



OFFENDER
MANAGEMENT
INSPECTION
INSPECTION

A report on Offender Management in
North Yorkshire

An inspection led by
HM Inspectorate of Probation

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FOREWORD

The North Yorkshire Probation Area acquitted itself very well in this inspection. The results were particularly pleasing following a disappointing result in the area's Risk of Harm Area Assessment earlier in the year. This achievement reflected well on the combined efforts of the Chief Officer and Board, senior management team and staff.

The inspection showed the ability of the organisation to recognise performance shortfalls and bring about improvements. The area had engaged well with external stakeholders and, through its contribution to partnership working, had been able to access a wide range of interventions to underpin its work with offenders. It was also held in high regard for its contribution at strategic and operational levels to work on public protection.

Inevitably, the inspection revealed areas that required further attention and the report contained recommendations for improvements in areas relating to addressing offenders' basic skills needs, the integration of victims' issues into pre-sentence reports and risk management plans, offender assessment systems rescoring and the use of offender outcome data in informing service delivery. The area also recognised that it needed to integrate a service user perspective into its planning processes.

Given the professionalism demonstrated by staff, and the capable leadership provided by managers within the organisation, we are confident that the area will use the findings from this inspection to bring about further improvements in its services.

ANDREW BRIDGES

HM Chief Inspector of Probation

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We would like to express our thanks to the North Yorkshire 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

CDRP	Crime and Disorder Reduction Partnership
DAAT	Drug and Alcohol Action Team
ETE	Employment, Training and Education
FDR	Fast delivery report
HMI Probation	Her Majesty's Inspectorate of Probation
HMP	Her Majesty's Prison
HR	Human Resources
IDAP	Integrated Domestic Violence programme
IPPF	Integrated Probation Performance Framework
LAA	Local Area Agreement
LCJB	Local Criminal Justice Board
LIAP	Low Intensity Alcohol programme
LoR	Likelihood of Reoffending
MAPPA	Multi-Agency Public Protection Arrangements
NSPCC	National Society for the Prevention of Cruelty to Children
NOMS	National Offender Management Service
NYPA	North Yorkshire Probation Area
OASys/eOASys	Offender Assessment System/electronic OASys
Ofsted	Office for Standards in Education
OM	Offender Manager
OMI	Offender Management Inspection
PPO	Prolific and other priority offender
PROMS	Process Mapping System
PSR	Pre-sentence report
RoH	Risk of Harm
RoSH	Risk of Serious Harm
SFO	Serious further offences
SMT	Senior Management Team
UPW	Unpaid work
VLO	Victim liaison officer
YOT	Youth Offending Team

SUMMARY

Assessment and Sentence Planning

The overall quality of assessment and planning in North Yorkshire was of a high standard. The area was to be congratulated on its commitment to undertaking good quality assessments on all cases. Reports for court contributed positively to the sentencing process. An accurate assessment of the likelihood of reoffending and the capacity of the offender to engage with appropriate interventions were found in a high proportion of cases. A clear strength was that offender managers actively assessed the diverse needs of offenders and put plans in place to address barriers to effective supervision. The inclusion of victims' information in pre-sentence reports needed to be improved however. There also needed to be a more consistent approach to assessing the basic skills needs of offenders so they could benefit from the resources available.

Implementation of Interventions

Offenders were prepared well for interventions and there was a good level of communication between all workers and offenders. Reviews of sentence plans were mostly completed on time although more effort needed to be made to secure the offender's engagement in the process. Enforcement practices were efficiently carried out and innovative approaches to securing the compliance of offenders had been introduced. The work with victims in statutory victim contact cases was undertaken to the required standard and work with offenders to raise their awareness about the impact of offending on victims was routinely seen. Home visits were made in the majority of cases in accordance with the national standards, but needed to be undertaken more proactively in those cases where there were child safeguarding concerns. Attention was paid to the needs of individual offenders and there was a good range of interventions available for offender managers to use. Although offenders sentenced to unpaid work could access education, training and employment resources, this provision was underused as liaison between offender managers and unpaid work staff needed to be improved, as did the attention given to matching offenders to their unpaid work placements. Further work was needed to increase the level of offender manager contact with prison-based offender supervisors. Attention being paid to addressing offender community reintegration was seen in most cases and there was an appropriate premium service being used in the management of prolific offenders.

Achievement and Monitoring of Outcomes

Achievement of sentencing objectives was strong in relation to punish, help and control. Evidence of offenders achieving change was less prominent. The resources used were consistent both with levels of assessed Risk of Harm and Likelihood of Reoffending. The offender assessment system was being routinely rescored but improvements were found in the factors linked to offending in only half of the cases. Offender compliance rates were good and resources had been used efficiently to

achieve planned objectives in most cases. A number of cases did not have evidence to show that offender managers had ensured that sufficient action had been taken to consolidate offender learning and reinforce new skills. Despite the high levels of victim-related work undertaken with offenders, we did not find that increased levels of victim awareness were recorded in case files.

Leadership and Strategic Management

A clear and refined planning process, with in-built reviews was supported by effective process mapping and communication systems. The Board had adapted its systems to ensure it had good knowledge, and oversight, of the work of the area. Close work with partnerships was an important strand to the work of the area. Its engagement with, and contribution to, partnership work was commented on favourably by strategic leaders from other agencies. This work had contributed to the area being able to access a wide range of interventions to address offender needs. Performance against national targets was consistently good and showed the ability of the organisation to recognise and respond to any performance shortfalls and bring about improvements. The organisation used its workforce and workload planning processes to deploy and develop its staff effectively, although some groups of staff said they felt they were not clear about the policies and procedures that applied to their work. Others felt that training arrangements had not been developed to address their specific responsibilities. The area had a clear system to address offender manager workload issues. The quality of supervision was generally good, although the frequency required attention in some cases, and almost all staff participated in the appraisal process. Monitoring and evaluation of offender outcome data had taken place, largely on a project basis, and could have benefited from being framed within a more cohesive approach. North Yorkshire played a full part in local commissioning activities and had also entered into innovative partnership arrangements to share the costs of some of its activities with a neighbouring probation area.

Risk of Harm

The assessment and management of Risk of Harm was strong in North Yorkshire. This showed considerable and commendable progress in this aspect of work since the inspection work done in the area earlier in 2008. Screening for the level of Risk of Harm posed by an offender and, where necessary, full analyses were generally done on time and accurately. Offender managers were responsive to changes in the level of risk. Inclusion of relevant victims' information in Risk of Harm assessments was an aspect of this work that needed to be improved and, as a consequence, risk management plans did not always sufficiently address victims' issues. The management of cases posing a high Risk of Harm was given a high priority. Multi-agency public protection arrangements were used efficiently to support work with high Risk of Harm offenders, and the area worked well with its partners to ensure that most of the cases dealt with by those processes were well managed.

SUMMARY OF SCORES

Outlined overleaf in chart 1 are percentage scores for each offender management inspection criterion and for each of the sections 1-3.

Chart 1: Scoring of sections 1-3:

Offender Management Inspection: North Yorkshire (November 2008)

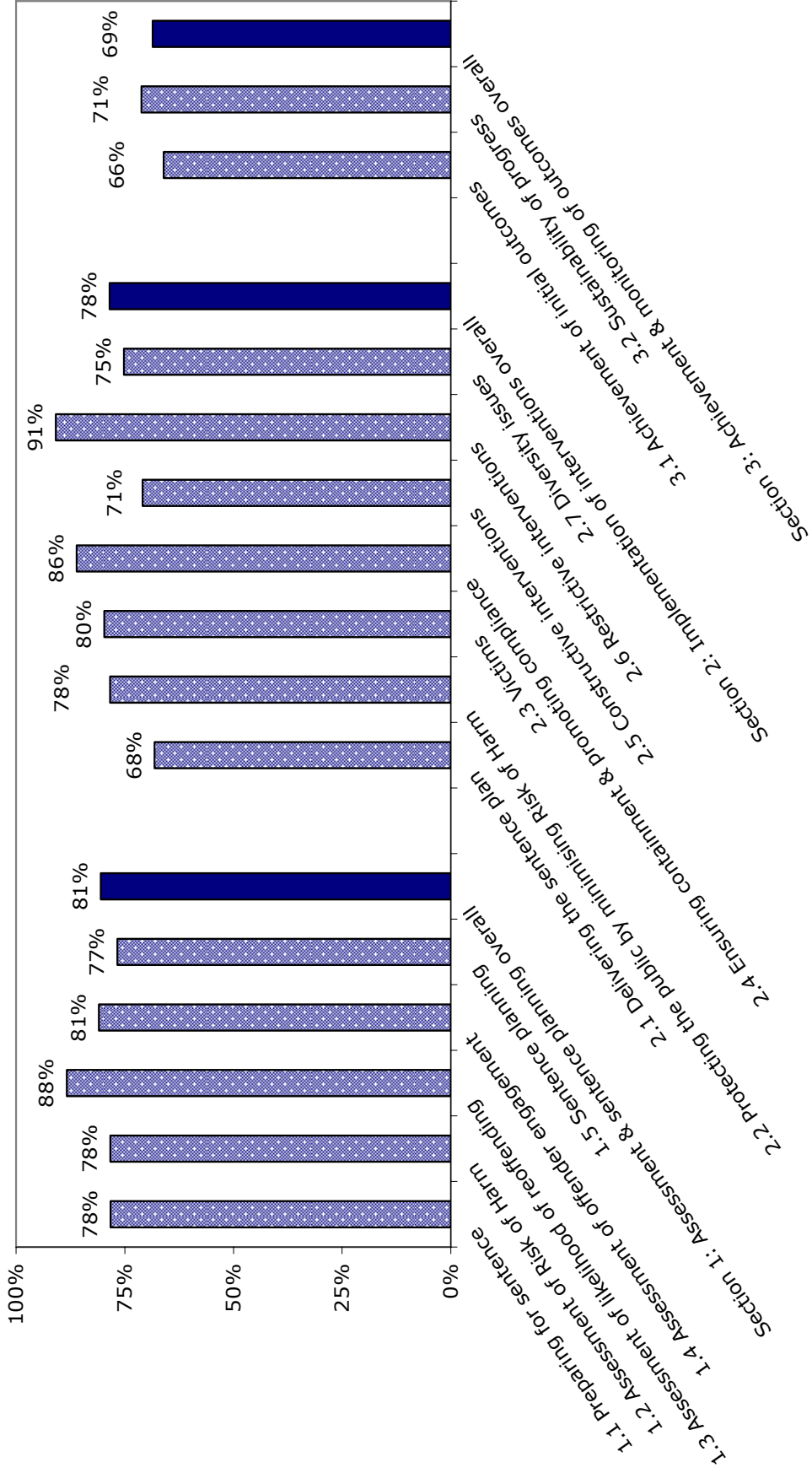


Table 1: Scoring of section 4:

Each of the criteria in the leadership and strategic management section has been graded below, according to the four-point scale described in appendix 4.

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

Table 2: Risk of Harm Thread

Table 2 indicates a score drawn from a range of indicators in the *Assessment & Sentence Planning* and *Implementation of Interventions* sections about Risk of Harm work. This score is significant in determining whether a further focused inspection will be carried out.

Score for Risk of Harm Thread	79%
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Full details of our *Scoring approach* are contained in appendix 4.

We advise readers of reports against attempting to compare scores 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 sample. We believe the scoring is best seen as a simple summary of what we have found in an individual probation area and needs to be seen alongside the full findings and recommendations of any particular report.

RECOMMENDATIONS FOR IMPROVEMENT

Improvements are necessary as follows:

1. Victim issues are fully integrated into all Risk of Harm assessments and all relevant risk management plans
2. Offenders' basic skills needs are assessed and addressed in all relevant cases
3. Offender assessment systems rescoring accurately reflects the changes that have taken place for offenders
4. Offender outcome data is used systematically to inform developments in service delivery.

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 North Yorkshire.

SHARING GOOD PRACTICE

Below are examples of good practice we found in North Yorkshire

Sequencing of interventions work:

OMI Criterion:

2.1 Delivering the sentence plan

Mr B was a PPO; his current offence was one of violence and he was assessed as posing a high RoH to the public. He was subject to an 18-month custodial sentence with an extended licence. The PPO team member, along with the OM, attended all sentence planning boards and reviews. This helped the PPO staff member to get to know Mr B and to identify RoH or LoR issues to be addressed in preparation for release. In this case, finding suitable accommodation on release into the community was central and Mr B had housing debts. The worker enabled Mr B to address the debts so they would not hinder finding suitable accommodation post-release.

Effective use of MAPPA:

OMI Criterion:

2.2 Protecting the public by minimising Risk of Harm

Mr D was subject to licence and was assessed as being high RoH. He was managed through MAPPA Level 2 supervision for offences involving physical and sexual abuse of his partner. There were also concerns for the wellbeing of his children. He posed a significant and ongoing danger to his partner and their children. There was an early referral to MAPPA and all possible measures were put in place to protect the family. Mr D was required to live in a hostel outside of the area and he was also fast-tracked into the IDAP. Measures were put in place to monitor the family home and to provide alarms. Through MAPPA a successful referral was made to a supervised, supported housing project for ex-offenders in another area. This accommodation was far away from Mr D's victims and reduced the likelihood of further offences against them.

Working in partnership with others:

OMI Criterion:

3.1 Achievement of initial outcomes

The Making Safe project had recently won the prestigious Butler Trust Award. The project originated in Scarborough and was being rolled out across the county. The Butler Trust Citation said: *"Making Safe is an exciting multi-agency project supporting victims of domestic abuse to remain safe in their homes while challenging the perpetrators abusive behaviour and encouraging them to seek alternative ways of resolving conflict. All contributing agencies including probation, police, Crown Prosecution Service, court services and housing providers have the overarching aim of public protection. Family life is not disrupted, children can remain at their schools and the offender can remain in employment, where appropriate. Initial evaluation shows a remarkably low 10.8% reoffending rate by offenders compared to a national figure of 47%".*

Attention is given to community reintegration issues:

OMI Criterion:

3.3 Sustainability of progress

An offender with a long history of offending and alcohol misuse, coupled with dyslexia and mental health issues, had breached his antisocial behaviour order by harassing his neighbours. He received a community order with an alcohol treatment requirement. He completed 12 sessions at the Cambridge Centre for alcohol treatment, by the end of which he showed an increased understanding of alcohol issues and had become abstinent. He was then referred to York College and had diagnostic screenings for skills and learning difficulties. This work enabled him to gain level 1 and 2 awards in numeracy and literacy. These developments underpinned progress in his mental health difficulties, and the improvements in his lifestyle and behaviour enabled him to keep his accommodation. The MAPPA review showed that the RoH posed by this offender had been significantly reduced.

Processes support the achievements of objectives:

OMI Criterion:

4.1 Leadership and planning

North Yorkshire's PROMS was designed to be a single reference point where staff could easily access all of the information they needed in order to undertake their work in a consistent, professional and competent manner. The area had maximised staff involvement in its design to promote use of the facility. All managers were trained in process management principles and a conference helped to cement the relationship between process owners and process managers.

Organisational processes were mapped in workshops that involved all grades of staff. A process definition form enabled a common language and definitions to be used. The process maps provided easy links to relevant probation circulars, national standards, policies and other documentation. Thus, the facility provided a 'one-stop shop' for these activities.

Service support the effective management of offenders:

OMI Criterion:

4.6 Commissioning of services

North Yorkshire probation and police recognised that the best way of reducing PPO offending in their area was for the two organisations to work together to a common purpose. Thus, the Spotlight project was developed in 2006 to embody this philosophy. The project took account of the size and diversity of North Yorkshire and of the priority crime targets outlined in the CDRP strategic plans for 2008–2011. The services of three police constables and three probation service officers were brought together to work solely with PPOs. The project was managed within the boundaries of the three police area command units. The Spotlight team used a keyworking approach to coordinate a range of services for PPOs.

SERVICE USERS' PERSPECTIVE

Offenders

Fourteen offenders were interviewed about their experience of offender management; five carrying out unpaid work in two separate projects and five undertaking either the IDAP or Think First accredited programmes. Four offenders who were resident at the approved premises were also seen.

All the offenders on unpaid work had experienced a prompt and full induction that covered health and safety issues and ensured that they were aware of the attendance requirements and the enforcement action taken if they did not comply with the sentence. All remembered being informed that discriminatory behaviour would not be tolerated. Two faced particular challenges in undertaking their unpaid work in respect of the demands of their employment or childcare issues. In general, their needs had been handled appropriately. The majority were aware that they had a sentence plan, but they had had limited involvement in the planning process. The majority knew who their offender manager was, but contact with them varied depending on their sentence requirements (some had more requirements than others), and on the approach taken by their offender manager. Some spoke of good relationships with their offender manager and appreciated the interest shown in their progress. Most were not clear about the level of liaison between their offender manager and their unpaid work supervisors and commented on the lack of coordination between the two. Their concerns were mainly in relation to the limited opportunities that they felt were open to them to build upon the experiences they had had on unpaid work and to develop skills for the future. Almost all felt that the rules were applied fairly but felt they had little involvement in the decisions on the activities they were to do. Nearly all referred to the benefit to the community of the work they were undertaking, and spoke of their pride in their achievements. Overall, offenders were generally positive about their unpaid work but, for some, it was an opportunity missed.

All of the offenders on accredited programmes were aware of the rules around attendance and what would happen if they breached their community order or post-release licence. Generally, they thought the rules on absences were applied fairly and equally. They had been informed that discriminatory behaviour was unacceptable, and several had faced difficulties in attending the programmes because of the distance they lived from the venue or problems with transport, but they felt that they had received appropriate assistance with these issues. Some had concerns about the formal language used on the programme that was not always user-friendly, but had found the tutors helpful and supportive. The Think First participants were not able to identify how the programme would help them to avoid offending. For those attending the IDAP programme the situation was different. They all knew who their offender manager was and most had had regular contact with them while attending the programme. Some were clear that their offender manager knew what work they were doing on the programme and they thought there was good communication between tutors and offender managers. All were aware of their sentence plan and three referred to discussions they had had with their offender manager about it. Most said they had undertaken some victim awareness work, either as part of the current programme or through supervision with their offender manager. All of the IDAP participants thought the programme had helped change their perspective, one noting that it had opened his eyes to his selfishness and the pain he had caused. Another talked of the course giving him a sense of shame about his old self and said that had helped him to form a new outlook and to respect the wishes of others. Those who were resident in approved premises reported that they were aware of the rules around residence and what would happen if they breached their requirements. They were aware that discriminatory

behaviour was unacceptable. All knew who their offender manager was and most had had regular contact with them while in custody and also in the community. All were aware of their sentence plan but felt they had had little input into the decision-making process. Most said they had undertaken victim awareness work. Three commented on support they were experiencing in accessing ETE services.

Out of 106 questionnaires sent to offenders, 45 were completed and returned, all by offenders undertaking community sentences or subject to post-release licences. The comments were mostly positive. All but one person reported that the rules covering their supervision, including breach, had been explained to them and 93% reported that they had a good relationship with their offender manager. 94% recalled that their sentence plan had been discussed with them and they thought that probation staff and people from other agencies had worked together well in their case. 86% thought that the work of the probation area had made them think more about their offending, and 81% said that it had made them think more about the victims of crime. 87% believed that they were now less likely to reoffend. Out of 17 who were on licence, 11 had been visited by their offender manager while they were in custody. Nine of these offenders reported that the probation area had helped them with issues concerning attitudes to offending and six noted assistance with ETE, thinking skills and accommodation concerns. Eight of them indicated that they had faced difficulties in taking a full part in their supervision, and all of these difficulties had been discussed and plans put in place to tackle them.

Victims

Nineteen questionnaires had been sent to victims and three of these had been completed and returned. In all three cases, victims thought that the initial letter from the VLO had explained sufficiently and clearly why they were being contacted. All thought that all reasonable steps had been made to engage them. They were satisfied that they had been kept informed about the offender's progress through the penal system and they confirmed that the VLO had checked whether they had any concerns that they wished to be taken into account. They all thought that the VLO was able to answer any questions that they had about the case and that the frequency of contact with the VLO was sufficient. All three confirmed that they had received appropriate support and had been treated with courtesy and respect. Diversity issues (such as gender, disability, culture or language) had been given adequate attention by the VLO in all of the cases.

In addition to the above, we interviewed two victims who gave us their views about the service they had received. Both echoed the positive comments noted above. One said *"during the last four years the contact has been exceptionally good. I receive a visit once a year to update me and the VLO is always at the end of a phone if I want to discuss anything. I ask a lot of questions and always get the answers I need. The probation officer often visits with Victim Support, so I get what I need from the right person. I get a lot of good and useful information from them... what I get here compares very well with what I hear about from elsewhere"*. The other person interviewed told us that her safety had been taken seriously by the VLO and appropriate steps had been taken to address her concerns. She added that the VLO had made herself available at all times.

All five of the victims who gave us feedback thought their needs had been taken account of by the VLO, for example, by visits to their home or making appointments that were at convenient times for them. None of the victims contacted through this inspection could identify improvements that needed to be made to the service.

Courts

Thirty questionnaires had been sent to gather the views of sentencers. Eleven were returned. All of the respondents said they were happy with the quality of the FDRs produced by the area. All but one were happy with the quality of the standard delivery reports. Seven of nine respondents to reply to the question said that court reports were made available within the required timescales. Almost all said there was sufficient clarity as to which report should be requested in which circumstances. All said that arrangements to address enforcement action were working either fully or in part.

One of four respondents who answered the question said they had not had sufficient information when considering a residential requirement in approved premises. All said that the liaison arrangements between the area and sentencers were effective and that they had received the information they needed about probation policy and practice, either in full or in part. All five respondents who addressed the question said that the probation area engaged effectively with the LCJB. Court staffing levels were felt to be sufficient by six of the seven relevant respondents and they felt that the probation staff at court had sufficient knowledge and skills to work effectively in that setting. Seven of the eight respondents who answered the question said they did not know if the probation area monitored court proposals and compared this with successful completion of orders/licences.

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.

78%

Strengths:

- (a) There had been a drive in the area to ensure that the most appropriate report was used in the sentencing process and, as a result, there had been an increase in the proportion of oral or fast delivery pre-sentence reports. A protocol had been agreed with the courts whereby standard delivery reports could be converted to fast delivery reports, where appropriate.
- (b) The area undertook a quarterly PSR audit and a quarterly black and minority ethnic PSR audit. This work showed that the quality of these reports was improving over time.
- (c) Almost all PSRs took account of the seriousness of the offence. A community sentence had been proposed in 81% of PSRs and these proposals had been followed in 29 from the 35 relevant cases.
- (d) 91% of PSRs contained a clear proposal for sentence.
- (e) All of the PSRs had been completed in the timescales set by the courts.

Areas for Improvement:

- (a) One-third of PSRs did not contain sufficient victim information and the same proportion did not have an outline supervision plan.
- (b) In three from the 11 relevant cases, the risk of self-harm to the offender had not been adequately addressed.

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.

78%

- (a) Unpaid work staff recorded team discussions of RoH issues at staff meetings to facilitate team approaches to the management of risk on site and to share good practice.

- (b) Monthly review meetings at approved premises were attended by the public protection unit staff to enable them to contribute to the RoH issues relevant to residents.
- (c) The North Yorkshire and City of York Joint Public Protection Unit was co-located at police headquarters and linked police public protection officers, probation officers and public protection administrators together across the county. The unit held quarterly management meetings that were led by senior managers and were attended by middle managers from the probation and police services. Additionally, there were quarterly public protection unit meetings. These meetings facilitated interagency communication across the area.
- (d) The public protection unit was actively involved in screening a range of offenders who posed RoH concerns and where the risks might be better managed through MAPPA management. The work of the unit had been recognised in the local criminal justice awards for its contribution to the protection of the people of North Yorkshire.
- (e) In all but two of the 109 relevant cases, a RoH screening had been undertaken. Of the 107 that had been done, 100 were found to be accurate.
- (f) The RoSH classification made by the area was accurate in 96 of 105 cases.
- (g) All relevant staff had been informed of the 29 cases that had a high or very high RoSH score.
- (h) Area guidance required the seven headings in OASys to be used in risk management plans; 47 from 54 risk management plans had been produced using this format.

Areas for Improvement:

- (a) 23 from 79 RoH analyses had not been completed to an adequate standard.
- (b) RoH analyses had not addressed victims' issues adequately in 24 from 84 cases.

Conclusion:

Performance against this criterion was good.

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

88%

Strengths:

- (a) The use of layered objectives contributed to the area's ability to manage LoR factors.

- (b) An OASys score had been calculated at the start of the sentence in all but two of 109 cases.
- (c) Positive influences had been identified in 97% of cases.
- (d) Criminogenic factors had been accurately assessed at the start of sentence or release from custody in 82% of cases. These assessments had been done on time in 89 from 102 cases.
- (e) OASys had been satisfactorily completed in almost all PPO cases.
- (f) The LoR assessment had drawn on all other relevant assessment sources in almost all of the cases.

Conclusion:

Performance against this criterion was good.

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

81%

Strengths:

- (a) NYPA had changed its approach to producing objectives and had adopted the use of 'Approach Goals'. These were written in the first person and helped to promote the engagement of offenders with their sentence plans.
- (b) The area induction pack included identifying barriers to success, diversity issues and skills for life issues. It was to be extended to include offender learning styles.
- (c) A skills for life screening had taken place in 80 of 109 cases.
- (d) Attention had been given to using methods most likely to be effective with offenders in over three-quarters of cases; in a similar number, an understanding of offenders' learning styles had been factored into the work.
- (e) All of the cases in the sample had had race and ethnic monitoring data recorded on the file and 83% of cases had had a full and active assessment of diversity issues.
- (f) Plans had been put in place to address diversity issues and issues of disadvantage in 90% of cases.

Area for Improvement:

- (a) In 15 of the 36 relevant cases, a full assessment of basic skills needs had not been carried out.

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.

77%

Strengths:

- (a) All the assessment and sentence planning processes in the area had been defined and mapped. They were available on the NYPA PROMS, which helped to ensure consistency of approach. This information was held in a central location accessible to all staff.
- (b) The tiering framework had been fully implemented in the area and 102 of 109 cases had been allocated to the correct tier. All but one of the cases had been allocated to an offender manager within the required timescale.
- (c) Planning accurately had reflected the aims of punish, help, change and control in 92% of the cases.
- (d) During sentence planning, appropriate consideration had been given to restrictive conditions/requirements, designed to minimise RoH to others, in 85% of cases.
- (e) Initial sentence plans drew on all other relevant assessments in 81% of cases.
- (f) 75% of cases included evidence to show that the offender had had the opportunity to participate actively in the planning process.
- (g) Steps had been taken to ensure offenders fully understood the requirements of the sentences in 106 from 108 cases.
- (h) All but five of the cases could show that steps had been taken to ensure offenders understood the penalties should they breach the requirements of supervision.

Areas for Improvement:

- (a) The area had identified that offender managers needed to produce more detailed case record administration and management system records that focused more on tracking the progress offenders had made against sentence plan objectives and the achievement of outcomes.
- (b) In three of the nine relevant cases, the sentence plan did not clearly state which elements were to be delivered in custody and which in the community.

Conclusion:

Performance against this criterion was good.

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.

68%

Strengths:

- (a) NYPA provided a curriculum of interventions that were based on the identified incidence of criminogenic need in the offender population. Significant gaps in provision had existed in relation to alcohol interventions and the range of provision had been expanded by the area piloting the LIAP and by the introduction of alcohol treatment requirements. The area's funding of voluntary sector provider agencies had increased as a result of these developments.
- (b) The area had found a number of innovative ways to deliver its interventions consistently across a large geographical area.
- (c) The approved premises had undertaken a self-assessment for the previous two years.
- (d) Appropriate sequencing of interventions according to RoH and LoR was seen in 83% of cases.
- (e) 87% of cases included evidence that work in the community had built sufficiently on activity in prison.
- (f) Arrangements had been put in place to prepare offenders thoroughly for interventions in 90% of cases.
- (g) Arrangements had been put in place to reinforce new skills with offenders following interventions in over three-quarters of cases.
- (h) 81% of cases could show that offender managers had overseen and coordinated the input of all workers and that communication was good between all staff and the offender and between the offender manager and other workers.
- (i) The inspection found that staff had demonstrated commitment to their work with the offender in 91% of cases.
- (j) Sentence plans had been reviewed in accordance with the required timescales in 95% of cases.

Areas for Improvement:

- (a) NYPA had identified a need to develop a systematic approach to the collation and review of offender feedback.
- (b) Continuing ownership of the sentence plan by the offender was sought in only 60% of cases.
- (c) Several interventions staff said that the extent to which their views had been included in the reviews of offender sentence plans varied, and was dependant upon the approach taken by individual OMs.

- (d) Positive and proactive work between prison-based staff, offender managers and others in preparation for an offender moving between custody and community was seen in only 45% of cases.

Conclusion: Performance against this criterion was good.

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.

78%

- (a) RoH was managed through the Approach Goals sentence planning process. This helped to focus work on RoH issues.
- (b) RoH had been reviewed no later than four months from the start of sentence in 83% of cases.
- (c) MAPPA had been used effectively in 82% of cases.
- (d) Changes in RoH factors had been swiftly identified in 16 of 21 relevant cases.
- (e) Home visits had been carried out within ten working days of sentence/release in 78% of cases.
- (f) Following recall, clear explanations had been given to the offender as to the reason for their reimprisonment and efforts had been made to re-engage him or her in both relevant cases.
- (g) The MAPPA database had been developed during 2006/2007 and became operational in October 2007. The database was a single source of information where, previously, data had been held separately by probation, police, YOTs and mental health workers. The system helped with the collation of all MAPPA performance and improved the accuracy of recording. In addition to administrative support, the database provided MAPPA performance information and reports on key performance indicators.

Area for Improvement: (a) Home visits to monitor children's safeguarding outcomes had not been undertaken in nine out of 24 relevant cases.

Conclusion: Performance against this criterion was good.

2.3 General Criterion: VICTIMS
Consistent attention is given to issues concerning victims.

80%

Strengths:

- (a) Where there had been a direct victim, appropriate priority had been accorded to their safety in 52 of the 65 cases.
- (b) Statutory victim liaison had been offered or had taken place in 97% of cases.
- (c) Where statutory victim contact had occurred, victims had been informed of release conditions in 95% of relevant cases.
- (d) In six of the eight relevant cases, it was apparent that the victims had had an opportunity to see the parole report.
- (e) The area had introduced a victim module, which was to be completed in all community orders. The inspection found that victim awareness work had been undertaken with offenders in 68% of cases.
- (f) Victims had been informed of the offender's release in 14 of the 16 relevant cases.

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.

86%

Strengths:

- (a) Priority crime targets had been outlined in the relevant CDRP strategic plans for 2008–2011. From these, the NYPA and the North Yorkshire Police Service had addressed the reduction of reoffending in the PPO cohort through joint work. The Spotlight project had been developed in 2006 to embody this approach and to harness the energies of all the agencies involved. The project had brought together police and probation resources. Three police constables and three probation service officers worked solely with PPOs. These staff were managed within the boundaries of the three police area command units. The team used a 'keyword' approach to coordinate a range of services for PPOs at the local level.
- (b) All nine custody cases had satisfactory arrangements in place to restrict the offenders' liberty during the custodial sentence.
- (c) In 95 of 99 cases, offenders had been offered a full and timely induction following sentence to a community order or after release on licence.

- (d) The frequency of appointments met the national standard in almost all of the cases.
- (e) Offender managers monitored attendance across all interventions and effective action had been taken to ensure compliance in 99% of cases.
- (f) The area had introduced a system of sending text messages to offenders' mobile phones in cases where there were compliance concerns. The area had evidence to show that compliance levels had improved in these cases. Judgements about unacceptability or acceptability of absences were consistent and appropriate in 68 of 71 cases.
- (g) Where required, breach had taken place within required national standard timescales, especially for high/very high RoH and PPOs in 28 of 31 cases.
- (h) Exclusion and curfew requirements had been appropriately enforced with effective liaison with the electronic monitoring provider in all 12 relevant cases.
- (i) The overall case record was well organised in 90% of cases.
- (j) Case records had all the required information and had been updated in a timely fashion in 90% of cases.

Areas for Improvement:

- (a) Less than half of UPW placements had been matched to the offenders.
- (b) In one-third of cases, contact between the offender and the offender manager prior to release from custody had not been sufficient.

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.

71%

Strengths:

- (a) UPW had mainstreamed the provision of National Open College Network vocational awards in partnership with York College. These arrangements had built upon a European-funded initiative from 2007.
- (b) In addressing quality issues in accredited programmes and unpaid work, the area had incorporated the views of external bodies. Regional validation processes underpinned these assessments.

- (c) Constructive interventions challenged offenders to accept responsibility for their offending behaviour and its consequences in 74% of cases.
- (d) 86% of cases had evidence that sufficient work and resources had been directed at community reintegration issues.
- (e) Accredited programme provision and timing was consistent with the sentence plan in 22 of 27 cases.
- (f) The area had developed an accredited programmes tutor pool in the voluntary sector and with partner agencies. The tutor pool included alcohol treatment providers, York College tutors, NSPCC staff and women’s services staff.
- (g) The area sought to develop opportunities to pilot new approaches to service delivery, for example, one-to-one domestic violence specified activities. It had successfully applied for national funding to develop alcohol misuse services for women offenders in York.

Area for Improvement:

- (a) In 11 of the 36 relevant cases, where a skills for life need had been identified, arrangements had not been put in place for an appropriate intervention to be delivered.

Conclusion:

Performance against this criterion was good.

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

91%

Strengths:

- (a) Restrictive interventions were monitored fully in 84% of cases.
- (b) 79% of cases could show that every reasonable action had been taken to minimise RoH.
- (c) All eight relevant cases could show that approved premises had been used effectively as a restrictive intervention.
- (d) Licence requirements were necessary and proportionate in all of the relevant cases.

Conclusion:

Performance against this criterion was good.

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

75%

Strengths:

- (a) The area had increased the access to accredited programmes for women imprisoned in HMP Askham Grange.
- (b) Building on recent experience as a Prison Service Plus area, the area had developed an approach to a range of social inclusion issues via the Pathways interventions team.
- (c) Arrangements for interventions had taken account of offenders' diversity issues in 91% of cases.
- (d) Issues of disability had been appropriately addressed in 20 of the 25 relevant cases.
- (e) Offenders had been clearly informed that discriminatory behaviour would not be tolerated in 98% of cases.

Area for Improvement:

- (a) Issues of literacy and dyslexia been not been addressed in 39% of the relevant cases.

Conclusion:

Performance against this criterion was good.

3. ACHIEVEMENT AND MONITORING OF OUTCOMES

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

66%

- (a) NYPA had plans to use offender reconviction rates to identify and understand differences in outcomes for various groups of offenders. At the time of the inspection, this was still to be fully rolled out. However, the area had completed a reconviction study of PPOs that showed a 24% reduction in reoffending for that cohort.
- (b) The dynamic management of RoH and the interventions delivered resulted in the offender moving between tiers in 10% of cases and changing MAPPA levels in 20% of cases.
- (c) In 93 of 108 cases, the offender had not been cautioned or convicted of an offence during the period of supervision.
- (d) Compliance rates had gradually improved and were evidenced in the area's performance report. The area had focused on improving compliance as part of its project to improve confidence in community sentencing. The inspection found that offenders had complied with the requirements of the sentence in three-quarters of cases.
- (e) In 88% of the relevant cases, the inspection found evidence that demonstrable benefits to the community had been achieved through contributions that offenders had made on unpaid work.
- (f) OASys had been rescored in 85% of cases and half of these cases showed improvements over the initial scores.
- (g) Progress against criminogenic factors for the first priority issues showed that 56% had improved, 39% had made no change and 5% had deteriorated.
- (h) Progress against criminogenic factors for the second priority issues showed that 45% had improved, 45% had made no change and 10% had deteriorated.
- (i) Progress against criminogenic factors for the third priority issues showed that 44% had improved, 47% had made no change and 9% had deteriorated.
- (j) The inspection found evidence that the area had achieved the relevant sentencing goals with offenders in the proportions outlined as follows: punish 90% achieved; help 59% achieved; change 45% achieved and control 79% achieved.
- (k) Resources were allocated according to a role boundaries agreement that identified the cases to be managed by probation officers and probation service officers. The area's workload database demonstrated that greater resources had been allocated to

offenders in accordance with the RoH and LoR. The inspection findings would seem to confirm this as we found that almost all of the cases could show that the resources allocated to the work were consistent with the offender's RoH and LoR.

- (l) All of the relevant cases could show that the resources that had been allocated to the work were consistent with the offender's PPO and RoH status.
- (m) Resources had been used efficiently to achieve the outcomes planned for the offender in 88% of cases.

Areas for Improvement:

- (a) NYPA had identified a need to make more use of sentence outcome data. The area had developed a range of OASys reports to help with this analysis but the information had been underused in the past.
- (b) Despite the focus on delivering victim awareness work in the area, only 45% of cases included evidence that the offender had demonstrated increased victim awareness.
- (c) Evidence that offenders had applied the learning or skills acquired through supervision in their daily lives was seen in only 51 of 106 cases.
- (d) Positive and demonstrable change in the attitudes and/or behaviour of offenders was seen in half of the cases.

Conclusion:

Performance against this criterion was 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.

71%

Strengths:

- (a) Continuity of offender management was promoted in the area. The inspection found that 83% of the cases in the sample had had one or two OMs during the life of the order or licence. The area had been scored as 'good' for this rating in the most recent IPPF report.
- (b) Structured sentence planning had been given high priority throughout the work in over two-thirds of cases.
- (c) 78% of offenders were aware of the community organisations that could help to address their criminogenic needs.
- (d) Full attention been given to long-term community integration issues in 77% of cases.
- (e) Circles of Support was a partnership project between the Society of Voluntary Associates and NYPA and used volunteers to work with sex offenders. To date, eleven volunteers had been trained. The volunteers worked in three small groups and focused on relapse

prevention work after offenders had finished treatment with the probation service. Encouraging progress had been achieved with the first offender, who had moved out of the approved premises and into independent accommodation. The project offered a method of reducing public anxiety about sex offending by helping them to live responsible and productive lives in their communities.

- (f) Offender learning was consolidated through use of National Open College Network awards with York College. These centred on developing offenders' horticulture and catering skills.

Area for Improvement:

- (a) Offender managers had ensured that sufficient action had been taken to consolidate offender learning and reinforce new skills in 69% 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.

Satisfactorily met

Strengths:

- (a) The NYPA Business Plan built on national and regional plans and focused on national priorities. It clearly set out what was required of the area in the coming year. The area worked with partners and stakeholders in a regional and national context to formulate policies and action plans, which were reviewed and monitored both by board member scrutiny groups and by external agency teams. The area also produced a broader three-year plan to help give focus to the general direction of travel for the organisation.
- (b) The Board had a set of planning processes to ensure national and local objectives were incorporated into the area's business plan. The planning processes helped the area to respond to the challenges it faced in planning for local delivery within a national planning framework. Area planning, supported by the PROMS initiative, which had been developed by the area and was unique to North Yorkshire, upheld agreed national and local objectives. PROMS was an information technology system that provided process maps for a broad range of activities that took place in the area. The mapping system promoted consistency in service delivery and allowed tasks to be costed. It helped the area to meet the challenges of contestability and best value, despite the planning challenges caused by the delay in the confirmation of the budget settlement for the forthcoming year, which had hindered the normal internal business planning process. Despite the challenges, the area had been able to hold a planning conference with middle managers to enable them to align team plans with the area plan.
- (c) Sentencing outcomes for offenders were consistent with national policy aims. For example, the inspection found that 81% of PSRs made a community proposal and these proposals were followed in 83% of cases.

There were three annual, probation liaison committee training events, and feedback was requested from sentencers who attended them. The information was collated and used to review training and to assist with planning future events.

The aim of the Promoting Community Sentences Action Plan was to ensure that NYPA was able to deliver community orders effectively in all circumstances where sentencers were considering using them to give sentencers a viable alternative to short prison sentences. The

plan also addressed NYPA's need to ensure a greater level of offender compliance with their community orders and licences. The plan was developed through consultation with sentencers (including the resident Crown Court judge), probation colleagues at local and regional level, partnership agencies and with the involvement of the unions.

- (d) Feedback from the representatives of partner agencies was very positive in respect of their joint work with NYPA. One commented that NYPA was "a very pro-active organisation, is forward thinking and engaged in open partnerships". Another commented on the strategic coordination role undertaken by NYPA in bringing together a broad range of organisations, for example, through the LCJB, and helping them to plan future joint work. NYPA was seen as being influential and as having made positive contributions in the CDRP and DAAT arrangements. The area was seen as being 'open' and willing to share its resources with others, for example, making business improvement facilities available to the YOT and supporting them with PPO and MAPPA issues.

Feedback from partners who commented on the day-to-day joint working relationships with the probation area was positive about the levels of contact they had with offender managers and the sharing of relevant offender information.

The main route for the area to engage with local communities was through its involvement in the local CDRPs. It had set up a specific community engagement forum in relation to the approved premises. This forum began at the start of 2008 and had had two meetings by the time of the inspection. Local people were invited to discuss approved premises issues, and positive feedback had been received for those who had made use of this opportunity to debate the matters with the area.

- (e) A letter had been sent to the Chief Executives to help align the work of the probation area to the local authority draft Safer Communities Strategy priorities (both York and North Yorkshire). This had been submitted as a timely response to the relevant consultation process. The letter mapped NYPA activity across to the LAA national indicator set. The resultant strategies and LAAs for 2008/2009 were consistent with the NYPA statement of priorities.
- (f) The area acknowledged that it had yet to fully align its plans with the relevant work of local authorities. Steps had been taken in the previous year to share the priorities of the area with the local authorities, and some examples of the benefits from joint planning were seen in the successful application for funding from the local authority for a PPO coordinator post. This had helped the local authority to address one of its priorities, which was to reduce the reoffending of PPOs. The area had invested considerable time in engaging with a complex strategic environment, comprising both unitary and two-tier local government structures.
- (g) A senior manager sat on the MAPPA Strategic Management Board and on the two Safeguarding Children's Boards. NYPA was clearly

held in high regard for its contribution at the strategic and operational levels in respect of public protection issues. Positive feedback was received in relation to the joint work the area undertook with the police in relation to MAPPA. The area was seen as having put the appropriate resources in at the right levels to enable strategic and operational MAPPA-related decisions to be made. The work was framed by a protocol and some aspects of resourcing of the service were shared between the police and the probation area, for example, administrative resources.

Partner agencies confirmed that they had access to relevant RoH information and were able to discuss RoH management issues with their colleagues in the probation area. Managers from partner agencies confirmed that NYPA was a responsive organisation and that they had good opportunities to identify and jointly resolve issues that arose in the work. They felt that the views of their staff were taken seriously by NYPA offender managers and it felt like a partnership of equals.

- (h) Feedback from the NOMS improvement and development manager noted the positive engagement of the area in the targeted improvement work that had been introduced following the HMI Probation RoH Area Assessment report earlier in 2008.
- (i) NYPA had a clear approach to addressing staff supervision issues. The approach had been overseen by the Chief Officer and the senior management team were responsible for reporting on progress on this agenda. The area had introduced the Kouzes & Posner model of leadership practices for all middle and senior managers. This framework outlined specific behaviours and competencies that should be developed to improve leadership skills. All managers had attended a two-day workshop that covered the five practices of exemplary leadership and provided clear expectations of what being in a leadership role meant for the organisation. Performance against these aspirations was assessed via an appraisal process, the results of which formed an action plan to be progressed through supervision. This arrangement enabled the Board to develop a consistent language and set of behaviours around leadership. Staff perception was measured through a 360° appraisal process and areas for improvement for individual managers had been developed as a result. The impact of this approach was to be measured in 2009 by repeating the 360° appraisal exercise and assessing changed perceptions. Over three-quarters of OMs interviewed during the inspection reported that managers demonstrated professional management approaches and modelled positive leadership behaviour.
- (j) The area was receptive to the findings of regulatory bodies and acted on them to improve performance. An example of this in practice was seen through the changes the area had introduced in the management of PPO services. In 2007, the area had received an audit report that stated that there needed to be substantial improvement in SFO governance, practice and coordination before a well controlled rating could be given. An assistant chief officer took

the lead in this matter and implemented an action plan to meet the identified shortfalls. A senior secretary was nominated as the process manager for this work and her efforts helped the area to achieve a 'well controlled' rating.

Areas for Improvement:

- (a) Internal communication processes were used to enable staff to be kept informed of organisational plans and the processes that applied to service delivery. However, during the inspection, we interviewed 55 offender managers, one-third of whom said they did not feel well informed about the policies and procedures that operated in the area.
- (b) NYPA was not able to show that it had made much progress in integrating the views of minority groups into the strategic planning activities for the area. North Yorkshire was the largest geographical probation area in England and this posed specific problems in identifying appropriate routes for obtaining relevant diversity information to help inform future planning.
- (c) Integrating the service user perspective into planning processes was a work in progress at the time of the inspection. Some steps had been taken in this regard, for example, a system had been set up to obtain, on a weekly basis, feedback from residents at the approved premises. This feedback had been used to inform developments in the approved premises and was due to be collated and reported to the SMT. The area was the only one in the region to have responded to the request to provide service user feedback into the regional Reducing Reoffending Action Plan and had conducted exit interviews with all unpaid work offenders. The information had not, as yet, been collated. However, plans to do this were in hand.
- (d) Feedback from partners in relation to the delivery of some services suggested that operational processes did not always allow partners to contribute effectively at the assessment and initial planning stages of the work. This particularly focused on some aspects of alcohol services and the transition arrangements of children and young people moving from YOTs to the probation area.

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

Summary of results for North Yorkshire from the NOMS Integrated Probation Performance Framework (IPPF): April 2007 -March 2008

IPPF domain	
Public Protection	Good
Offender Management	Outstanding
Interventions	Good
Operational Capability, Resource Use and Strategy	Good

Area score	Good
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Detailed results for each metric making up the above domains are at appendix 1.

Strengths:

- (a) The achievement of key national, regional and local targets was a high priority in the area. The NYPA performance report process map described the performance reporting process, which delivered timely and robust monitoring information.
- (b) Performance against targets was monitored routinely, and quality assurance procedures were in place. The improvements in performance over time showed that the area had systems in place to improve performance and to hold managers to account. The information unit produced reports for the SMT. Regular quality assurance meetings verified the accuracy of the reports, which were reviewed monthly and reported to the Board on a quarterly basis. Where issues had been identified, a 'solutions' report was required from the responsible officer. The area was moving to align its performance reporting systems with the IPPF requirements. Performance and quality managers had been appointed to ensure that good work was recognised and celebrated and that problems could be effectively analysed and remedial action taken.
- (c) Evidence that due regard was paid to diversity issues in working to meet targets was seen in the services being provided to women offenders in HMP Askham Grange. The area had a target to ensure that the profile of offenders referred to accredited programmes met specific criteria and had negotiated a variation in the target to allow women offenders at HMP Askham Grange to access the programmes.

The area had joined with the West Yorkshire Probation Area to share the costs of a specialist diversity officer. This had enabled the area to take forward work in respect of the race, disability and gender equalities schemes and to undertake impact assessments on its activities. The worker also attended the PROMS capture meetings to bring a diversity perspective to the processes in use in the organisation.

- (d) There was evidence of the area working with others and drawing on good practice elsewhere to bring about improvements in performance. An example relates to the adoption by NYPA of a reporting system used by the Humberside Probation Area.

Because of its high performing status in respect of recall issues NYPA had been asked by NOMS to share its work on recall with other areas.

- (e) Where targets were not being met, the area had put in place clear plans for achieving performance improvements. NYPA had a well documented and well developed set of processes for addressing performance shortfalls. An illustration of that in action was seen in the response to the RoH Area Assessment undertaken by HMI Probation earlier in 2008, which had resulted in a disappointing score for the area. This led to the production of an action plan that was validated by the performance improvement unit and was subsequently implemented. The outcome of that work was seen in

the significant increase in performance of the area in respect of RoH issues found during this inspection.

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) Workload and workforce plans provided the mechanism for resources to be efficiently deployed to support offender manager work. The area monitored the workload of staff and made adjustments to ensure optimum performance whilst exercising caution to ensure staff were not overloaded. The area felt that the sickness absence levels in North Yorkshire, which were amongst the lowest of any probation area, were indicative of the effectiveness of these arrangements.
- A part of this approach was also to address demands being made on the resources of the area by the services being used by sentencers. The area had undertaken work, both internally and with sentencers, to impact on the numbers and types of reports that were being requested and to ensure that they delivered appropriate proposals. The implementation of the FDR training was aimed at achieving shorter community sentences with fewer requirements. A compliance package for breach brought efficiency to the revocation arrangements.
- (b) The area had a well developed set of policies and processes to ensure that resources followed risk. RoH to others and PPOs were clear priorities. NYPA resource allocation arrangements were underpinned by case tiering. Workload management arrangements were routinely used to focus resources onto area priorities. Where possible, additional resources were sought to support work on priority issues, for example, the Spotlight service for PPOs.
- (c) Sufficient resources had been dedicated to support diversity initiatives and their impact had been monitored. Examples of work to address the diversity needs of offenders included the establishment of a policy and set of processes, with resources to back the activities, to ensure that black and minority ethnic offenders could avoid singleton placements on accredited programmes. This included meeting additional costs for associated travel. Rurality issues had also featured highly in the area's response to addressing diversity matters. The response to these challenges meant that the area had had to fund significant travel costs.
- (d) Court staffing levels were sufficient to provide appropriate information to aid sentencers in their sentencing decisions. Following a decision by the regional offender manager's office, the

area had disbanded its county court team. At the time of the inspection, the courts were staffed by probation service officers. However, a recent pilot of a probation officer, probation service officer and court administrator team member to service court work had been successful and had enjoyed the support of sentencers, clerks and NYPS staff. Plans were now in hand to expand this approach in other courts. Feedback from sentencers suggested they were happy with the staffing levels seen in the courts.

- (e) Workload prioritisation and allocation decisions were made according to clear criteria, in line with national priorities, and were communicated to all staff. NYPA had a workload priorities agreement that had been negotiated with staff representatives and was monitored regularly. The system was used to inform local prioritisation of work and to ensure resources were used efficiently.
- (f) Several examples that illustrated the strength of regional collaboration were found. For example, the collaborative arrangements in respect of the private sector hostel night support arrangements had brought financial savings to the organisation. NYPA also shared finance and human resources services with the West Yorkshire Probation Area. These arrangements allowed NYPA to save money and to access specialist skills that would not otherwise have been available to the organisation.

4.4 General Criterion: WORKFORCE PLANNING AND DEVELOPMENT <i>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.</i>	Satisfactorily met
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Strengths:	<ul style="list-style-type: none"> (a) The workforce plan was used in conjunction with operational senior managers and finance staff to ensure that a staff deployment plan was prepared. This allowed recruitment to be planned to respond to fluctuations in staffing levels whilst ensuring that staffing, budgets and financial projections were properly aligned. All recruitment was undertaken by trained personnel and was based on non-discriminatory practices. The area was confident that this approach helped to ensure that staff in North Yorkshire were appropriately skilled for the jobs for which they had been recruited. The use of an assessment centre had led to sound recruitment decisions; this was evidenced by the area's consistent high levels of performance, low staff turnover and low levels of sickness absence.
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- (b) The senior management team had approved the training budget. The most recent approved budget was published in August 2008. Actual training activity had been recorded on an extended version of the training spreadsheet and, at the time of the inspection, individual training records were being put into the payroll and HR system resource link.

At the time of the inspection, individual training needs were being audited by line managers, who used a specially designed tool for the purpose. The audit was to augment the information already collected in the appraisal document. A specific example of this system being used to address current training needs in the organisation was seen through the planning and design of training focusing on safeguarding children. The area had commissioned this training specifically to address the concerns raised by staff on this aspect of practice. The workload measurement tool in use in the area had six days training per year for all staff members built into the resource framework. In addition, the area provided a training input at the end of team meetings that was supplemented by one-to-one sessions with the performance and quality managers, as necessary.

- (c) Ten out of the 12 trainee probation officers interviewed said that sufficient attention had been paid to appropriate learning opportunities and support for their professional development.
- (d) A new supervision and appraisal system had been introduced to ensure that staff development and the monitoring of personal objectives were linked to the area's business plan. The new system had been introduced at the start of 2008. It was based on the nationally-agreed model. Progress towards objectives was one of the topics for discussion during supervision. Managers had received training focused specifically on the supervision of staff from black and minority ethnic groups. Almost all of the staff interviewed in the inspection said that the supervision they received had been delivered to a good standard.
- (e) There was evidence of constructive work with recognised unions. A local joint panel met regularly, and informally, to prepare for the formal proceedings in the Joint National Consultative Committee. Quarterly meetings with union representatives addressed workload issues and the development of the workload action plan. Union representatives also sat on the PROMS control group.
- (f) Effective procedures were in place to address and minimise staff sickness absence. The area had achieved above average performance on this measure for some time and had developed a clear set of procedures, supported by specific management training, to address the issue. Union representatives had had the opportunity to comment on the approach adopted by the area.
- (g) All staff were subject to an annual appraisal. 80% of the offender managers interviewed, and all the staff members seen in the various meetings that took place during the inspection, confirmed that they had had an appraisal in the previous year and that the appraisal had

been linked to the area's business plan. The area monitored appraisal completion rates and their figures showed that 95% of appraisals had been completed in the previous year. Appraisers sent completed documents to the HR department for recording. Completion rates were monitored and reports were provided to the senior management team. Appraisal documents were sampled for a quality assessment each summer. The area approach to appraisal was to see it as a key tool in maintaining employee engagement. The last staff survey found morale within the organisation to be generally high, whilst staff turnover for the last year was low at 8.8%.

- (h) NYPA operated with regard to the Race Relations (Amendment) Act 2000 and diversity issues in respect of employment. The area undertook ethnic monitoring of staff as required by NOMS and had a race equality scheme that was regularly reviewed. The diversity group was chaired by the Chief Officer to give an indication of the level of priority the subject had within the area. Two Board members were also members of the group. The area had an approach that aimed to ensure that diversity and race equality issues were understood and owned at the unit level. Each team was required to produce a team race equality plan. Progress against these plans was monitored through the monthly performance reporting process.

Areas for Improvement

- (a) An area policy framed the delivery of staff supervision. However, the inspection found that 25% of the offender managers we interviewed reported that their supervision occurred, at most, three monthly.
- (b) Several case administrators commented that the training they had received had, on occasion, been focused on the needs of offender managers and that they would have benefited more from having the training attuned to their own responsibilities. The most recent staff survey also showed that some staff had not had their needs met.

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

Satisfactorily met

Strengths:

- (a) Sentencing proposal and disposal data was reported as part of the monthly performance reporting arrangements. This information had been converted into a court performance report and was reported to sentencers at probation liaison committee meetings.

- (b) There was evidence of activity in the area to use aggregated information on outcomes to inform practice developments. For example, OASys rescoring reports were available on the area Intranet but had not been used much. Work had been done to evaluate PPO outcomes, as the area had decided to invest heavily in the supervision of that group. NYPA was able to compare the results for PPOs with another offender cohort, and this helped to underpin the local authority's decision to prioritise PPO implementation and provide resources to support changes in service delivery. The North Yorkshire LCJB had carried out an exercise to measure the reoffending rates for PPOs in York and North Yorkshire using a complex methodology devised by the government office of Yorkshire and Humberside. The exercise measured reoffending rates for all of 2007. The Spotlight reconviction data indicated that inclusion on an effective PPO scheme could help to reduce offenders' reoffending by 25-30%.
- (c) The quality rating achieved by the approved premises over the past two years had been based on robust self-assessment and the incorporation of external views, where this had been possible. Approved premises offender feedback was captured through a weekly consultation arrangement.
- (d) Processes were in place to spread the learning from SFO reviews, complaints and investigations into deaths in approved premises. In the recent audit in relation to the SFO processes in NYPA, the area had received an audit rating of 'well controlled'. The auditor commented that the result of the review was that *"an SFO culture is developed and we are content through the file review and discussion that the process as recommended by the Home Office is working as it should"*. The area had set itself a target to reduce the number of SFOs progressing to a stage four review and had met that target in 2008 by securing a 50% reduction in the number of those cases.

Areas for Improvement:

- (a) NYPA did not have well developed processes to ensure that the views of service users and stakeholders were routinely collated, evaluated and used to improve service delivery. The area sought to capture offender feedback across a broad range of interventions but, at the time of the inspection, it had not introduced a systematic approach to the collation and review of the data.
- (b) The area acknowledged it needed to further develop and consolidate its arrangements to use aggregated information on outcomes to inform practice developments.

4.6**General Criterion: COMMISSIONING OF SERVICES**

There is efficient provision of effective services to support offender management outcomes and to ensure equal access to provision for offenders.


Well met**Strengths:**

- (a) An example of the positive approach to partnership work undertaken by NYPA was seen through the willingness of the area to 'add value' to the DAAT by participating in commissioning processes. This included involvement in drawing up service specifications, bid assessments and giving feedback to those who had bid to be providers.
- (b) Service user perspectives were being actively used to influence service delivery developments in the approved premises and with PPOs. The area had commissioned research into the experiences of PPOs, particularly in determining what had worked best to help them avoid reoffending, prior to the expansion of the integrated OM model across the area.
- (c) The requirement in 2007 for subcontracting plans for 10% of the work of NYPA had provided a spur for the organisation to review its best value arrangements. Best value was being pursued through a number of existing partnership contracts ahead of the formal introduction of the best value framework. All NYPA contracts had built in quality and best value review mechanisms. These arrangements varied according to the type of service. Tendering processes were reviewed regularly.

The alcohol treatment requirements service in York was an example of the standard approach to the services provided throughout North Yorkshire. This service was delivered by a range of partner agencies, through contractual arrangements that had been aligned to DAAT commissioning processes. Examples of the contract requirements included alcohol services being expressed in units delivered and clarity that offender attendance at the services could be enforceable.

NYPA had established new provider arrangements for a specifically tailored service for approved premises night support work. This had brought down costs without compromising regime quality.

- (d) There were two prisons in the NYPA area and liaison and protocol arrangements had been developed to support effective joint work. However, as one was a women's prison and the other was a Young Offender Institution, few of the offenders supervised by the area were in those prisons at any particular point in time. Thus, the majority of joint work taking place between NYPA offender managers and prison-based offender supervisors was in prisons that were not readily accessible to NYPA staff.

- 
- (e) NYPA provided a curriculum of interventions increasingly based on the identified incidence of criminogenic need in the offender population. Significant gaps in provision had existed in relation to alcohol interventions and the range of provision had expanded through working as a pilot area for the LIAP. The introduction of alcohol treatment requirements had led to an increase in the area's funding of voluntary sector provider agencies.

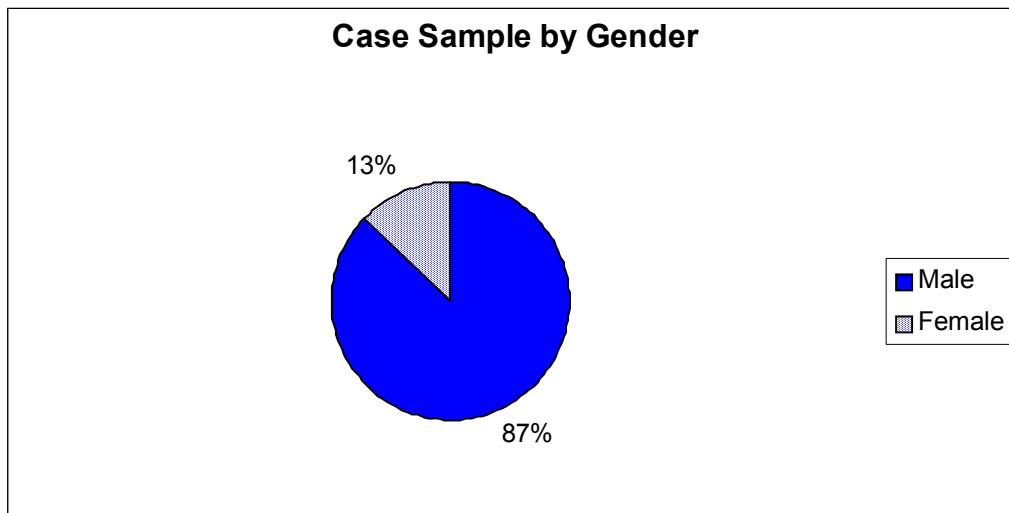


Area for Improvement:

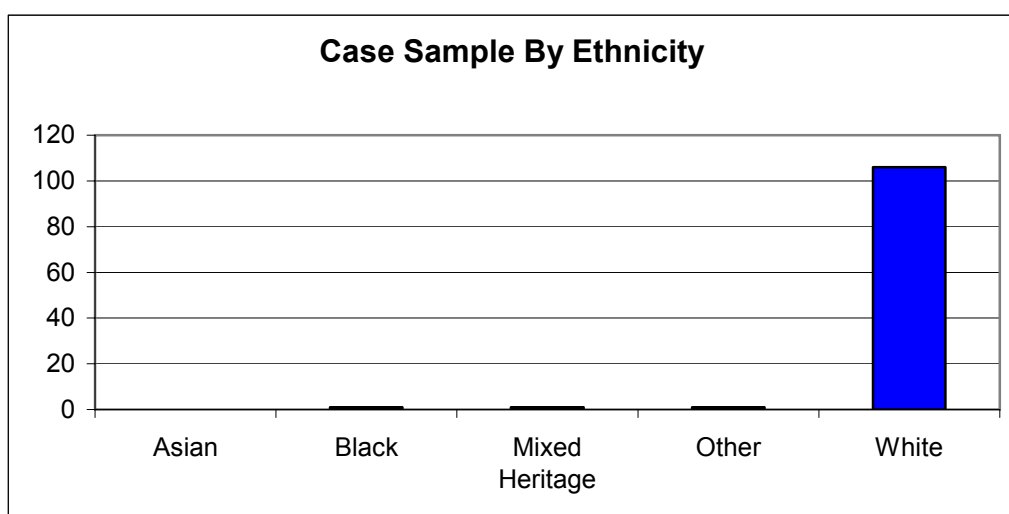
- (a) Whilst a process was not in place at the time of the inspection, NYPA did have plans to build upon the existing links with the community in order to improve stakeholder and user feedback, to help it to ensure that resources were being properly targeted and allocated to address the diverse needs of the community.

APPENDIX 2 Contextual information

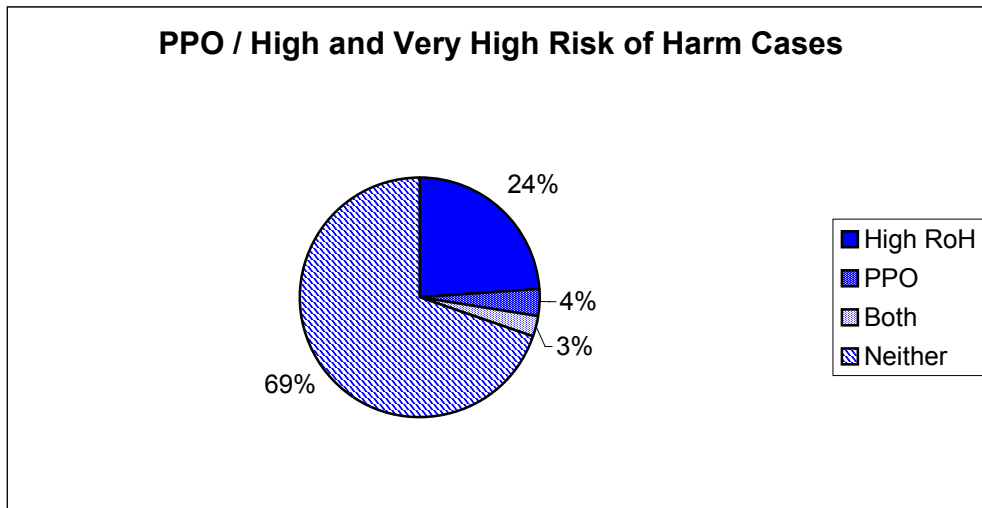
The chosen sample takes into consideration the number of female offenders in the area. A representative number is then included in the sample of cases.



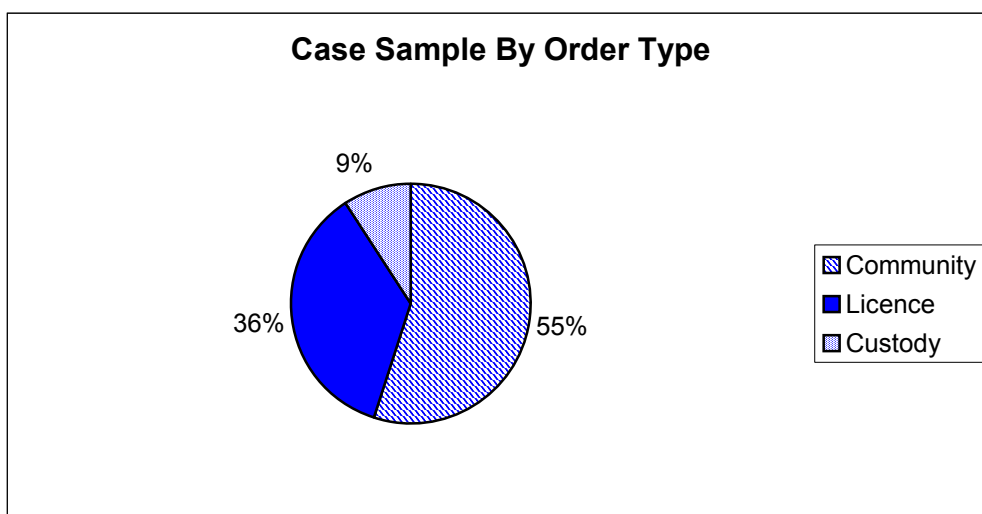
The chosen sample takes into consideration the number of black and minority ethnic offenders in the area. A representative number is then included in the sample of cases.



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



Each sample is made up of 40 licence cases, 60 community order cases and 10 custody cases.



Caseload at end of March 2007

Total caseload	
% <i>White</i>	98.0%
% <i>Minority ethnic*</i>	2.0%
% <i>Male</i>	87.6%
% <i>Female</i>	12.4%
Number of cases subject to MAPPA:	
Level 1	225
Level 2	91
Level 3	8
Number of PPO cases	84
* Excluding cases for which ethnicity information is not available.	

Total revenue budget in 2008/2009 - £8.780m

Total revenue budget in 2007/2008 - £8.536m

Approved premises: South View capacity - 22

APPENDIX 3

Inspection model, methodology and publication arrangements

Model

- The OMI programme started in May 2006. All NOMS areas in England and Wales are being inspected over a three-year cycle, region by region. We hope to identify and promote effective work with offenders and disseminate information about good practice.
- Probation areas are being assessed on how well they have met defined inspection criteria focusing on:
 - Assessment and sentence planning carried out on offenders
 - Implementation of interventions delivered to offenders
 - Achievement and monitoring of outcomes
 - Leadership and strategic management.Particular attention will be given to RoH issues – it is performance against these measures that will determine whether a re-inspection is carried out.
- The inspection takes account of the regular NOMS performance data. These are produced by NOMS, which is responsible for their collection and quality assurance.
- Each inspection takes place over one week. The area is asked to identify a random sample of 110-120 offenders (more in the largest areas) who have been managed by a probation offender manager for approximately six months. We then ensure that there is a minimum number of the following types of cases: high/very high RoH; PPOs; approved premises residents; statutory victim contact; black and minority ethnic offenders. The cases are drawn from community orders, licences and those in custody.

Methodology

- During the inspection we examine the probation case file and carry out an in-depth interview with the offender manager. We also interview offenders, victims, keyworkers and case administrators. We send questionnaires to offenders and victims whose cases arise in the sample and to a selection of magistrates, judges and legal advisers involved in sentencing. Colleague inspectors from Ofsted work alongside us, examining offender learning.
- We interview senior and middle managers, Board members of the probation area, and partners.
- Inspection of about a third of the cases in the sample is carried out by area assessors, experienced staff/managers of the probation area being inspected. We think this provides a positive experience both for the area and the staff directly involved and that it increases ownership of the findings.

Publication arrangements

- Summary verbal feedback is given to the area at the end of the inspection week.
- A draft report is sent to the area for comment four to six weeks later. Publication follows approximately 12 weeks after inspection. A copy is sent to NOMS HQ and copies are also made available to the press and placed on our website.
- Reports on offender management in Wales are published in both Welsh and English.

APPENDIX 4

Scoring approach

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

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

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

Section 1: Assessment and sentence planning

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

Section 2: Implementation of interventions

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

Section 3: Achievement and monitoring of outcomes

- 3.1 Achievement of initial outcomes
- 3.2 Sustainability of progress

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

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

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

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

Section 4: Leadership and strategic management

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

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

APPENDIX 5

Role of HMI Probation

Statement of Purpose

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

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

Code of Practice

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

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

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

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