|  |  |
| --- | --- |
| Overview | This standard identifies the requirements when carrying out an inspection or scrutiny activity. It includes implementing the inspection plan. It includes the steps to take when engaging with a range of relevant people to carry out the inspection and scrutiny activities. It also includes assessment of the service provision, the outcomes for individuals and making judgements against identified standards. It also includes the requirements when following up outcomes of inspection and scrutiny activities. It includes making a judgement against standards of compliance, responding to those judgements and supporting providers to understand their responsibility for improvement. It includes preparing clear documentation for the service provider indicating the judgement and the evidence on which it is based. It also includes giving clarity regarding any corrective action and timescales for this action. |

|  |  |
| --- | --- |
| **Performance criteria**  You must be able to:  You must be able to:  You must be able to:  You must be able to: | **Prepare for inspection or scrutiny activity**   1. provide a **briefing** about the inspection to **relevant people** and other agencies 2. agree roles and responsibilities with all those involved in inspection process 3. review progress and priorities against **inspection plan** 4. revise inspection plan according to outcomes of progress review 5. secure **additional support** necessary to enable relevant people to engage fully in the inspection process   **Carry out inspection or scrutiny activity**   1. **follow** inspection plan when carrying out **inspection** activities 2. lead inspection activities demonstrating behaviour compliant with professional codes of conduct and practice 3. engage with relevant people to include their views in the inspection activity 4. take account of communication needs when engaging relevant people in the inspection activity 5. take steps to maintain the dignity and privacy of all those involved in the inspection activities 6. note through observation, any attitudes and behaviours within the service which cause concern about **early indicators of potential abuse**   **Critically analyse and evaluate service**   1. make an **assessment** of **service** provision against identified standards 2. evaluate how **outcomes** are recorded and measured by service provider 3. evaluate impact of delivery of services on outcomes for individuals 4. evaluate the impact of any previous improvement plan for the service 5. evaluate risk management processes are in place to secure health, safety and wellbeing of individualswithin the service 6. identify any **ritualistic compliance** 7. take steps to overcome any **resistance** strategies on behalf of the provider 8. **record** findings   **Follow up outcomes of inspection**   1. assess risk of harm to individuals within the service provision 2. **escalate** to include others where level of risk for individuals requires further action 3. involve **other agencies** in investigating any abuse according to local multi agency procedures 4. construct a report which gives evidence for judgements about compliance according to organisational procedures 5. make report available to the public 6. encourage service providers to understand the value of published report as a tool for improvement 7. require the service provider to produce an action plan to achieve compliance within agreed timeframes 8. require the service provider to consider their responsibility for continuous improvement within the action plan 9. provide information on other sources of help for improving systems and structures 10. prepare any notices required according to organisational procedures 11. give feedback to service provider's action plan in response to the inspection findings 12. communicate the right to challenge the outcomes of the inspection to the service provider 13. clarify the process for challenging the outcomes of the inspection with the service provider |

|  |  |  |
| --- | --- | --- |
| 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   **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. the identified standards against which organisations are assessed and how to make judgements against them, including grading if applicable 5. how to establish schedules of inspection and scrutiny activities 6. effective methods of gathering information that can be used to prepare for or carry out inspection and scrutiny activities 7. how and why to share plans and methods for inspection and scrutiny activities with other agencies 8. how to review inspection and scrutiny plans and make any required amendments 9. how to assess health and safety risks associated with an inspection programme 10. how to plan and conduct interviews and observations 11. difficulties such as **ritualistic compliance** and how to overcome game playing or resistance and avoidance strategies 12. how to recognise and respond to potential conflicts of interest between inspectors and organisations subject to inspection or scrutiny 13. how to use information from other agencies to inform judgements 14. how to verify the validity and reliability of evidence including **triangulation** 15. the reasons for an iterative approach to collating and analysing evidence 16. how to recognise and acknowledge achievements |  |

**Additional Information**

|  |  |
| --- | --- |
| 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 advocates  **Assessment** can be making an assessment against standards for compliance and also for improvement to a higher level of achievement. It. should bebased on professional judgement and experience and on valid and reliable evidence  **Briefing** should include the purpose of inspection, the methodology and who should take part and it should be in a format which is accessible to anyone who needs the information  **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  **Escalate** may include referral to managers or other teams within the organisation or referral to other organisations such as the police, social services or social work services if abuse uncovered  **Follow** may include the revised inspection plan if it has been necessary to revise  The **individual** is an adult, child or young person who uses services  **Inspection** may includescrutiny activities  **Inspection plan** is that which is prepared in advance of the inspection which supports the inspector in preparing for the inspection. It will be an internal operation and will not usually be shared outside the organisation. It will include objectives, methods of inspection and / or scrutiny, roles and responsibilities of those to be involved, schedule of timing and any other information specific to the planning of the inspection  **Other agencies** may include other regulatory organisations, commissioners, local authorities, standard setting bodies  **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  **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  **Relevant people** may include service providers, individuals, their families and carers, staff and volunteers, other professionals, lay assessors, experts and other specialists  **Resistance** may include blocking mechanisms, diversionary tactics and avoidance  **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 |

|  |  |  |
| --- | --- | --- |
| **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 | |
| **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 |

|  |  |
| --- | --- |
| **Developed by** | Skills for Care and Development |
| **Version number** | 1 |
| Date approved | January 2013 |
| Indicative review date | January 2016 |
| Validity | Current |
| Status | Original |
| Originating organisation | Skills for Care and Development |
| Original URN | SCDINSPC3 |
| 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 |
| Key words | children and young people’s settings; early indicators of potential abuse; health and social care; inspect, inspection; ritualistic compliance; scrutiny |