



Her Majesty's  
Inspectorate of  
Probation

**Youth offending inspection**  
**External guidance manual**

V5.5 January 2022

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# 1. Statement of purpose and values

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## 1.1. Statement of purpose

Her Majesty's Inspectorate of Probation is the independent inspector of youth offending and probation services in England and Wales. We report on the effectiveness of probation and youth offending service work with adults and children. We publish reports following each inspection, highlighting good and poor practice. We also rate each organisation as 'Outstanding', 'Good', 'Requires improvement' or 'Inadequate'. We are independent of government and speak independently.

## 1.2. Values

### ***Influential***

We care about making a positive impact on the organisations we inspect and the individuals they work with.

### ***Independent***

We ensure that the judgements we make are supported by evidence and are fair and impartial.

### ***Professional***

We work in a respectful, transparent, professional way, listening to and sharing learning internally and externally.

### ***Inclusive***

We will work as 'one HM Inspectorate of Probation', valuing and respecting each other's viewpoint and skills, so that everyone feels a part of what we do.

### ***Diverse***

We are passionate about diversity and the value that comes through giving everyone a voice in our inspections and the chance to succeed in our organisation.

## 1.3. Our mandate

HM Chief Inspector of Probation's responsibilities are set out in Section 7 of the *Criminal Justice and Court Services Act 2000*, as amended by the *Offender Management Act 2007* section 12(3)(a). This requires the Chief Inspector to inspect (section 1) and report to the Secretary of State (section 3) on the arrangements for the provision of probation services.

Under Section 7(6) of the *Criminal Justice and Court Services Act 2000*, HM Chief Inspector of Probation is also conferred to inspect and report on youth offending teams (YOTs), established under the *Crime and Disorder Act 1998* section 39, and bodies acting on their behalf.

We are the independent source of fair comment for ministers and the public on the effectiveness of the work of probation and youth justice providers.

Based on our independence, expertise and experience we can focus uniquely on the identification of best and effective practice. We identify when our standards are being met and delivered well and highlight examples of this.

We test the effectiveness of provision and provide assurance. Critically, we make recommendations to identify and disseminate effective practice, challenge poor performance and encourage improvement. We provide evidence-based intelligence for commissioners and providers, designed to play a key part in facilitating and encouraging improvement in effective service delivery.

#### **1.4. Confidentiality**

In group meetings and case interviews with practitioners, we provide an assurance that information shared will only be used in an aggregated form and will not identify individual staff members, unless immediate action is needed to protect an individual.

We will anonymise information before including it in any publications, but information is not treated as confidential. This extends to all information provided to us in writing or verbally by staff working for the inspected organisation or under contract to that organisation. We use all available evidence to help us make an inspection judgement. Similarly, information provided to us by stakeholders invited to contribute to the inspection is not treated as confidential.

## 2. Overview of youth inspection

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### 2.1. Introduction

The term youth offending team (YOT) is used throughout this document to describe the provision of youth offending services regardless of how they are structured and named locally. The term YOT is consistent with the wording of the *Crime and Disorder Act 1998*.

Key features of the inspection programme are:

- underpinning our inspections and judgements with agreed standards
- rating each YOT using a four-point scale, from 'Outstanding' to 'Inadequate'
- the inclusion of out-of-court disposal work alongside sentenced cases
- evidence-based judgements about organisational delivery
- a free-standing rating for resettlement work.

The selection of YOTs for inspection is guided by our published YOT selection criteria<sup>1</sup> and includes services selected both on a random basis and on the basis of potential concerns about performance. The inspection standards cover three domains. Domain one covers organisational delivery, including how well the YOT is led and governed. Domains two and three look at the quality of post-court supervision and the quality of out-of-court disposals respectively.

Most inspections of YOTs are 'single' inspections, where HM Inspectorate of Probation is the only inspectorate involved. A small number of YOTs receive a joint inspection. In these we inspect against the standards across all three domains and include inspectors from Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) and the Care Quality Commission (CQC). In England, social care and learning and skills inspectors are part of the team, and in Wales we are joined by the Care Inspectorate Wales (CIW), Health Inspectorate Wales (HIW) and Estyn.

We publish a report following each inspection and we also report annually against each standard on the extent to which the enduring aims of youth justice are being met across the system as a whole.

In all our work with YOTs, we use the terms child or children to denote their special legal status, and to highlight the obligations of relevant agencies such as social care, education and health to meet their safety and wellbeing needs.

### 2.2. Standards for inspection

Our standards are based on a set of principles that we think YOTs should meet to deliver high-quality youth justice practice. They are based on established models and frameworks, and are grounded in evidence, learning and experience.

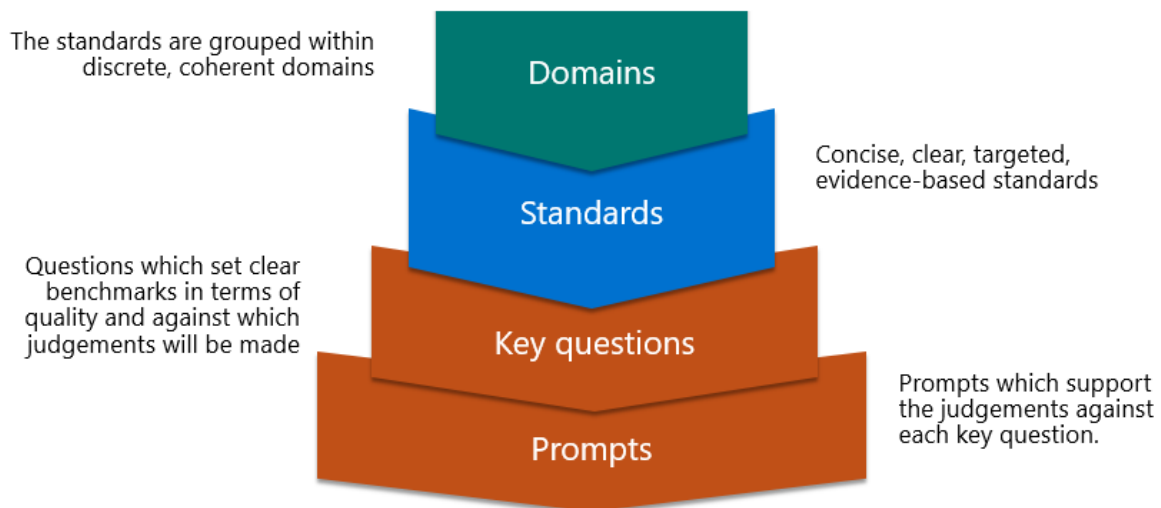
The standards are grouped into domains, with each standard underpinned by key questions and prompts, which aim to be coherent, comprehensive and balanced. Domain one covers organisational arrangements, including governance and leadership, staffing, partnerships and services, information and facilities. Domain two covers the quality of work in cases subject to a court disposal. Domain three covers work delivered under out-of-court

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<sup>1</sup> <https://www.justiceinspectrates.gov.uk/hmiprobation/about-our-work/documentation-area/youth-offending-services-inspection/>

disposals, and the policy and provision framework for this work. The stand-alone resettlement standard covers resettlement policy and provision, where qualitative evidence is illustrated through inspecting a small number of resettlement cases. The framework is supported by inspection guidance materials that assist reliable and valid judgements.

Figure 1: The standards structure



This guidance manual sets out the arrangements for the inspection programme, covering all aspects of the inspection process and methodology, as well as roles and responsibilities of HM Inspectorate of Probation staff.

## 2.3. Inspection principles

### How we inspect

We assess quality rather than either the specifics of a process or the use of any particular tool. For example, we consider the quality of assessment in the round rather than the use of any document, tool or process. The wording of our key questions and prompts reflects this.

### What we judge

We decide on a rating based on what and how an organisation is achieving. We also acknowledge effort in the report narrative. We are interested in the performance of the organisation at the time we inspect and, typically, do not make judgements about how policy and practices may influence future impact.

### How we score domains

In domain one there is a wide number and range of key questions under each standard. A qualitative judgement is made on the appropriate rating for each standard and a deficiency against one key question will not necessarily override strengths in the others.

In domains two and three, each key question is integral to effective case delivery, linked to the core purposes of youth offending services, and sufficient attention needs to be given to all of them. Therefore, the rating that can be achieved for the standard is set at the lowest score achieved at key question level. In domain three, there is an additional qualitative standard covering the policy and provision for out-of-court disposals.

The single resettlement standard sits outside the court domains and is rated using a qualitative judgement, illustrated by data from the inspected cases. This standard is not

rated in a YOT where there have been no resettlement cases in the relevant period. The rating for the resettlement standard does not form part of the YOT's overall composite score. However, we will apply a limiting judgement. Any YOT that receives an 'Inadequate' rating for the resettlement standard is unable to receive an overall 'Outstanding' rating, regardless of how they are rated against the core standards.

More information about our standards is available on our website:

<https://www.justiceinspectorates.gov.uk/hmiprobation/about-our-work/documentation-area/probation-inspection>

## 2.4. Summary of inspection phases

The inspection consists of three phases:

Phase I: Pre-fieldwork planning and preparation  
Phase II: Fieldwork  
Phase III: Post-fieldwork.

### **Phase I: Pre-fieldwork planning and preparation**

The pre-fieldwork phase normally commences five weeks before the fieldwork with the announcement of the inspection and the issue of documentation to assist planning and preparation. A telephone planning meeting takes place the week following the announcement (normally week -3).

### **Phase II: Fieldwork**

For single inspections, there is one week of fieldwork, during which case inspections and meetings take place. Fieldwork may be conducted remotely where that is necessary due to the impact of Covid-19.

### **Joint inspections only:**

The first fieldwork week comprises case inspections only. It is followed by an off-site review week and then a second fieldwork week. During the second fieldwork week the majority of meetings take place, and issues arising out of cases inspected during the first fieldwork week are followed up by partner inspectorates.

### **Phase III: Post-fieldwork**

On completion of the fieldwork phase, the lead and deputy lead inspector prepare draft ratings proposals and summarise evidence and key findings for an internal 'ratings panel' meeting, held the week after fieldwork is completed.

The ratings panel is chaired by the director of operations and includes the lead inspector and the head of youth inspection programme. The Chief Inspector, deputy lead inspector and assistant inspectors attend if available. The panel ensures that ratings fully reflect the balance of the evidence, and that they are sufficiently consistent across inspections. A summary of the ratings panel decision is sent to the inspected body on the Friday after the meeting has been held.

The lead inspector then prepares an inspection report, which is normally submitted to the inspected organisation for factual accuracy checking on the Monday of week +6 (six weeks after the end of fieldwork). There is a deadline to return any comments to the lead inspector and head of youth inspection programme by the Monday of week +8.



The report is normally published in week +12 in England and in week +15 in Wales, to allow for translation. We confirm the anticipated publication date once factual accuracy checking is complete.

### **Welsh language scheme**

In accordance with the *Welsh Language Act 1993*, HM Inspectorate of Probation has adopted the principle that in the conduct of its inspections in Wales it will treat the Welsh and English languages equally. HM Inspectorate of Probation has a Welsh Language Scheme that sets out how we deliver services in Welsh. This was approved by the Welsh Language Board on 04 May 2011.

More information about the Welsh Language Scheme can be found on our website:

<https://www.justiceinspectorates.gov.uk/hmiprobation/about-hmi-probation/diversityinclusion/>

## **3. Phase I: Pre-fieldwork and planning**

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### **3.1. The inspection team for phase I**

The inspection team for phase I consists of:

- lead inspector
- information and data team
- administrator, operations (inspection)
- head of youth inspection programme.

### **3.2. Pre-fieldwork activity**

Key documents and background information are collated by the information and data team to support the lead inspector in planning the inspection.

#### **Background information**

The information and data team provides the lead inspector with background information at week -7. This information pack contains published data on caseload, performance, crime levels, proven reoffending, education, training and employment (ETE) information, offending by Looked After Children, and population characteristics. The lead inspector assesses and analyses this information before fieldwork.

The background information provided includes:

- children supervised in the community at period end
- first-time entrants
- use of custody
- reoffending rates
- previous inspection information
- MAPPA (multi-agency public protection arrangements) data by area
- list of all community safeguarding or public protection incidents
- published Ofsted/Estyn inspections of local authority child safeguarding arrangements/JTAI (joint targeted area inspections) for the previous 12 months
- published CQC/HIW inspections of drug and alcohol and mental health treatment
- names and addresses of all youth and Crown courts in the area.

The administrator starts to prepare for the inspection four weeks before fieldwork (week -4). After the inspection announcement, the YOT is required to submit the required evidence in advance, identify the case samples for domains two and three, and arrange interviews and meetings with key staff members and stakeholders.

### **3.3. Inspection announcement**

Inspection announcements are normally made on the Friday five weeks before the fieldwork commences. The announcement is made by the lead inspector (or the deputy lead inspector

if the lead inspector is not available) by telephone to the YOT manager, or the most senior manager available.

Following the announcement call, the inspected area receives an email confirming the inspection, including the project plan, guidance for submitting domain one evidence in advance, case sample specifications, leaflets for staff, and information about surveys of sentencers and children. We ask the YOT to nominate a link manager to work with HM Inspectorate of Probation to make the necessary arrangements for the fieldwork.

### **3.4. Project plans**

The external project plan provides the inspected organisation with details of key timescales and activities required, from pre-fieldwork to post-fieldwork.

The YOT receives the project plan with the announcement letter, normally at the start of week -4. The nominated link manager from the YOT needs to check the key dates and identify any conflicts with other significant commitments. The link manager should raise any issues with the project plan with the administrator who works with the lead inspector to consider changes where necessary. The YOT should ensure all relevant staff involved in the inspection planning processes are familiar with the project plan.

#### **Blended inspection approach**

Due to the continuing impact of the Covid 19 pandemic, we will offer a blended inspection approach to YOTs. When agreed with the YOT, this approach will blend on-site with remote inspection. We would like some of our team to be able to work on-site wherever possible as we find this works better for some interviews and focus groups. However, we recognise the strain this can put on local meeting rooms and facilities and also the burden when individual YOT staff have to travel to meetings.

We will discuss this further at the planning meeting where we will agree which meetings and interviews (if any) can be conducted remotely and which we would like to do on-site.

Where we do agree on-site fieldwork, the lead inspector will discuss health and safety arrangements at the planning meeting stage, and our staff will conduct routine lateral flow tests before and during the fieldwork.

### **3.5. Telephone/remote planning meeting**

The telephone planning meeting takes place as soon as possible following the announcement, usually on the Tuesday of week -4. The telephone planning meeting may simply be a one-to-one conversation between the lead inspector and the link manager, or it may involve others.

The lead inspector facilitates the meeting and covers the following:

- an outline of the inspection methodology in more detail, explaining the domains and processes
- case sample selection criteria, spreadsheet completion and deadline for return to HM Inspectorate of Probation (Section 4 provides detailed guidance on the criteria for each domain)
- a discussion about the required evidence to be submitted in advance of the inspection

- clarification of the local organisational arrangements, offices where the case assessments will take place OR an explanation of how inspection activity will be conducted remotely due to the impact of Covid-19
- the impact of Covid-19 on the YOT
- case sample issues
- case manager interviews and scheduling
- surveys to be conducted, including all staff and volunteers, a youth court representative and a text survey of children
- proposed interviews with children or parents and carers
- management meetings and other inspection activity
- access to IT, rooms and buildings (if required)
- proposed schedules and key dates
- arrangements for the local authority presentation.

### **Joint inspections only**

The planning meeting also considers wider partnership issues that need to be included in the second fieldwork week. The YOT is asked to nominate a link manager from within the YOT for each partner inspector, with responsibility for the aspect of local arrangements on which the inspector is focusing. This link manager will be the inspector's first point of contact when making final arrangements while on site. A more detailed planning meeting for the second fieldwork week takes place during fieldwork week one.

A list of standard meetings is provided for all inspections (see Section 5). The planning meeting provides the opportunity for the lead inspector to request additional meetings during fieldwork.

The planning meeting is documented by the lead, including notes on any key questions raised by the YOT. A copy of the minutes is issued to the link manager, the HM Inspectorate of Probation administrator and any other relevant people.

### **3.6. Evidence in advance**

HM Inspectorate of Probation provides the YOT with a checklist of standard evidence required in advance and a list of further evidence that should be submitted if available. We request the YOT to upload its evidence to an online portal, with the opportunity to add narrative if it wishes. The lead inspector uses this evidence to assess against the standards and to identify relevant topics to be followed up during fieldwork.

#### **Standard evidence in advance (single and joint inspections):**

- a brief description of the YOT's local context, maximum 1,000 words
- YOT organisational chart, including names and roles of managers
- organisational structure chart showing where the YOT sits in relation to the local authority
- YOT Management Board register
- minutes of all YOT Management Board meetings (previous 12 months)
- agenda and all papers of the most recent YOT Management Board

- list of all community safeguarding or public protection incidents (previous 12 months).

### **Evidence in relation to inspection standards**

We ask the YOT to identify their own best evidence in connection with the qualitative standards and key questions for domain one, out-of-court policy and provision and resettlement policy and provision.

### **Additional guidance**

- Evidence should be recent or current (normally produced within the last 12-18 months), unless it is a key policy that has been in place for longer.
- Use of our YOT Management Board attendance log is optional, if the YOT has a local register that can be submitted.
- We do not want details of community safeguarding or public protection incidents, just a log.

### **Submission of evidence in advance**

- The YOT uses the HM Inspectorate of Probation portal to upload evidence in advance. Instructions about how to use the portal are shared at the planning meeting. The YOT uploads documents related to the individual domain one, domain three and resettlement standards.
- The portal provides guidance and examples of the types of evidence that may be available. If the YOT has no available evidence for a particular key question, it is better to leave that question blank than to submit material that does not inform our standards. HM Inspectorate of Probation asks that the YOT provides its best evidence, rather than all available evidence, to inform each of the key questions.
- It is not necessary to provide evidence against each prompt; we recommend a maximum of five documents for each key question.
- The lead inspector may request additional evidence as the inspection progresses.

### **Suggested Evidence in advance**

In the portal we make the suggestions below about documents that might meet our requirements under the relevant questions and standards.

### **Suggested regional evidence in advance:**

#### **1.1 Governance and leadership**

- Youth Justice Plan and/or YOT business plan.
- Contingency planning documents/recovery plan/risk register.
- Management Board induction process/Board Terms of Reference.
- Business risk documents/analysis
- Organisational planning and Risk registers.
- Organogram links to other boards/other strategic meeting minutes.
- Board induction process/Board Terms of reference.
- Examples of development and planning days.

- Service Level Agreements/Commissioned arrangements.
- Evidence of senior stakeholder meetings (e.g. CSP, Safeguarding board minutes, Children's committee etc)
- Operational delivery arrangements.
- Communication policy.
- All staff development days/cross-grade working parties.
- Meetings structure/evidence of team meetings.
- Action plans and delivery plans.
- Thematic performance management reports.
- Thematic quality assurance reports.

## **1.2 Staff**

- Strategic workforce planning, monitoring of workload (business risk register).
- Workload prioritisation, recruitment and retention initiatives or guidance.
- Workforce sickness monitoring data.
- Caseload data.
- Workload management or allocation tool.
- Staff feedback surveys/consultation undertaken by the YOT.
- Team meeting minutes.
- Seconded agreements for partnership staff
- Staffing analysis or profiling documents.
- Workforce development skills audit and training plan.
- Organisational approach to working with volunteers.
- Training and recruitment strategy.
- Training summary record of YOT staff
- Induction framework overview.
- Performance management strategy/guidance (e.g. supervision, QA, capability, disciplinary, appraisal policy).
- Staff supervision arrangements.
- Staff supervision records.
- Team meeting notes
- Arrangements for commissioning of training.
- Staff development opportunities.
- Training and development audits & plans.
- Team meeting notes.
- Evaluation of training.
- Reward and recognition scheme guidance or details.
- Relevant Service Level Agreements

- Staff surveys and organisational response.
- Staff award schemes.
- Reward and recognition examples.
- Team meeting minutes.
- Business risk registers/staff risk assessments.

### **1.3 Services**

- Managing risk of harm and safety and wellbeing framework and guidance.
- Safeguarding policy and examples of impact and monitoring.
- Reducing reoffending policy.
- Performance management analysis reports, including data on levels of disproportionality.
- Strategy for seeking views of children, parents and carers and victims.
- Examples of impact of feedback reports from stakeholders
- Strategic needs analysis examples.
- Partnership working and delivering interventions.
- Commissioning arrangements documents.
- Performance management of services provided.
- Examples of programmes and interventions meeting diverse needs.
- Service Level Agreements
- Arrangements with statutory partners (MAPPA, Safeguarding, CSE, Education).
- Involvement of voluntary organisations.
- Examples of risk management toolkits.
- Thematic audits and reports.
- Service level agreements.
- Examples of programmes and interventions for example restorative justice and work with victims.
- Service agreements and feedback from courts.
- Evaluation of provision from statutory and voluntary partners.

### **1.4 Information and facilities**

- List of policies and procedures on case management, including safety and wellbeing and public protection
- Explanation of how policies and procedures are accessed, reviewed and communicated.
- Examples of the impact of policies.
- Team meeting notes.
- Referral pathways/Service Level Agreements

- Health and safety policy and guidance.
- Risk assessments.
- Impact of feedback from children and families.
- Reparation documents/project details
- ICT strategy or policy.
- ICT sharing of information agreements.
- Examples of the impact of joint agency information sharing.
- Training records
- Performance improvement plans.
- Action plans in response to external inspections (including thematic inspections).
- Impact of surveys (staff , children, parents or carers)
- Internal quality assurance and audit reports.
- Peer audit findings.
- Examples of partnership or joint working case reviews.
- Learning from serious case reviews, serious further offences or similar procedures.

### **3.4 Out-of-court disposal policy and provision**

- Out-of-court disposal policy and procedures.
- Working arrangements with the police.
- Service Level Agreements with other partner agencies
- Process for out-of-court disposal cases.
- Explanation of joint decision-making for out-of-court disposal cases.
- Assessment tools.
- Evidence of joint case working with the police
- Performance management data for out-of-court disposals.
- Evaluation of the decision-making process.
- Quality assurance of interventions delivered.
- Monitoring outcomes for out-of-court disposals.

### **4.1 Resettlement disposal policy and provision**

- Resettlement policy and procedures.
- Strategic arrangements with statutory and voluntary agencies.
- Operational agreements in place for working with children who leave custody
- Examples of multiagency working with children who leave custody.
- Evidence of the impact of joint agency information sharing.
- Staff training and supervision in relation to resettlement.
- Examples of programmes and interventions meeting resettlement needs
- Performance management data for resettlement cases.



- Reviewing the provision of all agencies to the resettlement process.
- Quality assurance of resettlement interventions delivered.
- Monitoring outcomes for children who leave custody.
- Feedback from children and families.

### Organisational data spreadsheet

An organisational data spreadsheet is sent to the YOT with the announcement letter. This document requests a range of data, including the budget, staff profile, caseloads and services. We request this to allow us to:

- triangulate against the data collected from other sources, including case managers, on issues like caseload and staff engagement
- ensure that contextual data related to inspection of domain one is collected in a consistent way across different services
- support further, national-level research and analysis of the factors underlying high-quality youth offending provision, to advance our understanding of effective practice.

We recognise that some services may not be able to provide all this data. Where data is not available, or does not exactly meet our specifications, the spreadsheet allows this to be explained. The organisational data spreadsheet is uploaded to the HM Inspectorate of Probation portal.

### Guidance on using the HMIP Portal

The YOT link manager is sent an email with a Redemption Link, when they click it, they are taken to the portal. They follow these steps to create an account and upload evidence:

- i) If this is the first time of logging in, the YOT link manager clicks on **Register**. If they have already set up an account, they click on **I have an existing account**.

- ii) When registering for a new account, the email address is pre-populated and must be the address used for the account. The YOT link manager chooses a Username and Password, then clicks **Register**:

- iii) The YOT link manager adds the name of their YOT and telephone number, then clicks **Update**:

**Profile**

Your Organisation is required and will be displayed on the site.

**Your Information**

First Name \*  
 Last Name \*  
 Email  
 Business Phone  
 Organisation Name

Stephen Hunt2

Profile

Security  
 Change Password

Update

iv) Once the YOT link manager has set up their account, they click on **View your inspection:**

**My Active Inspections**

Ref Number	Inspected Organisation	Name	Type	Cycle	Lead Inspector	Organisation Primary Contact
00001037	Stephen YOT 1	Stephen 13/07-1	Youth	2021/2022		Stephen Hunt 13/07-1

View your inspection

v) Click on **View EIA details:**

**Evidence in Advance**

Please Select

Interview Type

Evidence in Advance      EIA Request

View Schedule      View EIA details

vi) Read the explanation under each section by clicking on the section header:

This template is designed to be a walk-through document giving guidance for completion as you go through. It is designed to be used in conjunction with the HM Probation inspection standards, key questions and prompts for domain one, including the key question introduced in 2019 related to unpaid work. Further background and guidance are available in the probation inspection manual. The inspection manual and standards were sent as attachments to the announcement letter and are also available on our website.

1. Context
2. Task
3. Submission of relevant evidence
4. Outline of local context

As each organisation is operating in a different local context with its own specific priorities it is important that the lead inspector understands the context and story for this particular inspection. Please include a document outlining this as part of your submitted evidence for the governance and leadership standard.

vii) Click on **Please enter your response** for each standard:

Section	Question ID ↑	Question	Max No of Documents	Answered
Governance and leadership (YOT)	1.1.1	Is there a clear local vision and strategy for the delivery of a high-quality, personalised and responsive service for all children and young people?	5	No

Please enter your response

viii) When the screen loads for each standard, there is the opportunity to add some text and files (although for some questions you may not want to submit any text or files). To add some explanatory text, use this box:

**Comments**

ix) To upload a file, click on **Add files:**



When a file has been uploaded, the name appears at the bottom of the pop-up screen:



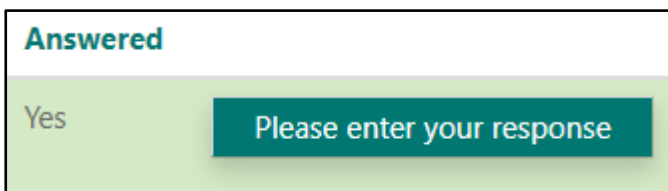
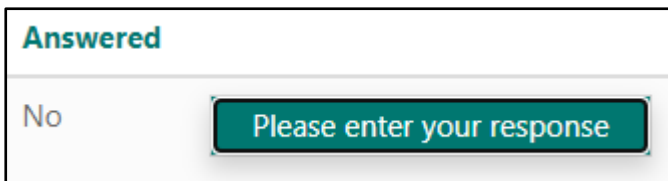
x) Click on **Add files** for each file you want to upload. Please do not upload documents with other items embedded in them. Please note there is a 'replace file' function. If this box is ticked and you upload a file with the same file name and file type as a previously uploaded file, this upload will overwrite the previous file. You can upload to files of different file types with the same name without overwriting.

When you have added your text/files, click on **Save response**:



xi) Repeat for each standard. Please note, if you have no text or files to upload, you must still go into the relevant question and click **Save response** or you will not be able to submit the evidence.

xii) Once you have clicked on Save response, you will see that the Completed column will change from No to Yes, and the background colour will also change.



xiii) Once you have answered all questions, click on **Submit evidence**:



xiv) Once you have submitted your evidence, you cannot make any further changes. If you wish to make changes, please contact the HM Inspectorate of Probation Administrator who will arrange this.

### **Organisational data spreadsheet**

An organisational data spreadsheet is sent to the YOT with the announcement letter. This document requests a range of data, including the budget, staff profile, caseloads and services. We request this to allow us to:

- triangulate against the data collected from other sources, including case managers, on issues like caseload and staff engagement
- ensure that contextual data related to inspection of domain one is collected in a consistent way across different services
- support further, national-level research and analysis of the factors underlying high-quality youth offending provision, to advance our understanding of effective practice.

We recognise that some services may not be able to provide all this data. Where data is not available, or does not exactly meet our specifications, the spreadsheet allows this to be explained. The organisational data spreadsheet is uploaded to the HM Inspectorate of Probation portal.

### **Joint inspections only**

The lead inspector shares relevant evidence in advance with partner inspectors, prior to the second fieldwork week. The following additional evidence is requested, to support the work of partner inspectors during their fieldwork. Some of this information may need to be requested from the relevant partner organisations.

#### **Joint inspection only, additional evidence in advance:**

- structure chart and names of ETE, health and substance misuse, police and other specialist staff working within, or closely with, the YOT
- structure chart that shows links between YOT and other agencies in the area, including criminal justice, local authority, community safety, health and children's services
- list of children currently subject to MAPPA management (level 2 or 3) or
- Integrated Offender Management (IOM)
- list of all children who have received an out-of-court disposal (including any issued directly by the police) in the previous three months, indicating whether or not the case was referred to the YOT for any reason
- list of currently supervised children in receipt of alcohol or substance misuse treatment, physical or emotional health intervention, speech and language intervention, or awaiting treatment or assessment for any of these issues
- details of health and substance misuse providers (including liaison and diversion) working with the YOT, and contact details for a link manager in each organisation
- list of all children currently supervised by the YOT who have a child protection plan, child in need plan or are looked after (including information about whether the inspected local authority is home or host); also note whether any of these children

are listed as missing from home or identified as being at risk of criminal or sexual exploitation

- list of providers of early help and/or other specialist services working with the YOT
- monitoring information that shows ETE achievements of children supervised by the YOT, including those at school, pupil referral unit, custodial institutions and elsewhere
- list of current education providers for children supervised by the YOT (pupil referral units, alternative education or equivalent)
- list of children currently being supervised who are recorded as children missing education or identified as not in ETE.

This additional evidence is submitted during the week prior to the second fieldwork week, and is discussed in more detail at the planning meeting during the first fieldwork week.

### **3.7. Presentation by the local authority**

On the first day of the fieldwork, there is a presentation from the local authority Chief Executive or Chair of the YOT Management Board. The lead inspector should be informed in advance if a substitute will deliver the presentation. Other relevant staff may be involved or attend, as agreed with the lead inspector.

#### **Guidance on the presentation**

Please cover the following, with specific reference to domain one (organisational delivery) of the HM Inspectorate of Probation youth inspection standards.

- What does HM Inspectorate of Probation need to know to understand the local context for this YOT?
- How does the governance and leadership of the YOT support and promote the delivery of a high-quality, personalised and responsive service for all children?
- How are staff within the YOT empowered to deliver a high-quality, personalised and responsive service for all children?
- Is there a comprehensive range of high-quality services in place to enable personalised and responsive provision for all children?
- Is timely and relevant information available, with appropriate facilities in place, to support a high-quality, personalised and responsive approach for all children?
- How have you responded to findings and recommendations from previous inspections, including thematic inspections?
- What are your current challenges?
- What are your priorities for further improvement?

These questions relate specifically to domain one (organisational delivery) of the HM Inspectorate of Probation inspection standards for youth offending work, and also cover the qualitative standards for out-of-court and resettlement work. The presentation should directly address the inspection standards and their supporting questions and prompts, and should assist the inspection team to find evidence to make its judgements. Any specific examples or evidence presented should relate to work carried out within the previous 18 months.

### **Arrangements for the presentation**

One hour is allowed for the presentation, to include 10 minutes for any discussion. The purpose of the discussion is to identify additional sources of evidence, either documents that can be provided or individuals or groups with whom the inspectors could meet during this second fieldwork week.

An electronic copy (Word, PowerPoint or pdf) of the presentation should be provided to the lead inspector. A paper copy should also be provided at the start of the presentation to all inspectors who are present, to assist them when making notes (not required for inspections conducted remotely).

### **How evidence from the presentation will be used in the inspection**

The presentation and materials will be used to help the lead inspector prepare for the inspection and to inform inspection findings on domain one (organisational delivery).

The presentation should not be regarded as a substitute for the structured evidence in advance submission.

### **Joint inspections only**

The presentation takes place on the Monday afternoon of the second fieldwork week. It is usually attended by the full inspection team, including partner inspectors.

We do not provide a template for the presentation.

## **3.8. Local assessors**

On most youth inspections, HM Inspectorate of Probation include local assessors in the inspection team. The exception is some of the smaller YOT inspections, where local assessors are not used, given the smaller case samples. Local assessors are professionals from other YOTs, working with HM Inspectorate of Probation on a short-term basis. During inspections they examine and assess the quality of practice carried out by frontline staff in individual cases against HM Inspectorate of Probation's published inspection standards.

Local assessors:

- complete the HM Inspectorate of Probation case assessment training
- work on a YOT inspection team for a full week each, in a location other than their normal place of work (or any other place where they may have a conflict of interest)
- receive support and assistance from the HM Inspectorate of Probation inspection team while working on inspection.

## 4. Case sample

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### 4.1. Case sample confidence levels

The case samples for youth inspection consist of domain two (post-court) cases, domain three (out-of-court disposal) cases and resettlement cases.

The margin of error (or confidence interval) for our case assessment findings depends on the selected sample size: the larger the sample size as a proportion of the overall caseload, the surer we can be that our findings reflect the eligible population. Our initial calculations for the required domain two sample sizes have been based on achieving a margin of error of five percentage points and a confidence level of 80 per cent for a simple random sample of monthly commencements. This means, for example, that if our inspection of a sample of cases shows that 47 per cent are being supervised satisfactorily, we can be 80 per cent sure that the true percentage for the total eligible caseload is between 42 per cent and 52 per cent. Importantly, this assumes that the sample is truly random – which links to the sampling method (see next section). For inspection purposes, an 80 per cent confidence level provides a balance between cost-efficiency and statistical precision.

Based on an analysis of the proportions of post-court and out-of-court cases in individual YOTs, we now use a ratio of either 50:50 or 40:60 to determine the number of domain three cases to be inspected. This change recognises the increasing proportion of out-of-court disposals in many YOTs, while recognising that the amount of work delivered in many out-of-court cases is less than in post-court cases, so inspection resources are allocated proportionately.

We also inspect a small number of resettlement cases, proportionate to the overall caseload of the YOT. The work in these cases is not formally rated, but provides data to illustrate the qualitative findings for resettlement. Any resettlement case selected for inspection in domain two will be excluded from inspection in the resettlement standard.

The size of domain two case samples ranges from three to 25, domain three case samples range from three to 38, and the number of resettlement cases inspected ranges from two to 10. The total size of the case sample depends on the size of the YOT.

The larger case samples are handled by having more assistant inspectors and local assessors on site during the inspection fieldwork week.

We calculate our sample sizes based on annual published data about the YOT's workloads, and a survey of proportions of out-of-court cases in all YOTs. Occasionally, a YOT may find the number of cases within our specified time periods is smaller than the required case sample. In those circumstances, we inspect all available cases, but do not extend the case sample timescale.

### 4.2. Stratification

The case sampling approach is based on the following two stages:

**Stage 1:** Where applicable, in larger YOTs, cases are chosen from across sites or teams. For most YOTs, this stage is not required.

**Stage 2:** HM Inspectorate of Probation then adopts a stratified sampling approach to the selection of the final inspection sample for both post-court and out-of-court cases. We ensure that the proportion of cases in the selected sample in each stratification group closely matches the proportion in the longlist.

**Stratified sampling** – the eligible population (of cases being supervised by the YOT) is divided into non-overlapping strata (subgroups), and cases are then randomly selected from within each stratum. The number of strata and the variables used are linked to the issues being explored (that is, where there are likely to be differences in our findings). The stratification variables for children (our secondary sampling units) are gender, disposal type and the assessed level of safety and wellbeing, and risk of serious harm (RoSH).

### 4.3. Specification and selection

The case sample longlist should be submitted by the YOT by the Friday of week -3.

#### **Domain two (post-court) case sample specification**

The YOT is asked to provide a longlist of all cases sentenced to a referral order, community order or released from custody during a specific timescale. The sample should exclude:

- cases where the initial order was not made out to the inspected YOT
- cases where the only requirement was a curfew, unpaid work or attendance centre
- youth rehabilitation orders where there is no element of supervision or intensive supervision and surveillance requirement
- cases consisting of an extension to an existing referral order.

On the case sample longlist, the YOT is asked to identify any cases that potentially meet our exclusion criteria:

- cases that have been formally transferred out of the YOT, or have terminated within four weeks of their commencement or release from custody
- cases where the inspected YOT acted as a 'host' YOT for a Looked After Child
- cases which are (or have been during the sample period) subject to CSPPI procedures.

HM Inspectorate of Probation may exclude cases meeting any of these criteria from inspection, but cases must still be included on the case sample spreadsheet.

The HM Inspectorate of Probation administrator organises the longlist and applies the stratification variables using the YOT case sample calculator. The stratification groups are:

- boys: community sentence; high/very high RoSH and/or safety and wellbeing
- boys: community sentence; non-high/very high RoSH and/or safety and wellbeing
- boys: post-custody
- girls.

A final selected case sample is then chosen, avoiding excluded cases but matching the stratification proportions. If there are insufficient cases within our timescale, we inspect all available cases; we do not extend the timescale. This is used for preparing the schedule.

#### **Domain three (out-of-court) case sample selection**

The YOT is asked to provide a longlist of cases subject to an out-of-court disposal during a specific timescale. Based on data supplied by the YOT in our survey, a decision is made before the inspection announcement about the appropriate proportions of domain two and domain three cases to be inspected. Where a YOT has not responded to our survey, we apply the 40:60 ratio. The sample should include *all* out-of-court disposal cases, where the



YOT has been asked to undertake an assessment *and/or* deliver interventions, *including* services delivered directly by the YOT, under other local authority or partnership arrangements or on a commissioned basis by another provider.

On the case sample longlist, the YOT is asked to identify any cases that potentially meet our exclusion criteria:

- cases where the child lives outside the YOT area (including Looked After Children where the YOT is the home YOT), unless the YOT being inspected undertook initial assessment in that case
- cases where the consideration for delivery of an out-of-court disposal was undertaken by a different police force, unless the inspected YOT undertook initial assessment in that case
- any cases which are (or have been during the sample period) subject to CSPPI procedures
- cases that have been transferred out, unless the inspected YOT undertook initial assessment in the case.

HM Inspectorate of Probation may exclude cases meeting any of these criteria from inspection, but cases subject to these potential exclusion criteria must still be included on the case sample spreadsheet.

The HM Inspectorate of Probation administrator organises the longlist and applies the stratification variables using the YOT case sample calculator. The stratification groups are:

- boys: youth cautions
- boys: youth conditional cautions
- boys: community resolutions or equivalent
- girls.

A final selected case sample is then chosen, avoiding excluded cases but matching the stratification proportions. If there are insufficient cases within our timescale, we inspect all available cases; we do not extend the timescale. This is used to prepare the schedule.

### **Resettlement case sample selection**

The YOT is asked to provide a longlist of all cases either sentenced to, or released from, custody during a specified period. The YOT is asked to indicate any cases which may meet our exclusion criteria:

- cases where the inspected YOT acted as a 'host' YOT for a Looked After Child
- cases which are (or have been during the sample period) subject to CSPPI procedures.

We do not automatically exclude any case transferred to adult probation services.

There is no stratification in the resettlement case sample. A fixed number of cases (two to 10) is selected depending on the overall caseload of the YOT. The lead inspector selects cases representing a range of sentence lengths and type to illustrate the resettlement work delivered by the YOT. Any case that has been selected in domain two will not be selected in the resettlement standard.

## 5. Schedules

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### 5.1. Weekly schedules

#### Fieldwork week – single inspections

The lead and deputy inspectors are normally allocated two cases per inspection, depending on the YOT inspected. The remainder of their activity during the fieldwork week includes gathering evidence for domain one and the qualitative out-of-court and resettlement standards, through meetings with YOT staff and stakeholders. A team of assistant inspectors and local assessors undertakes most case inspections and, where necessary, lead and facilitate meetings. On some inspections, assistant inspectors also have time allocated to conduct meetings or observations. In the smallest YOT inspections, there is no deputy lead inspector.

The YOT is issued with the final schedules for the fieldwork week by the Wednesday of the week before fieldwork starts. The schedule identifies the time of each case manager interview, which lasts up to 60 minutes for a domain two case and 45 minutes for a domain three case. The YOT should inform case managers of the times scheduled for interviews.

#### Fieldwork weeks – joint inspections

The first fieldwork week for joint inspections consists almost entirely of case inspections for domain two, domain three and resettlement.

The lead and deputy lead inspectors then normally spend a week off site reviewing the evidence from the case inspections before the second fieldwork week takes place. During the second fieldwork week, the lead and deputy conduct most of the meetings in respect of domain one and the qualitative out-of-court and resettlement standards. They are joined by partner inspectors from HMICFRS, CQC and dedicated social care and education and skills inspectors, who follow up any case-related issues identified in the initial fieldwork week and undertake meetings with relevant staff about the partnership arrangements. These include a mix of one-to-one and group meetings. The YOT needs to provide all those taking part in interviews and meetings with information about the venue, date and timings.

### 5.2. Meetings for domain one and the qualitative standards

#### Domain one and qualitative standards scheduling

Planning the schedule of meetings takes place during the pre-fieldwork phase. The list of core meetings below sets out the standard meetings that inspectors hold during the fieldwork week.

HM Inspectorate of Probation send an outline schedule to the inspected service following the announcement of an inspection, indicating the days and times inspectors are available for meetings. Some meetings are fixed in the schedule; for others, the YOT has the flexibility to identify when it is most convenient to hold them.

Depending on the geography of the inspected YOT, some meetings may be scheduled to take place remotely. Depending on the YOT, an individual might need to cover more than one of the tasks outlined in the list of core meetings. In that case, we only need to schedule one meeting with that person. Similarly, if the role identified is covered jointly by two or more people, the YOT can schedule all of them to attend.

For group meetings, the optimum number of attendees is between six and 10. For inspections delivered remotely, the lead inspector discusses with the YOT the preferred means of conducting group meetings, which may be by using Microsoft Teams or Skype.

This list below covers the core meetings we routinely wish to cover. Other meetings may be arranged either during the planning meeting or as the fieldwork progresses.

### **YOT inspection meetings – single inspections**

#### **Individual meetings:**

- YOT manager (or designated manager with direct operational and strategic responsibility for delivery of YOT services)
- Management Board Chair.

#### **Group meetings:**

- YOT management team (operational and other managers, excluding the YOT manager)
- staff focus group (including case managers and support staff, covering court disposals and out-of-court work)
- partnership staff group (representing staff of statutory partner organisations, either co-located in the YOT or with direct responsibility for working with YOT cases, and any other partners with whom the YOT works closely)
- Board members group (including all statutory partners, but excluding the Board Chair and any members directly employed by the YOT)
- resettlement staff (including managers who lead for resettlement, partner agencies responsible for accommodation, other partners linked with resettlement, for example consortium members, custody links)
- partnership managers group (link managers from statutory and other partners)
- restorative justice and victim workers (staff directly delivering restorative justice, victim engagement and reparation)
- operational out-of-court disposal scheme (staff from YOT, panel members and other partners, including link to other diversionary/early prevention work)
- strategic out-of-court disposal scheme (YOT managers with lead on out-of-court disposals, police lead, lead for commissioned services)
- volunteers (including referral order panel members, may also include mentors or other volunteers if used).

### **YOT inspection meetings – additional meetings for joint inspections only**

#### **Individual meetings:**

- information manager and quality assurance/performance manager (people responsible for provision of information to the Management Board and internal quality assurance)
- local authority Chief Executive (unless also Management Board Chair; in YOTs covering multiple local authorities, this meeting could involve a group of Chief Executives, or one acting as a representative)

- local authority elected member (with clear responsibility covering the work of the YOT)
- probation services link managers (NPS operational link managers, including the line manager of any seconded staff).

**Police inspector meetings:**

- YOT-seconded police staff
- line manager of YOT secondment police staff
- local MAPPA coordinator
- police IOM link
- police member of YOT Management Board
- observation of internal YOT risk planning forum (if scheduled)
- observation of delivery of out-of-court disposal
- visit to local police station and custody suite.

**Health inspector meetings:**

- YOT manager responsible for liaison with health partners
- individual meetings (by specialism) with health staff seconded to or working closely with the YOT
- individual meetings (by specialism) with line managers of managers of health staff seconded to or working closely with the YOT
- health member of YOT Management Board (separate meetings if multiple)
- local NHS Commissioner for children
- child and adolescent mental health strategic lead (if not health member of Management Board).

**Children's social care inspector meetings:**

- lead operational manager in YOT for safeguarding and child protection
- strategic lead in children's services with responsibility for children known to the YOT and/or at risk of offending (focus on Looked After Children, care leavers, children in need, children with child protection plans)
- children's social care member of Management Board
- director of children's services (England)/director of social services (Wales) (if not the social care member of Management Board)
- representatives of other strategic boards (local safeguarding children arrangements/scrutiny) (any arrangements responsible for overseeing the effectiveness of joint work with the YOT)
- local authority children's services operational managers, including managers responsible for care leavers, out of area provision, Looked After Children.

### **Education, learning and skills inspector meetings:**

- ETE workers in the YOT or engaging closely with the YOT
- YOT middle manager responsible for ETE workers in the YOT or engaging closely with the YOT
- learning and skills or education members of the Management Board
- senior officer education (England) or equivalent/director of education (Wales) (if not the education member of the Management Board)
- local provider of information, advice and guidance services
- education welfare link for the YOT in the local authority
- observation of education/training provision attended by children from the YOT.

We recognise that arrangements vary between YOTs and local authorities, so the standard list of meetings is just for guidance. In general, we do not want to meet the same person more than once, and the planning meeting is an opportunity to identify the most relevant attendees.

### **5.3. Team meetings**

Meetings for the inspection team are held on the Wednesday afternoon for all inspections. There is an additional meeting on Friday morning for standard single inspections and the first fieldwork week of joint inspections. During the second fieldwork week of joint inspections, team meetings are held daily. A meeting room may be required for this; no ICT access is required in this room.

## 6. Phase II: Fieldwork

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### 6.1. Methodology

#### **Domain one: organisational delivery**

In domain one, the lead and deputy lead inspectors focus on governance and leadership, staff, partnerships and services, and information and facilities. During the pre-fieldwork period, the lead inspector assesses the evidence submitted in advance by the YOT, identifying any gaps or areas for clarification in the evidence for standards and key questions. The fieldwork week (two weeks for joint inspections) includes meetings where further evidence can be gathered, and provides an opportunity to triangulate evidence and information. Inspectors are looking for evidence of the impact of organisational delivery on the quality of work in cases inspected in domain two, domain three and resettlement.

We also telephone children, parents or carers, where they have given their consent, to seek their views on the services they have received.

#### **Domain two: post-court supervision**

Domain two centres on the quality of practice. We examine those tasks relating to the supervision of children, specifically assessing, planning, implementing and reviewing. For custodial sentences, work completed while the child is in custody is also inspected.

The lead and deputy lead inspectors may undertake some case inspections, with most cases completed by assistant inspectors and local assessors. The case inspections take place during the fieldwork week. Section four provides more detailed information about the selection process, exclusion criteria and sample sizes.

Case inspections include reading and assessing relevant information available through electronic records and assessment and planning tools. Inspectors need access to the local case management system and any other electronic recording system. YOTs need to provide any additional paper documents relevant to the inspected case.

We undertake interviews with the case manager for each case within the selected sample. Interviews may be scheduled using video or telephone conferencing arrangements, rather than face-to-face meetings. Case discussions cover assessment, planning, implementation and reviewing. Case managers are also asked about their broader experience of management oversight, and access to services for children. Where the case manager is unavailable, an interview can be held with a suitable replacement. If this is not possible, the case is inspected as a file read.

Domain two case sample dates commence after the first Covid-19 lockdown period (March to July 2020). As such, we anticipate that assessment, planning and reviewing may reasonably be measured against our normal standards, rather than adjusted to cater for the pandemic. Delivery of interventions is likely to be the area of practice most affected by the ongoing pandemic, given the restrictions on YOT staff and the limited availability of other services. Inspectors judge this work against our normal standards, and record the extent to which the pandemic affected their judgements of sufficiency, so that impact can be considered at the ratings panel.

#### **Domain three: out-of-court disposals**

Domain three examines the quality of practice in the supervision of children subject to out-of-court disposal supervision, including assessment, planning, and implementation and

delivery of services. These three standards are inspected using the same methodology as domain two.

As for domain two, inspectors judge this work against our normal standards and record the extent to which the pandemic affected their judgements of sufficiency, so that impact can be considered at the ratings panel.

The fourth standard in domain three takes a qualitative approach to inspecting policy and provision underpinning out-of-court disposals. Inspectors examine evidence in advance and conduct meetings to gather qualitative evidence, and data from the inspected cases allows triangulation.

### **Resettlement standard**

There is a single stand-alone resettlement standard in which the rating is based on a qualitative judgement, illustrated by data from the inspected cases. The rating for this standard sits outside the core standards framework and does not form part of the YOT's overall composite score. However, we will apply a limiting judgement. Any YOT that receives an 'Inadequate' rating for the resettlement standard is unable to receive an overall 'Outstanding' rating, regardless of how they are rated against the core standards.

This standard is not rated in a YOT where there have been no resettlement cases in the relevant period. In those circumstances, the inspection report provides a narrative explanation of policy and provision.

Section four provides more detailed information about the selection process, exclusion criteria and sample sizes.

### **Joint inspections**

When the YOT is subject to a joint inspection, domain two, domain three and resettlement are inspected during the first fieldwork week.

The cases are then reviewed by the relevant partner inspectors at the start of the second fieldwork week, and any activities or further information are followed up during that week. The lead inspector identifies lines of enquiries and summarises the initial findings from the first fieldwork week.

### **Dealing with cases that should have been excluded**

Occasionally, during fieldwork, it becomes apparent that a case on the schedule does not meet the case sample specification and should have been excluded at an earlier stage. If this happens, the inspector will have a brief conversation with the case manager to let them know that the case should not have been put forward for inspection. We apologise for any inconvenience this may cause.

The inspector then speaks to the deputy lead inspector about whether a substitute case needs to be identified as a file read. If possible, the inspector conducting the file read arranges a telephone conversation or brief meeting with the case manager.

## **6.2. Domain guidance material**

Guidance has been developed for each domain. This explains how evidence should be assessed and how to form judgements against key questions and standards. The purpose of the guidance is to provide advice, consistency and a shared understanding of the required expectations. The guidance material is separated into the following documents:

- domain one: rules and guidance (RaG) Domain two: case assessment rules and guidance (CARaG)
- domain three: CARaG
- resettlement: case assessment guidance (CAG).

### **Purpose of the domain one rules and guidance**

The domain one rules and guidance cover domain one and also the qualitative elements of domain three and resettlement. They explain how evidence should be assessed and how judgements should be formed against key questions and standards. The rules and guidance are based on international and national youth offending standards and rules, and our own standards and benchmarks.

The rating characteristics set out in the domain one rules and guidance indicate what will guide a lead inspector to recommend a specific rating. They provide a framework to support the lead inspector's recommendation rather than being a checklist; we do not expect every characteristic to be present for the corresponding rating to be given.

The characteristics for 'Good' and 'Requires improvement' are closely aligned to the key questions and prompts in the standards framework.

The characteristics for 'Outstanding' capture whether the organisation is:

- innovative and creative
- forward-looking and proactive
- open and transparent
- supportive, empowering and inclusive
- agile and responsive
- collaborative and outward-looking.

The characteristics for 'Inadequate' capture whether the organisation is:

- solely reactive
- defensive and blaming
- characterised by division and conflict
- unresponsive
- inward-looking.

### **Purpose of the case assessment rules and guidance for domain two, domain three and resettlement**

The case assessment rules and guidance (CARaGs) are comprehensive sets of published rules and guidance which inspectors and local assessors follow in their assessment of individual cases. The CARaGs promote transparency and consistency in our inspection of cases. Inspection staff and local assessors use the appropriate CARaG as a reference document when assessing a case.

Guidance is provided in the CARaGs for the key questions and prompts. The CARaGs are updated regularly to ensure they remain consistent with any changes that we make at standard, question and prompt level, and so that they remain linked to evidence. The CARaGs also contain links, where relevant, to more detailed guidance.



Copies of the guidance documents can be found on our website.

<https://www.justiceinspectorates.gov.uk/hmiprobation/about-our-work/documentation-area/youth-offending-services-inspection/>

### **6.3. The inspection team for phase II**

The inspection team for phase II consists of:

- lead inspector
- deputy lead inspector (except for the smallest YOT inspections)
- assistant inspectors
- local assessors (some inspections).

### **6.4. Inspection sites (including administration/business support)**

If fieldwork takes place on site, the inspection sites are identified during the pre-fieldwork phase and the inspection team are allocated to specific offices. The Inspectorate is aware that private office space may not be available in all inspection sites for the whole fieldwork phase. The YOT may allocate the team to a desk in an open office with access to private interview rooms, in accordance with the schedule.

On arrival, a YOT representative gives an induction to the building, including a health and safety briefing. Inspection staff need access to fobs, and information on opening and closing times.

For inspections conducted remotely, all interviews and meetings will be scheduled to take place using video or telephone conferencing.

### **6.5. IT access to case files**

All inspection staff need access to, and a briefing on, the local YOT case management system. The lead inspector arranges for IT access during the planning meetings with the YOT.

Inspectors should be provided with any additional paper documents or access to local folders if relevant information is stored separately.

For organisations subject to a joint inspection, the partnership inspectorates need access to their relevant case recording systems for fieldwork week two.

For inspections conducted remotely, we expect the YOT to arrange remote access to case management systems for the inspection team. If the YOT cannot arrange this, it will need to arrange for laptops to be couriered to the inspection team, so that case records can be accessed. More

### **6.6. Case manager interviews**

As part of our assessment of a case, an inspector interviews the case manager for that case. This interview provides an opportunity for the case under inspection to be discussed in more detail, and to gather evidence for domain two, domain three or resettlement. Inspectors provide an introduction and overview to the case manager to help them understand the process of the inspection. The interview includes constructive feedback to the case manager, delivered in a productive and sensitive manner to encourage reflective

discussions. The detail of the interview will not be discussed with line managers, unless there are serious concerns about the case (prompting an 'alert' to be raised – see below).

Where the case manager is not available, we ask that another suitable person with a sufficient understanding of the case attends the interview. That would normally be the line manager or supervisor of the case manager, although in some circumstances another colleague with knowledge of the case may be suitable. The inspector will contact that person prior to the interview to check how much they know about the case. If they have little knowledge of the case, a telephone call during the scheduled interview slot may be arranged as an alternative, to avoid unnecessary travel. If no alternative is available, the case is assessed based on the written material alone (as a file read).

We sometimes get asked if the second person can attend the interview with the current case manager. Our preference is to interview the current case manager alone, with the following exceptions:

- where a recent change of case manager means the previous one can add something useful to the assessment of the case
- where a second person has played a key role in delivery of an intervention
- where the responsible officer is very new to the role and needs support from a colleague.

## **6.7. Alert process**

### **Individual alerts**

We have a responsibility to act on our concerns if we identify a significant actual or potential risk of harm to other people, or to the individual concerned, or where there is organisational practice that requires immediate attention. The following procedures provide all inspection staff with an effective and consistent mechanism for tackling serious situations that require immediate attention.

An alert encompasses practice, or practice omissions, that require immediate remedial action to be taken (usually by the organisation responsible for the case) to reduce or contain an identifiable, significant and imminent risk.

Inspection staff should ask themselves:

- what might happen if no action is taken?
- how serious is the risk?
- when might it happen (that is, how imminent is it)?

If we are concerned that there is danger to life and limb, or an incident from which recovery will be difficult or impossible, or that an offence has taken place or is taking place (for example, fraud), then we need to act.

Through the individual alert process we are seeking assurance, confirmed by evidence, that actions have been taken. We do not manage the risk directly. Any incidents recorded via the individual alert system may inform the inspection findings or recommendations. For inspections during periods impacted by Covid-19, our individual and organisational alert procedures can be invoked regardless of the timeframe in which the criteria for these are met.

## **Organisational alerts**

The organisational alert procedure provides all inspection staff with an effective and consistent mechanism for tackling situations of identifiable, systemic, significant and imminent risk which require immediate attention. Organisational alerts are not designed to address general poor practice, even if this is on a large scale.

The purpose of the organisational alert procedure is to assist inspected bodies to address issues of identifiable, systemic, significant and imminent risk where this has not otherwise been done. The fact that an organisational alert has been raised will be described in the published inspection report.

## **6.8. Meeting format and content**

Meetings with groups of staff should ideally consist of six to 10 people; in larger groups, some participants could be overlooked, while smaller ones might not generate sufficient diversity of views. Staff should be of the same grade (or doing the same role), and should not be included in groups with their line managers or senior managers. If attendees are not of the expected role or grade, inspectors may advise them that their attendance is not required. Certain meetings might require consistency of factors such as gender, age and ethnicity of attendees.

Meetings with groups normally last between 45 and 90 minutes. The meeting should take place in a space that is private, not subject to interruptions and with sufficient comfortable seating. The inspected organisation is responsible for identifying the best location for meetings to take place, ensuring there is a good representation.

For meetings conducted by video or telephone conference, the inspection schedule contains instructions for participants about how to join the meeting. To enable participants to play a full part in the meeting, the numbers of participants joining a remote meeting should be a maximum of six.

### **Meeting content**

Inspection against standards requires inspectors to be disciplined and focused. In line with our inspection methodology, inspectors scrutinise a range of information from the evidence in advance provided by the YOT. They then use meetings during the fieldwork to triangulate this evidence or fill any gaps. Fieldwork does not have a zero starting point, so the focus of different meetings during fieldwork may vary. Individual meetings are tailored to gather any outstanding evidence against our standards in that inspection.

Our standards are comprehensive in covering the breadth and depth of a YOT's work. The task inspector's task is to gather sufficient and proportionate evidence across all standards in order to cover every inspection question, so they can make valid and reliable judgements about the inspection standards using this evidence. To achieve this, inspectors manage and direct meetings tightly in order to get the specific information that they need. To help focus contributions, inspectors will be clear about how much time is provided or remains for the meeting. The specific information sought by inspectors in any meeting may not always be the same as the information that the YOT wants to give or thinks should be provided.

## **6.9. Closing the inspection fieldwork**

The fieldwork phase on single inspections normally ends on Friday at 1pm. For joint inspections, the second week of fieldwork concludes on Thursday evening.

On the final day of the inspection, the lead inspector:

- ensures all fobs/security passes have been returned
- explains the process for confirming ratings for standards and the overall rating for the organisation
- has a final conversation with the head of service about how the inspection fieldwork has gone
- arranges for a telephone call after the ratings panel to confirm the ratings
- outlines the process for report writing and submission of the draft report
- discusses the process if there are factual inaccuracies in the draft report
- explains the process for challenging ratings
- highlights key dates and the next steps for improvement plans and final report publication
- explains that the head of inspection programme will contact the link manager or Chief Executive after publication of the report for their general feedback about the conduct of the inspection.

### **Early feedback to the YOT**

At the end of fieldwork, the lead inspector may give some feedback about the anticipated findings for domains two and three, and may indicate any broad strengths or areas for improvement in domain one and resettlement. However, any such feedback is entirely provisional and is subject to change by the ratings panel. In some circumstances, the nature of the evidence gathered may preclude early feedback.

There is an opportunity for discussion of all ratings after the Inspectorate's ratings panel has met and the ratings panel report has been agreed and shared with the inspected service, which normally takes place five days after the end of fieldwork.

## **6.10. Quality assurance**

HM Inspectorate of Probation undertakes a range of quality assurance activity, both on site during inspection fieldwork and remotely. The lead inspector informs the link manager of any planned quality assurance activity.

Our approach to quality assurance is designed to validate the quality of the judgments we are making across all our inspection domains and identify areas for improvement in the inspection methodology. The objective is to ensure that inspection practice, judgements and reports:

- are of consistently high standard
- maintain our reputation for high-quality inspection and provide assurance to stakeholders that the judgements we make are sound and backed-up by the available evidence
- evolve to reflect feedback and learning on what is working and what needs to be clarified or changed
- support inspectors to understand where their inspection skills require development
- identify improvement opportunities in our processes/systems and training.

Feedback from assurance activity informs our approach to identifying priorities for individual and group development, as well as improving our methodology by identifying where additional guidance and clarity may be required.

### **Quality assurance strategy**

The HM Inspectorate of Probation quality assurance strategy is designed to be manageable and proportionate to the risk. Our approach assures the following:

- domain one judgements made by the lead and deputy lead inspectors
- the judgements our inspectors make in probation domain two cases and youth domain two, domain three and resettlement cases – including how we assess the information contained in case management and assessment systems, the conduct and approach taken in responsible officer/case manager interviews and how this informs the judgements that we capture in our inspection tools
- leadership and conduct of an inspection by the lead inspector and deputy lead inspector
- the quality of meetings held on inspection, including conduct of the inspector facilitating the meeting and recording and analysis of the evidence captured
- the ratings panel submission, the decision-making at the ratings panel and the accuracy of the published inspection reports
- the clarity of our reports and the underpinning evidence which supports the findings we make on inspections.

The principles underpinning this approach are as follows:

- quality assurance should be consistent, thorough, proportionate and fair
- the frequency of quality assurance activity should be transparent
- assurance activity is particularly focused on the early stages of an inspector's career with us, when it is particularly important to determine whether individuals have achieved competence in inspection practice. We also assure the quality of work completed after the initial induction period to ensure that quality is maintained
- we are clear who is accountable for quality at different stages of the inspection process
- we balance the need for on-site and off-site quality assurance
- we assure all inspection domains
- assurance is the role of everyone in the organisation; we do not rely on a single assurance lead role to undertake all assurance activity.

### **Roles and responsibilities**

The following individuals within HM Inspectorate of Probation have key responsibilities to implement the strategy:

- the Chief Inspector sets the overall strategy for quality assurance
- responsibility for the effectiveness and implementation of the quality assurance approach sits with the director of operations

- the head of inspection methodology and assurance is responsible for overseeing the work of the quality leads and applying the results of quality assurance activity to the continual development of methodology and guidance
- the head of training will ensure a linkage between quality assurance and training to improve inspectors' performance
- the lead inspector is responsible for the quality of the inspections that they lead and the timely submission of information. By exception, they will provide feedback on the quality and contribution of inspection team members where they consider there may be an issue. They will provide feedback on the quality of the operations support to the inspection
- the head of communications is responsible for the quality of the proofreading processes undertaken either by contract editors or internally
- the senior officer in the data and IT team is responsible for providing management information on the pattern of inspection scoring of individual staff
- the heads of inspection programmes periodically observe case interviews and conduct of meetings during inspection fieldwork, contribute to quality assurance of domain one evidence, and liaise with the head of inspection methodology and assurance if any bespoke quality assurance is needed during individual inspections
- quality leads support the early learning of new inspection staff, deliver a programme of quality assurance activity in respect of domain two and domain three cases in youth and adult inspection programmes, including observation of some case inspection interviews, and conduct bespoke quality assurance on individual inspections when required.

### **Inspection assurance framework**

We take a proportionate approach to the quality assurance of inspection activity. The assurance framework will be common to both probation and youth inspections and cover the following:

- all inspectors need to demonstrate competence in case inspection before they are actively deployed on inspection fieldwork
- every inspector is observed undertaking case inspection interviews at least twice in the first six months after they join
- every inspector is subject to quality assurance of domain two and domain three case inspections relevant to their sector, and an annual on-site quality assurance observation
- every assistant inspector receives routine and proportionate quality assurance of all types of domain two and domain three cases
- every assistant inspector is observed undertaking case inspection interviews at least twice on each inspection programme in a 12-month period
- there is periodic quality assurance of domain one activity, including conduct and recording of meetings, and ratings panel and report-writing processes.

All quality assurance activity is recorded, with feedback given to the individual staff member and their line manager. We assess the degree to which quality is maintained and action will be undertaken to address identified weaknesses in the judgements being made, including feedback to the individual inspector and additional development activity as appropriate. If

weaknesses persist over a number of inspections, this would be managed through our performance management process.

## 7. Phase III: Post-fieldwork

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### 7.1. Ratings explained

#### Domain one ratings

Domain one ratings are proposed by the lead inspector in each case. The rating characteristics provide a framework for the lead inspector's recommendation; we do not expect every characteristic to be present for the corresponding rating to be given.

Domain one ratings for each inspection are not led by our findings in individual cases, although we always check the correlation between domains and the need for further analysis. Instead, the evidence we need for domain one ratings comes primarily from data, documents and evidence submitted by the YOT, and through interviews with leaders, managers and staff, surveys of staff and volunteers, feedback from children and other relevant stakeholders.

The characteristics are closely aligned to the key questions and prompts in the standards framework.

The characteristics for 'Outstanding' capture whether the organisation is:

- innovative and creative
- forward-looking and proactive
- open and transparent
- supportive, empowering and inclusive
- agile and responsive
- collaborative and outward-looking.

The characteristics for 'Inadequate' capture whether the organisation is:

- solely reactive
- defensive and blaming
- characterised by division and conflict
- unresponsive
- inward-looking.

More detail about domain one ratings can be found in the youth domain one ratings characteristics guide, available on our website:

<https://www.justiceinspectorates.gov.uk/hmiprobation/about-our-work/documentation-area/youth-offending-services-inspection/>

#### Domain two ratings

Domain two ratings are derived from assessment of casework. We inspect a sample of court disposal cases under domain two. We inspect against the following four standards: assessment, planning, implementation and delivery, and reviewing. For each of these standards, inspectors answer a number of key questions about different aspects of quality, including: whether there was sufficient analysis of the factors related to offending; the extent to which children were involved in assessment and planning; and whether enough



was done to assess and manage the safety and wellbeing of the child, and any risk of harm posed to others.

For each standard, the rating is aligned to the lowest banding at the key question level, recognising that each key question is an integral part of the standard.

Lowest banding (key question level)	Rating (standard)
Minority: <50%	Inadequate
Too few: 50-64%	Requires improvement
Reasonable majority: 65-79%	Good
Large majority: 80%+	Outstanding

In this example, based on an analysis of 23 cases, the score for one of the key questions under the assessment standard, falls into the 'Outstanding' band, and for another in the 'Good' band; but as the score for the final key question is in the 'Requires improvement' band (61 per cent of cases inspected rated as satisfactory), the overall standard is rated as 'Requires improvement'.

### Assessment

#### Requires Improvement

A 1 S	Does assessment sufficiently analyse how to support the child's desistance?	#	%
	Yes	20	87%
	No	3	13%

A 2 S	Does assessment sufficiently analyse how to keep the child safe?	#	%
	Yes	15	65%
	No	8	35%

A 3 S	Does assessment analyse how to keep other people safe?	#	%
	Yes	14	61%
	No	9	39%

### Domain three ratings

Three of the domain three standards are rated based on the results of the inspection of individual cases, as illustrated above for domain two. Ratings are decided at the standard level, and are based on the consolidated results (at key question level) of all cases inspected in the relevant domain. The data and information team collate the completed forms from the inspection team and provide an analysis of the findings to the lead and deputy, copied to the head of inspection programme.

The fourth standard (3.4) looks at out-of-court policy and provision. This standard is qualitative and, as such, the starting point is in qualitative sources of evidence. The inspector assesses the qualitative evidence and then triangulates their findings against quantitative case inspection data from standards 3.1, 3.2 and 3.3. Using all the relevant sources of qualitative evidence and quantitative data, the lead inspector forms a

recommended rating for standard 3.4 to take to the ratings panel. Rating characteristics provide a framework for the lead inspector's recommendation.

We no longer use case sub-samples for any of the key questions in domains two and three. This is because we recognise that, for example, low risk of serious harm does not equate to no risk of any harm. In some cases, little or no work needs to be delivered to address factors related to risk of harm, and that can be recognised by a positive judgement at the key question level.

### **Resettlement rating**

The resettlement standard is predominantly qualitative, so again the starting point is in the qualitative sources of evidence. Case inspections examine resettlement cases and gather data to allow the lead inspector to triangulate their qualitative findings against quantitative data. Using all the relevant sources of qualitative evidence and quantitative data, the lead inspector forms a recommended rating at standard level to take to the ratings panel. Rating characteristics provide a framework for the lead inspector's recommendation.

The resettlement rating will be applied to YOTs with one or more resettlement cases in the relevant period. The rating for the resettlement standard sits outside of the core standards framework and does not form part of the YOT's overall composite score. However, we apply a limiting judgement. Any YOT that receives an 'Inadequate' rating for the resettlement standard is unable to receive an overall 'Outstanding' rating, regardless of how they are rated against the core standards.

Where there are no resettlement cases to inspect in the relevant period, the arrangements for resettlement are covered under the existing domain one standards. We still assess the readiness, capacity and capability to deliver effective resettlement services and, where appropriate, include commentary within the inspection report as part of domain one. But we do not specifically pull these out of the overall findings and do not rate these YOTs against the resettlement standard.

### **Use of professional discretion**

An element of professional discretion may be applied to the standards ratings in domains two and three. Exceptionally, the ratings panel will consider whether professional discretion should be exercised in relation to a rating for a domain two or three standard where the lowest percentage at the key question level is close to the rating boundary, for example, between 'Requires improvement' and 'Good' (specifically, within five percentage points of the boundary or where a differing judgement in one case would result in a change in rating), or where there are fewer than five cases in the relevant sample. The panel will consider the sizes of any sub-samples used and the percentages for the other key questions within that standard, such as whether they fall within different bandings and the level of divergence, to make this decision. See Section 4.1 for more information about confidence levels.

In the example below, the provisional rating at the standard level would be 'Requires improvement', as the lowest score at the key question level is 63 per cent. The upper boundary of the 'Requires improvement' band is 64 per cent, so the ratings panel considers whether other inspection data would support increasing the rating at standard level to 'Good'. Here, the panel would take into account the scores for the other key questions under this standard, and other evidence from inspected cases, to decide whether or not the provisional rating should be varied.

## Planning

### Requires Improvement

P 1 S	Does planning focus sufficiently on supporting the child's desistance?	#	%
	<i>Note: question not applicable for all cases</i>		
	Yes	18	78%
	No	5	22%

P 2 S	Does planning focus sufficiently on keeping the child safe?	#	%
	<i>Note: question not applicable for all cases</i>		
	Yes	12	63%
	No	7	37%

P 3 S	Does planning focus sufficiently on keeping people safe?	#	%
	<i>Note: question not applicable for all cases</i>		
	Yes	13	72%
	No	5	28%

## Overall YOT rating

Straightforward scoring rules are used to generate the overall YOT rating. Each of the 12 core standards is scored on a 0–3 scale in which 'Inadequate' = 0; 'Requires improvement' = 1; 'Good' = 2; and 'Outstanding' = 3. The rating for the resettlement standard is not included in this calculation. Adding the scores for the core standards produces a total score ranging from 0-36, which is banded to produce the overall rating, as follows:

- 0-6 = Inadequate
- 7-18 = Requires improvement
- 19-30 = Good
- 31-36 = Outstanding.

As explained above, there is one limiting judgement. Any YOT that receives an 'Inadequate' rating for the resettlement standard is unable to receive an overall 'Outstanding' rating, regardless of how they are rated against the core standards.

## 7.2. Ratings panel meeting

The ratings panel normally takes place on the Thursday of the week following completion of the fieldwork. The panel normally consists of the director of operations (who chairs and records the decision of the panel), the lead inspector and head of youth inspection programme. The Chief Inspector and deputy lead inspector may attend, if available; the head of standards and head of inspection methodology and assurance attend some ratings panels. If available, the assistant inspectors who completed the case assessments may also attend.

The lead inspector presents the proposed ratings to the panel in a structured way, and in line with the following principles and processes:

- the panel checks that the proposed ratings for domain one, and the quantitative standards in domains three and resettlement, are evidence-based and balanced, and in line with published rules and guidance
- the panel considers the validity, source and weighting of the evidence for domain one and determines whether the rating proposed by the lead inspector is appropriate
- the panel ensures linkages are made between domain one standards (particularly leadership) and ratings for domain two, domain three and resettlement
- the panel considers any impact of Covid-19 on the case inspection scores, and whether professional discretion should be exercised in relation to any of the domain two or three ratings. The panel only revises the domain two or domain three scores at the key question level if they believe that to do otherwise would not be a true reflection of how the inspected organisation is performing
- the panel makes sure that ratings are consistently applied across inspections
- the panel provides a level of protection and challenge for the lead inspector
- the panel focuses only on ratings and key findings and does not quality assure other aspects of the inspection.

### **Use of professional discretion**

The ratings panel must consider whether professional discretion should be exercised in relation to a rating for a domain two or three standard in all cases when the lowest percentage at the key question level:

- is within five percentage points (and thus the margin of error) of the rating boundary, and/or
- would fall into a different rating boundary from a change in judgement in one case, and/or
- is based upon a sample or sub-sample of five cases or fewer.

When considering whether to exercise professional discretion, the panel must consider:

- the percentages for all the key questions within the standard, noting their bandings, whether within five percentage points of the rating boundaries, and the levels of divergence
- the sizes of all the samples and sub-samples used, and
- supporting qualitative evidence relating to the specific standard.

Following the ratings panel, the Chair of the panel completes the ratings panel summary. During the week following the ratings panel the administrator sends the inspected organisation a copy of the summary of the ratings panel meeting, which includes the agreed ratings.

### **7.3. Challenging ratings and making complaints**

We are committed to ensuring our processes are transparent and fair, and of a professional standard. This includes handling complaints proficiently in an open and rigorous way, investigating the matters raised thoroughly and replying as quickly as possible to any concerns raised with us.

Organisations can make a complaint if they are dissatisfied with the way in which we carry out, or fail to carry out, our business. This includes the quality of our work or the way we work, including the conduct of the organisation or individual members of staff. It can also include issues with our inspection judgements. Our complaints policy can be found on our website: [www.justiceinspectors.gov.uk/hmiprobation/about-hmi-probation/complaints/](http://www.justiceinspectors.gov.uk/hmiprobation/about-hmi-probation/complaints/)

While our formal complaints policy covers any issues organisations may have with the findings of our inspections, the expectation is that these are dealt with informally, negating the need to invoke the formal complaints policy.

There is, therefore, an opportunity to raise such issues at the factual accuracy check. Providers are discouraged from raising such issues prior to this, for example when they receive the initial ratings panel summary, as they will not be in possession of the more detailed evidence-base that supports the inspection ratings. The director of operations is the final decision-maker on any matters of factual accuracy and/or challenge to inspection ratings.

We aim to address any concerns or dissatisfaction as early as possible, preferably before they are escalated to formal complaint. If an organisation is not satisfied with the response from the director of operations concerning a challenge to ratings, they can invoke the formal complaints procedure. That will need to be supported with new evidence. We will not reconsider on the basis that our judgements are disappointing to the organisation.

## 7.4. Report writing

As the public product from the inspection, it is important that the report is well presented, credible and accessible to the lay reader. Equally, to drive improvement in practice, the report needs to present the information required by the technical audience.

The lead inspector completes the first draft of the report, including presenting their recommended judgements to the ratings panel in the first week after the fieldwork is completed. The following processes are carried out to finalise the report:

- initial editing by an external contractor
- structure, accuracy and quality check by the head of youth inspection programme
- review by director of operations
- factual accuracy check by the YOT
- statistics checking by data and information team
- final proofreading
- final review by the lead and head of youth inspection programme
- report design by communications team
- report signed off by the Chief Inspector or director of operations.

### **Final review and sign off by HM Inspectorate of Probation**

The YOT normally receives a copy of the draft report on Monday morning of week +6 with a deadline to return any comments to the head of youth inspection programme and lead inspector in 10 working days. The head of youth inspection programme and lead inspector consider the comments from the YOT and provide a response.

## **7.5. Report publication**

The report will usually be published during week +12 in England, and week +15 in Wales. Changes to this publication date may be made in advance. The lead inspector will discuss any changes in the anticipated publication date with the inspected organisation.

The communications team submit the final report and press release to the Secretary of State around five working days before publication; the team then send an embargoed copy of the report and any press release to the inspected organisation.

## **7.6. Action plans**

The YOT draws up an action plan to address the report's recommendations. The lead inspector considers the action plan, working with the head of the youth inspection programme. The lead inspector then sends an acknowledgement letter, noting acceptance of the plan or identifying amendments if required.

The action plan is followed up during the next inspection, when progress is reviewed.