



A report on Offender Management in:

# Thames Valley

**An Inspection led by  
HM Inspectorate of Probation**

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## **FOREWORD**

This inspection of offender management work in the Thames Valley Probation Trust took place as part of our second programme of Offender Management Inspections. We have examined a representative sample of probation (adult offending) cases from the probation trust, and have judged how often the work with each case was done to a sufficiently high level of quality.

The purpose of offender management has been usefully characterised as to 'Punish, Help, Change and Control' each individual offender in accordance with the need of the individual case. Although our detailed inspection findings can seem rather technical for the general reader, our headline findings can be related to those 'plain language' purposes. We have given particular attention to the 'Control' purpose – the public protection aspect of the work – since this is where independent inspection can add the most value. Our '*Risk of Harm to others* score' measures how well this has been done.

Over the trust as a whole, we judged that the work to keep to a minimum each individual's *Risk of Harm to others* – i.e. the 'Control' purpose - was done well enough 71% of the time. The work to make each individual less likely to reoffend – the 'Help' and 'Change' purposes - was done well enough 69% of the time. Work to maximise compliance and enforcement was done well enough 78% of the time. A more detailed analysis of our findings is provided in the main body of this report and summarised in a table in Appendix 1.

These figures can be viewed in the context of our findings from the areas and trusts inspected so far. To date, the average score for *Risk of Harm to others* work has been 68%, with scores ranging from 65%-72%, and the average score for Likelihood of Reoffending work has been 68%, with scores ranging from 64%-76%. To date, the average score for work to maximise compliance and enforcement has been 75%, with scores ranging from 70%-82%.

We found that Thames Valley Probation had worked effectively to address areas of underperformance highlighted in earlier inspections. They had taken action to ensure that national targets were met and had built in measures to ensure that work was of a good standard, not least through a comprehensive training plan. Their approach to partnership work was effective, in particular, in achieving resources and results for the education, training and employment of offenders.

Overall, we consider this an encouraging set of findings. The trust had clear plans for improvement that were being implemented and developments to date lend confidence that areas for improvement will continue to be addressed.

**ANDREW BRIDGES**

HM Chief Inspector of Probation

*July 2010*

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## SCORING AND SUMMARY TABLE

This report provides percentage scores for each of the 'practice criteria' essentially indicating how often each aspect of work met the level of quality we were looking for.

Accordingly, we are able to provide a score that represents how often the *Risk of Harm to others* and Likelihood of Reoffending aspects of the cases we assessed met the level of quality we were looking for, which we summarise here. We also provide a score for how often compliance and enforcement was done well enough.

Additionally, we give a headline 'Comment' by each score, to indicate whether we consider that this aspect of work now requires **MINIMUM**, **MODERATE**, **SUBSTANTIAL** or **DRASTIC** improvement in the immediate future.

<b>'Control' – Risk of Harm to others score:</b>	
This score indicates the percentage of <i>Risk of Harm to others</i> work that we judged to have met a sufficiently high level of quality. This score is significant in helping us to decide whether an early further inspection is needed.	
<b>Score:</b> <b>71%</b>	<b>Comment:</b> <b>MODERATE improvement required</b>

<b>'Help' and 'Change' – Likelihood of Reoffending score:</b>	
This score indicates the percentage of <i>Likelihood of Reoffending</i> work that we judged to have met a sufficiently high level of quality.	
<b>Score:</b> <b>69%</b>	<b>Comment:</b> <b>MODERATE improvement required</b>

<b>'Punish' – Compliance and Enforcement score:</b>	
This score indicates the percentage of Compliance and Enforcement work that we judged to have met a sufficiently high level of quality.	
<b>Score:</b> <b>78%</b>	<b>Comment:</b> <b>MODERATE improvement required</b>

We advise readers of reports not to attempt close comparisons of scores between individual trusts. Such comparisons are not necessarily valid as the sizes of samples vary slightly, as does the profile of cases included in each trust's sample. We believe the scoring is best seen as a headline summary of what we have found in an individual trust, and as providing a focus for future improvement work within that trust.

## SUMMARY

### **Assessment and sentence planning {Overall Score = 74%}**

There were good working relationships with courts. Pre-sentence reports were of good quality and well regarded by sentencers. We found clear proposals in most that were commensurate with the seriousness of the offence. In the main, they were based on accurate assessments that took account of the *Risk of Harm to others* and the Likelihood of Reoffending.

Risk of Serious Harm screenings and analyses were completed and on time in most cases. The quality of analyses was insufficient in half of them due to missing information or lack of assessment of the relevance of previous convictions. Risk management plans were not comprehensive and did not describe often enough how the individual *Risk of Harm to others* would be managed. However, offender managers had received trust-wide training in planning during the life of these cases and we saw a positive impact later on, which was encouraging. Involvement by middle managers in the oversight of relevant cases was not always effective.

Most aspects of sentence planning were satisfactory. A high level of interventions by several agencies was planned to contain and address the Likelihood of Reoffending by prolific and other priority offenders.

Assessment for, and referral to, employment, training and education activity was strong throughout sentences. Offender managers were clear about what was available. They referred offenders to in-house information, advice and guidance staff who ensured access to relevant provision. This was not always well recorded, however.

### **Implementation of interventions {Overall Score = 75%}**

There was a positive approach to work with prisoners who were in scope for offender management. A good level of contact with prisons and prisoners ensured access to programmes in preparation for release. Where relevant, effective action was taken to preserve community ties.

A standard induction session delivered to all offenders supervised in the community ensured that they were made aware of expectations. Levels of contact were good. Offenders were routinely seen above the minimum national standard to facilitate access to a very good range of interventions. There was a good level of matching of offender to placement in orders with an unpaid work requirement. Communication between workers was effective. Offender managers addressed potential barriers to engaging with supervision and worked hard to motivate offenders. The prolific offender/integrated offender management scheme was impressive; teams worked well together and had access to a high level of resources. A strong emphasis was placed on compliance; the trust employed staff to work as trackers to motivate and support those with most needs.

Home visits were carried out routinely in high *Risk of Harm* and prolific offender cases. However, they were not carried out sufficiently often in child Safeguarding cases. Approved premises provided a good level of constructive and restrictive interventions. Recall and breach were used effectively to manage *Risk of Harm* with efforts made to

re-engage offenders with supervision in most cases. However, changes in the potential *Risk of Harm* were not always anticipated or responded to appropriately.

### **Achieving and sustaining planned outcomes {Overall Score = 56%}**

Sentence plans were delivered as intended by courts in a majority of cases. Objectives were partly or fully achieved in around two-thirds of cases.

Every effort was taken to promote compliance in almost all cases; where this failed, enforcement was employed as required.

Multi-agency public protection arrangements were used effectively most of the time. Offender managers had access to internal resources to address victim issues and offenders told us that their levels of victim awareness had improved although this was not evident from records.

Whilst not evidenced in all of the case files, there was a very good level of achievement by offenders in the probation trust in relation to educational skills and qualifications and also to sustainable employment.

### **Leadership and strategic management**

Thames Valley Probation had recently begun to operate as a trust. Large-scale reorganisation had not been necessary to create the local delivery units that were based on police basic command unit boundaries. Performance against national targets and the requirements of local courts had improved from a very low base over the last four years. Success had not been achieved at the cost of quality; progress was underpinned by a range of measures that added depth to performance, not least of which was an extensive training programme for middle managers and offender managers.

Senior managers in the trust worked effectively across a large area which was made up of three counties and numerous local authority and crime and disorder bodies. Led by a director who had authority to negotiate locally, there was a focus on working jointly with other organisations to develop resources to reduce reoffending. They prioritised activity that contributed to public protection, to relevant Local Area Agreement objectives and met the needs of courts. Offender managers had access to a good range of resources as a consequence, though this was better in some districts than in others. The integrated offender management scheme and recently-opened women's centre were good examples of the success of this approach.

Workforce planning and management activity was having a positive impact on a perennial staffing problem. Every effort was being used to maintain the workforce and currently workloads were manageable.

There was a systematic approach to monitoring and review, with a clear emphasis on improving performance at all levels.

Each of the criteria in the Leadership and Strategic Management section has been graded below, according to the four-point scale described in Appendix 2.

General Criterion	Score
4.1 EFFECTIVE LEADERSHIP MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY	<b>Very</b> effective
4.2 EFFECTIVE RESOURCE DEPLOYMENT MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY	<b>Very</b> effective
4.3 EFFECTIVE WORKFORCE PLANNING AND DEVELOPMENT MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY	<b>Very</b> effective
4.4 AN EFFECTIVE REVIEW AND EVALUATION REGIME MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY	<b>Sufficiently</b> effective
4.5 EFFECTIVE PROVISION OF ACCESSIBLE SERVICES MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY	<b>Sufficiently</b> effective

### **Ofsted: overall effectiveness including capacity to improve**

Thames Valley Probation provided a good information, advice and guidance service and assessment of offender needs was detailed and thorough. Good use was made of entry to employment interventions as a specified activity requirement in community orders. Link advisors, offender managers and tutors had very effective working relationships, although targets set for offenders in individual learning plans were insufficiently detailed and the recording of offenders' progress was weak.

Offenders undertaking unpaid work had access to a good range of opportunities to develop work skills. However, this was not being recorded. Support for vulnerable offenders was good, with a wide range of employment, training and education provision both on and off probation premises. Good use was made of mentors and effective links were in place with a varied range of external agencies to help support offender learning and entry to employment. There was a wide range of provision and support for offenders' learning in approved premises. As a consequence, offenders were developing work skills and achieving qualifications and employment.

Activity at a strategic level ensured the development of an inclusive range of provision to meet the wider needs of offenders. Thames Valley Probation had made good progress in addressing areas for improvement from the last inspection and in maintaining and developing strengths. Comprehensive quality assurance systems had been put in place since the last inspection. However, very recent changes to the management of quality improvement had not yet been sufficiently embedded. The self-assessment process was well used and provided an accurate picture of the overall provision.

## RECOMMENDATIONS FOR IMPROVEMENT

Changes are necessary to ensure that, in a higher proportion of cases:

1. the analyses of *Risk of Harm to others* and subsequent management plans are completed comprehensively and accurately
2. the sentence plan is specific about what will be done in order to reduce the Likelihood of Reoffending and to minimise any identified *Risk of Harm to others*
3. there is evidence in the file of regular quality assurance and effective involvement by managers, as appropriate to the specific case
4. where relevant, victim issues are integrated into all aspects of offender management and recorded accurately.

Ofsted recommendations

To improve further, the probation trust needs to:

1. introduce a system to record personal and employability skills developed by offenders to:
  - enable them to provide evidence of the skills they develop on unpaid work
  - better link action planning and target setting to personal skills development
2. continue to introduce and develop information technology to improve and support offenders with opportunities to engage in learning activities
3. implement and continue to develop the new quality assurance procedures to ensure that quality improvement and the self-assessment processes continue to improve the provision of learning and skills throughout the area.

**NEXT STEPS:** An improvement plan addressing the recommendations above is needed four weeks after publication. Once finalised, the plan will be forwarded to the Director of Offender Management in the region to monitor its implementation.

## SHARING GOOD PRACTICE

Below are examples of good practice we found in the Thames Valley Probation Trust.

### **Information, advice and guidance**

#### **OMI 2 Criterion: 1.4.c**

A quality information, advice and guidance service was available to all offenders, whether they were employed or unemployed. Staff were well qualified and skilled at working with offenders. A thorough, detailed assessment of individual needs took place and link advisors were effective at giving offenders the confidence to talk freely about potential barriers to learning. They had good local knowledge, which they used well in guiding offenders to employment opportunities. Link advisors were also skilled at using a variety of external agencies to help tailor support and the type of provision to meet individual offender's needs.

### **Managing Risk of Harm**

#### **OMI 2 Criterion: 2.2.a**

The mother of a prisoner was the carer for his children. She told the offender manager of her concern about letters that the offender had been writing to his young children; these contained threats towards others and confusing and inappropriate messages for a child. The offender manager arranged with the prison to have the mail monitored to prevent a repetition. The letters were indicative of an increasing mental health issue, and, with the assistance of the offender supervisor in the prison, a place was secured for the offender at a medium secure unit where his mental health issues could receive specialist attention.

### **Diversity**

#### **OMI 2 Criterion: 2.4.a**

This offender was referred to the sex offender programme, but two weeks before it began, he secured employment from ten a.m. until six p.m. As the group was due to start at six p.m. his attendance on the programme was put at risk. In order to address his offence-related needs and allow him to work, and following discussion with other group members, the programme was put back an hour to start at seven pm. The offender was therefore able to attend and complete the programme.

### **The victim's voice**

#### **OMI 2 Criterion: 2.2.e**

Following an assault on him in his workplace by a customer, this man had been contacted by the restorative justice worker before the offender's case came to court. The victim reported that the process had been well explained to him. He knew what to expect at the meeting with the offender and what support he would have from the restorative justice worker. He and the offender took it in turns to talk about what happened and why, and the effect the offence had had on all involved. The offender apologised to his victim who felt that the meeting had helped "*clear the air*" as he had wanted. The victim had nothing but praise for the restorative justice worker: "*everything was spot on, exactly what I expected; he did a very good job*".

### **Help to overcome practical obstacles**

#### **OMI 2 Criterion: 3.3.a**

This offender had an entrenched pattern of offending linked to his drug use. He had been to prison on numerous occasions and was institutionalised. The integrated offender management team arranged a package of interventions to target his problems, including arranging drug intervention, counselling and housing advocacy. These were arranged around a phased reintroduction to society on licence while the offender was resident at approved premises. Later, support with employment and training was provided which led to a work placement at a local supermarket. The supermarket was so impressed by his efforts that they offered him work as a result. At the time of the inspection, this prolific offender had managed to stay offence free as a result for almost 10 months.

### **Improving performance**

#### **OMI 2 Criterion: 4.1.b**

Thames Valley Probation developed an area-wide audit process called 'TV Quips' as part of the Offender Management Inspection (1) Action Plan. In brief, small groups of staff, from a range of grades, participated in inspecting files and providing constructive feedback to the offender manager and their senior probation officer, who then had to make the required improvements. Feedback and changes were countersigned by their director. A total of 461 files were discussed in this way in 2009. This system supported identification of patterns of underperformance where improvements could be made across the probation trust. Offender managers and senior probation officers valued the opportunity of having a third party's view of their work.

## SERVICE USERS' PERSPECTIVE

### Offenders

One hundred and fifty-seven offenders completed a questionnaire for the inspection; a very high rate of completion. Two prisoners also sent in responses. We met with a further 14 during the inspection week. Ofsted met a total of 68 offenders as learners within the trust and in external provision.

- Most of the offenders remembered having an induction where the expectations of supervision were explained. Three-quarters were clear that their offender manager had discussed their sentence plan with them and most of them felt involved in drawing up the plan; involvement in reviewing the plan was higher. Some of these discussions took place in prison.
- Over half of the offenders who responded thought that their offender manager worked well with other agency workers on their case. The factors most frequently addressed in supervision to help offenders were: their attitude to offending; employment, training and education; stress; thinking skills; relationships and alcohol. Almost half of them reported that they had been put in touch with community-based organisations to deal with some of these issues. A small number of offenders indicated that they had problems that could have got in the way of being supervised and that their offender manager helped them with some of them, including health and childcare.
- Most of these offenders said they had a positive working relationship with their offender manager. Encouragingly, most also thought that they were less likely to reoffend as a consequence of being supervised by the probation service and more likely to think about the impact of offending on victims of crime. They specifically mentioned the positive impact of the sex offender programme; work to address their violence; and help with housing and alcohol problems. One offender added: *"I have thought differently about the offence and feel sadness for what I did"*. Another said: *"I am getting checked up on so I am prompted to think about my drug use and the crimes that are committed to feed drug addiction"*.
- Residents in approved premises told us that hostel staff were very helpful in developing life skills to help cope with life out of custody – in particular, things like problem-solving strategies, social skills and patience, and taking personal responsibility for everyday tasks. Some were getting help with move-on accommodation and education; others enjoyed the constructive approach to leisure and were developing musical skills.
- Offenders undertaking accredited programmes had mixed views about how useful they were. Those on the domestic violence programme were the most positive: *"It's had a big impact on my marriage, there was a lot of denial at first, then I learned some tools, like time-out. I don't bottle things up anymore and I've done something about my drinking too"* and *"It's a pity I couldn't have done this programme sooner, shame it had to be an offence that got me here"*. They were all clear that rules about attendance would be strictly enforced, even when they had to travel long distances to get there and they had to attend up to three times per week.

## Victims

Nine questionnaires were completed by victims for the inspection and we met with ten others during the inspection week.

- The questionnaires and three of the interviews were with statutory victim contact cases. Overall, they expressed satisfaction with the service they had received from victim liaison officers. They told us about situations where prompt action by the worker to inform the prison or police about further threats had made them safe. Comments included: *"I really don't think I would have coped without their reassuring presence and have nothing but praise for the service they provide"*.
- Two of the victims we met had participated in the restorative justice scheme; one had chosen to meet the offender in question and was very positive about this, saying: *"it helped me clear the air with the bloke"*. He had been reassured by the approach of the worker and felt well prepared to meet the person who had assaulted him. The second felt less positive as they had not been as well prepared for what was going to happen.
- We met with three victims of domestic abuse who were being supported by a women's safety worker whilst their partner attended an accredited programme. All were positive about the information they had received and about feeling safer as a consequence. However, one had lost contact with the women's safety worker, which had left her feeling vulnerable for a time. We were given examples of situations where advice from the workers had prevented further abuse.

## Courts

The probation trust had recently completed a survey of over 200 sentencers, asking similar questions to our own questionnaire, so we agreed to use this survey. In addition, seven sentencers and two court service representatives came to meet us.

- Sentencers were, in general, very positive about the value of the different types of pre-sentence report in decision-making. They appreciated the contribution of probation staff in court. Most were also positive about the various interventions available to them as requirements in a community order. Almost all were positive about the work of the probation trust overall and thought that liaison arrangements worked well.
- Similar views were expressed in our meeting with sentencers and court representatives. They were all very positive about liaison arrangements. Most were content that reports were of good quality and were being produced quickly. One complaint was that cases were sometimes brought to the breach court for trivial reasons; this had more recently been addressed through the liaison mechanisms.

## 1. ASSESSMENT AND SENTENCE PLANNING

### 1.1 General Criterion: PREPARING FOR SENTENCE *High quality reports are produced to inform sentencing.*

**Score:**

**89%**

**Comment:**

**MINIMUM** improvement required.

#### Strengths:

- (a) PSRs were a strength in Thames Valley. We found they had been prepared in 84 of the community orders in the sample. Around two-thirds of them were SDRs and all but three were, we thought, of the appropriate type. All were completed on time and were presented in the correct format. Almost all were based on the necessary assessments of *RoH* and LoR.
- (b) Most reports were concise (84%). In 80% we found an accurate analysis, as opposed to a description of the *RoH* posed by the offender. The analysis of LoR was accurate 91% of the time. Proposals were clear in all but four reports and reflected the seriousness of the offence in 89%. A requirement to keep to a minimum the *RoH* was proposed in 83% of relevant cases.
- (c) Proposals for a community disposal were found in 85% of the reports; they were followed by the court 86% of the time. Where these were SDRs, there was an outline sentence plan in 82%. Most of these plans contained objectives that clearly related to the stated purposes of sentencing; they took full account of the assessed LoR and *RoH* and 76% specified the planned outcomes for the case.

#### Area for Improvement:

- (a) Whilst report writers clearly recorded issues of vulnerability in all but four of the relevant cases, these found their way into the outline sentence plan in only 35% of them.

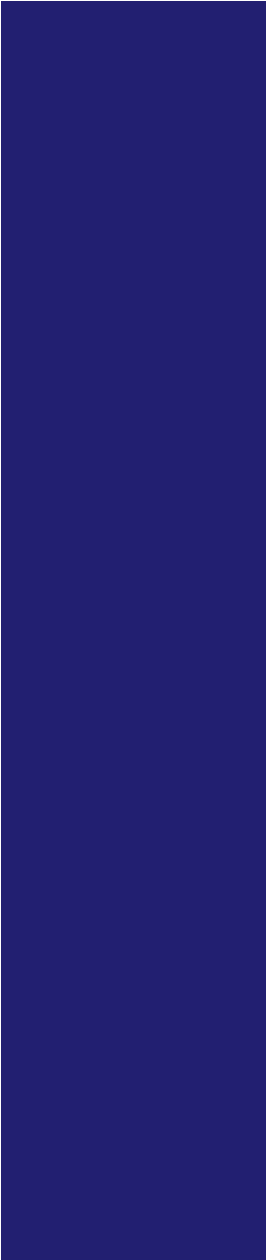
<b>1.2 General Criterion: ASSESSMENT AND PLANNING TO MINIMISE RISK OF HARM TO OTHERS</b> <i>RoH is comprehensively and accurately assessed. Plans are made to keep to a minimum the individual's RoH.</i>	
<b>Score:</b>  <b>76%</b>	<b>Comment:</b>  <b>MODERATE</b> improvement required.

**Strengths:**

- (a) A RoSH screening was completed at the start of sentence, release on licence or transfer into the trust in all but six of the 171 cases. Of these, 85% were completed on time and 80% were accurate. We agreed with the RoSH classification in 86% of the cases.
- (b) A full analysis was completed in 91% of the cases that required one and was on time in 79% of them. These documents accurately identified the group to whom the offender potentially posed a *RoH* (children, known adults etc) although, as outlined in 1.2.b below, they did not always specify the nature or level of risk. In 77% of cases, the *RoH* was accurately communicated to all staff involved with the offender.
- (c) In 90% of the cases that required a risk management plan at the start of sentence or release on licence, one had been completed. Of these, 75% were done on time and 88% were presented in the correct format.
- (d) In 51 cases managed in the community there were additional restrictive conditions to address the *RoH*. In almost all, we judged that these were proportionate to the *RoH* and the protection of actual and potential victims.
- (e) The criteria for referral or notification to MAPPA were met in 44 cases. Eight of these were referred to Level 2, seven in a timely manner (the rest being Level 1). There were two further cases that we thought ought to have been managed initially at Level 2.

**Areas for Improvement:**

- (a) The RoSH classification in 17 cases was found to be too low for the level of *RoH* posed. These cases were of all types of sentence, some having had no PSR, others having an SDR, FDR or oral report.
- (b) Only 50% (68) of the *RoH* analyses were of sufficient quality. The *RoH* assessment drew fully on all sources of information in 60% of cases; and in 69%, previous relevant behaviour was taken into account. There were recurring themes of offender managers failing to check with the police domestic abuse unit or with children's social care services in cases where there were clear indications of concern. The spousal abuse risk assessment was not always completed or information from it used. We found a number of offender managers who did not understand the relevance of previous convictions so did not explore it with offenders.

- 
- (c) Risk management plans were not comprehensive. We did see progress made over time when offender managers had had further training. However, at this initial stage, only 37% of plans could be said to describe how the objectives of the sentence plan and other activities would address the *RoH* issues. Most plans were just a list of activities. There was a relatively new practice, developed in later plans, of stating which theory had been used to assist with the assessment of *RoH*. Some offender managers were able to articulate what this meant in individual cases, but others were not clear about how to apply the models to their work. There was evidence of the plans being shared with others involved in the case 68% of the time.
  - (d) Proposed actions from MAPPA panel meetings were incorporated into five of the eight sentence and risk management plans (63%) and communicated to all relevant bodies in the same cases.
  - (e) The level of effective middle management involvement in high *RoH* cases and those with child Safeguarding issues was disappointing given the high regard most offender managers had for the ability of their supervisor. There were 37 cases in the sample requiring countersigning due to the *RoSH* category; in six this did not happen, and in 13 cases (35%), work of an insufficient standard was countersigned when it ought to have been rolled back.

In 44 cases where there was a child Safeguarding element, we thought the offender manager should have involved their line manager in planning the work. In 21 of them (48%), there was no evidence that this had been done; these were often correctly assessed as medium *RoSH* so relied on the offender manager to see that management oversight was advisable. In a further six (14%), there was evidence of discussion, but this did not appear to have been effective. We heard from offender managers that they did discuss their work in supervision and obtain effective advice, but this was not evidenced in most of these cases.

<b>1.3 General Criterion: ASSESSMENT AND PLANNING TO REDUCE THE LIKELIHOOD OF REOFFENDING</b> <i>The LoR is comprehensively and accurately assessed. Plans address offending related factors needs to reduce the LoR.</i>	
<b>Score:</b>  <b>73%</b>	<b>Comment:</b>  <b>MODERATE</b> improvement required.

**Strengths:**

- (a) In all but two cases, offenders were allocated to the correct tier at point of sentence or (in nine cases) there was an acceptable reason on file for departing from national guidance. An offender manager was allocated on time in 88% of cases and an offender supervisor was allocated on time to almost all of the custody cases.
- (b) An assessment of the LoR was completed in 93% of the cases that required one and on time in 77% of these.
- (c) Most aspects of sentence planning were of sufficient quality at the start of sentence or release on licence; we saw evidence that most aspects that were not satisfactory had been addressed in training several months into the management of these cases. There was a sentence plan, where required, in 92% of cases and 76% of them were completed on time. We found that 72% were informed by relevant assessments and 78% were appropriate to the stated purposes of sentencing.  
  
Levels of contact were described in 68% of plans, and objectives to address the LoR were identified in 86% of them. Objectives to manage the *RoH* were also found in 77%.
- (d) There were 21 PPOs in the sample. We found a high level of contact with, and interventions by, relevant agencies in addition to the offender manager in these cases. This was reflected in 70% of the plans, which rather undersold what was available to manage the LoR presented by these offenders.

**Areas for Improvement:**

- (a) The quality of LoR assessment was sufficient in 62% of the completed OASys assessments. More attention was needed to justify the scores in some. The most frequent area for improvement was the historical information that was pulled through, even at the initial stage when it had been taken from earlier orders. In some licences, the assessment read as though the offender was still in custody. We did see an improvement in the practice of offender managers at later stages in some cases. Recognising that old information is not 'lost' as it was still on the system, it was becoming good practice to summarise relevant earlier information and follow that with the current situation.

- (b) Offender managers seemed less likely to identify objectives to address child Safeguarding issues than they were to address the RoH posed to adults. There were 34 cases where we judged that such an objective was required but only 16 (47%) where one was found.

The features where we later saw improvement were in the composition of outcome-focused objectives (49% satisfactory at the planning stage) and sequencing (54% of initial plans had objectives that were sequenced logically). Later plans were also more likely to identify roles and responsibilities of all those involved in a case; 50% did so at this stage. One of the gaps was where unpaid work requirements did not feature in the plan.

**1.4 General Criterion: ASSESSMENT AND PLANNING FOR OFFENDER ENGAGEMENT**  
*Individual diversity needs are taken fully into account at the earliest opportunity. Plans are put in place to minimise the impact of potential obstacles to engagement.*

**Score:**

**62%**

**Comment:**

**SUBSTANTIAL** improvement required.

**Strengths:**

- (a) Sentence planning took account of the offender’s level of motivation 75% of the time and their capacity to change 71% of the time.
- (b) Despite areas for improvement below in relation to planning, inspectors from Ofsted found that offender managers were clear about what ETE activity offenders would engage with and the types of individual who would benefit from the specified activity. They found a strong focus on drawing together the expertise of ETE workers to ensure that offenders received the best intervention at the most appropriate time. Skills for life screenings were carried out as required in 71% of cases. Where offender managers recorded that a learning plan had been drawn up for an offender, this featured in 74% of sentence plans.
- (c) There was room for improvement in how often offender managers appeared to make an assessment of factors that might be obstacles to full engagement with supervision. There was evidence of this assessment in 63% of plans; in 69% of these, such factors had been identified and actions taken to minimise them 81% of the time. Effective learning support was in place for vulnerable offenders. Interventions were tailored to meet the needs of offenders with a range of diverse needs. Specialist advisors skilfully assessed the support needs of offenders with multiple barriers to learning, such as mental illness, drug addiction or the type of offence. A high level of individual support was in place particularly for offenders who were unable to access group learning.

**Areas for Improvement:**

- (a) There was a lack of evidence on files that full attention had been paid to the methods most likely to be effective with 39% of individual offenders. In only 55% of the plans was there evidence of the offender being actively and meaningfully involved in the sentence planning process. However, 77% of the offenders who completed the questionnaire felt they had been fully or partly involved in drawing up the plan. We could see what steps they needed to take to achieve their objectives in 63% of plans.
- (b) Inspectors from Ofsted found that there was a good level of referral to Bridge to Employment, the trust's ETE workers. Outcomes for offenders, as will be shown later, were very positive; however, they were not well recorded and case file reading alone did not demonstrate the level and quality of ETE activity in Thames Valley. For instance, from the case files we inspected, it was apparent that only 33% of offenders who required a full assessment of learning and skills needs had received one, and that 26% of offenders who would benefit from a learning plan had had one drawn up. In some cases, this was due to a lack of communication between Bridge to Employment and offender managers; in these cases, offender managers did not know what ETE activity was being undertaken. In others, evidenced by case discussion, the communication was taking place but the paperwork and recording did not find its way onto the case file.

**COMMENTARY on Assessment and sentence planning as a whole:**

Findings in this section undersell some of the Thames Valley Trust's major achievements, namely their investment in the middle manager group and their commitment to providing a comprehensive ETE service for offenders. We found evidence, through discussion with most offender managers, that their supervisors added value to their work, but it was not evidenced in their case files. Likewise, Ofsted found clear evidence that all aspects of ETE assessment and provision for offenders were good and led to the most positive outcomes.

## 2. IMPLEMENTATION OF INTERVENTIONS

**2.1 General Criterion: DELIVERING THE SENTENCE PLAN (INCLUDING THE PUNISH ELEMENT)**  
*Interventions are delivered in line with the requirements of the sentence and meet prescribed standards.*

**Score:**

**75%**

**Comment:**

**MODERATE** improvement required.

### Strengths:

- (a) We found many strengths in the delivery of interventions to offenders in Thames Valley. This was in line with sentencing expectations in 76% of cases and sentence plan objectives in 67%. Interventions were timed and sequenced according to the offender's LoR in 69% and 68% of cases respectively; this was an improvement on the planning stage. Within ETE there was a strong focus on first providing support and development for offenders, to enable them to have sufficient personal skills and confidence to take part in group activities later.
- (b) We found that offender managers had attended sentence-planning boards in all 15 custody cases, either in person or by video link. There were nine prisoners who were near to, or at the end of, the custodial phase of their sentence; seven of them had participated in interventions preparing them for release, including accredited programmes. Within this group, five had been moved whilst in custody in order to access these resources; a further three would have benefited but the option was not available. Where prisoners moved between establishments, offender managers had been notified promptly in seven of the eight relevant cases.
- (c) A standard induction session for those starting community orders and licences was delivered several times per week, as required. The pre-placement work session that offenders attended prior to engaging with unpaid work was well structured and provided valuable information, although we thought that there was insufficient focus on promoting ETE interventions. There was evidence of the induction process in 94% of cases, and the material demonstrated that offenders had been made aware of expectations of behaviour and rights and responsibilities in 91% of cases.
- (d) Levels of contact with offenders were good. The frequency met or exceeded the national minimum standard in 91% of cases and facilitated the requirements of the sentence in 85%. We found examples of cases where the frequency of contact exceeded the minimum national standard, in order for the offender to participate in work carried out by the probation supervision centre. Group work was carried out to address work such as victim awareness, finances

and handling conflict. A health trainer, employed by the NHS, was also used to provide sessions for some offenders to deal with issues linked to alcohol abuse. The level of contact took account of the *RoH* and *LoR* in 83% and 84% of cases respectively. We thought that it was sufficient to promote the achievement of sentence plan objectives overall in 81% of cases.

- (e) Resources allocated to cases were consistent with national guidance and took account of the offender's *RoH* 81% of the time and their *LoR* 83% of the time. We thought that resources were consistent with the overall purposes of sentencing in 88% of the cases. Examples of resources used to address offenders' diversity needs were found in 84% of cases; these included access to childcare and transport.
- (f) Offender managers demonstrated their responsibility for the management of the whole sentence in 73% of cases. This was particularly clear in some of the PPO and integrated offender management teams where the offender manager effectively coordinated the work of several colleagues, including third sector drugs workers, police officers and trackers. We read examples of 'tasking' emails as the medium for ensuring that everyone knew who was to do what, and when. In addition, in some cases there was effective liaison between ETE link advisors, offender managers and tutors. Information was shared well both formally and informally.
- (g) Offender managers in Thames Valley were able to demonstrate a good level of communication in 78% of the cases where more than one worker was involved. In the same proportion of cases, communication was effective between all workers and the offender.
- (h) There was a strong emphasis on compliance, with offender managers monitoring attendance effectively 86% of the time. As a consequence, effective action was taken to secure compliance in 82% of the cases. Staff were employed as trackers for just this purpose. At one level, they undertook home and other visits either to locate an offender or to accompany them to an appointment. They also undertook motivational work with them. This could be under the auspices of a specified activity requirement 'Back on Track' that could be ordered in response to breach proceedings. We also found it delivered to those in danger of breach or recall.

Judgements about absences were appropriate 89% of the time (there were absences in 72% of the sample), consistent across 88% and clearly recorded in 83%. Breach or recall action was taken in 76% of cases where we thought it necessary. It was instigated on time in 81% of these and resolved swiftly in 76%.

- (i) Offenders were well matched to placements in 69% of cases subject to unpaid work requirements. An impressive range of placements was available, with placement managers taking responsibility for finding them and matching them to the offender profile. It was clear that 83% of the work undertaken was demanding and 81% of benefit to the community. Some, but not all, placements facilitated

skills development; this applied to 21% of cases in the sample. In one that we visited, offenders enjoyed the work renovating a football club's facilities; they could see the practical benefits to the community and how they had contributed to the improvements seen at the club. They found the work challenging but enjoyable. In particular, they appreciated the respectful relationship with the supervisor. The 20% of unpaid work hours available for ETE was well used across the area to develop work-related skills although we found that not all offenders were aware of the rule.

- (j) Transfers took place within the trust and between probation areas in 11 and 12 cases respectively. Almost all were well managed and were handled in line with national requirements.
- (k) The majority of case records were well organised and contained relevant documents. An exception to this was the ETE learning plan and, in some cases, MAPPA minutes. Recording of information by all workers was clear in most cases and reflected the work undertaken.

#### Areas for Improvement:

- (a) The timing and sequencing of interventions to address the *RoH* was appropriate 64% of the time; to address the *LoR* it was appropriate in 59% of cases.
- (b) Across the sample, the offender manager had ensured that all elements of the sentence plan were delivered in 66% of cases. There were 47 cases that had a requirement for an accredited programme. These had started in a timely way in 26 (55%), had started late in a further six and had yet to start in 15. Most of the delays and failures to start were due to offenders gaining employment or going into custody following a further offence or breach. The trust had taken a decision, with DOM approval, to reduce the number of programmes on offer in order to increase resources for the domestic abuse programme and for other interventions. For instance, they had ceased to provide the drink impaired drivers course. Some of the cases in the sample needed to return to court to have these requirements removed.
- (c) Whilst a review of sentence plans was technically undertaken in 78% of cases, in too many this amounted to pulling through the existing OASys without actually reviewing it. In some, this was done in the offender manager's absence to ensure a target was achieved. A thorough review of *LoR* was found within timescales in 65% of cases and of *RoH* in 69%. It was encouraging to see cases where offender managers had undertaken training and had changed their approach, to make reviews up to date and meaningful.

Offender managers were less good at responding to changes which might have an impact on the *LoR* and *RoH*, so required an early review; these were done in 51% and 48% of relevant cases respectively. Common changes that ought to have prompted a review were when a man with a history of domestic abuse was moving in to live with a new partner, or when an offender with a significant history of alcohol abuse and violence moved to live in a household with children.

In addition, reviews were not used sufficiently often to inform the new sentence plan and prioritise objectives for the next period; this was done satisfactorily in only around half of the cases in the sample. In ETE activity, action planning and the recording of individual learning and skills development were insufficient to motivate offenders and inform the future planning of their learning. An exception to this picture was in PPO cases where progress against the seven pathways was routinely reviewed and changes made to the programme as a result.

In 47% of cases we saw evidence in the file that the offender was able to participate in the review process. However, 73% of those offenders who completed the questionnaire said that they had felt fully involved in their review and a further 11% felt they had been partly involved.

- (d) Where the cases transferred in were high and very high RoH cases, a new risk management plan was required within five working days; this was achieved in six out of the eleven cases.

**2.2 General Criterion: DELIVERING RESTRICTIVE INTERVENTIONS (THE CONTROL ELEMENT OF THE SENTENCE PLAN)**  
*All reasonable action is taken to keep to a minimum the individual's RoH.*

**Score:**

**70%**

**Comment:**

**MODERATE** improvement required.

**Strengths:**

- (a) Despite earlier concerns about assessment and planning in child Safeguarding cases, we found that procedures had been used effectively in 77% of the relevant cases (23). Decisions were clearly recorded, acted upon and reviewed in the majority of them.
- (b) In all but two of the PPO cases there was an enhanced level of contact, including both constructive and restrictive interventions as described in Section 1.3.d above.
- (c) In almost all of the cases with restrictive requirements, these were fully monitored.
- (d) In statutory victim contact cases an offer of face-to-face contact was made to 77% of relevant victims and, in 69%, this was done on time. Statutory victim contact proceeded in half of the cases. From the information available to us, we were aware of an appropriate level of information exchange between the victim liaison officer, offender manager and prison in a majority of these cases. Most were offered the opportunity, where relevant, to provide a view about licence conditions and were kept informed about the conditions of release.

- (e) Home visits were routinely undertaken in a number of cases where they were needed. Almost all high and very high *RoH* cases were visited at home. This was less well done in child Safeguarding cases at 54%. In other cases where a visit was indicated, it was undertaken 61% of the time. Once visiting started, it was followed up to manage the *RoH* in 72% of relevant cases, 82% of the child Safeguarding cases and 76% of other cases, including domestic abuse and PPO cases.
- (f) We visited four of the approved premises in Thames Valley. The managers worked particularly well in engaging local partners, for example the police, in relation to managing the *RoH* posed by residents and the potential impact on the local communities. In all but one of the approved premises cases, we thought that effective use had been made of the period of residence to provide a proportionate restriction of liberty.
- (g) Recall and breach proceedings were used in 31 cases to manage an escalating *RoH*. In one licence case and five community orders we considered that this should have been done more quickly. In almost all cases the offender was given a clear explanation for the action. Efforts to re-engage them with supervision were made in 70% of licence recalls and 84% of breaches of a community order.

#### Areas for Improvement:

- (a) Offender managers did not actively manage the *RoH* sufficiently often. Changes were anticipated in 59% of the cases where evidence of likely change was present. Where change that might have an impact on levels of *RoH* did take place, they were identified swiftly in 68% of cases and dealt with appropriately in 60%.
- (b) We found a mixed picture of the effectiveness of MAPPA at Level 2. Six of the eight cases were thought to be effective overall. In five, there was evidence of an effective contribution by probation staff. In half, other agencies could have done better; there was a lack of commitment from some agencies in some cases, for example, in providing access to offender accommodation. Decisions taken in MAPPA were clearly recorded in half of the cases but meeting notes were not available in two. It followed that we could not see whether agreed actions had been acted upon and subsequently reviewed.
- (c) There were 99 cases where actual and potential victims were identified. Appropriate priority was accorded to their safety in 67% of them. Gaps included cases that were either not referred to MARAC where it was required, or where a referral had been made but not acted upon or followed up by the offender manager. We were made aware of a long waiting list for review at a MARAC in one LDU. In some other cases, inquiries to the domestic abuse unit were not followed up when there was no response to an initial inquiry. Conversely, we did read some positive examples of good joint working between offender managers and approved premises and prisons to secure victim safety.

- (d) The quality of work undertaken by middle managers to support their staff in high and very high *RoH* cases had improved slightly from the initial assessment stage, but had deteriorated slightly in child Safeguarding cases. In the first category, oversight was effective 64% of time, was carried out but was ineffective in 28% of cases; and there was no evidence of it happening in 8% (3 cases). There was oversight that was effective in 34% of the relevant child Safeguarding cases and ineffective in 19%. In 22 cases (47%) there was no evidence of management oversight.

**2.3 General Criterion: DELIVERING CONSTRUCTIVE INTERVENTIONS (THE HELP AND CHANGE ELEMENTS)**  
*Interventions are delivered that address criminogenic needs and the reduction of LoR.*

**Score:**

**70%**

**Comment:**

**MODERATE** improvement required.

**Strengths:**

- (a) Sufficient action was taken to help 67% of prisoners to identify and preserve community ties. In 82% of all cases, offender managers were able to identify supportive and protective factors to build on. In 78%, action had been taken to support the offender to retain or develop constructive community ties or relationships.
- (b) A high priority was given to offender learning although, as we have commented, this was not always well recorded in case files. The trust had sourced a good range of teaching and learning for offenders, all of which was of a satisfactory standard at least and some of which was good or outstanding. This included a range of opportunities in approved premises, where ETE mentors worked well with offenders to offer appropriate advice and guidance and deliver specific personal and skills development, for example, cookery classes. In 75% of the approved premises cases, the interventions were thought to be constructive, but they reflected sentence plan objectives in just 53%.
- In every case where an ETE intervention was delivered, this was seen to be appropriate to the needs of the offender and was found in all but four of the related sentence plans.
- (c) A sufficient level of intervention was directed at overcoming practical obstacles to community integration in 71% of cases. These included the various options for tackling illegal substance and alcohol misuse. We found a varying level of satisfaction amongst offender managers about the quality of provision in their LDU; this was consistent with what the senior management team told us.
- (d) In 79% of cases, arrangements were in place to prepare offenders thoroughly for interventions. Good use of mentors was made to

prepare them for programmes or ETE activity for example. Trackers supported PPOs and other offenders, for example, in drugs programmes. Arrangements to reinforce new learning or skills were less evident in almost half of the relevant cases.

**Areas for Improvement:**

- (a) Good quality interventions were available to address offending behaviour but they were not evidenced in the file sufficiently often. We saw evidence in two-thirds of cases that interventions had challenged offenders to take responsibility for their offending and, in 56%, that work to address victim awareness had been undertaken. This was despite the development of the 'Think Victim' workbook and the restorative justice scheme.
- (b) We were aware that the information, advice and guidance available were of a high standard but only saw evidence of this work in 57% of files. Where a learning need had been identified, arrangements for delivery of an appropriate intervention were made in 64% of cases and carried out in 43%.

**2.4 General Criterion: MANAGING DIVERSITY AND MAXIMISING OFFENDER ENGAGEMENT**

*The management of offenders' diversity needs facilitates effective engagement with the sentence.*

**Score:**


**82%**

**Comment:**

**MINIMUM** improvement required.

**Strengths:**

- (a) Offender managers were good at finding resources and adapting their approaches to maximise the likelihood of engaging offenders fully in supervision. We found this to be the case in 81% of all cases and in all but one of the approved premises cases. Offender needs had been effectively communicated to other workers in 80% of cases. Resources used included childcare provision during unpaid work, translation services and alcohol treatment. Offender managers proved to be as flexible as standards allowed; they changed reporting times and delivered elements of programmes on an individual basis to those unable to undertake some group work.
- (b) There were effective arrangements in place to support many offenders in engaging with their sentence plan. This was clear in approved premises, the PPO schemes and in ETE provision. In the latter, we observed that standards of behaviour were good and a high level of mutual respect was in place between offenders, tutors, supervisors and link advisors. Offenders felt safe and appropriate attention was paid to health and safety. Offender managers and other workers were able to demonstrate their commitment to their work with offenders in over 80% of cases.



In a similar percentage, we could see how they motivated and supported offenders throughout their sentence and reinforced positive behaviour. A positive working relationship had developed as a consequence in most cases. This was confirmed by most of the offenders who completed our questionnaire.

- (c) Over 50 offenders in the sample were identified as being vulnerable to some degree or to present a risk of self-harm. In 72% of these cases this was clearly communicated to all involved in the cases. In 84%, appropriate arrangements were in place to support and - where necessary and possible - to protect them.

Arrangements in the approved premises for Safeguarding vulnerable adults were judged to be good. There were several cases in the sample where specific effective arrangements had been made to monitor and protect individuals in the premises. In addition, there were also examples of effective communication between offender managers, prisons and approved premises.

#### **COMMENTARY on Implementation of interventions as a whole:**

The range of internal and external resources available for offender managers to use was impressive. However, whilst they appeared to be well used, they were not well recorded.

During the later stages of the cases read, we saw the positive impact of the training that all offender managers had undertaken to improve their planning, both in sentence plan reviews and in new risk management plans; we have reflected this in our findings. They were also completing the OASys' needs sections much better with up-to-date and accurate information.

### 3. ACHIEVING AND SUSTAINING PLANNED OUTCOMES

#### 3.1 General Criterion: ACHIEVEMENT OF INITIAL OUTCOMES (INCLUDING THE PUNISH ELEMENT)

*Offender managers adhere to the prescribed standards for requiring, promoting, and where necessary enforcing the order or licence.*

**Score:**

**65%**

**Comment:**

**MODERATE** improvement required.

#### Strengths:

- (a) The sentence was delivered as intended by the sentencing court in 79% of cases. Sentence plan objectives were partly achieved to date in 54% of cases and fully achieved in 13%.
- (b) Work to promote compliance was strong and we thought that every effort had been made in 90% of the sample to do this. Where enforcement was required, it had been undertaken 81% of the time.
- (c) Overall, we found that the way offender management was delivered in 69% of cases supported the achievement of planned objectives. In response to the questionnaire, 87% of offenders said that their work with the probation service had made them think more about their offending and how they might avoid it in the future. This was underpinned by continuity of offender management as 84% of cases had one or two offender managers at most, including the PSR author. Where there had been a change of offender manager, there was no disruption to the delivery of the sentence plan in most cases.
- (d) In 70% of the cases where there was an element of reparation, unpaid work or restorative justice, we saw a clear benefit to the community. This included a wide range of unpaid work projects. In addition, we read cases and interviewed victims involved in the restorative justice scheme; most of these interventions were positive in terms of victim satisfaction and in changes to the offender's attitude to their victim.

#### Areas for Improvement:

- (a) Despite a positive approach to compliance, only 65% of offenders were seen to be complying with all requirements of their sentence. This meant that very few had had their orders terminated early for good progress.
- (b) Since being sentenced, 3% had been cautioned for an offence and a further 29% of the sample had been convicted of an offence. However, there was evidence of a reduction in the frequency of offending in 43% of cases and in the seriousness of offending in 39% of those who were not first-time offenders.

<b>3.2 General Criterion: MINIMISING RISK OF HARM TO OTHERS (THE CONTROL OBJECTIVE)</b> <i>All reasonable action has been taken to keep to a minimum the individual's RoH.</i>	
<b>Score:</b>  <b>55%</b>	<b>Comment:</b>  <b>SUBSTANTIAL</b> improvement required.

**Strengths:**

- (a) MAPPA were used effectively in 75% of cases. Multi-agency child Safeguarding arrangements were seen to work effectively in 66% of cases although this meant that, in 17 cases, either an appropriate referral had not been made or had not been followed up appropriately.
- (b) The level of restriction imposed on residents in approved premises contributed positively to the management of *RoH* in all but one of the 21 cases.

**Areas for Improvement:**

- (a) Whilst all reasonable action had been taken to keep to a minimum the *RoH* in 74% of cases in the sample, this meant that there were 45 cases where the evidence did not support this. Where domestic abuse was a feature, the police domestic abuse unit had had reports of further incidents in just under half of the cases (21); it was of concern that in 16 further cases the offender manager had not checked and did not know if there had been any call out. The level of *RoH* was seen to have reduced in 29% of cases.
- (b) We saw evidence of a reduction in threats to victims in 37% of cases. It was disappointing that, despite investment in a 'Think Victim' toolkit that we saw being used with offenders in groups or individually, there was evidence of a consequent increase in victim awareness in only 36% of cases. In some cases, we were aware that this was because the offender manager did not go on to carry out a post-group or post-activity assessment of the offender's awareness.  
  
Despite this, 93% of the offenders who completed the HMI Probation questionnaire told us that they were more aware of the impact of offending on victims as a consequence of supervision.

**3.3 General Criterion: REDUCING LIKELIHOOD OF REOFFENDING (THE HELP AND CHANGE OBJECTIVES)**

*There is a measurable reduction in the LoR and/or the achievement of other positive outcomes that are known to promote the reduction of LoR.*

**Score:**

**49%**

**Comment:**

**SUBSTANTIAL** improvement required.


**Strengths:**

- (a) We saw evidence that appropriate support was given to 74% of cases in the inspection sample in order to help them overcome practical obstacles to leading an offence-free life. There was evidence of positive change in 45% of offenders' lifestyles and of positive demonstrable change in the attitudes and behaviour of 39% of them. Offender managers had encouraged 66% of offenders to engage with community organisations to address their needs; in 57% of the cases that had terminated or were coming to an end, we could see that an appropriate exit strategy had been put in place to assist the offender to help themselves.

The offenders in Thames Valley who completed our questionnaire told us that being under supervision had been of benefit to them in various ways. These included reducing their dependence on drugs and alcohol, benefiting from accredited programmes to address offending behaviour and learning new skills to make employment more likely.

- (b) The improvements in work-based skills, levels of employment, progress in learning generally and achievement of qualifications was not as high in the files we read as it appeared was being achieved more generally by offenders in Thames Valley. In the sample, there was evidence that 41% of offenders had made some progress in learning and skill development, that 15% had achieved a qualification and 16% employment. Reference was made earlier to levels of communication between offender managers and ETE staff.

However, Ofsted inspectors found that in the last year achievement by offenders was good. The number of offenders who started courses had improved over the last three years. Most who remained to the end of literacy and numeracy courses successfully achieved a qualification. Most offenders who accessed short accredited courses achieved that qualification. Offenders who had undertaken an ETE intervention as part of their sentence progressed well with around 21% achieving sustainable employment, 50% achieving a qualification and 80% accessing training or employment courses and developing a good range of skills. Some of the people in this last group could clearly see how improving their literacy skills had reduced their frustration with tasks such as form filling and job applications. Offenders who initially could only undertake learning sessions on an individual basis could see how their confidence had improved sufficiently well to take part in group learning sessions; this made participation in mainstream provision a practical option.

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- (c) In our view, there was evidence of some or significant progress in 49% of cases against the factors most closely linked to their offending. In the Thames Valley sample these were thinking and behaviour, alcohol misuse and illegal drug misuse.



**Area for Improvement:**

- (a) Resources had been used efficiently and effectively to achieve the outcomes for some offenders. However, reference has been made earlier to cases where existing resources were not used or were not recorded as being used.

## 4. LEADERSHIP AND STRATEGIC MANAGEMENT

### 4.1 General Criterion: EFFECTIVE LEADERSHIP MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY *Strong leadership contributes to public protection and reduction in LoR.*

**Comment:**

**VERY** effective in making good quality offender management more likely.

**Strengths:**

- (a) Thames Valley Probation began to operate as a trust two weeks before inspection fieldwork. Planning to achieve trust status had led to some changes but large-scale reorganisation had not been necessary. The current business plan (2009-2013) reflected national and regional priorities and was responsive to the diverse needs of a large area. This provided the strategic framework. Commitment to a consistent, if not identical, approach to service delivery across the five LDUs was central to the trust plan. An active process of identifying and addressing key business risks was managed at Board level.
- (b) LDU directors had authority devolved to them, including some finance, so that they could focus on local priorities. These were expressed in annual plans that were kept under regular review. At this level, directors were able to consult and negotiate practically with key partners in relation to offenders in their localities. Internally, a network of development groups that included practitioners and middle managers reviewed all aspects of offender management.  
Between 2006 and 2008, Thames Valley Probation was put by NOMS into 'special measures' and later subject to 'directed improvement'. A European Excellence Model self-assessment was undertaken on an annual basis. In 2008, results suggested that changes in senior manager structures had created a strong framework for internal accountability. Performance against national targets had been good for some time.  
We were impressed that the search for improvement in quantitative measures had not been achieved at the cost of quality. The trust had continued to address performance on many fronts and notable examples included: comprehensive training for middle and offender managers, a case discussion and audit quality development process known as 'TV Quips', performance outcome-focused objectives in appraisals and, not least, a good range of tools and resources for use by offender managers. In addition, they had responded positively to earlier inspection findings and had sought good practice guidance from other areas.
- (c) The Thames Valley Trust served a large and complex area, created in 2001 when probation areas were required to be co-terminous with police forces. These were the only two public bodies with a Thames Valley-wide remit. Each of the three counties served had its own LAA

and crime and disorder arrangements, which posed a practical challenge to a relatively small senior management team, for example, nine LAAs, drug and alcohol action teams and YOTs plus 16 CDRPs. The decision had been made to prioritise involvement of local directors at the LAA level. This was where decisions were made about local priorities that had an influence on access to services for offenders. Whilst the CEO and Head of Operations were active in trust-wide bodies, for example, the Local Criminal Justice Board, middle managers in LDUs acted as partnership managers in a semi-specialist capacity. We thought that this was an effective prioritisation of resources.

Most, though not all, of the partner organisations who came to meet us were satisfied with the level of representation by the trust in their areas of business. Examples of the success of this strategy were found in the inclusion of targets relevant to reducing offending behaviour in LAAs and multi-agency working to achieve these, for example, the Reading 'Breaking the cycle of offending' delivery group.

There was also evidence of the related development of services, for example, a women's centre and, in some areas, provision to address alcohol problems. In particular, there were successful multi-agency PPO schemes that were being developed into integrated offender management schemes combining statutory and third sector resources. Strategic partners also commented favourably to us on the trust's willingness to engage with the wider CDRP agenda, beyond their immediate brief.

Probation work had benefited over several years from involvement with the Thames Valley Partnership. This was a well respected third sector organisation that worked with criminal justice agencies, local authorities and local people to address crime and disorder. We were given examples of how it added value by, for instance, establishing a service to support the children and families of prisoners at Her Majesty's Prison Reading.

At the regional level, there was cooperation between areas (now trusts) in relation to approved premises and preventing violent extremism. There were six approved premises in Thames Valley (one of which was voluntary managed), which provided a significant resource for the region.

- (d) The trust contributed significantly to public protection strategic development with the Head of Operations currently chairing the MAPPA Strategic Management Board and also the NOMS regional public protection forum. Senior managers worked cooperatively at local and regional levels to develop strategies to address terrorism and domestic extremism through membership of the Prevent steering group. Arrangements were in place for semi-specialist offender managers, under the auspices of MAPPA, to supervise individuals identified as posing an extreme *Risk of Harm* to the public. Representatives who came to meet us described the trust as contributing actively to all aspects of public protection including a whole-family, integrated-service approach to addressing domestic abuse.

- (e) Sentencers and representatives from the courts service who came to meet us spoke with enthusiasm about liaison with the probation service at different levels. This was confirmed by the results of the recent annual sentencer survey. A sentencers' forum was well established; it included three resident judges as well as magistrates and met twice a year with probation staff; this set the agenda for a consistent approach to liaison at the local level. We heard evidence of a trust-wide, joined-up approach to magistrates' liaison and training and of examples of good practice being disseminated to other benches, for example, use of a letter rather than a summons for initiating breach proceedings. The point of this was to facilitate an earlier hearing in court and faster resolution of cases in order to re-engage offenders with supervision and to improve compliance. There was active involvement of sentencers and legal advisors in criminal justice developments, for example, opening the new women's centre and in MARAC development and domestic abuse courts. They appreciated, in particular, 'Back on Track' (work to address compliance) and the restorative justice requirement. We heard evidence of the success of the trust's demand management strategy as sentencers discussed the need to use the curfew or to avoid adding an accredited programme if the profile of the offender in question did not meet the sentencing target matrix.

**4.2 General Criterion: EFFECTIVE RESOURCE DEPLOYMENT MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY**  
*Deployment of resources contributes to public protection and reduction in LoR.*

**Comment:**

**VERY** effective in making good quality offender management more likely.

**Strengths:**

- (a) A review of all business processes was underway in order to improve efficiency and allow maximum investment in front line services. The post of Director of Business Development had been created (a change to an existing post) to complement that of Director of Operations. Offender management was well resourced in Thames Valley. Workloads were manageable, according to most offender managers interviewed by us, and they had access to a good range of internal and external resources. The profile of local needs was based on an analysis of OASys data and was kept up to date. Gaps in provision identified in the last inspection had been filled, for example, the development of toolkits for work with offenders on alcohol and victim awareness. Managers had responded to changing needs, for example, a growing Polish community and high levels of offender employment by moving resources accordingly.

- (b) Workload allocation reflected national and local priorities and was based on a points system. During the inspection we interviewed over 90 offender managers, 80% of whom felt that workloads were managed in a transparent way. In our inspection of cases we found that resources appropriately followed the assessed level of *Risk of Harm to others* and the Likelihood of Reoffending. Workloads were kept under review at individual, team and trust levels. Staff were moved, if necessary, to match changing need.
- There were some semi-specialist offender manager posts, for example, in the management of women offenders in one LDU and of PPOs across the trust. Supervision centres had been established in the larger offices; they permitted a group approach to offending behaviour work and were clearly not just a reporting facility. A rise in demand for the domestic abuse accredited programme led to a decision to reduce the numbers of other programmes available in order to address this need.
- (c) The sentencers who met us as part of the inspection were satisfied, in the main, with the numbers of probation staff available in court and the quality of their work. This was supported by results in the recent sentencer survey. Some specific examples were cited where staffing levels had been cut, which at times had an impact on the court's ability to order an FDR for completion on the day. However, the target of 70% of all PSRs being FDRs was being achieved or exceeded in most magistrates' courts and, according to a bench bulletin, most were produced on the day. Whilst some sentencers would prefer a return to previous staffing levels, it was clear to us that they were supportive of the Thames Valley ethos that it was better to do fewer things well than to try to do everything and fail.
- (d) External funding for a number of initiatives had been achieved through multi-agency cooperation. These included funding for tackling violent extremism, the development of a women's centre and integrated offender management. Whilst all such funding was time limited, longer-term sustainability was a shared responsibility. The offender learning and skills service provider had accessed funding on Thames Valley's behalf to extend access to ETE resources to offenders unable to make use of mainstream provision. Senior managers had a clear understanding of the impact of imminent changes to the funding of offender learning in the community and its potential consequence. Planning was taking place to locate alternative funding to maintain the provision. A strategic group, 'Thames Valley Offender Skills and Employment Partnership', had been established, bringing together a range of partners to achieve this.
- Managers worked collaboratively with local organisations to increase resources to address offender needs without extra funding. Examples included a debt service provided by the Citizens' Advice Bureau and an offender health project operating in two approved premises and tracker posts for the PPO schemes. In addition, the trust generated income from delivering accredited programmes to the local prison and the domestic abuse programme to men involved in child protection arrangements.

**4.3 General Criterion: EFFECTIVE WORKFORCE PLANNING AND DEVELOPMENT MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY**  
*There is a workforce strategy that promotes the development of all staff to meet service delivery outcomes.*

**Comment:**

**VERY** effective in making good quality offender management more likely.

**Strengths:**

- (a) The workforce strategy reflected the need to balance the budget and continue to reduce staffing levels over the current year. Compulsory redundancies had been avoided to date, through natural wastage. Forecasting addressed the potential for falling caseloads (through success of the demand management strategy) as well as maintaining the status quo. Staff turnover, particularly in the south and south-east of the area, had been a perennial problem, lessened to a certain extent during the economic downturn. A geographical allowance paid to staff permanently based in the worst affected office had had a positive impact. All of the trust's trainee probation officers had been appointed to permanent posts. There were plans to 'grow' the pool of local probation officers through the new qualifying arrangements as local staff were more likely to stay. Thames Valley is a culturally and ethnically diverse area. The workforce profile reflected this with black and minority ethnic staff well represented at senior and middle manager levels and amongst the probation services officer grade. Recruitment to probation officer posts was largely from outside the trust and was currently less diverse, although arrangements outlined above would address that.
- (b) Strategies were in place to move staff temporarily or on a permanent basis to fill significant gaps. A robust approach to managing sickness absence was having a positive impact on attendance at work, reducing absences to below the national average. Staff in offender management units felt responsible for ensuring the continuity of offender management. Pairing systems and close working facilitated effective cover for planned and unplanned absences. There was no sickness absence or maternity leave cover, so offender managers needed to absorb other caseloads for significant periods. Despite this, we did not hear about unmanageable workloads, though we understood that they had been higher than current levels. Judicious use was made of supervision centres in appropriate cases; these were able to deliver a 12-week programme to groups of offenders, or individual sessions as a brief intervention if required.
- (c) In discussion with offender managers and administrators we found a flexible approach to role boundaries. Where practical, case administrators were located in small groups with offender managers and worked actively with them to manage cases. Examples included reminders about deadlines and making contact with prisons. Some administrators were also conducting induction sessions as they were

done on a duty basis several times a week; they felt they had had adequate preparation to do this.

All staff were clear about lines of accountability. The appraisal system was used extensively to monitor the detail of performance against quantitative and qualitative personal targets. Supervision took place every four or six weeks, for most, and included professional support and development activity as well as accountability. Almost all offender managers interviewed by us spoke enthusiastically about the quality of their supervision and the positive impact it had on their work and professional development.

There had been significant investment in management training for middle managers over recent years. The programme was extensive and included sessions on good practice in absence management, performance management and discipline. There was also a series of workshops intended to boost their skills as managers responsible for offender management.

- (d) There was a costed learning and development plan that was aligned to the business plan. The plan included a comprehensive range of mandatory training for offender managers. This was actively monitored and amended as needs emerged. We saw positive examples of the impact of training, where sentence plans and risk management plans had improved over the course of a sentence. The trust employed a psychologist whose role was to train and support staff in offender mental health issues as well as to assist with advice in individual cases.

We met a number of administrators who said that their training needs were met and that there were opportunities to progress within the organisation. In addition, they were given the opportunity to go to court and to accompany offender managers in some interviews in order to boost their understanding of offender management.

#### 4.4 General Criterion: AN EFFECTIVE REVIEW AND EVALUATION REGIME MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY

*Outcomes from interventions are evaluated for their impact on public protection and reducing reoffending.*

**Comment:**

**SUFFICIENTLY** effective in making good quality offender management more likely.

#### Strengths:

- (a) Since earlier inspections, Thames Valley had developed a clear culture of continuous improvement. This was supported by an improved level of management information capable of supporting monitoring and review.

A performance development framework was in place; it ensured a monthly review of LDU performance against service level agreements and LAA targets. All staff, including the CEO, were aware of their responsibilities and were held accountable accordingly by their line manager, the Board or DOM as appropriate. Systems

were in place to ensure that results informed business planning. Building on a positive system in another probation area, 'TV Quips' was an area-wide case audit activity. Small groups of cross-grade staff read and assessed, in detail, the quality of offender management in individual cases. We saw examples of how this was fed back to offender managers in supervision and worked into appraisal objectives. There were clear benefits for the development of auditors and those audited in this system.

The impact of the restorative justice scheme had been researched and demonstrated a contribution to reducing reoffending generally and in violent offending specifically. Outcomes for offenders undertaking ETE activity were impressive.

The trust routinely undertook surveys of sentencers, victims and offenders. They used feedback to improve performance. A current example was that sentencers expressed dissatisfaction with what they saw as trivial reasons for some breach cases. As a result, the induction and rules for Community Payback had been changed and were about to be implemented. In relation to victims, training for offender managers had been amended to take account of the victim's voice; this had a positive impact on their approach to addressing the impact of offending on victims.

- (b) Directors had responsibility for leading on areas of business across the trust. They convened development groups of practitioners to ensure the development and dissemination of good practice across all interventions. In addition, there were offender managers who were designated as champions in certain aspects of work (for example, with women offenders) and who were expected to raise the profile of good practice in their locality.

Clear systems were in place for disseminating the learning from serious further offences to teams; these were monitored by the Board. We were given examples of improvements in practice made as a result, for example, work to improve case transfers and to identify associated boundaries.

**4.5 General Criterion: EFFECTIVE PROVISION OF ACCESSIBLE SERVICES MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY**

*The approach to the commissioning and delivery of services contributes to positive outcomes for offenders and work with victims. Services are accessible and of a high quality.*

**Comment:**

**SUFFICIENTLY** effective in making good quality offender management more likely.

**Strengths:**

- (a) Following the 2007 Offender Management Inspection, the trust undertook a needs analysis, which it updated annually. An imaginative approach to interventions designed to improve the quality of offender management had led to an impressive range of provision. In 80% of the cases we read in this inspection, the

services available for work with offenders were judged to be sufficient or excellent.

In such a large area it was inevitable that external provision would not be available evenly across all LDUs. Needs and gaps were kept under review and priorities changed accordingly. As an example, the number of accredited programmes was being gradually reduced; this was balanced by an increase in resources for tackling alcohol misuse and in relevant training for offender managers. Where there were gaps, we heard evidence that they were being addressed.

Resources, in the form of toolkits, had been developed for offender managers to use in supervision. These included a 'Think Victim' manual, a diversity manual, 'Crossing the Communication Divide' and an alcohol workbook. They were used in individual sessions and in the supervision centres in groups.

Thames Valley Probation had operated a restorative justice project for several years. Sentencers who came to meet us were proud of the scheme and were prepared to use it as a specified activity requirement in community orders. It was also used without a requirement with other offenders.

Other specified activity requirements included 'Back on Track', which could be used to improve compliance following a breach; it too was used with other offenders to support compliance at an earlier stage. It involved staff appointed as trackers motivating offenders to comply with requirements, for example, through home visits, particularly to those on the PPO scheme or subject to a drug rehabilitation requirement. There was also an ETE option that was delivered by Bridge to Employment, the in-house ETE workers.

We visited most of the approved premises and found a comprehensive range of constructive resources which had been developed to address life skills as well as offending behaviour.

- (b) As noted in section 4.1.d, the trust's approach was to work with other local bodies to develop or secure access to services for offenders. This ranged from high-level negotiations with primary care trusts and local authorities in relation to provision for alcohol and to support the PPO schemes, to liaison with Alcoholics Anonymous, who provided a relevant service for some individual offenders. Access to ATRs in Oxfordshire and Buckinghamshire was an example of the success of this strategy.

The trust played a significant role in addressing domestic abuse with other agencies, including courts. An ATR was being proposed in combination with the domestic abuse accredited programme where alcohol was seen as an aggravating factor. A new specified activity requirement was 'Caring Dads' for use with male offenders where domestic abuse was also connected with child protection issues.

In relation to ETE, there was evidence of a good level of strategic planning with a clear understanding of learning and skills within the probation context. Individual needs analyses indicated that approximately 25% of offenders were unlikely to be able to access mainstream provision for a variety of reasons, including the seriousness of their offence; a further 33% needed preparation and confidence building prior to entry. Targeting these groups of

offenders led to a focus on provision for those who would otherwise have been unlikely to access training. Ofsted inspectors found that minority ethnic offenders were well integrated into these groups.

- (c) Directors played an active part in commissioning services within local arrangements. Integrated offender management was a relatively new scheme where police and probation services worked together under the auspices of the CDRP to supervise the most prolific offenders on release from prison. It was an example of where national, regional and local priorities converged. Schemes were at different stages from consideration to actual investment and co-location. In Milton Keynes, police, voluntary agencies and probation staff worked together with statutory and non-statutory cases.

Involvement in commissioning within drug and alcohol teams and CDRPs was well established. Services were actively monitored and links made to reoffending data.

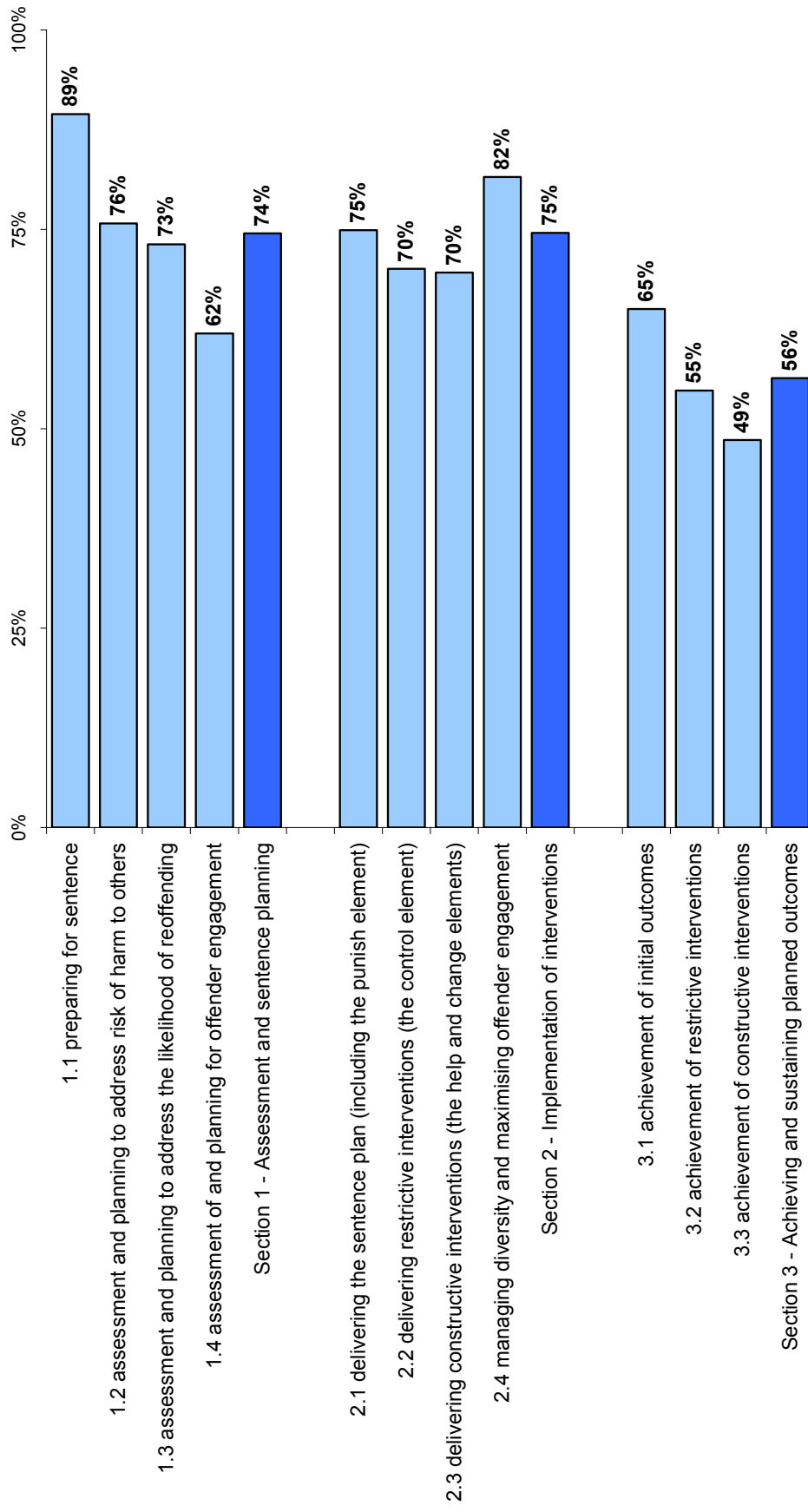
- (d) Overall, we formed an impression of a probation trust working effectively within local and regional structures to develop and secure access to services for offenders. This was supported by the file reading data. As an example, we have already acknowledged the success of securing employment for offenders, despite the downturn in the economy. The trust also had a consistent relatively high rate of offenders in stable accommodation at the end of supervision, again, despite local shortages. In some LDUs, health professionals were available to contribute to offender management, including in two approved premises. There were services to address illegal drug use everywhere (though of a variable quality) and access to alcohol services for some teams. Working to develop access to mainstream provision was a clear priority for senior managers.

**Area for Improvement:**

- (a) Whilst there were effective systems in place to monitor the progress in ETE of individual offenders, data about the performance and progress of different groups of offenders was not used to inform future planning.

## APPENDIX 1 Scoring of sections 1-3

### OMI 2 Thames Valley: General Criterion Scores - April 2010



## APPENDIX 2 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* and *LoR* and compliance & enforcement headline scores. A fuller detailed description is on HMI Probation's website at:

**[www.justice.gov.uk/inspectors/hmi-probation](http://www.justice.gov.uk/inspectors/hmi-probation)**

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 and planning to minimise *Risk of Harm to others*
- 1.3 Assessment and planning to reduce the likelihood of reoffending
- 1.4 Assessment and planning for offender engagement

### Section 2: Implementation of interventions

- 2.1 Delivering the sentence plan (including the *punish* element)
- 2.2 Delivering restrictive interventions (the *control* element of the sentence plan)
- 2.3 Delivering constructive interventions (the *help and change* elements)
- 2.4 Managing diversity and maximising offender engagement

### Section 3: Achieving and sustaining planned outcomes

- 3.1 Achievement of initial outcomes (including the *punish* element)
- 3.2 Minimising *Risk of Harm to others* (the *control* objective)
- 3.3 Reducing likelihood of reoffending (the *help and change* objectives)

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'). 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 **RoH headline score** 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'.

The **Likelihood of Reoffending headline score** is calculated as an average, over all the questions in the Offender Management Tool in sections 1, 2 and 3 relating to *LoR*, of the proportion of relevant cases where work was judged 'above the line'.

The **Compliance and Enforcement headline score** is calculated as an average, over all the questions in the Offender Management Tool in sections 1, 2, and 3 relating to compliance and enforcement, 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 Effective leadership makes good quality offender management more likely
- 4.2 Effective resource deployment makes good quality offender management more likely

4.3 Effective workforce planning and development makes good quality offender management more likely

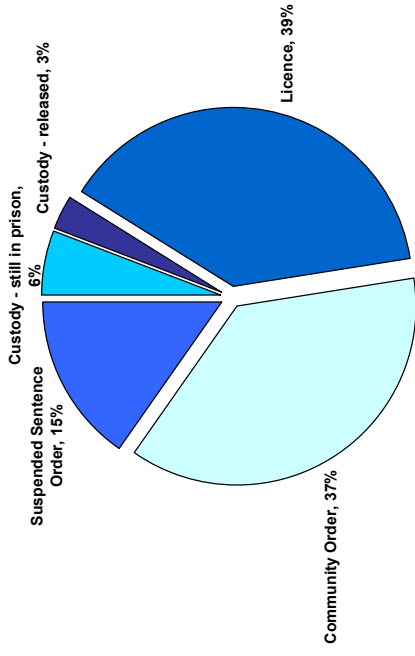
4.4 An effective review and evaluation regime makes good quality offender management more likely

4.5 Effective provision of accessible services makes good quality offender management more likely

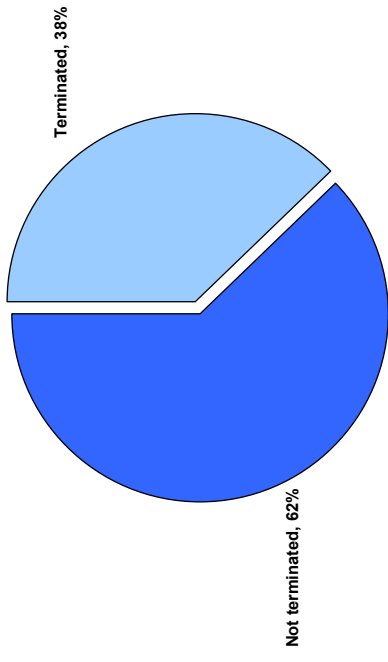
A score of either **very/sufficiently/not sufficiently/not effective** is assigned on the basis of the performance across the specific criteria which make up that criterion. (Details are given in the description on the website.)

# APPENDIX 3 Thames Valley: characteristics of representative sample of cases inspected

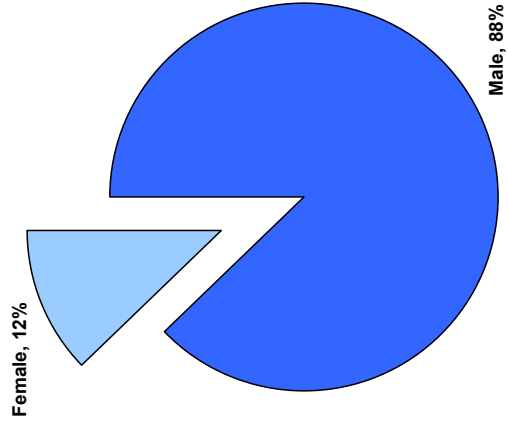
OMI 2 Thames Valley: Case types



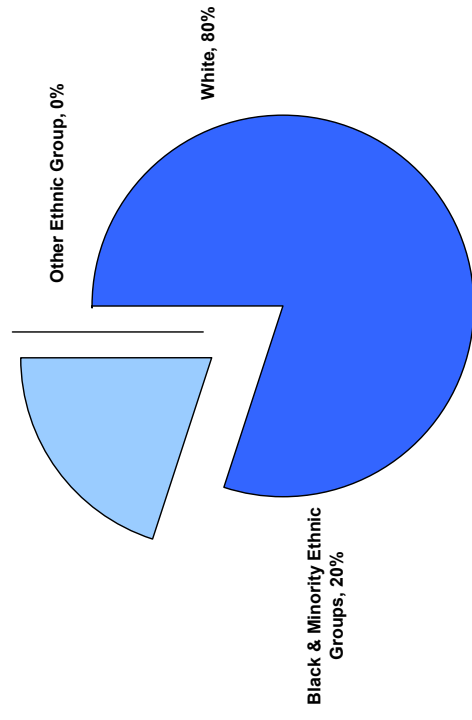
OMI 2 Thames Valley: Terminations



OMI 2 Thames Valley: Gender



OMI 2 Thames Valley: Race and ethnic origin



#### APPENDIX 4 Thames Valley Trust: background information

<b>Total caseload at 30 September 2009</b>	6,506
<b>White*</b>	78%
<b>Minority ethnic*</b>	22%
<b>Male</b>	90.4%
<b>Female</b>	9.6%
<b>* excluding cases for which information on ethnicity is not available</b>	

Total revenue budget year ending 2009     **£ 22.2 million**

Total revenue budget year ending 2010     **£ 22.0 million**

## **APPENDIX 5 Inspection model and arrangements**

### **Model**

The Offender Management Inspection 2 (OMI2) Programme entails visits to all NOMS Areas and trusts over a three-year period from September 2009. Its primary purpose is to assess the quality of offender management both in custody and the community, against HMI Probation's published criteria, in relation to assessment, interventions and outcomes. We inspect work in the community and in custodial establishments.

### **Methodology**

The main strands of our methodology are:

- Assessment of cases. We look at a representative sample of between 100 and over 200 individual offender cases approximately nine months old/terminated, made up of licences, community orders and custody cases including a minimum number of the following types of cases: high/very high *RoH*; PPOs; approved premises residents; statutory victim contact; and black and minority ethnic offenders. Cases are assessed by a team of inspectors and assessors (including staff from the trust itself). They conduct interviews with offender managers who are invited to discuss the case in depth and are asked to explain their thinking and to show where to find supporting evidence in the record. Case assessments are the primary source of evidence for OMI2.
- In addition, we hold meetings and interviews with staff and partners. Whilst the offender manager has responsibility for the supervision of each offender, other people from a range of organisations can contribute significantly to the management of each case. In order to collect representative views about the front-line operation of offender management, we meet with key workers who are delivering an intervention for or on behalf of probation and also case administrators.
- The supporting management arrangements in each trust are assessed via a mixture of written evidence and meetings. Those who are: chief officers, senior managers, board members, middle managers, strategic heads/leaders of a partnership agency, may be invited to attend a meeting. These meetings are designed to provide HMI Probation with evidence about the management and leadership of the trust.
- The views of users (victims, offenders and sentencers) are gathered by means of questionnaires and individual interviews.

### **Publication arrangements**

- Provisional findings are given to the trust at the end of the inspection week.
- A draft report is sent to the trust for comment four to six weeks later. Publication follows approximately 12 weeks after inspection. A copy is sent to NOMS, including the relevant Director of Offender Management 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 6 Role of HMI Probation and Code of Practice**

HM Inspectorate of Probation is an independent Inspectorate, funded by the Ministry of Justice and reports 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
- actively promote 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
- while carrying out our work we are mindful of Ministerial priorities and the Strategic Plan for the Criminal Justice System. We work closely with other criminal justice Inspectorates through the Criminal Justice Chief Inspectors' Group, and also with Inspectorates involved with work with children and young people.

Information on the Role of HMI Probation and code of practice can be found on our website:

**[www.justice.gov.uk/inspectors/hmi-probation](http://www.justice.gov.uk/inspectors/hmi-probation)**

The Inspectorate is a public body. Anyone wishing 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*

Data charts in this report are available electronically upon request.

## APPENDIX 7 Glossary

ATR	<i>Alcohol Treatment Requirement</i> as a condition in a community order
CDRP	<i>Crime and Disorder Reduction Partnership</i> : Multi-agency partnerships set up in each local authority in England with funding from the Home Office to achieve a community-based approach to crime reduction
CEO	<i>Chief Executive Officer</i> of a probation trust
CPS	<i>Crown Prosecution Service</i>
CRAMS	<i>Case Record Administration and Management System</i> : Electronic case record used in most probation trusts
DOM	<i>Director of Offender Management</i> : National Offender Management Service regional commissioner of services for the rehabilitation and resettlement of offenders from probation trusts and each prison in their region
DRR	<i>Drug Rehabilitation Requirement</i> as a condition of a community order
<i>Dynamic factors</i>	As distinct from <i>static factors</i> . <i>Dynamic factors</i> are the factors in someone's circumstances and behaviour that can change over time
<i>Estyn</i>	Her Majesty's Inspectorate for education and training in Wales
ETE	<i>Employment, Training and Education</i> : Work to improve an individual's learning, and thereby to increase their employment prospects
FDR	<i>Fast delivery report</i> : Short format Pre-sentence report, as distinct from a Standard Delivery Report
HMIC	Her Majesty's Inspectorate of Constabulary
HMI Prisons	Her Majesty's Inspectorate of Prisons
HMI Probation	Her Majesty's Inspectorate of Probation
<i>Interventions; constructive and restrictive interventions</i>	Work with an offender which is designed to change their offending behaviour and to support public protection A <i>constructive intervention</i> is where the primary purpose is to reduce <i>Likelihood of Reoffending</i> . In the language of <i>offender management</i> this is work to achieve the 'help' and 'change' purposes, as distinct from the 'control' purpose. A <i>restrictive intervention</i> is where the primary purpose is to keep to a minimum the offender's <i>Risk of Harm to others</i> . In the language of <i>offender management</i> this is work to achieve the 'control' purpose as distinct from the 'help' and 'change' purposes Example: with a sex offender, a <i>constructive intervention</i> might be to put them through an accredited sex offender programme; a <i>restrictive intervention</i> (to minimise their <i>RoH</i> ) might be to monitor regularly and meticulously their accommodation, employment and the places they frequent, whilst imposing and enforcing clear restrictions as appropriate to each case. NB Both types of intervention are important
ISP	<i>Initial Sentence Plan</i> : All cases should have a sentence plan. Usually this will be contained within the Offender Assessment System format
LAA	<i>Local Area Agreement</i> : a structure that brings together the chief executives of the various public bodies in a locality to share responsibility for delivering public services in their area
LCJB	<i>Local Criminal Justice Board</i> : This is a group made up of the <i>Chief Officers</i> of the five criminal justice agencies (police, probation, courts, prisons and the Crown Prosecution Service) in each of the 42 criminal justice areas
LDU	<i>Local delivery unit</i> : an operation unit comprising of a probation office or offices. LDUs are generally coterminous with police basic command units and local authority structures
LoR	<i>Likelihood of Reoffending</i> : See <i>constructive interventions</i>
LSCB	<i>Local Safeguarding Children Board</i> : set up in each local authority (as a result of the Children Act 2004) to coordinate and ensure the effectiveness of the multi-agency work to safeguard and promote the welfare of children in that locality
MAPPA	<i>Multi-Agency Public Protection Arrangements</i> : Probation, police, prison and other agencies working together locally to manage offenders who are of a higher <i>Risk of Harm to others</i>
MARAC	<i>Multi-agency risk assessment conference</i> : part of a coordinated community response to domestic abuse, incorporating representatives from statutory, community and voluntary agencies working with victims/survivors, children and the alleged perpetrator
NOMS	<i>National Offender Management Service</i> : The single agency responsible for both Prisons and <i>Probation Trusts</i>
OASys/eOASys	<i>Offender Assessment System/electronic Offender Assessment System</i> : The nationally designed and prescribed framework for both Probation and Prisons to assess offenders, implemented in stages from April 2003. It makes use of both <i>static</i> and <i>dynamic factors</i>

<i>Offender management</i>	A core principle of <i>offender management</i> is that a single offender manager takes responsibility for managing an offender through the period of time they are serving their sentence, whether in custody or the community. Offenders are managed differently depending on their <i>RoH</i> and what <i>constructive</i> and <i>restrictive interventions</i> are required. Individual intervention programmes are designed and supported by the wider 'offender management team or network', which can be made up of the <i>offender manager</i> , offender supervisor, key workers and case administrators
<i>Offender manager</i>	In the language of <i>offender management</i> , this is the term for the officer with lead responsibility for managing a specific case from 'end to end'
<i>Ofsted</i>	<i>Office for Standards in Education, Children's services &amp; Skills</i> : the Inspectorate for those services in England (not Wales, for which see Estyn)
<i>OGRS 3</i>	<i>Offender Group Reconviction Score 3</i> : A predictor of reoffending based only on static risks such as age, gender and criminal history
<i>OLASS</i>	<i>Offender Learning and Skills Service</i> : a service that integrates learning and skills provision for offenders in custody and the community with all offender learning and skills provision planned and funded by the LSC
<i>OMI 2</i>	<i>Offender Management Inspection 2</i>
<i>OMU</i>	<i>Offender Management Unit</i>
<i>PO</i>	<i>Probation Officer</i> : This is the term for a 'qualified' offender manager who has undertaken a higher education based course for two years. The name of the qualification and content of the training varies depending on when it was undertaken. They manage offenders posing the highest <i>Risk of Harm</i> to the public and other more complex cases
<i>PPO</i>	<i>Prolific and other priority offender</i>
<i>PS Plus</i>	<i>A prison and community-based project funded by the European Social Fund and NOMS. The project assisted offenders with ETE and accommodation</i>
<i>PSO</i>	<i>Probation Services Officer</i> : this is the term for an offender manager who was originally recruited with no qualification. From 2010 they may access locally determined training to 'qualify' as a PSO or to build on this to qualify as a Probation Officer. They may manage all but the most complex cases or those posing the highest risk of harm to the public depending on their level of training and experience.
<i>PSR</i>	<i>Pre-sentence report</i> : Includes both Standard Delivery Report and Fast Delivery Report
<i>REM</i>	<i>Race and ethnic monitoring</i>
<i>'RoH', 'RoH work' or 'Risk of Harm work'</i>	<i>Risk of Harm to others</i> : 'RoH work' is the term generally used by <i>HMI Probation</i> to describe work to protect the public. In the language of <i>offender management</i> , this is the work done to achieve the 'control' purpose, with the offender manager/supervisor using primarily <i>restrictive interventions</i> that keep to a minimum the offender's opportunity to behave in a way that is a <i>Risk of Harm to others</i> <i>HMI Probation</i> uses the abbreviation 'RoH' to mean specifically <i>Risk of Harm to others</i> . We use it instead of Risk of Serious Harm in order to ensure that <i>RoH</i> issues being assessed and addressed by probation trusts are not restricted to the definition given in <i>OASys</i> . The intention in doing this is to help to clarify the distinction between the <i>probability</i> of an event occurring and the <i>impact/severity</i> of the event. The Risk of Serious Harm definition only incorporates 'serious' impact, whereas using 'RoH' enables the necessary attention to be given to those offenders for whom lower <i>impact/severity</i> harmful behaviour is <i>probable</i>
<i>RoSH (Risk of Serious Harm)</i>	This is the label used for classifying levels of risk in <i>OASys</i> , where offenders are classified as either 'low', 'medium', 'high' or 'very high' <i>Risk of Serious Harm</i> , where serious harm is defined as "an event which is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible." (Chapter 8 of the Offender Assessment System Manual, July 2006). In this report, this term is used solely to refer to this process of <i>OASys</i> classification
<i>Safeguarding</i>	The ability to demonstrate that all reasonable action has been taken to keep to a minimum the risk of a child or young person coming to harm
<i>SDR</i>	<i>Standard Delivery Report</i> : a 'full' Pre-sentence report, as distinct from a Fast Delivery Report
<i>SLA</i>	<i>Service Level Agreement</i>
<i>SMB</i>	<i>Strategic Management Board</i> : the duties and responsibilities of the MAPPAs 'Responsible Authority' (police, probation and prison service) are discharged through the SMB. This consists of senior representatives of the agencies involved in MAPPAs and lay advisors
<i>Static factors</i>	As distinct from <i>dynamic</i> factors. <i>Static</i> factors are elements of someone's history that by definition can subsequently never change (i.e. the age at which they committed their first offence)
<i>TPO</i>	<i>Trainee probation officer</i>
<i>VLO</i>	<i>Victim liaison officer</i> : responsible for delivering services to victims in accordance with the trust's statutory responsibilities
<i>YOS/YOT</i>	<i>Youth Offending Service/Youth Offending Team</i>