

## **CJI Inspection Framework**

**Objective:** To set out the inspection framework that CJI will use to deliver its inspection programme as published in its business and corporate plan.

**Context:** A review of CJI Inspection processes including feedback from within the Criminal Justice System illustrated a need to move to a more straightforward method of assessing organisations' performance. Organisations had found the process of self-assessing using the 'common core' complicated and unproductive. In many inspections conducted by CJI a bespoke inspection framework had been designed in consultation with the inspected organisation and whilst this had delivered results it had led to difficulties in comparing inspections across the justice system due to differing inspection approaches.

**Analysis Conducted:** Benchmarking was conducted against other inspectorates approach:

HMICFRS	Signs up to inspection principles: Inspection protocols developed from EFQM: Best value: Assessments of Policing and Community Safety (APACS): Frameworks and specific grading criteria: Intelligence-led approach
HMICS:	Support the use of EFQM by forces: Uses EFQM methodology in presenting results (trends, comparisons and observations)
HMIP:	Inspects against 'expectations' - prison specific assessment criteria
HMIPS:	Inspects against standards for the treatment of prisoners (international, national and regional) derived from UN International Covenant on Civil and Political Rights
HMCPSI:	Signs up to inspection principles: Purpose designed frameworks (eg CPS Direct): Uses some elements of EFQM (eg Key performance results)
HMICA:	Signs up to Government Policy on inspections (2003): Signs up to inspection principles: Uses many EFQM criterion parts to formulate questions.

**Principles of Inspection:** Underpinning any inspection conducted by CJI will be the principles of inspection outlined in the Government's Policy on Inspection of Public Services. This policy places expectations on inspection providers and on the departments sponsoring them:

- 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.

- **A focus on outcomes**, which means considering service delivery to the end users of the services rather than concentrating on internal management arrangements.
- **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.
- **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.
- 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.
- Inspectors should use **impartial evidence**. Evidence, whether quantitative or qualitative, should be validated and credible.
- Inspectors should disclose the **criteria** they use to form judgements.
- Inspectors should be **open** about their processes, willing to take any complaints seriously, and able to demonstrate a robust quality assurance process.
- Inspectors should have regard to **value for money**, their own included:
  - Inspection looks to see that there are arrangements in place to deliver the service efficiently and effectively.
  - Inspection itself should be able to demonstrate it delivers benefits commensurate with its cost, including the cost to those inspected.
  - Inspectorates should ensure that they have the capacity to work together on cross-cutting issues, in the interests of greater cost effectiveness and reducing the burden on those inspected.
- 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.

The policy also outlines the approach that Inspectors should take when reporting its findings:

- Inspectors should, where possible, use a common system of reporting

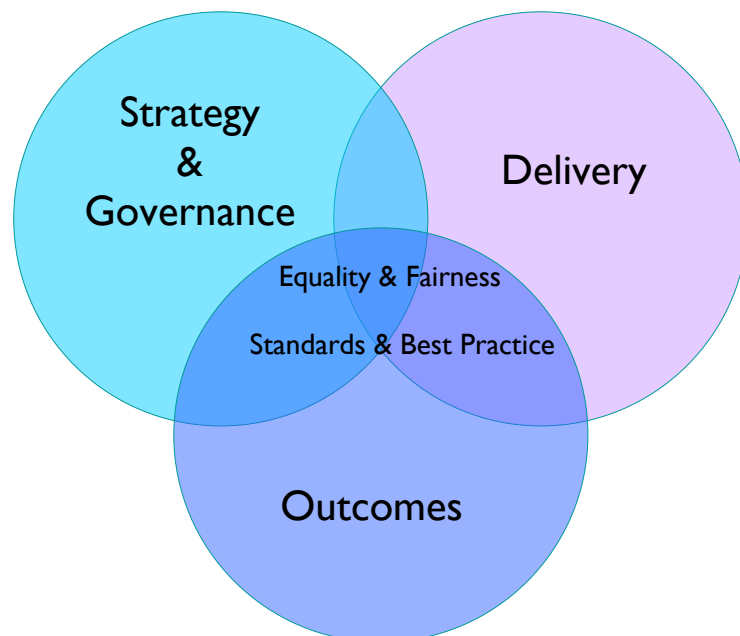
their findings, including ratings, in order to improve communication with the inspected bodies and the public. The Government accepts that such standards will need to be developed iteratively, and that specific local reporting requirements may need to be accommodated.

CJI will apply the framework below to each inspection that it conducts. This framework will be incorporated into CJI's inspection management processes which will include a review of its effectiveness. There are three main elements to the inspection framework;

- Strategy and Governance;
- Delivery; and
- Outcomes.

Constants in each of these areas and throughout each inspection are equality and fairness, together with standards and best practice. As part of the inspection process CJI will identify standards and best practice (where they are known to exist) that are applicable to the inspected organisation or inspection theme and will embed these in each element of the framework. Similarly, equality and fairness will form an integral part of any inspection undertaken by CJI.

### **CJI Inspection framework**



The tables below illustrate what may be evidence for each of the three inspection criteria. Evidence outlined is not meant to be exhaustive and organisations may produce other evidence of good practice in each of the areas.

Framework Area	Possible Evidence
<p><u>Strategy and Governance</u></p> <p>Inspectors will be looking for:</p> <ul style="list-style-type: none"> <li>- evidence of good governance;</li> <li>- how strategy sets the direction of the organisation;</li> <li>- how leadership supports and promotes strategy ;</li> <li>- how shared understanding is created and maintained</li> </ul>	<ul style="list-style-type: none"> <li>▪ Governance is based on recognised and appropriate standards and principles</li> <li>▪ Governance is based on clear and transparent processes and structures</li> <li>▪ Compliance with governance arrangements is monitored and reported on</li> <li>▪ Structures are integral to the overall strategy in support of the mission, vision and values</li> <li>▪ Strategy provides a medium to long term organisational focus and sets out clear unambiguous targets</li> <li>▪ Long term developments that may impact on strategy are anticipated and planned for</li> <li>▪ Strategy is developed and updated based on meaningful consultation with all relevant stakeholders</li> <li>▪ Strategy is monitored and updated to take account of change</li> <li>▪ At all levels managers/leaders are role models and promote high standards of behaviour, fairness and equality</li> <li>▪ Managers/leaders recognise achievements and take appropriate action when behaviour falls below standards</li> <li>▪ Finances are appropriately managed in support of the overall strategy</li> <li>▪ Business planning supports the organisational strategy</li> <li>▪ The planning process reflects the overall strategy and priorities of the Criminal Justice System (Justice and policing department)</li> </ul>

Framework Area	Possible Evidence
<p><u>Delivery</u></p> <p>Inspectors will be looking for:</p> <p>evidence of effective and efficient delivery against objectives</p>	<ul style="list-style-type: none"> <li>▪ Delivery is based on the present and future needs and expectations of stakeholders and customers</li> <li>▪ Appropriate standards for delivery of services and products are identified, implemented, monitored and developed</li> <li>▪ Delivery is customer focused and inclusive of diversity</li> <li>▪ Customer relationships are managed and improved</li> <li>▪ The approach to delivery takes account of information from performance measurement, research, and learning (internal and external)</li> <li>▪ Information from staff, stakeholders, customers, and partners is managed to improve delivery</li> <li>▪ There is a programme of continuous reviews, development, and updating</li> <li>▪ Resources are planned, managed and improved to deliver against targets</li> <li>▪ Technology and systems are managed in a way that enhances delivery</li> <li>▪ Finances are used effectively and efficiently in support of delivery objectives</li> <li>▪ Staff and service deliverers are enabled, empowered and supported</li> <li>▪ Fixed assets are utilised in support of delivery objectives</li> <li>▪ Process improvements are delivered</li> </ul>

Framework Area	Possible Evidence
<p><u>Outcomes</u></p> <p>Inspectors will be looking for:</p> <p>quantitative data to support assertions of outcomes;</p> <p>Evidence of managing performance to deliver objectives and targets</p>	<ul style="list-style-type: none"> <li>▪ Outcomes are measured and evaluated against objectives and targets</li> <li>▪ Measurement of outcomes integrates diversity issues to ensure fairness and equality</li> <li>▪ Customers' perceptions of organisational performance are measured</li> <li>▪ Performance indicators are</li> </ul>

	<p>monitored and used to understand, predict and improve outcomes</p> <ul style="list-style-type: none"> <li>▪ Feedback from stakeholders, partners, and staff is used to improve outcomes</li> <li>▪ Performance indicators are monitored and used to monitor, understand, predict and improve staff performance</li> <li>▪ Performance measurement is analysed and used to improve strategy and policy</li> <li>▪ Performance is benchmarked against appropriate organisations</li> <li>▪ Results are published, made freely and widely accessible and actively communicated to stakeholders</li> </ul>
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