



HM Inspectorate of Probation

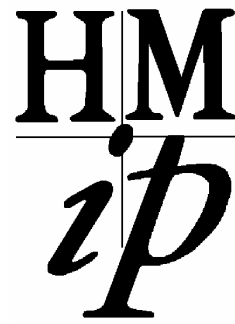
# Effective Supervision Inspection

of the  
National Probation Service for  
England and Wales

Follow-up report on:  
Hampshire Probation Area

2005

  
Home Office



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Supervision  
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## **FOREWORD**

This was the first follow-up in the ESI programme and was a limited exercise focusing on the area's assessment and management of offenders' risk of harm one year on from the original inspection. It was pleasing to find that Hampshire had used the Effective Supervision Inspection findings to drive forward wide ranging changes in the way staff undertook complex work with high-risk offenders in a multi-agency environment.

There was strong evidence that improving risk work had been a high priority, with resulting improvements both in the management arrangements and in the area's actual performance, as demonstrated by our examination of a sample of case records. Managers and staff at all levels displayed a high degree of commitment to achieving much better standards of practice. Hampshire had improved considerably and put in place the necessary policies, staffing and infrastructure for much of its work on risk to be considered as emerging best practice.

*Andrew Bridges*  
*HM Chief Inspector of Probation*

*January 2005*

## **ACKNOWLEDGEMENTS**

We would like to express our thanks to the Hampshire Probation Board, its managers and staff for the considerable assistance received in enabling the inspection to proceed smoothly. Without their help the work could not have been completed successfully.

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## **GLOSSARY**

ACE	Assessment, Case Recording and Evaluation System
ACPC	Area Child Protection Committee
CO	Chief officer
COMT	Chief Officer Management Team
CPO	Community punishment order
EEM	European Excellence Model
eOASys	electronic Offender Assessment System
ESI	Effective Supervision Inspection
ISP	Initial supervision plan
IT	Information technology
LSI-R	Level of Service Inventory-Revised
MAPPA	Multi-Agency Public Protection Arrangements
NOMS	National Offender Management Service
NPD	National Probation Directorate
NPS	National Probation Service
OASys	Offender Assessment System
OGRS2	Offender Group Reconviction Score
PSR	Pre-sentence report
SMART	Specific, Measurable, Achievable, Realistic and Time-bounded
SMB	Strategic Management Board
SSR	Specific sentence report
VLO	Victim liaison officer

## REASONS FOR UNDERTAKING THE FOLLOW-UP

- The Hampshire ESI report, published in March 2004, concluded that the area was a satisfactory performer with a number of examples of good practice. Its strengths included diversity work, attention to achieving positive results in community integration and strong performance on enforcement. However, the report found that management oversight of high risk of harm cases was inadequate and that risk management plans were not completed on time or to a sufficient quality in the majority of cases inspected. Staff were not confident about risk management procedures and could not explain with any clarity the area's risk classification policy and processes. These concerns were addressed in four of the report's recommendations:

*The Probation Board should ensure that:*

- 1. in high risk of harm cases assessments are completed, regularly reviewed and are based on sound supporting evidence*
- 2. victim issues are addressed sufficiently in the assessment and supervision of all offenders*
- 3. staff make use of MAPPA assessments and information from other risk management meetings to inform supervision plans*
- 4. the area improves the management oversight of high risk of harm and child protection cases.*

## SUMMARY OF FINDINGS OF THE FOLLOW-UP

### Key findings

- ▣ **Quality of Management:** The Board and senior managers had prioritised improving performance on the management of high risk of harm cases. New practice guidelines had been produced, supported by staff training, and there was evidence of good work with other agencies, especially the police, in relation to MAPPAs, including the appointment of a jointly funded MAPPAs coordinator. Arrangements had also been made for improving victim focused work with offenders. Managers were exercising greater oversight of risk management through better access to the electronic case record and direct supervision of staff.
- ▣ **Quality of Assessment:** The quality and frequency of risk assessment had improved considerably. There was good integration between the intervention planned and the assessed level of risk in most cases, although further work was needed to ensure that all high risk of harm offenders were fully assessed and all interventions were appropriate to the risks and needs identified. The majority of ISPs now met the content and timeliness requirements of national standards, but some 40% of plans still did not include SMART objectives. Every case inspected had had a sufficient assessment of the likelihood of reoffending, which was a very good result.
- ▣ **Quality of Interventions:** There had been significant improvement in the frequency of supervision plan reviews, in the implementation of additional requirements in orders and licences, and in assisting offenders' community reintegration. Victim focused work was clearly receiving greater attention, and there had been good attention to diversity. Risk management plans were generally better and had been properly executed and reviewed in all cases.

### Next steps

- ▣ This report has been submitted to the Secretary of State and copies provided to the Chief Executive of NOMS, the National Offender Manager, the Director General of the NPS, the Probation Board and CO. Copies are also available on the website of HMI Probation at:

<http://www.homeoffice.gov.uk/justice/probation/inspprob/index.html>

## INSPECTION ARRANGEMENTS

- The ESI programme started in June 2003. All 42 probation areas comprising the National Probation Service for England and Wales are being inspected over a three year cycle, with areas of similar characteristics (in terms of size and population density) visited in the same year to facilitate comparisons in performance. This enables us 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 the:
  - overall management of the area
  - quality of the assessments carried out on offenders
  - quality of the interventions carried out with offenders
  - initial results of the interventions, both in relation to criminogenic factors such as employment, accommodation and substance misuse, and also whether there has been any reduction in the risk of harm and the risk of reoffending.
- 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.
- The Hampshire follow-up inspection was a limited exercise that further examined the area's assessment and management of offenders' risk of harm, one year on from the original inspection. It involved scrutiny of a number of the area's files and comparing relevant results with some of those from the original ESI. There was also examination of the area's improvement plans, of how these had been implemented, and of the findings of internal audit and quality assurance events. Meetings were held with the Board Chair, CO, senior managers, the MAPPA coordinator and partnership agencies, practitioners, and the external consultant retained to assist with the improvement project.
- This report uses a similar framework to the ESI report in assessing the area's performance against the criteria that are relevant to the issues addressed in the follow-up. We have re-scored those assessment and interventions criteria where it has been possible to make a direct comparison. However, the management section has not been re-scored because of the follow-up's narrower focus to the original inspection.

## SECTION A QUALITY OF MANAGEMENT

### A1 Leadership and planning

Description:

*The Board and CO lead the area in the achievement of national targets and implementation of national policies through the production of local policies and procedures which are regularly monitored and reviewed. Areas are enabled to work efficiently and effectively by the NPD who develop national targets and policies in line with Ministerial priorities and provides guidance and resources. The senior management team is committed to the implementation of national and local targets and priorities, including What Works strategies, risk management and promoting diversity.*

- The Board and senior managers had given absolute priority to improving the area's performance on managing high risk of harm cases. A comprehensive, clear and outcome focused action plan had been produced in response to the ESI report and a risk improvement team established under the leadership of an Area Director in March 2004.
- New practice guidelines had been produced and issued to staff so that the MAPPA guidance and current best practice could inform the area's work. Staff training supported their implementation. The training had been subject to quality assurance audits so that managers could be confident that changes were happening in actual practice.
- The consultants 'TSM Insight' had been employed to facilitate the work. One significant consequence was the area changing its EEM model to be more focused on outcomes and deliverables.
- The MAPPA SMB successfully integrated agencies' work within the overriding objective of public protection and effective risk management. There was evidence of good liaison arrangements between MAPPA and ACPCs, with child protection issues clearly identified and actioned. A prison service governor had also now joined the SMB and had been making a helpful contribution to its work. There was strong evidence of a dynamic and trusting police and probation approach to MAPPA, including a joint commitment to resource risk management appropriately.

#### GOOD PRACTICE EXAMPLE

*To publicise the duty on other agencies to cooperate with the MAPPA process, Hampshire staff were planning a Big Breakfast event to inform them about the work of MAPPA and to encourage them to sign up to a memorandum. This was an innovative way to spread involvement.*

- At the time of the inspection a victim module had been developed and was being piloted. Case managers were very encouraging in their feedback about this, saying it allowed structured work to take place with offenders. Plans were well advanced to evaluate this work by reviewing both offender and victim case files. There was also a high level of peer review so that tangible outcomes could be gleaned and good practice shared. VLOs and police community support officers played an active part at MAPPA meetings and made a positive contribution to the management of risk of harm and victim safety work.

- The area had established a specialised unit in its South West Region to deal with all MAPPA cases with its work subject to evaluation. This was good evidence of a What Works approach to MAPPA that took into account the scale and geography of the area and showed a willingness to deploy a flexible model focused on outcomes.
- De Montfort University had visited Hampshire as part of a national evaluation of MAPPA. A unique feature of the area's work had been its involvement of offenders in the MAPPA process. The SMB believed the value of this was to give clear multi- agency messages to them about desired behaviour and the joint enforcement of sanctions if this was not achieved.
- IT staff had developed a new reporting and recording system that allowed managers actively to monitor and review processes that supported good risk management. The MAPPA database looked at work that had been undertaken and prompted staff when reviews were due. Regular systematic quality audits of risk of harm work were now taking place, with the outcomes shared with practitioners.

#### **GOOD PRACTICE EXAMPLE**

*In order to ensure that the cultural changes introduced on risk of harm work were further developed, Hampshire had set up the 'Community of Practice Group'. Its aim was to share knowledge and information, to highlight good practice and to disseminate this throughout the area via an internal communications strategy.*

## **A2 Resource allocation**

### Description:

*The area demonstrates a strategic approach in allocating resources to deliver effective performance and shows positive results in relation to value for money.*

- A number of new appointments had been made to support the changes in risk of harm work, including most importantly agreeing a three year funding commitment with the police to employ a MAPPA coordinator. The post was closely aligned with SMB strategic issues and was being used creatively to identify needs and provide advice and support to managers. Staff were positively encouraged to refer cases and use MAPPA structures to get a second opinion on risk of harm issues. This was helping to sharpen practice and ensure cases were correctly classified. It was also a systematic process for declassifying cases when risk had been reduced and making agencies aware of changes.
- The area had invested in additional administrative staff whose role was to produce MAPPA notes and ensure action plans were promptly circulated to multi-agency partners. They would also 'housekeep' the MAPPA database so that front line staff could concentrate on risk of harm management.
- The OASys project manager post had been further extended for six months to ensure that the changes were fully embedded and were integrated with the area's case management procedures.

### A3 Management and supervision of staff

Description:

*The Board and CO have human resources planning strategies that ensure delivery of effective supervision to offenders.*

- A risk training needs analysis had been undertaken and the results reviewed by the COMT. As a result, a series of joint training events had been delivered.
- Since the original inspection managers had had the benefit of extra coaching on how to interrogate eOASys; this was a valuable tool to ensure that staff were meeting timeliness objectives and reviewing the quality of work. This training had enabled managers to have better oversight of risk of harm work and cross-check child protection and MAPPA registers.
- Managers were now routinely observing practice and proactively taking steps to improve performance by way of coaching, training and discussion in supervision.

## SECTION B QUALITY OF ASSESSMENT

<b>B1</b>	<b>Assessment of risk of harm</b>	<b>Original inspection</b>	<b>54%</b>
		<b>Follow-up inspection</b>	<b>83%</b>

Description:

*Risk of harm is satisfactorily assessed using an approved instrument (OASys where available), specialist assessment tools, where relevant, and draws on MAPPA, other agencies' and previous probation service assessments.*

- ▣ A satisfactory risk assessment at the commencement of supervision was evident with 80% of high risk of harm offenders, as compared to only half the relevant cases in the original inspection.
- ▣ Risk assessments were reviewed regularly at 16 week intervals as required by the national standard in 83% of files inspected, against only 42% in the original inspection.
- ▣ 83% of relevant cases were sufficiently reassessed following a significant incident that might give cause for concern.
- ▣ A sufficient risk management plan had been completed within the required five working days in 75% of the high risk of harm cases.
- ▣ There was evidence of a close fit between the interventions planned and the assessed risk of harm in 14 of the 16 high risk of harm cases.
- ▣ In all the relevant high risk of harm or child protection cases, management involvement in the assessment was judged to be appropriate.
- ▣ We assessed the area as demonstrating improved performance in relation to the criterion, although further work was needed to ensure that all high risk of harm cases were fully and promptly assessed and that all ISPs and interventions were appropriate to the risk and needs identified.

<b>B2</b>	<b>Assessment of likelihood of reoffending</b>	<b>Original inspection</b>	<b>64%</b>
		<b>Follow-up inspection</b>	<b>90%</b>

Description:

*The likelihood of reoffending and criminogenic factors are satisfactorily identified and assessed using an approved instrument (OASys, OGRS2, LSI-R, ACE).*

- ▣ We assessed the area as demonstrating greatly improved performance in relation to the criterion, with 90% of cases being sufficiently assessed.

<b>B3</b>	<b>Case management</b>	<b>Original inspection</b>	<b>55%</b>
		<b>Follow-up inspection</b>	<b>68%</b>

**Description:**

*The case is managed effectively and interventions coordinated to enable criminogenic factors to be addressed and any risk of harm managed. The initial supervision plan or CPO assessment takes account of the PSR, SSR or sentence plan in licence cases, and describes an overall plan of work for each offender, in line with the assessments of risk of harm and need and the likelihood of reoffending.*

- The majority of cases had met national standards in relation to the quality and timeliness of ISPs, an improvement of 39% over the original inspection.
- The area still had significant progress to make with regard to SMART objectives in ISPs. Whilst there was a 7% increase in performance from the ESI, 40% of cases still did not have SMART objectives in the plan.
- The majority of cases (80%) had appropriate interventions identified.
- In 87% of cases steps had been taken to ensure offenders understood the requirements of the order or licence, an increase of 10% on the original inspection.
- 73% of relevant ISPs integrated the MAPPAs action plan, or the action plan from another risk management meeting or child protection conference, a substantial increase in performance of 53%. However, further work was still needed to achieve the required figure of 100%.

**GOOD PRACTICE EXAMPLE**

*The area was concerned to contain and reduce risk where possible. On many files inspectors found that a key objective was to move MAPPAs cases down to Level 1. This was supported by a range of constructive and restrictive interventions to achieve the desired result.*

## SECTION C QU

<b>C2</b>	<b>Delivering appropriate supervision</b>	<b>Original inspection</b>	<b>70%</b>
<i>(Due to a different questions being asked it is not possible to make a direct comparison with the original score)</i>			

**Description:**

*Interventions are delivered to achieve the objectives identified in the initial supervision plan and recorded according to the requirements of national standards. Supervision is prioritised according to an ongoing assessment of risk and need and takes account of previous reviews and work already undertaken by the area and other agencies. Case managers oversee and coordinate the work of other staff and partner organisations and all staff play an active part in motivating and supporting offenders throughout their supervision.*

- ▣ Progress against objectives was satisfactorily reviewed in 75% of cases, a figure that still left room for improvement. However, it represented considerable progress on the score of 40% achieved in the original inspection.
- ▣ 60% of the cases inspected had SMART objectives in ISP reviews, against only 35% in the original inspection.
- ▣ 100% of cases had had appropriate interventions identified which was a considerable improvement of over 40%.
- ▣ Action had been taken in all the relevant cases to implement additional requirements, an improvement of 43%.
- ▣ Victim work had improved since the original inspection, with 60% of cases assessed as sufficient or excellent. However, this still left a number of cases where further action should have been taken to address victim issues.
- ▣ Sufficient community reintegration work (for example in relation to such issues as accommodation, employment, drugs, alcohol or family relationships) was found in 100% of cases, an improvement of 28%.
- ▣ In all the cases in the sample, the case manager was found to be motivating the offender to comply with the conditions and requirements of the order or licence, including involvement in MAPPA.
- ▣ ISP reviews integrated the MAPPA action plan or the action plan from another risk management meeting or child protection conference in 70% of cases, an improvement of 41%. However, this still left a small number of cases where further work was needed.

<b>C3</b>	<b>Diversity needs</b>	<b>Original inspection</b>	<b>81%</b>
		<b>Follow-up inspection</b>	<b>100%</b>

**Description:**

*There is a full range of interventions to meet diverse needs. There is evidence of appropriate support arrangements for women, minority ethnic and disabled offenders.*

- ▣ The interventions took account of diversity factors in all the cases inspected, an excellent result.

C5	Management of risk of harm	Original inspection	63%
		Follow-up inspection	95%

Description:

*Risk of harm is actively managed in consultation with other agencies.*

- In 88% of cases the level of the intervention was appropriate to the level of risk. This was a big improvement on the original inspection when the figure had been 63%.
- The case manager had correctly identified and managed changes in the risk of harm in all the cases inspected.
- The original inspection found that only 40% of cases had been deemed to have a good quality risk management plan. This had risen in the follow-up to 80%. Plans were properly executed and reviewed in 100% of cases.
- Area staff were fully involved in child protection cases in the majority of cases where this was relevant.
- Home visits had taken place within the national standards timescales in all the high risk of harm cases.
- Case managers had taken appropriate action in all cases where a potential public protection issue had arisen.
- Management oversight in line with national and local policy was evident in 92% of cases, compared with only 56% of cases in the original inspection.

#### **GOOD PRACTICE EXAMPLE**

*Managers were making entries on files to show that they had reviewed the case by way of self-adhesive labels, with a commentary also recorded electronically. Any action points for the case manager would be followed up as a regular part of supervision if necessary. Case managers had responded positively to such advice and practice was improved as a result.*

## **THE 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 Aims**

HMI Probation contributes primarily to the achievement of Home Office aims to:

- ensure the effective delivery of justice, avoiding unnecessary delay, through efficient investigation, detection, prosecution and court procedures. To minimise the threat to and intimidation of witnesses and to engage with and support victims
- deliver effective custodial and community sentences to reduce reoffending and protect the public, through the prison and probation services, in partnership with the Youth Justice Board.

### **Role**

- Report to the Home Secretary on the extent to which the National Probation Service for England and Wales is fulfilling its statutory duties, contributing to the achievement of Home Office and Criminal Justice Aims and meeting performance and efficiency targets as required.
- Demonstrate that inspections contribute to improved performance in the National Probation Service.
- Contribute to sound policy and effective service delivery by providing advice and disseminating good practice, based on inspection findings, to Ministers, Home Office and National Probation Service staff and Probation Boards/areas.
- Promote actively race equality and wider diversity issues in the National Probation Service.
- Promote the overall effectiveness of the criminal justice system.

### **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
- working to minimise the burden of inspection on the National Probation Service.

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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