed.
Enforcement
# CQC civil and criminal enforcement powers

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**Protect people who use services by requiring improvement**

**Civil enforcement powers**
- Immediate action to protect from harm
- Time-limited ‘final chance’
- Coordination with other oversight bodies

**Criminal powers**
- Criminal powers
  - Penalty notices
  - Simple cautions
  - Prosecutions

**Holding individuals to account**
- Fit and proper person requirement
- Prosecution of individuals

**Severity**

- Protect people who use services by requiring improvement

- Hold providers to account for failure
Thank you

www.cqc.org.uk
enquiries@cqc.org.uk
@CareQualityComm