

# **Framework & Guidance**

## **for**

# **Short Quality Screening (SQS)**

## **of**

# **youth offending work**

## **in**

# **England and Wales**

HMI Probation inspection programmes are subject to a process of continuous review and improvement. HMI Probation is now developing some major new inspection programmes.

As a result no updates are being made to existing documentation, albeit that the programmes continue to evolve. Therefore, if you are due to receive an inspection then you should follow any guidance provided by your Lead Inspector, and use your inspection planning meeting to raise any questions about changes.

## 1. Introduction

The Short Quality Screening (SQS) is part of a programme of risk proportionate Inspection of Youth Offending Work agreed by Ministers.

This document explains the framework for this programme and provides detailed practical advice on the preparations needed once an inspection is announced.

It should be read with the Criteria for Short Quality Screening of Youth Offending Work.

Both documents are published on the HMI Probation website <http://www.justice.gov.uk/about/hmi-probation> and are available in hard copy versions from our Manchester office (0161 240 5336).

YOTs are strongly encouraged to familiarise themselves with this framework and guidance, and to consider developing contingency plans ready for when an inspection is announced.

Typical contingency planning would include:

- How to respond if the YOT Manager<sup>1</sup> is unavailable (see paragraph 2)
- Procedures for setting up inspector access to YOT IT systems at short notice (see paragraph 11)
- Ensure that the data required by HMI Probation can be provided, even if the information officer or equivalent is absent (see Appendix A)
- Consider which locations and offices would be most appropriate for inspectors to use, and ensure that they can be made available with the required IT facilities, at short notice (see paragraph 11)
- Where swipe cards or similar are required to move around in the offices where inspection is undertaken, ensure that sufficient additional cards can be provided for inspectors at short notice.

When inspecting in Wales HMI Probation has adopted the principle that it will treat the Welsh and English languages on a basis of equality. This may require prior consideration by YOTs in Wales to determine how this might be facilitated. Further details of our Welsh Language scheme can be found on the HMI Probation website.

## 2. Notice period for inspections

The YOT is notified of the inspection approximately two weeks before we are due to arrive on site.

This is undertaken through a phone call from the HMI Probation Lead Inspector (LI) to the YOT Manager, usually on the Friday morning 11 working days before our arrival.

If the YOT manager is unavailable then the LI will attempt to make contact with another member of the YOT management team, or in their absence will escalate it upwards through the YOT Manager's line manager or the Chair of the YOT Management Board.

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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

**This will require those who answer the telephone to be aware of the local duty manager arrangements.**

A confirmatory letter is copied, via email, to relevant local strategic managers.

**The inspection will be undertaken irrespective of whether the YOT Manager or another manager is available to receive the announcement.**

### **3. The SQS framework**

#### **3.1 The SQS programme**

The SQS is a short inspection of youth offending work conducted by HMI Probation. We inspect the quality of work against the Criteria for Short Quality Screening of Youth Offending Work.

SQS inspections are normally undertaken in 20 to 30 local authority areas per year across England and Wales. YOTs to be inspected in this programme are selected from across the full range of published performance data (first time entrants, reoffending and custody).

The SQS programme runs in parallel with other inspection programmes including the Full Joint Inspection (FJI), thematic inspections and HMI Probation involvement in multi-agency child protection inspections in England.

*NB: The FJI is a comprehensive two week multi-agency inspection led by HMI Probation that examines youth offending work in half a dozen areas each year, predominantly those performing less well. This is explained in detail on the HMI Probation website.*

#### **3.2 Focus of the SQS inspection**

The focus of each SQS is the inspection of the quality of work at the start of the sentence in a small number of recent cases with children & young people who have offended, primarily through to the point when initial plans should have been in place post-sentence.

This period is chosen because:

- we believe that the quality of work undertaken in the initial period pre and post sentence is critical to the likelihood of positive outcomes being achieved following completion of the sentence
- shortcomings in assessment and planning were common themes in the Core Case Inspections undertaken by us from 2009 to 2012
- our thematic inspection of court work identified the need for improvement in the quality of reports to courts.

The inspection also assesses any reviews that have become due up to the date of inspection along with the YOT response to any compliance difficulties.

#### **3.3 Size and length of SQS fieldwork**

Each SQS consists of two and a half days (Monday 1pm to Wednesday 6pm) on site assessing cases.

The SQS is conducted by a small team of HMI Probation staff. In most cases the inspection team includes a Local Assessor (see paragraph 4). For further details of inspection team sizes see paragraph 11.

In order to help YOTs visualise how the inspection fieldwork works, an example of a typical inspection timetable (for an inspection with three inspectors on the inspection team) is shown as Appendix B.

### **3.4 Method of assessment of casework**

Wherever possible the assessment of a case is undertaken in conjunction with the allocated case manager.

This is intended to help the case manager celebrate what they are doing well, own and understand their areas for improvement, and assist the inspector in understanding the details of the case.

To support consistency across inspections, HMI Probation have developed and published a Case Assessment Tool and Case Assessment Guidance (CAG) that are used by inspectors. Details of these are available on the HMI Probation website, for use by YOTs to inform their own quality assurance and improvement work.

For inspections in Wales the inspection tool includes additional questions about whether an opportunity was provided to use the Welsh language in appropriate cases.

### **3.5 Inspection findings**

At the conclusion of the fieldwork, a short report is provided to the Chair of the YOT Management Board detailing the findings. This identifies the most significant strengths and areas for improvement, together with a commentary on the work that is designed to explain the findings and help the YOT understand where to focus its post-inspection improvement work.

The report is also copied to the chief executive and elected members of the local authority, key strategic managers, the police and crime commissioner, other inspectorates (including Ofsted in England) and the Youth Justice Board (YJB).

Reports are published on the HMI Probation website but no other publicity is undertaken of individual reports by HMI Probation. A hard copy version of the report can be made available on request from our Manchester office.

The YOT manager is also provided with a set of charts summarising the key data from the inspection. This is for internal use solely within the YOT and is not for publication.

Outcomes from the SQS also inform the intelligence base that supports the identification of areas that receive the FJI.

Periodically HMI Probation will issue aggregated reports from completed SQS inspections to inform policy makers and other interested parties, however these will not normally identify individual YOTs, unless to highlight high quality work. These reports will be provided to Ministers and notified to the media.

## **4. Use of Local Assessors**

HMI Probation recognises the value that Local Assessors (volunteer inspectors from another YOT) can add to the inspection and to the YOTs that provide them. Local assessors are used in both the SQS and FJI programmes.

Local assessors are trained by HMI Probation in the SQS inspection methodology and to recognise and assess work against HMI Probation benchmarks.

Normally each nominated local assessor takes part in one SQS, and then a small proportion are invited to participate in a subsequent FJI fieldwork week 1 or another SQS.

YOTs providing local assessors need to confirm that they will be available for up to two inspection weeks, plus one training event, over a period of a few months.

Whilst on-site, local assessors are supervised by a member of the HMI Probation team to ensure that their work is of good quality and to confirm that their judgements are consistent with HMI Probation benchmarks.

Local assessors normally stay with the HMI Probation inspection team during the inspection. Their travel and subsistence expenses are dealt with directly by HMI Probation.

## **5 Confidentiality, data protection and record retention**

All those involved in the SQS will take steps to ensure reasonable and appropriate confidentiality.

Where the safety of an individual is at stake this will take priority over confidentiality, but should any information need to be shared this will be discussed with the appropriate manager, ideally beforehand.

Inspection records are retained securely in accordance with the HMI Probation Retention Policy. Records are destroyed, in accordance with that policy, once they are no longer needed. See the HMI Probation website for details of the current retention policy.

## **6 Quality Assurance**

Quality assurance is undertaken in line within the HMI Probation Quality Assurance Strategy and Action Plan for the current year. All staff are responsible for achieving a high level of quality in their own work and for assisting their colleagues to do the same.

Periodically an HMI Probation manager may attend part of the SQS fieldwork to observe the work of inspection staff, in accordance with this strategy.

## **7 Feedback and inspection improvement**

We continually seek to improve the quality of our work.

Within the SQS we seek information to support this by asking for confidential feedback from case managers following their interviews (via Survey Monkey) and by asking the manager of the inspected body to undertake an evaluation of the inspection processes.

These are collated and fed back to inspectorate staff and used to improve performance.

## 8 Conduct and Complaints

All staff involved in inspections are expected to adhere to the inspectorate's code of conduct throughout the inspection.

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. If concerns do arise during an inspection the lead inspector will 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, they will be informed of the procedures for making a complaint through HMI Probation's complaints procedure.

## 9 Guidance for those receiving an SQS inspection

The remainder of this document provides detailed guidance for the YOT manager and staff where an inspection has been announced.

It is also useful for any YOT Manager who wishes to develop a contingency plan in case an inspection is announced in their area.

## 10 What happens when the inspection is announced?

- 10.1. The YOT manager is **notified by telephone**, usually by the lead inspector, on the Friday 11 working days before the start of fieldwork. Wherever possible this is undertaken on the Friday morning, often between 9:30am and 10:30am.

**E mail confirmation** is sent to the Local Authority Chief Executive(s), the Chair of the YOT Management Board, the Director of Children's Services (England) or Director of Social Care Services (Wales), and the YOT Manager. The person receiving the announcement telephone call will be asked to confirm contact details for each of these (name, email address and phone number).

The e mail and accompanying attachments include details of the inspection team together with instructions about a range of activities that need to be undertaken in preparation for the inspection.

- 10.2. **Other documents** that are supplied at this time are:

- **Case sample specification and spreadsheet** - instructions to identify recent cases and return details of these to HMI Probation by 12 noon on Thursday seven working days before the start of fieldwork. (see Appendix A for further details of this)
- **Request for Information in Advance**– to provide context and inform inspection activities. An electronic copy should be sent to the Lead Inspector and the HMI Probation Support Services Officer (SSO) allocated to each inspection as soon as possible, but no later than 5pm on the Monday immediately before the start of fieldwork. A paper copy should also be available, wherever possible, to the Lead Inspector on arrival for the fieldwork. (NB: Other

members of the inspection team do not require this, but do require a paper copy of the YOT structure chart). The key information that we require is:

- YOT public protection policy/procedures (or equivalent)
- YOT policy/procedures with regard to child protection and managing vulnerability
- YOT policy/procedures with regard to compliance, engagement and enforcement
- YOT policy/procedures for the management oversight of practice, particularly focussing on public protection, child protection and safeguarding
- YOT Quality Assurance (QA) procedure for casework and court reports
- YOT structure chart (including names) and a strategic chart showing where the YOT sits in relation to partnership structures – one copy for each inspector.

*NB: With the exception of the structure chart, if any of these documents do not exist then the YOT is NOT asked to develop them specifically for the inspection. In this case the Lead Inspector (LI) will discuss the situation with the YOT Manager.*

10.3. **Inspection Team – on site and office support** – YOTs are given details of the inspection team, including a named point of contact in our Manchester office, who is a Support Service Officer (SSO). The SSO provides advice and support about the case sample selection and specification, the inspection schedule and any other logistical or administrative aspect of the inspection preparation.

10.4. **An inspection planning meeting**, to be held by telephone, is arranged for early the following week. You should allow at least an hour for this. Amongst other things, this covers:

- **Case sample selection** - the method for selecting cases for inspection is very similar to that used in the previous programme. You provide a long-list of cases in a particular time period (see also Appendix A). We select a shortlist and create the case assessment schedule to return to you by 4.00pm on Monday five working days before the fieldwork week. This final selected sample is not normally changed unless we decide that a case is not appropriate for inspection. The short list sample seeks to be a representative mix of gender, ethnicity and age. We always seek to include some cases assessed as high vulnerability or high risk of serious harm to ensure that we have also inspected more complex work. Wherever possible we seek to inspect at least one case for every case manager on the long-list, however this cannot be guaranteed, and we seek to limit the number of cases that any case manager will be asked to present.

When making the final selection the SSO may need to check details about some cases to confirm whether they are suitable for inspection. For example if the child or young person was looked after they will want to check which YOT was responsible for the initial assessment and plan, and if the case terminated very early they may want to check why this happened and what the outcome was.

We make judgements about work that should reasonably have been the responsibility of the YOT where we are inspecting. Therefore, if YOTs are aware

of reasons why a case may not be suitable for selection they should still include it on the long-list, and leave the decision to HMI Probation, but may wish to include a brief note explaining why it may not be suitable (e.g. a case that was revoked and resentenced without the YOT ever meeting the child or young person and having the opportunity to undertake an assessment, or a case that is technically the responsibility of the YOT but there is a formal agreement with another YOT to undertake all of the work, including assessment and planning).

*NB Care should be taken to **ensure appropriate level of security when emailing case level information** to HMI Probation. The allocated HMI Probation SSO can be contacted for further guidance on this. The completed schedule does not include information about the child or young person, other than our reference number which acts as a cross reference to the selected case sample.*

- If there is **other relevant information about a case** that may be useful for an inspector to know in advance of beginning a case inspection, the YOT is asked to provide this to HMI Probation, either as a note with the long-list or, if additional sensitivity is required, as a direct contact with the LI. These would normally be circumstances that may affect the nature of the engagement between an inspector and case manager, such as being subject to competence processes or when another case involving the same child or young person has been subject to a 'Learning Review'. Such details do not normally influence whether a case is included for inspection, and normally remain confidential.
- **Individual staff needs** – We always seek to ensure that the inspection environment for individual case managers is conducive to effective engagement with them.

In order to do that, we need to know of anything specific to take into account. Therefore, we ask you to notify us of any special needs for staff that may impact on our engagement with them, so that we can work together to overcome these prior to the interview.

- **Creating the fieldwork schedule** - We will create a schedule for the fieldwork week. This is done once the final sample (shortlist) is selected.

There is one page for each inspector and pre-organised 'slots' each of 2 hours, which is the time allowed for each case. We will decide which slot best suits the availability of the case manager for each case, and then populate that 'slot' with the case reference number that we have allocated and the name of the case manager.

The case assessment slots commence on Monday afternoon and finish at 4.00pm on Wednesday.

- **It is important that the Case Manager availability is accurate to prevent avoidable last minute changes to the schedule once the inspectors arrive on-site.** Key elements include:
  - **Case managers** – if a case manager is absent the previous week, we encourage you to inform us so we can schedule their cases for later in the inspection, and not on their first day back. This helps case managers to deal with urgent work that awaits their return, and helps to ensure that they are then ready to focus on the inspection when they meet us.



- **Receiving the schedule** – You will receive the completed schedule from the SSO by 4pm on the Monday immediately preceding the fieldwork, so that you can make checks and the SSO can forward it to the inspection team.
- **Contact details** (name, email address and phone number) are requested for local authority lead elected members with responsibility for children's services and crime and disorder, and for the local police and crime commissioner. This is so that the final report can be copied to each of these.

## 11 Preparation for fieldwork

- 11.1. **The Team** – for most inspections (just over half) this consists of a Lead Inspector (HMI Probation), an Assistant Inspector (HMI Probation) and a Local Assessor (a peer from another YOT).

The size of the team reduces for the smallest YOTs and increase for bigger ones. Full details are provided to you on announcement, but it is normally two people (some of the very smallest YOTs), five people (larger YOTs) or seven people (the few largest YOTs).

*NB: all members of the inspection team, including local assessors, will have been subject to an enhanced Disclosure and Barring Service check (formerly enhanced CRB) in the last 3 years.*

- 11.2. **Each member of the inspection team needs:**

- **A private workspace/office** where their conversations with the case manager cannot easily be overheard, normally retained throughout the week.

Within this office:

- a terminal with access to the local IT case record system and associated files (see below)
- a spare electrical socket within safe and easy reach of the desk (to power their laptop)
- a desk space (normal desk height) large enough for both sets of equipment, for writing space, and for the inspector and case manager to be able to jointly access the local case record system.
- two chairs that are suitable for display screen equipment use

*NB: HMI Probation IT facilities and local IT systems are kept entirely separate from each other.*

- **A personal** (i.e. for their own use) **user name and read only access** to the local IT case record system which they will retain for the week.

Where a YOT/local authority has a set of generic user accesses for the use of inspectors and other official visitors, then these can be used as long as they provide access to the entire case record and associated files (see also next bullet point).

*NB: It is helpful if the YOT can agree with their local IT department a means of checking that the IT access is fully operational (including with access to all required directories) in advance of the arrival of the inspection team.*

- **Access to documents held separately on other IT systems** (e.g. scanned documents, word processed documents such as letters, parent/carer and victim records that may be kept separate from the main case management system) should also be provided. The same level of read-only access is required to these as to the main case management system.
- **Schedule** – a printed copy of the **full** schedule should be provided to each member of the inspection team when they arrive on Monday.
- **Selected case sample** - A printed copy of the full final selected case sample (including names) should also be provided to each inspector on arrival, since the confidentiality of these details means that inspectors are not able to carry paper copies outside of the YOT. This must be retained in the YOT premises at all times. Once the inspector has finished with the case sample list, it is returned to the YOT for secure destruction.
- **Paper records** – at the start of each day any paper case records that the YOT holds for each case being inspected that day should be placed in the relevant inspector's office. This should include, albeit that it may be held separately, the relevant victim file (or electronic access if this is held on the IT systems) showing full details of all contact with the named victim, and all other relevant files relating to that child or young person e.g. parent/carer file, custody records, Intensive Support & Surveillance (ISS) records etc. This also includes any details received by the YOT from children's social care services (e.g. care plans) or other partners that are relevant to the case being inspected.

11.3. **Access to premises** – the inspection team need access to the office between 8.30am and 6.00pm for each on-site day, with the exception of Monday where we arrive on site at about 1.00pm. Therefore you need to ensure that someone is scheduled to open the offices ready for our arrival, and secure the office once we have left.

11.4. **Single or multiple sites** – most inspections are undertaken on a single site.

Where, exceptionally, multiple sites may be necessary (normally only in the largest YOTs) this must be discussed and agreed with the lead inspector as soon as possible; either during the announcement telephone call or, at the latest, during the telephone planning meeting.

11.5. **Interviews with case managers** – we undertake case assessments, wherever possible, with the most relevant YOT case manager. We expect that one case manager will normally hold responsibility for the oversight and co-ordination of all aspects of any particular case, including Intensive Supervision and Surveillance (ISS) and any specialist inputs.

The YOT should decide, when preparing the long-list, which case manager would best represent each case. In SQS inspections the most appropriate person is likely to be the one who undertook the initial assessment and, where applicable, wrote a court report.

We interview just one person for each case.

The first 30 minutes of each inspection slot is used by the inspector to familiarise themselves with the case, so the nominated case manager should join the inspector at the end of the first 30 minutes. It is essential that case managers are made

aware of this in advance, to avoid unnecessary inconvenience for them. The final 15 minutes is normally used for the inspector to finish recording their judgements, but also allows some flexibility in case an interview takes longer than intended.

*NB: On the first occasion that we interview each case manager we will, following the end of the case assessment, also ask them about their experience of aspects of local management, training and supervision arrangements that are most likely to have a direct impact on the quality of practice.*

- 11.6. **No case manager available?** Where a suitable case manager is not available the selected case is still inspected, but we then rely solely on information available within the YOT case record (electronic and paper), unless there is another member of staff who already knows the case well. There is normally little value to us or the YOT in putting forward a manager who doesn't know the case well – in such circumstances the inspector is likely to gain what information they can and then complete the assessment on their own.

***NB We value the input from case managers – they can ensure that the case is fully explained. We provide valuable feedback about the quality of their work. We normally only provide this to the person who undertook the work (e.g. if someone else wrote a PSR we would still inspect the PSR, but we would not then provide detailed feedback on its quality). Therefore, please enable case managers to attend these case assessments wherever possible.***

- 11.7. **How many cases do we inspect?** In most YOTs, 20 cases are inspected, typically being 4 first tier cases, 10 community sentences and 6 custodial sentences.

However, in order to ensure that inspected work is sufficiently recent, on occasions this balance may be adjusted.

In a few of the smallest YOTs the total case sample reduces to 14 cases. In larger YOTs it increases to 34 or 47 cases.

- 11.8. **Feedback** –we ask individual case managers for their feedback on our inspection processes via a web based tool called Survey Monkey. Therefore please ensure that you provide all e mail addresses for case managers on the long-list so that we can send them a link to do this.

## 12 Fieldwork

- 12.1. Inspectors are **on-site from about 1.00pm Monday to approximately 6.00pm on Wednesday**. Scheduled work starts at 9.00am on Tuesday and Wednesday and can continue to 5.30pm.
- 12.2. The week begins with an on-site Health, Safety and IT briefing from 1.30 – 2.00pm on Monday for all inspection team members, which should include confirming that all inspectors have successfully accessed the IT systems.
- 12.3. 2.15 pm – 2.45pm, the Lead Inspector (LI) meets the YOT Manager. The purpose of this meeting is primarily to enable the YOT Manager to brief the LI on any relevant aspects of local context, and for the LI to deal with any questions arising from the Information in Advance or other questions about the YOT.

- 12.4. 3.00pm Monday onwards, then all day on Tuesday and Wednesday - inspection team members undertake case assessments.
- 12.5. 4.30pm on Wednesday the LI and YOT Manager have a brief meeting to discuss next steps and to deal with any immediate matters arising from the fieldwork.  
*NB: Because the LI will only have inspected a proportion of the cases themselves, and the outcomes from the case assessments have not yet been analysed, the LI will **NOT** be able to provide formal feedback at this time.*
- 12.6. The prepared outline schedule includes a number of blocked-out periods. These are for other meetings and quality assurance undertaken by inspectors, normally using the same office that they use for their case inspections.
- 12.7. **Hospitality /refreshments** – inspectors are unable to accept any hospitality beyond what the YOT would normally accord to official visitors – essentially drinks of tea/coffee and water. Inspectors make their own arrangements for lunch but it is helpful for the YOT to direct them to local places if these are not obvious.

### **13 Cases giving rise to concern**

Our general approach is that nothing said to the inspection team can be regarded as confidential.

However, in practice, within the SQS inspections the detail of individual case inspections is normally treated as confidential between the case manager who has been interviewed and the inspection team, with nothing then being reported that is attributable to an individual case manager.

The main exception to this is when, on occasions, inspectors may find aspects of public protection, safeguarding or other practice that are of significant concern and need to be addressed with urgency.

In these cases inspectors make use of the HMI Probation Concern or Alert procedures. This may require cases to be escalated to a manager to ensure that they are properly addressed, and to satisfy the lead inspector that all required actions have then been taken.

When this happens the interviewed case manager is informed about the escalation. Wherever possible this occurs during their interview and prior to the escalation.

### **14 Post Inspection activity**

- 14.1. On occasions IT equipment used by inspectors may need to be returned directly from the YOT to our Manchester office. A secure courier collection is arranged by us. Our equipment must always be couriered inside a secure cardboard box in order to satisfy security requirements. Where the YOT does not have a suitable box available for use then we provide one.
- 14.2. The LI offers to provide feedback to the YOT Manager by telephone once we have produced and analysed the findings from the case assessments. Normally this feedback takes place on the Friday afternoon of the fieldwork week.

- 14.3. The YOT Manager then receives a draft copy of the report, normally by close of business on the Wednesday immediately following fieldwork, and is asked to check this for any factual inaccuracies. Three working days are allowed for this.
- 14.4. The report is published approximately two and a half weeks after the fieldwork for Inspections in England and approximately a further two weeks for those in Wales.

## 15 Inspection timeline

A typical inspection therefore looks like this:

Week	Day	Activities
-3	Friday	HMI Probation gives notice of forthcoming inspection. YOT asked to make arrangements.
-2	Monday to Thursday	YOT identify long-list sample of cases (including CM availability) and submit to HMI Probation by noon on Thursday.
	All week and week -1	YOT undertake logistical preparation (arrange IT access, interview rooms, building access etc)
-1	Monday	YOT receives selected case sample and case assessment schedule by 4pm.
	Monday	YOT collates Information in Advance and sends to LI and SSO as soon as possible, but by 5pm Monday.
	Monday to Thursday	YOT make case sample / schedule checks and liaise with SSO with any queries.
	Thursday	HMI Probation send FINAL case assessment schedule to YOT.
<b>On site</b>	Monday	Inspection team arrive about 1:00pm then receive Health & Safety and IT briefing at 1:30pm
	Monday 1pm to Wednesday 6pm	Inspection Fieldwork – inspection of cases
	Thursday/ Friday	Lead Inspector drafts short report
	Friday afternoon	Where possible, lead inspector provides interim telephone feedback to YOT Manager.
+ 1	Monday	Draft report edited and quality assured.
	Wednesday	Draft report sent to YOT Manager by close of business to identify any factual inaccuracies
+2	Monday	Deadline for return of factual inaccuracies by YOT
+2	(Wales only) Report Translation	SSM (Publications and Communications) send report for translation (following proof read and any actions following proof read).
+3	England Only	Publication (normally Wednesday)
+5	Wales only	Publication (normally Wednesday)

HMI Probation  
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## Appendix A – list of case data fields required by HMI Probation

Immediately following the inspection announcement the YOT is asked to provide a list of their recent statutory cases, under three headings. These are 1<sup>st</sup> tier cases that commenced at least 6 weeks, and going back up to a further 3 months before the inspection announcement, and community and custodial cases that commenced at least 6 weeks and going back up to a further 6 months before the announcement. (NB: The increased period for community and custodial cases avoids having to make a further request at very short notice if there are insufficient suitable cases in the 3 month window). HMI Probation uses this list to decide which cases to inspect.

The precise date range is provided with the inspection documentation. There are certain exceptions (e.g. standalone attendance centre requirements) which are not required. These are explained in the documentation.

YOTs are strongly encouraged to ensure that they would be able to extract this information at short notice, should an inspection be announced.

The data fields required for each case are:

- YOIS/Careworks/Childview ID
- Family name
- First names
- Gender
- Date of birth
- Race/ethnicity
- Type of order/sentence
- Sentence date
- Length of sentence
- Date sentence terminated (if applicable), plus a reason if terminated early
- ASSET score from first assessment post sentence
- The Scaled Approach level that applied at start of sentence
- The highest vulnerability that applied during the specific sentence to date
- The highest RoSH (Risk of Serious Harm to others) that applied during the specific sentence to date
- Whether the child or young person has been “Looked After” at any time during the specific sentence to date
- If ‘Looked After’ were they the responsibility of local authority where the YOT is (i.e. YOT is in ‘Home’ authority) or were they placed from elsewhere (YOT is ‘Host’ authority)
- Whether the child or young person has been subject to a Child Protection Plan at any time during the specific sentence to date
- Name of allocated case manager, along with their email address
- Name of line manager providing oversight of the allocated case manager
- Any diversity or other needs of the case manager that should be taken into account if they were interviewed (e.g. part time working, learning difficulties, sight or hearing difficulties, religious observance etc)
- Office location where the case manager is based

The following additional fields will be required for custodial cases:

- Date of release (actual or expected)
- Reason for release (if not on licence)
- Length of licence (if released)

In most cases the data can be extracted from YOT case management systems, through the use of a wizard or other reporting tool. Some may then need checking, or cross-referencing, with children’s social care services to confirm their care or Child Protection status.

## Appendix B – typical SQS inspection timetable (for an inspection using 3 inspection staff)

This appendix shows an example of the fieldwork timetable for a typical SQS inspection using three inspection staff. The timetable for inspections with larger inspection teams is similar, but with the 2<sup>nd</sup> inspection staff and local assessor pages replicated to match the size of the team.

LEAD INSPECTOR: Lead Inspector name		YOT Name									
MONDAY [date]		TUESDAY [date]		WEDNESDAY [date]		THURSDAY		FRIDAY			
LOCATION - Office name		LOCATION - Office name		LOCATION - Office name							
TIME & HMP ID	CM Case (s)	TIME & HMP ID	CM Case (s)	TIME & HMP ID	CM Case (s)	TIME & HMP ID	CM Case (s)	TIME & HMP ID	CM Case (s)		
9	TRAVEL TO YOT	9.00 - 11.00	CASE 2	9	9.00 - 11.00	CASE 5	9	No inspection fieldwork today	No inspection fieldwork today		
		HMP ID:	CM: Case manager name		HMP ID:	CM: Case manager name					
10				10			10				
11		11.00 - 11.30	BREAK	11	11.00 - 11.15	BREAK	11				
		11.30 - 13.30	CASE 3		11.15 - 13.15	CASE 6					
12		HMP ID:	CM: Case manager name	12	HMP ID:	CM: Case manager name	12				
13				13	13.15 - 13.45	LUNCH	13				
13.30 - 14.00		///HEALTH & SAFETY BRIEFING	13.30 - 15.00	LUNCH / time available for other LI activities	13.45 - 15.45	CASE 7	13				
14				14	HMP ID:	CM: Case manager name	14				
14.00 - 14.15	BREAK										
14.15 - 14.45	MEETING with YOT MANAGER										
14.45 - 15.00	BREAK										
15	15.00 - 17.00	CASE 1	15	15.00 - 17.00	CASE 4	15					
	HMP ID:	CM: Case manager name		HMP ID:	CM: Case manager name						
16			16	15.45 - 16.00	BREAK	16					
	HMP ID reference allocated by HMI Probation			16.00 - 16.30	INSPECTION DEBRIEF						
				16.30 - 17.00	MEETING with YOT MANAGER						
17			17	TRAVEL HOME		17					
18			18			18					

  

KEY:			
CM INTERVIEWS	MEETINGS	///HEALTH & SAFETY	INSPECTORATE MEETINGS/PREPARATION

Please Note: The Case Managers will be required to attend for interview 1/2 hr into the interview time slot, as the first 1/2 hr of each interview slot will be used by the Inspector to read the case file. The final 15 minutes of the allotted time will be for the inspector to write up their notes.

STAFF 2- 2nd inspector name

YOT Name

MONDAY		TUESDAY		WEDNESDAY		THURSDAY		FRIDAY		
#REF!		[date]		[date]						
LOCATION - Office name		LOCATION - Office name		LOCATION - Office name						
TIME & HMP ID	CM Case (s)	TIME & HMP ID	CM Case (s)	TIME & HMP ID	CM Case (s)	TIME & HMP ID	CM Case (s)	TIME & HMP ID	CM Case (s)	
9	TRAVEL TO YOT	9.00 - 11.00	CASE 2	9.00 - 11.00	CASE 5	No inspection fieldwork today		No inspection fieldwork today		
		HMP ID:	CM: Case manager name	HMP ID:	CM: Case manager name					
10										
11		11.00 - 11.15	BREAK	11.00 - 11.15	BREAK					
		11.15 - 13.15	CASE 3	11.15 - 13.15	CASE 6					
		HMP ID:	CM: Case manager name	HMP ID:	CM: Case manager name					
12										
13			13.15 - 13.45	LUNCH	13.15 - 13.45					LUNCH
13.30 - 14.00		IT/HEALTH & SAFETY BRIEFING	13.45 - 14.45	DATE QUALITY CHECK with LOCAL ASSESSOR	13.45 - 15.45					CASE 7
14.00 - 14.15		BREAK								
14.15 - 14.45		MEETING with LOCAL ASSESSOR			HMP ID:					
14.45 - 15.00	BREAK	14.45 - 15.00	BREAK							
15.00 - 17.00	CASE 1	15.00 - 17.00	CASE 4							
	HMP ID:	CM: Case manager name	HMP ID:	CM: Case manager name						
	OBSERVED by LOCAL ASSESSOR			15.45 - 16.00	BREAK					
4				16.00 - 16.30	INSPECTION DEBRIEF					
				16.30 - 17.00	DEBRIEF MEETING with LOCAL ASSESSOR					
5										
					TRAVEL HOME					
6										

KEY:			
CM INTERVIEWS	MEETINGS	IT/HEALTH & SAFETY	INSPECTORATE MEETINGS/PREPARATION

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LOCAL ASSESSOR - Local assessor name

YOT Name

MONDAY [date]		TUESDAY [date]		WEDNESDAY [date]		THURSDAY		FRIDAY	
LOCATION - Office name		LOCATION - Office name		LOCATION - Office name					
TIME & HMIP ID	CM Case (s)	TIME & HMIP ID	CM Case (s)	TIME & HMIP ID	CM Case (s)	TIME & HMIP ID	CM Case (s)	TIME & HMIP ID	CM Case (s)
9		9.00 - 11.00	CASE 1 HMP ID: CM: Case manager name	9.00 - 11.00	CASE 4 HMP ID: CM: Case manager name			9	
10								10	
11	TRAVEL TO YOT	11.00 - 11.15	BREAK	11.00 - 11.15	BREAK		No inspection fieldwork today	11	No inspection fieldwork today
12		11.15 - 13.15	CASE 2 HMP ID: CM: Case manager name	11.15 - 13.15	CASE 5 HMP ID: CM: Case manager name			12	
1								1	
	13.30 - 14.00 IT/HEALTH & SAFETY BRIEFING	13.15 - 13.45	LUNCH	13.15 - 13.45	LUNCH				
2	14.00 - 14.15 BREAK	13.45 - 14.45	DATE QUALITY CHECK with STAFF 2	13.45 - 15.45	CASE 6 HMP ID: CM: Case manager name			2	
	14.15 - 14.45 MEETING with 2nd inspector								
	14.45 - 15.00 BREAK	14.45 - 15.00	BREAK						
3	15.00 - 17.00 2nd inspector: CASE 1	15.00 - 17.00	CASE 3 HMP ID: CM: Case manager name	15.45 - 16.00	BREAK			3	
4	OBSERVE 2nd inspector			16.00 - 16.30	INSPECTION DEBRIEF			4	
				16.30 - 17.00	DEBRIEF MEETING with 2nd inspector				
5								5	
				TRAVEL HOME					
6								6	

<b>KEY:</b>			
CM INTERVIEWS	MEETINGS	IT/HEALTH & SAFETY	INSPECTORATE MEETINGS/PREPARATION

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