

SFJYB3

Respond to critical incidents, concerns or complaints



Overview

This unit is about responding to critical incidents, concerns or complaints regarding service provision. This includes initiating the investigation of issues which may be raised by service users and their representatives, or which come to light during an inspection or review.

(Note; complaints about the inspection or review process are not covered by this unit).

There is one element:

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Target Group

The unit is recommended for those who may need to respond critical incidents, concerns or complaints about service provision.

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Performance criteria

You must be able to:

- P1 identify critical incidents, concerns and complaints (e.g. from service users and their representatives), including those arising during inspections
- P2 record key facts given by informants or complainants
- P3 identify the extent of apparent unsatisfactory performance and/or whether individuals are at risk of harm
- P4 explore opportunities to use the organisations' internal procedures where appropriate
- P5 identify an appropriate response which may include:
 - P5.1 no further investigation
 - P5.2 referral to or involvement of experts or other agencies
 - P5.3 issue raised in subsequent routine inspection
 - P5.4 evidence requested to confirm actions have been taken to rectify a situation
 - P5.5 further investigation by the inspectorate
- P6 ensure your response is in accordance with the legal requirements in your sector and your own organisation's policies and procedures for dealing with critical incidents, concerns and complaints
- P7 inform complainants or informants of your response to the situation
- P8 communicate the identification of the issue, concern or complaint to others as appropriate

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Knowledge and understanding

You need to know and understand:

- K1 how to identify critical incidents, concerns and complaints
- K2 legal requirements and your organisation's policies and procedures for responding to critical incidents, concerns and complaints
- K3 how to seek information about other action taken by complainants or informants
- K4 how to record facts given by informants or complainants
- K5 factors which may affect the validity, reliability and accuracy of information provided by those involved, distinguishing between allegations, assertions and facts
- K6 factors which may inhibit clear communication by those involved (e.g. fears of retribution, peer pressure etc) and how to minimise them
- K7 how to recognise potential breaches of regulations or legislation
- K8 signs of situations where individuals may be at risk and how to respond
- K9 the importance of following organisations' internal procedures where relevant
- K10 the range of experts and other agencies which may need to be involved in an investigation
- K11 sources of information and expertise relating to civil, legal and personal rights for individuals
- K12 legal requirements and codes of practice relating to sharing information with other organisations
- K13 the importance of responding to complainants and informants in a manner which is likely to promote confidence
- K14 how to present information clearly and concisely
- K15 current and emerging trends and developments in your sector, nationally and locally
- K16 equal opportunities legislation and how to promote and monitor equal opportunities and diversity in the workplace
- K17 the legal, regulatory and ethical requirements in your sector

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Additional Information

Behaviours

1. aim to minimise disruption for staff and service users
2. clarify the boundaries of confidentiality e.g. how information provided will be used and to whom it may be made available
3. communicate clearly, concisely, accurately and in ways that promote understanding
4. seek to promote peoples' confidence in your organisation and the inspection process

Skills

Listed below are the main generic 'skills' which need to be applied in responding to critical incidents, concerns or complaints. 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. Influencing and persuading
5. Information management
6. Involving others
7. Making judgements
8. Risk management

Glossary

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

Inspectorate

A body which conducts inspections, reviews or investigations.

Investigation

Systematic enquiry into critical incidents, concerns or complaints.

Organisation

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

Service provider

Any public, private or voluntary organisation (or part of an organisation)

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delivering public services.

Links to other NOS

This unit is linked to Skills for Justice units:

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

SfJ AF1. Ensure your own actions reduce risks to health and safety

SfJ HB8. Ensure compliance with legal, regulatory, ethical and social requirements (ML B8)

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Developed by	Skills for Justice
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Version number	1
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Date approved	July 2007
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Indicative review date	July 2009
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Validity	Current
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Status	Original
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Originating organisation	Skills for Justice
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Original URN	SfJ YB3
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Relevant occupations	Public Services; Public Service Professionals
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Suite	Inspection of Public Sector Services
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Key words	concerns, complaints,
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