

# Inspection Wales Programme 2015 Stocktake

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Our common vision is that our inspection, audit and regulation work will be a powerful stimulus for the improvement of public services in Wales helped by a clear and effective framework for joint and collaborative working amongst ourselves and with others.



Archwilydd Cyffredinol Cymru  
Auditor General for Wales



The Inspection Wales Programme Manager prepared this Stocktake report on our progress on behalf of the Inspection Wales Programme.

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# Summary report

## Introduction

- 1 The Inspection Wales Programme is a joint programme between the Auditor General for Wales supported by Wales Audit Office staff, the Care and Social Services Inspectorate Wales (CSSIW), Estyn (the Office of Her Majesty's Chief Inspector for Education and Training Inspectorate for Wales), and Healthcare Inspectorate Wales (HIW). The four Heads of Audit and Inspection established the Inspection Wales Programme in 2011 and published a strategic agreement<sup>1</sup> in 2012. Each of the four partners has a distinct remit established in legislation<sup>2</sup>. The aim of the Inspection Wales Programme is to improve co-operation and collaboration between the partners wherever applicable.
- 2 The public services landscape in Wales continues to evolve as devolution matures, and austerity bites. The Welsh Government published a number of key policy documents and the Welsh Assembly passed new legislation in the past 12 months, which will collectively influence our joint work and relationships. These key developments are:
  - Reforming Local Government: Power to Local People, White Paper 2015
  - Well-being of Future Generations (Wales) Act 2015
  - Independent review of Healthcare Inspectorate Wales 2014
  - The Regulation and Inspection of Social Care (Wales) Bill 2015
  - Our Health, Our Health Service Green Paper 2015
- 3 These new developments only strengthen our strategic imperative to work together to make best use of our respective resources. It is timely to review our progress, and examine whether we have achieved what we set out to achieve, and what next.
- 4 We have, in our view, made significant progress with joint working, and always consider working together wherever appropriate. This paper outlines many examples of our joint working. We also recognise that we can do more, and the Inspection Wales Programme is our joint commitment to working together where we can and should do so.
- 5 We will, in future, use our Inspection Wales webpages to communicate our joint working. These blogs<sup>3</sup> provide an accessible, and we hope useful, summary of our ongoing work together. Readers can also follow our collaborative and joint working on Twitter (@InspectionWales) and through the hashtag #jointworking.

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<sup>1</sup> **Working Collaboratively to Support Improvement**, January 2011

<sup>2</sup> **Inspection Wales Remit Paper**, July 2015

<sup>3</sup> [www.inspectionwales.com](http://www.inspectionwales.com)

## From 2012, the Inspection Wales Programme helped partners achieve five common goals

- 6 Our strategic agreement in 2012 established five key priorities or goals for the Inspection Wales Programme. We intended these objectives to build upon our firm foundations and strengthen our collaborative and joint working.
- 7 Exhibit 1 outlines our summary of progress against each objective.

### Exhibit 1

Objective	Achieved?
Joint working supported where necessary by strategic agreements and <a href="#">operational protocols</a> and guidance <sup>4</sup> . A full range published between partners covering all areas of shared interest. Partners extended this approach to other regulators with an interest in Welsh public services.	✓
Planning and programming activities co-ordinated and avoid duplication and ensure that key risks and concerns are being examined. We have not formally published outputs from this work, but by holding regular national, and local meetings across local government, and the Concordat arrangements in health, we ensure that our work is co-ordinated wherever applicable and possible.	✓
Develop approaches to information and knowledge sharing to guide our work programmes, and to actively and promptly share. We have developed a range of guidance to help our staff share information and understand what partners do, and will publish this over the course of 2015.	✓
Bring together knowledge and intelligence, and report this in ways which support service improvement, inform policymaking and national scrutiny, and strengthen public accountability. We do many of these things together, informally, and appropriately report them through individual partner communications, rather than under the Inspection Wales Programme banner. We could, and now plan to, tell the Welsh public and public sector bodies when we do this, and how we do it through our new webpages.	✓
Monitor progress with joint and collaborative working, and report this openly and transparently to key stakeholders. We acknowledge that we have not always transparently reported progress, to date, and this paper will fill this gap. Going forward, the new Inspection Wales web-presence with regular blog posts will help to keep the public informed of Inspection Wales Programme's co-ordination work, and the work partners do together.	✓

Source: Inspection Wales Programme

<sup>4</sup> There are [operational protocols](#), and [bilateral agreements between partners](#), HIW and the Wales Audit Office, CSSIW and Estyn, Estyn and the Wales Audit Office, CSSIW and HIW. These can be found on our partners' websites.

8 We have, in various combinations, worked together to produce reports, for example the reports on Pembrokeshire County Council and Betsi Cadwaladr University Health Board (Case Study 1). These reports had greater impact because we drew on our respective experience and distinctive specialist skills. We have also broadened our joint work on local authority education services (Estyn and Wales Audit Office) by working together to produce reports on the regional education consortia. Our joint CSSIW and Wales Audit Office engagement with, and inspection of, local authority social services functions, for example in Monmouthshire, are another example of us working together.

#### Case Study 1: The Joint Governance Review in Betsi Cadwaladr University Health Board 2013 (and follow-up work)

##### **Background to the review**

The Joint Governance Review<sup>5</sup> was the result of regular discussion and interactions between HIW and Wales Audit Office staff at national and local levels, through sharing our respective findings, experiences and knowledge of the Health Board. Our intelligence<sup>6</sup> and evidence<sup>7</sup> led to escalating concerns about how well the Health Board's governance arrangements were working, and we decided to undertake a joint review. That review was truly joint, with a single team drawn from across both organisations, allocated on the basis of relevant expertise and knowledge of the Health Board. We planned the work together, and took a pragmatic approach to evidence storage and reporting by using a mix of HIW and Wales Audit Office tools, and produced a single, joint report. This report contained a single set of recommendations for the Health Board to take forward.

##### **Impact of working together**

In 2013, we used the Auditor General's powers to lay the report before the National Assembly. The National Assembly's Public Accounts Committee undertook its own investigation and reported with additional recommendations, both for the Health Board and the Welsh Government.

The follow-up work, in 2014<sup>8</sup> and 2015<sup>9</sup>, continues to have a high profile, with media interest and scrutiny. It led to significant changes to the management and strengthened governance of the Health Board, and informed the escalation and intervention protocol with the Welsh Government.

It is clear that by working together, and speaking with one voice, our work has had more impact.

<sup>5</sup> **An Overview of Governance Arrangements**, June 2013

<sup>6</sup> Intelligence, in this context, is based on interactions and experience leading to hypotheses that may not yet have been tested.

<sup>7</sup> Evidence in this context will have been triangulated and tested for robustness, and usually publically reported.

<sup>8</sup> **An Overview of Governance Arrangements: A summary of progress against recommendations made in June 2013**, July 2014

<sup>9</sup> **Letter to Interim Chief Executive**

- 9 Less visibly, we have avoided duplication and overlap in our work programmes, by taking account of partners' work when scoping a review on a subject or organisation, and regularly talking to each other both at a national and local level. A wide range of collaborative activity happens under the Inspection Wales Programme, from sharing intelligence, sharing/discussing planning, providing support and advice (eg as part of an 'advisory' or 'expert' panel), joint reviews, bringing together experiences and knowledge to advise policymakers. Many examples of the types of work we do together are outlined in [Appendix 1](#), but a good example of this is the education consortia reports produced by Estyn and the Auditor General ([Case Study 2](#)).

### Case Study 2: The Wales Audit Office and Estyn working together to review regional education consortia

#### Background to the reviews

In 2011, the Welsh Government determined that unitary authorities in Wales should work together in four regional education consortia to raise school standards and realise efficiencies. In February 2014, the Welsh Government published a National Model for Regional Working which outlined its expectations for how the consortia should work.

The Welsh Government asked Estyn to produce a report for the Minister for Education and Skills on the progress being made by regional education consortia to provide school improvement services.

In light of the potential risks associated with the establishment and operation of these innovative regional consortia arrangements, the Auditor General decided to undertake a study of their governance and financial management arrangements.

#### Impact of working together

Estyn and the Wales Audit Office staff agreed to co-ordinate our evidence gathering and fieldwork to avoid any duplication, and to maximise the efficiency and collective impact of our work. Throughout 2014-2015, teams from Estyn and the Wales Audit Office worked together, sharing evidence and conducting joint interviews with key staff from each consortium and its related local authorities. As a result, the teams gained a rounded picture of the extent of progress being made and provided joint feedback to each consortium.

Our respective reports were complimentary and published simultaneously.

The Auditor General's report also included an appendix setting out the main findings and recommendations from the Estyn report. The Wales Audit Office gave evidence to the National Assembly's Public Accounts Committee, and both Estyn and the Wales Audit Office gave evidence to the Assembly's Children, Young People and Education Committee. The consortia implemented many of the recommendations for improvement quickly.

The Auditor General's report **Achieving improvement in support to schools through regional education consortia – an early view** is available from [www.audit.wales](http://www.audit.wales).

Estyn's report, **Improving schools through regional education consortia** is available from [www.estyn.gov.uk](http://www.estyn.gov.uk).

- 10 It is not surprising that much of the work we have done together is out of public view; we needed to work through our various powers, responsibilities and legislative frameworks to allow us to share intelligence, information<sup>10</sup> and resources. Over the next six months, we are explaining how we do this through our new webpages and blogs. One example of us working together more collaboratively is our collective work in Monmouthshire County Council (Case Study 3).

### Case Study 3: Working together with Monmouthshire County Council

#### **Background to the review**

One of the key principles of the Inspection Wales Programme is that we will work collaboratively with each other to support improvement. We will ensure that our planning and programming activities are coordinated, wherever appropriate, with those of other external review bodies so that they result in proportionate programmes of work that avoid duplication and ensure that key risks and concerns are being examined.

During March 2015, Estyn undertook a monitoring visit of Monmouthshire County Council at the same time as the Wales Audit Office's corporate assessment of the Council's corporate services. Prior to the visits, Estyn staff met with staff from the Wales Audit Office, and CSSIW, to discuss the scope of our respective work programmes and to plan how we could work together on aspects of the visit. The CSSIW contributed intelligence from its 2014 Looked After Children inspection. Estyn's visit focused on the Council's performance management procedures and their effectiveness within education services in allowing elected members and senior officers to identify and address underperformance.

#### **Impact of working together**

Estyn arranged that the Wales Audit Office audit team had full access to Estyn's virtual inspection room so that Monmouthshire County Council was able to deposit all relevant documents in one place for both Estyn and Wales Audit Office staff. Jointly we identified a series of interviews where council officers could provide evidence to inform both the Wales Audit Office and Estyn of the Council's performance management procedures and their impact on delivering the Council's targets. These interviews enabled us to develop a good understanding of performance management procedures across the whole of the Council's services and provided useful context for evaluating the effectiveness of performance management in the Children and Young People's Directorate. Being on-site at the same time also provided opportunities for both teams to share intelligence and discuss issues and emerging findings.

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<sup>10</sup> **Inspection Wales Programme: Information Sharing Guidance, July 2015**



## What will the Inspection Wales Programme focus on next?

- 11 This summary of progress so far shows that we do work collaboratively and together where appropriate and necessary. However, we have not really publicised what we have achieved together; rather we have focused on getting the job done. Nonetheless, there is more to do to embed these collaborative working practices to make joint working part of our collective corporate cultures.
- 12 In March 2015, the Heads of Audit and Inspection approved the following themes for Inspection Wales over the next 12 months:
- Increase public knowledge of the Inspection Wales Programme and its work:
    - Promote a clearer picture of our respective remits and the joint working that we already do. This will include awareness raising, both internally and externally, by publishing a remit paper<sup>11</sup> in July 2015.
    - Publicise examples of our collaborative and joint working and the positive outcomes from this work, through our web pages.
    - Tell the public where duplication and overlap in our work programmes has been avoided.
  - Support and facilitate the development of different approaches to working together to help partners respond to changes in legislation and policy in Wales, for example the Reforming Local Government White Paper.
  - Co-ordinate the development of a forward programme of jointly owned and badged papers. These papers will inform the public, policymakers and scrutineers, and will build upon our collective knowledge and experience. The first of these will be around whistleblowing or raising serious concerns, to be issued later in 2015.
  - Identify and support areas where we can work together most efficiently, if appropriate. An example is around health professional revalidation requirements (Case Study 4).

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<sup>11</sup> **Inspection Wales Remit Paper**, July 2015

#### Case Study 4: Development of a joint approach to nurse (and health professional) revalidation

##### **Background to the work**

Nurse registration requirements are changing, and from 2016, all nurses will need to complete a new type of revalidation. There are many nurses employed by CSSIW, HIW and the Wales Audit Office, who all need to keep up to date with professional practice, have peer support, and be able to have their portfolios checked and validated by another registered nurse.

It made sense for our partners to work together on this, especially as some partners only have small numbers of nurses or other health professional staff. We came together in 2015 to facilitate a regular professional forum, which will support revalidation and provides health professionals working within our partners with appropriate peer support.

##### **Impact of the work**

The regular professional forum supports revalidation. This forum now meets every two months, sharing common concerns and updates on key professional topics. The Nursing and Midwifery Council will be attending a workshop in 2016 to discuss revalidation with us. Most importantly, our health professional staff will be able to maintain their registration with the Nursing and Midwifery Council and Health and Care Professions Council.

# Appendix 1

## Some detailed examples of our work together between 2012 and 2015

This table gives examples of where we work together under the Inspection Wales umbrella. It is not exhaustive and intended to provide a good representation of the types of activity we do together in various combinations.

Goal	All of us	Three of us	Two of us
<b>Joint working supported where necessary by strategic agreements and operational protocols</b>	<ul style="list-style-type: none"> <li>• Strategic agreement</li> <li>• Working together in time of change</li> <li>• Operational protocol for the joint investigation of serious concerns in local government</li> <li>• Guidance for staff on information sharing</li> <li>• Whistleblowing (work in progress)</li> <li>• Joint Inspection Wales Communications group</li> </ul>	<ul style="list-style-type: none"> <li>• Joint e-training and induction modules (Wales Audit Office, Estyn and CSSIW)</li> <li>• Local government improvement conferences (Wales Audit Office, Estyn and CSSIW)</li> <li>• Concordat (health and social care) (Wales Audit Office, HIW and CSSIW)</li> </ul>	<ul style="list-style-type: none"> <li>• Tripartite meetings with the Welsh Government in health: joint escalation and intervention protocol (HIW and Wales Audit Office)</li> <li>• Joint e-training and induction modules (Wales Audit Office; and Estyn)</li> <li>• Estyn and CSSIW develop a new inspection framework for day care services</li> </ul>

Goal	All of us	Three of us	Two of us
<p><b>Planning and programming activities coordinated and avoid duplication and ensure that key risks and concerns are being examined</b></p>	<ul style="list-style-type: none"> <li>• Heads of Audit and Inspection quarterly meetings</li> <li>• Programme Board quarterly meetings: comprising Deputy Chief Inspectors; Assistant Auditor General; Director of Strategy and Development</li> <li>• Planning cycle mapped</li> </ul>	<ul style="list-style-type: none"> <li>• Healthcare summits (with other external review bodies) biannual: HIW/CSSIW and Wales Audit Office</li> <li>• Regional inspectorates meetings for local government biannual (Wales Audit Office, Estyn and CSSIW)</li> <li>• Pembrokeshire special inspection (Wales Audit Office, Estyn and CSSIW)</li> <li>• Monmouthshire local authority monitoring visit: CSSIW, Estyn and Wales Audit Office</li> <li>• Commissioning Review with CSSIW, HIW and Wales Audit Office</li> </ul>	<ul style="list-style-type: none"> <li>• Tripartite meetings with the Welsh Government in health: quarterly meetings under the joint escalation and intervention protocol (Wales Audit Office, Estyn and CSSIW)</li> <li>• HIW and CSSIW development and delivery of national Deprivation of Liberty Safeguards Review and contribution to National Launch and Awareness Raising event</li> <li>• Betsi Cadwaladr University Health Board Joint Governance Review and follow-up: HIW and Wales Audit Office</li> </ul>

Goal	All of us	Three of us	Two of us
<p><b>Develop approaches to information and knowledge sharing to guide our work programmes, and to actively and promptly share</b></p>	<ul style="list-style-type: none"> <li>• Information sharing guidance</li> <li>• Heads of Audit and Inspection quarterly meetings</li> <li>• Programme Board: Deputy Chief Inspectors; Assistant Auditor General; Director of Strategy and Development. Inspection quarterly meetings.</li> </ul>	<ul style="list-style-type: none"> <li>• Regional inspectorates meetings for local government quarterly (Wales Audit Office, Estyn and CSSIW)</li> <li>• Healthcare summits (with other external review bodies) biannual: HIW, CSSIW and Wales Audit Office</li> <li>• Joint professional nursing forum to support professional nurse clinical practice: HIW, CSSIW and Wales Audit Office</li> </ul>	<ul style="list-style-type: none"> <li>• Regular HIW/Wales Audit Office managers' meetings</li> <li>• Tripartite meetings with the Welsh Government in health: joint escalation and intervention protocol (quarterly HIW and Wales Audit Office)</li> <li>• Estyn/Wales Audit Office reviews of LEAs</li> <li>• CSSIW and Wales Audit Office joint engagement with, and inspection of, local authority social services functions</li> <li>• CSSIW and Estyn Early Years framework</li> </ul>

Goal	All of us	Three of us	Two of us
<b>Bring together the knowledge and intelligence, and report this in ways which support service improvement, inform policymaking and national scrutiny, and strengthen public accountability</b>	<ul style="list-style-type: none"> <li>Briefings to Welsh Government officials. Joint response to AIR consultation.</li> <li>Joint response to Reforming Local Government White Paper</li> </ul>	<ul style="list-style-type: none"> <li>National thematic commissioning review: Wales Audit Office, HIW and CSSIW</li> <li>Joint inspectorate and regulator meetings with Welsh Government and key partners to share information and support improvement: Wales Audit Office, HIW and CSSIW</li> <li>Young people not in employment, education or training (NEETs): Wales Audit Office, Estyn and CSSIW</li> </ul>	<ul style="list-style-type: none"> <li>Joint reports (above)</li> <li>Looked after children: Wales Audit Office and CSSIW</li> <li>Local authorities in special measures for education services: Estyn and Wales Audit Office</li> </ul>
<b>Monitor progress with joint and collaborative working and report this openly and transparently to key stakeholders</b>	<ul style="list-style-type: none"> <li>Heads of Audit and Inspection quarterly meetings, and interim Inspection Wales Programme Board meetings (not public)</li> <li>New webpages and Twitter account</li> </ul>	<ul style="list-style-type: none"> <li>Regional inspectorates meetings for local government: Wales Audit Office, HIW and CSSIW</li> <li>Healthcare summits (with other regulators) biannual (not public) HIW, CSSIW and Wales Audit Office</li> </ul>	<ul style="list-style-type: none"> <li>Post project learning from Joint Governance Review of Betsi (not public): Wales Audit Office and HIW</li> </ul>



