

An inspection of

# Durham Tees Valley Community Rehabilitation Company

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MARCH 2019

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This inspection was led by HM Inspector Joseph Simpson, supported by a team of inspectors, and operations and corporate staff. The manager responsible for this inspection programme is Helen Rinaldi. We would like to thank all those who participated in any way in this inspection. Without their help and cooperation, the inspection would not have been possible.

Please note that, throughout the report, the names in the practice examples have been changed to protect the individual's identity.

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## Foreword

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This is the thirteenth report in our new series of annual, rated inspections of probation service providers in England and Wales.

Governance arrangements in Durham Tees Valley Community Rehabilitation Company (CRC) are sound and hold leaders to account. Senior leaders understand the challenges faced by the organisation. Unusually, they have full control over strategy, policy and the budget.

There is a strong and positive organisational ethos. Leaders and staff aim to improve the life chances of those under probation supervision and contribute to their rehabilitation. The CRC's operating model is well embedded and is embraced by staff, and it has been followed through: the supporting infrastructure underpins innovative, engaging and joined up service delivery in 35 community hubs. Early teething problems with the model have been overcome, through perseverance.

Professional staff are not overburdened with large caseloads. In the main, the CRC understands the risks and needs of those it supervises. Specialist services, such as services for women, are in place. Commendably, unpaid work services are well developed.

Despite all these strengths, we have rated the CRC as 'Requires improvement'. When we last inspected this CRC, in 2016, we found its quality management arrangements wanting. Regrettably, that is still the case, yet effective quality management is particularly important in such a dispersed delivery model. As elsewhere, team managers have a broad range of responsibilities, and this dilutes the attention given to overseeing practice.

We also found that assessment and planning need to improve. Not enough attention has been given to risk of harm and safeguarding issues, from day one and throughout the life of cases, and this has not been identified and addressed systematically. Poor record keeping and poor case review practices are commonplace. We also noted that some case managers have gaps in their knowledge and skills relating to risk of harm and safeguarding.

Professional staff here are exceptionally good at securing participant engagement, and at supporting participants with the everyday challenges they face. Sometimes, this is to the detriment of offence-focused work and managing risk of harm. The right balance is needed in all cases, to optimise the prospects of success.

The organisation promotes a culture of learning and improvement. With its strong ethos and the clear commitment of staff, challenging but achievable caseloads, and the scope of authority that its leaders enjoy, much better service provision is certainly within this CRC's grasp.



**Dame Glenys Stacey**  
Chief Inspector of Probation

## Overall findings

Overall, Durham Tees Valley CRC is rated as: **Requires improvement**. This rating has been determined by inspecting this provider in three areas of their work, referred to as 'domains'. The findings and subsequent ratings in those three domains are described here:

	<b>Organisational delivery</b>
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Our key findings about the organisation were as follows:

- **Durham Tees Valley CRC has a strong leadership team which is committed to the provision of effective services**

Durham Tees Valley CRC has experienced and committed leaders, who focus on delivering high-quality services. CRC leaders prioritise staff engagement and involving staff in making key decisions that affect local service delivery.

The operating model was constructed with staff input and is well embedded. It provides a clear framework for service delivery and underpins the priorities of the organisation.

- **Staff have manageable workloads and are supported to deliver innovative and personalised services**

Staff morale is positive and there is a culture that supports learning and improvement.

Management information systems are well developed and caseload analysis determines service delivery priorities.

- **Relevant policies and practice guidance are in place and are well communicated to staff**

Reliable information and communication technology supports mobile working. Community-based hubs support engagement by participants<sup>1</sup> and partner organisations. They provide settings for innovative service delivery.

There has been a delay in implementing effective quality assurance processes.

<sup>1</sup> Durham Tees Valley CRC uses the term 'participants' for service users or individuals under the supervision of probation.



## Case supervision

Our key findings about case supervision were as follows:

- **Assessments focus on diversity issues and factors related to offending**
- **Staff are skilled in engaging with individuals in inclusive ways, but more effort is needed to protect the public**

It is clear that staff are committed to providing high-quality and meaningful services to individuals. The operating model is embraced by staff and underpins service delivery. Responsible officers undertake most of their work with individuals in hubs.

The emphasis for many staff is on providing practical assistance and enabling individuals to access a range of services available in the hubs. The focus on face-to-face contact and on positive engagement is commendable, but more effort is needed to ensure that it helps to achieve rehabilitation and protect the public.

- **Work to help keep people safe is not being done well enough from the outset**

Work to address risk of harm was inadequate, or required improvement, across all four of the practice phases we inspected.

Poor initial assessments led to issues being missed at the outset. Issues missed were not being picked up through the course of the order.

Team managers offer valued support to practitioners but they are not giving enough attention to managing the 'thinking and recording' aspects of practice, particularly in respect of keeping people safe.

The quality of work to review progress in cases was variable. Individuals under supervision were not consistently involved in reflecting on how their risk of harm had, or had not, changed. Few reviews led to amended plans. The purpose of reviewing was not fully understood by many case managers.



## Unpaid work and Through the Gate

Our key findings about other core activities specific to CRCs were as follows:

### Unpaid work

- **Assessments focus on the critical issues relevant to unpaid work**

Unpaid work services are well managed. Arrangements for unpaid work support participants' engagement and compliance with the sentence. Unpaid work promotes opportunities for participants' personal development.

## **Through the Gate**

- **Resettlement planning does not sufficiently address participants' resettlement needs and the factors linked to offending and desistance**

Through the Gate provision showed that much has been done to develop the team's ability to deliver services that support resettlement activity. However, in spite of this, improvements in the effective coordination of resettlement activity are required.

Service:

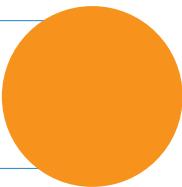
Durham Tees Valley  
Community Rehabilitation Company

Fieldwork started:

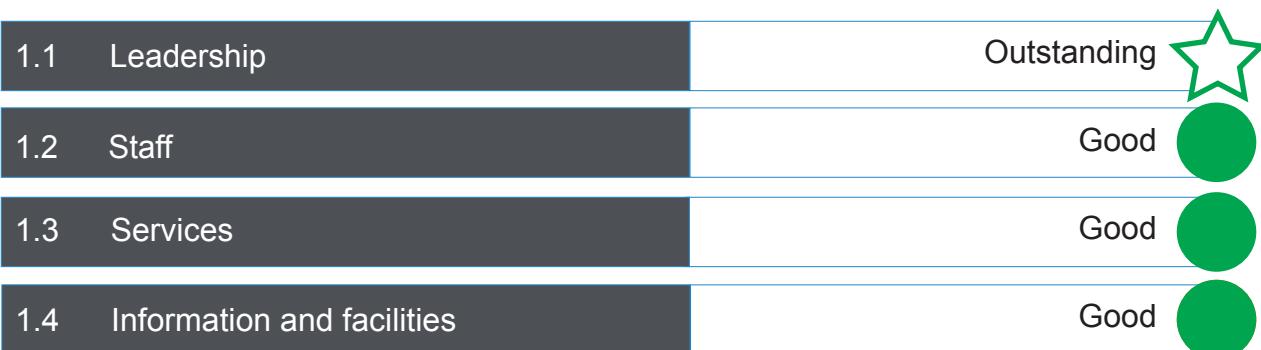
November 2018

## Overall rating

Requires improvement



### 1. Organisational delivery



### 2. Case supervision



### 4.<sup>2</sup> CRC specific work



<sup>2</sup> CRC aspects of domain three work are listed within HMI Probation's Standards as 4.1 and 4.2. Those for the NPS are listed as 3.1 and 3.2.

## **Recommendations**

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As a result of our inspection findings, we have made five recommendations that we believe, if implemented, will have a positive impact on the quality of probation services in the Durham Tees Valley CRC.

**Durham Tees Valley Community Rehabilitation Company should:**

1. improve effective management oversight of practice
2. improve the quality of work to assess, plan for, manage and review work to protect potential and actual victims
3. equip staff with the skills and knowledge to address domestic abuse work and deal with child safeguarding concerns
4. require staff to make use of all relevant information, including (when required) police domestic abuse call-out information, to inform their assessments
5. ensure that staff are allocated work for which they have the necessary skills and experience.

## Background

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### An explanation of probation services

Around 260,000 adults are supervised by probation services annually.<sup>3</sup> Probation services supervise individuals serving community orders, provide offenders with resettlement services while they are in prison (in anticipation of their release) and supervise, for a minimum of 12 months, all individuals released from prison.<sup>4</sup>

To protect the public, probation staff assess and manage the risks that offenders pose to the community. They help to rehabilitate these individuals by dealing with problems such as drug and alcohol misuse and lack of employment or housing, to reduce the prospect of reoffending. They monitor whether individuals are complying with court requirements, to make sure that they abide by their sentence. If offenders fail to comply, probation staff generally report them to court or request recall to prison.

These services are currently provided by a publicly owned National Probation Service (NPS) and 21 privately owned Community Rehabilitation Companies (CRCs) that provide services under contract. The government intends to change the arrangements for delivering probation services, and is currently considering alternative models of delivery, following a consultation exercise.

The NPS advises courts on sentencing all offenders, and manages those who present a high or very high risk of serious harm or who are managed under Multi-Agency Public Protection Arrangements (MAPPA). CRCs supervise most other offenders who present a low or medium risk of harm.

### Durham Tees Valley CRC

Durham Tees Valley (DTV) CRC has a contract to provide probation services across the Durham and Tees Valley areas. The CRC is wholly owned by Achieving Real Change in Communities (ARCC).

ARCC is a not-for-profit consortium comprising nine partners from different sectors. These include local authorities, charities, other philanthropic bodies and social enterprise organisations providing wrap-around services. ARCC was set up specifically to bid for the DTV contract and is the only staff mutual proposition (from the former Probation Trust) that was successful in securing a contract. ARCC has no other business interests.

For more information about this CRC, including details of its operating model, please see Annex 3 of this report.

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<sup>3</sup> Ministry of Justice. (2018). *Offender management caseload as at 30 September 2018*.

<sup>4</sup> All those sentenced, for offences committed after the implementation of the *Offender Rehabilitation Act 2014*, to more than one day and less than 24 months in custody, are supervised in the community for 12 months post-release. Others serving longer custodial sentences may have longer total periods of supervision on licence.

## **The role of HM Inspectorate of Probation**

Her Majesty's Inspectorate of Probation is the independent inspector of youth offending and probation services in England and Wales. We report on the effectiveness of probation and youth offending service work with adults and children. We inspect these services and publish inspection reports. We highlight good and poor practice, and use our data and information to encourage high-quality services. We are independent of government, and speak independently.

## **HM Inspectorate of Probation standards**

Organisations that are well led and well managed are more likely to achieve their aims. We inspect against 10 standards. These standards are based on established models and frameworks, which are grounded in evidence, learning and experience. They are designed to drive improvements in the quality of work with people who have offended.<sup>5</sup>

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<sup>5</sup> HM Inspectorate of Probation's standards can be found here:

<https://www.justiceinspectories.gov.uk/hmiprobation/about-our-work/our-standards-and-ratings/>

## Contextual facts

**154,471**

The total number of individuals subject to probation supervision by CRCs across England and Wales<sup>6</sup>

**3,729**

The number of individuals supervised by DTV CRC<sup>6</sup>

**1**

The number of CRCs owned by ARCC

**54.7%**

The adjusted proportion of DTV CRCs service users with a proven reoffence<sup>7</sup>

**74%**

The proportion of individuals who were recorded as having successfully completed their community orders or suspended sentence orders for DTV CRC. The performance figure for all England and Wales was 79%, against a target of 75%<sup>8</sup>

**83%**

The proportion of positive compliance outcomes with licences and, where applicable, post-sentence supervision periods for DTV CRC. The performance figure for all England and Wales was 71%, against a target of 65%<sup>9</sup>

**90%**

The number of MAPPA eligible individuals managed by the North West division of the NPS<sup>10</sup>

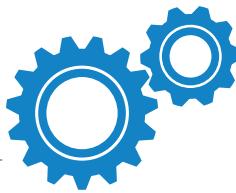
<sup>6</sup> Ministry of Justice. (2018). Offender management caseload statistics, as at 30 June 2018.

<sup>7</sup> Ministry of Justice. (2018). Proven reoffending, Payment by results, October to December 2016 cohort.

<sup>8</sup> Ministry of Justice. (2018). CRC Service Level 8, Community performance quarterly statistics, April 2017 - June 2018, Q1.

<sup>9</sup> Ministry of Justice. (2018). CRC Assurance Metric J, Community performance quarterly statistics, April 2017 - June 2018, Q1.

<sup>10</sup> Ministry of Justice. (2018). CRC Service Level 10, Community performance quarterly statistics, April 2017 - June 2018, Q1.



## 1. Organisational delivery

DTV CRC has experienced and committed leaders who are focused on delivering high-quality services locally, but this has not been achieved for all aspects of practice. The operating model was constructed with staff input and is well embedded. The model provides a clear framework for practice and underpins the priorities of the organisation. The CRC leaders value staff engagement and have involved staff in making key decisions. Staffing levels have been maintained and staff have manageable workloads.

Recruitment and staff development processes help to retain a committed workforce and provide progression pathways. Staff morale is positive and there is a culture that supports learning and improvement. Reliable information and communication technology (ICT) supports mobile working. Community hubs promote effective engagement with participants and partner organisations.

### Strengths:

- There is a committed, skilled and knowledgeable senior management team who have a clear vision for service delivery.
- The operating model is well understood and embedded.
- There are strong partnerships in place that support service delivery.
- Management information systems are well developed.
- Staff are included and supported in delivering innovative and personalised services.

### Areas for improvement:

- Some staff have insufficient knowledge of public protection and safeguarding practice.
- Team managers' quality assurance of practice is not effective.

1.1. Leadership	Outstanding
The leadership of the organisation supports and promotes the delivery of a high-quality, personalised and responsive service for all service users.	

DTV CRC is built on a solid platform. There is a clear vision and strategy for delivering high-quality services to all participants in the area. The approach was constructed, in conjunction with the whole staff team, at the time of the bid for the contract. From the outset, staff have been invested in delivering the goals of the organisation. Staff involvement in setting priorities has been maintained over time. Consequently, we found high levels of understanding and ownership of the aims of the organisation. The operating model is innovative and promotes responsive and purposeful engagement between staff and participants.

Almost nine in ten of the staff we interviewed said that the CRC has a clear vision and strategy. Staff understand the model, the minimum operating standards and how services should be delivered. They welcome the values and ethos at the heart of the organisation – that is, to provide high-quality services that meaningfully address the needs of participants, promote rehabilitation and protect the public.

The ARCC board includes representatives from key partner organisations and DTV CRC operational staff. This structure helps to root DTV CRC in the local strategic network of partner organisations. The Board holds the Chief Executive Officer (CEO) to account.

The structure provides an effective governance framework and promotes productive relationships with local strategic partners. Board members from local partner organisations have helped to open up access to a range of services (for example, hub-based mental health provision).

DTV CRC is managed by an accessible, capable and respected leadership team. A simple and locally based chain of command gives the CEO and managers full control over strategy, policy and budgets. Strategic plans reflect local needs. Progress is monitored and the strategy regularly reviewed. Managers can move quickly to implement decisions when required.

The organisational structure underscores a sense of DTV CRC as a locally based organisation. It is run by a not-for-profit consortium, with underspends reinvested in service delivery, with underspends reinvested in service delivery. This has helped to secure commitment from staff and partners to the work of the CRC. It has maintained its staffing levels since inception, and is currently able to support financially partnership efforts to develop or buy services to meet key gaps in provision in targeted areas.

Staff have contributed to innovation, and many practice developments have come via staff suggestions. The operating model requires staff to spend the bulk of their time in face-to-face contact with participants in accessible, community-based venues. The operation of the hubs has improved since our last inspection. The hubs promote delivery of a personalised service. We found that high levels of face-to-face, community-based contact with participants help staff address diversity factors. Accessible and meaningful contact is at the heart of the model.

All necessary policies and practice guidance are in place to enable staff to be clear about what is expected of them in delivering services that meet the needs of participants. With staff input, the CRC has established a set of operational DTV minimum standards. Planned changes to the model are addressed in conjunction with staff.

Risks to the organisation are sufficiently understood, with ongoing work to address or mitigate concerns. There are appropriate plans to ensure business continuity in the event of major incidents. Safety and security issues (for example, remote working arrangements) are kept under review and addressed.

DTV CRC has sought and achieved several external accreditations. Its information security management is ISO 27001<sup>11</sup> accredited. It also holds a current Investors in People award, and has a one-star rating in the Best Companies Index<sup>12</sup> review, signifying promising workforce engagement.

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<sup>11</sup> ISO/IEC 27001 is an information security standard. Organisations that meet the requirements may be certified by an accredited certification body following successful completion of an audit.

<sup>12</sup> The Best Companies organisation measures and promotes workforce engagement.

1.2. Staff	Good
Staff within the organisation are empowered to deliver a high-quality, personalised and responsive service for all service users.	

DTV CRC benefits from a stable, committed and experienced staff team, with low staff absence levels. Caseloads are challenging but achievable, with an average of 51 cases per responsible officer. Over four out of five staff said that their workload is manageable, given the profile of the cases and the range of work that they undertake.

Appropriate training is available and accessible to staff; however, some staff have not implemented the lessons from training in their work to address risk of harm.

The organisation's commitment to reinvestment of available funds, and local control over budgets, has enabled DTV CRC to maintain staffing levels since the start of the contract. Staffing levels are kept under review and adjusted to meet changing circumstances.

When there are staff capacity pressures (for example, through staff turnover or absence), leaders manage the deployment of resources to maintain the delivery of services. When we asked staff: "Do you think workloads in your team are actively managed, with resources being redeployed when reasonable and necessary, in response to local pressures?", 80 per cent said that they were.

The most recent survey of DTV CRC staff reveals that they feel that the organisation is run on strong values and principles. There is confidence in the senior team and in the leadership skills of managers. Staff feel that they make a valuable contribution to the success of the organisation. Managers regularly express their appreciation when staff do a good job. Staff feel proud to work for the CRC.

Six operational managers are aligned to teams that cover the six local authorities. These managers have a broad span of responsibilities, including responsible officer supervision, oversight of hubs and other local partnership tasks.

Staff report that they are supported by accessible team managers. All staff receive supervision, at least to minimum organisational requirements, but there are variations in the quality of supervision across the area. Of the 52 responsible officers asked, 90 per cent reported that they had supervision arrangements in place to enhance and sustain high-quality work with individuals. We judged through their case reviews, however, that operational managers have not focused sufficiently on practice quality issues. This echoed the findings of our last inspection.

Measures to promote staff development and retention have worked well. Managers recognise and acknowledge innovative work and use the ideas of staff to improve services. Seventy-one per cent of staff we interviewed reported that managers were seen to recognise and reward exceptional work by staff. Appropriate training is available and accessible to staff; however, some staff have not implemented the lessons from training in some aspects of their practice. For example, data from our case reviews (discussed later in this report) shows that some staff have not implemented the lessons from training in their practice, particularly in respect of work to address risk of harm.

Over eight in ten staff said that appropriate attention is given to staff safety and wellbeing. Of the ten staff who identified an area of need, seven said that reasonable adjustments to their working arrangements were made in accordance with statutory requirements and protected characteristics.

The CRC identifies and plans for the learning needs of all staff. There is an effective induction programme for new staff. We were pleased to see that induction for administrators includes visits to a range of settings, including unpaid work sites and prisons. The organisation identifies and plans for the learning needs of all staff, and provides appropriate access to pre-qualifying training routes and in-service training. It also offers good learning opportunities for managers – for example, the Chartered Management Institute course. A culture of learning and continuous improvement is promoted and valued.

Almost nine in ten of the staff interviewed said that the organisation provides them with sufficient access to in-service training to support the delivery of a high-quality service. A similar number said that the organisation promotes and values a culture of learning and continuous improvement.

Ninety per cent of the 52 staff asked felt that they have the skills, ability and knowledge necessary to supervise their caseloads, and 83 per cent said that they are always allocated cases for which they have the appropriate training and experience. This did not hold up in many of the cases we reviewed. For some staff, their knowledge and skills in relation to public protection and child safeguarding were inadequate.

DTV CRC's caseload analysis indicated that there is a trend towards more violent offending. Domestic abuse featured in 40 per cent of cases. Safeguarding was an issue in 10 per cent of cases. The operating model should see such cases allocated to experienced probation officers; however, the allocation process leads, on occasion, to complex work being allocated to insufficiently experienced or knowledgeable staff.

Volunteers and mentors are used extensively. They are appropriately selected and supported to fulfil clearly defined roles. Nine in ten staff interviewed said that all other staff working in the case inspected have clearly defined roles which support the delivery of a high-quality service.

There are clear arrangements to identify and develop the potential of individual staff. For example, the CRC has invested in its 'Future Stars' programme for staff development and succession planning. Opportunities for qualifying training routes have been promoted, and staff value and make use of these.

1.3. Services	Good
A comprehensive range of high-quality services is in place, supporting a tailored and responsive service for all service users.	

The analysis of the profile of participants is comprehensive and up to date. It addresses current and emerging patterns of risk and need in the area's caseload. The CRC has a needs analysis derived from the Offender Assessment System

(OASys). There are workstreams to address all the main participants' needs pathways.

Senior leaders work with Police and Crime Commissioner structures to address the problematic pathways. DTV CRC has strategic links with all the relevant criminal justice and statutory bodies. Positive working relationships are in place with the NPS division.

The CRC attempts to provide the volume, range and quality of services (either in-house or through other agencies) to meet the needs of participants. Hubs promote participants getting access to longer-term mainstream services. Services are available and accessible to participants through the hubs. Face-to-face contact promotes engagement with hard-to-reach participants or those in chaotic circumstances, in accessible locations. Home visits take place regularly. The operating model helps staff to build on the strengths of participants.

For women, there is an impressive range of provision. For other participants and those undertaking rehabilitation activity requirements (RARs), however, service provision varies, depending on what is available in the local area.

Accredited programmes are sufficiently accessible and are offered in two central locations. The programmes on offer are Building Better Relationships (BBR), Resolve, Drink Impaired Drivers and the Thinking Skills Programme. The CRC makes the necessary arrangements to maximise participant attendance at programmes.

Access to affordable accommodation is not as challenging as in other parts of England and Wales, but accessing supported tenancies<sup>13</sup> is difficult. We judged that in 9 of the 13 relevant cases, sufficient services were delivered to address accommodation needs.

A wide range of education, training and employment services are used. As a result of local deprivation, however, there is an absence of suitable jobs within reach for CRC participants.

Gaining access to alcohol and substance misuse services is problematic and means that not enough participants are gaining access to such services. We judged that just under half of those who could benefit from such services did so. Local authority cuts have resulted in a reduction in the number of providers. The six local authorities each have their own approach to service provision, and this complicates matters.

Other services offered include: veterans' services (HM Prison Durham pilot), bespoke delivery of domestic abuse services, mentoring and MAPPA prison release support. Through ARCC arrangements, a partner enables DTV CRC and National Health Service staff to offer specialist mental health services via the hubs. This initiative has resulted in the provision of six criminal justice health workers being based in the six local authority areas.

DTV CRC provides information to courts and has a member of staff embedded in a local magistrates' court. This underpins courts being made aware of the services available and informs sentencing decisions.

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<sup>13</sup> Supported tenancies services offer support to people living in their own home or those trying to access accommodation. The aim of such services is to enable people to live independently and to maintain their accommodation successfully.

1.4. Information and facilities	Good
Timely and relevant information is available and appropriate facilities are in place to support a high-quality, personalised and responsive approach for all service users.	

DTV CRC is well served in its access to management information. The performance and ICT team provides standardised and bespoke reports to enable managers to address organisational and practice issues. For example, the CRC has good intelligence about the number of women on their caseload, and their needs.

There is a register of policies and a system to track when policies need to be reviewed. A variety of mechanisms ensure that policies and practice guidance are communicated effectively to staff. Of the responsible officers interviewed, 96 per cent reported that policies are effectively communicated within the organisation.

Almost one in five of the caseload are female. In 2018, the CRC undertook a study called 'Project Alpha'. This mapped prisoners' journeys through the justice system, of those sentenced to custody from Teesside Magistrates' Court. The findings have been used to improve services. For example, DTV CRC has used the results to devise the women's throughcare team and inform their women's strategy. In turn, this has led to streamlined assessments for women, to minimise the need for multiple assessments by various agencies.

Mobile working is well supported by ICT equipment. Of the staff we asked, 94 per cent said that case management, assessment and planning systems used by the CRC enable them to plan, deliver and record their work in a timely way, and to access information as required. Almost all of the responsible officers interviewed said that there is a clear policy about case recording that supports defensible decision-making and effective communication.

The CRC leases two buildings. These are well appointed and fit for purpose, and unpaid work teams undertake the maintenance of the grounds. Hubs, and the two administrative centres, provide community-based venues for work with participants. There are 35 hub sites in operation across DTV CRC. These are rented for specific periods. Each building is individually assessed. The scope of what can be offered in each hub is influenced by the location and facilities that each building provides. There are understandable variations in how they operate, opening times and partnership availability.

The servicing of hubs requires a lot of management time, and this detracts from their ability to oversee practice quality issues. The operation of hubs is currently under review. Across all hubs, managers vary in the extent of their day-to-day oversight of operations, and the CRC has employed a local commercial letting agent to help with this task.

The hubs and offices are sufficiently accessible to staff and participants. Offices support effective engagement with participants, and the delivery of appropriate personalised work. Hubs, as venues for face-to-face contact with participants, support a high-quality, personalised and responsive approach to the work.

The Ministry of Justice offender surveys demonstrate an overall positive experience for DTV CRC, scoring 89 per cent – the second highest of all probation providers – in

the November 2017 survey. Early results from the latest survey show that this high score has been maintained.<sup>14</sup>

Information on performance and on the quality of services provided is used to inform developments. Senior leaders have realised that their information systems for monitoring practice quality issues – in particular, risk of harm and safeguarding practice – are not sufficiently robust. Steps are in hand to address this.

The need for a focus on quality issues was identified in our inspection of 2016. In 2017, the CRC established a team to progress these matters. It is disappointing that, as a result of various staff moves, the team did not begin operating until April 2018. During the summer of 2018, some of their activities had to pause as they back-filled posts where major practice deficits were found. As a result, this team came into operation too late to have an impact on the work looked at in our sample. The team is now helping the organisation to identify and address practice quality shortfalls. Central to their work is use of the HMI Probation case assessment guidance, to help them to capture accurately practice quality issues.

Using the HMI Probation standards as a framework, the team assesses practice and gives guidance on quality issues to practitioners. Quality events are held each month. In these, practitioners look at cases in pairs and identify, under the guidance of the quality team, strengths and areas for improvement. Findings in practice deficits echo those found in our inspection. The CRC will include all staff in this process over the next 12 months. A similar series of events is planned for team managers.

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<sup>14</sup> This data is management information and, due to the potential application of different validation rules, may not tally with official statistics.



## 2. Case supervision

Although there is a general commitment from staff to deliver high-quality services, the quality of practice varies considerably, ranging from outstanding to poor. The emphasis for many staff is on providing practical assistance and enabling individuals to access a range of services available in the hubs. The focus on face-to-face contact and on positive engagement is commendable. More needs to be done to ensure that this is built upon, to make progress on rehabilitation and public protection goals and, as a matter of priority, to ensure that work to address risk of harm issues is done consistently well.

Differing attitudes about the work, and varying levels of skill and experience, give rise to inconsistencies in the extent to which service delivery helps to achieve goals in rehabilitation, protecting the public and delivering the sentences of the courts.

We saw examples of excellent practice, but some staff do not produce high-quality assessments, plans and reviews routinely.

Despite organisational arrangements to allocate work appropriately, some responsible officers are managing cases for which they do not have the necessary skills, knowledge or experience. Team managers offer valued support to practitioners but do not give enough attention to managing the 'thinking and recording' aspects of practice, particularly in respect of keeping people safe.

At the heart of this is the quality of assessments. In particular work to help keep people safe is not being done well enough from the outset. In general, we found that when initial assessments are done well, this quality is more likely to be maintained throughout the period of supervision. Poor initial assessments lead to issues being missed at the outset. These will often not be picked up through the course of the order, unless some serious event or crisis emerges. This trend feeds into the pattern of our findings in the work considered in this inspection.

Risk of harm issues missed at the outset were not picked up on subsequently. Shortfalls in identifying potential risk of harm or safeguarding issues have impacted on our findings in each of the phases of work we reviewed – assessments, plans, implementation and delivery, and reviews.

### Strengths:

- Assessments focus on engagement and diversity.
- Hubs promote active and inclusive engagement with individuals.

### Areas for improvement:

- Poor recording practice, by many staff, has resulted in an inadequate description of the nature of the work being done with individuals.
- Analysis of offending does not always explore why the individual has offended.
- Assessment, plans and reviews of work to keep potential victims safe is not of good enough quality.
- Reviews of progress are inadequate; responsible officers fail fully to analyse progress, respond to changing circumstances and adjust planning accordingly.

2.1. Assessment	Requires improvement
Assessment is well-informed, analytical and personalised, actively involving the service user.	

In almost two-thirds of the cases we inspected, we found that assessments focused sufficiently on engaging the individual. This included responsible officers giving appropriate attention to an individuals' motivation to engage with the requirements of their sentences.

Similarly, in the majority of inspected cases, there was a good analysis of the diversity needs and individual circumstances. Women's services are strong, with automatic allocation to female staff, and access to female-only facilities and specific unpaid work for women. The organisation has recently set up a women's throughcare team, to ensure that women's resettlement needs are met as they leave custody.

Appropriate consideration had been given to how diversity factors might affect the individual's capacity to engage with interventions to support desistance. In just over half of the cases, we saw that the individual had been meaningfully involved in their assessment, and their views taken into account.

In over 80 per cent of cases, assessments identified factors associated with offending; however, these factors had been analysed in only half of the cases. In almost two-thirds of the cases, the assessment identified the individual's strengths and protective factors. Where this occurred, it supported personalised assessments.

Just over half of the practitioners used information available from a range of sources to support their assessments. Not using all available information limited their ability to identify the full range of issues that needed to be addressed.

We found sufficient initial assessments of offending and desistance factors, within an appropriate period, in almost two-thirds of cases. The quality and accuracy of the analysis suffered when there was too much emphasis on the current offence, with insufficient attention given to understanding previous offending and past behaviours.

In just over half of the sample, the quality of assessment had not focused sufficiently on keeping other people safe.

We agreed with most of the risk classification decisions. In two-thirds of the inspected cases, the responsible officer had considered past behaviours and convictions when reflecting on risk of harm issues. For some practitioners, however, the importance of reviewing previous convictions and behaviours, to inform reoffending or risk of harm assessments, was not evident.

In domestic abuse cases, some staff members failed to identify the potential risks posed to children. Police call-out information was not sought at the start of the sentence in some cases, and responses to police check requests had been delayed in many cases. This is an organisational concern, and work is in hand with partner agencies to find a solution. This does not, however, preclude staff making full use of the information that is available in cases to inform their assessments; too often, we found that this had not been done.

As an illustration, in one case, we noted:

*"Craig had received an 18-month suspended sentence order for theft from a shop. He had a significant history of domestic abuse and acquisitive offending, underpinned by chronic substance misuse. Little information had been provided by the NPS court service. The initial DTV assessment was late and failed to analyse previous failures to engage with supervision. The offence analysis was poor, as was the analysis of domestic abuse. The plan failed to include any measures to monitor or address domestic abuse, nor was there a plan to address Craig's offending behaviour or engagement. Delivery centred on casual conversations, with no interventions or motivational work being carried out. Being drunk and 'sleeping in' had been accepted as reasons for Craig missing appointments. No review had been done, despite a significant event where his partner went into hospital".*

Staff had not sought information from other agencies to support assessment in over two-thirds of the relevant cases. In such circumstances, important information on the risk of harm can be missed and may lead to potential victims, and their families, not being adequately protected.

2.2 Planning	Inadequate
Planning is well-informed, holistic and personalised, actively involving the service user.	

In 61 per cent of the cases we inspected, we found that planning focused sufficiently on engagement issues. Planning took sufficient account of the individual's readiness and motivation to change and engage with the requirements of their sentence in 64 per cent of cases.

Planning had taken sufficient account of diversity and personal circumstances, which may affect engagement and compliance, in six out of ten cases. In just over half of the cases, we could see that the individual had been meaningfully involved in their plan, and their views taken into account. Objectives were not prioritised, however, and the sequencing of work to support desistance was limited.

Planning had set out how all the requirements of the sentence or licence/post-sentence supervision would be delivered within the available timescales in three-quarters of the cases. In over two-thirds, it had set a level, pattern and type of contact sufficient to engage the individual and to support the effectiveness of specific interventions.

In many plans, we noted that the wording of the objectives was standardised and had fixed target dates. This meant that the objectives were not always realistic or sufficiently personalised. Planning had focused sufficiently on reducing reoffending and supporting the individual's desistance in six out of ten cases in the sample. In a similar proportion, it had sufficiently reflected offending-related factors and prioritised those which were most critical.

Planning built on the individual's strengths and protective factors in over half of the relevant cases, and set out the services most likely to reduce reoffending and support desistance in over half of the cases. In over three-quarters of cases, there

was a clear written record of the plan to reduce reoffending and support desistance. The plan had been produced in a timely fashion in almost two-thirds of instances.

The quality of planning work focusing on keeping other people safe varied considerably, and was adequate in only 27 (36 per cent) of the 74 relevant cases.

Planning sufficiently addressed risk of harm factors and prioritised those which were most critical in under half of the cases. In a similar proportion, it had adequately set out the necessary constructive and/or restrictive interventions to manage the risk of harm. In under half of the cases, planning had made appropriate links to the work of other agencies involved.

In only just over one-quarter of cases, planning had set out necessary and effective contingency arrangements to manage the risks that had been identified. It was concerning to note that sufficient planning to address domestic abuse issues was found in just over one-third of relevant cases.

Evidence of sufficient planning to address child safeguarding or child protection issues and to keep other people safe was found in just under half of the relevant cases. We noted a number of instances where victims' needs had not been adequately addressed in planning. There was a clear written record of the plan to keep other people safe in 58 per cent of the 72 relevant cases.

2.3. Implementation and delivery	Inadequate
High-quality, well-focused, personalised and coordinated services are delivered, engaging the service user.	

DTV CRC serves an area of England with above-average recorded crime rates. Other indicators of deprivation and associated social need are in evidence too, such as above-average unemployment, economic inactivity and claimant levels. The CRC works across two Police and Crime Commissioner areas, multiple health partnerships and six local authorities. This complex structure of agencies makes the delivery of standardised services unrealistic.

The DTV CRC operating model, with its emphasis on delivery in the community, is focused on supporting participants' desistance journeys. The use of local venues (for example, churches and community centres) as centres of service delivery helps to bring accessible partnership agency resources to bear. This helps participants to reintegrate into the communities in which they live.

Staff report that they can see participants more quickly in the hubs than in centralised offices. The relaxed atmosphere in the hubs was welcomed by the participants we talked to, several of whom commented on the negative stigma associated with reporting to a traditional probation office.

Hubs bring challenges in ensuring the consistency of service delivery. Finding suitable venues in rural locations is difficult, and some venues are better equipped than others. Flexible reporting times at hubs can also be problematic, when several participants arrive at the same time. DTV CRC staff keep the use of hub venues under review and are constantly seeking to upgrade existing venues or find alternatives.

We visited several hubs, to see them in operation. In one setting, the normal hub activities were supplemented by a monthly 'lunch club' service. This operates out of a

fire station in Darlington. Probation staff have gained qualifications in catering, to enable them to manage participants working in a kitchen setting. The lunch club promotes community engagement by providing a direct service to members of the public who receive a service from Darlington Against Disability (a charity that supports carers and their charges). Lunches are prepared and served by DTV CRC participants. Participants undertake vocational training and work towards accredited qualifications using their RAR days.

In our inspection sample, responsible officers clearly showed a commitment to maintaining effective working relationships with those they supervised. In nine out of ten cases, sufficient effort had been made to enable the individuals subject to supervision to complete the sentence, including flexibility to take appropriate account of their personal circumstances.

In one case, we noted:

*"The officer knows this case inside out. Her skill in analysing this participant's offending, their background, their motivation and the family dynamics was impressive. Her expertise on issues connected to addiction and trauma informed the assessment. Regular home visits helped to gain the trust of Donna (the participant) and her family. The officer helped to motivate Donna. She addressed Donna's welfare issues as well as challenging her about her behaviour. The officer was mindful of risk issues and regularly liaised with agencies to exchange information and secure appropriate services. The officer achieved a good balance between engagement, desistance and managing risk. She has worked hard to keep Donna on track, and this has been done in an empathic and respectful manner".*

Risks of non-compliance had been identified and addressed in a timely fashion in almost three-quarters of cases. The recording of appropriate professional judgement in relation to decisions about missed appointments was evident in four out of five cases. Over two-thirds of the 59 relevant cases showed that enforcement action had been taken when appropriate.

Staff complained that they face considerable delays in taking cases back to court, and that breach proceedings are complex and slow. In almost nine out of ten cases, sufficient efforts had been made to re-engage the service user after enforcement action or recall to prison.

The implementation and delivery of services effectively supported desistance in just over half of the cases we inspected. In just under half of the cases, the delivered services were those most likely to reduce reoffending and support desistance. In just over one-half of our sample, the delivery of services had, where possible, built on the individual's strengths and enhanced protective factors.

When reviewing the cases in our sample, we asked staff: "In this case, do you have access to an appropriate range of services (in-house or from commissioned providers) to meet the identified needs and risks?"; almost nine out of ten said that they had.

When asked: "In this case, were there effective relationships with other agencies to manage the risk of harm to others?", just over three-quarters said that such relationships were in place. We found that many staff concentrated on supporting participants to overcome or address the everyday challenges they faced. In some cases, this was to the detriment of offence-focused work and managing risk of harm.

A citizenship programme is on offer across the area and has a wide variety of topics to choose from. The programme enables staff to be creative in their use of RAR days. Staff, working with participants, select the modules to be covered. Work can be done on site, and also taken away as homework. There is flexibility to develop the intervention around the participant in a way that is adaptable to their circumstances and strengths.

DTV CRC delivers accredited programmes through a mix of full-time tutors and staff rotated from other case manager duties, and this system works well. In response to long waiting lists, the CRC has changed the way it delivers the main accredited programme, BBR. It now offers many more places and can start two groups per month. The programmes team can normally start individuals who are 'group ready' within a month of referral.

CRC staff make efforts to get all participants who start the programme to complete it, collecting them in mini-buses, from various muster points, to facilitate attendance. One manager said: "We will remove any barrier to completing". The CRC provides evening groups, where necessary. An inspector said, of one case involving BBR attendance: "This is a very well-managed case. There is evidence of good interaction between programme facilitators and the supervising officer".

There is provision of specialist women's hubs, either in women-only partnership providers' accommodation or at women-only sessions within more general hubs. The precise mix of service availability depends on what is available locally, although there is a community psychiatric nurse who visits all women's hubs on a rota basis.

In Stockton, the CRC partners with A Way Out, a service with a background in working with women involved in sex work. This offers a range of interventions which are therapeutic in nature, including arts and crafts, baking and theatre. The CRC also works with an organisation in Hartlepool, called Harbour, working on domestic abuse issues.

In half of the cases we inspected, the level and nature of contact were sufficient to help reduce reoffending and support desistance. Maintaining the continuity of the case manager had been achieved in most cases.

The involvement of other organisations in the delivery of services was sufficiently well coordinated in just over half of the relevant cases. To a similar extent, key people in the life of the person subject to supervision had been engaged to support desistance.

Local services had been engaged to support desistance during the sentence and beyond in just over half of the cases. The scope of the offer to individuals via the hubs varies across the area. Some hubs have many accessible resources on hand, either close by or delivered by agencies coming into the hubs. Others are less well supported.

An area of service delivery that is problematic across the DTV area is getting access to Drug Treatment Requirement and Alcohol Treatment Requirement services. DTV CRC staff told us that many of these services have closed in recent years, leading to difficulties for individuals in getting access to the required support. DTV CRC leaders are seeking to address this via partnership work and have established a budget to enable the direct funding of such services.

Overall, we found that the implementation and delivery of services effectively supported the safety of other people in less than half of the cases. Although the level and nature of contact offered was sufficient to manage and minimise the risk of

harm in almost two-thirds of the cases, sufficient attention was given to protecting actual and potential victims in only 38 per cent of the 69 relevant cases.

In one case, we commented:

*"Martin was made subject to a 12-month community order for driving offences. This is in a context of drug use, domestic abuse and child protection issues. Domestic abuse was not addressed in the sentence plan and the risk management plan is sparse, containing insufficient information about managing the risks posed. Despite the domestic abuse concerns, a curfew was imposed. This was breached by Martin many times, but not enforced by the responsible officer. An increase in the domestic abuse risk was not noted by the officer. No review was done or plans put in place to increase protection for victims. Martin received a short custodial sentence for a new driving offence. No additional licence conditions were placed on him, despite concerns growing while he was in custody. There have been numerous breaches of non-molestation order since release, yet no recall".*

The inspector felt that the responsible officer had placed too much weight on Martin's account of the home situation, and had given insufficient weight to the victim's perspective.

The involvement of other agencies in managing and minimising the risk of harm was sufficiently well coordinated in under half of the cases. Key individuals in the life of the person subject to supervision had been engaged to support the effective management of risk of harm in just over one-half of relevant cases.

In over two-thirds of relevant cases, home visits had been undertaken to support the effective management of risk of harm. In general, we found that home visits are being undertaken as a matter of routine or in response to changes in the circumstances of the case.

2.4. Reviewing	Inadequate
Reviewing of progress is well-informed, analytical and personalised, actively involving the service user.	

The quality of reviewing varied, and many responsible officers failed to focus on reviewing risk of harm issues. Only 46 per cent of relevant cases had written reviews that acted as a formal record of the management of the individual's risk of harm.

Reviewing focused sufficiently on supporting compliance and engagement in almost two-thirds of the cases. Necessary adjustments to the plan of work, to take account of compliance, engagement and barriers, were seen in two-thirds of the relevant cases. Many reviews provided brief updates, with little analysis of the changes that had been made. Substantial changes in personal circumstances, or poor compliance levels, often did not trigger a review. Individuals had been meaningfully involved in reviewing their progress and engagement in less than half of the cases. Written reviews formed a formal record of actions to implement the sentence in 63 per cent of the inspected cases.

Reviewing focused sufficiently on supporting desistance in less than half of the cases. Factors linked to desistance and offending were identified and addressed in 47 per

cent of cases. Just over half of the reviews focused sufficiently on building on strengths and enhancing protective factors. Similarly, reviews were informed by input from other agencies in less than half of the cases. In 64 per cent of the cases, we found that written reviews formed a formal record of the progress towards desistance.

Overall, we judged that reviewing focused sufficiently on keeping other people safe in only 19 (33 per cent) of the 58 relevant cases. In one-third, the reviews had identified and addressed changes in factors related to risk of harm and made adjustments to the ongoing plan of work.

In too many cases, there was little use made of information held by other agencies. This meant that many reviews did not cover all relevant factors. In only 18 of the 51 relevant cases, the review had been informed by the necessary input from other agencies involved in managing the risk of harm. Although police domestic abuse checks were often initiated at the beginning of supervision, they were rarely followed up during the course of the order or licence.

Individuals subject to supervision were not sufficiently involved in exploring and addressing the risks of harm that had been identified. This was a concern as it restricted their opportunities to reflect on their progress in reducing the risks of harm they posed to others. Those subject to supervision, and other key individuals in their life, were meaningfully involved in reviewing their risk of harm in just over one-quarter of cases.

## 4. Unpaid work and Through the Gate

Unpaid work services are well managed. A dedicated team provides case management for standalone cases. Other cases, in which unpaid work is one of several requirements imposed by the court, are supervised by team-based responsible officers. In general, the quality of case management provided by the standalone team is higher than for non-standalone cases.

Through the Gate provision showed that much has been done to develop the team's ability to deliver services that support resettlement activity; however, more work is required to ensure that all participants receive the services they need.

### Strengths:

- Arrangements for unpaid work focus on supporting the individual's engagement and compliance with the sentence.
- Arrangements for unpaid work promote opportunities for participants' personal development.
- In general, the sentences of the courts are being implemented appropriately.

### Areas for improvement:

- Resettlement planning does not focus sufficiently on the participants' resettlement needs or on factors linked to offending and desistance.
- Not all resettlement activity is focused sufficiently on supporting the individual's resettlement.
- Improvements are needed in the effective coordination of resettlement activity.

#### 4.1. Unpaid work

Good<sup>15</sup>

Unpaid work is delivered safely and effectively, engaging the service user in line with the expectations of the court.



DTV CRC has the ambition that all of its unpaid work projects are constructive, and the majority of projects meet this aim. Staff aim to ensure that participants benefit from high-quality work placements and opportunities for training. They strive to ensure that communities and beneficiaries also benefit from high-quality work being done. The CRC accesses work projects from a range of sources, including local authority partners of ARCC. They have ready access to suitable placements, of a range of types.

<sup>15</sup> In arriving at the rating for unpaid work, we exercised professional discretion in relation to the case data, so as to take into account wider evidence gathered about this area of work.

The CRC manages unpaid work through two sets of arrangements. One team covers the case management for standalone cases and NPS cases. Cases with several requirements to their orders are held by responsible offices in the six locally based teams.

We were particularly impressed by the services that are run in partnership with Oakwood, a charity supporting training and employment. The project began in 2018, and people placed on it get the opportunity to complete basic training certificates.

The charity has accredited assessors, who also go out to other unpaid work sites to help with participants obtaining qualifications. The main qualifications on offer include health and safety, horticulture, catering, customer services, painting and decorating, and team work. DTV CRC expect 120 new qualifications a year, and have just registered the first 40 from this project. Academy 3-13 is included in this partnership, and has also delivered 35 completed training awards to people on unpaid work. These are mainly level 1 qualifications, accredited by the National Open College Network. Qualifications are based on 64 hours of work, which can usually be fitted into the standard unpaid work hours.

The standalone team manager ensures that all assessments have been undertaken prior to anyone being allocated to a placement and being issued a first work session. They also ensure tight management of enforcement and compliance. This team also oversees individual placements. Staff are in regular contact with the individual placements, to get attendance feedback and progress. Women undertake unpaid work either in singleton placements or women-only groups.

Unpaid work staff noted that they have positive experiences of being visible in the community. Comments from the public are now more positive than in the past. People often ask site supervisors how they can pass on positive comments. This is welcomed by staff and is also motivating for the participants.

The individual placement allocation processes lead to contractual start dates being delayed because of the review process that is required by the standalone team manager. This delay, however, helps to achieve appropriate placements. Participants are given a briefing on expectations for the day, and on health and safety. They are also assessed daily on the safe issue of equipment.

Staff report a significant staff capacity shortfall at weekends.

In the cases we examined on the critical issues relevant to unpaid work, an individuals' personal circumstances and diversity needs were appropriately considered in the majority of cases

In almost two-thirds of cases, arrangements for unpaid work had taken account of the risk of harm that the individual posed. In over three-quarters of the cases, arrangements for unpaid work adequately supported the individual's engagement and compliance with the sentence.

Arrangements for unpaid work maximised the opportunity for the individual's personal development in almost three-quarter of the cases. In over two-thirds of the cases, the sentence of the court had been implemented appropriately.

4.2. Through the Gate	Requires improvement
Through the Gate services are personalised and coordinated, addressing the service user's resettlement needs.	

The CRC places a high priority on Through the Gate work. It already meets most of the enhanced specification for this area of work. It spends twice the amount it receives in payment for delivering this service, on the basis that this service contributes to effective resettlement and rehabilitation. The CRC has retained its qualified staff in prisons.

The CRC has a women's resettlement throughcare project, which supports effective pre-release work. The team works in partnership with a charity, Changing Lives. This partnership is aimed at improving the experience and outcomes of women through custodial sentences. Central to this is the early allocation of a responsible officer at the point of sentence, working in partnership with the Through the Gate team, to develop realistic sentence plans to improve prospects on release.

Prison regime issues present challenges for the Through the Gate teams. This makes getting access to prisoners problematic in some institutions. Staff report that workloads are also a concern, with a delay in recruiting staff pending strategic decisions on the future of the Through the Gate service.

One inspector noted:

*"The 'Departure Lounge' at HMP Deerbold is impressive. It helps participants transition to the community. It fosters links with families and gets the basics of resettlement in place quickly. The team are ambitious and are keen to build upon this service".*

Over three-quarters of resettlement plans were completed on time but only half had drawn sufficiently on available information. Three-quarters of individuals had been given opportunities to contribute to establishing their own resettlement needs. Over two-thirds of plans took account of the individual's diversity and personal circumstances, and just under half took account of factors related to the risk of harm.

There were gaps in the delivery of some resettlement services. In just over half of the cases, resettlement services had been delivered in line with the participant's resettlement needs. In under half of the cases, resettlement activity had taken account of the participant's diversity and personal circumstances. There had been a sufficient focus on supporting the participant's resettlement in half of the cases inspected.

There was evidence of effective coordination of resettlement activity with other services being delivered in the prison in just under half of the cases inspected. In just over half of the cases, we found evidence of resettlement services supporting an effective handover to local service providers in the community. In half of the cases, we judged that there had been effective coordination of resettlement activity.

## **Annex 1: Methodology**

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The inspection methodology is summarised below, linked to the three domains in our standards framework. We focused on obtaining evidence against the standards, key questions and prompts in our inspection framework.

### **Domain one: organisational delivery**

The provider submitted evidence in advance, and the CRC's CEO delivered a presentation covering the following areas:

- 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?

During the main fieldwork phase, we interviewed 52 individual responsible officers, asking them about their experiences of training, development, management supervision and leadership. We held various meetings and focus groups, which allowed us to triangulate evidence and information. In total, we conducted 31 meetings, undertook a tour of an unpaid work project and visited 11 delivery sites across the six local authority areas served by DTV CRC. The evidence explored under this domain was judged against our published ratings characteristics.<sup>16</sup>

### **Domain two: case supervision**

We completed case assessments over a two-week period, examining participants' files and interviewing responsible officers. The cases selected were those of individuals who had been under community supervision for approximately six to seven months (either through a community sentence or following release from custody). This enabled us to examine work in relation to assessing, planning, implementing and reviewing. Where necessary, interviews with other people closely involved in the case also took place.

We examined 100 cases from across six local delivery units. The sample size was set to achieve a confidence level of 80 per cent (with a margin of error of 5), and we ensured that the ratios in relation to gender, type of disposal and risk of serious harm level matched those in the eligible population.

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<sup>16</sup> HM Inspectorate's domain one ratings characteristics can be found here:  
<https://www.justiceinspectorates.gov.uk/hmiprobation/wp-content/uploads/sites/5/2018/05/Probation-Domain-One-rating-characteristics-March-18-final.pdf>

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

We completed case assessments for two further samples: (i) unpaid work and (ii) Through the Gate. As in domain two, sample sizes were set to achieve a confidence level of 80 per cent (with a margin of error of 5).

#### **Unpaid work**

We examined 24 cases with unpaid work requirements that had begun at least three months previously. The sample included cases managed by the NPS as well as cases managed by the CRC. We ensured that the ratios in relation to gender and risk of serious harm level matched those in the eligible population. We used the case management and assessment systems to inspect these cases.

We also held meetings with the following individuals/groups, which allowed us to triangulate evidence and information:

- the senior manager with overall responsibility for the delivery of unpaid work
- middle managers with responsibilities for unpaid work
- a group of supervisors of unpaid work, from a range of geographical locations.

#### **Through the Gate**

We examined 24 custodial cases in which the individual had been released on licence or post-sentence supervision six weeks earlier from the CRC's resettlement prisons, over a two-week period. The sample included those entitled to pre-release Through the Gate services from the CRC who were then supervised post-release by the CRC or the NPS. We used the case management and assessment systems to inspect these cases.

We also held meetings with the following individuals/groups:

- the senior manager in the CRC responsible for Through the Gate services
- a small group of middle managers responsible for Through the Gate services in specific prisons
- a group of CRC resettlement workers directly responsible for preparing resettlement plans and/or meeting identified resettlement needs.

## Annex 2: Inspection results: domains two and three

### 2. Case supervision

Standard/Key question	Rating/% yes
<b>2.1. Assessment</b> Assessment is well-informed, analytical and personalised, actively involving the service user	<b>Requires improvement</b>
2.1.1. Does assessment focus sufficiently on engaging the service user?	63%
2.1.2. Does assessment focus sufficiently on the factors linked to offending and desistance?	57%
2.1.3. Does assessment focus sufficiently on keeping other people safe?	47% <sup>18</sup>
<b>2.2. Planning</b> Planning is well-informed, holistic and personalised, actively involving the service user.	<b>Inadequate</b>
2.2.1. Does planning focus sufficiently on engaging the service user?	61%
2.2.2. Does planning focus sufficiently on reducing reoffending and supporting the service user's desistance?	60%
2.2.3. Does planning focus sufficiently on keeping other people safe? <sup>19</sup>	36%
<b>2.3. Implementation and delivery</b> High-quality, well-focused, personalised and coordinated services are delivered, engaging the service user	<b>Inadequate</b>
2.3.1. Is the sentence/post-custody period implemented effectively with a focus on engaging the service user?	73%
2.3.2. Does the implementation and delivery of services effectively support the service user's desistance?	52%
2.3.3. Does the implementation and delivery of services effectively support the safety of other people?	42%

<sup>18</sup> In arriving at the rating for assessment, we have exercised professional discretion in relation to the case data, to take into account wider evidence gathered about this particular aspect of practice.

<sup>19</sup> Please note: percentages relating to questions 2.2.3, 2.3.3 and 2.4.3 are calculated for the *relevant* sub-sample – that is, those cases where risk of serious harm issues apply, rather than for the *total* inspected sample.

## 2.4. Reviewing

Reviewing of progress is well-informed, analytical and personalised, actively involving the service user

**Inadequate**

- 2.4.1. Does reviewing focus sufficiently on supporting the service user's compliance and engagement? 65%
- 2.4.2. Does reviewing focus sufficiently on supporting the service user's desistance? 46%
- 2.4.3. Does reviewing focus sufficiently on keeping other people safe? 33%

## 4. CRC-specific work

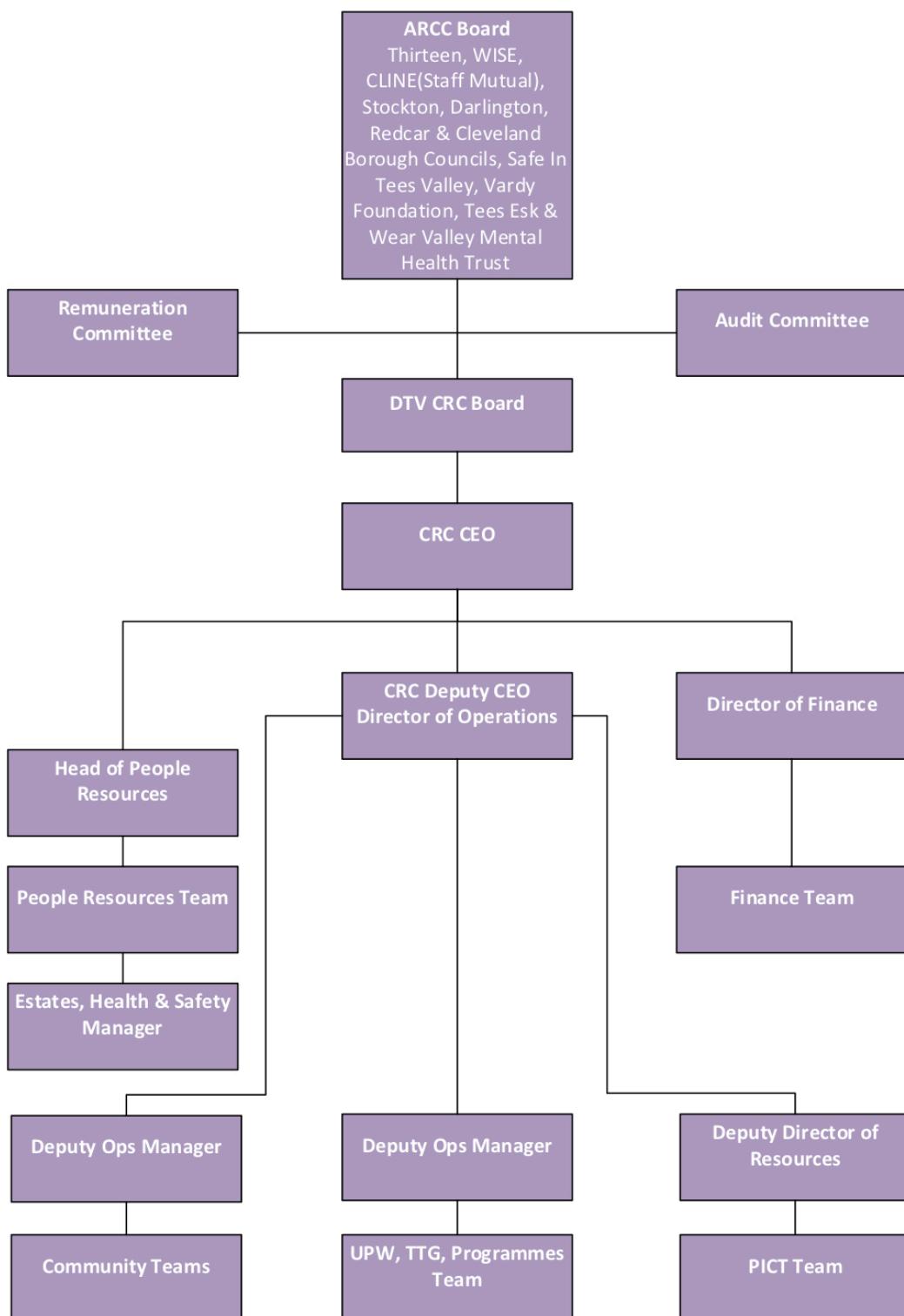
Standard/Key question	Rating/% yes
<b>4.1. Unpaid work</b>	
Unpaid work is delivered safely and effectively, engaging the service user in line with the expectations of the court	<b>Good</b>
4.1.1. Does assessment focus on the key issues relevant to unpaid work?	61%
4.1.2. Do arrangements for unpaid work focus sufficiently on supporting the service user's engagement and compliance with the sentence?	83%
4.1.3. Do arrangements for unpaid work maximise the opportunity for the service user's personal development?	74%
4.1.4. Is the sentence of the court implemented appropriately?	70%
<b>4.2. Through the Gate</b>	
Through the Gate services are personalised and coordinated, addressing the service user's resettlement needs	<b>Requires improvement</b>
4.2.1. Does resettlement planning focus sufficiently on the service user's resettlement needs and on factors linked to offending and desistance?	50%
4.2.2. Does resettlement activity focus sufficiently on supporting the service user's resettlement?	50%
4.2.3. Is there effective coordination of resettlement activity?	50%

## **Annex 3: Operating model**

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Durham Tees Valley CRC (DTV CRC) is owned by the Community Interest Company, ARCC – Achieving Real Change in Communities. ARCC comprises nine local organisations (captured in the diagram below) and is the only not for profit consortia arrangement among the eight CRC parent owners. The nine ARCC partners comprise the ARCC Board, and then certain individual members also sit on the Remuneration Committee, Audit Committee and CRC Board. ARCC does not own or deliver anything else as an entity in its own right. The CRC Board also comprises the CRC Executive Team and are responsible for the strategic decision making and high-level Contract compliance of the CRC. These decisions include the allocation of CRC resources, investments in innovation, approval for the revision and enhancement of the operating model alongside ultimate responsibility for holding the CRC Executive team to account, financial performance and reporting to the ARCC Board.

# Organisational Structure



### **The Operating Model in Practice:**

The DTV CRC operating model was designed by the then DTV Probation Trust staff and built upon the academically evaluated offending behaviour programme called 'Citizenship'. Citizenship consists of several modules, each reflecting a core offending pathway – e.g. alcohol, emotional wellbeing, relationships etc. The core principles reflect risk, need and responsivity and implementation within the CRC, incorporates the later academic influences from the body of evidence around desistance research. In essence, offender supervision is split between 1:1 work which occurs within a variety of community based premises – our community hubs – in which the CRC rents space; and group work based around an accredited programme or locally developed non-accredited intervention, which happens predominantly in our two district centres. Our community supervision delivery is split by geographical area into six teams, aligned to local authority areas, led by a Deputy Director of Operations. Our interventions – Through the Gate (TTG), Accredited Programmes and Unpaid Work – are led by a second Deputy Director of Operations and are service wide interventions. Both deputies report in to the Director of Operations, who reports to the CRC CEO.

Our CRC administrative hub is located within the district centre based in Stockton and covers the whole patch. Our corporate services are split between the two district centres – with the CEO, Deputy CEO and People & Resources team based at Stockton, and the Finance Director, Finance, ICT & Performance Management teams based in Belmont, Durham. All front facing operational staff work agilely and are provided with laptops and mobile phones. They use both district centres to complete their individual admin work – e.g. OASys, ISPs, emails etc. Operational managers are based within one of the two district centres, but are required to attend community hubs and visit teams as appropriate. Responsible Officers will base their diary around community hub opening times and the number of people to be seen.

Cases are allocated using an allocation matrix which determines the grade of Responsible Officer the case needs to go to. The matrix uses risk of harm factors, risk of reoffending factors and resource need principles, including protected characteristics, as the starting basis. The allocation process begins with Case administrators who are responsible for allocating cases based on known factors and where a professional judgement is not required; where information is unknown or unclear, the cases will be referred to the relevant team manager for allocation within 1 business day. Team managers are responsible for the oversight of the caseload within their teams and this includes the appropriate allocation of cases. The principles and matrix are for guidance based on information received when the case is transferred from the National Probation Service and does not replace the requirement for a thorough analysis of information and assessment of risk by the Responsible Officer.

- All cases can be allocated to either a PO/PSO, except those with current DV, non-registered sex offenders or those with previous sexual offence and CP registers and/or a BBR or Resolve requirement.
- Risk of serious harm factors determine which grade of staff the case is allocated to.
- The likelihood of reoffending (OGRS) tier determines the level of resource/contact the case will receive.
- Responsible Officers may increase or decrease the resource allocation once a full assessment and needs analysis has been completed.

### **Available Services and Involvement of the Third Sector:**

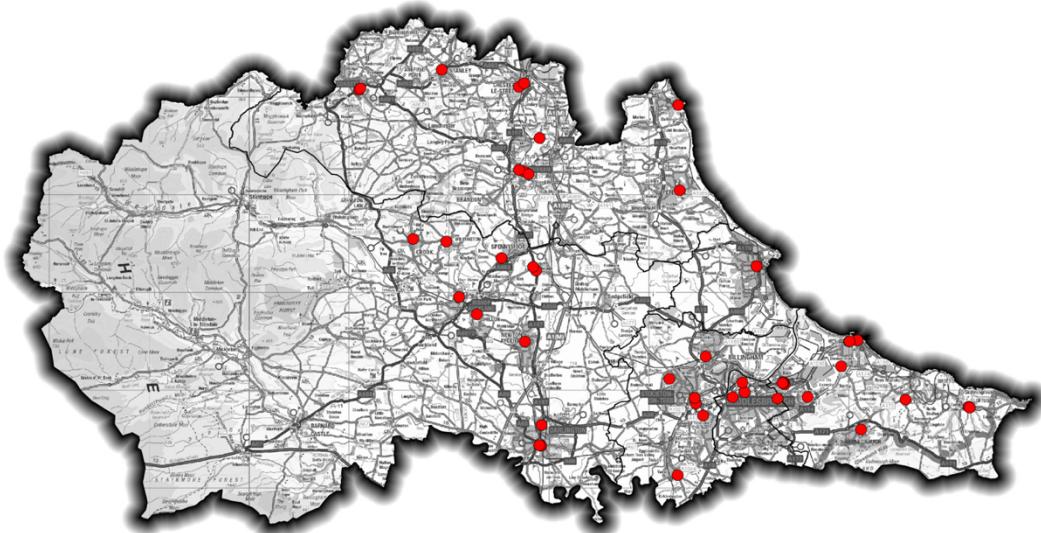
All core offender management services to meet the relevant Court sentencing requirements are delivered – four accredited programmes, a variety of single and group UPW placements, ATR/DRR/MHTR provision, TTG services.

The majority of our third sector supply chain provision lies within the TTG service with the Wise Group (all core wraparound support services and mentoring), Thirteen (housing providers and all core wraparound support services) and NEPACs (prison visitor centres for licence release first appointments and family support). We use a variety of other third sector providers. The offender facing services include: a team of mental health criminal justice workers; interpreters; travel provision; two women's centres; a women's throughcare pilot with Changing Lives and HMP Low Newton; a specifically commissioned project for 18–24-year-olds; two IOM schemes; restorative justice; social action projects and Sound Training (a literacy skills programme). Staff support services include Occupational Health; Perkbox (funded per head); Counselling; Safeguarding Board contributions (for relevant training) and an internal Intranet platform.

Elective services are delivered for NPS offenders and can be found on the CRC ratecard. These include support packages for MAPPA cases on release, a Veterans programme, women's services, mentoring, literacy skills and a 1:1 domestic abuse programme.

**Map and website** <https://www.dtvcrc.co.uk/>

**Durham Tees Valley CRC  
Hub Locations**



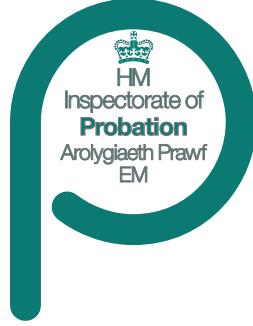
## Annex 4: Glossary

<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>ARCC</b>	Achieving Real Change in Communities
<b>Assessment</b>	The process by which a decision is made about the things that an individual needs to do to reduce the likelihood of them reoffending and/or causing further harm
<b>Barriers</b>	The things that make it difficult for an individual to change
<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>BBR</b>	Building Better Relationships: a nationally accredited group work programme designed to reduce reoffending by adult male perpetrators of intimate partner violence
<b>Case manager</b>	The term used by some CRCs for the probation services officer grade who holds lead responsibility for managing a case
<b>CEO</b>	Chief Executive Officer
<b>Child safeguarding</b>	The ability to demonstrate that a child or young person's wellbeing has been 'safeguarded'. This includes – but can be broader than – child protection. The term 'safeguarding' is also used for vulnerable adults
<b>CRC</b>	Community Rehabilitation Company: 21 CRCs were set up in June 2014, to manage most offenders who present a 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>Desistance</b>	The cessation of offending or other antisocial behaviour
<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>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>HM Prison</b>	Her Majesty's Prison
<b>ICT</b>	Information and communication technology
<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>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 the 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 programme; a restrictive intervention (to minimise their risk of harm) might be to monitor regularly and meticulously their accommodation, their employment and the places they frequent, imposing and enforcing clear restrictions as appropriate to each case. Both types of intervention are important
<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>MAPPA</b>	Multi-Agency Public Protection Arrangements: where the 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>Mentor</b>	A person of greater experience who offers advice and guidance, to develop an individual's potential
<b>Ministry of Justice</b>	The government department with responsibility for the criminal justice system in the United Kingdom
<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>OASys</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>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>Post-sentence supervision</b>	Brought in via the Offender Rehabilitation Act 2014, this is a period of supervision following the end of a licence. Breaches are enforced by the magistrates' court
<b>Pre-sentence report</b>	This refers to any report prepared for a court, whether delivered orally or in a written format
<b>Probation officer</b>	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>Probation services officer</b>	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 probation services officers work within the court setting, where their duties include the writing of pre-sentence reports
<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>RAR</b>	Rehabilitation activity requirement: since February 2015, when the Offender Rehabilitation Act 2014 was implemented, courts have been able to 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>Responsible officer</b>	The term used for the officer (previously entitled 'offender manager') who holds lead responsibility for managing a case
<b>Suspended sentence order</b>	A custodial sentence that is suspended and carried out in the community
<b>Thinking Skills Programme</b>	An accredited group programme designed to develop an individual's thinking skills to help them stay out of trouble
<b>Through the Gate</b>	Through the Gate services 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>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



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