
Overview

This unit is about planning and initiating the inspection or review of an organisation (or area within an organisation). It requires the definition, agreement and communication of the scope of the inspection and planning for the efficient and effective collection of evidence. This may include obtaining information about the organisation, reviewing existing evidence and obtaining self assessments.

There is one element:

Plan and initiate an inspection or review

Target Group

The unit is recommended for those who are involved with planning inspections or reviews.

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Performance criteria

You must be able to:

- P1 define and agree the timing and scope of the inspection and any particular aspects which are known to need examination
- P2 confirm the criteria against which the organisation will be assessed, and/or develop hypotheses to be tested
- P3 ensure the inspection plan has regard for issues of equality and diversity, seeking to minimise any barriers to effective participation in the inspection
- P4 identify any people who you need to contact for an outside view of the organisation, and contact them to obtain their views
- P5 identify any evidence that is already available, including that from other inspecting bodies where applicable
- P6 develop an initial analysis based upon available existing evidence, including any self assessments
- P7 prepare for a variety of further evidence gathering methods (appropriate to the scope of the inspection and any agenda which has emerged from the hypotheses) such as:
 - P7.1 observation
 - P7.2 examination of records and documentation
 - P7.3 review of statistical data
 - P7.4 Interviews
- P8 ensure the plan for inspection includes a risk assessment, taking accounts of factors known about the organisation
- P9 ensure the inspection will take account of the views of others (e.g. staff, service users and key stakeholders)
- P10 plan for a realistic allocation of time and other resources, including an adequate margin for any contingencies
- P11 ensure the inspection team has the range of skills required for the inspection methods
- P12 review progress and priorities and revise inspection plans as required

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Knowledge and understanding

You need to know and understand:

- K1 how and why you obtain information about organisations to be inspected and check whether the information obtained is accurate and up-to-date
- K2 how and why to define and describe the scope of an inspection
- K3 the criteria against which organisations are assessed
- K4 how to develop and test hypotheses
- K5 the rationale behind specific inspections
- K6 current and emerging trends and developments in your sector, nationally and locally
- K7 agencies which may be able to provide existing evidence and/or a valid outside view relating to organisations subject to inspection
- K8 how to assess any health and safety risks associated with inspections
- K9 the range of evidence gathering methods which are available and how these can be used
- K10 how and why to prepare managers to participate in inspections, including self assessments
- K11 how to recognise and respond to potential conflicts of interest between inspectors and organisations subject to inspection
- K12 how to develop inspection teams with the required range of skills
- K13 the importance of involving staff, service users and other key stakeholders in inspections
- K14 legal requirements and codes of practice relating to sharing information with other organisations
- K15 equal opportunities legislation and how to promote and monitor equal opportunities and diversity in the workplace
- K16 the legal, regulatory and ethical requirements in your sector

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Additional Information

Behaviours

1. check that information held about the organisation to be inspected is accurate and up-to-date
2. notify the organisation that the inspection will be taking place and identify key individuals who will need to be involved
3. prepare managers within the organisation to participate in the inspection
4. ensure members of the inspection team are provided with information they require
5. present information clearly, concisely, accurately and in ways that promote understanding
6. are organised and methodical
7. aim to minimise the duplication of evidence collection as far as practicable

Skills

Listed below are the main generic 'skills' which need to be applied in planning and initiating an inspection or review. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

1. Analysing
2. Communicating
3. Consulting
4. Information management
5. Involving others
6. Negotiation
7. Planning
8. Prioritising
9. Problem solving
10. Influencing and persuading
11. Risk management
12. Setting objectives

Glossary

Frequently used terms and how they should be interpreted in the context of the Inspection of Public Services NOS

Criteria

The principles or standards by which judgements are made.

Hypothesis

Proposition to be tested by further examination or investigation.

Organisation

Any public, private or voluntary sector body (including part of a larger body)

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which is acting autonomously).

Risk

Types of risk will depend on the sector and/or organisation subject to inspection, and may include the risk of harm to individuals and/or organisations.

Self assessment

An evaluation of strengths and weaknesses carried out within an organisation, which may be used to inform subsequent inspection activity.

Stakeholders

External stakeholders have a legitimate interest in and involvement with organisations, but are not part of the line management or governance structure. Each organisation will have its own set of external stakeholders including:

1. Funders
2. Commissioners
3. Members of the public
4. Partner organisations
5. Local and national government.

Internal stakeholders are those within the management and governance structure of the organisation, and those who work in formal relationships with the organisation including:

6. Other departments/colleagues
7. Management teams
8. Trustees
9. Volunteers.

Links to other NOS

This unit is linked to Skills for Justice units:

SfJ AC1. Contribute to the quality of team working

SfJ HF14. Plan, implement and manage systems for the exchange of sensitive information, data and intelligence

SfJ AD1. Develop and sustain effective working relationships with staff from other agencies

SfJ AF4. Conduct an assessment of risk in the workplace

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