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| Overview | This standard identifies the requirements when planning investigation of a service or when leading an inquiry. An investigation is more serious than a routine inspection, scrutiny activity or visit and is usually carried out in response to a serious complaint or issue being raised either by a member of the public, member of staff or another agency. This includes considering the level and urgency of any investigation required. It also includes making decisions about the required involvement of managers and colleagues, sector experts or other agencies in the investigation and identifying who these might be in relation to the given concern or complaint. It also includes identifying key sources of information and methods of enquiry. |

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| **Performance criteria**You must be able to: | **Plan investigation of service**1. assess the level of risk of the complaint
2. develop an **investigation** plansetting out a clear **sequence of action**
3. plan investigation in line with **procedures**
4. co-ordinate with any other organisations that need to take part
5. agree roles and responsibilities with others to be involved in the investigation
6. ensure plan sets specific objectives
7. ensure plan includes time scales for the investigation
8. ensure plan takes account of possible **ritualistic compliance**
9. develop a plan for systemic investigation to analyse whether **systems** within the **service** deliver positive **outcomes** for **individuals**
10. facilitate decision-making by planning to include sources of information which give sufficiency of evidence
11. select **methods of investigation**appropriate to the objectives
12. arrange for individuals to engage in the investigation process by identifying **additional support** necessary for participation
13. build review stages into the investigation plan
14. ensure that **information**  required for the investigation can be provided in a format which is accessible to all involved in the inspection
15. **record** the investigation plan
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| Knowledge and understandingYou 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, an 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

**Specific to this NOS**1. methods of strategic planning
2. how to plan and conduct interviews and observations
3. details of particular types of services and setting to be investigated
4. cultural and linguistic contexts of the service being investigated and individuals within that service
5. effective methods of gathering information that can be used to prepare for or carry out investigations
6. difficulties such as **ritualistic compliance** and how to overcome game playing or resistance and avoidance strategies
7. how to assess health and safety risks associated with an investigation
8. how to recognise and respond to potential conflicts of interest between inspectors and organisations subject to investigation activities
9. factors which may affect the validity, reliability and accuracy of information provided by those involved, distinguishing between allegations, assertions and facts
10. factors which may inhibit clear communication by those involved including fears of retribution, peer pressure and how to minimise them
11. the reasons for an iterative approach to collating and analysing evidence
12. how to develop and test hypotheses
13. how to verify the validity and reliability of evidence including **triangulation**
14. how to make judgements against identified standards including grading if applicable
15. how to recognise potential breaches of regulations or legislation and how to respond
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**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 **Additional support** may include those inside or outside own organisation; it may include specific communication aids or techniques. It may also include the use of translation services or interpreters or advocatesThe **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 the intended recipient(s) and should be provided within confidentiality agreements and according to legal and work setting requirements**Investigation** mayinclude a wider deeper more robust inspection following information received regarding high risk situations in service provision and may also include an inquiry**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**Outcomes** are the changes or differences that individuals or care services are trying to achieve. Hard outcomes are changes that are clear and obvious, or those that involve a visible change in people's behaviour or circumstances. Soft outcomes are changes that are less easy to observe and measure, or those that involve more subtle changes inside people such as a change in someone’s attitude, sense of well-being or how they see or feel about themselves**Procedures** may includelegal and organisational requirements for inspection and scrutiny activities, health and social care standards, codes of practice / conduct**Record** includes recording all evidence and information fully ensuring it is accurate, timed and dated in a way which protects its confidentiality, and evidential value and is in accordance with organisational procedures and legal requirements**Ritualistic compliance** may include apparent compliance on paper but deeper evidence shows little evidence of compliance across the whole organisation**Sequence of action** includes who is to be interviewed, what they are to be asked, in what order and when**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**Systems** within the servicefor managing service and business demands, constraints and priorities |

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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 individualsThe **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 inthe [social sciences](http://en.wikipedia.org/wiki/Social_sciences) to indicate that more than two methods are used in a study with a view to double (or triple) checking results |
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