



HM Inspectorate of Probation

*Effective
Supervision
Inspection*

CRITERIA

2003

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INTRODUCTION

The *Effective Supervision Inspection Criteria* cover each of the areas to be addressed in the inspection, and give examples of the evidence that should be provided either in advance or during the course of the fieldwork in the probation area concerned.

The criteria have been divided into four main sections and the scores assigned for each category are:

Section A:	Quality of Management	(20%)
Section B:	Quality of Assessment	(30%)
Section C:	Quality of Interventions	(30%)
Section D:	Quality of Initial Outcomes	(20%)

Following the inspection, marks will be assigned to each criterion and a scoring summary sheet will be completed showing the total for each of the sections. The score for each section will be expressed as a percentage and this will then be multiplied by the appropriate factor to take account of the relevant weightings given above.

GLOSSARY

ACE	Assessment, Case Recording and Evaluation System
CO	Chief officer
CPO	Community punishment order
HMIP	HM Inspectorate of Probation
LSI-R	Level of Service Inventory-Revised
MAPPA	Multi-Agency Public Protection Arrangements
NPD	National Probation Directorate
OASys	Offender Assessment System
OGRS2	Offender Group Reconviction Score2
PSR	Pre-sentence report
SDA	Service Delivery Agreement
SMART	Specific, Measurable, Achievable, Realistic and Time-Bounded
SSR	Specific sentence report

SECTION A

QUALITY OF MANAGEMENT

A1 Leadership and planning

Description:

The Board and CO lead the area in the achievement of national targets and implementation of national policies through the production of local policies and procedures which are regularly monitored and reviewed. Areas are enabled to work efficiently and effectively by the NPD who develop national targets and policies in line with Ministerial priorities and provides guidance and resources. The senior management team is committed to the implementation of national and local targets and priorities, including What Works strategies, risk management and promoting diversity.

Evidence to be provided:

- The area's business plan builds on the national plan, gives priority to Government objectives, including SDA targets, is implemented consistently throughout the area and regularly reviewed.
- SDA and other Government targets are met.
- Race equality and wider diversity issues are an integral part of the strategic planning process, regularly monitored against agreed criteria and progress reported to the Board.
- Performance against national and local targets is monitored routinely and used to improve results throughout the area and hold managers to account.
- Policies and procedures to support agreed national and local objectives are developed, communicated to staff at all levels of the organisation and regularly reviewed.
- Action by the NPD supports and holds the area to account for its leadership and planning processes.

A2 Resource allocation

Description:

The area demonstrates a strategic approach in allocating resources to deliver effective performance and shows positive results in relation to value for money.

Evidence to be provided:

- The area targets resources to ensure the effective delivery of national and local policy and strategy.
- Workload prioritisation and allocation decisions are made according to clear criteria, in line with SDAs and other national priorities, and are communicated to all staff.
- The area allocates resources to support race equality and wider diversity initiatives and monitors their impact.
- HMIP, NPD and relevant audit bodies assess the area as delivering value for money.
- Action by the NPD supports and holds the area to account in meeting the above.

A3 Management and supervision of staff

Description:

The Board and CO have human resources planning strategies that ensure delivery of effective supervision to offenders.

Evidence to be provided:

- Human resources and workforce planning arrangements are reviewed and regularly updated to ensure that the staff profile enables the effective supervision of offenders.
- All staff are regularly supervised and subject to an annual appraisal, linked to the area business plan.
- Workload and performance data are used to produce divisional, team and individual targets.
- Staff are given appropriate training in assessment tools, the interventions available locally, risk of harm management, victim awareness, and race equality and wider diversity issues.
- The Board operates with full regard to the Race Relations (Amendment) Act 2000 and wider diversity issues in respect of employment, undertakes ethnic monitoring of staff as required by the NPD and contributes appropriately to the Home Secretary's race equality employment targets.
- Action by the NPD supports and holds the area to account in meeting the above.

A4 Partnership/contracting out

Description:

The Board and CO have strategies and procedures in place to ensure that the area's partnerships with both voluntary and statutory agencies support service delivery and are value for money.

Evidence to be provided:

- Partnership work is addressed at a strategic level to ensure that both voluntary and statutory agencies support the effective supervision of offenders and represent value for money.
- The quality of delivery of services by partnerships is systematically assessed, monitored and reviewed.
- Reliable and timely information is available on the proportion of the budget spent on partnerships, including arrangements involving the deployment of staff, and is used to assess value for money and the future provision of services.
- External partnerships are developed, as appropriate, to support work with minority groups.
- Arrangements are in place to assist offenders in obtaining appropriate accommodation.
- Action by the NPD supports and holds the area to account in meeting the above.

A5 Effective communication with sentencers

Description:

There is high quality, proactive communication by the area, supported by the NPD, with local sentencers and clerks to the justices about the supervision of offenders and the provision of reports.

Evidence to be provided:

- Protocols have been established with local courts, particularly on the availability of PSRs, SSRs and stand down reports.
- There is effective and regular communication with both magistrates' courts and the Crown Court including, as appropriate, presentations to sentencers and information leaflets.
- Information about sentencers' satisfaction with the area's work is regularly available.
- Action by the NPD supports and holds the area to account in meeting the above.

SECTION B

QUALITY OF ASSESSMENT

B1 Assessment of risk of harm

Description:

Risk of harm is satisfactorily assessed using an approved instrument (OASys where available), specialist assessment tools, where relevant, and draws on MAPPA, other agencies' and previous probation service assessments.

Evidence to be provided:

- Risk of harm is assessed at the start of supervision and then at least every four months or following any significant incident that might give rise to concern.
- The overall quality of each risk assessment is satisfactory, draws on MAPPA, agencies' and previous probation service assessments, and covers victim issues where appropriate.
- The system for internal and MAPPA risk classification and registration is clearly stated and communicated to all relevant staff.
- In high and very high risk of harm cases, risk management plans are completed within five working days of the order being made, the offender's release from prison, or being assessed as high risk of harm. Their overall quality is satisfactory.
- There is a close 'fit' between the interventions planned and the assessed risk of harm.
- In high and very high risk of harm and child protection cases there is evidence of higher and middle management involvement in the assessment.

B2 Assessment of likelihood of reoffending

Description:

The likelihood of reoffending and criminogenic factors are satisfactorily identified and assessed using an approved instrument (OASys, OGRS2, LSI-R, ACE).

Evidence to be provided:

- The overall quality of the assessment is satisfactory.
- There is a clearly identified likelihood of reoffending score.

B3 Case management

Description:

The case is managed effectively and interventions coordinated to enable criminogenic factors to be addressed and any risk of harm managed. The initial supervision plan or CPO assessment takes account of the PSR, SSR or sentence plan in licence cases, and describes an overall plan of work for each offender, in line with the assessments of risk of harm and need and the likelihood of reoffending,

Evidence to be provided:

- The initial supervision plan or CPO assessment draws on MAPPA, other agencies' and previous probation service assessments, and meets the requirements of national standards.
- OASys or another recognised assessment tool is used to inform the supervision plan.
- In relevant cases the plan integrates the MAPPA action plan, or the action plan from another risk management meeting or child protection conference.
- SMART objectives are set for the offender taking account of the risk and need assessment.
- Liaison responsibilities with all those involved in supervision are clearly identified, especially in relation to high risk of harm and child protection cases.
- Appropriate interventions are identified to address offending behaviour and community reintegration.
- Plans are sensitive to factors relating to race and other diversity issues.
- The plan is clearly communicated to the offender so that they have the opportunity to participate actively in the planning process and understand the requirements of the order or licence.

B4 Documentation

Description

All relevant documentation is available and has been satisfactorily completed.

Evidence to be provided:

- Case records are well organised and contain all relevant documentation, including the required race and ethnicity monitoring information.
- The recording of information is clear and sufficient.
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SECTION C: QUALITY OF INTERVENTIONS

C1 Managing attendance and enforcement

Description:

Contact with the offender and enforcement of the order or licence is planned and implemented to meet the requirements of national standards.

Evidence to be provided:

- The frequency of the appointments or work sessions arranged conforms to, at a minimum, national standards and the requirements of the order or licence, and is sufficient to meet any risk of harm considerations.
- Offender attendance across all interventions is monitored by the case manager with appropriate action taken, where necessary, to ensure compliance.
- Judgements about acceptability/unacceptability of absences are appropriate.
- Action on breach/recall if required takes place within the agreed national standards timescale. The area meets any national target for enforcement.

C2 Delivering appropriate supervision

Description:

Interventions are delivered to achieve the objectives identified in the initial supervision plan and recorded according to the requirements of national standards. Supervision is prioritised according to an ongoing assessment of risk and need and takes account of previous reviews and work already undertaken by the area and other agencies. Case managers oversee and coordinate the work of other staff and partner organisations and all staff play an active part in motivating and supporting offenders throughout their supervision.

Evidence to be provided:

- Progress against the objectives in the supervision plan is reviewed in line with national standards or more frequently where necessary. Decisions to depart from the plan are recorded and justified.
- SMART objectives are set in the supervision plan review documents.
- Appropriate interventions are carried out, the timing and sequencing reflecting the offender's risk of harm and likelihood of reoffending.
- Accredited programmes are delivered within the required national timescale.
- Appropriate action is taken to implement any additional requirements of the order or licence.
- Where appropriate reviews integrate the MAPPA action plan or the action plan from another risk management meeting or child protection case conference.
- Victim issues are properly addressed and work is undertaken with the offender to raise their awareness of the impact of the offence where there is a direct victim.
- Work and resources are directed at community reintegration issues (e.g. accommodation, employment, drugs, alcohol and family relationships).

- Case managers motivate offenders by reinforcing work undertaken by others and engage with them to prevent reoffending.
- Case managers actively liaise with others providing interventions to offenders.
- CPO work occupies the offender fully and is demanding.
- Interventions challenge the offender to accept responsibility for the offence and its consequences.

C3 Diversity needs

Description:

There is a full range of interventions to meet diverse needs. There is evidence of appropriate support arrangements for women, minority ethnic and disabled offenders.

Evidence to be provided:

- Interventions are sensitive to race and other diversity issues.
- Arrangements for interventions take account of race equality and wider diversity issues (e.g. group work vs. individual CPO placements, use of interpreters/translators, use of partnerships and suitable accommodation for women).
- Area policy confirms that there should be no singleton placements of women or minority ethnic offenders in an otherwise male or white group, unless agreed to by the participant.
- Where women or minority ethnic offenders are in a mixed group, attention has been paid to the staff composition and arrangements are in place to support offenders' attendance.
- Issues of disability, literacy and dyslexia have been appropriately addressed.

C4 Responsivity

Description:

Offenders' learning style, motivation and capacity to change are taken into account in the assessment and intervention plan.

Evidence to be provided:

- Consideration has been given to the methods likely to be the most effective with this offender (e.g. type and pace of activity, work placement, accredited programme or hostel provision).
- In licence cases, the quality and degree of pre-release work is consistent with the assessment of risk and need, the offender's motivation and their capacity for change.

C5 Management of risk of harm

Description:

Risk of harm is actively managed in consultation with other agencies.

Evidence to be provided:

- Interventions and their level are appropriate to the assessment of the risk of harm (e.g. use of increased contact/surveillance, hostel provision, communication with partner organisations and increased dosage of accredited programmes).
- There is management oversight of intervention in high and very high risk of harm cases, consistent with national and area policy.
- Where appropriate, MAPPA plans and inter-agency arrangements are set up and executed to manage risk, with effective liaison between the agencies, in particular in relation to accommodation issues.
- Changes in risk are identified and managed, taking account of victim issues where relevant.
- Particular attention is given to prompt enforcement in high and very high risk of harm cases, including additional licence requirements.
- There is liaison with the NPD Public Protection Unit and the Prison Service Lifer Unit in relevant cases.

SECTION D

QUALITY OF INITIAL OUTCOMES

D1 Interventions are delivered with the desired outcomes

Description:

Planned objectives are achieved and the risk of harm/likelihood of reoffending is demonstrably reduced.

Evidence to be provided:

- The offender attends all or nearly all planned appointments or work sessions.
- There is no evidence of reoffending on the order or licence to date.
- Evidence of a reduction in risk of harm.
- Improvement in OASys scores between the initial assessment and supervision plan review(s) and, where relevant, positive change in psychometric test scores.
- Positive change in criminogenic factors (e.g. reduced drug misuse, employment, etc.).
- Positive measurable change in attitudes, beliefs and behaviour in relation to offending and increased awareness of effect of offence on victims.
- Measurable improvement in community ties and social circumstances.
- Learning outcomes/skills have been applied.
- The offender has complied with any additional requirements in the order or licence.

D2 Improvements are sustainable

Description:

Results are capable of being sustained beyond the end of supervision.

Evidence to be provided:

- There is evidence that attention has been given to long-term community reintegration issues and appropriate links have been made with community resources/family, etc.
- Attention has been given to ensuring that the offender maintains contact with mainstream organisations to address criminogenic need where required.

D3 Outcomes of interventions are assessed and reviewed using available data

Description:

All available data are used to assess the effectiveness of interventions.

Evidence to be provided:

- Senior managers and the Board ensure that aggregated information on outcomes and initial and longer term reconviction data are available across the area and used to inform practice.
- Middle and case managers review interventions in response to monitoring and evaluation information.
- Evidence of regular discussion of monitoring and evaluation information by all staff groups.
- Evidence of the use of research findings to inform policy and practice.

D4 Intervention demonstrates value for money

Description:

Interventions are delivered with efficient and appropriate use of resources.

Evidence to be provided:

- The resources (including partnerships) allocated to the case are consistent with the offender's risk of harm and likelihood of reoffending.
- Resources have been used efficiently in achieving the planned result.