ASC Key lines of enquiry mapped to requirements regulated by CQC

Key Question & KLOEs		Suggested mapping	Also consider
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.			
Code	**Key line of enquiry / prompt**		
S1	How do systems, processes and practices safeguard people from abuse?	Regulation 12: Safe care and treatment Regulation 13: Safeguarding service users from abuse and improper treatment Regulation 19: Fit and proper persons employed	Regulation 10: Dignity and respect Regulation 14: Meeting nutritional and hydration needs Regulation 17: Good governance
S2	How are risks to people assessed and their safety managed and monitored so they are supported to stay safe and their freedom respected?	Regulation 12: Safe care and treatment Regulation 13: Safeguarding service users from abuse and improper treatment	Regulation 15: Premises and equipment Regulation 17: Good governance Regulation 20: Duty of candour
S3	How does the service make sure that there are sufficient numbers of suitable staff to support people to stay safe and meet their needs?	Regulation 12: Safe care and treatment Regulation 18: Staffing Regulation 19: Fit and proper persons employed	Regulation 17: Good governance
S4	How does the provider ensure the proper and safe use of medicines?	Regulation 12: Safe care and treatment	Regulation 9: Person centred care Regulation 17: Good governance
S5	How well are people protected by the prevention and control of infection?	Regulation 12: Safe care and treatment	Regulation 15: Premises and equipment Regulation 17: Good governance

Suggested mapping: The regulations / legal requirements include content that relates directly to the KLOE
Also consider: The regulations / legal requirements have content that is relevant to the KLOE

Key Question & KLOEs		Suggested mapping	Also consider
S6	Are lessons learned and improvements made when things go wrong?	Regulation 17: Good governance Regulation 20: Duty of Candour	

Key Question & KLOEs		Suggested mapping	Also consider
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			
Code	Key line of enquiry / prompt		
E1	Are people's needs and choices assessed and care, treatment and support delivered in line with current legislation, standards and evidence based-guidance to achieve effective outcomes?	Regulation 9: Person centred care Regulation 12: Safe care and treatment Regulation 14: Meeting nutritional and hydration needs	Regulation 10: Dignity and respect Regulation 13: Safeguarding service users from abuse and improper treatment Regulation 17: Good governance
E2	How do service make sure that staff have the skills, knowledge and experience to deliver effective care and support?	Regulation 18: Staffing Regulation 19: Fit and proper persons Regulation 12: Safe care and treatment	Regulation 9: Person centred care Regulation 17: Good governance
E3	How are people supported to eat and drink enough to maintain a balanced diet?	Regulation 14: Meeting nutritional and hydration needs Regulation 12: Safe care and treatment	Regulation 9: Person centred care Regulation 11: Need for consent Regulation 17: Good governance Regulation 18: Staffing

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Key Question & KLOEs	Suggested mapping	Also consider
Effective		
E4	How well do staff, teams and services within and across organisations work together to deliver effective care, support and treatment?	Regulation 9: Person centred care	Regulation 12: Safe care and treatment Regulation 17: Good governance
E5	How are people supported to live healthier lives, have access to healthcare services and receive ongoing healthcare support?	Regulation 9: Person centred care Regulation 12: Safe care and treatment	Regulation 13: Safeguarding service users from abuse and improper treatment Regulation 17: Good governance
E6	How are people's individual needs met by the adaptation, design and decoration of the service?	Regulation 15: Premises and equipment	Regulation 9: Person centred care Regulation 10: Dignity and respect Regulation 17: Good governance
E7	Is consent to care and treatment always sought in line with legislation and guidance?	Regulation 11: Need for consent	Regulation 9: Person centred care Regulation 10: Dignity and respect Regulation 17: Good governance

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Key Question & KLOEs		Suggested mapping	Also consider
Caring			
By caring, we mean that the service involves and treats people with compassion, kindness, dignity and respect.			
Code	Key line of enquiry / prompt		
C1	How does the service ensure that people are treated with kindness, respect and compassion, and that they are given emotional support when needed?	Regulation 10: Dignity and respect	Regulation 9: Person centred care Regulation 17: Good governance Regulation 19: Fit and proper persons employed
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?	Regulation 9: Person centred care	Regulation 10: Dignity and respect Regulation 17: Good governance Regulation 20: Duty of Candour
C3	How are people's privacy and dignity and independence respected and promoted?	Regulation 10: Dignity and respect	Regulation 9: Person centred care Regulation 15: Premises and equipment Regulation 17: Good governance

Key Question & KLOEs		Suggested mapping	Also consider
Responsive			
By responsive, we mean that services meet people's needs.			
Code	Key line of enquiry / prompt		
R1	How do people receive personalised care that is responsive to their needs?	Regulation 9: Person centred care Regulation 12: Safe care and treatment	Regulation 10: Dignity and respect Regulation 11: Need for consent Regulation 13: Safeguarding service users from abuse and improper treatment Regulation 15: Premises and equipment Regulation 17: Good governance
R2	How are people's concerns and complaints listened and responded to and used to improve the quality of care?	Regulation 16: Receiving and acting on complaints	Regulation 12: Safe care and treatment Regulation 17: Good governance Regulation 20: Duty of Candour
R3	How are people supported at the end of their life to have a comfortable, dignified and pain-free death?	Regulation 9: Person centred care	Regulation 10: Dignity and respect Regulation 11: Need for consent Regulation 14: Meeting nutritional and hydration needs Regulation 17: Good governance

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Key Question & KLOEs		Suggested mapping	Also consider
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.			
Code	**Key line of enquiry/ prompt**		
W1	Is there a clear vision and credible strategy to deliver high-quality care and support and promote a positive culture that is person-centred, open, inclusive and empowering which achieves good outcomes for people?	Regulation 17: Good governance	Regulation 4: Requirements where the service provider is an individual or partnership Regulation 5: Fit and proper persons Regulation 6: Requirement where the service provider is a body other than a partnership Regulation 7: Requirements relating to Registered Managers
W2	Does the governance framework ensure that responsibilities are clear and that quality performance, risks and regulatory requirements are understood and managed?	Regulation 12: Safe care and treatment Regulation 17: Good governance	Regulation 4: Requirements where the service provider is an individual or partnership Regulation 5: Fit and proper persons Regulation 6: Requirement where the service provider is a body other than a partnership Regulation 7: Requirements relating to Registered Managers Regulation 13: Safeguarding service users from abuse and improper treatment

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Key Question & KLOEs		Suggested mapping	Also consider
Well-led			

			Registration Regulations 2009 - Notifications:
			
			  Regulation 12 Statement of purpose
			  Regulation 14 Absence
			  Regulation 15: Changes
			  Regulation 16: Death
			  Regulation 17: Death/absence of detailed patient
			  Regulation 18: Incidents
			
			Health and Social Care Act 2008, and in particular:
			
			  S10: Requirement to Register
			  S11: Applications to Register (provider)
			  S13: Registered Manager condition
			  S14: Applications to Register (manager)
			  S29: Warning Notices
			  S33: Failure to comply with conditions
			  S34: Suspension of registration
			  S36: False descriptions
			  S63: Obstruction

W3	How are the people who use the service, the public and staff engaged and involved?	Regulation 9: Person centred care Regulation 17: Good governance	Regulation 10: Dignity and respect Regulation 18: Staffing Regulation 20: Duty of Candour

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Key Question & KLOEs		Suggested mapping	Also consider
Well-led			
W4	How does the service continuously learn, improve, innovate and ensure sustainability?	Regulation 17: Good governance	Regulation 5: Fit and proper persons Regulation 6: Requirement where the service provider is a body other than a partnership Regulation 7: Requirements relating to Registered Managers Regulation 16: Complaints Regulation 20: Duty of Candour
W5	How does the service work in partnership with other agencies?	Regulation 12: Safe care and treatment Regulation 17: Good governance	Regulation 9: Person Centred Care

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