STANDARD METHODOLOGY FOR JOINT THEMATIC INSPECTIONS

MARCH 2013

INSPECTING FOR IMPROVEMENT

CJJI Criminal Justice Joint Inspection

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Standard methodology for joint thematic inspections

INTRODUCTION

The criminal justice joint inspection (CJJI) programme delivers two main types of inspection, namely:

- *Core programmes* - a series of localised inspections each year on the same core subject (for example inspection of police custody conditions) with individual reports for each inspection; and

- *Joint thematic inspections* - usually a one-off, bespoke inspection visiting several localities in quick succession to contribute to a single final report on a 'thematic' issue (for example rape investigation and prosecution).

This document provides guidance on the planning and delivery of criminal justice (CJ) joint thematic inspections. It is designed to assist inspection team leaders and members by providing a menu of options and points to consider. By being published, it also provides transparency for those who may be subject to inspection.

Joint thematic inspections are "*singly-led but jointly owned*" - each work stream in the joint programme is allocated to a 'lead inspectorate' which takes responsibility for its planning, management and delivery and subsequently for report authoring and publication. Other inspectorates involved provide (at their expense) inspection team members and resources, make written contributions and agree and 'own' the final report and any recommendations. The final report is published in the name of all inspectorates involved and signed-off by each participating Chief Inspector.

This approach avoids creating any additional support structures or bureaucracy and reduces training requirements for inspection team members. However, it can lead to different approaches and to unnecessary 're-invention' of elements of the methodology or duplication of effort. Although every joint inspection has a unique subject focus and a different team involved, the organisation and implementation of the inspection activity will normally follow largely standard approaches and involve very similar phases, namely:

1   Development
2   Planning
3   Inspection
4   Report writing
5   Publication
6   Post-publication

This document provides detail on each of these phases. Its aim is to establish a standard practical framework for lead inspectors and others involved and to guide them quickly and efficiently through these common processes.

Unless statutory obligations dictate otherwise, the guidance in this document is not prescriptive or mandatory. Rather, it is to be taken as the initial 'default' position for those who plan inspections - from which they may deviate if the specific circumstances of the subject under scrutiny require. It is intended as an aid to consistency but above all is meant to avoid the need to re-invent tried and tested processes. This guidance draws from recent, current and planned joint thematic inspections and brings together guidance from all four criminal justice inspectorates.

Additionally, there are overarching principles of inspection that are prescribed in a formal statement from 2003 which place expectations on public sector inspection providers and on the Departments sponsoring them (see **Annex A**). These principles form the core of inspection work and are the building blocks of joint inspection work.

This document describes each of the inspection phases. There are also figures and annexes that provide examples of key documents and checklists for reference.

A DEVELOPMENT PHASE

1 The programme context

1.1 The development of individual inspection work streams is considered within the context of the overall criminal justice joint inspection (CJJI) programme.

1.2 Joint programme development begins when the Criminal Justice Chief Inspectors' Group (CJCIG) selects suitable topics for joint inspection. The selection process is set out in full in the CJJI framework document - available on the joint website at www.hmcpsi.gov.uk/cjji - which also defines the purpose of joint inspection (as below).

> **The purpose of joint inspection**
>
> *"We work together to address issues that involve more than one criminal justice agency and have a direct impact on the public who use the justice system. Working together produces a more rounded examination of issues that cut across the system and enables us to achieve more than if just one inspectorate acted alone.*
>
> *We support democratic accountability, local transparency and the drive to reduce bureaucracy. Joint inspection particularly provides a unique focus on:*
>
> - *Systemic issues within the criminal justice system (CJS) as a whole;*
>
> - *Identifying and driving cost from the system;*
>
> - *Addressing risks and public safety;*
>
> - *Looking at the system end-to-end and the role individual agencies play;*
>
> - *Universal issues, standards and constraints within the CJS; and*
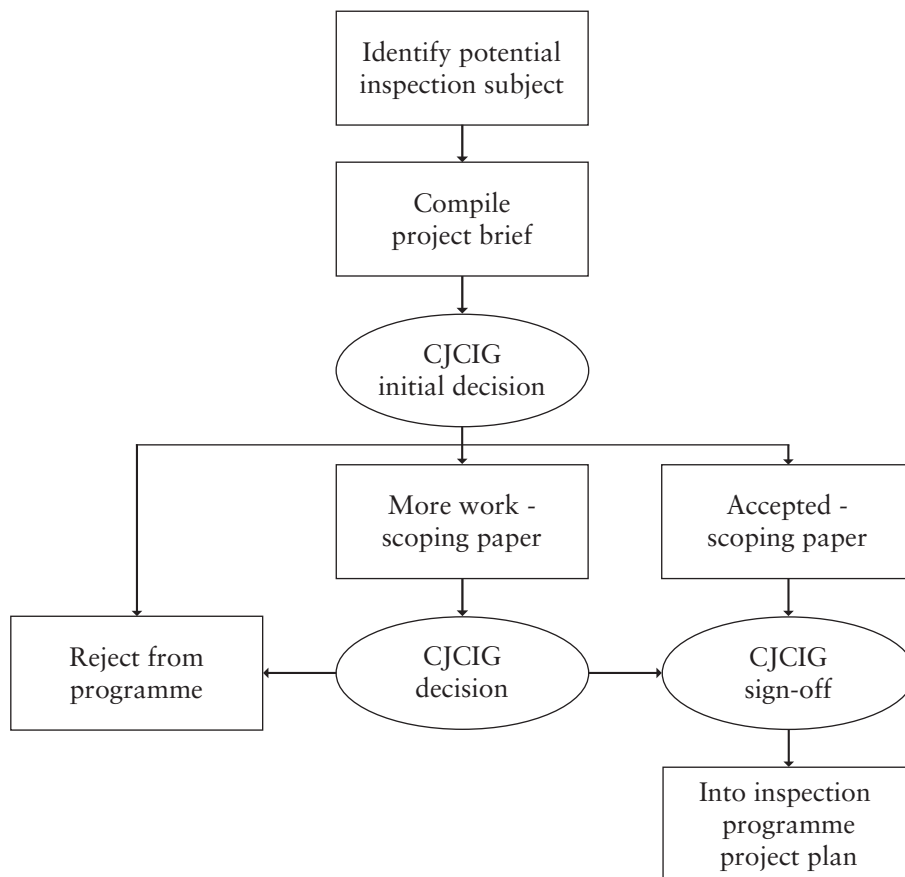>
> - *Public reassurance and confidence."*
>
> (CJCIG)

1.3 Each year, Chief Inspectors review the overall balance and focus of the joint programme and its continued validity in an environment where the justice landscape is subject to rapid and fundamental challenge and change. They also discuss potential new work streams and decide how many will be included in the projected programme.

2   Considering new work streams

2.1   When new subjects are identified for consideration, they are generally defined only at a very high level - for example investigation and prosecution of cases of domestic violence. Before Chief Inspectors can take a decision on inclusion in the joint programme, each potential subject area undergoes a process of further development, as set out in **Figure 1**.

Figure 1 - Development and decision process for new work streams

```
        ┌─────────────────────┐
        │ Identify potential  │
        │ inspection subject  │
        └─────────────────────┘
                  │
        ┌─────────────────────┐
        │      Compile        │
        │    project brief    │
        └─────────────────────┘
                  │
           ╭─────────────╮
           │    CJCIG    │
           │ initial     │
           │ decision    │
           ╰─────────────╯
              │        │
   ┌──────────────┐  ┌──────────────┐
   │ More work -  │  │  Accepted -  │
   │ scoping paper│  │ scoping paper│
   └──────────────┘  └──────────────┘
          │                 │
┌──────────┐  ╭─────────╮  ╭─────────╮
│ Reject   │◄─│  CJCIG  │─►│  CJCIG  │
│ from     │  │ decision│  │ sign-off│
│ programme│  ╰─────────╯  ╰─────────╯
└──────────┘                    │
                        ┌──────────────┐
                        │ Into         │
                        │ inspection   │
                        │ programme    │
                        │ project plan │
                        └──────────────┘
```

2.2   All prospective joint work streams require a "**project brief**" to be compiled, which sets out the high level definition of the subject to be addressed and the basic business case for carrying out the work proposed. This needs to take account of risks and the context for consideration of the core issue.

2.3   Once assessed at CJCIG, some work streams are confirmed as inspections for the coming new programme and move on to a more developed "**scoping paper**", returning to CJCIG only for formal sign-off of the more detailed proposal.

2.4   Some proposals are rejected at the initial stage while others may be designated as requiring further scoping work before CJCIG will confirm inclusion in the inspection programme. In this case, the same detailed scoping paper is completed but it returns to CJCIG for a further decision on inclusion or rejection. If included, CJCIG also sign-off on the details of the proposal at that stage.

2.5 **Chief Inspectors' sign-off** of the content of a scoping paper represents formal delegation of authority to the nominated lead inspectorate to progress that work stream - only needing to refer back to CJCIG if additions or changes to policy require further joint endorsement.

2.6 For all work streams confirmed in the programme, the scoping paper is developed into a full "**project plan**", expanding on the existing content and forming the basis for delivery and ongoing project management - which is monitored by the CJCIG Development Group on behalf of CJCIG. For a comparison of the content of the project brief, scoping paper and project plan, see **Annex B**.

3   Project brief

3.1 The actual content of each project brief may vary, according to the subject under consideration, but the key requirements are:

> **Figure 2 - Checklist for the project brief**
>
> - **Inspection question** - problem definition and focus
> - **Justification** - assessment of risks/context driving the focus
> - **Value for money implications**
> - **Inspectorates** - lead and supporters
> - **Scope** - range of the inspection
> - **Scale** - estimate of resources
> - **Timescales** - any relevant timing issues

3.2 The project brief is not expected to be comprehensive - it requires sufficient detail to inform an initial decision by Chief Inspectors on the merits of its further consideration - and will usually consist of one or two pages.

3.3 However, the key elements, from which everything else follows, are the "**inspection question**" (or statement of focus) and the "**justification**" - i.e. the underpinning inspection question which the work stream will set out to address and the particular set of risks or surrounding context which makes this work important.

3.4 Therefore, these elements need careful drafting. An example of an inspection question/ statement is set out below:

> *"To examine the effectiveness of the Multi-Agency Public Protection Arrangements (MAPPA) in reducing the potential risk of harm to others by identified offenders in the community and their likelihood of re-offending, through joint working and the exchange of relevant information."*

3.5   There is increasing pressure on inspectorates and regulators to explain the reasons for interventions, the justification statements therefore need to clarify why an inspection is the most appropriate action, having regard to risk and context.

3.6   The decision to inspect and the subsequent level of inspection intervention - from light touch to full inspection - is informed by an understanding of the risks to the CJS as a whole as well as to individual agencies. In **deciding the level of risk**, inspectorates will consider:
- Whether the agencies recognise that there is a problem;
- The prospect of solving that problem;
- Whether the problem is likely to be short-lived or enduring;
- Whether potential systemic failures expose the public to serious harm;
- Whether systemic failure undermines the legitimacy of the system in the eyes of the public; and
- Whether there are financial impacts to be addressed due to inefficiency, poor value for money or unnecessary bureaucracy.

3.7   This approach requires a degree of monitoring but inspectorates are well placed to collect data by examining trends, using research, utilising existing consultation networks and applying professional judgement. The impacts of inspectorate activity on agencies are minimised by increasing desk-top analysis and focussing work where it is most required. It also provides underpinning analyses for scoping studies and inspections.

3.8   As regards "**value for money**", it is increasingly important that financial implications of service delivery, and proposals for change or to implement good practice, form part of the considerations by inspectors. The potential for savings or re-directing of public funds to better use will influence the decision to progress a work stream and can form part of the subsequent inspection benefits.

4   Scoping paper

4.1   There are two sets of circumstances which generate compilation of a scoping paper. First, where CJCIG have decided that a subject should be included in the forthcoming joint programme and they commission a designated lead inspectorate to get the work stream underway.

4.2   The second is where a subject appears appropriate for inclusion but needs further work to better define the actual issue to be addressed. In this case, they also identify a lead inspectorate and commission a scoping paper, but will expect the issue to return to CJCIG for further formal decision as to inclusion in the programme.

4.3   In either case, the **purpose of the scoping paper** is to:
- Define the problem or issue which is to be subject of inspection;
- Identify the importance of the subject in the context of Government, CJS and CJJI priorities - and in particular highlight risks;
- Explain why joint inspection is an appropriate intervention;
- Highlight any synergies or conflicts with other ongoing or planned work;
- Set out the proposed scope of any inspection; and
- Identify the resource commitment required from each inspectorate.

4.4 There is no fixed template for a scoping paper. It should **build on the project brief but remain a concise document** that can provide the foundation for later project planning. It should explain what the inspection is about and provide a succinct summary of the key issues. It would be expected to include the following elements;

Figure 3 - Checklist for the scoping paper

- **From project brief**
    - Inspection question - problem definition
    - Justification - risks, context and importance
    - Value for money implications
    - Inspectorates
    - Scope and scale (summaries)
    - Timescales
- **Aims and objectives**
- **Methodology**
- **Resources**
- **Relevant stakeholders**
- **Governance**
- **Risk management**
- **Outputs**
- **Review and sign-off arrangements**

4.5 Scoping papers commissioned by Chief Inspectors to help them reach a decision on inclusion will be presented back to CJCIG for that decision to be taken. Scoping papers for subjects already accepted into the programme, return to CJCIG only for formal sign-off.

4.6 In either case, **CJCIG sign-off** represents an important stage for individual inspections. It effectively hands responsibility for management and delivery of the work stream to the designated lead inspectorate. Once a scoping paper has been signed-off by the Chief Inspectors, planning work will start, as set out in the following chapter.

5   Quality assurance

5.1   Chief Inspectors have ultimate responsibility for the quality of joint inspection activity and outcomes but for all practical purposes this is delegated to their respective representatives on the **Development Group** (see paragraphs 7.1-7.4) and to **lead inspectors**.

5.2   Each inspectorate has systems for quality assurance (QA) which will form the basis for the work streams which they lead. However, the overall approach should be that QA occurs at all stages and will include elements such as the examples listed below. (Note: some of the below items of QA are undertaken by lead inspectors while others may be better achieved by 'external' application - perhaps by a manager not directly involved in the inspection):

1   *Identifying the appropriate skills and experience needed to deliver the product* - distinguishing between subject expertise (e.g. child protection arrangements, case file preparation or offender management interventions) and inspection skills.

2   *Providing appropriate induction and training in inspection skills* - notably on understanding data, generating criteria, planning field work, conducting interviews and focus groups.

3   *Define and support the role of inspection team leader* - especially in production of key documents such as project plans, Gantt charts, risk registers and communications strategies.

4   *Contribute to deciding the objectives* - identify good practice, review an event, develop comparative assessments etc. Assist in identifying subject experts and reference group members (as appropriate).

5   *Adhere to good practice* - in use of questionnaires, surveys and other evidence-gathering techniques.

6   *Suggest new approaches/inspections are piloted or trialled* - test criteria, interview structures, reality tests, grading criteria etc. Evaluate outcome and revise methodology accordingly.

7   *On-site QA* - if possible, a senior member of staff who is not directly involved in the fieldwork should dip into the work (observing interviews, focus groups, attend daily debrief, talk to inspected bodies) and feedback comments to the lead inspector.

8   *Capture, analysis and collation of evidence during fieldwork* - ensure ongoing collation rather than waiting until the end of the process. This could include programmed stock-take meetings, and testing evidence against original criteria and objectives.

9   *Report writing* - supporting the lead inspector to create a realistic timescale and approach to report production. Ensure target audiences are identified from the outset along with product range (e.g. executive summary, main report, charts, etc). Early identification of critical readers (if appropriate) and use of a reference group (if appropriate). Make any expert editorial or production skills available, as required.

10   *Press and communication staff liaison* - ensure clear and relevant communication objectives, agree key messages and means for their conveyance (press releases, press conference, media interviews, seminars etc). Ensure adherence to publication/launch timetable. Agree how the impact of publication can be gauged.

11   *Review methodologies* - keep methodologies and key processes under review, learning from good practice by other regulators and research bodies.

5.3   Some of the above elements will be discharged primarily by the lead inspectors but development group members or other senior managers should support and or lead on the overall approach to QA.

B   THE PLANNING PHASE

6   **Project planning**

6.1   Once a topic has been included into the programme by the CJCIG, it will have in place a scoping paper (as set out in the previous chapter), which will form the basis for completion of a full project plan, to assist project delivery by clarifying;

- What the inspection is trying to achieve;
- How it is going to achieve it;
- When it will be completed;
- The design of the likely product;
- The manner in which evidence will be gathered and retained; and
- The resources required to complete the task.

6.2   Again there is no fixed template for a project plan but the following should be considered for inclusion (see below);

Figure 4 - Checklist for the project plan

- **From scoping paper**

  - Inspection question - problem definition

  - Justification - risks, context and importance

  - Value for money implications

  - Inspectorates

  - Scope, aims and objectives

  - Methodology and resources

  - Timescales

  - Stakeholder group and governance

  - Risk management (summary)

  - Outputs - products and deliverables

  - Review and sign-off arrangements

- **Risk register/matrix (if appropriate)**

- **Equality impact assessment**

- **Reporting style, approvals process and timeline**

- **Communications strategy**

- **Plans for debrief and evaluation**

6.3   It should be noted that much of the detailed content (listed above) will be transferred directly from the scoping paper - thus achieving the minimum duplication of effort and ensuring that the elements already signed-off by Chief Inspectors appear prominently in the plan.

7 Monitoring the programme

7.1 Work streams approved for the programme appear in the annual Joint Inspection Business Plan (see current year's plan at www.hmcpsi.gov.uk/cjji) and are subject to programme oversight by the **CJCIG Development Group** - which comprises senior managers from each of the CJ inspectorates.

7.2 The Development Group deals with the detail and tactics of inspection rather than strategic direction. The Group meets quarterly and meetings are minuted, with programme progress logged in a highlight report and presented at the CJCIG business meetings.

7.3 Each individual work stream is managed by the nominated lead inspector, who is responsible for establishing a clearly defined meeting and reporting structure. In most cases this will not require establishing a formal work stream project board but this is an option available to lead inspectors if required.

7.4 The **project plan will be the basis for programme oversight by the Development Group**. While delivery follows the plan, the Group will have a largely passive role. However, any major deviation from this document could impact on other work streams and therefore will need to be raised for discussion at the Group - which in exceptional cases might decide to refer an issue back to CJCIG.

8 Developing the inspection format

i Initial meeting

8.1 Using the project plan as the basis for the inspection the lead inspector will form a **planning team** and begin the detailed planning work. The team will start by:
- Developing the **inspection framework** - a set of high level inspection questions supported by more detailed criteria against which evidence will be sought during inspection;
- Considering whether the inspection will be **announced or unannounced**. This decision should be clearly rationalised within the project plan; and
- Ensuring that all to be involved in the inspection have a **shared understanding** of the methodology to be applied, the timescales for progress and any expectations of individual inspectorates involved.

ii Inspection framework

8.2 The inspection team will develop "lines of enquiry" from the scoping statements as set out in the project plan and define a **standard** or **high level criterion** in relation to each element of the work. Detailed **specific criteria** can then be developed under each - to provide focus for the inspection team.

8.3 Given the experience within the inspectorates of each topic to be inspected, there will already be views about what issues are likely to be central. For example, in an inspection involving a particular crime type, lines of enquiry are likely to include issues such as knowledge levels of key practitioners, information sharing between partner agencies and effectiveness of presentation of evidence at court.

8.4   The criteria should be clear, focussed and drawn up with an eye to what evidence is known to be available. In designing inspection criteria, consideration should be given to any established standards against which services are assessed and any expectations or guidance that are already in place.

8.5   Even at an early stage, the lead inspector should be considering the potential shape of the final report and marshal their criteria accordingly. As a general rule, there should be a limited number of high level criteria, each supported by more specific sub-criteria - see example below.

Figure 5 - Example of framework of criteria

High-level criterion/standard	Specific criteria	Evidence sources
1 The assessment of risk of harm (RoH) in MAPPA cases is accurate	1.1 An accurate and timely assessment of RoH is made in respect of MAPPA eligible offenders and levels of RoH to others are clear	MAPPA records and case files
	1.2 Suitable assessment tools are used by all relevant agencies to assess RoH, with staff suitably trained in their use	MAPPA records and case files; Violent and Sexual Offenders Register (ViSOR); police/probation focus group; interview with risk assessment representative
	1.3 Etc...	Etc...

8.6   In the interests of transparency and fairness, the framework of inspection criteria is routinely made available to those subject to inspection. It could also provide a helpful checklist for all CJS areas to use for self-inspection.

iii   Choice of fieldwork sites

8.7   Thematic joint inspections routinely visit between four and six localities, to provide a mix of perceived good and poor performers and a range of geographic size and distribution. This can mean multiple visits to the same place by different inspection teams - representing a heavy impact on those being inspected.

8.8   Each lead inspector should check with their own and colleague CJ inspectorates to identify any recent or planned single and joint criminal justice inspectorate activity taking place. If practical, localities where other scheduled inspections are already planned during the thematic fieldwork period should be avoided.

8.9   Where police forces are to be part of the inspection, lead inspectors must contact the HM Inspectorate of Constabulary (HMIC) single point of contact for the "**HMIC Gateway**"[1].

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1   Single point of contact to be established during 2013.

8.10 Factors to consider when deciding where to conduct fieldwork include:
- Is this reported to be an example of particularly good or poor practice?
- Is there something different there that might add to the sum of knowledge?
- Is there sufficient range within the fieldwork sites e.g. rural/metropolitan, large/small?
- How many localities should be selected?
- Do the places selected provide a reasonable and fair cross-section from which to draw conclusions?

8.11 There may also be good reason to include Wales and/or London - because of the issues peculiar to their respective local and national governance arrangements. Sites selected may want to know why they have been included and so a clear response should be developed and agreed by the lead inspector before they are informed.

8.12 Where more than one inspection sub-team is carrying out the fieldwork, it may be more convenient to select adjoining or proximate localities, to reduce travel commitments and aid intra-team information exchange.

iv Testing the methodology

8.13 Where a trial inspection is being considered, it should be decided at an early stage. A trial can be particularly useful if the inspection is to use an untried methodology or address a particularly complex issue.

8.14 The purpose of a **trial** is to **test the criteria and methodology** - including inspection tools - to inform any adjustments prior to rolling out the full programme of inspections. By its nature, a trial may not elicit the full range of information expected and could appear flawed to those inspected - hence they should be aware of the status of the inspection, to manage their expectations and facilitate any feedback from them on how improvements might be made.

8.15 The benefit to those subject to a trial inspection is to receive informal feedback about their work without fear of published criticism. Any significant areas for improvement, however, would be fed back to them and good practice examples could feature in the final published report, if appropriate. Careful selection of the trial site is an important part of the decision-making process.

8.16 There are disadvantages to the use of a trial inspection. It will lengthen the inspection timeline and in itself will require considerable preparation. Whilst a trial will provide reassurance about a forthcoming process its use is not automatic and, if used, the rationale should be clear.

v Role of a reference group

8.17 Whatever the specific subject under scrutiny, there will be experts in one or more aspects whose opinion and experience will be useful and could have a bearing on the shape of the inspection. In addition, those who have national or regional responsibility for the subject can make a valuable contribution.

8.18 Such experts and stakeholders can be consulted individually by inspection team members and/or invited to submit information as evidence but experience has shown that it is more productive to bring these individuals together to form a "**reference group**" that is specific to the inspection proposed.

8.19   It is advisable to constitute any inspection reference group at an early stage and then reconvene at critical milestones throughout the inspection's progress. The purpose of a reference group is to:

- Represent the key stakeholders in the area of business under scrutiny;
- Provide advice to the inspection team on strategic, technical and/or operational issues associated with the service under inspection;
- Facilitate direct links into the organisations or groups which the members represent for consultative purposes;
- Comment on the emerging findings and final recommendations; and
- Encourage relevant organisations or bodies to accept ownership of recommended action and drive implementation.

8.20   A formal reference group has the advantage of bringing together a number of experiences and views and of contributing to development of the criteria on which the inspection methodology will be built. However, it has the disadvantage of being difficult to convene, therefore of potentially slowing the process down. It also ties the lead inspector into consulting the group as part of the process.

8.21   One way to overcome the disadvantages is to constitute a '**virtual reference group**', i.e. use email exchange to consult individuals and jointly but without the need to bring everyone to a formal meeting.

8.22   It is advisable to have reference group meetings and/or consultations at key stages throughout the process, including:

- *During the preparatory phase* - to test the proposed scope of the inspection and establish relevant contacts and information sources for research purposes;
- *During fieldwork* - to provide advice and comments on emerging findings and advise on any proposed extension or reduction in scope;
- *At draft report stage* - to give detailed comments on the draft report and proposed recommendations prior to publication; and
- *Post-publication* - (if necessary) to help initiate the process for implementation.

8.23   It is important to strike the right balance of role for the group. The members will usually be highly knowledgeable and partisan in terms of the subject under scrutiny. This will help commitment but can also produce conflicts of interest and disagreement with inspection findings or recommendations. **The group is *advisory*** not a steering group with executive authority. It is important that the group has clear and agreed terms of reference.

9   Agree methodology

9.1   As part of early planning, the lead inspector should consider what evidence (and of what type and quality) will be needed to form defensible judgements about the achievement of criteria. In addition, what evidence is already available that can be used to provide baseline information e.g. from core programmes or other inspections?

9.2   There are a number of tried and tested techniques used by inspectors to gather evidence for the inspection report. The list below should not be considered exhaustive and every inspector should consider new and innovative ways of gathering evidence.

9.3   Evidence gathering methods falling outside of those listed here should be discussed with Development Group members prior to use.
 • Data retrieval.
 • Background research.
 • Focus groups.
 • Specialist workshops.
 • Interviews.
 • Reality testing.
 • Case file examination.
 • Surveys.
 • Management information.

9.4   These techniques are discussed in more detail in Chapter C.

10   Timescales

10.1   The timescales for all elements of the inspection should be cross-referenced with the project plan. In practical terms, the lead inspector needs to consider the publication date proposed by the CJCIG then work backwards to determine how long is needed to accomplish a task, thereby defining the target milestones.

10.2   Dates for fieldwork should be discussed with programme managers and agreed as early as possible bearing in mind the demands of other scheduled inspections.

10.3   A **GANTT chart** is a useful tool for clearly detailing the progress of the inspection and the key milestones (see example below).

Figure 6 - Example of timescale chart

Task Name	Duration	Start	Finish	Prede	22 Jan 2007	29 Jan 2007	05 Feb 2007
					M T W T F S S	M T W T F S S	M T W T F S S
New office	**22 days?**	**Mon 22.01.07**	**Tue 20.02.07**				
Undercoat	5 days	Mon 22.01.07	Fri 26.01.07				
Top coat	5 days	Mon 29.01.07	Fri 02.02.07	2			
Carpet	3 days	Mon 05.02.07	Wed 07.02.07	3			
Desks	1 day?	Thu 08.02.07	Thu 08.02.07	4			
Chairs	1 day?	Thu 08.02.07	Thu 08.02.07				
Computers	5 days	Fri 09.02.07	Thu 15.02.07	6			
Printers	3 days	Fri 16.02.07	Tue 20.02.07	7			

10.4 Any significant changes to the inspection timetable must be relayed to the development group and a decision made as to whether the slippage should be referred to the CJCIG. Whilst such referral might only occur in exceptional circumstances, the main reasons for referral are likely to be impact on resourcing or clashes with other major events - for example the publication of other reports or significant events for organisations or Ministers.

11   Advance communications

11.1 It is important that early planning identifies key individuals and/or organisations who need to be informed of, or consulted about, the inspection, and a **communication strategy and the timeline for all communications and notifications should be incorporated into the project plan**.

11.2 There are generally three 'levels' of communications, namely:
- *National* - to individuals or national organisations who represent agencies who will be subject to inspection;
- *Local* - to the heads of agencies and/or partnerships to be inspected; and
- *Detailed liaison* - directly to individuals who will make the detailed arrangements.

i   National notifications

11.3 The intention to conduct particular inspections will normally have been signalled in the **CJJI Joint Inspection Business Plan**, and within the preceding formal consultation. However, the timing and full scope of each inspection will not be widely known and so, in the interests of transparency, early in the development process, after the project plan has been agreed, a **letter should be sent to the national leads for each of the agencies to be inspected** - explaining the scope of the inspection and inviting them to make their respective chief officers or chief executives aware of the proposed inspections.

11.4 The lead inspector will be responsible, on behalf of their Chief Inspector, for agreeing the letter content and a timetable for circulation with colleague inspectorates who are involved in the work stream. The letter will then be sent out in the name of the lead Chief Inspector, on behalf of CJCIG.

11.5 The **national heads of other organisations** may be included in the circulation at this stage (e.g. the national subject lead from the Association of Chief Police Officers (ACPO)). The lead inspector will confirm with colleague inspectorates the names and contact details of those to be informed and agree who will do so.

11.6 Experience has shown that this process can take some time and important individuals or organisations can be overlooked so it needs to be agreed and documented within a **communications plan** from the outset of inspection planning.

ii Local notifications

11.7 Once localities to be visited have been decided, a more specific letter will be sent to the relevant chief officers and/or chief executives outlining the dates of inspection, giving more detail of the terms of reference and objectives and providing contact details of the lead inspector. It will also request a local contact point for inspectors to liaise with to make arrangements for the fieldwork (see below).

11.8 Timing of these circulations must also be clearly set out in the communications plan. It is important that all team members are aware when, and to whom, these letters are to be circulated - in case of direct contact being made with individual inspectorates other than the lead and to ensure no one is missed from the circulation list.

iii Local liaison arrangements

11.9 Once official communication has been established with the local agencies to be inspected, each agency will be invited to provide a point of contact with whom the inspection team can liaise to arrange interviews, group discussions, visits and local facilities (or in some cases a single point of contact may be agreed - e.g. the Local Criminal Justice Board).

12 Risk management

i Introduction

12.1 Risk management is a critical element in the successful delivery of inspection work streams, although its scale, form and degree of formality will vary depending on the particular work stream and the scale of perceived risks. **Good risk management is about being 'risk aware' not 'risk averse'.**

12.2 It is important that 'risks' and 'issues' are recognised and addressed in a structured manner but the process for so doing should not be allowed to generate unnecessary bureaucratic burdens on inspection teams. There are a number of formal risk assessment methodologies available for use. The guidance below represents generic principles to be applied.

ii Risks and issues

12.3 In the context of risk management, **risk** is defined as "*uncertainty of outcome, whether positive opportunity or negative threat.*" An **issue** is "*something that will threaten the delivery of the inspection's benefits, to agreed time, cost and quality.*" In this context issues have already happened - and may be risks which have materialised.

12.4 In inspection planning, while issues are important in helping to shape the overall approach, risks are more dynamic in nature and so their management will be more directly relevant to successfully delivering the work stream.

12.5 Once objectives are clear, it is useful to gather together those who are able to assist with the identification of the risks and issues at an early stage of planning. Not all risks can or need to be dealt with in the same way. Below are four options for anyone considering how to manage risk:
- **Treat** - work to reduce the likelihood of the risk happening.
- **Tolerate** - accept the likelihood and consequences.
- **Transfer** - shifting the responsibility or burden for loss to another party.
- **Terminate** - an informed decision not to become involved in a risk situation.

12.6   In most cases, the chosen option will be to 'treat' the risk. When considering what action to take, remember to consider the cost associated with managing a risk as this may have a bearing on the decision.

iii Risk register and matrix

12.7   Identification of risks is part of the project planning process and will have formed part of the scoping paper and/or the project plan. Depending on the individual inspection, it may be necessary to enhance the initial risk logging to populate a formal **risk register**.

12.8   In certain circumstance this may also require calculation of risk against a formalised **risk matrix**. Registers and matrices can be daunting and time consuming and hence are likely to be utilised only where the inspectorates have recognised particular high risks or sensitive issues. Formal calculation of risks relies on the likelihood and impact of an event occurring.

12.9   Where register, matrix or calculator is used, it is recommended that they should follow the principles set out in the more detailed guidance accompanying the particular methodology selected.

13   Equality impact assessment

i Introduction

13.1   In the context of joint inspections, an equality impact assessment (EIA) involves assessing the likely or actual effects of inspections or their outcomes (e.g. recommendations) on people in respect of 'equalities issues' (including disability, gender, age, race and sexual orientation, religion or belief). It helps to make sure the needs of people are taken into account when a new inspection methodology is developed and implemented or when changes to current practices or services supplied by inspected bodies is proposed.

13.2   Procedures must be built into the project plan to assess equality impact. There are two stages to producing an equality impact assessment.
   • Stage 1 - screening to see if a full EIA is required; and (if so)
   • Stage 2 - carrying out an EIA.

13.3   An example of a stage 1 assessment is attached at **Annex C**. If it is decided that there are no groups that are disadvantaged by the inspection process or methodology there is no need to go to stage 2. Where stage 2 is required, the guidance below should assist with compilation.

ii Full equality impact assessment

13.4   Sample EIA documents are available on all Government websites. Further examples and information is available from the Equality and Human Rights Commission at www.equalityhumanrights.com (England) or www.equalityhumanrights.com/wales (Wales), and typing "equality impact assessments" into the search facility.

14   Resources

14.1   The indicative level of resources required to deliver each inspection work stream is set out in the CJJI Joint Inspection Business Plan, approved by the CJCIG. As individual project plans are developed, the projected resource requirements are refined and are monitored by the Development Group.

14.2   The lead inspector for each work stream will discuss with the other inspectorates involved the allocation of their staff to the team. The size and composition of the team and the will be clearly set out for each stage of the inspection. Each inspectorate generally agrees to provide their staff to the inspection at their own cost (pay, accommodation, travel and any incidental expenses incurred) but any deviation from this must be contained within the project plan and formally agreed by the Development Group.

14.3   There are occasions where it may be necessary to buy in specific expertise to the inspection. Clear start and finish dates where possible, (or at least the estimated duration of their contribution to the work) and job descriptions should be completed and included in the project plan.

14.4   In some circumstances, opportunities to take part in a thematic joint inspection may need to be advertised. In such cases, selection processes will be conducted fairly and in accordance with employment legislation - managed by the lead inspectorate or a specified support inspectorate, as appropriate.

15   Training

15.1   It is essential that time is set aside at the start of the thematic to brief and/or train the team members. This process should include:

- An explanation of what a thematic inspection is in general terms; where non-inspectorate personnel are concerned, an overview of the role of CJ joint inspection and the inspectorates involved would be useful;

- Detail of the scoping paper and specifically the project plan;

- Results of any pre-inspection work or literary review conducted so far. It is not unusual for the lead inspector or a sub-set of the team to have been engaged in preliminary inspection work such as interviewing key stakeholders at Ministerial or national representative level. Such work may have been necessary to refine the exact scope and terms of reference for the thematic inspection;

- Methodologies to be adopted and the chosen method of data capture and evidence gathering. Discussion around the use of any standard questions or aspects to be covered would be useful to ensure understanding and appropriate use;

- Timetable for the inspection as a whole;

- Intended site visits;

- Specific domestic or logistical arrangements;

- The concept of critical review periods and an emphasis that team members are encouraged to contribute and suggest changes to the project plan to improve the outcome of the thematic inspection;

- The role of specialist staff engaged to provide a particular insight;

- The role of the Chief Inspector, lead inspector and team leaders; and

- The role of the inspection support manager and/or other support resources available.

15.2 Most team members will have been chosen for the skills they bring to the inspection. However, having briefed the team members, it may be necessary to conduct a training needs analysis and provide specific training where it is identified. For example, it may be necessary to train team members in the use of a database to capture evidence and statistical data.

16 Data warehousing

16.1 Prior to the start of inspection, there must be clarity as to how evidence and data collected during the inspection will be recorded and retained for use by the lead inspector when writing the report.

16.2 There should be a structure agreed for records of evidence that will be used during the inspection and clear guidance about the use of any case assessment forms.

16.3 Records of evidence should focus primarily on judgements against criteria rather than on description/verbatim accounts of interviews or observations. As far as possible information that identifies an individual should not be included in documentation (although an information source is required for an audit trail) and inspection staff need to ensure that all data is held securely.

16.4 All evidence will be shared among team members. Records of evidence and data should be forwarded to the lead inspector in accordance with the project plan timeline. There must be agreement before the conclusion of the fieldwork stage as to what will be retained and by whom.

16.5 Subject to the above agreements, all records of evidence and data should be destroyed by team members following publication of the report in accordance with their own inspectorates' data retention policies.
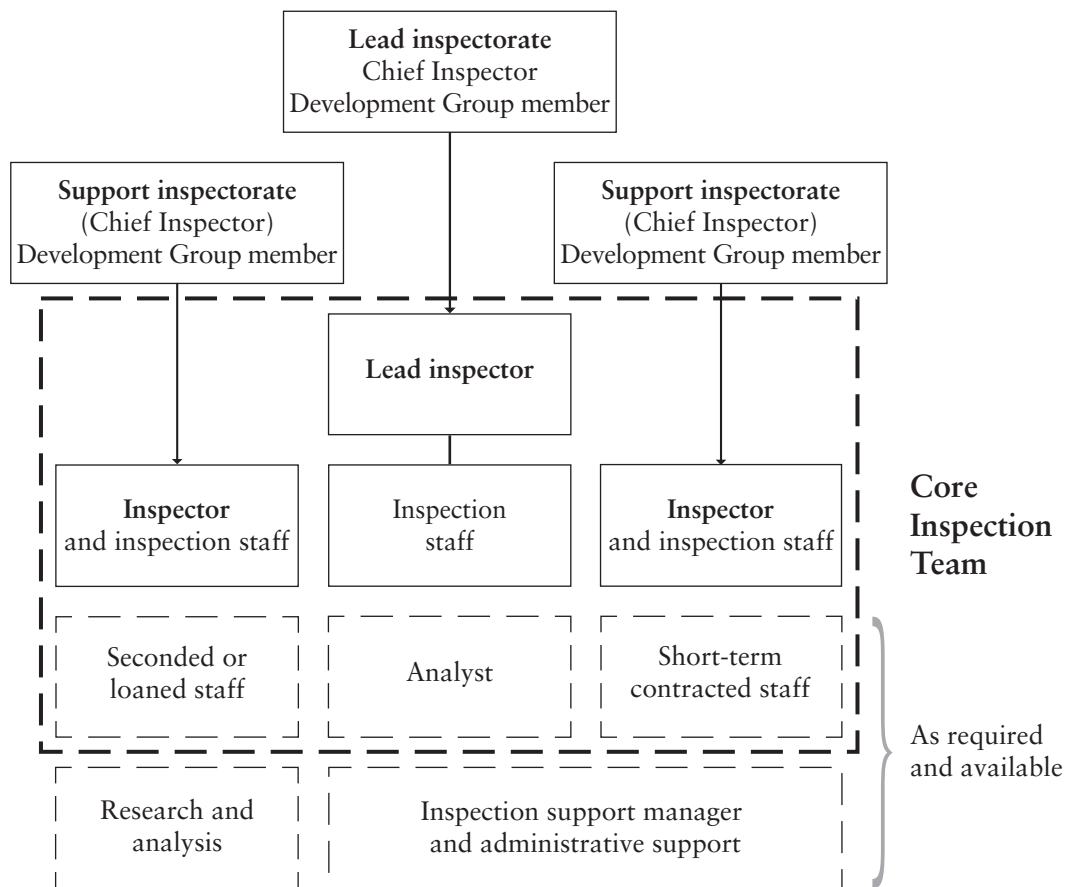
C INSPECTION PHASE

17 Team structure

17.1 The major resourcing decisions relate to the establishment of the team, or teams, to carry out the fieldwork and the logistical support necessary to facilitate their work.

17.2 A typical management structure and inspection team will contain the following elements;

Figure 7 - Typical management and team structure

17.3 The number and composition of the inspection team(s) will be dependent on the type of work required. A thorough analysis of the resource requirements should be undertaken as part of the scoping exercise and included in the project plan.

17.4 Resourcing proposals must be carefully considered by each inspectorate. It is important that the Development Group members for each inspectorate involved are consulted about proposed staffing levels before they are finalised. If individual work stream resourcing impacts on staff availability for other work streams, the Development Group will need to discuss prioritisation.

18   Logistics

18.1   Each inspectorate has different administrative support arrangements. Whatever the administrative structure, efficient support to inspection teams is critical to the smooth running of the thematic inspection.

18.2   Support staff (those charged with providing support) need to consider:

Preparatory arrangements
- Office accommodation for the team.
- Living accommodation for the team if not commuting.
- Where staff are to be seconded specifically for the duration of the thematic, letters will be required by the relevant agencies outlining terms and conditions and dates of secondment for staff.
- Travel arrangements for the team.
- Security clearance for seconded staff.
- Seconded staff may require identification passes.
- Stationery requirements for the team.
- General information pack for each team member to include; office and living accommodation information; scoping document; project plan; team contact details; general information on facilities, e.g. fax machine, library.
- Computers including laptop computers and printers if required.
- Telephones and mobile telephones if required.
- Consider the need for health and safety risk assessments.

Fieldwork arrangements
- Office accommodation for the team at each inspection site.
- Hotel accommodation for the team - if not commuting.
- Travel arrangements (vehicle hire, train tickets etc).

18.3   Inspection support managers (or those charged with providing support) may be asked to create a **briefing pack** for team members. The content can vary but may include:
- Maps and geographic details of the area to be visited - including satellite navigation coordinates of venues for interviews, hotels etc;
- Background information on the area and agencies;
- National and local performance data sets; and
- Programme of interviews and question frameworks etc.

19   Methodology

19.1   The most often used methods for evidence gathering were flagged earlier (paragraph 9.3). In this section each method is explored in more detail. Inspectors will tailor their use of these elements to suit the requirements of each individual inspection.

i   Data retrieval

19.2   Every inspection will involve some level of data retrieval. Subject to ease of accessibility and relevance, the more statistical information that can be retrieved in advance of site visits, the better. Early consultation with analysts (where available) will establish the most relevant data sets available and a decision can be made as to what information will be gathered for further analysis.

19.3   In essence there are two ways to retrieve the data sought. Firstly, **by remote means** without reference to the agencies being inspected which includes open source information (e.g. the internet). Also, many Government Departments and the Office for National Statistics retain huge amounts of data. In addition information is kept by other organisation such as the major charities and various Non-Departmental Government Bodies - for example the Equality and Human Rights Commission.

19.4   The second method involves a **direct approach to the inspected body,** however this has a number of disadvantages - it negates the opportunity for an unannounced inspection and can add a significant bureaucratic burden to the inspected organisation.

19.5   Where the data is to be provided by the organisation itself there should be absolute clarity on what information is requested and the need for it. The lead inspector should work with the other inspectorates to ensure that the bureaucratic burden is kept to a minimum and the information is not available from any other source. Where such data requests are being considered involving police forces, the lead inspector will ensure prior contact is made with the HMIC Gateway single point of contact.

19.6   Analysis is not an isolated activity within a thematic and therefore cannot stand by itself. The researcher requires as much background and focus as possible in order to produce an analysis that makes sense.

19.7   **Data analysis** should be carried out throughout all stages of the thematic inspection. It should be consulted and actively progressed:
- During the scoping phase of the inspection.
- As detailed plans are made to collect data in different forms e.g. existing data such as crime statistics or that which is to be gathered as part of the fieldwork.
- Throughout the data collection process and be required to produce detailed analysis in line with the terms of reference for the thematic.
- To assist in the final writing of the report, especially around the technical aspects of the outcomes and the weight of evidence to be deduced from the data analysis.

ii Background research

19.8 A **literature review** or **background scan** will usually be undertaken - although the scale will vary. Inspectors have to know what information about the subject is available to avoid duplicating or contradicting existing work. An examination of the law surrounding the subject and the available guidance, policy and information already available is critical to the inspection. It may also be appropriate to task a review of the academic research that has been undertaken or is planned.

19.9 A review will provide:
- Contextual background to the thematic topic;
- Findings from previous research in the subject area;
- Guidance to prevent unnecessary work in a field or area that has previously been extensively researched;
- A list of experts in the field to be inspected who may provide advice or support;
- Insight into the type of data that a study is likely to provide; and
- Assistance in explaining results acquired from data analysis.

19.10 The information from the literature review and its parameters must be clearly set out and discussed at planning meetings. Policies and guidance, statutory or not, will form part of the inspection criteria.

19.11 The **sources** for a literature review are numerous. Examples are:
- Other inspectorates;
- Government Departments;
- Lord Chancellor's Department, Crown Prosecution Service, National Offender Management Service (NOMS), police, prisons, probation;
- National Assembly for Wales, Scottish Assembly, Northern Ireland Office;
- Audit Commission (and Audit Commission for Wales);
- Chartered Institute of Public Finance Accountancy (financial statistics);
- Professional and staff associations; and
- Local authorities and local authority associations and Community Safety Partnerships.

19.12 The Home Office carries out a substantial proportion of research and collects an extensive amount of data. Publications are available via the Home Office website: www.gov.uk/government/organisations/home-office/about/research.

19.13 If a more extensive literature review is required then academic/commercial agencies such as the Economic and Social Research Council (ESRC) or Criminology/Psychology/Sociology departments of universities can assist, though a cost may be involved.

iii Fieldwork

19.14 Fieldwork is the phase of the inspection where inspectors visit the nominated localities to gather evidence.

19.15 It is usual for the lead inspector and selected team members to construct a series of aspects to cover - these are detailed questions for evidence-gathering that will test the criteria set out in the framework for of the inspection - see example at paragraph 8.5.

19.16 This approach encourages consistency where more than one sub-team is deployed to conduct site visits and/or discrete interviews. Where the inspection is a follow-up to a previous thematic, consideration can be given to replicating all or part of the original methodology, allowing comparison and progress to be identified.

19.17 Fieldwork will involve team members working alone or together carrying out interviews with key individuals, staging workshops and holding focus groups. These need to be carefully planned - both in identifying appropriate attendees and scheduling the interactions to allow team members time for any preparation and writing of notes. It is also important to schedule in travelling time if interviews are at different venues.

iv Focus groups

19.18 A common evidence gathering tool is to run focus groups - mixed groups of people involved in the subject area or process under scrutiny. It is essential that the host agency is given sufficient notice to arrange the focus group. The lead inspector should be explicit in determining the make-up of the group in terms of skill levels and rank/grade, within the organisation, of the participants.

19.19 The focus group should be facilitated by a trained person using a structured set of questions. The facilitator will require at least one further person to record responses and agree the interpretation of those responses.

19.20 Prior to commencement the facilitator should outline the purpose of the inspection and the part the focus group will play in gathering evidence. An agreed 'form of words' should be used at the start of the process to provide reassurance around anonymity issues - covering the fact that no one will be named or directly cited in agency feedback or the final report, however notes will be taken of discussions and individuals may be identifiable if these are subject to disclosure.

v Specialist workshops

19.21 A very cost-effective alternative to staging a number of interviews of functional leads in several different localities (e.g. six heads of a specific specialist department) is to bring them together into a single workshop, centrally located. This allows a more free-flowing examination of the key issues and encourages everyone to spark off each other's comments and views.

19.22 It is important that such workshops are well planned and structured to get the most from the participants. Pre-read materials, perhaps including relevant framework questions and criteria, aid early involvement of attendees and reduce the 'front loaded' element of the workshop.

19.23 Notes of the workshop should be captured and if possible circulated to participants for comments and additional thoughts.

vi Interviews

19.24 Interviews with key individuals will form a critical part of the evidence gathering process. A number of conventions should be considered when creating a timetable of interviews. For example, the 'top down' approach:

- **Strategic managers** being interviewed first to obtain the management view of how business is conducted. This view should be tested against any corporate documentation produced in the given subject area;
- **Middle managers** then being seen to identify how strategies are implemented;
- **Front line workers** or their equivalent in the support function then being interviewed to identify whether the strategic thinking and policies are matched by 'on the ground' practice; and
- Wherever possible **documentary evidence** and **performance data** being obtained to support or refute the anecdotal statements of those interviewed.

19.25 Alternatively, the above convention can be reversed if pre-inspection work establishes significant evidence of practical application (e.g. through surveys or 'mystery shoppers' - where used) which inspectors then wish to track 'bottom-up' before questioning strategic managers.

19.26 Where a number of localities and/or agencies are to be visited, it can assist if during the liaison stage an indicative visit timetable is shared with the hosts as the basis for their arranging individual and group interviews. Clearly, flexibility will be required to ensure that the key individuals are interviewed; their commitments may not permit their availability within the 'slot' suggested in the indicative programme.

19.27 If resources permit, two interviews or focus groups can be staged simultaneously but this requires the liaison officer to ensure that appropriate rooms are available, interviewees are met and shepherded to the right location and generally that everyone keeps to timetables.

19.28 Where the team, or sub-team, need to travel between locations, it is important that the liaison officer has allowed enough time and made whatever arrangements are required to gain access. Also, try to leave some **free slots** to allow local initiatives to be examined in more detail.

19.29 It is good practice for only two members of the team to take part in each interview, with one leading on the questions and the second taking notes and filling in gaps as appropriate. After the session, the pair should briefly review the interview and **agree the key points** to go into the database or evidence gathering template together with issues that require further investigation.

19.30 As part of the pre-inspection you will have established the essential points to cover to satisfy the aims of the inspection, for example: aspects to cover and areas to probe. Inevitably, the inspection activity uncovers or generates additional issues; the team needs to agree which of these merit further work and arrange for that to be undertaken. It is important to **avoid over-expansion of the remit** to the point where it becomes unmanageable or there is a loss of focus - also beware of over emphasis on favoured topics.

vii Reality testing

19.31 Whilst fieldwork is being undertaken some inspectors may conduct 'reality checks'. In essence this is to confirm or refute the evidence or assertions provided by the host agencies - for example that particular information is widely available to staff or communities have direct access to particular practitioners or services.

19.32 It is essential that there is clarity about where inspectors are able to go, both practically and legally. The hosts should be informed at the outset that reality checks would be undertaken and ensure that there is clarity about any restrictions placed on the inspectors. Reality checks often invoke a strong reaction from the host and so any comments made must be confined to the evidential observations of the inspectors rather than opinion.

viii Case file examination

19.33 Use of a case file reading tool is often the key focus for the inspection. It may be carried out in advance of fieldwork or when the team is on-site. This can be carried out in a number of ways. However a review of cases is conducted, the inspector must be clear;
• How many case files will be reviewed;
• How the cases are selected;
• Who selects the cases;
• Where the review will take place; and
• Whether the host has to be involved in the process of review.

19.34 There should be a clear checklist, database and question set for the review. The number of cases reviewed will influence the weight which can be apportioned to findings.

ix Surveys

19.35 Surveys can be used to obtain data upon which to base subsequent inspection activity and/or as part of the inspection itself. They are particularly useful for gathering relatively straightforward information from a wide range of people. If the information required is particularly complex, detailed, or individualised other methods (such as interviews or document analysis) may be more appropriate.

19.36 In all cases there are a number of golden rules that must be followed:

• Clarity about the aims of the survey should be reached and documented in the project plan and questions should be strictly relevant to the aims of the survey.

• Where possible simple 'closed' (tick box) questions should be used. This enables aggregation and quantification of responses, and is also much quicker for the respondent to complete - but make sure the categories cover all possible options or have an 'other, please explain' option for exceptions.

• Keep 'open-ended' questions to a minimum and use only when they will clearly add value, or when there is no alternative way of capturing the information required. Too many open-ended questions can be burdensome for both the respondent and the analyst.

• Keep language simple, direct and jargon-free. Take care to avoid double questions (asking about two things at once) and potentially leading questions.

- Give clear instructions about how each question should be answered (e.g. *tick one box only*, *round to the nearest £1,000* etc).

- The questionnaire should be structured with the needs of the intended respondent considered to ensure maximum return. It should not be too long or overly complicated; it should be directed to the appropriate individuals; and the questionnaire should be broken down into discrete sections for completion by those with specific responsibilities.

- However, the questionnaire should always sent via the chief officer or chief executive requesting that staff be allowed to complete their respective sections.

- If available, assistance with the questionnaire design and analysis of the returns should always be sought from qualified researchers, at the earliest possible stage.

- If possible the questionnaire should be piloted on a representative sample of the target audience before use - to ensure the questions are understood and it captures the information and data intended. It is also important to check that it doesn't take too long to complete.

- A database, spreadsheet or similar should be designed to capture and facilitate analysis of the returned questionnaires.

- The team should agree how the results will be analysed.

19.37 If the public are to be surveyed then this should be done through a professional agency. Surveys and questionnaires can prove costly and these costs should be agreed at the outset.

x *Management information*

19.38 There are many sources for management and performance information - including national bodies, inspectorate databases and agencies' own websites. Where inspectorates are considering requesting management information directly from agencies under scrutiny, every effort should be made to:
- Ensure the data requested is important - not simply a 'nice to have'; and
- Use readily available data - to avoid unnecessary additional work.

19.39 Where the information request relates to police forces or organisations, the lead inspector should first contact the HMIC Gateway single point of contact.

20 Debriefing during fieldwork

20.1 It is good practice to review inspection activity at the end of each day (or at least at regular intervals throughout fieldwork) to:
- Share information;
- Capture salient points;
- Reinforce focus for the next day;
- Elicit new avenues to pursue; and
- Agree main points for any early debrief (sometimes termed a 'hot debrief') to inspected bodies at the end of the visit (not exhaustive) - such debriefs are at the discretion of the lead inspectorate.

20.2 The team leader should ensure that this on-site 'wash up' or debrief is tightly managed to keep it short and focused - do not re-run the whole day's work. The team will often still have several hours work ahead of them to input evidence to the database, and long wash-up sessions are a waste of energy.

20.3 A bullet-point summary of the debrief should be recorded and transcribed onto the database or evidence gathering template.

20.4 Where two or more inspection sub-teams are operating concurrently (and are not co-located), team leaders will ensure that the key issues from debriefs are exchanged.

21   Evidence capture

21.1 During the course of fieldwork, team members will gather material which forms the basis for the evidence that will be included in the final report. To avoid unnecessary delays in the evaluation of evidence (see next chapter) it is important that initial write-up is clear, methodical and comprehensive - including details of sources and any cross-references - see example below:

Figure 8 - Example of evidence capture

	Criteria	Evidence
1	**Effective leadership and management**	
	There is effective national and local leadership of MAPPA work	
1.1	There is clear national policy and guidance in respect of the Responsible Authority (RA) and Duty to Co-operate (DTC) organisations that informs the work of MAPPA	The local DTCs represented at the focus group on 10.02.11 had no significant awareness of the wider MAPPA structure. More detailed information will be provided in the note of meeting

22   Early debriefs

22.1 Where an early debrief is offered to the senior strategic managers of agencies (chief officers, chief executives and/or to senior specialist leads), this should normally be undertaken on the last on-site day, to avoid any need to return to the locality subsequently.

22.2 The purpose of early debrief is to convey issues of immediate concern - where inspectors consider urgent action is required - and other key findings which are likely to form the core of the final report. At this early stage, the briefing should be subject to several clearly articulated caveats - not least that all evidence has yet to be fully analysed.

D REPORT WRITING PHASE

23 Introduction

23.1 The overall form, structure and key elements of the final report should be subject to early consideration by the lead inspector before the field work is undertaken - to inform evidence capture scope and approaches.

23.2 At the conclusion of the fieldwork the lead inspector will commence the report writing stage in earnest and begin a detailed assessment of the evidence that has been gathered. A number of team members will be responsible for producing written contributions to the final report but there can only be one person who takes overall authoring and editorial responsibility - usually the lead inspector. However, the final report must be agreed by all the inspectorates involved in the inspection, and so ensuring the validity and clarity of findings and evidence cited is vital.

24 Evidence evaluation

24.1 It is important that all the evidence gathered is assessed for its:
- General relevance to the scope of the thematic;
- Specific relevance to the working criteria;
- Identification of any new issues of importance; and
- Its continued validity and accuracy.

24.2 Often, a number of weeks pass between the fieldwork and publication of the findings. It is prudent, therefore, to ensure that any 'good practice' examples to be used in the final report are rechecked for continued good performance - many apparently good initiatives fall by the wayside with relatively short notice.

24.3 Wherever possible, evidence should be triangulated - with more than one corroborative support being identified. For example, an example cited in a focus group might be supported by a check of event records and separate questioning of a senior manager. Triangulation becomes even more important if the evidence is to be used to support one of the key recommendations.

25 Report preparation

25.1 The following approaches are worth consideration:

- Write the 'executive summary' first (or at least a 'skeleton' summary of the key findings) and then use it as the basis upon which to flesh out the main report. This has advantages in that the report can be limited to just the most important issues.

- 'Brainstorm' all the important issues and those which the informed reader would expect to be covered before writing the report and use this as a checklist at several stages of drafting, to ensure focus is retained. Also use the working framework of criteria and sub-criteria as a cross-check.

- Establish a structure for chapters and a summary of the content of each before writing commences to avoid simply 'dumping' everything that is known about the subject of that chapter and requiring major reduction at a later stage.

- Have only one person responsible for the overall final report - this does not stop more than one contributing, e.g. writing a number of chapters each, but the responsible person has editorial control and can agree the rules of engagement.

- Maintain strict version control. It is important in assessing any feedback from critical readers or participants to know which version they are commenting upon.

- Decide such things as tense to be used; key titles and terminology; and definition of terms in advance to encourage consistency and save time in the proof reading stage.

- Decide on pictures, charts and illustrations as early as possible. It takes time to fill any glaring gaps.

- Keep a regular check on the overall balance of the report and individual chapters - do less important issues receive too much coverage and produce few or no recommendations?

26   Recommendations

26.1   Recommendations form an absolutely key element of the final report and will be the focus for action by inspected bodies, and others, to address problems and issues identified by the inspection. It is therefore important that recommendations should:
- Be limited in number;
- Focus only on the really big issues and ensure each results in a recommendation;
- Avoid simply proposing that existing activity continues;
- Be written so that the reader can understand them without having to refer to the main text in the report; and
- Wherever possible, be SMART (specific; measurable; achievable; realistic; and time-limited).

26.2   As the lead inspector develops the thematic recommendations, the relevant reference group representatives (or national subject leads) may usefully be consulted to ensure that each recommendation is effectively tailored to a specific business area or department within inspected bodies.

26.3   From experience, it is vital to have a clear and agreed process for dealing with recommendations and in particular any relating to Government Departments or national organisations. The process for identifying issues, drafting wording and finalising content should be included in the project plan and should:
- Target recommendations to specific business areas within organisations;
- Identify individuals within those bodies who would be accountable for action in response to individual recommendations;
- Stipulate the expectation that those identified as accountable will provide a formal response (setting out proposed action) within a stated timescale; and
- Be sensitive to the cost implications of the recommendation and the realistic prospect of it being adopted in a time of austerity.

26.4   Those identified as accountable for action should be clear there is an expectation of a formal response to each recommendation in due course. The time allowed for response may vary depending on the subject matter and the action required and so timescales should be clearly stipulated.

26.5 As regards the financial implications of a recommendation, these will not preclude making recommendations but should be highlighted where appropriate and taken into account when assessing the subsequent action taken.

27   Production and report layout

i   Report production

27.1 All reports of CJ joint inspections are published under the CJJI 'badge' and in accordance with the CJJI corporate publication guidelines (details from each inspectorate's communications team).

27.2 Generally, only electronic versions of the final report will be produced - although in some circumstances hard copies may be produced, for example executive summaries. Electronic versions need to be produced as pdfs to be suitable for website publication and be of suitable quality for external viewing and use.

27.3 The process of turning the results of the inspection into a professionally printed (and/or electronic) product takes time. It is essential that the printing and layout phase is programmed well ahead of time to ensure a smooth transition from completion of the writing and editing phase into the publication process. It is therefore advisable to consider, during the writing phase, what the finished product will look like. Typography, photographs and graphics need to be decided upon and assistance bought in if necessary before writing is complete.

27.4 It is essential that the lead communications team (or other relevant staff) are informed at an early stage of:
   • Timescales for the production of:
      • Proof copy.
      • Embargoed copies (e.g. for key agencies, media, Ministers etc).
      • Launch and full distribution.
   • Charts/data tables.
   • Photographs obtained by the team for inclusion in the report.
   • Maps/illustrations.
   • Title/cover design.
   • Layout fonts.
   • Any issues of sensitivity.
   • Number of copies required.

ii   Draft report for pre-publication readers

27.5 Before a draft report is circulated more widely, it is important that the team members have agreed the content, or at least had the opportunity to make representations to the lead inspector for amendments.

27.6 Once the lead inspector has agreed a draft report it may be circulated to a pre-selected set of critical readers. This set should include the members of the reference group (if applicable) and any nominated persons agreed with the inspectorates involved. Such circulation may be of the whole draft report or just of extracts with particular relevance to the individual critical reader (e.g. text and recommendations in an area of specific expertise).

27.7 All pre-publication circulations should be subject to confidentiality agreements and responses should be strictly time-limited. Consideration should be given to any comments received from the critical readers and where appropriate amendments incorporated into the master draft report at the direction of the lead inspector. Where comments from external critical readers do not result in additions or amendments to the report, the lead inspector should record why comments have been ignored - for reference.

27.8 It is vital that the team operates effective version control to ensure a master copy is maintained accurately. Once the final draft has been agreed it should be formally proof read, either by the lead inspector or a nominated proof reader.

27.9 It may be necessary to have the report translated into another language, e.g. Welsh. If a report is going to be translated, the lead inspector needs to build this aspect into the timetable, bearing in mind the time entailed, to ensure there is no undue delay to publication. (Note: finalisation of any translation must take account of the final sign-off schedule).

27.10 Any costs incurred at this stage should have been included in the original estimate for the thematic.

28   Final sign-off

28.1 Each report will be formally signed off by the Chief Inspectors on behalf of the inspectorates involved. This sign-off is a vital stage in quality assuring the report and must be formally planned into the project timeline.

28.2 The stage(s) at which each Chief Inspector is sighted on findings and recommendations may vary between inspectorates - some may require personal updates at several stages. However, it is important that each is appropriately prepared and briefed in time for the final sign-off stage - to avoid any unnecessary delays or major changes to content at a very late stage in the procedure.

28.3 Regardless of local agreements for additional contact, each Chief Inspector will have sight of the report at two specific stages, namely:
- Before the draft report is formally sent out to the inspected bodies for their comments and challenges to accuracy; and
- At final version stage - immediately before it is passed to communications teams for production.

28.4 In addition, if there are significant issues raised or major changes made as a result of the responses by inspected bodies to the draft report, these must be flagged to the Chief Inspectors in advance of the final version sign-off.

28.5 It is important that Chief Inspectors sign-off the report at the above stages to avoid any unnecessary delays in finalisation and publication.

E   PUBLICATION PHASE

29   Communications

i   Confirming the strategy

29.1   The format for handling the publication phase should have already formed part of the communication strategy, within the project plan. Depending on the nature and sensitivity of the issues, findings and recommendations, the publication of the report is likely to follow one of two forms:

- **Media conference** - including a staged event on the day of publication to which members of the media will be invited and Chief Inspector(s) and/or the lead inspector will make a presentation before answering media questions; or

- **Press release** - pre-circulation of a prepared press release and embargoed reports to selected media outlets with an offer to field requests for individual interviews with the lead Chief Inspector or inspector (on or before the day of publication).

29.2   In either case, there will be circulation of embargoed copies of the report to some specified individuals (e.g. heads of relevant agencies and local chief officers of areas inspected) and a notification to relevant Ministers and Departments.

29.3   It is important that the format and timing of publication is agreed by relevant Chief Inspectors, or delegated senior managers, at an early stage and that any particular professional or political sensitivities are identified and factored into planning for publication.

ii   Press office liaison

29.4   The press office for the lead inspectorate will normally take the lead role in arranging publication. They should liaise with the other inspectorates' press offices to agree strategy and lead personnel. They should be advised of the thematic time scales and proposed publication date as soon as possible after commencement of the inspection.

29.5   Unless decided otherwise by the lead inspectorate, their press office will normally take responsibility for arrangements for media conference or press statements, including any pre-circulation of statements and embargoed copies of reports - both to the media and to stakeholders. The lead inspector will provide the definitive non-media circulation list.

29.6   The lead press office will ensure that the final report and associated press release are loaded onto the CJJI joint inspection website and that each inspectorate has appropriate electronic copies for uploading onto their individual websites.

iii Ministers and Departments

29.7   The lead press office will liaise with the private offices of relevant Ministers and Departments. Part of the early liaison will be to check proposed publication date(s) against other significant events and report publication dates - to avoid any clashes and identify any potential issues with the date selected.

29.8 In all cases, a written submission (or letter) with an embargoed copy of the report will be sent to Ministers in advance of publication. This will ideally be sent (electronically) two weeks in advance, to allow time for Departmental advice to Ministers and formulation of their response. Where later pre-circulation is necessary, the lead inspectorate should consider an earlier covering note to Ministers to give notice of the publication date. Any Ministerial comment will be issued via the relevant Government press office - to emphasise the report's independence.

iv Other stakeholders

29.9 The lead inspector will compile a circulation list for copies of the report to include all key stakeholders (e.g. reference group, agency heads, national subject leads) and will identify which should be sent out in advance of publication - as embargoed copies - and which will go out subsequently.

30 Publication checklist

30.1 The key elements required for publication to take place are set out below.

> **Figure 9 - Publication checklist**
>
> - **Date and time:** Selected to avoid clashes and/or complement other events or publications. Also selected to ensure availability of relevant spokespersons for launch or interviews.
>
> - **Spokesperson(s):** Chief inspector(s) and/or lead inspector to be available for conference or to service requests for interviews.
>
> - **Venue:** Where the conference option is taken, a suitable venue to accommodate media and team participants with space for report reading, conference presentation and one-to-one interviews.
>
> - **Final report:** Available in electronic and/or printed format. For a media conference, printed copies will be required.
>
> - **Executive summary:** In some cases there may be a separately produced executive summary document. In all cases there is a requirement for a very **brief summary** (up to 100 words) for inclusion on the CJJI joint website.
>
> - **Press release:** The content will be signed-off by the lead Chief Inspector, in consultation with the other participating Chief Inspectors.
>
> - **Website versions:** Appropriate versions of the final report, executive summary, brief summary and press release to be uploaded to the CJJI website at a given time (and to other websites as applicable).
>
> - **Pre-circulation:** Submission (or letter) to Ministers and letter (or e-mail) to accompany pre-publication embargoed copies of the report.
>
> - **Post-circulation:** Letter (or e-mail) from lead Chief Inspector to stakeholders to accompany circulation of reports.

F POST-PUBLICATION PHASE

31 Debrief and evaluation

31.1 Much can be learned from holding debriefs post-inspection and lead inspectors should consider all opportunities, including:
- Inspection team debrief workshop;
- Inspection team debrief via individual written feedback;
- Press office and communications team feedback;
- Reference group debrief; and
- Feedback from inspected bodies.

31.2 In some cases, feedback may be best gathered during the fieldwork or report writing phases.

31.3 The various sources of feedback provide an opportunity for inspectorates to evaluate a range of issues, for example the:
- Effectiveness of the inspection;
- Behaviour and knowledge of inspectors;
- Validity of framework questions;
- Use of questionnaires or surveys;
- Methods for evidence capture and triangulation; and
- Readability of reports.

31.4 Some inspectorates make use of quality assurance proformas, questionnaires and feedback forms to inform such evaluation.

32 Assessing impact and follow-up

32.1 The responsibility of the lead inspector is to construct measures to assess the impact of the thematic. It is important that the CJCIG is able to gauge its impact on CJS agencies through its inspection and guidance processes.

32.2 Which outcomes of the thematic are measured will depend on the original aims and objectives as agreed during the scoping phase. As well as monitoring implementation, possibly through the mechanism of a group specifically set up for the purpose, the lead inspector should consider assessing impact through a series of questionnaires directed to key stakeholders and agencies six to 12 months after publication.

32.3 In the case of recommendations targeted at a particular agency, it may be appropriate for the respective inspectorate to carry out follow-up inspection within their core single-agency inspection programmes.

32.4 Consideration should also be given to carrying out a follow-up joint thematic inspection at some point - in particular where there is a suitable milestone for implementation of any recommendations (for example 12 months after implementation of new national guidelines). Any proposal for follow-up inspection will be considered by Chief Inspectors within their overall joint programme planning.

32.5 This post-publication monitoring phase should appear in the project plan from the start of the thematic.

ANNEXES

A   THE TEN PRINCIPLES OF PUBLIC SECTOR INSPECTION

The principles of inspection in this formal statement from 2003 place the following expectations on inspection providers and on the Departments sponsoring them:

1   The *purpose of improvement*. There should be an explicit concern on the part of inspectors to contribute to the improvement of the service being inspected. This should guide the focus, method, reporting and follow-up of inspection. In framing recommendations, an inspector should recognise good performance and address any failure appropriately. Inspection should aim to generate data and intelligence that enable Departments more quickly to calibrate the progress of reform in their sectors and make appropriate adjustments.

2   A *focus on outcomes*, which means considering service delivery to the end users of the services rather than concentrating on internal management arrangements.

3   A *user perspective*. Inspection should be delivered with a clear focus on the experience of those for whom the service is provided, as well as on internal management arrangements. Inspection should encourage innovation and diversity and not be solely compliance-based.

4   *Proportionate to risk*. Over time, inspectors should modify the extent of future inspection according to the quality of performance by the service provider. For example, good performers should undergo less inspection, so that resources are concentrated on areas of greatest risk.

5   Inspectors should encourage rigorous *self-assessment* by managers. Inspectors should challenge the outcomes of managers' self-assessments, take them into account in the inspection process, and provide a comparative benchmark.

6   Inspectors should use *impartial evidence*. Evidence, whether quantitative or qualitative, should be validated and credible.

7   Inspectors should *disclose the criteria* they use to form judgments.

8   Inspectors should be *open about their processes*, willing to take any complaints seriously, and able to demonstrate a robust quality assurance process.

9   Inspectors should have regard to *value for money*, their own included.

10 Inspectors should *continually learn from experience*, in order to become increasingly effective. This can be done by assessing their own impact on the service provider's ability to improve and by sharing best practice with other inspectors.

B   CONTENT OF THE INSPECTION PLANNING DOCUMENTS

The requirements for the three main project documents are planned so that each builds upon the previous one, thus reducing the need for duplication of effort.

	Content item	Project brief	Scoping paper	Project plan
Overview	Inspection question	✓	✓	✓
	Justification	✓	✓	✓
	Value for money implications	✓	✓	✓
	Lead inspectorate	✓	✓	✓
	Partner inspectorates	✓	✓	✓
Scope	Summary	✓		
	Full aims and objectives		✓	✓
Scale	Summary	✓		
	Full methodology		✓	✓
	Detailed resources		✓	✓
Timescales	Summary	✓		
	Detailed timescales		✓	✓
Management	Stakeholders		✓	✓
	Governance		✓	✓
	Risk management		✓	✓
	Risk matrix (if appropriate)			✓
	Equality impact assessment			✓
Outputs	Summary	✓		
	Products and deliverables		✓	✓
Delivery	Review and sign-off plan		✓	✓
	Reporting style and approvals			✓
	Process and timelines			✓
	Communication strategy			✓
	Debrief and evaluation			✓

C   EXAMPLE OF EQUALITY IMPACT ASSESSMENT

Inspection:	**Joint thematic on disability hate crime**
Senior inspector responsible:	**XXXXX**
Assistant inspector leading:	**XXXXX**
Support team lead:	**XXXXX**
Date of assessment:	**3 January 2012**

Name and job titles of people carrying out the assessment:

XXXXX - Assistant Legal Inspector (HMCPSI)

XXXXX - Inspector (HMIC)

XXXXX - Inspector (HMI Probation)

In consultation with:

XXXXX - Assistant Legal Inspector (HMCPSI)

XXXXX - Audit (HMCPSI)

XXXXX - Legal Inspector (HMCPSI)

Name of service/function/policy etc:

Joint thematic inspection on disability hate crime

Is this new or existing?

This is a new inspection, which is being conducted by HMCPSI, HMIC and HMI Probation

Screening questions

1   Aim and objectives

The aim of the inspection is to highlight barriers to the identification of, investigation and prosecution of disability hate crime. In addition the inspection should highlight good practice and make recommendations to bring about positive change.

The inspection will specifically consider:

a   How effective are the police and/or Crown Prosecution Service (CPS) at identifying disability as being a motivating factor in offending perpetrated against disabled victims?

b   How effectively are disability hate crimes, once identified, dealt with by the police, CPS and the probation trusts at operational level?

c   What, if any, are the barriers in the systems and processes of the police, the CPS and the probation trusts to achieving successful outcomes for victims of disability hate crimes, including issues of accessibility and support?

d   What has been the impact of recommendations made by a number of third party organisations (in the past 24 months), on policing/CPS/Probation Service procedure?

The report will identify a number of recommendations for improvement, highlight any good practice and will comment on any issues relating to aspects of equality and/or diversity in addition to those encompassed by the aim and objectives.

2   Are there external considerations?

The inspection will be carried out in accordance with the agreed methodology of the three relevant inspectorates. The inspection will consider if the police, CPS and probation trusts are complying with the relevant duties in relation to disability hate crime.

3   Who are the stakeholders and what are their interests?

The inspection will result in the publication of an independent public report.

As part of the inspection, consultation will take place with various groups including - Voice UK, Mencap, a commissioner with the EHRC, ACPO, probation trusts, senior CPS staff and senior police staff with responsibility for disability hate crime.

4   What outcomes are to be achieved and for whom?

The publication of an independent report assessing how the police, CPS and probation trusts carry out their statutory duties in relation to disability hate crime.

5   Has any consultation/research been carried out?

Background research has been carried out in relation to section 146 of the Criminal Justice Act 2003. Data has also been analysed in relation to the CPS reported outcomes for disability hate crime files. Various reports relating to disability hate crime have been considered.

6   Are there any concerns at this stage which indicate the possibility of inequalities/negative impacts?

The only concern relates to the file sample size for certain police/CPS/probation trusts areas being visited. However, the scoping paper specifically highlights the need to visit areas where there are both high and low numbers (in relative terms). The methodology makes no distinction in relation to sex, race, age, gender, transgender, sexual orientation or religion. Statistical data will be collected in relation to age, gender and physical/mental health disabilities. File record sheets will highlight any issues relating to sexual orientation and religion where appropriate.

7   Could a particular group be affected differently in either a negative or positive way?

	Type of impact, reason and any evidence
Disability	**Equality neutral methodology** The inspection relates solely to disability hate crime and will therefore produce data on how disabled people are dealt with by three criminal justice system agencies. Recommendations relating to how this type of work should be dealt with in the future are also likely to be published. Inspectors will be alert to identifying any discrimination indicators revealed relating to the three agencies.
Age	**Equality neutral methodology** The primary focus of post-conviction aspect of the criminal justice system's involvement with offenders who commit disability hate crimes, will be adult offenders under the supervision of probation trusts. There is a strong possibility that a percentage of these offenders will be young offenders under the supervision of youth offending teams. At the start of the inspection it is not possible to predict which if any of the offenders falls into this category. The lead inspectors from the three CJ inspectorates will review this situation following week one of the fieldwork to address this issue and minimise any impact. Data collected from the file sample will be examined to consider any potential discrimination issues in relation to age and how the three agencies approach disability hate crime. Inspectors will be alert to identifying any discrimination indicators revealed relating to the three agencies.

	Type of impact, reason and any evidence
Race (including Gypsy/Traveller)	**Equality neutral methodology** Data collected from the file sample will be examined to consider any potential discrimination issues in relation to race and how the three agencies approach disability hate crime. Inspectors will be alert to identifying any discrimination indicators revealed relating to the three agencies.
Gender	**Equality neutral methodology** Data collected from the file sample will be examined to consider any potential discrimination issues in relation to gender and how the three agencies approach disability hate crime. Inspectors will be alert to identifying any discrimination indicators revealed relating to the three agencies.
Transgender	**Equality neutral methodology** The file record sheets will, where possible, highlight any potential transgender discrimination issues. Inspectors will be alert to identifying any discrimination indicators revealed relating to the three agencies.
Sexual orientation	**Equality neutral methodology** The file record sheets will, where possible, highlight any potential sexual orientation discrimination issues. Inspectors will be alert to identifying any discrimination indicators revealed relating to the three agencies.
Religion/belief	**Equality neutral methodology** The file record sheets will, where possible, highlight any potential religion/belief discrimination issues. Inspectors will be alert to identifying any discrimination indicators revealed relating to the three agencies.

8   Could other socio-economic groups be affected?

Whilst the inspection report will consider how probation trusts deal with those sentenced by the court, it should not have any specific impact on groups such as those with a low income or ex-offenders. This will be monitored during the course of the inspection.

9   Are there any human rights implications?

None at this time have been identified. The inspection may consider issues relating to a victim's right to a fair trial.

10   Is there an opportunity to promote equality and/or good community relations?

It is a fundamental aim of the inspection to highlight good practice and make recommendations to bring about positive change in relation to how disability hate crime is dealt with by the police, CPS and probation trusts.

The scoping paper specifically provides for involvement of disabled people and 'interested groups'. Any adaptations to meet these groups will be made.

11   If you have indicated a negative impact for any group is that impact legal (not discriminatory under anti-discrimination legislation)?

The inspection should not have a negative impact on any group.

12	**Is any part of this policy/service to be carried out wholly or partly by contractors?**
	There are no independent contractors. Three inspectorates are working jointly on the project.

13	**Is a full impact assessment required?**
	No. The inspection methodology should not have an impact on any particular group. Whilst the project will focus on how the police, CPS and probation trusts deal with disability hate crime, this represents an assessment of historic behaviour and highlights good and bad practice. There are no groups that are disadvantaged by the inspection process/methodology.

Summary: At this stage it is therefore concluded that there is no need to undertake a Full EIA. This will, however, be kept under review.

TO CONTACT US OR TO FIND OUT MORE

Joint website: www.hmcpsi.gov.uk/cjji/

Inspectorates: www.hmic.gov.uk

www.hmcpsi.gov.uk

www.justice.gov.uk/about/hmi-probation/

www.justice.gov.uk/about/hmi-prisons/

Or write to: HM Inspectorate of Constabulary
6th floor, Globe House,
89 Eccleston Square,
London SW1V 1PN.

HM Crown Prosecution Service Inspectorate
4th Floor, One Kemble Street,
London WC2B 4TS.

HM Inspectorate of Probation
Floor 6, Trafford House
Chester Road, Stretford
Manchester M32 0RS.

HM Inspectorate of Prisons
1st Floor, Ashley House,
2 Monck Street,
London SW1P 2BQ.