

Working with Self-Assessment: Announced Inspections 2009-10

Selection of Minimum Standards

3. Referral arrangements

11. Recruitment of staff

12. Staff training and development

14. Protection of vulnerable adults and safeguarding children

Selection of Inspection Focus

Prioritisation Matrix

- DHSSPS Minimum Standards
- Identified quality or risk issue
- Public concern
- Impact on population
- Issue from complaints/investigations
- Perceived inequalities

2009-10 Inspection Processes

1. Before the Inspection

- Agencies Team Admin contact (6-8 weeks)
 - Approximate numbers of users and staff
 - Notification of inspection date
- Package sent to Agency (Questionnaires & cover letter)
- Survey questions linked to Standards
- Pre-paid sealed envelopes for service users
 - Surveys and RQIA paid return envelopes
- Pre-paid sealed envelopes for staff
 - Surveys and RQIA paid return envelopes

2009-10 Inspection Processes

2. Agency Pre-inspection Activity

- Distribute surveys to service users and staff
- Rapid issue essential
 - Response level within report
 - Question responses within report
 - Opportunity for user satisfaction to be shown
- Self-assessment – MS Excel workbook
- Documents required (on day of inspection)

Announced Inspection Processes

3. Self-Assessment Completion

- Rapid contact with RQIA team if problems
- Provider assessment within report
- Each criterion – c.200 words
- Concise responses, referring to evidence
- Opportunity to present good practice
- Each criterion - provider rating of achievement levels
- Each Standard - Maturity Matrix rating

2009-10 Inspection Processes

4. RQIA Pre-inspection Activity

- Review survey returns
 - Matters highlighted for inspection clarification
- Issues from, and since, last inspection
- Contacting staff and users as necessary
 - Responding to requests and follow-up
- Reviewing self-assessment

2009-10 Inspection Processes

4. Inspection

- Inspector also uses workbook
- Issues from previous inspections
- Validating/ confirming self -assessment
- Achievement levels & Maturity Matrix
- Service user & staff comments
- Sharing findings
- Major focus on user experience in report summaries
- No surprises

Announced Inspection Processes

4. Report

- Reflects comments made by service users
- Sets provider and inspector comments together against each Standards criterion
- Summary and Maturity Matrix statement for each Standard
- Represents achievement levels identified by providers and inspector
- Quality Improvement Plan

Levels of Achievement

Code	Level of Achievement	Definition
1	Unlikely to be Achieved	The criterion is unlikely to ever be achieved. (A reason must be stated clearly in the service response)
2	Not Achieved	The criterion is unlikely to be achieved in full in this inspection year. For example, the service has only started to develop a policy and implementation will not take place until after the inspection year.
3	Partially Achieved	Work has been progressing satisfactorily and the service is likely to have achieved the criterion within this inspection year. For example, the service has developed a policy and will have completed implementation within this inspection year

Levels of Achievement

Code	Level of Achievement	Definition
4	Substantially Achieved	A significant proportion of action has been completed to ensure the service performance is in line with the criterion. For example, a policy has been developed and implemented but a plan to ensure practice is fully embedded has not yet been put in place.
5	Fully Achieved	Action has been completed that ensures the service performance is fully in line with the criterion. For example, a policy has been developed, implemented, monitored and an ongoing programme is in place to review its effectiveness.

Maturity Matrix

Level of Maturity	Definition
Aware	The Agency is aware of the issues to be addressed but are unable to demonstrate decisions/ actions to address them.
Responding	The Agency recognises the key issues and has identified options that are prioritised, although there is no evidence of strategic direction.
Developing	The Agency is taking steps to address the key issues through the development of strategic plans with evidence of good practice across the organisation.
Practising	The strategic agenda is being progressed and monitored by the Agency with significant evidence of continuous improvement across the organisation.
Leading	The Agency is leading the strategic agenda through the implementation of innovative practice that is shared across and beyond the organisation to others, enabling realisation of long term sustainability.