

# Probation inspections

## Guidance Manual

V3 November 2018

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# **1. Statement of purpose and values**

## **1.1. Statement of purpose**

Her Majesty's Inspectorate of Probation is the independent inspector of youth offending and probation services in England and Wales. We conduct annual inspections of each of the divisions of the National Probation Service, and the Community Rehabilitation Companies. We publish reports following each inspection, highlighting good and poor practice. We also rate each organisation as outstanding, good, requires improvement, or inadequate. We are independent of government, and speak independently.

## **1.2. Values**

### ***Integrity***

We work in an independent, honest, open, professional, fair and polite way.

### ***Accountability***

We are reliable and stand by the evidenced conclusions we reach. We always fully account for our actions.

### ***Effectiveness***

We report and publish inspection findings and recommendations for improvement, focused on service practice quality and impact, in good time and to a high standard. We check the impact of our inspections. We disseminate widely to enable improvement across England and Wales.

### ***Inclusion***

We promote attention to diversity in all aspects of our work, including within our own employment practices and organisational processes and are committed to pursuing equality of outcomes for all.

## **1.3. Our mandate**

HM Chief Inspector of Probation's responsibilities are set out in Section 7 of the *Criminal Justice and Court Services Act 2000*, as amended by the *Offender Management Act 2007*, section 12(3)(a). This requires the chief inspector to inspect (section 1) and report to the Secretary of State (section 3) on the arrangements for the provision of probation services.

Under Section 7(6) of the *Criminal Justice and Court Services Act 2000*, HM Chief Inspector of Probation is also conferred to inspect and report on youth offending teams (YOTs), established under section 39 of the *Crime and Disorder Act 1998*, and bodies acting on their behalf.

We are the independent source of fair comment for ministers and the public on the effectiveness of the work of probation and youth offending services.

Based on our independence, expertise and experience, we can uniquely focus on the identification of best and effective practice.

We test the effectiveness of the provision and provide assurance. Critically, we make recommendations designed to identify and disseminate best practice, challenge poor performance and encourage improvement. We provide evidence-based intelligence for commissioners and providers, designed to play a key part in facilitating and encouraging improvement in effective service delivery.

## **1.4. Confidentiality**

No information provided to us, in written form or verbally, by staff working for the inspected organisation, or under contract to that organisation, is treated as confidential. We use all available evidence to help us make an inspection judgement. Similarly, information provided to us by stakeholders invited to contribute to the inspection, is not treated as confidential.

In group meetings, and case interviews with practitioners, we provide an assurance that information shared will only be used in an aggregated form, and will not identify individual staff members, unless immediate action is needed to protect an individual.

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## **2. Overview of probation inspection**

### **2.1. Introduction**

The probation inspection programme from April 2018 replaces the previous Quality & Impact inspection programme.

Key features of the new programme and inspections are:

- an increase in the frequency of inspection to an annual inspection cycle
- the introduction of evidence-based inspection standards
- the introduction of rating and gradings
- the change of unit of inspection to National Probation Service (NPS) division/Community Rehabilitation Company (CRC)
- an increase in case sample sizes.

The new programme moves to annual, individual inspection of NPS divisions and each CRC, and increases our case sample size to enhance the validity of our findings. Our inspections are underpinned by standards, and we rate inspected organisations using a four-point scale.

The inspection process has three domains. The first two apply to all probation providers – CRCs and the NPS. Domain one covers how well the organisation is led and managed. Domain two covers the quality of work in individual cases, and how well individuals are supervised. Domain two is structured so that we are able to report locally and (with consolidated data) nationally on the extent to which the enduring aims of probation<sup>1</sup> are met, as well as reporting against each standard.

Responsibility for some other areas of probation work (such as court work or the delivery of unpaid work) rests just with the NPS or just with CRCs. We cover those areas in a third domain, which is modular and sector-specific.

Further detail about the domains and standards can be found on the HMI probation website.

### **2.2. Standards for inspection**

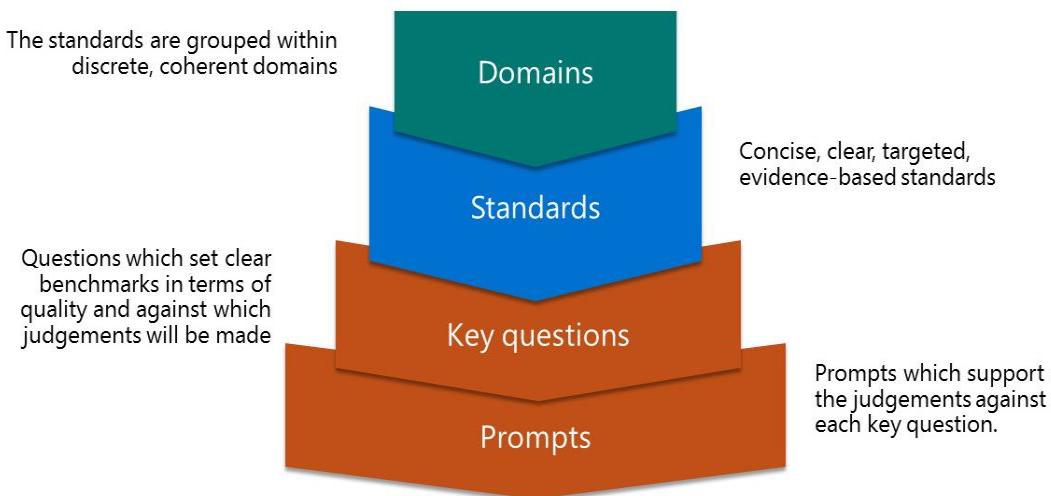
We have developed a set of inspection standards that reflect the high-level expectations that government and the public have of probation services. They apply to both CRCs and the NPS, and form the basis for transparent, evidence-based and independent inspection.

The standards are grouped into domains, with each standard underpinned by key questions and prompts, all of which have a binary 'yes' or 'no' response. The framework is supported by inspection guidance materials that assist reliable and valid judgements.

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<sup>1</sup> The enduring aims of probation are to protect the public; reduce reoffending; and ensure the sentence of the court is served.

Figure 1: The standards structure



This guidance manual sets out the arrangements for the inspection programme, covering all aspects of the inspection process and methodology, as well as roles and responsibilities of HMI Probation staff. It outlines what the inspection involves and what preparations need to be made by the inspected organisations.

Additional supporting documents are available on the HMI Probation website. A summary of the key roles and responsibilities for HMI Probation staff is available as Appendix One.

## 2.3. Inspection phases

The inspection consists of three phases:

- Phase I: Pre-fieldwork planning and preparation
- Phase II: Fieldwork
- Phase III: Post-fieldwork.

### **Phase I: Pre-fieldwork planning and preparation**

The pre-fieldwork phase commences 9 weeks before the fieldwork (week -9), with the announcement of the inspection and issuing documentation to assist the planning and preparation.

### **Phase II: Fieldwork**

The three fieldwork weeks form the second phase of inspection.

### **Phase III: Post-fieldwork**

On completion of the fieldwork phase, the lead and deputy lead inspector prepare draft ratings and summarise evidence and key findings for the ratings panel meeting.

The ratings panel is chaired by the director of operations and normally includes – as a minimum – the director, the lead inspector and the head of inspection. The panel's role is to ensure that ratings are evidence-based and fully reflect the balance of evidence, and that they are sufficiently consistent across inspections. The ratings panel summary note is sent by the operations team to the inspected body on the Monday after the fieldwork (week +2).

The lead inspector completes the report, which is submitted to the host organisation for factual accuracy checking on the Monday of week +7, with a deadline to return any comments to the lead inspector and head of inspection by the Friday of week +8. The report is published in week +13 in England and in week +17 in Wales to allow for translation.

## **3. Phase I: Pre-fieldwork and planning**

### **3.1. Inspection team**

The inspection team for phase I consists of:

- lead inspector
- information and data team
- administrator operations (inspection).

### **3.2. Pre-fieldwork activity**

The administrator and lead inspector start to prepare for the inspection at week -11. Before the announcement telephone call is made, key documents and background information are collated by HMI Probation information and data team, to support the lead in planning the inspection.

After the inspection announcement, the role of the host organisation is to submit all the required evidence in advance; identify the case samples for domains two and three; arrange meetings, interviews and focus groups; and finalise the fieldwork schedules.

### **3.3. Inspection announcement**

Each inspection is announced on the Thursday or Friday, nine weeks before the fieldwork commences (week -9). The announcement is made by the lead inspector (or the deputy lead inspector if the lead inspector is not available) by telephone to the chief executive of the CRC/NPS divisional director or the most senior manager available.

The key aspects of the telephone call are to:

- announce the inspection
- make sure the chief executive officer/divisional director knows they will receive an email on the first working day of the following week
- provide a brief overview of the inspection
- allow the CRC/NPS senior leader to identify the link senior manager for the inspection
- confirm the date and time of the telephone planning meeting.

On completion of the telephone call, the announcement letter is completed with details obtained from the announcement call. The administrator also issues letters to partners and other relevant organisations informing them of the inspection and asking for them to submit relevant information.

On the first working day of the week following the call (week -8), the inspected area receives an email confirming the inspection and additional documents. These include

instructions for submitting evidence in advance, case sample specifications, external project plan, inspection guidance manual, template schedules and leaflets for staff.

### **3.4. Project plans**

The external project plan provides the host organisation with details of key timescales and activities required, from pre-fieldwork to post-fieldwork. The host organisation receives the project plan at the beginning of week -8. The senior link manager for the host organisation, needs to check through the key dates and identify any dates or events that may conflict with other significant commitments. The senior link manager can raise any issues with the project plan through the administrator who works with the lead to consider changes where necessary.

During the planning meetings, the lead inspector ensures that the host organisation is familiar with the key dates. The host organisation should ensure all relevant staff involved in the inspection planning processes are familiar with the project plan. The senior link manager may find it useful to record key dates in their electronic diary.

A copy of the template project plan can be viewed on the HMI Probation website.

### **3.5. Telephone planning meeting**

The planning meeting takes place within one week of the announcement.

The telephone planning meeting may simply be a one-to-one conversation between the lead inspector and the SPOC, or it may involve others. If so, a teleconference needs to be organised, either via a spider-phone at the CRC/NPS, or via a 'powwownow' call<sup>2</sup>. Possible attendees include:

- the lead inspector
- the senior link manager for the host organisation
- the CRC chief executive or probation divisional director (to hear an overview of the presentation purpose and requirements).

Optional attendees include:

- the HMIP administrator (subject to availability)
- the HMIP head of inspection programme
- others identified by the host organisation needing to be involved in the planning and preparation, if required for support or absence cover for the senior link manager.

The lead inspector chairs the meeting and covers the following:

- an outline of the inspection methodology in more detail, explaining the domains and processes

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<sup>2</sup> If a powwownow call is required, the lead inspector will go to the relevant website (<https://www.powwownow.co.uk/>) and register; a PIN will then be issued.

- case sample selection criteria, spreadsheet completion and deadline for return to HMI Probation (the case sample section in this manual provides detailed guidance on the criteria for each domain)
- a discussion about the evidence in advance required, including the need to complete the evidence source grid: section 3.6 below clarifies information required from the NPS and CRC
- clarification of the local organisational arrangements, including the local convention for naming tier 1 and tier 2 organisational units.
- In CRCs only, clarification of whether there are any non-geographical teams (i.e. cases managed via hubs) etc.
- in CRCs only, confirmation of the prisons where the CRC directly delivers Through the Gate services (either as lead host or otherwise).
- in CRCs only, information about arrangements for unpaid work, including assessment, allocation to placement, and nature of available placements
- arrangements for the on-site logistics meeting and the chief executive/divisional director presentation
- confirmation of key dates.

The planning meeting is documented by the lead, including notes on any key questions raised by the inspected body. A copy of the minutes is issued to the senior link manager, the HMIP administrator and any other relevant people.

### **3.6. Evidence in advance**

The lead inspector uses the evidence in advance submitted by the host organisation to start to assess against the domain one standards and to identify relevant topics to be followed up by the inspection team. The host organisation is asked to use the list of documents below as a guide to what should be sent, rather than as a compulsory list. **Please note** that host organisations are encouraged to be selective in submitting their best evidence that meets the items below. Lead inspectors will be looking for significant documents that provide a good overview of relevant subject areas. More detailed information can be provided by host organisations at a later stage if required. The host organisation should use the evidence in advance source grid to record the name of the item being submitted.

At the planning meeting there is an opportunity for both the lead inspector and the senior link manager to consider whether any further documentation is required in advance. During the fieldwork weeks inspectors may also ask for further documentation following specific meetings.

A template is provided to allow the organisation to concisely explain the organisational structure and operating model. This is contained within the 'guidance for submitting evidence in advance, including evidence source grid and annex for report: operating model' (which was issued with the announcement letter). We include this annex in the published report. It is important that it is written in plain English, avoiding the use of acronyms as much as possible. Individual names of staff should not be included.

<b>Suggested Evidence NPS</b>	
<b>Leadership</b>	
Long Term Strategic Business Plan	
Annual Business Plan, including latest in-year review and sample of supporting local delivery plans	
Organisational governance arrangements	
Organisational Operating model (including any change since 2015) see below	
Organisational structure, including lines of accountability, strategic responsibilities	
Business continuity strategy	
Risk Register (including most recent review and controls taken)	
Communications strategy, with up to 3 examples of internal and external communication example	
Equality and Inclusion Report, with evidence of monitoring arrangements	
Stakeholder engagement strategy (should include courts and sentencer liaison)	
Public Protection policy and safeguarding framework, with example of how monitored	
Reducing Reoffending strategy and delivery plan	
<b>Staff</b>	
Workforce planning strategy, and an example of how it is monitored	
A list of current staff numbers by role, location and function, including details of vacancies and use of agency staff	
Workforce sickness monitoring data by role, location and function	
Training and development plan, implementation plan and review	
Total caseload for the area broken down by geography and type of case; and average caseloads for individual responsible officers: current, and 12 months previously	
Workload management tool, including guidance for the weighting and allocation of cases	
Staff supervision framework and supporting policy for quality assurance	
Staff engagement strategy	
Most recent staff survey and response	
<b>Services</b>	
Strategic needs analysis of caseload and an example of how it is utilised	
Commissioning intentions plan and monitoring of purchase/delivery of CRC services (FFU)	
Current Rate Card services available	
Summary of Supply Chain services available and contract monitoring arrangements	
Summary of women's services available	
In-house structured interventions available	

Strategies, current delivery plans, monitoring and evaluation of Statutory Victim Contact Services and Court Reports and Allocation
Strategic partner engagement arrangements e.g. LCJB, CSP, LSCB, LSAB, IOM, MARAC (max sample of 3 for multiple LAs within inspected body)
<b>Information and Facilities</b>
Service user engagement strategy
Service user survey results, analysis and response
Contract performance broken down by location over the previous 12 months
Performance improvement plans and reviews
Knowledge management/ effective practice strategy - how policy is maintained and communicated
Interface between NPS and CRC arrangements and examples of meetings
Health and safety policy and guidance
ICT strategy and annual Information security compliance report
Research and information strategy and example of evaluation and outcomes
Estates and Facilities management strategy
Innovation strategy - examples of innovation projects.

<b>Suggested evidence CRC</b>
<b>Leadership</b>
Contract schedule 8 and any agreed changes
Long Term Strategic Business Plan
CRC Annual Service Report and Continuous Improvement Plan
Annual Business Plan, including latest in-year review and sample of supporting local delivery plans
Organisational governance arrangements
Organisational Operating model (including any change since 2015) see below
Organisational structure, including lines of accountability, strategic responsibilities
Business continuity strategy
Risk Register (including most recent review and controls taken)
Communications strategy, with up to 3 examples of internal and external communication example
Equality and Inclusion Report, with evidence of monitoring arrangements
Stakeholder engagement strategy (should include courts and sentencer liaison)
Public Protection policy and safeguarding framework, with example of how monitored

Reducing Reoffending strategy and delivery plan
<b>Staff</b>
Workforce planning strategy, and an example of how it is monitored
A list of current staff numbers by role, location and function, including details of vacancies and use of agency staff
Workforce sickness monitoring data by role, location and function
Training and development plan, implementation plan and review
Total caseload for the area broken down by geography and type of case; and average caseloads for individual responsible officers: current, and 12 months previously
Workload management tool, including guidance for the weighting and allocation of cases
Staff supervision framework and supporting policy for quality assurance
Staff engagement strategy
Most recent staff survey and response
<b>Services</b>
Strategic needs analysis of caseload and an example of how it is utilised
Commissioning intentions plan and monitoring of purchase/delivery of services (FFU)
Current Rate Card services available
Summary of Supply Chain services available and contract monitoring arrangements
Summary of women's services available
In-house structured interventions available
Strategies, current delivery plans, monitoring and evaluation of Through the Gate Services & Unpaid work services
Strategic partner engagement arrangements e.g. LCJB, CSP, LSCB, LSAB, IOM, MARAC (max sample of 3 for multiple LAs within inspected body)
Unpaid work operational arrangements for assessment and allocation to project Completed copy of HMI Probation unpaid work project spreadsheet
<b>Information and Facilities</b>
Service user engagement strategy
Service user survey results, analysis and response
Contract performance broken down by location over the previous 12 months
Performance improvement plans and reviews
Knowledge management/ effective practice strategy - how policy is maintained and communicated
Interface between NPS and CRC arrangements and examples of meetings
Health and safety policy and guidance
ICT strategy and annual Information security compliance report

Research and information strategy and example of evaluation and outcomes

Estates and Facilities management strategy

Innovation strategy - examples of innovation projects.

### **3.7. Presentation by the inspected organisation**

Five weeks before the start of the fieldwork, the lead inspector visits the organisation for planning activity, which includes a presentation from the chief executive or probation divisional director. The lead is accompanied at this meeting by at least one of the following: the director of operations, the head of CRC/NPS inspections, or the deputy lead inspector. The supporting member of staff normally takes a note of key points raised.

The chief executive or divisional director is asked to cover the following in their presentation:

- How does the leadership of the organisation support and promote the delivery of a high-quality, personalised and responsive service for all service users?
- How are staff in the organisation empowered to deliver a high-quality, personalised and responsive service for all service users?
- Is there a comprehensive range of high-quality services in place, supporting a tailored and responsive service for all service users?
- Is timely and relevant information available, and are there appropriate facilities to support a high-quality, personalised and responsive approach for all service users?
- What are your priorities for further improvement, and why?

The above questions relate specifically to domain one (organisational delivery) of the HMI Probation inspection standards. Any specific examples or evidence presented should relate to work carried out within the previous 12 months.

Ninety minutes is allowed for the presentation and a further thirty minutes for any discussion. The purpose of the discussion is to identify additional sources of evidence, either documents that can be provided or individuals or groups with whom the inspectors could meet during the subsequent fieldwork. The presentation and materials are used particularly, but not exclusively, to inform inspection findings on domain one (organisational delivery) of the HMI Probation standards for the inspection of probation work.

The presentation is required during the relevant week, even if the chief executive/divisional director is not available. The lead should be informed in advance if a substitute will deliver the presentation. Other relevant staff may be involved or attend, as agreed with the lead inspector. The presentation should not be seen as a substitute for providing the requested evidence in advance.

### **3.8. On-site planning meeting**

By week -5, work will have been carried out on the case sample and the provisionally selected cases will have been sent to the inspected area to provide further information before the case sample shortlist is confirmed. The lead inspector will have read through the

evidence in advance and background information. The on-site planning meeting is the final face-to-face opportunity to discuss and prepare for the fieldwork and post-fieldwork. The lead is normally accompanied at this meeting by the head of CRC/NPS inspections or inspection administrator, if available.

The on-site planning meeting covers the following topics, although the list is not exhaustive:

- HMI Probation inspection team
- offices where the case assessments will take place
- case sample issues
- responsible officer interviews and scheduling
- management meetings and other inspection activity
- request for any further information/evidence identified following analysis of evidence in advance and the chief executive/divisional director presentation
- information for staff and service users
- access to IT, rooms and buildings
- proposed schedules.
- inspection surveys
- local assessors (NPS only)

The lead inspector and senior link manager refer to the draft case sample to consider where the inspection team will be located for the fieldwork. While the case sample lists the specific office, the host organisation should consider locations for the inspection team based on room availability, access to IT and availability of the responsible officer.

A list of standard meetings is provided for all inspections (this list is included in section 5 of this manual). The on-site meeting provides the opportunity, based on what has been read or heard, to request additional meetings during fieldwork.

Once the on-site planning meeting has taken place, the lead inspector and administrator complete the schedules.

## **3.9. Local Assessors (NPS only)**

### **Overview of the Local Assessor Role**

Local Assessors (LAs) play a key role in HMI Probation's inspections of NPS and youth offending work. During inspection visits they examine and assess the quality of practice carried out by front-line staff in individual cases, against HMI Probation's published inspection standards.

HMI Probation is currently in discussion about the possibility of introducing Local Assessors into CRC inspections in the future.

Local Assessors will:

- complete the HMI Probation case assessment training programme (3 days) delivered within the division or in Manchester – during the run up to the inspection

- work on the divisional inspection team for one full week each, in a location other than their normal place of work (or any other place where they may have a conflict of interest, up to 5 nights away from home if deployed at a distance)
- receive support and assistance from HMI Probation inspection team while working on inspection
- provide a continuing resource for the division through their understanding of the case assessment methodology and inspection benchmark, following their work on the inspection.

### **Key Responsibilities for Local Assessors**

- Work as part of HMI Probation's team of inspection staff by undertaking assessments of front-line practice through individual case assessments.
- Provide accurate and concise written feedback to lead inspectors on individual cases.
- Provide feedback to individual case managers/ responsible officers about their work.
- Recognise and promote diversity issues in all aspects of work.

### **Person Specification for Local Assessors**

#### Current role

Typically, people with significant front line practice experience, who have been in a role involving assessment of practice and feedback back to colleagues about the quality of their work. Probation Officers, Quality Development Officers, Practice Training Assessors and Managers would be suitable.

#### Skills and Abilities

Proven strong interpersonal and communication skills, with the ability to engage with front-line staff and deliver honest and constructive feedback.

Personal resilience, stamina and ability to spend time away from home.

Good level of IT skills.

#### Knowledge and Experience

Experience of assessing the quality of work being delivered to those who have offended.

Good general understanding of the criminal justice system.

#### Competencies

1. Is able to promote equal opportunities, treat people fairly, and respond sensitively to difference.
2. Is familiar with current practice in and legal framework of adult offending work, and able to assess case management in both the community and the custodial setting.
3. Is familiar with current practice in safeguarding adults, and children and young people, and multi-agency public protection work.
4. Can gather evidence from case material, assimilate information quickly and recognise both excellent and problematic practice.
5. Is experienced at assessing practice objectively, and can measure adult offending and public protection work consistently and reliably against set criteria

6. Can interview fairly, listen carefully, probing to find out more and checking what is said, where appropriate. Can ask questions in a fair, objective and courteous manner.
7. Is able to provide feedback to case managers/responsible officers accurately and constructively with the aim of improving practice.
8. Demonstrates confidence in using IT.

### **Resourcing of Local Assessors**

Four to six Local Assessors will be used on each NPS inspection, according to the size of the division.

Each Local Assessor will work on-site over five days and inspect seven cases, in either the first or second fieldwork week.

HMI Probation will reimburse travel and subsistence costs associated with the Local Assessor attendance on the HMI Probation training and the inspection.

Up to eight people will be selected and trained for each inspection, which will provide for relief cover in the event of Local Assessor illness. It will also allow for any individual who felt unable to proceed with the task following training, or who was deemed to be unsuitable, and leave the maximum number of people in the division with an understanding of the case assessment methodology and inspection benchmark.

Places may also be available on the training for other NPS or HMI Probation staff. Up to a maximum of ten people can be trained.

### **Selection of Local Assessors**

Local Assessors will be identified and nominated by the NPS divisional link senior manager for the inspection. This ensures divisional control over the selection of people they are confident will be able to adhere to HMI Probation methodology.

In addition to meeting the person specification, suitable candidates for Local Assessors will need to be available to attend the Local Assessor training and their allocated inspection week. Both activities will involve full working days. Local Assessors may need to live away from home for either the training and/or inspection work.

Local Assessors may be deployed in all locations used for the inspection. Individual Local Assessors will be placed away from their normal place of work, and any other locations where they may have possible conflicts of interest. Candidates should be selected from a range of locations within the Division.

### **Nomination of Local Assessors**

A Local Assessor Nomination Form should be completed by the divisional link senior manager in conjunction with the Local Assessor and their line manager.

This form provides evidence that the candidate meets the person specification, confirms their availability for the training and inspection, and records their personal details and any specific individual needs relevant to undertaking the activity. It also notes any potential conflicts of interest relating to locations other than their current place of work.

Completed forms should be returned to the Inspection Administration Officer by week -5.

## **Training of Local Assessors**

The training for Local Assessors will be delivered over three days, two weeks prior to the inspection (week -2 of the inspection project plan). The event will be delivered by the lead inspector and an assistant inspector.

Training will normally be delivered at a convenient, central location within the division, but if preferred by the division, can be delivered at the HMI Probation office in Manchester. The venue and precise dates for the training should be agreed as soon as possible after announcement of the inspection.

The training room should be equipped with a projector and screen or alternatively a large screen television that supports computer connectivity, and a flip chart and pens.

The training event will be training up to ten people.

The training room will need to have sufficient work space for each trainee to use two laptop computers simultaneously, alongside paper documents, and provide for two power sockets per trainee.

Trainees will need to be able to access the training case files (see below) remotely using their own NPS laptops during the training.

In addition, an HMI Probation laptop will be provided for each person, for completing case assessments. These will be sent by courier to the training venue (or other address suggested) in time for the training. The HMI Probation laptop will be retained by the Local Assessor at the end of the training, ready for them to use during the inspection fieldwork. It should be kept safe, in line with the practice for the safe-keeping of NPS issued computer equipment.

Please advise the Inspection Administration Officer where you would like the equipment to be sent.

The training days run:

**Day 1:** 11:00am until 5:00pm

**Day 2:** 09:00am until 5:00pm

**Day 3:** 09:00am until 5:00pm

Morning, lunch and afternoon breaks will be provided. Please would you make arrangements for refreshments. These can be invoiced to HMI Probation.

HMI Probation will supply trainees with an electronic training pack which will contain all the training material required for the event.

It would help if someone can be available by 09:00am on day one of the training to assist with any practical issues relating to the training equipment and facilities.

## **Training cases**

The training will use two suitable cases from your division in our case assessment exercises.

These should be a Community Order with a minimum of a Supervision Requirement, or a case released on licence, where the order was made, or first release on licence took place, about six months ago. They should have been assessed as medium or high Risk of Harm to others from the initial assessment, and have had a significant amount of contact in the

community throughout the six-month period. The cases should provide good material for discussion, and not contain particularly poor or universally good practice throughout.

Cases can be terminated provided they still meets the foregoing specification.

We request that we are provided with details of the cases for us to access the records remotely on nDelius and OASys [case reference number, name, date of birth and relevant event], and also electronic copies of any MAPPA or other information stored separately from nDelius, as it is important that we are able to inspect all relevant aspects of the cases. We will use this information to establish a benchmark score prior to the training. We request that we are provided with the case details and separate electronic document copies to the Lead Inspector by week -6 so that they can review the case. The Lead Inspector will then confirm that the cases are suitable and/or follow up any issues at the subsequent planning meeting.

We will be happy to provide the responsible officers of the cases selected with brief feedback about our assessment of the case, via the divisional link senior manager.

### **Deselection of Local Assessors**

Final selection of local assessors following the training will be at the discretion of HMIP. Unsuccessful candidates will be provided with developmental feedback. HMI Probation will notify the divisional link senior manager of the reasons for de-selection in the case of inappropriate or unprofessional behaviour or where there is concern about a candidate's understanding or awareness of risk or safeguarding.

HMI Probation will have discretion over the de-selection of any Local Assessor during the inspection, where the integrity of the HMI Probation inspection methodology is at risk. HMI Probation will raise issues of concern relating to Local Assessors with the link senior manager. In the case of de-selection, a replacement assessor will be drawn from the reserve list by HMI Probation, according to location and geography.

HMI Probation will determine which assessors are to be deployed to the inspection and which will be reserve assessors, depending on performance on the training and any relevant practical considerations.

### **Deployment of Local Assessors on inspection**

Local Assessors will be allocated to inspection team locations by the HMI Probation Inspection Administration Officer in consultation with the divisional link senior manager as part of the wider process of allocating inspection staff to specific locations. For Local Assessors this will also take into account travel time and the possible need for placement away from home.

The Inspection Administration Officer will make a generic hotel booking for the local assessor at week -7. This will be followed up with the nominated local assessor at week -2, to confirm their hotel requirements are correct and to make any necessary amendments as required.

Local Assessors will be sent a copy of the inspection team briefing and schedule on the Thursday of the week before the inspection (week 1), to their NPS email address.

Each Local Assessor will be assigned to a supporting Assistant Inspector during the inspection. The supporting Assistant Inspector will be allocated to the same work-site and provide support and guidance. The Local Assessor's inspection schedule will include:

- observation of a case assessment and interview on the first (Monday) afternoon of the inspection
- a quality assurance check and support meeting with their supporting Assistant Inspector on Tuesday, Wednesday and Thursday afternoons
- a debrief meeting with an Inspector on the Friday

Local assessors are required to adhere to the same professional conduct and inspection procedures as permanent inspection staff and will fall under the HMI Probation complaints procedure for the duration of their deployment.

At the close of the inspection fieldwork, Inspection Administration Officer will contact the local assessor and make the necessary arrangements for the collection of the HMI Probation laptop by courier.

### **Managing conflicts of interest**

Potential conflicts of interest should be avoided by placing Local Assessors away from their normal place of work. They will also be asked to check their schedule of case assessments as soon as they receive it, to ensure they have not been inadvertently allocated to assess a case and/or interview a case manager/responsible officer where they have a prior or current connection that could give rise to a conflict of interest. Where they have been allocated such a case the Local Assessor should notify the Lead Inspector or their supporting Assistant Inspector to arrange for it to be re-allocated to another inspector

### **Feedback after the inspection**

HMI Probation ask case managers/responsible officers to provide feedback on the individual members of the inspection team who interviewed them, including interviews conducted by Local Assessors. The survey is optional and we do not always receive responses. Where responses are received these will be forwarded by email to the individual Local Assessor with a copy also provided to their line manager. Local Assessors will also be notified if no responses were received.

Any other significant feedback on the Local Assessors performance will be communicated from the Lead Inspector to the divisional link senior manager.

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## 4. Case sample

### 4.1. Cluster sizes

The case sample for this inspection comprises three different lists. For both the NPS and CRCs, there is a case sample for domain two case inspections. The NPS areas have two further samples: one for victim work, the other for court reports and allocations. The CRCs have two further samples: one for unpaid work, the other for Through the Gate work. The size of the case samples depends on the cluster size of the inspected organisation.

The resourcing tool below outlines the cluster sizes for each NPS division and CRC contract package area, and numbers of cases that are inspected to achieve the 80% confidence levels for domains two and three.

Figure 2: Inspection size and resourcing

CRC	Cluster Size	D2 Sample Size 80%	D2 Sample Size	D2 Sample Size [Revised]	Unpaid work Sample size 80%	Through The Gate Sample size 80%	D3 Sample Size 80%	Unpaid work Sample size	Through The Gate Sample size	D3 Sample Size	D3 Sample Size [Revised]
Norfolk & Suffolk CRC	Aa	84	100	98	22	12	34	28	16	44	44
Northumbria CRC	Aa	96	100	98	21	15	36	26	18	44	44
Warwickshire & West Mercia CRC	Aa	95	100	98	24	16	40	26	18	44	44
Dorset, Devon & Cornwall CRC	Aa	94	100	98	27	16	43	28	16	44	44
Durham Tees Valley CRC	Ab	99	100	100	21	19	40	23	21	44	54
Hampshire & Isle of Wight CRC	Ab	96	100	100	24	18	42	30	24	54	54
Essex CRC	Ab	98	100	100	37	15	52	38	16	54	54
South Yorkshire CRC	Ba	101	120	110	28	21	49	31	23	54	54
Thames Valley CRC	Ba	104	120	110	31	21	52	32	22	54	54
Merseyside CRC	Bb	108	120	120	30	28	58	34	32	66	66
Humber, Lincolnshire & North Yorkshire CRC	Bb	113	120	120	35	25	60	39	27	66	66
Cumbria & Lancashire CRC	Bb	109	120	120	34	27	61	38	28	66	66
Bristol, Gloucestershire, Somerset & Wiltshire CRC	Bb	117	120	120	43	22	65	44	22	66	66
West Yorkshire CRC	Ca	118	130	130	45	40	85	47	41	88	88
Bedfordshire, Northamptonshire, Cambridgeshire & Hertfordshire CRC	Ca	122	130	130	44	34	78	50	38	88	88
Wales CRC	Ca	128	130	130	52	35	87	53	35	88	88
Derbyshire, Leicestershire, Nottinghamshire & Rutland CRC	Cb	126	130	132	45	43	88	50	48	98	98
Kent, Surrey & Sussex CRC	Cb	124	130	132	53	39	92	57	41	98	98
Cheshire & Greater Manchester CRC	Da	130	150	136	63	49	112	68	52	120	115
Staffordshire & West Midlands CRC	Da	133	150	136	60	52	112	65	55	120	115
London CRC	Db	147	150	148	94	77	171	97	79	176	176
NPS region	Cluster Size	D2 Sample Size 80%	D2 Sample Size		Reports & Allocation Sample size 80%	Statutory victim contact Sample size 80%	D3 Sample Size 80%	Reports & Allocation Sample size	Statutory victim contact Sample size	D3 Sample Size	
Wales	A	91	96		78	6	84	85	15	100	
South East and Eastern	Ba	119	120		112	9	121	125	15	140	
South West and South Central	Ba	113	120		108	16	124	120	20	140	
London	Bb	112	120		118	28	146	120	30	150	
Midlands	C	123	128		113	15	128	120	20	140	
North East	C	125	128		118	3	121	125	15	140	
North West	C	122	128		114	16	130	120	20	140	

### 4.2. Confidence levels

The margin of error (or confidence interval) for our case assessment findings depends on the selected sample size: the larger it is, the surer we can be that our findings reflect the eligible population.

Our initial calculations for the required sample sizes have been based on achieving a margin of error of 5% and a confidence level of 80% for a simple random sample of monthly commencements. This means that we would be able to say, for a response figure of 47%, that we were 80% sure that the true percentage for the eligible population was between 42% and 52%. Importantly, this assumes that the sample is truly random – which links to the sampling method (see next section).

The size of our domain two case samples ranges across our inspections from 100 to 150.

The same principles apply to the case sample sizes for court reports, unpaid work, Through the Gate, and initial victim contact in domain three. Combined domain three sample sizes range from 44 to 176 for CRCs, and 100 to 140 for the NPS. The case sample periods are one week for court reports, two weeks for unpaid work and Through the Gate, and one month for initial victim contact. Published data is insufficient to calculate accurate margins of error for the pre- and post-release sample size for victim contact, so these cases will be identified from within the domain two case sample.

A higher confidence level is required for clinical trials and published peer-reviewed research, but this would increase sample sizes. For inspection purposes, an 80% confidence level provides a balance between cost-efficiency and statistical precision.

## 4.3. Stratification

**Stratified sampling** – the eligible population is divided into non-overlapping strata (sub-groups), and cases are then randomly selected from within each stratum. The number of strata and the variables used are linked to the issues being explored (i.e. where there are likely to be differences in our findings).

The main advantage of stratified sampling is that it ensures sufficient representation of all the sub-groups. The main disadvantage is that it adds complexity.

The case sampling approach is based on the following two stages:

**Stage 1:** The clusters (our primary sampling units) are tier 1 units; names vary between different organisations, but these may be called LDU clusters or LDUs. We know from our Quality & Impact inspections that we are likely to find variations in performance between units. This approach is a reasonable trade-off between the need for cost-efficiency and the need to have a representative balance of different types of case within the clusters.

**Stage 2:** The stratification variables for the service users (our secondary sampling units) are gender, sentence type and RoSH level, ensuring that the ratios of male/female, post-custody/community sentence cases and low/medium/high/very high RoSH cases in the selected case sample match those in the eligible population. Proportionate stratification creates more accurate data for the full sample and avoids the need for any weighting.

## 4.4. Specification and selection

### Domain two: core sample specification

Because of the range of different names used for organisational units, in the NPS and CRCs, we have adopted the following terminology:

Tier 1 unit indicates the highest organisational level; this may be described by the organisation as an LDU cluster, and LDU, a Service Delivery Unit etc.

Tier 2 unit indicates the next organisational level down; this may be described by the organisation as an LDU, a team, a pod etc.

Due to the large geographical areas covered by the organisations we are inspecting, there are three available options as to how we decide which tier 1/tier 2 units inspected cases will come from. The options are:

- (i) inspecting cases from some, but not all, tier 2 units from each tier 1 unit.
- (ii) inspecting cases from all tier 2 unit from every tier 1 unit
- (iii) exceptionally it might not be possible to inspect cases from a tier 2 unit from every tier 1 unit.

A two-stage approach is used to select domain two cases. If, after the initial telephone planning meeting, the lead inspector decides it is practicable to inspect cases from all tier 1 and tier 2 units, (option ii above), stage 1 is omitted.

**Stage 1:** The inspected organisation is asked to provide a long list of all cases sentenced to a community order or suspended sentence order, and released from custody during a specific timescale.

The administrator organises the long list in order of the tier 1 and 2 units, and provides the lead inspector and head of inspection methodology and assurance with a summary of the number of eligible cases from each unit. The lead inspector selects provisional tier 1/tier 2 units for the case sample to be drawn from.

**Stage 2:** The administrator calculates the percentages of cases in the long list from the five stratification groups. The stratification variables are: gender, sentence type and risk of serious harm (RoSH) level.

**Stage 3:** The administrator identifies a provisional case sample list by applying the stratification variables to the cases on the long list from the units identified for inspection. Matching the stratification variables takes priority over proportionate distribution of cases between the selected units. The provisional case sample list is sent back to the organisation for it to identify any exclusions according to the criteria set out in the case sample specification (listed below), and provide responsible officer availability:

- community and suspended sentence order cases where the only requirement is unpaid work, an attendance centre, an exclusion or curfew, or a combination of these requirements
- community and suspended sentence order cases that have no requirements
- any case held by a YOT where the CRC/NPS is managing or providing interventions on the YOT's behalf
- any cases which are (or have been during the sample period) subject to a serious further offence review, a serious case review, or (in Wales) a child practice review
- cases that have been transferred to or from a different NPS division or CRC
- cases that have been escalated from a CRC and currently managed by the NPS

additionally, the organisation is asked to identify:

- Limited-access cases that have not already been identified
- licence cases that were recalled within 28 days of release and not subsequently re-released
- community sentences that were revoked within 28 days of being imposed, where no further qualifying community order was imposed.

**Stage 4:** In week -4 the returned sample is checked by the administrator and lead inspector. A final selected case sample is then chosen, avoiding excluded cases but matching the stratification proportions, and taking logistics into account. This is used for preparing the schedule.

### **Domain three case selection**

#### *Court reports and allocation*

A long list of cases is submitted by the NPS, of **all** court reports completed in a specified period in the NPS division where the service user was **sentenced to a community order, suspended sentence order, or immediate custody**.

This includes cases allocated to CRCs, as well as the NPS. Cases are excluded where there was no immediate sentence to a community sentence or custody, or where it was allocated outside the NPS division and associated CRCs. The administrator identifies a shortlist of cases to be allocated to the assistant inspectors covering court reports and allocation.

In order to ensure that the sample includes as many **sentenced** cases as possible, this sample should be **identified on Monday week -4** and returned to HMI Probation by 16:00 on Wednesday week -3.

#### *Victim work*

The NPS is asked to provide details of **all** new custodial sentences allocated to the NPS division in a specified period, where the nature of the offence indicated that the case was potentially eligible for **Statutory Victim Contact**. The NPS does not need to indicate whether or not a victim has been contacted, or contact has been accepted by the victim.

#### *Through the Gate*

A long list of potential cases is submitted by the CRC, including each resettlement prison where that CRC delivers Through the Gate services, either as 'lead host' or otherwise. We do not inspect cases where the CRC being inspected contracts with another CRC to provide Through the Gate services on their behalf. The cases chosen are expected to have been released from a relevant resettlement prison shortly before the inspection fieldwork. Depending on the number of cases eligible for a Through the Gate service from the CRC being inspected, between 20 and 80 cases are likely to be sampled. They are selected from all prisons where that CRC delivers Through the Gate services, and include representative numbers of CRC and NPS cases. Prisoners who will not be supervised post-release (including recalls, those held for deportation, or on remand) are excluded from the sample.

#### *Unpaid work*

The case sample size is likely to be between 24 and 72. The CRC provides details of all unpaid work requirements ordered during a specified period. This includes cases where the order is managed by the NPS as well as those managed by the CRC.

The administrator identifies a shortlist of cases, stratified into low-risk male/other male/female, and ensuring an appropriate geographical spread. Any cases where the unpaid work requirement has been transferred in from or out to a different CRC, and any cases which are subject to (or have been during the sample period) a serious further offence review, a serious case review, or a child practice review are excluded from the sample.

In all case samples, potential substitute cases are indicated on the final lists, for use in the event that selected cases are no longer suitable for inspection.

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## **5. Schedules**

### **5.1. Weekly schedules**

#### **Fieldwork weeks one and two**

The lead and deputy are each allocated either four and five cases per inspection, depending on the organisation being inspected. The remainder of week one includes gathering domain one evidence, through focus groups and meetings. A team of assistant inspectors undertakes most case inspections and, where necessary, lead and facilitate meetings. In NPS inspections, local assessors are trained by HMI Probation and deployed as part of the inspection teams during weeks one and two.

The host organisation is issued with the final schedules for domain two and three at the start of week -2. The schedules identify merely the time of the responsible officer interview, which normally last 60 minutes, plus any fixed commitments (e.g. focus groups) for individuals. For domain three, assistant inspectors inspect relevant cases as 'file reads', that is, without the need for an interview with the responsible officer.

#### **Fieldwork week three**

During the third week, the lead, deputy and a third inspector focus on domain one evidence gathering and collating any other evidence requested by the lead. The schedules detail the meetings allocated and where they will take place. The host organisation needs to provide all those taking part in interviews, meetings and focus groups with information about the venue, date and timings.

### **5.2. Domain one meetings**

Planning the schedule for domain one takes place during the pre-fieldwork phase. The list of core meetings below sets out the standard meetings and specific responsibilities that inspectors would like to cover during the three weeks of inspection fieldwork.

An outline schedule is sent out following the announcement of an inspection, indicating the days and times inspectors are available for meetings. Some meetings are fixed in the schedule, and for others the inspected organisation has the flexibility to identify when it is most convenient to hold those meetings.

Depending on the geography of the organisation being inspected, some meetings may be scheduled to take place by telephone or Skype. Depending on the individual arrangements in organisations, it may be that one individual covers more than one of the responsibilities outlined in the list of core meetings. In that case, we only need to schedule one meeting with that person. Similarly, if the subject identified is covered jointly by two or more people, the organisation can schedule them both/all to attend.

For focus groups, the optimum number of attendees is between six and ten.

This list below represents the core meetings we routinely wish to cover. Other meetings may be arranged either during the planning meeting, or as the fieldwork progresses.

## CRC inspections – core meetings

### Meetings with individuals and groups of staff

**The purpose of these meetings is to evidence how the operation of the key domain one standards of Leadership, Staff, Services, and Information and Facilities, are seen from different perspectives in the hierarchy of the organisation.**

Chief Executive/Director

Director of operations (if applicable)

Deputy directors

Middle manager focus group (two locations)

Responsible officer focus group (two locations)

### Domain Meetings with subject leads to assess against particular domain one standards

**(where appropriate additional specialists can be included to provide more detailed understanding as necessary)**

#### **Leadership**

Communications (external and internal)

#### **Staff**

Human resources and workforce planning

Learning and practice development

#### **Services**

Reducing reoffending

Public protection

Commissioning and planning of services

Equality and diversity

Programmes and structured interventions

Women's services

CRC Supply chain providers

Partnerships and stakeholder engagement

Focus group: sentencers

#### **Unpaid work**

Strategic lead for unpaid work

Focus group: unpaid work operational managers

Focus group: unpaid work supervisors

### **Through the Gate**

Head of resettlement/Through the Gate

Meeting with heads of resettlement (local resettlement prisons)

Focus group: Through the Gate operational managers

Focus group: Through the Gate resettlement workers

### **Information and Facilities**

Opportunity to view local intranet

Rate card

Estates and health and safety

ICT planning

Performance and quality

Contract management

Research and information

Hub management

Service user engagement

## **NPS inspections – core meetings**

### **Meetings with individuals and groups of staff**

**The purpose of these meetings is to evidence how the operation of the key domain one standards of Leadership, Staff, Services, and Information and Facilities, are seen from different perspectives in the hierarchy of the organisation.**

Probation Divisional Director

Middle manager focus group (two locations)

Responsible officer focus group (two locations)

Meeting with head of LDU clusters

### **Meetings with subject leads to assess against particular domain one standards**

**(where appropriate additional specialists can be included to provide more detailed understanding as necessary)**

#### **Leadership**

Communications (external and internal)

### **Staff**

Human resources and workforce planning

Learning and practice development

### **Services**

Reducing reoffending

Public protection

MAPPA

Commissioning and rate card

Equality and diversity

Accredited programmes

Approved premises

Women's services

Partnerships (including IOM) and stakeholder engagement

Offender management in custody

### **Court Work**

Strategic lead for court services

Meeting with sentencers

Meeting with court senior probation officers

Meeting with court duty staff (two locations)

### **Victim Contact Work**

Strategic lead for victims

Meeting with victim liaison officers

### **Information and Facilities**

Estates and health and safety

ICT planning

Performance and quality

Research and information

Enforcement hub management

Service user engagement

### **5.3. Team meetings**

The lead inspector will advise on appropriate arrangements for HMI Probation team meetings and gathering feedback during the fieldwork phase. This may present logistical challenges depending on the geographical area and distance between the team members. Where possible, face-to-face meetings are preferred. A meeting room may be required for this purpose, for up to 12 members of staff; no IT access is required in this room.

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## **6. Phase II: Fieldwork**

### **6.1. Methodology**

#### **Domain one: Organisational delivery**

In domain one, the lead inspector and deputy lead inspector focus on leadership, people, services, information and facilities. During the pre-fieldwork period, the lead reads and assesses the evidence in advance submitted by the inspected body, identifying any gaps or areas for clarification in the evidence for standards and key questions. The fieldwork weeks include meetings where further evidence can be gathered, and provide an opportunity to triangulate evidence and information.

#### **Domain two: Case supervision**

Domain two centres on the quality of practice. We examine those tasks relating to the supervision of service users, specifically assessing, planning, implementing and reviewing. The lead and deputy undertake some case inspection, with most completed by assistant inspectors. The case inspections take place over a two-week period. The case sample section of this manual provides more detailed information about the selection process, exclusion criteria and sample sizes. Inspectors assess work against the agreed standards, and record findings.

Case inspections include reading and assessing relevant information available through electronic records and tools, such as the national case management system, nDelius, OASys assessments and any other tools used for offender assessment and planning. Inspected bodies need to provide any additional paper documents relevant to the case being inspected.

We also undertake face-to-face interviews with the responsible officer. These involve discussions about assessing, planning, implementing and reviewing. Responsible officers are also asked about their experience of training, development, management supervision and leadership. Where the responsible officer is unavailable, a telephone interview can be arranged or an interview held with a suitable replacement.

#### **Dealing with cases that should have been excluded**

Occasionally, during fieldwork, it becomes apparent that a case on the schedule does not meet the case sample specification, and should have been excluded at an earlier stage. This is a difficult situation, particularly when the case manager has turned up for interview by the time an inspector realises the case should have been excluded. The inspector has a brief conversation with the responsible officer, to let them know that the case should not have been put forward for inspection.

The inspector then agrees with the deputy lead inspector about whether a substitute case needs to be identified as a file read. If possible, the inspector conducting a file read arranges a telephone conversation brief meeting with the responsible officer.

## **Domain three: NPS-specific work**

### *Court reports and allocation*

Inspectors use OASys and nDelius to inspect these cases, and judge the quality of the written evidence in the report provided to court. They then make a judgement about the quality of information-gathering at the court and allocation stage, including any assessment of RoSH, if necessary, and the accuracy of the allocation decision. There are no interviews with the staff involved in preparing and producing information for court and/or allocation.

The case sample is drawn from across the whole NPS area being inspected, and takes proportionate account of the number of different report types prepared. Inspectors exclude any cases where:

- the report type as shown on nDelius does not match the report type on the case sample list
- the service user did not receive an immediate community or custody sentence that needed to be allocated to the NPS or CRC (i.e. cases where sentence was deferred, or the court imposed a hospital order, stand-alone curfew or restrictive requirement, fine or discharge)
- the case was sentenced in a court outside the NPS area being inspected

Inspectors use NPS records of the court reports and allocation process (nDelius and OASys) to access the evidence for inspection. They do not take into account any activity or re-assessment that has taken place after the case was allocated to the appropriate agency.

There is no need to access CRC case records, nor NPS records post-allocation. At the end of each fieldwork week, inspectors will return the case sample to the AO and the data team, to indicate which cases have been inspected.

Exceptionally, if an inspector finds a significant shortcoming in the work of the NPS prior to allocation, which will have impacted on the ability of the CRC to manage the case, we expect the NPS to rectify this. We ask the NPS for evidence that they have informed the CRC of any changed assessment or additional information.

### *Victim work*

Inspection of victim work covers only statutory victim contact, not discretionary contact.

Inspectors use nDelius and OASys, and the victim database, to inspect the work done to trace and contact victims in custodial sentences commencing between six and seven months before the inspection fieldwork, where the case is eligible for statutory victim contact.

Inspectors examine whether a victim was traced and contacted, and how initial contact was followed up if the offer was accepted by the victim. This allows us to comment on the quality of the work of victim contact officers, and the working relationship with local witness care units, which is crucial to obtaining the contact details of victims.

### **Initial contact after sentence**

Inspectors work from a case sample list containing details of custodial sentences allocated to the NPS area, where the nature of the offence indicates that the case could be eligible for statutory victim contact. The inspector reads the prosecution documents in the case, to establish whether there was an identifiable personal victim. Cases where there is no identifiable personal victim will not be inspected.

Inspectors will access the victim database to examine:

- whether the victim lived, or was believed to live, within the boundaries of the NPS area being inspected at the time of sentence
- whether the case was identified by the NPS as an eligible case for victim contact
- whether attempts were made by the NPS to contact the victim
- whether any victim in that case chose to participate in the victim contact scheme

### **Pre- and post-release victim work**

Inspection of victim work immediately prior to, and after release, is completed as part of the domain two inspection of NPS cases, for those cases where a victim has opted in to the statutory victim contact scheme.

### **Domain three: CRC-specific work**

#### *Unpaid work*

Inspectors use OASys and nDelius to inspect these cases. There are no interviews with unpaid work staff or responsible officers in connection with the individual cases inspected.

#### **Case inspection**

An appropriate amount of assistant inspector time is allocated to unpaid work in each CRC inspection. Where possible, the assistant inspectors are based in a range of venues in the CRC to facilitate meetings with different groups of unpaid work staff. Inspectors exclude any cases where:

- the unpaid work requirement has been transferred in from or out to a different CRC
- the case has been subject to a serious further offence review or a serious case review(England)/child practice review (Wales)
- the service user was unavailable for work for more than a six-week period since this requirement commenced, for example, remanded in custody, signed off as unfit for work, or missing on a warrant.

Inspectors access CRC case records to inspect work done by unpaid work staff. In orders with more than one requirement, or orders where the case is managed by the NPS, they also look at assessment and planning completed by the responsible officer, with a focus on issues relevant to unpaid work. For NPS cases, inspectors use NPS logons from CRC IT systems to access any necessary information about NPS cases. Prior to fieldwork, the administrator notifies the relevant NPS division that we are inspecting unpaid work services in some of its cases.

#### *Through the Gate*

We inspect cases allocated to the NPS as well as CRCs post-release. Inspectors use case records to access the cases, currently through OASys and nDelius. If the CRC keeps records of Through the Gate work in any other location, we ask them to provide access to that. No cases are inspected where prisoners are released to CRCs other than the one inspected, or any NPS area except the one local to the CRC. There are no interviews with the prison-based resettlement worker or the community-based responsible officer in connection with individual cases.

## **Case inspection**

Inspectors exclude any cases where:

- the prisoner was not released as expected
- the prisoner was released to the supervision of a CRC other than the one being inspected
- the prisoner was released to the supervision of an NPS area other than the one local to the CRC being inspected the prisoner was not under any form of supervision post-release, for example, released at sentence expiry date, held for deportation, remand.

## **Cases allocated to the wrong agency**

Occasionally during fieldwork, it becomes apparent that a case being inspected has been allocated to the wrong agency. If the case is currently allocated to the NPS, and the inspector believes it should have been allocated to a CRC, they raise this with the NPS but there is no expectation that the case will be reallocated. If the case is currently allocated to a CRC, and the inspector believes it should have been allocated to the NPS, the inspector raises this with the NPS, with an expectation that the NPS will contact the CRC and request the case is reallocated to them.

## **6.2. Domain guidance material**

Guidance has been developed for each domain that explains how the standards and key questions are assessed by inspection teams. The purpose of the guidance is to provide consistency and a shared understanding of expectations. The guidance material is separated into the following documents:

- domain one: guidance on the standards, key questions and prompts; it outlines some of the evidence to consider, and explains how judgements should be formulated
- domain two: the case assessment rules and guidance (CARaG) provides detailed information about case assessments and is structured in line with the InfoPath tool used for recording findings
- domain three: each of the sector-specific modules has separate CARaG guidance

The guidance documents are based on international and national probation standards and rules, CRC contractual provisions and our own standards and benchmarks, looking for approaches that set high standards to assess quality. Copies of the guidance documents can be found on the HMI Probation website.

## **6.3. The inspection team for phase II**

The inspection team for phase II consists of:

- lead inspector
- deputy lead inspector
- assistant inspectors
- local assessors (NPS only)

## **6.4. Inspection sites (including administrative/business support)**

During the pre-fieldwork phase, the inspection sites are identified and the inspection team allocated to specific offices. The inspectorate understand private office space may not be available in all inspection sites for the whole fieldwork phase. The host organisation may allocate the team to a desk in an open office with access to private interview rooms, in accordance with the timings on the schedule where interviews can take place with responsible officers.

The host organisation gives an induction to the building, including a health and safety briefing. Inspection staff need access to fobs, and information on opening and closing times.

## **6.5. IT access**

All inspection staff have national accounts to access nDelius and OASys. The lead inspector makes arrangements for IT access during the planning meetings with the host organisation. The points to consider are:

- within the NPS, laptops are being rolled out to replace existing hardware; this means inspectors need additional user names and passwords to get through the security of the laptop. In locations where laptops have not been issued, inspection staff should use the national NPS user name and password to access the IT
- for the CRCs, additional log-on details are provided to access CRC laptops and the CRC platform. Once on the desktop showing the OASys and nDelius icons, inspection staff should use their NPS log-on details for access.
- all inspectors have national ViSOR accounts, and may request use of a ViSOR terminal in relevant domain two cases (NPS inspections only)
- in NPS inspections, arrangements are made for all inspectors to access the victim case management system in relevant cases in domains two and three

## **6.6. Case files**

Inspectors access case files held electronically in OASys and nDelius, and should be provided with any additional paper documents or access to local folders if relevant information is stored separately. In relevant NPS cases, inspectors may access the victim case management system and Visor.

## **6.7. Responsible officer interviews**

As part of our assessment of a case, the inspector or assistant inspector interviews the responsible officer for that case. This interview provides an opportunity for the case under inspection in domain two to be discussed in more detail, and to gather evidence for domain one. Inspectors provide an introduction and overview to the responsible officer to help them understand the process of the inspection. In addition to gathering domain one and two evidence, the interview includes constructive feedback to the responsible officer, delivered in a productive and sensitive manner to encourage reflective discussions. The detail of the

interview is not discussed with line managers, unless there are serious concerns about the case (prompting an ‘alert’ to be raised – see para 6.8 below).

Where the responsible officer is not available, another suitable person with a sufficient understanding of the case may attend the interview. If no alternative is available, the case should be assessed based on the written material alone (as a file read).

## **6.8. Alert process**

Where we identify a significant actual or potential risk of harm to other people, or to the individual concerned, or where there is organisational practice that requires immediate attention, we have a responsibility to act on our concerns. The following procedures provide all inspection staff with an effective and consistent mechanism for tackling serious situations that require immediate attention.

An alert encompasses practice, or practice omissions, that require immediate remedial action to be taken (usually by the organisation responsible for the case) to reduce or contain an identifiable risk.

Inspection staff should ask themselves:

- What might happen if no action is taken?
- How likely is it to happen?
- When might it happen (that is, how imminent is it)?

If we are concerned that there is danger to life and limb, or that an offence has taken place or is taking place (for example, fraud), the inspector invokes the alert process.

Where alerts are raised, the deputy lead inspector makes sure that the organisation responsible for the case (or third party) takes sufficient action to allay our fears. We need assurance, confirmed by evidence, that actions have been taken. We are not managing the risk directly, however.

## **6.9. Meetings**

Meetings with groups of staff should ideally consist of six to ten people; in larger groups, some participants could be overlooked, while smaller ones might not generate sufficient diversity of views.

Staff should be of the same grade (or doing the same role), and should not be in the same group as their line manager or senior managers. Certain topics might require consistency in other areas, such as gender, age and ethnicity. Avoid groups where most or all the participants know each other. Ideally, participants do not know each other well but are comfortable together.

Meetings with groups normally last between 45 and 90 minutes. The meeting should take place in a space that is private, not subject to interruptions and with sufficient comfortable seating. The host organisation is responsible for identifying the best location for meetings to take place, ensuring there is a good representation.

## **6.10.Closing the inspection fieldwork**

The fieldwork phase on all inspections commences on Monday afternoon and ends on Friday, usually between 12:00 and 14:00.

On the final day of the inspection, the lead inspector:

- thanks the host organisation for accommodating the team
- offers a contribution towards any refreshments that were provided
- ensures all fobs/security passes have been returned
- outlines the process for report writing and submission of the draft report
- discusses the process if there are factual inaccuracies in the draft report
- explains the process for ratings and gradings
- highlights key dates and next steps for improvement plans and final report publication

They do not provide feedback on findings at this stage.

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## 7. Phase III: Post-fieldwork

### 7.1. Ratings explained

Domain two and three ratings are based on the results of the inspection of individual cases. Ratings are at the standard level, and are based on the consolidated results (at key question level) of all cases inspected in the relevant domain.

For each standard, the rating is aligned to the lowest banding at the key question level, recognising that each key question is an integral part of the standard.

Lowest banding (key question level)	Rating (standard)
Minority: <50%	Inadequate
Too few: 50-64%	Requires improvement
Reasonable majority: 65-79%	Good
Large majority: 80%+	Outstanding

For example, implementation and delivery is rated as outstanding when there is a sufficient focus in all three key questions (engagement, desistance and keeping other people safe) across a 'large majority' (80%+) of the cases examined. But if the banding is a 'reasonable majority' (65-79%) for one of the three key questions, then we rate implementation and delivery as good rather than outstanding.

We use case sub-samples for some of the key questions in domains 2 and 3. For example, when judging whether planning focused sufficiently on keeping other people safe, we exclude those cases where the inspector deemed the risk of serious harm to be low. This approach is justified on the basis that we focus on those cases where we expect meaningful work to take place.

#### Domain one ratings

Domain one ratings for each inspection are not led by our findings in individual cases, although we always check the correlation between domains and the need for further analysis. Instead, the evidence we need for domain one ratings comes from elsewhere - primarily from data, documents and evidence submitted by the organisation, and through interviews with leaders, managers, staff, individuals subject to probation supervision and other relevant stakeholders.

Domain one ratings are proposed by the lead inspector in each case, using all the relevant sources of evidence. The evidence obtained in advance of the fieldwork is reviewed to make preliminary assessments against the prompts and key questions, as well as identifying gaps in the evidence and thus further requests for evidence for the fieldwork.

They provide a framework to support the lead inspector's recommendation rather than being a checklist; we do not expect every characteristic to be present for the corresponding rating to be given. The characteristics are closely aligned to the key questions and prompts in the standards framework.

The characteristics for 'outstanding' capture whether the organisation is:

- innovative and creative
- forward-looking and proactive
- open and transparent
- supportive, empowering and inclusive
- agile and responsive
- collaborative and outward-looking.

The characteristics for 'inadequate' capture whether the organisation is:

- solely reactive
- defensive and blaming
- characterised by division and conflict
- unresponsive
- inward-looking.

### **Overall provider rating**

Straightforward scoring rules are used to generate the overall provider rating. Each of the ten standards are scored on a 0–3 scale in which 'inadequate' = 0; 'requires improvement' = 1; 'good' = 2; and 'outstanding' = 3. Adding these scores produces a total score ranging from 0–30, which is banded to produce the overall rating, as follows:

- 0–5 = inadequate
- 6–15 = requires improvement
- 16–25 = good
- 26–30 = outstanding.

We do not include any weightings in the scoring rules. The rationale for this is that all parts of the standards framework are strongly linked to effective service delivery and positive outcomes, and we have restricted ourselves to those that are most essential. Our view is that providers need to focus across all the standards, and we do not want to distort behaviours in any undesirable ways. Furthermore, the underpinning evidence supports including all standards/key questions in the rating, rather than weighting individual elements.

## **7.2. Ratings panel meeting**

The ratings panel for NPS and CRC inspections sit on the Thursday morning of the week following the fieldwork (week +1).

The quorum for the panel is the director of operations (who chairs and records the decision of the panel) the lead inspector and relevant head of inspection. The head of standards and head of inspection methodology and assurance attend some ratings panels. The lead inspector always attends.

At the end of the third fieldwork week, verified data from domains two and three, along with indicative ratings, are issued to the lead inspector and deputy lead inspector by the information and data team.

Domain one ratings are proposed by the lead inspector in each case, using all the relevant sources of evidence. The evidence obtained in advance of the fieldwork is reviewed to make preliminary assessments against the prompts and key questions, as well as evidence gathered during the fieldwork.

In analysing the data, the lead inspector summarises the main findings and identifies the evidence that supports the ratings to be proposed to the ratings panel.

The lead inspector presents the proposed ratings to the panel in a structured way and in line with the following principles and processes:

- the panel checks that ratings for domain one are evidenced-based and balanced, and in line with published HMIP rules and guidance
- the panel considers the validity, source and impact of each piece of evidence for domain one and determines whether the rating proposed by the Lead Inspector is appropriate..
- exceptionally, the panel considers whether professional discretion should be exercised in relation to any of the domain two or three ratings that yield a percentage close to the rating boundary, for example, between 'requires improvement' and 'good' (specifically, within five percentage points of the boundary or where a different judgement in one case would result in a change in rating). The panel considers the sizes of any sub-samples used and the percentages for the other key questions within that standard, such as whether they fall within different bandings and the level of divergence, to make this decision. the panel only revises the domain two or domain three scores at the key question level if they believe that to do otherwise would not be a true reflection of how the inspected organisation is performing
- the panel makes sure that ratings are consistently applied across inspections
- the panel provides a level of protection and challenge for the lead inspector
- the panel focuses only on ratings and key findings and does not quality assure other aspects of the inspection.

Following the ratings panel, the chair of the panel completes the Ratings Panel Decision document. The administrator sends the host organisation a copy of the agreed ratings and a summary of the ratings panel meeting. This arrives with the inspected body at 0900 on the Monday after the ratings panel (week +2).

Also on the Monday, the lead inspector telephones the senior manager of the inspected organisation to explain the decision of the ratings panel.

### **7.3. Report writing**

As the public product from inspection, it is important that the report is well presented, credible and accessible to the intelligent lay reader. Equally, to drive improvement in practice, the report needs to present the information required by the technical audience. We

have drawn on the structure and format used by the Care Quality Commission in its inspections of health provision.

The lead inspector is allocated three weeks to complete the first draft of the report, including presenting their judgements to the ratings panel in the first of these weeks. The following processes are carried out to finalise the report:

- initial editing by an external contractor (checking on grammar, house style etc.)
- structure, accuracy and quality check by the head of inspection/operations director (strategic editing)
- review by the chief inspector and drafting the foreword
- factual accuracy check by the host organisation
- statistics checking by data and information team
- inclusion of the agreed foreword
- final external proof reading
- final review by the lead and head of inspection
- report design by communications team
- report sign-off by the head of communications.

The host organisation receives a copy of the draft report on Monday morning of week +7, with copy to Operational and Systems Assurance Group (OSAG). This is to provide the organisation with the opportunity to comment on the factual accuracy of the draft report.

Arrangements are in place for OSAG to send the response to HMI Probation within ten working days. A template is available, at appendix 6 of this manual, for use by both the inspected body and HMI Probation. The head of inspection and lead inspector consider the comments from the host organisation and provide a response.

At this point, the host organisation is also invited to complete a feedback questionnaire about the inspection process.

If there is a concern about any part of the inspection process, the host organisation is referred to the complaints procedure. A copy of the complaints procedure can be found in appendix 2 of this manual.

## **7.4. Report publication**

The HMI Probation communications team arrange for the report to be distributed to relevant recipients. They also prepare the press release and submission to ministers, which are agreed with the lead inspector and head of inspection, before final review by the chief inspector. An embargoed copy of the report is issued to the host organisation 5 working days before formal publication. The report will usually be published at week +13 in England, and week +17 in Wales. Changes to this publication date may be agreed in advance.

## **7.5. Action plans**

The inspected body liaises with OSAG to agree the action plan to address the report recommendations. The action plan is sent by OSAG to HMI Probation at week +15 in England and +19 in Wales.

The lead inspector and head of inspection review the action plan, then sends an acknowledgement letter, noting acceptance of the plan or identifying amendments if required. The action plan is published on the HMPPS gov.uk website and linked to from the HMI Probation site.

The action plan is followed up during the next annual inspection, when progress is reviewed.

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# Appendices

## Appendix 1: Inspection team roles and responsibilities

### **HM Chief Inspector of Probation**

The chief inspector has overall responsibility for all HMI Probation activity, but is not normally involved in inspection fieldwork. Their primary role within an inspection is to provide the public face of the inspectorate, and to liaise with ministers and other key stakeholders.

The chief inspector is kept informed of key themes and findings emerging from inspection activity and reviews all edited reports before they are sent to the inspected body for factual accuracy checking.

### **Director of operations**

The director of operations maintains an overview of all inspection findings, working internally and externally to maximise the impact of inspection and to drive improvement across the probation and youth justice sectors. They oversee the quality, supply and use of management information, and the efficiency of inspection and operational support functions. They chair the ratings panel for each probation inspection.

### **Director of strategy and research**

The director of strategy and research leads HMI Probation's ongoing development, with a particular focus on:

- maximising the impact of inspection on the quality of probation and youth justice services
- driving improvement in the quality of provision
- adapting to changes in the way probation and youth justice services are provided and to changes in the oversight model(s)
- leading and developing standards (and the evidence base for these)
- overseeing the research, communications and corporate services functions in HMI Probation.

### **Heads of inspection for NPS and CRC**

The head of inspection maintains an overview of their sector's inspection programme but does not operate as a lead inspector. They have specific responsibilities, including:

- managing their sector's inspection programme
- focusing on staff development
- quality assuring the work carried out, in conjunction with the head of training and development and the head of inspection methodology and assurance
- liaising with and supporting lead inspectors

- reviewing and evaluating the programme and emerging and cumulative findings
- editing and agreeing the final reports (NPS).

The head of inspection attends the ratings panel meetings. They may also attend initial planning meetings and/or inspection fieldwork meetings, undertaking other activities in support of lead inspectors.

### **Head of standards**

The head of standards leads the development, continuous improvement and promotion of standards and best practice for probation service provision across the probation and youth justice sectors. In their wider work, they support the director of strategy and research by building a shared view of quality, driving improvement and maximising the impact of inspection.

### **Head of inspection methodology and assurance**

The head of inspection methodology and assurance leads on the design, review and continuous improvement of inspection methodologies to ensure they are effective, efficient and coherent. They design, develop and implement quality management systems across all aspects of inspection activity, including reporting. They may attend some of the ratings panel meetings, ensuring consistency of methodological approach across inspections.

### **Lead inspector**

Each inspection has a lead inspector. They take ultimate responsibility for ensuring all practical arrangements are in place and that the inspection runs smoothly.

Particular responsibilities for lead inspectors include:

- announcing the inspection
- attending and chairing planning meetings with the inspected organisation
- analysing the evidence in advance and disseminating this to colleagues
- allocating tasks to the inspection team
- working with the administrator to agree logistical arrangements and finalise the schedules for fieldwork
- preparing for and presenting evidence, key findings and draft ratings to the ratings panel
- writing the report.

### **Deputy lead inspector**

Each inspection is allocated a deputy lead inspector to support the lead inspector. They are responsible for all practical arrangements while on-site, and maintaining frequent liaison with the inspected organisation and the HMI Probation administrator during the fieldwork.

Particular responsibilities for deputies include:

- providing practical and welfare support for assistant inspectors during the fieldwork
- overseeing any logistical issues that occur during the fieldwork phase

- undertaking inspection of cases under domain two and, where required, domain three
- ensuring that sufficient cases are inspected to achieve the required 80% confidence level
- leading and facilitating individual and group meetings
- supporting the lead to collate and record team feedback
- supporting the lead during the post-fieldwork phase to analyse and interpret the data and to prepare for the ratings panel.

### **HM inspector**

A third inspector joins the team on week three of the fieldwork to assist with domain one activity. The inspector leads and facilitates individual and group meetings with staff from the host organisation.

### **Assistant inspector**

Assistant inspectors are primarily involved in the assessment of cases. They are sometimes involved in meetings and focus groups. Key responsibilities for assistant inspectors include:

- undertaking assessments of front-line practice
- providing accurate and concise written feedback to lead inspectors on individual cases
- providing feedback to individual responsible officers about their work
- leading and facilitating groups/meetings of staff and service users.

### **Administrator (operations)**

Each inspection is also allocated an administrator to support the inspected organisation and the inspection team.

Particular responsibilities for administrators include:

- issuing inspection documentation
- selecting inspection case samples in accordance with specified criteria
- scheduling inspection fieldwork activities, including meetings, focus groups and interviews
- providing guidance to the inspected organisation.

### **Information and data team**

The information and data team provides the lead with a background information pack at week -10 (updated at week -1). This pack contains published data on caseload, performance, crime levels, proven reoffending, accredited programmes, local labour market and population characteristics. A selection of this publicly-available information is also used to produce the key facts section of the final report.

The role of the information and data team is to:

- manage the functionality of the evidence-gathering tool, InfoPath

- ensure the use of data conforms with the information framework for HMI Probation
- provide background data and other relevant evidence
- complete inspection data analysis
- provide survey feedback.

### **Communications team**

The communications team is responsible for the design and distribution of the report on specific publication dates. In particular, the team is responsible for:

- contact with the media
  - preparing the press notice and ministerial submission linked to the report
  - social media
  - publishing and maintaining the website
  - stakeholder engagement.
-

## **Appendix 2: HMI Probation complaints procedure**

### **Complaints**

We are committed to ensuring our inspectorate processes are transparent and fair and of a professional standard. This includes handling complaints proficiently, in an open and rigorous way, investigating the matters raised thoroughly, and replying as quickly as possible to any concerns raised with us.

You can make a complaint if you are dissatisfied with the way in which we carry out, or fail to carry out, our business. This includes the quality of our work or the way we work, including the conduct of the organisation or individual members of staff. Our complaints policy can be found on our website.

However, our formal complaints policy does not cover any issues you may have with the findings of our inspections. There is an opportunity to raise such issues at factual accuracy check. The Head of Programme, in consultation with the Director of Operations, is the final decision-maker on any matters of factual accuracy. If, exceptionally, a position cannot be agreed, the Director of Strategy and Research, will act as independent arbiter.

We aim to address any concerns or dissatisfaction as early as possible, preferably before they are escalated to formal complaint.

### **Accountability**

The inspectorate seeks feedback from staff and managers of organisations whose work has been inspected on our style, conduct and approach. Responses are regularly reviewed and used to improve the inspection process, and a summary of results is published in our annual report, where we will also publish an account of any complaints and their outcome.

Please address all correspondence to:

HM Inspectorate of Probation  
1st Floor, Manchester Civil Justice Centre,  
1 Bridge Street West,  
Manchester, M3 3FX

0161 240 5336

Email address: [hmip.enquiries@hmipprobation.gov.uk](mailto:hmip.enquiries@hmipprobation.gov.uk)

## Appendix 3: Glossary

<b>Accountability</b>	When people are responsible for making decisions and taking actions on areas of work within their remit
<b>Accredited programme</b>	A programme of work delivered to offenders in groups or individually through a requirement in a community order or a suspended sentence order, or as part of a custodial sentence or a condition in a prison licence. Accredited programmes are accredited by the Correctional Services Accredited Panel as being effective in reducing the likelihood of reoffending
<b>Allocation</b>	The process by which a decision is made about whether an offender will be supervised by a CRC or the NPS
<b>Approach</b>	The overall way in which something is made to happen; an approach comprises processes and structured actions within a framework of principles and policies
<b>Approved premises</b>	Premises approved under Section 13 of the <i>Offender Management Act 2007</i> , managed either by the National Probation Service or by independent organisations. Approved premises are used as a short-term residence for an offender considered a high risk of serious harm, who requires close monitoring and supervision, and support to begin to integrate back into the community
<b>ARMS</b>	Active Risk Management System: provides an approved framework for working with sexual offenders who are subject to statutory supervision
<b>Assessment</b>	The process by which a decision is made about the things an individual may need to do to reduce the likelihood of them reoffending and/or causing further harm
<b>Assignment</b>	The process by which an offender is linked to a single responsible officer, who will arrange and coordinate all the interventions to be delivered during their sentence
<b>ATR</b>	Alcohol treatment requirement: a requirement that a court may attach to a community or suspended sentence order aimed at tackling alcohol abuse
<b>Barriers</b>	The things that make it difficult for an individual to change
<b>BASS</b>	Bail Accommodation Support Service: housing provided by Stonham Housing Association under a HMPPS contract to accommodate people on bail before sentence; also for those suitable for early release from prison on home detention curfew
<b>BBR</b>	Building Better Relationships: a nationally accredited group work programme designed to reduce reoffending by adult male perpetrators of intimate partner violence
<b>Becoming New Me</b>	A nationally accredited group work programme designed for men aged 21 years and over who have committed sexual offences and have intellectual disabilities
<b>Benchmarking</b>	A systematic comparison of approaches with other relevant organisations to gain insights that will help the organisation to act to improve its performance

<b>Breach (of an order or licence)</b>	Where an offender fails to comply with the conditions of a court order or licence. Enforcement action may be taken to return the offender to court for additional action or recall them to prison
<b>BSR</b>	Building Skills for Recovery: a nationally accredited programme designed to address substance misuse, drugs and alcohol, linked to offending
<b>Business plan</b>	A plan that sets out an organisation's objectives. It may also be known as an organisational plan or corporate plan
<b>CAS</b>	Case allocation system: a document that needs to be completed prior to the allocation of a case to a CRC or the NPS
<b>Case manager</b>	The term used by some CRCs, e.g. Purple Futures' CRCs, for the probation services officer grade who holds lead responsibility for managing a case
<b>Child practice review</b>	This is the Welsh equivalent of the English Serious Case Review. It takes place after a child dies or is seriously injured and abuse or neglect is thought to be involved. It looks at lessons than can help prevent similar incidents from happening in the future
<b>Child protection</b>	Work to make sure that all reasonable action has been taken to keep to a minimum the risk of a child coming to harm
<b>Child safeguarding</b>	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. The term 'safeguarding' is also used in relation to vulnerable adults
<b>Circles of Support and Accountability</b>	A registered charity working across England and Wales to provide groups of volunteers with professional supervision to support sexual offenders to reintegrate into society after their release from prison
<b>Cluster</b>	A grouping of adjacent local delivery units to assist in administration and monitoring.
<b>Community interest company</b>	A business with primarily social objectives whose surpluses are reinvested for that purpose in the business or in the community rather than for maximising profit for the shareholders or owners. They are designed for social enterprises that want to use their profits and assets for the public good
<b>Contract package area</b>	The geographical area within which each of the 21 CRCs manages low and medium risk of harm offenders subject to a community order, suspended sentence order or licence
<b>Court report</b>	This refers to any report prepared for a court to inform sentencing, whether delivered orally or in a written format
<b>CRC</b>	Community Rehabilitation Company: 21 CRCs were set up in June 2014, to manage most offenders who present low or medium risk of serious harm
<b>Criminal justice system</b>	Involves any or all of the agencies involved in upholding and implementing the law – police, courts, youth offending teams, probation and prisons

<b>CSOGP</b>	Community Sexual Offending Group Programme: a nationally accredited group work programme designed for men who have committed a sexual offence, are aged over 21, and who are assessed using RM2000 as medium or higher
<b>CSC</b>	Contact Support Centre: a centralised administrative hub, that administers correspondence, makes referrals, completes enforcement documentation and takes all telephone calls at first point of contact
<b>Curfew</b>	Restrictive intervention requiring an individual to remain at an agreed address during a pre-determined period
<b>Desistance</b>	The cessation of offending or other antisocial behaviour
<b>DIDs</b>	Drink Impaired Drivers programme: an accredited programme designed to reduce the risk of future drink related driving offences
<b>Discretionary service</b>	The name given to a service or intervention delivered to service users; it is offered via the rate card and is selected by responsible officers to form part of a sentence plan
<b>Diversity</b>	The extent to which people within an organisation recognise, appreciate and utilise the characteristics that make an organisation and its service users unique. Diversity can relate to age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sex
<b>DRR</b>	Drug Rehabilitation Requirement: a requirement that a court may attach to a community order or a suspended sentence order aimed at tackling drugs misuse
<b>Dynamic factors</b>	As distinct from static factors, dynamic factors are the factors in an individual's circumstances and behaviour that can change over time
<b>E3</b>	E3 stands for 'Effectiveness, Efficiency, and Excellence'. The E3 programme was created following the <i>Transforming Rehabilitation</i> programme in June 2014. The basic principle is to standardise NPS delivery, redesigning the NPS structure with six key areas of focus, including: community supervision; court services; custody; youth offending services; victims' services and approved premises
<b>Empowerment</b>	Giving people the authority or power and/or confidence to make and implement decisions
<b>Enforcement</b>	Action taken by a responsible officer in response to an individual's non-compliance with a community sentence or licence. Enforcement can be punitive or motivational
<b>Equality</b>	Ensuring that everyone is treated with dignity and respect, regardless of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sex. It also means recognising that diverse groups have different needs, and ensuring that they have equal and fair access to appropriate opportunities
<b>EQuiP</b>	Excellence and Quality in Process: a NPS web-based national resource providing consistent information about the processes to be followed in all aspects of the NPS's work. The process mapping is underpinned by quality assurance measures

<b>Escalation</b>	The term used to describe the process where a case allocated to a CRC is referred to the NPS for reallocation because an increase in the risk of harm posed by the offender now places that person within the category of those who should be supervised by the NPS
<b>ETE</b>	Education, training and employment: work to improve an individual's learning, and to increase their employment prospects
<b>Flex team</b>	A team of people in the Purple Futures' CRCs made up of operational and management staff supervising service users
<b>Foreign national offender</b>	A foreign national who has been convicted of a crime in the United Kingdom
<b>Freedom programme</b>	A programme for women who have been victims of domestic abuse
<b>HDC</b>	Home detention curfew: prisoners can apply for early release, and if successful are subject to an electronically monitored curfew
<b>Head of inspection</b>	The HMI Probation manager with overall responsibility for the inspection programme. There are four such managers within HMI Probation: head of CRC inspection; head of NPS inspection; head of thematic inspection; and head of youth inspection
<b>HMP</b>	Her Majesty's Prison
<b>HMPPS</b>	Her Majesty's Prison and Probation Service: from 01 April 2017, HMPPS became the single agency responsible for delivering prison and probation services across England and Wales. At the same time, the Ministry of Justice took on responsibility for overall policy direction, setting standards, scrutinising prison performance and commissioning services. These used to fall under the remit of the National Offender Management Service (the agency that has been replaced by HMPPS)
<b>HMP/YOI</b>	Her Majesty's Prison/Young Offender Institution
<b>Horizon</b>	A nationally accredited group work programme designed for medium-risk male sexual offenders
<b>Host CRC</b>	A CRC, which is not the lead host of Through the Gate services, that provides services to some but not all prisoners in a particular prison. They are likely to deliver services exclusively to prisoners who will be released within their contract package area
<b>HRBP</b>	Human resources business partner: A HMPPS resource allocated to the NPS to support all aspects of human resources work
<b>ICO</b>	Intensive community order: an intensive community sanction for males aged 18-25 years old. The requirements of the sentence are more onerous with a multitude of demands on the restriction of liberty
<b>IDVA</b>	Independent domestic violence advisors: provide support to survivors of domestic abuse living in the community and assessed as being at high risk of further domestic abuse

<b>Interchange manager</b>	A member of staff within Purple Futures' CRCs equivalent to a senior probation officer in the NPS
<b>Interchange model</b>	An individualised approach to rehabilitation that meets the needs and recognises the diversity of all service users; the model takes a modular approach to working to support desistance
<b>Intervention</b>	Work with an individual that is designed to change their offending behaviour and/or to support public protection. A constructive intervention is where the primary purpose is to reduce likelihood of reoffending. A restrictive intervention is where the primary purpose is to keep to a minimum the individual's risk of harm to others. With a sexual offender, for example, a constructive intervention might be to put them through an accredited sex offender treatment programme; a restrictive intervention (to minimise their risk of harm to others) 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. Both types of intervention are important
<b>IOM</b>	Integrated Offender Management: a cross-agency response to the crime and reoffending threats faced by local communities. The most persistent and problematic offenders are identified and managed jointly by partner agencies working together
<b>IPP</b>	Indeterminate public protection: a prison sentence issued for public protection reasons that has no specified length. Given to a person who has committed a specified violent or sexual offence but the offence is not so serious as to warrant a life sentence
<b>i-SOTP</b>	Internet sex offender programme: for those who have committed an internet sexual offence
<b>Lead host</b>	The CRC delivering the main Through the Gate services in a prison, to all prisoners except those who are the responsibility of another host CRC
<b>Learning style</b>	The different ways in which people are best able to learn. They can include, for example, solitary or group scenarios, discussion, written information, pictures, hands-on learning and seminars
<b>Licence</b>	This is a period of supervision immediately following release from custody, and is typically implemented after an offender has served half of their sentence. Any breaches to the conditions of the licence can lead to a recall to prison where the offender could remain in custody for the duration of their original sentence
<b>Lived experience</b>	This refers to an individual's experience of the criminal justice system and/or offending history
<b>Living as New Me</b>	A nationally accredited group work programme designed for men who have successfully completed Becoming New Me in custody or the community
<b>Local delivery unit</b>	An operational unit comprising an office or offices, generally coterminous with police basic command units and local authority structures

<b>Looked After (Child)</b>	The term used in the <i>Children Act 1989</i> to describe a child who is cared for by a local authority for more than 24 hours. Typically, this is by a local authority's children's social care services department
<b>LSCB</b>	Local Safeguarding Children Board: set up in each local authority (as a result of the <i>Children Act 2004</i> ) to coordinate and ensure the effectiveness of the multi-agency work to safeguard and promote the welfare of children in that locality
<b>MAPPA</b>	Multi-Agency Public Protection Arrangements: where NPS, police, prison and other agencies work together locally to manage offenders who pose a higher risk of harm to others. Level 1 is ordinary agency management where the risks posed by the offender can be managed by the agency responsible for the supervision or case management of the offender. This compares with Levels 2 and 3, which require active multi-agency management
<b>Maps for change</b>	A toolkit for working with male sex offenders at low risk of reoffending, and those for whom an accredited programme is deemed inappropriate
<b>MARAC</b>	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
<b>MASH</b>	Multi-Agency Safeguarding Hub: the first point of contact for new safeguarding concerns or enquiries. They usually include representatives from the local authority (children and adult social care services), the police, health bodies, probation and other agencies
<b>Mentoring</b>	The advice and guidance offered by a more experienced person to develop an individual's potential
<b>MIND</b>	A national mental health charity providing advice and support to those experiencing mental health problems and campaigning to improve services and raise awareness
<b>MoJ</b>	Ministry of Justice: the government department with responsibility for the criminal justice system in the United Kingdom
<b>MOSOVO</b>	Management of Sexual Offenders and Violent Offenders: the accredited training course provides police Public Protection Unit practitioners with the skills and knowledge to enable them to identify and manage sex offenders, violent offenders and other dangerous offenders falling within the Multi-Agency Public Protection Arrangements (MAPPA)
<b>Nacro</b>	Formerly known by the acronym of NACRO (National Association for the Care and Resettlement of Offenders), Nacro is a social justice charity which for over 50 years has offered a range of services to support people to change their lives and to prevent crime and the risk of reoffending
<b>nDelius</b>	National Delius: the approved case management system used by the CRCs and the NPS in England and Wales

<b>NOMIS</b>	National Offender Management Information System: a case management system used in prisons to record information about prisoners
<b>NOMS</b>	National Offender Management Service: the single agency responsible for both prisons and probation services in England and Wales until 31 March 2017. Since 01 April 2017, this service has been superseded by Her Majesty's Prison and Probation Service
<b>NPS</b>	National Probation Service: a single national service that came into being in June 2014. Its role is to deliver services to courts and to manage specific groups of offenders, including those presenting a high or very high risk of serious harm and those subject to MAPPA in England and Wales
<b>NSI</b>	Non-Statutory Intervention, used as the interface between NPS and CRCs on nDelius
<b>OASys/eOASys/ OASys R</b>	Offender Assessment System: currently used in England and Wales by the CRCs and the NPS to measure the risks and needs of offenders under supervision
<b>Offender management</b>	A core principle of offender management is that a single practitioner takes responsibility for managing an offender throughout their sentence, whether in custody or the community
<b>ORA 2014</b>	<i>Offender Rehabilitation Act 2014:</i> implemented in February 2015, applying to offences committed on or after that date, the <i>Offender Rehabilitation Act (ORA) 2014</i> is the Act of Parliament that accompanies the <i>Transforming Rehabilitation</i> programme
<b>Partner link workers</b>	Formerly known as women's safety workers, partner link workers provide voluntary support to the victims of offenders undertaking the Building Better Relationships programme. They provide information about the programme and the progress made by the offender, and also ensure the victim has an arranged place of safety, emergency contact numbers, and access to support services such as counselling
<b>Partners</b>	Partners include statutory and non-statutory organisations, working with the participant/offender through a partnership agreement with a CRC or the NPS
<b>PDD</b>	Probation divisional director: The NPS senior leader who leads one of the seven NPS divisions
<b>PD Pathway</b>	Personality Disorder Pathway: provides a pathway of psychologically-informed services for an offender group who are likely to have a severe personality disorder and who pose a high risk of harm to others or a high risk of reoffending in a harmful way
<b>PIPE</b>	Psychologically-informed planned environment: a service that is specifically designed to provide a safe and supportive environment. Practitioners work with service users in approved premises to help them make the transition from prison to the community. There is a strong emphasis on interventions that have a psychology base

<b>PO</b>	Probation officer: this is the term for a responsible officer who has completed a higher-education-based professional qualification. The name of the qualification and content of the training varies depending on when it was undertaken. They manage more complex cases
<b>Pre-sentence report</b>	This refers to any report prepared for a court, whether delivered orally or in a written format
<b>Providers</b>	Providers deliver a service or input commissioned by and provided under contract to a CRC or the NPS. This includes the staff and services provided under the contract, even when they are integrated or located within a CRC or the NPS
<b>PSO</b>	Probation services officer: this is the term for a responsible officer who was originally recruited with no professional qualification. 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 depending on their level of training and experience. Some PSOs work within the court setting, where their duties include writing pre-sentence reports
<b>PSS</b>	Post-sentence supervision: introduced by the <i>Offender Rehabilitation Act 2014</i> , the PSS is a period of supervision following the end of a licence. Breaches are enforced by the magistrates' court
<b>RAR</b>	Rehabilitation Activity Requirement: from February 2015, when the <i>Offender Rehabilitation Act 2014</i> was implemented, courts can specify a number of RAR days within an order; it is for probation services to decide on the precise work to be done during the RAR days awarded
<b>Rate card</b>	A directory of services offered by the CRC for the NPS to use with its offenders, detailing the price
<b>Recidivism</b>	An individual's relapse into offending after being given or undergoing an intervention to stop offending
<b>Resolve</b>	An accredited programme for male perpetrators of interpersonal violence, designed to help them gain a better understanding of their emotions and behaviour and learn new ways of thinking to help them avoid violence
<b>Responsible officer</b>	The term used for the officer (previously entitled 'offender manager') who holds lead responsibility for managing a case
<b>Restorative Justice</b>	This practice enables victims to meet or communicate with their offender to explain the real impact of the crime. In an RJ conference, victims have a chance to tell the service user how they have been affected. Service users gain empathy and understanding for those they have harmed and the opportunity to make amends
<b>RM2000 S&amp;V</b>	RM2000 sexual and violence: a nationally recognised risk assessment process that uses details of an offender's past sexual offending history to predict how likely they are to be convicted for a further sexual offence within a specific period
<b>RoSH</b>	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

	<p>referring to the classification system, but uses the broader term risk of harm when referring to the analysis which must 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</p>
<b>RSR</b>	Risk of Serious Recidivism is an assessment tool that uses static data to predict the likelihood of serious violent and sexual reoffending. The score is an estimation of how likely an offender is to be convicted for a new seriously harmful offence committed over the next two years that they will spend in the community. The RSR tool is based on tracking offending outcomes of a very large cohort of offenders, and identifying the contribution that each risk factor makes to their likelihood of serious reoffending
<b>SARA</b>	Spousal Assault Risk Assessment: helps criminal justice professionals to predict the likelihood of domestic abuse by screening risk factors in individuals suspected of or being treated for spousal abuse
<b>SEEDS</b>	Skills for Effective Engagement Development and Supervision: a skills-based practice framework for enhancing offender engagement
<b>Serious Case Review</b>	Reviews undertaken by English local safeguarding children boards for every case where abuse or neglect is known - or suspected - and either: a child dies, a child is seriously harmed and there are concerns about how organisations or professionals worked together to protect the child
<b>SFO</b>	Serious Further Offence: where an individual subject to (or recently subject to) probation commits one of a number of serious offences (such as murder, manslaughter or rape). The CRC and/or NPS must notify HMPPS of any such individual charged with one of these offences. A review is then conducted with a view to identifying lessons learned
<b>SIG</b>	Service Integration Group: a meeting of senior managers from across the CRC and NPS to consider operational and strategic issues following <i>Transforming Rehabilitation</i>
<b>SOPO</b>	Sexual offences prevention order: introduced by the <i>Sexual Offences Act 2003</i> and replaced sexual offender orders and restraining orders. It is a civil measure available to the court when it convicts a person of an offence listed in schedule 3 or schedule 5 to the <i>Sexual Offences Act 2003</i> , or on the application of the police in respect of a person who has previously been dealt with for such an offence. The order places restrictions on the subject and triggers the notification requirements
<b>SPO</b>	Senior probation officer: first line manager within the NPS
<b>SSO</b>	Suspended sentence order: a custodial sentence that is suspended and carried out in the community

<b>Stakeholder</b>	A person, group or organisation that has a direct or indirect stake or interest in the organisation because it can either affect the organisation, or be affected by it. Examples of external stakeholders are owners (shareholders), customers, suppliers, partners, government agencies and representatives of the community. Examples of internal stakeholders are people or groups of people within the organisation
<b>Static factors</b>	As distinct from dynamic factors, static factors are elements of someone's history that they cannot change (i.e. current age or the age at which they committed their first offence)
<b>Supply chain</b>	Providers of services commissioned by the CRC
<b>Thinking Skills Programme</b>	An accredited group programme designed to develop an offender's thinking skills to help them stay out of trouble
<b>Third sector</b>	The third sector includes voluntary and community organisations (both registered charities and other organisations such as associations, self-help groups and community groups), social enterprises, mutuals and cooperatives
<b>Through the Gate</b>	Through the Gate services are designed to help those sentenced to more than one day in prison to settle back into the community upon release and receive rehabilitation support so they can turn their lives around
<b>Transforming Rehabilitation</b>	The government's programme for how offenders are managed in England and Wales from June 2014
<b>Unpaid work</b>	A court can include an unpaid work requirement as part of a community order. Offenders can be required to work for up to 300 hours on community projects under supervision. Since February 2015, unpaid work has been delivered by CRCs
<b>ViSOR</b>	ViSOR is a national confidential database that supports MAPPA. It facilitates the effective exchange of information and intelligence on violent and sexual offenders between the three MAPPA Responsible Authority agencies (police, probation and prisons). ViSOR is no longer an acronym but is the formal name of the database
<b>VLO</b>	Victim liaison officer: responsible for delivering services to victims in line with the NPS' s statutory responsibilities
<b>Women's centre</b>	A centre dedicated to services for women. This may include education, training and interventions to help with confidence and self-esteem
<b>Workload management tool</b>	A tool to calculate the overall workload of an individual responsible officer. It takes into account numbers and types of cases
<b>YOT/YOS</b>	Youth offending service/team: a local authority funded service working with children and young people up to aged 18 who get into trouble with the law. They look into the background of a young person and try to help them stay away from crime. They run crime prevention programmes, help young people if they are arrested, help young people and their families at court, supervise young people serving community sentences and work with young people in custody

## **Appendix 4: Template for response to factual accuracy check**

### **INSPECTION OF ....**

<b><u>Page/Para No.</u></b>	<b><u>Factual accuracy identified by HMPPS</u></b>	<b><u>HMIP response</u></b>

**Proposed week of publication (to be completed by HMIP): w/c xx/xx/xx**



Action Plan Submitted: DATE

A Response to the HMI Probation Inspection: XXX Community Rehabilitation  
Company/ National Probation Service

Report Published: DATE

### INTRODUCTION

Her Majesty's Inspectorate of Probation is the independent inspector of youth offending and probation services in England and Wales. It reports on the effectiveness of probation and youth offending service work with adults and children.

In response to the report, HMPPS/MoJ are required to draft a robust and timely action plan to address the recommendations. The action plan confirms whether recommendations are agreed, partly agreed or not agreed (see categorisations below). Where a recommendation is agreed or partly agreed, the

action plan provides specific steps and actions to address these. Actions are clear, measurable, achievable and relevant with the owner and timescale of each step clearly identified. Action plans are published on the HMI Probation website. Progress against the implementation and delivery of the action plans will be monitored by HMPPS/MoJ and reviewed annually by HMI Probation.

Term	Definition	Additional comment
Agreed	All of the recommendation is agreed with, can be achieved and is affordable.	The response should clearly explain how the recommendation will be achieved along with timescales. Actions should be as SMART (Specific, Measurable, Achievable, Realistic and Time-bound) as possible. Actions should be specific enough to be tracked for progress.
Partly Agreed	<p>Only part of the recommendation is agreed with, is achievable, affordable and will be implemented.</p> <p>This might be because we cannot implement the whole recommendation because of commissioning, policy, operational or affordability reasons.</p>	<p>The response must state clearly which part of the recommendation will be implemented along with SMART actions and tracked for progress.</p> <p>There <b>must</b> be an explanation of why we cannot fully agree the recommendation - this must state clearly whether this is due to commissioning, policy, operational or affordability reasons.</p>
Not Agreed	<p>The recommendation is not agreed and will not be implemented.</p> <p>This might be because of commissioning, policy, operational or affordability reasons.</p>	<p>The response must clearly state the reasons why we have chosen this option.</p> <p>There <b>must</b> be an explanation of why we cannot agree the recommendation - this must state clearly whether this is due to commissioning, policy, operational or affordability reasons.</p>

<b>1. Rec No</b>	<b>2. Recommendation</b>	<b>3. Agreed/ Partly Agreed/ Not Agreed</b>	<b>4. Response Action Taken/Planned</b>	<b>5. Responsible Owner (including named individuals and their functional role or department)</b>	<b>6. Target Date</b>