



# A report on Offender Management in Surrey

An inspection led by  
HM Inspectorate of Probation

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## **FOREWORD**

Surrey Probation Area demonstrated in its Offender Management Inspection a range of factors indicating competent performance and an attendance to the quality agenda. Strong and effective leadership was evident, as was a determination to grow a forward-looking and outward-focused organisation. Impressive inter-agency work in a number of spheres was a hallmark, as was the careful attention to diversity issues in a way which had a direct positive impact for offenders and the community.

The area showed particular strengths in the assessment of offenders, including some pleasing results for Risk of Harm work at this early stage of the offender journey. However, there were challenges too: the reliable delivery of the required interventions, including the ongoing monitoring and review of Risk of Harm needed further attention. There was confusion about the work required with prolific and other priority offenders who were not consistently receiving a premium service.

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## **ACKNOWLEDGEMENTS**

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## **LIST OF ABBREVIATIONS/ACRONYMS**

ART	Aggression Replacement Training
ATR	Alcohol Treatment Requirement
CO	Chief officer
CRAMS	Case Record Administration and Management System
DAAT	Drug and alcohol action team
DID	Drink Impaired Drivers
DRR	Drug rehabilitation requirement
EEM	European Excellence Model
ESF	European Social Fund
ESI	Effective Supervision Inspection
ETE	Employment, Training and Education
FDR	Fast delivery report
HMI Probation	Her Majesty's Inspectorate of Probation
HQ	Headquarters
HR	Human resources
IDAP	Integrated Domestic Abuse Programme
IPP	Indeterminate Public Protection
IPPF	Integrated Probation Performance Framework
ISP	Initial sentence plan
LAA	Local Area Agreement
LCJB	Local Criminal Justice Board
LSC	Learning and Skills Council
MAPPA	Multi-Agency Public Protection Arrangements
NACRO	National Association for the Care and Resettlement of Offenders
NTA	National Treatment Agency
NOMIS	National Offender Management Information System
NOMS	National Offender Management Service
NPS	National Probation Service
OASys/eOASys	Offender Assessment System/electronic OASys
OGRS2	Offender Group Reconviction Score2
OMI	Offender Management Inspection
OSAP	Offender Substance Abuse Programme
PO	Probation officer
PPO	Prolific and other priority offender
PSO	Probation service officer
PSR	Pre-sentence report
RoH	Risk of Harm
ROM	Regional offender manager
SDR	Standard delivery report
SFO	Serious further offence
SLA	Service Level Agreement
SMB	Strategic Management Board
SMT	Senior management team
TPO	Trainee probation officer
VLO	Victim liaison officer

## **SUMMARY**

### **Assessment and Sentence Planning**

Reports to court made a positive contribution to the sentencing process. They were generally of a good standard and were received well by sentencers. The likelihood of reoffending was comprehensively and accurately assessed, in a timely manner, in most instances. Positive influences on offenders, such as supportive and pro-social factors, were identified in almost all relevant cases. Overall, the diversity needs of offenders were assessed well, and where disadvantaging factors had been identified plans had been put in place to tackle this in almost all cases. More attention did need to be given, though, to skills for life screening, and subsequent full assessment where this was needed. Whilst case tiering was evident in all instances, it had not always been undertaken in line with national guidance. In particular, in prolific and other priority offender cases, tiering was based on the level of Risk of Harm posed to others, in accordance with the area's policy on allocation of staff resources. Some elements of sentence planning were undertaken well, including planned contact levels and ensuring offenders fully understood the requirements of their sentence and penalties for breach. Further development was needed to ensure that the sentence plan fully reflected the interventions planned and their sequence, and the role of other workers. Offenders also needed to be involved more in the planning process.

### **Implementation of Interventions**

Overall, offenders had been prepared sufficiently for interventions, though there was less evidence of new skills being reinforced afterwards. Good communication between all workers involved in delivery of the sentence plan was apparent in most cases, with the offender manager coordinating the input. Sentence plans were reviewed on time in most instances, and offender managers' commitment to their work with the offender was demonstrated clearly in many cases. In the licence and custody samples cases there was insufficient contact with prisons and with prisoners to prepare them for release, and activity undertaken in custody, such as substance misuse work or education, was not always followed through in the community.

Enforcement of orders was very good, with breach action taken appropriately and in a timely manner in almost all instances where it was needed. A positive range of unpaid work placements was evident and most were judged to be of benefit to the community. There were some good examples of linking offenders with community resources, including work on housing, debt, employment and health issues, although needs in relation to skills for life were not always being met. Constructive interventions challenged offenders to accept responsibility for their offending in most cases, although the commencement of accredited programmes was not always consistent with the sentence plan. Further developments were needed in work with prolific and other priority offenders to ensure that they received the premium service required. Overall, the diverse needs of offenders had been properly addressed, including issues relating to disability. The quality of case recording generally was good.

## **Achievement and Monitoring of Outcomes**

The majority of offenders had complied with the requirements of their sentence and few had been reconvicted or cautioned six months into their period of supervision. In almost all cases, resources allocated were consistent with assessed Risk of Harm and likelihood of reoffending, although prolific and other priority offender status was not always matched with appropriate increased resource. In terms of the achievement of sentencing objectives, those relating to *punishment* and *control* were being achieved most consistently. Offender Assessment System data had been re-scored in most cases, giving some evidence of progress in respect of priority need. However, there was room for improvement in demonstrating positive changes in offenders' attitudes and/or behaviour, and reduction in the seriousness or frequency of offending. More attention needed to be paid to structured sentence planning throughout the sentence.

## **Leadership and Strategic Management**

The area was forward-thinking and ambitious in its approach, with strong leadership and a focus on performance improvement; all but two national targets had been met at the half-year point. Liaison arrangements with sentencers were generally effective and there was overall sentencer satisfaction. Outward-looking, the area had a strong commitment to collaborative work with partner agencies from both the statutory and voluntary sector, which was clearly valued by them. This included a high level of engagement with the Local Criminal Justice Board and appropriate strategic commitment to public protection generally. The area's contribution to the work of the South-East Probation Region was viewed very positively, especially bearing in mind its small size. Whilst there was strong strategic commitment to diversity issues, provision in respect of skills for life, and of information, advice and guidance, was not meeting all offenders' needs.

The offender management model had been implemented and the area made extensive use of its probation service officer (offender manager A) staff. Overall, resources were deployed appropriately, though with development needed in fully implementing the prolific and other priority offender strategy, as indicated above. Attention was being paid to workforce planning in the short and longer term, and staff training and development needs were being met in the main. Staff supervision and appraisal arrangements were generally good, with a high level of staff satisfaction with the quality of supervision.

Additional focus was needed on the review and evaluation of outcomes of interventions generally, including in the use of service user feedback. There was active involvement in commissioning services in line with the regional plan, and good use of data from the Offender Assessment System to analyse need and chart current provision against gaps. There were positive partnerships in place with a number of voluntary and community sector agencies, and the area was itself commissioned to deliver Drug Rehabilitation Requirement services. Provision covered a range of need, and additional services used with offenders were rated highly overall. This was particularly in respect of employment, training and education services, where additional resources for work with offenders had been achieved through accessing the European Social Fund. Whilst there were good relationships at strategic level with local prisons, the effectiveness of working arrangements between offender managers and prisons needed further attention if offender management 'through the prison gate' was to succeed.

### **Risk of Harm**

Risk of Harm classification was accurate in almost all cases, and the overall quality of assessment was sufficient in most instances. However, risk to children was not always represented appropriately in relevant cases. Risk of Harm classification was communicated well to staff and to external partner agencies, and in most instances this was also the case with Multi-agency Public Protection Arrangements status. Whilst effective management involvement in the assessment of high Risk of Harm cases was evident in most relevant cases in the community, this was not sufficient in all cases where child safeguarding was an issue. The risk management plan was structured in the required format in most cases, but was fully comprehensive in under a half.

Reviews of Risk of Harm were being undertaken regularly in most cases, although ongoing planning to minimise the risk to others needed attention, especially in relation to risk to children, prisoners and staff. Home visits had not been made sufficiently frequently to monitor child safeguarding concerns or keep Risk of Harm to a minimum. Whilst a high level of satisfaction with the work of the Victim Contact Unit was expressed by those we surveyed, more could be done in relation to victim awareness work with offenders and to some aspects of victim safety. Where restrictive interventions were in place, they were monitored fully in most instances and enforced appropriately, so Risk of Harm was successfully managed in most instances. The use of restrictive interventions in prolific and other priority offender cases needed further development.

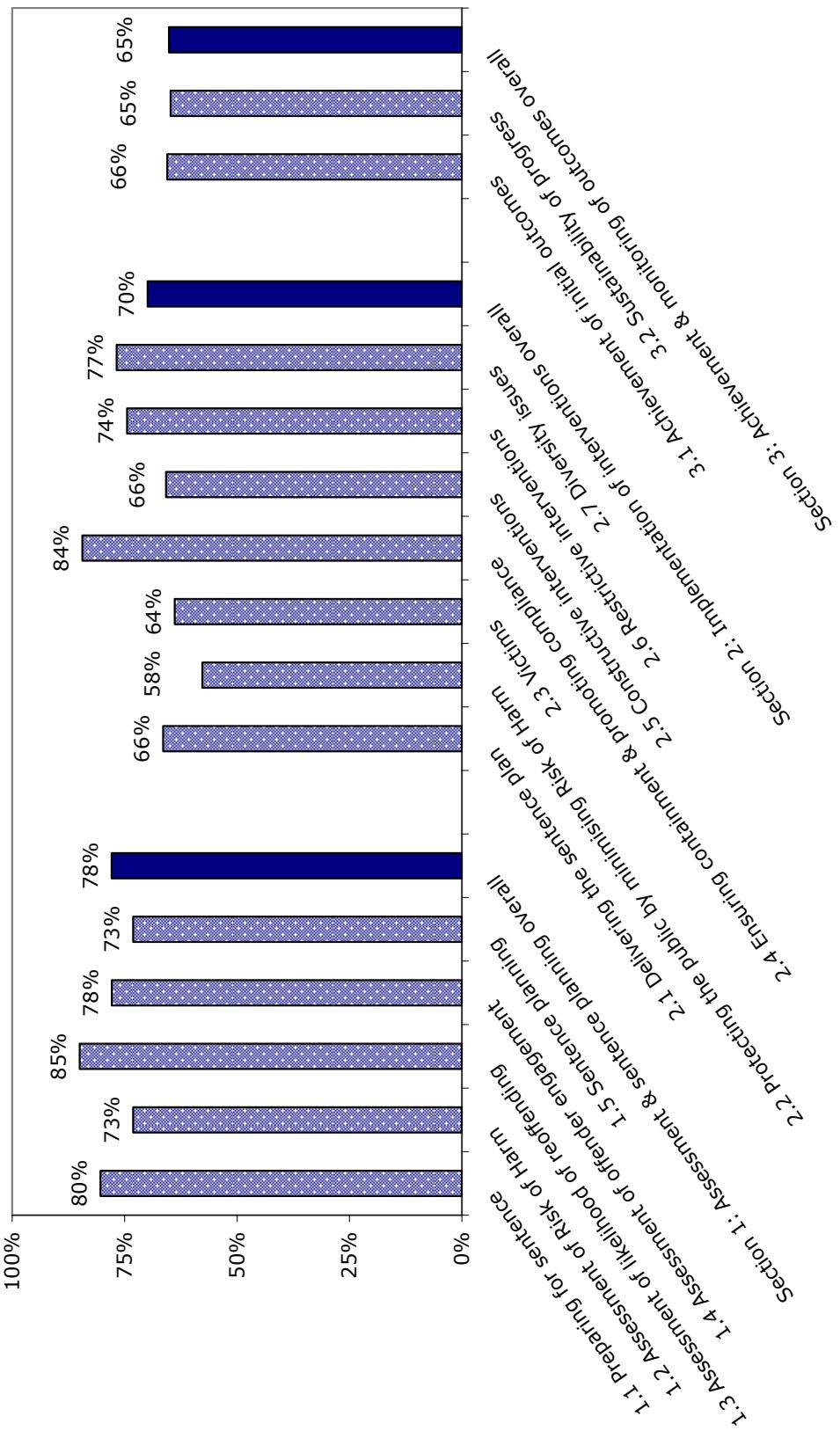
There were good links at strategic level between the organisations involved in Multi-Agency Public Protection Arrangements, though these arrangements had not always been used effectively at operational level in relevant cases. The area had one approved premises which was insufficient to meet demand for offenders posing a high Risk of Harm. It offered a good range of restrictive interventions and provided some constructive interventions on site.

### **SUMMARY OF SCORES**

Outlined overleaf in Chart 1 are percentage scores for each Offender Management Inspection Criterion and for each of the sections 1-3.

Chart 1: Scoring of sections 1-3:

### Offender Management Inspection: Surrey (January 2008)



**Table 1: Scoring of section 4:**

Each of the criteria in the Leadership and Strategic Management section has been graded below, according to the four-point scale described in Appendix 4.

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

**Table 2: Risk of Harm Thread**

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

Score for Risk of Harm Thread	<b>70%</b>
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Full details of our *Scoring Approach* are contained in Appendix 4.

We advise readers of reports against attempting to compare scores area by area. Such comparisons are not entirely valid as the sizes of samples vary slightly, as does the profile of cases included in each area's sample. We believe the scoring is best seen as a simple summary of what we have found in an individual probation area and needs to be seen alongside the full findings and recommendations of any particular report.

## **RECOMMENDATIONS FOR IMPROVEMENT**

Improvements are necessary as follows:

1. ongoing planning in all cases accurately reflects the Risk of Harm to others, particularly in respect of children, prisoners and staff
2. an increased focus is given to child safeguarding issues, including raising staff awareness of their responsibilities
3. the quality of risk management plans meets the standard defined nationally
4. prolific and other priority offenders receive a premium service as required, including provision of programmed activities and appropriate restrictive conditions
5. a higher profile is given to structured sentence planning throughout the sentence, including the active participation of the offender in the planning process
6. increased attention is given by offender managers to pre-release work for offenders moving between custody and the community, especially in prolific and other priority offender cases and high Risk of Harm cases falling within the scope of the offender management model.

## **NEXT STEPS**

An improvement plan addressing the recommendations above is needed four weeks after publication.

Further focused inspections will be carried out approximately 12 months after the original OMI when HMI Probation has a serious concern about an area's RoH work.

There will not be a further inspection in Surrey.

## SHARING GOOD PRACTICE

Below are examples of good practice we found in Surrey.

<b>Assessing diversity needs:</b>	Marek had difficulties with reading. As part of the assessment of his needs, his offender manager completed a specific learning styles questionnaire in order to find out the best way of working with him. Marek was identified as someone who learned best by undertaking activities and this information was shared with the partner agencies working with him during his community sentence. With this in mind, his worker from NACRO accompanied Marek to the job centre to help him use the job search computers, something he had previously been unable to do. In addition, his offender manager noted his reading difficulties on the case record and requested that any staff writing to him followed up their letter with a telephone call, to make sure that he understood. Careful assessment of his needs ensured that everyone knew how best to communicate with Marek and he was enabled to access community resources, increasing his chances of staying out of trouble in the future.
<b>OMI Criterion: 1.4</b> <b>Assessment of offender engagement</b>	
<b>Motivation and support:</b>	Bob was an older offender on a community sentence. He did not cope well with problems in his life and tended to isolate himself when faced with difficulties. His financial problems reached crisis point and Bob's offender manager spent time motivating and encouraging him to access support from his local debt counselling service, something he was initially reluctant to do. This proved successful, and what Bob had learned about managing his debts was reinforced during supervision, to reduce the chance of it happening again and Bob reoffending.
<b>OMI Criterion: 2.1</b> <b>Delivering the sentence plan</b>	
<b>Community reintegration:</b>	Andrea lived with her children, at some distance from her parents and other support networks. Assessment of her offending pattern showed a link between her offending and feelings of isolation. Andrea's offender manager worked jointly with health service staff to support a housing transfer application, but this was initially unsuccessful because of previous arrears. Her offender manager persisted, and negotiated a compromise with the housing department, resulting in Andrea moving to suitable accommodation close to her family. Reducing her isolation meant that Andrea was less likely to reoffend in the future.
<b>OMI Criterion: 2.5</b> <b>Constructive interventions</b>	

<b>Minimising the RoH:</b>	Paulo's offending meant that he posed a high RoH to others. He had significant mental health difficulties and was subject to a community order with supervision and mental health treatment. From the start there was considerable communication between Paulo's offender manager and the mental health treatment provider making sure that everyone understood the requirements of the sentence. In addition to the care planning meetings, the mental health team staff, Paulo, and his offender manager met monthly to consider progress and any changes in risk factors, and to evaluate the work being achieved. When Paulo stopped complying with his sentence, his offender manager (as well as taking appropriate enforcement action) continued in contact with the mental health team to try and re-engage him, as keeping him linked with the mental health services he needed was the best way to protect the public.
<b>Taking account of individual need:</b>	Adam was on a community sentence which included supervision and attendance at IDAP. He had been bullied at school when he was a child, and had witnessed severe domestic abuse by his father against his mother. His experiences left him with problems communicating with others and his offender manager took great care to identify with Adam how he could engage with his sentence and participate in the IDAP group. Very specific, simple, sentence plan objectives were agreed with him, including tackling the preparatory work for the group programme, and programme tutors were alerted that he would need additional support in the group, given his own experiences as a victim and his general vulnerability. Sensitivity to Adam's needs meant that he was more likely to comply with the group programme, and his continued attendance meant that his partner was also protected through support from her women's safety worker.
<b>Positive change:</b>	Tim was on licence following his prison sentence. He had very negative views about the criminal justice system and his offender manager realised that potentially he was going to be very challenging to work with. She worked hard to engage him and, despite his continued denial of responsibility for the offence, tackled victim awareness work with him, using a structured format identifying who was affected by offending and how. Against all odds, Tim responded well to this approach and his attitudes were beginning to change in a positive way. To date, he had complied with his licence.

**Community  
reintegration:**

**OMI Criterion: 3.2**

**Sustainability of  
progress**

Simon had both emotional and physical problems, including muscle spasms, and his offender manager quickly realised that he was vulnerable to discrimination by others. He wanted to find employment so she referred him to a partner agency to assist him with interviewing skills, particularly in relation to disclosing his convictions in full. Appropriate advice was given to him, and Simon was successful in his job search. He appreciated this assistance which reinforced his motivation to complete his sentence and contributed to his reintegration into the community.

## **SERVICE USERS' PERSPECTIVE**

### **Offenders**

Fifteen offenders were interviewed about their experiences of offender management; seven carrying out unpaid work on two separate sites, five approved premises residents, and three undertaking either OSAP or the ART accredited programme.

Offenders on unpaid work had all experienced a full induction and were aware of the attendance requirements and of the enforcement action taken if they did not comply with the sentence. Health and safety issues were discussed in general terms at the pre-placement work session and then followed up with specific instructions on individual sites. They were also offered advice on how to respond to members of the public when working in visible situations and/or where the beneficiary was on site. All remembered being informed that discriminatory behaviour would not be tolerated. Several had diversity needs which affected their ability to engage with their sentence, in some cases this had been appropriately handled; for example, lighter work for one person with health problems. Other individuals had not felt supported with their needs in respect of particular transport issues or employment demands.

Although all those undertaking unpaid work were aware of the hours they needed to complete and knew that their sentence was intended to give 'payback' to the community, only one remembered having been set particular objectives or had received a copy of their sentence plan. All knew who their offender manager was but contact between them and the offenders varied depending on their sentence requirements and on the offender manager. Some described good relationships with their offender manager, others had faced difficulties. There was little active participation in sentence planning processes. Most of the offenders' contact was with their unpaid work supervisors, and although they were aware that reports about their progress were sent to the offender manager they were unsure how these were used. Some commented on poor communication between staff about non-attendance; examples were given of messages not being passed on or telephone calls being unanswered or unreturned and this led to mixed views about the fairness of the enforcement process. While most saw their sentence (appropriately) as a punishment, some also believed it had improved their skills in interacting with others. Most perceived no link between their unpaid work and developing further employability skills, but some supervisors were reported as making good links between the activity being undertaken and issues related to offending. Some could see the benefits to the community of their work and spoke of their pride in what they had achieved, but in other placements the benefit to others was less clear to them. There were few opportunities to choose which activities they undertook.

Five residents at the approved premises were interviewed individually. Sentence planning had not featured strongly in the work undertaken with them, on the whole. None had a copy of their plan, though all were aware that one existed and some had discussed its contents with their offender manager. Licence requirements and approved premises rules had been explained, though not always why particular requirements had been included. All were clear about the consequences of non-compliance. Induction had taken place both at the approved premises and at their local probation office. Residents were in regular contact with their offender manager and were aware that information

about them was shared between different workers providing interventions to them, including their keyworker at the approved premises. Two residents identified victim awareness work they had undertaken with their offender manager, including looking at the short and long-term impact on their victims. None of the residents who had previously been in custody had met their offender manager prior to release; they also indicated that they did not know the identity of this person until their release. Some concern was expressed that there were variations in keyworker practice, for example one staff member might remind a resident about their keywork meeting, whilst another would expect the resident to remember. Only one resident was able to identify what had been the impact of the interventions undertaken with him, for example encouraging greater self-control. All, however, were clear that their behaviour *had* changed because of concern at being returned to custody if they reoffended or did not keep to their licence conditions. One also noted improvements in relationships with family members. Overall, most residents thought that their individual diverse needs had been taken into account, including attention to emotional difficulties or to particular support in respect of move-on accommodation. However, two felt that their particular needs had not been given sufficient attention; in one case this related to mental health issues, in the other to ETE opportunities. Generally, residents thought that attention had been paid to their longer term reintegration into the community, though not all were aware that referral to partnership agencies was a key element in their sentence plan and some had been expecting their offender manager to deliver all the interventions needed.

Offenders on both accredited programmes confirmed that they had received a thorough and timely induction. Time had been spent explaining the rules around enforcement and, when needed, these had been fairly implemented, in the offenders' views. They had been clearly informed that discriminatory behaviour would not be tolerated and the two who were part-way through their programme said that they had been involved in setting other 'ground rules' for the group. Two offenders felt that their particular needs had been taken into account, from the timing of the evening programme to assistance with travel costs. One noted that care had been taken to ensure that she was not a lone female on the group, and said that she had felt supported by tutors. Another had undertaken a literacy course prior to attending the ART programme to enable him to gain the maximum benefit from it. Two had been involved in sentence planning to some extent and work had been undertaken to prepare them for the programme. For these two offenders, who were part-way through their programme, there was evidence of good relationships between them and their offender managers, who had provided support during the programme. One offender had just commenced the group work part of his sentence, and was expecting to continue contact with his offender manager during this programme. He did not feel that his particular difficulties had been taken into account at the start of his supervision after release on licence, or that his problems with accommodation had received sufficient attention prior to his release. One offender had already undertaken work on victim issues as part of their supervision; another was anticipating a focus on this later in the programme and the third had undertaken victim awareness work while in custody. Both offenders undertaking the ART programme were very positive about the impact of their sentence so far, giving examples of how it had helped bring about a change in their attitudes and given them new skills to deal with difficult situations in the future. One said "*it has definitely changed the way I think about things*". The offender undertaking OSAP was less sure about its potential usefulness for him, having already undertaken work on drugs issues while in custody and being determined not to reoffend.

Out of 110 questionnaires sent to offenders, 27 were completed and returned, including three from offenders in custody. Comments from offenders in the community were mixed, some very positive, others quite negative. All those in the community reported that the rules covering their supervision, including breach, had been explained to them, either fully or in part. The majority noted that they had a good relationship with the offender manager who listened to what they had to say. One commented that their offender manager was “*excellent – communicates and listens well*”, another noted their helpfulness. Less positively, others spoke of a lack of any relationship and that one noted that their supervision was a “*complete waste of time*”. Of those who replied to the question, 16 recalled that their sentence plan had been discussed with them, wholly or in part, but six were clear that this had not happened. Most respondents thought that probation staff and people from other agencies had worked together well in their case. Out of 12 who were on licence, only one had been visited by their offender manager while they were in custody.

Fourteen of the offenders in the community reported that the probation area had helped them with issues concerning attitudes to offending, and 11 with emotional well-being. Others noted assistance with ETE, drug use, alcohol use, and lifestyle (five respondents), six commented on help with thinking skills, and one spoke specifically about the usefulness of the DID programme in “*opening my eyes to the implications of my offence*”. Two indicated that they had faced difficulties in taking part in their supervision, for reasons of health, family responsibilities or faith requirements. They said that in neither case had these difficulties been discussed or plans put in place to tackle them. Twenty out of 23 respondents in the community commented that the work of the probation area had made them think more about their offending, and 19 said it had made them think more about the victims of crime. The same number believed that they were less likely to reoffend now, though several were clear that they would not have in any event.

Of the three offenders in custody, two had been on an induction course within a week of their sentence and thought that this had told them all they needed to know about the prison. Two had also received an education assessment within the first week. All were aware that they had a named offender manager in the community and one had received a letter from them; the other two had had no contact. One confirmed that they did have a sentence plan, but none of them had had discussion with their offender manager about a sentence plan. One noted that they had an offender supervisor in custody who could help them take forward their sentence plan, and all three thought that their offender supervisor had helped them to address offending behaviour. None identified any victim awareness work having been undertaken with them. In two cases, help had been provided in custody with drug use, and in other instances with alcohol use, emotional well-being and health issues. With regard to release planning, one of the two due for release in the following six months thought that their offender supervisor in custody had helped them prepare for this. All anticipated a number of problems once back in the community, ranging from finding accommodation and employment, to managing finances and maintaining or avoiding particular relationships. One had felt very supported by their offender manager whilst in custody, another felt the opposite, and one expressed no opinion either way.

## **Victims**

One victim took part in an individual interview to give their views about the service they had received. The offence in their case had occurred prior to the introduction of the Victim's Charter so no services were available at the time of the original sentence. When it came, contact from the VLO was welcomed "*as it gave us some rights*". The family had been given the opportunity to express their views for the parole hearing, but had not been told how their views would be considered. Nevertheless, the additional condition they had requested on the licence had been included and they had been kept informed of release dates and of the offender's later recall to custody. The victim interviewed referred to the service the family had received from the VLO staff as "*first class, they have been excellent, and have given us a voice*". They felt listened to and that the service had been sensitive to their individual needs. The one suggestion for improvement from this victim was that their views on the Victim Contact Unit could have been sought earlier; this was the first time they had been asked to give feedback about the service provided and the opportunity had been appreciated.

Questionnaires were also sent on our behalf to people who had been victims of crime. Four were completed and returned, all from people who had taken up the offer of contact with VLO staff. All thought that the initial contact letter from the Victim Contact Unit had been easy to understand and had clearly explained why they were being contacted. All four expressed positive views about the service provided, three indicating it was excellent. One wanted to express thanks for the help given over the years, noting that "*if it wasn't for Surrey Probation Service I wouldn't have known what was going on*". All confirmed that they had been clear about the role of the Victim Contact Unit; they had been given enough information about custody sentences in general and about how long the particular offender would be in custody. The three people who responded to the particular question thought that their individual needs had been taken into account. The confidentiality of information had been explained to them and they all felt listened to. Two had concerns about the offender's eventual release and both had been given the chance to discuss their worries. However, one was not informed when the offender was released early and was not offered the opportunity to give a written statement to the parole board. Both who responded to the particular question confirmed that they had had the chance to say what conditions they thought should be on the offender's licence once they were released. All four felt that good attention had been given to their safety, one noting that "*the VLO had been able to stop letters direct from the prisoner and stop unwanted children's Christmas and birthday cards being passed on via a third party, we were very pleased about this as we had been told originally that it was not possible to stop this*". Three out of the four knew who to contact if they had any worries about their safety and the two who did have concerns had been satisfied with the response.

## **Courts**

Out of 50 questionnaires sent to sentencers and other court personnel, 13 were completed and returned. The 12 who responded to the question were satisfied with the quality of SDRs and thought that there was sufficient clarity as to which type of report should be requested. There was slightly less satisfaction with the quality of FDRs. Nine out of 12 noted that court reports were made available within the required timescale, although several commented on difficulties in obtaining FDRs as swiftly as they would have wished. Arrangements for enforcement of community sentences were viewed by all as working well, wholly or in part. However, just over a third of those who replied to

the question were able to confirm that there were specific 'fast-track' arrangements in place for the enforcement of PPO or high RoH cases. Only a third were satisfied that they had had sufficient information to aid the sentencing process when considering a residential requirement in approved premises.

Probation staffing levels in court were viewed as sufficient by under half, which was a source of frustration for some, though there was also appreciation of the pressure such staff were under at times. Some respondents thought that additional resources were needed for staffing courts. All ten who responded to the particular question thought that the probation staff working in their courts had sufficient knowledge and skill to work effectively in that setting. Ten out of 12 viewed the liaison arrangements between the probation area and sentencers as effective and most thought they received sufficient information about current probation policy and practice. Most also commented positively on the professional leadership shown by the area's managers and thought that it engaged effectively with the LCJB. However, only one respondent was aware of any monitoring of report proposal against court disposal or comparison of this with successful completion of sentence; several indicated that they would value such information.

## 1. ASSESSMENT AND SENTENCE PLANNING

<b>1.1 General Criterion: PREPARING FOR SENTENCE</b> <i>Activity in the phase leading up to sentence is timely, purposeful and effective.</i>	<b>80%</b>
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| <b>Strengths:</b> | <ul style="list-style-type: none"><li>(a) Fifty-nine out of the 67 community order, suspended sentence order or custody cases had had a PSR prepared for the current offence. Where the court had indicated the level of seriousness, this had been taken into account in all instances.</li><li>(b) A clear proposal for sentence had been made in 88% of reports. A community-based sentence was proposed in 83% of the reports and that had been followed by the court in 78% of those cases.</li><li>(c) In 88% of instances the report was assessed as being of the appropriate type (i.e. FDR or SDR). All were completed using the nationally approved report formats and prepared within the timescale set by the court.</li><li>(d) 92% of reports were judged to have met the national standard requirement to be objective, impartial and free from discriminatory language or stereotype, and 86% were assessed as being balanced, verified and factually accurate.</li><li>(e) Appropriate victim information was included in 81% of relevant reports.</li><li>(f) 83% of reports had been based on the appropriate risk and needs assessment and 78% were judged to be suitably concise.</li><li>(g) Where the OASys PSR template had been used in relevant reports, it was judged to have enhanced the quality of the report on 81% of occasions.</li><li>(h) Seven reports were prepared in PPO cases. The likelihood of reoffending was clearly outlined in six reports, and in the same number the report avoided labelling the offender as a PPO, in accordance with national guidance.</li></ul> |
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| <b>Areas for Improvement:</b> | <ul style="list-style-type: none"><li>(a) We saw a number of cases where FDRs had been prepared, following a full adjournment period, when SDRs should have been completed because of the OASys score, nature of the offence (e.g. domestic abuse related), or high RoH.</li><li>(b) There was no appropriate outline plan in 46% of reports.</li><li>(c) Offence seriousness was clearly outlined in four of the seven reports on PPOs, and only three contained a clear and proportionate proposal.</li></ul> |
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- (d) Where self-harm was an issue, it had not been clearly recorded in three reports, and concerns had not been communicated immediately to prison staff in the three instances where it needed to have been.

**Conclusion:** Performance against this criterion was good.

<b>1.2 General Criterion: ASSESSMENT OF RISK OF HARM</b> <i>RoH is comprehensively and accurately assessed using OASys in each case and additional specialist assessment tools where relevant.</i>	<b>73%</b>
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<b>Strengths:</b>	<p>(a) The RoH classification was clear and accurate in 91% of cases.</p> <p>(b) RoH screening had been completed in 99% of community order and custody cases and in 95% of licence cases. It had been completed on time at the start of sentence in 85% of the community order and custody cases sampled, and had been reviewed on release from custody in 95% of licence cases. The screening was judged as accurate in 87% of instances.</p> <p>(c) Where a full RoH analysis had been required, it was completed to a sufficient standard in three-quarters of cases. The RoH screening and full analysis drew adequately on previous assessments, including those undertaken by MAPPA and by other agencies, in 79% of relevant cases.</p> <p>(d) Assessments accurately reflected RoH to known adults in 89% of cases. The figure was slightly lower, though, in respect of RoH to the public; this was judged as accurate in 86% of relevant cases. RoH to staff was assessed appropriately in 17 out of 21 instances.</p> <p>(e) Fifteen cases in the sample were classified as posing a high RoH to others. This had been communicated to other staff involved in the case in all but one instance. Keyworkers in partnership agencies, delivering interventions on behalf of the area, commented positively on the appropriate sharing of RoH information with them. All who needed it had access to CRAMS, the case recording system used by the area.</p> <p>(f) There were 20 cases identified as being managed through MAPPA, at Levels 2 or 3. In all but three cases this had been communicated to all staff involved in the case.</p> <p>(g) The risk management plan was structured in the required format in all eight relevant cases in the custody sample. For licence cases the figure was 86%, and for community orders 84%.</p> <p>(h) Effective management involvement in the assessment was seen in nine out of ten high RoH cases in the community.</p>
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- (i) Referrals were made to approved premises in six cases in the sample. These were all judged to have been appropriate, and five had been accepted.

**Areas for Improvement:**

- (a) In 74 cases, the RoH screening indicated the need for a full RoH analysis but this had not been carried out in nine instances.
- (b) RoH to children was not reflected accurately in assessments in seven out of 23 relevant cases. This represented a shortfall in good RoH work in a significant minority of cases. Some offender managers had limited awareness of child safeguarding issues, for instance in cases where there had been no *offence* against children but the offender's violent behaviour posed potential risks to children with whom they had contact.
- (c) Of 14 cases where child safeguarding was a concern, management involvement in assessment was judged to be effective in six cases.
- (d) The offender presented a risk to other prisoners in custody in five cases. This was assessed adequately in only two instances.
- (e) Insufficient attention was paid to the assessment of victim issues in 30% of applicable cases. This concerned both thorough assessment of victim safety issues and offender victim awareness.
- (f) Four community order cases and one licence case in the sample lacked a risk management plan where one was required. Where they had been undertaken, plans were comprehensive in only 36% of community orders, 38% of licence cases and 50% of the custody cases. Whilst the required format was being used, as noted above, the detail was lacking. A third of risk management plans in the licence cases were completed prior to release as required. Half of those needed in the custody sample were completed within the appropriate timescale, as were two-thirds of those in the community.

**Conclusion:**

Performance against this criterion was good.

**1.3 General Criterion: ASSESSMENT OF LIKELIHOOD OF REOFFENDING**

*Likelihood of reoffending is comprehensively and accurately assessed using OASys as applicable.*

**85%**

**Strengths:**

- (a) Criminogenic factors were satisfactorily assessed at the start of sentence or release from custody in 86% of cases, and this was done on time in 82%.

- (b) Positive influences on offenders, such as supportive and pro-social factors, were identified in 95% of relevant cases.
- (c) Out of ten PPO cases, the OASys assessment was both comprehensive and timely in eight.
- (d) The likelihood of reoffending assessment drew on other relevant assessments in 85% of cases where this was needed. Some partner agency staff were clear that their assessments did feed into OASys, others found this less consistent.

**Area for Improvement:**

- (a) In the six cases where no OASys had been completed, an OGRS2 score was recorded for only two.

**Conclusion:**

Performance against this criterion was good.

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

**78%**

**Strengths:**

- (a) Race and ethnicity classification had been recorded as required in 94% of cases. This was an important aspect of identifying possible diversity issues.
- (b) Three-quarters of cases showed that the offender's intellectual ability, learning style, motivation and capacity to change had been taken into account at the earliest opportunity.
- (c) Although there were eight cases where potentially discriminatory or disadvantaging factors had been missed, diversity issues and other individual needs had been actively assessed in 81% of cases. The area had focused attention on ensuring that offender managers identified potential challenges to successful completion of sentences.
- (d) Where diverse individual needs had been identified by the offender manager, plans had been put in place to minimise their impact in 92% of cases. Examples seen ranged from assistance with travel costs, to recognition of employment or family responsibilities and the need to time appointments, unpaid work sessions or group programmes accordingly.

**Areas for Improvement:**

- (a) In a quarter of cases there was no evidence in the records of a skills for life screening having been undertaken. Where the screening indicated the need for a full assessment, it had been carried out in 63% of cases. These findings were surprising given the area's

achievement against targets in referrals for assessment. Where referrals are made to other agencies we would expect the offender manager to retain a copy of the screening tool and use it to inform their assessment of any literacy, numeracy or language difficulties that could pose obstacles to the offender's engagement in their sentence.

- (b) Although we saw some positive examples of good consideration to the best way to work with individual offenders, insufficient attention was paid to the methods most likely to be effective with the offender in a third of cases.

**Conclusion:**

Performance against this criterion was good.

**1.5 General Criterion: SENTENCE PLANNING**

*The offender manager plans interventions in custody and the community with a view to addressing criminogenic factors and managing any RoH to others. The initial sentence plan or unpaid work assessment is designed to describe a structured and coherent plan of work for each offender.*

**73%**

**Strengths:**

- (a) Where cases were correctly tiered, planning accurately reflected the tier – in respect of **punish, help, change** and **control** – in 89% of cases. Plans reflected the sentencing purpose in 81% of cases.
- (b) In 94% of community sentences, an offender manager was allocated to the case within the required timescale.
- (c) Some parts of the sentence plan were being completed satisfactorily; for example, planned contact levels appropriate to the requirements were included in 98% of cases, and 93% clearly indicated that all arranged appointments were enforceable. Who would deliver the interventions was clear in 77% of relevant cases.
- (d) Interventions to address offending behaviour were identified in 88% of relevant cases.
- (e) ISPs in community cases drew on all other relevant assessments in 73% of cases.
- (f) It was evident from case records that in 96% of cases, steps had been taken to ensure that offenders fully understood the requirements of their sentence, and in 99% that they understood the penalties for breach of their order or licence.

**Areas for Improvement:**

- (a) Overall, sentence planning had not been given the priority expected. Plans set relevant goals for the offender in 67% of cases, gave a clear shape to supervision in 62% and focused on achievable change in 53%. 11% of cases showed no evidence of any of these

elements. It appeared that the sentence plan was seen by many offender managers as a 'form to complete' rather than a core document driving their work with offenders.

- (b) In 20% of cases, the offender had not been allocated to the correct tier according to the national guidance. This affected not only PPOs (mostly allocated at Tier 3) but also other cases, with some identified as being tiered too highly, others too low. Operational managers confirmed that tiering was usually undertaken at the PSR stage then reviewed by them in supervision with the offender manager. We gained the impression that case tiering was seen primarily as an allocation tool, rather than a judgement about the type and level of resources needed by the offender and thus a key element of the offender management model.
- (c) The roles and liaison responsibilities of all workers involved in the case were defined clearly in sentence planning documents in 65% of cases. Probation keyworkers delivering interventions (such as approved premises staff, DRR workers and programmes tutors) were clear about their role in the offender management model as delivering the interventions identified in the ISP. However, their involvement in sentence planning was limited and their work did not always feature in the plan, for example interventions undertaken in the approved premises. Partner agency staff delivering interventions were more positive about the communication links between themselves and offender managers in most cases.
- (d) How an offender's RoH was to be managed (including cross-references to the risk management plan) was outlined in the ISP in 60% of relevant cases. Where consideration needed to be given to restrictive licence conditions or community order requirements to minimise the RoH posed, there was no evidence of this in 31% of cases. Interventions to reduce or contain the RoH were identified in the ISP in 54% of relevant cases.
- (e) The ISP was completed within the required timescale in 69% of cases, while in three cases where one was needed, no plan had been prepared.
- (f) Appropriate sequencing of interventions was set out in 58% of cases and the timing of each requirement was identified appropriately in 67%. In the custody sample, three out of seven plans stated clearly what work would be done in custody and what on release.
- (g) Interventions to promote community reintegration, and to meet the punitive requirements of the sentence, were identified in 66% of cases.
- (h) Plans were sensitive to diversity issues, including offender vulnerability, in 67% of cases. From discussions with offender managers, it was evident that in several instances they were giving consideration to the diverse needs of offenders but not always recording these in the sentence plan specifically.
- (i) Offenders had had the opportunity to participate actively in the sentence planning process in 69% of cases. This left a significant

minority who appeared to have no involvement, which corresponded with feedback from some service users indicating their lack of awareness of any sentence plan.

**Conclusion:**

Performance against this criterion was good.

## 2. IMPLEMENTATION OF INTERVENTIONS

### 2.1 General Criterion: DELIVERING THE SENTENCE PLAN *The offender manager facilitates the structured delivery of all relevant elements of the sentence.*

66%

#### Strengths:

- (a) Where there was more than one requirement in the sentence, the interventions were delivered in an appropriate sequence in 73% of relevant cases.
- (b) Arrangements had been put in place to prepare offenders thoroughly for interventions in 79% of instances. However, there was less evidence of action to ensure that new skills acquired were reinforced afterwards.
- (c) There was good communication between all workers involved and the offender in 79% of cases. 77% showed good communication between the offender manager and other workers, and in 74% the offender manager oversaw and coordinated the input of all other workers. Probation keyworkers noted that communication and liaison with them varied, depending on the offender manager in the case – some were more proactive than others.
- (d) The offender manager's commitment to their work with the offender was demonstrated clearly in 87% of cases.
- (e) Sentence plans were reviewed in accordance with the required timescales in 80% of cases, and work with the offender was seen to flow from the plan coherently in 72% of the sample. Reviews integrated other ongoing plans, such as MAPPA action plans or individual learning plans, in 70% of relevant cases.
- (f) At the time of the inspection, when approximately six months had passed from sentence or release on licence for most of the cases inspected, sentence requirements had been implemented fully in 82% of cases.
- (g) Seven cases in the sample had been transferred between probation areas. Effective transfer practice required that both the transferring and receiving areas worked to national guidance. In six cases a complete and current OASys had been provided to the receiving area and in all cases the first appointment had been made within the required five days. In the one instance where the case transferred posed a high RoH, the risk management plan was updated by the receiving area within the required timescale.
- (h) In the custody sample, seven cases had been moved whilst in custody. In six cases the offender manager had been informed promptly of the transfer, and in the same number the move was regarded as appropriate for operational or security reasons. However, it was not seen as being consistent with the sentence plan in three cases.

**Areas for Improvement:**

- (a) Work in the community did not build sufficiently on activity in prison in 38% of licence cases. Typically, such activity would include education or substance misuse work; in nine out of 14 relevant cases the work undertaken by the offender in relation to substance misuse was not followed through appropriately in the community. Educational achievements and prior learning by offenders in prison were not systematically considered when they returned to community settings.
- (b) Positive behaviour by the offender was reinforced by offender managers in 57% of cases. There was better evidence of active motivation and encouragement of the offender; 69% of cases showed this.
- (c) In the custody sample, two reports had been prepared in order to contribute to decision-making processes in the prison. Whilst both had been undertaken within the required timescales, neither was judged as being clear and thorough, or as incorporating accurate RoH assessments.
- (d) In relation to the sentence plan, objectives and milestones gave direction to the sentence in 55% of cases. Continuing efforts to ensure ownership of the plan by the offender were apparent in slightly more cases, at 57%, but 18 cases contained evidence of neither of these factors.
- (e) Of the seven cases in the sample which had been transferred between probation areas, only one had been visited at home within ten days of the receiving area being notified that the offender had moved.
- (f) Where the offender was in custody or had been released on licence, we saw limited examples of joint work between offender managers and prison-based staff to prepare offenders for a return to the community. Positive joint work was demonstrated in 44% of the cases, proactive work in 37% and timely activity in 40%. Twenty-one cases contained no evidence of any of these elements. In most of the custody cases (which were selected from those falling within the scope of Phase II of the offender management model), there was no clear difference between the service provided to them as compared with the area's standard practice in pre-release custody cases. In some instances, it appeared that the case had not been allocated until custody reports had been requested. Offender managers told us that their training for Phase II had taken place several months after the implementation date, and some showed limited knowledge of what was required of them. We were told that there had been a delay in the area receiving the national training materials and information on the method of delivery. More positively, joint training with prison staff for the extension of the model to IPP sentence prisoners under Phase III had happened in a timely way.

**Conclusion:** This criterion represents a priority for improvement.

**2.2 General Criterion: PROTECTING THE PUBLIC BY MINIMISING RISK OF HARM**

***All reasonable actions have been taken to protect the public by keeping to a minimum the offender's RoH to others.***

**58%**

**Strengths:**

- (a) In the community sentence and licence samples, RoH to others had been reviewed within four months of the start of sentence or release on licence in 88% of cases. For subsequent reviews in these cases, the figure dropped to 78%. Where there had been a significant change which might have given rise to an increase in RoH in community orders or licences, a review of RoH had been undertaken in 71% of cases. This did leave ten cases where there were significant changes but a review had not been done.
- (b) There was ongoing planning to address RoH to the public generally in 77% of cases and to known adults in 78%.
- (c) Four offenders had been recalled to custody because of RoH concerns. In all cases the recall had been actioned effectively and in three cases it had formed an appropriate part of the risk management process. However, clear explanations to the offender as to the reasons for their reimprisonment, and efforts to re-engage them, were found in only two cases.

**Areas for Improvement:**

- (a) In the custody sample, a RoH review had not been undertaken in a timely manner in three out of eight cases. In none of the relevant four cases had a review been undertaken following a significant change, and only one had had a review in preparation for release.
- (b) Ongoing planning to address RoH to children was absent in eight out of 26 relevant cases. Sufficient home visits to monitor children's safeguarding issues took place in only six out of 15 cases.
- (c) Risk to staff was not being addressed sufficiently in six out of 14 cases where this was an issue.
- (d) There was no apparent ongoing planning to address RoH to other prisoners in three out of the four cases where this had been identified as a concern. Evidence of engagement generally with prison risk management processes was found in only two out of ten cases.
- (e) MAPPA were assessed as having been *used* effectively in 12 out of 20 cases, although offender managers or other relevant staff were judged as *contributing* effectively to MAPPA in 16 of these.

- (f) Changes in an offender's RoH were anticipated where feasible in only 41% of cases. They were identified sufficiently swiftly in 52% of relevant instances and acted upon appropriately in 58%.
- (g) Home visits in high RoH cases had not been carried out as required in five out of nine cases.

**Conclusion:**

This criterion represents an urgent priority for improvement.

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

**64%**

**Strengths:**

- (a) Appropriate priority had been given to victim safety in 78% of cases where this was an issue, though this did leave ten cases where it had not been given sufficient attention.
- (b) A high level of satisfaction with the work of the Victim Contact Unit was expressed by victims who responded to our questionnaire, and this was echoed by the victim we interviewed.
- (c) Of 16 statutory victim contact cases in the sample, there was evidence in 12 that the victim had received an offer of face-to-face contact with the VLO within the required timescale. However, there was less evidence that victims had been offered information about the criminal justice process; nine of the cases demonstrated this.
- (d) In nine of 12 cases where the victim had taken up the offer of contact with the VLO, there was evidence that they had been given an opportunity to express their views on appropriate licence conditions to ensure their safety.
- (e) Nineteen of the 23 offenders who responded to the relevant part of our questionnaire indicated that the work of the probation area had made them think more about the victims of crime; similar views were also expressed by some of the offenders we interviewed.

**Areas for Improvement:**

- (a) In the cases we inspected, victim awareness work had not been undertaken with offenders in 34% of instances where it was appropriate; this contrasted with the offenders' views noted above, where a higher proportion indicated experiencing some victim awareness work.
- (b) There was evidence of offender supervisors in custody promoting victim safety in only one of three relevant cases.
- (c) Where victim contact work had proceeded, four out of seven had not had the opportunity to see the appropriate part of the parole report which reflected their concerns. Three out of nine had not been informed about relevant release conditions, and the same number



had not been told of the offender's release in a timely fashion. Several cases involved victims living outside the Surrey area and not necessarily in contact with the VLO team in Surrey. However, we would expect the offender manager to be aware of victim contact requirements in all relevant cases.

**Conclusion:**

This criterion represents a priority for improvement.

**2.4**

**General Criterion: ENSURING CONTAINMENT AND PROMOTING COMPLIANCE (Punish)**

***Contact with the offender and enforcement of the sentence is planned and implemented to meet the requirements of national standards and to encourage engagement with the sentence process.***

**84%**

**Strengths:**

- (a) In all the custody cases where offenders had not been released, there were satisfactory arrangements in place to contain them within the custodial setting in accordance with sentence requirements for the restriction of liberty.
- (b) A comprehensive and timely induction following community sentence or release on licence had taken place in all but one case. However, the figure was lower for the custody sample where there was no evidence on the offender management file of a full and prompt induction in three out of the ten cases. In these cases offender managers, in conjunction with offender supervisors, should have recorded when inductions in prison took place.
- (c) Overall, the frequency of appointments arranged conformed to national standards in 92% of cases, and facilitated the requirements of the sentence in 86%.
- (d) Reporting patterns arranged for offenders were sufficient to meet any RoH considerations in 83% of cases, and to support the achievement of sentence plan objectives in the same number.
- (e) The frequency of unpaid work sessions conformed to the national standard in 94% of cases and facilitated the requirements of the sentence in 90%. There was a good range of purposeful unpaid work placements and in 84% of cases these were judged to provide a benefit to the community. A number involved local conservation projects; others included refurbishing accommodation for people with disabilities and adapting gardens to enable easier maintenance by older residents.
- (f) Attention to monitoring attendance was very good across all interventions, at 97%, and effective action had been taken to ensure compliance in all but one instance. Likewise, the enforcement of exclusion and/or curfew requirements had been dealt with satisfactorily in all but one case.

- (g) Judgements about the acceptability of absences were consistent and appropriate in 96% of cases. Where required, breach action was instigated in a timely manner in 97% of cases and resolved within the required timescale in the same proportion.
- (h) The quality of the case record was good in most respects, with 84% being well organised, 79% including all relevant documentation and 94% containing clear race and ethnic monitoring details. Recording of information was clear in 87% of cases, timely in 84% and sufficient in 89%. The area had recently introduced a method of structuring contact recording under the headings of sentence plan objectives, notes, observations and actions. This was not in use by all offender managers, but where it had been used it did encourage a focus on the sentence plan, enabling reflection on what had been achieved and what work remained outstanding.

**Areas for Improvement:**

- (a) Contact by the offender manager with offenders in custody and with prison-based staff was judged as insufficient in 50% of cases. Arrangements for liaison were regarded as likely to promote effective management in the community post-release in 56% of instances.
- (b) Of eight PPO cases in the community, there were enhanced levels of contact in five and a reporting pattern supportive of all elements of the sentence in six cases. In two cases there was no evidence of either.
- (c) Unpaid work placements were judged as being positively matched to the offender in 55% of cases, and as suitably demanding in 61%. Whilst we saw some good examples of matching offenders to appropriate placements, offender managers were not always aware of the nature of work being undertaken or the offender's positive progress.

**Conclusion:**

Performance against this criterion was good.

**2.5 General Criterion: CONSTRUCTIVE INTERVENTIONS  
(Help and Change)**

***Interventions are delivered to identified ends and to meet the requirements of the sentence: help and change.***

**66%**

**Strengths:**

- (a) Constructive interventions challenged the offender to accept responsibility for their offending and its consequences in 70% of cases, though this did leave a sizeable minority where there was no such evidence.

- (b) Sufficient work and resources were directed at community reintegration issues in 87% of cases where this was needed. We saw some good examples of linking offenders with community resources, including work on housing, debt and health issues.
- (c) Two offenders in the sample had been resident in approved premises for six weeks or longer. Support with finding move-on accommodation had been provided for both, and other constructive interventions undertaken included support with healthy lifestyles, substance misuse treatment, skills for life and ETE work. An Art therapy class also took place on site.

**Areas for Improvement:**

- (a) Where offenders had identified needs in respect of improving skills for life, arrangements for an appropriate intervention had not been made in a third of relevant cases. There was no opportunity to improve literacy and numeracy skills whilst undertaking unpaid work, and inconsistent promotion of skills for life opportunities by offender managers.
- (b) Eighteen cases in the sample contained a requirement for attendance at an accredited programme. In half of these, provision of the programme and its timing was not consistent with the sentence plan. Clear and acceptable reasons for this were contained in just four cases.
- (c) In only two out of six relevant cases in the custody sample was there evidence of immediate action being taken to preserve employment, accommodation and family ties where these were put at risk by the sentence. Supporting protective factors were clearly identified in four cases out of eight, and help to preserve positive community links was evident in four out of seven cases.
- (d) Few constructive interventions undertaken at the approved premises were included in the sentence plan.

**Conclusion:**

This criterion represents a priority for improvement.

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

**74%**

**Strengths:**

- (a) Restrictive interventions were monitored fully in 80% of cases and every reasonable action taken to minimise RoH in 82%.
- (b) Licence requirements were assessed as comprehensive and necessary in 79% of relevant cases, proportionate to the RoH in 86% and to the likelihood of reoffending in 83%. However, in eight cases they were not thought to be proportionate to the protection of victims.

<b>Areas for Improvement:</b>	<ul style="list-style-type: none"> <li>(a) The area contained one approved premises, which was targeted at high RoH offenders, but had insufficient places to meet demand. Approved premises staff confirmed that the majority of residents were subject to MAPPA, but there was no specific priority given to such cases. Operational managers spoke of increasing difficulty in accessing appropriate approved premises accommodation out of the area for offenders posing a high RoH, particularly sex offenders. There appeared to be no regional approach to coordinating the approved premises provision to meet the needs of all offenders who required the enhanced supervision which they could offer.</li> <li>(b) Of the two relevant cases in the sample, the approved premises was judged to have been used effectively as a restrictive intervention in one but not in the other.</li> <li>(c) Out of eight PPO licence cases where the offending was drug related, there were appropriate additional requirements (such as drug testing) in only three.</li> </ul>
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**Conclusion:** Performance against this criterion was good.

<b>2.7 General Criterion: DIVERSITY ISSUES</b> <i>Full and proper attention is paid to diversity issues.</i>	<b>77%</b>
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<b>Strengths:</b>	<ul style="list-style-type: none"> <li>(a) The identified diverse needs of offenders had been properly addressed in 88% of cases. These ranged from attention to faith commitments and health needs, to consideration of employment and family responsibilities when setting appointment times.</li> <li>(b) Issues relating to disability had been appropriately tackled in 12 out of 14 relevant cases. An example seen concerned recognition of the particular needs of an offender with autism, which affected his ability to keep his appointments on time. This was handled flexibly but firmly by his offender manager.</li> <li>(c) The approved premises was judged to have met the diversity needs of both residents in the sample.</li> <li>(d) Where an offender from a minority group had been placed in a mixed setting, such as unpaid work or on an accredited programme, eight out of 11 relevant cases demonstrated efforts to support the offender's engagement. Examples were given from accredited programmes work of assistance with completion of written exercises where needed, and targeting methods to individual circumstances and need.</li> <li>(e) Offenders were clearly informed in 92% of cases that discriminatory behaviour would not be tolerated. This was undertaken at induction and again at the start of all interventions, including unpaid work, accredited programmes, DRRs and approved premises.</li> </ul>
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**Areas for Improvement:**

- (a) Informed consent to a singleton placement in a mixed setting (on unpaid work or on an accredited programme) had not been evidenced in three out of seven relevant cases. Accredited programme tutors noted, for example, that individual offenders from minority ethnic groups had not always been made aware in advance that they might be a singleton placement on a group. Where such a placement had gone ahead, it was difficult to find evidence that attention had been paid to the composition of the staff group.
- (b) Issues of literacy and dyslexia had not been addressed appropriately in nine out of 29 cases.

**Conclusion:**

Performance against this criterion was good.

### 3. ACHIEVEMENT AND MONITORING OF OUTCOMES

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

66%

<b>Strengths:</b>	<ul style="list-style-type: none"><li>(a) Across a range of measures, the outcomes indicated that the public had been better protected during the offender's sentence. There was evidence of responsiveness to changes in the risk posed, with an increase in restrictive measures imposed in nine cases, and a decrease in a small number (four) where the offender's behaviour had demonstrated improvement. Offenders' MAPPA levels had increased in two cases and decreased in the same number. Three children had been placed on the safeguarding register, but none removed from it.</li><li>(b) From the start of sentence until the time of our inspection (approximately six months), there had been no reconviction or caution for 90% of offenders in the sample. This was a pleasing result.</li><li>(c) 77% of offenders had complied fully with the requirements of their order or licence by the time of our inspection.</li><li>(d) There had been direct benefit to the community in 84% cases where unpaid work had been undertaken by offenders.</li><li>(e) OASys had been re-scored in 76% of cases. Progress in respect of the highest identified priority need was evident in 62% of cases.</li><li>(f) Achievement of sentencing objectives was strongest in the lowest tier cases; 91% experienced appropriate <b>punishment</b>. The objective of <b>control</b> had been achieved in 70% of Tier 4 cases.</li><li>(g) Resources allocated to the case were consistent with the offender's RoH in 91% of cases, and with the likelihood of reoffending in 92%.</li><li>(h) In 80% of cases, resources were judged as being used efficiently to achieve planned outcomes.</li></ul>
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#### Areas for Improvement:

- (a) Increased victim awareness was demonstrated in 41% of applicable cases. Although this was a higher figure than found in many probation areas, it still left room for improvement.
- (b) Twenty-five cases in the sample involved offenders who had a history of perpetrating domestic abuse. Whilst in 14 cases there was evidence from the police Domestic Abuse Unit that there had been no further call-outs to addresses involving the offender, in four cases it was not apparent from the record if any such checks had been undertaken. It was thus unclear how successfully RoH was being managed or reduced in these particular circumstances.

- (c) 7% of cases demonstrated a reduction in the seriousness of offending and 18% in the frequency. More positively, reduced threat to victims and potential victims was evident in 30% of cases. However, in 33% of cases it was judged that there had been no demonstrable benefit to the community from the offender's sentence.
- (d) Where OASys had been re-scored, there was no improvement in the score in 49% of cases. Progress in respect of the second highest priority need was evident in 52% of cases, and in 49% in respect of the third highest priority need. Thinking and behaviour issues were the most common criminogenic factors, present in 81 cases, followed by lifestyle and associates (57 cases). Alcohol misuse and attitudes were the (joint) third most common criminogenic factor, each present in 56 cases.
- (e) In 55% of cases, there was no evidence that learning outcomes or skills had been applied by the offender. 45% showed no indication of positive changes in the offender's attitudes or behaviour.
- (f) Whilst 65% of Tier 2, 3, and 4 cases contained evidence that constructive interventions had been delivered to **help** offenders, this left room for improvement. Only 34% of Tier 3 and 4 cases demonstrated that sentencing objectives in relation to **change** in behaviour were being achieved.
- (g) In four out of ten cases, the offender's PPO status was not matched with appropriate increased resource (such as programmed activities) despite the availability of additional interventions such as mentoring. Across a range of measures, PPO cases scored below the average of other cases, indicating that improvements were needed in practice in order to deliver the required premium service.

**Conclusion:**

This criterion represents a priority for improvement.

**3.2 General Criterion: SUSTAINABILITY OF PROGRESS**

***Results are capable of being sustained between different phases of a sentence and beyond the end of supervision.***

**65%**

**Strengths:**

- (a) There was continuity in offender management, with 71% of cases having experienced only one or two offender managers, including the PSR author.
- (b) 72% of offenders with a criminogenic need, which could be addressed by a community-based organisation, had been made aware of how to find assistance. However, full attention to longer term community reintegration issues had been given to 69% of relevant cases, indicating opportunities for an increased focus on this aspect of work.

**Areas for Improvement:**

- (a) Structured sentence planning had not been given a high priority throughout the sentence in 41% of cases. This was not unexpected given the findings noted earlier in respect of initial sentence planning.
- (b) There was sufficient action by offender managers to consolidate offender learning and reinforce new skills in 63% of cases, which left room for improvement. Specifically in relation to unpaid work, arrangements to recognise and record offenders' achievement of personal and vocational skills were underdeveloped.

**Conclusion:**

This criterion represents a priority for improvement.

## 4. LEADERSHIP AND STRATEGIC MANAGEMENT

### 4.1 General Criterion: LEADERSHIP AND PLANNING

*There is active leadership in the implementation of national policies via local policies and procedures which are regularly monitored and reviewed, through proactive planning with other key agencies, and by promoting the diversity agenda.*

Well met

#### Strengths:

- (a) The area's business plan used the required headings to build on national and regional plans and priorities, as well as including local improvement objectives identified from the EEM self-assessment undertaken annually. Progress against the plan was reviewed on a quarterly basis and reported both internally to staff, the Board and to the ROM. The Board and SMT had a strong business focus and were forward-thinking and ambitious in their approach. The area was already working towards achieving probation Trust status in 2009 and, to this end, Board members and senior managers were involved in a comprehensive 'Boards to Trust' project.
- (b) 84% of offender managers interviewed felt well informed about the area's policies and procedures and all identified these being communicated both by e-mail and through team meetings. Just over half noted that new policies were also discussed with them in supervision, and some offender managers commented positively on the CO's regular newsletter.
- (c) Liaison arrangements with sentencers were generally effective. Surrey's protocol with its courts had been identified as an example of good practice in the Criminal Justice Inspectorates' joint thematic report *Getting Orders Started*, and had been adopted as national best practice. The area conducted regular sentencer surveys, the most recent being undertaken in September 2007. This showed an 80% satisfaction rate. Strategic partners noted generally positive relationships with courts and other criminal justice agencies and commented on the generally good standard of court reports. However, providing sufficient probation staffing in courts was seen as a posing a challenge; this was echoed by sentencers and other court personnel who responded to our questionnaire.
- (d) There was good engagement with the LCJB; at the time of our inspection the CO was its chair and had taken a lead on a number of issues including the development of a multi-agency PPO strategy. There was a strong sense of a joint 'Surrey' approach to criminal justice, with the relevant agencies focusing on improving performance of the whole system rather than simply concentrating on its part. Recent LCJB performance reports (November 2007) showed high levels of confidence in the criminal justice system in Surrey and there was clear evidence of close work between partner

agencies to review and evaluate progress. Very positive links with the Youth Justice Service were noted by partners, including the commitment of appropriate resources, engagement with the management board, and shared training opportunities for staff.

- (e) The area made an appropriate strategic contribution to public protection generally, including chairing the MAPPA SMB. Partner agencies noted in particular the area's contribution to a housing protocol for MAPPA, and the links between this and its work at a strategic level in respect of PPOs. Joint training (with Surrey County Council community safety staff) had been provided for registered social landlords on MAPPA and PPO work, raising awareness of local authority procedures for probation staff, and of criminal justice processes for the local authority. Positive relationships with prisons in the area were noted by partner organisations, with joint work on resettlement issues. They also identified close cooperation with the police, including links at the approved premises. Probation was appropriately represented on the Surrey Children's Safeguarding Board and senior managers were contributing to a serious case review.
- (f) Commitment to collaborative work was very evident from the comments of partner organisations, whether from the statutory or voluntary sector. Some voluntary sector partners, with contracts elsewhere in the region, commented favourably on the inclusive approach taken by Surrey Probation Area. Good links were noted with the county council, especially in efforts by probation to include targets in the LAA for 2008/2009. A strong contribution to multi-agency work, such as in relation to domestic abuse or alcohol services, was welcomed by partner organisations, and the leading role played by the CO was noted by several. Involvement in the Supporting People programme was a high priority for probation, with the CO sitting on the commissioning body and providing a focus both on equalities issues and the links between the regional Reducing Reoffending pathways and the Supporting People programme. There were also joint targets with the DAAT that commissioned the area to deliver DRRs. Several strategic partners identified stretched resources as an issue for the area, both at senior management and operational level, so their outward-focused approach to engaging with other organisations and local communities was seen as commendable.
- (g) Contribution to the work of the South-East Probation Region was a high priority of the area. The CO led on a number of regional initiatives, including chairing the Regional Diversity Forum and the Regional Training Consortium. She had also led the business development agenda by convening and chairing the contestability team which produced the business development strategy for the region. The area was regarded by the NPS improvement and development manager for London and the South-East region as "*a real champion of regional collaboration, providing the glue which bound the region together*". Surrey was seen as '*punching above its weight*' in the region, despite its small size.

- (h) Diversity issues had a high profile in the area and a number of diversity objectives, such as improving sentence compliance by offenders from black and minority ethnic groups, were included in the business plan. The business plan format indicated clearly how delivery would be measured. The CO also chaired a London and South-East Region Steering Group on work with women offenders. This had been responsible for delivery of a common strategy document across the two regions, implementation of which was included in the 2008/2009 plan currently being developed.
- (i) 90% of offender managers interviewed thought that managers in the area demonstrated a professional management approach and 88% that they modelled positive leadership behaviour. These were extremely encouraging results.
- (j) The area was clearly receptive to the findings of regulatory bodies and acted on these to improve performance. A detailed action plan had been produced following our ESI in 2006 and outcomes from this were evident, for example in respect of updated policies and an increased focus on RoH practice. Policy and guidance for the management of the risk of serious harm had been revised in July 2007 and this drew on findings from inquiry reports undertaken by this Inspectorate.

**Areas for Improvement:**

- (a) Some middle managers identified a gap in understanding between themselves and senior managers concerning their particular operational fields. This had led, in their view, to a detachment from the reality of practice and a lack of appreciation of the challenges in implementing change at the operational level. The SMT had also undergone a number of changes in personnel over the last two years and this had been experienced as unsettling. Several middle managers noted increased expectations on them from senior managers, and felt that the difficulties they experienced in meeting these – in the face of staffing problems due to vacancies and the turnover of staff – were not always appreciated. More positively, it was felt that their concerns were now being recognised and a recent development day, focusing on effective communication, had been welcomed by them.
- (b) There was some evidence of the perspective of service users being taken into account in planning processes, for example information from offender surveys was fed into the diversity forum for consideration of any improvements needed. However, the area acknowledged that the information had not proved particularly useful as it had been difficult to identify common themes. It was accepted that more attention needed to be paid to this aspect of business planning.

**4.2 General Criterion: PERFORMANCE AGAINST NATIONAL AND REGIONAL TARGETS**

***Key performance targets are consistently met, with careful attention to diversity issues throughout.***

**Well met**

**Summary of results for Surrey from the NOMS IPPF: April-September 2007**

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

Area score	Good performance

Detailed results for each metric making up the above domains are at Appendix 1.

**Strengths:**

- (a) The achievement of targets was a high priority for the area and considerable work had been undertaken over the previous two years to improve overall performance. The focus on performance management had produced very positive outcomes, as can be seen from the half-year IPPF results in the table above, and Surrey was now ranked as one of the top performing areas in the country. All but two targets had been met and there was particularly strong performance in respect of the NOMS public protection measures. It should be noted, however, that these measures were not identical to inspection criteria. Whilst we found that RoH was successfully managed in most instances, improvements were still needed in the quality of public protection work.
- (b) Performance against targets was monitored routinely on a monthly basis and results were fed back at operational team level as well as to the Board and managers. Senior and middle managers were clearly held to account for performance issues; the area used a framework of accountability meetings with the CO to identify any gaps and find solutions to increase achievement. For example, performance in relation to skills for life referrals across the four centres had improved considerably following the development by the performance and quality team of a database to monitor activity. Middle managers also identified a number of instances where results had been used to improve performance in their particular operational field, including tackling the timeliness of sentence plans

through staff supervision, and making changes to ensure that sustained offender employment was properly identified in case records.

- (c) A quarterly performance improvement report format had been developed for the ROM and the Board's performance forum. The format, which had been commended by the ROM, set out clearly what had been achieved in relation to the SLAs, reasons for any underperformance, and what recovery action was being taken to achieve the required outcome. For example, in relation to the successful completion of orders and licences, the target was acknowledged as a challenging one (given the area's historically high performance in respect of enforcement) and one of the area's four centres was performing below expectation. Recovery action included addressing possible inconsistency in case recording. A similar process was being undertaken in respect of the DRR target, where the reasons for underperformance were more complex and were being tackled at a variety of levels, including regionally and nationally.
- (d) Strong performance against targets in relation to referrals to skills for life provision, and offenders retaining employment demonstrated a focus on these aspects of individual offender need. There was other evidence of attention to diversity in meeting targets, for example the provision of accredited programmes during the evening and at weekends, and the availability of weekend unpaid work placements to meet the needs of offenders in employment.
- (e) The area had begun to put in place quality management systems to ensure a focus on quality was embedded in its processes. An example of this was in relation to the production of court reports where case administrators ensured that all PSR files were completed to the required standard.
- (f) Examples of cooperative working to achieve targets were evident, both across criminal justice agencies and more widely. Within the LCJB there was a strong focus on the criminal justice agencies working together to improve performance, including building public confidence. Joint 'end to end' enforcement targets in relation to adult offenders were being met and the LCJB's PPO strategy identified the contribution of all agencies to reducing reoffending. Although there were currently no probation targets within the LAA this was set to change in 2008/2009, with three probation-related targets proposed. In terms of partnership work with Surrey DAAT and the Supporting People team, the area jointly employed (with the DAAT) a housing strategy advisor, who was jointly managed by the Surrey Supporting People team. This enabled all three agencies to pool their expertise in dealing with offenders with substance use and accommodation needs.
- (g) Within the region, work had taken place to improve the quality of OA Sys as part of an increased focus on RoH practice, and the area had engaged with a number of regional projects and activities to draw on best practice elsewhere. Best Value exercises relating to

unpaid work and accredited programmes enabled the area to benchmark its performance against that of its neighbours and identify where it could reduce costs whilst maintaining quality.

**Areas for Improvement:**

- (a) Although the area was meeting the relevant targets, provision in respect of skills for life, and information, advice and guidance, was not meeting some offenders' needs. For example, offenders had no opportunity to improve literacy or numeracy skills whilst undertaking unpaid work, and there were no arrangements within ETE provision to support learners with dyslexia.
- (b) Whilst almost all targets had been achieved, improvements were needed in relation to DRR starts, and in the percentage of community orders and licences completed successfully. Improvement plans were in place to tackle both these issues.

**4.3 General Criterion: RESOURCE DEPLOYMENT**

*There is a strategic approach to deploying resources to deliver effective performance and support diversity initiatives and there are positive indications in relation to value for money.*

**Satisfactorily met**

**Strengths:**

- (a) The area had a positive reputation for good financial management and had not needed to make cuts in services to balance its budget.
- (b) Despite difficulties in recruiting unpaid work supervisors, the area was able to provide sufficient unpaid work placements to meet sentencing demands by moving supervisors around the county, indicating a flexible approach to resource deployment to meet need.
- (c) The offender management model had been implemented, with separately defined roles for offender managers and those delivering interventions, and the area was taking a longer term strategic view about its staffing needs for the future, for example through the Workforce Planning Group noted in section 4.4 below. It made extensive use of its PSO grade staff (offender manager As) and gave a clear priority to RoH work, with PO staff (offender manager Bs) focusing on practice with offenders posing a high RoH.
- (d) As noted elsewhere in the report, the area was commissioned by the DAAT to deliver DRRs, thus bringing additional resources to its work with offenders. It similarly accessed additional resources through the housing strategy advisor post, employed jointly with Surrey DAAT.
- (e) The area was a partner in two ESF/LSC joint funded regional projects which aimed to provide information, advice and guidance for employed offenders (Building Futures) and unemployed offenders (Opportunities in Learning). A separate project, Creating Futures, was funded by the ROM to provide information, advice and

guidance, and employability training, initially for sex offenders but now for PPOs. All three projects provided additional resources for work with offenders as did the skills for life provision in each of the area's four Offender Management Units which was provided by NACRO under contract from the LSC.

- (f) Implementation of the national workload management tool started in the autumn of 2007. Largely welcomed by staff, it was used to make allocation and work prioritisation decisions more transparent.
- (g) Despite its small size, the area supported a diversity officer post. As well as overseeing the Race Equality Strategy, the postholder had (amongst other activities) undertaken quality sampling of court reports (finding no differential service to white or black and minority ethnic offenders), and devised training to ensure good practice within employment legislation requirements. To meet the needs of the high number of offenders in employment, arrangements had been made for many unpaid work placements to be available at weekends and the pre-placement work session took place on Saturdays. Similarly, most of the accredited programmes were available in the evenings.

**Areas for Improvement:**

- (a) In the PPO cases inspected, there was limited evidence of a premium service being in place. In view of the local, broad, identification criteria for PPOs in Surrey, the area had taken a decision not to allocate all PPO cases to Tier 4 and thus PPO cases were being managed mainly by PSOs rather than automatically allocated to POs. Whilst the area saw this as an appropriate use of limited resources - given the nature of the cases – it was not clear that PPOs were receiving the proportionate resources required to tackle criminogenic need and reduce reoffending. Although the area had issued updated guidance to staff in September 2007, this lacked detail about the premium service expected in PPO cases under supervision and, in the cases we saw, offender managers' understanding of what was required was limited mainly to a focus on increased frequency of reporting and swift enforcement.
- (b) Whilst probation staffing for the Crown Court and one magistrates' court was seen by some operational managers as being sufficient to provide appropriate information to sentencers, others were concerned that they could not meet sentencer demand for FDRs. Some respondents to our questionnaire to sentencers and other court personnel also noted that staffing levels were not always sufficient for their needs and FDRs were not available to them as swiftly as they would wish.

<b>4.4 General Criterion: WORKFORCE PLANNING AND DEVELOPMENT</b> <i>Workforce planning and development leads to a good match between staff profile and service delivery requirements. Relevant diversity legislation is observed in staff recruitment and deployment.</i>	<b>Satisfactorily met</b>
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<b>Strengths:</b>	<p>(a) Historically, the area had a high turnover of staff, in part due to the 'pull' of the London area and its higher salaries. To meet service delivery needs Surrey had moved from a quarterly recruitment process to a monthly one, and included staff mobility across the area as an expectation in its recruitment policy. Both of these changes had been welcomed by operational managers, although there were still difficulties in filling some posts, for example reception staff.</p> <p>(b) A Workforce Planning Group had been set up in 2007 to consider issues which would affect the workforce in the short and longer term. Involving Board members, senior and operational managers, it was attempting to map future workforce requirements against the current profile, including considering the impact of a move to probation Trust status.</p> <p>(c) Out of 49 offender manager staff interviewed, 80% thought that their training and development needs were being met. Case administrator staff also spoke positively of the development opportunities offered to them. TPO staff were satisfied with the attention paid to their learning and development needs. The area held accredited Investors in People status and was working towards achieving Investors in Excellence accreditation.</p> <p>(d) 94% of offender managers we interviewed were clear about their role in the offender management model, and this was echoed by both probation and partner agency staff delivering interventions.</p> <p>(e) There was evidence of a constructive working relationship with trades unions. For example, they had been involved in development of the revised HR policy.</p> <p>(f) A new sickness absence policy had been introduced in 2007 that focused on good attendance and absence management. It was already having an impact as sickness absence had reduced to an average of eight days. 92% of offender manager staff we interviewed were clear about the processes and policies the area had in place to address staff sickness absence. Operational managers also spoke positively about the policy, but would welcome more training and development in handling HR issues generally.</p> <p>(g) Arrangements for staff supervision generally were good. All offender manager staff interviewed reported that they received formal supervision at six weekly intervals or more frequently, and 90% described the quality of supervision as sufficient or excellent. A standardised format for supervision was used that included a focus on diversity issues and continuous professional development.</p>
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- (h) 88% of staff (not including TPOs) reported having had an appraisal within the previous 12 months, and the vast majority were said to be linked to the business plan.
- (i) The area operated in accordance with the Race Relations (Amendment) Act 2000 in respect of all its responsibilities, including as employer. A Race Equality Scheme was in place that was reviewed regularly. Examples of attention to diversity issues in employment included a support group for Black and Asian workers, and the design and delivery of awareness training for staff on faith, sexual orientation and disability. Open to all staff, Board members and the SMT also undertook the training. Impact assessments of all policies were underway and were due to be completed by March 2008.

**Areas for Improvement:**

- (a) Staffing shortages within the programmes team had resulted in insufficient treatment manager provision for IDAP, so the support and development needs of tutors were not being met fully.
- (b) 44% of offender manager staff interviewed indicated that they had not completed an ethnic monitoring questionnaire in the past 12 months, though some did comment that they might have completed one and not remembered it.
- (c) Whilst a comprehensive training and development plan was in place, which linked clearly with the area's business plan, it was not costed.

**4.5 General Criterion: REVIEW AND EVALUATION**

*Outcomes of interventions are assessed and reviewed using available data.*

**Partly met**

**Strengths:**

- (a) Within the substance misuse team, the outcome of interventions was now recorded against the treatment outcome profiles (TOPs) and quarterly feedback received to improve understanding of what was effective.
- (b) Unpaid work beneficiary surveys were undertaken on a regular basis. The most recent had been completed in 2007 and indicated positive levels of satisfaction overall. Several areas for development had been identified from this, such as the consistent provision of offenders for projects and the quality of work undertaken, and these issues were being pursued by unpaid work staff. Also within unpaid work, cases were sampled on a quarterly basis and the results fed back to teams.
- (c) There were processes in place to spread the learning from SFO reviews, complaints and concerns. For example, following criticism concerning a PSR, the area had sought advice from NOMS and issued further guidance to staff, clarifying the recording of authorship of a report where there had been changes made by a

	<p>manager in the absence of the original report writer. Few complaints were received by the area; six were investigated in 2006/2007 and only one was upheld. There had been no deaths in approved premises. A new quality assurance process for managing SFOs was being implemented at the time of the inspection. In particular, this was designed to ensure that feedback to practitioners occurred in a timely way, and that the outcomes were spread amongst the middle manager group by identifying organisational learning on a six monthly basis.</p> <p>(d) Operational managers confirmed that performance monitoring was discussed regularly in teams and practice altered as a result, for example in relation to improvements in the quality of OASys following internal and regional audits.</p>
<b>Areas for Improvement:</b>	<p>(a) Service users' views were collected through exit interviews at the completion of community orders and licences. However, whilst these had been used to inform business planning, they were not routinely evaluated and used to improve service delivery.</p> <p>(b) We were told by the area that monitoring of sentencing proposal/disposal and completion data was undertaken but had yet to be presented in a user-friendly format. Several sentencers and other court personnel who responded to our questionnaire indicated that they would welcome such information.</p> <p>(c) Whilst aggregated information from OASys had been used to inform commissioning, there was no routine collection of outcome data across interventions which was then used to aid improvement in practice. Evaluation of learning and skills provision was limited, thus it was difficult for the area to identify trends in offenders' success rates in achieving qualifications, for example, or to assess the quality of provision.</p> <p>(d) There was little evidence that information about the outcomes of interventions, or research findings in relation to effectiveness, were discussed in teams or used to inform practice.</p>

<b>4.6 General Criterion: COMMISSIONING OF SERVICES</b> <i>There is efficient provision of effective services to support offender management outcomes and to ensure equal access to provision for offenders.</i>	<b>Satisfactorily met</b>
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<b>Strengths:</b>	<p>(a) The area had been actively engaged with the ROM in identifying the criminogenic needs of offenders in Surrey. Based on aggregated OASys data, it had produced an extensive report analysing need, and charting current provision and gaps. This was forming the basis of further development of interventions such as alcohol services, which was seen as a major gap. To meet need, a brief intervention project had been funded from April 2007 by Surrey County Council</p>
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under the LAA, steered in conjunction with the DAAT. Provided in partnership with a voluntary agency, the project was targeted at the needs of the Youth Justice Service, police and probation and, at the time of the inspection, 90% of referrals had come from the probation area.

- (b) Where services were commissioned through other bodies, the area played an active part in their commissioning arrangements, for example through the DAAT and the Supporting People programme. It had updated its partnership strategy in 2007, making clear its long-term commitment to build alliances with other public, private and third sector providers to offer the ROM services at Best Value to reduce reoffending.
- (c) Following the decommissioning of the original DRR service because of concerns about quality, the area was commissioned by the DAAT to provide the service which was undertaken in-house by a countywide team. This was seen by the area as a model for developing an ATR in the future.
- (d) Best Value reviews of unpaid work and of accredited programmes for women offenders had been undertaken as regional exercises, designed to ensure services were of a high quality and represented good value for money. Whilst the area had compared favourably with its neighbours, a number of improvements had been identified as a result and were being addressed at the time of the inspection.
- (e) The area contributed to sharing resources across the region, with a number of shared posts with other probation areas, such as a health and safety post with one area, and shared HR services with another.
- (f) In discussions with offender managers, few gaps in service provision impacting on the effective management of the case were identified; only 15 cases noted this. See the areas for improvement, below, for the main concern indicated.
- (g) Generally, additional services used with offenders were rated highly in the inspection, based on the case assessments undertaken. There was 100% satisfaction with the offender employment services provided, and 93% with the education and training services. Out of seven cases accessing mental health services, provision was rated as good or excellent in five cases. Satisfaction with other services, which included provision of accredited programmes, was rated as sufficient in all but one case. Staff from partner organisations were well integrated into the work of the probation area, having direct access to case records. This was much appreciated by them and contributed to effective offender management.
- (h) Partner agencies described good relationships between the area and local prisons, and some joint training on the implementation of Phase III of the offender management model had been undertaken between community and custody staff across the region to prepare for the extension of provision to IPP sentence prisoners.

**Areas for Improvement:**

- (a) There was limited evidence of service user views being a key factor in commissioning, maintaining or decommissioning services. One example was the change of focus of the mentoring scheme; initially set up to provide specific support for sex offenders it had now changed to supply mentoring for PPOs.
- (b) The loss of the substance misuse worker posts, which had been funded through the DAAT (in part by the NTA), was felt keenly by offender managers. Not part of the DRR work, these posts had provided initial assessments and some interventions in respect of both alcohol and drug use. Drug and alcohol services used with offenders were seen as insufficient in 23% of relevant cases. To reduce the impact of this gap in service provision, the area had worked with the DAAT and the local authority to commission the alcohol brief intervention service, referred to earlier in this report.
- (c) Whilst we saw some individual examples of good offender management work 'through the prison gate', frequent movement of prisoners within the estate posed challenges for effective offender management in the community. Prisoners from Surrey were scattered across the country and operational and strategic staff spoke of their difficulties in maintaining appropriate contact with offenders in the face of distance, and of limited access to video conferencing facilities. In 43% of custody and licence cases in the sample, there were concerns about the effectiveness of working arrangements between offender managers and prisons.
- (d) Although evident attention was paid to the individual needs of offenders and victims, no specific services had been developed to support work with minority groups.

APPENDIX 1  
IPPF: April-September 2007

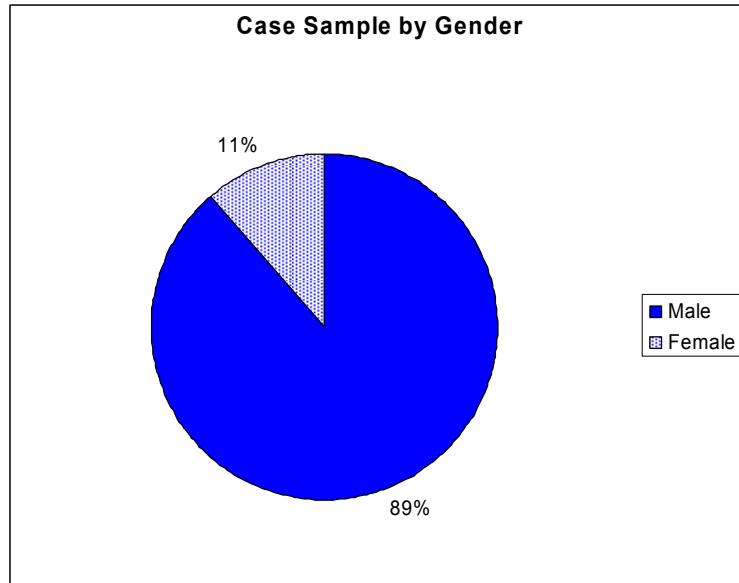
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IPPF is the performance framework operated by NOMS. Under this, for each probation area, a score is assigned for each of four 'domains' as indicated, based on results for the metrics specified. Using these scores, an overall score for the probation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

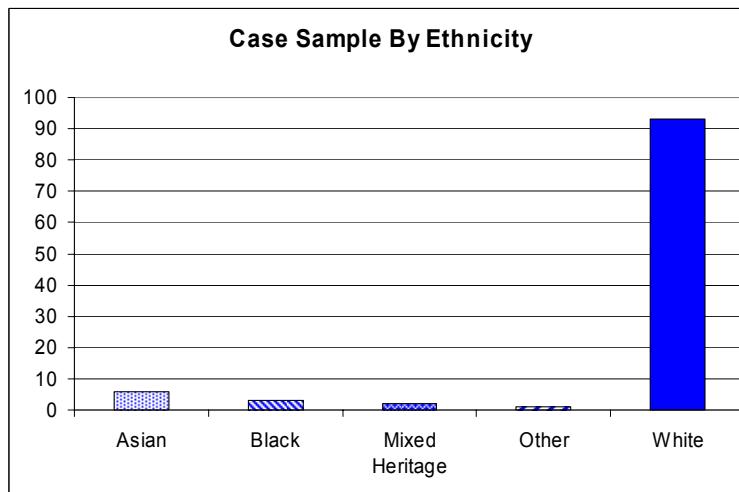
## **APPENDIX 2**

### **Contextual information**

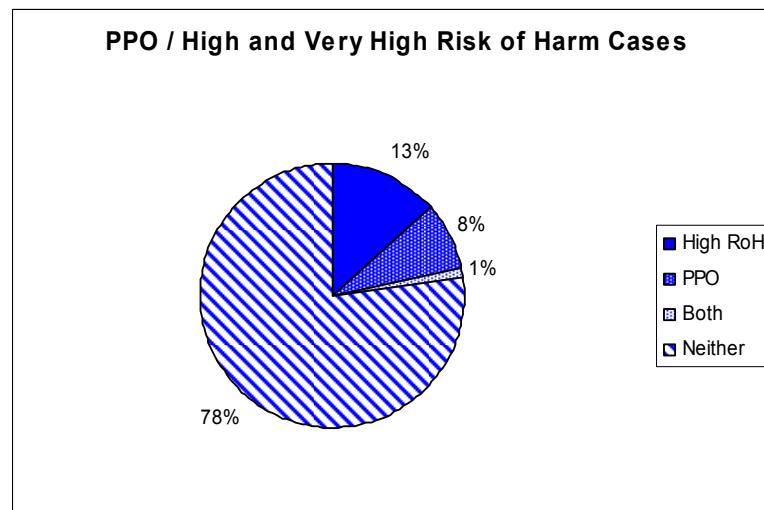
The chosen sample takes into consideration the number of female offenders in the area. A representative number is then included in the sample of cases.



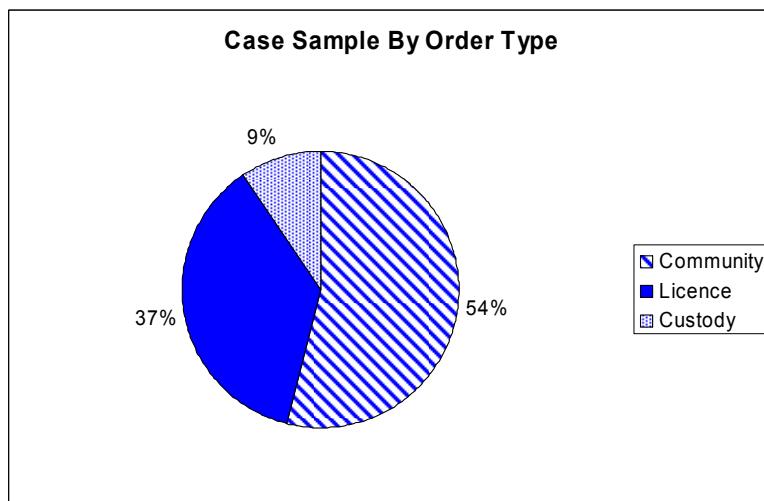
The chosen sample takes into consideration the number of black and minority ethnic offenders in the area. A representative number is then included in the sample of cases.



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



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



## Caseload at end of June 2007

Total caseload	2,085
% White	91.9%
% Minority ethnic*	8.1%
% Male	89.7%
% Female	10.3%
Number of cases subject to MAPPA:	
Level 1	97
Level 2	81
Level 3	0
Number of PPO cases	90

\* Excluding cases for which ethnicity information is not available.

The local definition of a PPO case – on which the above figure is based – is *any individual who is assessed by the local management body of PPO schemes in Surrey as being a PPO*.

**Total revenue budget in 2006/2007:** £9,208 m

**Total revenue budget in 2007/2008:** £10,063 m

**Approved premises:** St. Catherine's Priory – capacity 12

## **APPENDIX 3**

### **Inspection model, methodology and publication arrangements**

#### **Model**

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

#### **Methodology**

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

#### **Publication arrangements**

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

## **APPENDIX 4**

### **Scoring Approach**

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

**<http://www.inspectorates.homeoffice.gov.uk/hmiprobation>**

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

#### **Section 1: Assessment and sentence planning**

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

#### **Section 2: Implementation of interventions**

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

#### **Section 3: Achievement and monitoring of outcomes**

- 3.1 Achievement of initial outcomes
- 3.2 Sustainability of progress

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

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

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

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

#### **Section 4: Leadership and strategic management**

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

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

## **APPENDIX 5**

### **Role of HMI Probation**

#### **Statement of Purpose**

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

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

#### **Code of Practice**

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

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

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

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