

# Inspection of Adult Offending Work in Wales

An inspection led by HMI Probation



# Foreword

The inspection of adult offending work in Wales was undertaken as part of our Inspection of Adult Offending Work programme that started in April 2013 and will cover all areas of England and Wales. Our purpose in undertaking these inspections is to assess whether the sentence of the court is delivered effectively, and whether work with the individual offender protects the public, reduces the likelihood of reoffending, and provides a high quality service to courts and victims.

This is the final inspection of six where we are enhancing our focus on the work of Probation Trusts to protect children. Our sample encompasses work with a range of people who have offended; in each case inspected we expect to see an assessment of whether the individual may present a risk of harm to a child or children, and appropriate action taken where this is required.

In all cases we also consider the general assessment and management of risk of harm to others, and we examine the progress in addressing factors that have contributed to the offending behaviour, thereby reducing the likelihood of reoffending.

The fieldwork for this inspection was undertaken during a period shortly before the abolition of probation trusts as part of the changes introduced by the government's *Transforming Rehabilitation* agenda. We amended our inspection methodology accordingly, spending one week inspecting the work undertaken by offender managers but we did not return for a second week to meet with senior managers, sentencers and service providers.

The case sample for this inspection was drawn from those cases managed by Wales Probation Trust in the South Wales area. There were some disappointing findings in relation to the work to reduce the likelihood of reoffending and the protection of the public. Specifically, a significant number of initial assessments and sentence plans had not been completed, or had been completed so late that they were not meaningful. This meant that offenders did not have the opportunity to engage at an early stage with their sentence and that work wasn't always appropriately targeted. Oversight by managers needed to be more rigorous so that these deficits could be addressed.

Notwithstanding this, when appropriate work was delivered the results were satisfactory and we saw good use of restrictive interventions to manage an individual's risk of harm to others. The right level of resource was available in most cases and offenders had been directed to a wide range of local services to help reduce the likelihood of reoffending.

We have made a number of recommendations designed to address the shortfalls identified by this inspection which we would encourage senior managers from the National Probation Service and Community Rehabilitation Companies to prioritise.



**Paul McDowell**  
HM Chief Inspector of Probation  
July 2014

# Summary

Outcomes	The proportion of work judged to have been done well enough
Assisting sentencing	77%
Delivering the sentence of the court	73%
Reducing the likelihood of reoffending	62%
Protecting the public by minimising the risk of harm to others	62%
Delivering effective work for victims	73%

## Outcome 1: Assisting sentencing

*Overall, 77 % of work to assist sentencing was done well enough.*

Most court reports were well written and contained clear sentencing proposals that were followed by the courts. Generally they contained relevant information about the offender's home and social environment and their likelihood of reoffending. However, where there were potential concerns about the protection of children and young people, enquiries had not always been made to children's social services. As a result, information regarding possible concerns was not always included in court reports. Similarly, too few reports were supported by a screening of the individual's Risk of Serious Harm to others.

## Outcome 2: Delivering the sentence of the court

*Overall, 73 % of work to deliver the sentence of the court was done well enough.*

In almost all cases, prompt contact had been made at the start of supervision and a full induction provided outlining the individual's rights and responsibilities. However, too few offenders were involved with drawing up their sentence plan. This reflected our finding that in almost a third of cases the initial sentence plan had not been completed. Consequently, an important opportunity to engage individuals in work to be undertaken as part of their court order was missed. More positively, most of the completed sentence plans were based on an assessment of the likelihood of reoffending and risk of harm posed to others. We did however find that too few sentence plans contained an objective to promote the protection of children and young people where this was required.

The level of contact arranged with the offender and the resource allocated to complete planned work was appropriate in most cases. Overall, offender managers took a leading role where other workers were involved, monitored the offender's attendance and took enforcement action where necessary.

It was not always clear when work would be reviewed or what might prompt an unscheduled review. We found that too many sentence plans had either not been reviewed, or not reviewed to a satisfactory standard. Consequently an opportunity was missed to celebrate progress or to consider what further work may be required.

The National Offender Management Service offender survey results were largely positive, with many individuals complimentary about their contact with Wales Probation Trust. Furthermore, a high proportion of offender managers felt that the Trust promoted a culture of learning and development.

### **Outcome 3: Reducing the likelihood of reoffending**

*Overall, 62 % of work to reduce reoffending was done well enough.*

In far too many cases we considered that the initial assessment of the offender's likelihood of reoffending had either not been completed or been completed too late to be meaningful. Consequently, proper consideration could not always be given to the methods most likely to be effective when working with the individual. In many cases there was evidence that alcohol was linked to offending but owing to the gaps in assessment this had not always been taken into account.

Similarly, in a number of cases reviews of the likelihood of reoffending were late or absent. This was most noticeable in cases where there had been significant changes in the offender's circumstances.

Most of the offender managers that we met with were positive about the range of interventions available to assist them in their work and we found that resources had generally been used efficiently to achieve planned outcomes. Where it was required, most offenders had been informed of local services to support them to avoid reoffending.

### **Outcome 4: Protecting the public by minimising risk of harm to others**

*Overall, 62 % of work to protect the public by minimising the risk of harm to others was done well enough.*

A number of cases in the sample had not received an initial screening or full analysis of the offender's Risk of Serious Harm to others. Of those that were completed, too few were of sufficient quality. This included some cases deemed to present a high risk of harm to others. Too few cases included an effective plan to manage the risk of harm posed by the individual; again a number were produced late or not at all. Few adequately explained how work to be undertaken would protect actual or potential victims or what should happen if the offender's Risk of Serious Harm to others increased.

Overall, appropriate use had been made of restrictive interventions, such as curfews and restraining orders. In particular, the approved premises were valued by offender managers and contributed effectively to the management of risk of harm posed by residents. In most cases enforcement action, including recall to prison, had been used appropriately in response to an increase in the offender's risk of harm to others.

Whilst Multi-Agency Public Protection Arrangement cases were managed at an appropriate level, multi-agency child protection procedures had not always been used effectively.

### **Outcome 5: Delivering effective work for victims**

*Overall, 73 % of work to deliver effective services to victims was done well enough.*

Victim contact work had been undertaken well with regular and accurate information being shared between offender managers and victim contact workers in almost all cases. Victims who responded to our questionnaire were mostly positive about their experience of the Trust with all saying that their individual circumstances and needs had been taken into account.

However, in the sample of cases that we inspected, we found that less than half of initial risk management plans were clear about how sentence plan objectives and other activities would protect victims.

Please note – all names referred to in the practice examples have been amended to protect the individual's identity.

# Recommendations

Post-inspection improvement work should focus particularly on ensuring that:

1. initial assessments of the offender's likelihood of reoffending and their risk of harm to others are completed promptly and to a sufficient standard and then used to determine the work to be undertaken.
2. a plan to manage risk of harm to others is in place where appropriate and this addresses all factors identified in the assessment and includes appropriate contingency planning.
3. reviews of work are timely and thorough, particularly when the individual's circumstances change, and are used to celebrate progress and to consider what further work may be required.
4. to safeguard and protect children and young people, checks are made as a matter of routine with children's social services and other relevant agencies and any actions included in plans .
5. managers provide effective oversight in all cases where the individual poses a high or very high Risk of Serious Harm to others and/or where there are Child Protection concerns.

Recommendations in this report must be followed up by whoever delivers probation services in the future, including both the National Probation Service and the Community Rehabilitation Companies.

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# Assisting sentencing

1

# Outcome 1: Assisting sentencing

## What we expect to see

Pre-sentence reports (PSRs) and work in court are intended to enable sentencers to impose appropriate and effective sentences. We expect to see good quality reports which include an assessment of the offender and, where appropriate, a clear proposal.

## Case assessment score

Overall 77% of work to assist sentencing was done well enough.

## Key strengths

1. Most reports were well written and contained clear and specific proposals that were followed by the court.

## Key areas for improvement

1. Reports had been submitted to court without a screening of the individual's Risk of Serious Harm to others (RoSH).
2. In many cases, report authors had not made checks with children's social services or other agencies to support the protection of children and young people.
3. Many reports lacked information about how any particular barriers to compliance and engagement would be addressed.

## Explanation of findings

1. Assessment and planning to inform sentencing
  - 1.1. Our sample of 60 community cases included 54 where a report had been prepared to assist sentencing. Of these reports 26 were oral, prepared on the day of sentence, the remainder were typed reports. There was a written copy of the oral report in all but two case files.
  - 1.2. Most of the typed reports were well written, suitably concise and clear in their meaning. On balance, almost three-quarters contained an appropriate proposal for a community sentence. The great majority of proposals were followed by the court. The practice illustration below shows how information contained within PSRs informed sentencing:

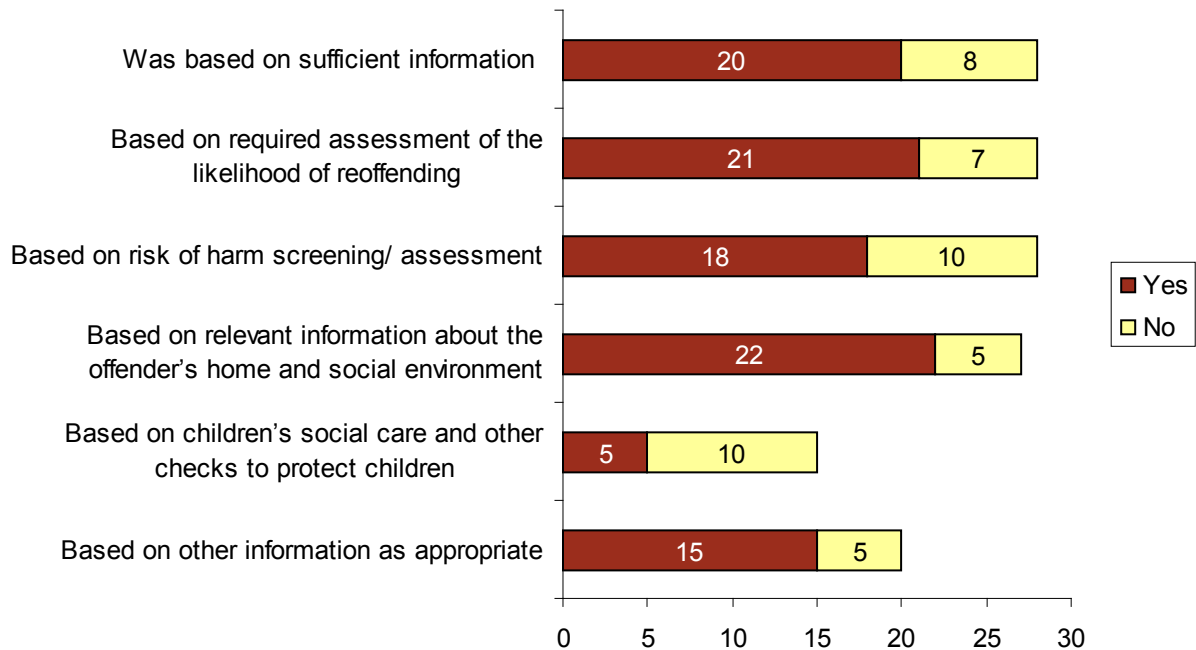
### Practice illustration – making an informed sentencing proposal

When Marian presented as agitated and with evident mental health issues the report author sought advice from the community psychiatric nurse attached to the probation office. As a result a psychiatric report was requested and this helped sentencers to impose an appropriate community order which would provide Marian with much needed support to reduce her likelihood of reoffending.



- 1.3. Overall, 71% of reports were based on sufficient information. However, we found ten written reports that had been prepared without first completing a Risk of Serious Harm screening. We considered that there were 15 reports that should have been supported by checks to children's social services or other agencies, in order to identify risks to relevant children and young people. These had been made in only five instances.
- 1.4. Reports generally contained relevant information about the offender's home and social environment. Some three-quarters were based on the required assessment of the likelihood of reoffending.

### The report for this court appearance



- 1.5. Almost three-quarters of reports addressed the offender's motivation and capacity to comply with the proposed sentence. However this did not always translate into an indication of how any particular issues affecting engagement and compliance would be addressed.
- 1.6. The overall quality of written reports was considered sufficient in 71% of cases.

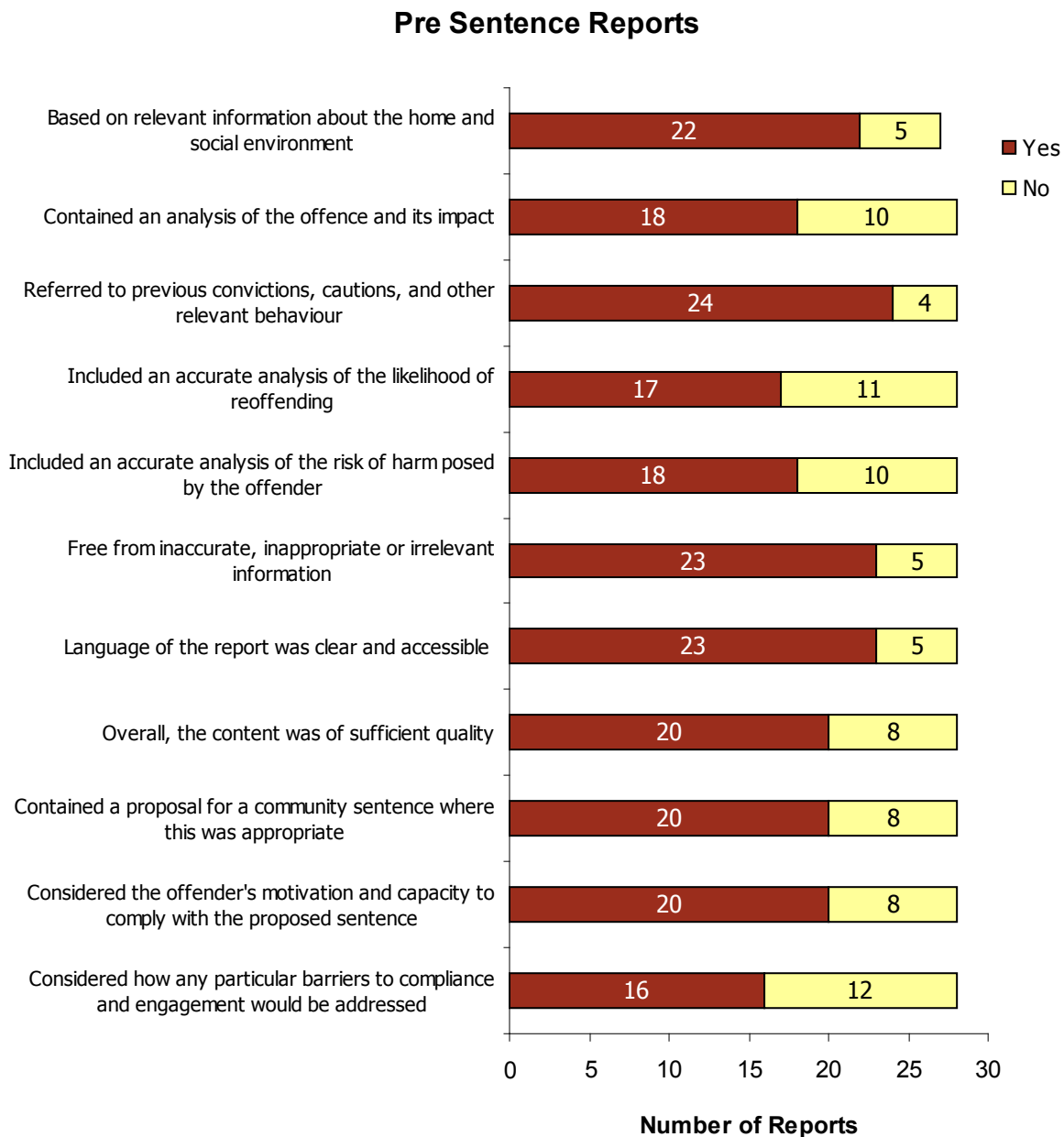
## Summary

*Overall, 77 % of work to assist sentencing was done well enough.*

For a summary of our findings please see page 2

### Data Summary

The following chart summarises data from some of the key questions assessed during the inspection of cases. [NB: data refers to the 28 cases for which a written report had been prepared for court. However, the total answers may not equal this, since some questions may not have been applicable to every case]



# Delivering the sentence of the court

2

## Outcome 2: Delivering the sentence of the court

### What we expect to see

Victims, sentencers and the public have the right to expect that the sentence of the court will be delivered as intended, and enforced where necessary. We expect to see work to engage and motivate offenders in order to ensure that they complete their sentences, and that the work undertaken with them is effective in reducing offending and promoting community reintegration.

### Case assessment score

Overall, 73% of work to deliver the sentence of the court was done well enough.

### Key strengths

1. Arrangements were in place to meet with offenders promptly after sentence or release on licence and to outline their rights and responsibilities.
2. Planned levels of contact were good and an appropriate level of resource had been allocated in most cases.
3. Offender managers had taken a leading role in most cases where other workers were involved and took responsibility for monitoring attendance. Clear and timely warnings were generally issued where required.
4. A high proportion of staff felt that the Trust promoted a culture of learning and development.

### Key areas for improvement

1. In too many cases initial sentence planning, at the start of sentence or release on licence had either not been completed or was not timely. As a result an important opportunity to engage individuals in work to be undertaken to deliver the sentence was missed.
2. It was not always clear when a case would be reviewed or what might prompt an unscheduled review. Too often, the work had either not been reviewed or had not been reviewed sufficiently well.
3. In cases where there was a need to protect children and young people this was not always reflected in the sentence plan.

### Explanation of findings

#### 1. Assessment and planning to deliver the sentence

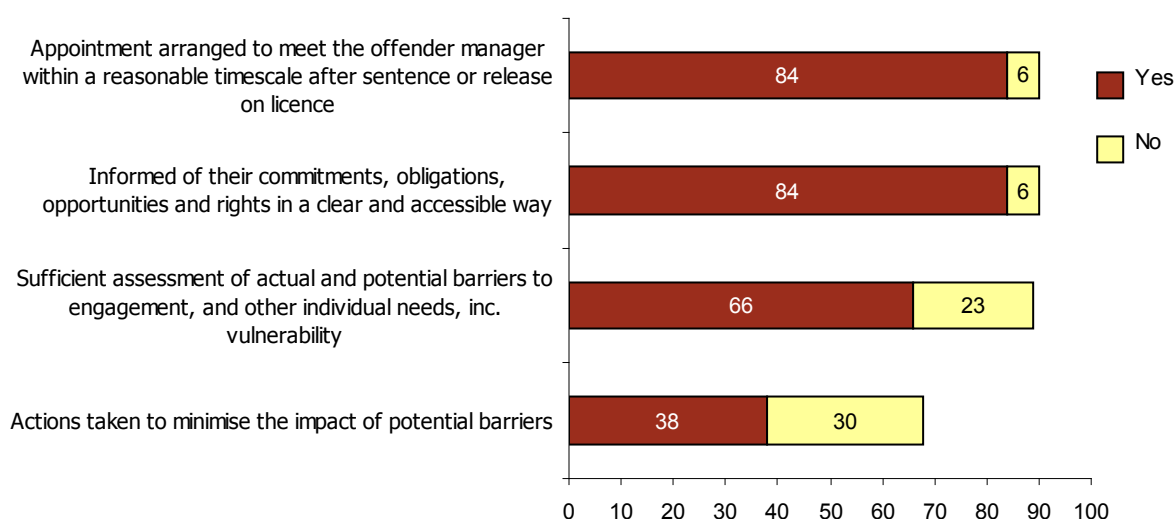
- 1.1. Most cases had been allocated to the correct tier of service at the start of sentence or release on licence.
- 1.2. The chart below provides a breakdown of our findings of work related to engaging people at the start of their sentence. Overall, appointments were arranged promptly and an individual induction provided. As part of the induction process, individuals were informed of their commitments, obligations and rights. A sufficient assessment of individual needs and barriers to engagement had been made in some three-quarters of cases. However, this did not always result in action to minimise the impact of these barriers. The following practice illustration provides an example of when this was done well:

### Practice illustration-taking individual needs into account

As a result of her court appearance Marian (see page 7) was made subject to a community order. Suffering from poor mental health and low self-esteem, Marian was offered appointments during a women only reporting slot where she would feel more comfortable. Marian received specialist assistance to tackle her use of alcohol and experience of depression, both of which were linked to her likelihood of reoffending. A local women's project also offered personal support. Positive working relationships were established and these services would still be available to Marian upon the expiry of her court order.

- 1.3. When inspecting in Wales we check to see whether there had been an active and timely screening of the individual's Welsh/English language preference. Since our last inspection in 2012, the Trust had developed systems to capture this information at the earliest point of contact with the offender. We found eight cases where it was not known whether the offender would have preferred to speak in Welsh and this was a smaller proportion than when we last inspected.

#### Engaging people at the start of sentence

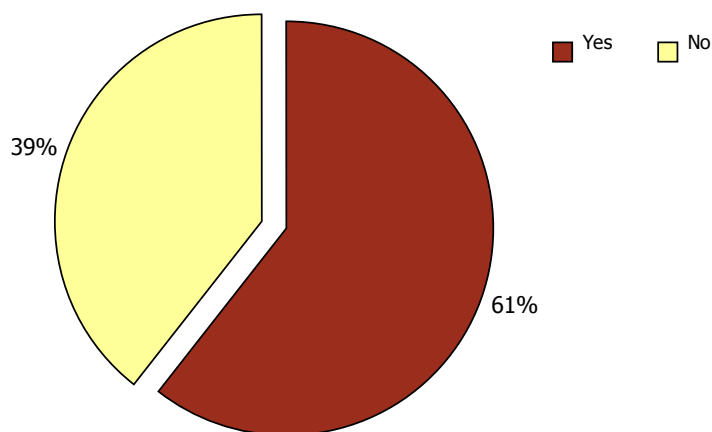


- 1.4. Involving the individual in drawing up their sentence plan provides an important opportunity to engage them in work to be undertaken to deliver the sentence. We saw evidence of this in just over half of the sample. This low rate of involvement reflected our finding that in 30% of cases the initial sentence plan had not been completed at all and of those that were completed, only 56% were considered to have been completed in good time. Since autumn 2013 a computer terminal had been installed in interview rooms allowing the offender manager to refer to relevant documents in the presence of the individual offender. Our sample pre-dated this new practice, which provides an additional opportunity for offenders to engage with their assessment and plans early in their contact with the Trust.
- 1.5. More positively, most of the completed sentence plans were based on an assessment of the likelihood of reoffending and risk of harm posed to others. Most plans were either new or sufficiently revised from a previous plan, rather than simply being duplicated.
- 1.6. Sentence planning paid sufficient attention to factors which may promote compliance in almost two-thirds of cases. Actions to minimise the impact of potential barriers to offender engagement were included in 56% of relevant planning documents. Greater emphasis could have been placed on the individual's personal strengths and aptitudes as well as the methods likely to be most effective in working with them.

### Practice illustration-actions to minimise barriers to engagement

We saw an example of close work between the youth offending team (YOT) and probation trust in the case of Dylan, a young man transferred to probation at 18 years of age. The case was allocated to a specialist YOT probation officer working specifically with young people in transition between the two services. The probation trust offender manager attended custodial review meetings in order to help prepare Dylan for transfer. This made a big difference to a young man who had spent most of his youth in local authority care and would have had a number of professionals in his life. This approach ensured a smooth transition to adult services and was in line with the recommendations of our Transitions thematic inspection report<sup>1</sup>.

#### Sentence planning paid sufficient attention to factors which may promote compliance



- 1.7. Too few sentence plan objectives had a clear focus on the desired outcome, for example to address the likelihood of reoffending or the risk of harm to others. Further, it was not always clear what the individual had to do to achieve their objectives or the contribution to be made by all workers involved in the case.
- 1.8. This inspection had a particular focus on how well the Trust contributed towards protecting children and young people. There were 44 cases where we assessed that there should have been an objective to manage the protection of children and young people, in 30 of these cases, there was no such objective. The practice illustration below is a good example of an objective to promote child protection:

### Practice illustration-shared objective to manage child protection

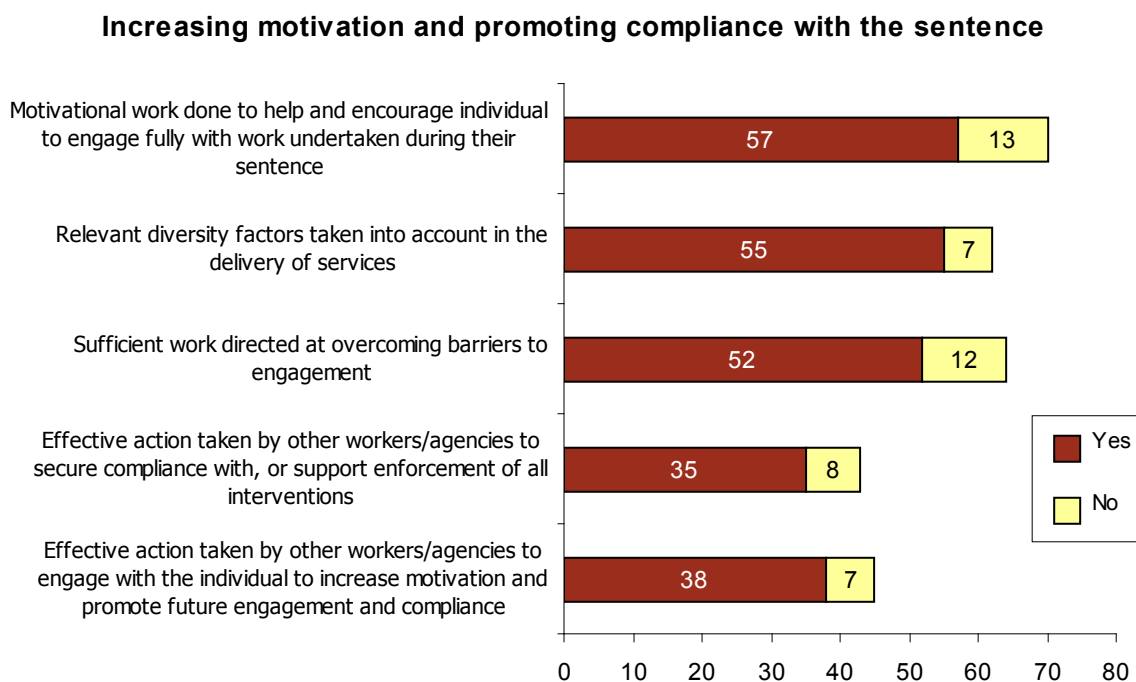
Sian's child was subject to a Child Protection plan due to having witnessed domestic abuse. Neither parent recognised the harm that this could have on their child. The Child Protection plan included an objective for Sian to engage in the 'Freedom Programme', a discussion group for women that have experienced domestic abuse to help them to make sense of what has happened to them. The offender manager incorporated this into both the sentence plan and risk management plan and through liaison with Children's Social Services monitored her progress carefully.

<sup>1</sup> HMI Probation (October 2012) *Transitions : an inspection of the transition arrangements from youth to adult services in the criminal justice system HMI Probation, Manchester*

- 1.9. The planned level and pattern of contact with the individual was appropriate in three-quarters of cases; however in almost half of all relevant cases there was no clear indication of when work with the offender would be reviewed.

## 2. Delivery and review of the sentence plan and maximising offender engagement

- 2.1. In almost three-quarters of cases, interventions had been delivered according to the requirements of the sentence and in line with the sentence plan objectives. The chart below shows the range of approaches used to increase motivation and promote compliance with court orders.



- 2.2. The levels of contact arranged for the offender in the community were sufficient in the great majority of cases, taking account of the assessed level of harm to others and likelihood of reoffending. Contact had been maintained with offenders in custody, awaiting release on licence, in two-thirds of cases. The benefits of maintaining contact is illustrated by the following practice example:

### Practice illustration-active planning for release from custody

David's offender manager visited him during his time in prison and attended his sentence planning boards and programme reviews. This led to some good pre-release resettlement planning including for employment and housing. As a result, when he was released on licence he soon found work, was housed and reconciled with his partner. There had been no further offending and a positive change in attitude noted. This was quite a turnaround for a young man sentenced to 6 years in custody for armed robbery.

- 2.3. The level of resource allocated was considered to be appropriate in most cases (84%).
- 2.4. Offender managers had taken a leading role in 81% of cases where other workers were involved and took responsibility for monitoring attendance in all but four cases.
- 2.5. Offender managers and other workers took a timely and investigative approach to instances of non-compliance in 81% of cases. Professional judgement about the acceptability or otherwise of absences or other behaviour, while mostly reasonable and consistently applied, should have been

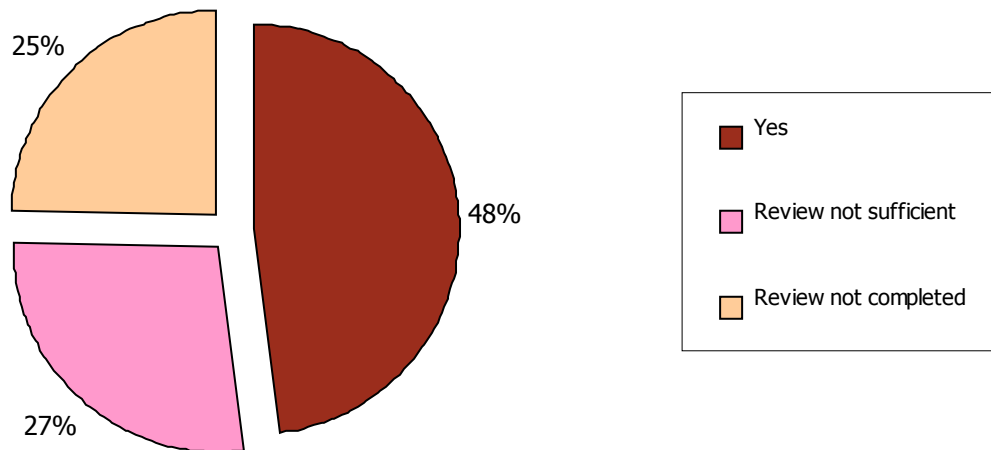
recorded more clearly in some cases. The practice illustration below provides a good example of the use of professional judgement to maintain compliance:

**Practice illustration**

Gareth was homeless, dependent upon alcohol and suffered from epilepsy. He had more than 200 convictions mostly for public order or theft offences. The level of chaos in his lifestyle made it very difficult for him to keep to routine appointments but it was important that he was seen at some point every week. A degree of flexibility was applied with regard to exact reporting days and times in order to avoid a breach of the order and return to custody. Over the period of supervision Gareth started to trust his offender manager and to discuss painful issues from his life which contributed to his use of alcohol. While there was no significant reduction in future risks, he had been safely contained during the supervision period and this was the first order he had ever completed, with no reoffending.

- 2.6. Clear and timely warnings were issued where required in most cases. Enforcement procedures or recall were used in 29 cases, 7 fewer than we would have expected. Overall, action had been taken promptly and a clear explanation given to the offender. Sufficient effort was then made to re-engage the individual with their sentence plan in 20 cases.
- 2.7. We expect to see work with individuals reviewed within the timescales stated in the initial plan or within a reasonable period. In addition, we expect to see work reviewed in response to a significant change, such as the completion of an offending behaviour programme or a change in circumstances which may affect the level of risk of harm to others. As illustrated in the chart below we considered that just under half of all reviews were sufficient. The remainder included a number of missing and late reviews, particularly where there had been significant changes in circumstances. Consequently, opportunities to celebrate and reinforce progress were reduced.

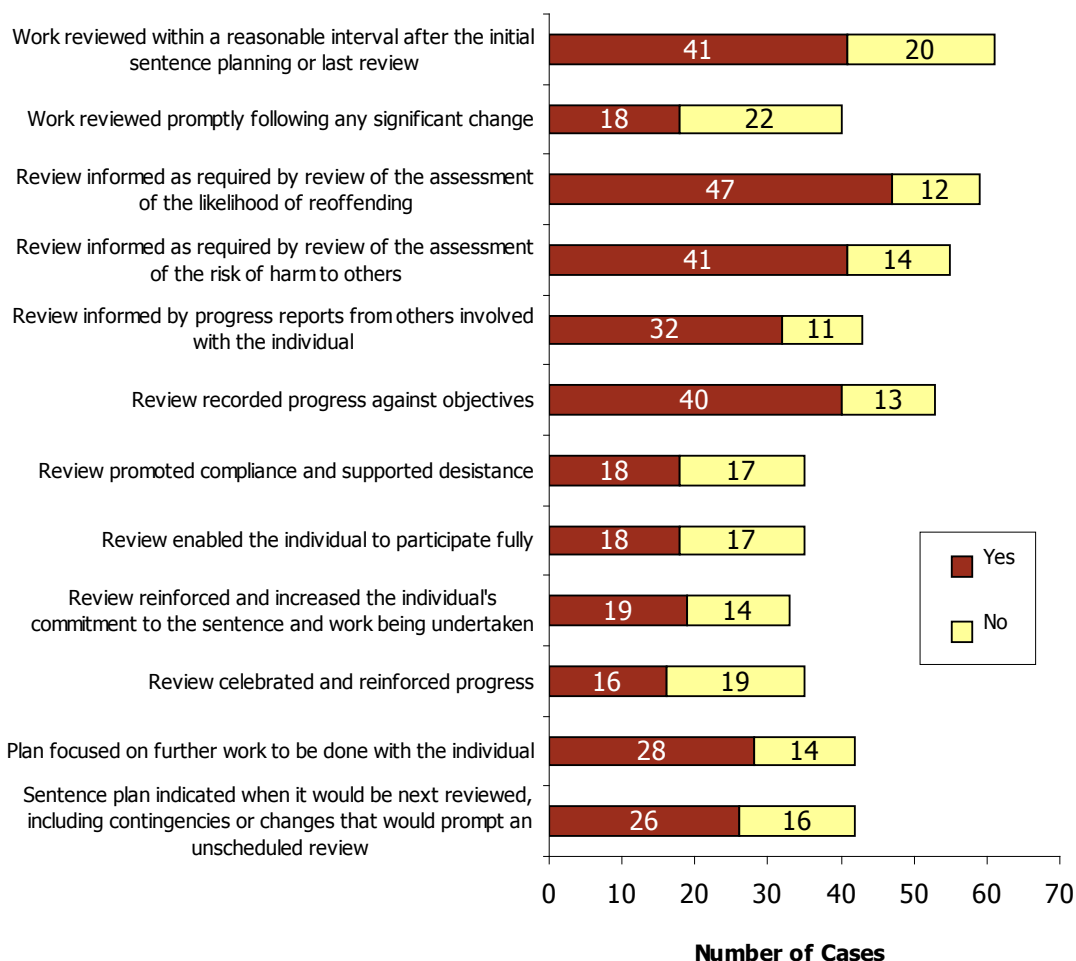
**Sufficient review of work with the offender**



- 2.8. More positively, some three-quarters of completed reviews were informed by an update of the assessment of risk of harm to others and likelihood of reoffending.
- 2.9. Case files were well organised and recording of information was mostly clear and timely. Most case records contained sufficient information to support offender management tasks.



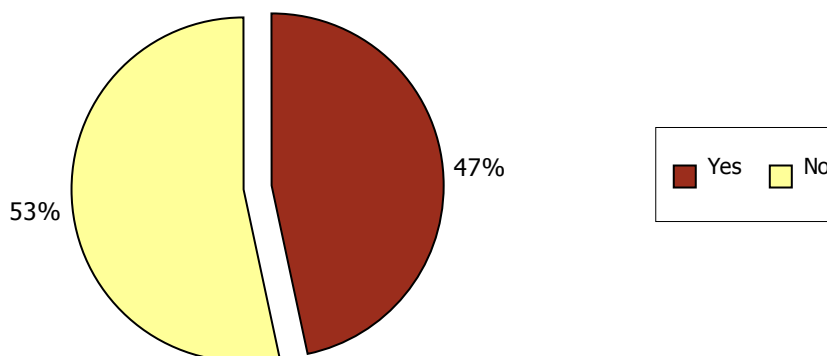
### Reviewing sentence plans and reinforcing progress



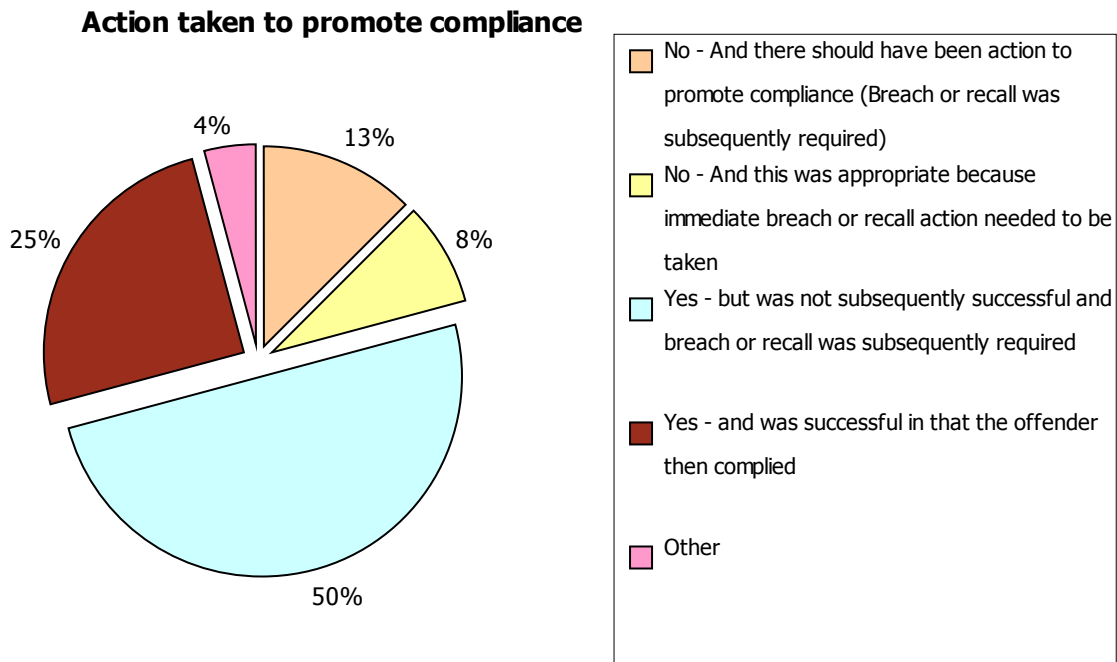
### 3. Initial outcomes are achieved

- 3.1. Reporting instructions were sufficient for the purpose of carrying out the court sentence in almost all cases.
- 3.2. As illustrated in the chart below the individual complied with the requirements of the sentence, in almost half of all cases, without the need for additional action by the offender manager.

#### The individual complied with the requirements of the sentence, without the need for the offender manager to take action to promote compliance

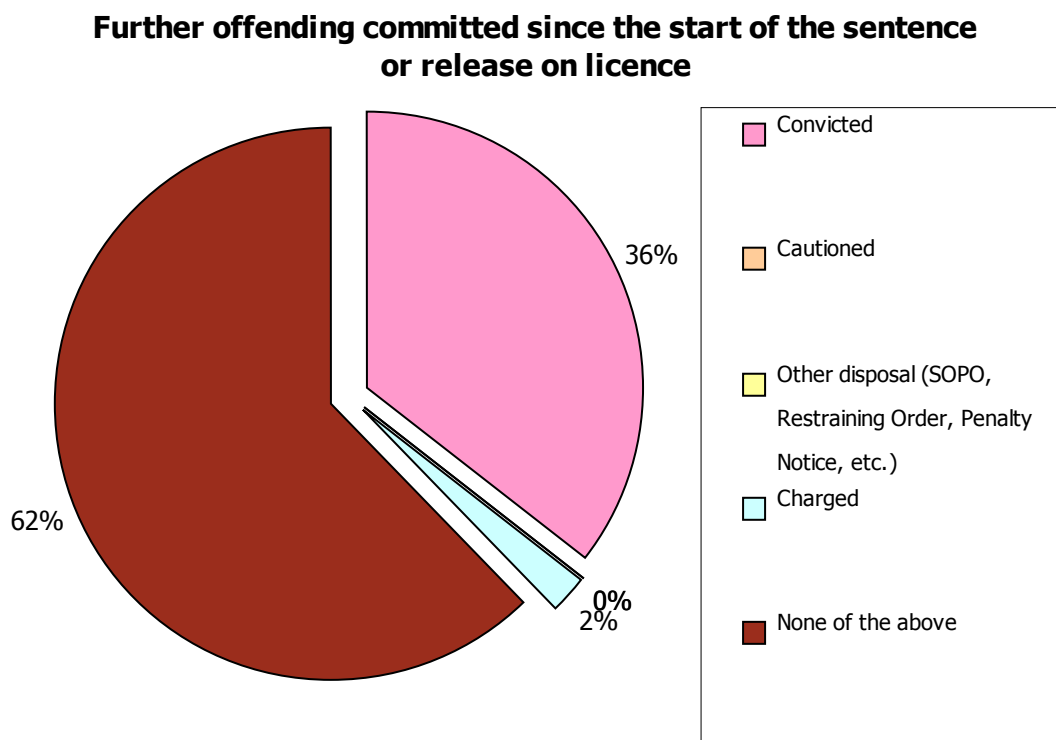


3.3. The chart below shows that in half of all cases where action was required to promote compliance, these offenders were ultimately breached or recalled. A quarter of cases were brought back into compliance after initial difficulties. There were six cases where we thought action to promote compliance should have been taken but was not.



3.4. Sentence planning objectives had been either fully or partially achieved in almost two-thirds of cases. The delivery of the sentence plan had been maintained in three-quarters of cases where there had been a change in offender manager.

3.5. As shown in the chart below, some two-thirds of individuals had not been cautioned, charged or convicted of a further offence during the period of supervision we inspected.



**What people who had offended thought of their experience:**

The National Offender Management Service (NOMS) conducts an annual survey of the offenders in contact with probation trusts. For 2013, the three local delivery units (LDUs) we inspected received 592 responses, the data from which is given below.

The survey results were largely positive, with many people making very positive comments about their experiences.

A high proportion of those surveyed said they felt they had been involved in their sentence planning; significantly more than we evidenced in the 90 cases we inspected. Just over a quarter would have liked more help with housing and employment.

**Comments from individuals:**

*"I am happy with the way probation have helped me since I left court. Thank you. "*

*"I am happy with probation and have learnt from my mistake."*

*"I wouldn't change anything as I believe experience in probation should and will differ to each individual case."*

**Less positive comments:**

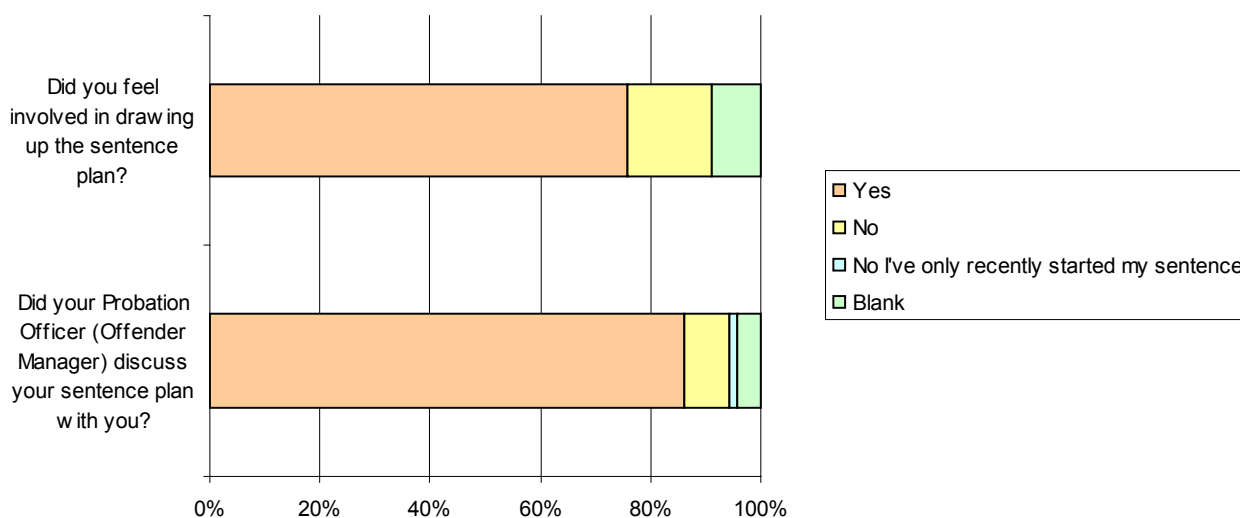
*"[I would have liked] more support in getting employment."*

*"Being in the waiting area and reception can lead to problems as you are having to mix with people who try and get you into trouble."*

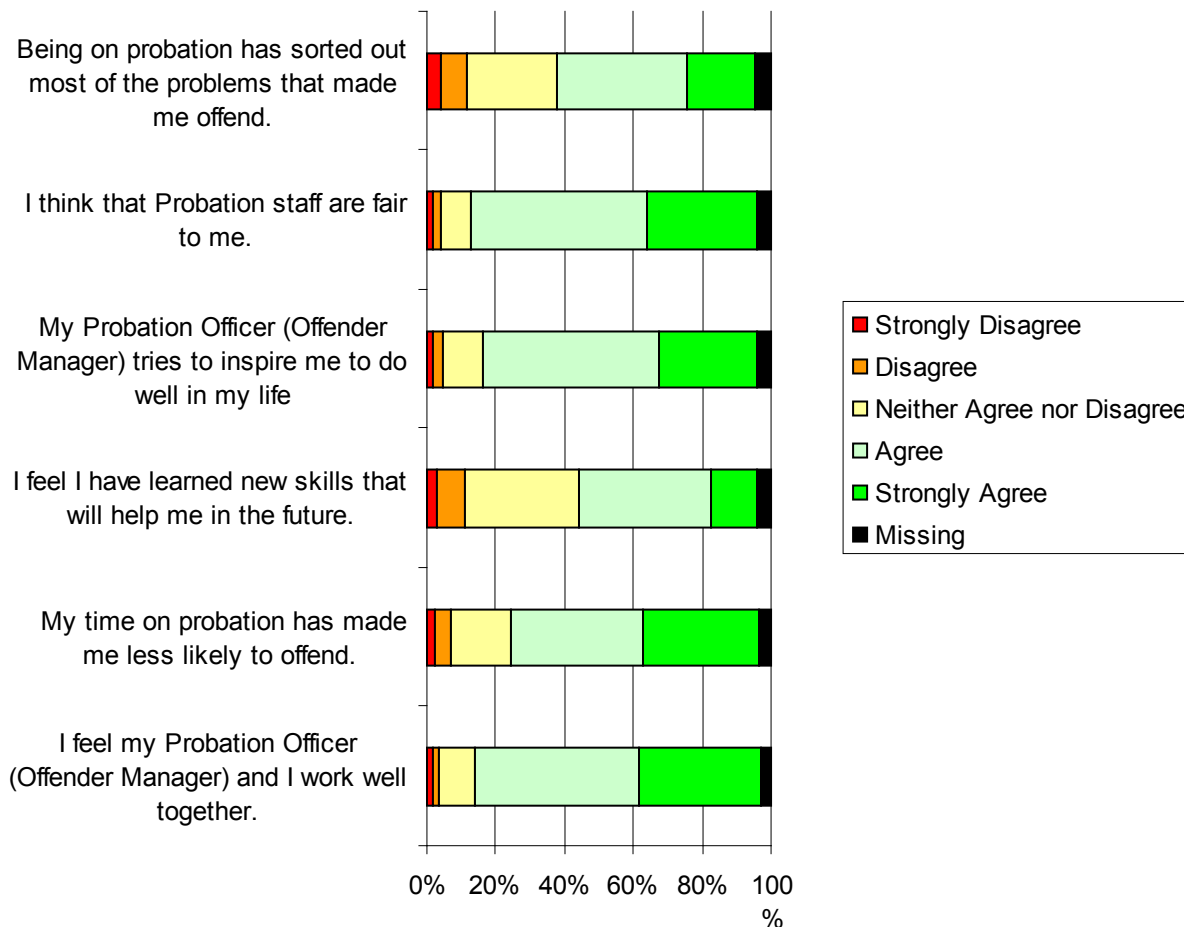
*"I get anxiety and it gets quite high when the waiting room is full."*

The charts below show some of the responses from the survey.

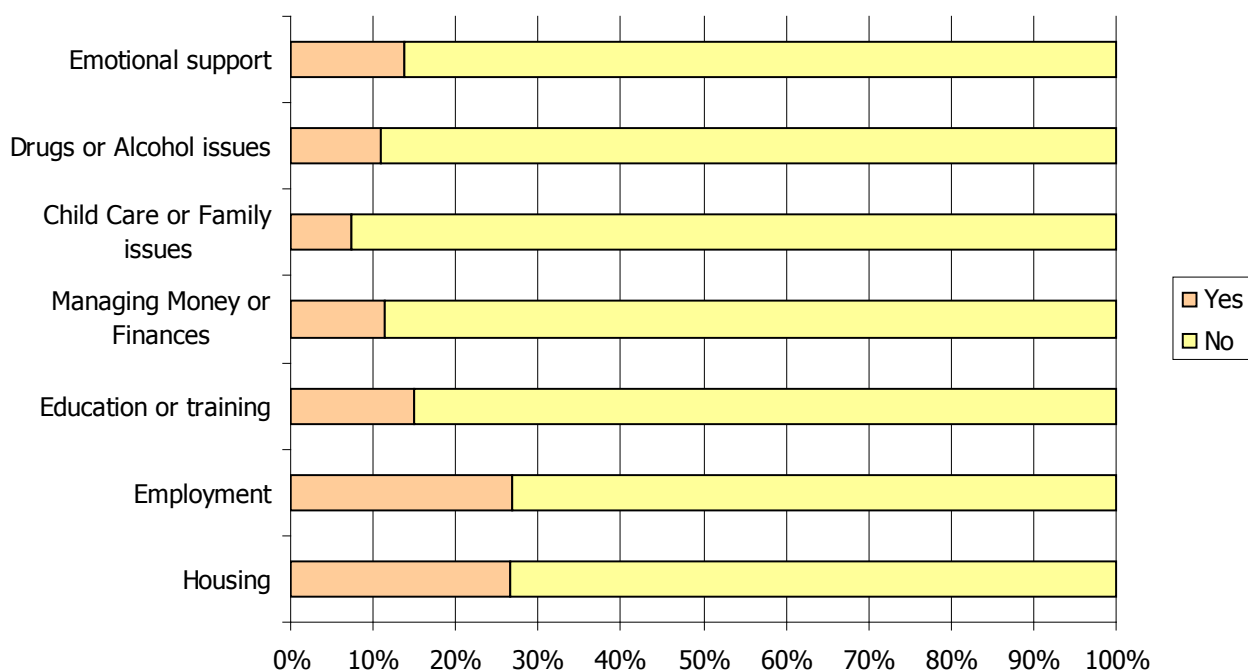
**Section 1 - About Current Order / Sentence**



### Section 2 - About Experience on Probation



### I would like (or would have liked) more help with:



#### 4. Leadership and management to deliver the sentence and achieve initial outcomes

- 4.1. We interviewed 69 offender managers to gain their views about their experience of working for the Trust.
- 4.2. Thirty four staff told us that they had diversity needs. All but one said that their needs had been well handled by the Trust, with twenty one describing the way in which their needs were addressed as excellent.
- 4.3. Almost two-thirds of staff felt that workloads were actively monitored. However, a smaller number (39%) felt that workloads had been managed in a clear and transparent way.
- 4.4. With respect to staff absences, most thought that planned absences, such as holidays were managed in such a way as to minimise the impact upon the work. However, unplanned absences such as sick leave had a greater impact, with half of those questioned stating that it affected the continuity of offender management.
- 4.5. Overall, offender managers were very positive about the skills of their managers in assessing the quality of their work, developing and supporting them. Most also thought that routine countersigning of their work and management oversight was an active process, either sometimes or always.
- 4.6. Two-thirds of staff interviewed reported having formal supervision with their manager at least once every six weeks. This was an improvement since our last inspection. A number spoke positively of their experience of the Skills for Effective Engagement, Development and Supervision (SEEDS) initiative particularly where this had been supported by the observation of practice and reflective feedback by managers or others. A high proportion felt that these and other methods or techniques such as mentoring or coaching had resulted in improvements in their practice.
- 4.7. In relation to learning and development opportunities, most thought that arrangements within the trust were at least sufficient in equipping them to do their current job. Staff were only slightly less positive about the extent to which their future development needs were met, and this was not surprising given the extent of change that they were embarking upon with the introduction of *Transforming Rehabilitation*<sup>2</sup>. Overall, a high proportion felt that the Trust promoted a culture of learning and development.
- 4.8. Almost two-thirds of staff felt that there were at least sufficient opportunities to discuss practice issues with colleagues.

#### Summary

*Overall, 73% of work to deliver the sentence of the court was done well enough.*

We have recommended that post inspection improvement work focuses on ensuring that:

- reviews of work are timely and thorough, particularly when the individual's circumstances change, and are used to celebrate progress and to consider what further work may be required.

For a summary of our findings please see page 2

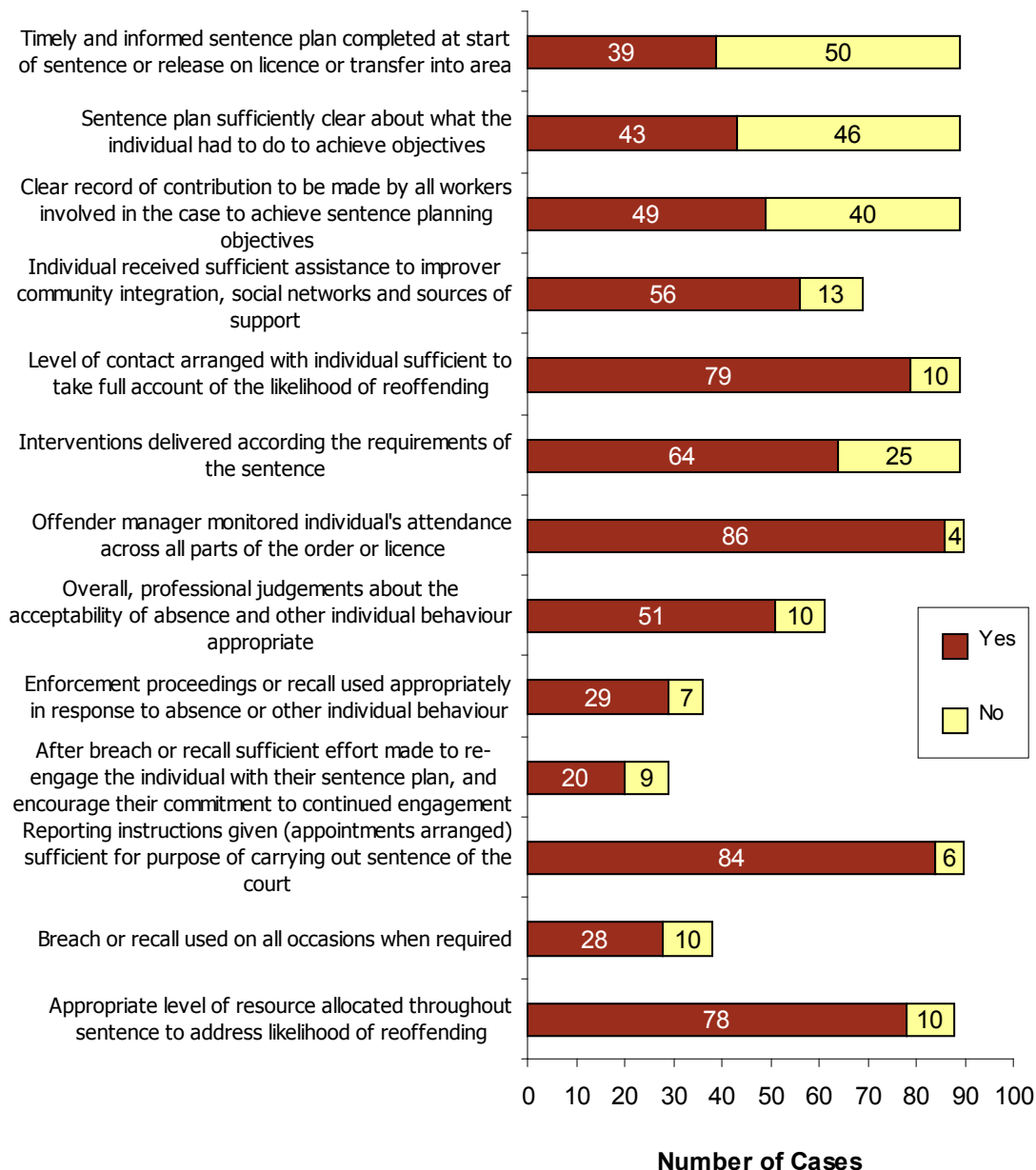
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<sup>2</sup> Under the Government's Transforming Rehabilitation Strategy, Probation Trusts are due to be replaced by the National Probation Service. Recommendations addressed to Probation Trusts should be followed up by whoever delivers probation services in the future, including both the National Probation Service and other providers. The strategy can be accessed at <http://www.justice.gov.uk/transforming-rehabilitation>.

## Data Summary

The following chart summarises data from some of the key questions assessed during the inspection of cases. [NB: 90 cases were inspected. However, the total answers may not equal this, since some questions may not have been applicable to every case]

### Delivering the Sentence



# Reducing the likelihood of reoffending

3

# Outcome 3: Reducing the likelihood of reoffending

## What we expect to see

A number of factors may contribute to the likelihood of an offender committing further crime. We expect to see an accurate assessment of these factors at the start of sentence and evidence that effective, targeted work has reduced the likelihood of reoffending.

## Case assessment score

Overall, 62 % of work to reduce the likelihood of reoffending was done well enough.

## Key strengths

1. Offender managers were positive about the range of interventions available, with most rating them as either sufficient or excellent. Where it was required, most offenders had been informed of local services to support them to avoid reoffending beyond the end of the sentence.
2. Overall, resources had been used efficiently to assist the individual to achieve planned outcomes.

## Key areas for improvement

1. A high proportion of initial assessments had not been completed. This had a negative impact upon the offender's engagement with the assessment of their likelihood of reoffending and plan of work to be completed on the court order.
2. There were too few good quality reviews of the assessments of likelihood of reoffending. Many reviews, especially in response to significant changes in the individual's circumstances, were completed too late to be meaningful.
3. Interventions to address alcohol use had not always been delivered in line with sentence plan objectives.

## Explanation of findings

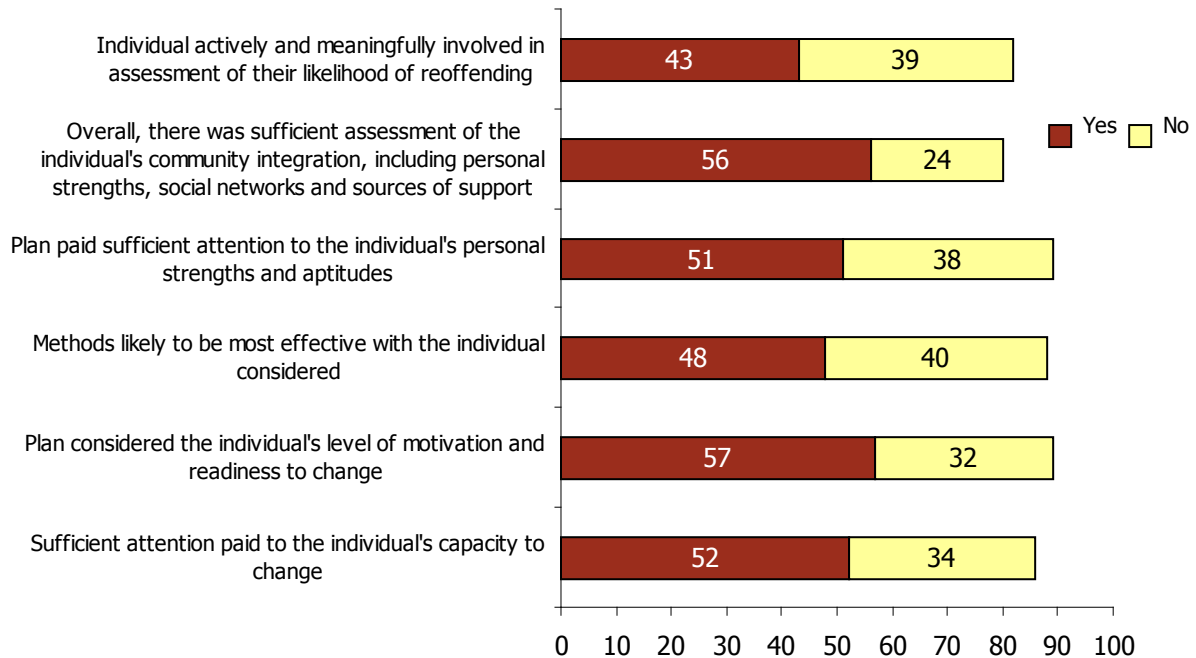
### 1. Assessment to reduce the likelihood of reoffending

- 1.1. At the start of sentence, an assessment of the factors that may have contributed to the likelihood of reoffending was required in 82 of the cases in our sample. In almost a third of cases (26) we considered that the assessment had not been completed or completed so late that it could not count as an initial assessment of the offender's circumstances. Where assessments had been completed (56), we considered that just over half had been completed in good time. These findings about the number of late and missing assessments are concerning. The assessment of the likelihood of reoffending is a fundamental part of understanding why people have offended, without which it is not possible to determine the most appropriate work to be undertaken. Eight of the late assessments and two of the missing assessments were on offenders considered to pose a high RoSH to others and this is of particular concern.
- 1.2. Most of the completed assessments were either new documents or existing assessments with appropriate revision and identification of offending related factors. Three-quarters included relevant information from the offender's home and social environment and most had identified the relevant offending related factors.



- 1.3. The chart below outlines our findings about involving the offender in the assessment of their likelihood of reoffending. The high proportion of initial assessments that had not been completed had an inevitable impact on the offender's engagement with the assessment of their needs and plan of work to be completed on the court order.

### Involving people in assessing the likelihood of them reoffending

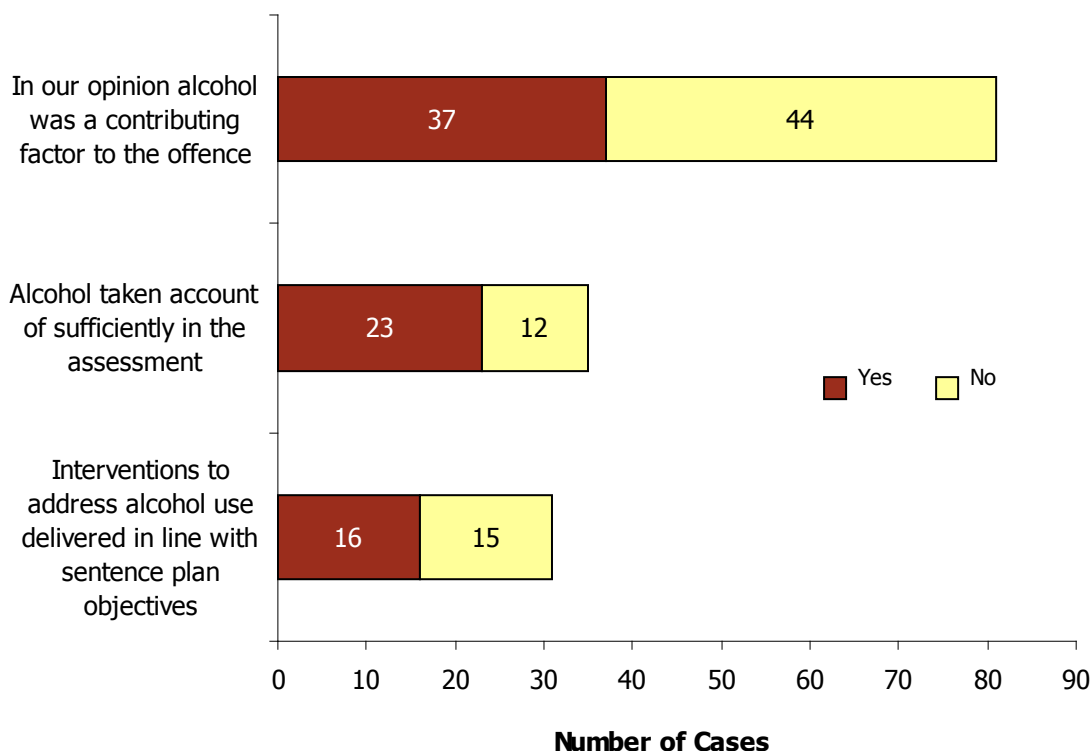


- 1.4. Offenders in our sample were convicted of a range of offences. The most prevalent being violence against the person (34 %), burglary (16 %), theft and handling stolen goods (10%).

## 2. Delivery of interventions to reduce the likelihood of reoffending

- 2.1. Constructive interventions encouraged and challenged individuals to take responsibility for their actions and decisions related to offending in 60% of cases. A higher proportion of cases (71%) showed that work with the individual had maintained a focus on the changes that they needed to make to their behaviour.
- 2.2. Seventeen cases in the sample were subject to an accredited programme. Of these, we found that seven had not yet been delivered, but should have been. In three instances this was because the programme did not run frequently enough; in four cases offenders had not cooperated.
- 2.3. The Trust had a variety of specified activity requirements (SARs) available to the court when considering sentence. Of the 22 cases where these had been attached to the court order, we considered that 13 had contributed to the planned work with the offender as intended. While the suite of SARs offered a broad range of structured work to address offending behaviour their deployment was inconsistent. We saw some cases where the SAR had started late into the sentence, in other cases the required number of sessions had not been delivered before the close of the order.
- 2.4. The chart below shows that we considered that there were 37 cases in which alcohol was a contributing factor to the offence. This had been identified sufficiently well in 23 assessments. Interventions to address alcohol use had been delivered in line with sentence plan objectives in just over half of all relevant cases.

### Alcohol and offending

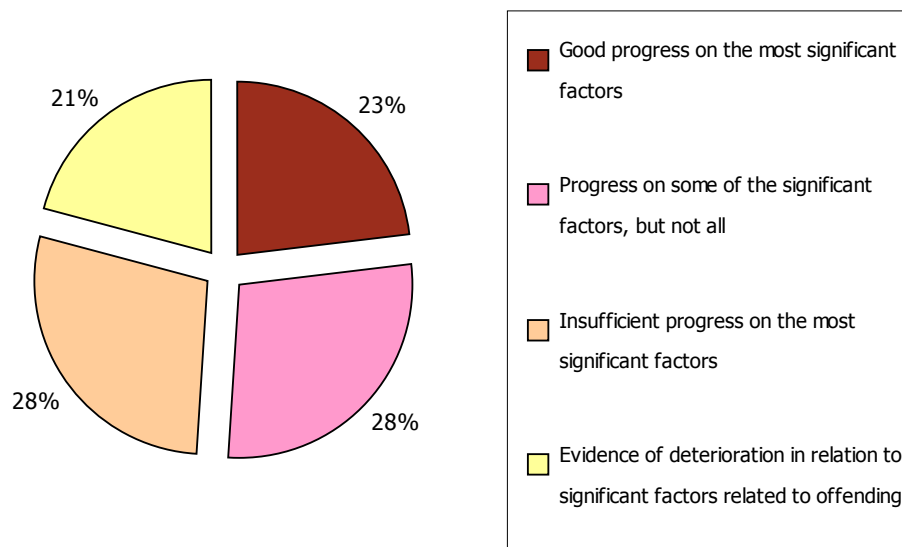


- 2.5. In just under three-quarters of cases, individuals were thoroughly prepared for the interventions that were delivered as part of the order or licence. Reviews of the work undertaken with the offender, as a means of reinforcing learning, had taken place in only 58% of cases.
- 2.6. Where it was required, most offenders (81%) had been informed of local services to support and sustain their desistance from offending, although fewer (72%) had then been referred to such services where appropriate.
- 2.7. There had been a sufficient review of the offender’s likelihood of reoffending in just over half of all applicable cases. There had been no review undertaken in almost a quarter of relevant cases. Of those reviews that were completed most had taken into account changes in relevant factors and were informed by information sought from others involved with the offender. However too few had been reviewed either within a reasonable interval or in response to a significant change in circumstances.
- 2.8. For many offenders, the factors contributing to their offending are deep rooted and this means that sustainable change can be a slow process. We were therefore pleased to note that in some two-thirds of cases we considered that individuals had made progress in relation to the factors identified as making the individual more likely to reoffend. Disappointingly, there was evidence of improved integration in the community or improved family relationships in only half of all relevant cases. The following practice example illustrates the positive progress made by an offender with complex needs:

### Practice illustration-intensive support and supervision

Steve had committed offences of attempted burglary at a time when he was a heavy user of heroin and crack cocaine. He was made subject to a drug rehabilitation requirement and was being managed under the Integrated Offender Management scheme. He responded well to the intensive support and surveillance offered to him and cooperated fully with all aspects of supervision including the Building Skills for Recovery accredited programme and various work placements. In order to prove himself he voluntarily wore a 'Buddy Tracker' to monitor his movements. The offender manager continually supported Steve and motivated him to believe in the changes he was making. At the time of the inspection there had been no further offending or drug misuse for over nine months.

**Overall progress made in relation to factors identified as making the individual more likely to reoffend**



2.9. In relation to the factors associated with offending which were most frequently found in our case sample (listed in order of prevalence from the 90 cases inspected), we found the following:

Offending-related factor (and number of cases identified by us where this applied):	Of those cases where the factor was identified, the % where	
	sufficient interventions or services were delivered was:	sufficient progress was made:
<b>Most prevalent factors:</b>		
thinking and behaviour (71)	41%	37%
relationships (49)	27%	18%
drug misuse (46)	41%	28%
alcohol misuse (42)	31%	24%
lifestyle & associates (38)	24%	26%
<b>Other common factors</b>		
attitudes to offending (33)	33%	24%
emotional well-being (31)	42%	32%
accommodation (22)	64%	36%
financial management (18)	28%	33%

2.10. Overall, we judged that resources had been used efficiently to assist the individual to achieve planned outcomes in almost three-quarters of cases. Action had been taken or plans were in place to ensure that positive outcomes were sustainable beyond the end of the sentence in 70% of relevant cases.

### **3. Leadership and management to reduce the likelihood of reoffending**

3.1. The Trust was keen to learn from inspections and other reviews. An Excellence in Public Protection and Rehabilitation (EPPR) programme was launched in late 2012, following our last inspection. Central to this were Quality and Scrutiny Managers responsible for developing practice in response to the findings of national Serious Further Offences (SFOs), Serious Case Reviews and inspections. The Wales Probation Practice Manual launched in October 2013 was a welcome development, taking offender managers through the individual's journey from pre-sentence to the completion of their court order. This included advice on how to plan and review work with offenders. The 'tools for working with offenders families' module was due to be launched and together with the new Children's Safeguarding practice direction will help to support work to protect children and young people. When asked by inspectors, offender managers were positive about the range of interventions available overall, with most rating it as sufficient or excellent.

3.2. Whilst there was more to be done, the work commenced under the EPPR programme will also help to address the recommendations of this inspection.

### **Summary**

*Overall, 62% of work to reduce the likelihood of reoffending was done well enough.*

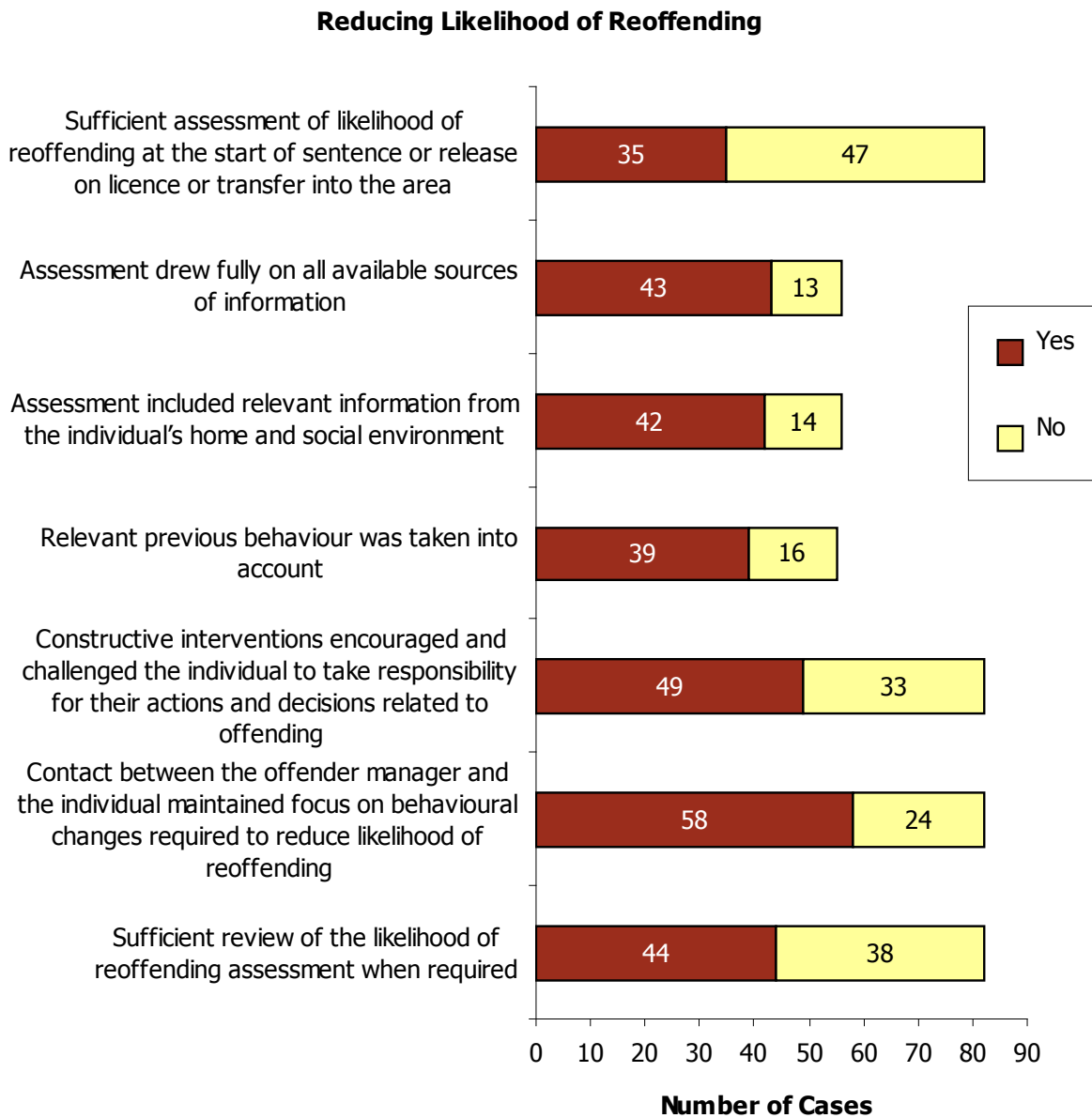
We have recommended that post inspection improvement work focuses on ensuring that:

- initial assessments of the offender's likelihood of reoffending and their risk of harm to others are completed to a sufficient standard and then used to determine the most appropriate intervention.

For a summary of our findings please see page 2

### Data Summary

The following chart summarises data from some of the key questions assessed during the inspection of cases. [NB: 90 cases were inspected. However, the total answers may not equal this, since some questions may not have been applicable to every case]



**Protecting  
the public by  
minimising  
risk of harm to  
others**

**4**

## Outcome 4: Protecting the public by minimising the risk of harm to others

### What we expect to see

Some offenders present a risk of harm to other people. In all cases we expect to see the level of this risk properly assessed and, where necessary, plans made to manage and minimise risk to other people. All reasonable action should be taken to protect the public and ensure the safety of victims<sup>3</sup>.

### Case assessment score

Overall, 62% of work to ensure the protection of the public was done well enough.

### Key strengths

1. Where restrictive requirements were in place, these were nearly always appropriate and proportionate to the assessed risk. Approved premises were used effectively to manage risk of harm to others.
2. All cases identified as eligible for Multi-Agency Public Protection Arrangements (MAPPA) were managed at the appropriate level.
3. Enforcement procedures and recall to prison were used appropriately in response to increased risk of harm in almost all cases where needed.

### Key areas for improvement

1. There were too few cases where the risk of harm posed to others had been analysed well. A sizeable number of risk of harm screenings and analyses had not been completed.
2. Similarly, too few cases included an effective plan to manage the risk of harm posed by the individual
3. There was insufficient review of assessments and risk management plans, especially in response to significant changes in circumstances.
4. Where there was a need for multi-agency child protection procedures these were not always used effectively.
5. Management oversight was not making enough positive difference to probation practice in cases posing a high risk of harm to others or where there were child protection concerns.

### Explanation of findings

#### 1. Assessment and planning to minimise risk of harm to others

- 1.1. All cases should undergo an initial RoSH screening at the start of sentence or release from custody. In more than a quarter of the sample (28%) we considered that the RoSH screening had not been completed or had been completed so late that it could not count as an initial screening. A further quarter was considered insufficient; some were produced late, others had not included all previous violent offending or behaviour. This left less than half the sample (47%) with a sufficient initial RoSH screening and this was not an acceptable start to the work to protect the public.

<sup>3</sup> Our judgements about work to protect actual and potential victims are incorporated into the overall score for Protecting the Public as well as contributing to the score for Delivering Effective Work for Victims. In this report, the detailed findings are discussed under Outcome 5: Delivering Effective work for Victims.

- 1.2. We found a similar picture in relation to the full analysis of the risk of harm posed by the individual. In 42% of relevant cases an analysis had not been completed. This meant that 33 cases with characteristics which indicated a potential risk of harm to others had not been subject to sufficient scrutiny during the early part of the offender's court order.
- 1.3. Of those that were completed 22 were of insufficient quality (28%). The main reasons for insufficiency were; late completion, missing information such as the offenders contact with children and young people, and a tendency to focus on the present offence without due regard to wider indicators of risk of harm. The full analysis of the risk of harm to others helps offender managers to identify the types of harmful behaviour posed by the individual and is necessary to inform the risk management plan. We were therefore particularly concerned to find that seven of the insufficient analyses and five of those that had not been completed were on offenders considered to be a High Risk of Serious Harm to others.
- 1.4. In most cases we thought the Risk of Serious Harm classification was correct, except in 13 cases where we took a different view from the offender manager. In eight of these we felt the risk of harm classification was too low and in five we felt it was too high. No classification was recorded at the start of sentence or release on licence in 12 cases.
- 1.5. We paid particular attention to how well the Trust assessed any risks to children and young people throughout the sentence. In just over a third of relevant cases assessments did not include basic information about the offender's parental status, children or young people with whom the offender had contact and details of children or young people living at different addresses. We found that sufficient attention had been paid to the protection of children and young people in relation to the offender's contact with any child or young person in just under two-thirds of cases. This rose to three-quarters for high risk of harm cases. Although there was room for improvement overall, the practice illustration below demonstrates active consideration of the protection of children and young people:

#### Practice illustration-effective child protection practice

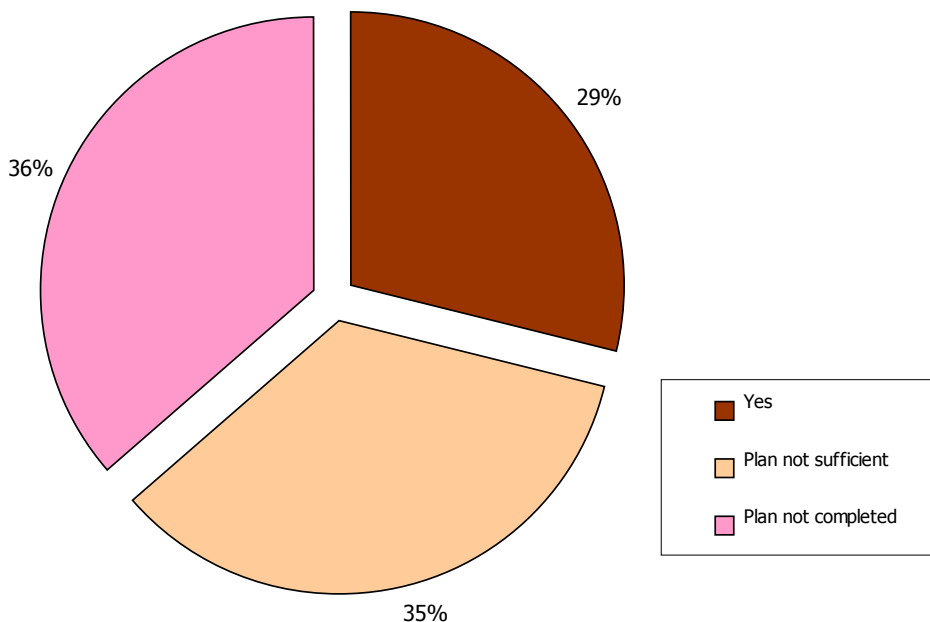
Tom was convicted of offences that did not suggest that he presented a risk of harm to children and young people, but had admitted to behaviour that did indicate such a risk. The offender manager was concerned that Children's Social Services had ended Child Protection plans in respect of his own children, and escalated her concerns until new child protection conferences were set up. She also referred two other children in the family for assessment to ensure that they were not at risk. Regular home visits were undertaken to include Tom's wife in elements of the work so that she fully understood the concerns. As the supervision progressed, and Tom was able to talk more fully about the issues he faced, it became clear that there was less of a risk to his own children than had been feared. The work completed made it more likely that the children would be protected even after the formal Child Protection plans came to an end.

- 1.6. In just over half of all applicable cases we found evidence that information had been actively sought from other relevant staff and agencies involved with the offender.
- 1.7. In all but 2 of the 24 cases where restrictive requirements such as a curfew or restraining order were in place, their use was judged to be appropriate and proportionate to the risk of harm and the likelihood of reoffending. Their use served to minimise the risk to actual or potential victims.
- 1.8. Risk management plans are required in cases where the RoSH classification is medium or higher. We were therefore concerned to find that an initial risk management plan had not been completed in 24 (36%) relevant cases. A similar proportion was found to be of insufficient quality. Plans completed on high risk cases were marginally better than those on medium risk cases although five were missing.

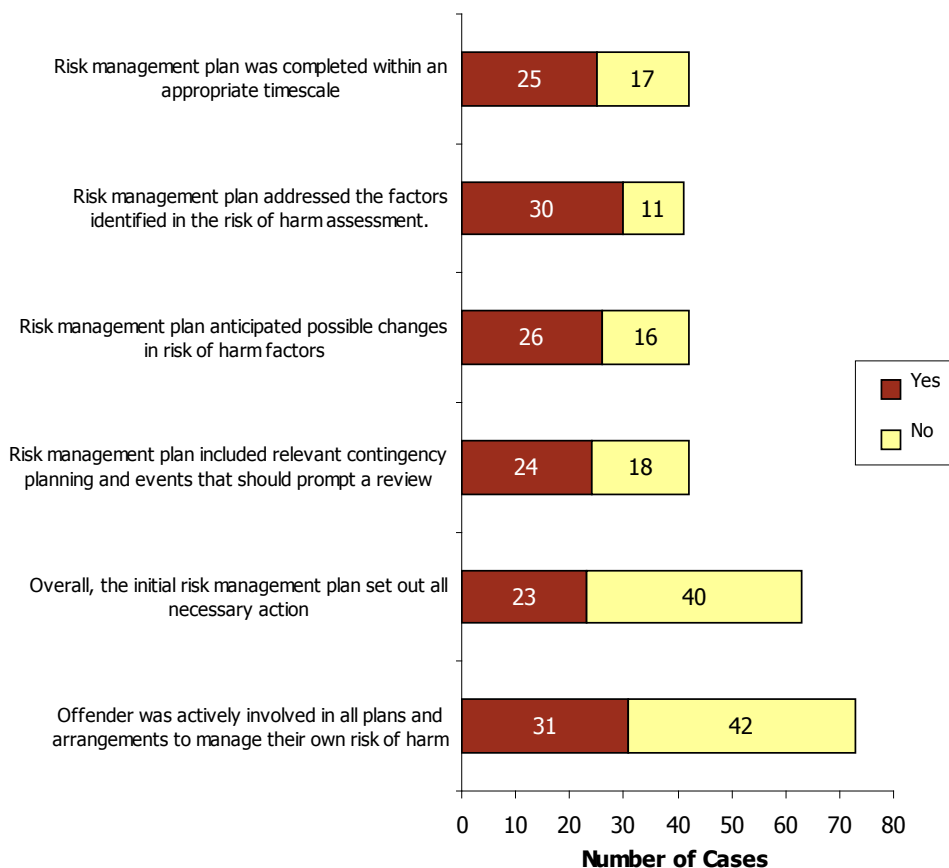


1.9. The charts below present our findings in respect of this work. The key factors that would have improved planning were: addressing all of the factors identified in the full risk of harm analysis, accurately describing how the objectives in the sentence plan and other activities would address risk of harm and protect victims, and to include relevant contingency planning. We saw some one word contingency responses such as 'breach' or 'recall' without further elaboration. Furthermore, service users needed to be more engaged in plans to manage their own risk of harm.

**Sufficient initial plan in place to manage risk of harm**



**Risk Management Planning**

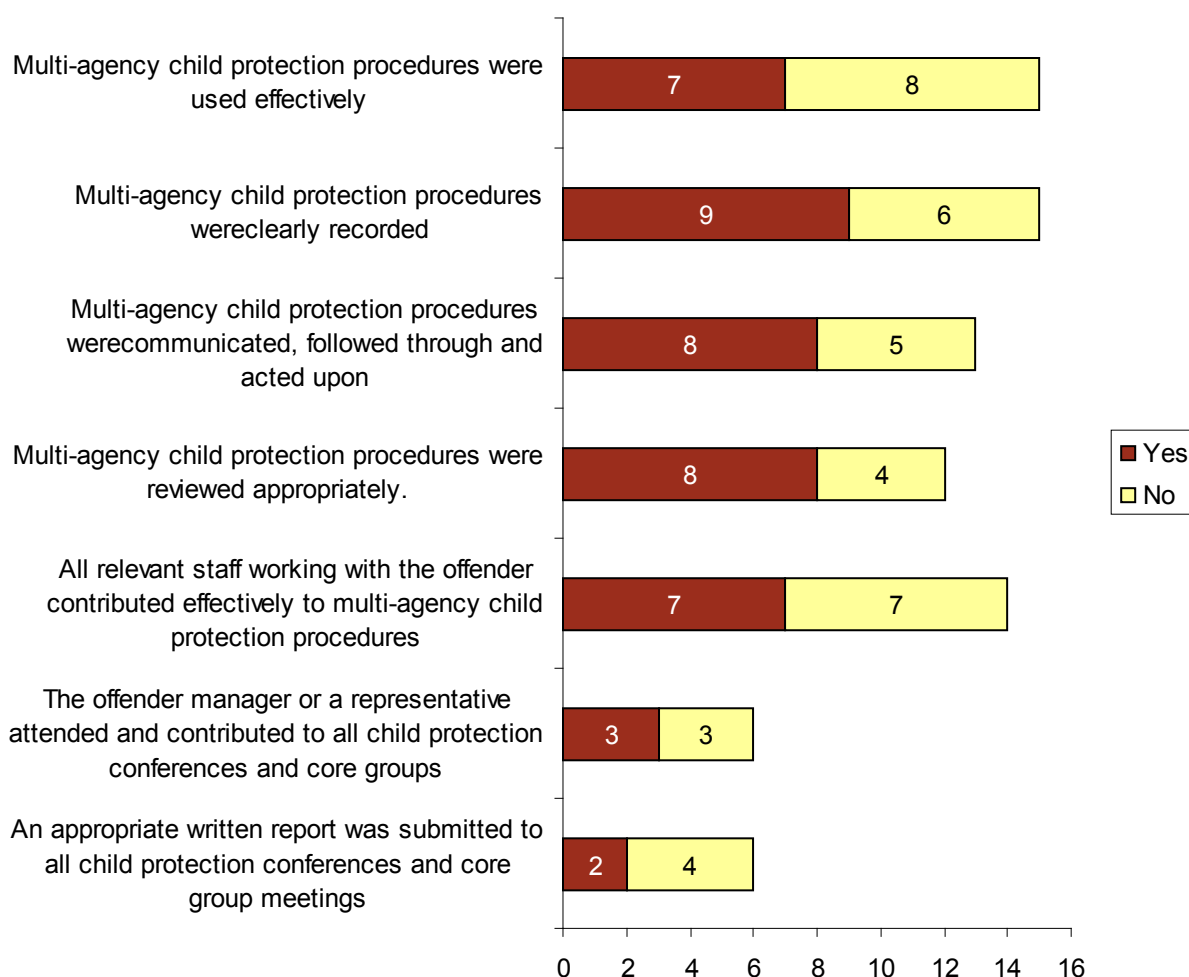


- 1.10. Key risk of harm information had been communicated between all relevant staff and agencies in 61% of relevant cases.
- 1.11. The 14 cases that were identified as falling within MAPPA were managed at the appropriate level. In all but one case MAPPA referral processes had been used effectively. However, of the seven cases managed at level 2 (by more than one agency) actions agreed by MAPPA had been included in relevant planning documents, such as risk management plans, in only four cases.

## **2. Delivery of interventions to minimise risk of harm to others**

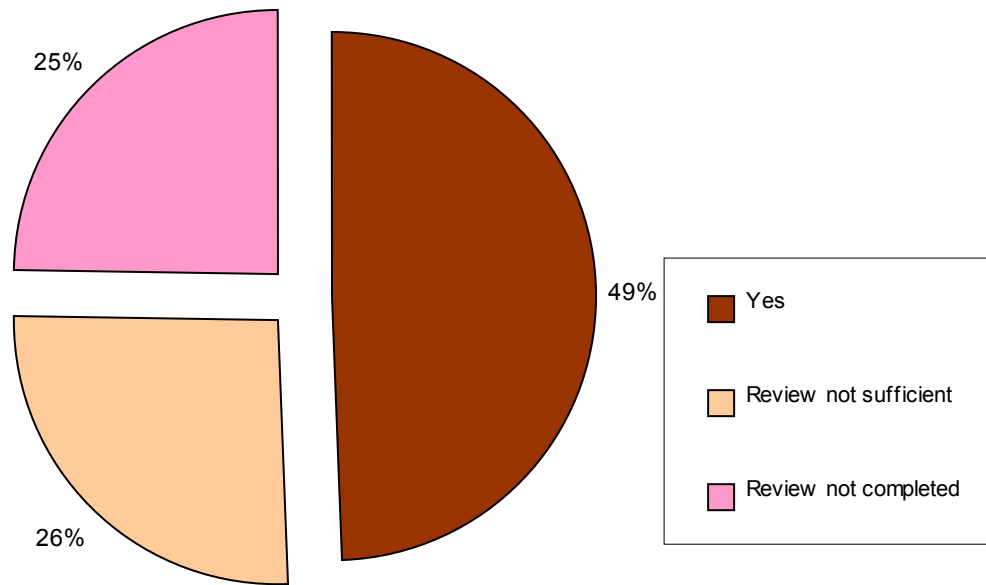
- 2.1. The response by the offender manager to changes in the risk of harm posed to others was appropriate in just over half of all relevant cases. This performance could have been improved by swifter actions and better communications with other agencies involved in the case.
- 2.2. Where there were restrictive requirements or conditions in community orders or licences, they were monitored fully in all but three cases. For those resident in approved premises, the requirement to reside there along with other restrictions of their behaviour were used effectively to manage risk of harm to others. The effective contribution of the approved premises in helping to protect the public was clearly valued by staff working in the Trust.
- 2.3. Where the offender poses a high risk of harm to others or there are concerns in relation to protecting children and young people we expect to see a purposeful home visit carried out and repeated as necessary. An initial home visit had been undertaken in just over half of cases where we felt they were needed. Repeat home visits were more frequent. The Trust did encourage home visits but this had not yet formed an embedded part of offender managers' practice, with the exception of high risk cases which performed much better against this measure.
- 2.4. We found 24 cases where we felt enforcement proceedings, or recall to prison was needed in response to an increase in the risk of harm posed by the individual. Action had been taken in all but four. Where breach or recall did occur, this was instigated promptly in all but one case, with an explanation given to the individual in all but four cases. Sufficient efforts were later made to re-engage the individual with their sentence plan in two-thirds of cases.
- 2.5. The chart below shows that Child Protection procedures were used effectively in 7 of the 15 relevant cases (four out of five for high risk cases). Improved recording as well as consistent attendance at Child Protection conferences and core groups would have enhanced performance in this area.

### Multi-agency child protection procedures



- 2.6. The Violent and Sexual Offenders Register (ViSOR) was used effectively in five out of nine relevant cases. Some offender managers stated that practice had slipped in this area with information not always inputted on the electronic system.
- 2.7. Issues relating to an individual's risk of harm to others do not remain static. We expect to find an assessment of risk of harm reviewed to reflect this. The charts below represent our findings, that there had been a sufficient review of risk of harm in only half of the cases that needed one. Too few were completed within a reasonable interval or following any significant change in circumstances. More positively, where reviews had been completed, offender managers had taken into account changes in relevant factors and included information from multi-agency systems.
- 2.8. There was a sufficient review of the risk management plan in less than half of the cases where we would have expected to see one. We were concerned to find that there had been no review at all in 19 relevant cases including 4 cases posing a high Risk of Serious Harm to others. Reviews tended to be of better quality than the initial risk management plan and this was attributed to recent staff training.

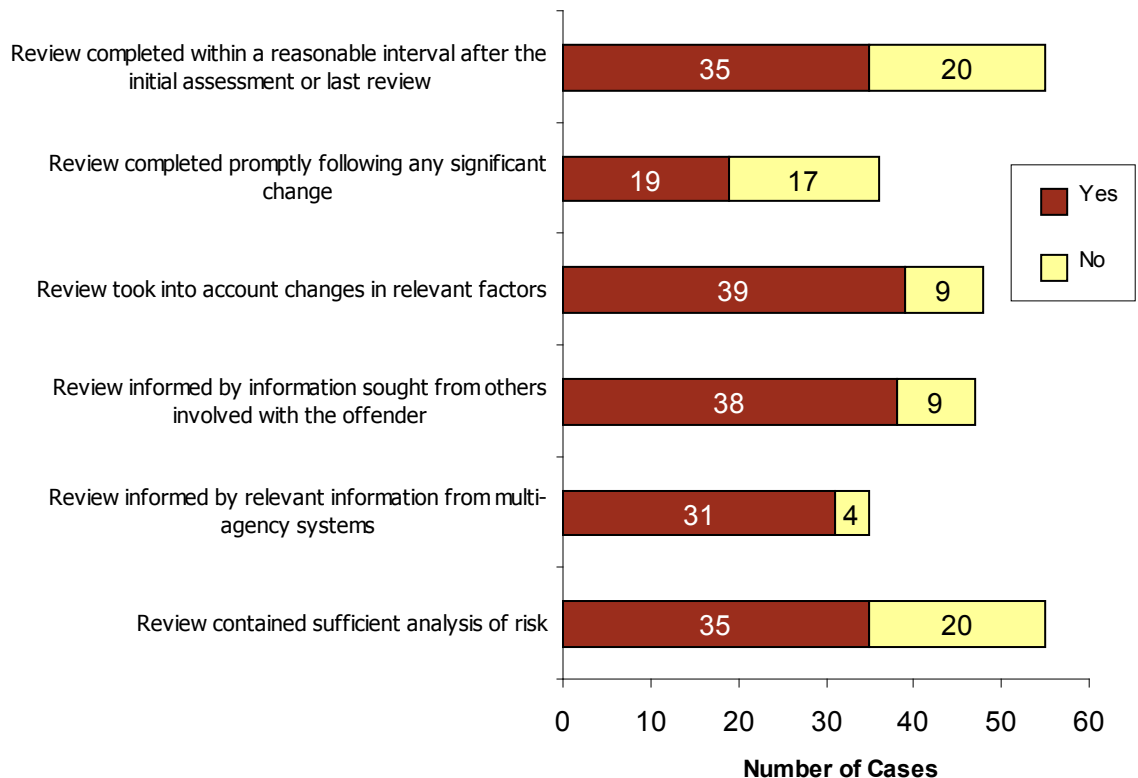
### Sufficient review of the risk of harm assessment



### 3. Risk of harm is minimised

3.1. Notwithstanding our earlier findings with regard to assessments and planning we found that all reasonable action had been taken to keep to a minimum the individual's risk of harm to others in almost three-quarters of cases.

### Reviewing the risk of harm assessment



- 3.2. The chart, 'Working with other agencies', outlines our findings in respect of multi-agency work to address risk of harm issues.
- 3.3. In almost two-thirds of cases offender managers had undertaken all inter-agency checks that were necessary to confirm if there had been any reports or concerns about an offender or their address. Of the 19 cases where checks had not been undertaken, 9 of these were cases that had not had an assessment undertaken at the start of their sentence or licence. This highlights the ongoing impact of not having had an assessment at the earliest point of contact with the service. Relevant checks had been made in all but one high risk case.
- 3.4. We found that multi-agency work had contributed effectively to the management of the risk of harm to others in two-thirds of cases (in all but two high risk cases).
- 3.5. A check had been made to the police domestic violence unit and to Children's Social Services Departments in three-quarters of relevant cases and this was higher than the other probation trusts inspected as part of the Child Protection themed inspections. A number of teams benefited from having police officers based within the same building providing ready access to information about the background of offenders. In the 20 cases where concerns had been reported by other agencies, appropriate action had been taken by the offender manager in all but three. The practice illustration below demonstrates the benefits of collaboration between police and probation staff:

#### Practice illustration-sharing information to help protect the public

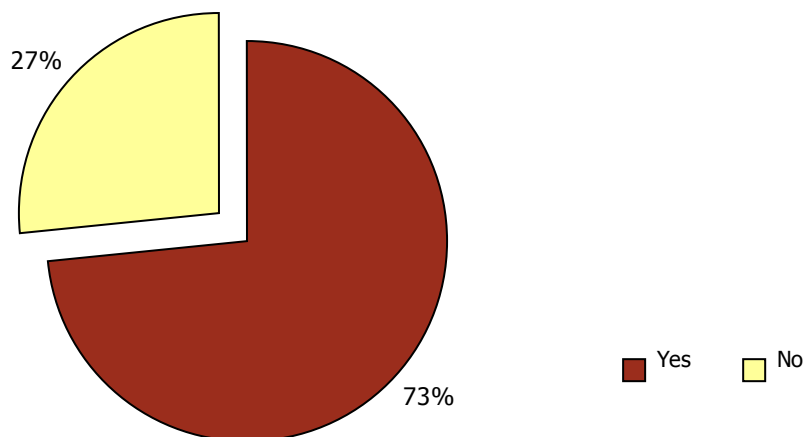
The probation LDU at Swansea had developed excellent working relationships with the Police Public Protection Unit. Every public protection notification completed after a police domestic violence or safeguarding callout was sent to a specified probation inbox. For any known offenders the information would be passed on to the offender manager without delay. Also, police based at the probation office had access to the Police National Computer allowing them to respond swiftly to probation officer enquiries.

- 3.6. There were 30 cases in the sample where there was an identified risk of harm to either a child of the offender or their carer. A referral was made to Children's Social Services in 23 of these cases. The example below illustrates how the offender manager was able to make a Child Protection referral in an open and transparent way:

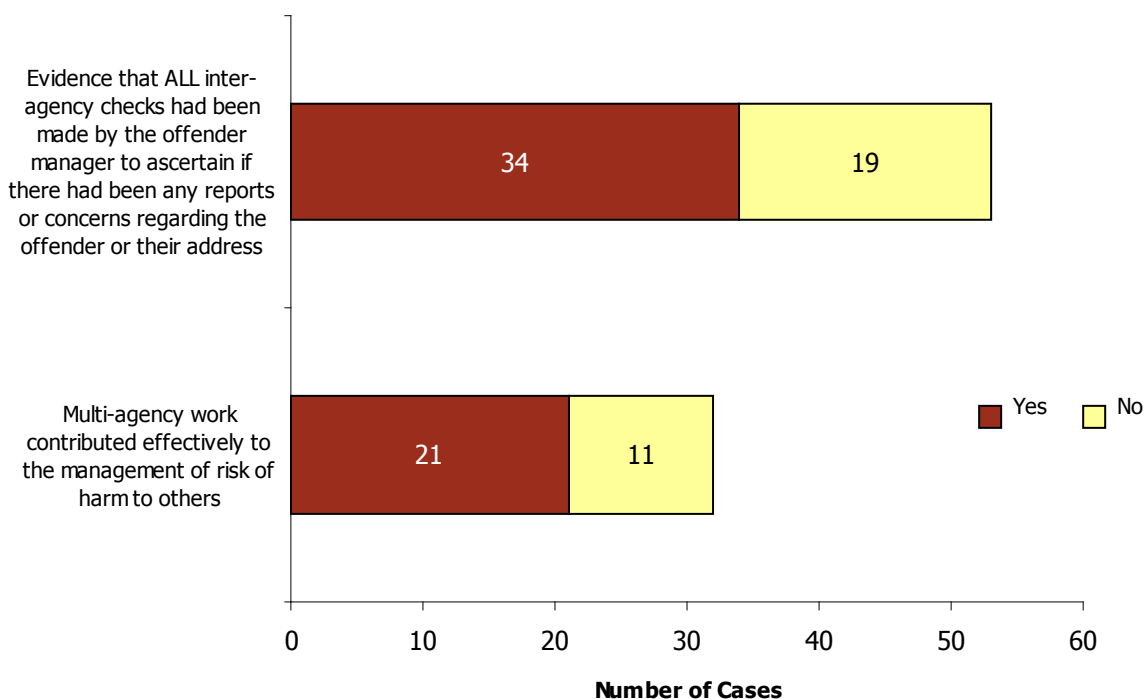
#### Practice illustration-gaining an offender's cooperation with a child protection referral

John's offender manager was concerned that he displayed a mistrust of professionals, particularly children's social services. John also had a history of mental health problems and was a potential risk to children and young people. The offender manager saw John at home, accompanied by the health visitor involved with the family. Work was undertaken to help motivate John to consider a better future for himself and gradually he formed more positive relationships with the professionals involved in his care and supervision. He has since engaged with a Child Protection referral submitted by his offender manager.

**All reasonable action was taken to keep to a minimum the offender’s risk of harm to others**



**Working with other agencies**



**4. Leadership and management to minimise risk of harm to others**

4.1. Where there are concerns about the protection of children and young people or in high risk of harm cases, we expect to see structured management involvement in the case. We found evidence of effective management oversight in 12 out of 41 relevant cases. In 19, there was no evidence of structured management oversight and in 10 there was evidence that oversight had taken place but not that it had made a positive difference to the management of the case. Some cases had been allowed to drift without relevant assessments and plans being drafted, in other cases work of insufficient quality had been countersigned by managers as opposed to being returned to the offender manager with appropriate advice.

- 4.2. The high proportion of assessments and plans that had not been completed was a recurring theme throughout the inspection. We were aware that systems were in place to highlight this deficit whereby managers would receive a list of work that had not been completed with the intention that this was then addressed with the offender manager. However, this had not been effective enough. Some managers related this to the level of uncertainty felt over the past year with the introduction of *Transforming Rehabilitation* and the preparation work that followed. During the week that we visited Wales Probation Trust managers were undertaking the task of reallocating cases, to be split between the National Probation Service and Community Rehabilitation Company and this was clearly a source of anxiety for some staff. Promising initiatives such as SEEDS had reluctantly been put on hold and the quality assurance of work had not been given sufficient attention in the months preceding the abolition of the Trust.
- 4.3. All offender managers interviewed felt confident that they could identify and work with Child Protection and safeguarding issues. We asked staff whether they had received specific Child Protection training (including refresher or top-up training) within the last two years; almost two-thirds said that they had. Almost all reported that the Trust disseminates learning from local and national SFOs and Serious Case Reviews, a key strand of the aforementioned EPPR programme. Further, in response to SFO findings the Trust had recently issued offender managers with small 'flashcards' designed to prompt practitioners to reflect on their practice and consider what action to take.

## Summary

*Overall, 62% work to ensure the protection of the public was done well enough.*

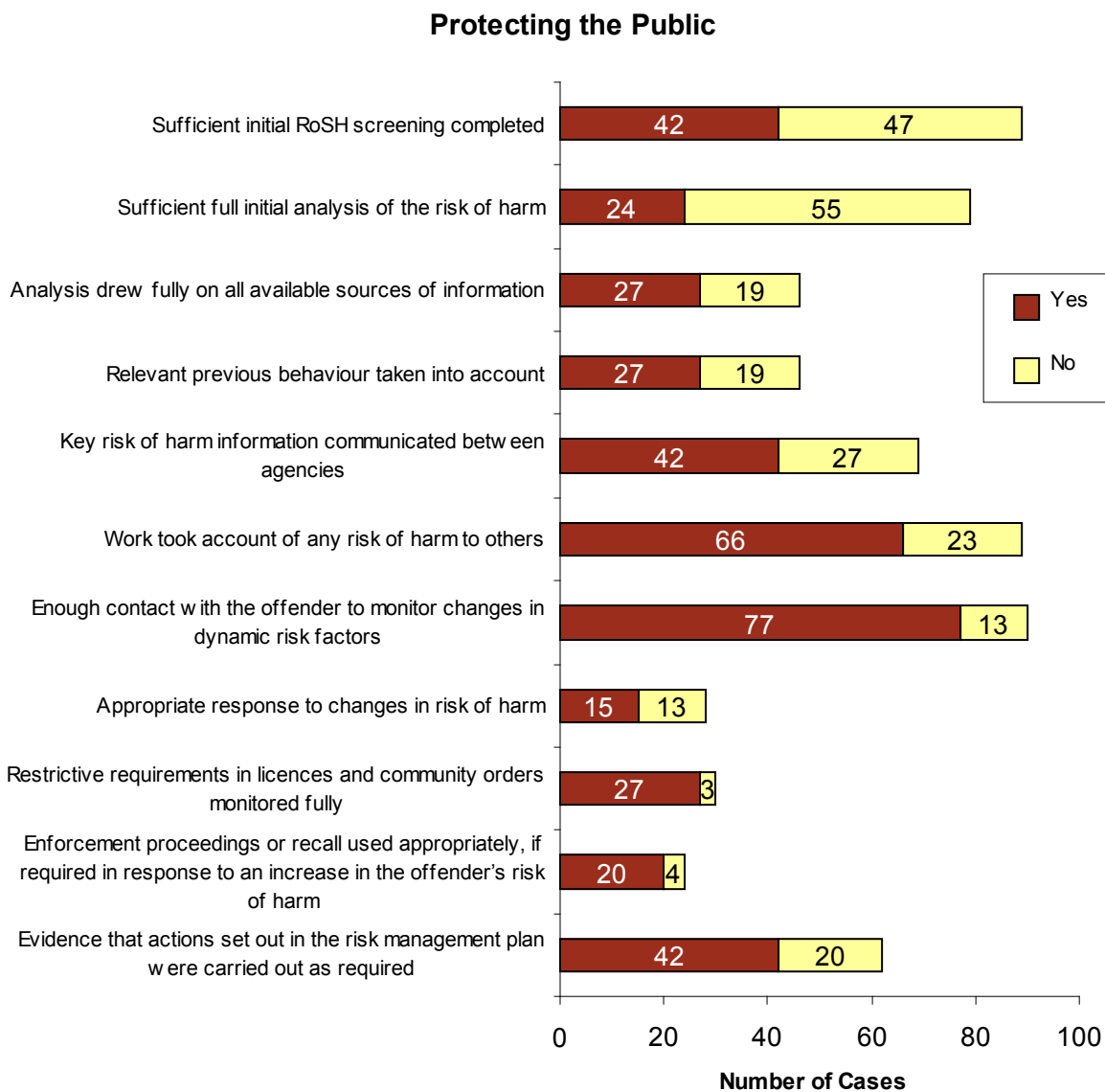
We have recommended that post inspection improvement work focuses on ensuring that:

- a plan to manage risk of harm to others is in place where appropriate and this addresses all factors identified in the assessment and includes appropriate contingency planning
- to safeguard and protect children and young people, checks are made as a matter of routine with children's social services and other relevant agencies and any actions included in plans
- managers provide effective oversight in all cases where the individual poses a high or very high Risk of Serious Harm to others and/or where there are child protection concerns.

For a summary of our findings please see page 2

## Data Summary

The following chart summarises data from some of the key questions assessed during the inspection of cases. [NB: 90 cases were inspected. However, the total answers may not equal this, since some questions may not have been applicable to every case]





# Delivering effective work for victims

5

# Outcome 5: Delivering effective work for victims

## What we expect to see

The safety of actual and potential victims should be given a high priority. We expect to see this given attention in work with individual offenders. Where statutory victim contact work is required, we expect to see this undertaken so that victims are kept appropriately informed.

## Case assessment score

Overall, 73% of work to deliver effective services for victims was done well enough.

## Key strengths

1. Victim contact work had been undertaken well.
2. Victims who responded to our questionnaire were mostly positive about their experience of the Trust with all saying that their individual circumstances and needs had been taken into account.

## Key areas for improvement

1. The safety of existing and potential victims was not always given appropriate priority by offender managers, particularly within risk management plans.

## Explanation of findings

### 1. Assessment and planning to minimise risk of harm to victims

- 1.1. We look to see whether offender managers and others have paid appropriate attention to the risk of harm to actual and potential victims within their assessments and plans. We found that less than half of initial risk management plans were clear about how sentence plan objectives and other activities would protect victims.
- 1.2. As previously reported, the absence or late production of a number of assessments and plans makes active risk management more difficult.

### 2. Delivery of interventions to minimise risk of harm to victims

- 2.1. In ongoing work with individuals, offender managers and others need to give appropriate priority to the safety of existing and potential victims. This was done well enough in 60% of cases, which left some room for improvement. Better attention had been paid to the safety of victims in high risk of harm cases.
- 2.2. Offender managers had taken into account concerns expressed by victims in almost three-quarters of cases.

### 3. Risk of harm to victims is minimised

- 3.1. Overall, we considered that in cases where there was an identifiable or potential victim, the risk of harm to them had been managed effectively in 69% of cases. Specifically, we considered that the safety of children and young people had been promoted in 71% of cases.

#### **4. Victim contact and restorative justice**

- 4.1. Probation Trusts have responsibility for running victim contact schemes. They provide victims of certain crimes with information about the key points in a prisoners sentence, such as a move to open conditions and their release; they also give victims the chance to say what conditions they think should be included in the individual's licence when they are released.
- 4.2. There were 11 licence cases in our sample where the Trust offered the victim face-to-face contact with a Victim Liaison Officer; in all of these cases, the offer was made within eight weeks of the offender being sentenced to custody. There was one case where we considered that the offer of a meeting should have been made but it was not.
- 4.3. Six victims took up the offer of contact and the quality of work undertaken with them was sufficient in all cases. There was regular and accurate information exchange between offender managers and victim contact workers in all but one case and between offender managers and prison staff in all but two cases.
- 4.4. The development of restorative justice practice was at an early stage and we identified one case in the sample where an offer of a restorative justice intervention had been made to the victim. This offer had not been taken up but it was encouraging to see early signs of work towards this potentially helpful intervention.
- 4.5. In each case, victims were given the opportunity to provide their views on proposed licence conditions.
- 4.6. Fourteen victims of crime who were in touch with the victim contact scheme responded to our questionnaire. The findings and some comments are included in the following box:

### Responses from victim questionnaire

Fourteen victims of crime who were in touch with the victim contact scheme responded to our questionnaire:

- Thirteen confirmed that the initial letter about the scheme was easy to understand and twelve said that this made it clear that they had a choice about whether to become involved.
- All respondents said that their individual circumstances and needs had been taken into account and all thought that victim contact staff had a full understanding of the impact of the offence on them.
- Twelve of the victims said that they were kept informed about key points in the individual's sentence.
- Eleven out of thirteen indicated that they had the chance to say what conditions they thought should be included in the licence; extra licence conditions had been added in eleven relevant cases to keep them safer when the individual was released.
- Ten respondents had reported concerns to the Trust and all were satisfied with the response that they received.
- Ten people said they felt safer as a result of the work undertaken through the victim contact scheme; two said it had not made them feel safer and a further two said it had not made any difference.
- On average, respondents were mainly satisfied with the service provided, with seven people being completely satisfied and one person not satisfied at all.

### Comment from victims

Several victims provided additional comments; some of which are reproduced below:

*"A big thank you to all victim liaison staff. You have been fantastic. Thank you so much. "*

*"I found all contact with the unit very good and helpful."*

*"I have discovered that the offender was released in January without my being informed.' Waiting for the license' should not be the reason for leaving me in ignorance. It will soon be March and had it not been for my ringing up about this survey I would still have been in ignorance."*

### Summary

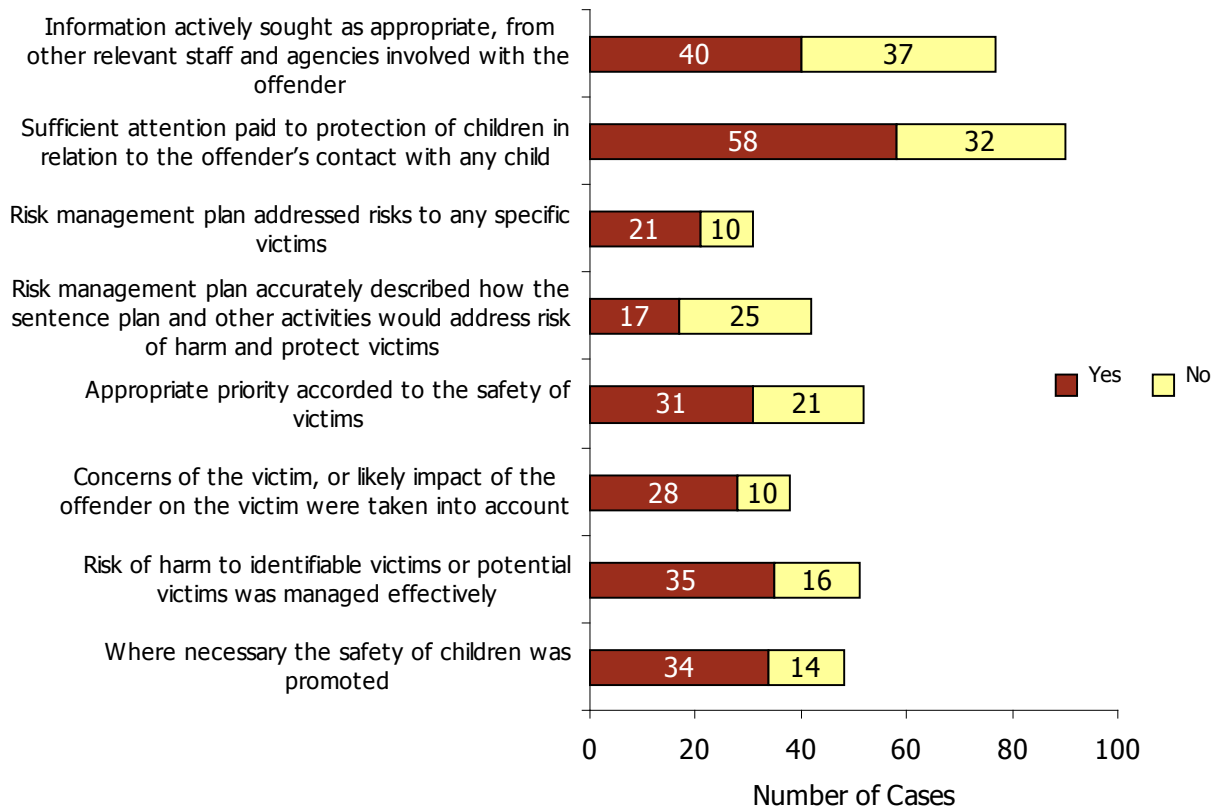
*Overall, 73% work to deliver effective services for victims was done well enough.*

For a summary of our findings please see page 2

**Data Summary**

The following chart summarises data from some of the key questions assessed during the inspection of cases. [NB: 90 cases were inspected. However, the total answers may not equal this, since some questions may not have been applicable to every case]

**Effective Work for Victims**



# Appendices

# Appendix 1

## Contextual information about the area inspected

### Wales demographic data

Local Authority	Unemployment <sup>1</sup>	Population <sup>2</sup>	Black and minority ethnic population <sup>3</sup>
Isle of Anglesey	6.5 %	69,700	1.9 %
Gwynedd	6.7 %	121,900	3.5 %
Conwy	6.9 %	115,200	2.3 %
Denbighshire	7.4 %	93,700	2.7 %
Flintshire	6.3 %	152,500	1.6 %
Wrexham	7.5 %	134,800	3.0 %
Powys	5.3 %	133,000	1.7 %
Ceredigion	5.9 %	75,900	3.2 %
Pembrokeshire	7.0 %	122,400	1.9 %
Carmarthenshire	6.3 %	183,800	2.1 %
Swansea	8.9 %	239,000	5.8 %
Neath Port Talbot	7.9 %	139,800	2.0 %
Bridgend	8.5 %	139,200	2.2 %
The Vale of Glamorgan	7.9 %	126,300	3.5 %
Cardiff	9.8 %	346,100	15.3 %
Rhondda Cynon Taf	11.1 %	234,400	2.6 %
Merthyr Tydfil	12.1 %	58,800	2.5 %
Caerphilly	9.8 %	178,800	1.9 %
Blaenau Gwent	14.8 %	69,800	1.5 %
Torfaen	10.8 %	91,100	2.1 %
Monmouthshire	5.5 %	91,300	2.1 %
Newport	9.8 %	145,700	10.0 %
<b>England &amp; Wales</b>	<b>8.0%</b>	<b>56,075,900</b>	<b>14.1%</b>

<sup>1</sup> Office for National Statistics Local Labour Market Indicators - October to September 2012

<sup>2</sup> Office for National Statistics 2011 Census

<sup>3</sup> Office for National Statistics 2011 Census

### Probation Caseload Data

Total by gender/ethnicity (Analytical Services, Ministry of Justice October 2012)

Wales	Supervised in community and pre-release	National average
Total caseload	14,045	n/a
% White	91.5%	76.4%
% Minority ethnic	5.3%	19.9%
% Male	87.8%	90.0%
% Female	12.2%	10.0%

## Appendix 2

# Contextual information about the inspected case sample

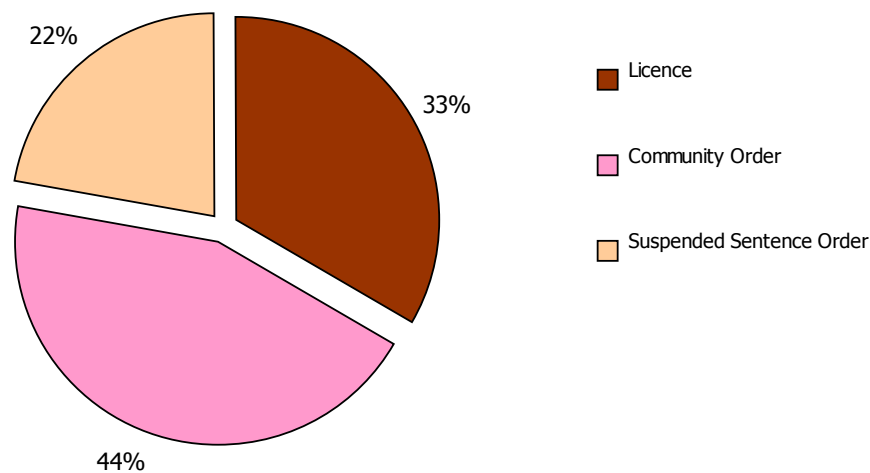
In the first fieldwork week we look at a representative sample of between 50 and 90 individual cases (depending on the size of the area), which have been supervised for around nine months. These are community orders, suspended sentence orders and post-custody licences.

During the year 2013-2014, this sample is drawn from cases managed by a Probation Trust. The sampling methodology will be adapted in future to incorporate work managed by other providers.

Between October 2013 and March 2014, we will pay increased attention to the work of the Probation Trust to protect children.

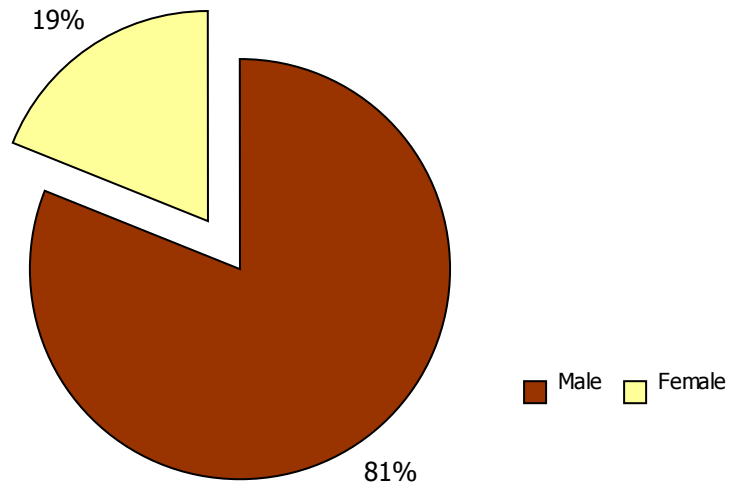
In Wales we inspected a total of 90 cases drawn from three of the seven LDUs which comprise Wales Probation Trust. These LDUs cover the areas of Swansea, Neath, Bridgend, Cardiff, Vale of Glamorgan, Rhondda Cynon Taff and Merthyr Tydfil (excluding work in South Powys). Inspection of work in the other LDUs will take place at a future date.

**Type of Case**

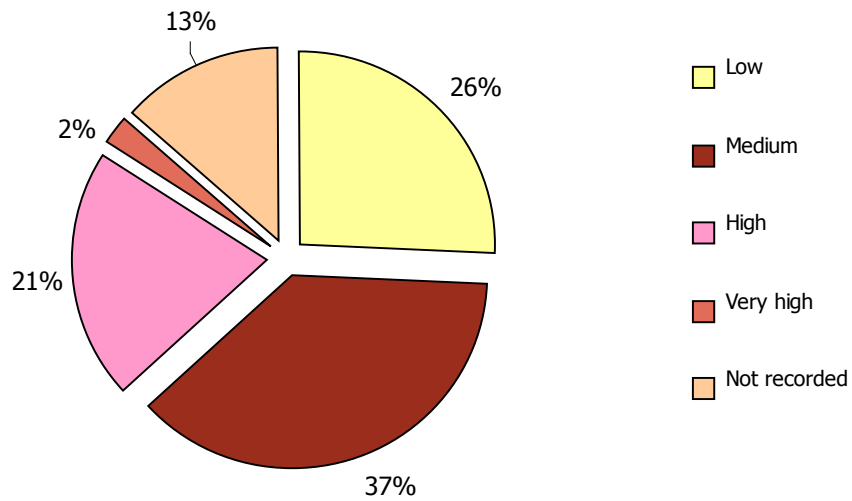




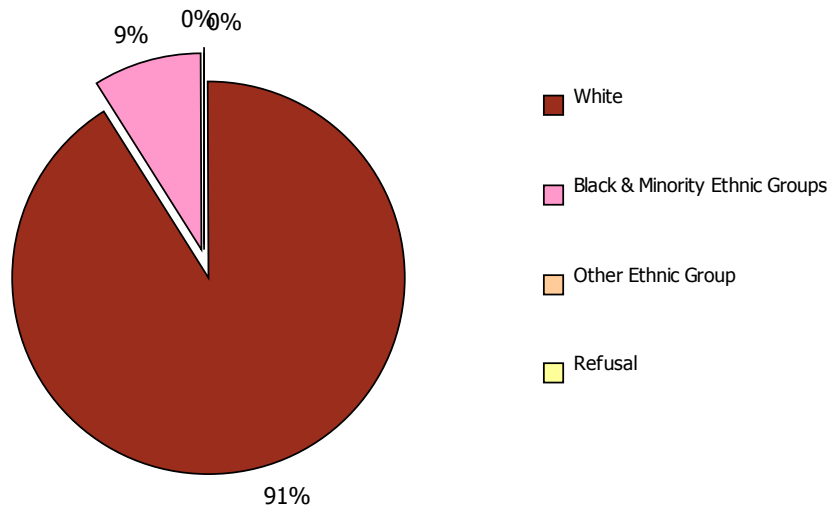
## Gender



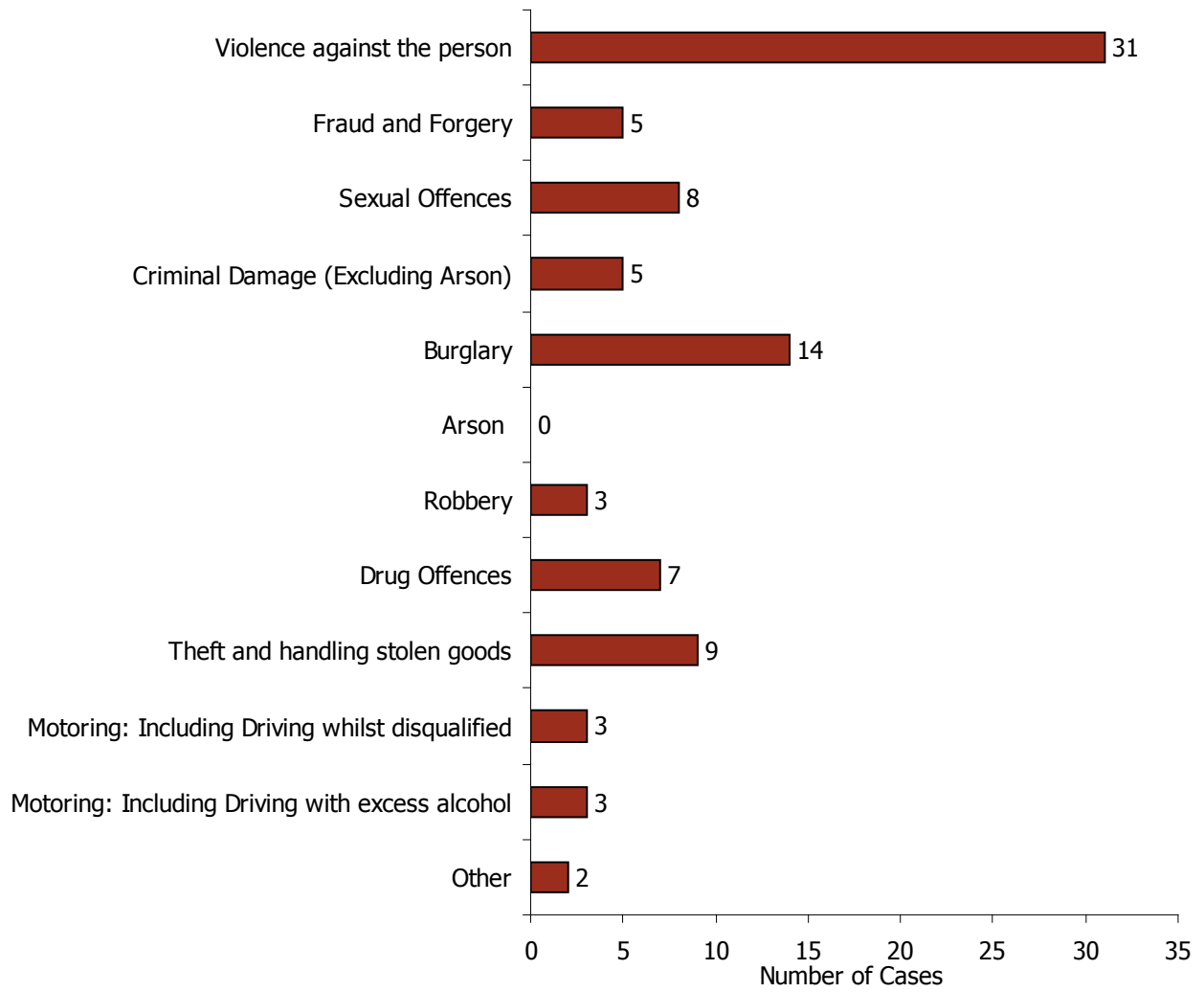
## OASys RoSH classification as recorded at the start of sentence or release on licence or transfer into this area



## Race and Ethnicity



## Principal Offence



## Appendix 3

### Acknowledgements

We would like to thank all the staff from Wales Probation Trust and members of the management team for their assistance in ensuring the smooth running of the inspection. We are particularly grateful to the staff who were trained as Local Assessors and worked as members of the inspection team.

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	Gary Smallman, <i>HMI Probation</i>
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	Lowri Thomas, <i>Local Assessor</i>
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	Lynne Osborn, <i>Support Services Officer</i>
	Oliver Kenton, <i>Assistant Research Officer</i>
	Alex Pentecost, <i>Publications Manager</i>
<b>Assistant Chief Inspector</b>	Sally Lester, <i>HMI Probation</i>

## Appendix 4

# Inspection arrangements

Full details of arrangements for the Inspection of Adult Offending Work are available from the HMI Probation website at the following address:

<http://www.justiceinspectorates.gov.uk/hmiprobation/about-our-inspections/adult-inspection-programmes/inspection-of-adult-offending-work>

### Inspection focus

During the year 2013-2014, the Inspection of Adult Offending Work focuses on the work of Probation Trusts, supported by local partnership arrangements. This will change in due course, when work with offenders is managed and delivered by other organisations. The inspection framework has been designed to be adapted to accommodate these changes.

This inspection focuses on the quality of practice through inspecting a sample of cases managed by the organisation. In each case we follow the 'offender's journey' - that is, we firstly examine the quality of the assessment of the factors that need to be addressed to prevent offending; secondly the quality of work that is done with the offender to change their behaviour; and thirdly the evidence of outcomes – that is, whether the work has been well targeted, effective, and supports desistance. The inspection of these cases contributes to our overall judgements about the quality of work to:

- assist sentencing
- deliver the sentence of the court
- reduce the likelihood of reoffending
- protect the public
- deliver effective work for victims.

From April to September 2013 we selected cases where the index offence was one of violence; results from the six inspections involved will form the basis of an aggregate report. From October 2013 – March 2014, we are enhancing our focus on the work of Probation Trusts to protect children. In each case inspected we expect to see an assessment of whether the individual presents a risk of harm to a child or children, and appropriate action taken where required. We are selecting a broad case sample of individuals who are subject to a community order or post-custody licence. In some cases there will be no issues regarding the protection of children; in other cases concerns may have led to referral to other agencies, or multi-agency work.

### Methodology

Each inspection is announced ten weeks before the first fieldwork week. The primary focus is the quality of work undertaken with adults who have offended, and statutory victim contact work in relevant cases. The work is assessed by a team of inspection staff and trained Local Assessors. Practitioners working with the case are interviewed in-depth and asked to explain their thinking and to identify supporting evidence in the record. They are also asked about the extent to which elements of leadership and management support the quality of their work.

Although our main focus is the quality of practice, we will also comment on leadership and management in our reports *where this provides an explanation or context for the findings about practice*. Prior to or during this first week, we receive copies of relevant local documents that inform our understanding of the organisation's structure and priorities. Inspection teams follow up lines of enquiry triggered by case

inspections, this may involve meeting local managers, talking with practitioners or administration staff, or general observation of office practice.

Formal meetings with managers, sentencers and service providers are held two weeks after the case inspection. Preliminary analysis of the data from the case inspections allows us to explore, in greater detail, the themes that are emerging. We also consider specific local characteristics and needs; the ways in which gaps in provision are identified and filled; and work that has been done to improve the quality of service delivery. In particular, issues relating to leadership, management and partnership are explored to help us understand their contribution, or otherwise, to the quality of the work delivered.

The views of victims are obtained through a questionnaire, and sentencers are interviewed about the quality of court based work. The views of offenders are obtained through a survey conducted annually by NOMS.

At the end of the second fieldwork week, we present our findings to local strategic managers.

### **Publication arrangements**

A draft report is sent to the Probation Trust for comment three weeks after the inspection, with publication approximately six weeks later. In addition the published copy goes to the relevant Ministers, other inspectorates, the Ministry of Justice Policy Group, NOMS and Police and Crime Commissioners. Copies are made available to the press and placed on our website. Reports on inspections undertaken in Wales are published in both Welsh and English.

# Appendix 5

## Scoring approach

This describes the methodology for assigning scores to each of the sections of the report.

In each case inspection staff examine how well the work was done across the case, following the criteria below:

### 5. ASSESSMENT AND PLANNING

- 1.1 Assessment and planning to inform sentencing
- 2.1 Assessment and planning to deliver the sentence
- 3.1 Assessment to reduce the likelihood of reoffending
- 4.1 Assessment and planning to minimise risk of harm to others
- 5.1 Assessment and planning to minimise risk of harm to victims

### 6. DELIVERY AND REVIEW

- 2.2 Delivery and review of the sentence plan and maximising offender engagement
- 3.2 Delivery of interventions to reduce the likelihood of reoffending
- 4.2 Delivery of interventions to minimise risk of harm to others
- 5.2 Delivery of interventions to minimise risk of harm to victims

### 7. CASE OUTCOMES

- 2.3 Initial outcomes are achieved
- 3.3 Likelihood of reoffending is reduced
- 4.3 Risk of harm to others is minimised
- 5.3 Risk of harm to victims is minimised

### 8. LEADERSHIP AND MANAGEMENT<sup>4</sup>

*We look for evidence that leadership and management support the work with individual cases. This evidence is obtained through interviews with staff and managers from probation trusts and other organisations, and from sentencers.*

- 1.4 Leadership and management to support sentencing
- 2.4 Leadership and management to deliver the sentence and achieve initial outcomes
- 3.4 Leadership and management to reduce the likelihood of reoffending
- 4.4 Leadership and management to minimise risk of harm to others
- 5.4 Leadership and management to deliver effective work for victims

### 9. VICTIM WORK

- 5.5 Victim contact and restorative justice.

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<sup>4</sup> In view of our amended methodology in Wales (see page 1) we did not inspect against all of the Leadership and Management criteria.

Each scoring question in the inspection tool contributes to a score for the relevant section in the report. This approach enables us to say how often each aspect of the work was done well enough. Each section of the report focuses on a key outcome.

The score is based on the proportion of work judged sufficient ('above the line') across all the cases we inspected.

The **score for each of sections 1-5** is then calculated as the average of the scores for the component general criteria.

The **ASSISTING SENTENCING score** is calculated as an average, over all the relevant questions in the case assessment tool, of the proportion of work judged 'above the line'.

The **DELIVERING THE SENTENCE OF THE COURT score** is calculated as an average, over all the relevant questions in the case assessment tool, of the proportion of work judged 'above the line'.

The **REDUCING THE LIKELIHOOD OF REOFFENDING score** is calculated as an average, over all the relevant questions in the case assessment tool, of the proportion of work judged 'above the line'.

The **PROTECTING THE PUBLIC score** is calculated as an average, over all the relevant questions in the case assessment tool, of the proportion of work judged 'above the line'.

The **DELIVERING EFFECTIVE WORK FOR VICTIMS score** is calculated as an average, over all the relevant questions in the case assessment tool, of the proportion of work judged 'above the line'. Some of the questions in this section also contribute to the Protecting the Public score.

## **Development of the inspection criteria**

We are grateful to the service users we met through Revolving Doors for their input on 'what an experience of supervision should be like'. Their thoughtful comments contributed to our detailed inspection criteria, and helped to shape our inspection guidance and set benchmarks for the quality of practice we define as sufficient.



# Appendix 6 Criteria

CRITERIA for the INSPECTION of ADULT OFFENDING WORK										
PROCESS										
	1	ASSESSMENT AND PLANNING	2	DELIVERY AND REVIEW	3	CASE OUTCOMES	4	LEADERSHIP AND MANAGEMENT	5	VICTIM WORK
<b>1</b>	<b>1.1</b>	Assessment and planning to inform sentencing					<b>1.4</b>	Leadership and management to support sentencing		
<b>2</b>	<b>2.1</b>	Assessment and planning to deliver the sentence	<b>2.2</b>	Delivery and review of the sentence plan and maximising offender engagement	<b>2.3</b>	Initial outcomes are achieved	<b>2.4</b>	Leadership and management to deliver the sentence and achieve initial outcomes		
<b>3</b>	<b>3.1</b>	Assessment to reduce the likelihood of reoffending	<b>3.2</b>	Delivery of interventions to reduce the likelihood of reoffending	<b>3.3</b>	Likelihood of reoffending is reduced	<b>3.4</b>	Leadership and management to reduce the likelihood of reoffending		
<b>4</b>	<b>4.1</b>	Assessment and planning to minimise risk of harm to others	<b>4.2</b>	Delivery of interventions to minimise risk of harm to others	<b>4.3</b>	Risk of harm to others is minimised	<b>4.4</b>	Leadership and management to minimise risk of harm to others		
<b>5</b>	<b>5.1</b>	Assessment and planning to minimise risk of harm to victims	<b>5.2</b>	Delivery of interventions to minimise risk of harm to victims	<b>5.3</b>	Risk of harm to victims is minimised	<b>5.4</b>	Leadership and management to deliver effective work for victims	<b>5.5</b>	Victim contact and restorative justice

The aspects of adult offending work that were covered in this inspection are defined in the inspection criteria, which are available at <http://www.justicespectorates.gov.uk/probation/wp-content/uploads/sites/5/2014/03/iaow-criteria.pdf>

## Appendix 7

### Glossary

<i>Accredited programme</i>	Structured courses for offenders which are designed to identify and reduce the factors related to their offending behaviour. Following evaluation, the design of the programmes has been accredited by a panel of experts
<i>Approved premises</i>	Approved premises provide controlled accommodation for offenders under supervision
<i>CEO</i>	Chief Executive Officer of a Probation Trust
<i>Child Protection</i>	Work to ensure that that all reasonable action has been taken to keep to a minimum the risk of a child or young person coming to harm
<i>CJS</i>	Criminal justice system: Involves any or all of the agencies involved in upholding and implementing the law – Police, courts, youth offending teams, probation and prisons
<i>Desistance</i>	The process by which people stop offending and build a new, crime-free identity
<i>Dynamic factors</i>	As distinct from static factors. Dynamic factors are the factors in someone's circumstances and behaviour that can change over time
<i>EPIC</i>	Electronic Probation Information System: Official website for the national Probation Service
<i>EPPR</i>	Excellence in Public Protection and Rehabilitation Programme
<i>ETE</i>	Education, training and employment: work to improve an individual's learning, and to increase their employment prospects
<i>HMI Probation</i>	HM Inspectorate of Probation
<i>Interventions; constructive and restrictive interventions</i>	<p>Work with an individual that is designed to change their offending behaviour and/or to support public protection.</p> <p>A <i>constructive</i> intervention is where the primary purpose is to reduce likelihood of reoffending.</p> <p>A <i>restrictive</i> intervention is where the primary purpose is to keep to a minimum the individual's risk of harm to others.</p> <p>Example: with a sex offender, a <i>constructive intervention</i> might be to put them through an accredited sex offender programme; a restrictive intervention (to minimise their risk of harm) might be to monitor regularly and meticulously their accommodation, their employment and the places they frequent, imposing and enforcing clear restrictions as appropriate to each case. NB. Both types of intervention are important</p>
<i>IOM</i>	Integrated Offender Management
<i>LDU</i>	Local delivery unit: an operation unit comprising of a probation office or offices. LDUs are generally coterminous with police basic command units and local authority structures
<i>LSCB</i>	Local Safeguarding Children Board: set up in each local authority (as a result of the Children Act 2004) to coordinate and ensure the effectiveness of the multi-agency work to safeguard and promote the welfare of children in that locality

<i>MARAC</i>	Multi-agency risk assessment conference: part of a coordinated community response to domestic abuse, incorporating representatives from statutory, community and voluntary agencies working with victims/survivors, children and the alleged perpetrator
<i>MAPPA</i>	Multi-Agency Public Protection Arrangements: where probation, police, prison and other agencies work together locally to manage offenders who pose a higher risk of harm to others
<i>nDelius</i>	National Delius: the national probation case management system which was completed in 2012, based on the earlier Delius system used by some probation trusts. The system was rolled out through 2013
<i>NOMS</i>	National Offender Management Service: The single agency responsible for both prisons and Probation Trusts
<i>OASys/eOASys/OASys R</i>	Offender Assessment System/electronic Offender Assessment System/Offender Assessment System Replacement: The nationally designed and prescribed framework for both Probation and Prisons to assess offenders, implemented in stages from April 2003. It makes use of both static and dynamic factors
<i>Offender management</i>	A core principle of offender management is that a single offender manager takes responsibility for managing an offender through the period of time they are serving their sentence, whether in custody or the community. Offenders are managed differently depending on their risk of harm to others and what constructive and restrictive interventions are required. Individual intervention programmes are designed and supported by the wider 'offender management team or network', which can be made up of the offender manager, offender supervisor, key workers and case administrators
<i>Offender manager</i>	In the language of offender management, this is the term for the officer with lead responsibility for managing a specific case from 'end to end'
<i>OGRS</i>	Offender Group Reconviction Score: a predictor of reoffending based only on static risks such as age, gender and criminal history
<i>OMI 2</i>	Offender Management Inspection 2: HMI Probation's inspection programme which ran from 2009 to 2012
<i>PCMS</i>	Probation Case Management System
<i>PO</i>	Probation officer: This is the term for a 'qualified' offender manager who has undertaken a higher education based course for two years. The name of the qualification and content of the training varies depending on when it was undertaken. They manage offenders posing the highest risk of harm to the public and other more complex cases
<i>PPO</i>	Prolific and other priority offender
<i>PSO</i>	Probation services officer: This is the term for an offender manager who was originally recruited with no qualification. From 2010 they may access locally determined training to 'qualify' as a probation services officer or to build on this to qualify as a probation officer. They may manage all but the most complex cases or those posing the highest risk of harm to the public depending on their level of training and experience
<i>PSR</i>	Pre-sentence report. This refers to any report prepared for a court, whether delivered orally or in a written format
<i>REM</i>	Race and ethnic monitoring

<i>'Risk of Harm work'</i>	This is the term generally used by HMI Probation to describe work to protect the public, primarily using restrictive interventions, to keep to a minimum the individual's opportunity to behave in a way that is a risk of harm to others
<i>RoSH</i>	Risk of Serious Harm: a term used in OASys. All cases are classified as presenting a low/medium/high/very high Risk of Serious Harm to others. HMI Probation uses this term when referring to the classification system, but uses the broader term risk of harm when referring to the analysis which has to take place in order to determine the classification level. This helps to clarify the distinction between the probability of an event occurring and the impact/severity of the event. The term Risk of Serious Harm only incorporates 'serious' impact, whereas using 'risk of harm' enables the necessary attention to be given to those offenders for whom lower impact/severity harmful behaviour is probable
<i>Safeguarding</i>	The ability to demonstrate that a child or young person's well-being has been 'safeguarded'. This includes – but can be broader than – Child Protection
<i>SAR</i>	Specified Activity Requirement
<i>SEEDS</i>	Skills for Effective Engagement and Development and Supervision: an initiative in place across many Probation Trusts which emphasises the importance of the practitioners' skills in relationship building to ensure effective work with individuals. The development of these skills is supported by the observation of practice and reflective feedback by managers or others.
<i>SFO</i>	Serious Further Offence: when an offender is charged with an offence classified as a Serious Further Offence (serious sexual or violent offences), the Probation Trust conducts an investigation and review of the management of the case
<i>SMB</i>	Strategic Management Board: the duties and responsibilities of the Multi-Agency Public Protection Arrangements 'Responsible Authority' (police, probation and prison service) are discharged through the Strategic Management Board. This consists of senior representatives of the agencies involved in Multi-Agency Public Protection Arrangements and lay advisors
<i>Static factors</i>	As distinct from dynamic factors. Static factors are elements of someone's history that by definition can subsequently never change (i.e. the age at which they committed their first offence)
<i>ViSOR</i>	Violent and Sexual Offenders Register: the information system managed by the police to share information in relevant MAPPA cases where there has been sexual or serious violent offending or potentially dangerous or terrorist activity
<i>VLO</i>	Victim liaison officer: responsible for delivering services to victims in accordance with the Trust's statutory responsibilities
<i>YOI</i>	Young Offenders Institution: a Prison Service institution for children and young people remanded in custody or sentenced to custody
<i>YOS/YOT/YJS</i>	Youth Offending Service/Youth Offending Team/Youth Justice Service. These are common titles for the bodies commonly referred to as YOTs

## **Appendix 8**

# **Role of HMI Probation and Code of Practice**

Information on the role of HMI Probation and Code of Practice can be found on our website:

[www.justiceinspectors.gov.uk/hmiprobation](http://www.justiceinspectors.gov.uk/hmiprobation)

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

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