



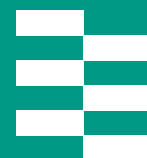
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AND TOLERANT SOCIETY

DIVERSITY CHECKLIST for the National Probation Service

Guide to the use of the EFQM Excellence Model



INVESTOR IN PEOPLE



NATIONAL PROBATION SERVICE
for England and Wales

Diversity Checklist

A Guide to the use of the EFQM
Excellence Model in the National
Probation Service for England and Wales

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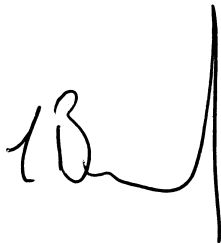
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Foreword

The Probation Service, like many public sector organisations, has attempted to work effectively with issues of equality and diversity for many years. There have been pockets of excellence, but there has not been a consistent framework within which to work and, as such progress in this area has been limited.

The New Choreography identifies our intent to demonstrate that we are a top performing public service by 2006. Integral to this is the vision that the Probation Service will value and achieve diversity in every aspect of its leadership, structures, policies and practices.

This document has been developed using the EFQM framework to enable Local Area Probation Boards and other organisations to achieve excellence in managing and valuing diversity.



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Using the Guide

This checklist is to be read in conjunction with the European Excellence Model Self Assessment in Probation document.

The first four ‘enabler’ sections are comprehensive as they provide Areas with development tools with which to integrate diversity into the Area. The process and key results sections largely provide diversity principles and are less detailed as the information contained in the self-assessment tool requires quantitative data.

CRITERION 1



LEADERSHIP

1a Leaders develop the mission, vision and values and are role models of a culture of excellence

- Do leaders demonstrate that they have an understanding of the principles of diversity, fairness and justice.
- Are diversity/fairness objectives built into job descriptions and performance indicators (including PRP) of senior managers.
- How do leaders demonstrate that they are personally involved in ensuring that diversity and fairness issues are integrated into all aspects of the organisation.
- Do leaders act as role models for the diversity objectives.
- Are leaders undertaking a programme of learning to improve their own performance in diversity and fairness.
- Do leaders ensure that diversity and fairness issues are integrated into their programme of learning.
- Is what leaders do visible to all members of the organisation, and all major stakeholders (including minority ethnic community).
- Do senior managers with responsibility for media/communications have a strategy to promote valuing diversity.
- Do leaders take the necessary steps to eradicate structural discriminatory practice in relation to employment.
- Do leaders include a diversity element in their 360° appraisal, e.g. Diversity Advisor, Director of local CRE, Director of Disability Forum etc.
- Do leaders work with mentors/consultants who have proven knowledge and experience in the area of diversity.

- Do leaders at all levels recognise and reward staff for pursuing diversity issues and good practice.

1b Leaders are personally involved in ensuring the organisation's management system is developed, implemented and continuously improved

- Do leaders actively pursue innovation and creativity in the area of diversity to inform ongoing policy and strategy development.

1c Leaders are involved with customers, partners and representatives of society

- Are leaders attentive and responsive to diversity events in the local community.
- Do leaders commit themselves to hosting seminars and events on diversity.
- Do leaders encourage and support all employees to be visible within the community.

1d Leaders motivate, support and recognise the organisation's people

- Do leaders motivate, support and recognise all staff within the organisation.
- Do leaders demonstrate that they put diversity issues on the agenda at all relevant junctures, e.g. meetings, policy.
- Do leaders promote on-going debate throughout all echelons of the organisation.
- Do leaders encourage all staff to express their view points regarding existing practices and developments.

CRITERION 2



POLICY AND STRATEGY

2a Policy and strategy are based on the present and future needs of stakeholders

- Is there evidence of an inclusive consultation process in the development of policies.
- Have the internal and external drivers of policies taken into account diversity issues.
- Is there an understanding of the current developments amongst minority communities that will influence policies and strategies (e.g. travellers, refugees).
- Is there evidence that the needs of all service users are identified and taken into account in the development of policy and strategy.

2b Policy and strategy are based on information from performance measurement, research, learning and creativity related activities

Does the organisation have written corporate and unit policies on fairness issues in line with relevant legislation and guidance, e.g. Disability Discrimination Act, Sex Discrimination Act, Race Relations (Amendment) Act 2000.

- Are all policies flexible enough to accommodate local and national developments.
- Are policies developed to take account of local trends and information gained from multi-agency and intelligence networks.
- Is there evidence indicating that appropriate action has been undertaken to identify current and future trends in diversity. Is this information used to influence policy and strategy.

2c Policy and strategy are developed, reviewed and updated

- Are all relevant stakeholders involved in this process (e.g. ABPO, NAAPS, LAGIP, Disability forums, CRE).

2d Policy and strategy are deployed through a framework of key processes

- Does the identification and design of the framework incorporate the principles of diversity and fairness (e.g. consultation with all stakeholders).
- Does the framework ensure that inclusivity and transparency are integrated and the effectiveness of the framework of key processes is reviewed with all stakeholders.

2e Policy and strategy are communicated and implemented

- Is there evidence that the policy and strategy are communicated to all members of the organisation in a clear and accessible way.
- Are there a variety of methods of communication employed to ensure that policy and strategy are accessible to all stakeholders.
- Is policy and strategy documentation in Wales produced in the Welsh language.
- Is consideration given to producing documentation in other appropriate languages.

CRITERION 3



PEOPLE

3a People resources are planned, managed and improved (to enhance the talents of all employees)

- Developing diversity 'friendly' policies, strategies and plans.
- Ensuring diversity perspectives are fully incorporated into HR plans including targets, timescales, accountability and resourcing.
- Committing to the recruitment of diverse groups, taking necessary actions to address under-representation.
- Promoting the necessary support to improve the proportion of minority ethnic staff and other diverse groups.
- Ensuring the active promotion of equal opportunities in employment procedures.
- Using stakeholder surveys to improve HR plans.
- Committing to the progression and retention of all staff.
- Ensuring that managers are competent to manage a diverse workforce.

See Annex One for more detailed information on recruitment, retention and progression of staff from diverse groups.

3b People's knowledge and competence are identified, developed and sustained

- Identifying the specialised skills, knowledge and experience of the staff and pro-actively providing opportunities to use these within the organisation.
- Producing opportunities for staff to develop the specific skills and knowledge in respect of diversity and using these within the business needs.

- Ensuring that those who manage staff from diverse groups are competent in identifying the necessary areas for development and providing individual staff action plans for retention and progression.
- Ensuring that there is consistency across the organisation in valuing people's knowledge and competences.
- Being proactive in the assessment of people's knowledge and competence to spot and develop potential at the earliest opportunity.
- Being competent in carrying out the appraisal process with a good understanding of diversity in order to appraise effectively those who are from a different background.

3c People are involved and empowered

- Ensuring that agency documents are written and communicated in a way that is accessible to all groups of staff.
- Ensuring there is a clear and inclusive process for consultation (e.g. team briefings, quality circles, staff conferences).
- Promoting a culture that encourages an open dialogue.
- Ensuring that staff have access to all agency documents.

3d People and the organisation have a dialogue

- There is a process in place to ensure that dialogue on matters of diversity takes place at the right level (to avoid dialogue without authority to act/implement policies).
- Dialogue is consistent, on-going and proactive rather than intermittent and crisis led.
- Minority groups are included in all the dialogue loops pertaining to the business of the organisation as a whole rather than confined to diversity issues only.

3e People are rewarded, recognised and cared for

- Ensure that all policies pertaining to employee care and reward are mindful of the specific needs of a diverse workforce (e.g. extended annual leave for staff with family members abroad).
- Ensure the Investors in People's action plan or any other recognised award integrates and measures a diversity perspective.
- Ensure the people carrying out HR surveys demonstrate knowledge, awareness and sensitivity to diversity experiences and issues.

BEST PRACTICE CHECKLIST

1 Recruitment

1a Staffing Profile:

- An effective monitoring system.
- Clear staffing targets that are publicised.
- Action plans are produced which include specific, measurable objectives to support their implementation.

1b Sources of Recruitment:

- Consider introducing an apprenticeship scheme such as the 'Positive Action Training in Housing scheme' (PATH) which has been used by some Probation Services.
- Advertise in newspapers specifically targeted at minority groups such as "The Voice", "Eastern Eye", "Pink Press", "The Disability Press".
- Advertise on local radio and the internet.
- Carry out recruitment campaigns which focus on minority ethnic groups and/or undertake recruitment campaigns through minority ethnic organisations.
- Include equal opportunity statements in job advertisements.

1c Information sent to Prospective Applicants (presented in an open, friendly and jargon-free manner):

- Competency based application forms and person specifications that are free of jargon.
- Synopsis of the locality covered by the agency.
- Staffing structure.
- Training opportunities.
- Support mechanisms.
- Equal opportunity statement.
- Information on the selection process.

1d Selection process:

- Staff involved in this process should be informed of the selection criteria and mechanisms put in place to ensure its consistent application.
- Mandatory training on race equality and diversity in recruitment and selection for those involved in this process.
- Ensure that at least one interview panel member is from the minority ethnic (Black/Asian) community.
- At least one panel member should be competent to provide equality and fairness advice.
- Interviews should be based on the principles of equal opportunities.
- The introduction of an assessment centre model of selection that does not adversely affect staff from diverse groups.
- Prompt feedback should be given to interviewees and they should be positively encouraged to accept this.

2 Supervision, Appraisal and Support

2a Induction of Newly Appointed Staff:

Induction policy should:

- Include equal opportunity and race equality policies and other relevant information for minority groups.
- Emphasise the agency's stance on anti-discrimination.
- Provide information on local and national support groups, e.g. LAGIP, NAAPs, ABPO, disability forums, women in NAPO, Irish League.
- Provide comprehensive induction pack – include a checklist which highlights the process and copies of relevant policies such as supervision, appraisal, training, grievance and harassment.

2b Location of Staff:

- Consider the make-up of the team and locality.
- Wherever possible do not place a minority ethnic member of staff in an all white setting. If this is not practical ensure the staff member receives additional support.
- Consider the specific needs of women and staff with disabilities.

2c Supervision and Appraisal:

- Supervision and appraisal policy which clearly identifies the agency's expectations in relation to anti-discriminatory practice. This should include a requirement that the appraiser gives consideration to diversity and fairness issues.
- Mandatory training for managers supervising employees from diverse groups.
- Appropriate support systems for managers.
- Methods in place to ensure that all managers consistently implement the supervision and appraisal policy.

2d Support for Staff from Diverse/Minority Groups:

- An agreed policy enabling the attendance at internal and external support groups.
- Availability of mentoring/consultancy.

3 Career Progression and Retention

3a Career Progression:

- Race equality/diversity training for all staff.
- Thorough career assessments for staff linked to training and development needs/opportunities.
- Consideration for an inter-agency development centre for all staff seeking senior management positions.

3b Discipline and Grievance:

- Have in place policies on discipline, grievance and harassment.
- Monitor the number of proceedings to include segmented data (e.g. race, ethnicity, gender, age, disability).
- When applying disciplinary procedures give consideration to the possible impact of racial abuse or provocation, communication or comprehension differences and the impact of cultural background on an employees' behaviour.
- Consider the location of black staff in relation to issues of isolation or their concentration in areas where the work is particularly difficult.
- Equip all staff to manage a diverse workforce effectively.
- Provide support for those going through the process, including the relevant manager.

3c Organisational Exit:

- In addition to a system of exist questionnaires have in place a system of exit interviews.
- Explain the purpose of an interview/questionnaire in detail and particularly ensure that the member of staff knows that it will not adversely affect their references or future employment.
- Ensure that an exist interview is carried out by an independent person (i.e. not the line manager), such as a member of the human resources team.
- Collate the information gleaned from the questionnaire/interview and use it to inform organisational practice and workforce planning.
- Ensure any findings are anonymous.

CRITERION 4



PARTNERSHIPS AND RESOURCES

4a External partnerships are managed

- Does the organisation monitor the allocation of financial resources to assess their impact on vulnerable social groups.
- Are agency partnerships assessed for their applicability for diverse social groups.
- Are contract compliance requirements used in approved lists (e.g. implementation of equal opportunities policies).
- Do partnership agencies/beneficiaries include diverse groups.
- Are targets set for partnerships with diverse groups.
- Can the organisation demonstrate that it works with agencies to pursue excellence in diversity issues.
- Are partnership opportunities used innovatively to promote and integrate diversity in innovate multi-agency practice with regards to diversity.

4b Finances are managed

- Devising/implementing action plans to promote and integrate diversity and fairness in the business of the organisation.
- Creating flexible budgets to promote initiatives in relation to diversity, to enhance the organisation's performance.

4c Buildings, equipment and materials are managed

- Ensuring that the management of buildings and materials promote/integrate the needs of a diverse workforce (e.g. disability access, signs in relevant languages).
- Assessing new sites using diversity principles.

4d Technology is managed

- Ensuring that the management of technology takes account of the needs of all staff groups (e.g. people with dyslexia, sight impairment).
- Ensuring that technology is resourced appropriately to incorporate a diversity perspective.
- Using Information and Communication Technology to positively promote diversity (e.g. diversity information database).

4e Information and knowledge are managed

- Management of information and knowledge is inclusive, ensuring that the views of all stakeholders are included to improve value.
- Ensuring that there is an appropriate exchange of information between the Service and all stakeholders, e.g. accessibility of public meetings to minority groups).
- Managing information in a transparent manner (e.g. making public the process of consultation and how information affects changes in policy and strategy).

CRITERION 5



PROCESSES

- Does the organisation make itself open to the scrutiny of its policies and practices by external groups.
- Does each process have an in-built diversity checklist which identifies critical success factors and a monitoring and review framework.
- Are processes reviewed and improved to take account of the needs of all stakeholders.
- Is there a formal framework to consult with and include the views of minority groups.
- Does the community consultation feed into the planning process for service delivery.

CRITERION 6



CUSTOMER RESULTS

6a Perception Measures

- Do the surveys employed measure:
 - the image of the organisation to diverse groups.
 - users of the service who belong to minority groups.
 - the impact of communication with minority groups. Is all customer satisfaction information segmented by gender, age, race, disability.
 - the flexibility of the service to meet diverse needs.
 - the visibility of the organisation to all groups.
 - fairness, consistency, courtesy, understanding and actions of staff in relation to diversity.
 - the level of confidence that diverse groups have in the service.
- Does the process extend to current and potential customers.
- Does the consultation with customers lead to improvements in the perception of diverse groups.
- Are the surveys written in appropriate languages, e.g. Welsh in Wales.

6b Performance Indicators

- Is the information gleaned from core documents, national standards monitoring, performance data, segmented by age, race, ethnicity, gender, disability etc.
- Has consideration been given to including appropriate local/area diversity targets in addition to those stipulated in SDAs and SPMs.

CRITERION 7



PEOPLE RESULTS

7a Perception Measures

General

- Do the staff of the organisation believe diversity is properly managed.
- Do the results from the employee surveys influence the performance of the organisation.

7b Performance Indicators

- Information gleaned from core documents, national standards monitoring, performance data segmented by age, race, ethnicity, gender, disability etc).
- Achievement or Action Plan to achieve the CRE Standards (Leadership Challenge).
- Consideration given to including local/area diversity targets in addition to those stipulated by SDAs and SPMs.

CRITERION 8



SOCIETY RESULTS

8a Perception Measures

- When gathering information on how the Probation Service is perceived by society, does the organisation demonstrate that minority groups are appropriately represented (e.g. information held by CRE, minorities groups/organisations, disability council).
- Ensure performance measures take account of national indicators, e.g. minority press coverage such as “Voice”, “Eastern Eye”, “Pink Press”.

8b Performance Indicators

- Is the information gleaned from core documents, national standards monitoring, performance data, segmented by age, race, ethnicity, gender, disability etc.
- Has consideration been given to including appropriate local/area diversity targets in addition to those stipulated in SDAs and SPMs.

CRITERION 9



KEY PERFORMANCE RESULTS

9a Key Performance Outcomes

- Ensure that the key performance indicators are linked to the diversity objectives, contained in the local business plan and national plan.

9b Key Performance Indicators

- Demonstrate that the management of diversity is contributing to the attainment of the key performance targets by ensuring that diversity issues are consistently integrated into all key performance indicators, and that all reporting data is where possible segmented by gender, age, race, disability, etc.

Glossary

Black

The common experiences and common determination of people of African, African-Caribbean and Asian origin to oppose the effects of racism.

Culture

An identity which everyone has, based on a number of factors, such as: memories, ethnic identity, family attitudes to child rearing, language, class, money, religious or other celebrations, division of family roles according to gender or age. Cultures are neither superior nor inferior to each other. They are constantly evolving for individuals and communities.

Customer

External customers are the recipients or beneficiaries of activities, products, dictates and services of the organisation. External customers include victims, offenders, sentencers, other criminal justice agencies, local prison governors, CPS – bail information and the parole board.

Discrimination

To make a distinction in the treatment of different categories of people, especially unjustly or prejudicially against people on the grounds of race, colour, gender, social status, age, disability, etc.

Diversity

Incorporates the principles of equality, fairness and inclusiveness in relation to the multi-dimensional nature of people/society (e.g. race, gender, sexuality, disability, etc).

Minority Ethnic

Belonging to a cultural, racial or religious group that is numerically smaller than the predominant white majority power base in the United Kingdom. This includes groups visible on the basis of their skin colour, as well as others such as Irish, Jewish, Polish, Turkish and Travelling peoples. Belonging can come either through personal identification with a group or through the allocation by others or individuals to it.

Oppression

The application of prejudice and discrimination by people or institutions in positions of power, the effect of which is to subjugate a person or a group of persons and to deny them access to equal rights and fair treatment.

Valuing Diversity

The application of the principles of inclusiveness, equality and fairness at the core of all our work to ensure social justice. Valuing diversity is an attempt to ensure that an organisation is effective and responsive to the multi-dimensional nature of this society.

Abbreviations

ABPO

Association of Black Probation Officers

CPS

Crown Prosecution Service

CRE

Council for Racial Equality

EFQM

European Foundation for Quality Management

HR

Human Resource

LAGIP

Lesbians and Gay Men in Probation

NAAPS

National Association of Asian Probation Staff

NAPO

National Association of Probation Officers

PRP

Performance Related Pay

SDA

Service Delivery Agreement

SPM

Supporting Performance Measure

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