SELF-ASSESSMENT GUIDANCE

The purpose of the self-assessment is to encourage the inspected organisation to think about the inspection topic and Terms of Reference and consider what evidence it has of how well it is doing and what are the main areas that need further attention.

CONTENTS

SECTION I – THE SELF-ASSESSMENT

Aims and Objectives

Self-assessment plays a key role in the work that Criminal Justice Inspection (CJI) undertakes with the organisation it inspects. It is a tool designed to help identify areas of strength and areas for improvement so that leadership and management effort can be targeted where it is most needed.

As part of this inspection, you have been invited to undertake a self-assessment based on CJI's Inspection Framework. You are requested to identify your main strengths and areas for improvement (AFIs), and provide brief supporting evidence in each case. Guidance on how to address these areas is outlined in Section 2, however, it is important to note that this is your self-assessment and how it is conducted and presented is up to you.

A good self-assessment will be of benefit to you as well as to CJI's Inspectors. It should be a key input to business planning and be an honest assessment of strengths and AFIs. Inspectors regard self-assessment as a critical element of learning.

The Inspection Framework and Self-Assessment

The Inspection Framework (the Framework) is similar to other models, such as the European Foundation Quality Model (EFQM™), used by organisations to self-assess. CJI will apply the Framework below to each inspection that it conducts (unless an alternative framework exists, for example *Expectations* for places of detention) and it will be incorporated into CJI's inspection management processes which will include a review of its effectiveness. There are three main elements to the Framework;

- Strategy and Governance;
- Delivery; and
- Outcomes.

Constants in each of these areas and throughout each inspection are equality and fairness, together with standards and best practice. As part of the inspection process, CJI will identify standards and best practice (where they are known to exist) that are applicable to the inspected organisation or inspection theme and will embed these in each element of the Framework. Similarly, equality and fairness will form an integral part of every inspection undertaken by CJI.

CJI Inspection Framework

Strategy & Governance

Delivery

Equality & Fairness

Standards & Best Practice

Outcomes
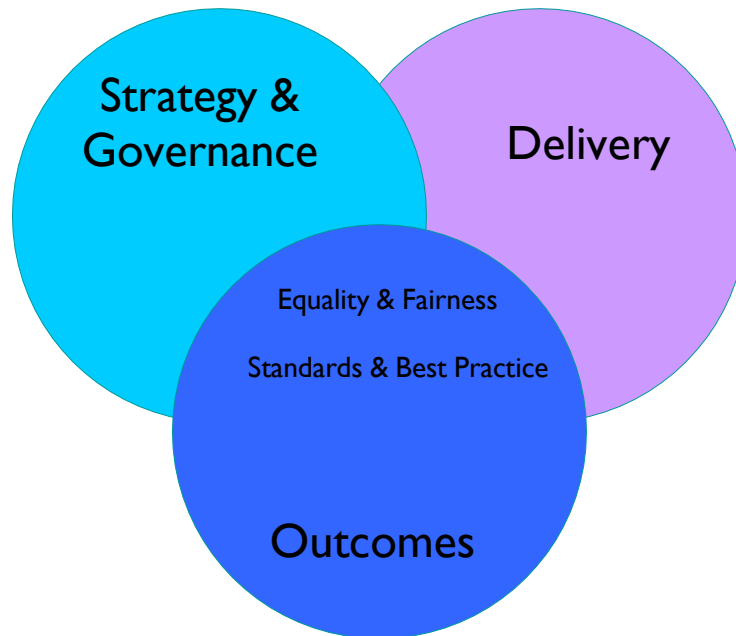
A common feature of assessment models is that they encourage self-assessment as a critical step to improvement. Many organisations in Northern Ireland use self-assessment as a means to:

- focus on the service user or customer;

- deliver results that outperform peers and meet or exceed stakeholder expectations;

- constantly innovate and improve;

- value their people and have people who feel valued;

- identify leadership and team strengths and weaknesses;

- develop partnerships and collaborations that deliver win-win relationships;

- take a responsible attitude towards its role in the wider community; and

- have the ability to sense and respond to the external environment and adapt rapidly to changing circumstances.

How to undertake a self-assessment

Each organisation should spend some time identifying questions relevant to them and the inspection topic from the three Framework areas; *Strategy and Governance; Delivery; Outcomes;* as the first step in the self-assessment process.

These questions should be based on the objectives of the inspection as set out in the final inspection **Terms of Reference** document as well as those generic issues outlined as part of CJI's Framework in the tables below. Issues identified in the Framework are not meant to be exhaustive and as an inspection terms of reference is shared and finalised other issues may be identified from appropriate standards, existing recommendations and/or best practice that may be applied as part of the inspection process.

Framework Area	Possible Evidence
<u>Strategy and Governance</u> Inspectors will be looking for: ▪ evidence of good governance; ▪ how strategy sets the direction of the organisation; ▪ how leadership supports and promotes strategy; and ▪ how shared understanding is created and maintained.	▪ Governance is based on recognised and appropriate standards and principles. ▪ Governance is based on clear and transparent processes and structures. ▪ Compliance with governance arrangements is monitored and reported on. ▪ Structures supporting the overall strategy in support of the mission, vision and values. ▪ Strategy provides a medium to long term organisational focus and sets out clear unambiguous targets. ▪ Long-term developments that may impact on strategy are anticipated and planned for. ▪ Strategy is developed and updated based on meaningful consultation with all relevant stakeholders. ▪ Strategy is monitored and updated to take account of change. ▪ At all levels leaders and managers are role models for organisational values and promote high standards of behaviour, fairness and equality. ▪ Leaders and managers recognise achievements and take appropriate

	action when delivery or behaviour falls below standards.
	■ Finances are appropriately managed in support of the overall strategy.
	■ Corporate and Business planning supports the organisational strategy and Programme for Government outcomes.
	■ The planning process reflects the overall strategy and priorities of the Criminal Justice System.

Framework Area	Possible Evidence
Delivery Inspectors will be looking for: ■ evidence of effective and efficient delivery against objectives.	■ Delivery is based on the present and future needs and expectations of stakeholders and customers. ■ Appropriate standards for delivery of services and products are identified, implemented, monitored and developed. ■ Delivery is customer and service user focused and inclusive of diversity and human rights considerations. ■ Customer and service user relationships are managed and improved. ■ The approach to delivery takes account of information from performance measurement, research, and learning (internal and external). ■ Information from staff, service users, stakeholders, customers, and partners is managed to continuously improve delivery. ■ There is a programme of continuous reviews, improvement, development, and reform. ■ Resources are planned, managed and improved to deliver against targets, objectives, performance indicators and outcomes. ■ Technology and systems are managed and developed in a way that enhances delivery. ■ Finances are used effectively and efficiently in support of delivery objectives. ■ Staff and service deliverers are enabled, empowered and supported. ■ Fixed assets are utilised in support of delivery objectives.

	▪ Process improvements are delivered.

Framework Area	**Possible Evidence**
<u>Outcomes</u> Inspectors will be looking for: ▪ quantitative data to support achieving outcomes; and ▪ evidence of managing performance to deliver targets, objectives and performance indicators.	▪ Outcomes are measured and evaluated against targets, objectives and performance indicators. ▪ Measurement of outcomes integrates diversity and human rights issues to ensure fairness and equality. ▪ Customers' perceptions of organisational performance are measured. ▪ Performance indicators are monitored and used to understand, predict and improve outcomes. ▪ Feedback from service users, stakeholders, partners, and staff is used to improve outcomes. ▪ Performance indicators are monitored and used to monitor, understand, predict and improve staff performance. ▪ Performance measurement is analysed and used to improve strategy and policy. ▪ Performance is benchmarked against appropriate organisations or services. ▪ Results are published, made freely and widely accessible and actively communicated to stakeholders and service users.

How a self-assessment is completed is up to the organisation. Some organisations use assessments based on Senior Management Team input alone; others approach self-assessment holistically and include staff at all levels of the organisation. Generally, the best self-assessments involve small internal teams dedicated to collecting evidence for each identified question area at different levels in the organisation. Experience suggests that teams need clear messages from leaders and are empowered to undertake honest self-assessment so that everyone is aware of the inspection objectives and any internal reluctance to engage with the process may be negated. The end product should be a document that sets out strengths and AFIs linked to sound evidence.

The self-assessment document should primarily be for the organisation's internal use to improve and not just created to inform the inspection process and ignored after the inspection has concluded.

Evidence of good performance in each question area may be voluminous and should be made available to CJI before inspection fieldwork starts. Alternatively, with agreement some evidence may be made available to Inspectors at the time of fieldwork. All evidence provided will inform CJI fieldwork and inspected organisations should expect to be asked about it by Inspectors.

The section that follows may be used as a self-assessment template based on the CJI Inspection framework. In each of the three main areas of assessment we have provided some example questions.

SECTION 2 – SUGGESTED EXAMPLE QUESTIONS

SELF-ASSESSMENT   [DATE] 2022

CATEGORY: *STRATEGY AND GOVERNANCE*

EXAMPLE

QUESTION: *Is Governance is based on recognised and appropriate standards and principles?*

STRENGTHS	EVIDENCE
•	• •
•	• •
•	• •
•	• •
•	• •
AREAS FOR IMPROVEMENT	

Notes:

SELF-ASSESSMENT   [DATE] 2022

CATEGORY: *STRATEGY AND GOVERNANCE*

EXAMPLE

QUESTION: *Is Governance based on clear and transparent processes and structures?*

STRENGTHS	EVIDENCE
•	• •
•	• •
•	• •
•	• •
AREAS FOR IMPROVEMENT	

Notes:

SELF-ASSESSMENT [DATE] 2022

CATEGORY: *STRATEGY AND GOVERNANCE*

EXAMPLE QUESTION: *Is compliance with governance arrangements monitored and reported on?*

STRENGTHS	EVIDENCE
•	• •
•	• •
•	• •
•	• •
AREAS FOR IMPROVEMENT	

Notes:

SELF-ASSESSMENT   [DATE] 2022

CATEGORY: **DELIVERY**

EXAMPLE   *How are activities delivered effectively and efficiently?*

QUESTION:

STRENGTHS	EVIDENCE
•	• •
•	• •
•	• •
•	• •
AREAS FOR IMPROVEMENT	

Notes:

SELF-ASSESSMENT   [DATE] 2022

CATEGORY: **OUTCOMES**

EXAMPLE   *How is performance measured?*

QUESTION:

STRENGTHS	EVIDENCE
•	• •
•	• •
•	• •
•	• •
AREAS FOR IMPROVEMENT	

Notes:

SELF-ASSESSMENT   [DATE] 2022

CATEGORY:

EXAMPLE   *Please add additional relevant questions*

QUESTION:

STRENGTHS	EVIDENCE
•	• •
•	• •
•	• •
•	• •
AREAS FOR IMPROVEMENT	

Notes:

SELF-ASSESSMENT   [DATE] 2022

CATEGORY:

EXAMPLE   *Please add additional relevant questions*

QUESTION:

STRENGTHS	EVIDENCE
•	• •
•	• •
•	• •
•	• •
AREAS FOR IMPROVEMENT	

Notes: