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Public Sector Failure and Resilience: Lessons for Healthcare Policy

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Executive Summary

Introduction

Since the publication of the Francis Report into the failings in care at Mid Staffordshire NHS Foundation Trust and the Berwick Review into patient safety, Trust leadership has needed to embrace the problem of delivering more efficient, effective and integrated care whilst balancing finances and fostering “an inquisitive, curious and hungry learning culture” to improve the delivery of patient care³. In response to the Policy challenge fund, the team at University of Leicester and Cardiff University examined failure and resilience in other sectors to inform healthcare leadership and policy. With the aim to build interest and expertise in rapid policy analysis within the academic and policy communities, and generate insight that will support high quality decision making and improve the quality of the policy debate.

Other public-sector organisations, such as the police, prisons and schools, which have faced comparable challenging circumstances, are exemplars of how to achieve positive outcomes. The research examines these once failing or poorly performing organisations’ journey to recovery, to identify the key strategic themes and actions that are relevant for healthcare policy and practice.

Research Context and Methodology

The cross-sector research is underpinned by the theory of organisational resilience: “*the ability to anticipate, prepare for, respond and adapt to events – both sudden shocks and gradual change. That means being adaptable, competitive, agile and robust*”⁴. Organisational resilience can be explained by its conceptual components: Engineering resistance, Ecological resistance and Adaptive Capacity (‘EEA’). Having been observed previously in the biological environment, these elements have been applied to psychological system^{5,6}. This cross-sector study applied the EEA approach to examine responses to failure, resilience and recovery.

To further understand public sector failure and resilience systematic search of the grey and academic literature was conducted. Six in-depth case studies were conducted in the Criminal Justice System (CJS) and Education sectors. These were purposefully selected by examining key inspection reports, to identify organisations that had gone from ‘poor’ performers through a rapid trajectory to ‘good’ or ‘outstanding’ performers on the subsequent inspection. The case studies comprised two police, one prison, a youth justice service and two secondary schools. Case studies involved conducting semi-structured interviews with key personnel involved in the improvement journey in these organisations, and an analysis of inspection reports and other key documents. The EEA resilience framework was applied to interview transcripts and documents to identify key themes, actions and activities that supported the organisational turnaround.

Summary Findings

The evidence from the interviews supported the manifestation of the three theoretical components: engineering resilience, ecological resilience and adaptive capacity. These

three elements were further conceptualised into four quadrants of a systems framework (1) service users/individuals, (2) groups/teams, (3) organisational and (4) policy. Strategic planning and action taken by recovering organisations evidently spanned these four perspectives; some actions interacted and integrated across the three elements and/or quadrants. For example, 'community involvement' had an impact on building engineering resilience and adaptive capacity at an individual level; whereas 'sharing challenges with third party organisations' was instrumental at policy level in respect of adaptive capacity but at team level in building ecological resilience.

Observations

Engineering resilience is described as the capacity to rebound to an original state after difficulties; the route to this was noted to require substantial changes in some cases, such as restructuring and/or replacing of the leadership team/team-members. The forging of stronger or new relationships with other bodies was the focus required to enhance ecological resilience; similarly, new or improved relationships provided peer and external reviews. These in turn provided a catalyst for the revision of processes and practices, one aspect of developing ecological resilience. Such expanded perspectives also provided a contribution towards the improvement in adaptive capacity, by increasing the organisations external communications, plus communication with other stakeholders and from the top-down and bottom-up internally.

Conclusions

A multi-faceted approach can provide an effective strategic solution for nurturing recovery based on the elements of organisational resilience theory. Outcomes are dependent on diverse enablers that include both human efforts and technological solutions. The keystones to positive results, turning around failing organisations and building resilience in preparation for future challenges, include a readiness to adapt to an outward looking emphasis and the embracing of critical feedback to inform long-term strategies.

The report ends with recommendations for health and other public-sector leaders with an interest in developing organisational resilience and facilitating rapid recovery from failure. Whilst the research team recognise that further research and development of the Engineering resistance, Ecological resistance and Adaptive Capacity ('EEA') model is needed to establish stronger validity it still provides a useful framework and reflective tool for strategizing responses to failure.

The Findings

Introduction

Healthcare and other public-sector organisations face the huge challenge of delivering more efficient, effective and integrated care to a diverse population with limited financial resources¹. The Royal College of Physicians' 2017 report, 'Against the odds. Experiences from the NHS front line'⁷ describes the current state of the NHS; the examples it gives demonstrate why, in times of austerity, with increasing numbers of Trusts failing on quality and financial metrics, it is important for health and social care leaders to strategically and effectively focus time and resources on creating resilient organisations capable of adapting to significant and, at times, unpredictable changes.

The healthcare policy landscape is shifting: the Berwick review² into patient safety, commissioned following the publication of the Francis Report into the breakdown of care at Mid Staffordshire Hospitals¹, identified developing a learning culture as the biggest single challenge to the NHS. Subsequently, in July 2015, the Health Secretary signalled a move towards 'improvement' and 'learning' in his speech, "to foster an inquisitive, curious and hungry learning culture" in the NHS³, embodied in the NHS improvement initiative, the merged Monitor/TDA. Its aim is to increase transparency in performance and to promote a learning environment in which NHS staff can improve the care they deliver to patients.

Just as healthcare has recently suffered a series of high-profile failures^{1,8,9}, so too have education and the Criminal Justice System (CJS): they face similar challenges in terms of structures and processes, governance, regulation and commissioning arrangements. Encouragement to consider their experiences is provided by the NHS Constitution¹⁰: pledge 5 states that the NHS should work across organisational boundaries and in partnership with other public-sector organisations in the interest of patients, local communities and the wider population. This was echoed by Michael Gove, then Secretary of State for Justice (2015)¹¹, who recognised public institutions such as prisons could draw on the successes of other public institutions (academy schools and foundation hospitals) as examples of development regarding such policy changes.

To understand and address the reason for such failure within public bodies and other organisations, resilience and recovery requires a systems perspective: not just an exploration of the results of individual decisions, but the local and national system within which individuals and organisations operate, including the political, economic, social and macro context¹². To address user failures in these areas, solutions have been targeted across the system, at individual levels and at government policy level, for example:

- When the CJS failed to meet the health needs of prisoners, it was suggested that healthcare services be absorbed into the wider National Health Service (NHS) provision and partnership agreement¹³. A Lead Commissioner was recommended, with a specific remit to coordinate care (Criminal Justice); investment in prison health in-reach services was prioritised; 'in-reach' teams were developed, and local needs assessments commissioned with specific numbers and healthcare needs of prisoners in each area, matched by health teams of sufficient size and skill-mix¹⁴; finally, a

national focus on equity between prisons was implemented^{15,16}.

- Within schools (where failure manifested as underachievement and low levels of attainment among pupils, unsatisfactory teaching and ineffective leadership), we see the establishment of quality standards of education, effectiveness of leadership and management, personal development behaviour and welfare/outcomes for pupils. These standards are established through Ofsted inspection and regulation¹⁷.
- At the government and national strategy level, in relation to academies, there has been a refinement of the aims of the Academies Programme, including more local authority involvement, more encouragement of educational sponsors (for example universities and independent schools), and an explicit requirement to follow the National Curriculum in core subjects.^{18,19}

Established in 2009, the Care Quality Commission (CQC) placed 26 NHS Trusts under 'special measures' during 2013 to 2015²⁰; some have remained under special measures, whilst others have been able to demonstrate a rapid turnaround. By focusing on key areas, significant improvements can be made, and can happen in a relatively short space of time. A recent example of this is University Hospitals Bristol Foundation Trust, which was rated as requiring improvement in December 2014²¹. By its next inspection in March 2017, it had improved to 'outstanding'.

This research project examines how these other non-health sectors serving a vital public purpose address failure and recover. This research generates key insights in terms of early factors and warning signs, key decision points, key actions, activities and resilience factors at a service-user, organisation and system level. Using the common themes gathered through the three stages of the research - evidence synthesis, case studies and policy workshop, underpinned by resilience theory⁵ - the NHS can learn from other sectors, strategies for building organisational resilience and supporting rapid recovery and transformation.

Theoretical Concept: What Does Organisational Resilience Entail?

Organisational resilience is *“the ability to anticipate, prepare for, respond and adapt to events – both sudden shocks and gradual change. That means being adaptable, competitive, agile and robust”*⁴. Resilience within organisations as an approach has been developed recently to apply explanatory concepts to the human behaviour, systems and processes within those organisations. The approach aims to (1) identify effective strategies for addressing organisational failure; (2) move understanding from intuitive good practice to strategic planning to establish resilient organisations; and (3) provide sustainable development of organisations that can be used on all organisational levels. It operates on an ongoing basis, not only at times of failure.

The approach uses three concepts, engineering resilience, ecological resilience and adaptive capacity ('EEA'), elements that have been observed across a range of biological, environmental and socially resilient systems^{22,23} and that have recently been applied to psychological systems^{5,6}:

1. **Engineering resilience**: the ability in terms of speed or status of any system to return to, or recover, an equilibrium following any disturbance²³. That equilibrium may be the original state or a revised one.
2. **Ecological resilience**: the ability of a system to absorb or resist unrest, maintaining its stable state. This applies in terms of function, purpose, structure or identity, and permits any necessary changes to key mechanisms or functions of the system²².
3. **Adaptive capacity**: the ability of a system to manage and accommodate change, and to adapt to disturbances. A key aspect of adaptive capacity is that systems make themselves resilient by continually varying their key functions and processes so that they are prepared to adapt when a disturbance occurs²⁴.

The EEA framework can be adapted and customised to specific organisations, individuals and situations. With correct application, it enables the user to become more robust to change and to identify areas that require improvement. By doing so, the resilience capacity is embedded within the user, thereby encouraging transformation: this produces an improved system rather than the user adapting to the current situation. Within an organisation, such change is at all hierarchical levels, from service users to management and stakeholders, as individual members play essential roles in the exercising of the EEA approach.

The cross-sector study demonstrates the application of the EEA approach in assessing responses to failure, resilience and recovery within public sector organisations. Crawshaw Academy, Gwent Police Service, Sirius North Academy, Northamptonshire Police Service, Brinsford Youth Offending Institute and Newport Youth Offending Service all took part in this study, which explores public sector policy, practice and leadership in organisations that have been categorised as failing by inspection reports and then recovered to 'good' or 'outstanding' by the following inspection. The study was conducted over three phases: (1) an evidence scan, (2) in-depth case studies, and (3) a policy workshop (see the Methodology section below).

Box 1: An overview of the case studies

Gwent Police Service

Gwent Police Service recovered after an increase in crime rates, significant budget cuts resulting in redundancies of police officers and staff, plus a high-profile clash between the Gwent Police and Crime Commissioner (PCC) and the Chief Constable at the time, leading to negative media reporting for several months.

Northamptonshire Police Service

As a result of an inspection by Her Majesty's Inspectorate of Constabulary (HMIC) between 2013 and 2016, the Service was monitored by the Crime Policing Monitoring Group (CPMG) due to the HMIC having one or more causes for concern that were at risk of not being resolved. The HMIC's revisit in 2016 found that the Service had made good progress and the organisation was moved to normal monitoring by the HMIC having received a 'good' rating.

Crawshaw Academy

Crawshaw was a standalone academy with no local authority involvement. After an Ofsted inspection rated it as 'inadequate' in 2014, it implemented a change in leadership, a restructuring of staff and other changes and improvements related to, for example, communication and external partnerships.

Sirius Academy North

Sirius Academy North was placed under special measures. After several major changes and a significant journey of improvement, in December 2015 an Ofsted inspection rated the overall effectiveness as 'good'. The pupils' exam grades and attendance have risen significantly, now being above the national average.

Brinsford Youth Offending Institute

HM Brinsford prison is a male juveniles' prison and a young offenders' institute. An inspection report in 2000 disclosed a high level of neglect and lack of understanding of the needs of the prisoners. The managerial arrangements at the time were not delivering a consistent standard of treatment, or following forthcoming legislation.

Following a series of inspections reporting incremental improvements, a 2013 report stated that the prison had transitioned from 'poor' to 'good'/'reasonably good' or 'sufficiently good' on key criteria.

Newport Youth Offending Service

A multiagency team coordinated by the local authority and overseen by the Youth Justice Board works with young offenders and sets up community services.

Methodology

Phase 1 comprised the development of the resilience framework and the evidence scan.

Firstly, this involved the establishment of an expert steering group (ESG) consisting of a panel of policy experts from the CJS, education and the NHS. Their role was to advise on the project, and assist in the identification of key research, policy documents and case studies. A short Delphi exercise was conducted, in which the ESG members were asked to identify five key academic papers, reports or policy documents relevant to the study.

Secondly, a systematic evidence synthesis was conducted. A protocol, a search strategy and inclusion and exclusion criteria were developed by the academic team, and reviewed and refined in consultation with the ESG. They were used to identify key papers from the academic and grey literature on organisational/institutional failure, recovery and resilience in education and the CJS. 71 papers met the inclusion criteria. The EEA resilience framework was combined with a systems framework comprising four quadrants: (1) service users/individuals, (2) groups/teams, (3) organisational and (4) policy (see appendix). This was then applied to the papers identified through the evidence scan and the Delphi exercise (28).

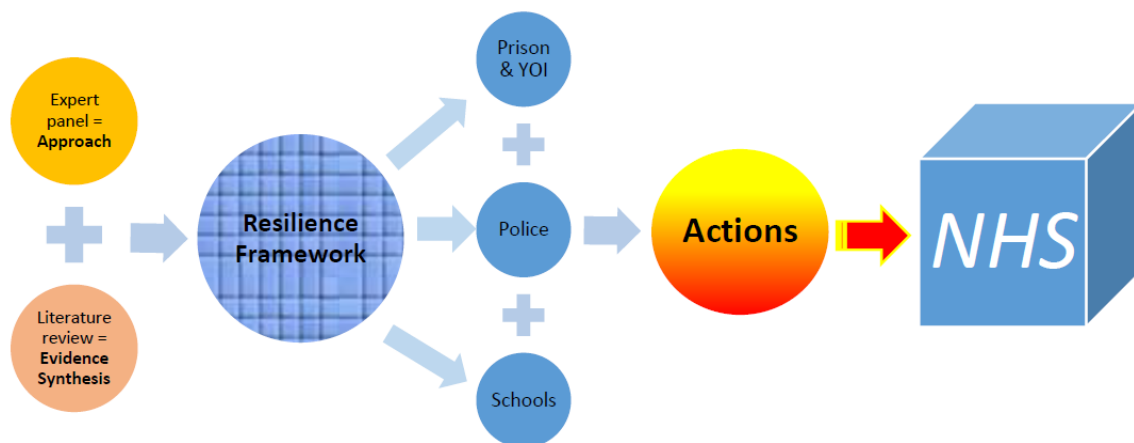


Figure 1 Methodology process

Phase 2 involved conducting six in-depth case studies using an established case study methodology (Yin, 2013). Case studies were purposefully sampled by examining key inspection reports, including the HMIC Police Effectiveness, Efficiency, Legitimacy (PEEL) annual inspection, Her Majesty's Inspectorate of Prisons' Prison Inspection, Her Majesty's Inspectorate of Probation's Youth Offending inspection, and the Office for Standardisation in Education Children's Services and Skills (Ofsted) inspections, so as to identify organisations categorised as 'poor' in their initial inspection that moved to 'good' by the following inspection. The case studies selected were HM Prison Brinsford, Northants Police, Gwent Police, Newport Youth Offending Service (YOS), Sirius Academy North and Crawshaw Academy.

A total of 50 semi-structured interviews were conducted. The participants were staff who

were purposefully sampled based on having a role in or experience of the improvement journey. They included members of the inspection team, Chiefs, Governors, Heads, senior staff and members of the transformation/change teams. Interview questions supported the EEA resilience framework and explored typologies of success and failure, reactions to the categorisation of failure, how functioning was maintained, ability to recover, new actions, strategies and adaptations, and how success was measured and sustained. Informed consent was gained from all participants and interviews took place at the organisations selected.

All interviews were anonymised and transcribed verbatim. The EEA systems resilience framework (Appendix 1) was applied to the transcripts, which were analysed to identify core themes, actions and strategies in response to failure. These were mapped onto each quadrant. Findings were then synthesised from each of the case studies' EEA frameworks to develop an overarching EEA systems resilience framework that included cross-sector themes, actions and strategies in response to failure, which supported organisational recovery.

Table 1 Interview schedule sub-sections

Typology of failure	Typology of success	Reaction to failure	Ecological resilience
<ul style="list-style-type: none"> •What failure means at a system, organisational, individual and service user level •How it is detected, its significance 	<ul style="list-style-type: none"> •What success means at a system, organisational, individual and service user level •Who success is significant to •What are key factors that affect the organisation being seen as a success 	<ul style="list-style-type: none"> •How the immediate aftermath of failure is dealt with, the response from the organisation, regulator and public 	<ul style="list-style-type: none"> •How functioning is maintained during failure at a system, organisational, individual and service user level •How the ability to recover from failure is addressed from a system, organisational, individual and service user level as well as, how it is adapted

In Phase 3, a policy workshop was held in which the EEA systems resilience model developed in Phases 1 and 2 was refined and the main findings of the study shared with the key stakeholders from the NHS, the Police, the Prisons, Education and the Youth Offending Service. Members of the workshop represented the intended audience of this research, and included senior leaders, inspectors, regulators and policy makers. The research findings were presented and a facilitated session was held in which the EEA systems resilience

model was applied to a real example of a 'failing' NHS organisation. Feedback was gathered on its application and practical utility for public sector leaders. The feedback was noted and the EEA systems resilience model further refined (Figure 2).

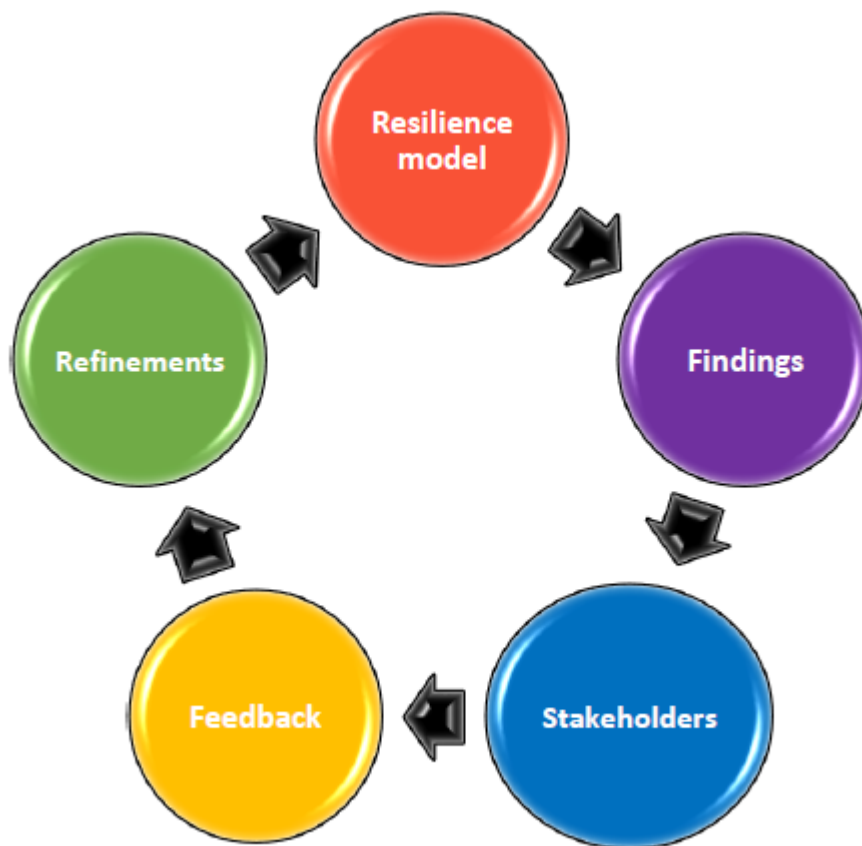


Figure 2 Workshop refinement process

Discussion: Theory in Action

Through conducting the six in-depth case studies and applying the EEA systems resilience framework, it was possible to identify how the organisations responded to failure, and more importantly recovered. Themes and actions identified from these case studies provide examples of resilience and the strategies implemented (Table 2).

The high-level findings described below reflect four perspectives, with some actions interacting and integrating with one another: these perspectives are individuals'/service users', teams', organisational and policy resilience.

Table 2 High-level findings

	Service Users/ Individuals	Groups/ Teams	Organisational	Policy
ENGINEERING Quick and efficient recovery to an optimal or desired state	-Accurate recording of data, i.e. crime figures- Keeping public/service users safe	- Understanding key priority areas -Recruiting - restructuring staff	-Restating organisational visions -Robust governance and audit processes -Change in leadership/leadership team -Robust quality assurance processes	-Academisation inspection reports and recommendations -Clear action plans/trackers
ECOLOGICAL Strong current system, but altering one's internal processes as necessary	-Use of data/KPIs - Understanding the priorities and needs of the community -Community consultation - surveys/feedback -New IT systems for recording and reporting	-Stronger relationships with other agencies - shared challenges - Peer and external reviews - Visiting other organisations -Clear lines of accountability Staff satisfaction surveys	-Reviewing the reporting of KPIs -Accurate tracking of Inspectorate recommendations -Priorities linked to national guidance and strategic priorities	-Transparency of data reporting -Sharing data with other agencies
ADAPTIVE CAPACITY Ability to adapt well, adjust and be flexible around (future) failure	-Use of volunteers/public - community engagement New operating models driven by demand - Risk/demand modelling Embracing new technologies	- Understanding skill mix - Training and developing staff -Frontline empowerment to encourage innovative practice - Evaluation of pilots and evidence-based practice	-Regular communication top down and bottom up - critical feedback encouraged -Open learning/transparent culture -Developing open relationships with Inspectorate/Commissioners	-Shared governance -Multi-stakeholder groups to tackle shared and future challenges -Outsourcing and sharing resources

The leaders who 'turned around' the failing organisations focused on implementing strategies across all three quadrants of resilience. There was a strong focus on going from inward looking (engineering) to outward looking (adaptive capacity), through developing strong links with other agencies and understanding the needs of the community/citizens they served. The leaders were open to critical feedback and focused on long-term strategy, not quick fixes.

Engineering Resilience

Engineering resilience has been recognised in the psychological literature as the capacity to rebound or 'bounce back' to an original revised state following disturbance. Across the literature, we see several strategies that focus on engineering resilience through (1) adopting standardised approaches to provision, (2) applying changes in structure, budgeting, commissioning and leadership for the service provider, (3) defining clear standards and responsibilities in relation to key priorities and acceptable behaviours and (4) producing key action plans and annual reviews.

One organisational indicator is the **restating of organisational visions**: for example, Gwent Police Service clarified its values, with one team, one vision and one agreed direction established with the PCC. A distinction was made between the operational and strategic roles of the Chief Officer, police and crime commissioners: open questions and early challenge were all critical factors. In one of the school case studies, Crawshaw Academy, data were sought to understand its performance in more depth; this involved reviewing complaints made against the school from parents or other organisations, using previous Ofsted inspection reports, pupils' progress from their starting point, and exploring any demographic differences, such as gender, socio-economic background and special needs, that might have had an impact at either the individual or policy level. Such analysis facilitated the understanding of key priority areas: in Crawshaw Academy's case, one of the first steps taken was to look at various forms of information addressing the performance of the school, conduct an assessment of current processes, and evaluate the changes needed to make the necessary improvements.

Within the CJS, such action assists in keeping the public or service users safe. For example, in the Northamptonshire Police Service, this was achieved by officers implementing a range of Authorised Police Practice (APP) guidance from the College of Policing. In the first instance, this meant amending policies in terms of key priority areas such as domestic abuse, missing people, child sexual exploitation, mental health, wellbeing and child protection.

Changes in Leadership or the Leadership Team, restructuring staff and recruiting formed a common theme within the organisations: for example, Northamptonshire Police Service saw significant change in the composition of the Chief Officer Team: experience from a neighbouring Service was brought in through a new Assistant Chief Constable in 2015, followed by the recruitment of a new Chief Constable. However, consistency was maintained by the appointment of a Deputy Chief Constable who had served the majority of his career with the Northamptonshire Police. Gwent Police Service introduced an independent advisor, someone who understood change, governance, consistency of auditable documentation and was someone they trusted and respected, who would challenge practices. Such robust governance and audit processes appear as a significant organisational response, indicative of engineering resilience. At Newport YOS this took the form of weekly meetings conducted to manage the ongoing processes and ensure tasks and audits were completed.

Sirius Academy West introduced **robust quality assurance processes**, with the aim of

helping individual staff members identify areas for development and the processes required to move forward effectively, whilst maintaining the correct form of communication across staff and pupils.

Another element that emerged as conducive to creating engineering resilience was the **use of recommendations and clear action plans or trackers**: for example, at Crawshaw Academy TEEP (Teacher Effective Enhancement Programme), a new programme was introduced allowing teachers to effectively keep track of the changes required in their teaching.

Ecological Resilience

Ecological resilience has been recognised in the literature as the capacity to be robust, demonstrating confidence in a system's strengths and abilities, but also to be able to alter functions and processes as necessary. Across the literature, we find a number of strategies that focus on ecological resilience, through (1) a revision of procedures, inspections, practices and internal restructuring, (2) the provision of further training in the identification and awareness of failure and (3) the refinement of aims, standards and criteria, and a review of key roles. This may be achieved by **forging stronger relationships with other agencies**.

In the CJS and the educational sector, it was evident these elements were present. For example, Crawshaw Academy underwent change at a team level by developing stronger relationships with other agencies, including its sponsors, Interserve, to support change, and Red Kite Alliance to participate in sharing information and good practice amongst schools. **Visiting and collaborating with other organisations** enables resilient organisations to share challenges: Northamptonshire Police Service developed Evidence-Based Policing (EBP) through collaboration with academics and institutions. The Service also seconded a senior officer to the Institute for Public Safety, Crime & Justice (IPSCJ) at the University of Northampton; it contributes to the East Midlands Policing Academic Collaboration (EMPAC) and holds its own EBP Board.

Peer and external reviews can provide improvement at a team level: Gwent Police Service made visits to various Services across the country. This was particularly useful for a smaller Service like this one as it encouraged senior members to develop professionally. Additionally, the Service used some external consultancy to assist in the restructuring of first point of contact and has significantly augmented its operational understanding of threat, risk, harm and vulnerability.

The Newport YOS instigated a regular check which allowed staff to conduct audits on areas that needed improvement, giving them the opportunity to address the key issues productively. Individuals could set tasks for improving the area needing the most improvement, thereby using data to **gain an understanding of the priorities and needs of their community**. Similarly, an organisational adjustment carried out by Gwent Police Service involved establishing **a detailed, accurate tracker of recommendations** made by HMIC and Independent Police Complaints Commission (IPCC). Progress was managed on a line-by-line basis and regular training days were implemented linked to the 'tracker and

change' programme.

Such implementation in Northamptonshire Police Service's case included **setting priorities linked to national guidance and strategic priorities**: there was evidence of a unified approach between the Service and the PCC, towards the strategic aims of Northamptonshire Police. This was important for providing and aligning leadership from both an operational and a strategic perspective.

It was evident from the descriptions the interviewees gave that **reviewing the reporting of KPIs** supported their improvement: Gwent Police Services could chart an improvement when, in 2016, they were graded second nationally on the performance indicators for transforming summary justice. Newport YOS also worked on the KPIs of their own teams.

Sirius Academy North demonstrated the importance of another aspect of ecological resilience: **community consultation and the use of surveys and feedback**. It held an open question session, at which members of public from the local community could raise any concerns they had. This also provided the school with the opportunity to respond to pupils' concerns. Subsequently, student voice was introduced, with pupils consulted about changes that would affect them. Further feedback was gathered via staff and student satisfaction surveys.

The introduction of **new IT systems** for recording and reporting helps organisations to accurately record and review information, while improving auditing/quality assurance is another consistent action associated with building ecological resilience. For example, Crawshaw Academy introduced a web-based tracking package called Sisra. This allows teachers to look at progress data using a simple program. Complex data can easily be brought up, which has become very useful during meetings, parents' evenings, and for showing the students visually how they are progressing.

Such **transparency of data reporting** has led to positive changes being identified by the organisations: in this way, Northamptonshire Police Service's relationship with Her Majesty's Inspectorate has improved. This is felt to be based on increased openness and transparency on both sides, together with a willingness (on the part of the Service) to be more accepting of the need for changes or improvements.

Adaptive Capacity

Adaptive capacity has been recognised in the literature as the ability to have a system that is able to adapt, adjust, be flexible, change, innovate, modify and be responsive. This enables resilience to disturbance using a number of strategies that focus on adaptive capacity through the development of systems: (1) adoption of multidisciplinary and multiagency responses and involvement in cooperative service planning, (2) expansion of capabilities based on needs assessment and on the identification of complex cases, (3) broadening involvement of and engagement with staff and users and (4) developing new methods of support and the use of mutual aid arrangements, which may require embracing new technologies. For example, Northamptonshire Police Service has replaced its Case and Custody IT system through a regional procurement process in combination with other East Midlands services: this enables **information sharing and consistency** across the region.

Sirius Academy North's approach to **staff, pupil and community engagement** involves the introduction of activities to engage pupils, including an assembly, a tutor programme and encouraging pupils to get involved in the democratic process by appointing form representatives and house captains. This demonstrates **regular communication from the top down and bottom up**, encouraging open learning and a transparent culture. A comparable **development of open relationships with Her Majesty's Inspectorate** led several staff members from Northamptonshire Police Service to perceive a positive change in the relationship between the service and the Inspectorate. Such **shared governance and multistakeholder approaches** to tackling shared and future challenges are indicative of policy changes undertaken to build adaptive capacity.

New operating models driven by demand are a tool that was used by the transforming organisations. The HMIC's revisit to Gwent Police Service in October 2014 found the service had made good progress in developing an operating model designed to protect the front line and improve victim satisfaction, and that would be affordable in the medium term and scalable for the future. Northamptonshire Police Service made a fundamental change through the introduction of an ambitious new Service Delivery Model. Integral to this introduction was increased knowledge about demand management, and an **improvement in the ways the Service assessed** threat, risk and harm (the Harm Index).

Skill and staff development was another important theme running through the participating organisations: Gwent Police Service identified that increased knowledge, learning and upskilling was required across work streams as a result of the information gathered from the detailed tracker of HMIC and IPCC recommendations being established and progress being managed on a line-by-line basis. New team members brought with them a good mix of previous skills, experience, ambition and new ideas from other Services. At the Sirius North Academy, newly qualified teachers specialising in core subjects such as English, Maths and the Sciences were **recruited**, and a new lead teacher role was created, with responsibility for leading some of the staff **training**.

Frontline **empowerment** was found to encourage innovative practice; for example, Northamptonshire Police Service included a hustings-style event in the recruitment of the new Chief Constable. This event was described as something of a turning point for morale. At Crawshaw Academy it was the encouragement of communication across departments to ensure everyone shared the same vision that led to the staff feeling more empowered.

Evaluation of pilots and evidence-based practice were also described as key elements in building adaptive capacity: Newport YOS would be piloting a new 'triage' approach when the next new person came into custody, based on the results another YOS had seen in the previous six years.

Case Study - Gwent Police Service

Introduction

Gwent Police Service operates through two Local Policing Areas (East and West) aligned to five local authorities. It covers a large geographical area with a population of over 576,700. Currently employing over 2,300 staff (1,285 officers, 835 office staff and 191 Police Community Support Officers), in the last year Gwent Police have dealt with 192,948 incidents and 35,690 crimes. It faces specific challenges: the county has areas of affluence and deprivation and it has a large, mixed geography made up of rural towns, countryside and urban areas such as the City of Newport, with pockets of high demand in urban areas leading to different policing needs. As a small service it has limited opportunities for economies of scale.

Background

Central funding to the Police Service in England and Wales was reduced by 20% in the four years between March 2011 and March 2015²⁵. Gwent Police was one of the ten Services to see the most significant cuts, equating to a 30% 'real' reduction of the Service budget by 2015, a saving of £23.5m over the four years. This resulted in the loss of 223 police officers and 169 staff members.

In June 2013, the Gwent PCC and the Chief Constable (CC) had a high-profile clash, resulting in the CC's sudden retirement. Negative media reporting continued for several months and the HMIC commented publicly that this *"created a level of instability at a critical time for the force"*²⁶.

In November 2013, the HMIC met with the PCC and the new CC to discuss their concerns. These were about increased victim-based crime within Gwent: whilst in recent years Gwent had recorded one of the highest reductions in crime in England and Wales, recorded violent offences rose by more than a quarter in 2013, while overall crimes rose by 2%²⁷.

In March 2014, almost all of the Service's IT operating systems were replaced. As with most technology implementation, this created challenges, including the need to train staff in the new system, a lag in their mastery of the system and a backlog in the completion of crime reports.

PEEL is an annual assessment of police services in England and Wales. Services are assessed on three categories:

- **Effectiveness** – how a Service carries out its responsibilities, including cutting crime, protecting the vulnerable, tackling anti-social behaviour, and dealing with emergencies and other calls for service.
- **Efficiency** - how much value for money it provides.
- **Legitimacy** - whether the Service operates fairly, ethically and within the law.

Each category is judged as 'outstanding', 'good', 'requires improvement' or 'inadequate'. These assessments were introduced by the HMIC in 2014 so that the public would be able to judge the performance of their Service against others and policing as a whole. Depending

on the rating received, the Service is then monitored in one of five ways:

1. The routine monitoring of all Services.
2. An in-depth analysis and monitoring by the regional HMI (Her Majesty's Inspector), of those Services in which cause(s) for concern are identified.
3. Referral to the CPMG if the regional HMI believes one or more causes for concern are at risk of not being resolved.
4. Concerns being raised publicly if the regional HMI has serious concerns that are not being resolved.
5. Concerns being escalated to the Home Secretary in extreme cases, if the regional HMI has significant concerns that are not being resolved.

The HMIC also undertakes thematic inspections. For example, the 'Valuing the Police Programme' tracked how Services planned to make savings to meet the budget cuts proposed in the Comprehensive Spending Review of 2010²⁵.

The Service was inspected by the HMIC in relation to Domestic Abuse in March 2014 and graded as 'requires improvement'. Further inspections identified shortcomings (Making Best Use of Police Time (April 2014) and the July 2014 Austerity inspection), with the latter inspection resulted in Gwent being one of only three Services graded as 'requires improvement'²⁸.

In September 2014, the NATO summit was hosted in Newport. This was the first time the UK had hosted the event in 25 years and it was the largest event of its kind ever held in the UK (BBC News, 31st of October 2013). World leaders attended, together with another 180 VIPs and 4,000 delegates and officials from approximately 60 countries, plus 1,500 representatives of the world's media²⁸. Officers were also involved in policing protest marches. The security for the event was a huge undertaking, particularly for a small police service. In total, 10,000 police officers from Gwent, South Wales and rest of the UK were involved.

The HMIC's revisit in October 2014 found that the Service had made good progress in developing an operating model, designed to protect the front line and improve victim satisfaction, which would be affordable in the medium term and scalable for the future,²⁸ although the inspections in November 2014 on overall Force Performance and Crime Data Integrity again identified shortcomings; Gwent was the only Service out of 43 in England and Wales to receive 'requires improvement' judgments in all three categories, which made them the worst-performing Service in the country. They also emerged as the worst-performing Service in England and Wales when it came to victim satisfaction.

In January 2015, the Service was placed into Stage 3 of the HMIC's CPMG, a group including the national policing leaders for police performance, representatives from the Home Office and the Association of Police and Crime Commissioners, senior executives from the College of Policing and the regional HMICs, and Her Majesty's Chief Inspector of Constabularies. Being in this stage involved in-depth analysis and monthly reports on the Service's performance. The following month, the Service was subject to IPCC engagement and challenging media headlines following the shooting of a victim of domestic abuse and five domestic-related murders in 2009, 2012 and 2014, all of which resulted in convictions,

but with several shortcomings identified.

Recovery

In August 2015, the Service was de-escalated to Stage 2 of the HMIC's monitoring after only six months at Stage 3. The score for victim satisfaction had risen by 7% and that for keeping people informed had risen by 9.4% compared to the previous year. In October 2015, the Service received a 'good' grading in the HMIC effectiveness and efficiency inspection, and the following month a 'good' grading in the HMIC vulnerability inspection.

By December 2015, 39 of the 43 Services in England and Wales were reporting an increase in crime, similar to that reported by Gwent in 2013, due to more accurate recording rather than actual crime increases. In January 2016, the Service was graded second nationally on the 'transforming summary justice' performance indicators, and the following month was awarded two 'goods' and an 'outstanding' in the HMIC legitimacy inspection and four 'goods' in the HMIC PEEL effectiveness inspection, and had moved from 43rd to 11th in England and Wales for victim satisfaction rates.

Actions

Over the 15 months between the PEEL inspections, the Service undertook several actions as part of their improvement journey. First, there needed to be a level of acceptance and accountability before the improvement journey could commence:

"One, your natural reaction as an organisation is to then be really defensive and say but, but, but, you know, you haven't seen this, you haven't seen that and there was a lot of that." Officer

"Whilst I believe we were charting the right course and some comments about the Force lacked context and balance, I accepted everything wasn't right." Chief Constable

Once the inspection results were fully acknowledged and accepted, the actions undertaken were seen as part of the Service's improvement journey, rather than just 'ticking a box' to pass re-inspection. The key actions undertaken were as follows:

A Clear Set of Values

There was a strong alignment to the Service Values as an anchor and focal point. This helped staff to focus on the right priorities, particularly in the most challenging periods. There was a need for openness, transparency and honesty, and to understand what the key priorities were and how they linked with the Service's Values, Strategic Vision and Police and Crime Plan containing the Service's key priorities: to deliver the best quality of service available, to reduce and prevent crime, to reduce incidents of antisocial behaviour and to protect people from serious harm.

"The biggest one to come out first was the Chief being really clear on, um, threat, risk, harm, victims, keeping victims informed, protecting the vulnerable, domestic abuse and ethically recording crime. So he was really clear on his messages."

Change Manager

“The main positive for me as a Geographical Inspector has been the translation of this strategy and overriding force mission, to action by local SMTs, ensuring a consistent message from ACPO (Association of Chief Police Officers) to Superintendent and Chief Inspector.” Inspector

Governance

A ‘one team, one vision and one agreed direction’ approach was established with the PCC. The CC encouraged open dialogue, critical feedback and challenge. This provided reassurance and governance to the PCC and team. Internal quality assurance checks were also undertaken by the CC to check they were doing what they said they would do:

“A key part of that was about truly understanding our demand and understanding our future demand. And working out what are our greatest threats and risks and how do we invest.” Change Manager

“Our Chief Constable phones five victims a month and checks that what the officers agreed to do in terms of contact with them happens, and gives feedback to the officers.” Officer

New Senior Leadership Team

The CC was new to the role and the arrival of a new Deputy Chief Constable (DCC, April 2014), a new Assistant Chief Constable, Chief Superintendents from other Services (May 2015) and key promotions in the Service were key to implementing the right leadership team. The new team brought with them a good mix of skills, prior experience, ambition and new ideas from other Services:

“The right people were recruited and positioned into senior roles. It was important to be resolute, positive and supportive to move the organisation into the place it is today and on the cusp of further improvement.” Assistant Chief Officer

“We saw big cultural changes. Debate was encouraged, rather than frowned upon. There were far fewer supervisors, but they were trusted to make decisions using the force values, and were encouraged to ‘Ask for forgiveness, rather than permission’. Chief Inspector

Engagement with the HMIC

A more professional, organised and structured engagement with the HMIC was undertaken. This involved detailed briefing documents being supplied to the Inspectorate and to all staff, including officers on the frontline. This meant that many Gwent Police staff were now informed of the things that were happening in the Service, such as the values, priorities and key challenges. Feedback and comments from the HMIC were seen as constructive. Staff prepared for the inspections, the kinds of questions they might be asked and how this linked to what they did day to day. This is not ‘putting words into people’s mouths’, but ensures that all staff are informed when attending HMIC focus groups:

“I have to say the support and encouragement from our HMI has been valuable.

Without her intervention, I doubt whether we would have applied the same rigour and intensity.” Chief Constable

“The Chief Constable has been really open with me and I think actually that’s, the fundamental element to all of this I think is the relationship between the force and the inspectorate. And I guess our unique selling point at the HMIC is that the regional HMIs don’t just, you know, land on a force, inspect them and go away again. Uh, we do work quite hard to establish a working relationship with the respective Chief Constables. Because we see our role as being supportive.” HMI

“As we prepared for inspections we involved more and more people, and it became clear that lots of people were making huge contributions, but that was only known in certain pockets of the organisation.” Chief Superintendent

Establishing the Right Change Team

A larger change team, with a wider breadth of talent, was established to lead the Service’s transformation. This involved instigating a single point of contact for drafting responses and coordinating and allocating the tasks across the different work streams. This was managed by the DCC and a highly capable programme manager. Frontline officers had the option to second into the team, to provide some fresh ideas from the ground up. Middle and senior managers were co-opted to assist in their development and spread the message. Team members included staff from all corporate functions (IT, HR and finance) and the union. This ensured the team was representative and inclusive. An independent advisor was introduced, with quality assurance and governance responsibilities. The skills required included change management, governance and consistency of auditable documentation. The independent advisor was impartial, objective and could challenge the status quo:

“A member of staff from the College of Policing told me that they always referred other forces to Gwent and we were ahead of the curve with our thinking around continuous improvement.” Change Manager

Communication

Regular and widespread communication such as ‘Chief’s blogs’, ‘Ask the Chief’ and face-to-face meetings were put in place not only to keep people informed but to assist in building a sense of pride and engagement, and share areas of good practice and positive feedback:

“The clear steer, visibility and accessibility of the Chief Constable, with the obvious support of the PCC, created the leadership environment that, in my opinion, enabled the swift change and improvement that led to us out of special measures.” Chief Superintendent

“The introduction of initiatives such as the ‘Chief’s blog’, and ‘Ask the Chief’ enabled the Chief to be more visible and helped to break down barriers between him/her and us].” Sergeant

Forensic Review of HMIC/IPCC.

A detailed tracker of HMIC and IPCC recommendations was established and progress was managed on a line-by-line basis. This was initially chaired by the CC, with all the Chief

Officers and specified leads in attendance. The first few meetings were extremely lengthy, but progress accelerated. An additional spill over benefit was that all were aware of ongoing activities, creating a much higher degree of ownership, responsibility and teamwork across the Service. This enabled senior managers to work collaboratively, as many recommendations and activities were cross-cutting across different areas.

“The force has come a long way in a short time. There has been a noticeable cultural shift. People are less fearful of making decisions and free of the constraints of targets. They accept accountability for performance in their areas of business and actively seek independence and freedom to improve services for their communities.”

“Through the briefings and the tracker meetings it was evident things weren’t as good as we thought, there was much we didn’t know across the service areas, and knowledge, learning and upskilling was required across work streams.”

Peer Reviews

A number of peer reviews were conducted. Staff from other Services were asked to visit, observe and give feedback on Gwent’s current performance and activities. These provided honest feedback and insight that was greeted by staff very much more openly than the HMIC inspection:

“Lancashire Police came to peer review our new operating model plans prior to going live, and this was invaluable.”

Carrying Out Visits to Other Services

Visits to various Services across the country took place, involving 10-12 people of varying ranks and roles. Gwent is a small Service and many senior members of staff had never worked outside of it. This can result in narrow thinking, and visiting other Services allowed them to see and learn from other initiatives and activities. It also allowed best practices to be shared from Gwent to other Services and vice versa:

“In 2015, I was part of a small team who visited several forces with the DCC. This was a complete culture shock to me as I had only ever known ‘the Gwent way’ of doing things. I documented a great deal of learning and potential for improvement whilst visiting these forces but what struck me more than anything was how far ahead and well organised we were in many of the areas that we inspected.”

Restructuring of the Service

The Service was restructured into East and West Local Policing Units, with streamlined and centralised specialist teams. The geographical areas and populations of these units and thus their policing needs are different. This split has enabled a better balance of resources and greater local ownership:

“The East and West split gives better ownership and accountability for each area.”

Systems Change

New systems were introduced for recording and updating all crimes. The legacy computer systems were replaced with the NICHE records management system, to reduce service risks

and gaps:

“We’d introduced a new, niche, records management system, massive...systems change”

Embracing Technology

The Service implemented new technology through a collaborative approach with South Wales Police and key local partners. This included a shared service with three local authorities, handheld devices with mobile pocket books and access to the Service’s systems, and body-worn video cameras, amongst other things:

“The advent of mobile data has been a significant step both culturally and logistically for the force and I am excited to ensure that we use this to the best effect.”

“New technology has assisted in the implementation of better working practices, the introduction Lync messaging, Samsung Galaxy notes and body-worn cameras have undoubtedly improved communication and enabled officers to remain on the frontline where they want to be and the public expect to see them.”

Recruitment

The Service ran a Voluntary Exit Scheme (VES) that led to the departure of 77 persons. This enabled a new recruitment campaign to be run, the first in three years. The VES was a success as it not only saved on the cost of unproductive individuals who were mid-to-high salary in terms of their unit cost, but also facilitated the arrival of new people:

“It makes a big difference to the staff that we’ve got. ‘Cause they like having new people coming through. New people to train.”

Training Days

Regular training days were implemented, linked to the tracker and change programme. These days provided a consistent way to convey corporate updates, practice changes and legislation changes. At a time of austerity, traditional specialist courses and e-learning were used to promote corporate learning and development. These programmes have been successful in improving staff responses to vulnerability.

External Consultancy

The Service used some external consultancy to assist in the restructure of first point of contact. This gave different insights and perspectives and augmented the operational understanding of threat, risk, harm and vulnerability.

Staff Attitude Survey

The Service has administered a staff attitude survey to all staff for the past two years. This has allowed benchmark data to be gathered and enabled compassion. Response rates have been high at over 60%. This has allowed areas of concern and key themes to emerge, which are now being addressed:

“This staff survey was quite low. So there was much more emphasis on what goes through to the employer of choice award, much more emphasis on what individual leaders were doing with the results of the staff survey. And, um, lots more walking the floor, all gone on a website, so the next staff survey I would actually be disappointed if some of that doesn’t shift.”

Ethical and Accurate Crime Recording

The Service began to record crimes with greater transparency and accuracy, which has resulted in increased recording of crime in the last three years. The Service also moved to recording incidents in the control room at first point of contact, which has led to a 98% compliance rate on recording incidents within 24 hours. The Service has maintained a strong focus on performance, but has removed targets and RAG (Red, Amber, Green) ratings, as these were driving dysfunctional behaviour. This change took a long time to embed, despite strong staff commitment:

“The Chief Constable’s steer on crime recording brought with it significant pressure from the HMIC, which I and others felt, but [we] knew it was the right thing to do and I was glad that he held his nerve, which has played out positively.”

“The shift away from targets which had been a constant focus for so long and the move towards quality and ethical crime recording were difficult to sell to staff, who viewed this change with scepticism.”

Table 3 Gwent Police Service: summary of improvement

<u>PEEL</u>	<u>2014</u>	<u>2015</u>
<u>Effectiveness</u>	Requires improvement	Good
<u>Efficiency</u>	Requires improvement	Good
<u>Legitimacy</u>	Requires improvement	Good

Case Study - Northamptonshire Police Service

Introduction

Northamptonshire Police faces specific challenges: it has a large night-time economy, with pockets of high demand in urban areas, and as a small Service has fewer opportunities for economies of scale. Since 2011, the county's population has increased at a greater rate than across England as a whole (4.5% v. 3.3% nationally)³⁰ and 16.1% of residents live in areas considered socially deprived (falling within the top 20% of the most deprived geographies in England) according to the 2015 Index of Multiple Deprivation (IMD)³¹.

Northamptonshire Police currently employs 2,950 staff (1,244 officers, 899 police staff, 529 Special Constables, 96 Police Community Support Officers, 128 cadets and 54 police volunteers)³².

Background

For the majority of the three years between 2013 and 2016, Northamptonshire Police was placed in Stage 3 of the HMIC monitoring process (as outlined in the Gwent Police Service case study above) and had its performance monitored through the CPMG. It was one of a handful of Services to find itself in Stage 3. The reason for this monitoring was initially due to shortcomings in the way violent crime was being addressed. However, shortcomings were also identified in its performance surrounding Serious Acquisitive Crime (SAC) and in a Crime Data Integrity Inspection³³. The HMI noted at the time:

"HMIC is seriously concerned that a notable proportion of reports of crime are not being recorded, and this means that victims of crime are not receiving the service they should when they first report a crime."

Recovery

In 2015, the Service received an efficiency rating of 'requires improvement'. On the HMIC's revisit in 2016, it was found that the Service had made good progress, and the organisation moved from Stage 3 to Stage 1 monitoring. It received PEEL effectiveness and legitimacy ratings of 'good'³⁴ and the assessment indicated that its leadership function was performing well.

Actions Implemented on the Road to Recovery

A Clear Set of Values

The interviews with members of staff revealed a positive response to a perceived re-focus on organisational values.

The recruitment of the new CC included, as part of the process, a hustings-style event; staff members and the public could see and hear the responses from every candidate to a series of questions. This event, with its focus on openness and transparency, was described positively by interviewees and seen as something of a turning point for morale:

"It was just really, really good. You could tell [the Chief Constable] had real values. I think the organisation probably felt quite empowered that they felt part of that process."

"Our new chief's come in and said here's our purpose, here's our mandate, here's our priorities so we're very clear. Probably clearer than we have been in the past."

This clarity has, in part, been achieved through the CC's message that the Service's purpose is simply to "protect people from harm".

Governance and Leadership

There has been evidence of a unified approach taken between the Service and the PCC to meet the strategic aims of Northamptonshire Police, providing and aligning leadership from both an operational and strategic perspective:

"We're really involved this time in developing the police and crime plan together..."

In February 2016, the HMI, talking about the leadership function within the Service, said,

"Northamptonshire Police demonstrates a good grasp of the state of its leadership across the force, including strengths and weaknesses at most levels, and has an understanding of its leadership skills, capacity and capability."³⁴

Interviewees spoke of a direction for the organisation that has been agreed between the CC and the PCC. This is a vital relationship for the Service's ability to produce clarity of purpose. This clarity and consistency of message is governed through a 'Force Change Board':

"If anyone wants to make a significant change to a process, or significant staffing changes, it has to come through to our Change Board - we've got that governance and the good thing is the organisation have bought into that."

The organisation has restructured from two Basic Command Units (BCUs) to one; this is likely to provide consistency and efficiency. Governance arrangements and measures have been aligned to the new structure.

The introduction of an EBP Forum highlights the Service's desire to both commission research and learn from its outcomes. Of further note is the introduction of an innovative Leadership & Wellbeing Board, chaired by the CC; the development of the leadership function in the Service is being addressed through 360-degree profiling, personal mentoring and coaching, and personal development plans. These initiatives are being rolled out across all management and supervisory levels (police officers and police staff) in a top-down approach.

Assembling the Right Team

The period of 2015-2016 saw significant change in the composition of the Chief Officer Team. Experience from neighbouring Services was brought in through a new Assistant Chief Constable in 2015, followed four months later by the recruitment of the new CC. At the same

time, consistency was maintained through the appointment of a DCC who had served for the majority of his career with Northamptonshire Police.

Engagement with the HMIC

Several staff members reported a positive change in the relationship between the Service and the HMIC. This change was felt to be based on increased openness and transparency on both sides, together with the Service's willingness to be more accepting of the need for changes and improvements.

Additionally, the organisation has taken the decision to align its performance framework with the HMIC PEEL criteria. This is likely to aid benchmarking and performance monitoring.

Peer Reviews and Service Visits

The Service has seconded one of its senior officers to work as part of a team conducting peer reviews across police services in England and Wales. Staff visit other services to learn from their experiences, and the Service has a focus on continuous improvement (CI) through its involvement in a national CI network.

Northamptonshire Police took up the opportunity of a thematic peer review from the Home Office Ending Gang Violence Unit, after the Service was rated 41st out of 43 services in this area. The subsequent endeavour and progress was described by a Neighbourhood Policing Sergeant:

"[The review] was a catalyst to what is now a really strong, multi-agency partnership chaired by a third sector organisation ..."

Collaboration and Working in Partnership

The organisation is well developed in terms of its interoperability with the Fire and Rescue and Ambulance Services, under the auspices of the Blue Light Collaboration. Two successive PCCs have championed this approach, initially spearheaded by the Department for Communities and Local Government (DCLG) and the Home Office. Interviewees spoke of preventative patrols between the police and the Fire and Rescue Service and also of the aspirations and ambition to create a more comprehensive partnership:

"We're moving into interoperability - actually what vehicles could be used from the fire station, what vehicles could we share with the ambulance service?"

The Borough of Kettering will house the new joint-provision headquarters for Northamptonshire Police and Northamptonshire Fire and Rescue Service, due to open in 2017.

The desire to develop EBP has led to collaboration with academics and institutions; the quest to explore 'what works' in policing and to establish the impact of associated research was apparent in interviews with staff. Northamptonshire Police has seconded a senior officer to the IPSCJ at the University of Northampton; it contributes to EMPAC and holds its own EBP Board. Interviewees spoke of a 'culture of learning'.

The Service participates in the East Midlands Police Collaboration Programme, providing alliances in relation to its firearms units, dog patrol units, road policing and major crime. It also integrates its HR, finance and procurement systems with Cheshire Police.

One officer had been given an opportunity to work for six months in a local borough council office, forming deeper relationships and understanding.

Systems Development and Embracing Technology

The Service Transformation Team oversees the implementation of IT systems programmes. It has replaced its Case and Custody IT system through a regional procurement process in collaboration with other East Midlands services, which enables regional information sharing and consistency.

The Service also collaborates with other East Midlands police services in its procurement and implementation of body-worn video (BWV) cameras.

Human Resource Management

Several changes have been made to the HR strategy. The organisation is exploring the option to rotate frontline officers between roles to build capacity and avoid de-skilling. The Service has also produced a two-year plan to build optimum capacity in terms of its number of detectives. In terms of selection processes, one officer noted:

“They’ve started to promote people who think differently recently...”

Another member of staff commented:

“there’s a lot more freedom of individual expression of ideas and coming up with, maybe, different solutions.....”

A sergeant who has a role within a multiagency setting explained the shift in focus as follows:

“Could I have imagined eighteen months ago being given the freedom, the opportunity and the endorsement to work in such a setting? Unthinkable!”

Others spoke of a new emphasis on the wellbeing of staff, including flexible working hours, a focus towards agile working, and moves to shore up the referral processes within occupational health settings.

Strategy and Policy Changes

Changes to policy and practice within the organisation had included the introduction of an ambitious new Service Delivery Model under the leadership of the new Chief Officer Team. Integral to this introduction is an increased knowledge of demand management, and an improvement to the ways the Service assesses threat, risk and harm (the Harm Index). The Harm Index provides insight and context about the volume and severity of crime and incidents, rather than traditional ‘number crunching’. Demand modelling now exists in

relation to five themed areas: neighbourhood policing, response policing, investigations, safeguarding and contact management. A Programme Director commented that the previous approach to performance management had been “*too much about compliance with arbitrary targets rather than taking a systems thinking approach...*”.

Officers in the Service Continuous Improvement Unit are prioritising the implementation of a range of APP guidelines from the College of Policing. In the first instance, this means amending policies in relation to domestic abuse, missing people, child sexual exploitation, mental health, wellbeing and child protection.

Case Study - Crawshaw Academy

Introduction

Crawshaw Academy is an average-sized secondary school in Pudsey, West Yorkshire. The proportion of students eligible for free school meals is in line with the national average. Prior to an acting headteacher taking up the post in December 2013, a deputy headteacher had been filling the role. Crawshaw was a standalone academy with no local authority involvement and limited accountability through the existing governing body. It became sponsored in September 2014.

Background

It received an overall grade of 'good' from its Ofsted inspection in 2011. However, in 2014, it was rated as 'inadequate' and placed under special measures: leadership and management were considered inadequate, having failed to tackle weak teaching, and pupil attendance was low. Ofsted identified that the governors had failed to hold the leaders to account for ensuring pupils achieved sufficiently high standards.

Recovery

The recovery period started after the Ofsted inspection in January 2014. The headteacher left one month before the inspection was due. With the support of Red Kite, a new headteacher was appointed in June 2014: the Red Kite Alliance is a partnership of Yorkshire school and institutions that aims to share skills, experience, talent and capacity. The new headteacher believed that having a common goal and unified staff would be key, that quality assurance was a vital tool amongst staff, and that ensuring all students were progressing and reaching their full potential was a priority. Teachers felt good leadership was needed for recovery, particularly the leader's ability to evaluate performance and be honest. This ethos was shared with the students to ensure they were aware the school was now raising its aspirations and redefining the future. The staff felt that if there was a clear and consistent message fed back to the students, there would be understanding and respect in return.

There was a restructuring of staff and managerial positions and the establishment of faculties: some staff left of their own volition, taking voluntary redundancy, while others were made redundant. Middle-level leaders were given more responsibility in terms of quality assurance and holding individuals accountable. Communication was encouraged across departments, to ensure everyone shared the school vision. This led to the staff feeling more empowered. The curriculum was reviewed and revised, in consultation with staff.

There was an increased focus on the quality of teaching. A programme called TEEP provided a framework that allowed teachers to break a lesson down and decide how it should be delivered; this encourages staff to assess lessons, review them and give feedback. It thereby produces new information for staff to work with and promotes consistency. This system is used for data lead planning to ensure every student's needs are being catered for. Teachers were further provided with Continuing Professional Development (CPD) and training to enhance their qualifications.

The first few months of the process also involved looking at attendance: an attendance officer was hired to address behaviour and equipment, ensuring all students had the

required equipment at the beginning of the term. Detention and rewards were addressed, to ensure consistency across staff and the organisation.

Partnerships were formed with other schools through the Red Kite with visits made to other schools and the sharing of good practice. In September 2014, Interserve officially became sponsors, and the school became Crawshaw Academy, part of the Interserve Academies Trust.

Whilst the Ofsted inspection report in November 2015 identified that 16 to 19 study programmes required improvement, the report was overall graded as 'good'. The effectiveness of leadership and management, quality of teaching, learning and assessment, personal development, behaviour and welfare, and outcomes for pupils were all rated as 'good'.

Actions

Understanding the Current Picture

One of the first steps was to examine many different sources of information measuring the performance of the school, including complaints made against the school by parents or other organisations, such as previous Ofsted reports, pupils' progress, and demographic differences, i.e. gender, socio-economic background and special needs. Communication and feedback from students was encouraged, and the school particularly solicited any concerns they may have had. During this period, the views of parents, pupils and staff, Ofsted inspector observations, and discussions with other leaders were all taken on board:

"But it's sort of students' views, inspector observations, looking at documentation and then discussions with leaders, parents, those sorts of things, and kind of triangulating all of that information."

External Support

External support was provided by the Red Kite Alliance. This involved the sharing of skills and experiences from other schools. Further support was provided by the Interserve Academies Trust.

New Systems of Support

A new programme of support was introduced, namely the TEEP. This allowed teachers to effectively keep track of what changes were required with their teaching, whether the students were reaching their full potential and how they could provide the appropriate support.

A Clear Set of Values

With the appointment of the new school head, one of the first actions was to restate the visions. These were made clearly visible, displayed around the school, and referred to in key policies and documents. This was seen by those interviewed as fundamental; the clear vision of what the school could achieve and what the school could be was thought to be what had helped the transformation commence. Once the leadership was established, along with these values, and the values had been communicated amongst staff and students,

positive changes were seen and felt by all. The visions were shared as widely as possible, starting with the leadership team, and embedded in all activities.

Aligned with this were the improvements to the behaviour policy. This involved a more consistent and equitable approach to how behaviour was managed and dealt with, including appropriate punishments for poor behaviour and rewards for good behaviour. The new sponsors, Interserve, introduced a new uniform to encourage a sense of community and identification with the new school brand:

“The new head has a very clear vision of where we’re going and very practical policies that really make sense, and there was a very positive kind of feeling around that.”

Governance

As the initial academy was external to the local authority, there were some challenges in relation to the existing governance arrangements. Staff felt that, before the changes had taken place, the governors had not been challenging enough. A new governing body was brought in and the staff felt that, with this, positive changes were taking place, with fresh challenges and accountability.

Change in Culture

Within a short period, the new headteacher had gained the commitment of the staff and students to work together. The students noticed a real difference; they now felt the staff were there to enable them to do better:

“So there was that start of that change in the culture within the school, and that ethos of sort of higher expectations and aspirations, but also more of a collaborative ethos in terms of everybody’s in it together.”

New Leadership Team and Restructure

A new headteacher was appointment and, once this change had become established, a process of restructuring took place. The appropriate responsibilities were allocated to the appropriate faculties. This involved some redundancies and the creation of new roles to meet the needs of the pupils and support core subjects. Some staff left; the staff who shared the vision were retained and newly qualified staff recruited.

Engagement with the Community

A number of ways to engage with the community the school serves were developed, including ‘Lauren’s walk’, which is an annual ‘three peaks’ challenge held in memory of a year nine student. Parents, students and staff take part in charity work, such as supporting children in need, and other activities encouraging the community and school to work together:

“They all get t-shirts and they go on the bus and some do one peak, some do two peaks, some do three peaks, but that really brings people together.”

Communication

A substantive focus was to develop two-way communication processes. Staff now feel they can raise concerns if things are not working, and due to the culture shift, asking for help is not seen as a weakness. The communication across departments allowed clarity on roles and responsibilities. Communication from students was encouraged, to give them a voice to raise any concerns they might have about the school or the changes taking place, particularly during the implementation of the new behavioural system.

Open communication between staff and parents was encouraged, and parents felt more comfortable contacting teachers about concerns. Rather than just calling parents with bad news about their children, staff now call to inform parents of their children's good behaviour, which serves to reinforce positive communication:

"To phone them to say 'oh they've done really well on that, just to let you know the sanction they had for yesterday, they've done it and they were great', and to hear, 'Brilliant, thanks for supporting, really appreciate your help'. Suddenly that parent has had a phone call from the school which is not negative."

Embracing Technology

The academy introduced a web-based tracking package called Sisra. This allows the teacher to look at progress data using a simple program. Complex data can easily be brought up, which has turned out to be very useful during meetings, parents' evenings and to show the students visually the progress they are making:

"You can identify your immediate priorities for whatever your benchmark indicators are. You can look at, literally the click of one button, you can look at what your gaps are."

Training Days

A priority for the new headteacher was to provide ongoing training and CPD to staff, which resulted in the staff feeling valued and cared for. The new head felt a commitment to provide development opportunities to the current staff, to encourage them to lead within their departments and, over time, to support succession planning and sustainability:

"You've got new staff joining; they're quickly recruiting high-quality teachers but also making sure that staff receive the training they need to sort of maintain their practice at the highest level."

Case Study - Sirius Academy North

Background

Sirius Academy North was given a rating of 'inadequate' for overall effectiveness after the 2014 Ofsted inspection, and the school was placed under special measures. As a result, it went through several major changes and a significant journey of improvement.

In the first six months of that journey, they focused on addressing the most urgent aspects, such as obtaining stronger external support from the neighbouring school, Sirius Academy South. Other changes involved appointing new sponsors, restructuring the leadership team and improving fundamentals such as pupils' behaviour and attendance. Once these had been established, the focus during the next 12 months was on embedding new structures and processes, creating stability amongst the staff and concentrating on educational attainment and pupil engagement. Key priorities were addressed, benchmarks determined and a robust action plan created. Key milestones were integrated, against which performance was measured regularly.

In December 2015, another Ofsted inspection rated the overall effectiveness as 'good'. The proportion of pupils achieving five A* to C GCSE grades, including in Mathematics and English, rose significantly. The proportion of pupils making the expected progress in Mathematics in 2015 doubled compared to in 2014. Daily attendance has increased significantly and is now above the national average.

Actions

Restructuring and New Leadership

During the first six months, there was a process of restructuring, leading to several redundancies and the headteacher's resignation. Following on from this, a new Executive Headteacher was appointed and a new leadership team established.

The previous teaching allocation model had involved teachers covering a number of subjects. The new model, developed as part of the restructuring process, led to the recruitment of newly qualified teachers specialising in core subjects such as English, Mathematics and the Sciences. A new lead teacher role was created, with the responsibility to lead some staff training and the development of pupils' progress at Key Stage 3. These lead teachers also tracked pupils through the academy and implemented intervention strategies to support individual pupils identified as not making the expected progress.

Other structural changes took place during this period; the school day was restructured, shortened from 8 a.m. to 4 p.m. to 8.30 a.m. to 3 p.m. The school was rebranded as Sirius Academy North (previously 'Thomas Ferens') and a new uniform was introduced. From this point on, a new positive attitude among staff and pupils became apparent. The response from the pupils to the rebranding was positive and this influenced the outlook of the school and improved the mindset in the community. Giving the school a clear sense of identity was a positive thing.

Interviewees stated that, after the implemented changes, they felt more confident, for example:

“if the leadership is not in place, if they’re not convinced that the person or the people at the top are leading the academy in the right direction, that can cause major, major upsets. A ripple effect right through the system, right down to the students within the academy.”

Quality Assurance

A quality assurance system was implemented, supported by a quality assurance assessment to ensure all quality metrics were being correctly assessed. This system helped individual staff members identify areas for development and the processes required to move forward effectively whilst maintaining the correct form of communication across staff and pupils.

Middle-level leaders took responsibility for quality, ensuring the work of their departments remained satisfactory by conducting lesson observations, work scrutiny and learning walks. As a result, they have been able to provide support and training to staff to develop their teaching skills. This was quite a transition for staff at first, who felt they were being constantly scrutinised. However, the value of the robust quality assurance and performance management process has now been realised by staff:

“We all have a quality assurance throughout the year; we’re informed to do it on a particular week and we have, like, a calendar we follow. So we have that and it’s all in there, which shows what has happened; if there was something that we needed to be picked up on, what’s been actioned and what’s the outcome been. So you can start to see that whole journey through it.”

New Structures and Governance

From September 2014, Sirius Academy West was supporting the academy. Sirius Academy North became part of the Sirius Academy Multi Academy Trust from 1 September 2015. The school’s partnership with Sirius Academy West enabled the sharing of resources, ideas and strategies. Despite this being a different way of working, the new structures and governance arrangements were seen as positive:

“I think a smaller multi-academy trust, it’s much easier to manage that and share that good practice. So that’s, I think that’s worked out pretty well for us”.

Communication

After the school was put under special measures, an open question session was held with members of the local community, enabling them to raise concerns. This provided the school with the opportunity to respond to pupils’ concerns and give pupils a voice, which had not been available before. Student voice or pupil consultation was introduced, through structured forums about changes that affected them. Giving feedback and getting involved has allowed the pupils to feel listened to.

Other forms of feedback were gathered via staff and student satisfaction surveys. Additionally, a member of staff 'walks the corridor', engaging with the pupils and other staff members; this informal communication has allowed everyone to raise concerns, collectively listen and encourage change. Explanations were given to staff and pupils:

"to explain why we were driving both the staff and the students so hard, why it was going to be so difficult to get through, and that was communicated as well. All along the way, we knew it was going to be a tough journey."

Focus on Educational Attainment

Educational attainment was identified as a key priority for increasing future opportunities and raising pupils' aspirations by providing a better education. The curriculum was changed completely in September 2014. At Key Stage 3, there was greater focus, in all subjects, on developing the literacy and numeracy skills of the pupils. More emphasis was placed on planning lessons which would ensure the progress of all pupils, regardless of their starting point. A clear policy for marking and giving feedback to pupils was developed. An 'expert learner' programme was implemented; this linked the development of pupils' skills to tangible and meaningful rewards and perks, such as a free breakfast. 'Expert learner' pupils are now given badges to showcase their success to other pupils.

Pupil and Community Engagement

Activities were developed to engage pupils, including an assembly and tutor programme to help them understand the democratic election process in Britain. Pupils are encouraged to be involved democratically by appointing form representatives and house captains. Once a year, an event is organised in which pupils from years 7 to 11 are nominated for the most improved, most outstanding and greatest achievement. Pupils, parents and teachers attend, bringing the school closer to its community. Awards are presented in the City Hall and the event is captured by a professional photographer:

"For some of our kids it's like absolutely amazing because it's quite a grand building; quite a lot of our kids don't even go into town that often, so to take them there is amazing. And they perform on the stage as well."

Performances are also organised by the drama and music department, encouraging pupils to take part in extracurricular activities. This has encouraged staff and pupils to build stronger relationships with each other and the local community, and enjoy other aspects of school life.

New System for Managing Behaviour

A new system for managing behaviour was developed, underpinned by a clear policy. Previously, pupils' behaviour was managed using the same punishment for everything. For example, pupils could be given an hour's detention for being two minutes late for class or for being involved in a fight. The new behavioural system devised appropriate punishments related to the severity of the offence. Staff felt the response to this change was positive:

“Our kids responded really well to it and I think things actually changed; some of the kids really liked it.”

Another programme, 'Positive Steps', was implemented to support this system. This is a structured programme for those pupils who need more support to improve their behaviour. Pupils are taken out of lessons for a short time to work on their coping skills. The impact is monitored and pupils are quickly reintegrated back into lessons.

Case Study - HM Brinsford Prison

Introduction

HM Brinsford Prison is a male juveniles' prison and a young offenders' institute located in Featherstone, Staffordshire. It was opened in 1991 and is located adjacent to Featherstone Prison, which is a category C prison. Currently, the prison comprises five residential units for:

1. Sentenced and Remand Juveniles
2. Sentenced Young Offenders
3. Young Offender Trials and Sections
4. Young Offender Inductions and Remands
5. Sentenced Young Offenders (additional unit)

Education is provided by Derby College. Courses include literacy and numeracy, social and life skills, communication and application of numbers, practical crafts, visual art, cookery, information technology, painting and decorating, woodwork, horticulture and physical education. Other services include Connexions, the Samaritans, a Job Centre, a gym and sports pitches.

Background

The prison has been in the news since 2001, following an inspection in 2000 that was the first at the prison for over six years. The report disclosed a high level of neglect, and a lack of understanding of the needs of the prisoners. The managerial arrangements at the time were not delivering a consistent standard of treatment and not following forthcoming legislation, such as the European Convention on Human Rights, the UN Rights of the Child, the Children Act 1989 and associated Child Protection Procedures. Under the Youth Justice Board (YJB) policy, the prison must create a learning environment; there had been no development of such an environment at Brinsford. Indicators were found of self-harm, fear for one's safety and bullying, with most of the prison population at risk.

The prison was inspected every three years thereafter, with additional visits in intervening years. All inspection reports provide a summary of the conditions and the treatment of the prisoners, based on the four tests of a healthy prison first introduced in this inspectorate's thematic review, 'Suicide is Everyone's Concern', published in 1999. The criteria are:

- Safety: prisoners, even the most vulnerable, are held safely
- Respect: prisoners are treated with respect for their human dignity
- Purposeful activity: prisoners are able, and expected, to engage in activity that is likely to benefit them
- Resettlement: prisoners are prepared for their release into the community and helped to reduce the likelihood of reoffending

The inspections in 2001, 2005, 2008 and 2011 reported some improvements but also focused on certain concerns. Staff were seen as more competent and confident, prisoners felt safer and more cared for, but the risk assessments of those sharing cells raised

concerns, as did the education of the prisoners; they were found to be well below the expected performance level for reading, literacy and numeracy. There was also a failure to ensure even adequate treatment of, and/or conditions for, prisoners for whom immediate remedial action was required.

It was acknowledged that changes, such as in the leadership and the governors, were required. Other organisations contributed to the changes, namely the Director of Social Services in Staffordshire, the Regional Health Authority, NACRO (a social justice charity), the De Paul Trust, the Pre-School Alliance and the very active and supportive Board of Visitors. An anti-bullying strategy was required, as was more purposeful activity as the prisoners were confined to their cells for a large amount of time.

An operational manager was brought in to address inconsistencies in health between children and young adults, and to encourage consistency in the direction of treatment and conditions, as there was previously no one available to ensure this was the case for the young adults.

By 2009, significant improvements in the relationship between the staff and young people were apparent, and diversity was being managed well; however, serious weaknesses in the collection of data and the investigation of violent incidents could be observed. Four out of ten prisoners still felt unsafe. There was no service addressing the mental health of prisoners, and concerns were raised about the primary care and management of the inpatient unit. Over a third of the prisoners were locked in their cells during the working day. Progress was acknowledged within the education, training and work department, but further concerns were raised, such as lack of attendance. Drug and alcohol work was well managed but there was a lack of interventions. The resettlement policy was reasonably comprehensive but the implementation was not effective.

The inspection in 2011 acknowledged that progress was being made: healthcare had undergone a positive transformation due to a better quality of environment, and learning and skills provision and vocational training had both improved. However, further, more significant changes were required to deal with the violence and bullying, first night cells, and the quality of the accommodation, so as to provide a safe environment. Relationships among the staff and the young people were positive but the experiences and perceptions of prisoners from black and ethnic-minority backgrounds needed addressing.

The inspection in 2013 resulted in the prison being put under special measures and receiving financial support. Reported levels of violence compared to other similar organisations remained high, with evidence of under-reporting of incidents. There was a lack of structure in managing and supporting vulnerable prisoners. The number of prisoners with the potential to self-harm was high, but only a small number had been identified; when investigated, the prisoners explained they had been threatened or bullied, and the management of this was poor. The prison was still not providing a safe environment, and prisoners disclosed that getting illegal drugs was easy.

Recovery

The initial response of the organisation after the 2013 report was to reassign the role of

leader, and the new incumbent put forward a clear new strategy. As well as external forms of measuring the journey to success, the Service developed its own form of assessment, using the measures used by Her Majesty's Inspectorate of Prisons (HMIP). Based on internally addressing the areas of development, the Service was able to work alongside the HMIP on future reports and investigations.

As a result of action taken between the 2013 and 2014 inspections, the following improved outcomes were achieved:

Criteria – Healthy Prison Test	2013 Inspection	2014 Inspection
Safety: prisoners, particularly the most vulnerable, are held safely	Outcomes for prisoners were poor	Outcomes for prisoners were reasonably good
Respect: prisoners are treated with respect for their human dignity	Outcomes for prisoners were poor	Outcomes for prisoners were good
Purposeful activity: prisoners are able, and expected, to engage in activity that is likely to benefit them	Outcomes for prisoners were poor	Outcomes for prisoners were not sufficiently good
Resettlement: prisoners are prepared for their release into the community and effectively helped to reduce the likelihood of reoffending.	Outcomes for prisoners were poor	Outcomes for prisoners were not sufficiently good

Further changes to the prison's vision are being developed: the next steps will involve addressing how these changes can be sustained.

Actions

A Clear Set of Values

The new governance approach encouraged clear goals, clear outcomes and clear benefits. This involved the staff working together to achieve the vision that was set out during the initial changes. In addition, having management committed to delivering what the organisation is focused on, inspires the staff to feel responsible for contributing to the overall objectives and vision, and outcomes of the organisation:

“There’s good dialogue about moving forward and that’s become business as usual. So, continuous improvement and development is an everyday thing.”

Governance

The new governor set guidelines for the whole Service to follow, under FED: future, engage and deliver. The strategy was to explain the future vision, which was kept simple and linked to the steps in the rehabilitative triangle, working from the most basic step - safety and decency - to the next step, rehabilitative culture. Once this step had been dealt with, drug and alcohol issues were addressed; following this, new attitudes and thinking were developed within the Service:

“what he did really was set a very clear vision, set his clear priorities around that triangle and then, what was key is, they were communicated to everybody. So, and not just communicated, everybody knew them and it was in your STDR, which is like your appraisal, so that everybody knew what these were.”

Communication

An environment was developed to encourage open and honest communication, in which people could talk freely about difficulties they were having at work, and to work collaboratively to formulate solutions. This aided the development of positive relationships between the staff and service users, with the environment being described as providing a ‘sense of community’.

Regular Meetings

Monthly meetings were conducted to keep track of the progress Brinsford was making during the improvement journey. Management team meetings were conducted, where governors came together and discussed the progress against set targets and what was being done internally. The team would be challenged on various points if the governors felt there was a need for a shift in focus.

Internal Changes

There was investment in the prison estate, involving major changes to the environment. In addition to improvements in staff training, the building was being completely refurbished, with one wing shut down at a time. This involved changes to the rooms, such as décor, and also the repairing of broken windows and cleaning of graffiti:

“I think that was absolutely a measure of a changed culture, when people feel empowered and engaged actually to be able to, you know, forge ahead with trying to carry on improving things.”

External Partnerships

External support services are developing activities to encourage the engagement of service users. These services allow individuals to develop skills and gain access to interventions to stop drug use in the prison. In addition, they encourage people to engage in activities that will prevent them from reoffending.

Strong relationships have been built with charitable organisations; also, the Department of

Work and Pensions (DWP) has individuals contracted to deliver healthcare services. Mentors are provided by mosaic, part of the Prince's Trust. Partnerships with Birmingham University and Milton Keynes College have addressed issues around bullying and victimisation, as well as education and activity to support rehabilitation, integration into the community and a reduction in reoffending:

"We'll work with them to make sure they've got accommodation on release that will enhance their prospects of getting a job."

External Support

Once the new governor was brought in, external support was invited into the organisation: MPs and the Prison Reform Trust were asked to come in and conduct a review of Brinsford. This resulted in further, open discussions on the institution's next steps.

Financial Support

A large financial capital investment was provided to Brinsford, which went into repairing the building. One of the main issues picked up by the report was the first-night centre, particularly important for the most vulnerable of offenders, some of whom may be in prison for the first time, and this took priority. Gates were removed around the prison to encourage freedom and autonomy; this allowed the service users to feel more independent regarding their progress and rehabilitation:

"They were getting decent living accommodation. We got them clothing. They were out for their regimes; we've got more work spaces. We got our senior officers back on the units to support them."

Measures of Success

Success is measured internally, using the HMIP checklist each month to ensure progress is moving at an acceptable rate. This is split into organisational and departmental monitoring, as well as monitoring by the headquarters.

Success is measured externally using the prison scorecard from the HMIP and through various audits conducted throughout the year. The MQPL (Measuring the Quality of Prison Life) is used and involves interviewing prisoners on their experiences.

Table 8 HM Brinsford Prison: summary of improvement

Criteria – Healthy Prison Test	2013 Inspection	2014 Inspection
Safety: prisoners, particularly the most vulnerable, are held safely	Outcomes for prisoners were poor	Outcomes for prisoners were reasonably good

Respect: prisoners are treated with respect for their human dignity	Outcomes for prisoners were poor	Outcomes for prisoners were good
Purposeful activity: prisoners are able, and expected, to engage in activity that is likely to benefit them	Outcomes for prisoners were poor	Outcomes for prisoners were not sufficiently good
Resettlement: prisoners are prepared for their release into the community and effectively helped to reduce the likelihood of reoffending	Outcomes for prisoners were poor	Outcomes for prisoners were not sufficiently good

Case Study - Newport Youth Offending Service

Introduction

Newport Youth Offending Service (Newport YOS) is one of four youth offending services remaining out of an original seven, following a reduction: one each in Newport and Gwent plus two in Monmouthshire remain. The two-year process of recovery caused some concern at the time but has enabled the development of a more efficient service.

Background

Based in South East Wales, Newport YOS is a multiagency team coordinated by the local authority and overseen by the YJB. The service works with young offenders serving out the Court's sentences either within the community or in a secure estate. The YOS engages with other organisations, to provide a wide variety of work to ensure they achieve their aims, and to set up community services.

Newport YOS has undergone several inspections by the criminal justice, social care, health, and learning and skills inspectorates. This includes the annual joint HM Inspectorate of Probation inspection.

Issues of concern that had been identified included high numbers of young people going into custody, YOS staff not ensuring sentences were fully served, the special needs of students, reoffending, a failure to prioritise the protection of the public, children and young people, and low attendance by children at their placements, which in turn negatively impacted on their education.

The inspection in 2014 also uncovered staff issues: a lack of confidence and high caseloads, even for unqualified and unsupervised social work assistants; growing poor practice, due to a lack of appropriate training; and a lack of communication among staff, management and governance, resulting in the dysfunctional operation of services. Other public organisations working closely with the service, such as schools, were unclear of the YOS process.

Recovery

This was a two-year process. Staff described it as '*starting from scratch*', after the first inspection, particularly around job roles and responsibilities. They were unclear on how to provide the right support for the users of the service, so were put on mandatory training. The biggest changes involved the police, education and ensuring sentences were coordinated and aligned. It was recognised that establishing strong relationships with external organisations was vital: relationships were rebuilt, leading to protocol data sharing with schools being setting up, and a better understanding of the educational needs of the service users.

The second inspection in 2016 was significantly more positive; development from this continued, which encouraged further change among the staff, reaffirming the focus of the organisation:

"But, again, it's building on, you know, trying to kind of develop that kind of, that team working, the ethos, the kind of sharing of good practice. So all the regularity of meetings, so that information is shared and timely; it's how do we sustain and kind of

build on this because that's our benchmark, our last inspection."

Success was measured by the reduction in the numbers of entrants into custody and reoffending rates; figures were lower than in other services within Wales, although protecting children and young people was still deemed unsatisfactory and an area to be worked on.

Actions

A Clear Set of Values and a New Focus

A new value and mantra of the youth justice workers and social workers in the service is to never propose custody no matter what a child has done, to always offer an alternative option, as once a child has gone into custody, their chances of reoffending increase significantly:

"let's look at what needs to be done and how best to do it. So bringing in fresh eyes, bringing that motivation and challenge that we probably wouldn't have had."

Governance

Leadership was the first issue addressed. The YJB facilitated a workshop clarifying roles and responsibilities and what was expected from the organisation. A new Chair of the Board and board members were recruited. Staff felt that, after the new board was established, the organisation began to follow lines of enquiry; individuals felt safer as they perceived the board to be functioning as it should:

"...actually makes the whole thing much safer because, you know, if the YOS is not functioning as it should be and the board is functioning as it should be, then the line of sight is better, so that's one aspect."

Team Restructure

This fundamental shift in values and ways of working was a difficult time for some staff members, and some of the staff left or took long-term leave. The head of the service was supported by the secondment in of another well-experienced head of service from another YOS to provide ongoing support and mentoring. New roles and responsibilities were established, and the staff voice was finally felt to be being heard. A new education representative was recruited. The service had a gap between youth offending and integrated offender management (IOM); at the point of change from youth to adult there was no form of transition. Appointing an officer from the IOM team aided a smoother transition between the two. This restructure has encouraged a united focus on the future of the organisation:

"There [has been] an increase in morale; people felt they were pulling together; they could start to see the differences and were really proud of that, justifiably."

"The attendance starting going up within the governance; higher presence coming here, meeting the team, coming to team meetings occasionally, being much more interested. So that changed the dynamic."

Communication

After the first inspection, regular meetings were conducted across all hierarchies to discuss

governance, management, staff, and encouraging the sharing of positive news stories and areas of improvement. Weekly and monthly meetings involved looking at the post-inspection plan, on which various groups had their own tasks and audits, i.e. education, youth offending, external body involvement, e.g. Communities First, a part of social services and Careers Wales. To ensure service users received appropriate support, regular meetings were implemented to communicate with the Lead Education Welfare Officer and the residential children's home staff.

"I have a regular quarterly meeting with the YOS managers and we talk a lot in between as well. So these are the heads of service and we talk about a number of things, and the looked-after children being one of them, as long as we keep that regular dialogue."

Analysing Information: Asset Plus

An assessment tool was brought in to address young people's journey through the criminal justice system, and make information readily available. This allowed the youth offending team, custody staff and other organisations involved to share information among themselves:

"it's being able to kind of look at them, you know, much more clearly in terms of the specific behaviours, rather than everything kind of ending up in the evidence box and more jumbled in terms of the behaviours."

System Change

There was a significant restructure within the team and the service. This was aided by the appointment of a senior member of staff as the new team manager. The original YOS, education and social services prevention teams were integrated into one team to deliver YOS, educational and social care outcomes.

Adding prevention to the family support function aided the seamless transition from the first interface with family and issues, through to acute need. This enabled various tasks to be carried out, mainly focused around restorative justice and providing short interventions for young people coming under the remit of the service for the first time. Newport was one of the first of these services to include a primary mental health function within the organisation.

Collaboration and Working in Partnership

Although the direct management is provided by Newport City Council, other organisations work closely with the YOS, i.e. social services, probation, the police, substance misuse, health and education. Communication between the services was greatly encouraged. Inspectors were able to suggest where support, guidance and help could be offered from the start:

"Sharing statements, information or assessment data that the schools have, back to the YOS. So it was more of a two-way process."

Analysing Information

Following the first inspection, performance indicators were benchmarked and then compared

during each monthly meeting, quarter-on-quarter and annually. The resulting reports enabled managers to address progress and ensure the system's correct and efficient running. It also facilitated audits, based on which tasks could be set to target key issues and areas most needing improvement. The team could view their performance, further encouraging honest communication and a shared vision of the organisation.

Projects

Funds and experienced individuals were provided to the YOS and other services to help develop projects such as the Duke of Edinburgh Award, the Sweet project and the Discrete community education project that encourages service users to develop their skills and interests, and provides further support with education, or simply experience. Additionally, APIS (Assessment, Planning, Intervention and Supervision) workshops were run fortnightly for young people:

“its outcome based in terms of the intervention plan as well. So it's not just around supporting a young person to not offend, it is about looking at reducing the risk of harm. It is about reducing and looking at the kind of safety and wellbeing issues and it's about looking at what can we do to support this young person in terms of their future goals?”

Training

Previously, staff had been feeling increasingly unvalued and stagnant, due to the lack of further professional training. Now, they receive regular training to increase their confidence in their role, to ensure they obtain the correct qualifications for their role, and that they are able to provide appropriate support to service users.

Table 10 Newport Youth Offending Service: summary of improvement

Key Judgments	2015	2016
Reduce reoffending: Work to reduce reoffending	Poor *	Satisfactory ***
Protecting the public: Work to protect the public and actual or potential victims	Poor *	Satisfactory ***
Protecting children and young people: Work to protect children and young people and reduce their vulnerability	Poor*	Unsatisfactory**
Ensuring that the sentence is served: Work to ensure that the sentence was served	Unsatisfactory**	Good ****

Governance and partnerships: The effectiveness of governance and partnership arrangements	Poor*	Satisfactory***
Interventions to reduce reoffending The management and delivery of interventions to reduce reoffending	Poor*	Satisfactory***

Conclusions

This research has examined sector organisations' failure and recovery. The in-depth case studies present illustrations of how organisations have recovered using the EEA resilience model to theoretically underpin the key strategies and actions taken. Common themes or actions that arose out of the case studies across the quadrants were the following:

- A clear set of values and a new focus
- Governance
- Team restructure
- Communication
- External support
- Analysing information
- Embracing technology
- Training
- Collaboration and working in partnership

It is clear there are commonalities between the organisations in how they strategised and prioritised the actions they took to remedy the failure, a focus on understanding what was important by restating their values, and developing a culture of transparency and openness: Leaders/Executives should consult meaningfully and regularly with all levels of their staff. Other commonalities include developing more robust internal processes and policies for governance and quality assurance, developing staff and adaptive capacity through new pathways, and a multiagency approach - working together to understand shared challenges and future risks. To achieve this, Leaders/Executives should aim for a workforce that includes multiskilled practitioners and staff at all levels, to increase adaptability.

Whilst there is often the idea that installing a new leader or organisational CEO is a panacea for organisational failure, and this did happen in most of, many of the case studies, it is not just this that turned these failing organisations around, but rather a cultural shift, a prioritisation of activities that sometimes represented a shift away from the status quo and were more aligned with the long-term strategy and values, and a focus on the needs of the community/citizens served. As a basis for this process, Leaders/Executives should 'own' the organisational failure, as well as the associated Action Plan for recovery.

This was a challenging journey for many. Transparency and openness made some feel vulnerable and under scrutiny, and accurate recording made performance appear worse before it got better. In addition, there needed to be an acceptance of the 'categorisation' of failure, and that things could not stay the same any more. There needed to be a fundamental shift in the way things were done, and the thread of active collaboration within the organisations, and between them and external bodies and groups, is notable. Many felt that, whilst that this journey was tough, it was also worthwhile. Under leadership that fostered autonomy and ideas, they could test new ways of doing things, which led to measurable improvements, particularly for the community/service users. Organisations seeking to achieve similar improvements should ensure collaboration with external agencies and other sectors is demonstrable throughout the organisation, not just at the executive level.

An obvious limitation of this research is that it was focused on the CJS and education sectors. Despite this, the potential for learning from other public-sector organisations' broad

approaches to failure, and the translation of these themes into healthcare, is apparent within the current changing healthcare policy landscape. For example, there is a need for improvement and to develop a learning culture^{3,4}. This can in part be achieved through training, and this has been acknowledged throughout all levels of healthcare professions. Examples include the following: the NHS Leadership Academy's Executive Fast Track Programme; Health Education England is developing training films to support students and clinicians in their training; and new technological solutions are being provided, such as those offered by the development of TEL (Technology Enhanced Learning) programmes in healthcare³⁵. Similarly, the launch of the MyNHS website, the design and delivery of a new National Patient Safety Collaborative Programme led by NHS Improving Quality, and the more frequent publishing of 'never events' from 2014, provide examples of the appetite within healthcare to communicate, gather data, collaborate and share information across organisations and the wider community. Initiatives such as these mirror those that have produced positive outcomes for the organisations featured in this current research's case studies. Similar evidence-based practice should be demonstrable throughout organisations seeking to improve.

Also apparent is the need to examine and amend governance, team members and team structure within hospitals, following the actions taken in the wake of the Mid Staffordshire failings: across 19 hospitals placed under special measures, 129 board-level leadership changes were effected³. Such endeavours can be effective, whatever the current level of the organisation's reliance: waiting for an extreme catalyst, such as being placed under special measures, before taking action is unnecessary and ill-advised. It is incumbent on responsible healthcare leaders to engage with the lessons learnt within the educational and CJS environments, an objective expressed by the NHS Constitution Pledge 2, which states that the NHS should work across organisational boundaries and in partnership with other public-sector organisations.

The multifaceted approach taken by the organisations participating in this research reflects the need to address failure from a system perspective; organisational failure arises not just from the decisions of individuals but is also the product of local and national systems within which those individuals and organisations operate, together with the political, economic, social and macro context. When organisations put in defences (e.g. at individual, departmental, policy and governance levels), the conditions create weak points in different aspects of the organisational processes, allowing failure to occur¹².

Recommendations

The research has identified some recommendations for health and other public-sector leaders with an interest in developing organisational resilience and facilitating rapid recovery from failure. Whilst the research team recognise that further research and development of the Engineering resistance, Ecological resistance and Adaptive Capacity ('EEA') model is needed to establish stronger validity it still provides a useful framework and reflective tool for strategizing responses to failure.

1. A Strategic Response: the application of this model by NHS Leaders could encourage a better understanding of the functioning of the healthcare organisation, department or speciality they are responsible for. Also, the application of this model to a healthcare setting could improve leadership skills and processes, in turn addressing more strategically issues of indicators of failure.

2. To Sustain Improvement within Organisations: the EEA model allows the user to understand and make substantial changes within the organisation during times of failure. The research has found common factors which involved rapid changes among all case studies.

Engineering resilience was reflected in developing strategies around adopting a standardised approach to provision. These strategies included structural, budgeting, commissioning and leadership changes to the key agency(s) providing the provision. In addition, organisations defined clear standards and increased responsibilities in accordance with key priorities and set key action plans and annual reviews.

Ecological resilience was reflected in confidence in the organisation's strengths and abilities to alter its functions and processes as necessary through strategies and development of systems. This was done through the revision of procedures, inspections and practises, further training and identification of failure as well as refinement of aims, standards and criteria.

Adaptive Capacity resilience was reflected in the organisation having pre-existing abilities to adapt. This involved adopting a multi-disciplinary response, expanding capabilities and identifying complex cases, containing new methods of support.

The next step after overcoming 'failure' will be to make these changes sustainable. This could be achieved by developing more robust internal processes and policies for governance and quality assurance, developing staff and adaptive capacity through new pathways, and multi-agency working to work together understand shared challenges and future risks.

3. Instant Recognition of Areas of Improvement: Further recommendation is the application of the EEA model within all areas of the organisation. With focus on the model being utilised by management, governance and policy makers. Furthermore, the model is fitting to be used within the NHS where the multi-faceted approach can be taken by the primary care organisation leaders to recognise the need to address failure from a system perspective. Organisational failure arises not just from the decisions of individuals but also

the product of local and national systems within which those individuals and organisations operate together with the political, economic, social and macro context.

Appendix 1

Evidence Scan/Resilience Framework

The resilience framework was developed from a Delphi exercise, with a focus on failure and resilience in public sector institutions. Narrative synthesis was provided, as well as the assimilation of both qualitative and quantitative research and policy documents. To minimise bias and allow future replication, PRISMA guidelines were adopted³⁸.

Search Strategy

An evidence scan protocol was developed to ensure the intended aims were met. This was reviewed and accepted in February 2016 at the University of Leicester. Three electronic databases were chosen, PubMed, Web of Science and OVID, to provide access to peer-reviewed journals. The following search terms were used (see Table 1).

Table 1 Search terms

Search terms
Special measures OR Failure* OR Failure Regimes* OR Harm* OR Death* OR Quality* OR Care* OR Resilience
AND
Police* OR Offender* OR Crime* OR Criminal* OR Criminal Justice OR School OR Education* OR Academy school* OR Prison OR Probation

The inclusion and exclusion criteria used were as shown in Table 2.

Table 2 Selection eligibility criteria

Inclusion criteria	Exclusion criteria
<ul style="list-style-type: none">- Articles written in English within any geographical boundary- Quantitative and mixed-method studies, reports, guidelines on the education, police or criminal justice sector- Peer-reviewed articles within the academic search- Documents received from the Delphi exercise and those found in Google Scholar search- Articles published between 2005 -2016	<ul style="list-style-type: none">- Articles not written in English, or not about the UK education, police or criminal justice sector- Articles published before 2005

From a total of 84,350 articles generated from the search terms, all abstracts were screened based on the eligibility criteria. The resulting 71 key articles were categorised into education, prison and probation, youth justice, police and failure. Failure was added in a separate

column as it would have resulted in duplication if included in the other categories (see Table 3).

Table 3 Distribution of the 71 articles

Education	Prison & Probation	Police	Failure
11	28	29	3

Using socio-technical systems identified by Moray (2000), the included papers were organised into organisational and human factor systems. These were split into four levels of the ecological framework.

Level 1 represents the service users, their key characteristics, i.e. demographics and health issues.

Levels 2 and 3 represent groups/teams in organisational settings, which focuses on the aspect of work involving people with different expertise being involved in the same task. Level 3 is split into a subsection which represents organisations, where team dynamics can be impacted by the organisational culture.

Level 4 represents the wider societal factors such as governmental policy, which impacts all other levels. This level includes national policies, national measures, and organisational success and failure (see Figure 2).

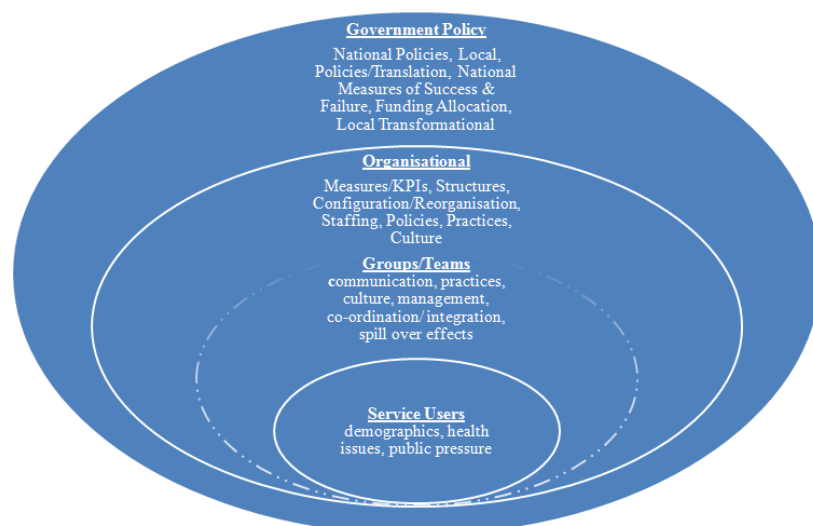


Figure 2 Human factors and ecological framework: failure and resilience within an organisational framework

The analysis involved analysing each of the included research papers and focusing on the main areas of resilience using Holling's three-factor model of resilience:

- (1) Engineering (capacity to rebound or 'bounce back' to their original/optimal/revised state following disturbance)
- (2) Ecological (confidence in one's strengths and abilities, resourceful, and able to alter

one's functions and processes as necessary)

(3) Adaptive Capacity (tendency to have pre-existing abilities to adapt, be flexible and innovative so as to respond well to disturbance)

Interviews

The sampling strategy for the interviews was to target staff at various hierarchical levels working within the public-sector organisations. Five participants were interviewed from Sirius North Academy, seven from Crawshaw Academy, five from Gwent Police Service, eleven from Northants Police Service and six from Newport YOS. Following this, a revised interview schedule was formed.

The interview schedule was divided into four subsections:

1. Typology of failure: addressing what failure means at a system, organisational, individual and service-user level, how it is detected and its significance.
2. Typology of success: addressing what success means at a system, organisational, individual and service-user level, who success is significant for, and what are key factors that affect whether the organisation is seen as a success.
3. Reaction to failure: addressing how the immediate aftermath of failure is dealt with, and the response from the organisation, the regulator and the public.
4. Ecological resilience: addressing how functioning is maintained during failure at a system, organisational, individual and service-user level.
How the ability to recover from failure is addressed from a system, organisational, individual and service-user level, as well as how the organisation adapts.

Each interview lasted approximately one hour, and a total of 34 interviews were conducted. All interviews were recorded using a dictaphone and transcribed. No personal information about the participants was recorded.

Appendix 2 EEA Systems Resilience Model

	Service Users/Individuals	Groups/Teams	Organisational	Policy
Engineering Quick and efficient recovery to an optimal or desired state				
Ecological Strong current system, but altering one's internal processes as necessary				
Adaptive capacity Ability to adapt well, adjust, and be flexible around (future) failure				

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