



HM Inspectorate of Probation

AUDIT OF ACCREDITED PROGRAMMES

Humberside and Yorkshire Region
of the National Probation Service for
England and Wales

*Report on:
West Yorkshire Probation Area –
Enhanced Thinking Skills*

January 2002

Acknowledgements:

We are grateful for the cooperation of staff from the West Yorkshire Probation Area in completing this audit.

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Glossary

ACE	Assessment, Case Recording and Evaluation System
ACO	Assistant chief officer
CO	Chief officer
ETS	Enhanced Thinking Skills
HMIP	HM Inspectorate of Probation
IAPS	Interim Accredited Programmes Software
IQR	Implementation Quality Rating
LSI-R	Level of Service Inventory-Revised
N/A	Criteria not assessed
OASys	Offender Assessment System
OGRS	Offender Group Reconviction Scale
PSR	Pre-sentence report
SAM	Structured Assessment and Monitoring tool
SSR	Specific sentence report

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Context:

Programmes achieving accredited status have undergone a rigorous process of development and scrutiny to ensure they have maximum impact in terms of reducing reoffending. Selecting well-tested programmes is however only part of the picture – without effective implementation by probation areas much of the positive influence on offenders' behaviour may be lost.

Establishing robust quality assurance systems and independent audit arrangements for accredited programmes is therefore crucial. HMIP is responsible for auditing accredited programmes on behalf of the Joint Accreditation Panel. Each probation area will be assessed against the delivery criteria given in the Performance Standards Manual June 2001, which also outlines how these criteria are to be met and evidenced.

Scoring Approach:

The criteria for the delivery of accredited programmes have been divided into four sections. These sections, and the overall weighting assigned for each section, are as follows:

Committed leadership and supportive management	20%
Programme management responsibilities	30%
Quality of programme delivery	30%
Case management responsibilities	20%

Each criterion is scored as **Fully Met** (2 marks), **Largely Met** (1 Mark) or **Not Met** (0 marks).

The scoring summary sheet at the end of this report shows the marks awarded for each criterion – for those criteria designated as Mandatory (see Performance Standards Manual) the mark given is doubled. This denotes the critical impact these criteria have on the effective delivery of programmes.

The marks awarded for each section are shown and then expressed as a % by dividing the total number of marks scored by the maximum available, and multiplying by 100. Section B has been divided into seven sub-sections for ease of scoring.

To determine an area's IQR, the scores for each section are multiplied by the appropriate factor to take account of the relevant weightings given above. The % totals for each section are then added together to give the IQR.

Overview:

- West Yorkshire, one of the two pathfinder probation areas for ETS, had run the programme since April 2002 from seven sites in five districts. Several groups in each district had taken place, including two groups solely for women offenders serving the whole area.
- The audit was undertaken during January 2002 and comprised four main stages: the provision of advance information; video monitoring; case file reading; and, a visit to the area.
- A wide-range of staff involved in the delivery and support of ETS were interviewed, including the ACO with responsibility for What Works. Other staff interviewed included a member of the information unit, the area and district programme managers, treatment managers, tutors, case managers and PSR authors. Visits were made to five delivery sites and interviews conducted with 15 offenders.
- Nine videotapes from three programmes were assessed and 35 case files, covering all offenders allocated to these programmes, were reviewed.
- One criterion was not assessed (D1.8) – as accreditation of the Cognitive Skills Booster Programme to reinforce offender learning was still awaited.
- This audit focused entirely on ETS.

Findings:

West Yorkshire had been committed to ETS since being selected as a pathfinder area. Attention to the delivery of this programme was built into the annual performance plan and had been supported through the area's new design for service delivery implemented in 2001. This integrated case management with programme delivery and ensured the provision of programme teams in each district. Staff selection, appraisal and training arrangements were sound and this was reflected in staff knowledge and abilities. Of particular note were the accurate targeting of offenders for the programme and the good recording of offender compliance and enforcement.

Implementation of ETS had progressed well and all districts had run several programmes. However, there were some variations in practice and procedures across the area that impacted on programme delivery, which senior managers needed to explore in order to consolidate the progress already made.

It was of concern both to HMIP and the area that it was unable to generate monitoring and evaluation data. This was the result of its unequivocal investment in IAPS and a senior management decision not to develop back-up systems. Delays at national level meant that the area was not able to monitor its own performance in a routine way, instead depending on individual and snapshot information to gauge progress. The audit also raised concerns about the accessibility of ETS for minority ethnic offenders.

Recommendations

The CO should ensure that the area:

- *improves the timeliness of commencement and produces a calendar of programmes which is available to staff and sentencers (B2.2, B2.4);*
- *reviews its policies and procedures relating to programme delivery and takes action to promote consistency of practice in all districts (B2.2, B2.4, B6.2);*
- *produces job descriptions for all programme staff, which incorporate roles and responsibilities, and a defined set of competencies for each staff role from those specified in the national management manual (B3.2);*
- *provides additional training opportunities for tutors to ensure that they can develop and practice their skills in delivering programmes, with particular attention to race equality and wider diversity issues (B4.6);*
- *puts in place contingency arrangements so that treatment manager supervision is not disrupted by sickness or other absence (B5.1);*
- *improves its service to women and minority ethnic offenders, by incorporating information related to their needs in ETS leaflets (B6.4);*
- *reconsiders its policy on access to mixed groups, and in particular the element of choice for women and minority ethnic offenders, and implements monitoring systems to ensure that this is followed (B6.4);*
- *achieves a more diverse tutor group to better reflect the race and ethnicity of the offender population (B6.4);*
- *reviews its strategy for monitoring and evaluation of programmes, so that it has routine access to performance data across all districts and relevant information is fed back to staff (B7.1);*
- *consolidates its work on case management, in particular improving the levels of motivational work, reinforcement of learning and integration of post-programme reports into supervision plan reviews (D1.3, D1.7).*

The National Probation Directorate should:

- *review its post programme reports to ensure that the areas of risk and likely scenarios for relapse are clearly addressed (C1.6).*

SECTION A: COMMITTED LEADERSHIP

A1.1 Committed leadership

2

Description: *The senior management of the area should be openly and explicitly committed to the proper running of the programme through policy and public statements.*

Strengths:

- West Yorkshire's commitment to the delivery of ETS was explicitly and publicly stated in the Area Plan for 2001/2004. The Key Performance Plan for 2001/2002, appended to the area plan, set targets for successful ETS completions and the establishment of a case management system to support this.
- The area had produced an ETS implementation plan, which gave detailed attention to targets, throughput and resources.
- The new design for service delivery in West Yorkshire, implemented during 2001, focused on improved performance and identified implementation of ETS and achievement of programme targets as key fixtures.
- There was evidence of regular discussion of the programme at senior management level, including a six month review in September 2001.
- A senior manager attended each ETS case manager/PSR author training event and spoke to a given script.

Areas for improvement:

- Whilst it was clear that senior managers were well informed about ETS, only half had attended a context setting day.

A1.2 Management structures

1

Description: *Effective line management structures exist for the proper operation of the programme integrating this within case management structures. Adequate time should be set aside for the effective management of the programme.*

Strengths:

- Line management structures were clearly outlined and understood by staff and there was written guidance setting out the roles and responsibilities of programme and treatment managers and tutors.
- Programme managers were fully integrated within the district management framework and ensured that ETS issues were addressed within their localities. Presentations, open days and electronic communications had promoted the programme and contributed to the development of effective case management.
- Some district programme managers had provided case managers with a session by session breakdown of ETS and there was evidence of regular communication between staff. All programme teams had liaison tutors who attended case management team meetings.
- Programme and treatment managers each had an area level forum for regular meetings to discuss ETS.

Areas for improvement:

- The process of informing and engaging with case managers was devolved to local managers and was therefore variable, resulting in different perceptions and levels of understanding across the area.
- There were no specific job descriptions for programme or treatment managers.

A1.3 Staff ownership of the accredited programme

1

Description: *There is full ownership of the programme by managers, programme tutors and other relevant staff, e.g. court personnel and case managers.*

Strengths:

- All groups of staff interviewed indicated their ownership of ETS and with few reservations were optimistic about its effectiveness.
- Documentation provided by the area estimated that 90% of PSR authors/case managers, 50% of operational managers and 60% of case workers had attended training events.
- Case managers were clear about the area requirement to attend reviews and stated that they saw the value of attendance at the mid-point review, as well as at the post-programme meeting.

Areas for improvement:

- The area was unable to provide evidence of consistent allocation and use of ETS across the area, due to the lack of a reporting facility within IAPS and the absence of any other system.
- The case file reading exercise demonstrated that attendance by the case manager at a post-programme review meeting was achieved in only 53% of relevant cases.

A1.4 Effective communication with sentencers

1

Description: *There is high quality, proactive communication with local sentencers and clerks to the justices about the programme, including written information.*

Strengths:

- Magistrates had been informed about ETS through local presentations to sentencers, training workshops and a magistrates competency training day.
- District courts bulletins, published by the area in the summer of 2001, had included significant information on ETS.
- CO meetings with clerks to the justices had included information relating to the programme.
- The area had developed an information leaflet for sentencers and included references to ETS on its web site.

Areas for improvement:

- Communication with sentencers had already been identified as an area for further work and it was necessary to ensure that they were well informed in *all* districts.
- The area had yet to engage systematically with judges about ETS; the first planned event had not been scheduled to take place until February 2002.
- Whilst managers and staff held the view that concordance rates relating to ETS proposals were good, there was no measurable evidence to support this.

SECTION B: PROGRAMME MANAGEMENT RESPONSIBILITIES

B1.1 Resources and facilities

2

Description: *Adequate accommodation consistent with the Estates Standards Manual is available for all sessions of the programme.*

Auditors visited the facilities in Bradford, Dewsbury, Halifax, Leeds and Wakefield.

Strengths:

- Accommodation provided was generally of good quality.
- All sites had installed video recording equipment.
- Most units had more than one group room, which could be used for sub-group work.
- Equipment and facilities met the requirements of the manual and secure arrangements were in place for video storage.

Areas for improvement:

- Two of the delivery sites visited had rooms which could not comfortably accommodate 12 offenders.

B1.2 Provision of information leaflets about the programme

1

Description: *There should be a set of leaflets for offenders, sentencers and staff clearly describing the programme and its requirements.*

Strengths:

- The area had developed a leaflet for offenders which was written in plain language, easily read and contained information about the complaints procedure. The conditions and requirements of attendance were clearly laid out.
- A separate leaflet describing psychometric tests had also been produced.
- Area information leaflets for sentencers were available.

Areas for improvement:

- Some offenders interviewed could not recollect receiving a leaflet.
- There was no reference in the leaflets to West Yorkshire's arrangements for women or minority ethnic offenders.

B2.1 Managing attendance

1

Description: *Offender attendance and absence are managed to achieve the required National Performance Management target for offender completions. Attendance is managed to achieve coherent delivery with full impact for all undertaking the programme. The maximum number of absences by any one offender is consistent with the requirements of the programme manual for the specific accredited programme.*

Strengths:

- Draft enforcement policy and guidelines had been developed by the area, which included instructions relating to failures to attend accredited programmes.
- In an attempt to reduce attrition rates the area had successfully applied for national funds to provide assistance with travel and refreshments. This was extended to all programmes during

late 2001 and, in the light of this, a special meeting for programme managers and tutors had been commissioned to discuss and review compliance strategy.

- The area had commissioned an internal research programme into completion and attrition with a view to improving practice.
- The case file reading exercise demonstrated good levels of recording of offenders' overall attendance, non-compliance and any enforcement action taken.
- Attendance registers confirmed that attendance was managed in accordance with national requirements.

Areas for improvement:

- Decisions on whether absences were acceptable or not were made by case managers and tutors and this gave rise to some confusion.
- Recording of the reasons for failure to attend a programme session were better on some programme attendance registers than others.

B2.2 Avoidance of cancellation or disruption to sessions

1

Description: *Sessions are not cancelled or disrupted owing to offender crises, high workload or other pressures, and arrangements exist to deal with crises outside of the programme session. Sessions are delivered at the frequency defined in the programme manual.*

Strengths:

- Programme sessions were delivered at the required frequency designated by the programme manual.
- Only one session was reported to have been cancelled, due to unforeseen external circumstances.

Areas for improvement:

- There was no published calendar of programmes as it had been the area's decision to commission groups only when numbers were sufficient.
- Different district arrangements for the third tutor meant that, during evening sessions at some sites, there was no routine support outside the group to cope with offender crises.

B2.3 Catch-up sessions/Attendance

1

Description: *Provision is made for catch-up sessions, or a 'bus stop' approach, to allow offenders who miss a session to continue with the programme. All offenders missing sessions, who are not excluded from the programme, should attend catch-up sessions, or in the case of a 'bus stop' approach be moved onto another programme within ten working days, to ensure full delivery of the programme. Treatment managers must specify arrangements for monitoring the integrity of catch-up sessions.*

Strengths:

- Area policy and practice were strong in its provision of catch-up sessions before the next group work session and these were clearly recorded on IAPS.
- Each programme had identified staff to run catch-up sessions.
- When offenders did not attend catch-up sessions enforcement issues were dealt with appropriately.
- Clear guidance on catch-up sessions had been provided for case managers.

Areas for improvement:

- Use of the third tutor for catch-up sessions was variable; tutors in some districts claimed that they were not resourced for this and this caused particular concerns for evening groups.
- The area had not established a system for monitoring the quality of these sessions.
- Programme staff felt they had received insufficient training to deliver effective catch-up sessions.

B2.4 Timeliness

0

Description: *All offenders commence the programme, or specified pre-programme phase, within the first month of the order or within three months if other structured pre-programme work is undertaken. Occasionally, the timing may be different to permit other preliminary work to be completed, e.g. a programme of drug detoxification.*

Areas for improvement:

- The area had given priority to starting groups with substantial numbers rather than within the national timescale, as a means of promoting better completion rates. As a result, only four of the 35 cases reviewed had started a programme within a month of the order commencing and in the majority of the other cases no necessary preliminary work had been identified.
- Improvements in the timeliness of commencement were being addressed on a district basis, e.g. through the process of scheduling appointments, rather than at area level where the opportunities for sharing best practice to achieve improvements could be promoted.

B3.1 Staff selection

2

Description: *A staff selection procedure meeting the requirements of the programme manual is in place and only staff meeting the defined criteria are selected to deliver the programme.*

Strengths:

- Staff with an interest in becoming programme tutors were invited to briefings and given substantial information about ETS and the training commitments.
- All staff delivering the programme had successfully completed the assessment centre and training programme.
- Deselection procedures had been agreed and staff who were unsuccessful at the assessment centre were given individual feedback and offered advice on how to progress their applications in future.

Areas for improvement:

- Despite the evidence of information given to potential tutors, some still felt inadequately prepared for the demands placed upon them. Closer evaluation of these events might have alerted the area to this concern.

B3.2 Staff roles and competencies

0

Description: *Differences in role between grades or posts are clearly reflected in job descriptions. A defined set of competencies exist for each staff role involved in the programme, using those specified in the programme manuals and the national management manual.*

Strengths:

- Job descriptions had been provided for programme tutors based on the tasks outlined in the national management manual, and a job description was available for the effective practice (area programme) manager.
- The roles and responsibilities of area and district programme and treatment managers and programme tutors had been developed, broadly based on the requirements outlined in the national management manual, and staff were clear about their own roles.

Areas for improvement:

- The roles and responsibilities outlined were not incorporated into a specific job description for district programme and treatment managers.
- Tutors had not fully understood how performance information relating to their work was shared between programme and treatment managers and how this contributed to their appraisals.
- Whilst appraisal objectives reflected the community justice occupational standards, neither of the available job descriptions identified the required competencies.

B3.3 Preparation and debriefing time for tutors

2

Description: *Tutors are allowed 1½hours for preparation and debriefing for each session in addition to the programme delivery time.*

Strengths:

- Session review forms demonstrated that tutors consistently spent at least 1½hours in preparation and debriefing time for each session.
- Programme managers confirmed that it was their practice to allow as much time as necessary for preparation and debriefing.

B3.4 Staff continuity

1

Description: *Three leaders should normally be assigned to each accredited programme to allow for leave, sickness and other contingencies. All sessions of the programmes are delivered by at least two of the three assigned staff. Continuity is maintained by at least one of the staff members having run the previous session.*

Strengths:

- A minimum of three tutors was assigned to each accredited programme to allow for leave, sickness and other contingencies.
- Tutor registers confirmed that on all but one occasion continuity of at least one tutor from session to session had been achieved.

Areas for improvement:

- Due to the employment of part-time staff, in two of the five programmes reviewed five or six tutors had delivered sessions with frequent change of pairings. This gave rise to concerns about the quality and consistency of learning over the length of the programme.

B4.1 Training arrangements for new staff

2

Description: *Training courses exist for all grades and roles involved in delivering the programme and all staff newly assigned to the programme receive training before running their first programme. The training delivered follows that defined in the programme training manual.*

Strengths:

- Documentation confirmed that all ETS tutors had passed an assessment centre and national tutor training.
- Appraisals demonstrated ongoing attention to development needs, particularly relating to programme delivery.

Areas for improvement:

- Tutors who had received the national ETS tutor training identified group work skills as an unmet training need.

B4.2 New staff paired with an experienced colleague when running their first programme

2

Description: *Staff newly trained in a programme should be paired with a more experienced colleague when running their first course.*

Strengths:

- It was area practice to pair new staff with experienced colleagues and tutors confirmed this had taken place.

B4.3 Training arrangements for experienced staff

2

Description: *Competency-based booster and developmental training arrangements exist for all staff experienced in delivering the programme. All programme delivery staff are required to attend such training when they have demonstrated their competence to do so. [This will include delivering a stipulated minimum number of courses.]*

Strengths:

- Five members of staff had already completed the accreditation training and several others had been identified to undertake it. It was clear that the area was committed to ensuring that staff were put forward when ready and this was incorporated in appraisal objectives.

B4.4 Staff knowledge of the concepts and methods used in the programme

2

Description: *All relevant staff have a knowledge of the programme model, targeting, objectives and methods sufficient for effective delivery of the programme.*

Strengths:

- All programme staff demonstrated a thorough knowledge of the programme concepts and methods.
- Case managers and PSR writers were able to give an acceptable account of the programme, the latter being particularly clear about targeting.
- The area's ETS case management manual, recently distributed, provided a clear and concise summary of the programme model, concepts and methods. Earlier summaries had been provided for case managers within individual districts.

Areas for improvement:

- PSR writers identified the need to further develop their knowledge of the programme, including more familiarity with the terms used.

B4.5 Staff knowledge of the theoretical and evidential basis of the programme

1

Description: *All relevant staff have a knowledge of the programme's theoretical base and evidence, sufficient for effective delivery of the programme.*

Strengths:

- All programme staff were able to give a thorough account of the programme's theoretical and evidential basis
- Case managers and PSR writers demonstrated a reasonable grasp of the theory, the latter group in particular showed familiarity with the evidential base.

Areas for improvement:

- Case managers struggled to give an account of the evidential base for the programme.
- Tutors said that they had not received the ETS theory manual.

B4.6 Supporting skills necessary to run programmes

1

Description: *From interview, observation, appraisal and training audits all relevant staff have supporting skills including core group work skills, presentation skills, case management, etc, sufficient for the effective delivery of the programme.*

Strengths:

- Training in IAPS had been delivered to all staff, which had resulted in efficient administrative practices.
- A range of training programmes had been offered within the area, including pro-social modelling, motivational interviewing and basic cognitive-behavioural theory, although not all staff had had access to these events.
- Appraisal documents identified training needs related to the successful delivery of ETS.
- Video monitoring demonstrated that staff had reached a satisfactory standard in all aspects of programme delivery, including group work skills.

Areas for improvement:

- Tutors were strongly of the view that they needed continued access to training, including basic group work skills, scoring psychometric tests and post-programme report writing. They also indicated their need to develop and practice their skills in delivering the programme to minority ethnic offenders.
- Case managers felt that the emphasis on IAPS had taken precedence over other training and claimed to have received variable information across districts.
- There was a training calendar, but no area training strategy to address the needs identified by tutors and their line managers. This meant that access to required training in supporting skills appeared to be unsystematic.

B5.1 Staff supervision and quality of practice

1

Description: *All staff involved in the programme receive support and supervision at a frequency specified in the national management manual. This will enable tutor skills to be developed and problems resolved within the lifetime of the current programme by supervisors familiar with effectiveness methods and the programme. The manager to have observed staff in the delivery of the programme either directly or through video prior to each supervision session.*

Strengths:

- Each division had either one or two identified staff with responsibility to treatment managers within their district and other treatment managers in the area.
- The standard of supervision was high – notes were detailed and focused with specific advice on areas of practice. Objectives were set for each tutor following supervision.

Areas for improvement:

- In some districts, due to unforeseen absence and the commitments of the area's national trainers, there were gaps in the frequency and regularity of supervision. The area had not been led to anticipate the commitment of its national trainers beyond March 2001 and had therefore not established contingency plans to cover for this.

B5.2 Staff appraisal

2

Description: *All members of staff involved with the programme have their competence to perform their assigned role assessed annually through the appraisal process. Staff whose performance is assessed as below the acceptable standard but making progress should be given further training and other assistance to improve their performance and a date set for review. Staff who are not making progress in achieving the required standard of performance should not take any further part in running the programme.*

Strengths:

- The area had an annual appraisal system which documented staff performance in relation to identified standards and objectives, as well as the evidence to be provided. Tutor appraisals were directly linked to programme performance.
- Supervision notes and video monitoring forms, completed by treatment managers, clearly identified tutor strengths and areas for improvement.
- Treatment manager supervision notes were routinely passed to programme managers with responsibility for tutor appraisal, although tutors had not fully appreciated this.

B6.1 Offender selection and assessment

2

Description: *Routine monitoring results confirm the profile of those entering the programme are consistent with the criminogenic needs addressed by the programme, the level of risk of reoffending and the level of risk of harm/dangerousness.*

Strengths:

- The area had produced clear guidance and instructions for targeting and assessment, including a quick guide for PSR writers. Changes relating to the targeting criteria during the year were speedily and effectively communicated to staff via the area bulletin.
- An approved list of additional structured work for those offenders with high OGRS 2 scores had been developed.

- The case file reading exercise showed accurate targeting in 89% of cases. This confirmed the findings of earlier research by West Yorkshire.

Areas for improvement:

- A small number of high OGRS 2 cases did not have additional structured work identified on the case file despite the area's clear guidance on this.

B6.2 Offender knowledge and understanding of the programme requirements

1

Description: *The requirements of the programme are clearly communicated on at least two occasions to each participant verbally and in writing, and there is evidence from signed consent forms, observation and/or interview that offenders know and understand the requirements.*

Strengths:

- Offenders interviewed had a clear understanding of the requirements of the programme and what would happen if they failed to attend.

Areas for improvement:

- A significant number of case files reviewed did not contain a copy of the letter of understanding.
- The process of introducing the programme to offenders varied between districts; some included it in their initial induction whilst others left it to a later stage. Programme tutors advised that they routinely completed and kept the letter of understanding to ensure that this task was done.

B6.3 Group size

2

Description: *For group programmes the maximum starting group size during the previous year did not exceed 12 and the minimum was not less than four.*

Strengths:

- The area policy to commission groups only when sufficient numbers were available meant that the minimum starting size was always met.

Areas for improvement:

- Limited overbooking on a number of programmes had led to one group of 13 attenders.

B6.4 Accessibility of group work programmes

0

Description: *If female or minority ethnic offenders are placed in mixed groups there are no singleton placements unless agreed to by the offender. Appropriate support arrangements should be evidenced for these programme participants.*

Strengths:

- The area had given active consideration to accessibility for women and minority ethnic offenders, the results of which were a programme solely for women for the whole area and a policy of no singleton placements.
- In order to ensure that women and minority ethnic offenders were properly represented in community supervision, the area had set an annual target that proposals and concordance rates in PSRs/SSRs were to vary by no more than 5% between minority ethnic groups and the majority population and between male and female offenders.

- Additional support had been provided for women offenders in the form of refreshments, travel assistance and childcare.

Areas for improvement:

- The area's policy of no singleton placements was based on the wording in an early draft of the *Performance Standards Manual* and had not been updated to reflect its revision. Consequently it was in need of review, as it was inflexible and allowed participants no choice. The reported result of this was that some black and Asian offenders were waiting long periods before being able to access a group. One incidence was cited of an Asian offender sentenced in September 2001 who had not yet started a programme at the end of January 2002. This left staff feeling that they were being discriminatory towards this individual.
- Some race and ethnicity information was missing from the programme registers and there was no systematic monitoring of accessibility by race and ethnicity.
- Accessibility issues were reflected in the disproportionately small number of minority ethnic offenders attending a sample of five programmes, when compared to ETS orders made on this group across the area.
- Case managers with women offenders reported problems of accessibility to the women's programme, particularly for those who had health or childcare problems, and difficulties obtaining access to childcare facilities were described. The relative infrequency of the women's programme would also inevitably impact on the timeliness of commencement.
- The tutor group was not representative of the race and ethnic composition of the area.

B7.1 Implementation of monitoring and evaluation design

0

Description: Interview and observation show that monitoring and evaluation arrangements are working as intended and are understood and supported by all staff involved. This should include both input and feedback of data to managers and practitioners at local level.

West Yorkshire had made a significant investment in IAPS, which it had wholeheartedly embraced, dispensing with the need for paper back-up systems. It was a matter of concern that this had left the area vulnerable to national delays in the development of IAPS reporting facilities, the result of which was an absence of systematic monitoring or evaluation data.

Strengths:

- The area had invested in IAPS as a long term strategy to satisfy its monitoring and evaluation needs, had issued comprehensive guidelines and trained all relevant staff to use it. This included incorporation of West Yorkshire's SAM tool to facilitate the collection of evaluation and monitoring data.
- In order to fill some of the gaps caused by the lack of IAPS reporting facilities, a number of sampling and small research projects had been instigated: these included research into targeting, completion and attrition. Additionally, district programme managers had begun to look at individual officer referral patterns and to raise these with team managers.
- Consideration had been given to the area's monitoring requirements and a decision made to instigate new monitoring arrangements, starting with a development of the legacy PSR monitoring system to examine concordance rates.

Areas for improvement:

- Managers had no routine access to information relating to ETS programme referral and delivery, and the area was dependent on snapshot monitoring rather than strategic planning.

- Monitoring undertaken on the initiative of district programme managers was not coordinated in a way which provided comparable information across the area.
- Information feedback to tutors and case managers appeared variable and generally limited. National information was fed down to divisional managers and district performance information up to the centre, but there was no organised feedback loop to practitioners.

B7.2 Practice is informed by monitoring and evaluation evidence

1

Description: Consistent use is made of evaluation information as it becomes available by those with most direct responsibility, e.g. managers giving regular consideration to attendance and completion information, practitioners to offender feedback and attitude/behaviour change scores. Awareness/knowledge about evaluation results from the same programme operating elsewhere will be relevant.

Strengths:

- Senior managers had commissioned and considered a six month review of the implementation of ETS and the area had used information from its own research and monitoring to influence programme management and delivery. This was evident in changes made related to targeting, use of learning from the women's group and the decision made to change the pre-programme session. Particular attention had been given to compliance issues in the light of the performance of the women's group and use of the national innovation fund.
- District programme managers used individual officer information to identify and address referral practice.
- Tutors in one district identified the development of a link tutor scheme as a direct result of information which led to changes in practice.

Areas for improvement:

- There was no systematic monitoring and evaluation framework which could identify trends or be routinely used to evaluate and inform practice.

SECTION C: QUALITY OF PROGRAMME DELIVERY

C1.1 Adherence to programme manual

1

Description: *All sessions of the programme should be delivered in line with the instructions of the programme manual and demonstrate close adherence to the aims and objectives. There should be evident commitment to follow the intention/purpose of the exercises used, including repetition/reinforcement, where these are designed parts of the programme.*

Strengths:

- Tutors covered the material in the right order and did not add inappropriate extras.
- There was strong evidence of homework being completed and reviewed at the next session.

Areas for improvement:

- Exercises did not regularly run to time. Some were drawn out whilst others were rushed and gave insufficient time for practice.
- A number of exercises were not properly explained.

C1.2 Adherence to treatment style

1

Description: *From direct observation or video evidence, programme tutors make competent and appropriate use of the techniques specified. There will be evidence of effective communication of the material, offender understanding and engagement. Pro-social attitudes are skilfully modelled by workers and are predominant in the group. This includes challenging pro-criminal or anti-social attitudes and behaviour.*

Strengths:

- Tutors made consistently good links between exercises and sessions.
- Summarising points and reflecting back were assessed as satisfactory or good.
- There were some good examples of attention to responsivity issues.

Areas for improvement:

- Tutors did not always give time to listening and allowing for answers. There were occasions when tutors were too ready to provide answers rather than allowing participants to reach their own conclusions.
- There was scope for tutors to make better use of the positive and self-motivating statements made by offenders during programme sessions.
- Open questions were not used in a consistent way.

C1.3 Group work skills

1

Description: *Programme tutors demonstrate effective management of the group, including effective co-working to facilitate learning by offenders and modelling pro-social behaviour. Disruption by participants is minimised.*

Strengths:

- Tutors used appropriate language and were clearly spoken in all sessions observed.
- With only one exception, it was considered that all group members were involved and engaged in the sessions with some excellent practice observed.

Areas for improvement:

- The overall practice of co-working was static, with tutors appearing to take independent turns rather than support each other throughout the session. Handovers reflected this and did not always appear to happen.
- The introductions and endings to exercises were not always well done, particularly the latter which were sometimes rushed.
- A number of groups were not managed effectively, with offenders being allowed to talk over each other and on occasion leave the room.

C1.4 Programme delivered addressing race equality and diversity issues

1

Description: *From direct observation or video evidence, issues of racism and sexism are effectively addressed whether arising within programme delivery or offender response. Staff are alert to race equality and diversity issues, they always respond appropriately and show that they have considered and developed strategies for responding, e.g. relevant resources and arguments, clarity about boundaries, approaches that may promote perspective taking.*

Strengths:

- The area had given active consideration to responsiveness issues in establishing its policy on the provision of ETS for women and minority ethnic offenders.
- The area was represented on the national programmes diversity review and there was evidence of changes to the programme to reflect this.
- In consultation with the programme designer, West Yorkshire was piloting an adaptation of the written material in ETS to address basic skills needs.

Areas for improvement:

- There was no forum for tutors to collectively develop their skills or strategies to deliver programmes in a way which addressed race equality and diversity, although they were concerned to do so.
- Due to the limited number of black and Asian offenders accessing programmes, tutors were not being given the opportunity to develop or practice their skills and felt ill-equipped to deal with diversity issues, for example in their limited training or knowledge of different cultures.

C1.5 Programme integrity checklist

2

Description: *The programme integrity checklist for each session is completed.*

Strengths:

- Session review forms were completed for all programme sessions, with clear and concise comments by tutors covering levels of engagement and individual issues.

Areas for improvement:

- It appeared that some session review forms had been completed sometime later than the immediate debriefing meeting.

C1.6 End of programme summary reports

1

Description: *The case record shows that at the end of the programme delivery staff prepare a summary for the case manager indicating:*

- *Participation in the programme*
- *Progress made*
- *an assessment of risk, including the identification of factors relevant to the individual concerned*
- *an assessment of the offender's coping skills*
- *likely scenarios for relapse, including immediate precursors and triggers which might give prior warning*
- *identification of remaining treatment needs.*

Strengths:

- Post-programme reports were consistently prepared by tutors following completion and sent to case managers prior to the three-way meeting.
- The reports were extremely thorough, set objectives for post-programme work and were valued by the case managers interviewed.

Areas for improvement:

- The format of the reports did not require tutors to comment on risk or any likely scenarios for relapse.

SECTION D: CASE MANAGEMENT RESPONSIBILITIES

D1.1 Initial supervision plan sets relevant objectives for the offender

1

Description: *The supervision plan integrates the programme into the overall plan of work for each offender. Specific objectives are set in a sequence appropriate for the offender and are recorded in the initial supervision plan and regularly reviewed. Assessments should be based on OASys when available, or ACE or LSI-R before then.*

Strengths:

- The majority of cases in the case file read demonstrated that the initial supervision plan integrated the programme within an overall plan of work.
- In a significant number of cases evidence was available of SMART objectives being set and recorded in the initial supervision plan.

Areas for improvement:

- There was less evidence of supervision plans being regularly reviewed: 40% failed to meet this criteria in the case file reading exercise.

D1.2 Effective liaison arrangements between the case manager and programme staff

1

Description: *The case records show, and interviews with selected staff indicate, the existence of effective arrangements for liaison, handover and communication. This should include the three-way meetings between the case manager, programme staff and the offender at the end of the programme.*

Strengths:

- It was a clear expectation that case managers should attend a mid-way as well as a post-programme review meeting. Where these had taken place case managers reported that they had also helped their own understanding of the programme.
- Communication between the case manager and programme staff was demonstrated in the majority of cases reviewed, 40% of which were considered to have fully met the requirement for effective liaison, handover and communication and 46% in part.

Areas for improvement:

- Only 53% of relevant cases had recorded a post programme review meeting.
- Case managers reported different experiences across the area in the quality of communication between themselves and programme staff and for some there had been difficulties, at times, in arranging the mid-way meeting. One district had established a key work tutor system to alleviate this.

D1.3 Supporting the offender through all phases of the programme

0

Description: *The case manager is responsible for preparing and motivating the offender prior to their participation on an accredited programme and for reinforcing learning during the programme.*

Strengths:

- File readers reported that there were some good examples of general encouragement from case managers and there was evidence in most records reviewed of a degree of ongoing work to address problems.

Areas for improvement:

- There was very little recorded evidence to show that the case manager had undertaken motivational work or reinforced learning.

D1.4 Understanding and knowledge of programme methods

1

Description: *Interviews with case managers demonstrate they have a clear understanding of the aims and objectives of the programme and that they either have the requisite skills to undertake reinforcement, follow-up and/or relapse prevention work, or the ability to refer to staff possessing these skills.*

Strengths:

- 90% of case managers and PSR writers had attended training events.
- Despite difficulties recalling their training, case managers interviewed gave a satisfactory account of the programme methods.

Areas for improvement:

- Case managers felt well equipped for IAPS, but considered that they had insufficient detailed information about ETS to be fully effective. The information provided within some districts appeared to have had better impact than others.

D1.5 Monitoring of attendance and enforcement

2

Description: *Responsibility for the monitoring of attendance and the enforcement of orders is clearly defined with appropriate systems in place. There is evidence of effective enforcement in all cases.*

Strengths:

- The area's draft policy and guidelines for the enforcement of national standards contained specific instructions relating to failures to attend accredited programmes.
- Case records reviewed clearly recorded offenders' overall attendance, non-compliance and any enforcement action taken. This question was considered fully met in 71% of cases and partly met in a further 23%.

Areas for improvement:

- Some case managers were uncertain about the area's procedure for designating acceptability of absence relating to programme attendance.

D1.6 Documentation

1

Description: *The case record shows that all relevant documentation is completed.*

Strengths:

- 71% of case files reviewed had most of the required documentation on file.

Areas for improvement:

- Only six of the 35 cases in the case file reading exercise were considered to have had *all* the relevant documentation on file, the letter of understanding being most often missing.

D1.7 End of programme review

0

Description: *The supervision plan review for each offender shows that at the end of the programme appropriate individual objectives are identified to strengthen and build on the progress made, and to achieve successful community reintegration.*

Strengths:

- There were individual examples of excellent practice in terms of building post programme objectives into the supervision plan review.
- Community reintegration issues had been given attention in the majority of cases reaching the post-programme stage.

Areas for improvement:

- The case file reading results showed that less than half of relevant cases provided evidence that the post-programme report had influenced the supervision plan review, or had SMART objectives related to the programme.
- Case managers advised that for some cases, a late start to the programme resulted in insufficient time to plan or undertake post programme work.

D1.8 Reinforcement and relapse prevention work

N/A

Description: *There are specific arrangements in place to reinforce learning and for relapse prevention work, including booster programmes where required by the programme, delivered by appropriately trained and skilled staff.*

In the absence of the Cognitive Skills Booster Programme this criterion has not been assessed.

Next Steps

HMIP will employ a three-tier follow-up process, depending on a probation area's performance rating:

Level 1 follow-up

A level 1 performing area will have met or exceeded the agreed IQR figure of 70%. (This figure rises to 75% for year 2 and 90% for year 3.) The follow-up will normally be conducted within one year of the audit report being received by the probation area, and will usually be limited to a desktop exercise, depending on the advance information received, focusing on the areas for improvement for criteria that were not fully met in the original audit.

Level 2 follow-up

A level 2 area will not have reached the 70% quality rating for programme delivery, but will have attained at least 40%. The follow-up will combine a request for written information and a one-two day visit to the probation area with HMIP auditing further videotapes and case files. This will normally take place within one year of the audit report being received by the probation area.

Level 3 follow-up

A level 3 area will have scored less than a 40% IQR. The follow-up will involve a fresh audit of the probation area and will normally be completed within six months of the audit report being received by the probation area.

West Yorkshire Probation Area achieved an IQR of 58% and is a **level 2 area**. A limited follow-up audit will be carried out in one year's time. The area should pay particular attention to mandatory items, which have not been fully met.

This audit report and the IQR will be received by the Joint Accreditation Panel in October 2002.