

Arolygiad ar y Cyd Cyfiawnder Troseddol

# HM Inspectorate of Probation

Independent inspection of adult & youth offending work

## Plan 2010 - 2011

*Helping to improve effectiveness in the Criminal Justice System*

April 2010

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## HM Inspectorate of Probation Plan 2010/2011

*Independent inspection of adult & youth offending work*

### Summary

This Plan describes the key areas of work that we expect to undertake between April 2010 and March 2011, and why we are doing them.

Our aim is to promote improvement in the Criminal Justice System (CJS) in general, and in adult & youth offending work in particular, and we describe how a well-focused inspection regime can fulfil this aim.

Almost all of our inspection work is undertaken jointly, with different inspectorates both inside and outside the CJS, and both in England and in Wales. Our scope includes work with both adults and young people who offend, and we undertake both thematic inspections and core programmes that focus on frontline practice with real cases, not merely on the organisational arrangements. From examining representative samples of cases, we can judge how often the right thing is being done well enough with the right individuals in the right way at the right time. We do this with a particular reference to Public Protection and Safeguarding work, since this cannot be readily measured by any means other than by independent inspection.

We are an independent Inspectorate, but we operate as part of a broader 'team' of public servants aiming to help improve public services. This Plan outlines how our inspection work provides *Assurance* to the public and helps to promote what we call the 'Long Haul' of continuous incremental *Improvement* over time.

Note: The review of inspection, following publication of the Government paper "Putting the Front Line First: Smarter government" in December 2009, may affect delivery of this Plan. However we strongly agree with the idea that inspection and other assessment frameworks should only include what is really needed to guarantee quality, and we believe that HMI Probation's approach to inspection - which focuses on work which cannot readily be measured by means other than inspection - is fully in line with this and with the other principles set out in the paper.



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## 1. Introducing this Plan:

- 1.1 HMI Probation independently inspects work done with both adults and young people who have offended (or might do), whoever is undertaking such work aimed at making further offending less likely. We measure how often that work is done well enough.
- 1.2 In so doing, our aim is that Probation and Youth Offending staff and their partners progress along the path of continuous improvement, and thus on a wider level we help to improve effectiveness in the Criminal Justice System as a whole.
- 1.3 We have published an annual Plan for the year ahead for each of the preceding six years, but considerable changes have taken place during that time. As we have done since this Inspectorate was founded in 1936, we have adapted to the changing needs around us. In particular there has been a major increase since 2003 in the quantity of joint inspection we do; our work has now been integrated into the annual Joint Inspection Plan of the five CJS inspectorates since 2007, and it is now also integrated into the new system of Comprehensive Area Assessments (CAA) in England led by the Audit Commission, which started in 2009.
- 1.4 In our view strategic planning is about managing the right mix of *continuity* and *change*. Circumstances and policies both *change*, and we have to be flexible enough to accommodate and manage such *changes* – but in the end what the CJS mostly needs is the ‘Long Haul’ of steady annual incremental improvements in its many day-to-day work processes; this is a matter that is aided principally by *continuity*.
- 1.5 For ourselves, we too have therefore sought to provide both *continuity* and *change* by showing how the consistency of our approach contributes to their steady incremental improvement, but because our approach is flexible too it is also possible to adapt it to apply in a relevant way to changing contexts, policies and structures.
- 1.6 While we do not claim for ourselves the credit for the achievements of others, we do think it is relevant to note the steady incremental improvements made in adult and youth offending work in the last six years. Public protection and safeguarding work are not readily measured by any means other than inspection, and we have given a prominent focus to this work since 2004. We have noted a slow but steady improvement from a national benchmark of less than two-thirds of this work being done ‘*Sufficiently well*’ by Probation in 2005/6 to over two-thirds of it being so in 2008/9. Early indications from our Youth Offending inspections suggest that the national benchmark by Youth Offending is as yet marginally less than two-thirds, but there is the potential there to make the same improvement that Probation has made.
- 1.7 Public Protection and Safeguarding are ‘high-risk’ (reputational risk) areas of public service. It is inevitable that a catastrophic injury or death will occur on periodic rare occasions. When it does, and when deficient practice has been found in an individual case, people want to know if this represents a wider problem of poor practice. It is only through a regime of regular independent inspection that Ministers and the public can be assured about the general quality of the work being undertaken in these areas – are all the relevant authorities ‘doing all they reasonably can’ to protect people from harm? Although we consider that much improvement is still needed, we can note that a measure of such improvement is already clearly under way in both adult and youth offending work.



1.8 We say more in the last chapter about how Inspection can result in both *Assurance* and *Improvement*. But in both these functions Inspection contributes to *Excellence* and *Fairness* in Public Services – which is where we start our Plan for the coming year.

## **2. Where our work fits**

- 2.1 In the summer of 2008 the Government published its vision for public services, *Excellence and Fairness*. It included important statements about the characteristics of the desired high quality services: that they should deliver **excellent outcomes**, offer **personalised approaches** responsive to individual needs, be **fair & equitable**, offer **good value for money**, and **empower citizens** to shape the services they receive.
- 2.2 We support these aspirations, and will endeavour to ensure that our inspection methodology helps those who deliver public services to achieve these characteristics, though we note that these principles need a specific application in the context of the Criminal Justice System (CJS). In a contrast with most other public services, the citizens who 'receive a CJS service' are often not the 'customer' of the service, in that when they are defendants or offenders they are often receiving a service they don't necessarily want to receive. So although we will take seriously the 'user perspective' in our inspections, we will do so by taking into account the question of whether not a particular user is also the 'customer'.
- 2.3 What we particularly welcome in the vision, however, is the twinning of Excellence and Fairness, and the prominence given to tailoring services to individuals rather than taking a 'one-size-fits-all' approach [See Appendix]. In keeping with this, the heart of our inspection methodology is to judge *how often* work was done *Sufficiently well* with each individual in a representative sample of individual cases.
- 2.4 Accordingly, we also continue to support the Government's Ten Principles for Inspection (2003), though we continue to apply them with particular care in the specific CJS context [See Appendix].
- 2.5 Although we are an independent Inspectorate we are in a sense still part of a wider public service 'team'. We make a contribution, albeit in an independent way, to the Ministry of Justice's departmental strategic objectives (DSOs):
- DSO 3 is: "protecting the public and reduce reoffending", and the new NOMS Agency has the lead responsibility for delivering this with adults through its Prisons and Probation work, in partnership with others, with the Youth Justice Board leading this work with the younger age group. Our inspections, and some of our linked activities, aim to help all involved to increase the effectiveness of their work, i.e. this becomes an outcome of our *Improvement* function, as outlined in Part 4 below.
  - DSO 4 is: "a more effective, transparent and responsive criminal justice system for victims and the public", and the MoJ's Criminal Justice Group has lead responsibility for this. The existence of our regime of inspection programmes, reporting independently to Ministers and to the public, is an outcome of our *Assurance* function, as also outlined in Part 4 below.
  - DSOs for other departments such as the DCSF (Department for Children, Schools and Families) are also supported to some extent by our inspection regimes, especially our inspections of Safeguarding work, and our support for the implementation of the Laming report's recommendations.



2.6 There are also wider public service agreements (PSAs), for which the DSOs are designed to be the departmental contribution. In particular, PSA 24 has identical wording to DSO 4 above, and is known as the '*Justice for All*' PSA. Other relevant PSAs cover social exclusion (PSA 16) and reducing reoffending (PSAs 18, 23 and 30). Our aim is that if we fulfil our own Plan effectively our Assurance and Improvement functions will add value to the departmental contribution to some of those other PSAs, in addition to the *Justice for All* PSA.

#### CAA and other performance frameworks:

2.7 HMI Probation is a full partner in the Comprehensive Area Assessment (CAA) of local areas led by the Audit Commission that started in 2009. We contribute to each assessment our key inspection findings as they become available, especially the Youth Offending inspections. We also relay performance information from the YJB and NOMS, together with our commentary. Full information on CAA and how it operates is available on the Audit Commission website:  
<http://www.audit-commission.gov.uk/caa>

2.8 Additionally, our inspection findings on adult offending are fed into the performance monitoring system established by the NOMS Agency and the Ministry of Justice. They are also taken into account in the CAA of certain local areas to some degree, although the boundaries of most CJS areas are very different.

### **3. What we'll be doing, why and how:**

Almost all our inspection work for 2010/2011 will still be joint inspection work, although we will be working with partner inspectorates in different combinations for different purposes both in England and in Wales. Under the current arrangements we expect to have available to us as our main resource some 35,000 '*deployable hours*' worth of work' to allocate in order to undertake our inspections and other directly related activities in each full year, including some for related development and review work this year.

#### **3.1 Inspecting Adult offending work:**

##### *3.1.1 Offender Management Inspection ('OMI 2'):*

Having completed our round of 42 Offender Management Inspection visits from May 2006 to March 2009, we started the successor programme of inspections of adult offending work in September 2009. There have been some significant changes in the methodology of the new inspection programme, dubbed 'OMI 2' for short, which have taken into account various developments in the NOMS world, the feedback we have received, and our own reflections on what we have learned to date.

Nevertheless there is also a large element of continuity: a key focus on quality of work with a representative sample of cases, especially public protection work. We measure the quality of work, using benchmarked qualitative judgements: essentially, we provide a measure of *how often* the offender management work with each individual is being done *well enough* in each area.

We expect to undertake 15 'OMI 2' inspections in the year ahead, each covering an 'area', together with some linked work collating findings for the 'region' as a whole in each case (including in Wales, which is not a region). As part of this programme, we are also working jointly with HMI Prisons to assess the quality of offender management work inside each of the prison



establishments where they undertake a full announced inspection in 2010. We will continue our new practice of contributing to each of those HMI Prisons reports, and will also prepare at least one report during the year ahead that will summarise our findings from these 'Prison OMI' visits.

We are allocating a total of 13,500 'deployable hours' in total in each full year for this programme.

### *3.1.2 Thematic inspections:*

All our joint Thematic inspections are planned as an integral part of the Joint Plan for the five CJS Inspectorates as a whole (published separately). Of the inspections involving HMI Probation, some of them focus principally on adult offending work and some of them include a youth offending dimension in addition. This section covers both of these types of thematic inspection, but not the thematics that focus solely on the under-18 age group.

Under this heading we expect to undertake a joint inspection of samples of cases managed by MAPPA (Multi-Agency Public Protection Arrangements) in a number of locations across England Wales, acting as the lead inspectorate. We also plan to lead a joint inspection arising from our scoping study on women offenders undertaken in 2009, focusing in particular on women who are or are likely to be sentenced to custody. We will also support the work of other CJS inspectorates with the other inspections and scoping studies itemised in the Joint Plan for 2010/11, where we are identified as doing so.

We will allocate 4,000 'deployable hours' in each full year for this purpose. There are also joint Thematic inspections undertaken solely on youth offending work, 'IYO Thematic inspections', which are covered separately below.

## **3.2 Inspecting Youth Offending work (IYO):**

Having completed our five-year programme of YOT inspections in 2008, we started its successor, the Inspection of Youth Offending (IYO) programme, in April 2009. These inspection findings feed into the new Comprehensive Area Assessment (CAA) arrangements. It is a much slimmer and more focused programme than its predecessor - although there are two tiers to the new programme, it will be completed in three years instead of five. Its much more focused nature means that per year the average amount of extra work for inspected bodies caused by our inspections is no greater than previously, with each individual inspection being markedly leaner than its predecessor.

### *3.2.1 Core case inspection (CCI):*

The first tier of IYO is the 'rolling programme' of core case inspections formally approved by the relevant Cabinet sub-Committee, DA(PED). HMI Probation is leading a visit to every relevant area of England & Wales over the current 3-year period and examining a representative sample of case files in order to assess how often certain aspects of youth offending work are being done well enough – principally public protection and safeguarding work. This approach was jointly agreed by the Secretaries of State for Justice and for Children.

The key findings from these case inspections feed into the CAA for the area, alongside the inspectorates' perspective on the other available performance information - from the Youth Justice Board for example.

We are working through all the areas in England by Government Office Region in sequence, completing three Regions each year. And we are undertaking an



equivalent set of these inspections in Wales, tailored as appropriate to the different local government arrangements there.

We expect to carry out 52 of these IYO core case inspections (CCIs) in the year ahead, plus five reinspections made necessary by our findings in 2009/2010. We are allocating just over 12,000 'deployable hours' for this purpose.

### 3.2.2 IYO Thematic inspections:

The thematic tier of the new IYO programme will focus on three new topics in 2010/2011. Following consultation with a wide range of people, we currently expect to focus our work in the coming year on some or all of the following: the availability and effectiveness of intervention programmes in youth offending work, the availability of local authority beds for young people who could be remanded on bail, either safeguarding work or the management boards of YOT partnerships in Wales, and the transitions made by young offenders into the adult criminal justice services when they become adults. We will continue to work jointly with different inspectorates such as HMI Prisons, HMI Constabulary, the Care Quality Commission and Ofsted in England, and Estyn, the Care and Social Services Inspectorate Wales (CSSIW) and the Health Inspectorate Wales (HIW), as appropriate and agreed, in designing and delivering these different joint inspections.

We have allocated nearly 3,500 'deployable hours' in total for our contribution to the three 'IYO Thematic' inspections we aim to undertake in 2010/11.

### 3.3 **Public protection (minimising Risk of Harm to others), and Safeguarding (minimising risk of harm to self from others)**

Public Protection work and Safeguarding work are both integral to our core inspection practice, because they are work that is not readily measured by any means other than by inspection. Accordingly they are key examples of where and how inspection uniquely adds value. But it is important for us to be clear about how inspection can, and cannot, inform Ministers and the public, and about how it can help managers and practitioners to improve. The two subjects can be seen as being largely the same type of work in many respects, but approached from the opposite direction: with Safeguarding the focus is on current and potential victims (individuals who are at risk of harm from others, or themselves); with Public Protection the focus is on current and potential offenders (individuals who are at Risk of Harm to others). Hence for this Inspectorate there is an underlying approach that applies broadly for both.

- It continues to be necessary to emphasise that 'risk to the public' can never be eliminated, but the public are entitled to expect the authorities to do their job properly.
- 'Doing one's job properly' means 'doing all that one reasonably could' – with Public Protection this is "taking all reasonable action to keep to a minimum each offender's Risk of Harm to others"
- When this Inspectorate reviews an individual case (e.g. Hanson and White, or Anthony Rice), we report on whether the authorities 'did all they reasonably could' in that particular case – this is a qualitative judgement, and is a judgement of *reasonableness*, not of perfection.
- When we inspect a sample of cases (40 – 250+) we report on *how often* the authorities 'did all they reasonable could' in that sample of cases. To put it



another way, if and when a Serious Further Offence (SFO) or other catastrophe should occur in a particular area – and it can happen anywhere – our inspection finding indicates the likelihood that the authorities there would be able to demonstrate that they had done ‘all they reasonably could’.

This is the basis for the *Assurance* that we offer Ministers and the public (not reassurance, which is a very different thing!). But this approach to inspection can also help to promote *Improvement*, if practitioners and managers can learn from an inspection what is expected from them in these two difficult areas of practice.

This benefit of inspection can be magnified several times, however, if it becomes an integral part of a systematic regime of properly benchmarked self-assessment coupled with independent inspection. We are starting to work more closely with the NOMS Agency and the Youth Justice Board to help develop such regimes in both the adult and the youth offending worlds, notably currently with London Probation.

The 2,000 ‘deployable hours’ we have allocated specifically to this subject are for the purpose of undertaking any specific reviews or inquiries requested by Ministers or others in the year ahead, including the reinspection in London, but also equally importantly for helping to develop such systematic regimes of properly benchmarked self-assessment coupled with independent inspection. This is the only element of our Plan for 2009/10 that is not, strictly speaking, Joint Inspection, but we believe it offers a potentially unique opportunity for improving both adult and youth offending work.

### 3.4 *Other work*

Having completed both a Probation and a Youth Offending inspection on the Isle of Man, and a contribution to Military inspection, all in 2009, we will be available to assist with inspections in Northern Ireland or the Channel Islands this year, if needed. Inspectors and Inspection managers have also assisted, and will continue to assist, with various pieces of development work in various Eastern European countries, in Jamaica and in New Zealand.

### 3.5 *Diversity*

We aim to integrate the best principles of diversity into our inspection practice, as well as into the management of our own staff. We devise and implement a separate annual plan for this purpose, to support our ***Single Equalities Scheme 2007-10***. In our Scheme we set ourselves an overarching objective: ***Working to remove improper discrimination in the Criminal Justice System***.

In our core inspection programmes we assess what measures the people whose work we are inspecting have in place to address the diverse needs of individuals who have committed offences. We have previously published, and will publish again periodically, reports collating findings from a set of inspections to show *how often* work has been undertaken *well enough* with different specific groups of individuals i.e. by race, gender, age-group etc, for comparison purposes.

Within our own organisation we have developed a wide ranging approach to promoting diversity which is published on our website. Measures include staff training, positive action to recruit black and minority ethnic inspection staff (for example, through our shadowing scheme), and the recruitment of Welsh-speaking inspectors. Our Welsh Language Scheme was approved by the Welsh Language Board in 2007, and we intend to maintain it conscientiously. Through induction, training and the appraisal process all HMI Probation staff are encouraged to consider promoting diversity across all areas of their work.



#### **4. Where our work leads to (benefits):**

##### **4.1 Assurance:**

An inspection regime establishes whether or not a public service is being delivered effectively. The existence of the system of inspection therefore provides Assurance to Ministers and the public – even though the findings on any individual occasion may not necessarily be experienced as ‘reassuring’ at all! *Assurance* is the benefit that arises for the public from knowing that a particular regime of independent inspection exists.

##### **4.2 Improvement (a catalyst):**

In accordance with established Government policy on inspection, our inspection work also aims to provide the benefit of *Improvement*. By measuring accurately, openly and fairly, against transparent inspection criteria, and engaging constructively with the people whose work we are inspecting, we intend to serve as a catalyst for improvement. Where we are successful, practitioners and their managers will be encouraged and enabled by us to progress further along the road of continuous improvement – and when they succeed with that the achievement will be theirs not ours. This is what we mean when we say that the way we work aims to ‘maximise the likelihood of improvement’.

##### **4.3 Looking further into the future:**

It has been said that ‘Small is beautiful’, but ‘small’ can also be efficient and adaptable. Inspections such as ours that focus on quality of practice can be both effective and lean. Our independent inspections occupy a role that no one else can provide – i.e. they have ‘unique added value’. And we ensure that we only do ‘just enough’ inspection in order to achieve the desired benefits above – i.e. we sustain just the necessary ‘minimum critical mass’. This enables us to produce a high quantity and high quality of inspection reports for a modest budget allocation.

For the future, our role could be expanded if Ministers wish, for example if we were asked to take on regulatory duties with the new Probation Trusts. We are flexible and efficient enough to adapt to changing needs, as we have adapted in the past. However, neither such possible new roles, nor the prospective major cuts in public expenditure, should reduce our core inspection activity below the current minimum critical mass if the benefits our inspections bring are to be sustained.



## 5. Appendix (reference material):

### **HM Inspectorate of Probation: statement of purpose**

HM Inspectorate of Probation is an independent Inspectorate, funded by the Ministry of Justice and reporting directly to the Secretary of State. Our purpose is to:

- ▣ report to the Secretary of State on the effectiveness of work with individual offenders, children and young people aimed at reducing reoffending and protecting the public, whoever undertakes this work under the auspices of the National Offender Management Service or the Youth Justice Board
- ▣ report on the effectiveness of the arrangements for this work, working with other Inspectorates as necessary
- ▣ contribute to improved performance by the organisations whose work we inspect
- ▣ contribute to sound policy and effective service delivery, especially in public protection, by providing advice and disseminating good practice, based on inspection findings, to Ministers, officials, managers and practitioners
- ▣ promote actively race equality and wider diversity issues, especially in the organisations whose work we inspect
- ▣ contribute to the overall effectiveness of the Criminal Justice System, particularly through joint work with other inspectorates.

Our annual Plan sets out our work for the year. It is agreed between the Secretary of State and HM Chief Inspector and is published on our website.

### **HMI Probation Code of Practice**

While carrying out our work we aim in particular to follow the Government's ten principles of inspection in the public sector, namely that inspection should:

- have the purpose of improving the service inspected
- focus on outcomes
- have a user perspective
- be proportionate to risk
- encourage rigorous self-assessment by the managers of the service inspected
- use impartial evidence
- disclose the criteria used to form judgements
- show openness about inspection processes
- have regard to value for money
- continually learn from experience

We aim to achieve our purposes and meet these principles by:

- ▣ working in an honest, professional, fair and polite way
- ▣ reporting and publishing inspection findings and recommendations for improvement in good time and to a good standard
- ▣ promoting race equality and wider attention to diversity in all aspects of our work, including within our own employment practices and organisational processes
- ▣ for the organisations whose work we are inspecting, keeping to a minimum the amount of extra work arising as a result of the inspection process.

While carrying out our work we are mindful of Ministerial priorities and strategic plans for the Criminal Justice System. We work closely not only with the other CJS Inspectorates, but also with other Inspectorates assessing work with young people.

In addition we are members of the partnership currently delivering Comprehensive Area Assessments (CAA) in local areas in England. Furthermore, through the relevant Inspection & Audit Forum, we co-ordinate our work closely with the Audit Commission, the National Audit Office and the Ministry of Justice Internal Audit Division.



### **Extract from the Cabinet Office publication Excellence and Fairness (2008)**

#### **The characteristics of world class public services:**

As a country there is no reason why Britain should offer its citizens anything less than the highest quality public services.

Being world class should involve:

- Delivering **excellent outcomes**, such as high levels of literacy and numeracy, healthy populations and low levels of crime, and constantly striving to improve those outcomes.
- Offering **personalised approaches** that are responsive to individual needs and aspirations. Personalising services involves moving beyond a 'one size fits all' approach to offering services that are flexible to people's needs, fit into people's busy lives and form trusted relationships with those who use them.
- Being **fair and equitable** – not simply delivering excellence for the most assertive citizens or the better off, but helping promote a fairer society in which all can succeed.
- Offering **good value for money**. Public investment is critical to excellent services, but systems that deliver the best outcomes need not be the most expensive.

We have examined the best public services in the world that achieve these, such as the Finnish and Canadian education systems or Dutch and Swedish health care, together with the best public services in the UK. Although the approach to improvement necessarily varies between services, there are some common lessons from high-performing services:

- **Citizens are empowered to shape the services they receive.** Excellent public services reflect the preferences and needs of those who use them, not those who provide them. Citizens therefore need clear information about the performance of services and the power to ensure that their needs and aspirations are met, both as individuals and as members of communities. They must have the opportunities and support to work collaboratively with services – parents with schools, patients with doctors, residents with police – rather than just passively receiving services.
- **Public service professionals act as the catalysts of change.** Achieving world class services demands diligence – consistently implementing good practice – and innovation and flexibility to meet new challenges and individual aspirations, driven from within the public services themselves. This requires services characterised by a skilled and informed workforce, able to respond directly to the needs of the public and compare their performance with their peers.
- **Government provides strategic leadership.** World class public services depend on governments The characteristics of world class public services providing leadership by setting a clear vision, a stable framework, adequate resources and effective incentives. This means rejecting the temptation for government to micro-manage from the centre. It also means rejecting the idea that public services can simply be provided by free markets. The health, welfare and education systems that succeed are not those where the government plays a very limited role, but rather those where the government's role is strategic and enabling.

#### **Government's Policy on Inspection in the Public Service (2003)**

We took note of the Government's ten principles of inspection, published in *Inspecting for Improvement* in July 2003. These place certain broad expectations on inspection providers and on the departments sponsoring them. As indicated we have also built them into our Code of Practice. We give account of our approach to implementing these ten principles as below:

1. **The purpose of improvement.** There should be an explicit concern on the part of inspectors to contribute to the improvement of the service being inspected. This should guide the focus, method, reporting and follow-up of inspection. In framing recommendations, an inspector should recognise good performance and address any failure appropriately. Inspection should aim to generate data and intelligence that enable departments more quickly to calibrate the progress of reform in their sectors and make appropriate adjustments.



We aim to achieve this, not only by measuring fairly against open criteria, but also by our commitment to behaviour that 'maximises the likelihood' that respondents will come with us on the path to continually improving their performance.

2. **A focus on outcomes**, which means considering service delivery to the end users of the services rather than concentrating on internal management arrangements.

Our mainstream inspection methodology focuses on what has been delivered to the offender or young person (primarily in terms of Quality of Assessment and planning, Interventions and initial Outcomes).

3. **A user perspective**. Inspection should be delivered with a clear focus on the experience of those for whom the service is provided, as well as on internal management arrangements. Inspection should encourage innovation and diversity and not be solely compliance-based.

A significant element within our methodology is to interview and listen to the perspective of the offender or young person, and of victims and parents. The user perspective is an important element in CJS inspection, but it does not necessarily provide on its own the basis for an inspection finding (e.g. an offender might particularly dislike something done to him or her by a Probation or YOT practitioner, but it might have been precisely the right thing for that officer to have done).

4. **Proportionate to risk**. Over time, inspectors should modify the extent of future inspection according to the quality of performance by the service provider. For example, good performers should undergo less inspection, so that resources are concentrated on areas of greatest risk.

We have never supported the idea of offering 'inspection holidays' as a way of implementing this principle, but we strongly support the idea of varying intensity of inspection according to identified need. We maintain rolling inspection programmes that focus in particular on public protection and safeguarding work because these are areas of public service which are of "greatest risk" and concern to Ministers and the public, and because we uniquely 'add value' by doing so, since only independent inspection can measure effectiveness in these two areas.

5. Inspectors should encourage rigorous **self-assessment** by managers. Inspectors should challenge the outcomes of managers' self-assessments, take them into account in the inspection process, and provide a comparative benchmark.

The criteria and guidance published on our website enable any practitioner or manager to assess his or her own practice at any time. Furthermore, in a long-planned development, we aim to work with NOMS to promote within the Agency a regime combining self-assessment with independent inspection and benchmarking.

6. Inspectors should use **impartial evidence**. Evidence, whether quantitative or qualitative, should be validated and credible.

Evidence has to consist of more than hearsay, and our Guidance provides a framework for making judgements to enable similar evidence to be interpreted consistently, even by different inspection staff in different locations.

7. Inspectors should disclose the **criteria** they use to form judgements.

Our inspection criteria are published on our website.

8. Inspectors should be **open** about their processes, willing to take any complaints seriously, and able to demonstrate a robust quality assurance process.

Our behaviour is such that we are able to explain at the time the reasoning for the scores we have awarded, and respond to questions to that effect. Thus we have responded to questions, concerns and to the formal complaints that have been put to us in the last year. We also take the initiative, through our Quality Assurance strategy, in actively reviewing aspects of our methodology, so that we can be as confident as possible that our judgements are both fair and accurate.

9. Inspection should have regard to **value for money**, their own included:

- Inspection looks to see that there are arrangements in place to deliver the service efficiently and effectively.
- Inspection itself should be able to demonstrate it delivers benefits commensurate with its cost, including the cost to those inspected.



- *Inspectorates should ensure that they have the capacity to work together on cross-cutting issues, in the interests of greater cost effectiveness and reducing the burden on those inspected.*

We assess whether the interventions with each offender are proportionate both to cost and to the offender's individual need. We recognise that our methodology is (necessarily) labour intensive, and in March 2005 we published a case study that analysed both the benefits and the costs of an illustrative inspection, including the costs to the inspected body. We continue to measure costs using the methods described there. We not only undertake joint inspections with other CJ inspectorates, but we also co-ordinate our other work to avoid, for example, rapidly successive visits by ourselves and another scrutiny body whenever possible. For these purposes we co-operate closely with Ofsted and the Audit Commission because of our youth offending inspection work, and also with other Audit bodies when planning our visits to Probation Areas.

10. *Inspectors should **continually learn** from experience, in order to become increasingly effective. This can be done by assessing their own impact on the service provider's ability to improve and by sharing best practice with other inspectors.*

We seek feedback on our individual interviews with the staff of inspected bodies, which we use to review and renew both our corporate and individual skills and methods, and we also take feedback at regional events. By these and other means we monitor our own impact on our inspected bodies, and keep our own practice under regular review, both as part of our normal programme, but also in joint work with other inspectorates.

HMI Probation  
March 2010



## Financial Annex to HMI Probation Plan 2010/2011: Summary of Activities

The first box below divides our work into 'Overheads' and 6 potential other 'Activities'. Each Activity has an allocation of 'Deployable hours', and some also have an allocation for fees. Deployable hours are the non-overhead hours of Inspection staff allocated to each Activity; they carry with them the relevant proportion of Management and Support service staff hours. Hence it can be seen how the allocations of Deployable hours, and of Fees, lead to the projected production of c81 reports in 2010/2011 (but these are of a very wide range of scope.)

Code	Overheads	IYO	OMI	Joint CJ	Risk of Harm	Outo Eng&W	Other	TOTAL
Lead mgr	OVHD	IYOC / IYOT	OMIC	THCJ	INRV	OTEW	OTHR	
	AMB	AM/JF	SL	LC	SL	AM	AMB	
<b>INPUTS:</b>								
Hrs 'bought'	Hrs not	500	1,500	500	500	-	-	3,000 hrs
Hrs Budget	deployed	15,000	12,000	3,500	1,500	-	-	32,000 hrs
<b>Total hrs</b>		<b>15,500</b>	<b>13,500</b>	<b>4,000</b>	<b>2,000</b>	-	-	<b>35,000 hrs</b>
<b>OUTPUTS:</b>								
No: Insps		Joint Insp Prog 59	Joint Insp Prog 16	Joint Insp Prog 2	Sole 4	None this year -	None this year -	81

\*2 we lead; we contribute to many others

### HMI Probation Budget 2010/2011: Summary

Prospective budget for 2010/2011 (not confirmed)	2009/2010 Budget figure:	£3,888,250
	@ 3%	£4,004,898
Probable income from Audit Comm	£0	
Probable income from inspections outside England & Wales	£0	
Projected income from CIs' work in New Zealand	£25,000	
Secondment reimbursement etc	£72,000	
Projected total income	£97,000	£97,000
<b>PROJECTED TOTAL HMI PROBATION BUDGET</b>		<b>£4,101,898</b>

(Separate spreadsheet)

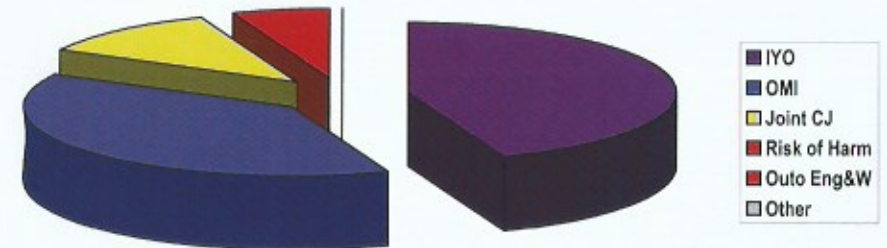
<b>Total pay:</b> (for c32k hrs)	@2%	£2,961,398	£2,961,398
<b>Fee paid staff:</b>			
Panel of Associate Inspectors		£150,000	
Press Officer (share)		£17,000	
Joint Secretariat (share)		£15,000	
Advisory Board remuneration & costs (share)		£2,500	
<b>Total Fees:</b> (for c3k hrs)		£184,500	£184,500
<b>PROJECTED TOTAL HMI PROBATION PAY COSTS</b>			<b>£3,145,898</b>

Accommodation (inc fuel, utilities) - Trafford House	£129,000	
IT services	£95,000	
Stationery & printing, inc postage & dispatch	£45,000	
Hospitality & catering	£10,000	
Telecoms, Voice etc	£12,000	
Training	£45,000	
Travel & Subsistence	£600,000	
Promotion & Development	£20,000	

**PROJECTED TOTAL HMI PROBATION NON-PAY COSTS** £956,000 £956,000

**PROJECTED TOTAL EXPENDITURE** £4,101,898 **£4,101,898**

### Allocation of 'Total deployable hours'



**Notes:** Inspections of Youth Offending (IYO), using 15,500 hours per year, constitute 44% of the Total deployable hours  
Offender Management Inspections (adult offending), using 13,500 hours, constitute 39%  
Joint CJ reports, using 4,000 hours, constitute 11%

The activities shaded green above constitute our contribution to the jointly-owned Joint Inspection Programme, and total 94% of our work for 2010/2011

#### Unit costs:

HMI Probation uses the Absorption method to calculate unit costs.

Each deployable hour carries its share of the overheads for the Inspectorate as a whole.

Hence the total cost per person-hour when inspecting can be calculated by dividing:

Total Planned Expenditure	4,101,898
Total deployable hours	35,000

to give a **Total cost per 'inspection hour' per person of £117.20 per hour**