



**Framework**

**For**

**Full Joint Inspection (FJI)**

**of**

**youth offending work**

(to be used in inspections with fieldwork commencing 25<sup>th</sup> February and after)





## 1. Introduction

The Full Joint Inspection is part of a programme of risk proportionate Inspection of Youth Offending Work agreed by Ministers. This document outlines the framework adopted by HMI Probation and partner inspectorates for this inspection in both England and Wales. It has been developed following consultation with YOTs, partner inspectorates and other interested parties.

This framework is designed to be read in conjunction with the document 'INSPECTION CRITERIA for FULL JOINT INSPECTION', published on the HMI Probation website.

The Full Joint Inspection (FJI) is undertaken in six local authority areas per year, five of which are normally in England and one in Wales. It focuses primarily on those areas where there is cause for concern about performance. This is determined following analysis of information received from the Youth Justice Board (YJB), intelligence gained from other inspections and publicly available data, and through consultation with other inspectorates via quarterly 'Information Bank' meetings. Each year at least one area with strong reported performance is inspected within the total of six areas in order to identify and share learning about strengths and to maintain a benchmark for good performance under the FJI methodology.

A separate Short Quality Screening (SQS) inspection programme is undertaken in a broader range of areas in England and Wales. Further details of this programme are provided elsewhere in this document and on the HMI Probation website.

## 2. Notice period for inspections

Government policy requires inspections to be undertaken as unannounced or with very short notice. Work should be inspected 'as is' and with the minimum of preparatory overheads, rather than as the inspected body 'would like it to be'.

The HMI Probation led joint inspection model seeks to engage with individual case holding staff on their own cases to facilitate improvement, using an illustrative case sample that aims to be representative of the diverse nature of the post court caseload. We recognise the logistical problems that a fully unannounced inspection under this model may bring for the inspected area, in particular where it already has performance difficulties. We therefore minimise the notice given and consulted to determine the minimum notice period that is appropriate to the methodology.

The YOT Manager<sup>1</sup> is notified of the intention to inspect by telephone and email on the Friday two weeks before we are due to arrive on site. They are requested to undertake the necessary preparation for the visit. The notification explains why we have chosen to inspect in that local authority area.

The confirmatory email is copied to the Local Authority(ies) Chief Executive(s), the Chair of the YOT Management Board, the Director of Children's Services or equivalent and relevant others.

## 3. Overview of inspection model

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<sup>1</sup> We refer to 'YOT managers' but recognise that there will be a number of variations of title for this post

The FJI programme is a joint inspection led by HMI Probation. Therefore it is imperative, when an inspection is announced, that all relevant partners in a local area recognise the nature of the inspection and their obligation to co-operate with and contribute to it.

FJI inspections involve inspectors from probation, health and social care, learning & skills and the police. In England this is HMI Probation, Care Quality Commission, Ofsted and HMI Constabulary. In Wales this is HMI Probation, Healthcare Inspectorate Wales (HIW), the Care and Social Services Inspectorate Wales (CSSIW), Estyn and HMI Constabulary.

It is essential that the work of the YOT is able to continue with minimum interruption during the inspection fieldwork. In recognition of this, the FJI is undertaken over two fieldwork weeks, with a one week gap between the two on-site weeks. Spreading the fieldwork over two separated weeks also significantly improves the quality and usefulness of the inspection by enabling partner inspectorates to contribute to a qualitative inspection that is responsive to the findings from casework.

**The first fieldwork week** focuses on the inspection of practice. This is undertaken by staff from HMI Probation together with a local assessor(s) from another YOT area, who has been trained in the FJI methodology.

Inspectors from partner inspectorates join the inspection for the **second fieldwork week**. Informed by the findings of the first fieldwork week, partner inspectors apply their specialist skills, for example in safeguarding and child protection, learning and skills and health to further inspect the quality of practice, together with leadership, management and partnership (L,M&P) contributions to this. Two inspectors from HMI Probation (including the lead inspector) are on-site also to inspect the additional inspection modules (see paragraph 6 below), the L,M&P aspects of the core inspection module and follow up issues arising from the first fieldwork week. During this week there is engagement between the inspection team and service users – victims, children and young people and their parents/carers. An additional member of the team is normally dedicated to this work (see para 10)

In most areas this means that there are four inspection staff on-site during the first fieldwork week. In larger areas this increases accordingly and in smaller areas the number may reduce. Seven inspection staff are on-site during the second fieldwork week.

The inspection fieldwork concludes with a presentation of inspection findings to the Local Authority Chief Executive, Management Board members, Director of Children's Services, key local partners, Lead elected members for children, crime & disorder and the YOT management team. This takes place on the Friday morning of the second fieldwork week.

#### **4. Focus on the quality of practice with children and young people who have offended**

The primary focus of the inspection remains the quality of practice with children and young people who have offended and are subject to a court imposed community or custodial sentence.

In addition to the core elements of the inspection (direct work with children and young people and L,M&P work that supports that), up to two further modules are included, usually linked to the specific reasons for inspecting that LA area.

A substantial proportion of the fieldwork continues to be the inspection of individual cases. This takes place where possible in conjunction with the case manager. The FJI provides more opportunity for exploration of the case than was available under the previous inspection model.

The inspection team also seeks to engage with service users and observe practice.

A sample of recent statutory cases is inspected. The number depends on the size of the area. The case sample comprises a mix of first tier sentences, community sentences, and custodial cases. A proportion is cases that have been assessed by the case manager as high Risk of Serious Harm (RoSH), vulnerability or likelihood of reoffending to ensure that the FJI always examines and evaluates some more complex work.

## 5. Inspection timeline

A typical inspection therefore looks like this:

Week	Day	Activities
-3	Friday	HMI Probation give notice of forthcoming inspection by telephone and e mail
-3	Friday	YOT provided with inspection planning documents and asked to make required arrangements.
-2	Monday or Tuesday	Planning meeting held between Lead Inspector and YOT Manager (ideally face to face but if not by telephone).
	Monday to Thursday	YOT identify long-list sample of cases and submit to HMI Probation by noon on Thursday lunchtime.
-1	Monday	YOT receive selected case sample from HMI Probation by 5pm
	All week	YOT create case assessment schedule for Fieldwork Week 1 using template provided by HMI Probation
	All week	YOT undertake logistical preparation for Fieldwork Week 1 (arrange IT access, interview rooms, building access etc)
	Thursday	YOT send draft case assessment schedule to HMI Probation by noon
	Thursday	YOT send Information in Advance (normally pre-existing) to HMI Probation by noon
<b>Fieldwork Week 1 On site</b>	Monday	Inspection team from HMI Probation arrive at 1:00 pm and receive Health & Safety and IT briefing at 1:30pm
	Monday 3pm to Friday lunchtime	Inspection Fieldwork – inspection of cases
	Monday 2.15 – 3.15 pm	Context briefing to introduce inspection led by Lead inspector. Open to YOT Manager, Chair of Management Board and Board members, Director of Children’s Services, Lead member(s), YOT staff and significant others.
	Monday 3.30 pm	Planning meeting between lead Inspector and YOT manager to confirm fieldwork week 1 arrangements
	Friday 12.30 am	Meeting between Lead Inspector and YOT Manager to confirm requirements for fieldwork week 2.

		Inspectors leave site by 1.30pm.
+1	Monday to Thursday	YOT arrange schedule of meetings requested by inspection team for fieldwork week 2.
	Thursday	YOT send fieldwork week 2 schedule to Lead Inspector by noon
<b>Fieldwork Week 2 On site +2</b>	Monday	Inspection team arrive on site 1:00pm and hold brief inspection team meeting. Health & safety and IT briefing for inspectors 1.30 pm (repeated Tuesday 8.30am if required)
	Monday 2.00pm	Lead Inspector and YOT manager meet to deal with outstanding planning for the week
	Monday to Thursday	Inspection team on-site to undertake further inspection of cases (see item below) conduct meetings; examine arrangements, and user engagement. This includes inspection by partner inspectorates of the specialist elements of a sample of cases, with relevant specialist staff, as well as engagement with service users - victims, children and young people and parents/carers. It may also include observation of work delivered by partners with children and young people known to the YOT along including interviews with providers
	Thursday	Inspection team meet to agree key findings, judgements and feedback content
	Friday morning	10 am Inspection team present draft inspection findings. YOTs invite to this meeting: <ul style="list-style-type: none"> <li>• LA Chief Executive</li> <li>• Chair of Management Board</li> <li>• Director of Children's Services</li> <li>• Members of YOT Management Board (particularly statutory partners)</li> <li>• Chair Local Safeguarding Children Board</li> <li>• Director of Public Health</li> <li>• Chair of the Health and Wellbeing Board</li> <li>• Lead elected members with responsibility for children and crime and disorder</li> <li>• YOT management team</li> <li>• Other relevant partners or officers.</li> </ul>
+3 and 4		Draft report written and agreed by partner inspectorates
+5	Monday	Draft report sent to YOT Manager for comment
+6	Friday	Deadline for return of factual inaccuracies by YOT
+7		Publication process underway
+11 (approx)	Wednesday	Inspection report published
+15		Deadline for receipt of improvement plan

## 6. Core and additional inspection modules

Each inspection consists of a core module plus one or two additional modules. The core module focuses on the quality of work in statutory cases, together with supporting L,M&P contributions in so far as they directly impact the quality of practice.

One or additional modules are inspected, which are relevant to the performance of the local YOT area. The current list of potential modules is:

- Early Prevention & Out of Court Disposals
- Court Work
- Interventions
- Drug and Alcohol Work
- Governance
- Parents & Carers
- Victims & Restorative Justice.

The range of additional inspection modules is anticipated to develop over time.

For example, if the national outcome measure for the use of custody is very high or there are other concerns about work in courts, the Court Work additional module may be included. Similarly, if the number of first time entrants to the criminal justice system is increasing then the Early Prevention and Out of Court Disposals module may be selected. Many inspections are likely to include Governance arrangements, since these are important to the effectiveness of partnership working. Inspection criteria for these additional modules will be published in due course.

When additional modules are inspected there may be a requirement for inspectors to select and evaluate an additional sample of cases.

## **7. Involvement of partner inspectorates**

Partner inspectorates, as set out in paragraph 3 above are fully involved in the inspection. Their specialist skills, for example safeguarding and protecting children, understanding of learning and skills requirements, health and well-being needs and understanding of the use of police intelligence and links with Integrated Offender Management schemes enables partner inspectors to contribute their specialist advice and assistance. Their work to assess and evaluate the quality of provision and its impact on outcomes for children and young people in these specialist areas contributes directly to the inspection report and its recommendations.

There are four strands to the involvement of partner inspectorates:

### **a. Case assessment**

This focuses on a subset of the cases that have been inspected during Fieldwork Week 1 and have been identified as having one or more of the following characteristics:

- a high level of need in that specialist area
- a referral has been made for specialist input
- a deficit has been identified relating to that area that is worthy of further investigation
- high risk of harm to others or high vulnerability
- good practice has been identified in that area.

This may involve partner inspectorates engaging with the case manager, specialist practitioners and/or the YOT's partner agencies to track the involvement of partners in the case.

- b. **Leadership, management & partnership arrangements** are inspected, particularly their contribution to the quality of specialist provision.
- c. **Specialist provision** is inspected e.g. Connexions or similar, education welfare, teachers/tutors, CAMHS, police etc
- d. A selection of **service users** may be engaged especially children and young people, parents/carers and victims; although, other than in education/training and employment (ETE) provision, this is more likely to be undertaken by a dedicated member of the inspection team (see para 10).

## 8. Preparation for inspection fieldwork

A guidance document 'Preparation for FJI – Guidance for YOT Managers' is available on the HMI Probation website to help YOT areas understand what arrangements need to be in place to facilitate an effective inspection. This includes requirements around IT access and case records, access to buildings, involvement of case managers, access to service users etc.

The guidance also includes details about the types of cases that are inspected, the criteria that are used for selecting the case sample, and the inspection meetings that we expect to hold.

***Our expectation is that areas will develop contingency plans, based on this guidance, so that they are ready to respond in timely and appropriate ways once an inspection is announced.***

Once an inspection is announced we provide the area with a prepared inspection schedule with vacant "slots" into which the assessments of cases are inserted, as are other inspection activities; along with instructions for completing the schedule.

Areas undertake this task, rather than it being undertaken by HMI Probation or our partner inspectorates, due to the need to organise the schedule at very short notice in order to fit, at least as much as is possible, around the existing commitments of staff and partners.

The key activities that YOTs need to undertake between the announcement of the inspection and the commencement of the first fieldwork week are:

- Identify the long-list of cases and return this to HMI Probation by noon on Thursday (i.e. week -2) following the announcement of the inspection
- Arrange IT access and office accommodation for the inspection team
- Notify staff and partners of the inspection and brief them. Ensure that all partners recognise the importance of engaging fully with the inspection.
- Then, following receipt of the final case sample on Monday of the week prior, populate the inspection schedule for case assessments with case holding staff, and other meetings as requested.
- Start planning and arranging engagement sessions between the inspection team and service users, once HMI Probation has confirmed final case sample.



HMI Probation are keen to support YOTs in undertaking this work, and provide a single point of contact for all advice and support during the preparation phase.

## 9. Evidence/ Information in advance

YOTs are not asked to complete a self-assessment or provide other evidence in advance of the first inspection fieldwork week, due to the short notice provided and the range of other logistical preparation that is required in the period leading up to the start of fieldwork.

However, certain key documents and information, which are likely to already be in place, are required by the inspection team in electronic form as early as possible but no later than 5pm on the Monday preceding the first fieldwork week, and in hard copy on arrival in Fieldwork Week 1 to inform the inspection and its arrangements. Further details are provided by the lead inspector for each inspection. An indicative list of documents and other information that inspectors seek is contained in the published guidance on preparation for the FJI.

Health inspectorates will also ask all YOTs to complete an annual questionnaire to provide information about progress against healthcare standards and the findings of previously published specialist health reports. Further details about this will be published separately.

Inspectors reserve the right to seek additional documents or evidence as the inspection proceeds.

## 10. Service User involvement in the inspection

All inspections continue to seek the views of service users, particularly children and young people, parents/carers and victims.

There are three strands to seeking the views of service users:

- a. **Annual survey:** HMI Probation will develop an annual survey of children and young people to be facilitated in all areas. The outcomes from this will be shared with all participating YOTs and they will also be used to inform inspection planning and outcomes. This is expected to be launched in April 2013. Further details will be provided in due course.
- b. **Sample service users:** an additional member of the inspection team is dedicated to ensuring that the voices of children and young people, parents/carers and victims are used to inform the inspection findings. Individual meetings are held with service users during the second fieldwork week. These individual interviews are with those (children and young people, parents/carers and victims) included in the inspection case sample.
- c. **Specialist interest interviews** Partner inspectors may engage with service users, in particular to explore the quality of child protection and teaching, learning and assessment.

## 11. Observation of Practice and other provision

There is an increased focus on the quality of interventions delivered with children and young people, and the quality of engagement between case workers and children and young people. This is achieved in a number of ways.

Firstly, the Inspection Criteria and inspection tools have been enhanced.

Secondly, direct observations of practice with individual and /or groups of children and young people may be undertaken.

Thirdly, other provisions, e.g., parenting courses or training provision, may be observed as these are relevant to children and young people known to the YOT.

This work is undertaken in Fieldwork Week 2.

## **12. Inspection Judgements and Inspection Reports**

Judgements are made by the inspection team about each of the main themes of the inspection (i.e. reducing the likelihood of re-offending, protecting the public, protecting the child or young person and ensuring that the sentence is served), as well as each additional module.

Inspection judgements for each theme are based on an easily accessible four point star system; with four stars the highest award and one star the lowest. The rating is illustrated in the text by additional use of grade descriptors. For example one star equates to a judgement of 'poor' that will require urgent and major improvement and four stars 'very good' describes high quality work. HMI Probation continues to calculate scores for the quality of casework. These are included in FJI reports within the overall judgements.

HMI Probation is the lead body for this inspection and holds editorial control over the content of the report and its publication. However, HMI Probation also respects partner inspectorates' expertise. Neither the lead inspector nor the lead inspectorate will significantly change their contributions to the report, other than to suit the style or flow of the report, without reference to the inspector concerned. In the unlikely event of a failure to agree judgements or the text of the report, the disputed matter is referred in the first instance to the quality assurance manager of the inspectorates (or the equivalent) and if agreement cannot be reached to nominated senior managers for resolution. These processes should not unnecessarily delay the dates for sending draft or final reports to the YOT area.

The report is edited and circulated to those inspectors who were present at the inspection for comment, and then sent out to the inspected body for any factual inaccuracies to be corrected. Once proof read it is published on the HMI Probation website and a press notice is produced. Following all FJI inspections a submission goes to the MoJ Minister responsible for sponsoring HMI Probation and the report is copied to the Home Office (HO). The report is also copied to the Children's Minister (DfE) and the Health Minister (DH) In Wales, the report goes to the equivalent Ministers in the Welsh Government with a copy to the Head of Youth Justice in the Welsh Government.

Reports make recommendations to focus improvement work on priority areas, and an improvement plan is required after each inspection. This plan is approved by HMI Probation in collaboration with the YJB, the YJB then monitoring its implementation.

Reports are published in an electronic rather than paper format, and seek to ensure that judgements are more accessible to a wider audience that includes service users and other interested parties. Paper copies of the report are made available to each inspected area on request. A summary report is produced in poster format, suitable for use by children and young people.

### **13. Links with the short inspection programme (SQS)**

The SQS programme was introduced in autumn 2012, to run alongside the FJI programme. This is also a short notice inspection. HMI Probation visit up to 20% of YOTs each year from all parts of England and Wales. YOTs to be inspected in this programme are drawn from the full range of published performance data, in order to provide a service wide view of work with these children and young people.

In this programme, typically three inspection staff (less in the very smallest areas and more in the larger areas) spend three days in a YOT, typically Monday lunchtime through to Wednesday evening. They examine the quality of work in a small number of cases at the start of the sentence. The focus on the start of sentences has been selected because a high proportion of inspections in the previous programme identified that improvement was required to that aspect of work, and the recent thematic inspection of work in courts identified the need for substantial improvement in the quality of pre-sentence reports.

The reported outcome from each inspection is a short report, in the form of an extended structured letter, which provides a commentary on the quality of work in that YOT and highlights any significant areas for improvement or outstanding strengths. This is provided to YOTs within a few days of the fieldwork being completed. Outcomes from this screening also inform the intelligence base that supports the identification of areas that receive the FJI or other inspections.

Periodically HMI Probation will issue aggregated reports from completed SQS inspections to inform policy makers and other interested parties.

### **14. Use of Local Assessors**

HMI Probation and individual YOTs recognise the value that Local Assessors (volunteer inspectors from another YOT) added to the previous programme. We are grateful to individual staff and the YOTs who participated in the local assessor element. We are therefore continuing the use of local assessors in both the FJI and SQS programmes.

Each nominated local assessor takes part in one SQS inspection. A proportion are then invited to participate in Fieldwork Week 1 of a subsequent FJI inspection.

YOTs need to confirm that local assessors are available for up to two inspection weeks, plus one training event, over a period of a few months. Availability for inspection dates for local assessors is negotiated in advance with YOT Managers.

Local assessors normally stay with the HMI Probation inspection team, with travel and subsistence expenses being dealt with by HMI Probation directly rather than through individual YOTs.

### **15. Confidentiality, data protection and record retention**

All staff involved in the FJI take steps to ensure reasonable and appropriate confidentiality. Where the safety of an individual is at stake this takes priority over confidentiality, but should any information need to be shared this is discussed with the appropriate case manager and/or manager, ideally beforehand.

In the event that concerns, of a public protection or child protection nature, arise during the inspection that require urgent rectification, that is beyond the remit of the YOT, then there is a separate process to take these forward.

Inspectorates follow their own record retention policies with regard to their contribution to the inspection. Access to retained inspection evidence is granted to partner inspectorates for legitimate purposes for example investigation of complaints about judgements, conduct of inspectors or quality assurance purposes.

## **16. Quality Assurance**

Quality assurance is undertaken in line within the HMI Probation Quality Assurance Strategy and Action Plan. All staff are responsible for achieving a high level of quality in their own work and for assisting their colleagues to do the same. Partner inspectorates follow their internal QA processes to ensure that their contributions to the evidence base and the final report are to the required high standard.

## **17. Feedback and inspection improvement**

HMI Probation and its partners regularly seek ways to improve the quality of their work. Within both the FJI and SQS this includes feedback from case managers and other staff following their interviews (via Survey Monkey) and an evaluation of the inspection processes by the manager of the inspected body. These are collated and fed back to inspectorate staff and shared with partner inspectorates.

## **18. Conduct and Complaints**

All staff involved in inspections are expected to adhere to their individual inspectorate's code of conduct throughout the inspection process. It is anticipated that the great majority of inspections will be carried out without any concerns on the part of the YOT or its partners and service users. If concerns do arise during an inspection the lead inspector would consider the concern and do all that is possible to remedy the problem at the earliest opportunity, obviating the need for escalation.

If the complainant is dissatisfied with the lead inspector's response, the complainant will be fully informed of the procedures for making complaints. Complaints are dealt with through the individual inspectorates' complaints procedure, in liaison with HMI Probation. Where complaints relate to more than one inspectorate, liaison takes place as appropriate in order to achieve timely and co-ordinated resolution.

**HMI Probation**  
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