

HM Inspectorate of Probation



# Plan 2005 – 2006

*Still Improving Quality*

April 2005

## **STILL IMPROVING QUALITY: HMI Probation Plan 2005-2006**

### ***Helping to Improve Effectiveness in the Criminal Justice System***

#### **PART ONE: OUR APPROACH**

##### **Context:**

1. A year ago it seemed likely that 2004-05 would prove to be the last full year of business for HMI Probation in our present form. The National Offender Management Service (NOMS) was becoming established, as part of a wider process to develop a more 'joined-up' Criminal Justice System (CJS). Alongside this development, there was a parallel policy to reform public service Inspectorates generally.
2. In the event, both our prospects and the timescale have changed. Now the likely eventuality is that instead of merging with HMI Prisons in 2005 there will now be a much larger change in the inspection arrangements in the Criminal Justice system as a whole, which is unlikely to take place before 2007. Hence we might have at least two further years of existence as a separate Inspectorate, with a need to see through our commitments to our existing inspection programme, including joint CJS inspection. But as part of the latter task, we additionally need to devise (in close association with HMI Prisons) an inspection methodology and programme for Offender Management, which would start early in 2006-07.

##### **Managing each offender or young person under supervision:**

3. Last year we stressed the central importance of what has hitherto been called 'case management of offenders'. We said that this was likely to be a bedrock of the future NOMS, providing a foundation for supervision which would be effective in terms of enforcing every sentence, making offenders less likely to reoffend, and minimising risk of harm to the public. We also said that case management of young people (not always formally-convicted offenders) would also continue to be part of the bedrock of practice by Youth Offending Teams (YOTs). Now the terminology is changing, as are some of the details of the definitions of some of the terms we use. We will now increasingly be referring to *offender management\** as being the central part of the *core correctional practice* of the future. These ideas are currently being developed and trialled within NOMS, and we expect to be able to develop our Offender Management Inspection (OMI) methodology in close liaison with this.
4. \**Offender management* is a term currently used in two different ways at different times. Sometimes it refers to everything done with a sentenced offender under the auspices of NOMS, and sometimes it refers exclusively to the role undertaken specifically by *offender managers*. It may therefore become necessary at some point for us to start to employ a term such as *offender managing* for the latter usage in order to address the specific subject-matter of *core correctional practice*.

5. Overall, we nevertheless see more continuity than change. We believe that at the heart of effective offender management will be the ability of the *offender manager* to engage skilfully with the offender or young person. This not only secures compliance with sentence enforcement, but also helps the offender or young person to make use of all the learning from the sentence to change their former behaviour. An inspection methodology which measures the quality of offender management is to a large extent in place now, and needs developing appropriately in order to inspect the work of NOMS and of Youth Offending Teams and Services in the future.

**The Inspectorate role:**

6. Our contribution to service improvement is entirely in line with the Government's stated expectation of how public service inspectorates should work, contained in the July 2003 policy document, *Inspecting for Improvement*. The ten principles set out in that document appear in the Annex to this Plan, and in accordance with them we in HMI Probation commit ourselves to the aim that:

***“Our inspections will not only measure the performance of our respondent organisations fairly and accurately, but will also maximise the likelihood of performance improvement.”***

7. The wording of this aim acknowledges the fact that as/when a respondent organisation (Probation Area or YOT) improves its performance following an inspection, the achievement belongs to that organisation. An Inspectorate cannot make performance improvement happen, but it can 'maximise the likelihood' of it happening. It does that through its own quality of engagement with the respondent organisation – in our case the NPS/NOMS and YOTs. This has implications both for our inspection methodology and for the interpersonal and communication skills of the staff who implement them.
8. Just as the heart of effective supervision of offenders and young people is the quality of engagement by offender manager with the offender, the heart of effective inspection of that work is the quality of engagement by inspectors with the offender managers and other people from the respondent organisations.

**Our evolving methodologies: -**

9. We have therefore noted the changes taking place in the world that we inspect and we have also outlined how we intend to ensure through our behaviour that we are “inspecting for improvement”. We therefore now need to describe how our methodologies may need to evolve to meet the specific needs of some of our current and future inspection programmes.

- **- Offender management:**

10. Our current methodologies for the Effective Supervision Inspection (ESI) and YOT programme and their related thematic inspections focus on what is actually delivered to offenders and young people under supervision. We measure the quality of assessments, interventions, and initial outcomes as a proxy variable for effectiveness. To do so we therefore seek evidence of how well each case is managed in terms of enforcement, likelihood of reoffending and risk of harm.
11. This methodology is currently employed on community sentences, and with licences following some custodial sentences, and also with the supervision of other young people by YOTs. But the same principles can be employed to assess the quality of integrated case-management of offenders serving almost all kinds of community and custodial sentences. We will develop this in close liaison with the development and implementation of NOMS's excellent Offender Management Model.
12. The strength of the methodology is that it focuses on services as delivered to the users by the NPS itself, or by YOTs, or by any of their contracted providers. We keep to a minimum our assessment of performance factors which are already comprehensively monitored within the organisation, and we only seek to arrive at findings re quality of management insofar as they relate closely to the quality of supervision.
13. As we said last year, we therefore plan to retain and improve our existing methodologies, but also to develop them so that they align as appropriately as possible to the developing NOMS and to the wider CJS. By this we mean that although the NPS (NOMS in the future) and YOTs are our core subject area, we are also becoming increasingly committed to inspecting their work in the wider context of the Criminal Justice System as a whole. We will assess their effectiveness not only as organisations in their own right, but as contributors to the overall effectiveness of the CJS.
14. Hence, in order to prepare for our working in a context with much wider horizons than hitherto, it will be essential that we develop methodologies for undertaking joint inspection work with the other CJS inspectorates. We will look to the Joint Inspection Secretariat to support this work, and on our part we are again making a specific resource allocation for joint CJS inspections, as outlined in Part Two.
15. In particular we expect to continue to use this approach to devise and implement an inspection programme for offender management (OMI). We are establishing plans in close association with our HMI Prisons colleagues to take this work forward.

- **- Youth Offending and Children's Services:**

16. We are also devising a parallel huge development in our other main inspection programme (in fact now easily our biggest single area of work), the joint inspection of Youth Offending Teams and Services, which we lead. The work of YOTs/YOSs straddles both the criminal justice system, because it is about preventing reoffending, and the world of children's

services, because they also have wider duties to protect children and enhance their quality of life. The new development arises from major changes in the world of children's services.

17. Following the development of inter-agency integrated Children's Services in each local authority area, Ofsted has led the development of a joint inspection programme to inspect the new Services. The new Joint Area Reviews (JARs) are being piloted early in 2005, and the new programme of conducting JARs in every relevant local authority in England is scheduled to start in September 2005.
18. There is an increasing commitment to 'joining up' the work of a wide variety of organisations that provide services to children, and also to minimise the potential so-called "burden" of inspections. Accordingly, the Inspectorates that scrutinise various aspects of children's services are committed to ensuring that, just as the services for children have to be provided in a joined-up way, they are also inspected in a joined-up way. The effect on our work is that 'Phase 3' of the YOT inspection programme now has to be much more closely co-ordinated with the new system of JARs. Our methodology will still focus core attention on work to reduce reoffending by the young people under supervision, but our inspection criteria and scoring will be more closely related to that of the JARs. Equally significantly, our schedule of inspections will become much more closely aligned to the schedule of JARs, though we will not be doing repeat inspections of the YOTs we have already inspected in this round.
19. At the same time, our criteria and scoring will also have to be congruent with the relevant inspection programmes and methodologies of our partner Inspectorates in Wales, where we inspect YOTs/YOSs but where the arrangements for inspecting other children's services are different.

**Our inspection criteria – a basis for self-assessment:**

20. One of the Government's principles for inspection is that they should provide a basis for self-assessment. Hence we aim for a shared understanding by all parties about 'what success looks like' in terms of good quality case management, and the specific details of how it will be measured. This is conveyed by means of our Criteria for our ESI inspections, which are published on our website. All our other inspections also have criteria, which are set out in open and transparent documents.
21. Our inspection criteria have two key aims:
  - In the short-term, to provide the basis by which each inspection defines what it is looking for
  - In the long-term, to provide a definition of quality (a definition of 'what success looks like') that our service delivery organisations can then look to, so that they know what they are aiming for. It is important that these definitions are maintained with reasonable consistency over a good length of time, because it takes time for an organisation to aim for them and achieve them. Hence we will aim to work with NOMS so that there is maximum possible overlap between their *performance standards* and our *inspection criteria*.

**Summary of review of 2004/2005:**

22. We will be providing a full review of our 2004/2005 Plan and programme in our Annual Report. In summary, however, our view is that on the whole 'Our Approach' as we outlined it in last year's Plan has been well received, and we are on course to deliver during the year both the quality and the quantity of inspections that we promised. Accordingly, it will be evident that this Plan for 2005/2006 is much more about continuity than a radical change in direction. Although we are now adapting to some significantly changing circumstances, the policy direction we set out last year – 'Our Approach' – continues to apply.

**Our overall approach - still:**

23. Based on this thinking, we therefore still believe that our inspections do and will continue to make an identifiable contribution to steady long-term improvement in the quality and effectiveness of front-line practice with offenders and young people. We will therefore:

- provide, by means of our inspection criteria, a clear and consistent definition of what good quality management of offenders and young people looks like.
- measure, fairly and accurately, the performance of each Probation area and YOT or YOS in achieving this, and
- both encourage and enable self-assessment by those organisations against our definition

24. By repeating such assessments, it will be possible both for us, and for the organisations themselves, to track improvements or otherwise in their performance over time. By paying attention to the way we engage with respondent organisations we aim to maximise the likelihood of them 'coming with us' down the path of pursuing steady continuous improvement in the quality of their management of offenders and young people.

25. With this approach, what we therefore still do is:

<b>Help to Improve ...</b>	By maximising the likelihood of respondents 'coming with us' to pursue steady continuous improvement
<b>... Effectiveness ...</b>	As measured by our scores for Quality of supervision
<b>... (in the) ... ... Criminal Justice System</b>	The NPS/NOMS and YOT/YOSs not only in their own right, but as contributors to the overall effectiveness of the whole CJS.

26. This is the long-term approach we set out a year ago, and which we are now continuing, albeit under changing circumstances. Hence we are *Still Improving Quality*.

**PART TWO: Our plan of work 2005 – 2006**

27. Our needs for the year ahead are again to keep our core work on the road, to ensure that we are promoting joint inspection practice, and to prepare for our future world, but to do so in keeping with the changing circumstances.
28. Accordingly, our work for the coming year has three themes:
- **A. Mainstream work:** Implementing on time and to a good standard our schedule of inspections of the NPS and of YOTs/YOSs. It should be noted, however, that both the YOT and the Supporting People inspection programmes are ‘joint inspectorate’ work
  - **B. Joint CJS inspections:** Undertaking inspections jointly with one or more of the other CJS Inspectorates, especially HMI Prisons, using the resources that we have specifically allocated for this purpose. In particular, this now includes the joint development with HMI Prisons of a methodology and a programme for the future inspection of offender management, in liaison with the development of NOMS
  - **C. Planning for future Inspection arrangements:** We will continue to make constructive contributions to the planning for future arrangements for Inspection in the CJS as a whole.
29. Most of our resources are our people, and broadly speaking they can be divided into three: Inspection staff, support service staff, and managers. For us as an Inspectorate, the first group is our ‘front line’ - the people who go out and directly deliver our service. They include for this purpose the inspectors whom we ‘purchase’ (either in person or from their employing Inspectorate) from our Fees budget.
30. Our projections are that for the year ahead this combined pool of Inspection staff can provide in total about 39,000 ‘deployable hours’ of service. This means that after deducting from their total contracted hours a number for what we call various ‘overhead’ activities we have 39,000 hours to deploy directly towards our planned activities for the coming year. Hence we project an allocation of these hours to each of the inspection programmes and other related work under the first two themes above – Mainstream and Joint Inspections.
31. Each of these inspections and other work programmes are managed by a named Assistant Chief Inspector – either Liz Calderbank, John Hutchings or Alan MacDonald. Support services for each programme (including information and ICT support) will be managed by Peter Ramell, who also supports the task of Andrew Bridges to lead the business management of HMI Probation as a whole.
- A. Mainstream work:**
32. We have scheduled a wide range of mainstream inspections for the coming year. It should be noted that some of these are inspections that we undertake jointly with other regulatory bodies, but with the special exception of the YOT programme they do not fit our definition of ‘Joint

CJS inspections.’ To each programme we have allocated a projected number of deployable hours by our Inspection staff, and a responsible lead Assistant Chief Inspector:

- **1. Youth Offending Team (YOT) inspection programme:** We are the lead Inspectorate among nine regulatory bodies that embarked in July 2003 on an innovative and complex programme to inspect all of the 150 or so YOTs or YOSs in England and Wales over a five-year period. The year 2004/5 saw us move into Phase 2 of the programme with an increased pace of inspections and closer co-ordination with the work of Ofsted and its other partners on inspecting Children’s Services. With Phase 3 starting in September 2005 we have therefore allocated a total of 16,000 hours to this work this year, with the whole programme continuing to be led by Liz Calderbank.
- **2. Effective Supervision Inspection (ESI) core programme:** Over a three-year period that started in June 2003, we are inspecting the quality of supervision delivered to offenders by all 42 areas of the NPS. The design and Criteria for the ESI programme are available on our website, where it can be seen that the methodology is quite labour intensive. In 2005/6 we are scheduled to visit the final 13 Probation Areas, together with follow-up inspections of varying scale to four other Areas. We have allocated 10,000 hours to this work, which is led by John Hutchings.
- **3. ESI Thematics:** While visiting each of the final 13 Probation Areas, we will also collect evidence for a scheduled Thematic inspection. For the first six of these areas the inspection will be on Unpaid Work (formerly community punishment), and for the last seven the theme will be substance misuse. During 2005/6 we therefore expect to complete two ESI Thematics in all, plus a ‘special’ on OASys, and we have allocated 2,750 hours to this work, led by John Hutchings.
- **4. Other Thematic inspections:** One of the effects of our changing focus is that we have been doing fewer ‘stand-alone’ thematic inspections than in the past, and in the end we did not do one in the current year. However, we did make a significant contribution to the joint inspection of Children’s Safeguards. In the coming year we are building into our planning the capability of undertaking an initial thematic inspection of junior Attendance Centres, commissioned and paid for the Juvenile Offenders Unit (JOU). We have allocated 1,000 hours for this purpose, and this task will be led by Liz Calderbank.
- **5. Supporting People:** HMI Probation is a contracted partner to the Audit Commission’s programme of inspections of the new Supporting People arrangements managed by some 150 responsible local authorities. Our contribution is to focus on how effective the partners are in each area in meeting the housing needs of offenders. The schedule is rigorous but not labour intensive. The AC is continuing to plan for 40 inspections in the coming year. Using a combination of employed and panel Inspectors we have allocated 3,000 hours to this work, which will continue to be led by Alan MacDonald.

- **6. Northern Ireland:** We contributed as invited to the first year of inspection work planned by the Criminal Justice Inspectorate in Northern Ireland, and we are expecting a further assignment, probably on governance issues, in the year ahead. We have allocated 400 hours to this work, which will again be led by John Hutchings.
- **7. Isle of Man and Channel Islands:** During 2004/2005 we undertook an inspection of the probation service on the Isle of Man, and in the year ahead we are now expecting to undertake an inspection in Jersey. We have allocated 350 hours for this work, which will be led by John Hutchings.
- **8. Quality Assurance and Validation:** During 2004/2005 we attempted to cover two separate needs:
  - Validation of NPS data – so that there is an element of independent analysis of NPS performance information.
  - QA of our own methodology – so that we can review and improve how we work, being accountable for our standards of practice and be able to respond properly to challenge.

Although the NPS Validation work was approached by all parties with a positive attitude, our role did not prove to be a satisfactory one in practice, and at the start of the year we are not making an allocation for this for 2005/2006. In order to 'QA' our own work, we are able to allocate only 500 hours for the year ahead, and this will again be led by Alan MacDonald.

- **9. Investigations and other work:** Periodically, we are asked to undertake investigations and other one-off inquiries. By definition it is not possible to plan this work at the beginning of the year, but for these and other contingencies we have allocated 2,000 hours, and the lead person for each task will be allocated as it arises.

#### **B. Joint CJS Inspections:**

33. During the year ahead, we again plan to undertake a number of inspections jointly with one or more of the other CJS Inspectorates. The specific plans for such work arise from planning undertaken under the auspices of the Criminal Justice Chief Inspectors' Group (CGJIG).
34. Prospective Joint CJS inspections for the coming year to date include the previously postponed inspection of Public Protection (we did one on Sex Offenders instead) and a number of joint 'CJS Area' inspections, which at this stage focus mainly on the Criminal Case Management process aimed at 'Bringing defendants to Justice'. The work with offenders who have been sentenced, whether to custodial or community sentences, will increasingly be covered by the arrangements for inspecting Offender Management, the work we are developing in close association with HMI Prisons.
35. We have specifically allocated for Joint CJS Inspection work, which will be led by Alan MacDonald, a total of 3,000 deployable hours for 2005/2006.

**C. Planning for future inspection arrangements:**

36. The Minister responsible for the Criminal Justice System, Baroness Scotland, has asked all of the relevant Chief Inspectors to contribute towards a process aimed at legislation to establish a single Inspectorate for the Justice system as a whole (including community safety).
37. Our position is that we stated in 2003 that we were in principle in favour of the idea of a single Inspectorate, and now that that has become the government's clear policy direction we are ready to make appropriate contributions towards enabling that to become established. We have further stated that we believe that the exercise should not consist of simply rolling together the five existing Inspectorates into one organisation, but instead the new organisation should be designed as one *Starting from First Principles*, the title of our paper on the subject published in March 2005.
38. This constitutes our ideas on the future arrangements, to be considered in their own right as a coherent package of proposed policy. Decisions after that are of course a matter for Ministers. Our aim will be to continue to contribute to this process, but in a way that remains consistent with our position of being an independent Inspectorate.
39. For us, this work will not require a specific allocation of hours by Inspection staff, as mostly it will be done by Andrew Bridges, supported by the ACIs.

**Projection of how our budget of 39,000 Inspection Staff hours will be spent:**

40. The 'pie chart' diagram to show how our budget of deployable hours will be spent appears this year in the single-sheet Financial Annex to this Plan.

**Staffing:**

41. We reprofiled both the establishment and the skillset of our Inspection and management staff in 2004/2005. Our YOT and ESI programmes are labour intensive, for sound reasons, with a heavy emphasis on detailed assessment of the case (offender) management practice experienced by identified samples of offenders and young people in each Probation area or YOT that we visit. Accordingly we recruited five Practice Assessors, who assess the quality of case (offender) management practice in individual cases under our main two area inspection programmes.
42. However, we still need the great majority of our Inspection staff to have maximum flexibility of deployment, and so all the remaining Inspection posts are for HM Inspectors. We have appointed some 'panel Inspectors' and also two on half-time contracts, which increases flexibility of deployment provided that these postholders are well organised in how they fit their HMI Probation duties in with their other commitments. We plan to continue to increase the flexibility of our resource deployment.

43. The other change we made a year ago was to forgo the Deputy Chief Inspector post - the money was redeployed into the front-line Inspection establishment. This was a factor in making us better resourced to undertake the demanding programme already outlined, notably for the increased pace of the YOT inspections that started from September 2004.
44. As for our skillset, we continue to be positive without being complacent. We have said that our Inspection staff have to be skilful at both:
- (a) Measuring accurately, on the basis of a fair assessment of the evidence, and
  - (b) Engaging well with the respondent, to maximise the likelihood of enabling performance improvement
- We will review our practice, and ensure that our Inspection and management staff continue to develop their skills in both these areas.
45. In relation to the first point (a) above, we have recognised that we could usefully improve our skills with quantitative methods, and have arranged a training programme for this purpose. In relation to the second point (b), we are developing a culture whereby the feedback from the people we inspect is shared with the relevant Inspection staff so that we can consider opportunities to improve our practice where appropriate.
46. This latter aspect is relevant to our support service staff too. Every member of HMI Probation staff can have an impact on the organisations we inspect by behaving constructively and by the quality of the way we engage with them. It's about not 'rubbing people up the wrong way' **unnecessarily**. Hence we will place a high importance on the interpersonal and influencing abilities of all our staff.
47. Our support services staff include colleagues who are also skilled at administration, information and ICT management, finance, publications and other relevant areas. They will continue to be located as they are now, with the majority in our Manchester premises in Trafford House. Peter Ramell manages our support services, and he and his team also aim to identify and meet the corporate and individual skill development needs of all our staff.
48. There are three areas of staff development attracting our current attention:
- ◆ **Diversity:** We aim to integrate the best principles of diversity into the management of our staff, as well as into our inspection practice. We devise and implement a separate annual plan for this purpose.
  - ◆ **Project Management:** As the year starts, we are embarking on two (soon to be three) projects to devise new inspection programmes – OMI, Phase 3 YOT inspections, and the Attendance Centre thematic – all at the same time as maintaining our existing report production commitments. This requires a higher level of project management on our part than we have previously demonstrated, and to this end we have adopted Prince2 methodology and identified Andy Bonny as our Project Manager. He is supported in his role both by the management team and by a contracted consultant, and in addition by relevant staff whom we are also training in Prince2 methodology.

- ◆ **Report design:** We will also explore in the coming year the design, writing and presentation of our reports, to see if we can make them more accessible to our readers, while still achieving our key aims. Our reports are already more concise and better benchmarked than they were in the past, but we have an opportunity as we design (virtually) three new inspection programmes to undertake a rethink about what our reports should look like. Shorter, plainer, crisper and more clearly presented reports are likely to be appreciated by Ministers and other readers, we believe.
49. Finally, we said last year that when facing the prospect of major organisational change people will naturally have concerns. Our aim was, and continues to be, that all our staff will be able to experience that we are delivering our programme of work effectively during the coming year, and are preparing positively for the future too. The future continues to look like a rapidly changing picture, so this is not easy - yet we believe that this underlying aim continues to hold good. That is the best platform that we can have, both collectively and individually, for making a success of ourselves in that future world.

**Summary:**

50. By the end of March 2006, we will have:

- a) Completed our schedule of inspections, including a number of Joint CJS inspections, on time, to budget and to a good standard (including a major overhaul of our YOT inspection methodology and schedule), and
- b) In close association with HMI Prisons, devised an inspection methodology and programme for Offender Management (OMI), ready to deliver a first inspection in May 2006

In doing so, we will have both maintained and developed our continuing long-term contribution to improving effective work with offenders and young people.

**Andrew Bridges**  
**HM Chief Inspector of Probation**  
**March 2005**

**APPENDICES (reference material):**

**HM Inspectorate of Probation: statement of purpose**

HM Inspectorate of Probation is an independent Inspectorate, funded by the Home Office and reporting directly to the Home Secretary. Our purpose is to:

- report to the Home Secretary on the work and performance of National Probation Service and of Youth Offending Teams, particularly on the effectiveness of work with individual offenders, children and young people aimed at reducing re-offending and protecting the public
- in this connection, and in association with HM Inspectorate of Prisons, to report on the effectiveness of offender management under the auspices of the National Offender Management Service as it develops
- contribute to improved performance in the NPS, NOMS and YOTs
- contribute to sound policy and effective service delivery by providing advice and disseminating good practice, based on inspection findings, to Ministers, Home Office staff, the Youth Justice Board, probation boards/areas and YOTs
- promote actively race equality and wider diversity issues in the NPS, NOMS and YOTs
- contribute to the overall effectiveness of the Criminal Justice System, particularly through joint work with other criminal justice and Government inspectorates.

Our annual Plan is agreed between the Home Secretary and HM Chief Inspector and is published on our website.

**Home Office Objectives**

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

More offenders are caught, punished and stop offending, and victims are better supported

and to the requirement to ensure that custodial and community sentences are more effective at stopping offending. We also contribute to the achievement of Objective III through scrutiny of work to address drugs and other substance misuse, and to other relevant CJS and children's services objectives.

**HMI Probation Code of Practice**

In undertaking its work HMI Probation seeks in particular to implement the Government's ten principles of inspection in the public sector, namely that inspection should:

- have the purpose of improving the service inspected
- focus on outcomes
- have a user perspective
- be proportionate to risk
- encourage rigorous self-assessment by the managers of the service inspected
- use impartial evidence

- disclose the criteria used to form judgements
- show openness about inspection processes
- have regard to value for money
- continually learn from experience

In seeking to achieve its purpose and meet these principles, HMI Probation aims to:

- ▣ undertake its work with integrity in a professional, impartial and courteous manner
- ▣ report and publish inspection findings and recommendations for improvement in a timely way
- ▣ promote race equality and wider diversity issues in all aspects of its work, including within its own employment practices and organisational processes
- ▣ minimise any additional work arising for Probation Areas or Youth Offending Teams as a result of the inspection process.

In undertaking its work HMI Probation is 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 young people. In addition, through a Probation Inspection and Audit Forum, HMI Probation works closely with the Audit Commission, the National Audit Office and the Home Office Audit and Assurance Unit.

### **Extracts from *Reducing Crime – Changing Lives*, the Government's response to the Carter report:**

*A new approach is needed to ensure offenders are punished for their crimes, the public is protected and the appropriate help is available to reduce re-offending. This will ensure the system is focused on the ultimate goals of reducing crime and maintaining public confidence.*

*We agree with this vision which is entirely consistent with the reform programme we have been pursuing and the new sentencing framework created by the Criminal Justice Act ...*

#### *A New Approach to Managing Offenders*

*A National Offender Management Service should be established, led by a single Chief Executive, with a clear objective to punish offenders and help reduce reoffending. Within the service there should be a single person responsible for offenders. This would be separate from day-to-day responsibility for prisons and probation. This new structure would break down the silos of the services. It would ensure the end-to-end management of offenders, regardless of whether they were given a custodial or community sentence ...*

*... We will ... introduce a new National Offender Management Service (NOMS) with responsibility for both punishing offenders and reducing offending. The new service will provide end-to-end-management of offenders, regardless of whether they are serving their sentences in prison, the community or both.*

**Government's Policy on Inspection in the Public Service: July 2003**

HMI Probation took note of the Government's ten principles of inspection, published in *Inspecting for Improvement* in July 2003. These place certain broad expectations on inspection providers and on the departments sponsoring them, and as indicated we have also built them into our Code of Practice. We give account of our approach to implementing these ten principles as below:

1. *The **purpose of improvement**. There should be an explicit concern on the part of inspectors to contribute to the improvement of the service being inspected. This should guide the focus, method, reporting and follow-up of inspection. In framing recommendations, an inspector should recognise good performance and address any failure appropriately. Inspection should aim to generate data and intelligence that enable departments more quickly to calibrate the progress of reform in their sectors and make appropriate adjustments.*

We aim to achieve this, not only by measuring fairly against open criteria, but also by our commitment to behaviour that 'maximises the likelihood' that respondents will come with us on the path to continually improving their performance.

2. *A **focus on outcomes**, which means considering service delivery to the end users of the services rather than concentrating on internal management arrangements.*

Our inspection methodology for both ESI and YOT inspections focuses on what has been delivered to the offender or young person (primarily in terms of Quality of Assessment, Interventions and initial Outcomes).

3. *A **user perspective**. Inspection should be delivered with a clear focus on the experience of those for whom the service is provided, as well as on internal management arrangements. Inspection should encourage innovation and diversity and not be solely compliance-based.*

A significant element within our methodology is to interview and listen to the perspective of the offender or young person, and the parents of the latter.

4. ***Proportionate to risk**. Over time, inspectors should modify the extent of future inspection according to the quality of performance by the service provider. For example, good performers should undergo less inspection, so that resources are concentrated on areas of greatest risk.*

We do not support the idea of offering 'inspection holidays' as a way of implementing this principle, but we strongly support the idea of varying intensity of inspection according to identified need. Hence we are conducting follow-up inspections only where a Probation Area falls significantly short of the required criteria. In the case of YOTs, the programme of interviews with managers and staff is tailored to the issues identified from our analysis of the cases examined during the first fieldwork week.

5. *Inspectors should encourage rigorous **self-assessment** by managers. Inspectors should challenge the outcomes of managers' self-assessments, take them into account in the inspection process, and provide a comparative benchmark.*

We do this partly by asking managers to submit evidence in advance of the inspection, to demonstrate that they have met the required criteria. Also, the criteria and guidance published on our website enable any practitioner or manager to assess his or her own practice at any time.

6. *Inspectors should use **impartial evidence**. Evidence, whether quantitative or qualitative, should be validated and credible.*

Evidence has to consist of more than hearsay, and our Guidance provides a framework for decision-making to enable similar evidence to be interpreted consistently, even by different inspection staff in different locations.

7. *Inspectors should disclose the **criteria** they use to form judgements.*

Our inspection criteria are published on our website.

8. *Inspectors should be **open** about their processes, willing to take any complaints seriously, and able to demonstrate a robust quality assurance process.*

Our behaviour is such that we are able to explain at the time the reasoning for the scores we have awarded, and respond to questions to that effect. We have responded to questions and concerns that have been put to us in the last year. We also take the initiative in actively reviewing aspects of our methodology, so that we can be as confident as possible that our judgements are fair and accurate.

9. *Inspection should have regard to **value for money**, their own included:*

- *Inspection looks to see that there are arrangements in place to deliver the service efficiently and effectively.*
- *Inspection itself should be able to demonstrate it delivers benefits commensurate with its cost, including the cost to those inspected.*
- *Inspectorates should ensure that they have the capacity to work together on cross-cutting issues, in the interests of greater cost effectiveness and reducing the burden on those inspected.*

We assess whether the interventions with each offender are proportionate both to cost and to the offender's individual need. We recognise that our methodology is (necessarily) labour intensive, and in March 2005 we published a case study that analyses both the benefits and the costs of an illustrative inspection, including the costs to the inspected body. We not only undertake joint inspections with other CJ inspectorates, but we also co-ordinate our other work to avoid, for example, rapidly successive visits by ourselves and another scrutiny body whenever possible. We have become full members of the Local Services Inspection Forum (LSIF) and of its inspection database for this purpose because of our YOT inspection work, and we have also started a databank for the Probation Inspection and Audit Forum to co-ordinate with Audit bodies our visits to Probation Areas.

10. *Inspectors should **continually learn** from experience, in order to become increasingly effective. This can be done by assessing their own impact on the service provider's ability to improve and by sharing best practice with other inspectors.*

We seek feedback on our individual interviews with the staff of inspected bodies, which we use to review and renew both our corporate and individual skills and methods. We receive corporate feedback on our Probation inspections as a whole, collected by the Probation Boards' Association. By these and other means we monitor our own impact on our inspected bodies, and keep our own practice under regular review, both as part of our normal programme, but also in joint work with other inspectorates.

### Financial Annex to HMI Probation Plan 2005/06: Summary of Activities

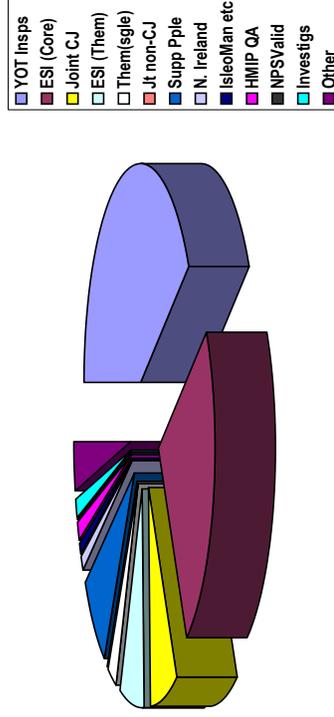
The first box below divides our work into 'Overheads' and 13 other 'Activities'. Each Activity has an allocation of 'Deployable hours', and some also have an allocation for fees. Deployable hours are the non-overhead hours of Inspection staff allocated to each Activity; they carry with them the relevant proportion of Management and Support service staff hours. Hence it can be seen how the allocations of Deployable hours, and of Fees, lead to the projected production of c100 reports in 2005/6 (but these are of a very wide range of scope indeed).

Code	Lead mgr	YOTI	YOTI LC	ESIC (Core)	Joint CJ	ESI (Them)	Them(s)gls	Jt non-CJ	Supp Pple	N. Ireland	IsleofMan etc	HMIP QA	NPSValid	INVS	Other	TOTAL
AMB	OVHD	£8,250		£0		£0	£15,000	£0	£16,000	£0	£0	£0	£0	£0	£11,250	£189,000
Hrs not		3,500					500		600						400	5,000
Hrs bought		12,500		10,000	3,000	2,750	500		2,400	400	350	500		600	1,000	34,000
HrsBudget		16,000		10,000	3,000	2,750	1,000		3,000	400	350	500		600	1,400	39,000
Total hrs																
OUTPUTS:																
No.: Inspis				17	7	3	1		40	1	1			1		101

### HMI Probation Budget 2005 - 2006: Summary

Allocated budget for: 2005/6	£3,250,000
Probable income from Audit Comm	£165,000
Possible income from N Ireland	£5,000
Possible income from Isle of Man, Channel Islands	£175,000
Projected total income (A in A)	£50,000
Transfer from JOU for Attendance Centre inspection(s)	£8,000
Transfer from PPO for Trafford House Support Service	£8,000
<b>PROJECTED TOTAL HMI PROBATION BUDGET</b>	<b>£3,483,000</b>
Total cost of HMI Probation Managers	5 £470,769
Total cost of Inspection staff (providing 34,000 hours)	28 £1,642,822
Total cost of Support Service staff	16 £396,582
Contribution to AH common resource	£5,000
<b>Total pay:</b>	<b>£2,515,173</b>
Fee paid staff: (variations in costs per hour)	
YOTI Healthcare Commission: 1500 hrs (150 days @ £350 ave)	£52,500
YOTI Ofsted: 1500 hrs (150 days, split formula)	£66,000
YOTI Wales SSI: 450 hrs (nil for Estyn)	£15,000
YOTI HMI Prisons: 50 hrs	£5,000
THSG Attendance Centre inspection(s): 500 hrs	£15,000
SUPP Supporting People: 600 hrs (64 days at £250)	£16,000
OVHD Overhead (or Other contingencies)	£19,500
<b>Total Fees:</b>	<b>£189,000</b>
<b>PROJECTED TOTAL HMI PROBATION PAY COSTS</b>	<b>£2,704,173</b>
Accommodation (inc fuel, utilities) - Trafford House	£125,000
RAS and IT (subject to decisions re options)	£66,000
Printing, repro, copiers, publications	£2,000
Refreshments / Hospitality	£6,000
Stationery	£33,000
Telecoms, Voice etc	£20,000
Postage, Freight, Courier	£5,000
Training	£45,000
Travel & Subsistence (Subject of separate analysis)	£415,000
Joint Inspection Secretariat	£16,000
Promotion & Development (OCE)	£45,000
<b>PROJECTED TOTAL HMI PROBATION NON-PAY COSTS</b>	<b>£778,000</b>
<b>PROJECTED TOTAL EXPENDITURE</b>	<b>£3,482,173</b>

### Allocation of 'Total deployable hours'



**Notes:** YOT inspections, using 16,000 hours, constitute 40% of the Total deployable hours (Funded partly by 2003 budget increase, & partly by re-allocating our existing resources.) Effective Supervision Inspections of the NPS, using 10,000 hours, constitute 25% Joint CIS inspections, and Supporting People, each take up 8%

#### Unit costs:

HMI Probation uses the Absorption method to calculate unit costs.

Each deployable hour carries its share of the overheads for the Inspectorate as a whole. Hence the total cost per person-hour when inspecting can be calculated by dividing:

Total Planned Expenditure  
Total deployable hours

£3,482,173  
39,000

**£89.29 per hr**

to give a **Total cost per 'inspection hour' per person of**