



OFFENDER
MANAGEMENT
INSPECTION
INSPECTION

A report on Offender Management in
Teesside

An inspection led by
HM Inspectorate of Probation

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FOREWORD

Teesside Probation Area has become a well-managed organisation that is performing extremely well against the targets set by the National Offender Management Service and delivering increasingly effective supervision of offenders. We saw good work with key partners in the region and with other agencies to enhance the quality of services available to offenders.

This inspection has shown that the assessment of offenders was completed to a good standard, but that sentence planning did not reflect these assessments well enough, often enough. The Risk of Harm to others was generally well managed, but with some aspects, such as comprehensive risk management planning, needing further improvement.

Attention to victim issues throughout the offender management process was not well demonstrated and the area could do more to take account of the views of service users.

The findings in this report reflect well on staff, managers and the Board and we are confident that the findings will be used to bring about further improvements in services.

ANDREW BRIDGES

HM Chief Inspector of Probation

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LIST OF ABBREVIATIONS/ACRONYMS

CDRP	Crime and Disorder Reduction Partnership
CDVP	Community Domestic Violence Programme
CO	Chief officer
CRAMS	Case Record Administration and Management System
CRI	Crime Reduction Initiatives
CV	Curriculum vitae
DRR	Drug rehabilitation requirement
ETE	Employment, training and education
ETS	Enhanced Thinking Skills
GP	General Practitioner
HCC	High causers of crime
HMI Probation	Her Majesty's Inspectorate of Probation
HR	Human resources
IPPF	Integrated Probation Performance Framework
LAA	Local Area Agreement
LCJB	Local Criminal Justice Board
MAPPA	Multi-Agency Public Protection Arrangements
NNC	National Negotiating Committee
NOMS	National Offender Management Service
OASys/eOASys	Offender Assessment System/electronic OASys
Ofsted	Office for Standards in Education
OMI	Offender Management Inspection
OMU	Offender Management Unit
PCT	Primary Care Trust
PO	Probation officer
PPO	Prolific and other priority offender
PPU	Public Protection Unit
PSO	Probation service officer
PSR	Pre-sentence report
REM	Race and ethnic monitoring
RoH	Risk of Harm
ROM	Regional offender manager
RoSH	Risk of Serious Harm
SARA	Spousal Assault Risk Assessment
SFO	Serious further offence
SLA	Service Level Agreement
SMB	Strategic Management Board
SPO	Senior probation officer
TPO	Trainee probation officer
VLO	Victim liaison officer
YOS/T	Youth Offending Service/Team

SUMMARY

Assessment and Sentence Planning

The quality and timeliness of reports were good. Report writers had taken account of the level of seriousness indicated by the court and clear proposals were substantially followed by the court. Report writers assessed criminogenic factors accurately.

Race and ethnic monitoring was carried out in all cases and diversity issues were actively assessed in most cases. Skills for life screenings were not always undertaken with offenders, particularly for those with stand alone unpaid work requirements. Good arrangements were noted in relation to information, advice and guidance, but sharing of prior learning information between custody and the community did not always take place.

Offenders were aware of the requirements of their sentences and the penalties should they be breached. However, they were less clear about what sentence plans contained and how they shaped the work that would be undertaken with them. We found that in many cases the offender had not had the opportunity to participate actively in the planning process and the sentence plan had not given a clear shape to supervision nor set relevant goals for them.

Implementation of Interventions

Offender managers prepared offenders for interventions, managed the overall sentence, communicated with other workers and demonstrated commitment to their work. Sentence plans were reviewed in accordance with the national standard, but they did not always inform future work. Induction was timely and frequency of appointments, monitoring of attendance and instigation of breach proceedings when required were all good. The management arrangements for prolific and other priority offenders were also good, with excellent inter-agency working and an enhanced service delivery provided. There was a broad variety of unpaid work placements, albeit not always matched to the offender. Arrangements for interventions took account of diversity issues; however literacy and dyslexia were not always addressed.

Pre-release work with offenders and prison staff was substantially positive and timely. Licence requirements were generally appropriate.

Victim work was underdeveloped. While a number of positive comments were made about individual victim liaison officers, there was evidence that not all direct victims were receiving the service to which they were entitled. In addition, input on victim awareness was not always sufficiently offence focused.

Case files contained relevant information and recording was substantially clear and timely. Case entries did not always capture important information about the methods of work being used with offenders, which was particularly important when there were barriers to engagement that had been successfully overcome by staff working with the offenders and the learning was of benefit to the whole organisation.

Achievement and Monitoring of Outcomes

Resources were allocated according to the Risk of Harm and likelihood of reoffending posed by the offender in a high proportion of cases. Initial outcomes in relation to 'punishment', 'help' and 'control' were substantially achieved and there were benefits to the community in relation to the unpaid work undertaken. A high proportion of offenders had not been cautioned or convicted during the sentence to date. The number of different offender managers working with an offender in a small number of cases had had a detrimental impact on progress. In approximately half of the cases the offender had not demonstrated increased victim awareness nor showed improvement in their behaviour or attitude.

Leadership and Strategic Management

Managers were well regarded by offender managers both for the way they carried out their roles and responsibilities and for the leadership they provided. This opinion was shared by partner agencies, who reported active engagement by senior managers and Board members in the relevant strategic alliances across Teesside. The area was actively contributing to the Local Area Agreements and engaging fully with four different Crime and Disorder Reduction Partnerships, each of which had different priorities around 'reducing reoffending'. The area was well represented at a senior level on the Local Criminal Justice Board, and the Director of Public Protection chaired the Strategic Management Board of Multi-Agency Public Protection Arrangements.

The area had a good performance management system in place but, of more importance, a very strong performance culture throughout the organisation. This had led to some excellent results against the Integrated Probation Performance Framework. At the end of the third quarter of 2008/2009 Teesside was scored as an exceptional performer nationally.

Staff were satisfied with the training and the quality of the supervision received, but frequency was an area for improvement.

The area had worked in a strategic sub-alliance with Durham and, through shared management posts, had minimised its overheads. Some additional resources had been accessed, most notably from the local authorities in Teesside in relation to the multi-agency prolific and other priority offender teams.

Arrangements had been put in place to monitor pre-sentence report proposals and disposals to inform future practice, but the area was not yet using that information routinely. Serious further offences and complaints were both reviewed routinely by the Board and management, and the learning taken forward appropriately.

Intervention services provided were to a good standard, but the analysis and use of data to inform planning in relation to ETE were insufficient. The views of victims and offenders were not adequately taken account of in the commissioning, maintaining or decommissioning of services. A good example of partnership working saw the development of the Alcohol Treatment Requirement and Activity Requirement for Middlesbrough offenders.

Risk of Harm

Risk of Harm screenings and full analyses were completed on time, but not always to a sufficient standard or covered victim issues thoroughly. There was effective management involvement in the high Risk of Harm cases, but this was less well demonstrated in respect of child safeguarding. Risk of Harm was reviewed routinely and when changes in risk factors took place plans were put in place to address the changed situation. Where the case was within Multi-Agency Public Protection Arrangements, the necessary information was shared with other staff involved and arrangements worked well operationally. At a strategic level the Multi-Agency Public Protection Arrangements Strategic Management Board was actively engaged with gaining greater support from the 'duty to cooperate' agencies. Overall, restrictive interventions were monitored and steps taken to minimise Risk of Harm. In those cases where offenders were recalled to prison, this was in order to manage Risk of Harm and, following recall, offender managers had sought to re-engage offenders. Referrals to approved premises were appropriate and they were used effectively with a range of constructive interventions available for offenders.

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: Teesside (February 2009)

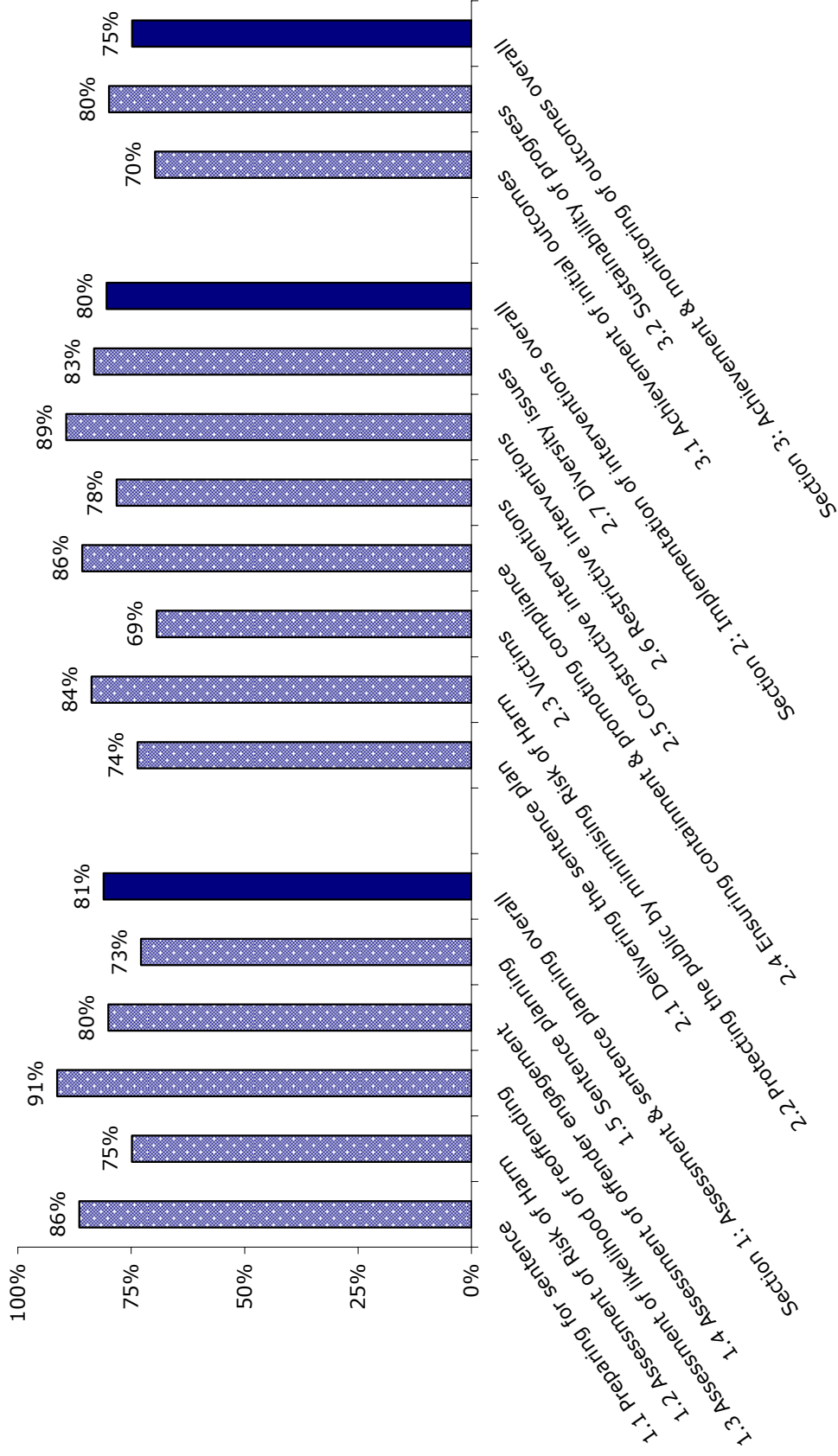


Table 1: Scoring of section 4:

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	Satisfactorily met
4.4	General Criterion: WORKFORCE PLANNING AND DEVELOPMENT	Well met
4.5	General Criterion: REVIEW AND EVALUATION	Partly met
4.6	General Criterion: COMMISSIONING OF SERVICES	Satisfactorily met

Table 2: Risk of Harm Thread

Table 2 indicates a score drawn from a range of indicators in the *Assessment and 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	80%
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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 area by area. Such comparisons are not entirely valid as the sizes of samples vary slightly, as does the profile of cases included in each area's sample. We believe the scoring is best seen as a simple summary of what we have found in an individual probation area and needs to be seen alongside the full findings and recommendations of any particular report.

RECOMMENDATIONS FOR IMPROVEMENT

Improvements are necessary as follows:

1. Risk of Harm is accurately analysed and risk management plans are comprehensive. Reviews are completed when there is a significant change
2. sentence plans and reviews are completed to a high standard and provide the focus for the supervision of offenders
3. victims' issues are fully embedded within all aspects of offender management
4. victims' views and those of offenders are taken into account in respect of the commissioning, maintaining or decommissioning of services
5. diversity monitoring informs the strategic planning process and the provision of services
6. appropriate levels of supervision are provided to all staff.

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 Teesside.

SHARING GOOD PRACTICE

Below are examples of good practice we found in Teesside.

Well constructed PSR with a clear proposal:

OMI Criterion: 1.1
Preparing for sentence

This excellent PSR gave a clear outline of the complicated circumstances leading to a young mother driving with excess alcohol whilst her young son was in the vehicle. It made good use of OASys and was written in plain English. The report highlighted the emotional and social aspects of the offender's recent experience without in any way excusing her conduct. It led on to a clear proposal for a two year community order with supervision. This recommendation was followed precisely by the court and the first six months of the order were very positive, with no further offence being committed.

PSR that took account of the exceptional personal circumstances of the offender:

OMI Criterion: 1.1
Preparing for sentence

This case involved a PPO with a long history of offending related to his drug abuse. He had been diagnosed with a serious degenerative hereditary illness and had watched his father deteriorate dramatically in recent years as a result of this incurable disease. The PSR was a model of clarity, setting out the background to the offences and putting them, and the RoH they represented, into the context of the offender's extremely difficult personal circumstances. The proposal for a community order was acted on by the court and the period of supervision that resulted included some excellent communication and joint working between the probation area and health services in the area.

Superb initial sentence plan that led to positive outcomes

OMI Criterion: 1.5
Sentence planning

The newly qualified offender manager produced a superb initial sentence plan that drew on SARA and integrated her planned one-to-one work with actions to deliver the requirements of the order and victim awareness. The offender was fully involved in the planning process and the plan integrated a clear risk management plan and included objectives for work in six specific areas. Measurable progress was achieved in the six months following the making of the order. The offender completed a nine session alcohol course, undertook his unpaid work for the community, demonstrated increased victim awareness and was in regular employment. He reduced his use of alcohol and established a relationship with a new partner whilst maintaining contact with his son. The offender manager's work undoubtedly contributed to the progress made, and the importance of the excellent initial sentence plan was key to the way a complex case had been managed.

Simple but clever use of CRAMS that helped to protect staff:

OMI Criterion: 2.2
Protecting the public by minimising RoH

Due to his risky previous behaviour, it was unsafe for female staff to see this MAPPA Category 3 Level 2 offender alone. To make sure that this information was communicated to all staff, it was entered onto CRAMS with the date the same as the termination of the order. This meant that the entry to highlight the risk was always the first entry brought up when someone looked at CRAMS. As a consequence, duty staff and those from other offices had the information readily available and were able to act accordingly.

Provision of an interpreter helped a deaf offender address his sentence plan objectives:

OMI Criterion: 2.4
Diversity

Colin was a profoundly deaf young man with very limited communication skills and whose frustration with this had contributed to his likelihood of reoffending. The area arranged for a signer to be present at court. Once sentenced, the offender manager used the same signer for each appointment, ensuring that Colin had continuity of service. When Colin attended appointments with Mind, he was supported by the same signer. Both the risk management and sentence plans specified the importance of using the same signer, and also gave the contact details so that any one working with Colin could ensure this continuity. The impact of this was that he engaged with the offender manager and was working to meet the sentence plan objectives. At the time of the inspection he had complied with the requirements of electronic monitoring, undertaken offence focused work with the offender manager and commenced a course at college.

Offender manager and partner agencies helped an offender to turn his life around:

OMI Criterion 3.1
Achievement of initial outcomes

Seamus had a history of drug abuse over a number of years that had resulted in his children being taken into care and placed for adoption. He had drifted into a life of petty offending to fund his drug addiction. He was sentenced to a community order with DRR requirement for shoplifting. At the time of sentence he was living with a partner who was six months pregnant. His offender manager worked closely with partnership agencies and helped Seamus and his partner to be re-housed and to stabilise his life to a stage that he was providing negative drug tests. He completed the DRR successfully. The following was recorded on CRAMS: "*Seamus attended. He is feeling on top of the world. He said that he loves his new house and that his key worker at CRI has been fantastic and helped him so much. He said that he can't believe how getting arrested and this order have helped him to change his life. He has not used any substances and is concentrating on getting his house sorted out*".

SERVICE USERS' PERSPECTIVE

Offenders

There were 66 HMI Probation questionnaires completed and returned by offenders out of the 110 in the sample. This was a good level of response. 44% of those replying had recently been released from prison, with just over half having received a visit from their offender manager. Almost all offenders had had the rules covering their supervision fully explained and were clear about the implications should they breach their orders/licences. 87% said that their offender manager had discussed their sentence plan with them and 82% told us that their offender manager had worked well with other staff/agencies involved in their case. Offenders responding said that their attitude to offending, drugs use and thinking skills had been the three highest scoring areas of need that had been addressed with their offender manager. Help in those three areas had been received in 62%, 52% and 42% of the cases respectively. In nine out of the ten cases where an offender had reported issues that had made it more difficult for them to take a full part in their supervision sessions, these had been fully discussed and plans put in place to address them. 77% of the offenders who completed the questionnaire said that they now thought more about their offending, 78% reported that they were more likely to think about the victims of crime, while 77% indicated that they were less likely to reoffend as a result.

In addition, we were able to meet with a total of 27 offenders during the inspection week – either residing in approved premises, undertaking unpaid work or on an accredited programme.

We interviewed three offenders in an approved premises. None of them was able to demonstrate more than a cursory understanding of what a sentence plan was. They did, however, understand that living in the hostel was part of a process to prepare them for independent living in the community and the restrictions placed on them while there. They reported active engagement by their offender manager, and three-way meetings with their offender managers and key workers were held regularly. While there were positive comments made about the participation of offender managers, including their willingness to listen and involve the offenders, the residents had no real sense that the offender manager was a lead figure or coordinator of services. With the exception of one offender who was in denial, there was clear evidence of offence focused discussions that raised offenders' general awareness of the victim perspective. Offenders reported themselves to be more aware of the victim perspective but they were unable to say in what way; this suggested that victim focused work was superficial. One licensee had been visited in prison prior to release, and there had been a discussion about licence conditions including the imposition of an exclusion zone. All offenders had received a timely induction, although their recollections of the content were rather hazy. They had received a leaflet about living in the hostel and were able to articulate a clear understanding of the rules. These had been subsequently reinforced by staff and were displayed on doors throughout the premises as a reminder. Staff were seen as fair and consistent in dealing with residents – one offender said he had lodged a complaint about a member of staff that had been resolved promptly. The offenders described a range of constructive interventions being delivered on the premises including numeracy and literacy, help with preparing CVs in relation to job applications and practical work such as painting, cookery and independent living

classes. Staff delivering these services were described as both positive and encouraging. Diversity issues were actively assessed and addressed. One offender said *"we all get treated right"* while another who had a heart condition and hip problems said he had received assistance to register with a GP and attend health appointments. The offenders interviewed were all clear that discriminatory behaviour would not be tolerated and recollected that this had been fully covered in their induction. Encouragingly, they were able to describe an environment that encouraged them to think ahead and plan for their move on. In one case, the work of the psychiatrist had been especially helpful in that respect.

We interviewed 11 offenders undertaking an unpaid work placement either as a stand alone community sentence or as part of a multi-requirement order. The term 'sentence plan' was generally an unfamiliar one to the offenders with a stand alone unpaid work requirement. All remembered receiving an induction promptly with their offender manager following sentence and recollected signing a 'contract'. A number of them could not recall what was in it. A sizable number of the offenders said that they had not had the opportunity to discuss their work placements, and, in the words of one of them, thought it was a case of *"turn up and get on with it!"*. Those who had additional requirements knew who their offender manager was and one had been visited on his unpaid work placement. A number of the offenders on stand alone unpaid work requirements reported that they were not sure who their offender manager was and only expected to see or hear from them if there were problems with their unpaid work. They described receiving a comprehensive health and safety induction on a one-to-one basis at the start of their order. There was no evidence to suggest that there was any real matching of skills and/or interests to placements and most described work that offered little skills/development opportunities. Offenders on unpaid work described staff as being fair and consistent, one had been breached and described a transparent and timely process that had led to him receiving extra hours. We were given examples of diversity needs having been taken into account, e.g. childcare and work commitments. Only three of the offenders were able to identify positive benefits relating to their behaviour and attitudes as the result of their unpaid work. Two of them said they were unlikely to reoffend in the future and the third said he had really enjoyed working out of doors and the unpaid work had given his life a structure previously lacking. Most were able to tell us about benefits to the community deriving from the work they were undertaking. Three thought the work undertaken should have been more visible to the community.

We also interviewed 13 offenders who were participating in either the CDVP or ETS accredited programmes. They had mixed views about the priority given by their offender manager to the sentence plan, with those on the ETS programme being more aware of its contents. The CDVP participants said that there were issues that they would like to have seen included in their sentence plans; one identified bereavement counselling. Others said that they would like to have been made more aware of courses available to them and any associated funding. These were clearly issues they had not felt able to explore with their offender managers. All those interviewed said that they had signed their sentence plans, although some of them said that they were confused about what the sentence plan was and how it informed the work done with them. Those undertaking the ETS course were positive about the victim work carried out and were able to articulate some key learning points. The offenders on both programmes were clear about the requirements for good behaviour and the consequences of breach; this was a consistent message that we heard from offenders in Teesside. All knew who their offender manager was and were generally positive about the level of communications

they had had with them and also the communications that took place between their offender manager and programme tutors. Those on programmes also spoke favourably about their tutors and key workers who assisted them. Travel to attend the programmes was provided by the area and this had assisted with compliance.

Victims

Only one of the six questionnaires that were sent to victims in the case sample was returned. They were completely satisfied with the service provided, had received a face-to-face meeting with victim liaison staff and was fully informed about what would be provided. The victim was given details about the offender's sentence and provided with the opportunity to say what conditions they would like to see put in the offender's licence on release.

During the inspection week, two victims met with inspectors and a further two received a telephone interview. In relation to contact following sentence, two were contacted within the national standard timeframe, a third was unsure of how soon they were contacted and the fourth was not contacted and had to make numerous attempts to get a response – the area was aware of this. Two of the victims felt concern had been shown with regard to their safety; they had been involved at key stages of the sentence and this had given them a sense of ownership of the case. They said that VLO staff had listened and paid good attention to their safety. The other two victims reported having to request information – one of them said that they were unclear whether victim impact statements had been provided to the Parole Board or if the statements had been altered. All had been kept informed of where the offender was living at key stages of the sentence including the category of prison they were in. With the exception of one case, there was a lack of understanding about how restrictive interventions were used and monitored. In particular, they were not aware of MAPPA and the way that it contributed to victim safety. One of the victims interviewed face to face described the VLO she had worked with as a *"professional, supportive friend"*.

Courts

Of 30 questionnaires sent to sentencers only four were returned. All were satisfied with the quality of both fast delivery reports and standard delivery court reports which had been made available to the courts within the required timescale. Liaison with sentencers attracted positive comments, with one making a special mention of the ten lunchtime training sessions that were attended by over 150 magistrates. At those events the area had provided booklets for use in the courts to help magistrates with information about which programmes were available in Teesside. Probation staff in the courts were observed to be both knowledgeable and to possess the skills to undertake court duty. All four sentencers stated that staffing levels in the courts were sufficient to provide sentencers with appropriate information to aid decision making. Two were aware that Teesside probation undertook monitoring of report proposals/court disposals and compared that with successful completions of orders/licences, and three knew that there were arrangements in place to ensure the swift resolution of breach proceedings. All commented favourably on managers modelling 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.

86%

Strengths:

- (a) Fifty-three of the community orders, suspended sentence orders or custodial sentences had had a PSR prepared for the current offence. In those instances where the court had indicated a level of seriousness, this had been taken into account in 97% of the reports.
- (b) A clear proposal for sentence had been made in 91% of reports, with a community proposal made in 85%. This was followed by the court in 76% of the cases. The area had invested in a specialist unit, the Teesside Intervention Clearing House, and all PSR proposals except oral reports commissioned on the day and not flagged up in advance were moderated and approved by that unit so as to ensure compliance with legislation and the Sentencing Guidelines 2008.
- (c) Of the reports inspected, 96% were of the appropriate type and an impressive 98% were completed using the nationally approved report format. Only one of the reports was not completed within the time scale set by the court.
- (d) The good picture presented by Teesside reports was further demonstrated by 89% of them being based on appropriate risk or needs assessment. 92% were objective, impartial, and free from discriminatory language and stereotype. 79% were balanced, verified and factually correct and 75% were suitably concise.
- (e) There were five reports written on PPOs. In each case the seriousness of the offence and the likelihood of reoffending were fully addressed. In addition, all contained clear and proportionate proposals for sentence and, in accordance with national guidance, avoided labelling the offenders as PPOs.

Areas for Improvement:

- (a) In nine out of the 11 cases where the court had not followed a report proposal, the reason was not clear or not recorded.
- (b) Only 58% of the reports contained appropriate victim information. In just over one-third of those inspected, no outline sentence plan could be found.
- (c) While issues of self-harm were generally well captured in reports, it was of concern that in three of the five cases that led to a custodial sentence information about self-harm was not communicated to prison staff immediately.

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.

75%

Strengths:

- (a) A RoH screening was completed in all relevant cases. This was carried out at the start of the sentence in 97% of cases and completed or reviewed on release from custody in 97% also. In 83% of cases the RoH screening was assessed as accurate.
- (b) The OASys RoSH classification was correct in 95% of the cases seen. In all the 20 high or very high RoSH cases inspected, the classification was communicated to all staff involved. External key workers were either able to access OASys and CRAMS electronically or were advised of the classification by other means.
- (c) The OASys RoH screening and analysis and any other specialist tool drew on MAPPA, other agencies' and previous probation/prison and YOT assessments to at least a sufficient standard in 78% of the cases. We found that MAPPA levels were routinely and correctly recorded in CRAMS and OASys and that in 24 of the 25 MAPPA cases the level had been communicated to all relevant staff.
- (d) A full RoH analysis was completed in 91% of cases where this was indicated and it accurately reflected the RoH to children, the public, known adults and staff in 81%, 87%, 86% and 83% respectively.
- (e) Risk management plans were structured according to the required format in 94% of community or suspended sentence orders and licence cases. In the five high RoH cases seen, all plans were completed within five working days of the order being made or after the offender was assessed as posing a high RoH. We found effective middle and/or higher management involvement in 92% of the high or very high RoH assessments.
- (f) In seven out of the eight cases where a referral was made to approved premises, this was deemed to be appropriate and accepted. There was a weekly referral meeting in Teesside. Referrals came primarily from the area-wide PPU. The approved premises manager attended MAPPA meetings, while the key worker attended reviews at Level 2.

Areas for Improvement:

- (a) In 31% of the cases where a full RoH analysis was completed, it was not done to a sufficient standard. In four out of eight relevant cases, the RoH analysis did not accurately reflect the RoH to prisoners. In addition, victim issues were not covered adequately in 29% of the cases.

- (b) The risk management plan required in medium and high RoH cases was not assessed as comprehensive in 56% of the community and suspended sentence order sample, in 45% of the licences and in six out of the eight custody cases. We found that some did not include information such as interventions to be delivered by hostel staff, curfew details or licence conditions. The risk management plan was not completed prior to release in 52% of the licence cases.
- (c) We found that in one-third of cases where there were child safeguarding issues there had been ineffective higher management involvement. There were a number of instances where routine inquiries were made by offender managers to social services that had not elicited responses and that follow-up action had not been taken.

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.

91%

Strengths:

- (a) An OASys score was calculated at the start of sentence or release from custody in 98% of the cases.
- (b) We found that criminogenic factors had been accurately assessed in 86% of the cases either at the start of sentence or on release from custody. In 96% of cases this was done on time in accordance with national standards.
- (c) Positive influences, such as supportive and pro-social factors, were identified in 90% of the assessments. In addition, in 85% of the cases where there were previous relevant assessments produced by probation, police or other agencies, they had been used appropriately by the PO offender manager.
- (d) In the case of the 12 relevant PPOs, the OASys assessment was completed in a comprehensive and timely manner in all cases.

Area for Improvement:

- (a) Where PSOs were undertaking the assessment, they did not draw on a relevant previous assessment in over a third of 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.

80%

Strengths:

- (a) The race and ethnicity classification was clearly recorded for all the offenders in the inspection sample.
- (b) ETE workers were integrated into unpaid work and OMUs and undertook the basic skills screenings. Where indicated by the initial screening, a full skills for life assessment was undertaken in 83% of cases. Good arrangements were noted in relation to information, advice and guidance, with a detailed evaluation of each offender's needs carried out.
- (c) In 71% of the cases full attention was paid to the methods likely to be most effective with the offender. In 74% the intellectual capacity, assessment of offenders' learning style, capacity to change and motivation had been taken into account at the earliest opportunity.
- (d) Diversity issues and other individual needs were actively assessed in 83% of cases and we saw a number of good examples in the work inspected. A diversity screening form was completed at the initial induction appointment and we found copies of these forms on file – it was not always clear how the forms had been used, however.

Areas for Improvement:

- (a) In two out of five cases in the inspection sample, a skills for life screening was not carried out. This was a particular issue for offenders on Sunday unpaid work placements when arrangements to undertake screenings were not made available. Sharing of information between custody and the community in relation to prior learning did not always take place.
- (b) We saw a number of cases where specific diversity issues had been identified and the plans put in place to address them but where this had not been adequately included in the sentence plan. This was an omission in recording.

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.


73%

Strengths:

- (a) The tiering framework to inform the appropriate utilisation of resources was fully deployed in Teesside. 91% of the cases were correctly tiered, and planning accurately reflected the tier in respect of punish, help, change and control in 94% of the cases.
- (b) Offenders were allocated to an offender manager within the required time limits in 96% of cases.
- (c) The initial sentence plan was completed within the appropriate timescale in 81% of cases, and in 80% of cases the plan made it clear that the arranged contacts were enforceable. In 88% of initial sentence plans the planned contact levels of each requirement were appropriate, and in 78% of cases it was clear from the plan who would deliver the interventions. Sentence planning documents were sensitive to diversity issues, including offender vulnerability, in 73% of the cases.
- (d) Interventions were identified that were likely to address offending behaviour in 80% of cases, promote community reintegration in 75% of cases, meet the punitive requirements of the sentence in 74% of cases and for medium/high/very high RoH cases reduce or contain the RoH in 84%.
- (e) In almost every case steps were taken to ensure that the offender fully understood the requirements of the sentence and the penalties should it be breached. Those excellent findings were consistent with what we were told in our interviews with offenders and from the HMI Probation questionnaire returns.

Areas for Improvement:

- (a) The roles and liaison responsibilities of all workers involved in the case were not clearly defined in sentence planning documents in just over a third of the cases. While this picture was not reflected in the practice described by internal and external key workers who were clear about the separation of roles, it may go some way to explaining the confusion of those offenders who expressed a lack of understanding about the central role played by the offender manager in their sentence.
- (b) We found that, in roughly a third of the cases, the sentence plan had not given a clear shape to supervision nor had it set relevant goals for the offender. How any medium/high/very high RoH posed by the offender would be managed was outlined (including cross-references with the risk management plan) in only 52% of the relevant cases.

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- (c) We found that just over one in four offenders had not had the opportunity to participate actively in the planning process and that despite sentence plans being individualised and written in the offender's voice, many had a fairly vague knowledge of their sentence plan. They were unaware of what it contained and failed to appreciate the plan's centrality to the work to be undertaken during their period of supervision.

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.

74%

Strengths:

- (a) Arrangements were in place to prepare offenders thoroughly for interventions in 88% of cases, and in 77% arrangements were in place to reinforce new skills.
- (b) In 79% of cases the offender manager managed, oversaw and coordinated the input of all workers and in 81% of cases there was good communication between the offender manager and other workers. In 77% of cases there was good communication between all workers and the offender.
- (c) Offender managers demonstrated commitment to their work with the offender in 90% of the cases, while in 78% they reinforced positive behaviour and motivated and supported them throughout the sentence.
- (d) Sentence plans were reviewed in accordance with the required timescales in 95% of cases and sentence requirements were fully implemented in 80%. In three-quarters of the cases reviews of the sentence plan integrated other plans appropriately.
- (e) There were two high/very high RoH cases transferred in and the risk management plan was both reviewed and updated by the offender manager within five working days. In four of the six cases that were transferred in to Teesside, a completed and current OASys was provided by the former area including a RoH assessment, a risk management plan where relevant and a sentence plan. In four of the six cases the first appointment was made with the offender within five working days of Teesside being notified that the offender was living in their area and a home visit was undertaken within ten working days.
- (f) Four custody reports were inspected and in each case they were clear and thorough and three of them incorporated accurate RoH assessments and contributed to decision making processes within the required timescale. In 85% of cases work in the community built sufficiently on that carried out in prison, while in 73% of the cases work between prison-based staff, offender managers and others in preparation for an offender moving between custody and the community was positive and timely.

Areas for Improvement:

- (a) In relation to the sentence plan, in 42% of cases the objectives and milestones did not give a clear direction to the sentence. In 30% of the cases continuing ownership by the offender was not sought.

Work with the offender did not flow coherently in 29% of the cases. Nearly a third of the cases did not see an appropriate sequencing of interventions according to RoH or likelihood of reoffending.

- (b) In only 60% of the licence and relevant custody cases had proactive work taken place between the offender manager, prison and others in preparation for the offender moving between custody and the community. Of the four who moved whilst in custody, the offender manager was notified promptly in only two of those cases. In only one of the four cases was the move consistent with the sentence plan and in two of them the move was for legitimate operational or security reasons.

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.

84%

Strengths:

- (a) The RoH to others was reviewed by the four month stage in 97% of community, suspended sentence order and licence cases and was reviewed on time at least every four months thereafter in 97% of those cases. In eligible custody cases, seven out of eight RoH reviews were carried out within 12 months following sentence. On release from custody, the RoH to others was reviewed within four months in two out of the three relevant cases and at least every four months thereafter in both of the applicable cases.
- (b) There was ongoing planning to address the RoH to children, the public, known adults and staff in 84%, 86%, 82% and 82% of cases respectively. While those percentages were high, they should not disguise the fact that, for example, nine children and ten known adults were not receiving the level of protection from RoH planning that was required. In eight out of nine custody cases there was evidence that both the offender manager and supervisor had engaged with internal risk management processes.
- (c) The MAPPA SMB was chaired by the Director with responsibilities for public protection. The arrangements were well embedded and appropriate staff attended the meetings. In 24 out of 25 cases, the MAPPA were used effectively and the offender manager and other relevant staff contributed appropriately. We also saw offender managers contributing effectively to other multi-agency meetings, including chairing sentence planning boards in custody.
- (d) Four offenders were recalled to prison and in each case this formed an appropriate part of the risk management process. Recall had been actioned properly and a clear explanation was given to the

offender as to the reason for their reimprisonment and efforts were made to re-engage them.

- (e) In 80% of cases changes in RoH/acute factors were anticipated when feasible, while in 84% of cases the RoH/acute factors were identified swiftly and acted upon promptly.
- (f) We noted that Teesside made extensive use of home visits and it was good to see that in all cases they were carried out within ten working days of sentence or appropriately at a later date. In 83% of cases these were repeated as necessary to keep the RoH to a minimum. Home visits were deployed effectively to monitor children's safeguarding outcomes in 90% of cases.

Areas for Improvement:

- (a) In seven cases where a significant change relating to an offender's RoH to others was identified, a RoH review was not carried out; this included one custody case. This meant that crucial information about the offender was not available within Teesside probation or to partners/key workers involved with the offender. In general, we found that offender managers had managed changes in an offender's RoH circumstances but that the changes and the measures to address them, including an update of the risk management plan, had not been recorded formally.
- (b) There were two cases where the offender posed a RoH to prisoners. In neither case was planning put in place to ensure that the necessary actions were taken.

Conclusion:

Performance against this criterion was good.

2.3 General Criterion: VICTIMS

Consistent attention is given to issues concerning victims.

69%

Strengths:

- (a) In cases where there was a direct victim/potential victim we found that in 70% of the 54 cases due attention had been accorded to their safety through the imposition of restrictive/prohibitive conditions on the licence or order, or through children's concerns being accorded appropriate priority. However, that percentage disguises the fact that in 16 cases the work undertaken was insufficient.
- (b) Where statutory victim liaison took place or was offered, the written offer of a face-to-face meeting was made to the victim within 40 days of sentence in 16 of the 22 relevant cases (73%), and information about the criminal justice process was provided to 16 of the 22 victims also. In 86% of the relevant cases we were able to evidence that either the offer of a face-to-face meeting was made or written information provided to the victim.

- (c) In 90% of the cases where statutory victim contact proceeded, the victim was provided with the opportunity to express their views on conditions to be incorporated into the licence. In 75% of the cases they were informed of both release conditions and information in a timely fashion.

Areas for Improvement:

- (a) In more than half of the relevant cases offender supervisors in custody had not promoted victim safety in the prison setting.
- (b) In only two of the four applicable cases was the victim provided with the opportunity to see the parole report.
- (c) Victim awareness work was undertaken with the offender in just under three-quarters of all the cases. However, it was not always focused on the circumstances of the offence or the impact on the victim.
- (d) We saw cases where only the direct statutory victim of an offence was offered a service, and were told by the offender manager that that was the area policy. However, that approach did not always meet the needs of all, especially where there were multiple victims.

Conclusion:

This criterion represents a priority for improvement.

2.4 General Criterion: ENSURING CONTAINMENT AND PROMOTING COMPLIANCE (Punish)
Contact with the offender and enforcement of the sentence is planned and implemented to meet the requirements of national standards and to encourage engagement with the sentence process.

86%

Strengths:

- (a) In all the custody cases where the offender had not been released, there were satisfactory arrangements in place to restrict them during the custodial phase in accordance with sentence requirements. All offenders had received a full and timely induction at the prison.
- (b) 95% of offenders were offered a full and timely induction following sentence to a community order or after release on licence.
- (c) The frequency of appointments for offenders, except those subject to an unpaid work requirement or in custody, conformed to national standards in 94% of the cases, facilitated the requirements of the sentence in 93%, met any RoH considerations in 85% and supported the requirements of the sentence plan in 89%. The frequency of unpaid work sessions conformed to the national standard in 92% of cases and facilitated the requirements of the sentence in 96%.

- (d) Placements for unpaid work offenders were suitably demanding in 84% of cases and of benefit to the community in 88%, although they were less well matched to the offender.
- (e) The close working between probation, police and others led to a service that delivered an enhanced level of contact and a reporting pattern supportive of all elements of the sentence in each of the 12 PPO cases. Exclusions and/or curfews were appropriately enforced and effective liaison took place with the electronic monitoring provider in ten of the 12 cases.
- (f) Offender managers monitored attendance across all interventions in 94% of cases, and effective action to ensure compliance was taken in 84%. Judgements about (un)acceptability of absences were consistent and appropriate in 83% of cases. The necessary action was instigated within national standards timescales in 91% of the cases where breach was required, and resolved within 81%.
- (g) Case records in the area were well organised; information was both timely and clearly recorded in the vast majority of cases, including REM.

Areas for Improvement:

- (a) In one-third of licence cases we found that there had been insufficient contact and liaison with the offender by the offender manager prior to release. As a consequence, it was not surprising that we found those arrangements were unlikely to provide effective offender management in the community post-release.
- (b) In 29% of the case files insufficient information had been recorded; we came across examples of this when information given in interview was not seen in the case record. Within the workload prioritisation agreement, the area had given clear guidance about the acceptability of minimal and factual contact log entries. However, some aspects of the offender’s supervision, e.g. what was being done to address barriers to engagement, would have been useful to others working with the offender had it been recorded.

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.

78%

Strengths:

- (a) In 79% of cases constructive interventions challenged the offender to accept responsibility for their offending behaviour and its consequences. We noted that the approved premises offered a

range of constructive interventions, including education, preparation for employment and life skills. However, we could not always see a link between the positive work undertaken in the approved premises and the sentence plan.

- (b) Sufficient work and resources were directed at community reintegration issues in 88% of cases. Where skills for life needs had been identified, arrangements were put in place for an appropriate intervention to be delivered in 70%.
- (c) In each of the three DRR cases, the offender manager prepared reports and attended the DRR review hearings in accordance with national standards and court requirements.

Areas for Improvement:

- (a) There was an accredited programme requirement in 13 cases, but in three the programme provision and timing were not consistent with the sentence plan. A clear and acceptable explanation for this was not recorded in one case.
- (b) We found that after reception into custody, there was no evidence in one of the two applicable cases that immediate action had been taken to preserve employment, accommodation and family ties. In one out of five applicable custody cases, supportive protective factors were not evident. In two out of five applicable custody cases, we could find no evidence that the offender was enabled to preserve community links and resources.

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: control.

89%

Strengths:

- (a) Restrictive interventions, including drug testing, electronic monitoring and prohibited activities, were monitored fully in 71% of cases. That figure meant however that in 13 of the 45 relevant cases there was a gap in the monitoring. We found that every reasonable step was taken to minimise RoH in 81%.
- (b) Approved premises were being used effectively as a restrictive intervention in all six cases. There was close working with the police, which included surveillance and rapid response arrangements, and the approved premises manager shared intelligence with other agencies, usually through MAPPA. Drug testing and monitoring took place on a regular basis.
- (c) In relevant licence cases we found that additional requirements were comprehensive, necessary and proportionate to the RoH in

97% of cases and proportionate to the likelihood of reoffending in all cases. Requirements were less well used for the protection of victims (81%).

- (d) There were eight PPOs with drug issues who had been released on licence, in each case an additional licence condition was made in relation to drug misuse.

Conclusion: Performance against this criterion was good.

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

83%

Strengths:

- (a) Arrangements for interventions took account of the offender's diversity issues in 89% of cases. In the six relevant approved premises cases, the regime met the diverse needs of the resident in all instances.
- (b) In five out of six cases the offender had given their informed consent to being a singleton placement in a mixed setting.
- (c) Offenders were clearly informed in 88% of all cases that discriminatory behaviour would not be tolerated.

Areas for Improvement:

- (a) In five out of 21 relevant cases issues of disability had not been appropriately addressed.
- (b) Issues of literacy and dyslexia were not adequately dealt with in 41% of the cases. ETE workers in some parts of Teesside were generally unaware of the availability of funding to support learners identified with dyslexia. This had led to a disparate level of service available to offenders across Teesside.
- (c) We found that in the case of the one relevant minority offender who had been placed in a mixed setting, the necessary due attention had not been paid to either the arrangements to support that offender's engagement or the composition of the staff involved with that piece of work.

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.*

70%

Strengths:

- (a) In 16 cases, where RoH escalated, there was an increase in the use of restrictive interventions and in 11 cases changes in an offender's behaviour had led to a decrease. In seven cases there had been a decrease in MAPPA level of management and for one offender there had been an increase. The area was able to demonstrate that it was responsive to events, and 16 of the 109 cases inspected saw the offender moving within the tiering framework – 12 to a higher tier and four to a lower tier. In six cases children had been added to the child protection register and in two cases they had been removed. In two custody cases the behaviour of the offender had led to them being moved to a lower category prison.
- (b) Offender managers contacted the police to check whether there had been any call out reports in all 41 cases where the offender had a history of domestic violence or there were current concerns. In 20 of the cases there had been a call out. We noted that in Middlesbrough the response by the police to requests had occasionally not been as prompt as we would have expected given the priority that should have been afforded and the potential consequences. Offender managers confirmed that view.
- (c) In 70% of cases the offender had not been cautioned or convicted of an offence since the start of the sentence. 74% of offenders in the community complied with the requirements of the sentence.
- (d) There were some demonstrable benefits to the community as a result of the work undertaken with the offender during their sentence. In 84% of the unpaid work cases this was seen to have benefited the community, while for the community, licence and custody cases there was a reduction in seriousness of offending in 33% and a reduced potential threat to victims in 39%.
- (e) The achievement of initial outcomes was good – the objective of punishment was seen to have been achieved in 89% of cases. The help objective applied to 88 offenders and 74% of them were helped during the sentence to date. The control objective was achieved in 91% of relevant cases. 50% of offenders were achieving initial success against the change objective, the most difficult one to achieve.
- (f) Resources allocated to cases were consistent with the offender's RoH in 93% and likelihood of reoffending in 95%. Resources were found to be used efficiently in 85% of cases. In all 12 PPO cases we found that the resources allocated were consistent with their enhanced status.

- (g) OASys was re-scored in 100 (92%) cases. Two-thirds showed that the most recent score showed an improvement over the initial one. Thinking and behaviour was the most common factor linked to offending, followed by ETE and lifestyle and associates. It was interesting to note that first priority factors saw either significant or some improvement demonstrated in 54% of the cases, while in the second priority factor the improvement was 47%, and 45% in the third priority factor. The figures indicate an appropriate focusing of resource.

Areas for Improvement:

- (a) We found evidence that offenders had demonstrated increased victim awareness in just 55% of cases. No positive demonstrable change was shown in relation to attitudes by 48% of offenders, while for behaviour the figure was 52%.
- (b) In 44% of cases there was no evidence that learning had taken place and the skills appropriately applied.

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.

80%

Strengths:

- (a) In 73% of cases the offender manager had ensured that sufficient action had been taken to consolidate offender learning and reinforce new skills.
- (b) An excellent 92% of offenders who had a criminogenic need were made aware of the community organisations that could help them.
- (c) Full attention was paid to long-term community integration issues in 89% of the cases.

Areas for Improvement:

- (a) Of the 23 cases where offenders had three or more offender managers working with them, in six cases (26%) this lack of continuity of offender management had had a detrimental effect.
- (b) Structured sentence planning had not been given a high enough priority in 28% of cases.

Conclusion:

Performance against this criterion was good.

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 Teesside Probation Area Business Plan for 2008/2009 was a succinct and readable document that set the area's work against the backdrop of the goals set by NOMS. The plan included an appropriate focus on protecting the public and reducing reoffending, whilst making a positive contribution to the development of LAAs in each of the four unitary authorities. The business plan was supported by the SLA agreed with the ROM. As a supplement to the area plan, Teesside had produced a detailed bid for extra funding against a national additional resource allocation of £40 million – the money for delivering community orders instead of short prison sentences. The Teesside proposals included improved sentencer liaison and training and the introduction of an enforcement role into the Teesside Interventions Clearing House.
- (b) The Probation Board played an active role in establishing and overseeing the strategic direction of the organisation. Apart from its regular Board meetings, two strategic planning days had been held in 2008; the day in January 2008 was focused on the strategic priorities for 2008/2009 and informed the targets and metrics that were incorporated into the draft Business Plan 2008/2009. Each business plan objective was assigned to a senior manager and was supported by a delivery plan that provided information on the planned activity and milestone targets.
- (c) The area had developed a Staff Reference Manual, an electronic application accessible to all staff, which provided information on all current policies, practice guidelines, procedures and links to other agency resources, within one database. It was encouraging to note that all offender managers interviewed knew about and used the manual. Offender managers also told us they received information about policies and procedures in team meetings and in staff supervision sessions. It was not surprising therefore that, without exception, they were well informed about the policies and procedures operating in the area.
- (d) A quarterly area liaison group chaired by the Crown Court judge member of the Probation Board met to review performance and determine local working arrangements between the probation area and the local courts. A recently formed group of sentencers, court staff, probation senior managers and SPOs had set up meetings to

focus on 'best practice in sentencing'. The area had produced a revised Offender Management Guide to promote community sentences. Joint work undertaken had had an impact on the end-to-end enforcement target of 60% of offenders brought back to court within 25 working days of their relevant failure to comply. Teesside's figures for 2008/2009 saw incremental improvements each quarter. The area was achieving 64.9% at the end of December 2008 compared with a national average of 62.6%.

- (e) Every member of staff that we interviewed rated the professionalism of Teesside managers as sufficient or excellent and, again without a dissenting voice, said that managers in the organisation modelled positive leadership behaviour. Unusually, every member of the inspection team was based in the Middlesbrough Head Office and offender managers attended that office for their interviews. The inspection team noticed the presence of senior managers during the week, including the support and encouragement that was given to staff. The Annual Audit Letter for 2007/2008 issued an unqualified audit opinion on the Board's accounts for that year. The report concluded that it had appropriate arrangements in place to secure economy, efficiency and effectiveness in its use of resources against the specified criteria.
- (f) The MAPPA SMB was chaired by a Director of Public Protection. Minutes from the SMB demonstrated a commitment to gaining the cooperation of 'duty to cooperate' partners. Under the Director's leadership, active monitoring of attendance at the MAPPA was taking place.
- (g) Partnership working in the area of ETE was good, with particularly strong working relationships with key providers. Communications were assessed as positive. Teesside probation held frequent meetings with key providers to assess programme arrangements and the quality of provision. Good practice was shared between providers to benefit learners. Cooperative arrangements between providers ensured that offenders were referred to the most suitable provision to meet their learning needs.
- (h) The CO and Board Chair held regular meetings with the ROM. The main focus was the SLA. One example of the CO being held to account related to the issue of staff sickness absence. Teesside's figures were impacting negatively on its overall performance score. Measures were put in place to address the situation and this had now improved. The ROM was satisfied with the response.

Areas for Improvement:

- (a) The area acknowledged that it needed to gain the further engagement of its LAA partners to ensure that there was a proper focus on reducing reoffending and the access to mainstream services for offenders. The business plan set out the aim of securing additional resources via LAAs to enable the area to develop further its contribution to the 'reducing reoffending' agenda of the four local authorities in Teesside.

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 Teesside from the NOMS Integrated Probation Performance Framework (IPPF): April-December 2008

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

Area score	Exceptional Performance
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Detailed results for each metric making up the above domains are at Appendix 1.

Strengths:

- (a) The very positive performance management culture had produced excellent IPPF results. At the end of December 2008 the area had achieved exceptional performance across three of the four domains, with the fourth scoring good. The overall scoring identified Teesside as an exceptional performance area. Where targets were not being met the area had put in place remedial measures, as had been the case with staff sickness absence.
- (b) The area had developed a robust performance management system that provided detailed information on a monthly basis. The Board had overall responsibility for reviewing performance at its meetings. Performance reports were circulated to managers and this was supplemented by information broken down to local team level including data quality reports. This information was then considered at the monthly managers' meeting. Each OMU had a dedicated performance manager who managed case administrators and was responsible for data integrity and addressing resultant issues, while overall accountability for team performance resided with the relevant SPO.
- (c) We saw evidence of cooperative working to achieve joint targets. The area had commissioned an audit of end-to-end enforcement by the Ministry of Justice Audit Division, the result of which had seen new targets included in the LCJB delivery plan. The actions taken resulted in a continuing upward trend in performance which was currently ahead of the national average.

- (d) Teesside had undertaken an audit of offender management with the neighbouring areas of Durham and Northumbria that had been commissioned by the ROM. The audit had sought to evaluate the effectiveness of the controls operating in the probation areas and prisons in the north east to ensure that there was an effective system of offender management in place. The audit report concluded that the 'overall level of compliance with the objectives examined was very impressive'. Performance in Teesside was rated as well controlled.

Area for Improvement:

- (a) One of the few targets not being met was in relation to the percentage of offenders in employment at the end of their order. Against a target of 40%, Teesside's performance was just 33.2%. Probation staff had been seconded to work with the North East Coalition to develop employer engagement and link to the Regional Employability Framework. The area was also working with Job Centre Plus to pilot initiatives to provide additional support for offenders seeking employment. These were, however, new initiatives and it was too early to judge their impact.

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.

Satisfactorily met

Strengths:

- (a) The area had created local PPO teams in each of its four unitary areas. The managers, police and partners were highly positive about the benefits that co-location had brought. Resources for the PPO teams had been provided by probation, the four Teesside local authorities and others. For example, the manager posts were resourced by the local authorities. The PPO teams had recently been extended to include DRRs. Where established, as in Hartlepool, HCC was also incorporated. The area operated a multi-agency public protection unit for offenders who posed a high RoH. In ensuring that resources followed risk, caseloads in those teams were less than for those in generic offender management teams and allowed for enhanced levels of service to be provided.
- (b) The reducing reoffending strategy in Teesside Probation Area had been developed partly in relation to the implementation of the national crime strategy. That prioritised the strategic necessity of working in partnership with the four unitary authorities across Teesside. The priorities of the four authorities differed but focused on the general theme of 'the improved management of offenders'. Teesside aligned its offender manager services geographically into cluster teams co-terminus with existing unitary authority structures

based on neighbourhood policing areas and CDRP joint action groups. The approach was designed to introduce 'intelligence led offender management'. The strategy had been partly implemented.

- (c) Through its strategic alliance with Durham Probation Area, Teesside had minimised its management staffing overhead costs. Directors, employed by either Durham or Teesside, worked across both areas for finance, HR, public protection, interventions and business development, ensuring that more resources were available for front line service delivery. Those shared arrangements had also helped prepare the way for a joint Trust bid for April 2010.
- (c) Teesside had developed a concise and understandable document entitled *Agreement on Workload Prioritisation*. Signed by the CO, Board Chair, union representative and workplace representative it provided clear guidance to managers and staff around workload priorities and how a balance between workloads and staffing resource was to be achieved. It primarily focused on service delivery practitioners, including offender managers. Workload issues were standing items on the agenda for the quarterly management/trade union meetings and we did not receive any messages from offender managers that their workloads were unmanageable.
- (d) The Business Development Unit was set up as a shared venture with Durham Probation Area, the core purpose being to prepare for the future as an independent Trust operating as a lead provider and commissioner of services. In 2008 the unit produced a strategy paper entitled *Striving for Excellence: A Framework for Undertaking Strategic Reviews*. A staged programme of strategic reviews was developed based upon the principles of best value, central to the Government's agenda to modernise public services. Each review was fully costed and contained milestones for implementation.
- (e) Teesside had a joint equality and diversity group made up of cross-grade membership, including unions and Board members. This was run jointly with Durham probation as part of its strategic alliance. Teesside had taken a positive decision not to appoint a diversity officer as it was concerned that this should be fully integrated across the work of the area. Support mechanisms had been set up for disabled, black and minority ethnic and gay, lesbian, bisexual and trans staff that provided a forum for consultation on diversity issues. The area had carried out equality impact assessments on its service delivery practice guidelines.
- (f) Funding had been secured from the ROM's pathfinder budget for seven intensive life skills programmes delivered by the Fire Brigade, who had originally developed the programme in partnership with the Prince's Trust and Connexions. The week long programme prepared offenders to move on to education or employment. The programme had elicited some improvements in outcomes, and there were plans to develop further this initiative.

Area for Improvement:

- (a) The area had been unable to make an impact on NOMS with regard to acquiring sufficient resources to do the necessary adaptations to its buildings in relation to the Disability Discrimination Act 1995. As a consequence the area had taken pragmatic decisions as to which buildings were most suitable for its disabled staff to work in. One consequence, however, were the disproportionate sickness figures in a few teams. Although assurances had been given that the flexible approach to staffing would meet any adverse impact on service delivery, some concerns were raised by sentencer respondents that high levels of sickness in the small court team could have an impact within the courts. In addition the pragmatic approach applied may have denied staff with disabilities the fullest range of work opportunities.

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.

Well met

Strengths:

- (a) The Teesside HR Strategy was a good example of the joined up working that had taken place with Durham, and the synergy with which they were managing people and developing staff in their two organisations. Weekly and monthly HR staffing profile reports aligned to the budget were provided to the senior management team. These detailed reports were used as a basis for making decisions about staff deployment.
- (b) The area had produced a costed Staff Development Plan for 2008/2009 which focused on the skills and professional development required to help achieve its organisational goals. An annual report provided detailed information about the training provided during that year. It gave information on the diversity profile of staff attending the events against the diversity profile of staff employed by the area; this included age, disability, ethnicity, gender, working hours and job role.
- (c) Teesside's appraisal scheme was under review at the time of the inspection due to the formal agreement reached in the NNC on a new 'Performance and Personal Development Review Scheme'. The drafted revised scheme incorporated the requirement for managers and staff to discuss formally the objectives and development issues on at least one occasion in the reporting year. All but one of the 58 offender managers reported that they had received an appraisal linked to the business plan in the previous 12 months.
- (d) 88% of offender managers reported that the quality of the supervision (in terms of accountability, development and support) was either good or excellent. All but one of the 58 offender

managers interviewed said that they were clear about their role within the offender management model. The role of case administrators had received a lot of attention in Teesside. They had received substantial training, and the area had worked hard to integrate them into the clusters. Detailed procedures had been drawn up for use by case administrators in their role.

- (e) Almost all offender managers interviewed during the inspection week told us that their training and development needs were met. We interviewed two TPOs who both said that sufficient attention had been paid to providing them with appropriate learning opportunities and support for their professional development. All of the 18 TPOs who completed their two year training in 2007/2008 had been appointed to a PO role within Teesside. Eight TPOs were scheduled to qualify in 2009.
- (f) With the exception of one offender manager, all were clear about the procedures the area had in place to address the issue of staff sickness absence. This had been an issue of concern to the Board, but the sickness management approach applied had seen an improvement in the IPPF figures over the last year. Sickness information was included in the weekly staffing report which was brought to the attention of managers. The IPPF data for quarter 3 in 2008/2009 recorded a sickness absence figure of 10.7 days against a national average of 11.4, so performance, while improving, was still some way short of the target figure of nine days.
- (g) The area held regular scheduled meetings with the trade unions, and a summary of the items discussed was reported to the Board. The CO kept the unions informed about resourcing issues, and a recent piece of joint work had been the development of a redundancy policy that had been subsequently endorsed by the Board. An equality impact assessment was about to be applied to the redundancy policy.
- (h) The HR Strategy and Delivery Plan 2008/2009 affirmed the area's commitment to ensure that diversity was valued and recognised within the organisation. Equality schemes for gender, race and disability were in place, and a key priority for 2008/2009 was the development of a generic scheme to cover all areas of the equality and diversity agenda in one document, to be supported by an action plan that was still to be produced.

Areas for Improvement:

- (a) The report for the Staff Development Plan 2007/2008 indicated that part-time staff were attending proportionately a third less training than full time.
- (b) Only 62% of offender managers reported receiving supervision on a monthly basis, 19% six weekly supervision sessions, 16% quarterly supervision, while 3% said it was less than twice a year. Supervision for case administrators was irregular and, although they said they

felt supported, they appeared to be uncertain about how frequent their formal supervision should be or what it should contain.

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

Partly met

Strengths:

- (a) As a member of the North East Probation Partnership Board, the area had commissioned a report to consider future policy and practice developments for women offenders following publication of the Corston report. The report drew on information and OASys data held on women offenders supervised in the community by the three probation areas in the region. A number of recommendations were to be taken forward by the probation areas concerned.
- (b) The area had sought advice from the NOMS senior manager with responsibility for SFOs in developing its knowledge with regard to SFOs. Teesside used its SFO reviews as organisational learning points and consequently had sought to improve its performance as well as learning from good practice. Where omissions in practice were identified, the area recommended follow-up actions. Summary information about all SFO reviews that had occurred in 2007/2008 had been reported to the Board. A summary report of findings and lessons learned for each SFO was shared with staff. Feedback on individual cases was given to relevant members of staff. Complaints were managed by the Director of HR, and findings from all complaint investigations were reported to the Board on a six monthly basis, and any organisational learning shared at the managers' meetings. Individual feedback was provided to the member of staff against whom the complaint was made, and this was also copied to their line manager to ensure that appropriate learning was taken forward.

Areas for Improvement:

- (a) Teesside probation identified through reviewing OASys data that health and emotional well being were growing contributory factors in local offending. With the help of funding provided by the PCT, the area undertook an offender survey to get information additional to that recorded in OASys in order to ascertain what their specific health needs might be and to see how the offenders could access health provision and help the PCT meet its targets. The survey was carried out in the autumn of 2008. At the time of this inspection the results had been produced and further work was planned with the PCT in 2009 to take this initiative forward.
- (b) The Teesside Interventions Clearing House had developed a database to monitor in detail information on PSR proposals and sentencing disposals. Information from the system could be made available as required, but to date had not been routinely produced and considered. In early 2009, the sub-regional Technology and

Information Unit had produced a report on proposals and sentencing disposals covering the period April 2008 to January 2009. There were some emerging issues being considered in respect of future planning for 2009/2010.

- (c) In relation to ETE, while offender learning data were gathered and evaluated, the quality of data was insufficient to enable best planning for future provision. The Job Centre Plus collected data on offenders entering training and employment, but it was not systematically shared with the probation area.

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) In 86% of the cases inspected, an intervention was identified and the means to deliver it was available to the offender manager. Intervention services were provided either internally or externally, to a good or excellent standard as follows: drugs/alcohol 87%, ETE 86%, employment 88%, psychology/psychiatry 89% and health/leisure 100%.
- (b) There were no concerns about the working arrangements between the offender manager and prisons in 84% of the licence or custody cases. Joint training was provided for both offender supervisors and managers. Offender supervisors in HMP Holme House had spent at least one day shadowing an offender manager in order to help their understanding of that role. An offer had been made to offender managers to shadow offender supervisors in HMP Holme House.
- (c) Sub-regional work undertaken to develop an accurate OASys data profile in support of the commissioning process led to Teesside being able to provide through Middlesbrough Alcohol Treatment Service, and working closely with the Middlesbrough CDRP, an Alcohol Treatment Requirement and an Activity Requirement for Middlesbrough offenders with alcohol treatment needs and those convicted of alcohol related public order, etc. offences.
- (d) The Business Development Unit was undertaking a series of strategic service reviews in preparation for the best value regime. It had also commissioned services, e.g. translation and interpreting, and had a contract with HARBOUR (previously North Tees Women's Aid) for the provision of women's support workers for female victims of domestic violence.

Area for Improvement:

- (a) The area had recognised that it needed to develop a more formalised and consistent approach to offender feedback in order to inform the provision of interventions and improve offender



outcomes. Little had been done in the way of eliciting the views of either offenders or victims with regard to the services they were receiving.

**APPENDIX 1
IPPF: April-December 2008**

IPPF	Q3	IPPF Area Score	4	Teesside
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IPPF Domain Score:		4			
Public Protection	Actual	Target/ Milestone	National	Previous Year - Q3	IPPF Grade
NS Public Protection	99%	n/a	93%	95%	4
Tier 2 & 3 OASys Timeliness	93%	n/a	79%	n/a	4
Tier 4 OASys Assess	95%	n/a	83%	n/a	4
PPO OASys Assess	98%	n/a	85%	n/a	4
OM Phase 2 or 3 OASys Assess	98%	n/a	97%	n/a	3
Tier 2 & 3 OASys Final Reviews	93%	n/a	74%	n/a	4
Tier 4 OASys Final Reviews	91%	n/a	72%	n/a	4
PPO OASys Final Reviews	84%	n/a	69%	n/a	3
Parole Assessment Report Timeliness	95%	n/a	92%	n/a	3
Risk Management Plan Timeliness	94%	n/a	80%	n/a	4
Approved Premises Audit	30.0	30.0	28.4	n/a	4
HMI Probation Risk of Harm Assessment*	71%	72%	n/a	n/a	3

IPPF Domain Score:		4			
Offender Management	Actual	Target/ Milestone	National	Previous Year - Q3	IPPF Grade
NS Offender Management	92%	n/a	86%	88%	4
Court Report Timeliness (excl. RIC)	100%	n/a	99%	n/a	4
RIC PSRs for Magistrates Courts	98%	n/a	68%	n/a	4
Licence Recall Requests	96%	90%	86%	n/a	4
End To End Enforcement	65%	60%	63%	n/a	3
Enforcement	100%	n/a	95%	95%	4
Cases Reaching Bin Without Requiring Breach Action	80%	75%	75%	80%	4
Orders or Licences Successfully Completed	72%	70%	70%	69%	3
Victim Contact	97%	n/a	93%	n/a	4
Accommodation at Termination	77%	80%	n/a	73%	2
OMI Assessment and Sentence Planning	n/a	72%	n/a	n/a	0

Re-Offending Rate				
Reduce Re-offending	Actual	Predicted	Difference	Significant?
	15.3%	13.4%	1.9%	No

IPPF Domain Score:		3			
Interventions	Actual	Target/ Milestone	National	Previous Year - Q3	IPPF Grade
NS Interventions	80%	n/a	72%	71%	3
Sex Offender Programme Performance	11	3	n/a	11	4
Domestic Violence Programme Performance	28	30	n/a	31	1
Accredited OBP Performance (excl. SOTP & DV)	129	165	n/a	188	1
Accredited OBP Stats (Relevant Criteria)	90%	80%	81%	n/a	4
ATR Performance	23	11	n/a	3	4
DRR Performance	117	117	n/a	111	4
DRR Starts	219	210	n/a	237	4
Unpaid Work Performance	603	485	n/a	649	3
UPW Stand-downs	0.0%	1.0%	1.9%	0.0%	4
Employment at Termination	33%	40%	46%	n/a	1
Sustained Employment	209	153	n/a	214	4
Educational Referrals	1238	666	n/a	1228	4
PPO Drug Testing Condition	90%	n/a	94%	n/a	3
OMI Implementation of Interventions	n/a	72%	n/a	n/a	0

IPPF Domain Score:		4			
Operational Capability, Resource Use & Strategy	Actual	Target/ Milestone	National	Previous Year - Q3	IPPF Grade
Sickness Absence	10.7	11.5	11.4	12.3	3
Ethnic Monitoring	99%	95%	98%	97%	4
Budget Ouiturn	13653	13653	n/a	n/a	4
Audit Commission Results	4	4	n/a	n/a	4
OMI Management Results	n/a	72%	n/a	n/a	0

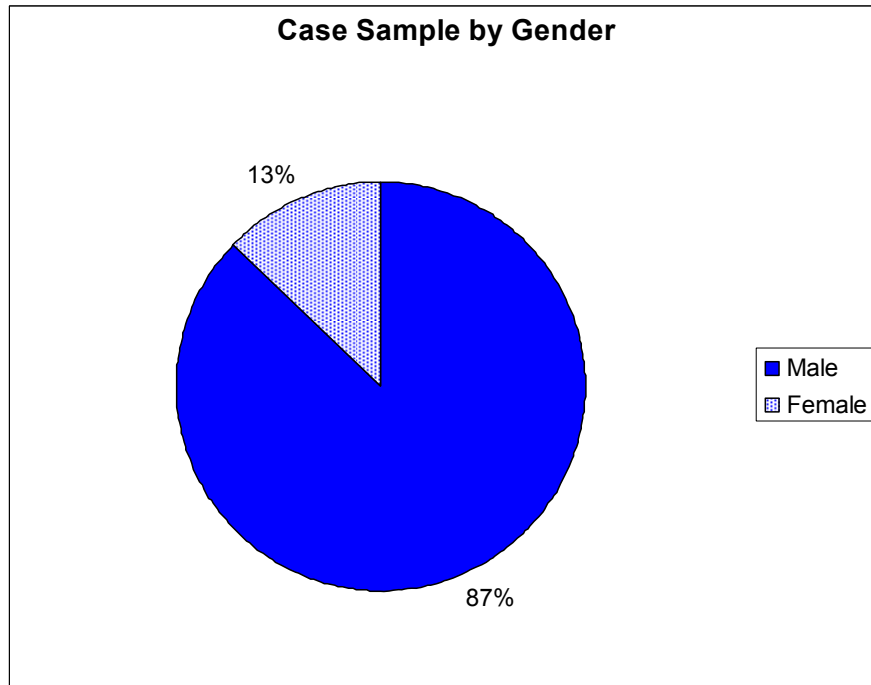
IPPF Grade	
Exceptional Performance	4
Good Performance	3
Requiring Development	2
Serious Concerns	1

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

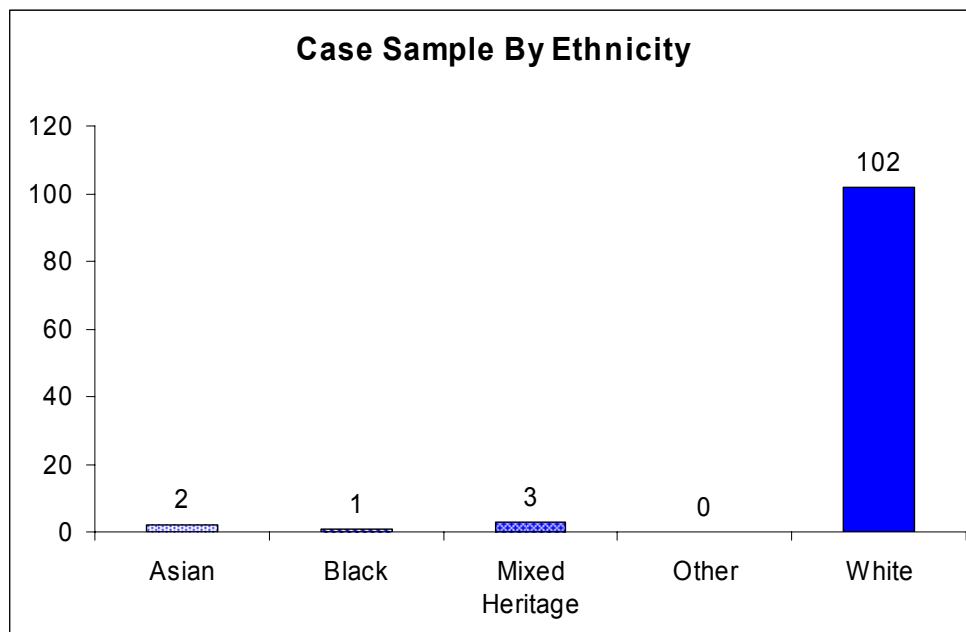
*Assessment undertaken in May 2008, prior to the OMI, as one of a set of assessments requested by NOMS so that an assessment of Risk of Harm work in the last two years was available for all areas by June 2008.

APPENDIX 2 Contextual information

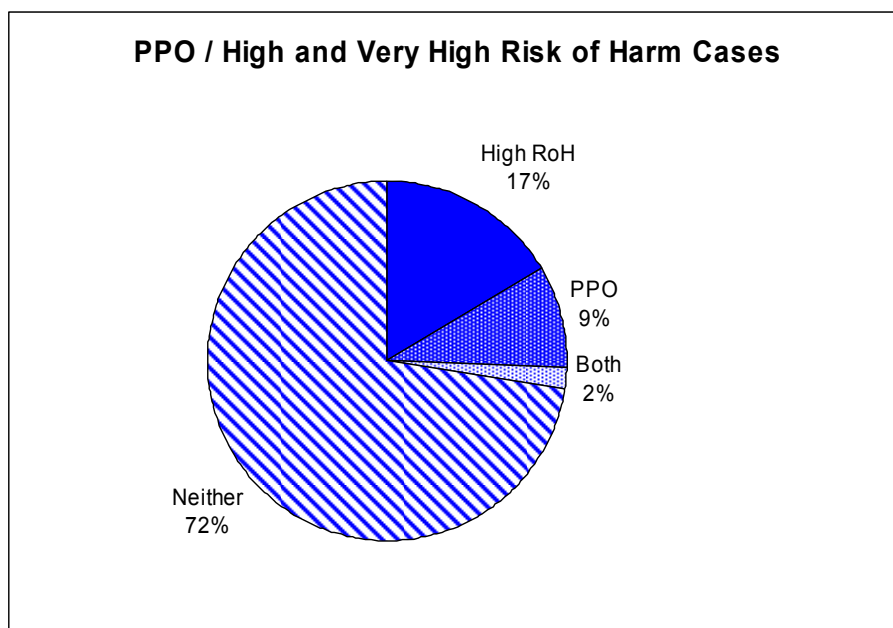
The chosen sample takes into consideration the number of female offenders in the area. A representative number is then included in the sample of cases.



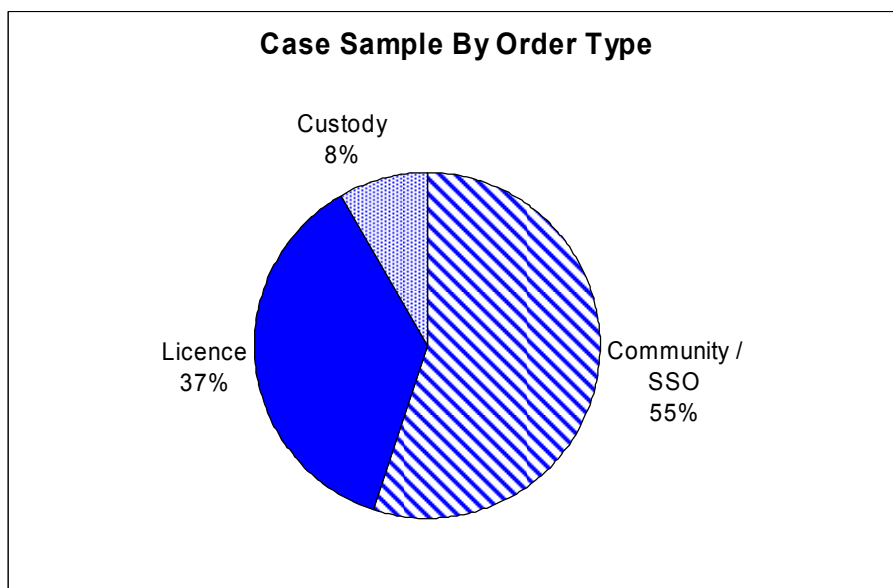
The chosen sample takes into consideration the number of black and minority ethnic offenders in the area. A representative number is then included in the sample of cases.



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



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



Caseload at end of June 2008

Total caseload	3,996
% White	94.26%
% Minority ethnic*	5.74%
% Male	86.69%
% Female	13.31%
Number of cases subject to MAPPA:	18.97%
Level 1	685
Level 2	67
Level 3	6
Number of PPO cases	117
* Excluding cases for which ethnicity information is not available.	

The local definition of a PPO case – on which the above figure is based – is “Using objective measures, an individual who is identified as causing a disproportionate amount of crime in the local community”. A multi-agency panel involving police, Probation, Drug Interventions Programme and YOS then agree a cohort of offenders to be targeted by the scheme.

Total revenue budget in 2007/2008: £10,672,000

Total revenue budget in 2008/2009: £10,940,000

Approved premises:

Nelson House capacity 22

The Crescent capacity 20

APPENDIX 3

Inspection model, methodology and publication arrangements

Model

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

Methodology

- During the inspection we examine the probation case file and carry out an in-depth interview with the offender manager. We also interview offenders, victims, key workers 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 Offender managermissioning of services

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

APPENDIX 5

Role of HMI Probation

Statement of Purpose

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

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

Code of Practice

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

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

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

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