

# OFFENDER MANAGEMENT INSPECTION INSPECTION

## A report on Offender Management in Derbyshire

An inspection led by  
HM Inspectorate of Probation

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## **FOREWORD**

Derbyshire Probation Area has in place sophisticated planning processes and its leaders take care to give clear leadership. It plays a significant and successful part in inter-agency work, collaborating effectively with agencies both inside the criminal justice system and beyond. There are some encouraging examples of sensitive diversity practice but this would benefit further from a more strategic approach to the diversity agenda. Equally long-term planning for a number of human resource issues requires more attention.

Practitioners show commitment to the offenders with whom they work. Pre-sentence reports are written to a good standard and offenders are placed appropriately into tiers. However, there are some key aspects of practice which need improvement. A higher profile on the achievement of outcomes is required and a better and more sustained emphasis on the centrality of sentence planning should promote this. Greater care is needed across a wide range of work under the umbrella of Risk of Harm. Assessments should be more comprehensive, reviews should be reliably completed on time or in response to changed circumstances, and there should be better integration of previous assessments.

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## **ACKNOWLEDGEMENTS**

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The inspection also depended on the contribution made by local area assessors who assisted with the offender manager interviews. Their participation and commitment were greatly appreciated.

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## **LIST OF ABBREVIATIONS/ACRONYMS**

ABPO	Association of Black Probation Officers
ACO	Assistant chief officer
ASBO	Anti-Social Behaviour Order
ATR	Alcohol Treatment Requirement
CALM	Controlling Anger and Learning to Manage it
CARATS	Counselling, Assessment, Referral, Advice and Throughcare Services
CDRP	Crime and Disorder Reduction Partnerships
CO	Chief officer
CRAMS	Case Record Administration and Management System
DAAT	Drug Alcohol Action Team
DIP	Drug Intervention Programme
DPA	Derbyshire Probation Area
DRR	Drug rehabilitation requirement
DTTO	Drug treatment and testing order
DVU	Domestic Violence Unit
ETE	Employment, training and education
FDR	Fast delivery report
HMCS	Her Majesty's Court Service
HMI Prisons	Her Majesty's Inspectorate of Prisons
HMI Probation	Her Majesty's Inspectorate of Probation
HMP	Her Majesty's Prison
IDAP	Integrated Domestic Abuse Programme
IiP	Investors in People
ISP	Initial sentence plan
LAA	Local Area Agreements
LCJB	Local Criminal Justice Board
LEA	Local Education Authority
LSC	Learning and Skills Council
MAPPA	Multi-Agency Public Protection Arrangements
NAAPS	National Association of Asian Probation Staff
NOMIS	National Offender Management Information System
NOMS	National Offender Management Service
NPD	National Probation Directorate
NPS	National Probation Service
NVQ	National Vocational Qualification
OASys/eOASys	Offender Assessment System/electronic OASys
OMI	Offender Management Inspection
OMU	Offender Management Unit
PCT	Primary Care Trust
PO	Probation officer
PPO	Prolific priority and other offender
PPSM	Public Protection Strategy Meeting

PSO	Probation service officer
PSR	Pre-sentence report
REM	Race and ethnic monitoring
RoH	Risk of Harm
ROM	Regional offender manager
SDR	Standard delivery report
SFO	Serious Further Offence
SLA	Service Level Agreement
SMT	Senior Management Team
SMU	Substance Misuse Unit
SPO	Senior probation officer
VLO	Victim liaison officer
WLO	Work and learning officer
YOI	Young Offenders Institution
YOS/YOT	Youth Offending Service/Team

## **SUMMARY**

### **Assessment and Sentence Planning**

Reports to courts were generally of a good standard and well received by sentencers. The assessment of offending and criminogenic needs was sufficient, however more use of previous assessments was required. More attention should be given to identifying methods that work with individual offenders and to their learning style, motivation and capacity to change. Not enough offenders were screened for skills for life. Sentence planning was not central to the management of cases. Plans did not reflect the criminogenic factors that should have been addressed or the input of other key workers. At the planning stage the diverse needs of offenders were not always taken in to account. In most cases offenders had been allocated to the correct tier.

### **Implementation of Interventions**

There was evidence that offender managers prepared offenders well for interventions, although they were less effective at sequencing the interventions and coordinating the work of others involved in the cases. Sentence planning in most cases was superficial. There was insufficient contact with prisons to prepare offenders for release, in some cases due to the late allocation of an offender manager. The area was to be congratulated for having implemented a One-to-One Victim Awareness Module. However, it was not yet widely used and consequently more attention needed to be given to victim issues. Induction, frequency of appointments and enforcement were definite strengths. Constructive interventions needed to challenge the offender in more cases. The range and quality of unpaid work placements was good, but this was not reflected in the case file. Also offender managers did not always know what the offender's response and experience had been on unpaid work. In most cases attention had been paid to diversity issues.

### **Achievement and Monitoring of Outcomes**

More offenders could have complied with the requirements of their sentence, although most had not reoffended. Achievement of sentencing objectives was positive in relation to the domains of *punish* and *help*. Resources allocated had been consistent with the assessed Risk of Harm and likelihood of reoffending. There had been no obvious improvement in criminogenic factors in just over half the cases, but there was evidence of staff responsiveness to Risk of Harm through changes in restrictive interventions. Attitudes and behaviour had also not improved in a similar proportion of cases. Aside from unpaid work, there was little evidence of community benefits from offender supervision. Structured sentence planning had not been given a high priority in half of the cases.

### **Leadership and Strategic Management**

The Board and senior managers had led the organisation well, engaging effectively at a national and regional level with a wide range of stakeholders. One of the area's strengths was the innovation that occurred within the organisation and its willingness to learn from external scrutiny. Liaison with sentencers and diversity practices would

benefit from an increased strategic approach. The quality of performance information was excellent, well presented and easy to understand. The area had focused on performance improvement and made progress, meeting or exceeding the majority of targets. Strategic partners were very positive about their relationship with the area and respected probation managers they worked with. Derbyshire Probation Area had ensured that its resources followed Risk of Harm which was evidenced by its contribution to Multi-Agency Public Protection Arrangements. Supervision, appraisal and training had all been delivered in the context of sickness absence, vacancies and maternity leave; however, a more long-term approach to workforce planning was required. A Disability Equality Scheme had also been introduced. The offender exit survey and the use of Offender Assessment System data were both impressive pieces of work which had already contributed to future planning. Derbyshire Probation Area had made a good start with commissioning, producing a contracting plan, appointing a business partnership manager and using its existing expertise to negotiate with regard to the provision of offender services for alcohol and employment, training and education.

### **Risk of Harm**

Whilst we agreed with the Risk of Harm classification assigned to the majority of cases the overall quality of the assessment was satisfactory in just over half of the sample. Risk of Harm screening was sometimes late or inaccurate. Nearly half of all full Risk of Harm analyses were not of a sufficient standard even though they had been countersigned by a senior probation officer. The majority of risk management plans were presented in the required format, but they were generally not comprehensive. The Risk of Harm classification and Multi-Agency Public Protection Arrangements status of the case were communicated in most cases internally and externally. Risk of Harm reviews were not always done and when a significant change had occurred (risky behaviour, new offences) this was not carried out in over half those cases. Licence conditions were not proportionate to the protection of victims in a third of cases.

Multi-Agency Public Protection Arrangements were seen as effective in just over half the cases. Some Level 2 meetings were cancelled and attendance was poor. However, other workers involved with those cases had attended meetings.

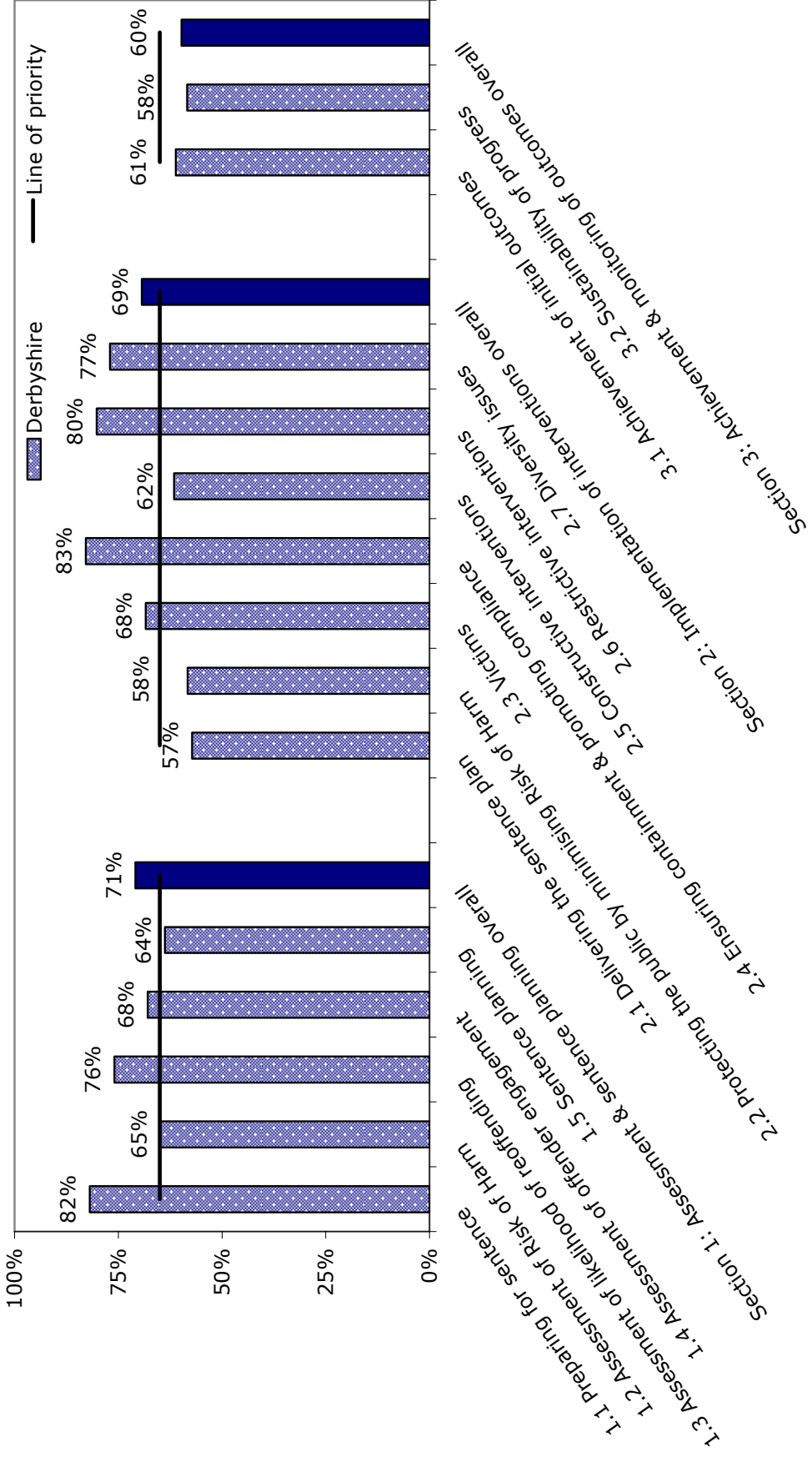
The Derbyshire approved premises was seen to offer a good level and range of constructive and restrictive interventions to offenders posing a high Risk of Harm to the public.

### **SUMMARY OF SCORES**

Outlined overleaf in Chart 1 are percentage scores for each Offender Management Inspection Criterion in sections 1-3. A line of priority for improvement is also indicated. The scores which fall below this line (which is not a line of 'sufficiency') indicate those criteria which form a primary focus for improvement. Table 2 indicates a score drawn from a range of indicators in the *Assessment & Sentence Planning* and *Implementation of Interventions* sections about Risk of Harm work. This score is significant in determining whether a further focused inspection will be carried out. Full details of our *Scoring Approach* are contained in Appendix 3.

**Chart 1: Scoring of sections 1-3:**

**Offender Management Inspection - Derbyshire (June 2007)**



**Table 1: Scoring of section 4:**

4.1	General Criterion: LEADERSHIP AND PLANNING	<b>Well met</b>
4.2	General Criterion: PERFORMANCE AGAINST NATIONAL AND REGIONAL TARGETS	<b>Well met</b>
4.3	General Criterion: RESOURCE DEPLOYMENT	<b>Satisfactorily met</b>
4.4	General Criterion: WORKFORCE PLANNING AND DEVELOPMENT	<b>Partly met</b>
4.5	General Criterion: REVIEW AND EVALUATION	<b>Well met</b>
4.6	General Criterion: COMMISSIONING OF SERVICES	<b>Satisfactorily met</b>

We advise readers of reports against attempting to compare scores area by area. Such comparisons are not entirely valid as the sizes of samples vary slightly, as does the profile of cases included in each area's sample. We believe the scoring is best seen as a simple summary of what we have found in an individual probation area and needs to be seen alongside the full findings and recommendations of any particular report.

**Table 2: Risk of Harm Thread**

Score for Risk of Harm Thread	<b>64%</b>
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## **RECOMMENDATIONS FOR IMPROVEMENT**

Improvements are necessary as follows:

1. accurate and comprehensive Risk of Harm assessments are completed and regularly reviewed
2. risk management plans are comprehensive, reflected in sentence planning and regularly reviewed
3. the organisation, management and effectiveness of Public Protection Strategy Meetings should be reviewed, with the aim of increasing the attendance of appropriate agencies, reducing the number of cancellations and ensuring best use of resources
4. sentence planning is given a high priority and plans and reviews are completed on time and to a high standard
5. victim awareness work is undertaken with offenders in all relevant cases
6. constructive interventions, to help offenders change their behaviour, are delivered in all relevant cases and this is evidenced in case records
7. a diversity strategy is developed to include the coordination and monitoring of this area of work and the measuring of its effectiveness
8. a workforce plan is developed to address the long-term staffing needs of the organisation and achieve the profile needed for good offender management.

## **NEXT STEPS**

An improvement plan addressing the recommendations above is needed four weeks after publication.

Further focused inspections will be carried out approximately 12 months after the original OMI when HMI Probation has a serious concern about an area's RoH work.

There will not be a further inspection in Derbyshire.

## SHARING GOOD PRACTICE

Below are examples of good practice we found in Derbyshire.

### **Diversity**

#### **OMI Criterion: 1.1**

#### **Preparing for sentence**

The court referral form indicated whether the offender would require an interpreter, if so what language was required or whether a signer was needed. On receipt of the form the case administrator would make arrangements for an interpreter to be present for the PSR interview. The area also had a specific form to monitor disability, which allowed the offender to classify the type of disability they had and indicate from a full list of potential adjustments what would be helpful.

### **Using sentence plan objectives in sessions**

#### **OMI Criterion: 1.5**

#### **Sentence planning**

When interviewing offenders under their supervision, the offender manager would have a single sheet of A4 paper which contained a summary of the offender's details, significant dates, outline of the original offence and previous convictions and, importantly, a list of the sentence plan objectives. This aide-mémoire enabled the offender manager to focus the content of the session on the objectives rather than the agenda being set by the offender or allowing the intervention to drift without direction. This was an example of how these could be used constructively and as a professional tool when working with offenders.

### **Demanding and beneficial unpaid work placements:**

#### **OMI Criterion: 2.5**

#### **Constructive interventions (Help and Change)**

DPA in partnership with Broomfield Hall, Derby College developed and delivered a course leading to a City and Guilds (9383) qualification in horticulture, for offenders undertaking unpaid work.

The project was designed to deliver horticultural knowledge and skills through practical experience working alongside a college tutor and unpaid work supervisor. The course covered landscaping, the operation of machinery and propagation and planting. The course lasted seven weeks, with one seven hour session each week. To date 118 offenders had enrolled, 61 had achieved City and Guilds Level 1 qualification, six had partially completed the qualification and 46 were currently studying.

An important element of the course was the emphasis on embedding basic skills of literacy and numeracy. Offenders taking part were very enthusiastic. They achieved work related qualifications, improved their basic skills and increased their self-esteem.

DPA unpaid work teams and Broomfield Hall, Derby College won the Butler Trust Education and Skills Training Award 2007.

**Delivery of interventions and diversity:**

**OMI Criterion: 2.5**

**Constructive interventions (Help and Change)**

John was 21 years old and had been involved in crime since the age of 11. He had mild learning difficulties and a negative experience of school where he had been affected by bullying. He also had mental health problems associated with heavy drug and alcohol use. Since 2004 John had had nine orders, of which he had only completed one unpaid work order.

In December 2006 he was given a two year community order with six months ATR, three months curfew and a three year ASBO. Due to his previous non-compliance and offending the chances of him completing the order were in doubt.

The offender manager successfully put together a well coordinated package of interventions from the probation area and key partner agencies including psychological support, alcohol treatment and ETE work. The interventions were well managed and John had only one unacceptable absence in six months. He also completed both the ATR and curfew without any non-compliance. In addition the offender manager paid attention to his diversity needs in delivering offending behaviour work, for example altering the pace of delivery of the victim awareness module to meet John's learning ability and style.

**RoH training for admin staff**

**OMI Criterion: 4.4**

**Workforce planning and development**

A comprehensive RoH training programme was developed based on the package produced by DeMontfort University. PSO offender managers received four days' training and POs and SPOs two days. Two divisional office managers adapted the DeMontfort material and developed a one-day training course to match the work of admin staff in supporting offender managers. Scenarios were used which were based on actual events. An extract from the HMI Probation Review on the Anthony Rice case was included as an example of where admin errors had contributed to the tragic outcome. The training was inclusive, emphasising the important contribution of admin staff to one of the main purposes of the organisation which was to protect the public.

## **OFFENDER MANAGEMENT IN DERBYSHIRE**

Planning for OMI Phase One commenced in October/November 2004. An Offender Management Policy was issued in October 2005 and the four Derbyshire divisions were restructured into OMUs during 2005/2006.

Within DPA an OMU comprised POs, PSOs (offender managers and supervisors) and admin officers working collaboratively. An OMU was managed by an SPO and divisional office manager. In addition the area formed a SMU which was a specialist and centralised team that worked with PPOs and DRRs. The structure separated OMUs from Intervention Units which had increased the need to liaise effectively and ensure the smooth delivery of all the requirements of the order or licence.

Admin staff were particularly positive about offender management. Working alongside both offender managers and supervisors they felt more involved with cases and communication had improved. Weekly OMU meetings took place using a standard agenda.

PSO offender supervisors mainly worked under the direction of the PO offender manager. DPA was in the process of moving to a position where all PSOs, subject to satisfactory training and assessed competence, could operate as PSO offender managers of low and medium-risk cases (Tiers 1 and 2 and Tier 3 only by virtue of a requirement to complete an accredited programme, excluding CALM and IDAP, and where there were no other significant risk factors) and also prepare FDRs/oral reports. From March 2007 all PSOs were notified that this opportunity existed for those staff able to do so as quickly as possible and for other staff over the medium term.

Senior managers felt the offender management model had placed high expectations on offender managers and SPOs who were now required to have a very wide grasp of issues and policies. The move to this model had resulted in a loss of expertise that had existed within the previous specialist teams. To combat this effect, efforts were made to link experienced offender managers with those less experienced, including taking these factors in to account when planning seating arrangements. Linking offender managers with differing experience together was one way of dealing with the spread of skills.

In May 2007, as part of a national stocktake of Phase One of the implementation of the NOMS offender management model (community orders and licences), DPA assessed its progress and identified areas for improvement. It was acknowledged that there were differences in practice between divisions concerning the admin role which were being addressed. The majority of cases were tiered and efforts were made to ensure that PSR writers continued to be the offender managers. However this had proved difficult when PO PSR writers transferred cases to PSO offender managers or when peripatetic report writers were used. Staff were fully briefed about the offender management model and were clear about their role within it; however, the model and roles were continually evolving and consequently refreshers and updates for staff would be required. Continuity was a challenge and the area had taken the stance that public protection was the overriding principle rather than continuity.

In November 2006 the area implemented Phase Two of offender management which aimed to provide a much closer working relationship between prisons and probation. An

Offender Management in Custody Policy and practice guidance document were issued at that time and implemented with immediate effect. The cases in the target group included only high or very high RoH and PPO cases sentenced to over 12 months from 6 November or released from the 1 May 2007. None of these cases would have come within the scope of the present inspection. A probation offender manager would retain a supervisory role whilst the offender was in custody, chairing sentence planning boards in the prison and a prison offender supervisor would undertake the direct work with offenders, working to deliver the sentence plan objectives devised by the offender manager. HMP Nottingham was the local prison mainly receiving remand and newly sentenced offenders from Derbyshire. Detailed working arrangements for probation staff and staff in HMP Nottingham were contained in the practice guidance document.

NOMIS was due to be implemented in Derbyshire in January 2009 at the earliest. There were only two cases from the case sample where there had been issues about the ownership of OASys or connectivity with prisons.

## **OFFENDER MANAGEMENT IN HMP FOSTON HALL**

We visited HMP Foston Hall to hear of progress with the NOMS offender management model.

HMP Foston Hall is a female establishment which functions as an adult prison, remand centre and YOI. The YOI held 16 remanded and convicted young women from across the country. The remand centre held 80 unsentenced or short-term convicted prisoners and served courts across the Midlands. The adult prison held 184 women, including up to 40 serving life sentences. The population was drawn from throughout England and Wales and involved contact with almost all probation areas. On average under 20% of the convicted population was from the West Midlands, with a far smaller proportion from Staffordshire and Derbyshire. The number of prisoners on the day of our inspection was 239.

The OMU consisted of a Head of Offender Management (Governor Grade), senior officer coordinator, four offender supervisors (two prison officers and two PSOs) and a caseworker. All four offender supervisors had attended offender management training. Two of the four supervisors were waiting to be trained in OASys and the first available course was in August 2007. The two prison officer staff in the OMU did not have their time ring-fenced and were, on occasions, redeployed to cover other tasks which was common practice throughout the prison service; this did not help with the backlog of OASys.

Forty-one prisoners were in scope under Phase Two of the offender management arrangements, 13 were awaiting sentence planning boards and 19 had yet to meet their offender managers. On average it was taking four months for the first meeting with the offender manager.

Since launching the OMU in November 2006, 52 prisoners had been managed through the offender management structure of which two had reoffended. Establishment wide, of all prisoners who were eligible for OASys assessments (not necessarily those prisoners under Phase Two) there were 20 cases overdue. Plans were in place to prioritise those cases as soon as two staff had been trained.

The unit manager informed us that there had been initial apprehension towards the OMU as staff were not fully aware of its function. He had raised its profile within the establishment by giving presentations during staff briefings, preparing information sheets attached to staff wage slips and had sent out global emails to staff to inform them of its role. There had been no objection from the unions in relation to the OMU.

Prisoners who came under the offender management arrangements were seen within ten days by their nominated offender supervisor. After the initial interview the offender supervisor was required to contact the offender manager and update them on progress and to discuss arrangements for the sentence planning boards. In most cases offender managers were not chairing boards. This may be partly due to the time and expense involved in travelling to HMP Foston Hall, as prisoners came from all parts of England and Wales. Consequently, boards were being chaired by offender supervisors to ensure that they were convened on time, although contrary to the intention of the NOMS offender management model. The average caseload at any one time for both trained

offender supervisors was 21 and they were seeing offenders on average once per month.

Staff described a high number of prisoners arriving at HMP Foston Hall with complex drug issues. Input from CARATS, psychology, healthcare and mental health In Reach addressed these. However prison staff were looking forward to the introduction of the Integrated Drug Treatment Service in July 2007 to offer extra support to those women with substance misuse issues. The OMU carried out a needs analysis and included two additional strategic pathways to the Reducing Reoffending Strategy: support for women prisoners who had been abused, raped or experienced domestic violence and those who had been involved in prostitution. Training in motivational interviewing techniques, mental health and benefit and debt advice was scheduled for OMU staff, but had not been delivered as the prison was reliant on places being allocated nationally. The prison provided nationally accredited training within workplaces (textiles, farm and gardens, gymnasium and kitchen) and the accredited programme Enhanced Thinking Skills. The establishment offered women the opportunity to gain the necessary qualifications to work in the motor industry through an arrangement with Toyota Motors.

Work with DPA was seen as positive. Staff spoke well of the training and support given by the area. Both prisoners who were in scope and came under DPA had been seen by their offender manager.

The establishment had no video conference facility. Work to create such a facility had been ongoing for almost a year. At the time of the inspection the prison was awaiting planning permission to extend the perimeter fence and make alterations to a listed building to accommodate this. The building work was scheduled to commence in August 2007.

At this point, HMP Foston Hall was still developing its OMU. There was an ongoing process to raise the profile of the OMU with prisoners. Liaison with current and potential offender managers will be improved once video conferencing facilities are available. Training for staff in the OMU was prioritised but the prison was dependent on places being made available on national courses. Plans were in place for increased contact between offender supervisors and prisoners. The attendance of offender managers at sentence planning boards does need to be improved. Attendance was currently monitored and reported to the offender manager lead at HM Prison Area Office.

## SERVICE USERS' PERSPECTIVE

### Offenders

There were five sets of meetings with offenders during our inspection: two unpaid work groups, two accredited programme groups (IDAP – for domestic violence perpetrators and CALM for those offenders with issues around anger) and residents at the approved premises in Derby. Apart from offenders on accredited programmes who were interviewed as a group, other sets of offenders were interviewed one to one. In total 32 offenders were interviewed.

Comments from offenders undertaking unpaid work were generally very positive. The majority were unaware of the sentence plan and therefore not involved in its creation. However they did express a preference for placements and five asked specifically for the horticultural placement to achieve a qualification. They were all aware of the rules which were, in the main, applied fairly and consistently. All had received a thorough induction, although one offender found it was 'too much to take in'. They were positive about the value of their work, which one offender described as 'demanding but enjoyable'. Several offenders liked the fact that they were working towards a qualification. In most cases diversity issues and individual needs were taken in to account and placements were changed as necessary. There were a number of positive outcomes: one offender felt that unpaid work "*has done a lot for me*"; another wanted to apply later for the job of unpaid work supervisor; yet another wanted to pursue employment opportunities once they had gained their qualification in horticulture.

Offenders on accredited programmes were not aware of a document called a sentence plan with the exception of one offender who had received a copy. All the offenders were aware of the rules. They had conflicting views about the application of the rules, which they felt were stringently enforced, with little compassion or flexibility but at the same time they had misgivings about the consistency of judgements in relation to absences. They acknowledged that probation staff had little discretion when applying national standards. A small number had been breached and were attending the programme for a second time. All the offenders knew who their offender manager was but the quality of the working relationship varied. In one case an offender had had four offender managers in one year which caused them difficulties. However the offenders were positive about their tutors praising them for their enthusiasm for the programmes. Despite their positive remarks about the tutors generally they were negative about the programme content and methodology in terms of the use of role play, feeling patronised, the judgements made about their level of participation and the repetition of material. Those attending IDAP indicated that the sessions had effected their behaviour, by using techniques such as self talk and time out they had managed successfully to control their response to situations that previously would have resulted in a violent incident. Offenders attending CALM felt the programme would have minimal impact on their behaviour, although they all had reached session 19. Offenders attending IDAP had worked on victim issues in practically every session, in contrast to those on CALM who could not recall any victim awareness work in either their group sessions or with their offender manager. There were some diversity issues relating to transport, childcare responsibilities and the financial impact of attending sessions which they felt offender managers and tutors had not taken in to account.

Residents at the approved premises confirmed that they had received a timely induction and in some cases a three-way meeting between the offender, offender manager and keyworker. They were aware that there was regular contact between the approved premises staff and the offender manager. Their experience of the sentence planning process was varied but mainly they did not feel involved. Two residents were allocated their offender manager on release and another two had reasonable contact with theirs while in prison. They were generally positive about the work they had completed in prison, but little had been achieved since their arrival at the approved premises. No victim awareness or offending behaviour work had been done. All were clear about the rules and the majority were positive about the help they would receive from the offender manager and approved premises staff.

Out of 100 questionnaires, 21 were completed and returned. Nineteen confirmed that the rules covering supervision, including breach, were fully explained to them and two agreed this had been partly done. Nine had recently been released from prison, but none of them had had a visit from an offender manager while they were in prison. An offender manager had discussed the sentence plan with the majority of the offenders. Fifteen thought that probation staff and people from other agencies had worked well together. They reported that the issues which their offender manager had helped them most with in order of priority were: attitude to offending, education/training/employment, and thinking skills. Six identified issues that had made it difficult to take part fully in their supervision sessions. These included: health reasons, funding for childcare, literacy difficulties and transport problems. Three out of the six agreed that the issues were discussed and plans made to deal with them. Nineteen felt that they had had a good working relationship with their offender manager, although four commented that offender managers did not listen or if they did they did not really help much. Sixteen offenders agreed that the probation area's work with them so far had made them think more about their offending, about victims of crime and that in the future they were less likely to offend. Three commented in effect that they knew they had done wrong and only they could decide to stop reoffending.

## **Victims**

Ten questionnaires were sent out to people who had attracted statutory contact from the probation area as victims of serious crime in the case sample and one was returned. The victim confirmed the initial letter about victim contact was easy to understand and clearly explained why they were being contacted. The VLO explained about the service that would be provided and took into account the victim's needs. The victim did not feel that they received enough information about custodial sentences generally or about how long the offender would be in custody. However, they felt that they had the opportunity to discuss any worries they had about the offender's eventual release and say what conditions should be in the licence. They were clear about arrangements for confidential information and felt they were listened to. Good attention was paid to their safety and they knew whom to contact if they had concerns. Overall they were very satisfied with the service provided by DPA.

Two victims were interviewed. They were very positive about their contact with VLOs who were described as friendly, sensitive and easily accessible for advice. VLOs had explained about prison sentences and recall, provided timely information about the offender and included appropriate conditions in a licence as requested by one victim. They were asked about potential improvements to the service provided. One victim felt

that they were vulnerable at the weekends and suggested that it would be useful if an out of hours call centre or advice centre was available. They also felt that more places on IDAP should be available to challenge offenders and encourage them to talk.

## **Courts**

On the grounds of avoiding duplication and saving time, the questionnaire sent to sentencers by HMI Probation was merged with a sentencer questionnaire that DPA had already planned to circulate. Out of 420 questionnaires sent to sentencers 122 were returned. Probation staff were considered to have sufficient knowledge to work effectively in court, the quality of reports was seen to be satisfactory and the liaison arrangements were good. 61% of sentencers did not have a complete understanding of how probation staff worked with victims. Sentencers received information about current probation policy and practice from a locally produced newsletter, information leaflets about sentences and programmes, attendance at bench probation committee meetings and open days. Sentencers felt that probation engaged effectively with the LCJB.

## 1. ASSESSMENT AND SENTENCE PLANNING

### 1.1 General Criterion: PREPARING FOR SENTENCE

*Activity in the phase leading up to sentence is timely, purposeful and effective.*

**82%**

#### Strengths:

- (a) Almost all the cases in the community sample (50 out of 58) had had a PSR written for the current offence and 79% were assessed as satisfactory. Sentencers were satisfied with the overall quality of SDRs (95%) and FDRs were seen as helpful and had met their expectations (92%). Where the court had indicated the level of seriousness, all but one of the reports clearly took this into account. A clear proposal for sentence was made in 94% of reports. A proposal for a community sentence was made in 96% of the reports, which was followed fully by the courts in 83% of cases.
- (b) All the reports were of the appropriate type, i.e. FDRs or SDRs. 98% of sentencers reported that they clearly knew when to ask for a FDR instead of a SDR. Most reports (84%) were written using the nationally agreed format and 98% were prepared within the timescale set by the court. 86% of sentencers confirmed that the 15 day turnaround time for SDRs was satisfactory and 82% indicated that FDRs were ready on time.
- (c) There were three reports on PPOs. They all outlined the likelihood of reoffending, contained a clear and proportionate proposal and correctly did not identify the offender as a PPO. One report did not clearly outline the seriousness of the offence.
- (d) The OASys template was used in 22 reports and in 16 cases the use of the template was considered to have enhanced the quality of the report. Case administrators quality assured PSRs completed using the OASys template by formatting, correcting spelling and grammar and adding standard paragraphs.
- (e) Reports were objective, impartial and free from discriminatory language and stereotyping in 82% of cases, based on appropriate risk/needs assessment in 80% and suitably concise in 74%.

#### Areas for Improvement:

- (a) In six cases where the proposal for a community sentence was not followed by the court, the reason for the court's decision was either not clear or not recorded.
- (b) 44% of the reports were not assessed to be balanced, verified and factually accurate. In only 44% of relevant reports was victim information included.
- (c) An outline sentence plan was contained in 33 of the 50 reports (66%) where a proposal for a community sentence had been made.

- (d) Where self-harm was an issue it was not clearly recorded in three out of 16 reports.

**Conclusion:**

Performance against this criterion was good.

**1.2 General Criterion: ASSESSMENT OF RISK OF HARM**  
*RoH is comprehensively and accurately assessed using OASys in each case and additional specialist assessment tools where relevant.*

**65%**

**Strengths:**

- (a) A RoH screening had been completed in 91% of the community cases and had also been completed or reviewed on release from custody in 75% of cases. 91% of all RoH screenings were assessed as accurate.
- (b) The RoH analysis accurately reflected the RoH to children (82%), the public (89%), known adults (90%) and staff (91%) in appropriate cases.
- (c) In the majority of cases (93%) the assessed RoH classification – low, medium, high or very high – appeared to be correct. In most cases the RoH classification for high or very high RoH (83%) and MAPPA level of management (76%) had been communicated to staff. Internal keyworkers would be aware of RoH issues from CRAMS, and specific RoH issues were identified on a referral form and supporting documentation. It was the responsibility of WLOs to provide information on RoH to external education staff. Internal and external keyworkers were confident that they would be invited to any MAPPA meetings.
- (d) Risk management plans for community cases were structured according to the required format in 81% of relevant cases (licences 69%). The plan was completed within five working days of the order being made or assessed as high/very high RoH in 75% of appropriate cases.
- (e) A referral had been made to approved premises in ten cases and nine of these were considered appropriate. In only two cases out of the remaining 88 was it assessed that a referral should have been made.

**Areas for Improvement:**

- (a) In 11 (21%) out of 53 community cases where there was a RoH screening, it was completed late and in 9% of all cases it was inaccurate. Two stand alone unpaid work requirement cases did not have a RoH screening.
- (b) The overall quality of RoH assessments was described as satisfactory in only 55% of cases. In one case no assessment had

been completed and in another it was not clear what the assessed level was. In seven cases we assessed the classification to be inaccurate. Offender managers were not always taking into account the circumstances of previous offences, particularly if the offender had been made subject to a number of consecutive community orders for new offences.

- (c) A full RoH analysis was completed in 83% of cases, of which 57% were assessed as having been completed to a sufficient standard.
- (d) In eight out of 11 cases (73%) there was no acceptable explanation about why a full RoH analysis had not been completed when there were indicators that it should have been done.
- (e) The OASys RoH screening and analysis and any other specialist tools had failed to draw on MAPPA, other agencies' and previous probation, prison or YOT assessments in 43% of relevant cases.
- (f) RoH assessments had not covered victim issues thoroughly in 42% of relevant cases. The information that was typically missing was details of the circumstances of previous offences which may have indicated other potential victims.
- (g) Risk management plans in the community were comprehensive in only five out of 36 cases (14%) and nine out of 32 licence cases (28%). The plan was completed prior to release in 16% of relevant licence cases.
- (h) There was insufficient evidence of effective middle/and or higher management involvement in the assessment of seven out of 18 high/very high RoH cases, and in respect of child safeguarding issues in seven out of 23 cases.

This result may reflect the number of insufficient or poor RoH assessments that had been countersigned by SPOs. There were a number of possible reasons why this had happened: lack of confidence about asking the offender manager to improve the assessment; the need to meet the target for timely completion; or not enough time to do the job properly. However, other SPOs who had consistently returned OASys to offender managers for improvement, found that over time the number that required further attention decreased. There was also a view from some of the middle managers we interviewed that OASys was not popular amongst staff because they found it difficult to navigate around.

**Conclusion:**

This criterion represents a priority for improvement.

**1.3 General Criterion: ASSESSMENT OF LIKELIHOOD OF REOFFENDING**  
*Likelihood of reoffending is comprehensively and accurately assessed using OASys as applicable.*

**76%**

**Strengths:**

- (a) In 79% of cases there was a completed OASys assessment. (There were 14 Tier 1 cases in the sample that did not require a full OASys.)
- (b) The overall quality of the assessment of likelihood of reoffending was found to be sufficient in 73% of cases. Criminogenic factors were satisfactorily addressed in 79% of cases and positive influences identified in 74%.
- (c) There were seven PPO cases in the sample, of which six had had a comprehensive assessment completed within five working days of their sentence or release.

**Area for Improvement:**

- (a) Where there were previous relevant assessments available (for example, external keyworkers provided assessments to offender managers about drug use and education), these were not drawn on in 34% of cases.

**Conclusion:**

Performance against this criterion was good.

**1.4 General Criterion: ASSESSMENT OF OFFENDER ENGAGEMENT**  
*Potential obstacles or challenges to positive engagement are identified and plans made to minimise their possible impact.*

**68%**

**Strengths:**

- (a) In the majority of cases (95%) a REM classification had been recorded.
- (b) Diversity issues and any other individual needs were actively assessed in 74% of cases. Where potentially discriminatory or disadvantaging factors had been identified, plans were put in place to minimise their impact in 87% of cases.

**Areas for Improvement:**

- (a) A skills for life screening had not been carried out in 35% of cases. In 29 of the cases which had been screened the need for a full assessment was indicated. In 14 of these cases the full assessment had not been carried out. This was a disappointing result when there was so much on offer within the area for offenders to improve and gain new skills.
- (b) In 51% of cases there had not been full attention to methods most likely to be effective with the offender and in 47% of cases the

offender's intellectual ability, learning style, motivation and capacity to change had not been taken in to account at the earliest opportunity.

**Conclusion:**

This criterion represents a priority for improvement.

**1.5 General Criterion: SENTENCE PLANNING**

*The offender manager plans interventions in custody and the community with a view to addressing criminogenic factors and managing any RoH to others. The initial sentence plan or unpaid work assessment is designed to describe a structured and coherent plan of work for each offender.*

**64%**

**Strengths:**

- (a) The majority of cases in the sample (97%) were allocated to a tier, and in 95% of community orders the offender was allocated to an offender manager within the required timescales.
- (b) In 80% of cases the planning accurately reflected the tier to which the offender was allocated.
- (c) Sentence planning reflected the sentencing purpose(s) – punish, help, change and control – in 71% of cases.
- (d) In ISPs prepared on community cases planned contact levels for each requirement were appropriate in 96% of cases and arranged contacts were enforceable in 78%.
- (e) For all Tier 3 and 4 cases the interventions identified were likely to address offending behaviour.
- (f) In 94% of cases steps had been taken to ensure that the offender fully understood the requirements of the sentence and in 96% the penalties should they be breached. 90% of offenders confirmed that requirements about supervision and breach were explained to them.

**Areas for Improvement:**

- (a) In four community cases there was no ISP. The overall quality of sentence planning was insufficient in 46% of the cases in the sample. Sentence planning was not given the prominence it should have had amongst offender managers, with only 54% of sentence plans found to give a clear shape to supervision and set relevant goals for the offender and 68% focusing on achievable change. There were examples of cases where the sentence plan objectives did not match the needs of the offender, either failing to identify the key factor(s) that related to offending behaviour or incorrectly focusing on a factor that that did not appear to be an issue at all.
- (b) In 59% of applicable cases the roles and responsibilities of all workers were not clearly defined in the sentence plan. Programme staff were not included in the objective setting process.

- (c) During sentence planning appropriate consideration was given, where relevant, to restrictive conditions/requirements designed to minimise the RoH to others in 53% of cases in the sample.
- (d) In community cases 54% of ISPs were completed within the required timescale, the appropriate sequencing of interventions was set out in 33% of plans, clarity about who should deliver the interventions was clear in 63%, the timing of each requirement was appropriate in 52% and how any RoH posed by the offender was to be managed was set out satisfactorily in only 17% of relevant cases. The last result would have been better if more cases evidenced a clear link between objectives in the ISP and the risk management plan.
- (e) In relation to community cases ISPs only drew on other relevant assessments in 57% of applicable cases.
- (f) From the interventions identified in ISPs 57% promoted community integration, 64% met the punitive requirements of the sentence and 63% were likely to reduce or contain RoH.
- (g) Sentence planning documents were not sensitive to diversity issues, including vulnerability, in 52% of applicable cases.
- (h) There was insufficient evidence that the offender had had the opportunity to participate in the planning process in 33% of cases. In several cases the OASys self-assessment questionnaire had not been used despite case administrators reminding offenders to complete it.

**Conclusion:**

This criterion represents a priority for improvement.

## 2. IMPLEMENTATION OF INTERVENTIONS

### 2.1 General Criterion: DELIVERING THE SENTENCE PLAN

*The offender manager facilitates the structured delivery of all relevant elements of the sentence.*

57%

#### Strengths:

- (a) Arrangements were in place to prepare offenders thoroughly for interventions in 72% of cases and to reinforce new skills following interventions in 71%.
- (b) There was sufficient evidence in 80% of cases that offender managers had demonstrated commitment to their work with the offender, and in 68% had motivated and supported the offender throughout their sentence.
- (c) 71% of sentence plans were reviewed at least every 16 weeks.
- (d) At the time of the inspection sentence requirements were fully implemented in 74% of cases.
- (e) In seven out of eight cases transferred in the first appointment with the offender was made within five working days of being notified that they were living in the area.

#### Areas for Improvement:

- (a) Where there was more than one requirement in a licence or order we did not find appropriate sequencing of interventions in 52% of cases. Nor did work in the community build sufficiently on activity in prison in ten out of 30 relevant licence cases. Of those ten, in six cases work on substance misuse should have been built upon.
- (b) Of cases where there was more than one worker involved in the management and supervision of a case, in only 63% had the offender manager overseen and coordinated the input of all work. In 72% of cases there was sufficient evidence of good communication between the offender manager and other workers (external keyworkers felt communication with offender managers was good) and in 65% of cases there was evidence of good communication between all staff and the offender.

In a number of cases with unpaid work requirements there was a lack of communication between the offender manager, unpaid work supervisors and placement officers. Consequently, the offender manager had little knowledge of the work undertaken or why the placement had been chosen. There was also some frustration expressed by offender managers who had recently started to manage stand alone unpaid work requirements about the lack of contact they had had with the offender. However levels of contact were in accordance with the expectations of the Unpaid Work Manual and national standards.

The majority of offender managers were not actively overseeing the input of programme staff. WLOs felt that offender managers were unclear about what services they could provide offenders with.

- (c) In 54% of cases was there sufficient evidence that offender managers had reinforced positive behaviour.
- (d) In 54% of sentence plan reviews was work with the offender seen to flow from them coherently. 59% lacked objectives and milestones giving a clear direction to supervision. There was insufficient evidence that continuing ownership of the plan by the offender had been sought in 55% of cases. A number of sentence plans had been 'pulled through' without any changes having been made to a previous assessment.
- (e) Reviews did not integrate other plans in 69% of relevant cases.
- (f) There was insufficient positive (62%), proactive (70%) and timely (67%) work between prison-based staff, offender managers and others to prepare the offender for release.
- (g) Eight cases in the sample had been transferred in from other areas. There were three cases where an up-to-date OASys assessment had not been received from the transferring area, and six cases where a visit to the home had not been undertaken by Derbyshire within ten days of the notification that the offender was living in its area.

**Conclusion:**

This criterion represents an urgent priority for improvement.

**2.2 General Criterion: PROTECTING THE PUBLIC BY MINIMISING RISK OF HARM**  
*All reasonable actions have been taken to protect the public by keeping to a minimum the offender's RoH to others.*

**58%**

**Strengths:**

- (a) 88% of RoH reviews were being undertaken at least every 16 weeks from point of sentence.
- (b) Seven licence cases had been recalled in relation to RoH issues. In five cases this was assessed as part of an appropriate risk management process and in all seven cases recall had been actioned properly.

**Areas for Improvement:**

- (a) In one-third of relevant cases RoH to others had not been reviewed within 16 weeks from the start of sentence. In only 44% of the cases, where there had been a significant change, was the RoH reviewed. This was a particular issue in a minority of cases where incidents had occurred, new offences had been committed and concerning behaviour noted but RoH had not been re-assessed and relevant agencies were not informed quickly enough.

- (b) Where a review of RoH was done there was insufficient evidence of ongoing planning particularly to protect children (53%), the public (24%), known adults (35%) and staff (31%).
- (c) A purposeful home visit to high and very high RoH cases took place within ten working days of sentence or release in 69% of relevant cases; it was carried out appropriately at a later stage in 31% and repeated as necessary to keep RoH to a minimum in 15%. Home visits were employed effectively to monitor children's safeguarding outcomes in only eight out of the 22 relevant cases in the sample.
- (d) MAPPA were assessed as being effective in 55% of relevant cases and offender managers and other staff contributed effectively to these arrangements in only 45%. There were a number of examples of PPSMs being cancelled with limited attendance by the police, children's services and other significant agencies which were relevant to the assessment and management of RoH in individual cases. External keyworkers felt that they had had good access to MAPPA but expressed concern about the lack of resources available for PPSMs.
- (e) Following recall there was no evidence that three out of the seven offenders had been given a clear explanation as to the reason for the revocation of their licence or that efforts were made to re-engage them. Several offenders in the sample had been recalled more than once for relatively short periods of time. In those circumstances re-engagement was difficult but essential for the effective management of the case.
- (f) Changes in RoH/acute risk factors were anticipated where feasible in 60% of cases, identified swiftly in 69% and acted upon appropriately in 58%.

**Conclusion:**

This criterion represents an urgent priority for improvement.

**2.3 General Criterion: VICTIMS**

***Consistent attention is given to issues concerning victims.***

**68%**

**Strengths:**

- (a) Following a recommendation in Derbyshire's Effective Supervision Inspection report in November 2006 the area introduced a Victim Awareness One-to-One Module, which is a four session module for delivery by offender managers to improve the offender's level of victim awareness. There were a number of examples of its use with offenders in our sample and this was a pleasing development.
- (b) There was evidence that a written offer of face-to-face contact had been made within 40 working days in 14 out of 21 statutory victim contact cases. Twelve out of 21 had been offered information about the criminal justice process.

- (c) Where statutory victim contact had proceeded there was opportunity for the victims to state their views on licence conditions in 90% of cases, to see the parole report in 67%, to be informed of release in a timely fashion in 82% and to be informed of release conditions in 78%.

**Areas for Improvement:**

- (a) Victim safety (including children) was an issue in 53 cases. This was given a high priority in 70% of cases; even so in 16 cases actual or potential victims had had insufficient attention paid to their safety.
- (b) Despite evidence that the Victim Awareness One-to-One Module had been used by some offender managers, in 43% of relevant cases there was no evidence that such work had been undertaken with the offender.

**Conclusion:**

This criterion represents a priority for improvement.

**2.4 General Criterion: ENSURING CONTAINMENT AND PROMOTING COMPLIANCE (Punish)**  
*Contact with the offender and enforcement of the sentence is planned and implemented to meet the requirements of national standards and to encourage engagement with the sentence process.*

**83%**

**Strengths:**

- (a) In 94% of cases the offender was offered a full and timely induction following sentence to a community order and after release on licence.
- (b) The frequency of appointments conformed to national standards in 96% of cases (unpaid work 97%), facilitated the requirements of the sentence in 93% (unpaid work 90%), met RoH considerations in 73% and supported the achievement of sentence plan objectives in 79%.
- (c) All seven PPO cases received enhanced levels of contact and six had had a reporting pattern supportive of all elements of the sentence.
- (d) Attention to monitoring attendance across all interventions (93%), effective action to ensure compliance (94%) and consistent and appropriate judgements about unacceptable and acceptable absences (93%) were good.
- (e) There were 20 cases that required the enforcement of exclusion and/or curfew requirements; in 16 of these there was evidence of appropriate enforcement and, where applicable, effective liaison with the electronic monitoring provider.

- (f) Breach action was instigated within the required timescale in 97% of relevant cases and resolved in the required timescale in 94% which was a very good result. 87% of sentencers were satisfied with the management of enforcing breach action of community orders, 72% with enforcement of licences and 73% were aware of arrangements in place to fast track enforcement on high/very high RoH and other priority cases.
- (g) The quality of the case record was good overall. 93% of files were well organised, with clear REM details in 83% and all relevant documentation present in 82%.
- (h) Recording of information was clear in 87% of cases, timely in 93% and sufficient in 68%.

**Areas for Improvement:**

- (a) Sufficient contact and liaison with prisoners before release was not undertaken in 63% of cases, and in 58% of cases when such contact and liaison had taken place it was assessed as unlikely to promote effective offender management in the community post-release. The inspection team noted a number of cases where there had been no contact between the offender manager and prison staff. In some cases this was partly due to a relatively short prison sentence and/or the allocation of an offender manager just before the offender was released. One case was allocated to an offender manager when they were absent due to sickness. Although the cases in our sample did not come under Phase Two of offender management we were still looking for reasonable levels of contact and liaison as a prisoner approached their release date.
- (b) Even though a range of good quality unpaid work placements were available, there was only evidence of 48% positive placements matched to the offender. 71% were seen as suitably demanding and providing a benefit to the community.
- (c) Although appropriate judgements about unacceptable and acceptable absences were good, external keyworkers did not always agree with the judgements made and sometimes they were not informed about decisions to breach or recall.

**Conclusion:**

Performance against this criterion was good.

**2.5 General Criterion: CONSTRUCTIVE INTERVENTIONS  
(Help and Change)**

***Interventions are delivered to identified ends and to meet the requirements of the sentence: help and change.***

**62%**

**Strengths:**

- (a) Sufficient work and resources were directed at community reintegration issues in 75% of cases where they were needed.
- (b) Offender managers prepared reports and attended review hearings as required in all four DRR cases in the sample.
- (c) Just over a quarter of cases in the sample had an accredited programme requirement. 58% of these commenced the programme as set out in the sentence plan, although in eight out of 11 cases where this had not happened there was not a clear and acceptable explanation for it.

**Areas for Improvement:**

- (a) In 57% of cases was evidence found that constructive interventions challenged the offender to accept responsibility for their offending and its consequences.
- (b) A total of 39 cases required some input in relation to basic skills. In 16 of these cases the arrangements for the delivery of an intervention had not been set up. Referrals to WLOs were enforceable for initial interviews and ETE requirements. Offender managers were sometimes deciding not to organise the intervention if the offender was either reluctant or unmotivated to attend voluntarily.
- (c) Four offenders in the sample were in approved premises. Although a number of constructive interventions were identified (pro-social modelling and motivational interviewing) half of those interventions did not form part of the sentence plan thus excluding the valuable contribution of approved premises staff from the overall management of the case. There were constructive interventions available at the approved premises including cooking, basic skills and assistance with obtaining employment.

**Conclusion:**

This criterion represents a priority for improvement.

**2.6 General Criterion: RESTRICTIVE INTERVENTIONS (Control)**  
*Interventions are delivered to identified ends and to meet the requirements of the sentence: control.*

**80%**

**Strengths:**

- (a) There was a good range of restrictive interventions available in the area's approved premises and these were being effectively used in all four cases that had been accommodated for at least six weeks.

The majority of residents in the approved premises were high or very high RoH. Keyworkers were allocated prior to release where feasible. A curfew was imposed from 11pm to 6am. Trained staff monitored the offender's movements. All offenders had to complete diary sheets to describe their whereabouts during the day. Drug and alcohol testing was available. Move on accommodation was an issue particularly for offenders from outside the county who could not return home and did not have enough points to be housed locally. Action Housing was due to open a dedicated two bedroom property for approved premises residents.

Action Housing, funded by the Supporting People programme, offered floating support for some high RoH offenders (involving up to three days contact a week) to enable them to live independently and maintain their tenancy. The scheme included monitoring the offenders and feeding back information to offender managers.

61% of sentencers knew about the rules of residence and night time curfews imposed by the approved premises.

- (b) Licence conditions were comprehensive (83% of cases), necessary (90%), proportionate to the RoH (86%) and likelihood of reoffending (90%).
- (c) In all four PPO licence cases, where the offender had drug issues, an additional licence condition had been added in relation to drug misuse.

**Areas for Improvement:**

- (a) Restrictive interventions were monitored fully in 66% of cases. Whilst all reasonable actions were taken to minimise harm in 73% of cases, that did leave 12 cases where more could have been done.
- (b) Licence conditions were not proportionate to the protection of victims in 34% of cases. In one case a 'no contact' requirement had been omitted from the licence in error and in another the offender was allowed to live near the victim.

**Conclusion:**

Performance against this criterion was good.

**Strengths:**

- (a) Arrangements for interventions had taken into account the offender's diversity issues in 81% of relevant cases. The approved premises was seen to meet the needs of all four residents in the sample in this regard. MAPPA referral forms had a diversity section and this was a standing item on the agenda at MAPPA meetings.
- (b) Issues relating to disability had been appropriately addressed in 94% of cases where they were relevant.
- (c) Literacy and dyslexia issues were addressed in 71% of cases. In unpaid work placements there were opportunities to develop literacy and numeracy skills. Classes made extensive use of games, exercises and practice tests to build confidence and test techniques.
- (d) Where a minority offender had been placed in a mixed setting attention had been given in three out of four cases to staff composition and arrangements to support the offender's engagement.
- (e) Offenders had been clearly informed in 96% of cases that discriminatory behaviour would not be tolerated.

**Area for Improvement:**

- (a) Informed consent to a singleton placement in a mixed setting had not been obtained in five out of six cases.

**Conclusion:**

Performance against this criterion was good.

### 3. ACHIEVEMENT AND MONITORING OF OUTCOMES

#### 3.1 General Criterion: ACHIEVEMENT OF INITIAL OUTCOMES *Planned objectives are efficiently achieved.*

61%

##### Strengths:

- (a) There was evidence of responsiveness to RoH by either an increase in restrictive measures in a small number of cases or a decrease where the offender had demonstrated progress. In one case the behaviour of an offender had led to an increase in the MAPPA level and in two cases children had been placed on the child protection register.
- (b) The tier of the majority of cases (95%) had not changed, however there was some movement either to a higher or lower tier indicating some flexibility after interventions had been delivered.
- (c) Fourteen offenders had been convicted of an offence since the start of the sentence and two had been cautioned.
- (d) 68% of cases where unpaid work was undertaken had been of demonstrable benefit to the community.
- (e) Achievement of two of the four sentencing objectives was strong: 84% of all cases experienced punishment and 71% of those in Tiers 2, 3 and 4 were helped.
- (f) The resources allocated to 87% of the cases were consistent with the offender's RoH and in 89% of cases with the likelihood of reoffending. Resources were also found to be used efficiently in achieving planned objectives in 73% of cases.
- (g) In all seven PPO cases resources were allocated consistent with the offender's status.
- (h) 66% of offenders complied with the requirements of the sentence.

##### Areas for Improvement:

- (a) The monitoring and engagement of offender managers with domestic abuse cases required improvement. In 27% of relevant cases the offender manager did not know whether the police DVU had received any call-outs to addresses linked to the offender. This finding needed to be put into context. Since February 2007 the police DVU had been refusing to give up-to-date information on domestic violence call-outs unless the offender was on IDAP. This was because of perceived issues with data protection and the legality of sharing this information. There was also a resource issue for the police.
- (b) There was evidence that the offender demonstrated increased victim awareness in only 38% of cases. Increased use of the area's Victim

Awareness One-to-One pack and clear evidence that the offender had progressed would improve this result.

- (c) A reduction in the seriousness of offending (12%), frequency of offending (33%) and reduced threat to victims and potential victims (27%) was not sufficient, and in 43% of cases there was no demonstrable benefit to the community at all.
- (d) Where OASys had been re-scored there had been no improvement in 51% of cases. In respect of the factor linked to offending identified as the highest priority in each case, there was found to be progress in 51% of cases. Thinking and behaviour was the first priority in 43 cases, followed by drug misuse (12 cases), alcohol misuse (eight cases) and emotional well-being (seven cases).
- (e) Learning skills and outcomes had been applied by the offender in only 44% of cases. This was a disappointing result when there was evidence that a significant number of offenders had gained new skills but it was not clear they had used or applied them.
- (f) There had been a demonstrable change in attitudes in 43% of cases and behaviour in 47%.
- (g) Only 39% of cases in Tiers 3 and 4 adequately evidenced the sentencing objective of 'change' and 56% of Tier 4 evidenced 'control'.

**Conclusion:**

This criterion represents a priority for improvement.

**3.2 General Criterion: SUSTAINABILITY OF PROGRESS**

***Results are capable of being sustained between different phases of a sentence and beyond the end of supervision.***

**58%**

**Strengths:**

- (a) We found continuity in offender management in that, including the PSR author, 30 cases had had just one offender manager and a further 48 had had two. However in relation to the 20 offenders who had been supervised by three or more, there were 13 offenders where this had had a detrimental effect on sustaining progress. The area's figures on this were better, indicating that 68% of cases, which commenced since 1 July 2006, had had a single offender manager and the average number was 1.45 per case; in our sample it was nearer 2. However our result was based on a period of time when staff sickness had had a negative impact on offender management continuity, which was acknowledged by the area.
- (b) 79% of offenders in the sample who had a criminogenic need, which could be addressed by a community-based organisation, had been made aware of where to find assistance. However, it was found that full attention to long-term community reintegration issues had only been given to 66% of relevant cases.

**Areas for Improvement:**

- (a) Structured sentence planning had not been given a high priority throughout in 51% of cases.
- (b) There was sufficient action taken by offender managers to consolidate learning and reinforce new skills in 58% of cases.

**Conclusion:**

This criterion represents an urgent priority for improvement.

## 4. LEADERSHIP AND STRATEGIC MANAGEMENT

### 4.1 General Criterion: LEADERSHIP AND PLANNING

*There is active leadership in the implementation of national policies via local policies and procedures which are regularly monitored and reviewed, through proactive planning with other key agencies, and by promoting the diversity agenda.*

Well met

#### Strengths:

- (a) The themes, priorities and targets in the area's Annual Business Plan for 2007/2008 were cross-referenced with national and regional plans. For example there was reference to the national target for spending 10% of the area's budget on services provided by the voluntary, community and private sectors. The Sub-Contracting Plan and SLA with the ROM, expressed as a Service Progress Plan, were prominent features within the DPA's Annual Business Plan.

The Annual Business Plan was implemented via divisional or specialist plans and was regularly reviewed by the SMT, Board and at divisional meetings.

- (b) A comprehensive Public Protection Policy and Risk Assessment and Management Procedures were issued in June 2006 and communicated to all staff in mandatory briefing sessions to all divisions. This was backed up by divisional workshops led by the ACO Public Protection from September to December which covered defensible practice, SFOs, MAPPAs, the Victim Awareness One-to-One Module and RoH training.

Policies and procedures were communicated to staff mainly via email, team meetings and supervision. Some staff felt that email was over used as a medium of communication and that there was little time to assimilate all the material sent out. However, 79% of staff (including case administrators) felt well informed about policies and procedures that operated in the area. Staff interviewed as part of the IiP process understood the area's key priorities and performance measures.

Review dates were included in all policies and procedures.

- (c) Historically DPA had maintained a high level of sentencer liaison activity. In August 2005 Probation Circular 73/2005 set out changed guidance for probation areas regarding liaison arrangements. In consultation with relevant stakeholders and with Board approval, in January 2006 DPA decided to continue with bench level structures which were working well. During 2006 a number of meetings and events took place including seven Probation Liaison Committee meetings, two Court User Groups, meetings with judges and district judges and various meetings about enforcement of community penalties. Taking into account this activity and the positive responses from sentencers in the recent survey, there was evidence of effective

liaison arrangements being in place.

- (d) There were a number of examples of evidence of linkage to local authority strategies. The ROM lead on LAAs had been fully utilised by the CO.

In a Supporting People inspection report on Derby City published in December 2004, it was noted that the ownership and engagement of DPA in the Supporting People programme was outstanding, including a contribution to the Supporting People Strategy for 2005-2010.

Unpaid work groups were involved in the county 'Clean Up' strategy operated through CDRPs.

The implementation of the ATR involved negotiating joint funding with police, the DAAT and consultation with PCTs for future funding. This example was evidence of the area's senior managers successfully engaging with a number of public bodies with overlapping geographical boundaries and different professional perspectives and priorities navigating through a complex situation to try and achieve a consistent service across the county for offenders with alcohol issues.

- (e) The CO was the chair of the Derbyshire Criminal Justice Board. Strategic partners described the contribution of DPA to the LCJB as productive, cooperative and solution focused.

A senior manager chaired the Alcohol Joint Commissioning Group which met under the auspices of Derbyshire DAAT, and DPA contributed to the Alcohol Harm Reduction Strategy for Derbyshire 2007-2009.

The County PPO Steering and Implementation Group Development Plan contained several agreed actions for DPA.

DPA had effectively engaged with local communities in a number of ways. In 2005 and 2006 the area ran a competition for offenders to provide art work, supported by Derbyshire Crimebeat, which involved judges from the Probation Board and the High Sheriff. A booklet of the art work was used to encourage school children to enter an art competition in 2006 and 2007 on the theme of offending, forming part of the citizenship approach. Over 200 entries were submitted from a range of schools and youth groups. An award ceremony took place in April 2007. The competition had been organised by Crimebeat, in partnership with the education authority and DPA.

There was a joint protocol between the approved premises and local churches to ensure that procedures and processes were in place to manage RoH and allow offenders to practice their chosen religion.

- (f) The CO chaired the regional Public Protection Group and the public protection lead from the ROM team was invited.

The Derbyshire Probation Board was one of the responsible authorities for MAPPAs. There was a MAPPAs Business Plan for 2006/2007. The MAPPAs manager had contributed to a national working group on a standard format for MAPPAs minutes. There was a multi-agency budget for MAPPAs activity. DPA had contributed to

increasing the awareness of MAPPA at the LCJBs and CDRPs. Amongst strategic partners MAPPA had a high profile and many attributed the success of MAPPA to the area's contribution, particularly the organisation, management and better targeting of MAPPA Level 3 cases.

- (g) Board members, following diversity training, set up a Diversity Strategy Group which reviewed, supported and contributed to diversity initiatives and activity that was taking place within the organisation.

Staff were given time to attend ABPO and NAAPS and other similar meetings, but no work relief was given.

Diversity issues had been integral to strategic planning. For example, developing services, such as English as a second language, for Eastern European offenders to enable them to understand traffic signs and regulations which, in turn, would contribute to a reduction in the number of motoring offences.

There was a cross-grade diversity team which met on a monthly basis. It examined the impact of new policies and procedures on diversity. All policies had a race and diversity impact statement.

- (h) The service user perspective, mainly obtained from the offender survey, led to the creation of a template for sentence plan objectives to encourage offender involvement. Amendments were made to the material used in induction to ensure the use of plain language.
- (i) The area had to account for its progress implementing Phase One of the NOMS offender management model and identify any areas for improvement. Using self-assessment, a detailed account of progress was described with realistic judgements made about the need to give more attention to assessment and sentence planning, monitoring, reviewing and evaluating and to the offender's experience.
- (j) The majority of staff (87%) felt that managers demonstrated professional management approaches, with 15% scoring excellent. These were noteworthy results. Similarly, 86% felt managers modelled positive leadership behaviour, with 14% scoring excellent. 96% of sentencers also agreed with this statement. Several staff were positive about their immediate line manager mentioning their availability, accessibility and consistency, but were less positive about other managers. Case administrators who were interviewed had received good support from managers. Strategic partners gave a number of examples where senior managers from DPA had provided leadership and applied professional management approaches.
- (k) There was evidence that the area responded to a recommendation in the Effective Supervision Inspection by creating and implementing the One-to-One Victim Awareness Module. It had also responded to a number of internal audit reports. Recently it had carried out the instructions in Probation Circular 15/2006 for implementing the recommendations of the HMI Probation Review of a Serious Offence case (Hanson and White) in conjunction with the regional manager. This involved an action plan which was reviewed twice in six months

and a summary of practice points that was issued to offender managers.

**Areas for Improvement:**

- (a) The management and organisation of PPSMs needed to be improved. Too many were cancelled and attendance by other agencies was frequently poor. The appointment of a deputy MAPPA manager would contribute to addressing this issue.
- (b) A number of staff were concerned about the current stance of the police DVU which was not providing information about call-outs to addresses which related to non IDAP offenders. Senior managers were involved in ongoing discussions with police colleagues in Derbyshire Constabulary, who were currently undertaking a major review of how they delivered domestic violence services. In the meantime probation staff had been instructed to seek advice from their line manager if they had significant cause for concern due to inadequate information from the DVU. Clearly this was a matter that needed to be resolved with some urgency. A number of cases in our sample had RoH issues related to domestic violence and often children safeguarding. The present situation was hampering the efforts of offender managers to manage risk and protect potential victims including children.
- (c) Effective liaison arrangements with sentencers were in place. The role of the ROM and their strategic link with sentencers was under discussion and no decisions had been made. Acknowledging this context, it was not clear how DPA wished to develop and coordinate present sentencer liaison arrangements. What was lacking was a strategic future orientated steer. A Stakeholders and Communication Panel had recently been formed in May 2007 whose terms of reference included active engagement with courts and sentencers and a review of work and communication with courts; both items could contribute to a strategic approach to this area of work.
- (d) For the first time a Diversity Report for 2006/2007 provided a range of statistical information about offenders as well as staff. Although detailed it was basically descriptive with some analysis, but as yet contained no historical trend data or comparisons with other probation areas. The CO had considered the merits of a Diversity Strategy. With an increase in relevant legislation and duties, management of this area of work would be assisted by a strategy that would coordinate the different strands involved and provide a framework for monitoring and measuring progress. A strategy would also provide the means to hold managers to account.

**4.2 General Criterion: PERFORMANCE AGAINST NATIONAL AND REGIONAL TARGETS**  
*Key performance targets are consistently met, with careful attention to diversity issues throughout.*

**Well met**

NPS Performance Data	Target	2006/2007	
		Derbyshire	England and Wales
Enforcement: breach taken where required within ten working days: all orders/licences	<b>90%</b>	98%*	92%*
Offender compliance: proportion of arranged appointments attended in first 26 weeks	<b>85%</b>	82%*	83%*
Accredited programme completions: % performance in relation to target	<b>100%</b>	117%*	114%*
Unpaid work completions: % performance in relation to target	<b>100%</b>	108%*	111%*
DTTO/DRR starts: % performance in relation to target	<b>100%</b>	83%	99%*
DTTO/DRR completions: % performance in relation to target	<b>100%</b>	158%*	119%*
Skills for life: % performance in relation to starts	<b>100%</b>	105%*	125%*
Sickness absence: average days absence	<b>9 days</b>	11.3	12
Court report timeliness	<b>90%</b>	88%*	80%
Accurate and timely ethnicity data	<b>95%</b>	97.3%*	98.2%*
Home Secretary's Race Equality Employment Target for 2009	<b>(East Midlands Region) 7.2%</b>	11.6%* (region actual 31/12/06)	
Proportion of victims of serious sexual/violent offences (where offender sentenced to custody of 12+ months) offered contact within eight weeks	<b>85%</b>	88%*	93%*
RoH assessments and plans for high RoH cases completed within five working days of start/release	<b>90%</b>	93%*	94%*
RoH assessments and plans for PPO cases completed within five working days of start/release	<b>90%</b>	94%*	96%*
Offenders into employment: % performance in relation to target	<b>100%</b>	113%*	128%*
Offenders into employment, retained for four weeks: % performance in relation to target	<b>100%</b>	108%*	115%*

Joint 'end-to-end' targets on enforcement for LCJB	Target	April-September 2006	
		Area	England and Wales
Average time to resolve community penalty breach proceedings from relevant unacceptable failure	<b>No more than 35 working days</b>	45 Days	45 days
Proportion of all breach proceedings resolved within 25 working days of relevant unacceptable failure to comply	<b>50%</b>	50%*	48%*

\* Asterisk indicates area has met target or is 'near miss'.

## Strengths:

- (a) The Board and CO presented a clear focus on performance and held the achievement of national targets as a high priority. Resources had been allocated in order to meet targets despite a challenging financial context in 2006/2007 where, through stringent financial management, DPA had succeeded in achieving a year end surplus despite a substantial cut to its budget. At the end of 2006/2007 Derbyshire was positioned 20th on the weighted score card.

Positive achievements had been made, in particular with DRR and accredited programme completions. The majority of targets had been met or exceeded.

- (b) The area routinely monitored performance against targets on a monthly basis. Robust quality assurance procedures were in place. The Audit and Assurance Unit, as part of the Annual Internal Audit Plan for 2006/2007, had undertaken a review of data quality and in a report issued in May 2007 concluded that the procedures, which sought to control data quality for performance reporting, were well controlled. The SMT discussed the monthly performance report routinely. The divisional manager, who is part of the SMT, would meet weekly with the divisional management team to discuss how it would address performance issues. To emphasise the importance placed on improving performance, the CO chaired quarterly meetings with divisional managers and SPOs, going through performance data in detail and holding managers to account. The Board Performance Panel scrutinised performance reports which were also submitted to the whole Board.
- (c) There was evidence of proactive work with the Performance Management Group, a sub-group of the Derbyshire Criminal Justice Board, working closely with HMCS, in relation to achieving the end-to-end enforcement target, specifically about community penalty breach proceedings.

Strategic partners gave an example of how joint action with DPA resulted in an increase in the number of DRR commencements from 60% to 90% of the 100% target as a result of a DAAT and DPA action plan to improve performance.

A regional OASys quality assurance event had taken place in June 2006. Scores were compared between prison and probation prepared OASys. Both sets were then reassessed to check the reliability of the initial assessment.

A senior manager from DPA chaired a quarterly regional DRR Managers' Meeting which shared good probation practice.

- (d) The area had formed a 'Raising the Performance and Quality of e-OASys Sentence Plans and Reviews' Working Party to tackle the issue of producing quality ISPs and reviews on time. A backlog of missing ISPs and reviews had built up. An action plan was produced, with objectives set identifying those responsible for carrying out the work, with deadlines in May to July 2007. Actions included the establishment of clear procedures and responsibilities, quality standards, monitoring the process and dealing with poor performers.

The working party would be monitoring the implementation of the action plan and the SMT would reassess the impact of this approach.

The area was trying to achieve the target of preparing a PSR within ten working days on offenders remanded in custody. Case administrators were responsible for arranging prison visits and were working to contribute to the achievement of this target. However, the capacity of prisons to accommodate visits was limited.

**Area for Improvement:**

- (a) There was some evidence that in working to meet targets due regard was paid to diversity issues. The Diversity Report for 2006/2007 contained the range of performance data that DPA submitted to the centre, expressed by division and then by gender and white and non-white categories. In terms of race and ethnicity, this was not particularly sensitive to potential differences that could occur among non-white offenders, nor was there specific or detailed analysis of the data.

**4.3 General Criterion: RESOURCE DEPLOYMENT**  
*There is a strategic approach to deploying resources to deliver effective performance and support diversity initiatives and there are positive indications in relation to value for money.*

**Satisfactorily met**

**Strengths:**

- (a) A budget strategy for 2007/2008 and 2008/2009 had been discussed by the SMT and the strategy for 2007/2008 presented to the Board in April 2007. This outlined several options in the context of maintaining performance, which included supporting effective offender management and meeting future financial challenges.
- (b) Resources were deployed to follow risk. DPA had committed resources to MAPPAs which was demonstrated by an additional deputy MAPPAs manager post having been secured. The formation of a specialist team (SMU), which incorporated the management of PPOs, was evidence of the area focusing resources on PPOs who often misused drugs.
- (c) The majority of staff (370) and Board members had attended two days' mandatory diversity training during 2006/2007. Further mandatory training for all staff was planned for disability equality (half a day) during 2007/2008.
- (d) There was a Priorities and Employee Care 2007 document and a local workload measurement tool for offender management based on points using the traffic light system of red, amber and green. The tool was used on a divisional and individual basis.
- (e) There was evidence that the area had sought to maximise the resources available for work with offenders. For example 149 offenders were attending literacy and numeracy provision delivered

by Derby LEA and Derby County Council Adult and Community Education Departments. Twenty-nine offenders were taking Level 1 vocational qualifications at Chesterfield College and Derby College. Also the area had managed to negotiate sufficient funding from DAAT, the police and PCTs for the delivery of ATRs.

**Areas for Improvement:**

- (a) Despite DPA spending 17% of its budget on court services, having dedicated staff in court and ensuring staff were available to complete FDRs after 2pm, 43% of sentencers did not agree that probation staffing levels in court were sufficient to provide them with appropriate information to aid decision making. Comments from sentencers in the questionnaire indicated that they would like to request more FDRs but felt constrained by probation staffing levels in court. Some sentencers wanted all reports to be produced within a shorter period of time.
- (b) We felt that resources allocated to PPSMs for RoH work were not being efficiently used. Evidence for this included: a relatively high number of high/very high RoH cases (15%) and the consequent PPSM activity which impacted on SPOs and other staff time; the need for improvement in the organisation, management and effectiveness of PPSMs.
- (c) DPA did not have the resources to appoint a diversity manager and questioned whether its achievement in the field of diversity had been any less than those areas that did have a dedicated resource.

**4.4 General Criterion: WORKFORCE PLANNING AND DEVELOPMENT**

*Workforce planning and development leads to a good match between staff profile and service delivery requirements. Relevant diversity legislation is observed in staff recruitment and deployment.*

**Partly met**

**Strengths:**

- (a) In the period April 2003 to April 2007 the number of PSOs had increased by 33%. To ensure that they were adequately equipped to carry out the function of offender managers within the offender management model (supervising low and medium-risk cases, Tiers 1, 2 and some Tier 3 cases), the area and trade unions were discussing a job description and compulsory training for them. It was expected that five NVQ units would be completed as part of their ongoing development. This initiative ensured that staff were trained and fully prepared to carry out the role of offender managers.
- (b) The IiP report noted that the Training Plan for 2005/2006 set out the training necessary to support business plan objectives, the budgeted costs of external training and desired outcomes. Internal

courses were provided by the training department which was a separate cost centre and included the practice development assessors.

There was a training schedule for new starters covering all grades for the first six months and then the period over six months to two years.

84% of staff interviewed agreed their training and development needs had been met and 15% had scored excellent. Case administrators confirmed that they had received mandatory training on mental health and substance misuse awareness. Senior admin staff had customised the DeMontfort University RoH training package which had been delivered to all admin staff.

- (c) There was a wide range of learning opportunities provided by the area. Staff felt their managers were committed to ongoing staff development and provision of on the job support.
- (d) Roles, responsibilities and tasks were clearly identified in a number of policy documents, in particular offender management and public protection. This was supported by 95% of staff being clear about their role within the offender management model.
- (e) The IiP Post Recognition Review Report dated 18 January 2007 noted that "union officials confirmed that their views were considered by senior management and were often acted on or implemented".
- (f) The majority of staff (92%) were clear about procedures in the area to address the issue of staff sickness.
- (g) The IiP review found that regular supervision was given which included individual development issues. An ACO had introduced a standard form to use in supervision sessions.

68% of staff received supervision monthly or more frequently and 26% six weekly. The quality of supervision was described as excellent by 23% of staff and sufficient by 63%. Staff who scored excellent variously described supervision as: structured with an agenda, which covered developmental issues; concerns about cases that were acted on; responsive and caring.

- (h) The majority of staff (93%) had had an appraisal completed in the last 12 months and in 89% of cases the appraisal was linked to the area's Annual Business Plan. The Performance Development Plan objectives, also based on the area's Annual Business Plan, were issued for each team and grade.
- (i) In April 2007 the area had introduced a Disability Equality Scheme 2006-2009 to meet statutory duties under the Disability Discrimination Acts of 1995 and 2005 and associated regulations.

Policies were subject to assessment of the potential adverse impact on minority ethnic groups in accordance with the Race Relations (Amendment) Act 2000.

**Areas for Improvement:**

(a) The Performance Development Plan was prepared annually and included a box for gender and self-classification for race. However, the scope of information collected through this process could be more comprehensive, monitored and used in planning.

(b) The negative impact of sickness absence was apparent from interviews with staff, effecting mainly the East Division and Derby. Some staff felt that either managers and/or the OMU system were unable to provide adequate cover. Staff sickness was also effecting the delivery of services, necessitating the use of duty officers which, as one SPO noted in CRAMS, was "impeding coherent supervision". The area had taken steps to address this issue, by moving staff to offices where absences were greater and employing peripatetic report writers to reduce the workload.

For 2006/2007 the average annual per capita sickness absence was 11.3 days – above the target of nine days. In January and February 2007 the number of days sickness absence was 14.6 and 14.3 respectively. DPA had recently adopted the national sickness policy, briefed managers and renegotiated their occupational scheme for employees. Sickness absence for May 2007 was encouragingly down to 9.4 days.

(c) We found that a minority of staff, although positive about training provision overall, did not feel their individual development needs were taken into account. The IiP report noted that managers were not linking training with improvement in individual performance – rather training was seen as mandatory from the centre or simply keeping staff up to date.

(d) It was clear at the time of the inspection that a combination of sickness absence, a large number of staff on maternity leave and vacancies had resulted in a very difficult period for the organisation. DPA had decided to increase the number of PSOs and widen their role and responsibilities. Some of the human resource issues that had impacted on DPA were largely unpredictable. A staffing needs analysis for 2007/2008 was being drafted which was an important working document. However to service the offender management model and meet future needs and contingencies, a longer term approach was needed.

(e) Divisional managers were part of the SMT but were located within divisions rather than head office in order to increase the presence of the SMT. However those middle managers managed by divisional managers felt more distant from head office and others who were managed by a divisional manager, but also reported to an ACO, were not clear about their lines of accountability.

**4.5 General Criterion: REVIEW AND EVALUATION**  
***Outcomes of interventions are assessed and reviewed using available data.***

**Well met**

**Strengths:**

- (a) An offender exit survey had been conducted for the last five years, the most recent of which, with analysis and key findings, was published in May 2007 based on 576 forms received during 2006/2007; the number of responses represented approximately one-third of all offenders that could have completed the form. Offenders were asked to comment under general headings that included how they were treated, the supervision process and impact, enforcement issues and programme delivery. A useful summary of results from the last four years included trend data.
- (b) For the period 2006/2007 sentencing proposals and disposals were recorded, with an average concordance rate of 68% for most requirements apart from exclusions and curfews where the figure was 30%. The majority of sentencers were aware that the probation area monitored report proposals and court disposals.
- (c) The area used OASys data to profile need (sections 3 to 12 of OASys), comparing this to national and regional figures. Information was available about whether interventions were ongoing or fully achieved and whether the score had changed positively, negatively or not at all. The numbers involved were small and any analysis of trends would have to be treated with caution; however, the level of interventions did not always align to the priority of needs, for example drugs had the lowest need but highest activity. Accommodation had the greatest positive effect but was second lowest need above drugs. Thinking and behaviour had the greatest need but interventions, according to the scores, had a modest effect.
- (d) The area produced a quarterly SFO report which described its performance meeting deadlines within the SFO reporting process. At a management briefing day in October 2006 the relevant ACO set out the national and local learning points of SFOs that had occurred in 2005/2006 and April and June 2006 respectively.  

A report to the Human Resources Panel on complaints made during 2006/2007 was submitted in June 2007. The report was clear and concise, with a summary of formal complaints for the period and learning points noted.

A report to the Probation Board, concerning deaths of offenders while on supervision, was considered in July 2006 for the previous three month period. There were no deaths in approved premises; however, a management review was undertaken on all deaths of offenders on supervision, except those where death was from natural causes. No issues required further action by DPA.
- (e) Monitoring and evaluation information was discussed at a number of meetings including accountability, divisional and unit meetings and management briefing days. Through monitoring and evaluation information it was noted that not enough offenders were completing

the self-assessment section of OASys and their participation and understanding of sentence planning could be improved. Practitioners felt that the sentence planning section of OASys was not easy to use with offenders. A simplified format was devised to enable offenders to engage with the process and use their own words for objectives in ISPs and reviews. Local research undertaken on offender compliance led to practice guidance which was discussed and shared with managers and practitioners. The area psychologist had undertaken specific research concerning offender compliance on accredited programmes which was used to improve attrition rates.

**4.6 General Criterion: COMMISSIONING OF SERVICES**  
*There is efficient provision of effective services to support offender management outcomes and to ensure equal access to provision for offenders.*

**Satisfactorily met**

**Strengths:**

- (a) In preparation for the introduction of contestability DPA, with other probation areas in the region, had taken part in the first national mock contestability exercise on unpaid work. The CO was managing a project on the regionalisation of approved premises.

DPA was in the process of appointing a business partnership manager who would focus on the development, implementation and management of commissioning, increasing the range of providers and manage subcontracted partnerships with the faith, private, voluntary and community sectors.

Strategic partners mentioned a number of SLAs with DPA between colleges and the LSC in relation to NVQ delivery, the transfer of cases between YOS and probation and an information sharing protocol with DIP.

DPA was represented on Supporting People and DAAT commissioning bodies.

- (b) The Contracting Plan for 2007/2008 was based on offender need obtained from OASys and sentencer demand.

Offenders at Derby College were given questionnaires in the same way as other students and their responses were separated and the results passed to DPA; however, it was not clear how the data was used.

- (c) The provision of education and training services was rated sufficient in 88% of relevant cases, employment services 92%, psychology/psychiatry 63%, health and leisure 67% and other services 90%. Accessible services were provided efficiently to support offender management outcomes in 68% of relevant cases.

The area had made a significant investment in ETE work, including a team consisting of a manager and five WLOs and admin support and several providers. Overall the investment had produced good results and the area should be commended for the quality of ETE services delivered to offenders.

- (d) DPA has a local prison outside the area, HMP Nottingham. It works closely with both prisons within the area, seconding staff to HMPs Sudbury and Foston Hall. It had identified offender managers to be semi-specialist, working with women in custody at HMP Foston Hall. Links were made with other prisons at a regional level.

A meeting of the Quality Assurance and Resourcing for Offender Management in Custody subgroup (of the Regional Offender Management Implementation Group) met in March 2007 to enable prison and probation managers to work collaboratively at a regional level to examine the practice implications of Phase Two of the offender management model. The subgroup would also develop quality assurance systems to ensure offender managers and offender supervisors in prisons were working together effectively in terms of timeliness of sentence planning, implementation and reviews.

- (e) The ROM described DPA's engagement with the SLA processes as excellent, noting in particular the commitment of the Board Chair and CO. The area was involved in the delivery of the Reducing Reoffending Action Plan demonstrated by its innovative work on interventions including the ATR.

The area had a Contracting Plan for 2007/2008 that had been approved by the ROM and which was based on offender need obtained from OASys and sentencer demand. Commissioning priorities included unpaid work, Low Intensity Alcohol Misuse programme, Women's Acquisitive Crime programme and consideration of subcontracting the Offender Substance Abuse Programme, Drink Impaired Drivers and finance, benefit and debt services.

Ensuring consistent and ongoing countywide delivery of the health treatment aspects of ATRs had involved complex and detailed discussions and negotiations with several PCTs and other parties to obtain agreement. Although the process was ongoing, some progress had been made mainly due to the tenacity of the area senior manager.

The Accommodation Strategy April 2007 to March 2010 clearly described the expectations about the relationship between staff in the probation area and the Supporting People programme. Action to implement the strategy included commissioning services based on data from an offender survey and from OASys.

- (f) In March 2006 a report was submitted to the Equal Opportunities Committee recommending DPA should ensure that SLAs, contracts and partnerships should reflect the need to comply with race equality legislation. New contracts would be subject to an equality impact assessment and that assessment would be extended to include gender, disability, sexual orientation, faith and age.

DPA had assisted HMCS with its diversity training.

**Areas for Improvement:**

- (a) The Accommodation Strategy April 2007 to March 2010 made reference to national and regional strategies in relation to offenders, but did not directly link with the existing Supporting People Strategy or other housing or accommodation related strategies which existed in local authorities.
- (b) In 23% of cases there were gaps identified in service provision which impacted on the effective management of offenders. Although service for drug and alcohol were rated sufficient in 67% of cases 21% were insufficient and 13% poor. The main issue raised by offender managers was the lack of provision for alcohol services in Derby City. At the time of the inspection DPA was in the process of purchasing the services of an alcohol service worker to undertake clinical assessments and manage ATR cases in Derby.
- (c) In 45% of licence cases there were concerns about the working arrangements between prisons and offender managers. This mainly related to cases where there had been a lack of contact between offender managers and prison staff pre-release.
- (d) There was little evidence of the development of services as appropriate to support work with minority groups apart from interpreter services, such as consultancy services, co-working or mentoring for black and minority ethnic offenders.

**APPENDIX 1**  
**Contextual information**

**Caseload at end of September 2006**

Total caseload	3,734
% <i>White</i>	91.6%
% <i>Minority ethnic*</i>	8.4%
% <i>Male</i>	88.1%
% <i>Female</i>	11.9%
Number of cases subject to MAPPA: (as at March 2007)	
Level 1	477
Level 2	567
Level 3	21
Number of PPO cases (as at March 2007)	107
* Excluding cases for which ethnicity information is not available.	

The local definition of a PPO case – on which the above figure is based – is ‘a person suspected of being a prolific offender on the basis of local intelligence’. The general criteria used for selecting these individuals are: the nature and volume of the crimes they are committing: the nature and volume of other harm they are causing: other local criteria based upon the impact of the individuals concerned on their local communities. The definition can include young people under the age of 18.

**Total revenue budget in 2006/2007:** £11.090m

**Total revenue budget in 2007/2008:** £11.874m

**Approved premises:** Burdett Lodge – capacity 27

## **APPENDIX 2**

### **Inspection model, methodology and publication arrangements**

#### **Model**

- The OMI programme started in May 2006. All NOMS areas in England and Wales are being inspected over a three year cycle, region by region. We hope to identify and promote effective work with offenders and disseminate information about good practice.
- Probation areas are being assessed on how well they have met defined inspection criteria focusing on:
  - Assessment and sentence planning carried out on offenders
  - Implementation of interventions delivered to offenders
  - Achievement and monitoring of outcomes
  - Leadership and strategic management.Particular attention will be given to RoH issues – it is performance against these measures which will determine whether a re-inspection is carried out.
- The inspection takes account of the regular NPS performance data. These are produced by the NPD who are responsible for their collection and quality assurance.
- Each inspection takes place over one week. The area is asked to identify a random sample of 100 offenders (more in the largest areas) who have been under supervision for approximately six months. We then ensure that there is a minimum number of the following types of cases: high/very high RoH; PPOs; approved premises residents; statutory victim contact; black and minority ethnic offenders. The cases are drawn from both community orders and licences.

#### **Methodology**

- During the inspection we examine the file and carry out an in-depth interview with the offender manager. We also hold focus groups with offenders, victims, keyworkers and case administrators. We send questionnaires to offenders and victims whose cases arise in the sample and to a selection of those involved in sentencing.
- We interview senior and middle managers, Board members of the probation area, strategic partners and managers in a custodial setting. For the prison meeting we are joined by a colleague inspector from HMI Prisons.
- Inspection of about a third of the cases in the sample is carried out by area assessors, experienced staff of the probation area being inspected. We think this provides a positive experience both for the area and the staff directly involved and that it increases ownership of the findings.

#### **Publication arrangements**

- Summary verbal feedback is given to the area at the end of the inspection week. A draft report is sent to the area for comment four to six weeks later. Publication follows approximately 12 weeks after inspection.

## APPENDIX 3

### Scoring Approach

This describes the methodology for assigning the scores to each of the general criteria, to sections 1 to 3 and to the *RoH Thread*. A fuller detailed description is on HMI Probation's website at:

<http://www.inspectorates.homeoffice.gov.uk/hmiprobation>

For each of the **general criteria in sections 1 to 3** – i.e. those sections based on the scrutiny of the case sample – that is:

#### Section 1: Assessment and sentence planning

- 1.1 Preparing for sentence
- 1.2 Assessment of Risk of Harm
- 1.3 Assessment of likelihood of reoffending
- 1.4 Assessment of offender engagement
- 1.5 Sentence planning

#### Section 2: Implementation of interventions

- 2.1 Delivering the sentence plan
- 2.2 Protecting the public by minimising Risk of Harm
- 2.3 Victims
- 2.4 Ensuring containment and promoting compliance (Punish)
- 2.5 Constructive interventions (Help and Change)
- 2.6 Restrictive interventions (Control)
- 2.7 Diversity issues

#### Section 3: Achievement and monitoring of outcomes

- 3.1 Achievement of initial outcomes
- 3.2 Sustainability of progress

The score is based on an average, across each of the questions in the Offender Management Tool for that criterion, of the proportion of relevant cases in the sample where the work assessed by that question was judged sufficient ('above the line'). (In the calculation, the results for the individual questions and for the summary question are weighted 80/20. Further details are given in the description on the website.)

The **score for each of sections 1 to 3** is then calculated as the average of the scores for the component general criteria.

The **score for the RoH Thread** is calculated as an average, over all the questions in the Offender Management Tool in sections 1 and 2 relating to RoH, of the proportion of relevant cases where work was judged 'above the line'.

For **each of the general criteria in section 4**, that is:

#### Section 4: Leadership and strategic management

- 4.1 Leadership and planning
- 4.2 Performance against national and regional targets
- 4.3 Resource deployment
- 4.4 Workforce planning and development
- 4.5 Review and evaluation
- 4.6 Commissioning of services

A score of either **well met**, **satisfactorily met**, **partly met** or **not met** is assigned on the basis of the performance across the specific criteria which make up that criterion. (Details are given in the description on the website.)

## **APPENDIX 4**

### **Role of HMI Probation**

HMI Probation is an independent Inspectorate, originally established in 1936 and given statutory authority in the Criminal Justice Act 1991. The Criminal Justice and Court Services Act 2000 renamed HMI Probation 'Her Majesty's Inspectorate of the National Probation Service for England and Wales. HMI Probation is funded by the Home Office and reports directly to the Home Secretary.

#### **Home Office Objectives**

HMI Probation contributes primarily to the achievement of Home Office Objective II:

- more offenders are caught, punished and stop offending, and victims are better supported
- and to the requirement to ensure that custodial and community sentences are more effective at stopping offending. We also contribute to the achievement of Objective III through scrutiny of work to address drugs and other substance misuse, and to other relevant criminal justice system and children's services objectives.

#### **Role**

- Report to the Home Secretary on the work and performance of the NPS and YOTs, particularly on the effectiveness of work with individual offenders, children and young people aimed at reducing reoffending and protecting the public.
- In this connection, and in association with HM Inspectorate of Prisons, to report on the effectiveness of offender management under the auspices of the NOMS as it develops.
- Contribute to improved performance in the NPS, the NOMS and YOTs.
- Contribute to sound policy and effective service delivery by providing advice and disseminating good practice, based on inspection findings, to Ministers, Home Office staff, the YJB, probation boards/areas and YOTs.
- Promote actively race equality and wider diversity issues in the NPS, the NOMS and YOTs.
- Contribute to the overall effectiveness of the criminal justice system, particularly through joint work with other criminal justice and Government inspectorates.

#### **Code of Practice**

HMI Probation aims to achieve its purpose by:

- undertaking its work with integrity in a professional, impartial and courteous manner
- consulting stakeholders in planning and running inspections and regarding reports
- forming independent inspection judgements based on evidence
- the timely reporting and publishing of inspection findings and recommendations for improvement
- promoting race equality and wider diversity issues in all aspects of its work, including within its own employment practices and organisational processes
- developing joint approaches with other Inspectorate and Audit bodies to ensure a coordinated approach to the criminal justice system.

The Inspectorate is a public body. Anyone who wishes to comment on an inspection, a report or any other matter falling within its remit should write to:

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2 Monck Street  
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