



**O**FFENDER  
**M**ANAGEMENT  
**I**NSPECTION  
INSPECTION

A report on Offender Management in  
**Humberside**

An inspection led by  
HM Inspectorate of Probation

ISBN 978-1-84099-189-5

March 2009

## FOREWORD

Humberside became a Probation Trust in 2008. We saw an impressive amount of partnership work at a strategic level which enhances the resources and services available to offenders. The Trust has performed consistently well against national targets over a number of years and is achieving good quality practice in the assessment of offenders and many aspects of planning to address reoffending. The offender management model is well understood and this helps committed staff to support offenders into a wide range of services and to achieve promising outcomes.

In order to achieve further improvements in managing the Risk of Harm posed to others, the Trust needs to match the quality of planning to the accurate assessments that we saw and to ensure that multi-agency structures are working properly. Work with the victims of crime is carried out to a good standard, but work with offenders to improve their awareness of the impact of offending on victims is not done often enough.

Managers in the Trust are very well regarded by their staff and strategic partners and this puts Humberside in a strong position to respond to the findings in this report.

### ANDREW BRIDGES

HM Chief Inspector of Probation

## ACKNOWLEDGEMENTS

We would like to express our thanks to the Humberside Probation Trust Board, its managers and staff for the considerable assistance received in enabling the inspection to proceed smoothly. Without their help, most especially in arranging a complicated programme of interviews with offender managers, the work could not have been completed successfully.

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.

*HM Assistant Chief Inspector: Krystyna Findley*

*HM Inspectors: Helen Boocock, Melva Burton, Sally Lester, Yvonne McGuckian, Tony Rolley, Ian Simpkins, Joseph Simpson, Rory Worthington*

*Practice Assessors: Sarah Ashworth, Stephen Hubbard*

*Ofsted Inspectors: Susan Bain, Julie Pomone*

*Information Manager: Kevin Ball*

*Inspection Admin Officer: Liam Murphy*

*Publications Team: Rachel Dwyer, Alex Pentecost*

*Area Assessors: Tara Campbell, Darran Cook (Reserve), Kirsty Corkhill, Julie Edwards, Felix Hodcroft, Sonia Leake*

## CONTENTS

	<b>Page</b>
LIST OF ABBREVIATIONS/ACRONYMS	4
SUMMARY	5
SUMMARY OF SCORES	6
RECOMMENDATIONS FOR IMPROVEMENT	9
NEXT STEPS	9
SHARING GOOD PRACTICE	10
SERVICE USERS' PERSPECTIVE	12
<b>1. ASSESSMENT AND SENTENCE PLANNING</b>	<b>14</b>
1.1 General Criterion: PREPARING FOR SENTENCE	14
1.2 General Criterion: ASSESSMENT OF RISK OF HARM	15
1.3 General Criterion: ASSESSMENT OF LIKELIHOOD OF REOFFENDING	16
1.4 General Criterion: ASSESSMENT OF OFFENDER ENGAGEMENT	17
1.5 General Criterion: SENTENCE PLANNING	17
<b>2. IMPLEMENTATION OF INTERVENTIONS</b>	<b>20</b>
2.1 General Criterion: DELIVERING THE SENTENCE PLAN	20
2.2 General Criterion: PROTECTING THE PUBLIC BY MINIMISING RISK OF HARM	22
2.3 General Criterion: VICTIMS	23
2.4 General Criterion: ENSURING CONTAINMENT AND PROMOTING COMPLIANCE (Punish)	24
2.5 General Criterion: CONSTRUCTIVE INTERVENTIONS (Help and Change)	26
2.6 General Criterion: RESTRICTIVE INTERVENTIONS (Control)	27
2.7 General Criterion: DIVERSITY ISSUES	27
<b>3. ACHIEVEMENT AND MONITORING OF OUTCOMES</b>	<b>29</b>
3.1 General Criterion: ACHIEVEMENT OF INITIAL OUTCOMES	29
3.2 General Criterion: SUSTAINABILITY OF PROGRESS	30
<b>4. LEADERSHIP AND STRATEGIC MANAGEMENT</b>	<b>32</b>
4.1 General Criterion: LEADERSHIP AND PLANNING	32
4.2 General Criterion: PERFORMANCE AGAINST NATIONAL AND REGIONAL TARGETS	35
4.3 General Criterion: RESOURCE DEPLOYMENT	36
4.4 General Criterion: WORKFORCE PLANNING AND DEVELOPMENT	38
4.5 General Criterion: REVIEW AND EVALUATION	40
4.6 General Criterion: COMMISSIONING OF SERVICES	40
APPENDIX 1 Integrated Probation Performance Framework	43
APPENDIX 2 Contextual information	44
APPENDIX 3 Inspection model, methodology and publication arrangements	47
APPENDIX 4 Scoring approach	48
APPENDIX 5 Role of HM Inspectorate of Probation	49

## LIST OF ABBREVIATIONS/ACRONYMS

ACO	Assistant chief officer
CDRP	Crime and Disorder Partnership
CEO	Chief executive officer
COVAID	Control of Violence for Angry Impulsive Drivers
DIP	Drug Intervention Programme
DRR	Drug rehabilitation requirement
EEM	European Excellence Model
ESOL	English for Speakers of Other Languages
ETE	Employment, training and education
FDR	Fast delivery report
HCJB	Humberside Criminal Justice Board
HMI Probation	Her Majesty's Inspectorate of Probation
HMP	Her Majesty's Prison
IDAP	Integrated Domestic Abuse Programme
IPPF	Integrated Probation Performance Framework
LAA	Local Authority Agreement
LCJB	Local Criminal Justice Board
LSCB	Local Safeguarding Children's Board
LSP	Local Strategic Partnership
MAPPA	Multi-Agency Public Protection Arrangements
MoJ	Ministry of Justice
NOMS	National Offender Management Service
NSOG	Northumbria Sex Offender Programme
OASys	Offender Assessment System
Ofsted	Office for Standards in Education, Children's Services and Skills
OGRS3	Offender Group Reconviction Score <sup>3</sup>
OLASS	Offender Learning and Support Service
PCT	Primary Care Trust
PO	Probation officer
PPO	Prolific and other Priority Offender
PSO	Probation service officer
PSR	Pre-sentence report
REM	Race and ethnic monitoring
RoH	Risk of Harm
RoHAA	Risk of Harm Area Assessment
ROM	Regional offender manager
SDR	Standard delivery report
SFO	Serious further offence
SMB	Strategic Management Board
SOVA	Supporting Others through Volunteer Action
SPO	Senior probation officer
SSO	Suspended sentence order
TPO	Trainee probation officer
ViSOR	Violent and Sex Offender Register
VLO	Victim liaison officer

## **SUMMARY**

### **Assessment and Sentence Planning**

Reports for court contributed positively to the sentencing process. However, the pressure on agencies to ensure speedy justice had resulted in a number of reports where inadequate assessment was undertaken before sentencing proposals were developed. A thorough and accurate assessment of the likelihood of reoffending was found in most cases and included positive and supportive factors. Whilst Skills for Life screenings were carried out routinely, it was disappointing that a referral for full assessment was undertaken in only half of eligible cases. This was in spite of a good range of educational provision and systems to support offender participation. Offender managers actively assessed potential barriers to effective supervision and put measures in place to address them, e.g. transport or use of interpreters. Sentence plans tended to be completed on time and planned contact levels were appropriate. The quality of the written document was often unlikely to be meaningful to offenders. However, most plans did identify what work would be done to reduce reoffending and to address the Risk of Harm.

### **Implementation of Interventions**

We found a high level of commitment amongst offender managers, keyworkers and partnership staff to their work with offenders. We found a good level of communication between staff and with offenders. There were systems to support offenders, including the use of three-way meetings with staff and the assignment of a volunteer mentor; these made it more likely that an offender would participate and benefit from supervision. The review of sentence plans improved on the original document and most objectives had been fully implemented. The quality of liaison between offender managers, prisons and prisoners was mixed. However, we saw some excellent examples of prisoners being moved to access programmes or to be in the local prison to prepare for release to specialist provision. Work with the victims of crime in statutory contact cases was carried out to a good standard. Conversely, work to improve offenders' awareness of the impact of offending on victims was often lacking. There was an impressive Prolific and other Priority Offender Scheme that combined high levels of supervision with resources to address offending-related need, e.g. substance misuse. Whilst most of the projects undertaken on unpaid work were of benefit to the community, opportunities to develop the skills of offenders and increase employability were often missed. Those offenders residing in a probation hostel benefited from a good range of both restrictive and constructive measures.

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

Most offenders had not been cautioned or convicted of an offence since sentence and had complied with the requirements of their sentence. There was a high level of achievement in some of the educational provision. Achievement of sentencing objectives was strong in most cases with 'change' being the most difficult to achieve. There was a good level of offender manager continuity and a presumption that the pre-sentence report author would manage any resulting case.

### **Leadership and Strategic Management**

Humberside had become one of the first wave of probation trusts in 2008. Liaison arrangements with sentencers were satisfactory although levels of immediate and suspended custodial sentences were higher than the national average. There was an

impressive level of partnership work at a strategic level by Trust managers and representatives from other criminal justice and local agencies, e.g. health. This was effective at mobilising resources for offenders to prevent reoffending, e.g. in alcohol misuse and, in particular, the most complex high Risk of Harm cases. The Trust had invested in transport and in taking services to offenders to address the potential barriers of managing a partly rural area with poor transport links. Resources had also been targeted at other minority needs; these included specialist group work provision, interpreters and education for the small but growing communities whose first language was not English. Managers in the Trust were very well regarded by their staff and strategic partners. The Trust had performed consistently well against national targets over a number of years; it was evident that a performance culture was well embedded in the organisation. This was supported by the role of case administrator who had day-to-day responsibility for checking work against targets at a sub-team level. Offender management units were well resourced in terms of staffing levels and access to facilities for offenders. Almost all staff thought that their supervision and development needs were well met.

### **Risk of Harm**

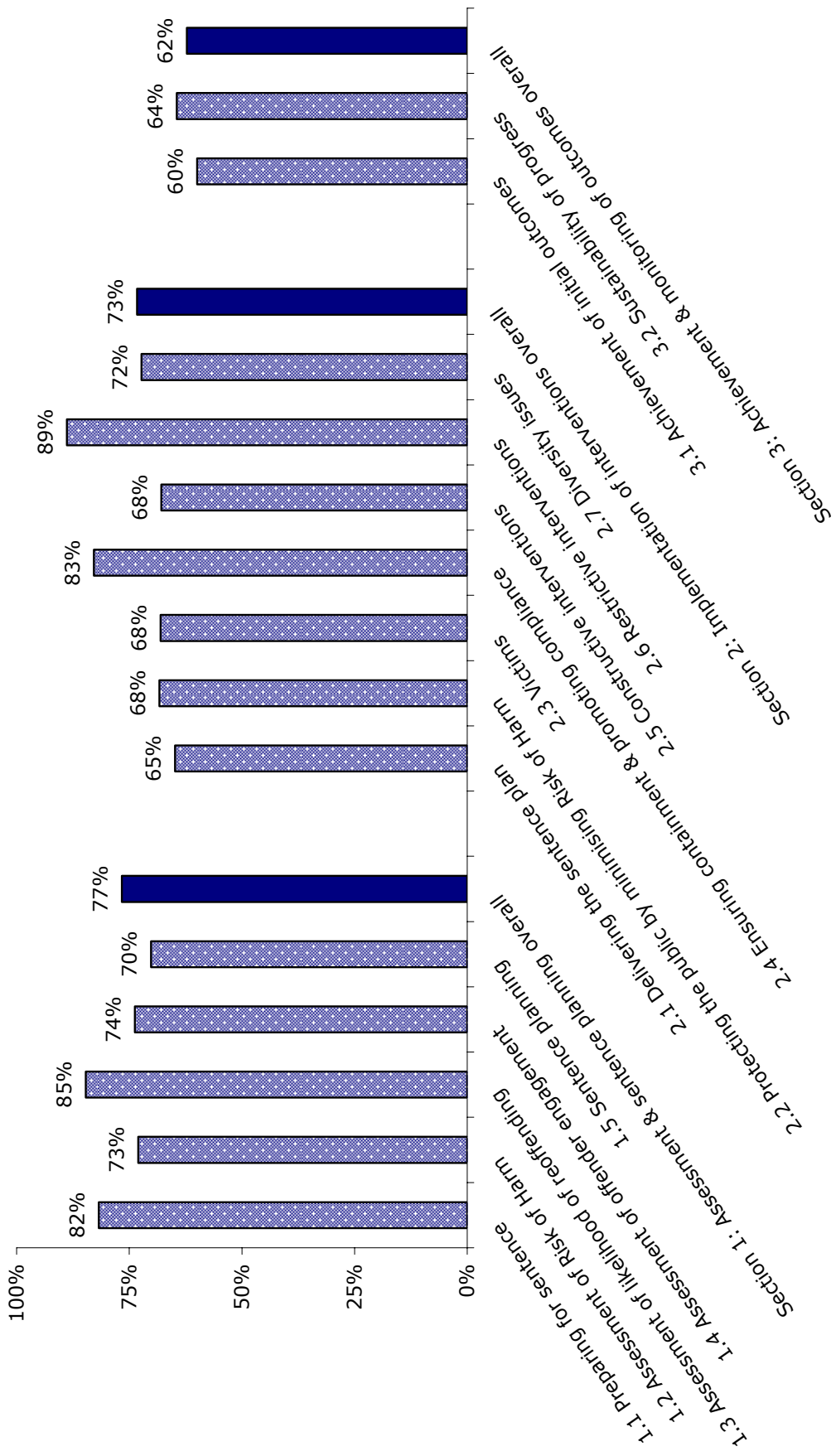
In almost every case a Risk of Harm screening had been carried out. The quality of analysis was satisfactory in most cases and the classification accurate. There were gaps evident in the routine use of information about the safety of children, victims generally and in domestic violence cases; these had a negative impact on the quality of assessments. We did find some very good examples of Risk of Harm management plans, although many others were not comprehensive. Offender managers were good at reviewing the Risk of Harm as scheduled, but less good at responding to changes with an extra review. Multi-Agency Public Protection Arrangements were well supported by the relevant agencies that were willing to commit significant resources to manage complex cases safely. However, there were concerns that a number of cases being managed at Level 1 needed the oversight provided by Level 2 and that there was an over-reliance on the probation service in these cases. It was also of concern that the quality of planning to address the Risk of Harm at the review stage was less good than at the initial plan stage. Good use had been made of licence conditions to restrict potentially dangerous behaviour and these were monitored well. Overall, we found that the public had been better protected across a range of measures during supervision and there was evidence of a dynamic approach to Risk of Harm management and partnership working.

### **SUMMARY OF SCORES**

Outlined overleaf in Chart 1 are percentage scores for each Offender Management Inspection Criterion and for each of the sections 1-3.

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

**Offender Management Inspection: Humberside (December 2008)**



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

Each of the criteria in the Leadership & Strategic Management section has been graded below, according to the four-point scale described in Appendix 4.

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

**Table 2: Risk of Harm Thread**

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.

Score for Risk of Harm Thread	<b>73%</b>
-------------------------------	------------

Full details of our *Scoring approach* are contained in Appendix 4.

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.

## **RECOMMENDATIONS FOR IMPROVEMENT**

Improvements are necessary as follows:

1. reports for court are of the appropriate type and are based on a full Offender Assessment System assessment where issues of Risk of Harm or complexity are apparent
2. arrangements are in place to ensure routine access to information about the safety of children and potential victims of domestic abuse
3. the analyses of Risk of Harm and subsequent management plans are consistently completed comprehensively and accurately, including the routine use of information from the Violent Sex Offender Register
4. work to increase the awareness of offenders about the impact of their offending on victims is carried out in relevant cases
5. plans and reviews reflect accurately the work to be undertaken in individual cases
6. the Trust can demonstrate that all Multi-Agency Public Protection Arrangements cases are managed at the correct level and that Integrated Domestic Abuse Programme cases are managed within appropriate arrangements.

## **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 Humberside.

## SHARING GOOD PRACTICE

Below are examples of good practice we found in Humberside.

<p><b>Effective teaching methods:</b></p> <p><b>OMI Criterion: 1.4</b></p> <p><b>Assessment of offender engagement</b></p>	<p>The tutors we observed at Hull Adult Education classes used a particularly effective balance of whole group and individual teaching. Whole-group introductions to lessons were focused and stimulating. They ensured a prompt start to sessions and learning readiness. In literacy and numeracy sessions, tutors began with a series of short, relevant and adult appropriate activities that promoted active discussion and encouraged engagement in problem solving, before moving seamlessly to the main topic of the lesson. Offenders were fully engaged from the start of the session, found the activities enjoyable and were prompted to think deeply about the key learning points.</p>
<p><b>Effective use of MAPPA in a complex case:</b></p> <p><b>OMI Criterion: 2.2</b></p> <p><b>Protecting the Public by Minimising RoH</b></p>	<p>A young offender with a long record of violent offences was currently being supervised on licence for an offence of rape. He had significant learning difficulties and had been a Looked After Child; both of these factors had contributed to his criminal behaviour. His offender manager had worked actively with him over several years in prison. Through MAPPA Level 3 she had harnessed an excellent care and control package for release, combining many services including an adult placement scheme and the police. This was an excellent example of what could be achieved when agencies work together to support people who are both dangerous but also vulnerable, whose needs for care link directly to potential for further harm.</p>
<p><b>Interventions take account of offenders' diversity issues:</b></p> <p><b>OMI Criterion: 2.7</b></p> <p><b>Diversity Issues</b></p>	<p>An offender manager completed pre-group work sessions with one offender and then had regular appointments with him (in excess of National Standards) to reinforce his learning and provide support. Through this, and her excellent liaison with interventions staff, problems in the offender's ability to take on board and retain information were highlighted. Following discussion with the SPO, the offender was taken off the group to be returned to complete it at a more appropriate point in his order. Subsequently the offender manager arranged one-to-one tuition with Your Place to undertake confidence building and improve literacy skills, so that he was able to engage fully in the group later.</p>

**Allocation of resources consistent with RoH and likelihood of reoffending:**

**OMI Criterion: 3.1  
Achievement of Initial Outcomes**

In a PPO case, meaningful sentence plan objectives were set for the custodial element with a clear view of what could be achieved in prison and plans for the licence period. The offender manager and supervisor ensured access to offending behaviour work. The offender also gained employment in prison and achieved numeracy and literacy awards. On release the offender received at least four meaningful contacts per week and was given a weekly timetable of what to expect. An updated plan ensured that all his criminogenic needs were met and there was a sound balance between these and the control elements of his licence. Regular home visits, engagement with his mother, liaison with police regarding intelligence, as well as intelligent supervision all went towards the effective risk management of this case.

**Resources support effective offender management:**

**OMI Criterion: 4.3  
Resource Deployment**

The Trust had invested in a case administrator role to support each offender management cluster. They took responsibility for checking daily on the completion of a number of key targets, e.g. basic skills screenings and reviews. They also worked proactively to support offender management with prisons. Their roles supported the work of the cluster; the case administrators we met had a 'can do' attitude that ensured that anything they 'could do' would get done.

**Alcohol services for offenders:**

**OMI Criterion: 4.6  
Commissioning Services**

There was a recently agreed alcohol strategy that was comprehensive and used local OASys data and international research to support planning. Resources combined in-house commissioning with a partnership approach. The range of interventions was impressive, including medical and behavioural approaches, e.g. the use of COVAID, a specialist group work programme. We found many examples of the good use of this appropriate range of provision.

## **SERVICE USERS' PERSPECTIVE**

### **Offenders**

There were 60 HMI Probation questionnaires completed and returned by the 110 offenders in the inspection sample, including six of the ten offenders in the custody sample. All of the prisoners had had contact with their offender manager and four had received visits. The five who responded that they had a sentence plan had felt involved in its development. Three reported that they discussed their plan regularly with their prison based supervisor and two felt that their offender manager had been supportive. Four replied that they had had assistance with ETE issues in prison, also with substance misuse and health problems. Two commented about their frustration at the inability of the prison establishment they were in to provide the offending behaviour programmes they needed to undertake in order to progress through the system.

More than half of those being supervised in the community had been released from prison on licence; two thirds of these reported that they had been visited by their offender manager. All but two were clear about the rules relating to their supervision on licence or community order and most recalled a meeting with their offender manager to discuss their sentence plan. The offenders' views about the impact of supervision were mainly positive; only one reported that they had not had a positive relationship with their offender manager. The majority believed they were more likely to think about the impact of crime on victims and less likely to reoffend than before.

In addition to the questionnaires inspectors were able to meet 64 offenders.

Inspectors visited the two approved premises in Humberside and interviewed five offenders, all of whom were on licence. There had been a mixed experience of contact with their offender manager pre-release. Only one resident was positive about contact and involvement in planning. Three had not been aware that they were to be directed to live in a hostel until just before release. All said that they had been apprehensive about living in the premises, but once there they felt safe and were happy with the level of support received. The residents were positive about the regime in both premises. They thought that the rules were clear and enforced fairly. They knew that they were under scrutiny, but also appreciated the resources aimed at helping them to develop skills. Both premises offered a positive programme of activity including work on education, training and employability plus budgeting and cooking, drugs and alcohol. They were positive about the key worker staff in the premises and the level of contact with their offender manager. All were engaged in work to address their offending behaviour and some thought that this had had a positive impact on their ability to think about the impact of offending on victims. All were at the stage of considering moving out of the approved premises, but even though they were being assisted by staff, they were all experiencing difficulty in securing suitable accommodation.

Ten offenders undertaking unpaid work were interviewed on two work sites. All were clear about the rules in relation to attendance and behaviour, and about the consequences for breaching them. One offender had already been breached; he thought that this had been a reasonable response to his non-attendance. Between them they had worked on a number of group projects. They could see the benefit to the community in all of them, e.g. cleaning a community centre, tidying a cemetery and working on allotments. None of those interviewed by inspectors thought that the work helped them to develop skills or gave them an opportunity to contribute skills they already had to a particular project. Work was often boring and some reported that there was often insufficient work to fill the hours allotted. One was aware of the possibility of undertaking skills training as part of their unpaid work hours, but nothing had been arranged. Whilst they could all understand why they were there and most

reported that staff treated them fairly and with respect, they were otherwise negative about the experience. This was a less positive view than the one found in the Trust's recent end of unpaid work order survey where 45 of the 71 offenders completing it said that they had learned new skills.

We met nine offenders in two accredited programmes sessions: one for dealing with anger and the other for sex offenders. They were much more positive than those on unpaid work requirements about the value of what they were doing. Several were able to reflect on situations where they had stepped back from reoffending as a consequence of what they had learned on this programme. They were positive about the programmes staff and liaison between them and their offender manager. Several were also benefiting from other educational opportunities and, in one case, work to address dyslexia.

### **Victims**

Three of the 20 questionnaires that we sent to victims of offenders in the sample were returned. All had taken up the offer of having contact with the probation service during the offender's sentence. They reported that they felt they were listened to and that there had been a good level of attention to their safety in relation to the offender.

Five victims of crime came to meet inspectors and were interviewed either individually or with a family member. All were as positive as the respondents to the questionnaire. They were satisfied by the level of contact and information received. Two had been consulted about licence conditions and felt that they had been listened to. In two cases the VLO had intervened to protect the victim on learning from them that the offender in their case had breached prison rules in one case and licence conditions in another. In the latter case, the offender had been recalled to prison.

### **Courts**

The Probation Trust had undertaken a sentencer survey earlier in 2008 that had used most of the questions that are posed in the usual HMI Probation questionnaire. To avoid duplication we used their returns so were able to access feedback from 181 sentencers from all of the magistrates' courts in the area. There was a high rate of satisfaction with both standard and fast delivery PSRs. Almost all thought the reports were useful to them in reaching a sentencing decision.

All but three sentencers were satisfied with the competence of probation staff working in court. Most were satisfied with the extent to which cases were breached, although 32 thought that some cases should have been breached sooner.

Sentencers responded that, in general, they were content with the way in which they were kept informed by the service about its work. Those who had been involved were also satisfied with the role of probation liaison meetings.

# 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) There were PSRs in 47 of the 60 community orders in the sample. In all of the reports where the court had indicated the level of seriousness, this was taken into account. In the 2008 sentencer survey, undertaken by the Humberside Probation Trust, 181 magistrates had responded; almost all were satisfied with the overall usefulness of both SDRs and FDRs.
- (b) All of the reports were produced within the courts' timescales. Most of the SDRs were thought to be suitably concise, written objectively and to be factually accurate. A clear proposal was made in 91% of reports and proposals for community sentences were followed in 82% of cases. Appropriate victim information was included in 72% of reports and an outline sentence plan in 68% of relevant cases.
- (c) There were reports in three of the six PPO cases in the sample. All clearly outlined the seriousness of the offence and likelihood of reoffending. Two contained a clear and proportionate proposal. One had identified the offender as a PPO, which was contrary to guidance.
- (d) Within the custody sample, two offenders had been identified at the sentencing stage as presenting a risk of self-harm. This was communicated effectively to prison staff.

### Area for Improvement:

- (a) In two of the 47 PSRs, an FDR had been completed where the national guidance indicated that an SDR was required. In a further six cases there was an oral report only where an SDR was required. In all eight cases the level of RoH to the public and/or need linked to the likelihood of reoffending justified a full assessment. It was not possible to tell from the file whether a request had been made to adjourn for a full report. Domestic violence was the most common factor not fully assessed and a community order with unpaid work as the sole requirement the most common outcome. In most of these cases the issues were eventually identified, but without a supervision requirement there was little staff could do to rectify the position. Several offenders went quickly into breach.

### Conclusion:

This criterion represents a priority for improvement.

**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.*

**73%**

**Strengths:**

- (a) In all but five cases there was a RoH screening. Most of these were completed on time and 82% were accurate.
- (b) The quality of RoH analysis was satisfactory in 77% of the cases where one had been completed. We were satisfied with the accuracy of the assessment of RoH to all categories of adults (the public generally, known adults and staff) in over 90% of cases. They were slightly less accurate in relation to children however, as nine (14%) were found to be inaccurate.
- (c) An accurate RoH classification was found in 94% of assessments. The level of RoH was clearly communicated in the record in all but one case. The level of management through MAPPA was also clearly recorded in all but two cases.
- (d) There were 65 cases that required a RoH management plan, which was found in all but four of them (three community and one licence case). Almost all were structured according to the required format. They also tended to include extra local standard headings summarising the current position and addressing the need for a contingency plan. In the eight community orders classified as posing a high RoH, seven of the plans had been completed within five days of sentence.
- (e) Twelve cases in the sample had been referred appropriately and successfully to approved premises. We saw examples of how this was used positively as part of a RoH management plan, e.g. with a requirement to report to the premises at specified times during the day over and above the standard curfew period so as to monitor activity more closely.

**Areas for Improvement:**

- (a) A full RoH analysis was completed in 74% of cases where one was required. However, in eight cases the analysis had not been done and there was no acceptable explanation for this.
- (b) In 31% (24) of cases where there was information from other sources available to inform the RoH analysis, it had not been used. The most common gap was the routine use of information held in ViSOR and the Trust was aware of this. There was no agreed procedure for checking with Children's Services about the safety of children in every case. Gaps were also evident in the ability of offender managers to check with the police about safety in some domestic violence cases. Whilst the police offered information in the 150 most serious cases, there was some confusion expressed by offender managers about whether they could make checks in other cases. Victims' issues were not fully addressed in 33% (27) of relevant cases.

- (c) We found the quality of the RoH management plans quite mixed. They were assessed as comprehensive in 39% of community orders, 30% of custody cases and 52% of licence cases. Whilst the total RoH thread score had improved slightly, these scores suggested that statistically no progress had been made in the overall quality of RoH management plans since the RoHAA in April 2008. However, we did read some very good plans that described effectively the work planned to address the RoH, which were also linked clearly with the sentence plan. Some included a contingency plan that was specific to this offender rather than a catch all 'breach' or 'recall', which was a passive approach, ineffective in managing the RoH.
- (d) In six of the 20 cases (30%) assessed as posing a high RoH to the public we found that there had not been effective middle or senior management involvement in the assessment. This was also the case in a slightly higher proportion of the cases with a child safeguarding element: 11 cases (38%) without effective management involvement. The latter cases were often appropriately assessed as posing a medium RoH. They did not require automatic referral for countersigning and offender managers had not taken the initiative to refer them to a manager.

**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.*

**85%**

**Strengths:**

- (a) An OASys score, or where one was not required, an OGRS3 score was calculated in all but six cases in the sample. It was completed on time in 82% of them.
- (b) Criminogenic factors were accurately and comprehensively assessed in 80% of cases. The main gap was similar to the issue identified above of not drawing on other potential sources of information in 19 cases at this stage. Positive and supportive factors were identified in 90% of the cases where they existed.
- (c) OASys had been completed comprehensively and on time in all of the PPO 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.*

**74%**

**Strengths:**

- (a) There were good systems in place to ensure that basic skills screenings took place and this had been achieved in 81% of cases in the sample. Dedicated Skills PSOs had responsibility for the initial assessment of offenders, identifying suitable support and making appropriate referrals. It was surprising to discover that in spite of the resources available, only 50% of offenders assessed as requiring a full assessment had had one undertaken.
- (b) We found that overall the quality of assessment of offender engagement was good in 69% of cases. Offender managers accurately identified the offender’s level of motivation and capacity to change.
- (c) In 72% of cases there was evidence of active assessment of factors that might prove to be a barrier to successful supervision. Such factors were present in 70 cases and these had been identified in 61 of them. It was a clear strength that plans were put in place to minimise their impact in 84% of these cases. There was evidence of offender managers making good use of the resources available to them, e.g. the mentors available to support offenders with learning needs in formal classes or in accredited programmes. We found a good level of resources employed by the partners providing ETE for offenders to diagnose and address learning disabilities, including dyslexia. Travel was a major issue in large parts of the county and this tended to be taken into account and addressed by offender managers.

**Area for Improvement:**

- (a) Offender managers were less good (59%) at using the assessment of offender engagement as the basis for determining which methods were most likely to be effective at reducing reoffending.

**Conclusion:**

Performance against this criterion was good.

**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.*

**70%**

**Strengths:**

- (a) The Trust had modified the national guidance on tiering. We found that 93% of offenders had been allocated to the correct tier so found

no incompatibility as a consequence. Planning reflected the purposes of sentencing in 86% of the sample.

- (b) Offenders were allocated to an offender manager within the required timescales in all but three cases. There was a presumption that the PSR author would take the case if that was practical.
- (c) In 72% of relevant cases in the community consideration was given in the sentence plan to restrictive licence conditions or community order requirements, e.g. curfew aimed at minimising the RoH to others.
- (d) The sentence plans most likely to be effective were in DRR cases and/or for offenders classified as PPOs. Plans set out what was expected to happen and in a way that was understandable to the offender.
- (e) In community orders, plans were completed on time in 70% of cases. Where available, 77% of these drew on other available assessments. Planned contact levels were appropriate in 87% of cases and who would deliver an intervention was clear in 74% of them. In 67% of the community sample all arranged contacts were enforceable. Humberside operated a policy that most ETE work would be undertaken on a voluntary basis; this was seen as being more likely to encourage participation. In six of the custody cases the sentence plan stated clearly which elements would be delivered in custody and which on release.
- (f) Despite reservations about aspects of planning, most plans in Tier 3 and 4 cases (87%) did identify an intervention that was likely to address offending behaviour. In 78% of medium and high RoH cases the planned intervention was judged likely to reduce or contain the level of RoH. In just over two thirds of cases, interventions met the sentencing requirements of 'punishment' and had the potential to promote community reintegration.
- (g) It was clearly routine practice to ensure that offenders understood the requirements of their sentence and the penalties should it be breached: 96% and 93% respectively. There was also evidence of offender participation in the planning process with 75% either completing the self assessment questionnaire and/or signing a paper copy of their sentence plan.

#### **Areas for Improvement:**

- (a) With the exception of DRR and PPO cases the quality of the written sentence plan undersold the quality of the actual work planned. For instance, roles and responsibilities were clearly defined in only 66% of plans yet we saw in action and recording the Offender Management and Interventions Protocol where the responsibilities of offender managers and keyworkers (supervisors) and administrators were set out and most often carried out as defined.
- (b) In only 56% of cases in the sample could initial sentence plans be said to give a clear shape to supervision. They tended to be written

in a way that would not be understandable to most offenders. The Trust had developed a set of suggested objectives for each criminogenic factor. Some staff however were not selecting one objective per issue as intended from these options, but were copying all possible objectives for each issue. This meant that we saw up to ten objectives for each factor which was not useful. It was not surprising that we found meaningful goals set in only 49% of cases. Where 'change' should have been the goal, i.e. in all but Tier 1 cases, this had been identified in 63% of them. Some of the learning plans compiled by ETE partners were equally vague. Examples included 'learn as much as he can' with no specific milestones. In addition, sentence plans did not sufficiently cross-refer to the RoH management plan: only 47% of the community sample did so.

- (c) Timing and sequencing of planned interventions was satisfactorily addressed in only around a half of relevant cases.
- (d) Diversity was not addressed well in 44% of plans relating to offenders where an issue had been identified. There was evidence in the record of contact and in discussion with offender managers that they had built in measures to support offenders in overcoming barriers to completing supervision, e.g. in relation to travel, mental health and substance misuse, but this was not evidenced in the plan itself.

**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.*

65%

#### Strengths:

- (a) Overall we found the quality of the delivery of the sentence plan was satisfactory in approximately two thirds of cases. Some of the weaknesses identified in planning were rectified in delivery, e.g. in the appropriate sequencing of interventions. We saw cases where offender participation in an accredited programme was delayed or stopped then restarted so that their learning needs or substance misuse could be addressed first. Most offenders on licence had undertaken work in prison on offending behaviour or criminogenic need and in 84% of cases this was developed on release. This included sex offender relapse prevention work and progressing plans in relation to ETE.
- (b) In 74% of cases offenders were prepared thoroughly for interventions. There was a good system for identifying a keyworker for each offender undertaking an intervention in addition to supervision. Arrangements were sensitive to the need to inform and motivate offenders. For example, offenders were accompanied to the first session of education classes by a member of staff. They had three-way meetings with their offender manager and programme tutor prior to attendance at the first group session. In addition volunteer mentors were available to support everyone undertaking ETE and for others, e.g. in programmes if the need was identified. Evidence of offender managers reinforcing new skills, e.g. in post programme discussion, was found in 63% of relevant cases.
- (c) There was good communication evidenced between the offender manager and other workers in 75% of relevant cases. Communication between workers and between the offender and all staff was seen to be positive in 73% of cases in the sample. This was often most evident in complex cases where the offender manager coordinated resources pre-release then managed residence at an approved premises plus accredited programme participation for example. Where a VLO and women's safety worker were involved in a case we saw a high level of communication between them and the offender manager to highlight and manage the risks in domestic violence cases.
- (d) Discussion with offender managers and keyworkers made it clear that this was a group of staff firmly committed to their work with offenders. Their enthusiasm and warmth was evident as they discussed how they managed to engage with offenders; we found this in 85% of cases. In 69% of cases we saw how they motivated and supported the offender throughout their sentence. They were less good at recording how they reinforced positive behaviour

(57%), but could often give examples of what had been covered during appointments with the offender during the life of a programme or other intervention.

- (e) There were reports prepared in seven out of the ten custody cases, e.g. parole reports. Five were produced on time, were clear and thorough and incorporated accurate RoH assessments.
- (f) Reviews were more likely to integrate information from other sources, e.g. MAPPA meetings and learning plans, than the original plans; this was the case in 73% of reviews.
- (g) All sentence plans had been fully implemented so far in 81% of cases. We were not made aware of significant waiting times for programmes.
- (h) Six offenders in the sample had been transferred into Humberside. Four had arrived with an up-to-date OASys including a RoH management plan. Two of the three high RoH cases had their plans reviewed and updated within five working days. All six were offered an appointment within five working days of the Trust being made aware of the offender living in the area.

#### **Areas for Improvement:**

- (a) Whilst the majority of plans were reviewed on time (83%) there was room for improvement in the quality, for example in 62% work with the offender could be seen to flow from the review and new plan. In only 35% did objectives and milestones give a clear ongoing direction. This was inevitable when plans were replicated rather than actually reviewed or updated. Evidence of trying to engage the offender with the plan was apparent at this stage in 55% of cases.
- (b) The quality of work to prepare prisoners for release was mixed. In only half of the licence and released custody sample was it satisfactory. However, we saw some excellent examples of cooperation between offender managers and prisons to move prisoners within the estate to prepare them for release. Examples included moves to other prisons to access programmes, e.g. Healthy Living and specialist sex offender work. Some were also moved to HMP Hull (the local prison) to facilitate contact with services to be used on release, including a specialist adult placement scheme similar to fostering for one dangerous and vulnerable offender.

#### **Conclusion:**

This criterion represents a 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.*

**68%**

**Strengths:**

- (a) Offender managers were good in most cases at reviewing the RoH to others as required by National Standards. 81% of cases in the community had been reviewed by four months from sentence and 88% were reviewed at least every four months thereafter. Nine of the ten prisoners had had their level of risk reviewed within 12 months of sentence as required.
- (b) Notwithstanding the area for improvement about MAPPA below, we saw some positive examples of how the arrangements could protect the public. In some complex cases there was a core group approach where the offender manager worked closely with one or two key agencies and reported back to the panel. In others we saw high levels of cooperation between the police and other agencies both in surveillance and in the developing use of risk management officers (police) to call on offenders without notice both to check on their activity and to motivate them to cooperate with supervision. Most impressive were the resources brought to the MAPPA table by partners including PCTs and prisons. We also heard from offender managers how a monthly 'risk clinic' established by an SPO was used to share practice and ensure cover during absence.
- (c) Seven of the offenders on licence had been recalled during supervision. We thought that these were all appropriate. In all but one of the cases, a clear explanation for the recall was given to the offender and efforts made to re-engage them subsequently.
- (d) In over 80% of cases where a home visit was required within ten working days in high RoH cases this was carried out.

**Areas for Improvement:**

- (a) Whilst most reviews were completed, the quality of planning to address RoH had deteriorated in all categories. Figures in brackets represent the proportion of satisfactory initial RoH plans. The quality of planning to address the RoH to: children 76% (86%), the public 83% (92%), known adults 71% (91%) and staff 71% (94%). In addition, offender managers were less good at responding to a change that ought to have triggered a review. Case administrators were effective at chasing the progress of planned reviews, but could not be expected to be pro-active in these cases. We found 33 cases in the community featuring such a change where only 52% were reviewed. Only three out of the six prisoners in similar circumstances had their level of RoH reviewed.
- (b) There were 27 cases in the sample that had been managed within MAPPA at some stage. In ten of these cases (37%) we found that MAPPA had not been used effectively. A number of these were cases inappropriately managed at Level 1 when they ought to have been

at Level 2. We saw evidence of cases moving between levels of management and offender managers calling on advice from the coordinator and his staff. Also there were a number of highly experienced SPOs supporting offender managers. However, these activities were being used as an alternative to Level 2 panels in some cases, not as additional support. Specifically, this was in relation to a number of high RoH cases with complex needs; whilst they were 'going well' the offender manager was left to manage the input of other agencies. In theory this was compatible with MAPPA guidance, but these were cases where the RoH management plan was not sufficiently robust to justify their management at Level 1 and which therefore placed an over-reliance on the probation service. We did find two cases that the offender manager was managing with SPO support only which required an urgent referral back to Level 2 or 3. Conversely, there was a decision in principle that all IDAP cases should be referred to MAPPA Level 2 around the start of the programme; this meant that we read a number of case files where this had been a mechanistic activity with no relationship to the current or potential level of RoH.

- (c) In 26 cases changes in circumstances did have an impact on the level of RoH posed. There were 12 where change could have been anticipated given the information available, but where it was not. In these cases the response was not sufficiently swift or appropriate to protect the public.
- (d) There was insufficient use of home visiting in potential child safeguarding cases. Visits were made in just over half of the relevant cases. There was a lack of awareness in some cases on the part of the offender manager about who was living in the household of adults whose behaviour caused concern. Checks were not always made with Children's Services or the police domestic violence unit.

**Conclusion:**

This criterion represents a priority for improvement.

**2.3 General Criterion: VICTIMS**

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

**68%**

**Strengths:**

- (a) In the cases where satisfactory measures were in place to protect known victims, we saw good practice by the Trust in conjunction with the police. In particular, services to protect victims of domestic violence were well developed.
- (b) There were 22 statutory victim contact cases in the sample. Most had taken up the offer of contact which had been achieved within the required timescales. Where relevant, all but one victim had been given the opportunity to give their views on potential licence conditions and had been kept informed of progress and eventual release in a timely manner. Those victims who completed the HMI

Probation questionnaire or who came to meet us were very positive in the main about the service they had received. They were able to give us examples how they felt that contact with VLOs had made a difference to their understanding of the criminal justice system and to how safe they felt.

**Areas for Improvement:**

- (a) There were 61 cases in the sample where there had either been a direct victim who still required protection, there was a potential victim identified or there were specific children’s safeguarding concerns. Whilst protection was offered to the majority through licence conditions, offending behaviour work or multi-agency plans was satisfactory, in 30% (18 cases) it was not.
- (b) Measures had been put in place following the RoHAA in April 2008 to improve victim-awareness work with offenders. Whilst we often saw this as an objective in sentence plans we found that offender managers had little understanding of the issues and that no plans were actually in place to address them. The majority of cases required work to address victims’ issues, but this had been undertaken satisfactorily in only 49% of them.

**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 almost every case there was evidence of a full and timely induction held on file. Clearly there were systems in place in the community and custody to provide this.
- (b) The frequency of appointments conformed to national standards in 95% of all those supervised in the community without including unpaid work. The frequency was lower but still at a satisfactory level to facilitate the requirements of individual sentences (87%), meet RoH considerations (84%) and support sentence plan objectives (72%).
- (c) Work sessions met the national standard in 90% of unpaid work requirements. We found that 86% of work placements were of clear benefit to the community.
- (d) There was an impressive PPO scheme. In all of the cases in the sample we saw enhanced levels of contact and a reporting level that

supported the objectives of the sentence. Cases were actively managed with a high level of staff input, including volunteer mentors and police risk management officers.

- (e) The Trust had invested in measures to support offender compliance at several levels. This had been successful: compliance was clearly monitored in 93% of cases and actively managed in 90%. Case administrators played a role in reminding offenders about appointments and following up missed appointments by text and telephone messages. Where offenders were engaged in an intervention as well as supervision, we saw a high level of contact between staff and the offender to support them into the intervention.
- (f) Judgements about the acceptability of reasons for absence and other offender behaviour were consistent and appropriate in 90% of cases. Where there was a need to enforce a curfew requirement, this was done effectively in 64% of cases.
- (g) Where breach or recall action was taken it was instigated within the required timescale in 93% of cases and breaches resolved within timescales in 89%.
- (h) Recording was clear and timely in most cases and records were well organised. Whilst there was sufficient information in most, there was also evidence of offender managers underselling the quantity and therefore quality of the work they had done in a number of cases.

#### **Areas for Improvement:**

- (a) In 22 of the 40 licence cases there was sufficient contact pre-release between the offender manager and prisoner to promote compliance on release. As noted earlier, there was some very good work amongst the 18 satisfactory pre-release cases.
- (b) There were seven cases where judgements about the acceptability of reasons for absence or about behaviour were not found to be consistent or appropriate. We had concerns about four of these where the offender manager had not accepted the reasons for absence or had judged behaviour to be unacceptable, but where a manager had intervened and not sanctioned breach or recall. In these cases we thought that the enforcement action should have proceeded.
- (c) Despite retaining some elements of Enhanced Community Punishment we found little evidence of placements being matched to the offender (55%). We saw and read no evidence of skills development on the job although some of the work had potential for this. Offenders with existing skills were not allocated to jobs where these could be used or where they could share them with others. Nor were offenders being referred for ETE opportunities as part of their hours in spite of the good range of provision available across the county. Work was often mundane and we were told by offenders who came to meet us that it often did not occupy the allotted time.

In case files the work was seen to be suitably demanding in 59% of cases.

**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.*

**68%**

**Strengths:**

- (a) Constructive interventions challenged offenders to accept responsibility for their offending behaviour and its consequences in 69% of the relevant cases. Where work was required on community reintegration issues, it was carried out in 83% of cases. The Trust had invested directly or through partnership arrangements to secure a high level of resources; this was most notable in relation to alcohol misuse.
- (b) In most of the DRR cases there was evidence that the offender manager prepared reports and attended review hearings as required.
- (c) Within the sample, 27 cases included an accredited programme requirement. In 63% of these the programme commenced as originally planned. In all but one of the exceptions there was an acceptable reason for delay which was often to address potential barriers to the successful completion of the programme, e.g. work on literacy or on mental health issues.
- (d) Nine of the offenders referred to approved premises had spent more than six weeks in residence. The experience was seen to be positive. Constructive interventions identified at the sentence planning stage and carried out included work on substance misuse, accredited programmes and ETE. Residents that we met in the approved premises told us how useful the various classes were. They had often undertaken skills development in prison and were encouraged to continue learning and to prepare for independent life through on-site provision for money management, literacy and numeracy and basic cooking.

**Areas for Improvement:**

- (a) Whilst the proportion of offenders accessing ETE provision was disappointing (56% of those assessed as requiring it), the level of provision available was impressive. We did read some positive cases where offenders who had spent time in prison were accessing classes, getting qualifications and some had gained employment.

- (b) In less than half of the custody cases was there evidence of liaison to preserve community or family ties either on reception or during sentence.

**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.*

**89%**

**Strengths:**

- (a) Where restrictive interventions formed a part of an order or licence we found that they had been monitored fully in 87% of cases. Every reasonable action was taken to minimise the RoH to the public in 83% of cases.
- (b) A period of residence in approved premises was seen to be an effective restrictive intervention in eight out of the nine cases.
- (c) Good use was made of licence conditions. They were seen to be comprehensive, necessary and proportionate to the RoH in 94% of the relevant cases. In 97% of cases we thought they were also proportionate to the likelihood of reoffending. In relation to the protection of victims, this was still positive at 85%.
- (d) All PPOs with substance misuse issues had an additional requirement in relation to addressing them.

**Conclusion:** Performance against this criterion was good.

**2.7 General Criterion: DIVERSITY ISSUES**  
*Full and proper attention is paid to diversity issues.*

**72%**

**Strengths:**

- (a) Overall, measures were put into place to address the diverse needs of individual offenders in 76% of cases where a need had been identified. All of the approved premises residents were seen to have needs catered for. We saw and heard of many examples of where offenders were provided with transport, were given a contribution towards transport costs or where interventions were delivered in an office near to them to facilitate access. Efforts were made in unpaid work placements to locate offenders from rural areas without transport near home and to accommodate local shift patterns. Despite the relatively low take up of ETE facilities we were impressed by the range on offer and the fact that in terms of timing and location they were accessible to most offenders. Several had taken advantage of the ESOL provision to assist them to get on in

life after the end of their sentence.

- (b) In the cases read we found that disability needs were catered for in 75% of cases; these included offenders with learning needs. Sex offenders with learning difficulties had been provided with the opportunity to attend the Adapted Sex Offender Treatment Programme rather than NSOG which was otherwise used in the area. In addition a number of programmes, tutors had had training in working with dyslexia. Mentors were available to assist offenders with learning needs in interventions.
- (c) The few offenders who found themselves as a singleton in a mixed setting had given informed consent to this and arrangements to support their engagement were satisfactory.
- (d) There was evidence on file that 90% of offenders in the sample had been informed that discriminatory behaviour would not be tolerated.

**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.*

60%

##### Strengths:

- (a) We found that the public had been better protected during supervision across a number of measures. There was evidence of a dynamic approach to RoH management and partnership working; offender managers were responsive to the need to increase restrictive measures in 16% of cases and a decrease in 6%. A number of children had their names included on or taken off the child protection register. There was movement into, out of and within MAPPA. In 29% of cases it was judged that there was a reduction in the threat to victims or potential victims. Whilst there was also evidence of cooperation with the police on domestic violence cases, there were seven such cases where it was not known whether there had been a call out linked to the offender's address during the life of the order or licence.
- (b) The proportion of offenders in the sample who had neither been cautioned nor convicted since being sentenced was 79%; this was slightly higher than those completing the HMI Probation questionnaire who thought that they were less likely to offend following contact with the Probation Trust. In addition there had been a reduction in the frequency of offending in 24% of cases and in the seriousness of offending in 11%.
- (c) In 67% of cases we found that offenders in the community had complied with all of the requirements of their sentence to date.
- (d) In addition to the impact on offending there was a clear benefit to the community in most of the unpaid work placements undertaken.
- (e) In 80% of cases OASys had been re-scored and there had been an improvement in 55% of these scores. In the factor linked to offending that had been identified as the highest priority there was progress in 49% of cases. Thinking and behaviour was the most common highest factor at 90%, followed by lifestyle and associates at 74%, attitudes at 70% and ETE at 66%.
- (f) Although there was room for improvement in the overall level of skills development, ETE providers and offenders engaged in learning told us about the achievement of awards. One offender was in the first year of a four-year level 3 vocational qualification, others had gained full time, permanent work as a consequence of work on employability. Some had completed Skills for Life during supervision then continued to learn on a voluntary basis, and had become Humbercare volunteers themselves. 80% of the offenders who attended OLASS-funded short vocational courses delivered through

SOVA, were successful and achieved awards.

- (g) Achievement of sentencing objectives was strong in most cases. 83% of the whole sample experienced 'punishment' and 67% in Tiers 2, 3 and 4 experienced 'help'. 'Change', always the most difficult objective was seen in 38% of Tier 3 and 4 cases. 'Control' was an objective for Tier 4 cases and this was evident in 74% of them.
- (h) The resource allocated to cases was consistent with the assessed level of RoH in 86% of cases and 90% of the time in relation to the likelihood of reoffending. The level of resources allocated to PPOs was good in all of the cases. Overall, resources were used efficiently to achieve the outcomes planned for 82% of offenders.

**Areas for Improvement:**

- (a) Evidence of an increase in awareness of the impact of offending on victims was seen in only 29% of relevant cases, although over 80% of those offenders completing the HMI Probation questionnaire reported that contact with the Probation Trust had resulted in them thinking more about the victims of their crime.
- (b) Learning outcomes and skills had improved in 39% of cases. Improvements in attitudes were seen in 31% of cases and in behaviour in 36%.

**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.*

**64%**

**Strengths:**

- (a) There was a good level of continuity of offender management in that 40% of cases had had one offender manager and a further 44% had had one change. This tended to be where the PSR author had not been in a position to take the order.
- (b) There was a good level of response to criminogenic need through awareness of community-based resources in 71% of cases who required it. Thought had also been given to the longer term in 66% of them.

**Areas for Improvement:**

- (a) For the reasons outlined in earlier sections, we found that structured sentence planning had been given a high priority in only 57% of cases.

- (b) Whilst we did see positive examples of offender managers working with offenders to consolidate their learning and reinforcing new skills, this was found in only 49% of cases in the overall sample.

**Conclusion:**

This criterion represents a 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) In April 2008 Humberside had become one of the first wave of probation trusts, working under a five year contract with the NOMS to deliver probation services. Its strategic business plan was for a three year period; it identified appropriate high level strategic aims supported by 'critical' objectives for the first year. Plans emphasised the maintenance of existing high levels of performance and set stretch objectives to address identified areas for improvement. These included a review of services for women offenders. Mechanisms were in place to review implementation and progress within the strategic leadership team and Trust Board.
- (b) Communication within the Trust was effective: 96% or all but three of the 72 individual offender managers interviewed by us said that they felt well informed about policies and procedures. This was consistent with findings from the summer 2008 staff survey across a wider staff group. The staff conference earlier in the year had been used effectively to develop ideas for the local plan to deploy funds made available at short notice by NOMS to reduce the prison population. Staff also spoke positively about the *Trust Times* – a monthly bulletin issued in the period leading up to receiving Trust status. This had had a staff-centred focus intended to address their concerns. There had been a response rate of 53% to the staff survey conducted shortly after this (a high response rate compared to other areas undertaking the same survey); 65% of respondents thought that change was managed well within the Trust and 77% that it was managed well within their team.
- (c) There were liaison arrangements with sentencers in place across the Trust. These included regular meetings with managers and standing invitations to visit probation offices and other facilities, e.g. unpaid work. The feedback from the 2008 sentencer survey had been overwhelmingly positive with only three of the 181 respondents indicating that they were not satisfied or very satisfied overall with the work of the Trust. However, despite this apparently positive relationship there had been a higher proportion of offenders sentenced to immediate and suspended custodial sentences than the national average up to the beginning of the financial year. As a consequence the funding identified in 4.1(b) had been focused on measures to improve services to and outcomes in courts including

- improvements in proposals in PSRs and skills training for court staff.
- (d) Humberside Probation Trust worked collaboratively within local structures to promote the prevention of reoffending. It was actively involved at a senior level within all four local authority areas. Strategic partners who came to meet us reflected positively on the 'connectivity' demonstrated by the various agencies; their view was that this had been achieved through strong and collective leadership. Examples given included the prominence of reducing reoffending as an LAA target in Hull. There had been an increased profile of the needs of offenders leading to better access to some key services, e.g. through recommissioning the DIP. That leaders from the PCT and local prison were actively involved in developing community-based strategies and resources for offenders was a testament to how positively partnership working had developed. The PPO scheme was well resourced and managed by partners.
  - (e) We were impressed by the contribution made by the Trust to partnership working across the county. Senior managers were stretched as they were not organised on a geographical basis, but they were seen to contribute positively to all of the relevant bodies. They were actively involved in all four CDRPs and LCJBs. The CEO chaired the HCJB Reducing Reoffending Group that brought together the four CDRP leads. One of the positive consequences was that we found more resources for dealing with alcohol misuse available to the local population, including offenders, than is often the case. Senior managers were members of Supporting People commissioning groups; whilst access to suitable accommodation remained a problem, offenders' needs appeared to be addressed as a priority group in some areas. There were two bodies established locally - the HCJB Diversity Panel and Hull Citizens' Panel that facilitated contact and consultation with communities in relation to criminal justice and other matters. The Trust itself made limited use of these resources, but benefited generally from participation – see 4.1(g) below.
  - (f) The positive approach to partnership work generally extended into public protection. The Trust was represented at appropriate levels within MAPPAs and LSCBs. We found evidence of productive cooperative working between all relevant agencies, both at individual case level and modelled at the strategic level. This included duty to cooperate agencies who were often absent from the MAPPA SMB and panels in other areas. Strategic partners reported that agencies were prepared to focus on the need to protect the public in individual cases rather than on their own organisational position. We saw examples of significant financial investment to achieve this, e.g. from the Hull PCT.
  - (g) The greatest challenge to the Trust in terms of diversity had been the geography of the county. In addition to large rural areas ill-served by public transport, the Humber river was a natural barrier to easy access around the county. The Trust had adopted a strategy of investment to ensure a good level of access to services for offenders in rural areas. This included provision of some offending behaviour programmes and drugs services for offenders subject to DRRs in

small offices. In addition, transport was provided directly for some programmes where no alternative was available. The offender transport policy also made provision for payment of fares in some cases.

Through the HCJB Diversity Panel links had been made with Poland, which was the country of origin of a significant number of Humberside residents. There had been exchanges of staff between Polish and Humberside probation teams over a number of years. Arrangements were in hand for a Polish member of staff to be seconded to the Trust in 2009 to assist with planning to meet the needs of offenders from these communities. The panel was managed by the Trust on behalf of the HCJB to promote multi-agency working and equalities. Each of the six criminal justice agencies was entitled to 100 hours of the 16 panel member's time per year. Tasks had included a 'mystery shopper' scrutiny of services (commissioned as an example, by HMP Hull) and recently an equalities impact assessment of the Offender Management Policy for the Trust. Assessment of the impact of policies for gender, ethnicity and disability was built into equalities action plans.

- (h) The Trust had built a user perspective into some elements of planning. Sentencer surveys had been undertaken for the last two years. There was evidence of progress in 2008 against areas identified for improvement in 2007. These included confidence in the ability of the Trust to supervise more serious offenders effectively. The HCJB Diversity Panel had been tasked with eliciting the views of residents about the type and location of unpaid work projects and had responded accordingly. In addition, consultation in relation to Community Payback had resulted in a number of projects in the north and south of the county.
- (i) Trust status had led to the agreement of a contract with NOMS to deliver probation services in Humberside. In some Trusts this had led to reports of tensions with the ROM as the new relationship settled down; this was not said to be the case in Humberside where the senior managers and Board reported a positive working relationship.
- (j) Managers in the Trust were very well regarded both by their own staff and by the partner agencies we met. 92% of the staff interviewed rated the professionalism of their managers highly, including 24% who thought it excellent. 95% thought they modelled positive leadership skills. Whilst there were some exceptions we were struck by how positive staff were generally about their work, their team and the organisation they worked for. 'Fantastic' was a description we heard several times.
- (k) There were examples of the Trust being receptive to the findings of outside bodies. In the summer of 2008 it had undergone an inspection of its RoH work by HMI Probation, called the RoHAA. We saw evidence that areas for improvement had been addressed in a relatively short time. In addition it had undertaken the EEM self assessment in 2007 and had addressed a number of areas for improvement through objectives in its Business Plan 2008/2009.

These included plans to update the staff supervision policy and to complete customer feedback surveys to provide baseline data improvement targets. We also saw evidence of the use of findings from the MoJ internal audit process to improve procedures in aspects of offender management generally and offender transport systems specifically.

**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**

<b>Summary of results for Humberside from the NOMS IPPF: April-September 2008</b>	
<b>IPPF domain</b>	
Public Protection	Good Performance
Offender Management	Exceptional Performance
Interventions	Exceptional Performance
Operational Capability, Resource Use and Strategy	Exceptional Performance
<b>Area score</b>	<b>Exceptional Performance</b>

Detailed results for each metric making up the above domains are at Appendix 1.

**Strengths:**

- (a) The Humberside Trust had performed consistently well against national targets over a number of years. Staff and managers reported to us that the performance culture was well embedded in the ethos of the organisation. There had been investment in an Information Services Unit led by the ACO for Knowledge and Quality. A comprehensive series of very detailed monitoring reports was routinely distributed by them to staff, managers and the Trust Board. We checked and found that staff did understand and use them. In some cases SPOs took responsibility for making them more digestible and they were expected to discuss them in team meetings. Results were broken down in such a way that performance could be identified by district.
- (b) There were a number of quality assurance measures and improvement groups in place. Investment had been made in the role of case administrators as part of each offender management cluster. They had oversight of the achievement of key targets by their offender manager colleagues and responsibility for a number of

administrative duties sometimes undertaken by POs and PSOs in other areas. This was a successful investment: it ensured that this detailed work was routinely undertaken and freed up offender managers to concentrate on the assessment and management of offenders. The OASys Quality Group took responsibility for reviewing the outcome of each quarter's audit plan results. It would address any need for improvement, taking experience of what had worked in one issue to address another. In addition there were staff who had a training and development role with new joiners and with offender managers who needed further coaching in specific elements of OASys.

- (c) Targets were routinely reported in such a way that the quality of work with women and black and minority ethnic offenders could be distinguished. In relation to OASys, whilst the number of such sampled cases was low, reflecting the proportion on the caseload, it was found that the quality of assessment was slightly higher overall for these groups.
- (d) Comparison was routinely made with probation areas in the region and nationally. There were examples of working collaboratively within the Yorkshire and Humber region to improve performance. Humberside had led the Regional Performance Improvement Project to address the poor and falling performance of the region against national targets from 2005/2006. Acknowledging that there were pockets of excellence in the region and elsewhere the project learned and documented the necessary processes that areas needed to adopt or adapt. By the end of 2007/2008 the region scored a green star, i.e. excellent performance overall.
- (e) Where gaps in performance were identified there was a standard approach to improvement. Managers and staff with responsibility for the area of work would collaborate with Information Service Unit staff to identify a solution and issue a briefing. The standard format included what we thought were 'user-friendly' headings: 'Why is it important?' and 'What are the benefits?' Solutions were issued promptly and were detailed. Those we saw included fully completing unpaid work requirements, recording and progress against national sentence plan outcome 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.*

**Well met**

**Strengths:**

- (a) Improvement in the number of offender managers had been achieved in recent months by employment of all of the TPOs qualifying in 2008. The role of case administrator has been mentioned in 4.2(b); there was currently a pilot project in

Scunthorpe to extend their work further into partial completion of OASys and elements of breach work. PO SDR writers were currently being allocated only one PSR per week and could opt to do another in their own time for payment of overtime. This not only cut down the level of what is always experienced as a burden by POs, but was seen as a gesture of management listening and of good will. As a consequence and unusually, we did not find offender managers telling us that they currently they had too much to do to prevent them producing quality work.

- (b) Offender managers generally had a good level of resources to draw on in their work. This was in part due to the successful approach to partnership work detailed in sections 4.1(e) and (f). Specialist PPO units had been maintained under the auspices of the four CDRPs. Team members included POs, PSOs, case administrators, police officers, drug workers and data analysts who were located together. We heard evidence from workers and in case discussions that this group did receive a premium service. PPOs were well provided for in terms of close supervision and resources for substance misuse, ETE and accommodation. In addition, as there had been a consistent reduction in offending by those included in the scheme, the CDRPs had agreed to continue funding for 30 non-statutory cases at the end of a pilot with external funding. The scheme had been recognised nationally and had been awarded a Butler Trust Award in 2008 for offender management and sentence planning. Cases assessed as posing a high RoH were allocated to appropriate staff.
- (c) Investment in initiatives to support proper access to services for all offenders has been mentioned in section 4.1(g) in relation to rural areas. There was a reporting centre maintained in the East Riding against national trends for the same reasons. In addition the Trust had made available the sex offender programme adapted for offenders with a learning need; this was resource intensive and included input from health services. Offenders who needed them routinely had access to a volunteer mentor via contracts with Humbercare and SOVA to support them during programmes and educational classes or within the PPO scheme. The very small minority ethnic communities were increasing in size with migrant workers and asylum seekers. Interpreters were used for PSR preparation and induction where necessary. Whilst not always used, offender managers were able to continue to use their services throughout an order.
- (d) As part of the local plan to reduce the numbers of offenders going into custody, the Trust had increased the level of staffing in court. It had also invested in skills training for court staff. The 2008 sentencer survey indicated a 92% satisfaction rate for the availability of FDRs which suggests an adequate level of staffing in courts in the Trust area.
- (e) A sophisticated workload measurement tool, called Workbox Lite, was in use to ensure an equitable distribution of work. There were some inconsistencies in the very small units where there were limited economies of scale to be achieved.

- (f) Most of the additional resources accessed were the product of investment in partnership work. ETE provision was mainly resourced by the core funding of further education colleges and adult education providers. OLASS funding was successfully used to extend the availability of short vocational courses delivered by a range of training providers. One adult education partner provider on the North Bank identified a gap in resources for this target group. It obtained public funding to develop excellent resources for employability specially designed for entry-level offenders and based on interesting and relevant local Hull topics. Collaboration with other probation areas in the region had brought financial savings to the organisation, e.g. in respect of the private sector night support arrangements to effect the need for double waking night cover in approved premises.

The Trust undertook a Best Value Review of its unpaid work operation in the summer of 2008. At that time around 50% of its offenders were supervised by other agencies, i.e. at relatively little cost to the Trust. This was an efficient use of resources that were productively invested in other aspects of offender management. As we saw in section 2 however, this had a negative impact on the potential for skills development.

#### 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.*

**Satisfactorily met**

#### Strengths:

- (a) There was a clear Offender Management and Interventions Protocol that set out staff roles. Different grades of staff worked together in clusters and developed shared knowledge of offenders. Staff boundaries and roles were well understood and we thought that the approach was effective. During the inspection week there appeared to be no unfilled vacancies though it was acknowledged that this could not always be the case.
- (b) There was a comprehensive and costed staff training plan. In interview with inspectors 90% of the staff questioned (i.e. all but seven) said that their training and developmental needs were met. Of these, 14 said that the training they had undertaken was excellent. There was a good mixture of mandatory, professional development and supportive training on offer. One of the mandatory events for all operational staff from the end of the current year was race equality and practice training; this built on earlier diversity training and was due to be delivered over a two year period. We interviewed 11 staff who were in or had recently been in training, e.g. TPOs and former TPOs; nine of them had been satisfied with the attention paid to their learning needs.

- (c) Relationships with the trades unions were said to be productive. Examples mentioned were the efficient completion to the Job Evaluation Scheme and agreements to move to Trust status where unions had been consulted.
- (d) Levels of sickness absence were at a reasonable level at 9.6 days at the end of September. The performance varied slightly and had increased somewhat at the time of the inspection, as it had at the same time in the previous year. A two-pronged approach to maintaining or reducing this level was employed. There was a strict approach to absence management which required attendance at Head Office to explain absences once the triggering level had been reached. All but three staff interviewed said that they were clear about these procedures. Support through counselling was routinely made available for staff in stressful positions, e.g. sex offender work. Six sessions were also available to all staff without the need to disclose the reason and more could be agreed on application. There were other measures available acknowledging the potential stresses of probation work, e.g. SPOs and offender managers involved in SFO cases would be paired with a colleague for support.
- (e) Almost 90% of staff interviewed said that they received formal supervision at intervals of six weeks or more frequently over a year. We were impressed on the whole by the response of offender managers and middle managers about their view of the quality of supervision they received. Of the former 38% said that the quality was excellent and a further 51% that it was sufficient; these were extremely good results. Many reflected that managers at all levels were accessible and that SPOs in particular had an open door policy in addition to formal supervision.
- (f) All but one of the staff interviewed who ought to have had an appraisal said they had had one in relation to the previous year.

**Area for Improvement:**

- (a) There was a single diversity policy incorporating all three equality duties. It had not been written as one document, but the existing race equality scheme had been added to the scheme covering the relatively new duties regarding gender and disability. The race equality scheme was out of date. Work was clearly still underway, e.g. the training mentioned above, but the current strategic approach to race equality was not clear. Progress against a number of targets in the race equality action plan was not well evidenced and was also out of date. The gender and disability equality schemes were up to date.

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

**Satisfactorily met**

**Strengths:**

- (a) Good use was made of aggregated data from OASys about need and outcomes. This was used to inform in-house provision. It was also shared with partner agencies to support service development, e.g. in relation to illegal drugs and alcohol misuse. The PPO scheme was particularly well supported as a consequence and could demonstrate sustained levels of reducing in reoffending.
- (b) We were impressed by the extent to which staff involved in offender management were routinely using data from OASys and elsewhere to inform their practice. The extensive management information reports and research were used to guide the selection and volume of accredited programmes, which seemed to be comprehensive and to include options not commonly found in other areas.
- (c) There was a public protection sub-committee of the Trust Board that met quarterly and took responsibility for the oversight of SFOs, deaths in approved premises and other RoH-related issues. The senior manager members in turn drew up and disseminated learning from incidents to all offender manager staff and managers. The reporting was clear and actions required were made explicit, including policy change where necessary.

**Areas for Improvement:**

- (a) The Trust had adopted a strategic approach to gathering the views of service users and stakeholders early in 2008. We saw evidence of the routine collection of feedback from offenders at the end of supervision or unpaid work. The results were fed back to teams. The Trust had yet to develop a way of reporting on how this had been evaluated and what the response had been.
- (b) There was no routine use of sentencing proposal and disposal data against successful completions. The Trust was aware however, that it had a higher than average rate of breach and recall. It had justifiably targeted an apparent over use of suspended sentences, but had not yet established routine reporting and comparison against all proposals and sentences.

**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.*


**Well met**

**Strengths:**

- (a) A wide range of services had been commissioned either singly by the Trust or jointly through partnership processes to support offender management. There was a recently agreed Probation Trust

alcohol strategy that was comprehensive and used local OASys data and international research to support planning. The range of interventions was impressive including medical and behavioural approaches, e.g. the use of COVAID, a specialist group work programme. The need to involve other commissioning bodies, e.g. Supporting People, and agencies was built in. Provision varied across the county according to need and funding via the CDRPs. The Trust had in 2008 been a significant player in the exercise to re-commission the DIP for Hull. We found that the Trust worked effectively with local education and training providers, OLASS contractors working in prisons and the Learning and Skills Council to develop resources for learning and employability in the region.

- (b) The need for services was based on OASys and other agency data, e.g. an evaluation of the link between alcohol misuse and domestic violence. The impact of services on outcomes for users was also used, e.g. in the decision by the Hull Citysafe Joint Commissioning Group to re-commission the Hull DIP where a new provider was chosen after a detailed re-tendering exercise.
- (c) A commissioning manager was employed to ensure the ongoing quality of services and we saw no evidence of duplication. Whilst there will always be gaps, e.g. in housing, for offenders as for other people we were impressed at the range of services available. There was, for example, access to a fortnightly clinic run by a forensic mental health practitioner in Grimsby. She also offered seminars and briefings to staff and was available for consultation by offender managers for advice about individual offenders. The Trust contracted with Humbercare (a local third sector organisation) to provide mentoring services. SOVA (a national third sector organisation) provided information, advice and guidance across the county. We found solid evidence of the quality of services provided both in case files and discussions with staff. The range and coverage of ETE services available was comprehensive, but there was room for improvement in the use of data to monitor participation and success rates as well as commencements.
- (d) There were three prisons in the Humberside area. HMP Hull, HMP Everthorpe and HMP Wolds worked collaboratively with the Probation Trust under the umbrella of NOMS as Humber-NOMS. We saw plenty of evidence of active involvement at a strategic level to commission or improve services for offenders in prison and on release to support the prevention of reoffending, e.g. in relation to the DIP and alcohol planning mentioned above. The local prison, HMP Hull, engaged proactively within the LSP and CDRP to further this aim and had worked positively with local employers to persuade them to change their policy towards the employment of former prisoners on release. Working with Conviction was the prospectus developed by Humber-NOMS to tackle reoffending through addressing the seven strategic pathways plus the PPO scheme and voluntary sector contribution. There was a good range of current provision with indications of plans for continued improvement. In addition, in the case files that we read we saw several examples of



movement between prisons in this region and from elsewhere to facilitate access to relevant resources pre-release.

- (e) There were no specific services developed for use by minority ethnic groups except in relation to translation, ESOL provision and the initiative for Polish communities mentioned in section 4.1. There was evidence of sensitivity to the needs of the few minority ethnic offenders in planning and review and we had found no gaps. A review of the needs of and provision for women offenders was planned for this current year.

# APPENDIX 1 Integrated Probation Performance Framework: April-September 2008

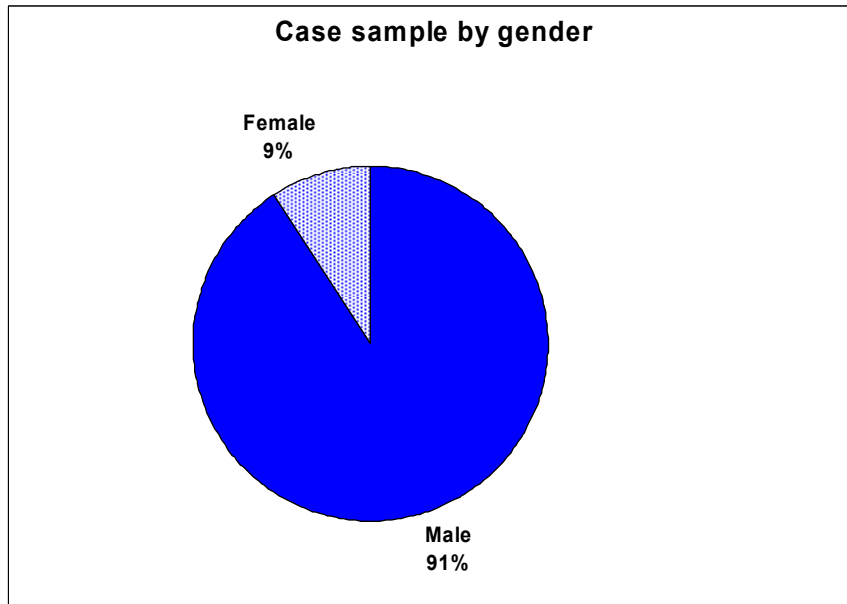
<b>IPPF</b>	<b>Q2</b>	<b>IPPF Area Score</b>	<b>4</b>
			<b>Humberside</b>

IPPF Domain Score:		IPPF Area Score				IPPF Domain Score:				IPPF Area Score							
		Actual	Target/ Milestone	National	Previous Year - Q2	IPPF Grade	Actual	Target/ Milestone	National	Previous Year - Q2	IPPF Grade	Actual	Target/ Milestone	National	Previous Year - Q2	IPPF Grade	
<b>Public Protection</b>																	
NS Public Protection	94%	n/a	92%	n/a	89%	3											
Tier 2 & 3 OASys Timeliness	75%	n/a	78%	n/a	n/a	2											
Tier 4 OASys Assess	81%	n/a	81%	n/a	n/a	3											
PPO OASys Assess	92%	n/a	83%	n/a	n/a	4											
OMI Phase 2 or 3 OASys Assess	98%	n/a	97%	n/a	n/a	3											
Tier 2 & 3 OASys Final Reviews	81%	n/a	70%	n/a	n/a	3											
Tier 4 OASys Final Reviews	88%	n/a	68%	n/a	n/a	3											
PPO OASys Final Reviews	89%	n/a	63%	n/a	n/a	3											
Parole Assessment Report Timeliness	92%	n/a	91%	n/a	n/a	3											
Risk Management Plan Timeliness	86%	n/a	80%	n/a	n/a	3											
Approved Premises Audit	27.0	30.0	26.4	n/a	n/a	3											
OMI Risk of Harm	n/a	72%	n/a	n/a	n/a	0											
<b>Re-Offending Rate</b>																	
Reduce Re-offending	Actual																
	Predicted																
		10.2%	11.2%	-1.0%	No	2											
		<b>Offender Management</b>				<b>IPPF Domain Score:</b>				<b>IPPF Domain Score:</b>							
		Actual	Target/ Milestone	National	Previous Year - Q2	IPPF Grade	Actual	Target/ Milestone	National	Previous Year - Q2	IPPF Grade	Actual	Target/ Milestone	National	Previous Year - Q2	IPPF Grade	
NS Offender Management	92%	n/a	86%	n/a	85%	4	92%	n/a	86%	n/a	4	79%	n/a	71%	75%	3	
Court Report Timeliness (excl. RIC)	100%	n/a	99%	n/a	n/a	4	100%	n/a	99%	n/a	4	5	4	n/a	0	4	
RIC PSRs for Magistrates Courts	90%	n/a	64%	n/a	n/a	3	90%	n/a	64%	n/a	3	16	4	n/a	16	4	
Licence Recall Requests	97%	90%	85%	n/a	n/a	4	97%	90%	85%	n/a	4	98	30	n/a	74	3	
End To End Enforcement	74%	60%	61%	n/a	n/a	4	74%	60%	61%	n/a	4	79%	75%	75%	n/a	3	
Enforcement	100%	n/a	95%	100%	n/a	4	100%	n/a	95%	100%	4	38	23	n/a	22	3	
Cases Reaching fm Without Requiring Breach Action	72%	70%	74%	71%	n/a	3	72%	70%	74%	71%	3	78	40	n/a	53	3	
Orders or Licences Successfully Completed	71%	70%	70%	62%	n/a	3	71%	70%	70%	62%	3	207	174	n/a	163	4	
Victim Contact	100%	n/a	93%	n/a	n/a	4	100%	n/a	93%	n/a	4	617	474	n/a	514	3	
Accommodation at Termination	78%	70%	70%	72%	n/a	4	78%	70%	70%	72%	4	0.1%	1.0%	2.0%	0.8%	4	
OMI Assessment and Sentence Planning	n/a	72%	n/a	n/a	n/a	0	n/a	72%	n/a	n/a	0	45%	40%	46%	n/a	3	
<b>IPPF Grade</b>																	
Outstanding Performance																	
Good Performance																	
Passable Performance																	
Poor Performance																	
Operational Capability, Resource Use & Strategy																	
		Actual	Target/ Milestone	National	Previous Year - Q2	IPPF Grade	Actual	Target/ Milestone	National	Previous Year - Q2	IPPF Grade	Actual	Target/ Milestone	National	Previous Year - Q2	IPPF Grade	
Sickness Absence	9.6	11.5	10.8	n/a	9.7	3	9.6	11.5	10.8	n/a	3	9.6	11.5	10.8	9.7	3	
Ethnic Monitoring	97%	95%	97%	n/a	99%	3	97%	95%	97%	n/a	3	18249	18308	n/a	n/a	4	
Budget Outturn	18249	18308	n/a	n/a	n/a	4	18249	18308	n/a	n/a	4	4	4	n/a	n/a	4	
Audit Commission Results	4	4	n/a	n/a	n/a	4	4	4	n/a	n/a	4	4	4	n/a	n/a	4	
Capability Assessment Framework	4	4	n/a	n/a	n/a	4	4	4	n/a	n/a	4	4	4	n/a	n/a	4	
OMI Management Results	n/a	72%	n/a	n/a	n/a	0	n/a	72%	n/a	n/a	0	n/a	72%	n/a	n/a	0	

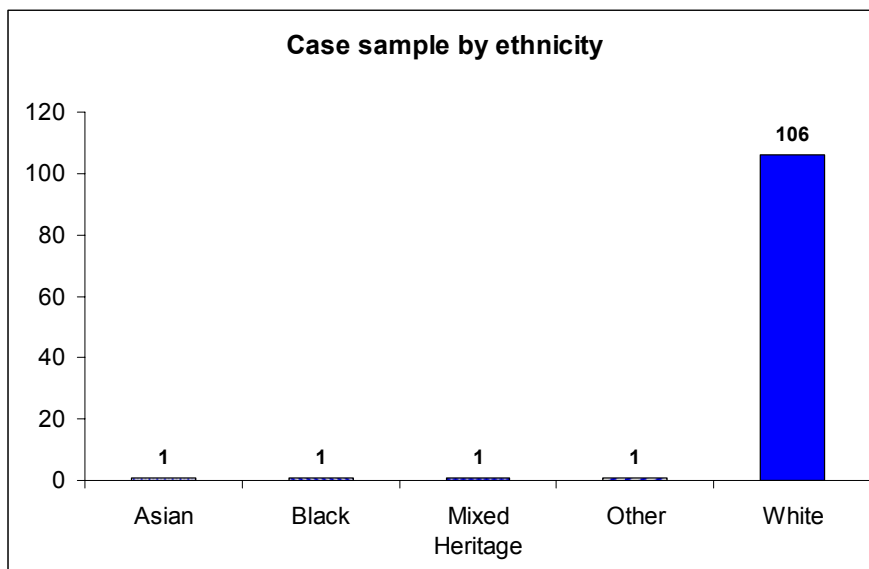
IPPF is the performance framework operated by NOMS. Under this, for each probation area, a score is assigned for each of four 'domains' as indicated, based on results for the metrics specified. Using these scores, an overall score for the probation area is also assigned.

## APPENDIX 2 Contextual information

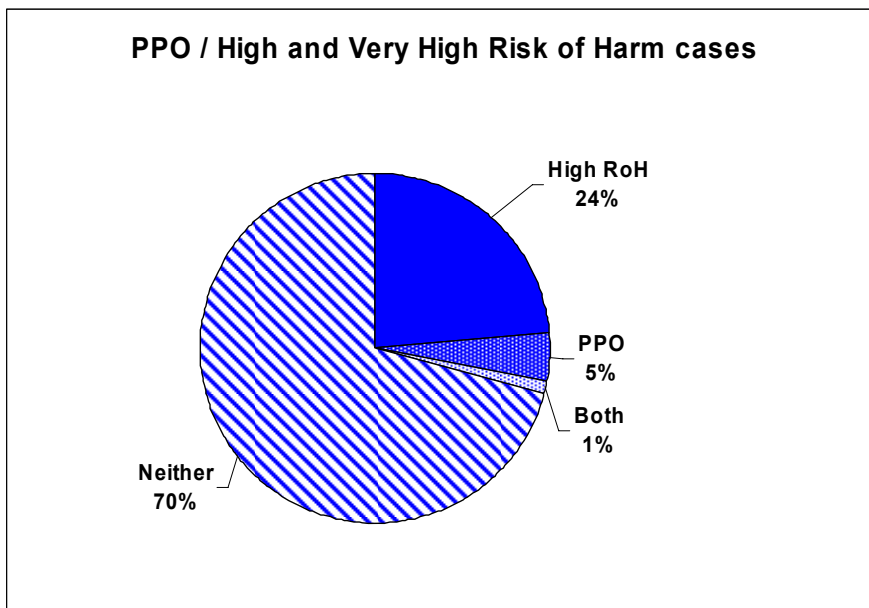
The chosen sample takes into consideration the number of female offenders in the area. A representative number is then included in the sample of cases.



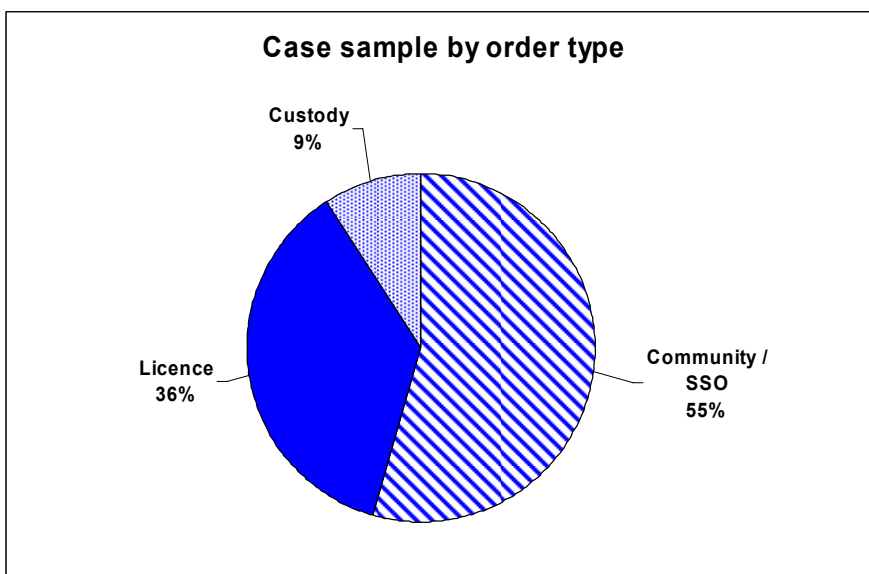
The chosen sample takes into consideration the number of black and minority ethnic offenders in the area. A representative number is then included in the sample of cases.



Each case sample contains a representative number of high risk and PPO cases.



Each sample is made up of 40 licence cases, 60 community order cases and ten custody cases.



## Caseload at end of June 2008

Total caseload	4,295
% White	95.9%
% Minority ethnic*	4.1%
% Male	89.5%
% Female	10.5%
Number of cases subject to MAPPA:	
Level 1 (includes cases other than probation)	1,129
Level 2	136
Level 3	34
Number of PPO cases	160
* Excluding cases for which ethnicity information is not available.	

All potential PPOs are assessed using a standard scoring Matrix which was agreed between Humberside Police and Humberside Probation in 2005. The Matrix allows for local variations providing a weighting for CDRP priority crimes in their locations.

**Total revenue budget in 2007/2008:** £14.486m

**Total revenue budget in 2008/2009:** £14.501m

**Approved premises:** Queens Road - 19 beds

Scunthorpe - 19 beds

## **APPENDIX 3**

### **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 NOMS performance data. These are produced by NOMS which is responsible for their collection and quality assurance.
- Each inspection takes place over one week. The area is asked to identify a random sample of 110-120 offenders (more in the largest areas) who have been managed by a probation offender manager 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 community orders, licences, and those in custody.

#### **Methodology**

- During the inspection we examine the probation case file and carry out an in-depth interview with the offender manager. We also interview offenders, victims, keyworkers and case administrators. We send questionnaires to offenders and victims whose cases arise in the sample and to a selection of magistrates, judges, and legal advisers involved in sentencing. Colleague inspectors from Ofsted work alongside us, examining offender learning.
- We interview senior and middle managers, Board members of the probation area, and partners.
- Inspection of about a third of the cases in the sample is carried out by area assessors, experienced staff/managers 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. A copy is sent to NOMS HQ and copies are also made available to the press and placed on our website.
- Reports on offender management in Wales are published in both Welsh and English.

## APPENDIX 4

### 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.justice.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 5**

### **Role of HMI Probation**

#### **Statement of Purpose**

HMI Probation is an independent Inspectorate, funded by the Ministry of Justice and reporting directly to the Secretary of State. Our purpose is to:

- report to the Secretary of State on the effectiveness of work with individual offenders, children and young people aimed at reducing reoffending and protecting the public, whoever undertakes this work under the auspices of the National Offender Management Service or the Youth Justice Board
- report on the effectiveness of the arrangements for this work, working with other Inspectorates as necessary
- contribute to improved performance by the organisations whose work we inspect
- contribute to sound policy and effective service delivery, especially in public protection, by providing advice and disseminating good practice, based on inspection findings, to Ministers, officials, managers and practitioners
- promote actively race equality and wider diversity issues, especially in the organisations whose work we inspect
- contribute to the overall effectiveness of the criminal justice system, particularly through joint work with other inspectorates.

#### **Code of Practice**

HMI Probation aims to achieve its purpose and to meet the Government's principles for inspection in the public sector by:

- working in an honest, professional, fair and polite way
- reporting and publishing inspection findings and recommendations for improvement in good time and to a good standard
- promoting race equality and wider attention to diversity in all aspects of our work, including within our own employment practices and organisational processes
- for the organisations whose work we are inspecting, keeping to a minimum the amount of extra work arising as a result of the inspection process.

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:

*HM Chief Inspector of Probation  
2nd Floor, Ashley House  
2 Monck Street  
London SW1P 2BQ*