

HM Inspectorate of Probation 

# Plan 2006 – 2007

*We Sell Improvement*

May 2006

## **“WE SELL IMPROVEMENT”: HMI Probation Plan 2006-2007**

### ***Helping to Improve Effectiveness in the Criminal Justice System***

#### **PART ONE: OUR APPROACH**

##### **Who we are, and What we do:**

1. Although this Inspectorate is set to disappear as a separate entity in the foreseeable future, in a development we support (see below), we have clear messages about our role and purpose within the Criminal Justice System as a whole.
2. We are fifty salaried staff, plus a panel of a dozen or so sessional colleagues. We cost a fraction of one percent of the total cost of the National Probation Service (NPS) and all the Youth Offending Teams (YOTs) of England and Wales. But we have an important message about both the NPS and YOTs, and our work with them at this time when their own work is under challenge:
  - *Both the National Probation Service and the YOTs of England & Wales deal with the reality of Crime and Risk every day, working to protect the public and reduce crime through effective management of offenders*
  - *Offenders must take full responsibility for the crimes they commit but the public has every right to expect that Probation and YOT staff will do their job properly.*
  - *HMI Probation measures their work against clear expectations on behalf of the public. When the relevant authorities fail to meet those expectations we shall be uncompromising in saying so, but we also believe that the public, politicians and the media should support an organisation that is generally doing an important job and making a major contribution to public protection.*

Our Approach flows from this.

##### **Context:**

3. We are now actively working towards a major change in the inspection arrangements in the Criminal Justice System (CJS) as a whole, which is developing over the next two years alongside parallel developments in the inspections of other public services too. If the legislation is passed in its present form there will be a single Inspectorate for Justice, Community Safety and Custody, alongside three other future redesigned Inspectorates that will thereby together cover all the major public services. We support this development.
4. Our job therefore is to help this transition to take place, which should benefit the CJS as a whole in the long term, while continuing to follow through our commitments to all our existing inspection programmes, especially the new Offender Management Inspection (OMI) programme, starting in May 2006.

**Managing each offender or young person under supervision:**

5. We continue to stress the central importance of what was once called the 'case management of offenders'. We still see this as the bedrock of the unfolding NOMS, providing a foundation for supervision which needs to be effective in terms of enforcing every sentence, making offenders less likely to reoffend, and minimising *Risk of Harm* to the public. We also continue to say that case management of young people (not always formally-convicted offenders) will continue to be part of the bedrock of practice by Youth Offending Teams (YOTs). As ever, the terminology is changing, as are some of the details of the definitions of some of the terms we use. We are increasingly referring to *offender management*<sup>\*</sup> as being the central part of the *core correctional practice* of the future. These ideas are being developed and trialled within NOMS, and hence we have developed our Offender Management Inspection (OMI) methodology with that principle firmly in mind.
6. So despite the prospective upheavals in organisational arrangements, we see more continuity than change in the building blocks of effective practice with offenders. We believe that at the heart of effective offender management will be the ability of the *offender manager* to engage skilfully with the offender or young person. This not only secures compliance with sentence enforcement, but also helps the offender or young person to make use of all the learning from the sentence to change their former behaviour. An inspection methodology which measures the quality of offender management is the right way to inspect the work of NOMS and of Youth Offending Teams and Services in the future.
7. But we are suggesting that we do more than simply inspect – that what we do is to “sell Improvement”. What do we mean by this?

**The Inspectorate role:**

8. Our contribution to service improvement is entirely in line with the Government's stated expectation of how public service inspectorates should work, contained in the July 2003 policy document, *Inspecting for Improvement*. The ten principles set out in that document appear again in the Annex to this Plan, and in accordance with them we in HMI Probation commit ourselves for the third consecutive year to the aim that:  
  

***“Our inspections will not only measure the performance of our respondent organisations fairly and accurately, but will also maximise the likelihood of performance improvement.”***
9. The wording of this aim acknowledges the fact that as/when a respondent organisation (Probation Area or YOT) improves its performance following an inspection, the achievement belongs to that organisation. An Inspectorate cannot make performance improvement happen, but it can

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<sup>\*</sup> *Offender management* is a term that is still being used in two different ways at different times. Sometimes it refers to everything done with a sentenced offender under the auspices of NOMS, and sometimes it refers exclusively to the role undertaken specifically by *offender managers*. Sometimes it may be useful to use a term such as *offender managing* for the latter usage in order to address the specific subject-matter of *core correctional practice*

‘maximise the likelihood’ of it happening. It does that through its own quality of engagement with the respondent organisation – in our case the NPS/NOMS and YOTs. This has implications both for our inspection methodology and for the interpersonal and communication skills of the staff who implement them.

10. Just as the heart of effective supervision of offenders and young people is the quality of engagement by the offender manager with the offender, the heart of effective inspection of that work is the quality of engagement by inspectors with the offender managers and other people from the respondent organisations. It is in that sense that we aim to do more than simply ‘measure’ how well people are doing. What we aim to do in addition to that is to ‘sell improvement’.
11. *Improvement* is not as glamorous for many people as either innovations, initiatives or projects. But in a system in which large numbers of people are put through well-mapped processes every day the most important need is that there should be a steady incremental improvement each year in the way they are dealt with. It is a significant challenge for public servants to be able to provide a fair, consistent and effective service to large numbers of people in an individualised way, but that is what is required in the CJS. And that is the main focus of attention with both our Offender Management and our Youth Offending Team inspections. We look at all the small but significant behaviours that make a difference in making practice effective, and we aim to engage our respondents in focusing on how to improve those behaviours.
12. Our criteria, and the questions we ask, show the quality of work we are looking for, and when our inspection process works well it means that our respondents not only see the nature and degree of any shortfall on their part – the performance ‘gap’ – but also they will ‘buy’ the idea of wanting to close that gap. Or if they’re already good, to improve still further. Of course we not only want them to buy the idea of improving, we want them to ‘buy’ actually improving in practice. Hence our inspection process aims not only to measure fairly and rigorously, but also to ‘sell improvement’.

**Our evolving methodologies: -**

13. Thus we have noted the changes taking place in the world that we inspect and we have also outlined what we mean by ‘selling improvement’. We now need to describe how our methodologies are evolving to meet the specific needs of some of our current and future inspection programmes.

- **- Offender management:**

14. Our methodologies for the Effective Supervision Inspection (ESI), just now ending, and the continuing YOT inspection programme focus on what is actually delivered to offenders and young people under supervision. We measure the quality of assessments, interventions, and initial outcomes as a proxy variable for effectiveness. To do so we therefore seek evidence of how well each case is managed in terms of enforcement, likelihood of reoffending and *Risk of Harm*.

15. For the new Offender Management Inspection (OMI) programme we are now employing the same principles to assess the quality of integrated case-management of offenders serving almost all kinds of community and custodial sentences. In doing so we have been taking careful note of developments with NOMS's excellent Offender Management Model.
16. The strong principle of the methodology is that it focuses on services as delivered to the users by the NPS itself, or by YOTs, or by any of their contracted providers. We keep to a minimum our assessment of performance factors which are already comprehensively monitored within the organisation, and we only seek to arrive at findings re quality of management insofar as they relate closely to the quality of supervision.
17. We therefore plan to retain and improve our existing methodologies, but also to develop them so that they align as appropriately as possible to the developing NOMS and to the wider CJS. By this we mean that although the NPS (NOMS in the future) and YOTs are our core subject area, we are already committed to inspecting their work in the wider context of the Criminal Justice System as a whole. We assess their effectiveness not only as organisations in their own right, but as contributors to the overall effectiveness of the CJS, in the context of other relevant government policies.
18. Hence, in order to prepare for our working in a context with much wider horizons than hitherto, we will continue to aim to develop methodologies for undertaking joint inspection work with the other CJS inspectorates in the lead-up to the transition to the new Justice Inspectorate. We are again making a specific resource allocation for joint CJS inspections, as outlined in Part Two.

- **- Youth Offending and Children's Services:**

19. We have also implemented in the last year a parallel huge development in our other main inspection programme (in fact now easily our biggest single area of work), the joint inspection of Youth Offending Teams and Services, which we lead. The work of YOTs/YOSs straddles both the criminal justice system, because it is about preventing reoffending, and the world of children's services, because they also have wider duties to protect children and enhance their quality of life.
20. The new development is that 'Phase 3' of the YOT inspection programme is now much more closely co-ordinated with the new system of the Ofsted-led Joint Area Reviews (JARs) of integrated children's services in each area of England. Our own methodology still focuses core attention on work to reduce reoffending by the young people under supervision, but our inspection criteria and scoring is now designed to contribute directly to that of the JARs. Equally significantly, our schedule of inspections is now much more closely aligned to the schedule of JARs.
21. At the same time, our criteria and scoring also need to be congruent with the relevant inspection programmes and methodologies of our partner Inspectorates in Wales, where we inspect YOTs/YOSs but where the arrangements for inspecting other children's services are different.

- - **Serious Further Offence (SFO) reviews and Risk of Harm (RoH):**

22. This last year has seen the arrival of what have become independent SFO reviews – in three high profile cases (one YOT, two Probation) people under current supervision in the community have gone on to kill. We have now regularised these reviews to some extent, although inevitably we will be working largely with the unpredictable. Our aim with these is to be both uncompromising but fair in our criticisms and contribute to future learning both about the specific case and about wider lessons for the development of the management of both adult and young offenders. Furthermore, in other ways we aim to help identify what effective *Risk of Harm* work looks like, so that staff working with both adult and young offenders will know better how to avoid leaving their work exposed to potential future criticism.
23. This is hugely important work, which unusually for us is additionally very high profile work in the public eye. However, our aim has not been that this consideration should displace all other aspects of managing offenders – our aim has been to redress a balance, where our inspection reports were finding regular weaknesses. We will continue to emphasise the vital and difficult nature of *Risk of Harm* work to both NOMS and YOTs/YOSs, but within the context of what they have to try to achieve with each offender or young person overall.
24. To this end, there will be a *Risk of Harm* strand within the Offender Management Inspections this year, so that we can provide an assessment of the quality of this specific area of practice on its own. This will both focus attention on this work and also do so within an appropriate overall context. We will explore a comparable development in YOT inspections.

**Our inspection criteria – a basis for self-assessment:**

25. One of the Government's principles for inspection is that they should provide a basis for self-assessment. Hence we aim for a shared understanding by all parties about 'what success looks like' in terms of good quality case management, and the specific details of how it will be measured. This is conveyed by means of our Criteria for our OMI and other inspections, which are set out in open and transparent documents, with the principal ones published on our website.
26. Our inspection criteria have two key aims:
  - In the short-term, to provide the basis by which each inspection defines what it is looking for
  - In the long-term, to provide a definition of quality (a definition of 'what success looks like') that our service delivery organisations can then look to, so that they know what they are aiming for. It is important that these definitions are maintained with reasonable consistency over a good length of time, because it takes time for an organisation to aim for them and achieve them. Hence we will aim to work with NOMS so that there is maximum possible overlap between their *performance standards* and our *inspection criteria*.

**Summary of review of 2005/2006:**

27. We will be providing a full review of our 2005/2006 programme in our Annual Report. In summary, however, our view is that on the whole 'Our Approach' as we outlined it in the last two Plans is still being well received, and we are on course to deliver during the year both the quality and the quantity of inspections that we promised. Accordingly, this Plan for 2006/2007 is much more about continuity in how we work even though we are adapting the application of our approach to several radical changes in circumstances. Hence the policy direction we set out two years ago – 'Our Approach' – continues to apply.

**Our overall approach - still:**

28. Based on this thinking, we therefore still believe that our inspections do and will continue to make an identifiable contribution to steady long-term improvement in the quality and effectiveness of front-line practice with offenders and young people. We will therefore:

- provide, by means of our inspection criteria, a clear and consistent definition of what good quality management of offenders and young people looks like.
- measure, fairly and accurately, the performance of each Probation area or other employing body and YOT or YOS in achieving this, and
- both encourage and enable self-assessment by those organisations against our definition

29. By repeating such assessments, it will be possible both for us, and for the organisations themselves, to track improvements or otherwise in their performance over time. By paying attention to the way we engage with respondent organisations we aim to maximise the likelihood of them 'coming with us' down the path of pursuing steady continuous improvement in the quality of their management of offenders and young people. That is to say, we aim that they will 'buy (into)' *improvement*.

30. With this approach, what we therefore still do is:

<b>Help to Improve ...</b>	By maximising the likelihood of respondents 'coming with us' to pursue steady continuous improvement
<b>... Effectiveness ...</b>	As measured by our scores for Quality of supervision
<b>... (in the) ...</b> <b>... Criminal Justice System</b>	The NPS/NOMS and YOT/YOSs not only in their own right, but as contributors to the overall effectiveness of the whole CJS.

31. This is the long-term approach we set out two years ago, and which we are now continuing, albeit under changing circumstances. In particular, by emphasising our aim to get respondents to come with us to pursue steady continuous improvement we consider that ***We sell improvement***.

**PART TWO: Our plan of work for 2006 – 2007**

32. Our needs for the year ahead are again to keep our core work on the road, to ensure that we are promoting joint inspection practice, and to prepare for our future world, but to do so in keeping with the changing circumstances.
33. Accordingly, our work for the coming year again has three themes:
- **A. Mainstream work:** Implementing on time and to a good standard our schedule of inspections of management of adult offenders and of YOTs/YOSs. It should be noted, however, that all our three main inspection programmes are now 'joint inspectorate' work
  - **B. Joint CJS inspections:** Undertaking inspections jointly with one or more of the other CJS Inspectorates, using the resources that we have specifically allocated for this purpose.
  - **C. Planning for future Inspection arrangements:** We will continue to make constructive contributions to the planning for future arrangements for Inspection in the CJS as a whole.
34. Most of our resources are our people, and broadly speaking they can be divided into three: Inspection staff, support service staff, and managers. For us as an Inspectorate, the first group is our 'front line' - the people who go out and directly deliver our service. They include for this purpose both our own salaried inspection staff and the inspectors whose services we 'purchase' (either in person or from their employing Inspectorate).
35. Our projections are that for the year ahead this combined pool of Inspection staff can provide in total about 41,000 'deployable hours' of service. This means that after deducting from their total contracted hours a number for what we call various 'overhead' activities we have 41,000 hours to deploy directly towards our planned activities for the coming year. Hence we project an allocation of these hours to each of the inspection programmes and other related work under the first two themes above – Mainstream and Joint Inspections.
36. Each of these inspections and other work programmes are managed by a named Assistant Chief Inspector – either Liz Calderbank, Julie Fox, Alan MacDonald or Kate White. Support services for each programme (including information and ICT support) will be managed by Peter Ramell, who also supports the task of Andrew Bridges to lead the business management of HMI Probation as a whole.

**A. Mainstream work:**

37. We have scheduled a wide range of mainstream inspections for the coming year. It should be noted that some of these are inspections that we undertake jointly with other regulatory bodies, but with the special exception of the YOT programme they do not fit our definition of 'Joint CJS inspections.' To each programme we have allocated a projected number of deployable hours by our Inspection staff, and a responsible lead Assistant Chief Inspector:

- **1. Youth Offending Team (YOT) inspection programme:** We are the lead Inspectorate among eight regulatory bodies that embarked in July 2003 on an innovative and complex programme to inspect all of the 150 or so YOTs or YOSs in England and Wales over a five-year period. The year 2005/6 saw us move into Phase 3 of the programme with an increased pace of inspections and closer co-ordination with the Joint Area Reviews by Ofsted and its other partners on inspecting Children's Services. Under this demanding schedule, and with our continued schedule in Wales too we have therefore allocated a total of 18,000 hours to this work this year. The programme will be led by Liz Calderbank, though in anticipation of Liz's absence on adoption leave Julie Fox will take up increasing responsibility for it.
- **2. Offender Management Inspection (OMI) programme:** This new three-year programme to examine the quality of offender management in each of the areas of the CJS starts in May 2006. The Criteria for the OMI programme are available on our website, where it can be seen that the methodology is quite labour intensive. In 2006/7 we are scheduled to visit 13 Probation (Criminal Justice) Areas, with appropriate contribution from HMI Prisons. We are also conducting four follow-up inspections from the old Effective Supervision Inspection (ESI) programme. We will not, however, have any more ESI Follow-ups to do after this coming year, because we are timing OMI inspections so that from 2007 onwards they replace the need for ESI Follow-ups. We have allocated 10,500 hours to this work, which is led by Kate White.
- **4. 'Single' Thematic inspections:** One of the effects of our changing focus is that we have been doing fewer 'stand-alone' thematic inspections than in the past. However, we did make a significant contribution to the joint inspection of Children's Safeguards in 2004/5, and we expect to assist with a follow-up for which the planning will start in the year ahead. We will also be completing the initial thematic inspection of junior Attendance Centres, commissioned and paid for the Youth Justice and Children Unit (YJCU). We have allocated 500 hours for this purpose, and this task will be led by Liz Calderbank.
- **5. Supporting People:** HMI Probation is a contracted partner to the Audit Commission's programme of inspections of the new Supporting People arrangements managed by some 150 responsible local authorities in England. Our contribution is to focus on how effective the partners are in each area in meeting the housing needs of offenders. The schedule is rigorous but not labour intensive. The AC is continuing to plan for 40 inspections in the coming year. Using a combination of employed and panel Inspectors we have allocated 3,000 hours to this work, which will continue to be led by Alan MacDonald.
- **6. Outside England & Wales:** We contributed as invited to the first two years of inspection work planned by the Criminal Justice Inspectorate in Northern Ireland, and we are expecting a further assignment in the year ahead. We also undertook an inspection of the Jersey Probation & Aftercare Service, and a follow-up on the probation service on the Isle of Man. We have allocated 750 hours to this work, which will be led by Alan MacDonald.
- **7. Independent SFO reviews:** These are very much an 'on demand' item, and our best projection is that we might have to do eight in the coming year, taking up 2,750 hours. In view of their high profile nature they will in the first instance be led by Andrew Bridges.

- **8. Other work:** Periodically, we are asked to undertake other one-off inquiries. Again we can only put our best projection on the probable demand, so we are assigning 2,000 hours to be managed by Andrew Bridges direct.
- **HMI Probation Quality Assurance:** Our aim is to 'quality assure' our own methodology – so that we can review and improve how we work, being accountable for our standards of practice and be able to respond properly to challenge. We are able to allocate just 500 hours for the year ahead, and this will be led by Kate White.

**B. Joint CJS Inspections:**

38. During the year ahead, we again plan to undertake a number of inspections jointly with one or more of the other CJS Inspectorates. The specific plans for such work arise from planning undertaken under the auspices of the Criminal Justice Chief Inspectors' Group (CGJIG).
39. Prospective Joint CJS inspections for the coming year to date include the completion of the previously postponed inspection of Public Protection, and a number of joint 'CJS Area' inspections, which at this stage focus mainly on the Criminal Case Management process aimed at 'Bringing defendants to Justice'. The work with offenders who have been sentenced, whether to custodial or community sentences, is now largely covered by the new Offender Management Inspection (OMI) programme. All of these are examples of inspecting 'whole CJS processes', a method of inspecting in the future we strongly advocated in March 2005 when we published *Inspecting the Criminal Justice System: Starting from First Principles*.
40. Additional to this, our main new contribution this year is that we will lead on a new Enforcement element that will be a new addition within this year's joint 'CJS Area' inspections. It provides a very good example of a special 'whole CJS process' involving co-ordinated working between the different CJS agencies, though at the post-sentence rather than at the pre-sentence stage.
41. We have specifically allocated for Joint CJS Inspection work, which will be led by Alan MacDonald, a total of 3,000 deployable hours for 2006/2007.

**C. Planning for future inspection arrangements:**

42. All of the relevant Chief Inspectors have been asked to contribute towards the process to establish the new Inspectorate for Justice, Community Safety and Custody.
43. Our position is that we stated in 2003 that we were in principle in favour of the idea of a single Inspectorate, and now that that has become the government's clear policy direction we are ready to make appropriate contributions towards enabling that to become established. We have further stated that we believe that the exercise should not consist of simply rolling together the five existing Inspectorates into one organisation, but instead the new organisation should be designed as one *Starting from First Principles*, as per our published paper on the subject.

44. This constitutes our ideas on the future arrangements, to be considered in their own right as a coherent package of proposed policy. Decisions after that are of course a matter for Ministers. Our aim will be to continue to contribute to this process, but in a way that remains consistent with our position of being an independent Inspectorate.
45. As we are now in the final year leading up to the prospective appointment of the Chief Inspector for the new Inspectorate, we are arranging to make available some additional management time, plus some inspector time, to support the work of Andrew Bridges and Peter Ramell in contributing towards the change programme.

**Our 'budget' of 41,000 Inspection Staff hours – how this will be spent:**

46. The 'pie chart' diagram projecting how we will spend our budget of 41k deployable hours will be spent is in the single-sheet Financial Annex to this Plan.

**Staffing:**

47. We reprofiled both the establishment and the skillset of our Inspection and management staff in 2004/2005. Our YOT and OMI programmes are labour intensive, for sound reasons, with a heavy emphasis on detailed assessment of the case (offender) management practice experienced by identified samples of offenders and young people in each Probation area or YOT that we visit. Accordingly we recruited five Practice Assessors, who assess the quality of case (offender) management practice in individual cases under our main two area inspection programmes.
48. However, we still need the great majority of our Inspection staff to have maximum flexibility of deployment, and so all the remaining Inspection posts are for HM Inspectors. We have now also established a managed panel of fee-paid Inspectors as a further contribution to increasing the flexibility of our resource deployment, as well as broadening the skills and experience on which we can draw.
49. The other change we made in 2004 was to forgo the Deputy Chief Inspector post - the money was redeployed into the front-line Inspection establishment. This was a factor in making us better resourced to undertake the demanding programme already outlined, notably for the increased pace of the YOT inspections that started from September 2004.
50. As for our skillset, we continue to be positive without being complacent. We have said that our Inspection staff have to be skilful at both:
  - (a) Measuring accurately, on the basis of a fair assessment of the evidence, and
  - (b) Engaging well with the respondent, to maximise the likelihood of enabling performance improvement – selling improvementWe will review our practice, and ensure that our Inspection and management staff continue to develop their skills in both these areas.
51. In relation to the second point (b), we are developing a culture whereby the feedback from the people we inspect is shared with the relevant Inspection staff so that we can consider opportunities to improve our practice where appropriate.

52. This latter aspect is relevant to our support service staff too. Every member of HMI Probation staff can have an impact on the organisations we inspect by behaving constructively and by the quality of the way we engage with them. It's about not 'rubbing people up the wrong way' *unnecessarily*. Hence we will place a high importance on the interpersonal and influencing abilities of all our staff.
53. Our support services staff include colleagues who are also skilled at administration, information and ICT management, finance, publications and other relevant areas. They will continue to be located as they are now, with the majority in our Manchester premises in Trafford House. Peter Ramell manages our support services, and he and his team also aim to identify and meet the corporate and individual skill development needs of all our staff.
54. Three areas of staff development continue to attract our attention:
- ◆ **Diversity:** We aim to integrate the best principles of diversity into the management of our staff, as well as into our inspection practice. We devise and implement a separate annual plan for this purpose.
  - ◆ **Project Management:** We have recognised the importance of project management as an essential skill that enables us to devise new programmes, and revise old ones, while we continue to implement existing commitments. Therefore we have adopted Prince2 methodology, identified Andy Bonny as our Project Manager, and trained other staff to work more effectively with him.
  - ◆ **Report design:** We have been taking the opportunity to undertake a rethink about what our reports should look like. Shorter, plainer, crisper and more clearly presented reports are likely to be appreciated by Ministers and other readers, we believe, and each new or revised programme enables us to plan to move further in that direction.
55. Finally, we have previously said that when facing the prospect of major organisational change people will naturally have concerns. Our aim has always been that all our staff will be able to experience that we are delivering our programme of work effectively during the coming year, and are preparing positively for the future too. The future continues to look like a rapidly changing picture, so this is not easy - yet we believe that this underlying aim continues to hold good. That is the best platform that we can have, both collectively and individually, for making a success of ourselves in that future world.

**Summary:**

56. By the end of March 2007, we will have completed our schedule of inspections, including a number of Joint CJS inspections, on time, to budget and to a good standard. In doing so, we will have both maintained and developed our continuing long-term contribution to improving effective work with offenders and young people.

**Andrew Bridges**  
**HM Chief Inspector of Probation**  
**April 2006**

**APPENDICES (reference material):**

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

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

- report to the Home Secretary on the work and performance of National Probation Service and of Youth Offending Teams, 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 National Offender Management Service as it develops
- contribute to improved performance in the NPS, 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 Youth Justice Board, probation boards/areas and YOTs
- promote actively race equality and wider diversity issues in the NPS, NOMS and YOTs
- contribute to the overall effectiveness of the Criminal Justice System, particularly through joint work with other criminal justice and Government inspectorates.

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

**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 CJS and children's services objectives.

**HMI Probation Code of Practice**

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

- have the purpose of improving the service inspected
- focus on outcomes
- have a user perspective
- be proportionate to risk
- encourage rigorous self-assessment by the managers of the service inspected
- use impartial evidence

- disclose the criteria used to form judgements
- show openness about inspection processes
- have regard to value for money
- continually learn from experience

To achieve our purposes and meet these principles, we aim to:

- ▣ work in an honest, professional, fair and polite way
- ▣ report and publish inspection findings and recommendations for improvement in good time
- ▣ promote race equality and wider attention to diversity in all aspects of our work, including within our own employment practices and organisational processes
- ▣ minimise the amount of extra work arising for Probation Areas or Youth Offending Teams as a result of the inspection process.

While carrying out our work we are mindful of Ministerial priorities and the Strategic Plan for the Criminal Justice System. We work closely with other criminal justice Inspectorates through the Criminal Justice Chief Inspectors' Group, and also with Inspectorates involved with work with young people. In addition, through a Probation Inspection and Audit Forum, we work closely with the Audit Commission, the National Audit Office and the Home Office Audit and Assurance Unit.

**Extracts from *Reducing Crime – Changing Lives*, the Government's response to the Carter report:**

*A new approach is needed to ensure offenders are punished for their crimes, the public is protected and the appropriate help is available to reduce re-offending. This will ensure the system is focused on the ultimate goals of reducing crime and maintaining public confidence.*

*We agree with this vision which is entirely consistent with the reform programme we have been pursuing and the new sentencing framework created by the Criminal Justice Act ...*

*A New Approach to Managing Offenders*

*A National Offender Management Service should be established, led by a single Chief Executive, with a clear objective to punish offenders and help reduce reoffending. Within the service there should be a single person responsible for offenders. This would be separate from day-to-day responsibility for prisons and probation. This new structure would break down the silos of the services. It would ensure the end-to-end management of offenders, regardless of whether they were given a custodial or community sentence ...*

*... We will ... introduce a new National Offender Management Service (NOMS) with responsibility for both punishing offenders and reducing offending. The new service will provide end-to-end-management of offenders, regardless of whether they are serving their sentences in prison, the community or both.*

### **Government's Policy on Inspection in the Public Service: July 2003**

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

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

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

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

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

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

A significant element within our methodology is to interview and listen to the perspective of the offender or young person, and the parents of the latter.

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

We do not support the idea of offering 'inspection holidays' as a way of implementing this principle, but we strongly support the idea of varying intensity of inspection according to identified need. Hence we are conducting follow-up inspections only where a Probation Area falls significantly short of the required criteria, and in the new OMI programme we are focusing solely on *Risk of Harm* work. In the case of YOTs, the programme of interviews with managers and staff is tailored to the issues identified from our analysis of the cases examined during the first fieldwork week.

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

We do this partly by asking managers to submit evidence in advance of the inspection, to demonstrate that they have met the required criteria. Also, the criteria and guidance published on our website enable any practitioner or manager to assess his or her own practice at any time.

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

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

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

Our inspection criteria are published on our website.

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

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

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

- *Inspection looks to see that there are arrangements in place to deliver the service efficiently and effectively.*
- *Inspection itself should be able to demonstrate it delivers benefits commensurate with its cost, including the cost to those inspected.*
- *Inspectorates should ensure that they have the capacity to work together on cross-cutting issues, in the interests of greater cost effectiveness and reducing the burden on those inspected.*

We assess whether the interventions with each offender are proportionate both to cost and to the offender's individual need. We recognise that our methodology is (necessarily) labour intensive, and in March 2005 we published a case study that analyses both the benefits and the costs of an illustrative inspection, including the costs to the inspected body. We not only undertake joint inspections with other CJ inspectorates, but we also co-ordinate our other work to avoid, for example, rapidly successive visits by ourselves and another scrutiny body whenever possible. We are full members of the Local Services Inspection Forum (LSIF) and of its inspection database for this purpose because of our YOT inspection work, and we also maintain a databank for the Probation Inspection and Audit Forum to co-ordinate with Audit bodies our visits to Probation Areas.

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

We seek feedback on our individual interviews with the staff of inspected bodies, which we use to review and renew both our corporate and individual skills and methods. We have received corporate feedback on our Probation inspections as a whole, collected by the Probation Boards' Association. By these and other means we monitor our own impact on our inspected bodies, and keep our own practice under regular review, both as part of our normal programme, but also in joint work with other inspectorates.

## Financial Annex to HMI Probation Plan 2006/07: Summary of Activities

The first box below divides our work into 'Overheads' and 9 other 'Activities'. Each Activity has an allocation of 'Deployable hours', and some also have an allocation for fees. Deployable hours are the non-overhead hours of Inspection staff allocated to each Activity; they carry with them the relevant proportion of Management and Support service staff hours. Hence it can be seen how the allocations of Deployable hours, and of Fees, lead to the projected production of c100 reports in 2005/6 (but these are of a very wide range of scope indexed).

Code	Overheads	YOT Insp	OMI+F-ups	Joint CJ	Thematics	Supp Pple	Outo Eng&W	Indep Reviews	Othr	HMIP QA	TOTAL
Lead mgr	OVHD AMB	YOTI LC / JF	OMIC KW	THCJ AM	THSG LC	SUPP AM	OTEW AM	INRV AMB	OTHR AMB	HMQA KW	
Hrs not deployed	Hrs not deployed	4,400	500	500	250	600	-	750	1,000	-	8,000 hrs
HrsBudget		13,600	10,000	2,500	250	2,400	750	2,000	1,000	500	33,000 hrs
Total hrs		18,000	10,500	3,000	500	3,000	750	2,750	2,000	500	41,000 hrs
OUTPUTS:											
No: Insp		37	17	4	1	40	1	8	2	-	110

### HMI Probation Budget 2006 - 2007: Summary

Allocated budget for 2006/7	£3,400,000
Probable income from Audit Comm	
Possible income from outside England & Wales	£165,000
Projected total income (A in A)	£5,000
Transfer from YJCU for Attendance Centre inspection(s)	£170,000
<b>PROJECTED TOTAL HMI PROBATION BUDGET</b>	<b>£25,000</b>
	<b>£3,595,000</b>

### PROJECTED TOTAL HMI PROBATION BUDGET

Total cost of HMI Probation Managers	£540,000
Total cost of Inspection staff	£1,603,000
Total cost of Support Service staff	£395,000
<b>Total pay: (for 33k hrs)</b>	<b>£2,538,000</b>
Fee paid staff: (variations in costs per hour)	
YOTI Healthcare Commission: 1650 hrs at HC rates	£68,000
YOTI Ofsted: 1350 hrs at Ofsted rates	£58,000
YOTI Wales SSI: 600 hrs (nil for Estyn)	£21,500
YOTI HMI Prisons: 50 hrs	£5,000
THSG Attendance Centre inspection(s): 250 hrs	£9,000
SUPP Supporting People: 600 hrs	£21,500
All other work by Fee-paid Panel	£112,000
<b>Total Fees: (for 8k hrs)</b>	<b>£295,000</b>
<b>PROJECTED TOTAL HMI PROBATION PAY COSTS</b>	<b>£2,833,000</b>

Accommodation (inc fuel, utilities) - Trafford House	£125,000
RAS and IT (subject to decisions re options)	£56,000
Printing, repro, copiers, publications	£2,000
Refreshments / Hospitality	£6,000
Stationery	£33,000
Telecoms, Voice etc	£20,000
Postage, Freighting, Courier	£5,000
Training	£45,000
Travel & Subsistence (Subject of separate analysis)	£415,000
Promotion & Development (OCE)	£45,000

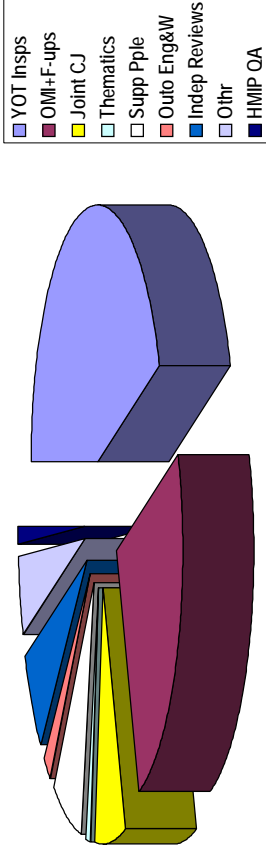
### PROJECTED TOTAL HMI PROBATION NON-PAY COSTS

	£752,000
<b>PROJECTED TOTAL HMI PROBATION NON-PAY COSTS</b>	<b>£752,000</b>

### PROJECTED TOTAL EXPENDITURE

	£3,585,000	£3,585,000
<b>PROJECTED TOTAL EXPENDITURE</b>	<b>£3,585,000</b>	<b>£3,585,000</b>

### Allocation of 'Total deployable hours'



**Notes:** YOT inspections, using 18,000 hours, constitute 44% of the Total deployable hours (Funded partly by 2003 budget increase, & partly by re-allocating our existing resources.) Offender Management Inspections in NOMS, using 10,500 hours, constitute 26% Joint CJIS inspections, and Supporting People, each take up 7%

#### Unit costs:

HMI Probation uses the Absorption method to calculate unit costs. Each deployable hour carries its share of the overheads for the Inspectorate as a whole. Hence the total cost per person-hour when inspecting can be calculated by dividing:

Total Planned Expenditure	3,585,000
Total deployable hours	41,000
to give a <b>Total cost per 'inspection hour' per person of</b>	<b>£87.44 per hr</b>