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| Overview | This standard identifies the requirements when planning inspection of services to verify continued compliance and encourage improvement. It includes strategic and local level inspection and scrutiny of both regulated and non-regulated services. It includes scrutinising past and current information about the service to establish a baseline.  It includes assessing risk factors including the history of compliance of existing providers and allocating time effectively to allow a margin for consequent enforcement action. It also includes setting objectives, selecting methods and identifying additional resources and expertise to achieve objectives effectively. |

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| **Performance criteria**  You must be able to: | **Plan inspection of services**   1. scrutinise **past and current information** about the **service** to establish a baseline 2. identify areas of risk which have emerged through scrutiny of past and current information 3. ensure identified areas of risk are targeted in the inspection plan 4. set objectives that enable the assessment of any identified risks within the service 5. agree roles and responsibilities with others involved in carrying out inspection 6. identify additional support that can be made available to enable **relevant people** involved in inspection to contribute fully 7. plan for **information** required to be available to all involved in the inspection 8. decide on **methods of inspection** in the plan that are appropriate to the objectives 9. decide on methods of inspectionin the plan that are sensitive to the needs of **individuals** 10. ensure that the inspection plan minimises disruption to staff and individuals 11. plan for the assessment of **management systems** within services to ensure their contribution to **positive outcomes** for individuals 12. ensure plan takes account of possible **ritualistic compliance** 13. develop accurate records of organisational contacts, individuals and groups to be seen 14. plan arrangements to meet with all involved in inspection 15. provide a schedule of timing within the plan which is understood by all those involved 16. ensure the inspection plan is consistent with **procedures** 17. maintain records that are updated in line with procedures |
| Knowledge and understanding  You need to know and understand:  You need to know and understand:  You need to know and understand:  You need to know and understand:  You need to know and understand:  You need to know and understand:  You need to know and understand:  You need to know and understand:  You need to know and understand:  You need to know and understand: | **Rights**   1. legal and work setting requirements on equality, diversity, discrimination and rights 2. your duty to address any acts or omissions that could infringe the rights of individuals   **Your practice**   1. legislation, including capacity and rights legislation, statutory codes, standards, frameworks and guidance appropriate to the organisation's operations and activities and its interpretation 2. your own roles, responsibilities and accountabilities with their limits and boundaries 3. your own background, experiences and beliefs that may have an impact on your practice 4. **other agencies** that may impact on the work of your organisation, including their responsibilities, statutory powers, organisational priorities and staffing arrangements 5. principles of working in partnership with **individuals** and other agencies 6. the meaning of person-centred/child centred approaches and the importance of knowing and respecting each person as an individual 7. meaning of dignity for individuals 8. how to work with other agencies, establishments and other bodies to gather evidence of **positive outcomes** for individuals 9. how to create a culture that promotes openness, creativity and problem solving 10. principles of strategic planning and what a strategic plan should cover 11. principles of quality assurance, quality control and the distinction between them 12. evidence based research relating to provision of services 13. identified lessons learnt from government reports and inquires 14. how to access sources of expert advice in relation to health and social care, health and safety, building regulations, financial security and company law 15. how to recognise areas for improvement against regulations, standards and best practice and how to respond 16. when to use authority and the exercise of regulatory power rather than partnership 17. how to implement, monitor and evaluate systems, practices, policies and procedures 18. difficulties with capture of data and data problems   **Communicating with individuals and organisations**   1. the importance of individuals contributing to inspection and scrutiny activities 2. participatory practice including techniques that can be used to engage with individuals 3. the role of independent representation and advocacy for individuals 4. methods to promote effective communication and enable others to communicate their views and preferences 5. the importance of language in communication and the impact of bilingualism and how to work with it 6. the purpose of working with other professionals and agencies 7. the ethos of organisations and how different organisations work 8. methods to promote effective communication within and between organisations 9. how to convey potentially difficult or unwelcome information 10. how to engage in professional dialogue and provide clear feedback which could contribute to the development of an organisation   **Theory**   1. theories and models of regulation, inspection, scrutiny and frameworks used to evaluate scrutiny and regulation 2. theories about **leadership** and **management** 3. principles of organisational behaviours and cultures 4. factors that may affect the health, wellbeing and development of individualsin health and social care or children and young people’s settings   **Health and Safety**   1. legal and statutory requirements for health and safety 2. organisational policies and practices for monitoring and maintaining health, safety and security in the work environment   **Safeguarding**   1. the responsibility that everyone has to raise concerns about possible harm or abuse, poor or discriminatory practices 2. legislation and national and local policy relating to the safeguarding and protection of children, young people and adults 3. **early indicators of potential abuse** 4. indicators and signs of potential harm or abuse 5. how to respond to concerns about harm and abuse   **Handling information**   1. legal requirements, policies and procedures for the security and confidentiality of information 2. protocols and best practice governing the exchange of information with other individuals and agencies   **Report writing**   1. how to record written information with accuracy, clarity, relevance, and appropriate level of detail including reference of sources of evidence 2. legal and work setting requirements for recording information and producing reports within timescales   **Risk management**   1. principles of positive risk-taking and the relation to inspection and scrutiny activities 2. principles of risk assessment and principles of risk management 3. how to critically evaluate principles and frameworks of risk assessment and risk management   *strat*  **Specific to this NOS**   1. details of particular types of services and setting to be inspected 2. cultural and linguistic contexts of the service being inspected and individuals within that service 3. strategies, principles and methods of inspection and scrutiny activities 4. how to establish schedules of inspection and scrutiny activities 5. effective methods of gathering information that can be used to prepare for or carry out inspection and scrutiny activities 6. how and why to share plans and methods for inspection and scrutiny activities with other agencies 7. how to review inspection and scrutiny plans and make any required amendments 8. how to use information from other agencies to inform judgements 9. how to verify the validity and reliability of evidence including **triangulation** 10. how to define and describe the scope of an inspection or scrutiny 11. the identified standards against which organisations are assessed and how to make judgements against them, including grading if applicable 12. how to recognise and respond to potential conflicts of interest between inspectors and organisations subject to inspection or scrutiny 13. how to plan and conduct interviews and observations 14. how to establish schedules of inspection and scrutiny activities 15. how to assess health and safety risks associated with an inspection programme 16. difficulties such as **ritualistic compliance** and how to overcome game playing or resistance and avoidance strategies 17. the reasons for an iterative approach to collating and analysing evidence |  |

**Additional Information**

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| Scope/range related to performance criteria | The details in this field are explanatory statements of scope and/or examples of possible contexts in which the NOS may apply; they are not to be regarded as range statements required for achievement of the NOS    Note: Where an individual finds it difficult or impossible to express their own preferences and make decisions about their life, achievement of this standard may require the involvement of advocates or others who are able to represent the views and best interests of the individual    Where there are language differences within the work setting, achievement of this standard may require the involvement of interpreters or translation services  The **individual** is an adult, child or young person who uses services  **Information** may include that required to meet legislation, regulation and organisational requirements, performance management indicators and information that supports positive outcomes for individuals. It may include data and other records. Itcould be verbal, written or electronic and needs to be in a format that is accessible to and can be clearly understood by the intended recipient(s). It should be provided within confidentiality agreements, taking account of data protection issues and according to legal and work setting requirements  **Management systems** may include thosesystems within the servicefor managing service and business demands, constraints and priorities  **Methods of inspection** (or scrutiny)include audit, peer review, workplace inspection, sampling, observation, questioning/discussion, examination of records and documentation, checking and verification and should follow any national guidelines or policies. It may include a themed inspection or overall service inspection  **Past and current information** may include previous inspections reports, complaints, whistleblowing, information received from variety of sources  **Positive Outcomes** may include health and safety, wellbeing, achievement of personal goals and ambitions, self esteem  **Procedures** includes health and social care standards, codes of practice / conduct  **Relevant people** may include individuals, their families and carers, service providers, staff and volunteers, other professionals, lay assessors, experts and other specialists  **Ritualistic compliance** may include apparent compliance on paper but deeper evidence shows little evidence of compliance across the whole organisation  **Services** are those within the remit of the organisation and include registered and unregistered services. It may include local authorities, social work, education, statutory service, health, large departments or organisations, whole services, voluntary and independent organisations as well as local level services |

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| **Scope/range related to knowledge and understanding** | The details in this field are explanatory statements of scope and/or examples of possible contexts in which the NOS may apply; they are not to be regarded as range statement required for achievement of the NOS.  **All knowledge statements must be applied in the context of this standard**  **In relation to all knowledge statements you need to know and understand the specified areas of knowledge and be able to critically apply the knowledge and understanding in your practice**  **Early indicators** **of potential abuse** may include, patronising attitudes to adults and children, restrictive practices including unnecessary locking of doors, restriction of positive opportunities, lack of respect in relating to individuals  The **individual** is an adult, child or young person who uses services  **Other agencies** may include other regulatory organisations, commissioners, local authorities, standard setting bodies  **Leadership** is the ability to provide strategic direction and a sense of purpose. Effective leaders create a sense of trust, confidence and belief, inspiring people to adopt the values and behaviours they promote. They are innovative, creative and motivating  **Management** is the ability to set the operational direction and organise the effective running of the service provision to meet the overall service needs including ethical, legislative, regulatory and organisational requirements. Effective managers facilitate and organise resources in order to optimise the performance of others, allowing them to carry out tasks and achieve goals efficiently and effectively. They provide clarity and accountability that enable teams to meet their objectives  **Positive Outcomes** may include health and safety, wellbeing, achievement of personal goals and ambitions, self esteem  **Positive Risk Taking** is a risk based approach that promotes the taking of risks as a deliberate and planned strategy designed to enhance health, welfare and educational outcomes. It represents best practice for professionals in health care, social work and educational settings in terms of promoting dignity, autonomy, and respect when working with children and adults at risk of harm  **Ritualistic compliance** may include apparent compliance on paper but deeper evidence shows little evidence of compliance across the whole organisation  **Triangulation**  is used in [social sciences](http://en.wikipedia.org/wiki/Social_sciences) to indicate that more than two methods are used with a view to double (or triple) checking results | | |
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| **Values** | Adherence to codes of practice or conduct where applicable to your role and the principles and values that underpin your work setting, including the rights of children, young people and adults.  Inspection and scrutiny activities will enhance these rights which include the rights:  To be treated as an individual  To be treated equally and not be discriminated against  To be respected  To have privacy  To be treated in a dignified way  To be protected from danger and harm  To be supported and cared for in a way that meets needs, takes account of choices and also protects  To communicate using preferred methods of communication and language  To access information about themselves  All aspects of inspection and scrutiny activity should seek to build on these underpinning values and should:  Be transparent  Be accountable  Be proportional  Be consistent  Be targeted  Be impartial  Enable providers | |

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| Relevant occupations | Inspectors/Senior Inspectors/Regulators of Health, Social Care and Children’s Services |
| Suite | Inspectors of Health, Social Care, Children and Young People’s Services |
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