



HM Inspectorate of Probation's

European Excellence Self-Assessment Report 2002

SUMMARY

October 2002

Introduction and Context

HM Inspectorate of Probation (HMIP) has a history of commitment to and support for the probation service in undertaking its own assessment of practice. Throughout the 1990s the Inspectorate promoted the development of self-assessment arrangements in local probation services. Principally this was through it communicating an expectation for each service to conduct two internal inspections per annum, with topics initially set by HMIP and subsequently by local governing probation committees. Inspection reports were forwarded to HMIP and a central catalogue was maintained with periodic reviews undertaken of their quality.

The Inspectorate found that some good quality self-assessment work had been undertaken, focusing on specific policy and service delivery areas and developing recommendations for action that were followed through by local committees. In a number of areas, however, relatively few internal inspections were completed or the quality of those carried out was poor and there was little demonstrable impact on service performance.

Therefore the adoption of the European Excellence Model (EEM) by the National Probation Service (NPS) as a tool for self-assessment was welcomed by HMIP as a means of both standardising and enhancing self-assessment processes. During 2001 the Inspectorate offered advice to the National Probation Directorate (NPD) on the application of the Model, including the integration of diversity issues. In view of the proposed universal application of the Model within a national service, and the related requirement to conduct Better Quality Services (BQS) reviews, HMIP withdrew the expectation that internal inspections would be completed as before.

These developments occurred towards the end of the cycle of HMIP's substantive regional Performance Inspection Programme (PIP) but Inspectorate practice changed and was informed by the European Excellence Model (EEM). The format of reports was amended so that chapter summaries used EEM language that balanced 'Strengths' against 'Areas for Improvement' (AFIs).

To get the delivery side of accredited programmes for offenders right, the then Joint Accreditation Panel asked HMIP to develop a clear set of standards against which probation areas could be assessed. The Performance Standards Manual developed was informed by the use of

the EEM and areas were encouraged to use the manual to help establish their own quality assurance systems to monitor programme effectiveness. HMIP's audit reports use the EEM headings of strengths and AFIs against each of the published criteria to encourage areas to progress and achieve effective management and delivery of accredited programmes and thus contribute to a reduction in reoffending.

HMIP is now designing its new area programme. The intention is for inspections and audits to be informed by the area's relevant EEM findings in relation to the model.

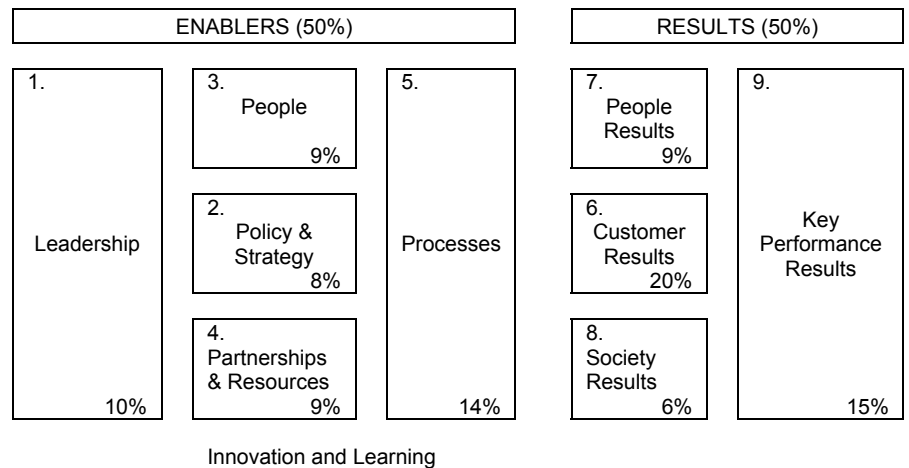
Internally, HMIP made a commitment to gain a greater understanding of the EEM model by providing appropriate training for all staff during 2001/2002, producing a Business Plan for 2002/2003 using the EEM framework and by carrying out its own full self-assessment, incorporating diversity issues.

FRANCES FLAXINGTON
HM Deputy Chief Inspector

October 2002

Description of the Model

The European Foundation of Quality Management (EFQM) Excellence Model® is a framework for assessing and continuously improving organisational performance against internally accredited criteria across the whole spectrum of activities. A model in its own right – it can also lead to quality awards. It is a tool for self-assessment which an organisation can use to assess whether it is doing the right things and getting the rights results *and then plan and demonstrate improvement*. It is used to establish an organisation’s performance, measured both by *results* and by the *enablers* or approaches used to achieve the results.



Self-assessment against the EFQM Excellence Model® identifies many AFIs across a range of sub-criteria within each of the nine criterion above. Performance planning, therefore, is informed by the key AFIs which will go into HMIP’s Annual Business Plan for 2003/2004 and are identified in the Summary of this report.

Summary

The key strengths and AFIs were:

Results

Strengths:

All but one probation area achieved performance improvement at the PIP follow-up inspection stage.

There was evidence that HMIP sought and took account of people's opinions, e.g. PIP and Audit reviews.

All reports were published and placed on the website.

AFIs:

There was a lack of measurable targets in the business plan.

Home Office/Criminal Policy Group (CPG) staff surveys provided insufficient evidence about HMIP staff.

Insufficient attention had been paid to the HMIP website.

There was a lack of follow-up of thematic inspections.

Leadership

Strengths:

Leaders were proactive in their dealings with Ministers and senior civil servants, securing their trust and communicating HMIP's values, concerns and priorities.

The Chief Inspector played a key role in modelling cooperative working with the other criminal justice inspectorates and had recently been appointed Chair of the Criminal Justice Chief Inspectors' Group (CJCIG).

There was strong evidence that HMIP leaders were accessible, operating an open door policy, and receptive to contact from staff.

AFIs:

Leaders had no clearly defined plan in place in relation to the implementation and development of policy and strategy, as there was a lack of clarity about which areas should be left under Home Office policies and those that should be governed by specific HMIP policies.

All leaders modelled a long hours culture which was contrary to Home Office policy.

Policy and Strategy

Strengths:

HMIP's business plan was specifically linked to Home Office and NPS objectives.

There was strong communication and awareness of diversity issues in HMIP.

AFIs:

There was insufficient clarity about the relationship between HMIP policies, guidance, position and briefing papers.

HMIP had no standard format for its strategies and policies or a template for their deployment.

People

Strengths:

There was a strong commitment to diversity issues within HMIP.

Appraisal and the Performance Appraisal and Development Review (PADR) were given a high priority within HMIP, forming part of the supervision policy and with objectives linked to the business plan.

There was a programme of regular team meetings and staff were encouraged to participate in a variety of ways.

AFIs:

There was a lack of clarity about the purpose of some meetings and appropriate staff attendance.

Partnerships and Resources

Strength:

HMIP played a key role in both the CJCIG and the Probation Inspection and Audit Forum.

AFIs:

It was thought that further work was needed to ensure that HMIP is working with appropriate partners and if there are any gaps. Consideration needs to be given to devising a partnership strategy.

There was an absence of a financial strategy.

Processes

Strengths:

There was an evidence-based approach to area and thematic inspections and audits supported by manuals.

Protocols developed with NPD were now in operation.

AFIs:

There had been no systematic evaluation of the effectiveness of the thematic methodology.

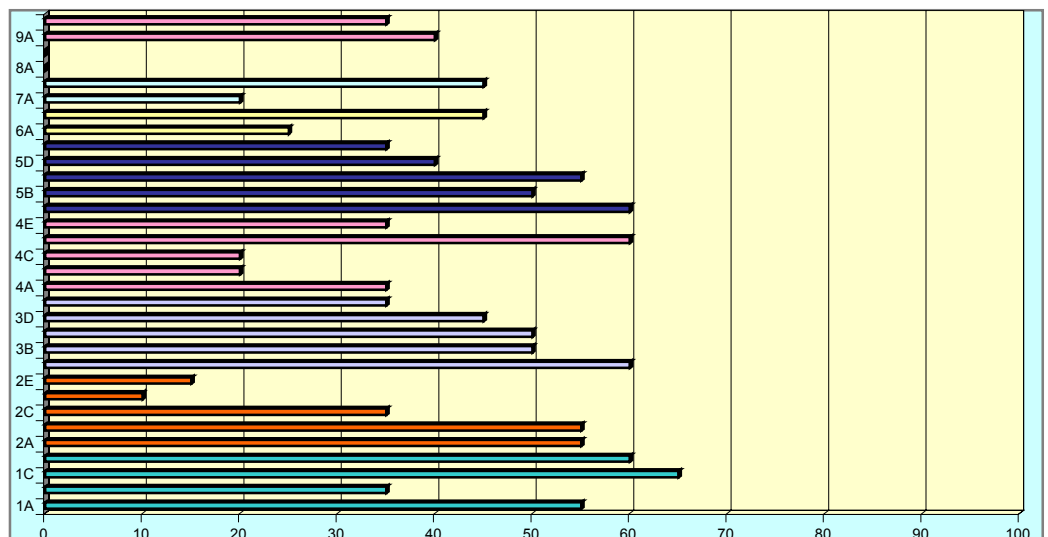
There was no formal strategy for managing customer relationships and therefore the process was not benchmarked.

Score Sheet

Sub-Criterion Scores			Criterion Results
Leadership	1a	55 00	
	1b	35 00	
	1c	65 00	
	1d	60 00	Sub-total: 55
Policy & Strategy	2a	55 00	
	2b	55 00	
	2c	35 00	
	2d	10 00	
	2e	15 00	Sub-total 30
People	3a	60 00	
	3b	50 00	
	3c	50 00	
	3d	45 00	
	3e	35 00	Sub-total 45
Partnership & Resources	4a	35 00	
	4b	20 00	
	4c	20 00	
	4d	60 00	
	4e	35 00	Sub-total 30
Processes	5a	60 00	
	5b	50 00	
	5c	55 00	
	5d	40 00	
	5e	35 00	Sub-total 70
Customer Results	6a	25 00	
	6b	45 00	Sub-total 60
People Results	7a	20 00	
	7b	45 00	Sub-total 25
Society Results	8a	0 00	
	8b	0 00	Sub-total 0
Key Performance Results	9a	40 00	
	9b	35 00	Sub-total 60
Total Score			375

Criterion Score Bar Chart

Graph to Show 32 Sub-Criteria Percentages



Appendix A: Resources

Consultant's fees and expenses:			£3,278.25
EEM team:			
– Travel	£1,418.82		
– Subsistence	£395.55		
– Hotels	£1,231.00		
– Salaries	£5,964.53		£9,008.00
Total			£12,286.25