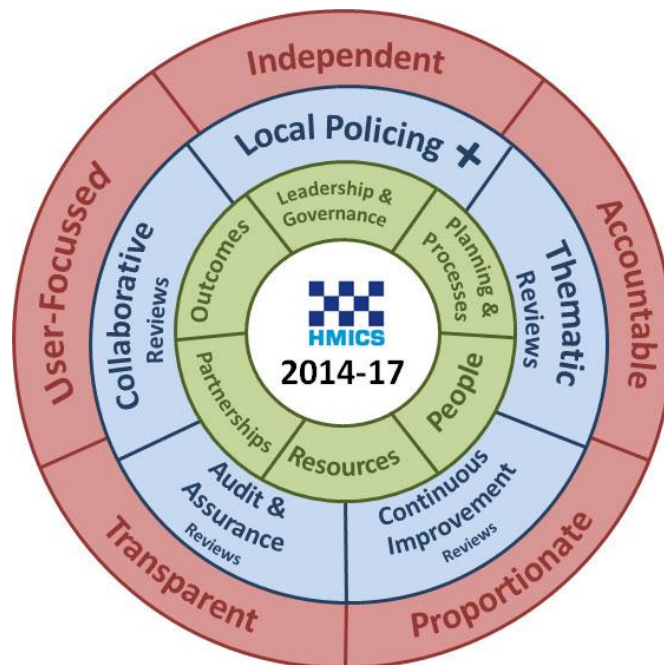




# HM Inspectorate of Constabulary in Scotland

## Inspection Framework

Version 1.0 (September 2014)



# Improving Policing across Scotland

## Introduction

I am pleased to introduce the new HMICS Inspection Framework. Our approach is risk-based, proportionate and focusses on improving policing in Scotland. Our approach outlined in this framework will help lead and associate inspectors develop a common approach to considering the key themes for each inspection. While each inspection will vary in subject matter and scope, this framework provides a structure within which we can ensure a consistent and professional approach to our work and will help inspected bodies, stakeholders and the public to know what to expect from HMICS.

The HMICS Inspection Framework forms the basis of any inspection and, for each inspection, the key areas of the framework will be considered and applied. There is scope for flexibility however, if a key area of the framework does not align to the inspection objectives. The framework itself can be used in its entirety, or selected and adapted so that the key themes and sub-elements reflect the purpose of the inspection to be undertaken

This Framework is based on the Public Service Improvement Framework (PSIF), the European Foundation for Quality Management (EFQM) Excellence Model and Best Value Characteristics. These self-evaluation models are used in many public sector settings. These models have been simplified and altered to provide an inspection framework model to assist in the inspection of elements of policing or the Scottish Police Authority (SPA). It should also assist with identifying areas of good or poor performance and in establishing priorities for improvement.

This framework will continue to be reviewed and updated in light of our experience of inspection and what works, as well as changes in the wider context of inspection and self-assessment.

Derek Penman QPM  
HM Inspector of Constabulary in Scotland

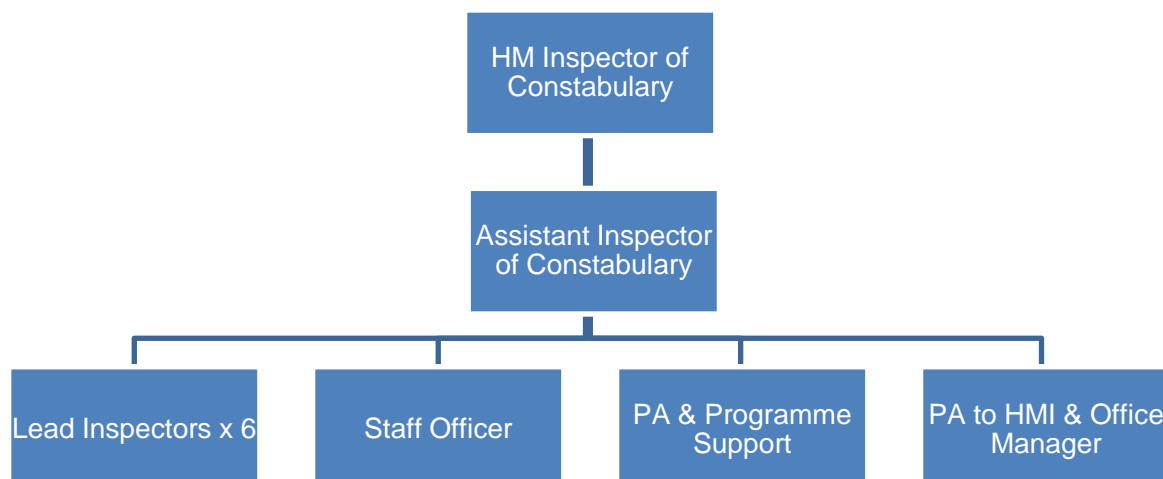
September 2014

## What we do

1. We operate independently of the Police Service of Scotland, the Scottish Police Authority (SPA) and the Scottish Government. Our role is to inspect the state, efficiency and effectiveness of policing and to report to the Scottish Parliament and Scottish Ministers. We also have a statutory duty to ensure that the Chief Constable and the Authority meet their obligations in terms of best value and continuous improvement. Our role is primarily set out in the Police and Fire Reform (Scotland) Act 2012.
2. Our approach will be to support Police Scotland and the Authority to deliver services that are high quality, continually improving, effective and responsive to local needs. As a values-led organisation, we will conduct our business in a way that is independent, accountable, proportionate and transparent. We will also remain focussed on the needs of users.
3. The 2012 Act states that HMICS has the power to do anything we consider necessary or expedient for the purpose of carrying out our functions, while the Chief Constable and the SPA must provide us with such assistance and cooperation as we may require. If necessary, we can be directed by Scottish Ministers to look into anything relating to the Authority or Police Scotland as they consider appropriate. We also have an established role in providing professional advice and guidance on policing in Scotland.
4. Section 85 of the 2012 Act requires HMICS, the Auditor General and the Police Investigations and Review Commissioner to cooperate and coordinate our activities and, in particular, to exchange information about the Police Service and the SPA and avoid unnecessary duplication in our work.
5. HMICS has a duty to continuously improve the involvement of service users in the exercise of our scrutiny functions, and to demonstrate that improvement as outlined under section 112 of the Public Services Reform (Scotland) Act 2010.
6. When we publish a report, we will lay it before the Scottish Parliament. The Authority and the Chief Constable must consider what we have found and take such measures as they think fit. Where we make recommendations, we will follow them up and report publicly on progress.

## Who we are

7. As a small organisation, we have a relatively flat organisational structure, as shown below. Lead inspectors are responsible for planning, managing and delivering thematic inspections with input and support from other members of staff.



8. HMICS also has a number of associate inspectors. Their broad range of skills and diverse areas of expertise can be drawn on to assist with specific inspections or other areas of work.

### Principles of inspection

9. Various attempts have been made to articulate guiding principles for inspection. For example, the Crerar Review stated that the five principles for external scrutiny should be public focus, independence, proportionality, transparency and accountability.<sup>1</sup> Criminal justice inspectorates operating in England and Wales have adopted 10 principles of inspection based on Cabinet Office guidance:
- (i) *The purpose of improvement.* There should be an explicit concern on the part of inspectors to contribute to the improvement of the service being inspected. This should guide the focus, method, reporting and follow-up of inspection. In framing recommendations, an inspector should recognise good performance and address any failure appropriately. Inspection should aim to generate data and intelligence that enable services more quickly to calibrate the progress of reform and make appropriate adjustments.
  - (ii) *A focus on outcomes.* Considering service delivery to the end users of the services rather than concentrating on internal management arrangements.
  - (iii) *A user perspective.* Inspection should be delivered with a clear focus on the experience of those for whom the service is provided, as well as on internal management arrangements. Inspection should encourage innovation and diversity and not be solely compliance-based.
  - (iv) *Proportionate to risk.* Over time, inspectors should modify the extent of future inspection according to the quality of performance by the service provider. For example, good performers should undergo less inspection, so that resources are concentrated on areas of greatest risk.
  - (v) Inspectors should encourage rigorous *self-assessment* by managers. Inspectors should challenge the outcome of managers' self-assessments, take

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<sup>1</sup> Professor Lorne Crerar, The Crerar Review: The report of the independent review of regulation, audit, inspection and complaints handling of public services in Scotland (2007).

- them into account in the inspection process, and provide a comparative benchmark.
- (vi) Inspectors should use *impartial evidence*. Evidence, whether quantitative or qualitative, should be validated and credible.
  - (vii) Inspectors should *disclose the criteria* they use to form judgements.
  - (viii) Inspectors should be *open about their processes*, willing to take any complaints seriously, and able to demonstrate a robust quality assurance process.
  - (ix) Inspectors should have regard to *value for money*, their own included.
  - (x) Inspectors should *continually learn from experience*, in order to become increasingly effective. This can be done by assessing their own impact on the service provider's ability to improve and by sharing best practice with other inspectors.

10. At HMICS we bear all of these principles in mind when planning and carrying out an inspection.

### Public sector reform

11. We also consider the broader context of public service reform. In response to a report by the Christie Commission, the Scottish Government has set out its approach to the future delivery of public services in Scotland based on four key pillars:

- **Prevention** – reducing future demand by preventing problems arising or dealing with them early on.
- **Performance** – a sharp focus on improving performance through greater transparency, innovation and use of digital technology.
- **People** – greater investment in people who deliver services through enhanced workforce development and effective leadership.
- **Partnership** – developing local partnership and collaboration and bringing public, third and private sector partners together with communities to deliver shared outcomes.<sup>2</sup>

## 2. Inspection process

12. In identifying areas for inspection we use a variety of methods and sources of information including; areas of public interest, the strategic risk assessment, national and corporate strategies and plans, alignment with HMICS strategic priorities and corporate plan, areas of high risk, areas identified through our scrutiny risk log, issues that impact on human rights or equalities, capacity and resources to undertake the inspection. We also consider whether there is existing evidence, evidence gaps and if we will add value by inspecting a particular area or theme.

13. A consultation exercise is undertaken each year with external stakeholders to enable them to contribute to our forward work plan and suggest areas for inspection. Lead inspectors can also submit proposals for inspection topics based on their work in the field.

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<sup>2</sup> Scottish Government, Renewing Scotland's public services: priorities for reform in response to the Christie Commission (September 2011) and Dr Campbell Christie, Commission on the future delivery of public services (June 2011).

14. To ensure we limit our scrutiny footprint HMICS liaises with all other scrutiny partners and coordinates our work plan through the nationally established Strategic Scrutiny Group chaired by Audit Scotland.
15. The process for conducting inspections includes five phases. Although inspections by their nature will vary, the process is used to assist inspectors to plan, manage and deliver inspections.

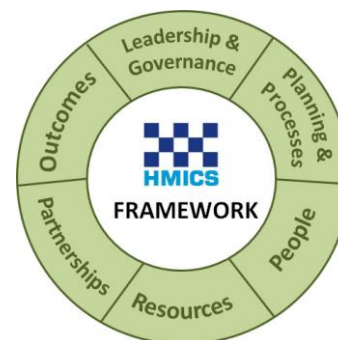


16. HMICS use a range of evidence sources to develop a holistic view of the organisation or service area under inspection. We aim to gather evidence that is sufficient, relevant and reliable and provides a solid basis on which judgements can be formed. Evidence will be gathered from a number of different sources using a variety of methods including qualitative and quantitative techniques. Inspection tools will be applied consistently by all involved in the inspection. The reliability and validity of the evidence will also be assessed. The evidence collection methods will be robust and the analysis methods sound and transparent.
17. Each inspection is also reviewed to obtain feedback and learn lessons for future inspections. A lessons learned and debrief report is produced and findings disseminated to ensure learning is distributed across the organisation. Key documents, templates and processes are also amended as a result of this activity.

### The HMICS Inspection Framework

18. There are six overarching themes which link to statements that will be used to assess the organisation or service area we inspect. The overarching themes are;

- **Outcomes**
- **Leadership and Governance**
- **Planning and Process**
- **People**
- **Resources**
- **Partnerships**



### Outcomes

19. This theme focuses on the overall performance of the organisation or service in relation to its key purposes. This area looks at successes in delivering demonstrable, high-quality and improved outcomes for the users of its services, the communities served and the public in general. It will also look at how an organisation/service area's strategic priorities, aims and targets have been achieved, including those locally, regionally or nationally determined within its own context. Finally, organisations or services fulfilment

of their statutory duties and following appropriate codes of practice will be assessed. Evidence of demonstrable outcomes would include trends over time, target measures and other aggregated data which provides indications of the success of a service or organisation in maintaining or improving the quality of the service it provides both overall and benchmarked with similar services/organisations.

### **Leadership and Governance**

20. This area looks at an organisation's vision and aims and the communication and delivery of its aspirations by means of strategic planning with its partners. This area considers the quality of leadership and direction at a strategic level, but also at other levels, for example within teams and organisational units or for specific projects. Strengths and areas for development in leadership will reflect the extent to which leaders make a difference to the quality of outcomes achieved by the organisation as a whole and by the impact on service users and other stakeholders. This area looks at the how an organisation secures improvement in its services, through consultation with partners and through development and innovation.
21. As well as the leadership of the organisation this area also looks at the governance, accountability and scrutiny arrangements. This area considers the evidence base used to reach policy decisions and the level of scrutiny that decisions are subject to prior to adoption, as well as how these decisions are then reviewed to check the anticipated outcomes have been achieved.

### **Planning and Process**

22. This area looks at how strategies, plans and policies are formed and the context in which they are created and the effectiveness of planning and processes. This includes whether the service has established a comprehensive planning process that is inclusive, focused on service user needs, challenged and measurable. Service planning will challenge services to explain how they identify outcomes and improvements and how they plan for the future, using management information.
23. As well as strategies, plans and policies, this section also focuses on the work of the organisation or service in relation to its key functions, in particular the delivery and development of the services it provides, by itself or in partnership with others. Other aspects will be looked at such as at how well the organisation or service areas manage service user needs and expectations and to consider how service user insight is used to develop, review, refine and improve processes. This area also looks at how organisations learn from best practice to review and improve service delivery.

### **People**

24. This areas looks at the people within the organisation, the staff, their motivation, satisfaction and contribution to the development of the organisation or service area as well as how employees are managed, developed, and empowered. Furthermore this area considers, how well the internal communication processes work and whether people feel rewarded and recognised for their efforts. All employees should be included when considering staff including front line officers or staff, back office or support staff and all other roles in the organisational structure such as special constables.

## Resources

25. This area looks at whether the organisation or service areas manage resources in the most efficient, effective and sustainable way, including financial and information resources and assets and whether this supports its key activities and outcomes. This area also considers the protection and security of resources and considers the role of information technology. A key element of resourcing is the consideration of best value which is also encompassed within this theme.

## Partnerships

26. This area looks at how well partners work together to support the delivery of outcomes as well as the approach to managing partnerships. Key elements include developing an agreed vision and objectives and aligning information, assets and resources in partnership to achieve shared outcomes. This area also considers collaborative working, looking at whether shared resources are used as efficiently as possible to deliver shared outcomes. It is also about how well partners jointly plan and cooperate in delivering integrated working and how the partnership ethos has developed a positive culture of involvement and working together. The development of relationships in an equitable and mutually respectful manner and reaching consensus on priorities and how to effectively deliver the best outcomes.

## Continuous Improvement

27. The framework is underpinned by continuous improvement. The organisation/service area's capacity for improvement is an important consideration in all of our inspection work. The organisation's focus on improvement and its track record in bringing about improvement are particularly important, as is the self-awareness of the organisation, in relation to how this feeds into planned improvements.



## HMICS Inspection Framework Quality Indicators

28. The tables below provide the details of the quality indicators that will be considered for each theme of the inspection framework and for each of the inspections we carry out. The framework of indicators is designed to help evaluate and improve the quality of policing and the governance and scrutiny of policing provided to the public of Scotland. Using these indicators we aim to identify strengths and priorities for improvement that can be built into an improvement plan.

HMICS Framework Overarching Themes
Outcomes
Leadership and Governance
Planning and Process
People
Resources
Partnerships

A. Outcomes	
A1	There are measures in place to monitor the communities, public and service users perceptions and levels of satisfaction.
A2	The way the public use and access services is monitored and this information is used to make improvements.
A3	There are clear measures of efficiency and effectiveness, that link to the stated outcomes, that measure the service the public can expect to receive and wider community impact such as public confidence and ethical standards.
A4	The perceptions and satisfaction levels of the people that work in the organisation or service area are regularly measured and this includes their views of the strategies for people management.
A5	There are clear measures in place, that link to the stated outcomes, that measure the efficiency and effectiveness of the strategies for people management.
A6	Comprehensive and measurable standards are set to measure the efficiency and effectiveness of the organisation/service area or work undertaken in partnership.
A7	Measures collected are compared with relevant benchmarks and trends and used to understand strengths and areas for improvement.
A8	Performance management enables demonstration of best value.

B. Leadership and Governance	
B1	Leaders act as role models, develop and communicate the mission, vision, values and ethics, while demonstrating and maintaining a focus on outcomes.
B2	Leaders promote a culture of efficiency and sustainability and drive and support change and improvement and best value.
B3	Leaders create a positive, supportive and inclusive culture that inspires people, encourages success, ensures equal opportunities and promotes diversity.
B4	Leaders review and improve the effectiveness of their personal performance and behaviours.
B5	Leaders actively build, support and participate in strategic partnerships.
B6	Leaders manage the reputation of the organisation/service area.
B7	There are clear governance and accountability arrangements for the organisation/service area that holds leaders to account for delivering services effectively and efficiently.
B8	Policy and strategy decisions are based on robust evidence and include anticipated impact and this is used to subsequently review the effectiveness of the policy or strategy implementation.
B9	There is effective, objective and transparent scrutiny that allows challenge of policy implementation, decision making and performance that is encouraged by senior staff and actively engages the relevant partners.
B10	Performance and delivery against outcomes is reported to the relevant staff, partners, the public, service users and stakeholders and this is used to facilitate continuous improvement.

**C Planning and Processes**

C1	Outcomes are clearly articulated, reflect key strategies, resources and service user views, and can demonstrate a contribution to national priorities.
C2	There is an organisational structure, strategies, policies and plans in place that support the delivery of the desired outcomes effectively and efficiently.
C3	There are integrated operational, business and financial planning processes and clearly aligned corporate strategies that take account of the corporate aspects of the organisation.
C4	Key processes are identified (including statutory duties), reviewed and improved, taking into account the impact this may have on other areas of the organisation or other organisations, including processes undertaken in partnership.
C5	A culture of learning and improving is promoted by identifying internal and external risk factors and good practice that could impact upon the delivery of outcomes and priorities. Information is shared widely to facilitate improvement.
C6	Change is managed through structured processes to ensure the defined benefits from improvement actions are realised.
C7	Engagement with the public, partners and stakeholders is an integral part of planning and improving services, ensuring services are accessible and that information is available in ways that meet local needs and preferences.
C8	There is an effective complaints procedure, which includes a commitment to investigate and resolve them within a defined time limit. This information is used to improve services.

**D People**

D1	There are appropriate structures and processes in place that support core values and ensure that staff have the skills and competencies required to deliver on the agreed outcomes and priorities.
D2	Staff groups and trade unions are involved in developing and reviewing people policies, strategies and plans.
D3	A culture of equality and fairness, social responsibility and contribution to wider community wellbeing is promoted and encouraged.
D4	Effective communication strategies are in place that meet the needs of staff and keeps them informed and involved.
D5	People understand the outcomes and priorities they are working towards and their contributions are valued and recognised.
D6	People are encouraged to share information, knowledge and good practice and are involved in reviewing and improving the organisation while working together as a team.
D7	Peoples' performance is reviewed and appropriate training and development opportunities provided, including induction processes.
D8	The impact that the investment in training and development has had on performance and service delivery is evaluated.
D9	Staff are empowered and encouraged to be creative and innovative and to act as ambassadors for policing.
D10	A healthy and safe working environment is provided, a work life balance is encouraged and there is a focus on the wellbeing of employees.

**E Resources**

E1	Resources and assets are managed in the most efficient and effective way to secure best value and deliver stated outcomes.
E2	There is a clear financial strategy and financial management and governance processes which include risk assessment and transparent reporting.
E3	Procurement processes ensure that resources are used efficiently and effectively and takes into account environmental sustainability and the use and disposal of resources.
E4	Information is managed appropriately and people have access to the information they require to make decisions and deliver efficient, improving services.
E5	Intelligence and resources are protected and made available securely to appropriate and relevant people and partners.
E6	Technology is used to effectively and efficiently manage resources and assets and support and improve services.

**Partnerships**

F1	There is an agreed vision, purpose and objectives for the partnership that support the delivery of outcomes in an efficient and sustainable way, with demonstrable benefits for communities.
F2	The partnership has assessed and manages risks.
F3	Communities are effectively involved in the partnership process and this is helping to deliver community capacity building and empowerment.
F4	Effective governance arrangements are in place to manage, deliver and review the partnership and progress against shared outcomes and priorities.
F5	Resources are utilised and shared by all partners to deliver services effectively in a way that contributes to the achievement of positive outcomes for the community.
F6	Partners work together to contribute to the measurement of outcomes of partnership activity.

**Assessing the Evidence**

29. In order to assess each of the themes within the framework HMICS will systematically review the evidence available using the matrixes outlined in appendix one. This will provide a structured approach to assess the performance of the organisation or service area. The first matrix will be applied to the themes; Leadership and Governance, Planning and Process, People, Resources and Partnerships. These are viewed as the enablers and cover what an organisation does and how it does it. When assessing the evidence of the enablers three key criteria are considered;

- **Approach** – we will consider whether there is clear rationale and sound planning behind the approach taken and whether the approach supports relevant strategies and is linked and integrated with other relevant approaches.
- **Deployment** - we will consider whether the approaches are implemented in relevant areas in a timely manner and whether the execution is structured and enables flexibility and organisational agility.
- **Assessment and Refinement** – we will also consider whether the effectiveness and efficiency of the approaches and their deployment are appropriately measured. Whether learning and creativity is used to generate opportunities for improvement and whether outputs from measurement and learning are used to evaluate, prioritise and implement improvements and innovations.

30. There is also a further matrix that will be applied to the outcomes theme within the framework. The outcomes can also be thought of as results and cover what an organisation or service area achieves. Outcomes are considered in terms of service users and the public, communities, people and performance. In judging this evidence two key criteria are considered;

- **Relevance and Usability** – we will consider whether a coherent set of results, including key results, are identified that demonstrate the performance of the organisation or service area in terms of its strategy, objectives and the needs and expectations of relevant stakeholders. Whether results are timely, reliable and accurate as well as determining if results are appropriately segmented to provide meaningful insights.
- **Performance** – we will consider trend information and in particular whether trends are positive and demonstrate sustained good performance, whether relevant targets are set and consistently achieved for key results, in line with strategic goals. We will also consider relevant benchmarks and comparators and whether there is confidence that performance levels will be sustained into the future.

## Self Evaluation

31. The HMICS framework can also provide a structure for self-evaluation which can be used in many different ways. The framework is designed to elicit contextual information and provide evidence for arriving at a professional judgement by Inspectors of Constabulary, however wider use by practitioners may aid in the self-evaluation process. The framework is not designed to be a tick box exercise.
32. The nature of self-evaluation can also vary according to the scale and nature of the area that is under review. Demonstrating an understanding of what is being done well, what needs to be improved and how improvement can be monitored, achieved and evaluated is key to self-evaluation. Whatever the precise approach, the key test of the resulting self-evaluation report is its ability to demonstrate how high quality is sustained and improvement is ensured.
33. All levels within an organisation should actively participate in the self-evaluation process to help raise standards and improve the overall effectiveness and efficiency of the provision. Executives, board members and senior management of any organisation should be committed to the aims of self-evaluation and be actively involved with it.

## Appendix 1 – Assessing the Evidence

Matrix 1: Assessment of Enablers

Criteria	Guidance	Leadership and Governance	Planning and Process	People	Resources	Partnerships
Approach	Clear rationale, based on relevant stakeholder needs and are process based					
	Support strategy and are linked to other relevant approaches					
Deployment	Approaches are implemented in relevant areas, in a timely manner					
	The execution is structured and enables flexibility and organisational agility					
Assessment and Refinement	The effectiveness and efficiency of the approaches and their deployment are appropriately measured					
	Learning and creativity is used to generate opportunities for improvement or innovation					
	Outputs from measurement, learning and creativity are used to evaluate, prioritise and implement improvements and innovations					

Matrix 2: Assessment of Results

Criteria	Guidance	Outcomes
Relevance and Usability	A coherent set of results, including key results, are identified that demonstrate the performance of the organisation or service area in terms of its strategy, objectives and the needs and expectations of relevant stakeholders	
	Results are timely, reliable and accurate	
	Results are appropriately segmented to provide meaningful insights	
Performance	Positive trends or sustained good performance over at least 3 years	
	Relevant targets are set and consistently achieved for the key results, in line with the strategic goals	
	Relevant comparisons are made and are favourable for the key results, in line with the strategic goals	
	There is confidence that performance levels will be sustained into the future, based on established cause and effect relationships	