



OFFENDER
MANAGEMENT
INSPECTION
INSPECTION

A report on Offender Management in
Lincolnshire

An inspection led by
HM Inspectorate of Probation

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FOREWORD

Lincolnshire acquitted itself well when we delivered our Offender Management Inspection there. There was mindful and determined leadership from the chief officer, senior managers and Board alike. This, combined with committed practitioners, resulted in a probation area which not only delivered consistently to the targets set for it by the National Offender Management Service, but also worked hard to ensure that other quality issues received attention. Whilst refinements were still needed for maximum efficacy, the offender management model was embedded in Lincolnshire.

At both a strategic and operational level Risk of Harm work was prioritised. It was to the area's credit that approximately three-quarters of the Risk of Harm work we saw was judged to be of at least a sufficient quality. The area was not complacent however, and needed to continue to develop some specific aspects of its public protection work, as well as improving constructive interventions and working with an increased outcome focus.

ANDREW BRIDGES

HM Chief Inspector of Probation

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We would like to express our thanks to the Lincolnshire Probation 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.

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LIST OF ABBREVIATIONS/ACRONYMS

ACAS	Advisory, Conciliation and Arbitration Service
ACO	Assistant chief officer
CALM	Controlling Anger and Learning to Manage it programme
CCTV	Closed-circuit television
CDRP	Crime and Disorder Reduction Partnership
CO	Chief officer
CPN	Community psychiatric nurse
CRAMS	Case Record Administration and Management System
C-SOGP	Community Sex Offender Group Programme
DAAT	Drug and Alcohol Action Team
DRR	Drug rehabilitation requirement
DTTO	Drug treatment and testing order
DVD	Digital Versatile Disc
ESI	Effective Supervision Inspection
ETE	Employment, Training and Education
ETS	Enhanced Thinking Skills programme
FDR	Fast delivery report
GCSE	General Certificate of Secondary Education
HMI Prisons	Her Majesty's Inspectorate of Prisons
HMI Probation	Her Majesty's Inspectorate of Probation
HMP	Her Majesty's Prison
HR	Human resources
HSE	Health and Safety Executive
IDAP	Integrated Domestic Abuse Programme
ISP	Initial sentence plan
JAR	Joint Area Review
LAA	Local Area Agreement
LAT	Lincolnshire Action Trust
LCJB	Local Criminal Justice Board
LIAM	Low Intensity Alcohol Module
LPA	Lincolnshire Probation Area
LSCB	Local Safeguarding Children Board
MAPPA	Multi-Agency Public Protection Arrangements
NHS	National Health Service
NOMIS	National Offender Management Information System

NOMS	National Offender Management Service
NPD	National Probation Directorate
NPS	National Probation Service
OASys/eOASys	Offender Assessment System/electronic OASys
OGRS2	Offender Group Reconviction Score2
OMI	Offender Management Inspection
OMU	Offender Management Unit
P-ASRO	Prison-Addressing Substance-Related Offending
PO	Probation officer
PPO	Prolific priority and other offender
PSO	Probation service officer
PS+3	Prison Service Plus 3
PSR	Pre-sentence report
REM	Race and ethnic monitoring
RoH	Risk of Harm
ROM	Regional offender manager
SDR	Standard delivery report
SLA	Service Level Agreement
SMB	Strategic Management Board
SMT	Senior management team
SOTP	Sex Offender Treatment Programme
SPO	Senior probation officer
SPOR	Single point of referral form
TPO	Trainee probation officer
VLO	Victim liaison officer
YOS	Youth Offending Service

SUMMARY

Assessment and Sentence Planning

Work in respect of preparing for sentence was strong in Lincolnshire and reports contributed positively to the sentencing process. The assessment of offending and criminogenic needs was generally comprehensive and accurate. Diversity needs were often well assessed, although more attention needed to be paid to offenders' learning style, motivation and capacity to change. Basic skills assessments ought to have led to a full assessment in a greater proportion of cases. Offender tiering and allocation arrangements were well developed. Sentence plans were completed in most cases, but were not always sufficiently tailored to the individual offender.

Implementation of Interventions

Offender managers generally prepared offenders well for interventions and coordinated the input of all workers involved in a case. We saw some examples of good communication between staff and offenders, although in many cases there was insufficient contact with prisons to prepare offenders for release. The area had, until recently, been operating a 'pre-release team'. This system created discontinuity at odds with end-to-end offender management and was in the process of being discontinued. The enforcement of orders and licences was a strength. Offender managers worked hard to secure the offender's compliance but took appropriate action where necessary. There was clear evidence of an enhanced level of contact with prolific and priority offenders and, more generally, planned resources and contact levels with offenders were consistent with the principle of resources following risk. There was some excellent work with individual victims and an increase in the profile of victim work since the Effective Supervision Inspection. However, the area was not complacent, and recognised that a continued focus on victim issues was required if progress was to be maintained. There were some good examples of constructive interventions to help offenders change through the use of accredited programmes, but promoting equal access to these programmes and reducing attrition remained a challenge. Attention was paid to diversity issues in most cases.

Achievement and Monitoring of Outcomes

The majority of offenders had complied with the requirements of the sentence. Resources allocated were consistent with the assessed Risk of Harm and likelihood of reoffending. However, in terms of sentencing objectives, 'change' was being achieved in too few of the relevant cases. Half the offenders had made progress in tackling the criminogenic factors most closely associated with their offending. Despite in-built discontinuities to offender management as a result, in part, of the low number of probation officers, the vast majority of offenders were adjudged not to have been disadvantaged by changes in offender manager. More work could be done to ensure that offenders consolidated their learning and new skills, and that offender managers were more clearly oriented toward outcomes in their work with offenders.

Leadership and Strategic Management

The business planning process was clear and well managed. A continued focus on national targets had enabled the area to perform consistently well on the National Offender Management Service's weighted scorecard. The Lincolnshire Probation Board was constructively engaged with the senior management team in addressing planning and performance issues. There was a proactive approach to quality improvement: several of the areas for improvement identified during this inspection had already been highlighted by internal audit and appropriate action was being taken. The area viewed the inspection as part of an ongoing process of learning and development.

The area was well regarded by key partners who felt it to be characterised by a problem solving and innovative approach, which had enabled it to make a valued contribution to the wider criminal justice and community safety agendas in the county.

Staff training and development processes were well established and aligned to the business plan. However, a substantial minority of staff felt unprepared for, and lacked support in their new roles. Supervision and appraisal arrangements were well embedded in the area.

Data from the Offender Assessment System had been used to inform the commissioning of services. There was, however, scope to extend the use of data in relation to outcomes achieved from the area's work with offenders. Although some service user feedback was collated, greater emphasis needed to be given to its effective use.

Risk of Harm

Lincolnshire Probation Area took a lead role in promoting public protection in the county and Multi-Agency Public Protection Arrangements were seen as effective. No serious offences were committed by those offenders managed at Level 3 of these arrangements during 2005/2006, and the Level 3 caseload of 'critical few' offenders had been reduced. There were good strategic and operational links between the organisations involved. Restrictive interventions were used well in almost all cases assessed in the sample.

A Risk of Harm screening had been completed in the vast majority of cases, although we had some concern that a number were inaccurate. However, for the most part we agreed with the Risk of Harm classification assigned to the cases, and in almost all of the high and very high Risk of Harm cases this classification had been communicated to all staff involved in the case. Although risk management plans followed the correct format, their quality required improvement and the arrangements for countersigning sometimes led to delays.

High Risk of Harm offenders had been appropriately referred to the Lincolnshire approved premises and this was seen to offer a good level and range of constructive and restrictive interventions.

SUMMARY OF SCORES

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

Chart 1: Scoring of sections 1-3:

Offender Management Inspection - Lincolnshire (March 2007)

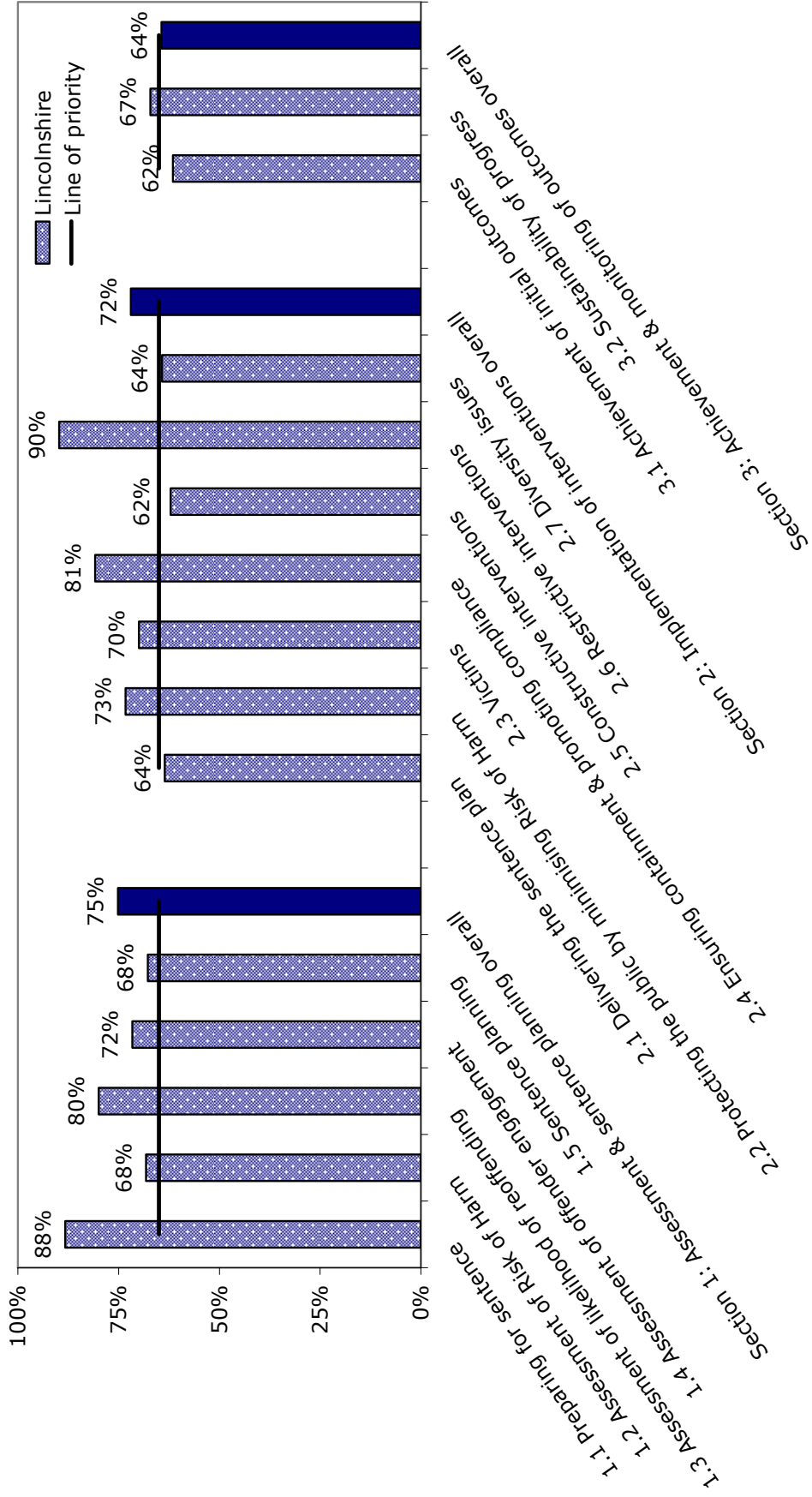


Table 1: Scoring of section 4:

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	Partly met
4.6	General Criterion: COMMISSIONING OF SERVICES	Satisfactorily met

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

Table 2: Risk of Harm Thread

Score for Risk of Harm Thread	74%
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RECOMMENDATIONS FOR IMPROVEMENT

Improvements are necessary as follows:

1. Risk of Harm screening is undertaken accurately in all cases and, where indicated, a full analysis is completed to a satisfactory standard and regularly reviewed
2. the quality of risk management plans meet the standards defined nationally
3. sentence planning shapes service delivery within the offender management model and the quality of sentence plans, and their reviews, is improved
4. victim issues are comprehensively integrated into all Risk of Harm assessments
5. constructive interventions, including victim awareness work, are delivered in all relevant cases to help offenders and to change their behaviour, and this is evidenced in case records
6. there is an increased focus on outcomes in the work of offender managers with offenders in order to achieve fully the sentence objectives. In addition, the area develops its information systems to ensure that data on the outcomes of its work with offenders are captured and used routinely to enhance practice and organisational effectiveness.

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 Lincolnshire.

SHARING GOOD PRACTICE

Below are examples of good practice we found in Lincolnshire.

Committed offender management:

OMI Criterion: 2.1 Delivering the sentence plan

Julie was on a stand alone unpaid work order. Her offender manager retained contact with her throughout the order, via office visits and telephone contacts, to check on her progress and to try to anticipate obstacles that might hamper her progress on the order. For example, the offender manager invited Julie in to the office to discuss concerns that Julie was being subjected to domestic violence. Julie was given clear and consistent messages about what was expected of her on the order but, equally, she was supported and encouraged throughout, factors that helped Julie engage with the order successfully.

Community reintegration:

OMI Criterion: 2.5 Constructive interventions

Mary had a history of self-harm, drug dependency and accommodation problems which had all contributed to poor compliance with the area. Her offender manager demonstrated a good understanding of her complex needs, and during Mary's DRR, had liaised effectively with housing, drug and education partners. At the six month stage there had been substantial progress. Mary had secured a tenancy with a local Housing Association, had engaged with Addaction and begun to attend ETE sessions. The offender manager reinforced this progress not only through one-to-one sessions, but also through regular court review reports, all of which contributed to Mary's improved engagement.

Working with diversity:

OMI Criterion: 2.7 Diversity issues

One of George's sentence plan objectives was to attend the LIAM programme. However, George was employed and the group only ran at times when he was at work. After obtaining George's consent, the offender manager liaised proactively with George's employer and helped ensure that the employer arranged George's work patterns around the programme, thus enabling George to attend both the group and maintain full employment, which was the wish of all parties involved.

Liaison with sentencers:

OMI Criterion: 4.1 Leadership and planning

Bench Chairs played a role in deciding upon topics for presentation at the annual sentencer conferences, in order that issues of concern to sentencers, which may not have been as apparent to probation staff, were addressed. At a recent conference, sentencers identified intoxicated women who were violent in public places as an important issue. In a joint presentation with the Police Intelligence Department, the area was able to report back to sentencers on this issue, including the use of CCTV footage of violent incidents, to reassure that there was no hard evidence to underpin what was at the time a focus of the media (the 'ladettes' phenomenon). There was substantial feedback from sentencers that they had found this exercise very valuable and may have overestimated the level of violence used by some women.

Focus on the victim perspective:

OMI Criterion: 4.1 Leadership and planning

The LCJB had used Home Office funding to set up a 'Victim Panel', which was piloted in 2005. All panel members had been the victims of serious offences and members of the panel sat on the MAPPA SMB to provide a valuable victim's perspective on the management of high-risk offenders. The area had shown strong commitment to the pilot and had provided shadowing opportunities for panel members to engender an insight into offender management. Consequently, members had a broad understanding of the work of the area. They had regular meetings with other agencies within the criminal justice system and had been involved in the production of the area's 'victim awareness pack'. The panel had also produced a DVD 'Changing Attitudes' which was designed for the LCJB to use as a training resource.

Effective communication:

OMI Criterion: 4.1 Leadership and planning

A jointly funded communications manager worked three days each week for the area and two days on secondment for the LCJB. She had improved the quality of publications, including the LCJB website, and managed the area's media relations both defensively in reputational terms and proactively in placing positive items about the service in the local press and on the radio. An area communication plan was in place to reflect activities to support delivery of the business plan. The manager was also responsible for facilitating the introduction of 'Local Crime, Community Sentence', an educational project to raise awareness of community sentences, run jointly by probation staff and magistrates.

OFFENDER MANAGEMENT IN LINCOLNSHIRE

Offender management had been introduced in spring 2006 and substantial progress in implementing the model had been made. A comprehensive 'Offender Management Handbook' had been produced and distributed to staff. This outlined how OMUs operated in the offices large enough to support them, and how tiering should determine the composition and approach of individual offender management 'teams'. As a result, staff role boundaries were well defined within the offender management arrangements in Lincolnshire. 95% of staff interviewed were clear about their roles in these arrangements and many commented on the improvements in internal processes and communication since the advent of the model. The evidence that OMUs met regularly to share information about the offender was primarily held in OMU minutes, but the area recognised that the CRAMS records of this engagement needed to be fuller.

Offender managers were well supported by case administrators, who were fully embedded in the units. An objective for the area was to develop the case administrator's role to include sequencing of interventions, but progress was being hampered by continued delays in the roll-out of NOMIS. The area had utilised additional functions in *Lotus Notes* to enable an electronic calendar to be developed for this purpose, although this facility was not yet fully embedded.

The area had volunteered to complete the stocktake of the implementation of Phase 1 offender management before the stocktake was due, and was encouraged to find that the findings were consistent with its own self-assessment, i.e. the area had adopted the model well but had struggled with the impact of rurality in some offices, and there were recognised structures that led to discontinuity, such as the public protection and pre-release teams (steps had recently been taken to discontinue the pre-release team in order to improve offender management in custody cases). An ongoing challenge to continuity was the high proportion of PSOs working in LPA as, in the majority of cases, the PSR had not been written by the offender manager.

Information from OASys quality assurance events was reported back to NOMS and the identified training needs of practitioners used to inform the Training Plan for 2007/2008. OASys connectivity with the prison estate varied between establishments. For example, links with HMP Lincoln were good, but problems were encountered with HMP Ranby. Nonetheless, these were said to be diminishing and the situation was better than compared with six months previously.

OFFENDER MANAGEMENT IN HMP LINCOLN

We visited HMP Lincoln to hear of progress with the NOMS offender management model. As outlined below, the prison dealt with offenders on the caseloads of various different probation areas, not just Lincolnshire.

The OMU had been in operation since November 2006. Offender management came under the direction of a prison service manager E and a deputy offender manager (also a prison service manager). The team also comprised a principal officer, 0.8 of a SPO, two full-time POs who worked as offender supervisors, one full-time PSO, one 0.8 PSO and one 0.5 PSO, plus two administrative staff. The decision was made to retain POs as offender supervisors as this group of staff were the main ones who had completed RoH training.

Offender management arrangements were set out in a protocol between the prison and LPA. The main function of the OMU was to manage a caseload of 38 prisoners who had been identified as a high or very high RoH, and 24 PPOs. Public protection was enhanced through links to the police liaison officer (a role shared with North Sea Camp and Morton Hall) and security.

Prisoners 'in scope' for Phase 2 of the NOMS offender management roll-out were normally identified through OASys. This was usually straightforward in the case of prisoners who originated from the Lincolnshire area, as the prison had access to the probation area's OASys. For those outside of the area, however, there was sometimes a delay in obtaining the right levels of information. Some prisoners who had not had a PSR did not have an OASys and consequently, were not identified as high RoH. Further issues arose in finding out the names of offender managers in the community, although there were good links with adjoining probation areas in the region, such as Nottinghamshire and Northamptonshire.

Nine of the 38 cases currently being managed under the offender management model originated from the Lincolnshire area. Links with offender managers were good and of 13 meetings held at the prison nine were chaired by offender managers, although only three of the Lincolnshire cases were chaired in this way. E-mail contact was sufficient and the prison made effective use of specific points of contact for PPOs, which meant that information was shared quickly. Video conferencing was not available and there were no resources to put this in place.

Offender managers were routinely involved in the sentence planning/target setting process. However, prisoners were frequently transferred to training prisons before sentence planning could take place. Reviews of sentencing planning were typically held in training prisons.

Currently those offenders who were identified as high or very high RoH were prioritised for OASys along with PPOs. OASys assessments were carried out by a team of 19 that included 11 assessors (prison officers and POs), five supervisors and three staff who conducted management checks. The prison did not feel that the number of staff profiled was sufficient for OASys and, although the establishment was exceeding the current Key Performance Target of 193 assessments per year, there were many prisoners being transferred from the prison without an initial OASys having been completed. Sentence planning targets, where they existed, were taken into account for allocating prisoners

to training prisons likely to meet their needs in areas such as SOTP, ETS, CALM or other issues.

MAPPA were coordinated by the Head of Offender Management who also sat on the area MAPPPs. At the time of the visit there were eight MAPPA Level 3 offenders within the prison. Training needs had been identified for prison officers, some of whom were unclear about the implications of MAPPA. There were 38 life-sentenced prisoners. These were managed by the principal officer who was also the Head of the OMU. Prison officers acted as case officers. There was some limited psychology support and probation input.

P-ASRO had recently been discontinued and replaced with a short duration drug programme. The one psychologist provided one-to-one work, but there was no other accredited programme. There were plans, however, to introduce a restorative justice course run by the Chaplaincy Department called 'Face-to-Face'.

Training in offender management had been organised through a joint prison and probation event and most staff had had training. Staff involved in public protection work and OASys had also had RoH training provided by LPA. There were plans to use the training days in the prison to increase awareness of public protection.

Following a riot in 2002 the remaining refurbishment was being completed. A wing was due to open shortly and the roll will increase by some 200 prisoners. The prison was undergoing a staff reprofiling exercise at the time of our visit and one of the considerations was the requirements of the OMU. Several bids for extra staff to deal with the increase in population had been submitted and subsequently approved, and this included staff specifically for offender management.

The lack of interview space on the wings was a problem. Space generally was very limited and the OMU was based in one small office which, should staffing levels increase, would be further pressed for space.

In summary, the OMU staff in HMP Lincoln were positive about the model and there was an encouraging record of offender management engagement with sentence planning. There was some concern about the future and the potential impact of population pressures on the effective operation of the unit.

SERVICE USERS' PERSPECTIVE

Offenders

During the inspection of Lincolnshire we ran two interviews groups in the community with offenders on programmes (LIAM and C-SOGP). We also interviewed individual offenders on unpaid work and a number residing at the approved premises in Lincoln. In total 20 offenders were interviewed.

Most of the offenders across the different settings recalled having received an induction. Those on unpaid work had all had an induction that included health and safety, which hours and days would be worked and what would happen if breached. All knew what actions to expect if they missed an appointment, and one offender on unpaid work considered that the breach he had been subject to was handled fairly. Similarly, all offenders interviewed said that it had been made very clear that discriminatory behaviour would not be tolerated. Offenders in the approved premises said that they were given a pack on reception which included information on discriminatory behaviour and that there were also posters reinforcing the message.

The majority of offenders remembered seeing a sentence plan, though the extent to which they felt involved in the process varied between individuals and across groups. Those in approved premises were able to give examples of objectives in their plans, whilst only two on C-SOGP recalled working through their plan. Several offenders on unpaid work said that they had not had a sentence plan at all.

Most offenders felt that they had a good working relationship with their offender manager. Approved premises residents received visits at the hostel and two referred to three and four-way meetings with their offender manager and external partners. All the LIAM participants knew the name of their offender manager, but said that they did not have much contact whilst they were on the group. The offenders on C-SOGP had a less positive view, pointing to changes in their offender manager during their sentence and the difficulties this posed for building a strong relationship. None could recall being visited in prison, and one commented that they had felt to be, "out of sight, out of mind".

All offenders felt that arrangements for interventions they received had taken account of their individual needs. Examples included one offender having his mental health needs addressed in conjunction with a CPN, whilst another received help with budgeting after they had lost their job. All participants on the C-SOGP received travel warrants to get to the programme site.

Most offenders were positive about the interventions that they had been involved in and a number of good outcomes were mentioned. Three offenders in the approved premises stated that they were now drug free, calmer and less impulsive. The LIAM participants reported that they drank less having learnt about the impact of alcohol on the body and all the C-SOGP members agreed that they were a lot less likely to repeat the same behaviour as they had a much greater awareness of victim issues and their own risk. One offender on unpaid work commented that he felt proud that he was not going back to offending and that his offender manager told him he was doing well and,

"that makes me feel like I'm achieving something".

However, two unpaid work offenders said that their work was not demanding, their skills were not being utilised fully and they did not see their work as being of benefit to the community.

Out of 100 questionnaires, 26 were completed and returned. The comments included were mainly positive. 90% of offenders felt that the rules of supervision had been clearly explained to them, and most recalled discussing their sentence plan to some extent. A number of offenders had received help with ETE, drug or alcohol use, health or lifestyle issues. Most said that probation staff had helped them to change their attitude to offending.

Over half the sample had recently been released from prison and of these only a third said that their PO had visited them. Possibly as a result of their experiences in custody, a similar proportion reported that probation staff and other agencies did not work well together. Although the majority of offenders thought they were less likely to reoffend as a result of the work of the probation area, a third disagreed. However, the majority of this group felt that only they were responsible for changing their ways, not anyone else.

Victims

Ten questionnaires were sent out to people who had been victims of serious crime in the case sample and three were returned. The views of these victims were wholly positive across the board. All were satisfied with the clarity of communication from the probation area in relation to the first contact. Similarly, all three were happy with the quality of the service subsequently provided. Their needs were taken into account, they got the chance to say what conditions they thought should be on the offender's licence and felt listened to. Finally, they all knew whom to contact if they had any worries about their safety.

Three victims were interviewed. They felt that the VLO had treated them with professionalism and that their safety had been the top priority. One victim commented that the VLO provided an "invaluable service" and was a "voice" for the victims. The CO was also commended for his sensitivity to the needs of victims.

Courts

Out of 50 questionnaires sent to sentencers, 15 were completed and returned. Overall the majority were satisfied with the work of the probation area. All but one of the respondents felt clear about which type of court report should be requested and all but one were satisfied with the quality of SDRs. A sizeable minority were not happy with the quality of FDRs and there was unease with the staffing levels in some of the courts (see Section 4.3). All but one felt that arrangements for the swift resolution of breach proceedings were working well. Twelve of the respondents stated they were kept fully informed about probation policy and practice. The vast majority reported that the area's managers modelled positive and professional leadership behaviour.

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.

88%

Strengths:

- (a) Almost all of the cases in the community sample (56 out of 60) had had a PSR written for the current offence and 81% were assessed as sufficient. Middle managers were involved in gatekeeping reports on minority ethnic offenders. Where the court had indicated the level of seriousness, all reports clearly took this into account. A recent reports' protocol had been agreed between the area and Lincolnshire courts outlining a framework for determining what type of report was appropriate for a case, and providing guidelines to sentencers on requesting reports where the court was not staffed by a PO. 93% of the reports were of the appropriate type, i.e. SDRs or FDRs. All but one of the sentencers consulted reported that they were satisfied with the quality of SDRs.
- (b) In 98% of cases there was a clear proposal for a community sentence. The PSR proposal was followed by the court in 85% of cases.
- (c) All reports were prepared on time and all but one were assessed as objective and impartial.
- (d) LPA had contributed to the development of national guidance on PPO report writing, with the locally designed PPO PSR guidance being used as the benchmark. It was therefore perhaps unsurprising that of the two PSRs prepared on PPOs, both outlined the seriousness of the offence and the likelihood of reoffending, avoided labelling the offenders as PPOs and contained a clear and proportionate proposal.
- (e) Where self-harm was an issue this was clearly recorded in 15 cases, although this left two cases where a self-harm risk was identified but had not been adequately recorded, so there remained room for improvement.
- (f) The area provided clear guidance to PSR authors on how to record literacy and numeracy needs in reports.

Areas for Improvement:

- (a) Sufficiently detailed victim information was included in only 57% of relevant reports.
- (b) Only 54% of sentencers consulted reported that they were satisfied with the quality of FDRs, with specific concerns raised about the legibility of some FDRs. However, sentencers' comments were more reflective of frustration with the area's decision to redeploy resources in line with its best value analysis, which had resulted in limited FDR availability in some parts of the county, rather than the quality of FDRs per se.

Conclusion:

Performance against this criterion was good.

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

68%

Strengths:

- (a) Where a full analysis of the RoH had been completed, this accurately reflected the RoH to children in 80%, the public in 82%, known adults in 85% and staff in 93% of cases. The overall classification of risk appeared to be correct in 87%.
- (b) The RoH screening had been completed at the start of sentence or on release from custody in 85% of cases.
- (c) In all but two of the 15 high or very high RoH cases, the RoH classification had been communicated to all staff involved in the case. Partners working with offenders reported that they were informed of the risk classification primarily through the 'SPOR' form, although the usefulness of this document depended on the extent and quality of information entered on it. Where the case had been managed under MAPPA, the level at which it had been managed was communicated to others in a similar proportion of cases.
- (d) All the risk management plans assessed were structured according to the required format, which was good to see, and therefore had the potential to act as a firm foundation upon which to build a robust risk management plan.
- (e) There had been a referral to the approved premises in 11 cases in the sample. In almost all cases the referral was assessed as appropriate, and in all cases it was accepted. We did not see any cases where there should have been a referral but one was not made.

Areas for Improvement:

- (a) There were 17 cases where the RoH screening was not accurate. In several cases this was due to offender managers not picking up significant information from previous convictions or assessments written during earlier orders.
- (b) Although a full RoH assessment was completed where required in the vast majority of cases, the overall quality of this assessment was sufficient in only 57% of cases. One pattern noted by the inspection team was that there appeared to be a lack of ownership of the OASys assessment, particularly in the case of less experienced PSOs, which made it unlikely that the offender manager would proactively review and improve upon an OASys written at the PSR stage.
- (c) In 27% of cases the RoH screening and analysis did not draw sufficiently on assessments from MAPPA and other agencies including prisons and the YOS.

- (d) Insufficient attention had been paid to victim issues in 54% of cases. The low profile of victim issues in PSRs was likely to have compounded the gaps in the subsequent risk analyses.
- (e) In four out of seven cases (57%) there was no acceptable explanation about why a full RoH analysis had not been completed when the screening document indicated that it should have been done. A contributory factor to this finding were cases that had been sentenced on an FDR, usually to a stand alone unpaid work order. Area guidance held that a full OASys should only be completed post-sentence. However, we saw cases where risk issues evident in the screening had not been picked up and assessed more fully post-sentence, or used to inform the type of placement to which an offender was allocated. There was confusion amongst some offender managers regarding the area's procedures in relation to the completion of OASys. An alternative means of addressing this tension between RoH and tiering was through a court officer advising that the greater risks associated with the individual should lead to adjournment for an SDR instead.
- (f) Risk management plans in both community cases and licences were comprehensive in just over half the cases seen. Too often, they were lacking in specificity and the responsibilities of partners were not always clear.
- (g) The plan was completed within five working days of the order being made or of the offender being assessed as posing a high/very high RoH in 67% of cases (four of six). For relevant licence cases there was sufficient evidence of risk management planning prior to release in only 21% of cases. A factor in these scores being substantially lower than the area's own finding that all cases met the five day target was the fact that there were, on occasion, lengthy delays in the plan being countersigned by a middle manager. Although we were told by managers that contingencies were in place to ensure that countersigning took place, offender managers did not always appear to be aware of these measures or had any experience of them working as they should. The contingency to cover the one middle manager from the public protection team responsible for high and very high RoH cases was not sufficiently robust to ensure defensible decision making.
- (h) In 27% of relevant cases there was no evidence of effective middle or higher management involvement in the assessment of RoH issues. In respect of child safeguarding issues this figure increased to 60%. We encountered a number of risk assessments and risk management plans for both middle and high RoH offenders that had been countersigned by managers despite shortfalls in the quality of the assessment.

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.

80%

Strengths:

- (a) In 83% of cases an OASys score was calculated at the start of sentence or on release from custody. A further 11% had an OGRS2 score.
- (b) The overall quality of the assessment of the likelihood of reoffending was found to be sufficient in 79% of cases. Criminogenic factors were satisfactorily assessed in 83% of cases and positive influences identified in 85% of cases.
- (c) The OASys assessments on all five PPOs in the sample were comprehensive and completed within five working days.

Area for Improvement:

- (a) Where there were previous relevant assessments available, these were not drawn on in a quarter of the cases assessed. External key workers reported that they routinely provided information to offender managers based upon their contact with the offender, but did not always get a response back to inform them how this information had been used.

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.

72%

Strengths:

- (a) There was evidence that diversity issues and other individual needs had been actively assessed in 72% of cases. Where potentially discriminatory or disadvantaging factors had been identified, plans had been put in place to minimise their impact in 78% of cases. Poor recording meant that descriptions of the active assessment of diversity, which we heard from a number of offender managers, were not always reflected in the case file.
- (b) In 97% of cases a clear REM classification had been recorded.

Areas for Improvement:

- (a) A skills for life screening had been carried out at the start of sentence in 82% of cases. However, in the 41 cases where a full assessment had been indicated, this had been undertaken in only 68% of cases. This situation appeared to have led to cases where

offender managers continued to use methods that may not have been appropriate given the offender's likely basic skills deficits.

- (b) In 44% of cases the offender's intellectual ability, learning style, motivation and capacity to change had not been taken into account. The area had identified this as an area for improvement and intended to address some of these issues through an enhanced induction programme.
- (c) In 43% of cases full attention had not been paid to the methods most likely to be effective with the offender.

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.

68%

Strengths:

- (a) In 90% of cases the offender was allocated to the correct tier and in 89% the planning accurately reflected the tier. This represented a good start to ensuring that the right approach was taken with individual offenders.
- (b) The offender was allocated to an offender manager within the required time limits in 93% of cases.
- (c) In 79% of applicable community cases the ISP drew on other relevant assessments.
- (d) A number of national standards requirements for ISPs were met in an encouragingly high number of cases. For example, planned contact levels of each requirement were appropriate in 84% of cases. who would deliver the interventions was clear in 74% and 77% of arranged contacts were enforceable.
- (e) In 86% of relevant sentence plans, interventions were identified to address offending behaviour.
- (f) Steps had been taken to ensure that the offender fully understood the requirements of the sentence and the penalties should it be breached in 94% of cases.

Areas for Improvement:

- (a) 61% of ISPs had not been completed within the appropriate timescales. The timing and sequencing of interventions was sufficient in 49% and 51% of cases respectively.

- (b) The roles and liaison responsibilities of all workers in community and custodial settings were clearly set out in sentence planning documents in 54% of cases.
- (c) During sentence planning appropriate consideration was given, where relevant, to restrictive conditions/requirements designed to minimise RoH to others in only 57% of cases.
- (d) Where an offender on a community order was assessed as presenting a medium, high or very high RoH, the ISP outlined how the risk would be managed in 66% of cases. However, the interventions identified were assessed as likely to reduce or contain the RoH in a slightly higher 71%, which was more encouraging.
- (e) Interventions designed to promote community reintegration were identified in 58% of cases.
- (f) There was insufficient evidence that the offender had had the opportunity to participate in the planning process in 49% of cases. This finding reflected the area's own assessment that, although offender participation was actively sought, the "extent to which it is meaningful varies". Offenders we spoke to in interview were more positive, with most able to give examples of objectives.
- (g) Although it was noteworthy that all stand alone unpaid work orders had a sentence plan, we questioned their value, in that they were not shared with the offender and tended to include generic objectives that did not reflect information gleaned from the unpaid work assessment.
- (h) The overall quality of sentence planning was disappointing in 45% of cases. Plans did not shape supervision, focus on achievable change or set relevant goals for offenders in a third of cases.

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.

64%

Strengths:

- (a) Arrangements were put in place to prepare offenders thoroughly for interventions and reinforce new skills afterwards in 75% of cases.
- (b) There were some good examples of offender managers operating effectively and this was reflected in the findings. In over 70% of cases where there was more than one worker involved in the management and supervision of a case, there was evidence that the offender manager coordinated the input of all workers and of good communication between all staff and the offender.
- (c) There was also evidence of good communication between the offender managers and other workers involved in the case. However, some external keyworkers interviewed commented that, although the systems in place were very good, the quality of communication depended upon individual offender managers.
- (d) The offender manager was judged to have demonstrated commitment to their work with the offender and actively motivated and supported the offender in 71% of cases. The vast majority of offenders we interviewed knew their offender manager and described their relationship with them as 'good'.
- (e) Despite gaps in pre-release work, in 77% of relevant cases work in the community built sufficiently on activity in prison.
- (f) The sentence plan was reviewed at least every 16 weeks in 79% of cases and work with the offender flowed from it coherently in 77%. This correlation between planning and delivery contributed to 76% of sentence requirements being fully implemented. However, reviews should have incorporated other plans more effectively in 31% of cases.
- (g) There were ten cases in the sample that had been transferred in from other areas, of which two were high or very high RoH. It was good to see that in these two cases the risk management plan was both reviewed and updated by LPA within five working days. In 80% of all the transfer cases, the first appointment with the offender was made within five working days of being notified that the offender was living in the area.

Areas for Improvement:

- (a) There was insufficient positive, proactive and timely work between prison-based staff, offender managers and others to prepare offenders for release in the community in 43%, 35% and 53% of cases respectively.

- (b) Appropriate sequencing of interventions according to RoH and likelihood of reoffending was seen in 62% of cases.
- (c) Good transfer practice relies on both the transferring and receiving areas working to the correct standards. It was therefore of concern that only four of the ten cases were received with an up-to-date OASys assessment sent by the transferring area. Half of the cases were visited within ten days of the LPA being notified.

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.

73%

Strengths:

- (a) RoH to others had been reviewed no later than 16 weeks from the start of the sentence and again every 16 weeks thereafter in 76% and 81% of cases respectively.
- (b) Where a review of RoH was done there was evidence of ongoing planning to protect children in 73% of cases; such planning was evident in relation to the public, known adults and staff in 81%, 80% and 73% of cases respectively.
- (c) Where the case was being managed by MAPPA, the arrangements were used well and staff contributed to them effectively in 76% of cases. Offender managers and offender supervisors were invited to meetings as appropriate. However, in a small minority of MAPPA Level 2 cases, we felt that the meeting minutes did not cross-refer to the risk management plan well enough and that action plans were insufficiently robust.
- (d) There were 12 licence cases where the offender had been recalled in relation to RoH issues. It was positive that in the vast majority of these cases recall formed an appropriate part of the risk management process and that it was actioned properly.
- (e) A purposeful home visit to high and very high RoH cases took place within ten working days of sentence or release and was repeated as necessary in 78% of cases.

Areas for Improvement:

- (a) Offender managers did not always demonstrate a sufficient understanding of the dynamic nature of RoH. In 46 cases there had been a significant change which should have triggered a review of RoH; this was completed in just 61% of cases. Opportunities for recognising and reinforcing reduction in an offender's RoH were therefore also being missed. Changes in RoH were anticipated where

feasible, identified swiftly and acted upon appropriately in 69% of relevant cases.

- (b) More could have been done both to explain to offenders the reasons for reimprisonment following recall and to re-engage them in four of the 12 cases assessed.
- (c) Children’s safeguard issues were identified in relation to five offenders in the sample. Whilst home visits were employed effectively to monitor these concerns in three of these cases, this left two where they were not effectively employed.

Conclusion:

Performance against this criterion was good.

2.3 General Criterion: VICTIMS

Consistent attention is given to issues concerning victims.

70%

Strengths:

- (a) In statutory victim contact cases where the victim responded to our questionnaire, all three victims reported that good attention was paid to issues relating to their safety and that they were completely satisfied with the service provided to them. Victims we interviewed echoed this, stating that their safety was a top priority for the area and that the VLO provided them with an “invaluable service”.
- (b) We found evidence of a timely written offer of face-to-face contact to victims in the vast majority of cases where this was a statutory requirement. Information about the criminal justice process was provided to victims in a similar number of cases.
- (c) Where statutory victim contact had proceeded, all but one of the victims had been offered the opportunity to comment on the proposed licence conditions and a similar number had been informed of the offender’s release conditions.

Areas for Improvement:

- (a) The safety of victims or potential victims was an issue in 61 cases. Whilst this was given a high priority in an encouraging 61% of the cases, it meant that there were 24 cases where this was given insufficient attention. This was at odds with the evidence gathered from our contact with a small number of individual victims and suggested that, whilst there was clearly some very good work taking place around victim safety, this needed to be further embedded across the area.
- (b) Although there was evidence in the case files that victim awareness work had been undertaken with nearly two-thirds of offenders in relevant cases, there remained room for improvement. A ‘victim awareness pack’ had been produced and used effectively on occasion. However, we did not see much evidence of its use in the

cases in the OMI sample. Nonetheless, this figure represented an improvement on the finding in the ESI, where work around victim issues had been a recommendation.

Conclusion: Performance against this criterion was good.

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.

81%

Strengths:

- (a) In 90% of cases the offender was offered a full and timely induction following sentence to a community order or after release on licence.
- (b) The frequency of appointments conformed to the national standard and was sufficient to facilitate the requirements of the sentence in 85% of cases. The figure was 86% for unpaid work cases. Encouragingly, appointments were proportionate to RoH considerations and supported the achievement of sentence plan objectives in over 80% of cases.
- (c) Unpaid work sessions were deemed to be suitably demanding and of benefit to the community in over 70% of cases.
- (d) All of the five PPOs in the sample had received enhanced levels of contact and there was evidence of a pattern of reporting that supported all elements of the sentence.
- (e) Offender managers monitored attendance across all interventions in 92% of cases and, where necessary, effective action had been taken to ensure compliance in 90% of cases. In 86% of relevant cases where an exclusion and/or curfew requirement was in place, they were appropriately enforced with effective liaison with the electronic monitoring provider.
- (f) Judgements about unacceptable absences were consistent and appropriate in 90% of cases. Where required, breach action had been instigated and resolved within the required timescale in 86% and 73% of cases respectively. Almost all the offenders we interviewed, irrespective of their sentence, reported that they understood the rules in place around attending appointments. One offender said that his breach had been fair as it had been explained to him and he appreciated why he was now back on weekly reporting after having been on monthly. However, several external keyworkers interviewed stated that they were not always kept fully in the picture regarding the result of missed appointments with partner agencies, and questioned why appointments kept being made despite the offender not attending.

- (g) Almost all case records were well organised and recording of information was clear, timely and sufficient in over 80% of cases. Cases were adjudged to contain all relevant documentation in 77% of the sample.

Areas for Improvement:

- (a) The area had, until recently, been operating a 'pre-release team'. This system created discontinuity at odds with end-to-end offender management and had been discontinued, but this change took place after the case sample period under inspection. This was undoubtedly a factor in there being only 38% of cases where there was sufficient contact and liaison with the offender prior to release.
- (b) Unpaid work placements were matched to the offender in only 43% of relevant 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.

62%

Strengths:

- (a) Constructive interventions challenged the offender to accept responsibility for their offending behaviour and its consequences in 73% of cases.
- (b) Sufficient work and resources were directed at community reintegration in 78% of cases. Addaction provided an aftercare service for up to 12 weeks following completion of an order, with offenders subject to drug testing, and being signposted on to mainstream community resources, e.g. housing. There were a small number of MAPPA Level 2 and 3 cases in which it had been agreed that probation would maintain contact subsequent to the expiry of supervision. Specific examples included assistance in setting up a 'circle of support' for a MAPPA Level 3 sex offender whose supervision had to be undertaken outside Lincolnshire (due to no approved premises provision for sex offenders in the county) and voluntary contact being maintained for offenders who had recently left approved premises.
- (c) There was good access to learning and skills activities. ETE provision was offered Monday to Friday during the day and one evening each week across the county. LPA was committed to ensuring that all offenders could improve their literacy and numeracy skills if prior achievement was below GCSE grade C. Supervisors of unpaid work approached offenders' skills development positively and offenders were given opportunities to continue their learning after completion

of their sentence. Partnership working with Jobcentre Plus was particularly effective in ensuring the offenders were not disadvantaged with their benefits or the support they received for learning and skills and job-search activities.

- (d) The one approved premises in Lincolnshire offered a range of constructive interventions, for example motivational interviewing, and the majority of these interventions were featured in the ISPs of residents.

Areas for Improvement:

- (a) Offender managers prepared reports and attended review hearings as required in six of the nine DRR cases in the sample. However, where resource deployment meant that attending court was not possible, the area attempted to compensate for this by submitting full progress reports.
- (b) The inspection sample included 37 offenders who were subject to accredited programme requirements. Only 16 of these cases had commenced the programme as set out in the sentence plan and in 12 where this had not happened there was not a clear and acceptable explanation for it. Part of the area's difficulty in setting a realistic timetable for programmes was the reportedly low need for them in the area, comparative to the target. This resulted in delays in identifying enough offenders to start certain programmes, compounded by the challenges inherent in enabling offenders to access programmes run from central sites. These were therefore subject to cancellation at short notice, leading to frustration amongst offenders and offender managers alike.

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.

90%

Strengths:

- (a) Restrictive interventions were monitored fully in 82% of cases. Whilst all reasonable actions were taken to minimise the RoH in 75%, this did leave 14 cases where more could have been done.
- (b) Five offenders in the sample were in approved premises and in all of these cases the enhanced level of supervision was used effectively as a restrictive intervention. Offender managers and approved premises managers were clear about the role of the establishment in managing RoH. A recent government ruling meant that sex offenders were not permitted to be accommodated in the approved premises. This increased the demands on the area in managing the movement of such offenders across county boundaries.

- (c) Where additional licence conditions were imposed these were comprehensive, necessary and proportionate to the RoH and likelihood of reoffending in almost all cases seen.
- (d) In the two PPO licence cases where offending had been related to drugs, there were appropriate additional licence conditions.

Conclusion:

Performance against this criterion was good.

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

64%

Strengths:

- (a) The identified needs of offenders had been taken into account in arrangements for interventions in 82% of cases. The approved premises was seen to meet the needs of all five residents in the inspection sample. Transport was provided to support offenders to attend learning and skills, unpaid work and accredited programmes where they were affected by rural isolation. The area worked hard to provide interpreters to support interviews with offenders who had difficulty with spoken English. We also saw some good examples of offender managers accommodating other individual needs and personal circumstances, including employment and childcare commitments, and evidence of sensitivity to offenders from the travelling community.
- (b) Offenders were clearly informed that discriminatory behaviour would not be tolerated in 94% of cases. This was confirmed by the comments of offenders in individual and group interviews. Offenders in approved premises were also informed of the guidelines through induction and posters on the walls.
- (c) Issues of literacy and dyslexia were identified in 45 cases and were appropriately addressed in 71% of these.

Areas for Improvement:

- (a) Sixteen offenders presented with disabilities, including physical impairment, mental health and learning difficulties. These issues had been appropriately considered in ten of these cases, but this left some room for improvement, and the area had plans in place to address these issues in a revised offender induction pack.
- (b) In the three cases where a singleton placement in a mixed setting had been arranged, there was no evidence in the offender manager's file that the informed consent of the offender had been obtained.

Conclusion:

This criterion represents a priority for improvement.

3. ACHIEVEMENT AND MONITORING OF OUTCOMES

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

62%

Strengths:

- (a) OASys had been rescored in 76% of cases. This provided the area with a source of rich data from which to test hypotheses about what worked in terms of addressing offending behaviour with offenders under its management.
- (b) Offender managers were generally responsive once a perceived change in RoH had been identified. In 19 cases the offender's behaviour gave rise to an increase in restrictive interventions, and in nine cases such interventions were reduced when the offender had demonstrated progress. There were also a small number of cases where the interventions delivered resulted in the offender moving to a lower or higher tier.
- (c) Most offenders who either completed the HMI Probation questionnaire or were interviewed said that they were less likely to reoffend as a result of the work of the probation area. 78% of the sample had not been cautioned or convicted for an offence since the start of the sentence.
- (d) The resources allocated to 80% of cases were consistent with the offender's RoH, and 89% with the likelihood of reoffending. All of the PPOs were allocated sufficient resources. These were found to be used efficiently to achieve the planned outcomes in 75% of cases.
- (e) Evidence for the achievement of sentencing objectives was mixed. 86% of cases in all tiers experienced punishment and 90% of Tier 4 cases were adequately controlled.

Areas for Improvement:

- (a) There had been some direct benefits to the community as a result of the unpaid work undertaken by 71% of the offenders in the sample. The fact that nearly 30% of placements in the sample were not assessed as being suitably demanding and that some offenders from one of the worksites also commented on this, may have contributed to the finding.
- (b) The majority (59%) of offenders had complied fully with the requirements of their sentence, although this could be improved.
- (c) There were reported call-outs to addresses linked to the relevant perpetrator in 21% of domestic abuse cases; in a further 55% of cases there had been no call-out reports. However, it was of concern to find that in 24% of relevant cases, the offender manager had not sought information from the police about call-outs. It was

therefore unclear how successfully RoH was being managed or reduced in these particular cases.

- (d) Less than half the offenders who completed the HMI Probation questionnaire said that they had been made to think more about the victims of crime as a result of the work of the probation area. This was reflected in the sample, where there was evidence in only 28% of case that offenders had demonstrated increased victim awareness.
- (e) In 37 cases there had been no demonstrable benefit to the community from the sentence, e.g. reduction in seriousness or frequency of offending.
- (f) Half of the cases that had been rescored showed an improvement in the score. The factor most commonly linked with offending (81% of the sample) was thinking and behaviour. This was seen as the highest priority for 34 offenders, followed by drug misuse (21) and relationships (eight). 51% of offenders had made progress in tackling their most significant criminogenic factor.
- (g) There was evidence that learning outcomes and skills had been applied in only 43% of relevant cases. There had been an improvement in attitudes and behaviour in 37%.
- (h) Offenders in Tiers 2, 3 and 4 were being helped in 66% of cases. There was evidence that the 'change' objective was being met in only 38% of cases in Tiers 3 and 4.

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.

67%

Strengths:

- (a) 77% of offenders in the sample who had a criminogenic need that could be addressed by a community-based organisation had been made aware of where to find assistance.
- (b) Not all offenders needed help with long-term community reintegration issues, but where this was relevant it was given attention in 73% of cases.
- (c) 42% of offenders had had three or more offender managers. However, it was encouraging that, overall, changes in offender manager were judged to have had a detrimental effect in sustaining progress in the case in only nine of these 42 cases, suggesting that offender managers were working effectively in many cases to counteract the structural discontinuities.

Areas for Improvement:

- (a) Due to the high proportion of PSOs working in LPA, a level of discontinuity in offender management was inevitable, as in the majority of cases the PSR had not been written by the offender manager. Therefore only 6% of offenders had experienced one offender manager including the PSR author. Five out of the six offenders on the C-SOGP said that they had experienced changes in their offender manager during their sentence and the general feeling was that it was harder to build up good working relationships when the offender manager changed.
- (b) In almost half the sample structured sentence planning had not been given a high priority throughout supervision.
- (c) Offender managers took sufficient action to help the offender consolidate learning and reinforce new skills in 57% of cases.

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) The Area Business Plan 2006/2007 was modelled on the six priorities contained in the NPS's business plan for the same period. Explicit links were made to regional initiatives and to the SLA with the ROM. The area had set a number of area objectives against each priority; action plans specific to the objectives set out how the objectives would be translated into action during the year and the resources required to do so, and these plans were reviewed quarterly. The bi-annual collation of minutes and action points arising from meetings of the Leadership Fora provided a running commentary on delivery against the business plan and responsiveness to issues arising during the six-monthly periods.
- (b) Each objective in the business plan was assigned to a lead senior manager and the members of the SMT were clear about their individual responsibilities. All area policies were implemented with a review date. Existing policy had most recently been reviewed as part of the area's work to implement the guidelines in Probation Circular 15/2006. This review had led to the amendment of a number of policies and the introduction of a system of 'version control' to ensure that staff were operating to the most up-to-date procedures. Policies and procedures were communicated through the intranet, team meetings and individual supervision. 87% of respondents to the 2006 staff survey said that they were 'always or mostly aware' of the impact of new policies and procedures on themselves and their teams. Most staff who took part in inspection meetings, and 72% of those interviewed individually, agreed they were well informed.
- (c) The central plank of liaison arrangements with sentencers was the jointly funded annual conference. Bench Chairs played a part in determining the topics for presentations at the conference, in order that issues of concern to sentencers were addressed. The CO and Courts ACO met with the District Judge who sat in courts throughout Lincolnshire and the Courts SPO attended meetings with sentencers at the Crown Court to discuss issues such as timeliness of report provision. The area also dedicated one day a year to developing practices with magistrates. 94% of sentencers surveyed reported that they were satisfied with liaison arrangements with the probation area, and a similar number said that they received the information they needed on current probation policy and practice.

(d) There was evidence in the business plan of a link to the Regional Reducing Reoffending Action Plan, 'Changing Ways'. The ROM's office reported that the area's commitment was shown by its participation in each of the work streams, and by the invitation of the ROM to lead on this to the Leadership Fora. The SMT had received a presentation on Every Child Matters and, as part of its contribution to the JAR, the area subsequently reviewed its contribution to the Five Outcomes for Children and Young People.

(e) Strategic partners felt strongly that the area was proactive in its engagement with them and demonstrated an innovative and problem solving approach, setting the benchmark for performance management. The CO's involvement with key partners extended beyond sitting on the relevant steering groups and boards. For example, he line managed the YOS manager and attended DAAT away days. The CO and several members of the SMT were active members of the LCJB and a communications manager operated three days each week for the area and two days on secondment for the LCJB, working to support the delivery of the various Board sub-groups.

Impending rationalisation of the existing seven CDRPs into four was set to make it easier for the area's managers to contribute effectively. The Chair of the Board also chaired the Lincolnshire Supporting People Strategy Group and had ensured that the accommodation needs of offenders were given increasing consideration following a critical Supporting People inspection in 2006. The area felt that the recent introduction of the LAA would improve engagement still further through its representation on the Safer Stronger Communities Board.

(f) The area led on MAPPAs in Lincolnshire and an ACO chaired the SMB. Meetings were well attended and included representation from a 'Victim Panel' and by lay members. The SMB closely monitored the management of Level 3 cases through analysis of the caseload and attendance rate of each agency. A similar mechanism operated with Level 2 meetings. The MAPPAs SMB was beginning to forge links with Supporting People structures to promote shared learning on public protection matters. The area had well-developed links with the LSCB that had led to initiatives such as 'Leisure Watch', whereby staff working in the leisure industry, e.g. swimming pools, were trained to recognise risky behaviours in adults. Training for probation staff on child protection had raised the profile of safeguarding children requirements. The MAPPAs ACO had also chaired Serious Case Reviews. The Regional Manager commented that the area had demonstrated "an integrated approach to the implementation of Probation Circular 15/2006".


(g) A high degree of commitment to diversity was apparent at a strategic level and this was evidenced in the area's approach to staffing and service delivery. The 'Diversity and Race Equality Scheme Action Plan 2005/2008' had been relaunched in Leadership Fora and in unit meetings, and progress against the areas for improvement was

reported on quarterly. An offender travel policy had been written to meet the challenge of rurality and was awaiting Board approval. The county had experienced a huge increase in 'white other' groups over the last few years and the CO and ACO interventions were active within the LCJB in promoting engagement with these emerging minority communities. The area's Disability Equality Scheme had been commended by the NPD.

- (h) There was evidence that the service user perspective was taken into account in planning processes. The 'Victim Panel' was an initiative that ensured the victim perspective was represented on the MAPPA SMB and that the planning for the management of high and very high ROH offenders was informed by this perspective.
- (i) The ROM reported that engagement with the ROM team by the area had been 'excellent'. The commitment of the Board Chair and CO to the SLA process was shown by their involvement at all stages of the review cycle and, as a result, the SLAs were on target for signing by the deadline. The Board Chair and CO attended ROM led meetings such as the 'Regional Consultative/Collaborative Forum' and one-off meetings as required. The area had reported to NOMS following its OASys quality assurance self-assessment exercise and had identified practitioners' training requirements for inclusion in the 2007/2008 training plan.
- (j) The ESI had found Lincolnshire to be a well-managed area, with strong governance by the Board and a cohesive and committed SMT, and this remained the case. Leadership Fora were good opportunities to involve all managers in determining the strategic direction for the area. Partner representatives reported that there was a good level of 'corporacy' between middle and senior managers in the area, reinforcing the impression that individuals understood how their role contributed to the achievement of organisational goals. The CO provided visible leadership, having undertaken five staff briefings outlining the likely changes with the advent of NOMS, and the 'Phone the Chief' initiative, whereby staff were invited to contact the CO with issues they wished to discuss, remained a useful resource. The CO, along with the Chair of the Board, had also undertaken a 'Roadshow' in 2006. Almost all sentencers consulted rated probation managers as effective.
- (k) The area was responsive to the findings of regulatory bodies. The prospect of external scrutiny appeared to be treated as a learning opportunity rather than a potential threat, at all levels of the organisations. An example was the level of assistance provided to the Prisons and Probation Ombudsman by area managers and staff during his investigation into the circumstances surrounding the death of an offender.

Areas for Improvement:

- (a) A challenge for the area and its partners was how to successfully engage with the transient minority ethnic populations in the county and how best to utilise limited resources for specific work such as



translation services that was required by all agencies. Although it was creditable that the area was taking a lead in this regard through its contribution to the LCJB subgroup and representation at the community cohesion conference, it recognised that further joint work was required to establish a coherent criminal justice system approach to disability and diversity issues.

- (b) 60% of the 43 offender managers interviewed said that managers in the area demonstrated professional management approaches and 65% reported that they modelled positive leadership behaviour. A significant minority of offender managers described management as 'poor' in both respects. However, comments made by staff suggested that issues tended to be with individual line managers, rather than being reflective of management in the area as a whole. A number of offender managers also said that the pressure involved in the drive toward targets was a major factor in their response. A recent work related stress survey of Lincolnshire staff identified a potential problem as being a lack of support from managers.

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

Well met

NPS Performance Data	Target	April-December 2006	
		Lincolnshire	England and Wales
Enforcement: breach taken where required within ten working days: all orders/licences	90%	98%*	92%*
Offender compliance: proportion of arranged appointments attended in first 26 weeks	85%	83%*	82%*
Accredited programme completions: % performance in relation to target	100%	76%	104%*
Unpaid work completions: % performance in relation to target	100%	111%*	106%*
DTTO/DRR starts: % performance in relation to target	100%	118%*	94%*
DTTO/DRR completions: % performance in relation to target	100%	106%*	102%*
Skills for life: % performance in relation to starts	100%	170%*	104%*
Sickness absence: average days absence	9 days	9.0*	11.2
Court report timeliness	90%	80%	76%
Accurate and timely ethnicity data	95%	100%*	96%*
Home Secretary's Race Equality Employment Target for 2009	(East Midlands Region) 7.2*%	11.1%*	
Proportion of victims of serious sexual/violent offences (where offender sentenced to custody of 12+ months) offered contact within eight weeks	85%	99%*	92%*
RoH assessments and plans for high RoH cases completed within five working days of start/release	90%	100%*	92%*
RoH assessments and plans for PPO cases completed within five working days of start/release	90%	100%*	93%*
Offenders into employment: % performance in relation to target	100%	111%*	121%*
Offenders into employment, retained for four weeks: % performance in relation to target	100%	89%	106%*

Joint 'end-to-end' targets on enforcement for LCJB	Target	April-December 2006	
		Lincolnshire	England and Wales
Average time to resolve community penalty breach proceedings from relevant unacceptable failure	No more than 35 working days	41 days	44 days
Proportion of all breach proceedings resolved within 25 working days of relevant unacceptable failure to comply	50%	47%*	47%*

* Asterisk indicates target was met or is 'near miss'.

Strengths:

- (a) There was a strong commitment to being a high performing area. A focus on national targets facilitated by the 'performance and excellence manager' had helped the area to perform consistently well on the NOMS' weighted scorecard over the past few years and the area was ranked third in Performance Report 23. Performance was at or above target on most measures, including skills for life awards, getting offenders into employment and sickness absence levels. The area had also exceeded most targets linked to the PS+3 pilot. However, obtaining accurate information about the number of offenders who retained employment for four weeks had proved challenging, and the area needed to ensure that it had in place robust systems to report on this target.
- (b) Information on performance against national targets and objectives in the business plan was collated in the 'Lincolnshire Area Board Performance Monitoring Information' report and submitted to the SMT on a quarterly basis. A clear traffic light business risk system facilitated a focus on priorities for improvement, with 'grave' risks resulting in specific action plans, the delivery of which was the responsibility of a named ACO. Representatives from partner agencies were invited to attend the Scrutiny Committee (made up of members of the Board) to help explain reasons for underperformance. For example, the contribution of the DAAT and Addaction had helped the area address underperformance on DRRs and exceed both of the relevant targets. Targets were incorporated into individual appraisal objectives to ensure that each member of staff understood what was required of them.
- (c) The area had maintained its initiative noted in the ESI report whereby each member of staff had an appraisal objective relating to diversity. In some cases this involved undertaking a specific piece of work for the area; in others it was a commitment to increasing personal knowledge. This helped ensure that awareness of diversity issues was not lost in the drive toward meeting targets.
- (d) The area was involved in a national working party looking at OASys reporting, with a view to improving the quality and timeliness of assessments. There was also considerable regionally-based work to prepare for contestability. A regional business manager had been appointed and a regional business development plan agreed. The outcome of a regional mock bidding exercise around unpaid work was being analysed, with recognition of the challenges inherent in commissioning. The CO chaired the Regional Offender Management Group that reported back quarterly to the Regional Forum.

Areas for Improvement:

- (a) The area was beginning to analyse and segment data on offenders and staff by race and gender, with a view to highlighting and addressing inequalities.
- (b) Performance on accredited programmes completions remained stubbornly beneath the target. Part of the context for this was a

disproportionately high target for the area. This had been taken into account in the new SLA with the ROM, in which the target for 2007/2008 had been reduced by a third from its 2006/2007 level.

- (c) The timeliness of court reports was proving an ongoing challenge, as it was nationally.
- (d) Performance in relation to the LCJB joint target on the average time to resolve community penalty breach proceedings needed to improve, although the area was performing better than the national average.

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) The area had planned carefully for the introduction of offender management and the SMT had been restructured to support the transition. A new financial management framework was being developed and all managers had received budget training to help those holding devolved budgets to manage their resources effectively.
- (b) The budget was tightly controlled by the CO and ACO (Finance) in the face of increasing demands, such as the growing need for translation services and spiralling staff travel and parking costs. Staff and offender travel policies were awaiting Board approval and staff travel costs had been brought back in line with the budget through greater oversight by middle managers.
- (c) Resources were deployed with RoH as a clear priority. 54% of area resources were allocated to Tier 4 high RoH and PPO cases. A public protection team continued to manage offenders deemed to present a high RoH. Caseloads held by offender managers in the public protection team were lower than those held by staff in generic OMUs. Findings from the cases inspected confirmed the area's self-assessment that PPOs were receiving the premium service required. Clear practices were in place to ensure that PPOs could be fast tracked into available interventions.
- (d) The geography of the area, in particular the distances between office bases and unreliable transport links, created particular operational challenges for the Lincolnshire area. These factors had had a real impact on the deployment of staff in response to workload fluctuations and in service users accessing the full range of services provided by the area. The area had striven to tackle these issues and minimise the obstacles they presented to effective offender management.

- (e) The area had a well regarded Minority Ethnic Support Forum, which had direct access to the CO and the Board member with responsibility for diversity issues. Resources had been dedicated to a number of diversity initiatives. For example, data on racially motivated offenders were collated on a monthly basis and a one-to-one programme was now available, with tutors trained, to work with such offenders. Arrangements were in place to audit the quality of supervision with racially motivated offenders, though numbers were too low for any conclusions to be drawn at this stage. In addition, improved signage to cater for the needs of offenders for whom English was a second language and those with visual impairment had been purchased and installed at two area offices.
- (f) Lincolnshire had been one of the first probation areas to integrate the workload measurement tool into operational practice. The tool had required some refinement to reflect local workload issues. Business support staff entered all staff 'extractions' (e.g. training, annual leave, sickness absence, etc.) into the workload measurement tool, which allowed managers to assess their team's capacity to meet workload demands at a given time and adjust workloads accordingly. Staff interviewed were generally clear about how allocation decisions were made and felt that, in the main, there was an equitable distribution of resources across the area.
- (g) There was evidence that the area had sought to maximise the resources available to it. For example, there had been a successful bid for a Prison Service Plus project, in conjunction with LAT, that had brought resources into a key area of practice: the ETE of offenders. The Healthy Living Centre Project was originally funded by the National Lottery and continued to be managed by LPA in partnership with the NHS, HM Prison Lincoln and the LAT. It was entering its fifth year and the area was exploring options for mainstreaming this work with offenders, which was identified by the ESI as an example of good practice.
- (h) Part of the area's protocol with HM Courts Service included local arrangements for delivering FDRs in courts where there was no permanent probation base by way of adjournment to a neighbouring busier court, an arrangement which had, in appropriate cases, reduced adjournment periods from 15 to less than five working days.

Area for Improvement:

- (a) Whilst the knowledge and skills of probation staff in court were recognised by all sentencers who completed the questionnaire, concerns were expressed by the majority of respondents that staffing levels were not always sufficient to provide appropriate information to aid sentencers in decision making. However, these comments needed to be seen in the context of the area's 'best value analysis', which highlighted that it was not viable to staff smaller courts through which little business was generated to the level some local magistrates felt necessary.

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) The area closely monitored the adequacy of staffing in terms of vacancy rates and the availability of staffing against each of the three strands: Offender Management, Interventions and Corporate Services. This information and other data on turnover and health and safety were contained in an HR report that was submitted to the SMT by the ACO HR on a quarterly basis, and was used to inform workforce planning. This enabled the best possible fit between staff profile and service delivery requirements to be made, within the constraints of the staffing profile.
- (b) A comprehensive 'Offender Management Handbook' had been produced and distributed to staff that outlined how OMUs operated in the offices large enough to support them, and how tiering should determine the composition and approach of individual offender management 'teams'. As a result, staff role boundaries were well defined within the offender management arrangements in Lincolnshire. 95% of staff interviewed were clear about their roles in these arrangements and many commented on the improvements in internal processes and communication since the advent of the model.
- (c) A strong relationship with trade unions had been developed that was epitomised by the involvement of unions in various working groups set up by the area. For example, unions had been engaged in the partnership review group assessing the area's implementation of Probation Circular 33/2006, and had also participated fully in the implementation of the job evaluation scheme, where union representatives were trained to sit on matching panels. Constructive and frank dialogue was underpinned by regular meetings between the CO and union representatives.
- (d) The area had met the staff sickness target set by the NPD but was not complacent about performance. A working group with trade union involvement had been set up to identify well-being strategies and a bid was put in to the NPD for money to ensure that the HSEs 'five steps to risk assessment' were addressed. The bid was partly successful and the area commissioned a 'staff stress survey', which was completed in March 2007. Follow-up focus groups facilitated by ACAS are planned to identify solutions to problems and to ensure that action is taken where necessary. 88% of staff interviewed reported that they were clear about the procedures the area had in place to address staff sickness absence.
- (e) 80% of staff interviewed said that they had received supervision at least every six weeks over the last 12 months. 76% of respondents described the quality of supervision as 'sufficient' or 'excellent', although 16% described it as 'poor', which was of concern. The area

had recently conducted a survey into supervision and appraisal. 91% of those surveyed 'always' or 'mostly' had the opportunity to discuss personal development issues, which was encouraging.

- (f) The vast majority of staff interviewed had had an appraisal in the last 12 months and a similarly high proportion confirmed that it was linked to the business plan. However, the results of the area's own survey suggested that there was a need for the appraisal process to be made more meaningful.
- (g) The area complied with the monitoring duty set out in the Race Relations (Amendment) Act 2000 employment requirements, with quarterly monitoring in respect of the number of black and minority ethnic and disabled staff, gender, interviews, appointments, access to training and grievance and discipline. 72% of staff had completed an ethnic monitoring questionnaire in the last 12 months.

Areas for Improvement:

- (a) Although the area had a comprehensive, costed training plan that incorporated both core training for all operational and administrative staff and development needs identified during supervision and appraisal, nearly a third of offender managers interviewed did not think that their training and development needs were being met. (The figure was 29% for POs and 37% for PSOs.) Of the four TPOs we interviewed, two reported that they felt insufficient attention was paid to appropriate learning opportunities to support their professional development. All the staff who completed the area's own supervision survey said that they discussed their training needs in supervision at least once; suggesting that accessing training or coaching was more the issue.

For some offender managers, particularly PSOs, this dissatisfaction reflected changes of role within the offender management model for which they felt unprepared. The area reported that the sample had included a number of cases managed by a cohort of new PSO staff. However, comments made in interview suggested that frustrations with training and on-the-job coaching were not constrained to the period of an individual's first few weeks of employment.

The ESI highlighted that one consequence of the area having a relatively high proportion of PSOs to POs was that some PSOs were managing challenging cases. The ESI report noted that whilst "*many were doing so very competently; a few, however, expressed a lack of confidence in their skills*". We would echo this finding, particularly in relation to inexperienced PSOs managing complex Tier 3 cases, where we did not routinely see the outcome of the support, formal or informal, that was reportedly taking place within OMUs.

- (b) The area was below target for black and minority ethnic staff representation (1.83% v 2.6%). It had attempted to address this through the Staff Engagement Group of the LCJB without much success, and three multi-agency 'positive action' recruitment events

during 'Inside Justice Week' also had had little impact. It would continue to be an objective for the LCJB in 2007/2008.

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

Partly met

Strengths:

- (a) There was good evidence that monitoring and evaluation was regularly discussed by staff groups in the area and practice modified as a result. In addition to such discussions taking place in the Leadership Fora, the performance and excellence manager produced monthly caseload report information for managers. In response to the performance issues relating to DRR during the first two quarters of 2006/2007, the performance and excellence manager, in consultation with the lead DRR manager and staff, developed a bespoke caseload report. This report allowed for greater forecasting, enabling the team to adapt resource deployment, which helped the area achieve an increase in completions.

There was also evidence from PPO multi-agency strategy and delivery groups of information being used in a constructive way to improve service delivery.

- (b) The area had decided to model the practice used in serious case reviews by producing 'Executive Summaries' for serious further offences, in order that learning and action points could be more simply and effectively communicated to staff on the ground. There was evidence that practitioners found this process useful in understanding why they were being asked to do things differently, as opposed to feeling actions were being imposed upon them. The area had proposed that such summaries were used at a regional level, with a view to creating a database to share the learning from serious further offences, and this suggestion had been positively received by the Regional Manager and neighbouring areas.

Areas for Improvement:

- (a) The arrangements for collecting and using outcome data to improve the quality of provision were not well developed. For example, ETE data could have been used more effectively to compare performance between different groups of learners. This was acknowledged by the SMT as an area for improvement.
- (b) There was no evidence that the area made regular use of concordance data or evaluated the link between sentencing proposal/disposal and successful outcomes. Without this, it was harder to evaluate the effectiveness of the liaison with sentencers.
- (c) Despite several examples of the service user perspective being sought by the area, there was limited evidence of the information gathered routinely being evaluated to improve service delivery.

- (d) The area was in the process of profiling offender needs by tier and location to clarify the extent of the apparent mismatch between offender need, the number of programme requirements made and the availability of programmes. It was felt that more effective matching of need with programme requirement would reduce offender attrition both before and during programmes. This work was yet to be completed at the time of inspection.

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

Satisfactorily met

Strengths:

- (a) Strong working relationships at a strategic level enabled the area to play an active role in commissioning bodies such as the DAAT and Supporting People. Representatives from commissioning bodies spoke highly of the commitment of senior probation managers. The introduction of the LAA was expected to promote joint commissioning arrangements.
- (b) Work was well under way to prepare the area for contestability and to ensure that it was seen as the 'provider of choice'. A contracts manager was appointed by the area in 2006 and had been involved in renegotiating SLAs using a standardised template that set out information sharing requirements. The SLA with LAT was the blueprint for future agreements. Budget plans had been developed to achieve the 5% spending target with the voluntary, community and private sectors. The area had developed a marketing strategy in preparation for contestability and was heavily involved at a regional level in stress testing current arrangements.
- (c) Substantial evidence existed of OASys assessment data being used to map and meet need. Aggregated data on the accommodation needs of offenders, prepared for the area's Accommodation Strategy 2007-2009, were fed into the Supporting People countywide needs analysis. This contributed to a re-evaluation of the provision available locally for offenders and PPOs in particular, and a recognition amongst that support provided needed to be sufficiently robust to contribute to the prevention of reoffending. This was particularly important, as an area for improvement from the Supporting People inspection was for the LPA to raise the profile of offender needs within Supporting People.
- (d) Recognition within the area of the lack of community resources to address alcohol misuse had led to the introduction of LIAM, which was now working well, with good retention rates. Although the area was clearly target driven, it would prioritise meeting offender needs even if it meant compromising the achievement of a target. For example, increasing the number of IDAPs at the expense of ETS, with the consequence of reduced completions.

- (e) Where other services were used in the sample, offender managers regarded them as sufficient overall in 76% of cases. There was particularly constructive use of specialist services in many cases and these were generally found to be effective in addressing issues such as: education and training, employment and psychology and psychiatry.
- (f) The ROM's office reported that the area's commitment to the Regional Reducing Reoffending Action Plan was shown by its innovative participation in each of the work streams.
- (g) As outlined in previous sections, the area provided translation services for minority ethnic offenders, with a range of languages being catered for. A further example of services having been developed to support work with minority groups was the partnership between the area and HM Prison Service, that saw an unpaid work supervisor manage a group of female offenders in the community. The joint project had been running for more than six months and now involved two work parties a week. The parties had completed a decorating project at a primary school and there had been some valuable outcomes for the offenders involved, such as skills development and an opportunity for community reintegration.

Areas for improvement

- (a) There were 12 cases where some concerns had arisen about the working arrangements between prison and offender managers that had an impact on the smooth transition of prisoners to the community. In addition to the challenges presented by variable OASys connectivity, there were some cases where offender managers had not been able to obtain information they had sought from the prison. The quality of information coming from prisons about offenders who had been discharged to the area, regarding their learning and skills assessments and achievements, was unreliable.
- (b) Offender managers identified gaps in service provision that impacted on the effective offender management of 25% of cases. The most prevalent criminogenic factor was in relation to alcohol provision. Addaction, who provided drug misuse interventions, only assessed for alcohol misuse. Offender managers commented that offenders had to score very highly to trigger further intervention but that this threshold was difficult to attain. The area, as outlined above, had taken some steps to address this deficit through LIAM, but it was targeted at low need offenders only.
- (c) The SLA with the YOS, governing issues such as the transition of cases from the juvenile to the adult estate, required updating.
- (d) There was limited evidence that the user perspective was a key factor in commissioning, maintaining or decommissioning services. For example, a conclusion drawn by the Supporting People needs analysis was that appropriate means of conducting consultation with offenders needed to be established.

APPENDIX 1
Contextual information

Caseload at end of September 2006

Total caseload	2,173
% <i>White</i>	97
% <i>Minority ethnic*</i>	3
% <i>Male</i>	87
% <i>Female</i>	13
Number of cases subject to MAPPA:	185
Level 1	71
Level 2	108
Level 3	6
Number of PPO cases	41
* Excluding cases for which ethnicity information is not available.	

The local definition of a PPO case – on which the above figure is based – is *any individual who is assessed by the local management body of PPO schemes in Lincolnshire as being a PPO.*

Total revenue budget in 2005/2006: £8,427,000

Total revenue budget in 2006/2007: £8.804, 000

Approved premises: Wordsworth House – capacity = 18

APPENDIX 2

Inspection model, methodology and publication arrangements

Model

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

Methodology

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

Publication arrangements

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

APPENDIX 3

Scoring Approach

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

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

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

Section 1: Assessment and sentence planning

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

Section 2: Implementation of interventions

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

Section 3: Achievement and monitoring of outcomes

- 3.1 Achievement of initial outcomes
- 3.2 Sustainability of progress

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

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

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

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

Section 4: Leadership and strategic management

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

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

APPENDIX 4

Role of HMI Probation

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

Home Office Objectives

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

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

Role

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

Code of Practice

HMI Probation aims to achieve its purpose by:

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

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

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