

Appendix 2: Generic approach to preparing for inspections/peer reviews

Task	Sub-task	Descriptions
1. On-going strategic preparation		
Inspection planning	Timetable for inspections and peer reviews	Establish a timetable for regular inspections and peer reviews that are taking place across the department. This should be maintained and updated on a quarterly basis to identify where resources can be shared and adequate time can be given over to logistics planning.
	Timeframe for individual inspections	Establish the timeframe of the inspection itself and the contact details of the strategic lead. Where possible, identify the regulators for the inspection and peer reviews, the level of resources required and whether this can be completed by the team or support can be resourced from the wider department.
	Begin a project plan for preparing each individual inspection/peer review	Use the Inspection Framework/ Handbook to run through and plan the inspection as a project
2. Pre-inspection		
Research	Create a document hub	Once a new framework/peer review has been announced, obtain all the official documentation published by the inspection body that covers the inspection - direct communication and also content available from website or other local authorities.
	Create tracking reports of other local authorities inspected under the framework	Keep a record of which local authorities have had an inspection, by whom, when, focus, specialist areas covered, approach/methodology and the recommendations
	Identify good practice/poor practice in local authorities	Gain a greater understanding of how local authorities' inspection outcomes across each judgement area and review any 'lessons learned'.
	Visit/contact other authorities to obtain greater information about the inspection	Create a clear documented list of questions to get the most out of this process. If possible contact/make visits to those due an inspection and likely to complete before you to gauge the effectiveness of their preparation
Self-assessment, service improvement and benchmarking	Have the recommendations from the last inspection been implemented/can this be evidenced?	Check and benchmark using a self-assessment.
	Use the self-assessment and the inspection framework to identify any service improvements that are required	
	Identify common themes or KLOEs to be examined during the inspection	Keep a KLOE log so that you can prepare positioning statements/responses in advance of the inspection. This is likely to develop over time and will also be used during the inspection itself.
Evidence base and documentation requirements	Identify any pre-documentation that needs to be sent to the inspectors before the inspection	Ensure presentation, quality and consistency is checked before sending
	List all evidence that will be required during the inspection.	Establish how long it will take to retrieve each piece of evidence. (i.e. can it be produced upon request during the inspection or does it need to be gathered in advance?)
	Timeline for compiling documentation	Ensure all those that need to produce evidence know, have agreed/been advised of timescales, are working on it, know when the inspection is likely to take place or upcoming notification dates.
	System for proofreading and signing off documents	Ideally a two stage sign-off to ensure a good QA process
	Maintain a consistent format for the documentation	Ensure that documentation layout, standards, format are consistent across the board. Status clearly identified i.e. version/ draft/ final and document owner

	Maintain a specific folder where this documentation is kept and updated as and when required.	
Logistics planning	Develop a logistics plan	Use this documentation to develop a logistics plan which covers all aspects of the inspection
	Establish possible workstreams	Use the logistics plan to develop possible workstreams and create tasklists for these streams as well as the support capacity that is required. Note any specific examples of expected 'good practice'.
	Cases/files	Which cases/files are to be looked at? How many? What quality assurance and checking process is required?
	Priority of inspection work over other work commitments	Obtain buy-in from departmental leadership team to ensure that this happens.
	Identify core team	Identify key leads for pre-planning, evidence gathering, running and being available for the inspection/interview etc. They need to be identified and specifically managed in terms of workload for the inspection.
	Internal partners contact list	
	External partners contact list	
	Senior staff/Members	
Communications	Communications and strategic engagement plan	This should be a targeted and local communications plan for core team, internal partners, external partners and senior staff/Members. Decide carefully which groups need to know what and when in order to prepare for the inspection i.e. disseminating information too far and wide may be unnecessary and focus can be lost if information is shared too soon. A 'little and often' approach can work well.
	Timeline for delivery	
Briefing material	Prepare a generic briefing document for all partners	This should outline the methodology of the inspection, timeline for the inspection itself and golden rules for the inspection (do's/don'ts during interview)
	Use relevant documentation from evidence base to develop briefing packs and appropriately brief theme leads/interviewee groups	
	Organise briefing sessions/partnership event	This should be an opportunity for senior leads for the inspection to brief likely interviewees on the key improvements made in this area and also demonstrate the improvement journey that has been made since the last inspection/peer review.
Performance	Identify whether any specific performance data reports need to be created for the inspection evidence base	
	Identify a performance lead to prepare any additional performance reports during the inspection	
3. Delivery		
Inspection Planning	Set-up meeting	Once inspection is announced, ensure all logistics requirements are in place for initial set-up meeting
	Welcome Pack	Support of the comms team will be required to ensure that this is up-to-date and conveys key messages
	Introductory Powerpoint presentation	Support of the comms team will be required to ensure that this is up-to-date and conveys key messages
	On-site timetable	Establish details of what is required whilst the inspectors are on-site in your logistics plan

	Interview timetable	Identify a team to put together timetables for the duration of the inspection. Use the partners list and meeting list to identify potential interviewees for the inspection.
	Briefing before interviews	A briefing strategy should already be in place pre-inspection, but interviewees will need an up-to-date briefing on key findings identified during the inspection to prepare effective for interview
	Debriefing after interviews	How will debriefings fit into the inspection planning and who will conduct them? Can be done over the telephone or in person.
	Additional information gathering	Format and timeline for collating additional information that the inspectors require.
Communications	Regular updates in the departmental newsletter (Buzz from the Top)	This may be an effective method of communicating crucial information about the inspection while inspectors are onsite.
4. Post-inspection		
Mop-up	Judgements meeting	Arrange a judgements meeting with key figures in the local authority to collate feedback from the inspection
	Are there any follow-up queries/information to be provided?	Identify from judgement meeting whether this is the case
	Follow-up to inspection	How do we ensure that key judgments and actions will be captured and maintained through improvement planning? Will a progress report be required to be sent to the inspectors? Is this expected to be used as the starting point for the next inspection?
	Lessons learnt log	Identify good practice/poor practice in relation to supporting the inspection
	Project closure	Releasing and clear up of rooms used during the inspection, equipment cleared, files/information returned, associated websites maintained/closed down
	Post-inspection logistics	Consider the best format to ensure necessary improvement work is implemented e.g. a Service Improvement Action Plan
	Archive of relevant inspection materials	Ensure that all inspection project material is clearly labelled, organised and stored on the H drive so that it can be easily found and referenced for future inspections
Communications	Thank you email	Ensure that all relevant stakeholders receive a thank you email for their contribution and support to running the inspection
	Communicating results of the inspection	Consider circulating executive summary of inspection report
	Thank you event for core team	