



HM Inspectorate of Probation

Performance Inspection Programme

Welsh Areas of the National
Probation Service for England
and Wales

Dyfed-Powys
Gwent
North Wales
South Wales

**Report on
Gwent**

2002

Home Office

BUILDING A SAFE, JUST
AND TOLERANT SOCIETY



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Foreword

This report is the last of a series that covers all the probation areas in England and Wales over a three year period. The previous inspections have covered the probation areas in England, clustered together on a regional basis to enable comparisons to be made easily and to facilitate the spread of good practice. This inspection has covered the probation areas in Wales on a similar basis. It took place soon after the creation of the National Probation Service on 1 April 2001 which involved amalgamation of several of the previous Welsh services, and the establishment of the now four probation areas in Wales.

The inspection was undertaken by a team of inspectors, lay inspectors and assessors drawn from the area's staff. Areas have been assessed on:

- how well they have met Home Office objectives for the probation service and the associated key performance indicators
- compliance with national standards and meeting other quality measures
- how well they can demonstrate that the work done has had a real impact on the behaviour of offenders supervised in the community, and has enhanced public protection
- relative value for money and appropriate management arrangements for planning and reviewing performance.

Assessments have been informed by evidence drawn from a number of sources, including the inspection of case records, observation of practice and consideration of the views of users. Management arrangements have also been examined. The report contains recommendations addressed to the individual areas within the region, which should contribute to improvements in performance and thus promote the confidence the community can feel in the work of probation staff.

Professor ROD MORGAN
HM Chief Inspector of Probation

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Glossary of abbreviations

ACO	Assistant chief officer
ACOP	Association of Chief Officers of Probation (ceased to exist 31 March 2001)
ACR	Automatic conditional release
BIR	Bail information reports
CAFCASS	Children and Family Court Advisory and Support Service (from April 2001)
CIPFA	Chartered Institute of Public Finance and Accountancy
CO	Chief officer (was CPO, Chief Probation Officer)
CP	Community punishment
CPO	Community punishment order
CPRO	Community punishment and rehabilitation order
CPS	Crown Prosecution Service
CRAMS	Case Record Administration and Management System
CRO	Community rehabilitation order
CS	Community service
C-SOGP	Community Sex Offender Group work Programme
CSU	Community Supervision Unit
DM	Divisional manager
DTTO	Drug Treatment and Testing Order
ETE	Education, training and employment
ETS	Enhanced Thinking Skills
HDC	Home detention curfew
HMIP	HM Inspectorate of Probation
IiP	Investor in People
IQR	Implementation Quality Rating
IT	Information technology
KPI	Key performance indicator
LCD	Lord Chancellor's Department
LSI-R	Level of Service Inventory-Revised
MAPP	Multi-Agency Public Protection Panel
N/A	Not available
NPD	National Probation Directorate
NPSISS	National Probation Service Information Systems Strategy
NSPCC	National Society for the Prevention of Cruelty to Children
OASys	Offender Assessment System
OAU	Offender Assessment Unit
OGRS	Offender Group Reconviction Scale
OIU	Offender Intervention Unit
PAGS	Probation Accommodation Grants Scheme
PIP	Performance Inspection Programme
PO	Probation officer
PPD	Performance planning document
PPU	Public Protection Unit
PSA	Public Sector Agreement
PSD	Petty Sessional Division
PSO	Probation service officer
PSR	Pre-sentence report
RADS	Risk and Dangerousness Assessment Screening
RMIS	Resource Management Information System
SDA	Service Delivery Agreement (new for KPI from April 2001)
SMART	Specific, Measurable, Achievable, Realistic and Timed
SP	Senior practitioner
SPM	Supporting Performance Measures (from April 2001)
SSR	Specific sentence report
YOI	Young Offender Institution

1. WALES OVERVIEW AND INSPECTION ARRANGEMENTS

- 1.1 This chapter provides an overview of the four areas in Wales following the amalgamations on 1 April 2001, and briefly describes the methods used to conduct the inspection. The amalgamations involved the combining of the former South, Mid and West Glamorgan services into the South Wales Probation Area, and the combining of the former Dyfed and Powys services into the Dyfed-Powys area. Historical information is given, where relevant, to the former probation services. However, both here and in succeeding chapters, information is given for the new areas wherever possible.

National context

- 1.2 Probation areas operate within the context of national policy and direction and, from April 2001, as part of the National Probation Service. The following were some of the developments which have impacted upon them in the last few years:
- contributing to Home Office Aim 3 – to ensure the effective delivery of justice, avoiding unnecessary delay, through efficient investigation, detection, prosecution and court procedures; to minimise the threat to and intimidation of witnesses and to engage with and support victims – and Home Office Aim 4 – to deliver effective custodial and community sentences to reduce reoffending and protect the public, through the prison and probation services, in partnership with the Youth Justice Board
 - the modernisation of the probation service including, in April 2001, the establishment of the NPD and the transfer of responsibilities from the former probation committees to new Probation Boards. In three of the four areas new COs had also been appointed
 - meeting the objectives set out in *A New Choreography – An Integrated Strategy for the National Probation Service for England and Wales*
 - the transfer of family court welfare services to CAF/CASS with effect from April 2001
 - the development of interventions based on What Works to reduce offending including the pathfinder projects, accreditation of programmes, and the development, with the prison service, of a new offender assessment tool (OASys) to be implemented later in 2002
 - the introduction of a number of new initiatives including: extended provision for victim inquiry work, HDC, DTTOs, curfew orders, crime and disorder partnerships, the introduction of youth offending teams, and an early warning mechanism for the release or discharge of potentially dangerous offenders
 - national initiatives to improve PSR quality and enforcement practice
 - the implementation and further development of NPSISS
 - the introduction of new arrangements for the training of POs including the setting up of regional consortia

- the introduction from April 2001 of statutory arrangements for police and probation areas to manage potentially dangerous offenders through MAPPPs
- the Home Secretary's announcement of targets for the recruitment, retention and career progression of minority ethnic staff
- new occupational standards for administrative and specialist staff
- both the NPD and probation areas beginning to make use of Better Quality Services and the European Excellence Model
- pressures on many areas in the face of difficulties in recruiting probation staff
- workloads that have tended to increase.

Wales context

1.3 Some of the key descriptive features of the seven previous services in Wales are identified in the table below.

TABLE 1: KEY BACKGROUND FACTORS OF THE AREAS INSPECTED (BASED ON LATEST AVAILABLE DATA)							
FACTOR	DYFED	POWYS	GWENT	NORTH WALES	MID GLAM	SOUTH GLAM	WEST GLAM
TOTAL CASH LIMITED REVENUE BUDGET 2000/2001 (INCLUDING DTOS)	2,611	1,009	4,719	4,993	3,949	4,630	3,701
% OF RELATIVE 'OVER(+)/UNDER(-) RESOURCING' (1) 2000/2001	-8.3%	-7.2%	-6.7%	-10.3%	-2.8%	-7.3%	+6.3%
% CASH LIMIT CHANGE IN 2000/2001	+9.0%	+8.5%	+8.5%	+11.8%	+7.8%	+8.0%	+5.9%
% CASH LIMIT CHANGE IN 1999/2000	+8.2%	+20.5%	+8.5%	+6.6%	+5.9%	+5.6%	+4.5%
(FULL-TIME EQUIVALENT) STAFF							
SENIOR MANAGERS	2.0	2.0	9.0	5.0	5.0	4.0	3.0
MIDDLE MANAGERS	3.6	2.0	-	6.0	7.0	6.0	7.5
POS	27.5	8.8	66.1	55.7	51.7	61.8	49.0
PSOS	13.5	8.2	32.0	39.0	24.8	15.8	23.0
SUPPORT STAFF	34.5	11.2	48.5	35.7	44.9	45.7	51.3
SECONDED PRISON STAFF	-	-	7.0	-	6.0	4.8	4.2
HOSTEL STAFF	-	-	-	22.4	-	13.2	15.4
APPROVED HOSTELS + BEDSPACES	0	0	0	41	0	26	18
NUMBER OF CROWN COURT CENTRES	0	0	1	3	1	1	1
NUMBER OF PSDS	10	3	10	9	4	2	4
PRISON DEPARTMENT ESTABLISHMENTS	0	0	2	0	1	1	1
PAYING AUTHORITIES	3	1	5	6	3	2	2
QUALITY AWARDS (2)	None	IP ⁽³⁾	IP Charter Mark	None	None	Charter Mark ⁽⁴⁾	None

(1) i.e. the extent to which the area's revenue budget represents more or less than its share of total resources indicated by the cash limit allocation formula. The formula is based on an area's share of national figures for certain key workload and needs variables, but the allocation mechanism also includes an arrangement to limit the size of a change in share indicated by the formula in a given year, to prevent large sudden changes. Because of this, and of earlier distortions in the allocation process, in most areas the actual allocation differs somewhat from that which would be indicated directly by the formula.

(2) Refers to those nationally recognised awards, such as IP and the Charter Mark, granted to organisations assessed as meeting defined standards of operational excellence.

(3) Amalgamation with Dyfed resulted in the loss of the award.

(4) In respect of Mandeville House Hostel.

Commentary

- The four new areas varied somewhat in size, with South Wales considerably larger than the other three.
- The degrees of relative 'under' or 'over'-resourcing under the cash limit allocation formula in operation up to March 2001 are shown. All the previous services except for West Glamorgan were relatively under-resourced. A new cash limit formula was introduced from April 2001, but the new Wales areas remained relatively under-resourced in relation to that formula. The NPD is taking steps to reduce the differentials in relative resourcing levels between areas.
- The ratios of managers to service delivery staff (POs and PSOs) and of support staff to service delivery staff showed some variations, being relatively high in Dyfed-Powys and relatively low in Gwent and North Wales. However, these ratios need to be treated with some caution as area definitions of managers and support staff may vary. The ratio of POs to PSOs also varied, being relatively high in South Wales and relatively low in North Wales.

Proportion of staff from minority ethnic groups

- 2.4 The proportion of staff from minority ethnic groups varied across Wales as shown in table 2.

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
- ALL STAFF	0.7	2.8	2.8	2.3
- MANAGERS	-	-	-	2.8
- MAN-GRADE POs	-	4.1	5.0	4.0
- PSOs	-	-	2.4	1.5
- OTHER STAFF	1.4	3.1	1.5	1.0
PERCENTAGE IN MINORITY ETHNIC GROUPS AGED 18 TO 34 IN THE LABOUR FORCE SURVEY 1996/1998	1.0	1.0	1.0	2.0

Commentary

- In Gwent, North Wales and South Wales the proportion of total staff from minority ethnic groups was greater than the equivalent proportion in the general population in the area, though in Dyfed-Powys it was a little below. Some caution is however needed interpreting these results in view of the small number involved. Only South Wales employed minority ethnic staff in management grades.

Crime statistics

- 1.5 A number of other factors also had a potential bearing on performance, some of which are shown in table 3.

TABLE 3: BACKGROUND CRIMINAL STATISTICS, 1999/2000				
	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
RECORDED CRIMES RECORDED BY POLICE PER 100,000 POPULATION	4,946	10,791	6,785	10,251
POLICE CLEAR-UP RATE: RECORDED CRIME	65%	53%	36%	31%
PERSONS FOUND GUILTY OR CAUTIONED FOR INDICTABLE OFFENCES PER 100,000 POPULATION, 1999	1,420	1,490	1,076	1,293

Commentary

- ▶ From April 2001, the boundaries of all the (new) areas were co-terminous with those of local constabularies.
- ▶ The level of recorded crime varied considerably between the (new) areas, being over twice as high in Gwent and South Wales than in Dyfed-Powys. The police clear-up rate was substantially higher in Dyfed-Powys and Gwent than in North or South Wales. The number of persons found guilty or cautioned per 100,000 of the population was highest in Gwent and Dyfed-Powys and lowest in North Wales.

Probation boards

- 1.6 The structure of the new Probation Boards, with effect from April 2001, is shown in table 4.

TABLE 4: COMPOSITION OF PROBATION BOARD SHOWING ACTUAL VERSUS EXPECTED MEMBERSHIP				
	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
1 CHAIR	1	1	1	1
1 CO	1	1	1	1
12 COMMUNITY MEMBERS INCLUDING	13	12	13	13
(2 MAGISTRATES)	4	4	6	4
(2 LOCAL AUTHORITY)	2	2	1	2
1 LCD NOMINEE	1	1	1	1
NUMBER OF MEMBERS RECORDED AS IN MINORITY ETHNIC GROUP - CURRENT	0	1	1	3

Commentary

- ▶ Figures show the position at the time the report was completed.

Inspection scope and methods

- 12.7 The inspection was not an exhaustive examination of all the work of the probation areas but instead focused on certain key aspects and compared the performance of local areas in relation to:
- PSRs and SSRs¹
 - supervision of offenders in the community including:
 - CROs
 - CPOs
 - CPROs
 - prison licences
 - the introduction of strategies for effective supervision
 - risk assessment and the management of dangerous offenders
 - financial accountability and audit
 - the area's management arrangements and value for money in service delivery.
- 12.8 The assessments made give particular attention to area achievements in meeting national performance indicators and targets, compliance with national standards and the advice contained in relevant probation circulars. The methods employed to inspect the areas were:
- an analysis of written documentation and use of Home Office data
 - discussions with Board members, managers and staff
 - meetings with the Board secretary, treasurer and district auditor
 - surveys of sentencers. A questionnaire was sent to all judges sitting regularly at the Crown Court centre(s) in the area concerned, to all district judges (stipendiary magistrates) in the courts in the area and to lay magistrates on a certain number of benches. The benches were chosen in order to survey a broadly similar proportion of magistrates in each area, and also to provide a representative sample of all benches in the area concerned, having due regard to size, geographical spread and degree of urbanisation
 - a survey of CS beneficiaries
 - an examination of samples of each area's case files and PSRs
 - observation of interviews with offenders by inspectors and local lay assessors. In one area a limited amount of group work was also observed
 - meetings with offenders
 - visits to CS work placements by inspectors and lay inspectors.
- 12.9 The Criminal Justice and Court Services Act 2000 introduced changes to the titles of community sentence orders with effect from 1 April 2001. Although some of the work examined in the inspection had been undertaken prior to April, the report uses the new titles in referring to the relevant orders. However, use of the phrase 'CS' has been retained in some sections when referring to

¹ The SSR is a specific limited enquiry undertaken at the request of the court into an offender's suitability for a particular community sentence, where the court has a particular sentence in mind. It is prepared on the same day as the request.

arrangements associated with the management of CPOs, as practice varied between areas and national advice on this matter had yet to be issued.

1.10 The report is structured as follows:

- the four new areas are generally referred to in their new form, although some specific references are made to the original services as appropriate
- the service delivery chapters identify relevant SDAs/SPMs/KPIs² and targets and present information about areas' achievements with succinct commentary. Each chapter concludes with an area specific performance section
- the area specific performance section draws together the key findings for individual areas, identifying good practice and poor performance. Where improvements are necessary, factors which appear to contribute to shortcomings are addressed, including specific attention to management arrangements. Particular attention is given to management arrangements for reviewing performance
- Chapter 7 addresses the area's overall management arrangements and value for money
- Chapter 8 outlines the next steps to be taken and identifies the level of follow-up work which HMIP will undertake to ascertain progress with the recommendations in this report.

1.11 The tables in the following chapters show the most recent Home Office workload data supplemented, where possible, by locally provided data.

1.12 Data on unit costs are also given in the tables. The main information on unit costs that used to be available was that from the RMIS computer system in probation areas. However, there were some doubts about the quality and inter-area comparability of this information. An alternative method of calculating unit costs has now been adopted by HMIP. This uses a calculation on similar lines to that in RMIS, though in less detail and on a more consistent basis between areas. Like RMIS it estimates unit costs by deducing the costs of the main items of work using national averages timings for those items from activity sampling exercises in 1997 and 1998. This alternative methodology is not precise but should provide a clear, general picture on differences in unit costs. It has been used for the figures on unit costs shown in tables in this report, although the table on PSRs (table 7) also shows information derived from RMIS.

1.13 The tables also include information on reconviction rates (for 'standard list' offences) within two years of commencement of community orders. The information shown is the difference between the actual rate and the predicted rate, i.e. that which might be expected for a similar group of offenders in that area. (A negative figure therefore indicates an actual rate below the predicted rate; a positive, above.) The tables indicate where difference between the actual and predicted rate was greater than the range, which might be expected to be due to chance variation. It should be noted that for small areas the analysis is based on a relatively small sample, and so the predicted range is relatively large. This may to some extent affect comparisons of the results because for a small area a result would need to differ proportionately from the predicted figure by a larger amount than for a larger area in order to be significantly different. It should also be noted that, bearing in mind factors such as police

² SDAs/SPMs/KPIs are set for the work of probation areas to monitor performance on certain main pieces of work. The KPIs for a given year, with associated targets, are set in plans for the probation service published by the Home Office, which set out Ministers' priorities and policy aims for the service nationally.

clear-up rates, social conditions and CPS success in prosecuting cases – which are likely to affect variations in reconviction rates – the results should not be interpreted as proving that a particular probation area has ‘good’ or ‘bad’ performance. In considering an area’s performance, they do however raise important issues warranting further explanation or investigation when the rates are particularly high or low relative to those predicted.

- 1.14 In line with its commitment to equality and diversity issues, HMIP now monitors the gender and ethnicity of those involved in the PIP inspections. In Wales, out of a total of 189 people involved as inspectors, file readers, local assessors and lay inspectors, 52% were female and 3% were from a minority ethnic group.

2. PRE-SENTENCE REPORTS

- 2.1 This chapter examines performance in the provision of PSRs to the criminal courts and the views of sentencers about their timeliness and quality.

Key performance indicators and national targets

- 2.2 The following KPIs for the preparation of PSRs were set for 1999/2000:

KPI 4:	Target	<i>90% of PSRs to be completed within the national standard timescale of 15 working days.</i>
KPI 6:	Target	<i>90% of judges and magistrates to be satisfied with: a) the overall usefulness of PSRs; and b) the objectivity of PSRs.</i>
KPI 7:	Target	<i>Unit cost per PSR to be lower than £360.</i>
KPI 9:	Target	<i>The proportion of prosecutors who consider that: a) bail information actually makes a difference to their recommendations to court (80%); b) BIRs cover everything needed (90%); and c) are satisfied that BIRs are objective, including information on risk where relevant (90%).</i>

- 2.3 The following KPIs for the preparation of PSRs were set for 2000/2001:

KPI 4:	Target	<i>90% of PSRs to be completed within the national standard timescale of 15 working days.</i>
	Target (a)	<i>90% of PSRs to be completed within the national standard timescale of 15 working days.</i>
	Target (b)	<i>20% of the total reports to be SSRs.</i>
KPI 6:	Target	<i>90% of judges and magistrates to be satisfied with: a) the overall usefulness of PSRs and SSRs; and b) the objectivity of PSRs and SSRs.</i>
KPI 7:	Target	<i>Unit cost per PSR to be lower than £380.</i>
KPI 9:	Target	<i>The proportion of prosecutors who consider that: a) bail information actually makes a difference to their recommendations to court (80%); b) BIRs cover everything needed (90%); and c) are satisfied that BIRs are objective, including information on risk where relevant (90%).</i>

- 2.4 To support the government's high level objectives (the PSAs), for 2001/2002 the following SDAs and SPMs were established:

Target (a)	<i>90% of PSRs to be completed within the national standard timescale of 15 working days.</i>
Target (b)	<i>20% of the total reports to be SSRs, to increase to 25% in 2003/2004.</i>
Target	<i>90% of judges and magistrates to be satisfied with: a) the overall usefulness of PSRs and SSRs; and b) the objectivity of PSRs and SSRs.</i>
Measure	<i>Unit cost per PSR.</i>

Use of pre-sentence reports

- 2.5 PSRs are requested by courts to assist with sentencing. Table 5 shows the number of reports prepared for the courts in 1997, 1998, 1999 and 2000 for each of the previous services in Wales.

TABLE 5: PSRS & SSRS PREPARED FOR THE COURTS 1997/1998/1999/2000								
		DYFED	POWYS	GWENT	NORTH WALES	MID GLAM	SOUTH GLAM	WEST GLAM
CROWN COURT PSRS	1997	341	120	763	486	628	737	513
	1998	322	68	728	532	563	796	624
	1999	296	62	631	451	597	852	530
	2000	228	57	670	509	578	712	440
MAGISTRATES' COURTS PSRS	1997	1,031	398	1,383	1,612	1,520	1,956	1,281
	1998	1,179	385	1,568	1,750	1,545	2,169	1,457
	1999	1,226	382	1,748	1,850	1,724	2,382	1,347
	2000	1,216	315	1,667	1,430	1,978	2,181	1,251
YOUTH COURTS PSRS	1997	151	6	191	77	108	314	69
	1998	187	9	141	98	116	334	50
	1999	160	13	114	79	86	355	76
	2000	65	12	12	38	40	21	41
TOTAL PSRS	1997	1,523	524	2,337	2,175	2,256	3,007	1,863
	1998	1,688	462	2,437	2,380	2,224	3,299	2,131
	1999	1,682	457	2,493	2,380	2,407	3,589	1,953
	2000	1,509	384	2,349	1,977	2,596	2,914	1,732
TOTAL SSRS	2000	31	4	119	165	8	164	172
SSRS AS A PROPORTION OF TOTAL REPORTS (KPI4A)	2000	2%	1%	5%	8%	0.3%	6%	10%

Commentary

- ▶ All the previous services, with the exception of Powys, had seen some increase in the total number of PSRs between 1997 and 1999, the most noticeable increase being in South Glamorgan. With the introduction of youth offending teams, from April 2000 probation areas no longer produced PSRs for youth courts.
- ▶ With the exception of Mid Glamorgan, between 1999 and 2000 there was a fall in PSRs in all services and this was particularly evident in South Glamorgan.
- ▶ The use of SSRs varied, with very low use in Dyfed, Powys and Mid Glamorgan but relatively higher use in North Wales and West Glamorgan. In all services it was well below the target that SSRs should comprise 20% of all reports.

2.6 Table 6 gives information about the use of PSRs and custodial sentencing.

	DYFED	POWYS	GWENT	NORTH WALES	MID GLAM	SOUTH GLAM	WEST GLAM	ENGLAND & WALES
MAGISTRATES' COURTS:								
% PSRS/ADULTS SENTENCED FOR INDICTABLE OFFENCES	60.2	56.7	53.5	78.0	88.5	80.9	75.4	69.5
% CUSTODIAL SENTENCING FOR INDICTABLE OFFENCES	6.4	9.5	9.7	6.7	13.0	10.6	8.5	13.4
CROWN COURT:								
% CUSTODIAL SENTENCING	60.4	66.0	60.8	72.5	67.1	61.1	66.6	61.7

Commentary

- » The proportionate use of PSRs in magistrates' courts differed, the rate in Mid Glamorgan exceeding that of the other previous services and the England and Wales average.
- » The rate of custodial sentencing in magistrates' courts varied, from around 6-7% in Dyfed and North Wales to 13% in Mid Glamorgan.
- » The rate of custodial sentencing in the Crown Court was higher in North Wales than in the other services and considerably above the England and Wales average.

Costs of pre-sentence reports

2.7 The costs of PSRs across the (new) areas are identified in table 7.

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES	ENGLAND & WALES
1998/1999 (RMIS)*	N/A	N/A	350	N/A	365
1998/1999 (ALTERNATIVE METHODOLOGY)*	340	330	350	360	420
1999/2000 (ALTERNATIVE METHODOLOGY)*	370	360	370	380	415
2000/2001 (ALTERNATIVE METHODOLOGY)*	460	370	410	400	440

* See paragraph 1.12.

Commentary

- » In 2000/2001 PSR costs in Dyfed-Powys were a little above the national average, while those in the other three areas were below average. The noticeable increase in unit costs in Dyfed-Powys, in the period shown, at least in part reflects the increases in budget shown in table 1.

Timeliness of pre-sentence reports

- 2.8 Table 8 shows the proportion of PSRs prepared within the national standard requirement of 15 working days.

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	ENGLAND & WALES
MAGISTRATES' COURTS					
1997/1998	63.0%	73.4%	59.0%	81.2%	58.5%
1998/1999	71.6%*	73.3%	N/A	84.3%	62.8%
1999/2000	63.1%	75.1%	67.6%	83.9%	68.1%
2000/2001	68.3%*	78.5%	66.4%	81.6%*	74.6%
CROWN COURT					
1997/1998	65.6%	57.1%	36.1%	66.7%	50.6%
1998/1999	69.4%*	64.9%	N/A	68.3%	47.9%
1999/2000	53.8%	72.2%	37.1%	60.2%	49.4%
2000/2001	66.2%*	79.8%	35.3%	85.4%*	55.0%

N/A = Not available from area.
Asterisked figures are based on data for only part of the year and/or for not all of the previous services.

Commentary

- ▶▶ In most of the previous services at least some data had not been submitted to the Home Office, which was unsatisfactory.
- ▶▶ The available data suggests relatively good performance in South Wales and Gwent, with somewhat weaker performance in Dyfed-Powys and North Wales, although no area was meeting the target that 90% of PSRs should be completed within the national standard timescale of 15 days. However, it is not clear that figures on PSR timeliness, particularly for Crown Courts, are fully consistent and comparable, partly because of the difficulties in extracting data from some areas' computer systems. Further action is needed nationally to improve the quality of this information.

Outcomes of pre-sentence reports

- 2.9 The quality and impact of PSRs can be assessed to some extent by the degree to which they influence sentencing options through examining the concordance between the proposal in the report and the sentencing decision. Such information can also be valuable in ascertaining if there is a relationship between PSR quality, outcome and race and gender equality. The concordance between the proposals and sentences in the PSRs assessed in the inspection is shown in table 9.

**TABLE 9:
PSR PROPOSALS AND CONCORDANCE**

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES
% OF PSRS WHERE PROPOSAL WAS:				
COMMUNITY REHABILITATION ORDER	25 of 70 (36%)	10 of 70 (14%)	13 of 66 (20%)	16 of 73 (22%)
COMMUNITY REHABILITATION ORDER WITH CONDITIONS	5 of 70 (7%)	10 of 70 (14%)	7 of 66 (11%)	9 of 73 (12%)
COMMUNITY PUNISHMENT AND REHABILITATION ORDER	7 of 70 (10%)	12 of 70 (17%)	5 of 66 (7%)	4 of 73 (5%)
COMMUNITY PUNISHMENT ORDER	7 of 70 (10%)	16 of 70 (23%)	14 of 66 (21%)	21 of 73 (29%)
ALL COMMUNITY PENALTIES	44 of 70 (63%)	48 of 70 (69%)	39 of 66 (59%)	50 of 73 (68%)
CUSTODY (PROPOSED/CLEARLY IMPLIED)	5 of 70 (7%)	7 of 70 (10%)	9 of 66 (14%)	5 of 73 (7%)
OTHER PROPOSAL	14 of 70 (20%)	8 of 70 (11%)	10 of 66 (15%)	10 of 73 (14%)
NO CLEAR PROPOSAL AND THIS WAS UNDERSTANDABLE	4 of 70 (6%)	7 of 70 (10%)	5 of 66 (7%)	5 of 73 (7%)
NO CLEAR PROPOSAL, AND SHOULD HAVE BEEN	3 of 70 (4%)	0 of 70 (0%)	3 of 66 (5%)	3 of 73 (4%)
% OF PSR PROPOSALS WHERE THERE WAS CONCORDANCE WITH ACTUAL SENTENCE:				
PROPOSAL FOR:				
COMMUNITY REHABILITATION ORDER	16 of 25 (64%)	5 of 7 (71%)	11 of 13 (85%)	6 of 16 (38%)
COMMUNITY REHABILITATION ORDER WITH CONDITIONS	0 of 3 (0%)	0 of 9 (0%)	4 of 5 (80%)	0 of 9 (0%)
COMMUNITY PUNISHMENT AND REHABILITATION ORDER	1 of 5 (20%)	7 of 12 (58%)	1 of 5 (20%)	1 of 4 (25%)
COMMUNITY PUNISHMENT ORDER	4 of 7 (57%)	8 of 14 (57%)	11 of 13 (85%)	15 of 21 (71%)
CUSTODY (PROPOSED/CLEARLY IMPLIED)	4 of 5 (80%)	6 of 6 (100%)	8 of 9 (89%)	4 of 5 (80%)
OVERALL CONCORDANCE RATE FOR PROPOSALS FOR COMMUNITY SENTENCE OR CUSTODY	25 of 45 (56%)	26 of 48 (54%)	35 of 45 (78%)	26 of 55 (47%)

Commentary

- ▶ Assuming some degree of similarity between the offenders and offences dealt with in the PSRs assessed, the patterns of proposals shown in table 9 varied between the areas. For example, in Dyfed-Powys there was a higher proportion of CRO proposals than in the other areas and, correspondingly, a lower proportion of CPO proposals. The proportion of CPRO proposals in Gwent was somewhat higher than in the other areas, as was the concordance rate.
- ▶ The overall concordance rate was considerably higher in North Wales than in the other areas, for which the results were similar. There was no concordance for CROs with conditions in Dyfed-Powys, Gwent and South Wales of the cases sampled.
- ▶ From these samples areas can undertake further analyses to see what the actual sentences were when proposals were not followed and also examine concordance against race and gender variables.

Sentencer satisfaction

- 210 Judges sitting regularly at the Crown Court locations in Wales were surveyed regarding their satisfaction with PSRs, as were magistrates from a number of benches in each area. The results of the survey are summarised in tables 10 and 11.

**TABLE 10:
JUDGES' SATISFACTION WITH PSRS AND SSRS**

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF RESPONSES	2	3	6	8
NUMBER 'SATISFIED' OR 'VERY SATISFIED' WITH:				
- CLARITY OF PSRS	1 of 1	3 of 3	5 of 5	6 of 7
- APPROPRIATENESS OF PSR PROPOSAL	0 of 1	3 of 3	5 of 5	5 of 8
- PSR OBJECTIVITY	0 of 1	3 of 3	5 of 5	5 of 8
- TIME NEEDED TO PREPARE PSR	1 of 1	3 of 3	5 of 5	7 of 8
- OVERALL USEFULNESS OF PSRS IN REACHING SENTENCING DECISION	0 of 1	3 of 3	5 of 5	6 of 8
- AVAILABILITY OF SSRS	N/A	2 of 3	3 of 3	4 of 5
- OVERALL USEFULNESS OF SSRS	N/A	2 of 2	3 of 3	4 of 4
- TIME NEEDED TO PREPARE SSRS	N/A	2 of 2	3 of 3	4 of 4
- PROVISION FOR THE WELSH LANGUAGE	N/A	0 of 1	2 of 2	2 of 3
- WORK OF THE AREA OVERALL	1 of 1	2 of 3	5 of 5	6 of 6

**TABLE 11:
MAGISTRATES' SATISFACTION WITH PSRS AND SSRS**

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF RESPONSES	98	100	65	183
RESPONSE RATE	49%	50%	34%	32%
PROPORTION * 'SATISFIED' OR 'VERY SATISFIED' WITH:				
- CLARITY OF PSRS	95%	97%	92%	89%
- APPROPRIATENESS OF PSR PROPOSAL	87%	84%	79%	69%
- PSR OBJECTIVITY	92%	88%	83%	85%
- TIME NEEDED TO PREPARE PSRS	68%	70%	59%	59%
- OVERALL USEFULNESS OF PSRS IN REACHING SENTENCING DECISION	95%	95%	95%	84%
- AVAILABILITY OF SSRS	74%	82%	81%	85%
- OVERALL USEFULNESS OF SSRS	86%	93%	92%	88%
- TIME NEEDED TO PREPARE SSRS	72%	84%	81%	81%
- PROVISION FOR THE WELSH LANGUAGE	82%	94%	95%	98%
- WORK OF THE AREA OVERALL	98%	97%	94%	89%

* Proportions exclude cases where respondents said they did not see sufficient work to form a view.

Commentary

- ▶ The majority of sentencers were satisfied with the overall usefulness of PSRs and SSRs in reaching a sentencing decision although, among magistrates, satisfaction with PSRs was lower in South Wales.
- ▶ Nearly all the judges who responded were satisfied with the timeliness of PSRs and SSRs, but in South Wales not all were satisfied with the appropriateness of proposals or PSR objectivity.
- ▶ Magistrates generally thought that PSRs were clear. However, in South Wales about 30% were not satisfied with the proposals. In all the areas, and particularly North Wales and South Wales, a substantial proportion of magistrates were dissatisfied with the timeliness of PSRs and this issue clearly needed further attention.

- Nearly a fifth of magistrates expressed dissatisfaction with the availability of SSRs and the proportion was higher in Dyfed-Powys.
- The large majority of magistrates who expressed a view were satisfied that the area made available facilities for the use of the Welsh language, though the proportion satisfied was slightly lower in Dyfed-Powys.
- The large majority of sentencers was satisfied with the work of the service overall. However, among magistrates, the proportions for South Wales were slightly less than for the other areas.

Quality of pre-sentence reports

- 2.11 A sample of 60 PSRs was examined in each area as part of the inspection process, the inspectors being assisted by reading teams of local staff. The results on the overall assessment of the quality of PSRs from that scrutiny are shown in table 12, together with corresponding results from the ACOP/HMIP national PSR quality improvement exercises³ for 1996, 1997 and 1999. Other relevant findings are included in the area specific section of the report.

**TABLE 12:
OVERALL QUALITY OF PSRS**

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
THIS INSPECTION 2001						
EXCELLENT	0%	8%	17%	10%	10%	0-32%
SATISFACTORY/ GOOD ENOUGH	73%	77%	67%	69%	64%	40-82%
NOT SATISFACTORY/ NOT GOOD ENOUGH	17%	17%	17%	18%	24%	3-48%
VERY POOR	4%	0%	0%	3%	3%	0-15%
					ENGLAND & WALES AVERAGE	
ACOP NATIONAL EXERCISE 1999:						
EXCELLENT	4%	5%	7%	9%	11%	
SATISFACTORY/ GOOD ENOUGH	45%	65%	46%	55%	62%	
NOT SATISFACTORY/ NOT GOOD ENOUGH	41%	29%	44%	34%	25%	
VERY POOR	10%	2%	3%	2%	3%	
NATIONAL EXERCISE 1997:						
EXCELLENT	3%	14%	0%	9%	10%	
SATISFACTORY/ GOOD ENOUGH	61%	78%	46%	60%	63%	
NOT SATISFACTORY/ NOT GOOD ENOUGH	34%	7%	47%	30%	25%	
VERY POOR	3%	2%	7%	1%	2%	
NATIONAL EXERCISE 1996:						
EXCELLENT	11%	7%	5%	8%	12%	
SATISFACTORY/ GOOD ENOUGH	62%	68%	62%	56%	64%	
NOT SATISFACTORY/ NOT GOOD ENOUGH	26%	25%	27%	30%	24%	
VERY POOR	1%	0%	7%	5%	3%	

³The exercises were run jointly by ACOP and HMIP and were aimed at improving the quality of PSRs. In the exercises a sample of PSRs from most of the areas in England and Wales were assessed against the requirements of national standards using a standard *pro forma*.

Commentary

- ▶▶ The quality of PSRs was broadly similar between the areas and also broadly similar to, or somewhat above, the average for earlier PIP regions. The results for each area represented a good improvement on the results for the 1999 ACOP/HMIP exercise.

2.12 Tables 13, 14, 15 and 16 show more detailed results from the scrutiny of PSRs undertaken during the performance inspection.

TABLE 13: QUALITY OF PSRS: OFFENCE ANALYSIS					
	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9
EXCELLENT	9%	4%	16%	12%	13%
SATISFACTORY/GOOD ENOUGH	73%	76%	60%	71%	63%
NOT SATISFACTORY/NOT GOOD ENOUGH	17%	20%	22%	15%	22%
VERY POOR	1%	0%	2%	1%	2%

TABLE 14: QUALITY OF PSRS: OFFENDER ASSESSMENT					
	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 7-9
EXCELLENT	13%	9%	13%	18%	15%
SATISFACTORY/GOOD ENOUGH	76%	81%	81%	77%	72%
NOT SATISFACTORY/NOT GOOD ENOUGH	11%	10%	6%	6%	12%
VERY POOR	0%	0%	0%	0%	1%

TABLE 15: QUALITY OF PSRS: ASSESSMENT OF THE RISK OF HARM TO THE PUBLIC AND LIKELIHOOD OF REOFFENDING					
	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 7-9
EXCELLENT	13%	13%	21%	18%	19%
SATISFACTORY/GOOD ENOUGH	70%	84%	69%	66%	67%
NOT SATISFACTORY/NOT GOOD ENOUGH	16%	3%	10%	14%	13%
VERY POOR	1%	0%	0%	1%	1%

TABLE 16: QUALITY OF PSRS: CONCLUSION					
	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9
EXCELLENT	10%	6%	13%	10%	12%
SATISFACTORY/GOOD ENOUGH	70%	73%	70%	71%	64%
NOT SATISFACTORY/NOT GOOD ENOUGH	17%	19%	16%	18%	22%
VERY POOR	3%	0%	0%	1%	2%

Commentary

- ▶▶ These results on specific aspects were again broadly similar between the areas, and also similar to or better than the average for earlier regions.
- ▶▶ There was a particularly good result for Gwent on risk assessments.

FINDINGS FOR GWENT

Key performance indicators and national targets

2.13 Tables 5, 7, 8, 10 and 11 show data on the area's performance in relation to the main KPIs specified in the Home Office Plans for the Probation Service 1998/1999, 1999/2000 and, where available, for 2000/2001.

2.14 The following results were achieved for KPIs in 2000/2001:

- **KPI 4: Target (a)** 79% of PSRs for the magistrates' courts and 80% for the Crown Court were completed within the national standard timescale of 15 working days, compared to the national target of 90%

KPI 4: Target (b) in 2000, 5% of total reports were SSRs, well below the national target of 20%

- **KPI 6:** no information on this KPI was collected for 2000/2001. In HMIP's survey of sentencers in connection with this inspection, all three judges and 95% of the magistrates who responded were satisfied with the overall usefulness of PSRs. The judges and 88% of magistrates were also satisfied with the objectivity of PSRs
- **KPI 7:** the unit cost of PSR for 2000/2001 was £370, the lowest in Wales and in line with the national target
- **KPI 9:** further consideration was being given to the most appropriate way of measuring the quality of bail information work.

2.15 Overall, performance in meeting the national standard for the completion of PSRs in 15 days had improved from 1998/1999, but it remained below the national target. However, unit costs were in line with the national target, and the majority of sentencers expressed satisfaction with the quality of the PSRs they received.

Area targets and monitoring arrangements

2.16 In 2000/2001 the service plan included KPI 4 and set the following additional targets as part of its action plan to implement the national Objective B:

- "Ensure that PSRs and SSRs comply with national standards and agreed local and national quality standards in 100% of cases"
- "Demonstrate that the LSI-R, or OASys, is used as the basis of PSR assessment in 100% of cases"
- "Demonstrate that sentencers and others working within the magistrates' and Crown Courts are satisfied with the performance of the Gwent Probation Service in at least 90% of cases".

2.17 Local monitoring on PSR timeliness and the quality of PSRs was reported in the Area Plan 2001/2004, but no information was provided in relation to KPI 4 Target (b) or the other targets. An

internal inspection in September 2000 showed that 100% of PSRs had been rated satisfactory or better.

- 2.18 The relevant targets for 2001/2002, in addition to those set nationally, were:
- "A3: To implement OASys (when available) as an assessment tool for the production of all PSRs and SSRs within the magistrates' and Crown Courts"
 - "B3: To ensure that 85% of PSRs are rated as satisfactory or better, according to criteria agreed with HMIP".
- 2.19 Local monitoring, reported by the information manager, showed that during the first two quarters of 2001/2002 80% of PSRs for the magistrates' courts and 85% of PSRs for the Crown Courts met the timeliness target. There was within the report an acknowledgement that some missing data might have affected the figures for the second quarter. Of reports to the magistrates' courts, 11% were SSRs in the first two quarters. OASys was not yet available to Gwent at the time of the inspection visit. The area had chosen to let HMIP's visit be the means of measuring the PSR quality target during the current year.
- 2.20 Although the results being achieved were short of the national targets, they were moving in the right direction. However, area monitoring was providing limited performance information and its reliability was affected by incomplete data returns. A further potential handicap to improving systems was the 'local' recording and monitoring conducted by the manager of the OAU, whose report for the first two quarters of the year quoted a substantially lower figure for PSRs completed and slightly better timeliness data than that shown by area results. Staff and managers alike needed to be clear both about the target to be achieved and how it would be measured. Particularly important was the need to understand that for Home Office purposes it would be the figure produced by the area's information system that would 'count' and therefore any 'local' recording might prove an unhelpful distraction from the need to ensure that data entry on CRAMS was properly maintained. The area was aware of this problem and had already made some plans to deal with it.

Quality of reports

- 2.21 PSRs and SSRs were completed by the OAU in almost all cases, including those where a report was requested on a current case. There were some benefits in the clarity of the current arrangements, whereby PSR production across the area was being managed within one unit, but there were also some costs in terms of flexibility in the service provided particularly when staff were in short supply. At the time of the inspection, these arrangements had been reviewed and an initial decision taken on some changes to enable an improvement in the provision of SSRs.
- 2.22 The area had taken part in the PSR Quality Improvement Programme initiated by ACOP and HMIP in 1996. Table 12 shows the results of the national exercises in 1996, 1997 and 1999 and compares them with the overall quality of reports read for this inspection. It was good that 83% were assessed as either satisfactory or excellent. This represented an improvement on the disappointing 1999 result of 70%, which in turn contrasted sharply with the very good 1997 result of 92%. Gwent's 2001 result was the second best in Wales.

- 2.23 Tables 13-16 show the performance on individual sections of reports. The proportion of all sections achieving a satisfactory or excellent rating was comparable with the overall rating, with the exception of the very good 97% score for the section on risk assessments. However, inspectors and staff who undertook the scrutiny of PSRs noted a number of matters that would merit further attention:
- the date of offence was rarely recorded on the front sheet as required
 - in many cases, the CPS papers had not been available; this was comparable with the experience of other probation areas at the time
 - the reports where the offence analysis was assessed as unsatisfactory (20%) tended to describe the circumstances in which the offender claimed the offence had occurred rather than provide an analysis of the offender's role, the degree of premeditation involved and culpability
 - a relatively small amount of additional effort by the PSR writer could have led to the report being rated as excellent in many cases.
- 2.24 Table 9 shows the concordance between the proposals and sentences in the PSRs assessed in this inspection. In Gwent, community sentences were proposed in 69% of the sample, the highest of the four samples in Wales. However, the overall concordance rate for proposals and sentencing outcomes was somewhat lower than in two of the other three Welsh areas. None of the nine proposals for a CRO with conditions resulted in that sentence.
- 2.25 The area was making insufficient use of concordance information. For example, there was a need to examine reports within two or three OGRS bandings, and compare percentages of proposals and outcomes for white, minority ethnic, male and female offenders within each of the bandings. This would give an indication of whether offenders who were broadly comparable in terms of offending behaviour were being treated by the probation area equitably in terms of race and gender. This and other concordance information should be formally reported to the Board at least once a year and used by managers on a more frequent and regular basis.
- 2.26 PSR quality was monitored and reported on periodically, but the main selected route to quality improvement was the joint initiative by the three areas in southern Wales to explore the option of employing a 'Cornwall-style' PSR template. Good though it was to note that this initiative was being undertaken on an inter-area basis, and also that its reasoning was to learn from the success achieved by another probation area, both the nature and the slowness of the initiative's progress was disappointing. The very high quality of PSRs in Cornwall, and how this quality was achieved, had been known nationally since 1999. Over two years later the Cornwall template had been adapted by the project group from a 'smart template' into a different entity altogether. It had become a 'smart checklist' Gwent had yet to decide whether this adapted template should continue to be its main route to PSR quality improvement. However, whether by this means or by another, the quality of Gwent PSRs needed to be raised to at least 90% satisfactory.

Sentencer satisfaction

2.27 The extent to which judges and magistrates were satisfied with the work of the area was surveyed as part of the inspection. Tables 10 and 11 show that three judges and 100 magistrates responded to a questionnaire. The results were:

- the judges were unanimous in expressing satisfaction with the clarity, objectivity, appropriateness of proposal, timeliness and overall usefulness of PSRs
- magistrates were also satisfied with the clarity of PSRs and their overall usefulness, but were less unanimous in their views about their objectivity and the appropriateness of their proposals
- magistrates were less satisfied with the time taken to prepare PSRs.

2.28 Sentencers were also given the opportunity to add further comments on the survey form and a minority chose to do so:

- a number made a range of positive comments about well-written PSRs, helpfulness in court, and overall good service
- a larger number made some critical comments about poorly written and presented reports from some officers, including an unwelcome tendency for the report writer to accept the offender's version of the offence and to minimise its seriousness
- concerns were also expressed about the perceived lack of depth in the interviewing for PSRs and the quality and availability of SSRs
- in relation to the Welsh Language Act, two respondents commented to the effect that Welsh was never needed in the area, but a third respondent expressed an objection, in Welsh, to the unidiomatic Welsh translation of 'National Probation Service for England and Wales'.

2.29 Of those who made a comment, the majority were on the critical side, but this was usually tempered with the qualification that their comments concerned individual instances. Some also expressed concern about their perception of insufficient probation staff and resources. Overall, the balance of satisfaction expressed by sentencers was strongly positive.

Summary and recommendations

2.30 In relation to the preparation of PSRs and SSRs, the area's main strengths were:

- the continuing attention given to the quality of PSRs
- the proportion of PSRs rated as satisfactory or better
- the level of sentencer satisfaction
- the clarity of arrangements for PSR completion.

2.31 Areas for improvement were:

- the lack of clear focus on the new national standard for PSR timeliness, particularly in relation to how it would be measured, and the need for reliable data completion on CRAMS
- the slow speed and loss of direction of the PSR quality improvement programme being undertaken jointly with other areas in southern Wales (the PSR template)
- the need to make use of concordance information and give appropriate attention to race and wider diversity issues.

2.32 It is therefore recommended that:

The Board should ensure that:

- *The timeliness of PSRs is improved to meet the required Home Office target.*
- *The quality of PSRs is further improved, so that 90% are assessed as either satisfactory or excellent.*
- *Managers make regular use of concordance data to assess the link between the quality of the PSR and the sentencing outcome, paying particular attention to race and wider diversity issues.*

3. EFFECTIVE SUPERVISION OF COMMUNITY REHABILITATION ORDERS

3.1 This chapter examines the supervision of offenders subject to CROs and the programmes and partnerships established to support the supervision of offenders in the community.

Key performance indicators and national targets

3.2 The Home Office Plan for the Probation Service 1999/2000 contained four KPIs for CRO work, namely:

- KPI 1: Target:** *To lower the actual reconviction rates for all types of order and achieve rates lower than predicted.*
- KPI 2: Target:** *80% of those on community rehabilitation supervision to be seen within five working days of the order being made.*
- KPI 3: Target:** *Breach action to be taken in 90% of cases on or before a third unacceptable failure.*
- KPI 7: Target:** *Annual unit cost per CRO to be below £1,790.*

3.3 The following four KPIs for CRO work were set for 2000/2001:

- KPI 1: Target:** *As for 1999/2000.*
- KPI 2: Target:** *90% of those on community rehabilitation supervision to have arrangements to be seen within five working days of the order being made.*
- KPI 3: Target:** *Breach action to be taken in 90% of cases on or before a second unacceptable failure.*
- KPI 7: Target:** *Annual unit cost per CRO to be below £1,875.*

3.4 For 2001/2002 the following SDAs and SPMs were established:

- Target** *Breach action to be taken in 90% of cases on or before a second unacceptable failure.*
- Target** *To lower the actual reconviction rates for all types of order and achieve rates lower than predicted.*
- Measure** *Compliance with the requirements of national standards on:*
- *making arrangements for contact throughout the order*
 - *timeliness of supervision plans and reviews*
 - *timeliness of plans to manage risks posed by offenders assessed as high risk of harm.*
- Measure** *Differences between proportions of offenders in employment, education or training and settled accommodation at start and finish of order.*
- Measure** *Unit cost of CRO.*

For 2002/2003 targets have been set for completion of accredited programmes and of basic skills awards.

Community rehabilitation orders – statistics and KPI performance

- 3.5 Table 17 shows the number of new CRO commencements across the former services in Wales over the previous four years, performance against the KPIs (based on information provided by the former services to the Home Office), completion rates without early termination for breach or a further offence, and reconviction data.

TABLE 17:
COMMUNITY REHABILITATION ORDER COMMENCEMENTS BY YEAR, COSTS (KPI4 1997/1998), RATES FOR COMPLETION WITHOUT EARLY TERMINATION FOR BREACH OR FURTHER OFFENCE (KPI2 1998/1999), PROPORTION OF CASES WHERE FIRST CONTACT WAS WITHIN THE NATIONAL STANDARD TIME LIMITS (KPI2 1998/1999), PROPORTION OF RELEVANT CASES WHERE BREACH ACTION WAS TAKEN IN ACCORDANCE WITH NATIONAL STANDARDS REQUIREMENTS (KPI3 1998/1999), AND RECONVICTION RATES (KPI1).

	DYFED	POWYS	GWENT	NORTH WALES	MID GLAM	SOUTH GLAM	WEST GLAM	ENGLAND & WALES
COMMENCEMENTS:								
1997	347	101	607	529	449	555	465	51,509
1998	403	125	599	584	452	572	523	55,514
1999	398	115	572	503	469	629	498	55,570
2000	371	101	602	631	550	631	459	53,702
MOST RECENT COST/ORDER (1)	2,000	2,700	1,770	1,960	1,770	1,810	2,230	2,000
COMPLETION RATES 1999	79%	83%	77%	81%	77%	74%	68%	80%
OFFENDER CONTACT WAS WITHIN 5 WORKING DAYS:								
1998/1999 (JULY-DECEMBER)	N/A	88%	89%	44%	83%	49%	68%	81%
1999/2000	63%	73%	94%	68%	84%	71%	79%	81%
2000/2001	**	**	**	**	**	**	**	**
RELEVANT CASES IN WHICH BREACH ACTION WAS TAKEN ON OR BEFORE A THIRD UNACCEPTABLE FAILURE:								
1998/1999 (JULY-DECEMBER)	N/A	50% (2 of 4)	75% (15 of 20)	29% (15 of 52)	59% (20 of 34)	39% (7 of 18)	52% (33 of 63)	47%
1999/2000	**	**	**	**	**	**	**	**
2000/2001	**	**	**	**	**	**	**	**
2-YEAR RECONVICTION RATE: ACTUAL MINUS PREDICTED RATE								
	+4%	-8%	+1%	+5%	+4%	-5%	+3%	0%
[***INDICATES OUTSIDE PREDICTED RANGE.] (2)								
[1] Annual unit cost figures for 2000/2001, based on alternative methodology described in paragraph 1.12.								
[2] Data based on commencements in the first quarter of 1998.								
N/A Not provided by area.								
** Breakdown of results not readily available for community rehabilitation orders separately.								

Commentary

- ▶ In four of the previous seven services the number of CROs made had remained broadly constant over the period 1997 to 2000, although trends had varied between years. However, North Wales, Mid Glamorgan and South Glamorgan had seen some increases.
- ▶ The unit costs of CROs varied between the services. Unit costs in Powys and West Glamorgan were above the national average, with the highest in Powys. Costs in the other services were below the national average, with the lowest in Gwent and Mid Glamorgan.
- ▶ For 1999/2000, based on services' returns, two of the seven services achieved the KPI target that at least 80% of offenders were seen within five days of the CRO being made.
- ▶ The six areas where KPI data returns for 1998/1999 were available showed significant variation in relation to taking appropriate breach action in that year. Gwent at 75% showed

the strongest performance and North Wales at 29% the poorest. Nationally, more recent data on breach action were included in ACOP enforcement studies, but the separate results for CROs could not easily be extracted.

- » Area KPI figures concerning compliance with the national standard need to be set against the inspection findings, reported more fully in the second half of this chapter. The inspection findings are the more reliable and up to date.
- » Reconviction rates suggested that areas were having insufficient impact on reoffending, although reconviction rates need to be seen in the context of police clear-up rates and other variables.

Minority ethnic composition of community rehabilitation order commencements

- 36 Table 18 shows the minority ethnic composition of CRO commencements, along with the percentage in minority ethnic groups in the general population aged 18-54.

TABLE 18:
PERCENTAGE MINORITY ETHNIC COMPOSITION OF COMMUNITY REHABILITATION ORDER COMMENCEMENTS,
12 MONTHS ENDING 31 MARCH 2000

	DYPED-POWYS	GWENT	NORTH WALES	SOUTH WALES
- BLACK	0.8	1.9	0.8	2.9
- SOUTH ASIAN*	-	0.7	0.2	0.1
- OTHER MINORITY ETHNIC GROUPS	0.2	0.6	0.8	0.7
TOTAL	1.0	2.8	1.8	3.7
PERCENTAGE IN MINORITY ETHNIC GROUPS AGED 18 TO 54 IN THE LABOUR FORCE SURVEY 1996/1998.	1.0	1.0	1.0	2.0
* Indian, Pakistani and Bangladeshi.				

Commentary

- » The proportion of offenders on CROs who were from minority ethnic groups was similar to the minority ethnic proportion in the general population of the area in Dyfed-Powys, and somewhat higher in the other areas. However, these data need to be treated with some caution because percentages applied to small numbers can be misleading.

Community rehabilitation orders with additional requirements

- 37 Table 19 shows the number of orders with additional requirements (S1A2 and S1A3, i.e. mainly, to participate in certain specified activities) commencing in each of the last four years, and the proportion of CROs with such requirements.

**TABLE 19:
COMMUNITY REHABILITATION ORDER COMMENCEMENTS WITH ADDITIONAL REQUIREMENTS (S1A2 AND S1A3)**

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
1997	28	154	226	301
1998	24	137	175	431
1999	27	45	152	334
2000	50	3	203	333
% OF TOTAL COMMUNITY REHABILITATION ORDERS 2000	11%	< 1%	32%	20%

Commentary

- ▶ The proportionate use of additional requirements was very low in Gwent and the numbers had fallen considerably over the period 1997/2000. Use was also relatively low in Dyfed-Powys and South Wales, but higher in North Wales.

- 3.8 Table 20 shows the number of orders commencing in each of the last four years with a requirement of residence at an approved hostel (now called 'approved premises').

**TABLE 20:
COMMUNITY REHABILITATION ORDER COMMENCEMENTS WITH A REQUIREMENT OF RESIDENCE IN AN APPROVED PROBATION HOSTEL**

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
1997	0	0	16	16
1998	1	2	18	28
1999	1	0	19	15
2000	1	0	9	16
% OF TOTAL COMMUNITY REHABILITATION ORDERS 2000	<1%	0%	1%	1%

Commentary

- ▶ The proportionate use of a hostel requirement to augment community supervision was very low (or zero) in all areas. As Dyfed-Powys and Gwent did not manage any approved hostels, CRO commences with a requirement of residence would normally be included in the orders commencing in the supervising court area. However, the very low numbers for North Wales and South Wales are of concern. Impressions from PSR assessments suggested that the value of hostel placements was often overlooked by those who wrote PSRs.

Compliance with national standards

- 3.9 A sample of approximately 60 CRO case files (over 100 in South Wales), including the community rehabilitation element of some CPROs, was examined in each area with the aid of a reading team drawn from the area concerned. The following tables 21-24 identify levels of compliance with key aspects of national standards, including the effectiveness of supervision.

TABLE 21:
COMMUNITY REHABILITATION ORDERS – COMPLIANCE WITH NATIONAL STANDARDS – CONTACT

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
NUMBER OF CASES OF WHICH	57	71	64	105	N/A	N/A
- MINORITY ETHNIC	0 of 55	0 of 71	0 of 61	0 of 103	*	*
- FEMALE	14 of 57	10 of 71	22 of 64	18 of 105	*	*
FIRST APPOINTMENT ARRANGED TO TAKE PLACE WITHIN 5 WORKING DAYS	93%	92%	95%	89%	86%	70-98%
FIRST APPOINTMENT TOOK PLACE WITHIN 5 WORKING DAYS	86%	87%	76%	79%	77%	63-92%
12 APPOINTMENTS ARRANGED TO TAKE PLACE IN FIRST 12 WEEKS	79%	71%	73%	60%	*	*
12 APPOINTMENTS TOOK PLACE IN FIRST 12 WEEKS	45%	39%	40%	34%	38%	13-75%
6 APPOINTMENTS ARRANGED TO TAKE PLACE IN SECOND 12 WEEKS	84%	82%	66%	78%	*	*
6 APPOINTMENTS TOOK PLACE IN SECOND 12 WEEKS	71%	62%	57%	64%	58%	28%-80%
ADDITIONAL REQUIREMENTS IMPLEMENTED WITHIN 12 WEEKS	67%	71%	38%	57%	*	*

* Information not available on same basis.

TABLE 22:
COMMUNITY REHABILITATION ORDERS – COMPLIANCE WITH NATIONAL STANDARDS – ENFORCEMENT

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
ACTION ALWAYS TAKEN WITHIN 2 DAYS TO OBTAIN EXPLANATION FOR FAILURES TO ATTEND	27 of 44 (61%)	41 of 61 (67%)	38 of 51 (75%)	53 of 85 (62%)	54%	29-80%
OFFENDER'S EXPLANATION (OR LACK) ALWAYS CLEARLY RECORDED	32 of 44 (73%)	35 of 60 (58%)	34 of 51 (67%)	60 of 86 (70%)	53%	22-86%
PO'S VIEW OF ACCEPTABLE/ UNACCEPTABLE FAILURES ALWAYS CLEARLY RECORDED	31 of 44 (70%)	32 of 59 (54%)	28 of 48 (58%)	51 of 83 (61%)	51%	23-83%
PO'S VIEW ABOUT ACCEPTABILITY ALWAYS APPROPRIATE	29 of 40 (73%)	40 of 56 (71%)	29 of 44 (66%)	58 of 81 (72%)	*	*
APPROPRIATE WARNING GIVEN ON FIRST UNACCEPTABLE FAILURE (WHERE NOT BREACHED)	24 of 31 (77%)	27 of 40 (68%)	32 of 39 (82%)	38 of 57 (67%)	*	*
BREACH ACTION CLEARLY TAKEN AS A RESULT OF, OR BEFORE, SECOND UNACCEPTABLE FAILURE	11 of 21 (52%)	16 of 28 (57%)	26 of 39 (67%)	22 of 41 (54%)	41%	4-77%
MANAGER'S AUTHORISATION NOT TO BREACH ON SECOND FAILURE RECORDED	1 of 10 (10%)	3 of 12 (25%)	3 of 14 (21%)	4 of 19 (21%)	18%	0-78%

* Information not available on same basis.

Commentary

- All the areas performed at about or above the average from previous inspections in respect of the first contact with offenders within five days of the order being made. Performance in arranging contact during the first three months of supervision varied between areas, with a

relatively better result for Dyfed-Powys and relatively worse for South Wales. However, in all the areas the level of contact achieved, though broadly similar to the average of previous inspections, fell well below that envisaged in the national standard.

- ▶ Performance on timely implementation of additional requirements fell short of the national standard in each area, but particularly so in North Wales.
- ▶ Staff in North Wales were the most prompt in dealing with any failures by offenders to attend their appointments, and also most frequently gave a formal warning as required on a first failure. On recording the offender's explanation for any absences and the officer's view of acceptability, Dyfed-Powys showed the better results and Gwent the weaker. However, in all the areas, performance on these aspects fell short of the national standard. Further, in at least a quarter of relevant cases, the officer's decision to define an absence as acceptable did not always appear to be appropriate.
- ▶ Performance on taking appropriate breach action (whether or not within the ten day requirement in national standards) was better than the (poor) average in previous inspections, particularly in North Wales, but further improvements were still needed in each area. Where breach action was not taken as required, manager authorisation for that decision was recorded in only a limited proportion of cases.
- ▶ Analysing the data on contact and enforcement by gender did not reveal any differences. The samples of cases examined did not include any minority ethnic offenders.

**TABLE 23:
COMMUNITY REHABILITATION ORDERS – COMPLIANCE WITH NATIONAL STANDARDS – ASSESSMENT AND SUPERVISION PLANNING**

	DYPED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
SUPERVISION PLAN PREPARED	96%	90%	97%	95%	94%	82-100%
PROPORTION OF ASSESSMENTS AND PLANS WHICH MET ALL THE CONTENT REQUIREMENTS OF THE NATIONAL STANDARD	14%	23%	30%	39%	*	*
PROPORTION OF PLANS WITH CLEAR TARGETS FOR PROGRESS	13%	13%	3%	15%	*	*
RISK ASSESSMENT OF HARM TO VICTIM OR PUBLIC	68%	76%	70%	80%	*	*
4-MONTHLY REVIEW OF SUPERVISION PLAN	44%	72%	80%	56%	60%	29-88%

* Information not available on same basis.

**TABLE 24:
COMMUNITY REHABILITATION ORDERS – EFFECTIVENESS OF SUPERVISION**

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
EXTENT TO WHICH OFFENDING BEHAVIOUR APPEARS TO HAVE BEEN CHALLENGED:						
ALL OFFENDERS						
'CLEARLY SUFFICIENT'	16%	33%	27%	28%	36%	7-69%
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	33%	30%	34%	30%	33%	19-56%
MINORITY ETHNIC OFFENDERS						
'CLEARLY SUFFICIENT'	N/A	N/A	N/A	N/A	*	*
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	N/A	N/A	N/A	N/A	*	*
EXTENT TO WHICH OFFENCE RELATED PROBLEMS APPEAR TO HAVE BEEN ADDRESSED:						
ALL OFFENDERS						
'CLEARLY SUFFICIENT'	36%	30%	37%	37%	46%	12%-75%
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	49%	45%	49%	40%	33%	14%-57%
MINORITY ETHNIC OFFENDERS						
'CLEARLY SUFFICIENT'	N/A	N/A	N/A	N/A	*	*
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	N/A	N/A	N/A	N/A	*	*
EXTENT TO WHICH THE OFFENDER WAS MADE AWARE OF EFFECT ON VICTIM AND OTHERS:						
ALL OFFENDERS						
'CLEARLY SUFFICIENT'	15%	32%	27%	32%	30%	3-50%
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	26%	25%	34%	29%	30%	10-55%
MINORITY ETHNIC OFFENDERS						
'CLEARLY SUFFICIENT'	N/A	N/A	N/A	N/A	*	*
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	N/A	N/A	N/A	N/A	*	*

* Information not available on same basis.

Commentary

- » Supervision plans were prepared in nearly all cases, but only a minority fully met the content requirements of national standards: the proportion in Dyfed-Powys was particularly low. Only a small proportion of plans contained clear targets for progress, with a particularly low proportion in North Wales.
- » Performance on assessing the risk of harm the offender might pose to the public was similar to or better than the average of 62% in the last three PIP regional inspections, but all the areas needed to improve performance on this important matter.
- » Performance on timely reviews of supervision plans was better in North Wales and Gwent than in Dyfed-Powys and South Wales.

- ▶ Based on information in records, in only about 50-60% of cases across the areas had offending behaviour been sufficiently challenged. The results were similar to or somewhat below the average for earlier PIP inspections and improvement was needed particularly in Dyfed-Powys.
- ▶ Offence related problems were addressed sufficiently in a higher proportion of cases in each of the areas and the results were similar to the average for earlier PIP inspections.
- ▶ The proportion of cases where there was evidence that offenders were being made sufficiently aware of the impact of their offending on others was disappointingly low, again particularly so in Dyfed-Powys. Although the results for three of the areas were similar to the average for earlier PIP inspections, improvement was nonetheless needed in each area.

Observation of practice

3.10 A number of interviews with offenders on CROs and CPROs were observed directly in order to assess further the quality and potential impact of supervision. The results are shown in tables 25-28. Care has to be taken with interpreting the percentage figures as numbers are small, hence the actual numbers are also included in the tables. These tables show a range of practice issues, but it should be borne in mind that they are based on an observation of just one interview within a longer period of supervision.

TABLE 25: OBSERVATION OF PRACTICE: COMMUNITY REHABILITATION AND COMMUNITY PUNISHMENT AND REHABILITATION ORDERS: ASSESSMENT AND PLANNING				
	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF INTERVIEWS WHICH TOOK PLACE, OF WHICH:	38	30	21	44
- SUPERVISOR WAS PSD	11 of 36	5 of 29	1 of 20	12 of 44
- MINORITY ETHNIC OFFENDER	1 of 34	0 of 22	0 of 20	0 of 43
- FEMALE OFFENDER	7 of 36	11 of 30	6 of 21	7 of 44
SUPERVISION PLAN THAT ADDRESSED ADEQUATELY THE RISK FACTORS AND OFFENDERS' CRIMINOGENIC NEEDS	19 of 25 (76%)	20 of 24 (83%)	9 of 15 (60%)	27 of 38 (71%)
SUPERVISION PLAN SET SMART OBJECTIVES	7 of 25 (28%)	3 of 25 (12%)	1 of 16 (6%)	6 of 40 (15%)
SUPERVISOR DEFINITELY CLEAR ABOUT WHAT SHE/HE WANTED TO GET OUT OF THE SESSION	28 of 35 (80%)	24 of 30 (80%)	17 of 21 (81%)	29 of 41 (71%)

TABLE 26:
OBSERVATION OF PRACTICE: COMMUNITY REHABILITATION AND COMMUNITY PUNISHMENT AND REHABILITATION ORDERS: CONTENT OF INTERVIEW

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF INTERVIEWS WHICH TOOK PLACE	38	30	21	44
WHERE ENFORCEMENT ISSUES TO BE ADDRESSED ON DAY OF INTERVIEW,* HANDLED WELL	4 of 6 (67%)	2 of 3 (67%)	3 of 4 (75%)	2 of 4 (50%)
WHERE CURRENT PUBLIC PROTECTION ISSUES INVOLVED, INTERVIEW LIKELY TO CONTRIBUTE TO REDUCTION IN RISK: - VERY WELL - WELL ENOUGH	4 of 17 (24%) 9 of 17 (53%)	2 of 9 (22%) 7 of 9 (78%)	3 of 11 (27%) 8 of 11 (73%)	0 of 9 (0%) 8 of 9 (89%)
OFFENDING RELATED FACTORS DEALT WITH IN WAY THAT WOULD CONTRIBUTE TO REDUCTION IN REOFFENDING** - ALL OFFENDERS VERY WELL WELL ENOUGH - MINORITY ETHNIC OFFENDERS VERY WELL WELL ENOUGH	8 of 34 (24%) 22 of 34 (65%) 0 of 1 (0%) 1 of 1 (100%)	7 of 29 (24%) 22 of 29 (76%) N/A N/A	7 of 21 (33%) 12 of 21 (57%) N/A N/A	11 of 44 (25%) 28 of 44 (64%) N/A N/A
OFFENDERS' SOCIAL CIRCUMSTANCES DEALT WITH* - VERY WELL - WELL ENOUGH	6 of 30 (20%) 20 of 30 (67%)	8 of 24 (33%) 16 of 24 (67%)	8 of 19 (42%) 10 of 19 (53%)	9 of 43 (21%) 32 of 43 (74%)
VICTIM ISSUES DEALT WITH IN WAY THAT WOULD INCREASE OFFENDERS' AWARENESS OF IMPACT OF OFFENDING ON OTHERS** - VERY WELL - WELL ENOUGH	4 of 21 (19%) 9 of 21 (43%)	5 of 17 (29%) 11 of 17 (65%)	4 of 20 (20%) 9 of 20 (45%)	2 of 17 (12%) 6 of 17 (35%)
INTERVIEW SATISFACTORILY CONSISTENT WITH SUPERVISION PLAN	20 of 22 (91%)	22 of 22 (100%)	15 of 15 (100%)	38 of 40 (95%)
INTERVIEW CONSISTENT WITH SUPERVISORS' ADVANCED PLANNING	36 of 36 (100%)	30 of 30 (100%)	20 of 21 (95%)	41 of 44 (93%)
OVERALL QUALITY OF INTERVIEW: - ALL OFFENDERS VERY GOOD SATISFACTORY NOT SATISFACTORY VERY POOR - MINORITY ETHNIC OFFENDERS VERY GOOD SATISFACTORY NOT SATISFACTORY VERY POOR	7 of 38 (18%) 28 of 38 (74%) 3 of 38 (8%) 0 of 38 (0%) 0 of 1 (0%) 1 of 1 (100%) 0 of 1 (0%) 0 of 1 (0%)	11 of 29 (38%) 18 of 29 (62%) 0 of 29 (0%) 0 of 29 (0%) N/A N/A N/A N/A	6 of 21 (29%) 12 of 21 (57%) 3 of 21 (14%) 0 of 21 (0%) N/A N/A N/A N/A	7 of 45 (16%) 35 of 45 (78%) 3 of 45 (7%) 0 of 45 (0%) N/A N/A N/A N/A

* This proportion is of cases where this issue was relevant/current on the day of the interview (as assessed by the inspector). These and the other proportions in the tables exclude cases where not relevant/current.

Commentary

- » The large majority of interviews observed in each area were assessed as either very good or satisfactory – the proportion ranged from 86% in North Wales to 100% in Gwent.
- » Only one interview with a minority ethnic offender was observed and was assessed as satisfactory.
- » The majority of supervision plans addressed risk factors and criminogenic needs adequately, though the proportion was lower in North Wales than in the other areas. However, only a minority of plans included SMART objectives and this proportion was very low in North Wales.

- ▶ Interviews were generally planned, though in a fifth of cases, and more in South Wales, there were doubts as to whether the supervisor was definitely clear about what he/she wanted to achieve.
- ▶ Enforcement issues were handled satisfactorily in only 11 out of 17 relevant cases.
- ▶ Where there were public protection issues to address, this was generally well done though somewhat less well in Dyfed-Powys.
- ▶ Offending related factors were tackled well in all cases observed in Gwent and in around 90% of cases in the other three areas. These were positive findings.
- ▶ The offender's social circumstances were very well addressed.
- ▶ Offenders' victim awareness was handled well in Gwent but less so in the other three areas, particularly in South Wales where the issue was satisfactorily addressed in only about a half of the cases observed. The results for these three areas were disappointing. Clearly work need to be done to shift the focus from the needs of offenders to the needs of victims and to public safety in general.
- ▶ Interviews were generally well aligned with the supervision plan and consistent with the supervisor's advance planning.

TABLE 27:
OBSERVATION OF PRACTICE: COMMUNITY REHABILITATION AND COMMUNITY PUNISHMENT AND REHABILITATION ORDERS: CONDUCT OF INTERVIEW

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF INTERVIEWS WHICH TOOK PLACE	38	30	21	44
SUPERVISOR ABLE TO REINFORCE WORK BEING DONE BY OTHERS INVOLVED IN DELIVERING SUPERVISION PLAN OBJECTIVES (WHERE RELEVANT):				
- VERY WELL	8 of 25 (32%)	5 of 20 (25%)	3 of 19 (16%)	8 of 33 (24%)
- WELL ENOUGH	14 of 25 (56%)	15 of 20 (75%)	15 of 19 (79%)	22 of 33 (67%)
SUPERVISOR ACTIVELY INVOLVED OFFENDER IN DISCUSSION:				
- VERY WELL	19 of 38 (50%)	15 of 30 (50%)	14 of 21 (67%)	12 of 45 (27%)
- WELL ENOUGH	15 of 38 (39%)	15 of 30 (50%)	6 of 21 (29%)	30 of 45 (67%)
METHODS USED BY SUPERVISORS GENERALLY APPROPRIATE TO WHAT THEY WERE TRYING TO ACHIEVE:				
- VERY WELL	17 of 37 (46%)	16 of 28 (57%)	10 of 20 (50%)	10 of 45 (22%)
- WELL ENOUGH	14 of 37 (38%)	10 of 28 (36%)	6 of 20 (30%)	22 of 45 (49%)
INTERVIEWER SENSITIVE TO OFFENDERS' RACE, GENDER OR OTHER POTENTIALLY DISCRIMINATORY FACTOR (WHERE RELEVANT):				
- VERY WELL	3 of 14 (21%)	4 of 20 (20%)	8 of 12 (67%)	3 of 11 (27%)
- WELL ENOUGH	10 of 14 (71%)	16 of 20 (80%)	2 of 12 (17%)	7 of 11 (64%)

**TABLE 28:
OBSERVATION OF PRACTICE: COMMUNITY REHABILITATION AND COMMUNITY PUNISHMENT AND
REHABILITATION ORDERS: OFFENDER VIEWS**

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF OFFENDERS INTERVIEWED BY INSPECTOR/LOCAL ASSESSOR	37	29	19	44
OFFENDER UNDERSTOOD WHAT WAS TRYING TO BE ACHIEVED DURING THE INTERVIEW THAT DAY: - CLEARLY - TO SOME EXTENT	24 of 37 (65%) 9 of 37 (24%)	19 of 29 (66%) 10 of 29 (34%)	12 of 19 (63%) 7 of 19 (37%)	29 of 44 (66%) 11 of 44 (25%)
WHERE PUBLIC PROTECTION ISSUES INVOLVED, OFFENDER CONSIDERED THAT WORK THAT DAY WOULD HELP STOP THEM ACTING IN WAY WHICH AFFECTS/HURTS OTHER PEOPLE: - DEFINITELY - TO SOME EXTENT	6 of 19 (32%) 10 of 19 (53%)	6 of 9 (67%) 3 of 9 (33%)	5 of 10 (50%) 4 of 10 (40%)	4 of 11 (36%) 6 of 11 (55%)
WHERE PUBLIC PROTECTION ISSUES INVOLVED, OFFENDER CONSIDERED THAT WORK DONE DURING ORDER AS A WHOLE WOULD HELP STOP THEM ACTING IN WAY WHICH AFFECTS/HURTS OTHER PEOPLE: - DEFINITELY - TO SOME EXTENT	11 of 19 (58%) 6 of 19 (32%)	7 of 11 (64%) 3 of 11 (27%)	6 of 11 (55%) 5 of 11 (45%)	6 of 10 (60%) 3 of 10 (30%)
OFFENDERS CONSIDERED THAT WORK THAT DAY WOULD HELP THEM STOP REOFFENDING: - ALL OFFENDERS DEFINITELY TO SOME EXTENT - MINORITY ETHNIC OFFENDERS DEFINITELY TO SOME EXTENT	14 of 33 (42%) 13 of 33 (39%) N/A N/A	16 of 29 (55%) 9 of 29 (31%) N/A N/A	10 of 18 (56%) 7 of 18 (39%) N/A N/A	17 of 44 (39%) 20 of 44 (46%) N/A N/A
OFFENDERS CONSIDERED THAT WORK DURING ORDER AS A WHOLE WOULD HELP THEM STOP REOFFENDING: - ALL OFFENDERS DEFINITELY TO SOME EXTENT - MINORITY ETHNIC OFFENDERS DEFINITELY TO SOME EXTENT	18 of 32 (56%) 10 of 32 (31%) N/A N/A	21 of 28 (75%) 6 of 28 (21%) N/A N/A	10 of 17 (59%) 6 of 17 (35%) N/A N/A	26 of 42 (62%) 13 of 42 (31%) N/A N/A
OFFENDERS CONSIDERED THAT PO/PSO HELPED THEM DEAL WITH THEIR PARTICULAR NEEDS & CIRCUMSTANCES - ALL OFFENDERS DEFINITELY TO SOME EXTENT - MINORITY ETHNIC OFFENDERS CLEARLY TO SOME EXTENT	19 of 32 (59%) 7 of 32 (22%) N/A N/A	16 of 27 (59%) 7 of 27 (26%) N/A N/A	11 of 19 (58%) 7 of 19 (37%) N/A N/A	22 of 44 (50%) 15 of 44 (34%) N/A N/A
OFFENDERS CONSIDERED THAT THEY HAD GENERALLY BEEN TREATED FAIRLY THROUGHOUT ORDER BY EVERYONE INVOLVED: - ALL OFFENDERS ALWAYS MOST/NEARLY ALL THE TIME - MINORITY ETHNIC OFFENDERS ALWAYS MOST/NEARLY ALL THE TIME	29 of 33 (88%) 4 of 33 (12%) N/A N/A	22 of 29 (76%) 5 of 29 (17%) N/A N/A	17 of 19 (89%) 2 of 19 (11%) N/A N/A	40 of 44 (91%) 2 of 44 (5%) N/A N/A
OFFENDERS CONSIDERED THAT AREA HAD TAKEN THEIR LANGUAGE OF PREFERENCE SUFFICIENTLY INTO ACCOUNT - DEFINITELY - TO SOME EXTENT	30 of 33 (91%) 0 of 33 (0%)	25 of 26 (100%) 0 of 26 (0%)	15 of 17 (88%) 2 of 17 (12%)	40 of 44 (91%) 1 of 44 (2%)

Commentary

- » Supervising officers were supporting the work of others in most cases.
- » Officers actively involved offenders in their interviews and the methods used were usually appropriate to what they were seeking to achieve, though to a lesser extent in South Wales.

- » Where relevant, supervisors were nearly always sensitive to the offender's race, gender or other potentially discriminatory factor.
- » Most offenders understood what the supervisor was trying to achieve.
- » The large majority of offenders believed that the work being undertaken would help them stop reoffending.
- » In public protection cases almost all offenders believed that supervision would make a difference to the risks they presented.
- » Most offenders felt that that day's interview had helped them deal with their particular needs and circumstances, at least to some extent.
- » Nearly all offenders in each area (and all in Dyfed-Powys and North Wales) considered that they had been treated fairly always or most of the time.
- » Nearly all offenders considered that the area had 'definitely' taken their language of preference sufficiently into account.

3.11 The quality of work shown by the observed interviews was better than that evidenced by the file reading and was particularly high in Gwent. The results pointed to the need for attention to case recording practice. It was disappointing that so few supervision plans set clear targets for achievement but good to find that offence focused work was being undertaken in most cases. A particular matter for improvement in all areas was the attention given to victim issues.

Sentencer satisfaction

3.12 Table 29 shows the proportion of magistrates and judges surveyed that were satisfied with the way in which areas supervised all community orders.

TABLE 29: SENTENCERS' SATISFACTION WITH THE SUPERVISION OF COMMUNITY ORDERS				
	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF RESPONSES	105	103	70	192
RESPONSE RATE	51%	58%	36%	32%
OF THOSE SEEING SUFFICIENT WORK TO FORM A VIEW,* PROPORTION 'SATISFIED' OR 'VERY SATISFIED' WITH:				
- THE WAY IN WHICH COMMUNITY PENALTIES ARE SUPERVISED	97% (31%)	85% (32%)	88% (17%)	82% (31%)
- THE ABILITY OF THE AREA TO SUPERVISE MORE SERIOUS OFFENDERS	85% (44%)	79% (36%)	67% (39%)	68% (35%)
- THE RANGE OF PROGRAMMES THE AREA PROVIDES TO ADDRESS DIFFERENT TYPES OF OFFENDING	81% (22%)	85% (17%)	87% (9%)	82% (11%)
- THE WAY THE AREA IS COMPLYING WITH NATIONAL STANDARDS	100% (36%)	93% (29%)	98% (28%)	90% (26%)
- THE EXTENT TO WHICH BREACH ACTION IS TAKEN WHEN APPROPRIATE	98% (83%)	91% (4%)	78% (2%)	85% (5%)
THE AVAILABILITY OF INFORMATION WHEN REQUIRED ON THE OUTCOME OF COMMUNITY SENTENCES:				
- PARTICULAR OFFENDERS	65% (28%)	56% (37%)	63% (19%)	59% (25%)
- IN GENERAL	86% (12%)	83% (18%)	80% (10%)	77% (12%)

* I.e. proportion is of those who did see sufficient work to form a view. The proportion of total responses who stated they did not see sufficient work to form a view is shown in bracketed italics.

Commentary

- Quite a large proportion of all sentencers did not feel sufficiently well equipped to form a view about the various aspects of their area's work on which they were asked to comment. This suggested that arrangements for providing them with information about community sentences needed to be reviewed.
- Among those who did feel able to comment, there were high levels of satisfaction with the way community penalties were supervised. Less were confident about the area's ability to supervise more serious offenders, particularly in North Wales and South Wales.
- Sentencers' views about compliance with national standards did not necessarily correlate well with the findings from the inspection.
- At best only two-thirds of sentencers were satisfied with the availability of information about the outcome of community sentences on particular offenders, although results for the availability of information about the outcome of community sentences in general were better. These findings again reinforced the need for areas to review their working agreements with courts to ensure that arrangements for the provision of information are adequately addressed.

FINDINGS FOR GWENT

Key performance indicators and national targets

- 3.13 Table 17 shows data on the area's performance in relation to the main KPIs for CROs specified in the Home Office Plans for the Probation Service 1998/1999, 1999/2000 and, where available, for 2000/2001.
- 3.14 The following results, based on information from the area, were achieved for KPIs in 2000/2001:
- **KPI 2:** in 80% of cases arrangements were made for offenders to be seen within five days of the order being made, compared to the national target of 90%
 - **KPI 3:** in 67% of relevant cases breach action had been taken as required, compared to the Home Office target of 90%. Table 22 shows that in the sample of cases examined during the inspection 57% (16 out of 28) were breached as required
 - **KPI 7:** the unit cost of a CRO was £1,770 and met the Home Office target (to be below £1,875).
- 3.15 The two year reconviction rate (KPI 1) for CROs was within the predicted range for orders made in the first quarter of 1998, which meant that the area had not met the target to reduce reoffending.

Area targets and monitoring arrangements

3.16 In 2000/2001 the area set the following additional quantitative targets:

- "Ensure that the revised national standards are fully implemented from April 2000 and that all offenders subject to community supervision orders and post-release licences are supervised in compliance with those standards"
- "Demonstrate that 100% of community supervision orders and post-release licences are enforced in compliance with the new standards, with particular emphasis on breach proceedings"
- "Within the context of the What Works [effective practice] strategy, deliver the ETS programme to 10% of all offenders made subject to community supervision orders and eligible post-release licences commenced following the introduction of the Programme".

3.17 Local monitoring was reported in the Gwent Area Plan 2001/2004. The results for national targets are reported above. Other findings showed that:

- in 56% of cases 12 appointments were arranged within the first 12 weeks of the order
- the ETS programme did not start rolling until February 2000 and therefore no quantitative target was produced for this target.

3.18 The relevant targets for 2001/2002 were:

- in 90% of cases: the first appointment to be arranged on time, 12 appointments to be arranged within the first 12 weeks, and required breach action to be taken
- to achieve 250 referrals and 175 completions (before any actuarial reduction) of the ETS programme.

3.19 Local monitoring of cases starting in the first two quarters of the year showed that:

- 69% of cases were recorded as having had the first appointment arranged on time
- no other relevant monitoring against targets was available and the figures given above were depressed by the significant number of cases with missing data (22%) which were counted as not meeting the target.

Compliance with the national standard

3.20 Tables 21-23 provide data on the area's compliance with the national standard for the supervision of CROs based on an examination of 71 case files.

3.21 Table 21 provides details of performance in relation to contact levels. The key findings were:

- the first appointment was arranged to take place within five working days in 92% of cases and actually took place on time in 87% of cases, the best finding in Wales
- while in 71% of cases 12 appointments were arranged to take place in the first 12 weeks of the order, in only 39% of cases did that number of appointments actually take place, a disappointing result
- in 82% of cases six appointments were arranged to take place in the second 12 weeks of the order and in 62% of cases that number of appointments took place, results that left room for improvement
- where additional requirements were included in the order, in 71% of cases these were implemented within 12 weeks, the best result in Wales.

3.22 Table 22 provides details of performance in relation to enforcement. The key findings were:

- in 67% of relevant cases action was always taken within two days to obtain an explanation for failures to attend, a comparatively good result
- in just 58% of relevant cases the offender's explanation (or lack of explanation) for the failure was always clearly recorded, a poor result in need of improvement
- disappointingly, in only 54% of relevant cases was the supervising officer's assessment of whether or not the explanation was acceptable always clearly recorded
- in only 57% of relevant cases (16/28) was breach action clearly taken as a result of, or before, a second unacceptable failure. Where breach action was not taken, manager authorisation not to breach was recorded in only three out of 12 cases, which was particularly unsatisfactory.

3.23 Table 23 provides details of performance in relation to supervision planning. The key findings were:

- a supervision plan was prepared in 90% of cases but only 23% fully met all the requirements of national standards on content and only 13% were assessed as having clear targets for progress. These were disappointing results where improved performance was clearly required
- a better result was that 76% of plans were assessed as having a satisfactory assessment of the risk of harm to the victim (where this was relevant) or to the public
- after four months of supervision, 72% of cases contained the required review of the supervision plan, a comparatively good finding.

3.24 In summary, the area performed well with first contacts arranged and achieved on time, and with the relatively timely implementation of additional requirements in orders. However, the content of supervision planning was weak except with assessments of risk of harm.

3.25 Members of staff who assisted in the file reading were asked to comment on their impressions. They commented that:

- although contact and enforcement were reasonably good, the area could have performed much better
- cases in the PPU appeared to be better managed

- there had been 'boundary disputes' over whether a case should belong to the PPU or the OIU and the quality of supervision had suffered when this was unresolved. On occasion national standards were not met because of officer sickness and a lack of cover for the sick officer
- the contact log was usually thin on the detail of the work done with the offender at each interview
- risk assessments and supervision plans also lacked substance.

Effective practice

- 3.26 The area had completed a plan for implementing effective evidence-based practice in December 2000. Its main strategy was to roll-out the ETS in the current year and the Priestley 1:1 programme some time in the future. In the meantime it was maintaining one non-accredited programme, the C-SOGP, pending the completion of the roll-out at a national level of the West Midlands programme, the accredited sex offender programme allotted to Gwent.
- 3.27 Although the ACO (Operations) was the strategic head, the DM of the OIU was responsible for implementing Gwent's effective practice plans. One SP, who reported to the DM, was responsible for the accredited programmes centre. OIU staff were to deliver ETS, but the PPU took responsibility for delivering the C-SOGP. An impressive arrangement for an area of its size was Gwent's maintenance of a research unit, led by a research officer who reported directly to the ACO (Operations).

Offender assessment

- 3.28 It was of credit to Gwent that it had taken on, as area-wide practice, the application of the LSI-R tool for assessment and supervision planning purposes. It was accepted that this would only be an interim approach pending the rolling out nationally of OASys, and Gwent's business planning made this clear. Owing to delays in the national implementation of OASys, the interim arrangements were extending over a longer period than had been originally expected.
- 3.29 File reading suggested that there was a high level of completion of LSI-R at the stage of first assessment, usually the PSR stage. However, there was no evidence of this being monitored or managed, so it was not possible to identify what proportion of new assessments had used LSI-R. Since the focus was on the future implementation of OASys this was not unreasonable. However, opportunities had been missed to develop a wider understanding among staff about routinely measuring progress in individual cases and there was a disappointing lack of LSI-Rs completed at the second and subsequent reviews of each case. A policy stated that subsequent LSI-Rs should be completed and there was a clear business case for doing so, as it enabled the supervising officer to take a new 'measurement' of the likelihood of reoffending of the person under supervision. This could give an indication of the progress achieved under supervision and would prepare supervising officers for the similar facility that has been designed into OASys. From discussion in team meetings, as well as impressions from file reading, it appeared that in less than a quarter of cases was a 'second' or subsequent LSI-R being completed.

- 3.30 A further consequence of not managing LSI-R completion was that there was no central or aggregated record to show the extent to which the likelihood of reoffending of offenders in Gwent was being reduced. Hence, although the area was to be commended for adopting a high quality assessment tool and maintaining its use during the long wait for OASys, there was a need to introduce a new element to the way its use was managed. A targeted proportion of reviews should be completed each year using LSI-R (or OASys when implemented) and the information used to measure progress achieved both with individual cases and in an aggregated form with cases in Gwent as a whole.

Case management

- 3.31 Gwent operated with area-wide functional specialist units. The OAU handled the court and PSR stage and on commencement of supervision cases went either to the OIU or the CSU or PPU. In general terms the PPU managed the higher-risk cases and the CSU managed the lower-risk cases. The business case behind this approach was to enable resources to be allocated to cases according to the level of risk they posed, mainly in terms of risk of harm.
- 3.32 There were benefits and costs to Gwent's system of specialist units. It was apparent that most staff liked having clearly defined tasks within the offender supervision system as a whole. There were also advantages to managers, particularly headquarters managers, that plans for specific action (including training plans) could be targeted on the relevant unit in most cases. The system and structure were good for arranging to meet centrally driven area performance targets, and was made feasible because the geography of Gwent meant that no main office was more than 20 miles away from any other. Some SPs were located in a different office from that of their divisional manager, but meetings were regular. It was apparent that most, but not all, staff received regular supervision from their SP, and that the SP's notes enabled the manager to complete the annual appraisal each year. Many practitioners spoke positively of their experience of working with their SP.
- 3.33 However, there were some costs too to this approach. Liaison with a local community within the area was hard to maintain in practice. Each divisional manager was located in a different office locality in the area, held responsibility for the management of the building and was also the point of contact with other agencies in that locality. However, if an operational matter arose that was not related to the manager's own unit, he/she then had to make a decision about how to progress the matter. The manager either had to refer the enquirer to a colleague manager in an office several miles away (who might not be in) or deal with the matter on behalf of the colleague, thus involving two Gwent managers in resolving one task. Similarly, a practitioner would often prefer to consult a SP in their building rather than telephone their own SP. This appeared to add to the pressures experienced by some SPs. These practical problems were not insignificant and ways might be found to reduce them without losing some of the real gains made.

Programme delivery

- 3.34 In December 2000 Gwent produced a substantial *Interim Practice Manual* to provide guidance to all staff, sentencers and offenders about the introduction of the ETS programme that was to start in 2001. Subsequently, reports had been submitted to the Board and to colleague managers about the progress of implementation and quarterly returns had been submitted to the Home Office as required. A plan for the implementation of the Priestley 1:1 programme was produced in October 2000.

- 3.35 The practice manual was impressively comprehensive and was clearly linked to a training programme that was designed to ensure that each group of staff had been appropriately briefed. However, it lacked sufficient reference to the quantitative targets set by the Home Office. The Area Plan 2001/2004 had properly set the targets for the coming year at 250 referrals and 175 completions, which at that time was anticipated would be reduced by an estimated 70% IQR. The unit business plan for the OIU, responsible for delivering accredited programmes, also properly set these targets. However, no further reference could be found to a detailed project plan to achieve the targets.
- 3.36 Contributions from other units were required for the OIU to achieve the targets. However, although the unit business plan for the OAU stated that targets for referrals to accredited programmes were to be met, no figures were mentioned. During the inspection, in only one team of officers was an awareness shown that a certain proportion of each officer's PSRs would have to be referred in order for the area as a whole to meet the referral target. Furthermore, it was not explicit that achievement of the area target relied on successful referrals, i.e. a court sentence and not just a PSR proposal. The target for completions was ambitious for several reasons. Firstly, experience has shown elsewhere that to achieve anything less than a 50% attrition rate in the first year would be a very good achievement, hence the nationally set target of only 250 commencements to achieve 175 completers was optimistic. Secondly, since the programme did not start until April, and each programme was nearly three months in length, there was not a full 12 month period in which to achieve the target for completions. Finally, it was unclear whether there was the capacity to deliver the right number of programmes in the right places in the area.
- 3.37 Progress was being monitored and it was an impressive achievement that a large number (130) of new orders had been made during the first quarter of 2001/2002. However, by the end of the second quarter, just 43 had commenced a programme and eight had completed. This was disappointing but not inconsistent with experience across the country, which suggested that a slow start was to be expected when implementing an accredited programme.
- 3.38 Improved project planning at senior management level was needed. While measurable targets had been set for the ETS programme, the lack of a project plan meant that there was no clear path from the area's aspirations to their achievement. With new programmes coming on stream it would be helpful to introduce such a plan to assist the area to achieve all its quantitative What Works targets in future.
- 3.39 One further source of disappointment was that, of the total of 236 cases referred successfully to ETS during the first two quarters of the year, not a single one was a case of a post-release licensee. It had been an explicit part of the area target in 2000/2001 that referrals to ETS would include post-release licences and it was clearly implicit also in the 2001/2002 Service Plan. However, there was no corresponding target in the business plan of either the OIU or the CSU. Again the absence of a quantified project plan to achieve the area target meant that staff were not being held accountable for failing to make referrals. The opportunity was thus being missed to promote effective programmes among those released from custodial sentences as well as among those serving community sentences.
- 3.40 Pending completion of the roll-out nationally of the accredited sex offender programmes, Gwent was continuing to manage the local non-accredited sex offender programme. It was jointly run by staff from the PPU and a partner agency. This was an appropriate interim arrangement.

Community reintegration

- 340 The area delivered services to offenders for employment, training and education, substance misuse and accommodation by means of purchasing partnership arrangements. The main strength of these arrangements was that in most instances a regular staff member from the partner organisation interviewed referred offenders on probation premises by appointment at certain times during the week. The majority of officers described this as an attractive arrangement, convenient to arrange, and with a relatively high probability that the offender would keep the appointment. Although referrals could be made by any supervising officer, it was the CSU that held lead responsibility for these areas of work.
- 342 The business plan stated that differences in accommodation and employment status between start and end of supervision would be monitored. For the mid-term report the unit manager had surveyed a sample of 50 cases terminating between June and August 2001, none of which were licence cases. The report stated that 28% of the sample had been in employment on commencement and 48% in employment on termination; 78% had been in settled accommodation on commencement and 94% on termination. It was a creditable initiative that the unit manager had monitored this sample, but the area was not yet setting targets for increasing the employment and accommodation status of supervised offenders, to be monitored by benchmarked performance reports. One consequence of doing this might be for the area to re-think its approach to daytime group work, if there proved to be a realistic probability that about a half of supervised offenders might be in employment before they completed supervision.
- 345 The partnerships each produced an annual report with copious statistics about the cases referred, but examples of reporting on outcomes achieved were rare. Even where there was a target, such as Apex's target that 60 offenders should gain employment in 2000/2001, there was no apparent link into the area's own business planning to demonstrate that this was a jointly owned target. That Apex achieved this specific target was therefore particularly commendable.
- 344 The weakness of the partnership arrangement was that these services remained very much on the periphery of the area's strategic planning. For practitioners these services remained an attractive optional extra rather than part of the core business to be managed with offenders to help them stop reoffending.

Monitoring and evaluation

- 3.45 In general terms the area was quite assiduous in reviewing plans once set, producing progress reports and in certain cases involving the research unit in undertaking a wider evaluation role. One example was a report on the implementation of DTTOs in Gwent, which included a qualitative analysis of the views expressed by a number of the offenders participating in the programme. Although this general practice was to be commended, the outstanding omission was the focus on clear performance reporting, benchmarked against the set targets. This is discussed in full in Chapter 7.

Quality of work

- 3.46 Table 24 shows the area's performance on the effectiveness of supervision determined during the examination of case files. This showed that:

- offending was challenged to a sufficient extent in 63% of cases, marginally the best performance in Wales but below the average for earlier inspections
- offence related problems were addressed sufficiently in 75% of cases, which was marginally the poorest performance in Wales and less than the average for previous PIP inspections
- work undertaken to make the offender aware of the effect of the offence on others including victims and the community was sufficient in 57% of cases, close to the average both for Wales and for the English regions.

- 3.47 Tables 25-28 show the results of the observation of 30 one-to-one interviews, of which five were conducted by a PSO. None involved minority ethnic offenders, but 11 were with female offenders. Overall, 100% of interviews were considered either satisfactory or very good. Other findings were:

- the great majority (83%) of supervision plans addressed risk factors and offenders' criminogenic needs well and three were credited with setting SMART objectives
- in 80% of the interviews the supervisor was definitely clear about what he/she wanted to get out of the session
- in three of the interviews there were enforcement issues to address and they were handled well in two of these
- offending related matters were deemed to have been adequately addressed in every observed interview
- in all but one of the 17 interviews, where it was appropriate to do so, victim issues were appropriately dealt with
- the interview was seen to be consistent with the supervision plan in all cases.

- 3.48 The observation also showed that:

- in all relevant cases the supervisor was able to reinforce work being done by others involved in delivering supervision plan objectives
- in every interview the supervisor actively involved the offender in the discussion

- in all but two of the relevant 28 cases the methods used were generally appropriate to the task
- in all relevant cases the interviewer displayed sensitivity to the offender's race, gender or other factors that were potentially discriminatory.

1.40 In all but one of the cases the offender was interviewed by the observer. Analysis of the responses showed that:

- in every case the offender understood, at least to some degree, what the officer was trying to achieve in the interview that day
- all but one of the offenders felt that, at least to some extent, the work being undertaken with them during supervision would help them to stop reoffending
- nearly all offenders considered that they had generally been treated fairly throughout the order by everyone involved.

1.41 The overall quality of these interviews was thus very good. Although female offenders were somewhat over-represented in the number observed, it was noteworthy that these interviews retained an offence-related focus and avoided drifting towards solely welfare matters. Comments from the work observed were accordingly positive with the exception of the first:

- "Co-working was not thought through, and the two different styles ... counteracted one another."
- "Covered a number of criminogenic areas - accommodation, finance, mental health. Offender clearly felt he was being assisted not to reoffend."
- "... the offender was being required to confront his recent behaviour - a difficult issue sensitively handled."
- "A challenging session for the offender."
- "Overall a good interview covering victim issues engaging the offender in recognising his offending had consequences for victims."
- "A very difficult interview handled excellently. The case involved breach action notification, presence of a volatile partner and a racist remark, all of which were handled with considerable skill."

Sentencer satisfaction

1.42 Table 29 shows the proportion of magistrates and judges surveyed who were satisfied with the way in which the area supervised all community orders. Key findings were:

- the great majority (85%) were satisfied with the way in which community penalties were supervised, the way in which the area was complying with national standards (93%) and the extent to which breach action was taken when appropriate (91%)
- a slightly smaller proportion was satisfied with the ability of the area to supervise more serious offenders (79%)

- there was less satisfaction with the availability of information when required on the outcome of community sentences with individual offenders (56%), but information on outcomes in general satisfied the great majority (83%).
- 3.52 There were opportunities within the questionnaire for sentencers to make further comment. A significant minority of the total number of respondents felt that they did not see sufficient work to form a view on the supervision of community sentences. Of the very small number who made specific comments on this subject, two stated that there was a need for independent medical evidence when an application was being made to revoke a community sentence on medical grounds.

Summary and recommendations

- 3.53 In relation to the effective supervision of CROs, the area's main strengths were:
- the proportion of first contacts arranged and achieved on time
 - the relatively timely implementation of additional requirements in orders
 - evidence of satisfactory or very good work being undertaken in all of the directly observed interviews
 - appropriate planning to implement accredited programmes
 - clearly identified roles for the OIU, PPU and CSU on the principle of resources following risk.
- 3.54 Areas for improvement were:
- insufficiently specific objectives and targets for achievement
 - inadequate achievement of the national standard for enforcement
 - the need for more assessments and plans to meet all the content requirements of the national standard
 - more consistent use of the LSI-R tool when reviewing supervision plans in order to measure progress achieved
 - the need to reduce some of the practical problems arising for front-line staff and managers as a consequence of the functional area-wide supervision units.

3.55 It is therefore recommended that:

The Board should ensure that:

- ❶ *National standards compliance for those subject to CROs continues to improve, paying particular attention to:
 - (a) *the frequency of contact arranged and achieved in the first 12 weeks of the order;*
 - (b) *enforcement action;*
 - (c) *the proportion of assessments and plans that meet all requirements of the national standard.**
- ❷ *A targeted proportion of supervision plan reviews include a measurement of the progress achieved, using either LSI-R or OASys.*
- ❸ *A quantified project plan is in place to support the area's aim of meeting its What Works targets.*

4. COMMUNITY PUNISHMENT AND COMMUNITY PUNISHMENT AND REHABILITATION ORDERS

- 4.1 This chapter examines the supervision of offenders on CPOs and CPROs and the management of CS work. Prior to April 2001 CPOs were known as CS orders, and CPROs were known as combination orders.

Key performance indicators and national targets

- 4.2 The Home Office Plan for the Probation Service 1999/2000 contained four KPIs for CPOs, namely:

KPI 1:	Target:	<i>To lower the actual reconviction rates for all types of order, and achieve rates lower than those predicted.</i>
KPI 2:	Target:	<i>80% of those on CPOs to start work within ten working days of the order being made.</i>
KPI 3:	Target:	<i>Breach action to be taken on or before a third unacceptable failure in 90% of cases.</i>
KPI 7:	Target:	<i>Annual unit costs of CPO and of CPRO to be lower than £1,570 and £2,920 respectively.</i>

- 4.3 The following four KPIs for CPO work were set for 2000/2001:

KPI 1:	Target:	<i>As for 1999/2000.</i>
KPI 2:	Target:	<i>90% of those on CPOs to have first work session arranged for within ten working days of the order being made.</i>
KPI 3:	Target:	<i>Breach action to be taken on or before a second unacceptable failure in 90% of cases.</i>
KPI 7:	Target:	<i>Annual unit costs of CPO and of CPRO order to be below £1,600 and £2,020 respectively.</i>

- 4.4 For 2001/2002 the following SDAs and SPMs were established:

Target	<i>Breach action to be taken in 90% of cases on or before a second unacceptable failure.</i>
Target	<i>To lower the actual reconviction rates for all types of order and achieve rates lower than predicted.</i>
Measure	<i>Compliance with the requirements of national standards on making arrangements for contact throughout the order.</i>
Measure	<i>Proportions of orders where average weekly hours worked at least five hours.</i>
Measure	<i>Differences between proportions of offenders in employment, education or training and settled accommodation at start and finish of order.</i>
Measure	<i>Unit costs of CPO and CPRO.</i>

For 2003/2004 targets have been set for completion of accredited programmes (subject to satisfactory schemes being accredited).

Community punishment orders

- 4.5 Table 30 shows the number of CPO commencements over the last four years, performance against the KPIs (based on information provided by the previous services to the Home Office), completion rates without early termination for breach or a further offence and reconviction data.

TABLE 30: COMMUNITY PUNISHMENT ORDER COMMENCEMENTS, COST, RATES FOR COMPLETION WITHOUT EARLY TERMINATION FOR BREACH OR FURTHER OFFENCE (KPI2 1997/1998), PROPORTION OF CASES WHERE FIRST WORK SESSION TOOK PLACE WITHIN THE NATIONAL STANDARD LIMITS (KPI2, 1998/1999), PROPORTION OF RELEVANT CASES WHERE BREACH ACTION WAS TAKEN IN ACCORDANCE WITH NATIONAL STANDARDS REQUIREMENTS (KPI3, 1998/1999), AND RECONVICTION RATES (KPI1)								
	DYPED	POWYS	GWENT	NORTH WALES	MID GLAM	SOUTH GLAM	WEST GLAM	ENGLAND & WALES
COMMENCEMENTS:								
- 1997	226	124	436	669	428	503	316	47,870
- 1998	267	138	496	782	457	581	384	49,470
- 1999	294	132	356	793	448	501	432	50,417
- 2000	270	90	615	706	467	604	395	52,011
MOST RECENT COST/ORDER ⁽¹⁾	1,750	2,370	1,560	1,720	1,550	1,590	1,960	1,830
COMPLETION RATES WITHOUT EARLY TERMINATION FOR BREACH OR FURTHER OFFENCE, 1999								
	77%	82%	77%	86%	76%	72%	66%	78%
PROPORTION OF CASES WHERE FIRST WORK SESSION TOOK PLACE WITHIN 10 WORKING DAYS:								
- 1998/1999 (JULY-DECEMBER)	48%	78%	91%	63%	51%	52%	82%	71%
- 1999/2000	61%	89%	60%	59%	61%	50%	65%	69%
- 2000/2001	**	**	**	**	**	**	**	**
PROPORTION OF RELEVANT CASES WHERE BREACH ACTION WAS TAKEN ON OR BEFORE A THIRD UNACCEPTABLE FAILURE:								
- 1998/1999 (JULY-DECEMBER)	33% (6 of 18)	75% (6 of 8)	73% (27 of 37)	54% (21 of 39)	79% (22 of 28)	72% (28 of 39)	81% (30 of 37)	73%
- 1999/2000	**	**	**	**	**	**	**	**
- 2000/2001	**	**	**	**	**	**	**	**
2-YEAR RECONVICTION RATE: ACTUAL MINUS PREDICTED RATE (** INDICATES OUTSIDE PREDICTED RANGE.) ⁽²⁾								
	+12%***	+8%	+13%***	+4%	+2%	+1%	+1%	+1%

(1) Annual unit cost figures for 2000/2001, based on alternative methodology described in paragraph 1.12.
 (2) Data based on commencements in first quarter of 1998.
 ** Breakdown of results not readily available for community punishment orders separately.

Commentary

- ▶ All the previous services apart from Powys had seen some increase in CPO commencements over the period 1997 to 2000 as a whole. The largest proportionate increase was in Gwent.
- ▶ The unit costs of CROs varied between the services. Those in Powys and West Glamorgan were the above the national average, that in Powys being the highest. Costs in the other services were below the national average, with the lowest in Gwent and Mid Glamorgan.
- ▶ For 1999/2000, based on services' returns, the proportion of cases where the first work session took place within ten days of the order being made ranged from 50% in South Glamorgan to 89% in Powys. Only Powys clearly met the KPI target of 80%.
- ▶ KPI data for 1998/1999 showed some variation in relation to taking appropriate breach action. Mid Glamorgan and West Glamorgan showed the strongest performance at about

80% and Dyfed the poorest (33%). As with other orders and licences, more recent results for breach action were included in the combined returns for the ACOP enforcement studies.

- Area KPI figures concerning compliance with the national standard need to be set against the inspection findings, reported more fully in the second half of this chapter. The inspection findings are the more reliable and up to date.
- Reconviction rates suggested that the previous services were having insufficient impact on reoffending, although as indicated in Chapter 3, reconviction rates need to be seen in the context of police clear-up rates and other variables.

Minority ethnic composition of community punishment commencements

The following table shows the minority ethnic composition of CPO commencements, along with the percentage in minority ethnic groups in the general population aged 18-54.

TABLE 31:
PERCENTAGE MINORITY ETHNIC COMPOSITION OF COMMUNITY PUNISHMENT ORDER COMMENCEMENTS,
12 MONTHS ENDING 31 MARCH 2000

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
- BLACK	-	2.1	0.4	2.3
- SOUTH ASIAN *	0.3	0.5	0.3	0.5
- OTHER MINORITY ETHNIC GROUPS	1.1	0.9	0.3	1.8
TOTAL	1.4	3.5	1.0	4.5
PERCENTAGE IN MINORITY ETHNIC GROUPS AGED 18 TO 54 IN THE LABOUR FORCE SURVEY 1996/1998.	1.0	1.0	1.0	2.0

* Indian, Pakistani and Bangladeshi.

Commentary

- The proportion of offenders on CPOs who were from minority ethnic groups was similar to the minority ethnic proportion in the general population of the area in Dyfed-Powys and North Wales, and higher in the other areas. However, these data need to be treated with some caution because percentages applied to small numbers can be misleading.

Compliance with national standards

- A sample of approximately 60 CPO case files (over 100 in South Wales), including the community punishment element of some CPROs, was examined in each area with the aid of a reading team drawn from each area. Table 32 highlights the level of compliance with key aspects of national standards.

**TABLE 32:
COMMUNITY PUNISHMENT ORDERS – COMPLIANCE WITH NATIONAL STANDARDS**

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
NUMBER OF CASES OF WHICH	65	67	68	114	N/A	N/A
- MINORITY ETHNIC	1 of 65	5 of 67	0 of 64	3 of 112	*	*
- FEMALE	6 of 65	6 of 66	9 of 67	14 of 114	*	*
WRITTEN ASSESSMENT PREPARED	84%	86%	98%	9%	*	*
PROPORTION OF ASSESSMENTS FULLY MEETING THE NATIONAL STANDARD ON CONTENT	17%	27%	11%	30%	*	*
APPOINTMENT FOR ASSESSMENT ARRANGED TO TAKE PLACE WITHIN 5 WORKING DAYS OF ORDER	85%	92%	93%	86%	*	*
APPOINTMENT FOR ASSESSMENT TOOK PLACE WITHIN 5 WORKING DAYS OF ORDER	78%	73%	84%	75%	76%	36-100%
FIRST WORK SESSION ARRANGED TO TAKE PLACE IN 10 WORKING DAYS	89%	90%	85%	82%	75%	31-95%
FIRST WORK SESSION TOOK PLACE IN 10 WORKING DAYS	75%	67%	78%	70%	59%	24-86%
OFFENDER OFFERED MINIMUM OF 5 HOURS WORK PER WEEK	69%	67%	46%	50%	*	*
WORK RATE MINIMUM OF 5 HOURS A WEEK	59%	45%	76%	41%	46%	16-77%
WHERE APPARENT FAILURES, ACTION ALWAYS TAKEN WITHIN 2 DAYS TO OBTAIN EXPLANATION	35 of 51 (69%)	43 of 54 (80%)	40 of 48 (83%)	68 of 96 (71%)	62%	27-85%
OFFENDER'S EXPLANATION (OR LACK) ALWAYS RECORDED	34 of 50 (68%)	36 of 57 (63%)	28 of 49 (57%)	73 of 98 (74%)	52%	0-100%
PO'S VIEW OF ACCEPTABLE/ UNACCEPTABLE FAILURES ALWAYS CLEARLY RECORDED	26 of 47 (55%)	28 of 54 (52%)	30 of 46 (65%)	42 of 95 (44%)	60%	16-98%
APPROPRIATE WARNING GIVEN ON FIRST UNACCEPTABLE FAILURE (WHERE NOT BREACHED)	30 of 42 (71%)	42 of 50 (84%)	37 of 41 (90%)	42 of 83 (51%)	*	*
BREACH ACTION CLEARLY TAKEN AS A RESULT OF, OR BEFORE, SECOND UNACCEPTABLE FAILURE	15 of 25 (60%)	26 of 35 (74%)	11 of 17 (65%)	36 of 70 (51%)	50%	5-87%
MANAGER'S AUTHORISATION NOT TO BREACH ON SECOND FAILURE RECORDED	0 of 10 (0%)	2 of 9 (22%)	0 of 6 (0%)	0 of 34 (0%)	13%	0-100%

* Information not available on same basis.

Commentary

- » A written assessment was prepared in most cases in North Wales, Dyfed-Powys and Gwent but in only a very small proportion in South Wales, the explanation for the latter being addressed in the relevant area findings. The proportion meeting all the content requirements of national standards was unacceptably poor in each area.
- » Some three-quarters of assessments were completed in five days, a finding in line with the average for earlier PIP inspections.
- » Results on getting offenders into work were better than the average for earlier PIP inspections. Work rates achieved by offenders were similar to the average in South Wales and Gwent, but better in Dyfed-Powys and much better in North Wales.

- » Staff in North Wales and Gwent were the most prompt in dealing with failures by offenders to attend their appointments. These areas also showed a good performance in issuing a formal warning on a first failure.
- » Performance on taking appropriate breach action when required – whether or not within the ten day requirement of national standards – was better in Gwent than in South Wales, although other results were similar to or above the (poor) average for earlier PIP regions. However, all areas fell considerably short of full compliance with the national standard and there was little evidence of manager authorisation not to breach where relevant.

As was the case for CROs, staff generally needed to achieve better offender compliance and there was scope for considerable improvement in each area on all aspects of enforcement.

Views of beneficiaries

There was a survey of CS beneficiaries in each area, the findings of which are shown in table 33.

TABLE 33: BENEFICIARIES' SATISFACTION WITH COMMUNITY SERVICE AND VIEWS AS TO WHETHER COMMUNITY SERVICE PLACEMENT WAS DEMANDING ON THE OFFENDER				
	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF RESPONSES	27	20	64	83
PROPORTION SATISFIED WITH:				
- QUALITY OF FINISHED WORK	96%	94%	97%	100%
- WAY AREA SUPERVISED WORK	92%	100%	97%	100%
- BEHAVIOUR OF OFFENDERS	100%	94%	94%	100%
PROPORTION TREATED COURTEOUSLY AND APPROPRIATELY BY:				
- ALL RESPONDENTS				
PROBATION AREA STAFF	100%	100%	100%	100%
OFFENDERS	100%	100%	98%	100%
- MINORITY ETHNIC RESPONDENTS				
PROBATION AREA STAFF	100%	N/A	100%	100%
OFFENDERS	100%	N/A	100%	100%
PROPORTION CONSIDERING THAT PLACEMENT WAS:				
- DEFINITELY DEMANDING	54%	50%	52%	56%
- PROBABLY DEMANDING	38%	44%	40%	41%
- NOT REALLY DEMANDING	8%	6%	5%	3%
- NOT AT ALL DEMANDING	0%	0%	3%	0%

Commentary

- » It was good that in each of the areas so many beneficiaries were pleased with the quality of the work completed by offenders, the way the area supervised the work and the behaviour of offenders.
- » A high proportion of beneficiaries considered the work to be demanding and the proportion that considered it to be 'definitely demanding' was in line with the average found in other regions.

Community punishment and rehabilitation orders

- 4.10 Table 34 shows the number of CPRO commencements between 1997 and 2000, the unit cost data, and completion rates without early termination for breach or a further offence, together with reconviction rates.

TABLE 34:
COMMUNITY PUNISHMENT AND REHABILITATION ORDER COMMENCEMENTS, UNIT COSTS, COMPLETION RATES WITHOUT EARLY TERMINATION FOR BREACH OR FURTHER OFFENCE, AND RECONVICTION RATES

	DYFED	POWYS	GWENT	NORTH WALES	MID GLAM	SOUTH GLAM	WEST GLAM
COMMENCEMENTS:							
- 1997	113	89	301	177	128	94	117
- 1998	103	86	322	205	126	172	138
- 1999	130	83	367	259	121	159	98
- 2000	96	64	339	258	145	167	109
MOST RECENT COST/ORDER (1)	2,870	3,880	2,550	2,820	2,540	2,600	3,200
COMPLETION RATES WITHOUT EARLY TERMINATION FOR BREACH OR FURTHER OFFENCE, 1999	59%	74%	64%	74%	54%	61%	66%
2-YEAR RECONVICTION RATES: ACTUAL MINUS PREDICTED RATE (* INDICATES OUTSIDE PREDICTED RANGE.) (2)	+11%	+5%	+7%	+4%	-10%	-4%	-4%

(1) Annual unit cost figures for 2000/2001, based on alternative methodology described in paragraph 1.12.
(2) Data based on commencements in first quarter of 1998.

Commentary

- ▶ In four of the seven previous services there had been an increase in the number of CPRO commencements between 1997 and 2000. This was more marked in North Wales and South Glamorgan.
- ▶ As with other orders, unit costs were highest in Powys and lowest in Gwent and Mid Glamorgan.
- ▶ Data on reconviction rates suggested that areas were not having sufficient impact on reoffending, subject to the caveats referred to previously. Also, the samples upon which this analysis was based were especially small in relation to CPROs.

Minority ethnic composition of community punishment and rehabilitation order commencements

- 4.11 The following table shows the minority ethnic composition of CPRO commencements, along with the percentage in minority ethnic groups in the general population aged 18-54.

TABLE 35:
PERCENTAGE MINORITY ETHNIC COMPOSITION OF COMMUNITY PUNISHMENT AND REHABILITATION ORDER COMMENCEMENTS, 12 MONTHS ENDING 31 MARCH 2000

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
- BLACK	-	2.3	0.4	1.5
- SOUTH ASIAN *	-	0.8	0.5	-
- OTHER MINORITY ETHNIC GROUPS	-	0.6	0.5	2.0
TOTAL	-	3.7	1.4	3.8
PERCENTAGE IN MINORITY ETHNIC GROUPS AGED 18 TO 54 IN THE LABOUR FORCE SURVEY 1996/1998	1.0	1.0	1.0	2.0

* Indian, Pakistani and Bangladeshi.

Commentary

- The proportion of offenders on CPROs who were from minority ethnic groups was higher than the minority ethnic proportion in the general population in Gwent and South Wales, and about the same in North Wales. In Dyfed-Powys no minority ethnic offenders commenced CPROs in this time period. However, these data need to be treated with caution because of the very small numbers involved.

Compliance with national standards: Community punishment and rehabilitation orders: Integration of community rehabilitation and community punishment elements

- A sample of CPRO case files was examined in each area. Table 36 highlights the results and shows the level of compliance with the elements of national standards for such orders relating to the integration of the two elements.

TABLE 36
COMMUNITY PUNISHMENT AND REHABILITATION ORDERS - COMPLIANCE WITH NATIONAL STANDARDS

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
NUMBER OF CASES OF WHICH	24	37	30	39	N/A	N/A
- MINORITY ETHNIC	0 of 23	1 of 36	0 of 28	1 of 39	*	*
- FEMALE	4 of 23	2 of 36	2 of 29	3 of 39	*	*
REQUIRED NUMBER OF COMMUNITY REHABILITATION AND COMMUNITY PUNISHMENT APPOINTMENTS ARRANGED IN FIRST 12 WEEKS	8 of 19 (42%)	14 of 35 (40%)	14 of 28 (50%)	7 of 35 (20%)	*	*
SUPERVISION PLAN DEFINITELY ADDRESSES ORDER AS A WHOLE	9 of 24 (38%)	9 of 37 (24%)	5 of 30 (17%)	13 of 38 (34%)	28%	3-58%
SUPERVISION PLAN REVIEWS ALWAYS REFER TO PROGRESS ON BOTH PARTS OF THE ORDER	9 of 19 (47%)	13 of 27 (48%)	6 of 19 (32%)	13 of 26 (50%)	44%	11-80%
JOINT MANAGEMENT OF 2 ELEMENTS SATISFACTORY OR BETTER	13 of 24 (54%)	20 of 36 (56%)	13 of 31 (42%)	21 of 39 (54%)	50%	21-81%

Note: These results come from 'pooling' the results for community punishment and rehabilitation orders in both the community rehabilitation and community punishment file readings.

* Information not available on same basis.

Commentary

- The required number of appointments had been arranged in the first 12 weeks in a half or less of cases in all areas and performance in this respect was particularly poor in South Wales.
- Supervision plans addressed both elements of the order in, at best, only about a third of cases. This was a very poor finding for all areas and particularly so for North Wales. In three areas, supervision plans reviewed progress on both elements of the order in about 50% of cases, but again there was a poorer result for North Wales.

- ▶ All areas had considerable scope to improve the joint management of these orders, based on evidence from the plans and contact records.

FINDINGS FOR GWENT

Key performance indicators and national targets

- 4.13 Tables 30 and 34 show data on the area's performance in relation to the main KPIs for CPOs and CPROs as specified in the Home Office Plans for the Probation Service 1998/1999, 1999/2000 and, where available, for 2000/2001.
- 4.14 The following results, based on information from the area, were achieved for KPIs in 2000/2001:
- **KPI 2:** the first work session was arranged to take place within the ten days required by the national standard in 95% of cases, which met the Home Office target of 90%
 - **KPI 3:** 100% of relevant cases had been breached on or before a second unacceptable failure. However, table 32 shows that in the sample of case files examined during this inspection 74% were breached as required. While this was the best result in Wales, it did not meet the Home Office target of 90%
 - **KPI 7:** the unit cost of a CPO was £1,560 and that of a CPRO £2,550, compared with Home Office targets of £1,600 and £2,020
- 4.15 The two year reconviction rate (KPI 1) for CPOs and CPROs was above the predicted range for orders made in the first quarter of 1998, indicating that there was insufficient impact on reoffending in such cases.

Area targets and monitoring arrangements

- 4.16 In 2000/2001 the area set the following quantitative targets:
- "Ensure that the revised national standards are fully implemented from April 2000 and that all offenders subject to community supervision orders and post-release licences are supervised in compliance with those standards"
 - "Demonstrate that 100% of community supervision orders and post-release licences are enforced in compliance with the new standards, with particular emphasis on breach proceedings".
- 4.17 In addition to the results noted above, local monitoring was reported in the Gwent Area Plan 2001/2004 which showed that:
- 64% of cases had an 'average work rate' of five hours per week.

- 4.28 The relevant targets for 2001/2002 were:
 - in 90% of CPOs: the first work sessions to be arranged on time, an 'average work rate' of five hours per week to be arranged, and breach action to be taken in relevant cases
 - in 90% of CPROs: to meet the targets set for CPOs and relevant targets for CROs.
- 4.29 Local monitoring of cases starting in the first two quarters of the year showed that:
 - for CPOs 84% were recorded as having had the first work session arranged on time
 - no other monitoring against targets was available.

Compliance with the national standard

- 4.30 Table 32 provides data on the area's compliance with the national standard for CPOs, based on an examination of 67 case files including the CP element of CPROs. The results showed:
 - in 86% of cases a written assessment had been prepared, an insufficiently high figure
 - only 27% of assessments met the national standard on content, one of the better two results in Wales but clearly an area for improvement
 - in 92% of cases an appointment for the completion of the assessment had been arranged to take place within five working days, but in only 73% of the cases did the appointments take place, which was a result that required improvement
 - in 90% of cases the first work session was arranged to take place within ten working days, but in only 67% of cases did the first work session actually take place within that timescale. Gwent was thereby best in Wales on the first indicator and worst in Wales on the second
 - in 67% of cases offenders had had a minimum average of five hours work per week arranged for them, but in only 45% of cases was this minimum average actually worked. Both figures, but particularly the latter, required improvement
 - apparent failures to attend were followed up within two working days in 80% of cases, the offender's explanation was recorded in 63% of cases, but the officer's view of whether the explanation was acceptable or unacceptable was clearly recorded in only 52% of cases. These were broadly encouraging findings, although the last figure in particular needed to be improved
 - in 84% of relevant cases an appropriate warning had been given after a first unacceptable failure to comply, an encouraging finding and among the best in Wales
 - in 74% of relevant cases (26 out of 35) breach action was clearly taken as a result of a second unacceptable failure. Of the remaining nine cases, two were given a formal warning, six were the subject of other action, and with the remaining one there was no apparent action. In two cases the file reader assessed that the reason for not breaching appeared to be because the order was too close to its end, and in another the offender's circumstances appeared to justify not breaching. However, in only two cases was the manager's authorisation not to breach fully recorded. These results were encouraging, but still left room for improvement.

- 4.21 Table 36 gives further information from the file reading on the integration of the two parts of CPROs. This showed that:
- in 40% of cases the required number of contacts had been arranged in the first 12 weeks, a disappointing result
 - in only 24% of cases had the supervision plan addressed the order as a whole, a comparatively poor result and in need of considerable improvement. However, in 48% of cases the review of the supervision plan referred to progress on both parts of the order, which was more encouraging even though further improvement was clearly required
 - the joint management of the two elements of the order was felt to be satisfactory in 56% of the cases examined, the highest figure for Wales, although still one that could be improved upon.
- 4.22 Guidance on the management of CPROs had been issued during 2001, but further plans to improve their joint management were in preparation at the time of the fieldwork visit. Options for organisational change were being explored, including the possibility of having CPROs case managed by POs working within the CP unit.

Organisation and nature of the work

- 4.23 CP was managed by a CP unit with a DM in charge. (The term 'CP' was applied by the area both to the unit and its staff with effect from the summer of 2001.) There were two senior CP officers, an office manager and six CP officers responsible for the work who reported to the DM. CP officers specialised either in induction and enforcement, breach actions, organising individual placements, allocations or projects. There were 16 supervisors who reported to the senior CP officers. They were on proper contracts, were themselves properly supervised by the senior CP officers and received regular visits on placement, and their active involvement in the work of the unit was encouraged by the DM.
- 4.24 The unit operated from a single centre in Newport, having reorganised in the summer of 2001. Previously the staff had operated from a number of sites across Gwent. The unit had its own business plan, produced in May 2001, all staff being issued with a copy. The DM had been on sick leave for two months in the early summer, which had been followed by the office move, and this delayed work on some parts of the plan. Nevertheless, the new system of monthly team meetings and individual supervision meetings with senior CP officers had been started in the summer. Supervision was linked to PPD objectives derived from the business plan. CP staff confirmed the DM's claim that they had had their appraisals completed by April or May 2001, 26 in total at the time. Both collectively and individually CP staff presented as an enthusiastic and committed group who believed in their work.
- 4.25 Performance was reviewed via the monthly team meeting, with senior CP and CP officers keeping their own statistics in addition to the printouts from CRAMS. Compliance with national standards was monitored first from the printouts and now increasingly from the new national system of sampling of files.

- 2. The senior CP officers monitored breach actions and they reported that from June to November 2001 only two cases had been referred to them where the supervisor was recommending not taking breach action on a second unacceptable failure. CP staff expressed the view strongly that their performance on contact and enforcement had considerably improved following their move to Newport. They pointed out that the relatively indifferent performance reflected in the PIP file reading reflected work undertaken before that move. Although this was true, there was not yet evidence to demonstrate that their new working practices were now delivering the required results. Furthermore, in relation to CPROs, the CP staff were not responsible for deciding on and initiating breach action. However, there was a plan to tackle this by establishing a specialised unit to manage CPROs within the CP unit. The plan to improve the joint management of CPROs needed to be completed and implemented.
- 3. Although a 'Policy and Strategy' section was to be found in the CP unit's Business Plan for 2001/2002, there was no specific objective to improve the employability of offenders. In particular, the unit did not offer any specific employment training. Similarly, although the business plan acknowledged the need to utilise the expertise of other units within Gwent Probation Area, there was some limited evidence only of any work in progress to date to forge partnerships that might assist offenders with their employment prospects. The DM and ACO explained during the visit that the priority had been to ensure that the core functions of the unit were delivered to a high standard. Some initial thinking, planning and exploration of potential partnership arrangements was taking place by the time of the inspection. This sequential planning was acceptable up to a point, but the consequence was that the area was unable to meet one of the key objectives established by the Home Secretary in the national plan and this matter needed to be remedied with some urgency.
- 4. The area acknowledged that there was a need to ensure that there was a balance of placements that reflected a cross-section of the local community. The unit business plan also stated that "placements will be appropriate to the differing requirement of offenders, including women, young people, and those from ethnic minority groups". The mid-term report described little in the way of tangible progress, except that specific responsibilities for projects, placements and allocations had been allotted to named CP officers. Hence the process of reviewing the overall balance of placements was only just beginning.
- 5. There was an objective in the unit plan to contribute at least one project in the current year that contributed to crime and disorder strategies in Gwent. The mid-term report stated that the work to achieve this was just starting. The responsibility for achieving it had been allocated to a named CP officer, who stated that he was required to achieve two such projects, and a graffiti removal project was taking place at the time of the inspection visit. This work would benefit if a more demanding and specific target were set in future.
- 6. The reorganisation of the unit that took place in 2001 was partly in response to the increase in orders made in the recent past but mainly in order to achieve performance requirements. The changes were still new at the time of the inspection and it was apparent that, although hours worked were broadly keeping pace with hours ordered, there was work still to be done to make more efficient use of the placement hours arranged. An objective had been set in the unit business plan to increase individual placements by 10% in the year, but there was no mention in the mid-term report of the progress achieved, although again responsibility for achieving it had at least been allocated to a named CP officer.

- 4.31 A further significant point of concern, which emerged during the inspection, was the level of adherence to basic health and safety at work provision. Some guidance documentation existed that was good as far as it went, but it was not supported by the necessary resources to enable certain health and safety standards to be met. Although there had been no serious accidents on CP placements reported during the 12 months prior to the inspection, some practices observed clearly heightened the risk of an accident occurring. Given the remote location of some projects, the difficulty of securing assistance swiftly in the event of such an accident could have serious consequences. Staff had mobile phones for summoning help, but such help would take some time to arrive. This heightened the need to minimise the risk in the first place.

Quality of work

- 4.32 As part of the inspection two inspectors from HMIP and two lay inspectors visited a total of 14 work projects for groups and three for individuals, the visits taking place both during the week and at the weekend. Some projects were based in urban districts while others were in remote rural areas, reflecting the geography of Gwent. The work observed included:
- ground clearance and gardening
 - painting and decorating
 - refurbishment of buildings
 - sorting and preparation of donated clothing and other goods for sale in charity shops
 - collecting and sorting of waste for recycling.
- 4.33 Beneficiaries included charities, youth clubs, schools, churches, conservation projects and group homes for the elderly and those with disabilities. The most imaginative scheme seen was the recycling project. Churches were very highly represented as beneficiaries and, as discussed above, there was a need for CP beneficiaries to represent a wider cross-section of the local community.
- 4.34 The main points that emerged from the visits were:
- every group project except one was supervised by a paid supervisor
 - the quality of the work done and the behaviour of the offenders were both well supervised
 - some of these schemes brought offenders into contact with beneficiaries, which was a useful motivational feature
 - a number of the work groups were rather small
 - the lack of protective clothing made the scheme as a whole vulnerable to potential problems in the event of an accident.
- 4.35 At all of the sites visited offenders were present and inspectors were able to interview them, as well as forming a view of the quality of the work done and the level of supervision exercised. For many of the sites visited the CP unit had been able to identify a suitable representative of the beneficiary organisation who was also interviewed.

- 436 The maximum number of offenders on any of the projects visited was nine, though in all cases the numbers present were fewer than the projects were capable of taking. For example, on one site where the scope of the work was considered sufficient to occupy 18 offenders, only half that number was working at the time of the inspection. Although reduced numbers facilitated close supervision, on a few sites the numbers of workers appeared to be inefficiently low.
- 437 Whilst most of the offenders spoken to appreciated the validity of the work being undertaken and its value to the community, the common response was that they felt that the work made little or no contribution towards increasing their skills or employment prospects. Even on one scheme that involved the use of building work skills, offenders were pessimistic. When pressed, some offenders accepted that what they were doing could have value in their domestic situation. Offenders raised few complaints about their treatment, though at some of the more remote locations there was a legitimate need for access to toilet facilities, especially for women.
- 438 At one project where the wearing of hard hats should have been mandatory, offenders were not required to do so. Similarly, safety boots should have been essential at this and at least one other site. Some supervisors expressed the view that it would be difficult to enforce these requirements. Provision of suitable protective clothing was variable and, with offenders often turning up to projects unsuitably dressed, there was a clear need for provision of gardening gloves on environmental projects, overalls at some building sites and, in particular, safety boots on a number of projects.
- 439 Offenders showed signs of having been properly inducted into CP in other respects. They understood the general requirements of the order and, in particular, what action to take if they were unable to attend. Although none of the offenders interviewed had been the subject of breach action, they showed an awareness of the process, either as a result of their induction or because they knew of an offender against whom action had been taken.
- 440 The overall impression of the projects visited was positive. The work was purposeful and at most sites the offenders interviewed demonstrated an awareness of its value to the community. This applied particularly in those locations where the beneficiary was either directly involved or was at least a regular presence on site.
- 441 Whilst there was a familiarity with the area's equal opportunities policy, it was disappointing to discover that among the supervisors questioned only a minority had received diversity training. Inspectors were advised that, following the reorganisation of CP in June 2001, a programme of diversity training for CP staff was being scheduled.
- 442 Just one group project visited had both male and female offenders working together and they appeared to be well integrated. Female offenders said they were comfortable working alongside males. Supervision of the mixed sex group was effective and the provision of facilities reflected the mix of genders.
- 443 One project was operated as a formal partnership with a local charitable company recycling waste and operated most weekdays. The additional benefits it had provided were that some former workers had gone on to gain full-time employment, while there was also the clear potential for others to gain accredited job skills on this project. Furthermore, the benefits that this work brought to the local

community in general enabled Gwent Probation Area to claim achievement of a 'Society Result' within the terms of the European Excellence Model.

Beneficiary satisfaction

- 4.44 As part of the inspection a postal questionnaire was sent to all current CP beneficiaries. Twenty responded, producing the results shown in table 33. These indicated high levels of satisfaction with:
- the quality of the finished work (94%)
 - the way the area supervised the work (100%)
 - the behaviour of offenders (94%)
 - the extent to which they considered the work to be demanding (94% either probably or definitely demanding)
 - the courtesy with which they had been treated both by probation staff and by offenders (100%).
- 4.45 Some beneficiaries made additional comments. The great majority of these comments were positive tributes, but there were three negative comments. One was disappointed in failing to get a response when enquiring about a possible CP project; another felt that managers (particularly senior managers) should show a greater interest in the good work being done, while the third declared:
- "While I am happy with the work carried out, I feel the offenders need to be made to work a lot harder ... [with] more staff to see that they do".
- 4.46 Among the positive tributes, one beneficiary reflected:
- "They tend to work better when the overall aim of the scheme is explained to them. They can see it rolling on, long after their time is up".
- 4.47 Of the beneficiaries interviewed on site visits (seven) the comments were also almost all positive. In addition to comments about how helpful to them the work had been, they commented about being well supported by CP staff and offenders being almost always well behaved. One beneficiary had once been threatened by an offender, but had been pleased with the speed and effectiveness of the response from CP staff, and another had seen a supervisor help an offender to improve his timekeeping.

Summary and recommendations

- 4.48 In relation to the effective supervision of CPOs, the area's main strengths were:
- good working relationships and committed staff
 - a unit plan that had been used to set individual objectives in annual appraisals
 - relatively good performance in several aspects of national standards

- good quality supervision of offenders' work and behaviour on site
- good standards of work completed by offenders
- a project that enabled the area to achieve 'Society Results'.

4.49 Areas for improvement were:

- offender compliance, particularly with the first work instruction
- meeting the national standard for the minimum average weekly work rate
- improved arrangements for reporting performance
- better integrated supervision of both elements of CPROs
- arrangements to improve and accredit the skills and employability of offenders
- policy and practice relating to the use of protective clothing
- criteria to inform project selection.

4.50 It is therefore recommended that:

The Board should ensure that:

- ❶ *Compliance with the national standard for those subject to CPOs continues to improve, paying particular attention to:*
 - (a) *the quality of offender assessments;*
 - (b) *average weekly work rate;*
 - (c) *enforcement action.*
- ❷ *The joint management of CPROs is improved.*
- ❸ *Arrangements are in place to enable offenders subject to CPOs and CPROs to improve and gain accreditation of work skills and thus improve their employability.*
- ❹ *The health and safety policy is reviewed, updated and implemented, especially the requirements relating to the use of protective clothing.*
- ❺ *A strategy is developed to govern the criteria for project selection which also sets targets for the proportion that promote community safety.*

5. THE SUPERVISION OF OFFENDERS RELEASED FROM CUSTODY

5.1 This chapter examines the supervision of offenders released from custody.

Key performance indicators and national targets

5.2 The following KPIs were set for 1999/2000:

KPI 2:	Target	<i>90% of those released on licence should be seen within one working day of release.</i>
KPI 3a	Target	<i>Breach action to be taken on or before a third unacceptable failure in 90% of cases.</i>
KPI 3b	Target	<i>Breach action to be taken in 95% of ACR cases, following notification from the Parole Unit that an offender has been charged with an offence allegedly committed whilst subject to HDC and that recall action cannot be taken by the Parole Unit itself (excluding cases where there is no practical way for the case to be heard before expiry of the licence).</i>
KPI 7:	Target	<i>Annual cost per ACR licence to be lower than £1,935.</i>

5.3 The following KPIs were set for 2000/2001:

KPI 2:	Target	<i>90% of those released on licence should have arrangements to be seen within one working day of release.</i>
KPI 3a	Target	<i>As for KPI 3(a) 1999/2000.</i>
KPI 3b	Target	<i>As KPI 3(b) 1999/2000.</i>
KPI 7:	Target	<i>Annual cost per ACR licence to be lower than £2,010.</i>

5.4 For 2001/2002 the following SDAs and SPMs were established:

Target	<i>Breach action to be taken in 90% of cases on or before a third unacceptable failure.</i>
Target	<i>(For offenders sentenced to four years or more for serious sexual or violent offences): within eight weeks of sentence victims offered contact, in 85% of cases.</i>
Measure	<i>Compliance with the requirements of national standards on:</i> <ul style="list-style-type: none"> • <i>making arrangements for contact throughout the order</i> • <i>timeliness of supervision plans and reviews</i> • <i>timeliness of plans to manage risks posed by offenders assessed as high risk of harm.</i>
Measure	<i>Comparisons of proportions of offenders in employment, education or training and settled accommodation when custody started, on release and at finish of licence.</i>
Measure	<i>Unit cost of ACR and life licence.</i>

For 2002/2003 targets have been set for completion of accredited programmes and of basic skills awards.

Post-release licences

- 5.5 Table 37 shows the number of licence commencements by year and performance on KPIs, based on information provided by the previous services to the Home Office.

TABLE 37:
LICENCE COMMENCEMENTS, COSTS, RATES OF COMPLETION WITHOUT EARLY TERMINATION FOR BREACH/RECALL OR FURTHER OFFENCE (KPI3, 1997/1998), PROPORTION OF CASES WHERE FIRST CONTACT WITH OFFENDER WAS WITHIN THE NATIONAL STANDARD TIME LIMITS (KPI2, 1998/1999), PROPORTION OF RELEVANT CASES WHERE BREACH/RECALL ACTION WAS TAKEN IN ACCORDANCE WITH NATIONAL STANDARDS REQUIREMENTS (KPI3, 1998/1999)

	DYFED	POWYS	GWENT	NORTH WALES	MID GLAM	SOUTH GLAM	WEST GLAM	ENGLAND & WALES
COMMENCEMENTS:								
1997	193	71	415	432	491	528	325	41,751
1998	179	55	472	518	491	622	339	44,207
1999	213	57	500	502	586	592	399	45,329
2000	154	46	494	540	514	522	311	43,858
MOST RECENT COST/LICENCE (1)	2,120	2,870	1,888	2,080	1,870	1,920	2,370	2,210
COMPLETION RATES 1997	94%	100%	99%	97%	91%	98%	96%	96%
CASES WHERE FIRST CONTACT WITH OFFENDER WAS WITHIN ONE WORKING DAY OF RELEASE:								
- 1998/1999 (JULY-DECEMBER)	87%	100%	100%	75%	93%	88%	92%	85%
- 1999/2000	85%	91%	91%	90%	80%	80%	89%	87%
- 2000/2001	**	**	**	**	**	**	**	**
RELEVANT CASES IN WHICH BREACH/RECALL ACTION WAS TAKEN ON OR BEFORE A THIRD UNACCEPTABLE FAILURE:								
- 1998/1999 (JULY-DECEMBER)	50% (1 of 2)	n/a	100% (2 of 2)	46% (6 of 13)	47% (8 of 17)	20% (1 of 5)	80% (4 of 5)	48%
- 1999/2000	**	**	**	**	**	**	**	**
- 2000/2001	**	**	**	**	**	**	**	**

(1) Annual unit cost figures for 1999/2000, based on alternative methodology described in paragraph 1.12.

n/a not applicable

** Breakdown of results not readily available for licences separately.

Commentary

- ▶▶ There had been a variation in the volume of work in most areas between 1997 and 2000.
- ▶▶ The unit costs for post-release licence supervision were the highest in Powys and the lowest in Gwent and Mid Glamorgan.
- ▶▶ In 1999/2000, based on the previous services' returns, four of the seven areas broadly achieved the target of at least 90% of offenders being seen within one day of release. This was generally in line with the findings of this inspection.
- ▶▶ Firm conclusions about performance on taking breach action in 1998/1999, based on services' returns, is difficult because of the very small numbers of cases involved. As noted in earlier chapters, more recent data on breach action did not readily identify performance in respect of licences.
- ▶▶ Again figures concerning compliance with the national standard need to be set against the inspection findings reported more fully in the second half of this chapter, which are likely to be more reliable and up to date.

Compliance with national standards

A sample of at least 60 resettlement case files was examined in each area (over 100 in South Wales) with the aid of readers drawn from the area. Table 38 shows the work undertaken with and on behalf of prisoners prior to release.

TABLE 38:
RESETTLEMENT CASES - QUALITY OF PRE-RELEASE WORK

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
DEGREE OF CONTACT WHICH THE SUPERVISING OFFICER HAD WITH THE PRISONER:						
- APPEARED 'CLEARLY' TO BE ADEQUATE GIVEN THE NEEDS AND CIRCUMSTANCES	41%	44%	52%	39%	52%	27-51%
- APPEARED 'MAINLY' TO BE ADEQUATE BUT COULD HAVE BEEN BETTER	37%	30%	16%	27%	25%	14-44%
QUALITY OF CONTACT WHICH THE SUPERVISING OFFICER HAD WITH THE PRISONER:						
- APPEARED 'CLEARLY' TO BE ADEQUATE GIVEN THE NEEDS AND CIRCUMSTANCES	35%	41%	51%	37%	49%	27-58%
- APPEARED 'MAINLY' TO BE ADEQUATE BUT COULD HAVE BEEN BETTER	37%	31%	18%	26%	25%	15-46%

Commentary

Levels of contact with offenders before release, and the quality of that contact, were broadly similar between areas and comparable to the averages from earlier PIP inspections, though the results for South Wales were slightly lower.

Tables 39-42 identify the level of compliance with national standards post-release, including the quality of supervision.

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**TABLE 39:
RESETTLEMENT CASES - COMPLIANCE WITH NATIONAL STANDARDS - CONTACT**

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
NUMBER OF CASES OF WHICH	54	70	64	106	N/A	N/A
- MINORITY ETHNIC	0 of 53	2 of 69	0 of 51	7 of 104	*	*
- FEMALE	4 of 53	1 of 70	3 of 64	2 of 106	*	*
FIRST APPOINTMENT ARRANGED TO TAKE PLACE WITHIN ONE DAY	96%	100%	100%	93%	*	*
SEEN WITHIN ONE WORKING DAY OF RELEASE	94%	97%	83%	91%	88%	73-97%
HOME VISIT ARRANGED TO TAKE PLACE WITHIN 10 WORKING DAYS OF RELEASE	70%	40%	56%	39%	*	*
HOME VISIT TOOK PLACE WITHIN 10 WORKING DAYS OF RELEASE	69%	37%	52%	37%	*	*
WEEKLY MEETINGS ARRANGED FOR FIRST 4 WEEKS	89%	83%	88%	88%	85%	68-97%
AT LEAST 5 CONTACTS TOOK PLACE IN FIRST 4 WEEKS	76%	54%	61%	59%	*	*
PORTNIGHTLY CONTACT ARRANGED FOR SECOND AND THIRD MONTHS	64%	71%	76%	68%	77%	58-93%
PORTNIGHTLY MEETINGS TOOK PLACE FOR SECOND AND THIRD MONTHS	58%	57%	57%	55%	56%	25-81%
LICENCE CONDITION(S) ALL IMPLEMENTED PROMPTLY (TO DATE)	3 of 7 (43%)	5 of 18 (28%)	7 of 16 (44%)	14 of 23 (61%)	*	*

* Information not available on same basis.

**TABLE 40:
RESETTLEMENT CASES - COMPLIANCE WITH NATIONAL STANDARDS - ENFORCEMENT**

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
ACTION ALWAYS TAKEN WITHIN 2 DAYS TO OBTAIN EXPLANATION FOR FAILURES TO ATTEND	23 of 28 (82%)	29 of 46 (63%)	35 of 51 (69%)	56 of 81 (69%)	60%	30-82%
OFFENDER'S EXPLANATION (OR LACK) ALWAYS CLEARLY RECORDED	22 of 29 (76%)	33 of 45 (73%)	42 of 54 (78%)	52 of 80 (65%)	57%	31-88%
PO'S VIEW OF ACCEPTABLE/ UNACCEPTABLE FAILURES ALWAYS CLEARLY RECORDED	21 of 29 (72%)	29 of 44 (66%)	36 of 52 (69%)	40 of 78 (51%)	51%	12-80%
PO'S VIEW ABOUT ACCEPTABILITY ALWAYS APPROPRIATE	22 of 26 (85%)	32 of 43 (74%)	35 of 43 (81%)	54 of 68 (79%)	*	*
APPROPRIATE WARNING GIVEN ON FIRST OR SECOND UNACCEPTABLE FAILURE (WHERE NOT BREACHED/RECALLED)	9 of 15 (60%)	7 of 26 (27%)	24 of 36 (67%)	28 of 65 (43%)	*	*
BREACH/RECALL ACTION CLEARLY TAKEN AS A RESULT OF, OR BEFORE, THIRD UNACCEPTABLE FAILURE	1 of 2 (50%)	3 of 9 (33%)	10 of 12 (83%)	10 of 22 (45%)	41%	0-88%
MANAGER'S AUTHORISATION NOT TO BREACH ON THIRD FAILURE RECORDED	1 of 1 (100%)	2 of 6 (33%)	0 of 2 (0%)	3 of 12 (25%)	21%	0-83%
WHERE RISK OF HARM RAISED, HOME OFFICE PAROLE UNIT INFORMED IMMEDIATELY	1 of 3 (33%)	2 of 8 (25%)	2 of 3 (67%)	4 of 10 (40%)	*	*

* Information not available on same basis.

Commentary

- » It was good to see so many offenders had arrangements to be seen within one day of release, but in North Wales there was a high attrition rate.
- » Arrangements for home visiting, as required, varied between 39% in South Wales and 70% in Dyfed-Powys. Performance in Gwent and South Wales was unacceptably low.
- » Levels of contact arranged during the first three months of supervision complied with national standards in the majority of cases.
- » More attention was required to ensure that all licence conditions were promptly implemented, especially in Gwent.
- » Staff in Dyfed-Powys were the most prompt in dealing with failures to attend and, together with North Wales, more consistently recording and assessing the offender's explanation and issuing appropriate warnings. It was of concern that in Gwent such warnings were given in only a quarter of relevant cases.
- » Breach action was taken appropriately in 83% of cases in North Wales, a relatively good result. In other areas performance fell well short of the national standard. In most areas managers too rarely authorised decisions not to breach.
- » Overall, in all areas there was scope for improvement in enforcement work.
- » In cases where changed circumstances of the licensee suggested an enhanced risk of serious harm to the public, areas did not always inform the Home Office Parole Unit as required. This was a worrying finding, which managers needed to investigate.

**TABLE 41:
RESETTLEMENT CASES - COMPLIANCE WITH NATIONAL STANDARDS - ASSESSMENT AND SUPERVISION
PLANNING**

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
SUPERVISION PLAN PREPARED	96%	70%	95%	97%	83%	21-100%
PROPORTION OF ASSESSMENTS AND PLANS WHICH MET ALL REQUIREMENTS OF THE NATIONAL STANDARD ON CONTENT	19%	48%	52%	25%	*	*
PROPORTION OF PLANS WITH CLEAR TARGETS FOR PROGRESS	6%	2%	0%	2%	*	*
RISK ASSESSMENT OF HARM TO VICTIM OR PUBLIC	65%	64%	73%	69%	*	*
4-MONTHLY REVIEW OF SUPERVISION PLAN	81%	71%	59%	67%	55%	17-84%

* Information not available on same basis.

TABLE 42:
RESETTLEMENT CASES - EFFECTIVENESS OF SUPERVISION

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
EXTENT TO WHICH OFFENDING BEHAVIOUR APPEARS TO HAVE BEEN CHALLENGED:						
- ALL OFFENDERS						
'CLEARLY SUFFICIENT'	13%	20%	35%	24%	30%	7-60%
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	13%	34%	28%	32%	33%	19-56%
- MINORITY ETHNIC OFFENDERS						
'CLEARLY SUFFICIENT'	N/A	0 of 2 (0%)	N/A	1 of 7 (14%)	*	-
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	N/A	1 of 2 (50%)	N/A	2 of 7 (29%)	*	*
EXTENT TO WHICH OFFENCE RELATED PROBLEMS APPEAR TO HAVE BEEN ADDRESSED:						
- ALL OFFENDERS						
'CLEARLY SUFFICIENT'	26%	34%	38%	32%	46%	12-75%
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	42%	31%	45%	38%	33%	14-57%
- MINORITY ETHNIC OFFENDERS						
'CLEARLY SUFFICIENT'	N/A	1 of 2 (50%)	N/A	1 of 7 (14%)	*	-
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	N/A	1 of 2 (50%)	N/A	3 of 7 (43%)	*	*
EXTENT TO WHICH THE OFFENDER MADE AWARE OF EFFECT ON VICTIMS AND OTHERS:						
- ALL OFFENDERS						
'CLEARLY SUFFICIENT'	12%	19%	32%	18%	30%	3-50%
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	25%	36%	34%	26%	30%	10-55%
- MINORITY ETHNIC OFFENDERS						
'CLEARLY SUFFICIENT'	N/A	0 of 2 (0%)	N/A	1 of 7 (14%)	*	-
'LIMITED BUT SUFFICIENT IN CIRCUMSTANCES'	N/A	1 of 2 (50%)	N/A	1 of 7 (14%)	*	*

* Information not available on same basis.

Commentary

- » A supervision plan was available in nearly all cases, except in Gwent, but too few fully met the requirements of national standards on content or contained clear targets for progress.
- » Risk of harm to the victim or public was assessed in the majority of cases, but by no means all. Areas needed to improve performance on this important aspect.
- » Plans were reviewed at appropriate frequency in 81% of cases in Dyfed-Powys but only 59% in North Wales.
- » Based on information in records, offending behaviour had been challenged sufficiently in only two-thirds of cases at best, and the proportion was considerably lower in Dyfed-Powys. This was a disappointing finding. Offence related problems were addressed in a higher proportion of cases in all the areas. Evidence that offenders were being made sufficiently

aware of the impact of their offending on victims and others was again disappointingly low in all areas, though the proportion was better in North Wales than in Dyfed-Powys and South Wales.

- The extent to which these categories of work were addressed sufficiently with minority ethnic offenders was broadly in line with the results for all offenders given the small number of cases involved. However, there were concerning indications that offence related factors were not fully explored.

Observation of practice

- A number of interviews with offenders on licence were observed in order to assess further the effectiveness of supervision. Results are shown in tables 43-46. Percentages are also shown for ease of reference but they are based on small numbers. As with CROs, these tables show a range of practice issues, but it should be borne in mind that they are based on an observation of just one interview within a longer period of supervision.

TABLE 43:
OBSERVATION OF PRACTICE: LICENCES: ASSESSMENT AND PLANNING

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF INTERVIEWS WHICH TOOK PLACE, OF WHICH:	9	13	20	26
- SUPERVISOR WAS PSO	1 of 8	1 of 13	8 of 20	2 of 26
- MINORITY ETHNIC OFFENDER	0 of 7	N/A	N/A	1 of 25
- FEMALE OFFENDER	0 of 9	2 of 12	1 of 19	2 of 26
SUPERVISION PLAN THAT ADDRESSED ADEQUATELY THE RISK FACTORS AND OFFENDERS' CRIMINOGENIC NEEDS	8 of 9 (89%)	9 of 11 (82%)	7 of 16 (44%)	18 of 25 (72%)
SUPERVISION PLAN SET SMART OBJECTIVES	1 of 9 (11%)	2 of 11 (18%)	1 of 16 (6%)	4 of 26 (15%)
SUPERVISOR DEFINITELY CLEAR ABOUT WHAT SHE/HIS WANTED TO GET OUT OF THE SESSION	7 of 9 (78%)	10 of 13 (77%)	16 of 18 (89%)	18 of 24 (75%)

TABLE 44:
OBSERVATION OF PRACTICE: LICENCES: CONTENT OF INTERVIEW

	DYFED- POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF INTERVIEWS WHICH TOOK PLACE	9	13	20	26
WHERE ENFORCEMENT ISSUES TO BE ADDRESSED ON DAY OF INTERVIEW,* HANDLED WELL	0 of 0 (0%)	1 of 1 (100%)	0 of 2 (0%)	0 of 1 (0%)
WHERE CURRENT PUBLIC PROTECTION ISSUES INVOLVED, INTERVIEW LIKELY TO CONTRIBUTE TO REDUCTION IN RISK:				
- VERY WELL	1 of 3 (33%)	2 of 5 (40%)	1 of 12 (8%)	8 of 17 (47%)
- WELL ENOUGH	2 of 3 (67%)	3 of 5 (60%)	9 of 12 (75%)	8 of 17 (47%)
OFFENDING RELATED FACTORS DEALT WITH IN WAY THAT WOULD CONTRIBUTE TO REDUCTION IN REOFFENDING:*				
- ALL OFFENDERS				
VERY WELL	1 of 8 (13%)	3 of 13 (23%)	7 of 19 (37%)	11 of 25 (44%)
WELL ENOUGH	7 of 8 (88%)	10 of 13 (77%)	9 of 19 (47%)	12 of 25 (48%)
- MINORITY ETHNIC OFFENDERS				
VERY WELL	N/A	N/A	N/A	1 of 1 (100%)
WELL ENOUGH	N/A	N/A	N/A	0 of 1 (0%)
OFFENDERS' SOCIAL CIRCUMSTANCES DEALT WITH:*				
- VERY WELL	2 of 8 (25%)	1 of 13 (8%)	7 of 20 (35%)	13 of 26 (50%)
- WELL ENOUGH	6 of 8 (75%)	12 of 13 (92%)	12 of 20 (60%)	12 of 26 (46%)
VICTIM ISSUES DEALT WITH IN WAY THAT WOULD INCREASE OFFENDERS' AWARENESS OF IMPACT OF OFFENDING ON OTHERS:*				
- VERY WELL	2 of 5 (40%)	5 of 10 (50%)	3 of 15 (20%)	7 of 21 (33%)
- WELL ENOUGH	2 of 5 (40%)	4 of 10 (40%)	8 of 15 (53%)	11 of 21 (52%)
INTERVIEW SATISFACTORILY CONSISTENT WITH SUPERVISION PLAN	8 of 8 (100%)	8 of 8 (100%)	14 of 14 (100%)	24 of 24 (100%)
INTERVIEW CONSISTENT WITH SUPERVISORS' ADVANCED PLANNING	9 of 9 (100%)	11 of 13 (85%)	20 of 20 (100%)	23 of 26 (88%)
OVERALL QUALITY OF INTERVIEW:				
- ALL OFFENDERS				
VERY GOOD	2 of 9 (22%)	6 of 13 (46%)	9 of 20 (45%)	11 of 26 (42%)
SATISFACTORY	7 of 9 (78%)	7 of 13 (54%)	8 of 20 (40%)	14 of 26 (54%)
NOT SATISFACTORY	0 of 9 (0%)	0 of 13 (0%)	3 of 20 (15%)	1 of 26 (4%)
VERY POOR	0 of 9 (0%)	0 of 13 (0%)	0 of 20 (0%)	0 of 26 (0%)
- MINORITY ETHNIC OFFENDERS				
VERY GOOD	N/A	N/A	N/A	1 of 1 (100%)
SATISFACTORY	N/A	N/A	N/A	0 of 1 (0%)
NOT SATISFACTORY	N/A	N/A	N/A	0 of 1 (0%)
VERY POOR	N/A	N/A	N/A	0 of 1 (0%)

* This proportion is of cases where this issue was relevant/current on the day of the interview (as assessed by the inspector). These and the other proportions in the tables exclude cases where not relevant/current.

Commentary

- ▶ The findings were very similar to those for CROs in that the large majority of interviews observed in each area were assessed as very good or satisfactory – the proportion ranged from 85% in North Wales to 100% in Dyfed-Powys and Gwent.
- ▶ Only one interview with a minority ethnic offender was observed and was assessed as very good.

- The majority of supervision plans addressed risk factors and criminogenic needs adequately, though the proportion was considerably lower in North Wales than in the other areas. However, only a minority of plans included SMART objectives and this proportion was again very low in North Wales.
- Interviews were generally planned, though in a fifth of cases, other than in North Wales, there were doubts as to whether the supervisor was definitely clear about what he/she wanted to achieve.
- Enforcement issues were handled satisfactorily in only one of the four relevant cases.
- Where there were public protection issues to address, this was generally well done.
- Offending related factors were tackled well in nearly all cases observed: as with CROs, a positive finding.
- Offenders' social circumstances were well dealt with in all but two cases.
- Overall the impact of offending on victims and others was addressed in a higher proportion of cases than in CROs, although there was still some scope for improvement particularly in North Wales and Dyfed-Powys.
- Interviews were generally well aligned with the supervision plan and consistent with the supervisor's advance planning.

TABLE 45:
OBSERVATION OF PRACTICE: LICENCES: CONDUCT OF INTERVIEW

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF INTERVIEWS WHICH TOOK PLACE	9	13	20	26
SUPERVISOR ABLE TO REINFORCE WORK BEING DONE BY OTHERS INVOLVED IN DELIVERING SUPERVISION PLAN OBJECTIVES (WHERE RELEVANT):				
- VERY WELL	0 of 6 (0%)	3 of 11 (27%)	6 of 15 (40%)	7 of 21 (33%)
- WELL ENOUGH	6 of 6 (100%)	8 of 11 (73%)	7 of 15 (47%)	14 of 21 (67%)
SUPERVISOR ACTIVELY INVOLVED OFFENDER IN DISCUSSION:				
- VERY WELL	5 of 9 (56%)	5 of 13 (38%)	14 of 20 (70%)	16 of 26 (62%)
- WELL ENOUGH	4 of 9 (44%)	7 of 13 (54%)	5 of 20 (25%)	9 of 26 (35%)
METHODS USED BY SUPERVISORS GENERALLY APPROPRIATE TO WHAT THEY WERE TRYING TO ACHIEVE:				
- VERY WELL	3 of 9 (33%)	4 of 13 (31%)	8 of 20 (40%)	9 of 26 (35%)
- WELL ENOUGH	6 of 9 (67%)	6 of 13 (46%)	11 of 20 (55%)	16 of 26 (62%)
INTERVIEWER SENSITIVE TO OFFENDERS' RACE, GENDER OR OTHER POTENTIALLY DISCRIMINATORY FACTOR (WHERE RELEVANT):				
- VERY WELL	0 of 1 (0%)	1 of 5 (20%)	6 of 11 (55%)	4 of 9 (44%)
- WELL ENOUGH	0 of 1 (0%)	4 of 5 (80%)	3 of 11 (27%)	5 of 9 (56%)

TABLE 46:
OBSERVATION OF PRACTICE: LICENCES: OFFENDER VIEWS

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES
NUMBER OF OFFENDERS INTERVIEWED BY INSPECTOR/LOCAL ASSESSOR	7	13	19	26
OFFENDER UNDERSTOOD WHAT WAS TRYING TO BE ACHIEVED DURING THE INTERVIEW THAT DAY:				
- CLEARLY	4 of 7 (57%)	6 of 13 (46%)	13 of 19 (68%)	21 of 26 (81%)
- TO SOME EXTENT	3 of 7 (43%)	7 of 13 (54%)	6 of 19 (32%)	5 of 26 (19%)
WHERE PUBLIC PROTECTION ISSUES INVOLVED, OFFENDER CONSIDERED THAT WORK THAT DAY WOULD HELP STOP THEM ACTING IN WAY AFFECTS/HURTS OTHER PEOPLE:				
- DEFINITELY	0 of 5 (0%)	3 of 5 (60%)	8 of 12 (67%)	13 of 17 (76%)
- TO SOME EXTENT	4 of 5 (80%)	2 of 5 (40%)	3 of 12 (25%)	4 of 17 (24%)
WHERE PUBLIC PROTECTION ISSUES INVOLVED, OFFENDER CONSIDERED THAT WORK DONE DURING LICENCE AS A WHOLE WOULD HELP STOP THEM ACTING IN WAY WHICH AFFECTS/HURTS OTHER PEOPLE:				
- DEFINITELY	0 of 5 (0%)	3 of 5 (60%)	9 of 9 (100%)	13 of 17 (76%)
- TO SOME EXTENT	5 of 5 (100%)	2 of 5 (40%)	0 of 9 (0%)	4 of 17 (24%)
OFFENDERS CONSIDERED THAT WORK THAT DAY WOULD HELP THEM STOP REOFFENDING:				
- ALL OFFENDERS				
DEFINITELY	2 of 8 (25%)	5 of 12 (42%)	9 of 18 (50%)	16 of 25 (64%)
TO SOME EXTENT	5 of 8 (63%)	7 of 12 (58%)	8 of 18 (44%)	8 of 25 (32%)
- MINORITY ETHNIC OFFENDERS				
DEFINITELY	N/A	N/A	N/A	0 of 1 (0%)
TO SOME EXTENT	N/A	N/A	N/A	1 of 1 (100%)
OFFENDERS CONSIDERED THAT WORK DURING LICENCE AS A WHOLE WOULD HELP THEM STOP REOFFENDING:				
- ALL OFFENDERS				
DEFINITELY	4 of 8 (50%)	9 of 12 (75%)	11 of 17 (65%)	17 of 25 (68%)
TO SOME EXTENT	4 of 8 (50%)	3 of 12 (25%)	6 of 17 (35%)	8 of 25 (32%)
- MINORITY ETHNIC OFFENDERS				
DEFINITELY	N/A	N/A	N/A	0 of 1 (0%)
TO SOME EXTENT	N/A	N/A	N/A	1 of 1 (100%)
OFFENDERS CONSIDERED THAT PO/PSO HELPED THEM DEAL WITH THEIR PARTICULAR NEEDS & CIRCUMSTANCES				
- ALL OFFENDERS				
DEFINITELY	5 of 8 (63%)	5 of 12 (42%)	11 of 18 (61%)	18 of 24 (75%)
TO SOME EXTENT	3 of 8 (38%)	7 of 12 (58%)	5 of 18 (28%)	5 of 24 (21%)
- MINORITY ETHNIC OFFENDERS				
DEFINITELY	N/A	N/A	N/A	1 of 1 (100%)
TO SOME EXTENT	N/A	N/A	N/A	0 of 1 (0%)
OFFENDERS CONSIDERED THAT THEY HAD GENERALLY BEEN TREATED FAIRLY THROUGHOUT ORDER BY EVERYONE INVOLVED:				
- ALL OFFENDERS				
ALWAYS	8 of 8 (100%)	13 of 13 (100%)	15 of 18 (83%)	21 of 25 (84%)
MOST/NEARLY ALL THE TIME	0 of 8 (0%)	0 of 13 (0%)	3 of 18 (17%)	4 of 25 (16%)
- MINORITY ETHNIC OFFENDERS				
ALWAYS	N/A	N/A	N/A	1 of 1 (100%)
MOST/NEARLY ALL THE TIME	N/A	N/A	N/A	0 of 1 (0%)
OFFENDERS CONSIDERED THAT AREA HAD TAKEN THEIR LANGUAGE OF PREFERENCE FULLY INTO ACCOUNT				
- DEFINITELY	5 of 8 (63%)	12 of 12 (100%)	15 of 17 (88%)	15 of 24 (62%)
- TO SOME EXTENT	0 of 8 (0%)	0 of 12 (0%)	2 of 17 (12%)	3 of 24 (12%)

Commentary

» Supervising officers were supporting the work of others in all cases, except in North Wales.

- Offenders were actively involved in discussion by their supervisors and the methods used were usually appropriate to what supervisors were seeking to achieve, though to a slightly lesser extent in Gwent.
- Where relevant, supervisors were nearly always sensitive to the offender's race, gender or other potentially discriminatory factor.
- All the offenders interviewed understood what the supervisor was trying to achieve, at least to some extent.
- The large majority of offenders believed that the work being undertaken that day would help them stop reoffending.
- In public protection cases nearly all offenders considered that supervision would make a difference to the risks they presented.
- Most offenders felt that that day's interview had helped them deal with their particular needs and circumstances, at least to some extent.
- All offenders in each area considered that they had been treated fairly always or most of the time.
- Offenders in Gwent and North Wales generally considered that the area had taken their language of preference sufficiently into account.

➤ As with CROs, the overall quality of the observed sessions with offenders indicated that better work was being undertaken by staff than that which they recorded.

FINDINGS FOR GWENT

Key performance indicators and national targets

- Table 37 shows data on the area's performance in relation to the main KPIs for pre and post-release work specified in the Home Office Plans for the Probation Service 1998/1999, 1999/2000 and, where available, for 2000/2001.
- The following results, drawn in part from the third ACOP Enforcement Exercise, were achieved for KPIs in 2000/2001 (KPI7: 1999/2000):
 - **KPI 2:** 98% of offenders were seen within one day of release, which met the Home Office target. The result was consistent with the findings of this inspection shown in table 39
 - **KPI 3a:** All relevant cases were breached as required which meant that the Home Office target had been met. However, table 40 shows that in the sample of cases examined during the inspection, 33% were breached on or before a third unacceptable absence and a further 33% had the line manager's authorisation not to breach
 - **KPI 3b:** no information was available from the Home Office on the target that breach action should be taken following alleged further offending whilst subject to HDC in 95% of relevant ACR cases
 - **KPI 7:** the annual unit cost of a licence in 1999/2000 was £1,880, which met the Home office target of £1,935 and was one of the lowest costs in Wales.

Area targets and monitoring arrangements

- 5.12 In 2000/2001 the Gwent service plan contained the following targets for resettlement:
- "To ensure that the revised national standards are fully implemented from April 2000 and that all offenders subject to community supervision orders and post-release licences are supervised in compliance with those standards"
 - "To demonstrate that 100% of community supervision orders and post-release licences are enforced in compliance with the new standards, with particular emphasis on breach proceedings"
 - "Within the context of the What Works (effective practice) strategy, deliver the ETS programme to 10% of all offenders made subject to community supervision orders and eligible post-release licences commenced following the introduction of the programme".
- 5.13 In addition to the results shown above, information from the ACOP National Standards Enforcement Exercise reported to the former probation committee in March 2001 showed that:
- 83% of offenders released on licence had appointments arranged eight or more times during the first three months. The average number of appointments was 9.7 in the first three months of release on licence
 - the report did not comment on the timeliness of breach action
 - no information was reported on the third target.
- 5.14 It was not entirely clear whether the figures for the average number of appointments during the first three months included the home visit, which would mean that a total of nine appointments should have been made. Consequently, there was some uncertainty whether the area was measuring the national standard requirements for contact in that period. Comment is made elsewhere in this report on the inadequacy of the monitoring information which was available and, specifically, on the area's inability to hold individual officers accountable for ensuring eligible offenders had attended the ETS programme.
- 5.15 The relevant targets for 2001/2002 were:
- to take breach action on or before the third unacceptable absence for licences. Target 90% compliance
 - to improve compliance with national standards to 90% for first appointment within one working day of release (kept), home visit within ten working days of release, weekly contact arranged for the first four weeks, fortnightly contact arranged for the second and third months and breach action after the third unacceptable absence
 - to ensure that risk of harm assessments (RADS 1 and 2) are completed on all licence cases and to produce risk management plans in relation to all high-risk cases (RADS 2 criteria) within five working days of the licence commencement
 - to ensure that contact is made with victims in accordance with national standards and the Victim's Charter and implement the recommendations of the HMIP Thematic Inspection on Victims (January 2000)

- to implement the requirements of Probation Circular 108/2000 to consult and inform victims about the release arrangements of offenders sentenced to 12 months for a sexual or violent offence.

326 Regular quarterly monitoring was not available to managers or the Board to ensure that staff at all levels could be held accountable for performance against the annual plan. The only reports that had been produced for the former committee were annual reports from the national ACOP/HMIP Enforcement Exercises and the next report to the Board was planned for no earlier than December 2001. The information manager's reports for the first six months of 2001/2002 were incomplete and limited to the national standards for first contact and breach in relation to licences. However data concerning contact with victims were collated separately and this showed that the national standard for contacting victims was met. No trend data were available from the area's information system comparing directly the performance of each unit, but instead each manager produced some figures of their own using a variety of methods, including reference to HMIP's file reading results.

327 The area had recognised the lack of performance information produced internally and had recently produced its own report from the HMIP PIP inspection, albeit this did not meet all the requirements of the area plan. This had been distributed to managers and the Board. However, the lack of any comparable local data meant that the Board was not in a position to assess the rate of progress being made in achieving the targets set in the annual plan. This in turn limited the ability of the Board to hold senior managers to account for area performance.

328 It was of concern that the area did not monitor the use of programmes for offenders by resettlement officers or the completion of risk assessments on all cases by unit. One consequence of the first, as already discussed, was that no referrals had been made to ETS for offenders on post-release licence. A consequence of the latter was that cases were identified during the inspection as having been assessed as suitable for 'lower-risk' supervision in the CSU without completion of proper risk assessment documentation. This required immediate attention, as there was a potential for a risk management failure.

Compliance with national standards

329 Table 38 provides information about the quality of work undertaken with prisoners prior to release, based on an examination of 70 case files. It shows that in:

- 74% of cases the degree of contact supervising officers had with offenders pre-release was assessed as adequate given the needs and circumstances of the offender
- 72% of cases the quality of contact was similarly assessed.

These results were average for Wales and for previous PIP regions.

330 Tables 39-41 provide data on the area's compliance with the national standard for the supervision of offenders following release from custody. In relation to levels of contact, it was notable that:

- in 100% of cases the first appointment was arranged to take place within one day and in 97% of cases offenders was seen in that timescale. The first finding met the Home Office KPI target and the results were the best in Wales

- a home visit had been arranged to take place within ten working days of release in 40% of cases (28/70). In a further 12 cases the offender was homeless, there was a specific reason as to why the home visit could not be arranged in 22 cases but there was no apparent reason in eight cases. It was good to see the area's breakdown of the PIP figures showed that the PPU team had made a home visit in 84% of cases as opposed to the OIU which had only seen offenders at home in 25% of cases. Although this meant that offenders who posed a greater risk to the public were seen more often at home, overall there was need for substantial improvement
- weekly meetings were arranged for the first four weeks after release in 83% of cases and took place in 54%, a lower level of performance than in the rest of Wales
- fortnightly contacts were arranged for the second and third months in 71% of cases and took place in 57%, a result which was average for Wales
- additional licence conditions had been implemented promptly in only 28% of cases (five of 18). In a further four cases the conditions had been implemented but this could have been done more promptly. In one case some but not all of the conditions had been implemented and in five cases none of the conditions had been implemented. In the remaining three cases it was not clear from the record whether the conditions had been implemented or not. This was an area of work that needed to be more closely monitored at local level.

5.21 Table 40 provides details of performance in relation to enforcement. The key findings were:

- in 63% of cases action was always taken within two days to obtain an explanation for failures, a poor result within Wales
- in 73% of cases the offender's explanation (or lack of it) was always clearly recorded
- in only 27% (7/26) of relevant cases was an appropriate warning issued on the first or second unacceptable failure. A poor result
- in just 33% (3/9) of relevant cases was breach or recall action clearly taken before or as a result of a third failure. The reason given for not breaching in the remaining six cases was due to two offenders being remanded in custody, two being convicted of another offence and two licences which were near the end. In only two of the six cases was there line manager's authorisation not to breach on file. This was one of the poorest results in Wales and was not satisfactory.

5.22 Table 41 provides details of performance in relation to supervision planning. The key findings were:

- in 76% of cases a supervision plan had been prepared, although a third of these were not prepared within 15 days of release as required by national standards
- 48% of the plans fully met the national standard on content which was a creditable result against a difficult target
- only 2% of plans had set clear targets for progress, which was not satisfactory
- 64% of cases had an assessment of risk of harm to the victim or the public, which was a poor result within Wales
- in 71% of cases plans were reviewed every four months, which was average for Wales.

- Overall these results were mixed. Contact was initially good, fell in the first month but improved in the second and third months. The number of supervision plans completed within national standards timescale was too low. A reasonably good number of supervision plans, when prepared, covered all the elements as required by national standards but more attention was necessary to ensure a sufficient assessment of risk to victims and the public was undertaken in every case. The area expected the assessment tool LSI-R to be used at commencement and review. However, no collation or evaluation of these forms was undertaken and so the standard of practice in completion was variable and managers were not using valuable case data. Additional licence conditions were not enforced sufficiently promptly and enforcement practice needed to be sharper.

Quality of work

- The effectiveness of post-release supervision, as recorded in table 42, showed that:
- in only 54% of cases had offending behaviour been challenged to a sufficient extent
 - offence related problems, such as employment, drugs and housing, had been sufficiently addressed in 65% of cases, the lowest proportion in Wales
 - in 55% of cases sufficient work was undertaken to make the offender aware of the effect of the offence on others, including victims and the community, which was average for Wales.
- A summary of the comments made by the members of the file reading team drawn from the area included the following:
- there was better contact in many cases than in CROs. However, more cases could have met the standard if the officer had paid attention to dates: thus in one case with an acceptable absence the officer had ensured the offender had a catch-up appointment within the required timescale
 - many cases were without home visits
 - a number of weak supervision plans were on file and some were entirely missing
 - very little offence focused work was completed even when it was a condition of the licence
 - staff shortages had contributed to a lack of supervision plans and risk assessment, some cases having been managed on a contact only basis. That decision was clearly not made on the basis of the risk screening form and the initial supervision plan. Managers were said to assess each case individually but the absence of the documents meant there was no evidence of defensible decision making
 - PPU files were generally well managed and there was evidence of offence related work with these cases
 - risk assessments were not always linked or followed through from court appearance, during the prison sentence and on release
 - many cases could have been improved with only a small amount of additional effort or time.
- The second method used to assess the quality of work was the direct observation of practice. Inspectors and three members of staff, acting as service assessors, observed 13 interviews with

offenders on licence, none of which were with minority ethnic offenders. In all cases, the assessor was able to view the case file and accordingly was able to make links between sentence and supervision planning documentation and the conduct of the interview. The overall quality of the interview was assessed as very good in six cases and satisfactory in seven of the 13 cases. Tables 43-46 provide information about the results. They show that:

- in nine of the 11 cases that had been running long enough to have a supervision plan prepared, the plan addressed adequately the risk factors and the offender's criminogenic needs. In 10 of the 13 cases the supervisor was definitely clear about what she/he wanted to get out of the session
- in the one case where there were enforcement issues to address these were handled well
- in all five cases where there were public protection issues the interview was deemed likely to contribute to a reduction in risk
- in all cases offending related factors such as substance misuse and housing were dealt with in a way that was likely to result in a reduction in reoffending
- in nine of the ten relevant cases victim issues were appropriately addressed and in a way that would increase offenders' awareness of the impact of their offences on others.

5.27 On the conduct of the interview:

- in ten of the 13 cases the methods used by the supervisor were generally appropriate to what they were trying to achieve
- in 12 of the 13 cases the supervisor actively involved the offender in discussion
- in all five relevant cases the interviewer was sensitive to the offender's gender or other potentially discriminatory factor.

5.28 The practice assessors also interviewed the offenders who had been observed and a summary of their views is shown in table 46. Key findings were:

- in all the interviews offenders understood what the supervisor was trying to achieve
- 12 of the offenders considered that the work being undertaken would help them stop offending and all five offenders where there were public protection issues thought the work would help reduce the risk they presented to others
- all of the offenders considered that they had been treated fairly during the period on licence.

5.29 The observations showed evidence of good work with some difficult offenders. Among the additional comments made by observers were the following:

- "The interview demonstrated planned work which was consistent with the supervision plan, and the work was clearly aimed at reducing the risk of reoffending."
- "There was good reinforcement of issues related to compliance with the conditions of the [licence]."
- "Good offence focused work was observed in the interview and evidence of SMART objectives which were linked to risk assessment and management."

- "The supervising officer positively reinforced work completed in ETS programme in the YOI. Mr X was tagged and the PO made good checks regarding monitoring movements of the offender and constructive use of time including future employment prospects."
- "This was not an easy interview because the offender was relatively inarticulate but the PO persisted and managed to achieve an outcome."

Policy and working arrangements

- 5.30 There was no specific policy or published practice standards relating to resettlement work in use in the area, although there was a draft policy which had been presented to the management review meeting in August 2001. A decision regarding the adoption of the policy was to be made at the December 2001 management meeting. This document outlined the requirements to "ensure offenders moving custodial sentences are thoroughly assessed during sentence and afforded appropriate opportunities for learning new skills and accessing resources designed to reduce the risk of reoffending on release". In particular, the requirement for all cases to be risk assessed and allocated to the appropriate unit was clear, as were the expectations for victim contact.
- 5.31 The ACO (Operations) had delegated the task of writing practice guidance on resettlement to the DM based in the prisons but, prior to his extended leave, he had produced a draft based only on pre-release work. It was recognised by the ACO that completion of the practice standards should be prioritised, as this aspect of work had not been given sufficient attention.
- 5.32 Responsibility for pre and post-release work was managed within the same structure as community supervision. Therefore resettlement work was divided between the PPU, OIU and the CSU, although within these units there was some specialisation by individual team members.
- 5.33 Victim contact work had originally been managed within the PPU. However, a review of the scheme was undertaken in October 2000 as part of the follow-up to the HMIP Thematic Report *Ensuring the Victim Matters*, which identified training and development needs for staff and the attention needed to recording, monitoring and evaluation processes. It also took account of the expanded responsibilities for victim contact introduced in the *Criminal Justice and Court Services Act 2000*. The review recommended that new PSO staff should be recruited to undertake victim contact work within the CSU and victim contact would thereby become separate from the PPU. A new policy and strategy for working with victims of serious crimes was prepared in June 2001 and was to be reviewed in April 2002. Guidelines for inter-unit practice were also written. In autumn 2001 new staff had been recruited and trained and had recently undertaken their first visits jointly with PPU POs who were experienced in the role. This joint work was helpful to new PSOs but more work was required to ensure that the feedback to supervising officers at each stage of victim contact was sufficient. It was necessary to develop a *pro forma* outlining the specific areas to be covered in the reports from victim contact officers to supervising officers.
- 5.34 Local monitoring arrangements on victim contact were set up to collect a range of information to meet the requirements of the NPD for quarterly national monitoring and the collection of local data. The area was attaining the national target for contacting within eight weeks 85% of all victims of

offenders sentenced for 12 months or more for sexual and violent offences. The area was to be commended for the attention it had given to setting up new arrangements for victim contact to meet the statutory requirements.

- 5.35 A joint team of three POs and one PSO under a DM staffed the probation units in the two institutions in the area – HM Prison Usk and HM Prison/YOI Prescoed. Regular formal quarterly meetings took place between the ACO with responsibility for prison probation staff and the governor who managed both prisons. Informal meetings between the CO, the ACO and the governor also occurred, especially when any difficulties required resolving. Despite some fluctuations of staffing over time, differences were accommodated and working relationships were good. The responsibilities of staff within the prison and the YOI included reception interviews, risk assessments and other areas of work attached to sentence planning. In addition one PO and the PSO acted as tutors on the prison ETS and sex offender programmes. It was planned to establish a resettlement unit run by the prison DM, part based in the prison and part outside to promote a more joined up approach to sentence planning locally. The plan was to appoint a SP post to work in the prison, subject to the governor's approval, who would supervise on a day-to-day basis the staff team working there. An additional SP was to be appointed to the community-based part of the resettlement unit and given responsibility for the supervision of a number of practitioner staff. The new structure was to be implemented on an incremental basis from April 2002. It would have the flexibility to cope with expansion and thereby the extra work that may arise from the Halliday proposals.

Summary and recommendations

- 5.36 In relation to the effective supervision of offenders after release from custody, the area's main strengths were:
- prompt initial contact on release
 - a draft policy that committed the area to the use of programmes and partnership facilities for resettlement cases
 - a high proportion of cases in which victim contact met the Home Office target on timeliness
 - good relationships with local prisons.
- 5.37 Areas for improvement were:
- compliance with national standards particularly in relation to contact, completion of all supervision plans and enforcement
 - the provision of regular performance reports on all area targets for resettlement, broken down at unit and individual level
 - the systematic completion of assessment tools at the commencement and review of cases
 - the completion of practice guidance for the supervision of offenders pre and post-release

- a greater focus on offending behaviour, including the referral of appropriate offenders on licence to specific programmes such as ETS
- improved feedback to supervising officers from victim contact officers following the initial contact and at all stages.

It is therefore recommended that:

The Board should ensure that:

- *Compliance with national standards for the supervision of offenders released from custody improves, paying particular attention to:*
 - (a) *the frequency of contact, including home visiting, during the first 12 weeks of the licence;*
 - (b) *enforcement action;*
 - (c) *the systematic completion of risk assessments and reviews;*
 - (d) *the proportion of assessments, plans and reviews that meet all requirements of national standards.*
- *A targeted proportion of supervision plan reviews include a measure of the progress achieved, using LSI-R or OASys.*
- *Practice guidance is in place to ensure the effective supervision of offenders on release from custody.*
- *A system is established to provide relevant feedback to supervising officers by victim contact officers.*

6. THE MANAGEMENT OF HIGH-RISK CASES

- 6.2 This chapter examines the supervision of offenders identified by areas as posing a high risk of causing serious harm to others. However, it should be noted that there is currently no standard national formula or guidance about which cases should be designated as high risk, with the result that the definitions and categorisations are known to vary between areas. In this context the lack of a national public protection policy with a specific definition of a high risk of harm had contributed to the problem.

Number of high-risk cases

- 6.2 Table 47 shows the number of cases registered as high risk in each of the previous services and the proportion of total caseload represented by such cases.

FACTOR	DYFED	POWYS	GWENT	NORTH WALES	MID GLAM	SOUTH GLAM	WEST GLAM
CASES REGISTERED	149	30	250	265	421	380	453
% TOTAL CASELOAD	15%	12%	10%	12%	19%	16%	27%

Commentary

- The proportion of cases registered locally as high risk of harm varied between the previous services, although the average proportion was higher than the average across the last three regions inspected. The differences between them at least in part reflected the differing definitions of high risk of causing serious harm between the areas.

The quality of work and compliance with relevant national standards

- 6.3 A sample of cases registered as presenting risk of causing serious harm to the public was examined in each area, some subject to supervision under the terms of a CRO or CPRO and some supervised on licence following release from prison. Table 48 identifies levels of compliance with national standards in the supervision of those cases. It should be noted that the small size of the sample means that the percentages should be treated with caution and only those that indicate a clear trend or a marked difference in performance are discussed in the text.

**TABLE 48:
HIGH RISK CASES – COMPLIANCE WITH NATIONAL STANDARDS**

	DYFED-POWYS	GWENT	NORTH WALES	SOUTH WALES	AVERAGE PIP REGIONS 1-9	PERFORMANCE RANGE IN FIRST 9 PIP REGIONS
NUMBER OF CASES OF WHICH	29	17	21	39	N/A	N/A
- MINORITY ETHNIC	0 of 29	0 of 17	0 of 19	0 of 38	*	*
- FEMALE	4 of 29	0 of 17	1 of 21	2 of 39	*	*
CONTACT:						
INITIAL CONTACT ARRANGED AS REQUIREMENTS OF NATIONAL STANDARDS	27 of 29 (93%)	16 of 17 (94%)	20 of 21 (95%)	36 of 39 (92%)	*	*
INITIAL CONTACT TOOK PLACE AS REQUIREMENTS OF NATIONAL STANDARDS	27 of 29 (93%)	16 of 17 (94%)	18 of 21 (86%)	35 of 39 (90%)	84%	65-92%
REQUIRED NUMBER OF MEETINGS OFFERED IN FIRST 3 MONTHS	17 of 29 (59%)	11 of 17 (65%)	11 of 21 (52%)	22 of 39 (56%)	67%	34-90%
REQUIRED NUMBER OF MEETINGS TOOK PLACE IN FIRST 3 MONTHS	14 of 29 (48%)	11 of 17 (65%)	5 of 21 (24%)	21 of 39 (54%)	47%	22-80%
ADDITIONAL REQUIREMENTS OR LICENCE CONDITIONS IMPLEMENTED PROMPTLY	6 of 10 (60%)	4 of 10 (40%)	7 of 13 (54%)	12 of 16 (75%)	*	*
SUPERVISION PLANNING:						
SUPERVISION PLAN PREPARED	25 of 29 (86%)	17 of 17 (100%)	21 of 21 (100%)	39 of 39 (100%)	89%	62-100%
WHERE SUPERVISION PLAN PREPARED, % WHICH MET ALL REQUIREMENTS OF THE NATIONAL STANDARD ON CONTENT	4 of 17 (24%)	10 of 17 (59%)	4 of 21 (19%)	20 of 38 (53%)	*	*
RISK ASSESSMENT OF HARM TO VICTIM OR PUBLIC	18 of 29 (62%)	16 of 17 (94%)	16 of 21 (76%)	36 of 39 (92%)	*	*
4-MONTHLY REVIEW OF SUPERVISION PLAN	13 of 22 (59%)	12 of 15 (80%)	12 of 17 (71%)	25 of 33 (76%)	81%	50-100%
RISK MANAGEMENT PLAN AVAILABLE WITHIN 5 WORKING DAYS OF ORDER/RELEASE	11 of 25 (44%)	5 of 15 (33%)	10 of 20 (50%)	15 of 30 (50%)	*	*
ENFORCEMENT:						
WHERE APPARENT FAILURES, ACTION ALWAYS TAKEN WITHIN 2 DAYS TO SEEK TO OBTAIN EXPLANATION	9 of 13 (69%)	11 of 11 (100%)	11 of 14 (79%)	19 of 27 (70%)	62%	40-93%
OFFENDER'S EXPLANATION (OR LACK) ALWAYS CLEARLY RECORDED	7 of 13 (54%)	8 of 10 (80%)	10 of 15 (67%)	18 of 26 (69%)	59%	29-86%
PO'S VIEW OF ACCEPTABILITY OF ABSENCES ALWAYS CLEAR	6 of 13 (46%)	8 of 10 (80%)	9 of 16 (56%)	18 of 25 (72%)	55%	15-100%
BREACH ACTION CLEARLY TAKEN AS A RESULT OF, OR BEFORE, SECOND/THIRD UNACCEPTABLE FAILURE	0 of 2 (0%)	2 of 3 (67%)	4 of 7 (57%)	4 of 9 (44%)	48%	0-100%
MANAGER'S AUTHORISATION NOT TO BREACH ON SECOND/THIRD FAILURE RECORDED	1 of 2 (50%)	1 of 2 (50%)	0 of 3 (0%)	2 of 5 (40%)	24%	0-100%
OVERALL PERFORMANCE SCORE	50%	87%	69%	74%	*	*

* Information not available on same basis.

Commentary

- First contact was arranged as the national standards required in 92% or more of all cases.
- Subsequent levels of contact were disappointing. At best (Gwent) only about two-thirds of cases were offered and kept the required number of appointments in the first three months of supervision. Performance in North Wales was particularly weak, with only about half the offenders being offered sufficient appointments and required contacts taking place in only

PERFORMANCE RANGE IN FIRST 4 PIP REGIONS
N/A
.
.
.
65-92%
34-90%
22-80%
.
62-100%
.
.
50-100%
.
40-93%
29-86%
15-100%
6-100%
0-100%
.

about a quarter of cases. The findings for all areas were a matter of concern, bearing in mind that these were the cases identified locally as posing the highest risk of public harm. They should have been given the highest priority.

- Additional requirements were implemented rather more promptly in South Wales (75%) compared with Gwent (40%).
- Supervision plans were available in nearly all cases, but the proportion fully meeting the requirements of national standards on content was at best (Gwent and South Wales) just over a half, with poorer results in the other two areas. A risk of harm assessment was judged to have been satisfactorily completed in a high proportion of cases in Gwent and South Wales, but in only about 60% in Dyfed-Powys. Furthermore, supervision plan reviews were not always happening as required, especially in Dyfed-Powys. It was also of concern that a timely risk management plan was available in at best about a half of cases. These processes are necessary for the effective management of all cases, but particularly important for potentially dangerous offenders and the weaknesses identified needed to be addressed as a matter of priority.
- It was of concern that with this group of offenders enforcement action was not always crystal clear. Results were somewhat better for Gwent than for the other areas, but all needed to make improvements in this aspect of their work so that sufficient accountability can be demonstrated for this potentially dangerous group of offenders.
- An overall performance score was calculated on the average of a number of key aspects of supervision work with high-risk offenders. While based on only a small number of cases, this showed a relatively good result for Gwent (87%) but a relatively poor result for Dyfed-Powys. There was, however, a need for improvement in each area in this important aspect of work.

FINDINGS FOR GWENT

Key performance indicators and national targets

- 64 No national KPI had been set for this aspect of work but the Home Office Action Plan for the Probation Service 2000/2001 stated that areas should consolidate and develop further, with the police service and other relevant partners, strategies for the management of dangerous offenders and for dealing with particular problems of local concern. *A New Choreography* subsequently also included the accurate and effective assessment and management of risk and dangerousness as one of the 'stretch objectives' for the National Probation Service.

Area objectives and monitoring arrangements

- 65 The PPU Business Plan 2001/2002 contained a section on policy and strategy which committed the unit to contribute to the achievement of the area plan objectives by ensuring the consistent implementation of all area policies and practice guidance documents. These included the following:

- "The reduction of reoffending via the implementation of accredited programmes - particularly the *Community Sex Offender Group work Programme* which will replace the current pathways programme, as the training for staff rolls out in the autumn of 2001"
- "A response to Sections 67 and 68 of the *Criminal Justice and Court Services Act 2001* in relation to the requirement of the Police and Probation Service to make joint arrangements for the management of the risks posed by sexual, violent and other offenders who may cause serious harm to the public"
- "The supervision of orders in compliance with national standards and the rigorous enforcement of orders and licences"
- "The delivery of all work within a framework of equality and the implementation of the recommendations of the *Gwent Probation Service Race Equality Strategy*".

6.6 There were no arrangements in place for the routine monitoring of work with high-risk offenders and there had been no formal reviews or monitoring reports presented to the previous committee on this specific aspect of practice in the 12 months preceding the inspection. During the discussions with the manager and staff in the PPU it became apparent that improvements in systems and practice were required and that action was needed to ensure that work with high-risk cases was more systematically monitored. The PPU manager had broken down the HMIP file reading results for high-risk cases that outlined the results by type of order. It showed a better level of contact in licences than in community rehabilitation cases but, overall, insufficient attention had been given to enforcement action on first and second unacceptable failures.

Risk management policy and inter-agency arrangements

- 6.7 The PPU was managed by a DM accountable to the ACO (Operations) assisted by one SP. The unit was responsible for all cases that were assessed as high risk of harm to the public on first contact with the service, and also for current cases referred to the unit when the risk the offender posed to the community was subsequently reassessed as posing a high risk to the public. There was automatic allocation of all lifer and sex offender cases, but Schedule 1 and child protection cases were only referred to the PPU when there was a current risk of harm assessed. The PPU also jointly staffed the C-SOGP, a programme originally developed as a Gwent initiative, under a development plan agreed with the NSPCC and a consortium of areas covering South Wales, Dyfed-Powys and Gwent.
- 6.8 The area had introduced a risk assessment process as part of its assessment structure at the PSR stage using RADS, in addition to the LSI-R tool. RADS 1 was to be completed on all cases and was designed to provide an initial indication of the level of risk the offender posed to the public. A more detailed assessment was to be made on RADS 2 documents if the initial screening showed any indicators of concern across a wide range of factors. These documents were sufficiently detailed to include to whom, under what circumstances and what type of harm the offender posed in addition to an identification of the criminogenic risk factors linked to the offending behaviour. Practice guidance covering their completion had been updated when the joint police/probation public protection protocol, described below, had been written in November 2000. Further amendments were subsequently introduced and the several practice instructions sent out in 2001. It was helpful that the

- guidance clearly separated out the assessment of likelihood of reoffending by the LSI-R tool from risk of harm as assessed by the RADS documentation.
- 6.20 Although the OAU had responsibility for the completion of the LSI-R and RADS forms at the PSR stage, these were not always filled in and even when they were the information was often superficial. The POs in the PPU did not think the completed forms were very informative and did not appear to use them in planning the work with their cases. Consequently, the quality of assessment work undertaken at PSR stage, especially with high-risk offenders, was of concern. For cases that were sentenced without a PSR, the assessment which should have taken place at the commencement of supervision was frequently not undertaken and this included Schedule 1 and child protection cases. Some supervising POs thought the cases should go back to the OAU for completion of the assessment forms, but often this did not happen or was delayed, and supervision plans were prepared without the assessment information. Responsibility for the risk assessment process needed to be clarified.
- 6.21 The area maintained several registers of offenders at risk of causing harm to the public, designated as: Schedule 1, child protection, sex offender, dangerous and lifers. All the registers could be accessed on screen by the DM of the PPU who was able to provide printouts for other DMs and senior managers. However, there was no system for ensuring that the reviews of risk registered cases were completed on time. Although lists of registered cases were sent out monthly there was no formal check to ensure the reviews were returned and the electronic and paper registers did not show a clear pattern of up-to-date reviews. This was a matter requiring urgent attention.
- 6.22 *The Joint Protocol for Managing Dangerous Offenders* between the Gwent Police and the Gwent Probation Service was issued in November 2000 and was linked to the establishment of what was then a non-statutory MAPPP. The protocol prescribed the system for allocating cases to the panel, the frequency of meetings and a standard format for the minutes of meetings. The responsible officers in the police and probation services were identified and the role of social services was also clear. A joint public protection register included all Schedule 1 cases, all offenders on the sex offender register, other sex offenders resident in Gwent whose convictions pre-dated the requirement to register, offenders assessed as dangerous and lifers. Panel responsibilities included reviewing all the registered cases and monitoring the inter-agency operations and communications.
- 6.23 The MAPPP meetings were clearly fulfilling their function to ensure relevant cases were registered, and the joint working with the police was invaluable to staff in managing those cases that were posing a real risk to the public. Four sex offender orders had been successfully obtained through the local courts by the police as a result of joint agreement and production of the case information by both agencies. Examples of surveillance and close working between police and probation were observed by inspectors; these were outstanding and very professional pieces of work. On those cases where the minutes of the meetings were fully recorded, it was clear on what basis the case would be managed but in many other cases, including routine reviews, the record keeping was inadequate. Furthermore, there was often no record on the case file from the MAPPP meeting, an oversight that should be remedied.
- 6.24 For the probation service all responsibility for MAPPP work rested with the DM for the PPU who acted as the referral point for cases to the panel. However, access to this system was not clear to practitioners, managers and SPs in other units. Difficulties had arisen in relation to the method of

referral and the presentation of the cases at MAPPP meetings. Some cases in which public protection concerns were identified, especially those with mental health problems, had caused questions to be raised about the way in which the multi-agency structure dealt with the issues and in particular the involvement of health professionals. New developments in response to the recent national requirement to establish MAPPPs on a statutory basis created the opportunity to resolve these issues.

- 6.14 A new joint policy and procedures for the 'Management of Potentially Dangerous Offenders/Registered Sex Offenders' had been produced by the police and would replace the joint agreement and protocol dated November 2000. The documents, which were in draft form, were written to include all recent requirements under the *Criminal Justice and Court Services Act 2000*, *Amendments to the Sex Offenders Act 1997* and the *Sex Offenders Act 1997*. In particular they met the new requirement to establish a statutory MAPPP. While the new draft policy and procedures met the needs of the police, they did not include many aspects relevant to probation and they read very much as police documents. A workshop was due to be held in December 2001 to familiarise managers from probation, police and social services with the new arrangements and receive feedback on the draft. It was necessary for the next draft to better address the roles and responsibilities of probation staff.
- 6.15 The DM with responsibility was aware that, even if the new draft policy documents were amended to more clearly include the probation role, this would leave the probation area without sufficient guidance on its own procedures. This was therefore a good opportunity to develop new guidance for the probation area which incorporated all the recent amendments to the instructions that had been sent out separately. Also it would ensure that the DMs of other units and their SPs were fully able to participate in the local Multi-Agency Risk Assessment Groups. The latter groups were responsible for sharing information and intelligence and managing cases in which there was a requirement for registration but whose risk was assessed as low or medium.

The quality of work and compliance with national standards

- 6.16 Seventeen case files on offenders assessed as presenting a high risk of harm were examined during the inspection. They related to offenders on either CROs, CPROs or prison licences. Table 48 identifies the level of compliance with national standards in their supervision and shows that:
- initial contact was arranged as required by national standards in 94% (16/17) of cases and took place in all of these cases
 - the required number of meetings was arranged and took place in the first three months of supervision in only 65% (11/17) of cases
 - additional requirements in orders or licences were promptly implemented in only 40% (4/10) of relevant cases
 - a supervision plan was prepared in 100% of cases, and met all the requirements of national standards on content in 59% (10/17) which was the best result in Wales
 - there was a sufficient assessment of risk of harm to the public in all but one case (94%) which was again a good result
 - a four-monthly review of the supervision plan had been prepared in 80% (12/15) of the cases

- a risk management plan was available within five working days of the commencement of the order or release on licence in only 33% of the cases
- where apparent failures had occurred, in 100% of relevant cases action was always taken within two days to obtain an explanation. This was a very good result. The PO's view of the acceptability of absences was always clear in eight of the ten relevant cases
- breach action was taken as required by national standards in two of the three relevant cases, and there was line manager's authorisation not to breach on the third.

Overall, the performance score on high-risk cases was 87% which was the best in Wales. Nevertheless, there was still room for improvement, particularly in respect of contact offered, implementation of additional requirements and the quality of plans. There was however a better level and quality of contact with these cases than others in the file reading events, and with a little more attention the results could have been more impressive. It was clear from the cases seen during the observation of practice that the PPU team demonstrated an excellent standard of work with the most difficult offenders. Furthermore, a range of appropriate methods was being used to work with these offenders. Five of the eight interviews observed by members of this team were very good, an unusually high proportion, reflecting the overall quality of the work being undertaken.

Serious incident reports

Probation areas are required to forward to the Home Office the management reviews undertaken on offenders who commit a further serious offence, such as murder or rape, while under the supervision of the area and it has been practice to read recent reports during visits to the area as part of the inspection. In Gwent there were 19 cases between April 2000 and September 2001 where an offender under the supervision of the area had been involved in a serious incident and the area had completed 15 management reviews. Key issues to emerge were:

- seven of the 15 offenders had been appropriately identified as high risk of harm to the public, and six of these cases had been managed by the PPU. No factors were identified in the other cases to indicate the risk posed by the offender who went on to commit a serious incident
- in 11 cases the management review concluded that no further action was required but in two cases learning points were identified. In one, the information held on the case was very poor due to many changes of supervising officer, a situation which should be avoided by better attention to case allocation in future. In another case, the offender was released from custody on appeal and had reoffended before a MAPP meeting was convened and action taken to restrict her behaviour. It was therefore concluded that liaison with the court could have been better
- in four cases further action was identified to address failures to use procedures satisfactorily. Action to improve completion of RADS forms at the PSR stage and prompter enforcement action were issues that were mirrored in the inspection file reading results. Other action points included: better communication with prisons when an offender had a history of self-harm, and the better use of licence conditions in a domestic violence case. The area's

domestic violence practice guidance was being developed, which should help in similar future cases

- three cases were offences of domestic violence and the management reviews showed some very commendable work being undertaken on these cases
- in nine of the 15 cases reviewed by the NPD the area had been notified that no further action was required. In the remaining six cases a clear response from the NPD had yet to be received.

6.19 The number of serious incidents for Gwent merited some attention, as less than half this number had been reported in the rest of Wales in the most recent period. An examination of the cases from April 2000 to September 2001 showed that in two instances the offences did not automatically fall within the requirements of Probation Circular 71/1998. However, they were right to include these cases because they were likely to attract media interest. By reviewing such incidents the Board would be able to give informed answers to questions posed by the press. All other cases appeared to be clearly within the remit of the circular and Gwent managers had some good reason for believing that the low numbers in other areas of the country might represent under-reporting.

6.20 Although the Board received individual reports on serious incidents there was no system for providing an annual report. Such a report would enable the Board to satisfy itself that it was receiving reviews on the appropriate cases, as well as providing a summary of learning points from the year. In addition, the area needed to disseminate the findings of management reviews of serious incidents to all relevant staff in order to ensure that risk management lessons from them would be learned, with the aim of benefiting practice across the whole area.

Summary and recommendations

6.21 In relation to the effective supervision of offenders assessed as presenting a high risk of harm, the area's main strengths were:

- good overall compliance with national standards
- the PPU was a highly trained and experienced group of staff who were well supported in the management of some complex and difficult work by managers, SPs and consultancy from outside the area
- considerable efforts were being made within the public protection team to supervise the cases according to the level of risk they posed and the standard of observed practice within this team was very high
- sex offenders were being well managed with the police and other agencies, including use of sex offender orders and conditions in licences to protect victims
- a protocol for work with the police was in place and was being updated to reflect the new statutory requirements.

6.22 Areas for improvement were:

- contact levels were not yet good enough
- risk assessment forms were not being completed thoroughly at the commencement of every case
- risk registers were not being monitored regularly to ensure all reviews on high-risk cases were up to date
- the protocol for work with the police attempted to cover both inter-agency arrangements and guidance on the systems to assess and manage risk within the probation area. This was not effective
- with serious incidents, although the findings of individual management reviews were being reported both to the Board and to the staff, an annual overview report was also needed so that any emerging risk management lessons could be learned.

6.23 It is therefore recommended that:

The Board should ensure that:

- ❶ *Compliance with national standards improves for offenders assessed to be high risk, paying particular attention to:*
 - (a) *levels of contact;*
 - (b) *the timeliness and quality of risk management plans;*
 - (c) *enforcement action.*
- ❷ *A monitoring system is established to ensure that four-monthly reviews of high-risk offenders are completed properly and on time.*
- ❸ *New practice guidelines are issued to improve the management of risk. The guidelines to clarify:*
 - (a) *definitions of risk categories;*
 - (b) *procedural arrangements;*
 - (c) *the roles and responsibilities of different units and grades of staff;*
 - (d) *links with other area and multi-agency policies and procedures;*
 - (e) *case recording requirements.*

7. VALUE FOR MONEY AND MANAGEMENT ARRANGEMENTS

- 7.1 This chapter examines and compares performance and unit costs of the various aspects of service delivery of the four areas in Wales. In the area part of the chapter, the management arrangements for planning and reviewing performance and systems for accountability are examined.

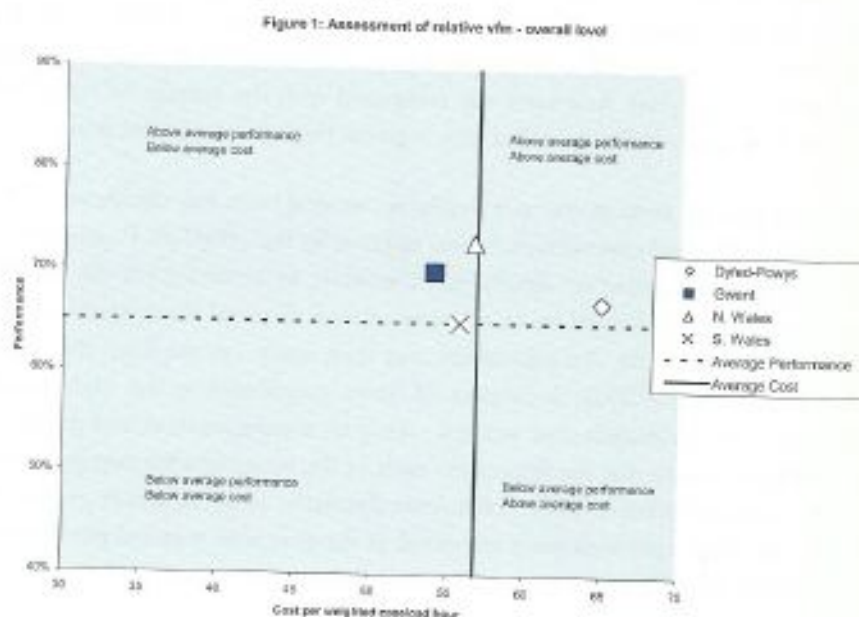
Value for money

- 7.2 The inspection assessed relative value for money between areas by comparing information on area performance and information on the cost of the area.
- 7.3 In respect of performance, a list of indicators was used relating to certain key aspects of the National Standards for the Supervision of Offenders in the Community and KPIs in the four key functions of service delivery; namely, PSRs, the supervision of CROs, CPOs and prison licences. The average performance in these task functions was compared with the average of corresponding performance figures for areas inspected in the other nine regional performance inspections.
- 7.4 In respect of cost, an average cost per weighted caseload hour was calculated. This was done, for each area, by taking the total expenditure figures implied by the 2000/2001 cash limit, adjusted to exclude an estimate of expenditure on family court welfare, as recorded on the RMIS system. This total expenditure figure was divided by an estimate of total caseload hours spent in 2000 on CROs, CPOs and licences, and of PSRs. An adjustment was then made, on the lines also made in the cash limits calculation up to 2001/2002, in respect of items considered in the cash limits calculations to be outside short-term probation area control – i.e. pay, superannuation and property costs. This was in order to seek to ensure that the figures for each of the four areas for cost per weighted caseload hour were on a comparable basis between the areas. Similarly, an average cost per weighted caseload figure hour was calculated across all areas inspected in the first nine regional performance inspections, and the cost figures for each of the four areas (as above) were compared with this.
- 7.5 This provided an overall assessment comparing performance and costs. A similar comparison was made for each of the four categories of service delivery by comparing the average performance with the unit cost figures for the relevant category of work as calculated by HMIP and described in Chapter 1. It was recognised that there were some approximations in this data, which might limit the extent of the conclusions that could be drawn from the figures. However, the information used was the best available data on unit costs of particular area activities.
- 7.6 The above methodology provided an approach both for the area's work overall and for the key functions, to provide an indication of relative value for money. However, the methodology, while reasonably robust, is not precisely accurate nor definitive. It necessarily involves some elements of approximation. The performance data, while relating to certain key aspects of national standards and KPIs, does not for example include reconviction information (in view of the issues referred to in Chapter 1), and covers only some aspects of performance in relation to management of risk of harm. The calculation of average cost per weighted caseload hour also involves a degree of approximation,

partly because work in the four key functions does not account for all the work. Further, while the adjustments made seek to take account of variations in costs between areas which are outside their short-term control, it is possible that there are other factors not fully taken into account. The assessments of relative value for money should therefore be seen as indicators rather than definitive statements, with the performance data probably more accurate than the cost. They should be considered alongside the other material presented in this report. Nevertheless, such relative assessment will raise for Probation Boards and senior management important questions about their current efficiency and effectiveness.

Assessment of value for money – overall

7.7 The positioning of the areas in Wales in relation to the performance and cost averages for the previous nine inspection regions enabled the assessment of relative value for money to be made. Figure 1 shows the assessment of relative value for money for each of the areas in terms of their overall performance in the four key functions.



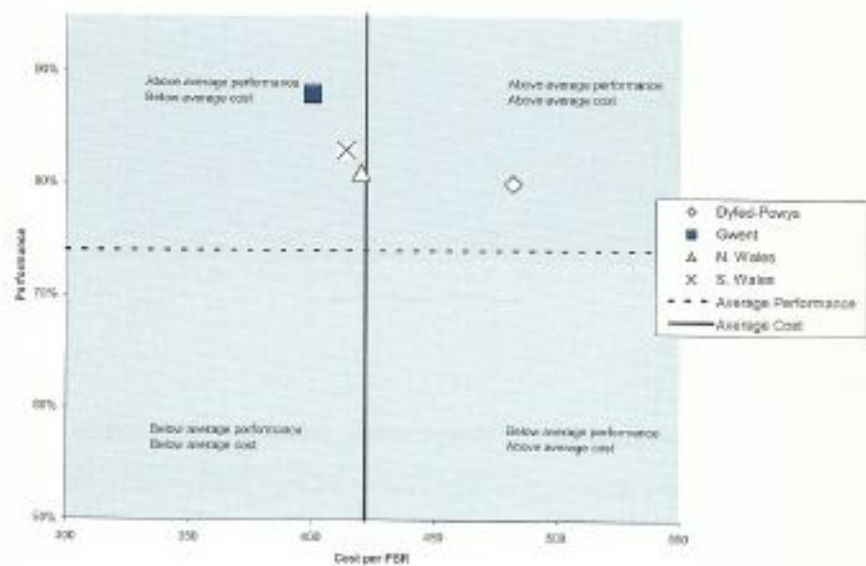
Commentary

- ▶▶ Gwent and North Wales represented the better value for money of the four areas. Gwent showed above average performance and below average costs. North Wales also showed above average performance, and better than Gwent, but about average costs.
- ▶▶ Dyfed-Powys showed somewhat above average performance but clearly above average costs.
- ▶▶ South Wales showed about average performance and slightly below average costs.

Assessment of value for money – key functions

- As well as an assessment of relative value for money at an overall level, an assessment was similarly made for each of the four main categories of work or functions that were examined during the inspection. Average performance on the key aspects of national standards and KPIs for the respective categories was compared with the unit cost figures for the relevant category of work.
- Figure 2 shows the assessment of value for money for each of the areas in respect of PSRs.

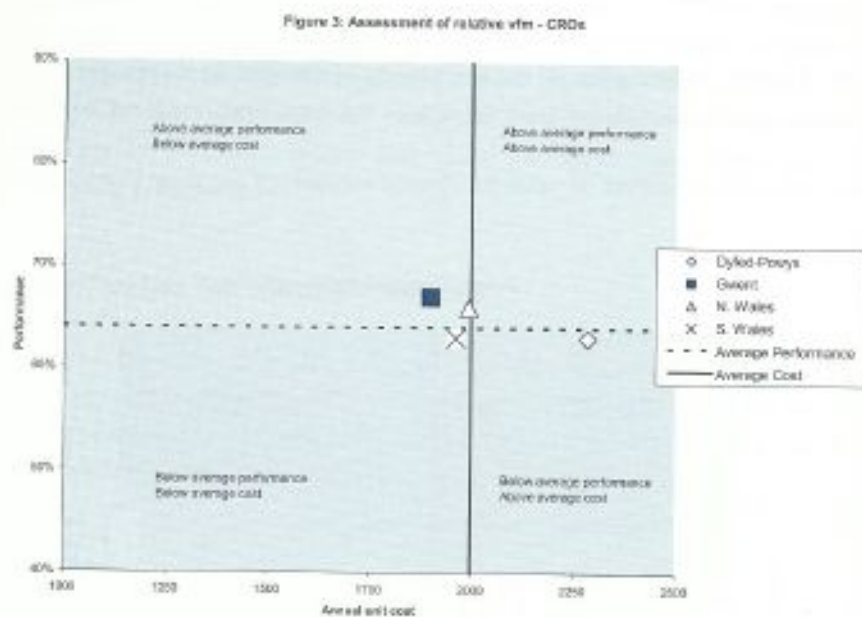
Figure 2: Assessment of relative vfm - PSR



Commentary

- » All of the areas showed performance above the average of previous inspection regions.
- » Gwent showed considerably above average performance and below average costs and represented the best value for money on this aspect.
- » South Wales also showed above average performance and somewhat below average costs.
- » North Wales showed above average performance and slightly below average costs.
- » Dyfed-Powys similarly showed above average performance but also showed above average costs.

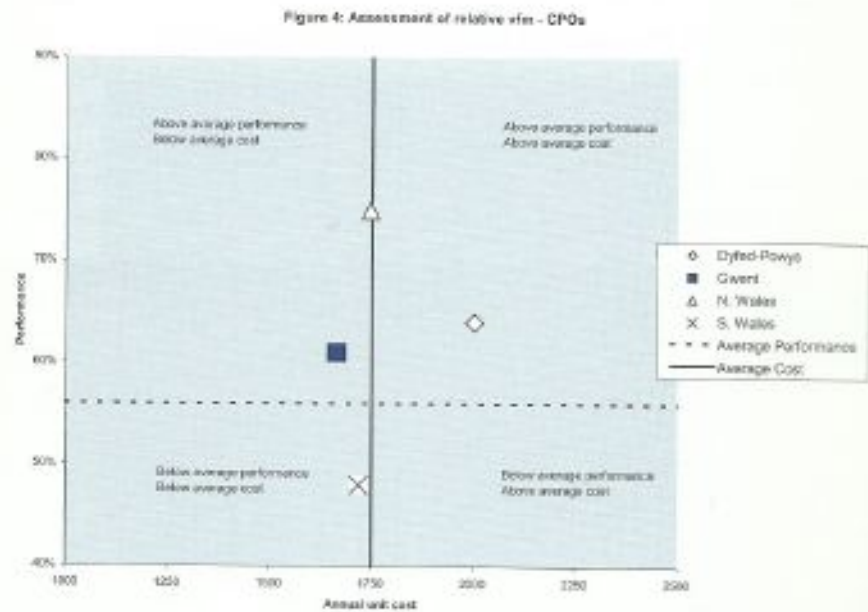
7.10 Figure 3 shows the assessment of value for money for each area in respect of CROs.



Commentary

- ▶▶ Gwent showed somewhat above average performance and below average costs.
- ▶▶ North Wales also showed somewhat above average performance and about average costs.
- ▶▶ South Wales showed about average performance and somewhat below average costs.
- ▶▶ Dyfed-Powys also showed about average performance but above average costs.

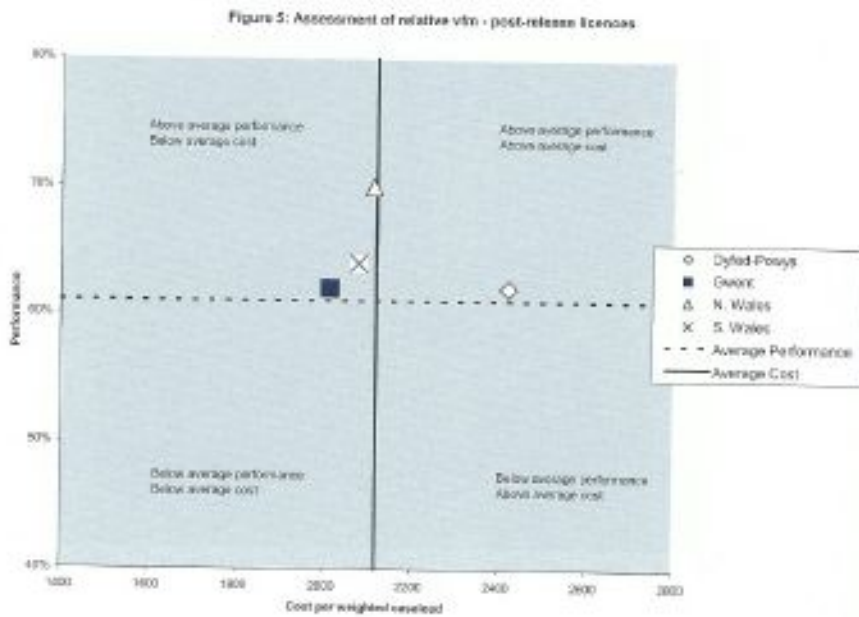
Figure 4 shows the assessment of value for money for each of the four areas in respect of CPOs.



Commentary

- North Wales showed considerably above average performance and about average costs and represented the best value for money on this aspect.
- Gwent showed somewhat above average performance and below average costs.
- Dyfed-Powys showed above average performance but considerably above average costs.
- South Wales showed below average performance and below average costs.

7.12 Figure 5 shows the assessment of value for money for the four areas in respect of post-release licences.



Commentary

- ▶▶ North Wales showed considerably above average performance and about average costs.
- ▶▶ South Wales showed above average performance and somewhat below average costs.
- ▶▶ Gwent showed about average performance and below average costs.
- ▶▶ Dyfed-Powys also showed about average performance but considerably above average costs.

Partnerships

- 7.13 Probation Circular 9/1997 required that areas spend a minimum 7% of budget on partnership agencies. From 1 April 2001 the expenditure target figure was removed, although Probation Circular 77/2000 expected that partnership organisations would continue to play a significant part in the delivery of services to offenders.
- 7.14 The following table shows the services provided by partnership arrangements across the region and the percentage of budget spent by previous committees on partnerships in the last operational year.

**TABLE 49:
PARTNERSHIP ARRANGEMENTS: PROPORTION OF TOTAL BUDGET SPENT ON PARTNERSHIPS 1999/2000; AND
PROPORTIONATE SPEND OF PARTNERSHIP EXPENDITURE BY TYPE OF WORK**

	DYPED-POWYS	GWENT	NORTH WALES	SOUTH WALES
% TOTAL BUDGET SPENT ON PARTNERSHIPS 2000/2001.	6.7%	6.3%	6.2%	6.5%
PERCENTAGE OF EXPENDITURE ON PARTNERSHIPS 2000/2001 SPENT BY TYPE OF WORK:				
- DRUG MISUSE	10%	15%	22%	19%
- OFFENDER ACCOMMODATION	25%	21%	16%	39%
- ALCOHOL ABUSE	11%	2%	7%	4%
- DEBT COUNSELLING AND ADVICE	3%	-	-	6%
- RTR	-	31%	33%	15%
- FAMILY COURT/MEDIATION/ACCESS CENTRES	7%	13%	5%	3%
- VOLUNTEER RECRUITMENT/TRAINING/SUPPORT	23%	-	-	-
- PROFESSIONAL CONSULTANCY TO STAFF	-	-	-	1%
- OTHER	20%	18%	17%	13%

Commentary

- None of the areas had clearly met the Home Office partnership expenditure target of 7% in 2000/2001.
- In two of the areas offender accommodation comprised the largest single item within the partnership budget.

FINDINGS FOR GWENT

The operation of the Probation Board and financial management

- 7.15 The Probation Board had assumed its responsibilities in April 2001. The area was rightly proud of its achievement of gaining two significant quality awards. The former Gwent service had first been recognised as an Investor in People in March 1998, and this had been subsequently confirmed in reviews in May 2000 and July 2001. Early in 2001 the area had also made a bid to receive the prestigious Charter Mark, and this was successful. These were significant achievements by an area, with an acting CO and an acting ACO at the time, during a period of considerable change both nationally and locally.

- 7.16 The Board had four continuing members from the former employing committee including the former Chair and had met monthly since April 2001. There had been significant amounts of induction and training for members, and much time given to establishing new working arrangements. The Board had resolved to establish 11 subcommittees to cover a wide range of support and service delivery topics. These were being scheduled to meet either quarterly or bi-monthly. ACOs attended most Board meetings and decisions were about to be taken concerning the amount of their time the new sub-committees would be able to use in addition to any extra administrative support that was being requested. It was of concern that the meeting structure for the Board and its subcommittees might prove to be disproportionately large for the size of the organisation and its available resources.
- 7.17 The secretary to the Board was the ACO (Support Services). It was a contract for additional hours for which an honorarium was paid. For the former committee this role had required about four hours per week, but for the new Board it was requiring at least double that, in addition to the training commitments that had proved substantial in the first year. Legal and property services were purchased from private companies on an 'as needed' basis without payment of a retainer.
- 7.18 The treasurer to the Board was a senior officer with one of the local unitary authorities and member of CIPFA. She attended about half of the Board meetings. She took formal responsibility for the work done by the area's finance managers, was regularly consulted, but otherwise her role was not 'hands on'. The arrangements for both secretary and treasurer, established in April 2001, had been intended to be interim pending receipt of any advice nationally, and were about to be reviewed. One matter for the imminent review was to establish how the treasurer would in practice enable the CO to fulfil her role as accountable officer.
- 7.19 In business planning terms, the former committee had operated a formal cycle of meetings with key business scheduled into the dates a year in advance, which was further supported by a system of management review meetings with an identified lead senior manager to report. The Board appeared to be maintaining this cycle (although there was no formal document for the current year), which was a significant strength.
- 7.20 Financial planning and management were mainly undertaken by the ACO (Support Services) and the finance manager. Strategic plans were drafted and then checked with the treasurer. The area had adapted to the new arrangements of receiving grant direct from the Home Office instead of through Newport County Borough council as previously. The new system meant that additional attention had to be paid to cashflow matters during the financial year and considerable additional attention to managing the end-of-year accounts. Strategic carry-forwards would no longer be permitted under the new arrangements and the Board had already received early indications of the options for managing wisely the potential underspend.
- 7.21 The area's cash limited budget for 2001/2002 was set at £4,875,000, but the addition of the sums allocated for DITTOs and PAGS increased the total to £5,471,000. However, this figure had in turn been supplemented by two further sums. First was an allocation from the NPD of £55,000 in respect of the VAT that the Board is no longer able to reclaim from Customs and Excise. Second was a figure of £64,300, which represented the underspend from 2000/2001 that the area was permitted to carry forward. Gwent was historically an 'underfunded' probation area which, as a consequence of the damping mechanism, was still relatively underfunded. The phased easing of the damping mechanism meant that an above average budget increase for Gwent had been gained in 2001/2002, notionally

25% but in practice 16% following the transfer of family courts welfare. A further substantial increase of over 20% was scheduled for 2002/2003.

- 7.22 District Audit provided the external auditors. A management letter was presented to the committee (now Board) each year on its stewardship of public money, and at least one 'value for money' study was made each year in addition. The management letter for the year 1999/2000 had been very positive with no recommendations for action, an impressive achievement. The auditor was aware of the major changes in organisational and financial arrangements in the current financial year, and had identified the potential risks in a report to the Board in April 2001. However, she was able to indicate that, even though there were matters to which the area would need to be alert under the new financial arrangements, this year's management letter would again be a positive one. The most recent value for money report had been completed in April 2001 and reviewed the area's partnership agreements. It found that clear agreements had been prepared for each relevant service and each had appropriate controls, but made three recommendations on details of format and content.
- 7.23 Overall, the Board's arrangements for financial management appeared very sound and cost-effective. Consideration should be given to whether the full costs of its proposed system of business planning, especially the 11 subcommittees, are proportionate to the likely benefits to be gained for an organisation of this size.

Organisational structure and management arrangements

- 7.24 Although Gwent was not an amalgamating area within the modernisation programme, it had experienced some disruption during the two years prior to the inspection. At the end of 1999 the previous Chief Probation Officer had been asked by the Home Office to take on, as a secondment, the management of a neighbouring larger probation service. One of Gwent's ACOs became acting CO, and one of the DMs was appointed an acting ACO. The interim nature of these arrangements did not come to an end until the autumn of 2001, when the acting CO gained the substantive CO post, and the acting ACO gained the substantive ACO position. The senior management team now comprised three ACOs – one for support services and two for largely, but not exclusively, service delivery matters. Unfortunately one of the service delivery ACOs was absent for a substantial period during 2001 due to sick leave.
- 7.25 There were eight operational units in Gwent, providing an area-wide service for specific operational functions such as CP or offender intervention. Each was headed by a DM. Although some units such as those with responsibility for DTTOs or CP were based in just one location, most of the units had staff based in different offices across the area. A DM was located in each of the office centres and served as the local representative of the Gwent Probation Area in that locality.
- 7.26 An overview of some of the operational costs and benefits of the system of functional specialist units has already been given in an earlier chapter. Should the system be retained in future, the area might wish to consider how the operational difficulties, already discussed, might be reduced. A further problem arising from the system, that of inequitable workloads, also required attention. The distribution of unit staff across a number of locations, coupled with occasional vacancies, could lead to difficulties. An example was identified where a resettlement officer had a low workload while a new officer supervising community supervision cases in the same unit and location was overloaded.

Because the unit manager was not based on the same site as most of the operational staff in that unit, this could lead to a lack of oversight of the distribution of cases.

- 7.27 However, the need for a strategic approach to workload allocation did not arise primarily from such instances. Gwent had made a point of determining that resources would follow risk. Accordingly there was a need to be able to determine how many staff were to be allocated to each function and how to maintain such allocations fairly as workloads fluctuated and as staff joined and left. There was a clear need for an improved system of workload management to enable equitable distribution of work to staff both within and across service delivery units.
- 7.28 An additional task facing the area was to find a way of managing rising workloads at a time when the traditional qualified PO was increasingly in short supply. The area was considering expanding the role of the PSO but had not yet determined how this would be defined. It was becoming an increasingly pressing matter to resolve as demands continued to increase, and the revenue budget for the year 2002/2003 allowed for staffing growth. The area needed to identify the roles that could be properly undertaken by PSOs and to prepare a staffing and development plan to make best use of this growing group of staff.
- 7.29 Alongside all the other probation areas in the National Probation Service, the Gwent area undertook a first self-assessment under the European Excellence Model in the summer of 2001. This was undertaken in a well-organised manner and proved to be a positive experience involving a wide range of Gwent area staff. The score identified was 330, a very creditable score on a first assessment.

Strategic planning and performance monitoring

- 7.30 Evidence from the year 2000/2001 confirmed that senior managers and the former committee had established and maintained a clear business planning cycle with an annual report and linked service plan. As required by the NPD, an area plan for the three years 2001/2004 had been prepared, which referred both to levels of performance to date and to the targets being set for performance for the year ahead. DMs were then required to prepare unit business plans, a process completed in May 2001, and to report on progress achieved both halfway through the year (November) and at the end. The plans and the 'mid-term reports' both showed the aspiration of managers to setting objectives and seeking to achieve them.
- 7.31 The outstanding weakness in the year 2001/2002 was in the system for monitoring and reporting performance. This was not a technical problem because, although the severe limitations of CRAMS have been well documented elsewhere, the system combined with the Hummingbird reporting software was capable of producing the required reports. Instead the problem was with the management of the process. Targets had been set of 90% achievement of key national standards, but it had not been clearly identified which sets of reports and cases would be measured, when and by whom, in order to determine whether targets had been achieved. There was an assumption that the information system would produce the required reports and on a quarterly basis, but no format for these reports had been defined by senior management. A draft format could have been designed so that presentation of the figures to Board members and staff alike would focus attention on comparing the figures achieved with the set targets. Furthermore, there was little evidence of any commitment

throughout the organisation to ensure that data entry would be consistent enough to enable the production of reliable reports.

7.32 The memorandum produced by the information manager in November 2001, outlining the 'figures' from the first two quarters of the year, reported problems with significant numbers of missing data and, consequently, gave incomplete information about the performance results. A further problem was that some DMs used local monitoring to report their unit's progress against the same targets in their mid-term reports and this created the potential for confusion. Staff needed to be clear which sets of figures 'counted' when determining whether or not targets had been achieved and should not have been allowed to believe (by implication) that the answer to missing data on the area system was to create an alternative system. At the time of the inspection the new national system for monitoring achievement of national standards was just becoming established. This offered the opportunity for managers to clarify with staff precisely how progress against targets was to be measured in future.

7.33 It was apparent from inspectors' discussions with teams across the area that staff aspired to achieve quality in their work, including meeting national standards. However, few were able to state in exact terms what the key area targets were or how they were measured. Nor did they demonstrate an understanding of the dividing line between meeting a particular standard and failing to meet it. Combined with the problem of having significant gaps in data entry this indicated that while Gwent staff displayed a good 'quality culture', this was not yet complemented by a strong 'information culture'. When the latter was achieved the Gwent area would have established a genuine 'performance culture'. Such a culture would provide the basis for the organisation to achieve real continuous improvement.

Race and other diversity issues

7.34 One ACO held policy responsibility for diversity issues. The Board had inherited an equal opportunities policy from the predecessor committee, and had formally adopted this at its first meeting in April 2001. One of its 11 subcommittees was for equal opportunities and diversity. It was one of the area's seven 'core priorities' in the Area Plan 2001/2004, both to implement the HMIP recommendations from the report *Towards Race Equality* and to pursue the Home Secretary's objectives for increasing minority ethnic representation within the probation service. The Board had requested and received a number of reports on the information collected at its July and September 2001 meetings.

7.35 In addition to the personnel policy aspect of this work, there were elements that related to service delivery practice. There was an established commitment to ensure that race and ethnic monitoring was completed on all offenders on first contact. The main weakness identified during the inspection was that while in some parts of the area offenders were being asked to identify their own race and ethnic classification by means of the 'script' (originally approved nationally in 1993), in other parts of the area there had been a drift towards the member of staff making the decision. The area needed to ensure proper adherence to the nationally approved method of identifying the race and ethnic code for each offender.

7.36 The level of commitment to addressing diversity issues shown in many parts of the organisation was very positive for an area where the minority ethnic population was almost entirely located in one part

of the area (Newport); a welcome finding. This was demonstrated in the way that numerous discussions across the area were able to display awareness of the issues involved. Furthermore, there was an example of an action plan from the OAU in which a number of elements specifically aimed at improving and demonstrating fair access to service for minority ethnic offenders. Practice interviews had also revealed examples of the willingness of staff to challenge racist attitudes expressed towards two offenders.

- 7.37 Gwent also took its duties under the Welsh Language Act seriously and with enthusiasm. Documents were bi-lingual in format, letterheads offered the availability of translation and customer answering was unfailingly bi-lingual. Interpreters could be made available for interviews whenever requested, although staff could recall only one or two examples of a Welsh interpreter being used. But it was evident that both at management and at practitioner level this matter was taken seriously and some staff had utilised the opportunity, made available by management, to take up personal Welsh speaking.
- 7.38 It was also of credit to the area that interpreters for other languages were provided whenever they arose. All staff interviewed had confidence in this provision and a couple of examples were given when an interpreter had been needed for an Asian language and satisfactory arrangements had been made.
- 7.39 A shortcoming in the area's commitment to race equality and diversity issues was a lack of sufficient information to demonstrate that equity in service delivery was being achieved. The last of the September 2001 reports to the Board contained many tables and figures, and some committees did not provide sufficient focus for action. To test whether or not offenders were being treated fairly, for example in PSR proposals and access to accredited programmes, comparative information would be collected over a period of time for similar groups of white and minority ethnic offenders. This approach could and should also be applied to male and female offenders. By these means the Board would be able to undertake analyses of the information collected to demonstrate the extent to which minority ethnic and women offenders are receiving fair access to services.

Staff supervision and appraisal

- 7.40 The Board had inherited a staff appraisal policy from the predecessor committee and had recently adopted this at its first meeting in April 2001. One of its 11 subcommittees was the 'Human Resources'.
- 7.41 A very strong culture was in evidence from discussions with all staff up to and including the Board. Appraisals were important. Regular individual supervision meetings for each postholder were a strong expectation. Appraisal was the responsibility of the DM and supervision meetings were undertaken by the SP. This arrangement was about to be reviewed, although DMs and SPs described it as generally working well. The majority of managers and service delivery staff reported that they conducted supervision meetings, with written notes, as well as annual appraisals.
- 7.42 The main weaknesses for the area were that there was no system that recorded and measured the proportion of appraisals completed each year, and the European Excellence Institute assessment had suggested that supervision was less widespread among clerical and administrative

Nevertheless, the strengths of Gwent's supervision and appraisal practice clearly outweighed its weaknesses.

Value for money

The graphs on value for money provide an indication of the relative costs combined with the performance of the area, in overall terms and for each of the four main categories of work. The main findings were:

- considerably above average performance and below average costs in respect of PSRs, the best value for money in Wales for PSRs
- somewhat above average performance and below average costs for CROs
- somewhat above average performance and below average costs for CPOs
- about average performance and below average costs for post-release licences.

The overall assessment was above average performance and below average costs. The findings for below average costs were primarily a reflection of Gwent's historic under-funding due to the application of the former damping mechanism to the cash-limited budget formula. Nevertheless, it was of credit to the area that a strong level of performance was achieved when resources in terms of both cash and staff were not in generous supply.

Partnership policy

The Board had inherited a partnerships strategy policy from the predecessor committee and had formally adopted this at its first meeting in April 2001. One of its 11 subcommittees was a 'partnerships forum'.

The main services for offenders that were being purchased were for drug and alcohol advice, for accommodation advice and provision, for employment, training and education, and for the assessment and treatment of sex offenders. The first three of these services were mainly provided on a 'buyers' basis, often on probation premises, and were generally described by practitioners in reasonable terms. The contracts were well managed in value-for-money terms, according to the April 2001 report from District Audit, but the area had rightly identified in its European Excellence Model self-assessment later in the year that it could improve its method for measuring the performance of partnership organisations. As described earlier in this report, there was still an opportunity to set area targets for improvement in the employment and accommodation status of offenders, and thereby to integrate better into the area plan the contributions to be made to those targets by the relevant partnership agencies.

In addition to the above there were some further creditable initiatives. Alongside other probation areas in South Wales, Gwent purchased from the NSPCC sex offender assessment and treatment services for individuals, as well as for the group work outlined earlier in this report. The area was also

in partnership with NSPCC on a Domestic Violence Prevention Service, and a report dated October 2001 indicated which offenders had been referred and the outcomes of those referrals.

Collaborative arrangements

7.48 There was a strong tradition in Wales of links between the former Welsh services. In recent years the main evidence of these links were the training consortium for the recruitment, selection and training of new POs, and the IT consortium. This latter collaborative arrangement had been given the name 'South Wales Consortium' long before the creation of the South Wales Probation Area, and in the post-April 2001 world this name made its role open to misinterpretation. It had nevertheless been a valuable initiative, whereby the former services covering Dyfed, West Glamorgan, Mid Glamorgan and Gwent had coordinated their IT strategies and shared a CRAMS server. This consortium had also taken on wider tasks, such as the implementation of a PSR template. The method whereby its work was managed by the senior managers and Boards of the member areas was not clear.

Summary and recommendations

7.49 In relation to value for money and management arrangements, the area's main strengths were:

- effective financial management and budgetary control
- a clear structure and timetable for business planning
- well-established and implemented systems for both the supervision and appraisal of staff, though this needed to be monitored systematically
- objectives in many appraisals that related to the area's or unit's business plan
- a 'quality culture' where staff clearly aspired to achieve high quality, including national standards results
- achievement of both Investors in People and Charter Mark
- a very good initial assessment under the European Excellence Model.

7.50 The areas for improvement were:

- the need for more focused targets, systematically monitored, with clearer regular performance reports
- the need to develop an effective information culture and thereby create a true performance culture of continuous improvement
- although race and ethnic origin was being recorded and reported, there was insufficient information to demonstrate fair access to service
- the need to complete the review of its staffing arrangements and in particular to develop the role of the PSO in service delivery
- inequitable workload distribution between units and within at least one unit.

It is therefore recommended that:

The Board should ensure that:

- *Regular performance information reports benchmarked against targets are produced to enable the Board to hold senior managers to account for the area's performance.*
- *Performance information reports are analysed at unit level and used by staff to improve results.*
- *Effective arrangements for monitoring race and gender equality in service delivery are established, paying attention to:*
 - (a) *adherence to the nationally approved method of identifying the race and ethnic code for each offender;*
 - (b) *analyses of the information collected to demonstrate that minority ethnic and women offenders are receiving fair access to services.*
- *Staffing arrangements are reviewed and the role of the PSO in service delivery developed.*

3. THE NEXT STEPS

82 This report has been submitted to the Secretary of State and copies provided to the Director of the National Probation Service, the Probation Board and CO. Copies have also been made available to the press and are on the web site of HMIP at:

<http://www.homeoffice.gov.uk/cpg/hmiprobhome.htm>

83 The report makes a number of recommendations which are designed to encourage the area in its work, to take further some of its own good practice and to promote improvements in quality and effectiveness in the future.

84 The Inspectorate will meet the Board to discuss the findings and recommendations. The Board will be asked to send a response to the recommendations, together with an action plan, within three months of the publication of the report. It is anticipated that the recommendations will normally be implemented within 12 months of the publication of the report, which should allow sufficient time for integration with existing developments.

85 For all areas follow-up inspections are conducted about 12 months after publication of the report to ensure that progress has been made in implementing the recommendations. HM Chief Inspector of Probation has decided that the resources of HMIP in its follow-up programme should be focused on those areas whose performance was least satisfactory in the PIP. The content and length of any follow-up inspection depends on the issues that require examination. All follow-up reports are published. Decisions about the level of follow-up are based on the following criteria:

- performance against the Home Office KPIs and the area's own targets
- performance against national standards
- performance in relation to observed practice, to include issues such as public protection and the impact of supervision on offender behaviour
- achievement of value for money, including the use of partnerships
- achievement of equitable service delivery
- leadership and management arrangements to plan and review performance to achieve improvements
- any other factors which may have contributed to a particularly good or poor performance.

86 There are three categories of follow-up inspection:

1. **A paper-based follow-up inspection** for areas which were generally performing satisfactorily, and where strengths clearly outweighed weaknesses, or where there was evidence that weaknesses were being well addressed: the area will be required to submit a written report identifying the progress made on the recommendations in the PIP report supported by management information. HMIP will only visit the area if this material raises issues of concern.

2. **A standard follow-up inspection** for areas where weaknesses were fairly equally balanced with strengths: the area will be required to submit a written report identifying the progress made on the recommendations in the PIP report supported by management information. HMIP will visit the area to inspect the progress made on the recommendations.
 3. **A full follow-up inspection** for areas where weaknesses clearly outweighed strengths: the area will be required to submit a written report identifying the progress made on the recommendations in the PIP report supported by management information. HMIP will visit the area and conduct additional work as necessary, giving particular attention to the key weaknesses identified.
- 8.6 Follow-up work is undertaken, where possible, by the lead inspector and an inspector who was not involved in the original inspection. Requests for advance information will be made in good time. All follow-up inspections include an examination of performance data. If progress in meeting the recommendations in the PIP report is assessed as insufficient, HMIP may determine that a further follow-up inspection is necessary.
- 8.7 HM Chief Inspector of Probation has determined on the basis of this performance inspection that the Gwent Probation Area requires a **paper-based follow-up inspection**, given that the area's strengths clearly outweighed its weaknesses.
- 8.8 The following were the area's main strengths:
- above average performance against national standards
 - good performance in relation to observed practice
 - very good value for money, with above average performance and below average costs
 - a keen commitment to equitable service delivery
 - a clear and well-led business planning cycle
 - a strong commitment to supervision, appraisal and development of staff
 - its quality awards and first European Excellence Model assessment, reflecting a 'quality culture'.
- 8.9 The main areas for improvement included:
- the need for a system of regular, well-structured and well-presented performance reports, benchmarked against targets
 - the need for a greater commitment to data entry, together with an 'information culture' to help the area to develop a true performance culture of continuous improvement
 - a range of detailed practice matters, in relation to achievement of national standards, management of CP, and risk assessment and management, covered in the recommendations above.

The role of the Inspectorate and the aims of the Performance Inspection Programme

The Inspectorate is part of the Home Office, reporting independently to the Secretary of State and contributes to the achievement of Home Office Aim 4:

to deliver custodial and community sentences to reduce reoffending and protect the public and specifically to the Criminal Policy Group's objective:

to deliver effective custodial and community sentences to reduce reoffending and protect the public, through the prison and probation services in partnership with the Youth Justice Board.

By fulfilling its inspection programme aims and objectives, the Inspectorate aims to:

- assure the Secretary of State and through him, Parliament and the public that local probation areas are carrying out their task properly and efficiently having due regard for economy in the use of public funds
- encourage individual probation areas to adopt the best standards of management and probation practice and deliver services of the highest quality to courts and the public.

Inspectorate programmes are designed specifically to fulfil this challenging remit. They do so through the regular inspection and open publication of reports on individual probation areas and specific issues of concern. Consequently, the Inspectorate:

- inspects the outputs and performance of the probation area and allied organisations, assessing quality and value for money
- checks that the services received by the courts, offenders and the public are delivered in the most effective way possible and meet the needs of those whom they serve
- promotes the highest standards of management and practice
- advises the Home Office on probation and allied matters.

The Inspectorate is committed to the Home Office policy of equality of opportunity for all, regardless of ethnic origin, religious belief, gender, sexual orientation, marital status or disability. An equal opportunity dimension informs all the work of the Inspectorate.

The overall aim of the PIP is to:

- assure the Secretary of State that each probation area is providing high quality, effective services and value for money.

The specific objectives of the PIP are to:

- (a) ensure that the quality of service received by users in each probation area is improving in accordance with declared standards;
- (b) ensure that each probation area is able to become more effective in carrying out its duties;

- (c) ensure that each probation area is able to improve its efficiency and value for money in the use of resources;
- (d) publish timely reports which promote these objectives.

The Inspectorate believes that comparative information about areas within a region should be available and published as a prelude to improving performance and effectiveness and as a vehicle for spreading good practice.

Standards for achieving quality and effectiveness of service delivery nationally are contained in the National Probation Service Aims and the Home Secretary's Priorities and Action Plan, issued annually, and the National Standards for the Supervision of Offenders in the Community. National standards are designed to improve accountability, consistency, good practice and area effectiveness.

In addition to performance data, unit cost information for a variety of activities enables commentary about value for money.

The Inspectorate also undertakes other tasks including:

- policy advice: providing high quality advice, based on inspection findings, to Ministers, the NPD, Home Office, and others. All inspectors have responsibility for providing advice on one or more specific subjects under the overall coordination of the chief inspector
- carrying out short-term enquiries into high profile issues affecting either the National Probation Service or local probation areas.

At the completion of each inspection a report is published, copies of which are available (price £10 including postage) from:

*Home Office Publications Section
Room 856
50 Queen Anne's Gate
London
SW1H 9AT*

The Inspectorate is a public body. It is open to members of the public to raise with it matters which fall within its remit. Anyone who wishes to comment on an inspection, a report or any other matter affecting the Inspectorate should write to:

*HM Chief Inspector of Probation
50 Queen Anne's Gate
London
SW1H 9AT*

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