



Her Majesty's Chief
Inspector of Constabulary

Inspection Programme and Framework 2016/17

An inspection programme and framework prepared
under Schedule 4A to the Police Act 1996

March 2016

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Her Majesty's Chief Inspector of Constabulary's 2016/17 Inspection Programme and Framework

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Foreword

HMIC's 2016/17 inspection programme will be demanding. It will consider matters of great importance to the public in England and Wales, including how well police forces manage their response to the terrorist threat and how they deal with victims of crime who are especially vulnerable, such as young children. A cornerstone of our programme is the third annual all-force assessment known as PEEL (police effectiveness, efficiency and legitimacy).

In 2015/16, HMIC's PEEL assessments provided graded judgments enabling the public in each police area to see how their police force had performed and to compare this against the work of other forces. Next year, PEEL will provide graded judgments on the work of all forces for a third year. This will enable the public to see how local police force performance has changed over time.

Through the 2016/17 inspection programme and framework consultation, we received positive and constructive comments about our approach and the content of PEEL. The responses also confirmed that forces, members of the public and other interested parties agreed that our inspection programme will cover the most important aspects of police work.

Our programme for the next year comprises inspections of the broadest sweep of policing: from child protection to counter-terrorism, stalking and harassment to the effectiveness, efficiency, legitimacy and leadership of forces.

(Sgd.) Thomas P Winsor

Sir Thomas P Winsor

HM Chief Inspector of Constabulary

Her Majesty's Inspectorate of Constabulary

Her Majesty's Inspectorate of Constabulary independently assesses and reports on the efficiency and effectiveness of police forces and policing activity – ranging from neighbourhood teams through serious crime to the fight against terrorism – in the public interest.

In preparing its reports, HMIC asks the questions which citizens would ask, and publishes the answers in accessible form, using our expertise to interpret the evidence. We provide authoritative information to allow the public to compare the performance of their forces against others, and our evidence is used to promote improvements in the service to the public.

HMIC is committed to equality and diversity, including improving outcomes for protected groups. In support of this, we will:

- monitor and maintain a good workforce representation;
- ensure all our staff are aware of obligations under the public sector equality duty;
- include within our monitoring of forces' efficiency and effectiveness their performance with respect to equality and diversity; and
- within all our inspections, give consideration to inequality and, where identified, make recommendations to improve experiences for protected groups. These recommendations will be published in our inspection reports.

Introduction

This document provides details of HMIC's inspection programme for 2016/17.

Types of inspection we will conduct in 2016/17

Annual all-force inspection programme (PEEL)

PEEL is an all-force inspection programme in relation to police effectiveness, efficiency and legitimacy. The PEEL annual assessment provides graded judgments on forces' performance. HMIC's PEEL assessments are designed to provide a year-on-year comparison, enabling the public to see how each police force's performance changes over time, in relation to its past performance and the performance of other forces.

National thematic inspections

National thematic inspections examine a principal policing issue. This could be identified through HMIC's monitoring processes or by a commission from the Home Secretary. Thematic inspections can take place in any number of police forces, ranging usually from six up to all 43 forces. This type of inspection identifies poor practice relevant to the police service as a whole, and good practice regarding a specific aspect of policing.

Thematic inspections have proved important in identifying and exploring critical issues and sticking points in forces' practice. They have set out ways to improve practice in areas such as crime-recording. These will continue alongside the PEEL programme, with findings from these inspections informing PEEL assessments where appropriate.

Commissions from the Home Secretary

The Home Secretary may at any time require HMIC to carry out an inspection of a police force, part of a police force or particular activities of police forces.

Commissions from police and crime commissioners and local policing bodies

Police and crime commissioners, the Mayor's Office for Policing and Crime (in London) and the Common Council for the City of London police area are all defined in legislation as local policing bodies. These bodies are responsible for securing an efficient and effective local police force.

The local policing body for a police force area may at any time ask HMIC to carry out an inspection or review of the police force that it oversees, or an inspection into a part of the force or of particular activities of that force.

Inspection of national agencies and other (non-Home Office) forces

HMIC has a statutory responsibility to undertake inspections of the following national agencies and non-Home Office forces:

- British Transport Police;
- Civil Nuclear Constabulary;
- Police Service of Northern Ireland;
- National Crime Agency (NCA);
- Armed Forces Police;
- Ministry of Defence Police; and
- Her Majesty's Revenue and Customs (HMRC).

In addition, at the request of the relevant dependency or overseas territory, inspections may take place of forces in British Crown Dependencies and British Overseas Territories. In 2015, HMIC inspected the Royal Gibraltar Police force, and in 2016 will be providing international development assistance to the Department for International Development (DFID) in relation to the Nepal police.

Inspections of counter-terrorism and security-related issues

This area of inspection includes multi-disciplinary work with other security agencies, and is conducted on a confidential basis. HMIC evaluates the effectiveness of the police response to national threats. These include counter-terrorism and serious and organised crime. These inspections provide a measure of assurance about the counter-terrorism network, security and policing issues and sensitive locations. In 2016/17, we will carry out a thematic inspection focusing specifically on counter-terrorism. HMIC also reviews the work of the National Crime Agency and HMRC.

Joint inspections

HMIC works with other organisations to carry out joint inspections, with our most frequent partners being HM Crown Prosecution Service Inspectorate, HM Inspectorate of Probation and HM Inspectorate of Prisons. These inspections (which fall under the broad topic headings of community safety; bringing offenders to justice; offender management; and custodial conditions) are detailed in a separate criminal justice joint inspection plan.

The CJJI programme provides for two main types of inspection:

- recurring programmes – a series of local inspections each year on the same subject (e.g. inspections of police custody conditions and multi-agency child protection inspections);
- joint thematic inspections – usually single bespoke inspections visiting several localities to contribute to a single final report on a thematic issue (previous examples include identifying victim and witness vulnerability in criminal case files and an inspection of multi-agency public protection arrangements).

The CJJI inspection programme for 2016/17 is currently being developed, and is subject to separate consultation.

The *Joint Inspection Framework 2014-16* sets out the manner in which the criminal justice inspectorates jointly carry out the functions of inspection and reporting. As well as explaining the purpose and underlying principles of joint inspection, the framework includes detail on how the inspection programme is established and CJJI's governance structure.

The four inspectorates (HM Inspectorate of Constabulary; HM Crown Prosecution Service Inspectorate; HM Inspectorate of Probation; and HM Inspectorate of Prisons) work together to produce a more rounded examination of issues that affect the whole criminal justice system. To reflect this, HMIC, in collaboration with the other criminal justice inspectorates, has focused activity around four high-level processes (community safety; bringing offenders to justice; offender management; and custodial conditions) and three subjects (victim and witness experience; equality and diversity; and achieving value for money and efficiency).

The *Joint Inspection Framework 2014-16* is available from:

www.justiceinspectorates.gov.uk/cjii/about-cjii/how-we-inspect/joint-inspection-framework/

Further information on the Criminal Justice Joint Inspection programme can be found at www.justiceinspectorates.gov.uk/cjii/

An overview of HMIC's inspection programme for 2016/17

PEEL inspections 2016/17

In 2016/17, police effectiveness, efficiency, legitimacy and leadership will continue to be the basis and predominant elements of the PEEL programme. Through lessons learned from the 2015/16 assessment, responses from previous consultations and survey results, the way we will run PEEL in 2016/17 will change.

In 2016, HMIC will run two tranches of inspections. The spring 2016 inspection will inspect the efficiency, legitimacy, and leadership of forces, and the autumn 2016 inspection will deal with the effectiveness of forces.

- In relation to the efficiency element, we will inspect how efficient the force is at keeping people safe and reducing crime.
- In relation to the legitimacy element, we will inspect how well the force treats people when working to keep people safe and reduce crime.
- Our inspection in relation to leadership will be an assessment of how well led forces are at every rank and grade, with a focus on the organisational structures that help each force to understand and develop leadership skills across the whole force.

The second tranche of PEEL will begin in autumn 2016; it will be concerned with the effectiveness of forces. The effectiveness inspection is still in the planning stage; however, we expect to cover areas similar to those covered in 2015:

- crime prevention and neighbourhood policing – how effective the force is at preventing crime, anti-social behaviour and keeping people safe;
- investigations – how effective the force is at investigating crime and managing offenders;
- vulnerability – how effective the force is at protecting from harm those who are vulnerable and in supporting victims;
- strategic policing requirement (SPR) – how effective the force is at meeting its national policing responsibilities (for example, in 2015 we focused on serious and organised crime); and
- regional organised crime units (ROCU) – a follow-up on the recommendations made as part of our 2015 ROCU inspection.

HMIC will publish the final PEEL 2016 assessment in March 2017.

National thematic inspections

Some elements of the thematic inspections that follow may be integrated into the PEEL all-force inspection programme; some may also be included in the Criminal Justice Joint Inspection plan. It is important to note, however, that thematic inspections will remain an essential part of HMIC's programme of work and will continue to take place alongside the PEEL inspections.

Responses to past HMIC consultations have told us, quite clearly, that we need to consider the impact of our thematic inspections on the police service. However, this has to be balanced with the imperative to give due weight to important issues of significant public interest, for example the service that the police provide to the most vulnerable groups in our society.

Topics for new thematic inspections in 2016/17

1. Crime-recording – rolling programme of unannounced visits

Thematic inspections will be carried out on crime-recording, assessing how individual forces have responded to our initial findings, following HMIC's crime-recording inspection in 2014. The new inspections will evaluate the extent to which the public and government bodies can now have confidence in police-recorded crime. The programme will cover all 43 forces over a number of years.

2. Counter-terrorism – thematic inspection

In 2015, HMIC commissioned the Counter-Terrorism Insight Programme which considered the changing threat posed by terrorism and international terror groups in particular. This programme began with an insight study to establish the areas of highest risk identified by both the public and law enforcement agencies for counter-terrorism policing. The study obtained views from the police, security services, PCCs and other organisations. It concluded in December 2015 with a seminar that brought together senior officials from a broad range of interested parties. The findings from this work will shape HMIC's counter-terrorism inspection in 2016/17 and beyond.

Commissions from the Home Secretary

The Home Secretary can commission HMIC to carry out inspections on specific topics at any time. Over the past year, at the request of the Home Secretary, HMIC has led a joint review of the Joint Emergency Services Interoperability Programme (JESIP) in conjunction with the Association of Ambulance Chief Executives (AAACE)

and the Chief Fire and Rescue Adviser (CFRA). The review considered how well the emergency services work together when dealing with major incidents.

Commissions from police and crime commissioners and local policing bodies

HMIC may be commissioned by a police and crime commissioner to undertake an inspection or review. HMIC does, however, have the right to refuse these commissions if we believe that the subject of the request is covered in an inspection already scheduled or we do not have the available capacity within our inspection programme.

Inspection of national agencies and other (non-Home Office) forces

HMIC is required to inspect specified national agencies and non-Home Office forces.

In 2016/17, we plan inspections of:

- Ministry of Defence Police;
- Civil Nuclear Constabulary;
- National Crime Agency;
- Armed Forces Police;
- Her Majesty's Revenue and Customs; and
- British Transport Police.

Joint inspections

Subject to consultation on the Criminal Justice Joint Business Plan, HMIC will be involved in the following inspection activity with other inspectorates in 2016/17.

Joint inspections HMIC will lead or contribute to in 2016/17:

- **stalking and harassment:** to assess the effectiveness of forces at identifying and managing the vulnerability and risk associated with victims of stalking and harassment; their effectiveness and that of the CPS at investigating and prosecuting cases of stalking and harassment; and to identify effective practice (HMIC-led);
- **joint targeted area inspections of child protection:** to assess the progress and experiences of a cohort of children who are at risk of harm and are in contact with youth offending team services, health services, local authority children's social care services, and the police. Each set of inspections also includes an element that is looked at in detail, with the first six inspections focusing on children at risk of sexual exploitation and those missing from home, school or care (led by Ofsted); and

- **police custody (rolling programme):** to assess the treatment and conditions of detainees in police custody against the revised criteria and methodology 'Expectations for Police Custody' (led by HMI Prisons).

As set out on page ten, the CJI inspection programme for 2016/17 is currently being developed, and is subject to separate consultation. Subject to the consultation, HMIC may be involved in other inspections within the joint inspection programme. The CJI business plan is expected to be published shortly.

HMIC's inspection framework

HMIC's inspection framework contains a specification of:

- how we will inspect, gather and analyse evidence; and
- how we will monitor the affairs and performance of forces, and engage with them in the course of our work.

The framework sets out HMIC's open approach to how we inspect and provides assurance that we will run our inspection programme with integrity in a fair, honest and independent way.

Inspection methodology, evidence-gathering and analysis

Development of HMIC's all-force inspection programme

An integral part of the development of HMIC's all-force annual inspection programme is the engagement and consultation work that we carry out with interested parties. Since 2014, HMIC has undertaken surveys and focus groups involving the public, conducted interviews with police officers and staff, and published consultation papers.

HMIC convenes reference groups and advisory groups involving experts who have specific skills and experience in the areas that we are inspecting. We use their knowledge and advice to establish a sound inspection methodology.

HMIC also works closely with market research groups such as Ipsos Mori. The 2014 survey on the PEEL assessment used a nationally representative sample of members of the general public in England and Wales. The findings provide an overview of the public's immediate response to the proposals for the all-force annual assessment. Victims of certain types of crime were also interviewed separately to obtain their views on the service they received from the police. Interviews with police forces were also conducted in order to hear the views of those working on the front line. The results of the survey can be found here:

www.justiceinspectorates.gov.uk/hmic/publications/views-on-peel-assessments-consulting-with-the-public-and-frontline-police/

Considering PCC priorities in HMIC's inspection programme

A police and crime plan is issued for each police area by its police and crime commissioner. It sets out the police and crime objectives of the police and crime commissioner, the policing which the chief constable is to provide, the financial and other resources which are to be provided, the means by which the chief constable's

performance will be measured, and other matters. The chief constable must have regard to the police and crime plan in exercising his or her functions.

Police and crime plans, provided for by Parliament, are therefore instruments of very great importance in the policing of the police area in question. They have a legislative and democratic basis, and represent the principal priorities of local people, for whose protection the police exist. While of course not a set of orders, they carry considerable weight.

In the design of each inspection, and again before carrying out fieldwork in an inspection in any force, HMIC inspectors examine and review in detail the contents of the police and crime plan for that force, to establish and ensure due weight is given to its contents. The plan is also a material source of information about the local circumstances and characteristics of the force, the police area in question and the factors which affect considerations of public protection, crime and disorder, including of course demand – latent and patent – for police services.

The police and crime plan is therefore one of the first sources of information we use when inspecting a force.

In addition to that full consideration of each police and crime plan, we ensure that PCCs' priorities are given due weight in the following ways:

- (a) PCCs and the Association of Police and Crime Commissioners (APCC) have the opportunity to comment on our inspection plans, in light of their individual priorities and national requirements, through a variety of consultation processes; these include the HMIC Reference Group, HMIC's Crime and Policing Monitoring Group (CPMG) and its Technical Advisory Group, and of course our annual consultation on the HMIC inspection programme and inspection framework;
- (b) HMIC holds a database of priorities from each PCC's police and crime plan; this database is regularly updated as and when plans are revised; the information is used to inform dealings between HMIs and PCCs;
- (c) an important part of the job of each HMIC force liaison lead officer is the possession and use of detailed knowledge and understanding of the police and crime plans for the forces for which he or she has particular responsibility;
- (d) during many inspections, PCCs are invited to meet the inspection team and discuss the inspection topics, giving PCCs the opportunity to discuss and emphasise their priorities and plans, should they wish to do so; PCCs are also able to discuss the inspection findings at the debrief at the end of each inspection, or at a separate meeting if preferred, allowing them to set the inspection findings within their local context;

- (e) as part of HMIC's 2015 PEEL efficiency inspection, in relation to each force two specific questions were asked relating to the applicable police and crime plan; these were:
- (i) how well do the force's financial plans reflect the objectives set out in the PCC's police and crime plan; and
 - (ii) how well does the force provide timely and relevant financial information to the Office of the Police and Crime Commissioner, and are shared assumptions used to develop current and future plans;
- (f) the PEEL assessment for each force contains details of the current PCC and his or her police and crime plan; this allows the public easily to obtain information on particular priorities of each PCC in respect of his or her force;
- (g) police and crime plans are included within HMIC's evidence base for monitoring forces; PCCs and chief constables are able to provide additional information on their priorities and wider force contexts when making representations in the monitoring process; and.
- (h) we have also been liaising with the APCC about how best to work together in relation to our common objectives of improving policing. We plan to set out our working arrangements with the APCC in a concordat in the near future. A draft concordat is close to being ready to go to the APCC.

College of Policing standards

College of Policing standards are of very great importance to the improvement of policing and the achievement of consistency in practice. HMIC always takes College of Policing standards, where they exist, into account in its design of inspections and its assessments of forces.

Gathering and analysing information

As part of HMIC's commitment to continuous improvement, and in response to feedback from the service on the effect of our activity in each force, during 2016/17, we will improve our approach to gathering evidence. We will be making better use of the information and data we gather from forces before we undertake our fieldwork.

Our assessments will still be underpinned by a single methodology – the PEEL question set – so that we judge all police forces against the same criteria in a consistent way. However, this approach will provide our inspectors with a greater degree of flexibility in understanding the particular issues affecting individual forces. By enhancing the work we do before visiting forces, the main tranche of our inspection fieldwork can be focused on those areas that require greater scrutiny. This approach, which we are calling a Key Lines of Enquiry (KLOE) approach, will be

piloted with the first tranche of the PEEL inspection programme in spring 2016. We will review it thereafter, with the expectation of applying it to all HMIC inspections.

Identifying and managing causes of concern

When HMIC identifies serious or critical shortcomings in practice, policy or performance, we have in the past made recommendations for their timely remedy. Following the development of our processes, HMIC will now be reporting each as a cause of concern. HMIC will continue to make recommendations to the force(s) (and sometimes other bodies) to make changes to alleviate or eradicate a cause of concern. There will always be one or more recommendations for each cause of concern. The progress that the forces (or other bodies) make in alleviating or eradicating a cause of concern will be reviewed by HMIC. The method and timing of this review will be determined by the precise nature and seriousness of the cause of concern.

If, during an inspection, HMIC finds an aspect of practice, policy or performance that falls short of the expected standard, but which is not a serious or critical shortcoming, this may be reported as an area for improvement. Areas for improvement will not usually be accompanied by a recommendation.

This approach has already begun in PEEL inspections, and will also be applied to thematic inspections and joint inspections that are led by HMIC.

Making judgments

Under the annual all-force inspection programme, forces are assessed and given graded judgments. The categories are:

- outstanding;
- good;
- requires improvement; and
- inadequate.

Judgment is made against how efficient and effective the force is at keeping people safe and reducing crime and how well (legitimately) it treats people.

A grading of good is given when policy, practice or performance meets pre-defined grading criteria informed by any relevant approved professional practice and standards.

If the policy, practice or performance exceeds what is expected for good, then HMIC will consider giving a graded judgment of outstanding.

If there are shortcomings in the policy, practice or performance and it does not meet what is expected for good then HMIC will consider giving a graded judgment of requires improvement.

If there are serious or critical failings of policy, practice or performance and it does not meet what is expected for requires improvement then HMIC will consider giving a graded judgment of inadequate.

Monitoring and engagement

HMIC's monitoring process

Her Majesty's Inspectors of Constabulary routinely monitor all police forces in order to establish that:

- emerging causes of concern about the effectiveness or efficiency of individual forces are spotted quickly, and chief constables and local policing bodies are aware of those concerns and are taking corrective action; and
- if causes of concern with the effectiveness or efficiency of a force are enduring and there is a low prospect of these concerns being resolved, those problems are raised formally with the local policing body, so that that body can take appropriate remedial action.

Routine monitoring identifies apparent causes of concern for closer scrutiny. Some of these will be outside the control of the force and local policing body, or will already have been tackled, but some may be indicators of systemic or management failings in the force. The decision on whether to follow-up with the force and local policing body in respect of any concerns rests with the Inspector who leads on HMIC's relationship with that force. As part of our development of the PEEL assessments, HMIC is working with the service to ensure that its monitoring of forces enables HMIC to establish where things are going wrong, and, in such cases, with others, to provide appropriate advice and assistance to forces to enable them to improve.

For more information about HMIC's approach to monitoring, please visit our website at: www.justiceinspectorates.gov.uk/hmic

HMIC's Advisory Board

HMIC's Advisory Board was established to provide advice and expertise concerning inspection methodology. Its members are drawn from a wide range of relevant organisations including the London School of Economics, the Tavistock Institute and the College of Policing. It will meet at appropriate times during the development of inspection programmes.

Collaboration with London School of Economics

In order better to evaluate the nature, volume and severity of demand on the police, HMIC has been working with the London School of Economics. Using census and other data, together we have built a detailed picture, in every police area, of the characteristics which contribute to or provoke demand for police services. In the model, England and Wales have been divided into 181,000 census areas, each made up of 125 households of broadly similar social and economic characteristics. From these data, it is possible with appreciable degrees of accuracy to predict the demand for police services, especially reactive demand. The model is being improved and will in due course be made available to the police service.

HMIC's Reference Group

The members of the HMIC Reference Group are representatives from the police service, police and crime commissioners, the College of Policing, the Home Office and other interested parties. Meetings of the HMIC Reference Group are held quarterly and provide a regular forum in which representatives of the policing sector and government can work closely together with HMIC in order to share information. Regular matters for discussion include HMIC's programme of work and its approach to inspections. The work of the group also helps with the design and development of inspections.

HMIC also has other programme-specific reference groups; for example, on each of the PEEL strands of work, and on inspections such as child protection and crime-recording.

HMIC's Technical Advisory Group

The purpose of HMIC's Technical Advisory Group (TAG) is to help design inspection programmes to ensure that they are as effective and efficient as possible. To achieve this, the group provides a way for HMIC to:

- disseminate information about its inspection programme; and
- obtain advice from interested parties on the design and execution of the inspection programme, in particular highlighting potential problems with HMIC's approach and recommending ways of resolving those problems.

The TAG has a wide membership. Its members are representatives of the National Police Chiefs' Council committees, the Association of Police and Crime Commissioners, the Offices of Police and Crime Commissioners, the College of Policing, the Home Office, the Office for National Statistics, staff associations, police forces, and other specialist agencies.