



A report on Offender Management in:

Hertfordshire

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

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FOREWORD

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

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

Over the area as a whole, we judged that the work to keep to a minimum each individual's *Risk of Harm to others* – i.e. the 'Control' purpose' - was done well enough 65% of the time. The work to make each individual less likely to reoffend – the 'Help' and 'Change' purposes - was done well enough 65% of the time. Work to maximise compliance and enforcement was done well enough 72% of the time. A more detailed analysis of our findings is provided in the main body of this report, and summarised in a table in Appendix 1.

The inspection took place during a week of heavy snow. Staff and managers in Hertfordshire made exceptional efforts to ensure that the inspection could continue with minimum disruption. In the event, a total of 13 cases (from an original sample of 140) could not be inspected and were removed from the sample. In a further eight cases, the interviews with offender managers took place by telephone instead of face-to-face. It is difficult to estimate the impact of this on the inspection findings; however, in fairness to Hertfordshire, we would acknowledge that, in these cases, offender managers had less opportunity to discuss in depth with us their work with the individual offender, or to direct us to evidence of the delivery of interventions.

Overall, although this is a somewhat disappointing set of findings, we note that it shows continued progress when compared with previous inspection results. The area's managers have, in recent years, shown good strategic planning, good partnership working and an ability to tackle poor performance. They now need to focus more detailed attention on the quality of offender management and in particular on ensuring that the *Risk of Harm to others* is well managed more often. If sufficient attention is given to the quality of work with offenders, the area has the potential to make the necessary improvements.

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HM Chief Inspector of Probation

March 2010

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The inspection took place during a week of heavy snow in Hertfordshire. We would particularly like to thank everyone who made exceptional efforts to ensure that the inspection could, as far as possible, continue as planned.

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SCORING AND SUMMARY TABLE

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

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

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

'Control' – Risk of Harm to others score:	
This score indicates the percentage of <i>Risk of Harm to others</i> work that we judged to have met a sufficiently high level of quality. This score is significant in helping us to decide whether an early further inspection is needed.	
Score: 65%	Comment: <i>SUBSTANTIAL improvement required</i>

'Help' and 'Change' – Likelihood of Reoffending score:	
This score indicates the percentage of <i>Likelihood of Reoffending</i> work that we judged to have met a sufficiently high level of quality.	
Score: 65%	Comment: <i>SUBSTANTIAL improvement required</i>

'Punish' – Compliance and Enforcement score:	
This score indicates the percentage of Compliance and Enforcement work that we judged to have met a sufficiently high level of quality.	
Score: 72%	Comment: <i>SUBSTANTIAL improvement required</i>

We advise readers of reports not to attempt close comparisons of scores between individual areas. Such comparisons are not necessarily 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 headline summary of what we have found in an individual area, and providing a focus for future improvement work within that area.

SUMMARY

Assessment and sentence planning {Overall Score = 73%}

The area had developed good working relationships with the courts. Sentencers were generally satisfied with the quality of reports and the drive to increase the number of fast delivery reports had been well received. In most reports, we found clear proposals commensurate with the seriousness of the offence. Where there was a proposal for a community order, reports included an outline plan with relevant objectives.

In too many cases, the Risk of Serious Harm screening had either not been completed or was inaccurate. As a result, the classification of the Risk of Serious Harm was not correct in some cases and some lacked a full analysis. The analysis was of a sufficient quality in less than half of the relevant cases we inspected. Risk management plans were completed but often did not describe the actions to manage the risks.

Most cases were allocated promptly and to the appropriate tier within the offender management model. Sentence plans were completed on time but a third did not contain sequenced, outcome focused objectives. Insufficient attention was paid to offender engagement, including assessing learning and skills needs where indicated by a screening. Few offenders had individual learning plans that were linked with the sentence plan.

Implementation of interventions {Overall Score = 69%}

In the majority of cases, offenders received a timely induction and were made aware of the expectations on them. Frequency of contact with the offender generally met the national standard and took account of the *Risk of Harm to others* and the Likelihood of Reoffending. Although judgements about the acceptability of missed appointments were generally appropriate, breach or recall should have been undertaken more promptly on some occasions, particularly where there were concerns that the *Risk of Harm to others* was increasing. Assessments had been reviewed on time in two-thirds of cases; the quality was variable and in a number the original assessment had not been updated. Sentence plans were not always reviewed and updated when there were changes in circumstances.

Offender managers were committed to their work with offenders; they coordinated the work of others delivering interventions, and communication between those involved was good. As a consequence, there was evidence of positive and constructive relationships with offenders.

The use of multi-agency public protection arrangements was well established and it was clear that, in three-quarters of the cases, probation staff and other agencies had made effective contributions to the arrangements. In a few cases, however, agreed actions were not recorded, followed through and reviewed well enough. The same was true of multi-agency work in relation to the Safeguarding of children. Management oversight of *Risk of Harm to others* work was too often of insufficient quality.

The victims interviewed were generally very satisfied with their contact with the probation area, but in some of the cases inspected, the initial contact with the victim had not been made within the required timescale.

There was some confusion about the identification of prolific and other priority offenders and in some parts, resources for the scheme seemed overstretched. Half these offenders were not receiving an enhanced service.

Achieving and sustaining planned outcomes {Overall Score = 50%}

Most sentences were delivered as intended by the court and we found evidence of positive changes in the lifestyles, attitudes and behaviour of some offenders.

Insufficient action was taken to keep to a minimum the *Risk of Harm to others* in one-third of cases. In too many cases, there was limited evidence of work to increase the safety of victims or to increase the offender's victim awareness.

The area had developed excellent links with other organisations at a strategic level, and we saw some good examples of cases where offenders had been able to access resources designed to reduce the Likelihood of Reoffending. Overall, however, there was insufficient evidence in case files about work that was undertaken with individual offenders to promote community integration and encourage future engagement with community organisations. Few offenders had gained educational qualifications.

Leadership and strategic management

The Hertfordshire Probation Area had made a successful bid for trust status in 2009. The business planning approach was well developed, with a strong strategic plan, clearly supported by organisational development, financial and workforce planning, and performance and delivery strategies. Previous poor performance against national targets had been tackled effectively and the improvements were being sustained through process improvements and performance monitoring. Close collaborative relationships existed between criminal justice agencies at a strategic level and liaison with courts and sentencers had been remodelled.

The deployment of staff was informed by analysis of workload trends and projections based on the national change model. Data was used effectively to inform the allocation of additional resources when these were made available by NOMS. In several cases, the use of these resources drew in additional funding from external sources, such as Supporting People and the Hertfordshire Criminal Justice Board. A well developed commissioning framework was in place and partnership contracts were subject to review. The strong strategic partnership with other agencies was opening up opportunities for joint commissioning.

Training was a strong feature of the workforce management. The majority of staff interviewed felt well equipped to do their job and appreciated the opportunities for development. The area had invested in management training as a support to strategic and organisational development. Middle managers had also received training and, on the whole, offender managers felt well supervised and managed.

The main area for improvement was in the use of outcome information to inform an assessment of the effectiveness of partnership arrangements, interventions and offender management.

Each of the criteria in the Leadership and Strategic Management section has been graded below, according to the four-point scale described in Appendix 6.

General Criterion	Score
4.1 EFFECTIVE LEADERSHIP MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY	Sufficiently effective
4.2 EFFECTIVE RESOURCE DEPLOYMENT MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY	Sufficiently effective
4.3 EFFECTIVE WORKFORCE PLANNING AND DEVELOPMENT MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY	Sufficiently effective
4.4 AN EFFECTIVE REVIEW AND EVALUATION REGIME MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY	Not sufficiently effective
4.5 EFFECTIVE PROVISION OF ACCESSIBLE SERVICES MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY	Sufficiently effective

Ofsted: overall effectiveness including capacity to improve.

Hertfordshire Probation Area made good use of court orders to address offenders' learning needs and to help them to improve their employability. However, after sentence, learning needs were insufficiently addressed and were not linked effectively to sentence planning. Where offenders were referred for assessment, many did not attend. Attendance at learning sessions was poor, learning programmes were poorly structured and there was little monitoring of progress against plans. Success rates on literacy and numeracy programmes were low.

Timely information, advice and guidance services were not always available and opportunities to develop employability skills through unpaid work were underdeveloped. However, some offenders received good support from volunteers and made good use of job clubs. Outcomes linked to employment were good.

Operational management was not sufficiently effective. Hertfordshire Probation Area's quality assurance systems were underdeveloped and progress to improve the provision was inadequate.

RECOMMENDATIONS FOR IMPROVEMENT

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

1. a timely and accurate screening of the individual's *Risk of Harm to others* is completed in all cases, and where appropriate leads to a full analysis
2. a timely and good quality risk management plan is completed in all relevant cases
3. the sentence plan is specific about what will be done in order to reduce the likelihood of reoffending and to minimise any identified *Risk of Harm to others*
4. the assessment, sentence plan and risk management plan (where relevant) is thoroughly reviewed, particularly following a significant change
5. work designed to reduce the Likelihood of Reoffending and the *Risk of Harm to others* is delivered as planned and as appropriate to the case
6. there is evidence in the case file of regular and effective involvement by managers, as appropriate to the specific case.

Ofsted recommendations

To improve, the area needs to:

1. ensure that a range of provision is available to meet the assessed needs of offenders
2. improve the use of individual learning plans and their links with sentence plans by ensuring that they are informed by assessment and timely information, advice and guidance and are outcome focused.
3. improve the quality of each offender's learning experience.

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

SHARING GOOD PRACTICE

Below are examples of good practice we found in Hertfordshire Probation Area:

Participation in the planning process: OMI 2 Criterion: 1.4b	The <i>Stepping Stones to Success</i> sentence planning tool was used in this case to ensure that the offender was involved in agreeing objectives which he could then use to measure his own progress. The tool was used again, where necessary, at various points between reviews to re-engage the offender and to try to motivate him towards positive outcomes. The offender was clear from the outset what was expected of him and was regularly reminded of the work he had agreed to complete.
Victim safety: OMI 2 Criterion: 2.2.e	This victim of domestic violence had been in contact with the VLO for two years. Whilst the offender was in custody, she had received threats from his family and friends, which she disclosed to the worker and, with the worker's encouragement, reported to the police. Physical support, such as different door locks, house alarms and a personal alarm were then provided. Her continuing residence at the former family home was far from ideal and she was helped by both the VLO and the police to negotiate a move to a new flat under the same housing association.
Promoting compliance: OMI 2 Criterion: 2.4b	One offender found it difficult to remember appointments because of his alcohol dependency. The offender manager gave him the same time and the same day for his appointments each week. At every appointment, she rewrote his appointment sheet out for the next four weeks. The offender then kept all his appointments.
Identifying vulnerability: OMI 2 Criterion: 2.4c	The offender manager told the prison and the offender supervisor about a vulnerable offender. Their concerns were discussed at a sentence planning board, and as a result the offender was moved to an establishment near to his support network. The assessment of his vulnerability was fully recorded and informed decisions about his sentence plan.
Improvement in factors linked to offending: OMI 2 Criterion: 3.3.c	This offender had multiple needs and a chaotic lifestyle. The offender manager identified the key areas to address to reduce her likelihood of reoffending – namely, to tackle her alcohol use, support her in managing her mental health problems and to ensure good liaison with the social worker about her children. At the end of the order, the offender continued to need substantial support to function appropriately in the community. The offender manager made extensive efforts to involve local organisations and ensured the continued involvement of the community drug and alcohol services and additional support with his accommodation.

SERVICE USERS' PERSPECTIVE

Offenders

Five offenders completed a questionnaire for the inspection. Two offenders were interviewed. Unfortunately because of heavy snow during the inspection week, some planned interviews with offenders were cancelled.

- Four of the offenders who completed the questionnaire said they had received a clear induction and explanation of supervision. Two remembered discussing their sentence plan; one had felt involved in drawing up the plan. All five said that their progress had been discussed with them, and believed that probation staff and those from other agencies had worked well together.
- Most of the offenders who expressed a view felt that they had been helped by the probation service during their supervision. One noted: 'through their help in one to one and group sessions I have been sober for over five months. Thank you.' Of those who completed the questionnaire, three reported that they had received help in making links with other organisations in the community. All five said that they had a good working relationship with their offender manager; four reported that as a result of their work with the probation service they were less likely to offend in the future and said that they were now more aware of the victims of crime. One commented: 'this supervision order has opened my eyes to the life I could lead and what life I am going to choose. I have very much learnt my lesson.'
- The offenders who had attended an accredited programme had found the content interesting and useful and recalled the 'stop and think' techniques. They described programme staff as skilled and courteous, and able to manage disruptive behaviour in the group. They valued the clarity about the rules regarding programme attendance. One reported that diversity needs had been discussed, but difficulties attending the group had not always been fully recognised.
- A total of 17 offenders were interviewed by Ofsted as part of the inspection process, individually or in groups. Many offenders recognised the benefits of improving their Skills for Life. They valued the individual support received from their tutors and the extra help from volunteers, but did not find their learning plans helpful. Successful offenders commented that achieving a qualification had encouraged them to improve further.
- Some offenders interviewed by Ofsted thought that the job clubs helped them in job-searching and other activities; others felt that they needed more help to find a job and that more vocational training courses should be available. They thought that the community payback schemes were dull and that they did not allow them to develop their skills. Some offenders were unaware that they could use 20% of their hours to develop skills that would enhance their job prospects. Offenders felt that they were treated with respect by their scheme supervisors, but some thought their offender manager was not interested in what they were achieving on their community payback scheme.

Victims

No questionnaires were completed by victims for the inspection. Because of heavy snow during the inspection week, we were unable to meet with victims as arranged. However, five agreed to be interviewed by telephone.

- All of the victims we spoke to had been contacted by the VLO within a month of sentence and face to face contacts occurred within six weeks. They were all happy with the arrangements for contact, being able to request a meeting with the VLO or, as time went on, to deal with matters by telephone. All described the VLOs as reliable and said that arrangements for contact took account of individual needs.
- In all of the cases where the offenders had been released, the victims had been appropriately informed and had been able to contribute to the parole processes where relevant.
- The sensitive approach of VLOs and Women's Support Workers was appreciated by victims. One reflected; *"I wasn't put through a process. It felt like people cared"*. Another commented that the worker had *"a very gentle, tactful approach...it was so nice to have a friendly service as opposed to one just doing their job."*

Courts

Twelve questionnaires were completed by sentencers for the inspection. We met with seven sentencers and three legal advisors during the inspection week.

- All 12 sentencers who completed questionnaires were satisfied with the quality of oral reports, FDRs and SDRs. All but one reported that they received sufficient information from probation to help them determine which type of PSR should be requested. Eleven of the 12 respondents said that reports were made available within the timescale required by the court.
- All but one of the sentencers felt that sufficient information was provided to aid the sentencing process. The same number said that they received all the information they needed about current probation policy and practice.
- Nine out of 12 sentencers believed that arrangements for enforcement were working well in their courts.
- Liaison arrangements between probation and sentencers were described as effective by all who answered the question. All of those expressing an opinion on the probation area's involvement with the LCJB thought the engagement to be effective.
- Eight out of 11 respondents thought that probation staff levels in the court were sufficient to provide sentencers with appropriate information to aid decision making. Those who answered in the negative recognised the competing demands on staff in working in the court setting. Only 1 out of 12 thought that the probation staff in court did not have sufficient knowledge and skills to work effectively in the court.

1. ASSESSMENT AND SENTENCE PLANNING

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

Score:	Comment:
88%	MINIMUM improvement required.

Strengths:

- (a) A standard or fast delivery PSR had been prepared in 59 of the cases inspected. In a further eight cases, an oral report had been given. In all but one case, we found the reports to be of the appropriate type. All of the SDRs or FDRs had been prepared within the timescale set by the court. The nationally approved format was used in all cases and 80% of reports were suitably concise.
- (b) PSRs were based on the required assessment of the LoR in 94% of cases; 90% of these assessments were accurate.
- (c) A clear proposal for sentence was included in 97% of reports. In 94% of cases, the proposal was proportionate to the seriousness of the offence. Where necessary, 84% of PSRs proposed requirements designed to keep the *RoH* presented by the offender to a minimum.
- (d) A community sentence was proposed in 87% of reports; in 86% of these cases the proposal was followed by the court. An outline sentence plan was included in most SDRs where a community sentence was proposed. All but one of these outline plans contained objectives which related to the intended purpose of the proposed sentence.
- (e) Where relevant, concerns about the offender's vulnerability were recorded in 84% of PSRs.

Areas for Improvement:

- (a) Although 88% of the SDRs and FDRs were based on an assessment of the *RoH*, 19 (32%) did not contain an accurate analysis of the *RoH* presented by the offender.
- (b) The objectives in the outline sentence plans failed to take full account of the assessed LoR and *RoH* in around one-quarter of cases. In a similar number, the plans did not specify the desired outcome for the proposed interventions. Although any concerns about vulnerability were generally identified in the PSR, these were clearly recorded in the outline sentence plan in less than half of relevant cases. There were also isolated examples of appropriate objectives from the outline plan not being included in the ISP.

1.2 General Criterion: ASSESSMENT AND PLANNING TO MINIMISE RISK OF HARM TO OTHERS

RoH is comprehensively and accurately assessed. Plans are made to keep to a minimum the individual's RoH.

Score:

71%

Comment:

SUBSTANTIAL improvement required.

Strengths:

- (a) A RoSH screening was completed at the start of sentence or licence in 91% of cases; it was completed on time in 82% of the sample.
- (b) The RoSH classification was accurate in 86% of cases.
- (c) A full *RoH* analysis was completed in 89% of relevant cases, with 78% being done on time. Despite the areas for improvement identified below, the analysis did correctly identify who was at risk in the specific groups (children, the general public, known adults) in around 70% of cases. Risks to staff and other prisoners were identified in over 80% of relevant cases.
- (d) A risk management plan was prepared in 82% of cases, where required, and in 72%, was completed on time. The appropriate format had been used for 83% of plans.
- (e) Additional restrictive conditions or requirements were included in the order or licence in 30 cases. In all but two, the requirements were proportionate to the protection of victims and to the assessed level of *RoH*.
- (f) Twenty-five cases met the criteria for referral or notification to MAPPA. Of these, 23 were referred to MAPPA. The referrals were undertaken in a timely manner. The initial level of MAPPA management was appropriate in all referred cases.

Areas for Improvement:

- (a) The RoSH screening was not accurately completed at the start of sentence in 29% of cases in the inspection sample. This figure included both those cases where the RoSH screening was either not completed (11) or where it was inaccurate (25).
- (b) Where we considered that the RoSH classification was not correct, we judged that it was too low in 16 cases and too high in only one case. The majority of errors related to a failure to identify cases that should have been classified as medium RoSH (14 cases). Nine of these were licence cases and a further two were community orders sentenced without a PSR.
- (c) Only 41% of relevant cases had a RoSH analysis of sufficient quality at the start of sentence. In some cases the full analysis had not been completed where it was required. In none of these case was an explanation recorded on the file.

In summary of the last three points, there appeared to be a gap in assessment processes. As a result, some cases were not screened;

some were screened inaccurately, with relevant convictions overlooked; others were screened, but even where a relevant offence was identified, there was no automatic process to ensure that a full RoSH was completed.

- (d) The assessment drew on all available sources of information in 62% of cases and previous relevant behaviour was considered and taken into account in 72% of cases.
- (e) A comprehensive risk management plan was prepared in only 26% of cases. Many were limited to a list of risk factors and details of the other agencies involved, but failed to include sufficient detail about how the risks would be managed. Only one-third accurately described how the objectives of the sentence plan and other activities would address *RoH* issues and protect actual and potential victims.
- (f) It appeared from the records that risk management plans were shared with others involved in 56% of cases. Proposed actions from MAPPA were communicated to all relevant bodies in 76% of cases. These actions were incorporated in 41% of risk management and sentence plans.
- (g) We found that managers had been involved effectively in the assessment and planning of work with only half of the cases where the offender presented a *RoH*.

We found evidence of some management involvement in a further 32%, but judged that this had not been sufficiently rigorous. In some, poor work was countersigned when it should have been sent back to the offender manager for amendment. In four cases, there was no evidence that the manager had been involved.
- (h) In 38 cases, the offender under supervision posed a *RoH* to children. We found no evidence of management involvement in over a third of these cases; in a further 26% the involvement of managers had not been effective.

1.3 General Criterion: ASSESSMENT AND PLANNING TO REDUCE THE LIKELIHOOD OF REOFFENDING
The LoR is comprehensively and accurately assessed. Plans address offending related factors needs to reduce the LoR.

Score:	Comment:
75%	MODERATE improvement required.

Strengths:

- (a) Allocation of cases to an offender manager was completed promptly at the start of sentence or licence in 97% of the cases inspected. The majority were allocated to the correct tier within the offender management model. Three-quarters of the prisoners in the custody sample were allocated an offender supervisor on time.



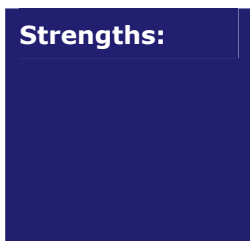
- (b) Where required, an assessment of the LoR was completed in 91% of cases and in 79% in a timely manner.
- (c) An ISP was completed in 88% of cases; 77% had been prepared within the required timescale and were appropriate to the purpose of sentencing. Objectives designed to address the LoR were included in 84% of ISPs, but only 71% included objectives to manage the RoH.
- (d) Court orders were used constructively to ensure that offenders addressed their ETE needs. ETE requirements were structured to meet the specific needs of offenders.



Areas for Improvement:

- (a) The national guidance on allocation or tiering was not followed in 12 cases. An appropriate reason for the departure from the guidance was not recorded in nine.
- (b) One-third of ISPs did not appear to be informed by relevant assessments. A similar percentage did not contain outcome focused objectives or attempt to sequence objectives and activities logically. In 35%, the planned levels of contact with the offender were not detailed. Objectives designed to manage child Safeguarding concerns were included in 41% of ISPs where this had been identified as a factor. We noted that some ISPs contained only one or two objectives and that, in some of these cases, this was insufficient to address the identified factors.
- (c) The roles and responsibilities of relevant others involved in the case were clearly defined in 62% of ISPs. The plan was shared with all relevant staff in 71% of cases.
- (d) Of the 17 offenders who were identified as PPOs, less than half had ISPs requiring intensive levels of contact and interventions.

1.4 General Criterion: ASSESSMENT AND PLANNING FOR OFFENDER ENGAGEMENT <i>Individual diversity needs are taken fully into account at the earliest opportunity. Plans are put in place to minimise the impact of potential obstacles to engagement.</i>	
Score: 59%	Comment: SUBSTANTIAL improvement required.



Strengths:

- (a) Offender managers had been able to assess the level of an offender’s motivation and capacity to change and to reflect this in their planning in three-quarters of cases.
- (b) Planning documents included actions to minimise the impact of discriminatory/disadvantaging factors in 88% of cases where diversity issues or other individual needs were identified.

Areas for Improvement:

- (a) Insufficient attention was given to the methods most likely to be effective with individual offenders in 40% of cases. Only half of the offenders in the sample had been actively and meaningfully involved in the sentence planning process. In 42% of cases, it was not clear what contribution the offender had to make to achieve the sentence plan objectives.

Previous inspections had identified the need to improve sentence planning and the area had invested in a regional programme 'Stepping Stones to Success'. This inspection took place too soon after implementation for us to find any evidence of its use.

- (b) Although a Skills for Life screening had been carried out at the start of sentence in 61% of cases, a full diagnostic assessment of learning and skills needs was undertaken in only one-third of cases where required. This was partly because attendance at these assessments was poor, despite the fact that the administration staff ensured that the offender was given an appointment; the area had recognised the need for offender managers to be more involved in engaging the offender and motivating them to attend. Additionally there was some confusion between appointments made for the job club and those made for Skills for Life sessions.

Ofsted noted that the identification and assessment of offenders with specific learning needs, or where English was not their first language, were inadequate.

- (c) ETE officers assessed the learning needs of offenders, but did not draw up any form of plan that identified learning objectives or how they could be achieved. Targets to monitor progress in literacy and numeracy were often too general, lacked challenge and did not enable ETE officers to assess the progress made by offenders.

Only 20% of offenders on learning programmes had a learning plan. Offender managers did not use individual learning plans effectively to inform sentence planning or to improve the effectiveness of sequencing of objectives.

- (d) Diversity issues, discriminatory/disadvantaging factors and other individual needs appeared only to have been assessed in 54% of cases.

COMMENTARY on Assessment and sentence planning as a whole:

The area had invested in establishing and training a dedicated central court team. Sentencers were generally positive about this arrangement and we found some good work in the preparation of reports for courts.

There had been a successful drive to increase the number of FDRs and oral reports. This had a number of efficiency benefits, but we were concerned that some of the gaps we saw in post-sentence assessment of *RoH* may be related to these reports.

The area had recently started using the 'Stepping Stones to Success' materials to improve the quality and level of offender engagement in sentence planning. Although we saw a few cases where this approach had been used, most of the cases in the inspection had started before the initiative was in place, so we did not see the effect on initial planning.

2. IMPLEMENTATION OF INTERVENTIONS

2.1 General Criterion: DELIVERING THE SENTENCE PLAN (INCLUDING THE PUNISH ELEMENT)

Interventions are delivered in line with the requirements of the sentence and meet prescribed standards.

Score:	Comment:
71%	MODERATE improvement required.

Strengths:

- (a) Of the cases inspected, 82% of offenders had been offered a full and timely induction following sentence to a community order or after release from custody on licence. In 86%, expectations regarding their behaviour throughout the sentence, as well as their responsibilities and rights, had been fully explained.
- (b) Offender managers contributed to sentence planning boards in 12 of the 14 custody cases. The offender manager had been notified promptly about eight of the ten offenders who had been transferred between custodial establishments. Six offenders had moved to access specific resources linked to the sentence plan. In eight of the ten relevant cases, interventions had been delivered in custody to prepare the offender for release.
- (c) The frequency of contact met or exceeded the national standard in 82% of cases and facilitated the requirements of the sentence in 88%. It took full account of the assessed level of *RoH* and *LoR* in 82% and 78% of cases respectively, and promoted the achievement of sentence plan objectives in 74%.
- (d) Interventions had been delivered according to the requirements of the sentence in 80% of cases.
- (e) Appropriate resources were allocated throughout the sentence to address the *RoH* and *LoR* in 75% and 78% of cases respectively. Resources were commensurate with the purpose of the sentence in 85% of cases inspected and met relevant diversity needs in 67%.
- (f) Offender managers had coordinated the input of all workers in the case in 81% of cases and in 76% we found evidence that the delivery of sentence plan objectives had been supported by good communication between the offender manager and other workers. For example, Ofsted found that ETE staff had effective working relationships with offender managers. We also found evidence of good communication between all the workers involved in a case and the offender.
- (g) The offender's attendance across all interventions had been monitored by the offender manager in 86% of cases. Where necessary, effective action had been taken to secure the compliance of the offender in 84%.

- (h) Judgements about the acceptability of absences and other behaviour by the offender were appropriate, consistent and clearly recorded in 83% or more of cases.
- (i) For offenders undertaking unpaid work, 92% or more of placements had been matched to the offender, were sufficiently demanding and of benefit to the community. The offender's assessed level of *RoH* was taken into account in 91% of placements. Where an opportunity arose to promote the offender's development of skills or educational attainment, it was taken into account in 78% of cases in the sample. However, this did not accord with the views of offenders interviewed during the inspection.
- (j) Twenty cases in the inspection had been transferred between local delivery units or into Hertfordshire. The receiving area or local delivery unit had received up-to-date assessments and sentence planning documents in 17 cases. In 73% of cases, an appointment was made to see the offender in the new area within five days of notification of their change of address.
- (k) The files made available for the inspection were well organised in 72% of cases. In a similar number, information was clearly recorded; in an appropriate timescale; and reflected the work carried out.
- (l) The Thames Valley sex offender treatment programme was run across three counties – Bedfordshire, Cambridgeshire and Hertfordshire. This arrangement was designed to make the programmes more accessible and more viable, thereby reducing waiting times.

Areas for Improvement:

- (a) In one-third of cases, interventions were not delivered in line with the objectives defined in the sentence plan and were not sequenced according to the *RoH* and *LoR*. Interventions were delivered on time in relation to *RoH* and *LoR* in 67% and 70% of cases.
- (b) Nine offenders on community orders or licence were required to attend general offending behaviour programmes. Only two had been instructed to start the programme within six weeks of sentence or release.
- (c) Where breach action or recall was required, it had been taken as appropriate in 60% of cases. These actions had been instigated in line with the required timescale in 71% of cases and resolved in 66%.
- (d) Assessments of the *LoR* and *RoH* had been reviewed on time in 66% and 62% of cases respectively. Where a significant change in circumstances had occurred, the assessment had been updated in less than half of the relevant cases. In a number of cases, reviews had been 'pulled through' from an earlier assessment and not updated.

- (e) Although sentence plans had been reviewed in line with the required timescale in 76% of cases, the quality was variable. The review of the plan and the prioritisation of objectives had been informed by the review of the LoR and *RoH* in less than half of the cases we inspected. In 53% of the relevant cases, the sentence plan had not been updated following a change in the offender's circumstances. As with assessments, some sentence plan reviews simply duplicated the original document. Only 46% of offenders had participated in the sentence plan review process.
- (f) Where a medium or high *RoH* offender transferred into Hertfordshire or into a different local delivery unit, an up to date risk management plan was provided by the transferring area in 10 out of 17 relevant cases. Fewer than half were promptly updated by the new area or local delivery unit. Only two of the five high *RoH* offenders who were in the community received a home visit within ten days of notification of their change of address.
- (g) In 7 of the 14 custody cases, there was no evidence that the offender had been offered a full and timely induction following sentence.
- (h) Relevant documentation was missing in 42% of case records. Examples included missing licences or Skills for Life screening documents. In some cases, such documents had been removed from files when the case had been terminated.

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

Score:	Comment:
61%	SUBSTANTIAL improvement required.

Strengths:

- (a) Probation staff had contributed effectively to MAPPA in 77% of cases; the input of other agencies had been effective in 74% of cases. Where the *RoH* to children was managed within multi-agency child safeguarding procedures, offender managers and other relevant staff had made an appropriate contribution in 73% of cases.
- (b) For offenders released on licence, restrictive requirements were monitored fully in 73% of relevant cases.
- (c) Multi-agency child Safeguarding procedures were seen to be effective in 69% of cases and we saw some excellent practice in some of these cases. Decisions taken were followed through and acted upon in 71% of cases.

- (d) In cases where statutory victim contact was required, an offer of a face-to-face meeting between the victim and the VLO was made in 14 of the 19 identified cases. However, this offer was not made within 40 days of sentence in seven cases. In all relevant cases, victims were given the opportunity to comment on proposed licence conditions, to see the appropriate part of reports and were kept informed of relevant conditions of release. In two out of three cases, they were informed of relevant events during the offender's sentence.
- (e) VLO staff had access to a database system that triggered an alert six months before a parole date and one month before release. VLOs attended MAPPA meetings.
- (f) An initial and purposeful home visit was carried out in 82% of cases where this was required. Home visits were undertaken as part of ongoing monitoring of child Safeguarding concerns in all the six cases where it had been identified as necessary.
- (g) In five out of six applicable cases, approved premises were used effectively as a restrictive intervention to manage *RoH*.

Areas for Improvement:

- (a) Potential and actual changes in the *RoH* were not anticipated in 42% of cases and, in 39%, changes that occurred were not identified swiftly. These changes were acted upon appropriately in 46% of cases.
- (b) The decisions taken by MAPPA were clearly recorded, followed through and acted upon and reviewed appropriately in 16 out of 23 cases. ViSOR was updated by the MAPPA administrators following Level 2 and Level 3 meetings. However, in common with other areas, offender managers did not have direct access to ViSOR. As such, it did not function effectively as a means of communication between agencies at this level. The MAPPA Business Plan for 2009-2010 had identified the need for the three responsible authority agencies to improve the use of ViSOR and planned to undertake an audit and develop an action plan.
- (c) Decisions taken within multi-agency child Safeguarding procedures were clearly recorded in 60% of relevant cases and reviewed appropriately in 61%. In some of the cases where joint work was insufficient, the offender manager needed to be more persistent in following up referrals to other agencies, or to involve their line manager at an earlier stage.
- (d) There was evidence of enhanced contact with PPOs in only 8 out of 17 identified cases. Nine of these offenders were subject to appropriate restrictive interventions.
- (e) Restrictive requirements in community sentences were monitored fully in four out of seven cases.
- (f) Appropriate priority was accorded to victim safety by the offender manager and other workers in only 47% of relevant cases.

Although, the offender manager appropriately exchanged information with prison staff in five cases of the six cases where victim contact proceeded, there was regular and accurate information exchange between the offender manager and the VLO. in only four.

- (g) An initial home visit had been made in only 9 out of 27 child safeguarding cases, and in 16 out of 39 cases where we considered such action appropriate to minimise the *RoH*, even though the offender had not been classified as high RoSH.
- (h) Where an offender's *RoH* increased, breach action was undertaken promptly in 11 out of 18 relevant community orders (61%); in four further cases, action was taken, but not promptly. Clear explanations were given to 12 of the breached offenders; in ten cases, efforts were made to re-engage them with the sentence plan.

We also inspected five cases where recall to prison was necessary on the grounds of increased *RoH*. This action had been taken promptly in three cases, but in two further cases had not been instigated. The three offenders who were recalled were all given clear explanations as to the reason for their re-imprisonment. In each case, efforts were made to re-engage them with the sentence plan.

- (i) Management oversight of the quality of work with offenders who presented a high RoSH and in child Safeguarding cases was too often of insufficient quality. In the first category (RoSH) there was effective oversight in 50% of cases, ineffective oversight in 23% and no involvement apparent in 27%. In respect of children's safety, the proportions were 26%, 26% and 49% respectively.

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

Score:	Comment:
63%	SUBSTANTIAL improvement required.

Strengths:

- (a) After sentence, offender managers identified supportive and protective factors in the life of 77% of offenders where they were present. In 71% of relevant cases they ensured that the offender was sufficiently supported in retaining or developing community ties and relationships throughout the sentence. Hertfordshire Probation Area had developed good links with a number of local organisations, including the Watford African and Caribbean centre, and women's centres in Stevenage and Watford.

- (b) Arrangements were in place to prepare offenders thoroughly for interventions in 71% of cases.
- (c) Job clubs were available at each centre. These provided offenders with opportunities to develop a good range of job-seeking skills and learn how to manage the disclosure of their offence to potential employers.

Areas for Improvement:

- (a) Immediate action had been taken to identify and preserve employment, housing and family ties on six of nine cases sentenced to custody.
- (b) Sufficient information, advice and guidance were provided to 55% of the offenders who needed it to address their learning or skills development. Where a learning need was identified, arrangements for an appropriate intervention to be delivered were made in 52% of cases and actually delivered in 32% of cases.
- (c) There was insufficient work directed at overcoming practical obstacles to community integration and promoting and achieving key life skills in one-third of cases in the sample.
- (d) Ofsted found that the use of community payback schemes to increase offenders' employability skills was underdeveloped. Improvement in matters such as timekeeping, following instructions and standards of work were not recognised or recorded in a way that could be used to support a job application. Few offenders made use of the opportunity to use the 20% of their unpaid work order hours for ETE related activities. Many community payback schemes were insufficiently interesting to motivate offenders and did not support the acquisition of new vocational skills; however, a recently introduced course in bricklaying at one centre had proved to be successful.
- (e) Offenders were not encouraged and challenged to take responsibility for their actions and decisions related to offending sufficiently often. Such work had taken place in only 62% of cases in the community and in 10 out of 14 custody cases. The area had developed a pack of exercises that could be used to help the offender to develop victim awareness, but we saw little evidence in files, for example worksheets, that these packs were being used. In half of the cases in the sample, there was no evidence of victim awareness work being undertaken where it was required. We also saw a few cases where the offender's behaviour was racially aggravated, but little work had been done to address their attitudes.
- (f) Arrangements were put in place to reinforce new learning and/or skills with 51% of offenders.
- (g) Appropriate interventions were delivered to four out of the six offenders who were in approved premises. In three of these cases, the interventions featured in the sentence plan.

The lack of approved premises in Hertfordshire Probation Area meant that probation staff could spend a considerable amount of time and effort into finding suitable accommodation. This was generally important and appropriate work, but we saw a few cases where it had taken place at the expense of other planned work with the individual offender.

2.4 General Criterion: MANAGING DIVERSITY AND MAXIMISING OFFENDER ENGAGEMENT

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

Score:	Comment:
74%	MINIMUM improvement required.

Strengths:

- (a) Although only 54% of cases contained a recorded assessment of diversity needs, the arrangements for interventions took account of the offenders’ needs in 72%. We saw some good examples of offender managers making appropriate decisions based on their understanding of the offender’s health, employment or other personal circumstances. The area also ran an accredited programme for women offenders.
- (b) In 76% of cases we inspected, the offender manager had demonstrated commitment to their work with the offender; in most, they had motivated and supported the offender throughout the sentence. Other workers were equally supportive. As a consequence, we saw evidence of positive and productive working relationships between offenders and their offender managers in 74% of cases and with other workers in 82%. Progress made by the offender during their sentence was reinforced by the offender manager in 66% of cases and by other workers in 73%.
- (c) Where the offender was identified as vulnerable to some degree, arrangements were put in place to support, and where possible, protect them, in 70% of cases. ETE providers had undertaken enhanced CRB checks on all their staff coming into contact with offenders and had provided appropriate training.
- (d) Over 80 Supporting Others through Volunteer Action trained volunteers provided good individual support for offenders. They used a wide range of skills and experiences to provide offenders with support across a broad range of ETE related activities, including lessons and job club activities. They also worked effectively with offenders who were foundation tier learners and who needed support with their literacy and numeracy. ETE provision was available during days and evenings at most centres; weekend provision was available at one centre.

Areas for Improvement:

- (a) Where diversity issues had been identified, the offender manager ensured that staff were aware of the offender's needs in 67% of cases. In four of the six cases where the offender was resident in approved premises, the regime met the diverse needs of the individual.
- (b) Concerns about offender vulnerability were not shared with all workers involved in 41% of cases.
- (c) In some PPO cases, there was insufficient evidence that the offender manager was actively managing and motivating the offender. As noted in Section 4, some PPO workers appeared overstretched and were unable to spend the time necessary to deal with the challenging behaviour of some of these offenders.
- (d) Offenders told Ofsted that if they had concerns about their own safety, they would not be sure how to address them. Work practices on some community payback schemes did not always pay sufficient attention to the working conditions.

COMMENTARY on Implementation of interventions as a whole:

Although we saw some good examples of offender managers working diligently with offenders to reduce their LoR and RoH, such practice was not widespread across the area. Diversity issues were taken into account in delivering interventions, but poorly recorded in planning documents. Although offender managers liaised well with staff delivering interventions, insufficient attention was paid to reinforcing learning and new skills.

3. ACHIEVING AND SUSTAINING PLANNED OUTCOMES

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

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

Score:	Comment:
61%	SUBSTANTIAL improvement required.

Strengths:

- (a) In 79% of cases, the sentence had been delivered as intended by the sentencing court. Every effort had been made to promote the compliance of the offender in 81% of our sample. Where enforcement action was required, it was undertaken effectively in 79% of cases.
- (b) Since being sentenced, 2% of the sample (three) had been cautioned for, and 24% (30) convicted of, an offence. The frequency and seriousness of offending of those cases who were not first offenders appeared to have reduced in 42% and 35% respectively

Areas for Improvement:

- (a) Despite the efforts to promote compliance, 36% of offenders had not abided by the requirements of the sentence; in a similar percentage of the sample, the sentence plan objectives had not been achieved. (The objectives had been fully achieved in 14% and partially achieved in 49% of the cases we inspected).
- (b) Only four cases had been terminated early for good progress; one of these terminations was not appropriate. We did not find other cases where such an application could have been justified.
- (c) Nearly three-quarters (73%) of cases had been managed by two or more offender managers (including PSR writers). The delivery of the sentence plan had not been maintained in 26% of cases where there had been a change of offender manager. The delivery of offender management supported the achievement of planned outcomes in 64% of cases.

3.2 General Criterion: MINIMISING RISK OF HARM TO OTHERS (THE CONTROL OBJECTIVE)
All reasonable action has been taken to keep to a minimum the individual's RoH.

Score:	Comment:
46%	SUBSTANTIAL improvement required.

Strengths:

- (a) Multi-agency work through MAPPA had contributed effectively to the management of *RoH* in 71% of cases.
- (b) The level of restriction imposed in approved premises had contributed to the management of *RoH* in all relevant cases.

Areas for Improvement:

- (a) In one-third of cases, all reasonable action had not been taken to keep to a minimum the *RoH*. Where contact had been established with the police domestic abuse unit, callouts were reported in 6 out of 27 cases. In a further three, no callout was made. However, this left a further 18 domestic abuse cases where it was not known whether there had been any police callouts in relation to the offender.
- (b) Where child Safeguarding concerns had been identified, multi-agency work had contributed effectively to the management of *RoH* in half of the cases in the inspection.
- (c) There was evidence of a reduced threat to victims or potential victims from the offender in 29% of cases.

The area had introduced a pack of exercises for use with offenders to increase their victim awareness. Although we heard that it was being used, we found little evidence of any such work in the case files we inspected. Only 27% of offenders demonstrated an increased awareness of the impact of their offending on the victim.

3.3 General Criterion: REDUCING LIKELIHOOD OF REOFFENDING (THE HELP AND CHANGE OBJECTIVES)
There is a measurable reduction in the LoR and/or the achievement of other positive outcomes that are known to promote the reduction of LoR.

Score:	Comment:
43%	SUBSTANTIAL improvement required.

Strengths:

- (a) There was evidence of positive change in the offender's lifestyle in 42% of the cases inspected. There was a positive demonstrable change in the offender's attitude and behaviour in 35% and 45% of cases.
- (b) In relation to the factors we considered to be most closely linked to their offending, 48% of offenders had made some or substantial progress. They had also made progress against the second and third priority factors in 41% and 44% of cases respectively. The areas of intervention most commonly identified as the highest priority were thinking and behaviour, drug misuse and alcohol misuse. The second and third priority areas were most often lifestyle and associates, ETE, attitudes and relationships.
- (c) Hertfordshire Probation Area had a good record of achieving and exceeding national targets for employment. In the first eight months of 2009-2010, 180 offenders under supervision found and sustained employment for four weeks, against an annual target of 185. At the termination of their order or licence, 50% of offenders were in employment compared to a target of 40%.

Areas for Improvement:

- (a) Insufficient attention was paid to community reintegration in 44% of relevant cases. Two-thirds of the appropriate cases had no clear exit strategy to cover the end of the sentence. In 44% of cases, offender managers had not encouraged future engagement with community organisations, where this may have helped to address continuing offence related needs.
- (b) Progress appeared to have been made in relation to learning and skill development in just over one-third (36%) of cases. Only ten offenders had gained any qualifications related to learning and skill development (15% of relevant cases). The inspection sample contained eleven offenders who had found employment whilst in contact with the probation area whereas 64% remained unemployed.
- (c) Resources had been used effectively to achieve the outcomes planned for the offender in 68% of cases.
- (d) The approach to attendance requirements at literacy and numeracy lessons and at job clubs was unsuitable for most offenders. Both probation staff and providers interpreted an ETE related court order as a requirement for the offender to attend for just one hour each week. This was an inefficient and ineffective use of time.

Longer sessions would have allowed unemployed offenders more time to undertake job-search activities or develop new job-seeking skills. Offenders on literacy or numeracy programmes made slower progress than they could have done in longer or more frequent sessions.

COMMENTARY on Achieving and sustaining planned outcomes as a whole:

The results in this section presented a mixed picture and were linked to findings in the previous two sections. The lack of engagement of offenders in setting realistic, sequenced objectives made it harder to identify progress. The areas for improvement identified in relation to ETE affected the evidence of positive outcomes in relation to learning and skill development, and, potentially the ability of offenders to engage with other interventions. The need to improve the delivery of work to manage the *RoH*, and the management oversight of these cases, was reflected in the finding that insufficient action had been taken overall to keep to a minimum the individual's *RoH*.

4. LEADERSHIP AND STRATEGIC MANAGEMENT

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

Comment:

SUFFICIENTLY effective in making good quality offender management more likely.

Strengths:

- (a) Hertfordshire Probation Area had been successful in their first bid for trust status, made in 2009. The senior management team had shown strong leadership skills, working closely together to progress the application, whilst ensuring that core business was well maintained. The organisational review which had supported the application had ensured a close alignment between key areas of business. The four year strategic business plan was supported by an organisational development plan, a financial plan (which included a cost improvement plan, commissioning strategy and process improvement plan), performance strategy, human resources strategy and workforce plan, local delivery unit development plan, interventions strategy, stakeholder strategy and communications strategy. These strategies were underpinned by a single equality scheme which demonstrated the area's commitment to diversity.
- (b) The four year business plan clearly set out the strategic priorities for Hertfordshire Probation Area and the context within which the area operated. Each priority was aligned to NOMS statement of purpose, assessed the current position of the organisation and stated a clear vision for the future. Key activities required in each year were identified. Business risks were identified, rated and reviewed. In each area of risk, a member of the senior management team had responsibility for the actions required to manage the risk.
- (c) Probation was well represented at relevant strategic meetings within Hertfordshire and the contribution of the CO and other senior managers was valued. The CO was a member of the Chief Officer Group for Crime, Disorder and Drugs which coordinated the work of all agencies involved in delivering the safer and stronger element of the LAA. Assistant COs represented probation on the ten district CDRPs. The CO was also a member of the LCJB which was tasked with delivering the public service agreements and LAA objectives related to improvements in the criminal justice system. The LCJB had oversight of a number of projects that were jointly delivered by constituent organisations. These included the CJSSS project, the implementation of domestic violence courts, the C2 programme for PPOs and a jointly funded project to facilitate a diversion service for mentally disordered offenders. Probation managers and board representatives contributed to the membership of these project and

delivery groups. The business plans of each of the LCJB organisations had been shared to ensure an integrated approach to delivering the public service agreements.

- (d) Strategic leaders from other organisations reported that the area played a key role in the MAPPA Senior Management Board. The MAPPA Business Plan 2009-2010 was based on agreed priorities and the commitment of different agencies to work together. Progress against objectives had been reviewed. Probation was also a key partner on the Domestic Violence Strategic Board and a senior manager was deputy chair of the Hertfordshire Multi-agency Risk Assessment Conference. Hertfordshire Probation Area was represented on the LSCB and contributed to the annual business plan and to the training sub-group.
- (e) Hertfordshire Drugs Partnership was one of seven areas in the country to have been awarded Drug System Change Pilot status. This multi-agency project was designed to ensure that drug misusing offenders could have prompt access to relevant services from any point within the criminal justice system. Probation, drug interventions programmes, police, health and other partners involved hoped to realise savings through the pooling of staff and budgets for commissioning services.
- (f) Following guidelines introduced by the Senior Presiding Judge in England and Wales, formal liaison arrangements between the area and local magistrates' courts had been reintroduced. These took the form of three probation liaison groups based in North/East, West and Central Hertfordshire. Clerks and magistrates seen during the inspection welcomed the new arrangements. Magistrates responsible for probation liaison disseminated information to all members of the bench. Probation representatives had been invited to make presentations at sentencers' training events and the annual bench meeting. The Resident Judge was closely involved in the development of the C2 programme and all relevant cases appeared before him. Liaison between Crown Court judges and probation court managers took place directly and through letter and email contact. A sentencer communication plan was in place, and bench chairs had been consulted on the business plan.

Areas for Improvement:

- (a) The relationship between probation and sentencers was seen as having improved substantially, from a relatively low point a few years ago. Some aspects of the renewed communication were still at an early stage. A sentencers' satisfaction survey had been completed for the first time and the results had not been compiled at the time of the inspection. There had been few recent opportunities for sentencers to visit or observe probation facilities.
- (b) Some concerns had been raised about Children, Schools and Families participation in MAPPA and probation involvement in the child Safeguarding sub-groups. These issues were said to have been resolved at a strategic level; there was a new independent chair of

the LSCB, the sub-groups had had training days and were now clearer about their remit. However, concerns remained about Children, Schools and Families involvement in MAPPA Level 2 meetings and in other multi-agency meetings about non-MAPPA cases. Attendance of all agencies was being monitored as part of the MAPPA business plan.

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

Comment:

SUFFICIENTLY effective in making good quality offender management more likely.

Strengths:

- (a) The area made good use of data available from OASys and case management systems to support business planning and the effective use of resources. When NOMS allocated additional funding in an initiative to reduce the prison population, an analysis of the caseload informed Hertfordshire Probation Area's decision to deploy resources to develop and support work with mentally disordered offenders, alcohol treatment requirements and accommodation provision. The success of some initiatives had drawn in funding from external sources. For example, the LCJB had taken over the funding for a probation officer post working with forensic mental health services to develop diversion initiatives.
- (b) A review of the staffing of Hertfordshire courts had led to the introduction of a dedicated countywide court team. Additional funding had been used to set up this team, including training for PSOs and the inclusion of probation officer posts to increase the use of oral and FDRs. The initiative coincided with the CJSSS programme to speed up the delivery of justice. The report of this programme highlighted examples of good practice by all agencies, including probation. The dedicated court team had been welcomed by magistrates and court personnel, who valued the knowledge and experience of the specialist staff. The sentencers interviewed were enthusiastic about the increase in FDRs and oral reports and were satisfied with the quality of information produced.
- (c) Caseload analysis had identified an increase in the number of community orders with an unpaid work requirement and also an increase in the average number of unpaid work hours ordered. The area had pre-empted and managed the demand by developing a high number of individual placements. Links had also been developed with CDRPs as a source of community payback work; in some cases, this work had also generated a contribution to the cost of supervisors.

- (d) Hertfordshire Probation Area had worked closely with the police and other relevant statutory and non-statutory agencies to set up the Choices and Consequences (C2) programme targeting offenders with the highest volume acquisitive crime. Offenders were selected for the project whilst in custody, if they were willing to admit to other crime they had committed. They were then required to appear before the Resident Judge, who would defer sentence with a view to making a community sentence if, during the period of deferment, the offender cooperated with an intense package of interventions delivered by a range of agencies. Funds for the project had been externally sourced and there was a bid for money from NOMS East of England.

Areas for Improvement:

- (a) We interviewed 46 offender managers, of whom 41% felt that they did not have access to sufficient resources to deliver offender management effectively. This did not appear to relate to their workloads as we heard few complaints about excessive work and 75% of those interviewed felt that their workload was monitored and managed in a fair and transparent way. Hertfordshire Probation Area had invested a considerable amount of effort into developing positive collaborative relationships with other organisations at a strategic level. The area needed to ascertain the extent to which these strategic alliances were having an impact on service delivery to offenders. Although we saw some good work with offenders, where partnership agencies were involved, there were other cases where better access to other resources could have helped to improve the delivery of offender management.
- (b) Some of our findings in relation to work with PPOs were disappointing, with a number not receiving a sufficiently enhanced level of service. There appeared to be some confusion about the distinction between the C2 programme and the general PPO scheme; in particular it was not clear how PPOs were identified. In some areas of the county, staff working with PPOs appeared to be overstretched and their posts insufficiently covered during times of absence.

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

Comment:

SUFFICIENTLY effective in making good quality offender management more likely.

Strengths:

- (a) The human resources strategy and workforce plan were closely aligned with the financial plan and cost improvement plan. These two plans set out a framework for the effective staffing of the area within reducing budgets over the next three years, reorganising around a structure based on three local delivery units. Possible savings identified through the specification, benchmarking and costing programme informed these strategic considerations.

Other changes to staffing arrangements had been informed by an analysis of the current caseload and projections based on the implementation of the national change programme. The area appeared to have accurately forecast the impact of change to date and, on the whole, there appeared to be a good match between workload demands and the deployment of staff.

The reorganisation into three local delivery units, aligned with police basic command units and local district councils, and the establishment of a court team had been managed with minimal disruption to service delivery.

- (b) Hertfordshire Probation Area had historically experienced a high turnover of staff and had strived to redress this through providing opportunities for staff to develop and progress within the area. Contracts were offered to all graduating TPOs who wished to stay within the area. Figures for 2008-2009 showed a reduction in staff turnover.
- (c) The area continued to use the national workload measurement tool, alongside other management information, to monitor workloads. Union representatives were involved in discussion with managers about workload prioritisation, employee care and the mobility policy.
- (d) A quarterly human resources, training and diversity report analysed the caseload and staffing profile by race and ethnicity, gender and disability. This report was monitored by the Probation Board and Diversity Strategy Group and was considered at local delivery unit level. The proportion of staff from black and minority ethnic backgrounds was higher than that of the Hertfordshire population and of the population of England and Wales. Access to training courses was monitored by diversity factors and broadly reflected the profile of the workforce.

Sickness levels for the first half of 2009 stood at an average of 9.4 days; this was below the target of 11.5. Long-term sickness had reduced substantially during the previous year.

- (e) The organisational development plan was supported by a management development programme for all levels of management within Hertfordshire Probation Area. Plans to devolve budgets and delegate partnership responsibilities were underpinned by an organisational philosophy based on personal accountability – a 'right first time' approach.

During the previous year, the area had invested in training for middle managers, including those with new supervisory responsibilities, such as practice development assessors and unpaid

work placement managers. We interviewed 46 individual offender managers. Almost all felt that their line manager had the necessary skills and experience to assess the quality of their work, to support them and assist them to develop their work. The majority felt that they had been supported and developed by their line manager, and 83% had received formal supervision at least every six weeks. 90% said that the quality of the supervision they had received had promoted improvements in their practice.

- (f) The business plan and human resources strategy were supported by a training strategy and a detailed, costed annual training plan. The area's vision was 'to attract and retain a committed, diverse and talented workforce and to nurture and develop the skills and abilities of its staff', in order to reduce offending and protect the public. Staff clearly valued the investment in training, and many spoke very positively about the training opportunities that were available to them. Of those offender managers interviewed, 83% reported that the training they need to do the job had been met; 76% said that opportunities for training relevant to their future development were available. The figures were similar for both probation officer and probation service officer grade staff.
- (g) Administration staff interviewed during the inspection were also enthusiastic about the training opportunities they had been offered. They felt well trained to do their job and appreciated the fact that they had been able to attend other relevant courses, for example about accredited programmes, mental health, domestic violence and child protection. They clearly felt a valued part of Hertfordshire Probation Area and they expressed a sound understanding of the business of the organisation.

Area for Improvement:

- (a) Ofsted reported that key staff had insufficient training in ETE. Many offender managers had insufficient awareness of the Skills for Life provision and other aspects of learning and employability skills that could have been used to help reduce the LoR.

4.4 General Criterion: AN EFFECTIVE REVIEW AND EVALUATION REGIME MAKES GOOD QUALITY OFFENDER MANAGEMENT MORE LIKELY
Outcomes from interventions are evaluated for their impact on public protection and reducing reoffending.

Comment:

NOT SUFFICIENTLY effective in making good quality offender management more likely.

Strengths:

- (a) A concerted focus on performance during the previous three years had led to a steady improvement against the weighted scorecard and latterly the IPPF. Hertfordshire's status on the IPPF had remained green during the first two quarters of 2009-2010. The introduction of a process management approach had helped to drive the improvement and had secured cost efficiencies. Performance management reports were available and used to track progress against SLA targets and national standards. These were monitored monthly by the Senior Management Team and performance was reviewed by the Board. The Chief Officer held quarterly accountability meetings with local delivery unit managers.
- (b) Learning from Serious Further Offences and child Safeguarding reviews was a standing item on management meetings. Issues identified had led to changes in internal processes and additional guidance notes for staff. The audit sub-group of MAPPA was planning to conduct an inspection of a 'near miss' incident.
- (c) Internal audits of cases included thematic reviews, each focusing on an identified area of practice. These inspections had led to changes in processes and practice guidance.
- (d) Hertfordshire Probation Area's interventions strategy and portfolio focused on both constructive and restrictive interventions and followed the eight pathways to reducing reoffending. Data from OASys was used to determine the significance of offending related factors. The document supported the commissioning strategy and the development of joint work and research with other organisations. For example, both the Navigation project and the COCOA project (Care of Offenders: Continuity of Access) involved Hertfordshire Probation Area in supporting research into the experiences of health care of offenders with mental health needs.

Areas for Improvement:

- (a) Although some partnership contract reviews included outcome information, there was little evidence of a systematic approach to monitoring the effectiveness of interventions. In this respect, the use of OASys outcome data was underdeveloped.
- (b) In relation to ETE, Hertfordshire Probation Area made insufficient use of learner feedback to support improvements. Data was not used effectively to provide an overview of provision or to differentiate provider performance. Arrangements to recognise and record progress and achievements in non-accredited learning were poor. Sharing of good practice across the area's learning and employability skills service and between its partners was weak.

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

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

Comment:

SUFFICIENTLY effective in making good quality offender management more likely.

Strengths:

- (a) Hertfordshire Probation Area's commissioning strategy linked closely with the four year Strategic Business Plan 2009-2013 and supported the service delivery priorities and financial plans. The area had a clear commissioning framework and made good use of available data to forecast and identify local and national needs and priorities. A number of areas of service delivery had been subject to ongoing procurement activity and Hertfordshire Probation Area had in place a toolkit to assist in conducting best value reviews.
- (b) Hertfordshire Probation Area was the only area in the region without its own approved premises. This presented a range of difficulties and particular challenges for MAPPAs and the management of offenders who pose a high RoH. It was to the area's credit that they had been innovative in their approach to this significant gap in provision. They had developed strong working relationships with other probation areas/trusts, both within and outside of the region, in order to accommodate high RoH offenders. Effective engagement with Supporting People had provided access to funding to a local third sector provider in order to obtain bed spaces for higher RoH offenders – typically those moving on from approved premises. A probation officer was seconded to this organisation on a short-term basis to develop safety and security within the hostels and to enhance staff training. The lack of suitable local accommodation remained a problem, but Hertfordshire Probation Area was engaged with the multi-agency Adult Offender Accommodation Board which worked closely with different district council projects. Funds had also been secured through Supporting People to provide a project manager to support this board.
- (c) A profile of the caseload highlighted alcohol as a significant factor linked with offending. Hertfordshire Probation Area led the region in the provision of alcohol treatment requirements, delivering the provision in partnership with Turning Point. A probation officer had been seconded to work with the forensic mental health services and appeared to have increased access to mental health provision, including assessments. The funding for this post had been taken over by the LCJB. Drug treatment provision in Hertfordshire was commissioned by the Joint Commissioning Group which included a probation manager. The drug rehabilitation requirement formed a key part of the package for PPOs. Hertfordshire Probation Area had a long standing partnership with Supporting Others through Volunteer

Action, who trained and supported volunteers who worked as mentors with offenders.


- (d) Partnership contracts were reviewed on a quarterly basis by the partnership manager and through the Board Business Development Group. Output and outcomes were monitored, for example, the review of accommodation advice records the number of offenders attending appointments as well as those gaining or maintaining accommodation. Feedback from offender managers and service users was sought and incorporated into the review of the provision. Contracts were reviewed and re-tendered regularly. An analysis of OASys data had been used to inform the decision to terminate a money advice service provided to offenders in each local delivery unit, as part of the cost improvement plan. The service had been valued, but the evidence that this was a lower priority than other factors was supported by our findings in this inspection.

Areas for Improvement:

- (a) From 2006-2008, ETE provision had been funded by a European Social Fund initiative, with the PS Plus Project establishing job clubs in each centre. When the funding ended in 2008 Hertfordshire Probation Area continued to employ an ETE worker in each centre whilst seeking funding from the Learning and Skills Council. The quality of provision appeared to have suffered from the discontinuity in arrangements for management and service delivery.

Ofsted noted that the available provision was under utilised, with some lessons less than half full. The range of provision did not address the full needs of offenders; very few accessed available support for specific learning needs or English for speakers of other languages.

- (b) Hertfordshire Probation Area's links with employers were underdeveloped. The area had recognised this and was planning a strategy to address the issue. Although a wide range of partners were available to access opportunities for learning and accessing employability related skills, many of these links were informal and had been developed by the local ETE officers. A reorganisation of responsibility for ETE at senior level had provided greater stability. Partnership meetings were being held and seeking to identify solutions to common issues.
- (c) Analysis of the caseload had identified that in a quarter of cases involving violence, domestic abuse was a concern. In response, provision of the integrated domestic abuse programme had been increased substantially; however, there was evidence that some offenders still had to wait a significant time before starting the programme.
- (d) Many prisoners from Hertfordshire were located outside the area, or outside the region, because there was only one prison within the county. This made it difficult for the relevant prison to be represented on MAPPA. Information from the prison holding the offender was not always available to the meeting. Where it was

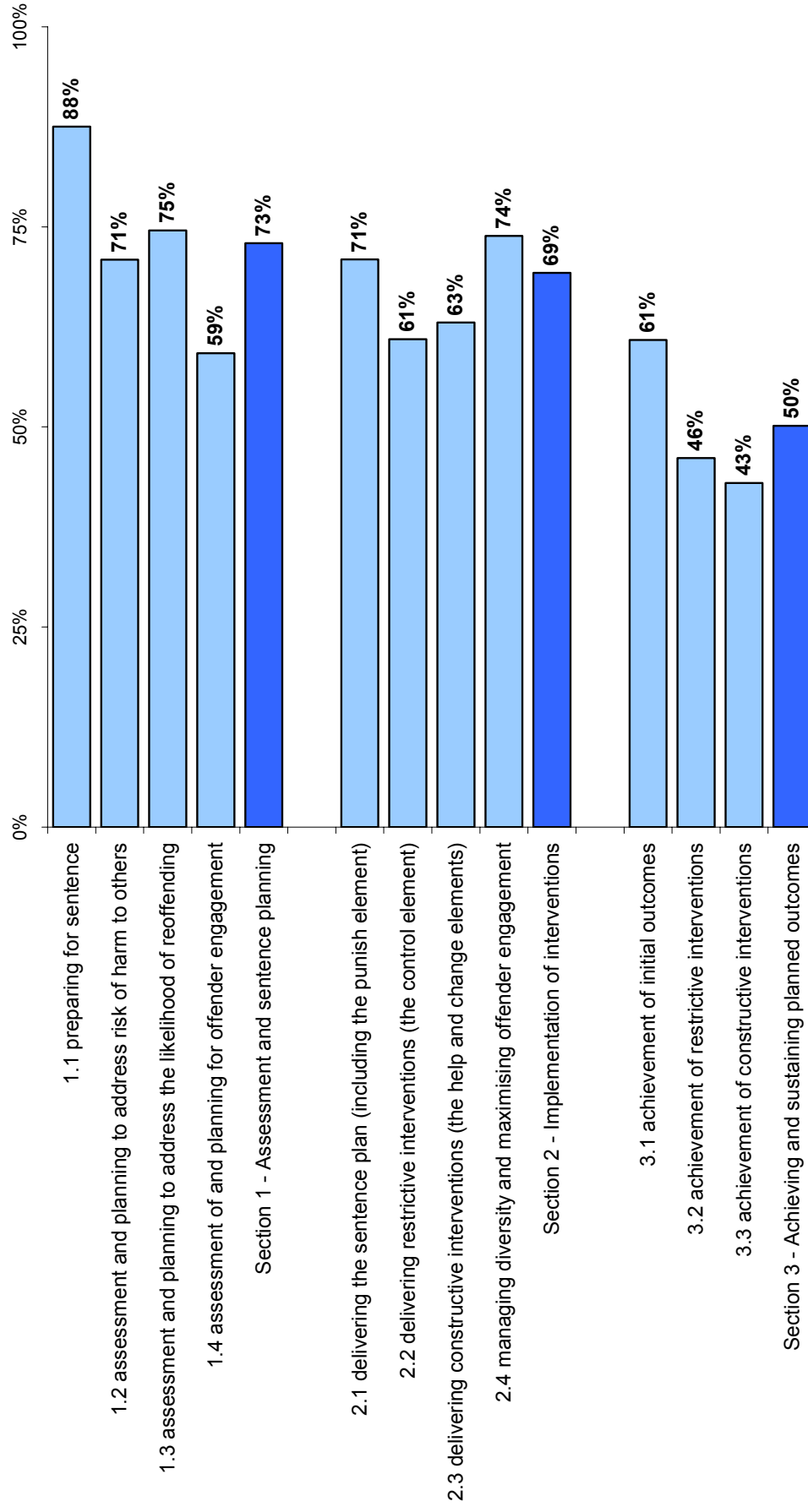


possible, the governor of HM Prison The Mount was willing to accommodate Hertfordshire prisoners immediately prior to release. However, as in many areas, this remained an area for further development.

- (e) Information from OASys about the factors associated with offending was generally analysed on a county-wide basis. There was scope to disaggregate this data to a more local level to support the work of local managers with CDRPs and to ensure that services commissioned were responsive to local need.

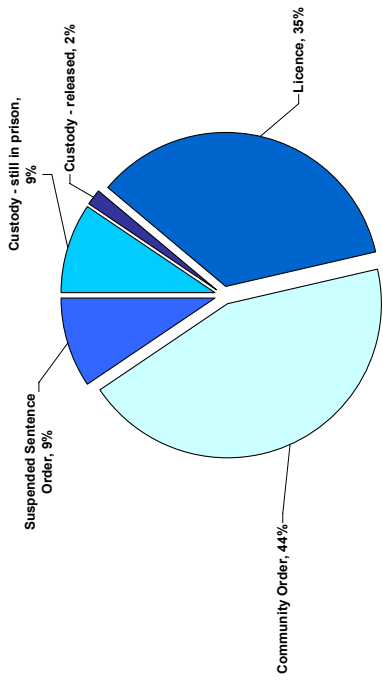
APPENDIX 1: Scoring of sections 1-3

OMI2 Hertfordshire: General Criterion Scores - January 2010

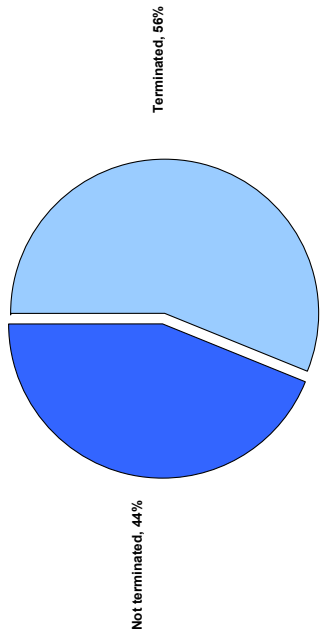


APPENDIX 2: Hertfordshire inspection sample data

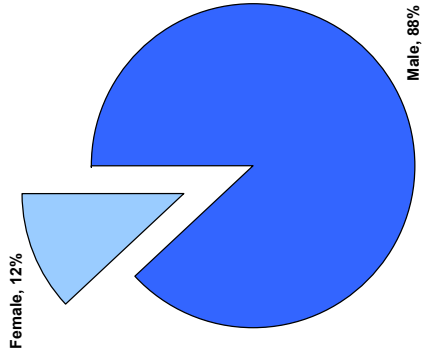
OM12 Hertfordshire: Case types



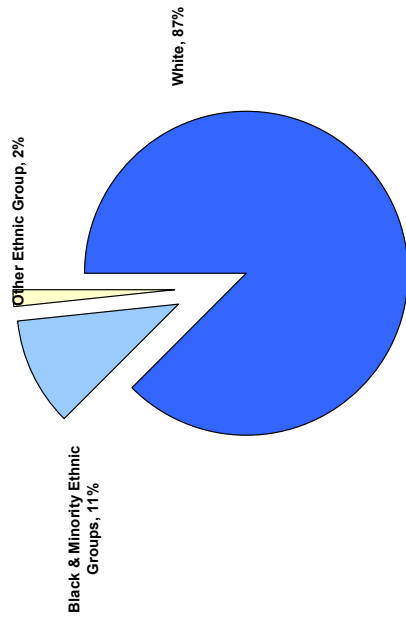
OM12 Hertfordshire: Terminations



OM12 Hertfordshire: Gender



OM12 Hertfordshire: Race and ethnic origin



APPENDIX 3: Hertfordshire contextual information

Total caseload	3420
% white	84%
% minority ethnic*	16%
% Male	88.1%
% Female	11.9%
* Excluding cases for which minority ethnic information is not available	

Total revenue budget year ending March 2009 **£11.749 million**

Total revenue budget for the current year **£11.473 million**

APPENDIX 4: Integrated Probation Performance Framework

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.

IPPF	IPPF Area Score	4	Hertfordshire
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Public Protection	IPPF Domain Score:				Previous Year - Q4	IPPF Grade
	Actual	Target / Milestone	National	93%		
NS Public Protection	93%	n/a	93%	78%	3	3
Tier 2 & 3 OASys Timeliness	77%	n/a	80%	n/a	2	2
Tier 4 OASys Assess	84%	n/a	85%	n/a	2	2
PPO OASys Assess	76%	n/a	86%	n/a	2	2
OM Phase 2 or 3 OASys Assess	99%	n/a	96%	n/a	4	4
Tier 2 & 3 OASys Final Reviews	75%	n/a	77%	n/a	2	2
Tier 4 OASys Final Reviews	74%	n/a	75%	n/a	2	2
PPO OASys Final Reviews	76%	n/a	73%	n/a	3	3
Parole Assessment Report Timeliness	100%	n/a	93%	n/a	4	4
Risk Management Plan Timeliness	79%	n/a	80%	n/a	2	2
Approved Premises Audit	n/a	30.0	28.4	n/a	0	0
OMI Risk of Harm	n/a	72%	n/a	n/a	0	0

Offender Management	IPPF Domain Score:				Previous Year - Q4	IPPF Grade
	Actual	Target / Milestone	National	79%		
NS Offender Management	79%	n/a	87%	75%	2	2
Court Report Timeliness (excl. RIC)	100%	n/a	99%	n/a	4	4
RIC PSRs for Magistrates Courts	57%	n/a	70%	n/a	2	2
Licence Recall Requests	89%	90%	87%	n/a	3	3
End To End Enforcement	53%	60%	64%	n/a	1	1
Enforcement	99%	n/a	95%	97%	4	4
Cases Reaching 6m Without Requiring Breach Action	72%	70%	75%	73%	3	3
Orders or Licences Successfully Completed	73%	70%	71%	74%	3	3
Victim Contact	99%	n/a	97%	n/a	4	4
Accommodation at Termination	80%	76%	n/a	79%	4	4
OMI Assessment and Sentence Planning	n/a	72%	n/a	n/a	0	0
Re-Offending Rate						
Reduce Re-offending	Actual	Predicted	Difference	Significant?	IPPF Grade	
	7.9%	7.4%	0.5%	No	2	

Interventions	IPPF Domain Score:				Previous Year - Q4	IPPF Grade
	Actual	Target / Milestone	National	79%		
NS Interventions	79%	n/a	74%	61%	3	3
Sex Offender Programme Performance	26	25	n/a	22	4	4
Domestic Violence Programme Performance	61	55	n/a	27	4	4
Accredited OBP Performance (excl. SOTP & DV)	255	245	n/a	218	4	4
Accredited OBP Starts (Relevant Criteria)	85%	80%	84%	n/a	3	3
ATR Performance	256	250	n/a	242	3	3
DRR Performance	77	60	n/a	55	3	3
DRR Starts	226	180	n/a	183	4	4
Unpaid Work Performance	892	800	n/a	841	3	3
UPW Start-downs	4.6%	5.0%	1.7%	4.3%	3	3
Employment at Termination	58%	40%	44%	n/a	4	4
Sustained Employment	222	210	n/a	209	4	4
Educational Referrals	762	710	n/a	722	4	4
PPO Drug Testing Condition	100%	n/a	94%	n/a	4	4
OMI Implementation of Interventions	n/a	72%	n/a	n/a	0	0

Operational Capability, Resource Use & Strategy	IPPF Domain Score:				Previous Year - Q4	IPPF Grade
	Actual	Target / Milestone	National	9.4		
Sickness Absence	9.4	11.5	11.0	9.4	3	3
Ethnic Monitoring	100%	95%	98%	99%	4	4
Budget Outturn	11573	11810	n/a	n/a	4	4
Audit Commission Results	4	4	n/a	n/a	4	4
OMI Management Results	n/a	72%	n/a	n/a	0	0

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

APPENDIX 5: Inspection model and arrangements

Model

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

Methodology

The main strands of our methodology are:

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

Publication arrangements

- Provisional findings are given to the 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, including the relevant Director of Offender Management and copies are also made available to the press and placed on our website.
- Reports on offender management in Wales are published in both Welsh and English.

APPENDIX 6: Scoring approach

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

www.justice.gov.uk/inspectors/hmi-probation

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

Section 1: Assessment and sentence planning

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

Section 2: Implementation of interventions

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

Section 3: Achieving and sustaining planned outcomes

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

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

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

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

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

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

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

Section 4: Leadership and strategic management

- 4.1 Effective leadership makes good quality offender management more likely
- 4.2 Effective resource deployment makes good quality offender management more likely

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

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

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

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

APPENDIX 7: Role of HMI Probation and Code of Practice

HM Inspectorate of Probation is an independent Inspectorate, funded by the Ministry of Justice and reports directly to the Secretary of State.

Our purpose is to:

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

Code of Practice

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

- working in an honest, professional, fair and polite way
- reporting and publishing inspection findings and recommendations for improvement in good time and to a good standard
- promoting race equality and wider attention to diversity in all aspects of our work, including within our own employment practices and organisational processes
- for the organisations whose work we are inspecting, keeping to a minimum the amount of extra work arising as a result of the inspection process
- while carrying out our work we are mindful of Ministerial priorities and the Strategic Plan for the Criminal Justice System. We work closely with other criminal justice Inspectorates through the Criminal Justice Chief Inspectors' Group, and also with Inspectorates involved with work with children and young people.

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

www.justice.gov.uk/inspectors/hmi-probation

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

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

APPENDIX 8: Glossary

CDRP	<i>Crime and Disorder Reduction Partnership</i> : multi-agency partnerships set up in each local authority in England with funding from the Home Office to achieve a community-based approach to crime reduction.
CJSSS	<i>Criminal Justice Simple, Speedy, Summary Justice</i> : An approach designed to improve the speed and effectiveness of the magistrates' and youth courts
CO/CEO	Chief Officer/Chief Executive Officer of a probation area/trust.
CPS	Crown Prosecution Service
CRAMS	<i>Case Record Administration and Management System</i> : Electronic case record used in most probation areas/trusts.
DOM	<i>Director of Offender Management</i> : National Offender Management Service regional commissioner of services for the rehabilitation and resettlement of offenders from probation areas/trusts and each prison in their region.
Dynamic factors	As distinct from <i>static factors</i> . <i>Dynamic factors</i> are the factors in someone's circumstances and behaviour that can change over time.
ETE	<i>Employment, Training and Education</i> : Work to improve an individual's learning, and thereby to increase their employment prospects
Estyn	Her Majesty's Inspectorate for education and training in Wales
FDR	<i>Fast delivery report</i> : short format Pre-sentence report, as distinct from a Standard Delivery Report
HMIC	Her Majesty's Inspectorate of Constabulary
HMI Prisons	Her Majesty's Inspectorate of Prisons
HMI Probation	Her Majesty's Inspectorate of Probation
Interventions; constructive and restrictive interventions	Work with an offender which is designed to change their offending behaviour and to support public protection. A <i>constructive intervention</i> is where the primary purpose is to reduce <i>Likelihood of Reoffending</i> . In the language of <i>offender management</i> this is work to achieve the 'help' and 'change' purposes, as distinct from the 'control' purpose. A <i>restrictive intervention</i> is where the primary purpose is to keep to a minimum the offender's <i>Risk of Harm to others</i> . In the language of <i>offender management</i> this is work to achieve the 'control' purpose as distinct from the 'help' and 'change' purposes. Example: with a sex offender, a <i>constructive intervention</i> might be to put them through an accredited sex offender programme; a <i>restrictive intervention</i> (to minimise their <i>RoH</i>) might be to monitor regularly and meticulously their accommodation, employment and the places they frequent, whilst imposing and enforcing clear restrictions as appropriate to each case. NB Both types of intervention are important.
IPPF	<i>Integrated Probation Performance Framework</i> ; operated by the National Offender Management Service. Under this, for each probation area/trust, a score is assigned for each of four 'domains' (aspects of their work). An overall score for the area/trust is also assigned.
ISP	<i>Initial Sentence Plan</i> . All cases should have a sentence plan. Usually this will be contained within the Offender Assessment System format.
LAA	<i>Local Area Agreement</i> : a structure that brings together the chief executives of the various public bodies in a locality to share responsibility for delivering public services in their area.
LCJB	<i>Local Criminal Justice Board</i> . This is a group made up of the <i>Chief Officers</i> of the five criminal justice agencies (police, probation, courts, prisons and the Crown Prosecution Service) in each of the 42 criminal justice areas
LoR	Likelihood of Reoffending; See <i>constructive interventions</i>
LSCB	<i>Local Safeguarding Children Board</i> – set up in each local authority (as a result of the Children Act 2004) to coordinate and ensure the effectiveness of the multi-agency work to safeguard and promote the welfare of children in that locality.
MAPPA	<i>Multi-Agency Public Protection Arrangements</i> : Probation, police, prison and other agencies working together locally to manage offenders who are of a higher <i>Risk of Harm to others</i> .
NOMS	<i>National Offender Management Service</i> : the single agency responsible for both Prisons and Probation Areas and Trusts.
OASys/eOASys	<i>Offender Assessment System/electronic Offender Assessment System</i> : the nationally designed and prescribed framework for both Probation and Prisons to assess offenders, implemented in stages from April 2003. It makes use of both <i>static</i> and <i>dynamic factors</i> .
Offender management	A core principle of <i>offender management</i> is that a single offender manager takes responsibility for managing an offender through the period of time they are serving their sentence, whether in custody or the community. Offenders are managed differently depending on their <i>RoH</i> and what <i>constructive</i> and <i>restrictive interventions</i> are required.

	Individual intervention programmes are designed and supported by the wider 'offender management team or network', which can be made up of the <i>offender manager</i> , offender supervisor, key workers and case administrators.
<i>Offender manager</i>	In the language of <i>offender management</i> , this is the term for the officer with lead responsibility for managing a specific case from 'end to end'.
<i>Ofsted</i>	Office for Standards in Education, Children's services & Skills – the Inspectorate for those services in England (not Wales, for which see Estyn).
<i>OGRS 3</i>	Offender Group Reconviction Score 3: a predictor of reoffending based only on static risks such as age, gender and criminal history.
<i>OMI 2</i>	Offender Management Inspection 2
<i>OMU</i>	Offender Management Unit
<i>PPO</i>	Prolific and other priority offender
<i>PSO</i>	<i>Probation Services Officer</i> This is the term for staff who fulfil specific roles in working with offenders during their sentence; for example, in the day-to-day management of offenders during the custodial phase of their sentence on behalf of the <i>offender manager</i>
<i>PSR</i>	<i>Pre-sentence report</i> . Includes both Standard Delivery Report and Fast Delivery Report
<i>REM</i>	Race and ethnic monitoring
<i>'RoH', 'RoH work' or 'Risk of Harm work'</i>	<i>Risk of Harm to others</i> : 'RoH work' is the term generally used by <i>HMI Probation</i> to describe work to protect the public. In the language of <i>offender management</i> , this is the work done to achieve the 'control' purpose, with the offender manager/supervisor using primarily <i>restrictive interventions</i> that keep to a minimum the offender's opportunity to behave in a way that is a <i>Risk of Harm to others</i> . <i>HMI Probation</i> uses the abbreviation ' <i>RoH</i> ' to mean specifically <i>Risk of Harm to others</i> . We use it instead of Risk of Serious Harm in order to ensure that <i>RoH</i> issues being assessed and addressed by probation areas are not restricted to the definition given in <i>OASys</i> . The intention in doing this is to help to clarify the distinction between the <i>probability</i> of an event occurring and the <i>impact/severity</i> of the event. The Risk of Serious Harm definition only incorporates 'serious' impact, whereas using ' <i>RoH</i> ' enables the necessary attention to be given to those offenders for whom lower <i>impact/severity</i> harmful behaviour is <i>probable</i> .
<i>RoSH (Risk of Serious Harm)</i>	This is the label used for classifying levels of risk in <i>OASys</i> , where offenders are classified as either 'low', 'medium', 'high' or 'very high' <i>Risk of Serious Harm</i> , where serious harm is defined as "an event which is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible." (Chapter 8 of the Offender Assessment System Manual, July 2006). In this report this term is used solely to refer to this process of <i>OASys</i> classification
<i>Safeguarding</i>	The ability to demonstrate that all reasonable action has been taken to keep to a minimum the risk of a child or young person coming to harm.
<i>SLA</i>	Service Level Agreement
<i>SDR</i>	<i>Standard Delivery Report</i> – a 'full' Pre-sentence report, as distinct from a Fast Delivery Report
<i>Static factors</i>	As distinct from <i>dynamic</i> factors. <i>Static</i> factors are elements of someone's history that by definition can subsequently never change (i.e. the age at which they committed their first offence).
<i>TPO</i>	Trainee probation officer
<i>VLO</i>	<i>Victim liaison officer</i> . responsible for delivering services to victims in accordance with the area/trust's statutory responsibilities
<i>YOS/YOT</i>	Youth Offending Service/Youth Offending Team