

An inspection of

Cumbria and Lancashire Community Rehabilitation Company

HM Inspectorate of Probation

MAY 2019

This inspection was led by HM Inspector Lisa Parker, 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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This publication is available for download at:

www.justiceinspectorates.gov.uk/hmiprobation

Published by:

Her Majesty's Inspectorate of Probation
1st Floor Civil Justice Centre
1 Bridge Street West
Manchester
M3 3FX

Contents

Foreword	4
Overall findings	5
Summary of ratings	7
Recommendations	8
Background	9
Contextual facts	11
1. Organisational delivery	12
1.1. Leadership	13
1.2 Staff	14
1.3. Services	16
1.4. Information and facilities.....	17
2. Case supervision	20
2.1. Assessment	21
2.2 Planning.....	22
2.3. Implementation and delivery	23
2.4. Reviewing	24
4. Unpaid work and Through the Gate	26
4.1. Unpaid work	27
4.2. Through the Gate	28
Annex 1: Methodology	30
Annex 2: Inspection results: domains two and three	32
Annex 3: Operating model and map	34
Annex 4: Glossary	41

Foreword

This is a Community Rehabilitation Company (CRC) with proud traditions of high-quality work. We found weak assessment and planning practices, however, that frequently failed to tackle offending or protect the public. Consistent with this, the services and interventions delivered largely failed to target risky behaviours or help people move away from offending. This is not effective probation supervision.

The CRC must provide structured interventions, anchored to a solid evidence base. Reviewing practice is an improving picture, as the CRC has reintroduced a more comprehensive system of assessment and reassessment. That said, we found a dearth of information included from other agencies and too scant a regard for public safety.

Underlying these serious deficiencies, we witnessed a staff group struggling to manage complex individuals without the skills or experience to be impactful. There is a shortage of qualified probation officers in Cumbria and Lancashire, mirroring problems elsewhere in the country. Managers prioritise process-checking at the expense of quality practice. Management oversight is not effective at present, despite our having raised this issue with the parent company in our 2018 inspection report of one of its other CRCs.¹

Unpaid work assessment is some of the least effective we have seen so far in this inspection programme, and the CRC must act quickly to bolster safety and consider how it can better meet people's needs.

Through the Gate work is in transition, and the CRC is working hard on providing an enhanced service from April 2019. This is a real opportunity to implement changes and deal with the current issues, including information flows between the provider of the service and the CRC, so that good resettlement activity can be delivered.

The CRC is well served by appropriate policies, procedures, strategy and purpose. Some of its premises, however, are not fit for purpose. People visiting offices must be afforded respect, dignity and a confidential place to discuss their circumstances. Likewise, personal information must be protected and exchanged appropriately. There is much to do; leaders need to make better efforts to deliver the improvements in quality that must now follow.



Dame Glenys Stacey
Chief Inspector of Probation

¹ HMI Probation. (2018). *An inspection of Northumbria Community Rehabilitation Company*.

Overall findings

Overall, Cumbria and Lancashire Community Rehabilitation Company (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:



Our key findings about the organisation are as follows:

- The CRC is well led and has a clear strategy of working with its partners to deliver, supported by flexible ways of working.
- There is a serious shortage of qualified staff to handle higher risk of harm cases. Management oversight is insufficient to support staff.
- Services are available but not used consistently to tackle offending, and the communication of information between the different partner organisations delivering interventions is not robust.
- The CRC's facilities and systems can sometimes hamper the delivery of high-quality work. Leaders are not clear about the quality of work undertaken, and may not see what is required to drive improvement.



Our key findings about case supervision were as follows:

- Assessment is very weak, particularly in relation to keeping other people safe. Less than half of the relevant inspected cases included a sufficient assessment to support public protection.
- Plans are in place for most people but there are too few which protect the public sufficiently. Of the cases inspected where a risk of harm to others was evident, only 41 per cent had a sufficient risk management plan.
- Structured interventions are infrequently used.
- Arrangements to exchange information with partners are not robust: important information is being neglected.
- Review work is improving but there are serious shortcomings in the review of risk management plans.

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

Unpaid work

- The scheme is suffering from very weak assessment of need. Of the cases inspected, less than one-quarter had been assessed sufficiently. More needs to be done to offer individuals opportunities for personal development.

Through the Gate

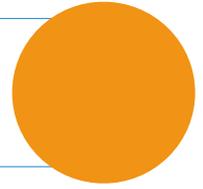
- Plans are usually in place, and efforts are being made, to support people in their resettlement; however, coordination and communication efforts are not working well, owing to poor information sharing.

Service: Cumbria and Lancashire CRC

Fieldwork started: February 2019

Overall rating

Requires improvement



1. Organisational delivery

1.1	Leadership	Good	
1.2	Staff	Requires improvement	
1.3	Services	Requires improvement	
1.4	Information and facilities	Requires improvement	

2. Case supervision

2.1	Assessment	Inadequate	
2.2	Planning	Inadequate	
2.3	Implementation and delivery	Inadequate	
2.4	Reviewing	Requires improvement	

4. CRC specific

4.1 ¹	Unpaid work	Inadequate	
4.2	Through the Gate	Requires improvement	

¹ CRC aspects of domain three work are listed in HMI Probation's standards as 4.1 and 4.2. Those for the NPS are listed as 3.1 and 3.2.

Recommendations

As a result of our inspection findings, we have made seven recommendations that we believe, if implemented, will have a positive impact on the quality of probation services in the Cumbria and Lancashire CRC.

Cumbria and Lancashire Community Rehabilitation Company should:

1. ensure that its staff are properly equipped with knowledge and skills in accurate risk assessment and management, to work effectively with domestic abuse perpetrators and to deal with child and adult safeguarding concerns
2. put in place an effective system of robust management oversight, to strengthen protection of the public
3. analyse and improve assessment practice for different groups of people, including women, people from minority backgrounds and those completing unpaid work
4. implement more consistent use of structured interventions and home visits, to tackle offending and risk of harm issues
5. improve the quality of resettlement activity and pre-release work, to better meet individuals' needs
6. evaluate and improve the impact of its quality assurance work
7. take urgent action to ensure that information is accessed, handled, stored and acted on appropriately.

Background

Probation services

Around 260,000 adults are supervised by probation services annually.³ 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.⁴

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 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 (CRC) that provide services under contract. The government has announced its intention to change the arrangements for delivering probation services, and has given notice to CRCs that it will terminate their contracts early, by Spring 2021.

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.

Cumbria and Lancashire CRC

Sodexo Justice Services is part of a large multinational private company with a wide range of commercial interests. It took over formal ownership of the Cumbria and Lancashire CRC on 01 February 2015. It operates a strategic partnership with a well-known charity, Nacro. With contracts to deliver probation services across six CRCs,⁵ it is the third-largest owning company in the country by contract value, and has 18 per cent of the market share.³ Sodexo also runs four of the 14 private prisons in England and Wales, with all four located in England.⁶

Two Sodexo senior staff (regional Chief Executive Officers) each have oversight of a region – one in the north and one in the south of England – with each responsible for three CRCs, and working to the Director of Operations (Community) in Sodexo Justice Services. Corporate support services are provided by colleagues based in London and Salford, and supplemented by regional CRC personnel covering human resources, finance, business development and communications.

³ Ministry of Justice. (2018). Offender management caseload statistics as at 30 September 2018 (based on the average of the last four quarters).

⁴ All those sentenced, for offences committed after the implementation of the *Offender Rehabilitation Act 2014*, to more than 1 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.

⁵ The six CRCs owned by Sodexo are: BeNCH; Cumbria & Lancashire; Essex; Norfolk & Suffolk; Northumbria; and South Yorkshire.

⁶ Private prisons run by Sodexo are: HMP Bronzefield; HMP/YOI Forest Bank; HMP Peterborough; and HMP Northumberland. Source: MoJ website, 30 January 2017.

Each individual CRC is led by a director with overall responsibility for business management and performance, supported by deputy directors.

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

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

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.⁷

⁷ HM Inspectorate of Probation's standards can be found here:
<https://www.justiceinspectorates.gov.uk/hmiprobation/about-our-work/our-standards-and-ratings/>

Contextual facts

151,788

The total number of individuals subject to probation supervision by CRCs across England and Wales ⁸

5,502

The number of individuals supervised by Cumbria and Lancashire CRC ⁹

6

The number of CRCs owned by Sodexo

44.7%

The adjusted proportion of Cumbria and Lancashire CRC's service users with a proven reoffence ⁹

74%

The proportion of individuals who were recorded as having successfully completed their community orders or suspended sentence orders for Cumbria and Lancashire CRC. The performance figure for all England and Wales was 79%, against a target of 75%¹⁰

78%

The proportion of positive compliance outcomes with licences and, where applicable, post-sentence supervision periods for Cumbria and Lancashire CRC. The performance figure for all England and Wales was 71%, against a target of 65%¹¹

⁸ Ministry of Justice. (2018). Offender management caseload statistics, as at 30 September 2018.

⁹ Ministry of Justice. (2019). Proven reoffending, Payment by results, January - March 2017 cohort.

¹⁰ Ministry of Justice. (2018). CRC Service Level 8, Community performance quarterly statistics, July 2017 - September 2018, Q2.

¹¹ Ministry of Justice. (2018). CRC Assurance Metric J, Community performance quarterly statistics, July 2017 - September 2018, Q2.

1. Organisational delivery



The CRC is a well-led organisation. Vision and values are set out clearly. The CRC takes its partnership work seriously, giving time and commitment to partnership meetings and ventures. Risks are managed dynamically and documented in a risk register. In line with others, however, this CRC has not yet been able to reduce its key risk: that the quality of work suffers because of a shortage of probation officers (POs). The operating model has been modified over time, to allow for a good, personalised service. Staff are positively involved in developments to the model through an engagement group.

The CRC has struggled to recruit and retain PO staff. While the learning and development on offer appears to be good, many staff are underequipped to work effectively with more complex cases. Supervision and appraisal take place regularly but we found weaknesses in how well casework was overseen. We met motivated staff who are well engaged.

In-house services are generally well conceived, with accredited programmes and structured interventions available. These options are not used often enough, with most staff undertaking work on a one-to-one basis in an unstructured fashion. Relationships with other providers are variable. Services for women are widely available, as is unpaid work. Mentoring is not currently available in Cumbria and underused in Lancashire. Services for people with drug and alcohol problems are not working properly, and key information is not exchanged effectively.

Difficulties with information and communications technology (ICT) access and delays in getting starters onto systems have affected the timeliness of inductions. While there are technical difficulties with internet access in some locations, staff are happy with their ICT hardware and mobile working arrangements generally. Some premises are of a high standard – particularly where the CRC is co-located with the NPS. Conversely, offices at Blackpool and Workington were described by a range of staff as “*not fit for purpose.*” Confidentiality is compromised in these locations. We visited the Blackpool office and saw cramped working conditions and a lack of private interview space. Quality assurance activity is not fully embedded or effective in helping the CRC to drive its quality of practice.

Strengths:

- A clear vision, mission and set of values are in place.
- The CRC reviews and revises its model to improve services for people.
- Staff value training and development, and are keen to learn.
- The CRC has a solid range of interventions and partnerships to help people to reduce reoffending and become offence free, with plans to innovate further.
- The CRC is accessible, with a spread of reporting venues, women-only space and a Saturday morning facility.

Areas for improvement:

- There are insufficient, properly trained staff in order to manage complexity and risk of harm, and respond to diversity needs.
- The CRC does not mitigate all its risks effectively.
- Analysis of an individual's needs is missing: consequently, planning and delivery of effective services and interventions are compromised.
- Some premises undermine confidentiality and staff safety.
- Information from children's social care, drug and alcohol, and partnership services is not accessible enough; further, it is not acted on by responsible officers sufficiently.
- The quality assurance work is not effective within the CRC.

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

There is a clear purpose set out by Sodexo Justice UK and Ireland for its CRCs. Strategic objectives, values and behaviours are articulated in company documents and are complementary to the specific purpose of the CRC. It is unclear, however, how the strategic objective focused on growth aligns with the stated purpose 'to reduce reoffending and risk of harm and improve the quality of life of those under our supervision and care'. Staff broadly understand the vision of the CRC.

The regional CEO represents CRC interests in a number of cross-sector development groups. Through this, the CRC demonstrates commitment to advocate for individuals under its care.

The CRC engages well with most partners, and senior managers prioritise strategic commitments. Local partners value the CRC. The CRC director chairs the local reducing reoffending board in Cumbria and is highly involved in such work in Lancashire. The strategic work with the NPS is effective, with the three providers in the North West meeting regularly to resolve issues and plan together. No stakeholder survey is used, however, to monitor how well the CRC strategy is received. There has not been enough engagement with sentencers locally, and the CRC acknowledges the need to do more.

The governance arrangements are clear and inclusive, with staff able to respond to the senior leaders via the operational management and engagement group, the staff engagement network and team meetings.

Performance against contract measures is strong, and good monitoring processes are embedded. A quality board has recently been instituted to drive the delivery of high-quality, evidence-based practice, but monitoring how well the CRC is meeting its purposes, particularly in relation to risk of harm, needs to improve.

While there is a structured and dynamic risk register in place, the actions do not always effectively mitigate risks. For example, in the case of failure to recruit and retain sufficient POs, not enough has been done to safeguard practice and protect

the public in the meantime. The risk register is formally reviewed quarterly. Business continuity plans are in place, and robust plans have been used successfully to deal with major incidents. Desktop exercises further equip the CRC to respond well to disruptions.

There is a generic case allocation model which uses colour banding (see Annex 3) to determine the resources required to manage the case and intensity of case management. There is too much discretion within the model, however, regarding the level of complexity that probation service officer (PSO) staff can handle. The CRC changed the operating model when it disbanded the community integration team in favour of more face-to-face contact. This has led to an improved, more personalised service.

Single requirement orders, such as unpaid work orders or attendance centre requirements, are managed by an administrative hub. Responsible officers working in the hub never meet the people they supervise. There is a disconnect between the processes and the people they are designed to support, as induction is carried out in field offices and sentence planning is undertaken in the hub, based on records and notes. Hub staff have little opportunity to observe frontline practice.

The operating model allows for personalised approaches, two examples of which are delivery in women-specific settings and the provision of a young adult semi-specialism. Group interventions can be delivered on a one-to-one basis, to meet the needs of people living in more remote areas. There have been innovations in service delivery to meet the needs of specific groups, such as the faith organisation, Inter Madrassah, which works with young people in Blackburn to improve employability. Projects and partnerships are used to give support to service users beyond the end of their sentence.

Changes to the operating model are well managed and communicated, as was evidenced in the recent change to reintroduce the use of full assessments for most cases; this was communicated and implemented well, and supported by the provision of 'strengthening practice' training.

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

A regular workforce planning meeting handles data and assists deployment decisions. We saw evidence of sessional and agency staff engaged to alleviate pressure points. The CRC understands that it does not have enough qualified POs, and plans to improve this situation through internal training routes. In the short-term, however, it is difficult to address this, as there is a shortage of POs locally, as we highlighted in our recent inspection of North West division of the NPS, where we reported a 20 per cent shortfall in POs.¹²

There are insufficient qualified and skilled staff to manage the most complex cases, and this is identified as the organisation's key risk. Child protection cases are not always held by POs. The CRC has a solid plan to increase PO numbers, but there are insufficient safeguards in place to protect the public during the process of developing

¹² HMI Probation. (2019). *An inspection of the North West Division of the National Probation Service.*

newer staff. We found that sizeable numbers of staff were often out of their depth, holding cases that required more skill and experience than they possessed.

Caseloads are manageable where staffing remains stable, at an average of 46 per responsible officer. Caseloads in the hub are up to 120 for each responsible officer. Cases are not always reallocated quickly enough, however, when staff leave or are absent owing to sickness. Responsible officers spoke of feeling the weight from “invisible caseloads”. Staff working in the Preston hub work flexibly to cover absences, which has helped deal with vacancies and absences. Just over one-half of staff interviewed believed that their workload was manageable and was effectively managed in their teams.

An administrative review has been commissioned to improve casework in response to views that some administrative work may be done better if embedded into field teams.

Middle managers have acceptable workloads, and the CRC has recently reallocated ancillary tasks, such as building management, to other staff, to allow capacity for high-quality oversight; however, oversight of casework is not robust. Supervision and appraisal take place routinely, with more than eight out of 10 staff receiving supervision. Managers are focused on processes, however, giving insufficient weight to analysis and management of risks of harm, and multi-agency work suffers as a result. This is disappointing, given our findings in 2018 about Northumbria CRC, also owned by Sodexo. Our inspection report¹³ recommended that the organisation should: ‘improve the quality of management oversight so as to enhance the analysis and development of risk management and sentence plans’.

Appraisal is linked to organisational values. Induction is organised for new starters and includes a prescribed set of training. While this is consolidated by further training coordinated by local managers, the lack of experience among the staff group limits the effectiveness of shadowing and co-working opportunities.

The diversity of the workforce is not fully representative of the local population, particularly in relation to black and minority ethnic individuals. More should be done to attract staff from minority backgrounds, to reflect and serve the needs of the local population. Succession planning is good.

There is an annual plan to meet training needs. This is mostly delivered through a national Sodexo-wide contract with Laurus. There is a blended approach, comprising group training and online learning, which is viewed positively. All staff groups are catered for. For example, recent training on risk and domestic abuse was tailored to meet the needs of unpaid work staff; however, we found that the effectiveness of the CRC’s training is not properly evaluated.

The annual training plan is supplemented with local events, such as on how to work with custodial cases. The CRC is proactive in securing additional training sessions where needed. There is a coherent plan to develop staff into qualified POs. The Practice Enhancement Programme provides a pathway for appropriate staff to prepare for the Probation Qualification in Probation (PQiP) scheme. Staff were very positive about the quality of the PQiP training. The majority of those interviewed confirmed that they are given access to in-service training. Managers reported that

¹³ HMI Probation. (2018). *An Inspection of Northumbria Community Rehabilitation Company*.

the CRC has been responsive to their needs and that 'Courageous Leaders' training has been well received.

A large majority of staff feel that a culture of learning and development and continuous improvement culture exists. Given our casework findings in this inspection, however, there are clear questions about the efficacy of the available learning and development in the CRC – in particular, its lack of support for effective practice.

The operational management and engagement group is chaired by a senior manager, and facilitates cross-grade discussion. The staff engagement network meetings run across Sodexo's three northern CRCs and have been embedded over the past two years. Staff wellbeing has been considered, and listening events run.

The in-house staff survey reported low levels of staff satisfaction, and less than one-third of local staff completed it. By contrast, in our interviews, staff were overwhelmingly positive about their roles and gave examples of being engaged and listened to. The organisation pays attention to reasonable adjustments, but staff report unacceptable delays in getting their ICT problems resolved.

'Star awards' are open to staff. A little over one-half of staff are positive about reward and recognition. The regional staff newsletter publishes the Star awards. The intranet has 'Nominate' and 'Bright Ideas' sections, which support engagement and recognition in the workplace.

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

Offending-related needs have not been collected, as a result of using a basic level of Offender Assessment System (OASys) assessment, which means that data and analysis are not available. A service user survey and available national data have been used to supplement the CRC's understanding of needs, but these are not comprehensive enough to inform planning and commissioning decisions. OASys data was available from October 2018, but the interim position has not yet been analysed. Data sources such as the national case management system, nDelius, have not been fully explored to analyse the profile of service users.

A limited analysis of sentencing patterns has taken place, and this has highlighted a potential increase in punitive sentencing of women in Cumbria. This has led to some work being undertaken with the NPS, to improve the situation.

There has been some limited analysis of disproportionality and how well people do under the CRC's supervision. Opportunities to analyse risk of harm are being missed. Poor use of nDelius recording obfuscates what staff are doing to manage such risks. A clear example is the lack of information on safeguarding referrals, which arises because the CRC records referrals inaccurately, leaving senior managers unable to generate reports to monitor practice.

The integrated offender management (IOM) arrangements are under review across both Cumbria and Lancashire; the needs of those at highest risk of reoffending are not fully understood currently. Staff are also unclear about how and who to refer to local schemes. We concluded that IOM arrangements are not effective at present.

The CRC runs a good suite of accredited programmes, together with structured interventions, which are delivered by the interventions team. Some of these are well used, such as Building Better Relationships and Safer Relationships. Unfortunately, the use of structured interventions to meet rehabilitative needs is scarce and the recording of this activity is poor.

The NPS is positive about interventions provided by the CRC. The offer has been developed to suit NPS needs. This is supported by rate card 'champions' from the CRC, who provide information and advice, so that the NPS can fully understand what is available.

Women's centres are provided through the charity Lancashire Women, and there is a network of venues to report to, where there are options to be seen in women-only environments. Some of the unpaid work on offer to women is provided at these centres. The range of services available at women's centres is not broad enough, however, and information is not exchanged robustly enough between staff, partly because of unreliable ICT facilities.

The provision of drug and alcohol services is problematic, with a dearth of information being exchanged, potentially putting people at heightened health and reoffending risks. The service user council has presented negative feedback on these services, and managers are in discussions with partners and commissioners to improve them for people in the criminal justice system.

Operational partners provide a range of services, including mentoring; however, this is not currently available in Cumbria and is underused in Lancashire. Two contracts were terminated early, with some services not yet replaced, although the CRC planned to rectify this situation by April 2019.

We learned of a very positive mental health approach in Lancaster, where good inter-agency work is taking place, but barriers exist elsewhere and more should be done to address mental health needs.

There is a variety of unpaid work widely available. The logistics of this are well managed, although we found weaknesses in the cases inspected, in relation to assessing suitability and maximising opportunities for personal development. The young adult offer is good but people under 25 still experience worse outcomes than older people.

The CRC is not sufficiently engaged with courts. Previously, information was provided to courts and included in the 'Sentencers' News' newsletter; however, this has fallen into abeyance. An interventions brochure for sentencers was circulated some years ago, but this needs to be revised and reissued.

1.4. Information and facilities	Requires improvement
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.	

Relevant policies are available on the intranet, which is clear and user-friendly. A large majority of responsible officers reported having clear guidance and policy to support their decision-making and recording. The CRC has a cross-grade group that supports the development of practice standards and its risk manual. From this work, an initiative to improve structured case recording was implemented successfully. The

parent company is supporting its CRCs to harmonise policies and practice, where feasible.

Interventions are listed on the intranet, including suitability criteria and referral information, but the staff guide to interventions is not widely used.

There are regular meetings with NPS colleagues to maintain an effective working relationship. Locally, the middle manager meetings which support this activity have not been properly included in the governance arrangements. The CRC has undertaken to improve the recording of these meetings, however, to ensure that information is captured and reported.

Service user engagement is good, and has been used to drive changes such as playing music in waiting areas, to improve confidentiality; however, these actions have mainly been confined to Preston. It is encouraging to hear of plans to roll this out across the rest of the organisation.

The CRC has a good spread of reporting centres. It responded to a need for more premises and has expanded to operate in Kendal and Skelmersdale, Burnley, Colne, Chorley and Penrith. There are women-only centres, plus women-only reporting times. People can also be seen on Saturday mornings at the attendance centre, which is beneficial to people who work during the week.

Until early 2019, the CRC was using a community resource in Chorley and, despite serious concerns being raised about the appropriateness of this, it took three years for the parent company to make alternative provision. Fortunately, this situation was resolved in January 2019 and the staff have been moved back into high-quality premises, co-located with the NPS.

In some offices, managers find it very difficult to work effectively, owing to the lack of confidential, private meeting space. Managers have had to resort to asking staff to attend at head office in Preston, which can heighten people's concern about the nature of the meetings. While Sodexo has ensured that private interview rooms are available in each location, arrangements are not sufficient. For example, in Workington, concerns were raised about safety and how staff would deal with difficult behaviour in an upstairs interview room.

SoloProtect is a personal alarm system used by staff. It is generally felt to be appropriate, although it is reliant on a telephone signal, and this is patchy in some offices, such as Preston. A health and safety committee is in place, and meets regularly.

Mobile working is largely welcomed by the staff, and enabled through the availability of laptop computers and mobile telephones. Less than one-half of responsible officers were positive about their ICT, however, citing problems with waiting times to receive accounts and delays in getting issues resolved. Access to nDelius and OASys is not stable, particularly for staff who log on remotely, who report frequent disruptions.

Partners experience long delays in the resolution of ICT problems. Consequently, we heard reports of delays in recording information on case records. Those reliant on remote access have needed to travel to other sites to connect to a 'hard' cable, for system updates. This is very inconvenient, but the frequency of this has reduced.

Recording practices are not reliable enough. For example, we found separate recording of Through the Gate information, outside of CRC systems, and a lack of information exchange noted on drug rehabilitation order requirement cases. This must be remedied promptly.

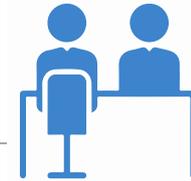
The assessment tool, Justice Star, has not been used to provide management information on needs. Sodexo recently abandoned this system, replacing it with OASys. The CRC needs to develop its use of management information, to reduce reoffending and risk of harm.

Quality assurance and performance management functions are separated in the structure. More needs to be done to coordinate these functions. Contract performance management is good, comprehensive processes have been brought in recently and a quality assurance plan is in place. Delivery of the plan relies on the performance development unit undertaking a series of audits. The unit will be up to full strength shortly, and aims to share learning across the organisation through workshops focused on addressing quality. Managers and frontline practitioners are not fully engaged in the quality agenda, with the emphasis currently on process, which the CRC has identified and is seeking to change.

A 'health check' system has been implemented but this reinforces the focus on process rather than qualitative information; the CRC will need to consider carefully how to invest its resources in effective quality assurance work to deliver the best results.

We saw strengths in the CRC identifying what it wanted to improve and its determination to undertake audit activity to support this. There was no clear mechanism, however, for measuring how well remedial actions had worked to address shortcomings in quality. There needs to be a strong focus on evaluation, to enable senior leaders to assure the quality of the organisation.

2. Case supervision



Casework in the CRC is inconsistent. We found examples of excellent work, but these were isolated. The key issue is the use of a poor-quality assessment format, which has translated into a large number of poor-quality plans and sub-standard service delivery. Interventions are too often unstructured and not properly focused on reducing both reoffending and risks of harm. Reviewing practice was improved by the reinstatement of OASys layer 3 assessments, late in 2018.

The CRC has a long way to go to deliver effective practice consistently. A crucial element is for the CRC to obtain and use multi-agency information, to ensure that it has an accurate picture of circumstances and risks to others.

We identified the following strengths and areas for improvement from our examination of 119 cases drawn from a range of offices across Cumbria and Lancashire. These cases were inspected against the standards we have set for the quality of assessing, planning, delivery and reviewing.

Strengths:

- People engage well with their assessments.
- Staff are passionate about their work and include individuals in the interventions being delivered.
- We saw some evidence of the organisation making positive improvements to reviewing practice.
- Structured recording practice is beginning to help shape good casework.

Areas for improvement:

- Assessments of women and those from black and minority ethnic backgrounds are particularly weak.
- The flow of information between the CRC and other agencies is limited.
- There is too little experience, knowledge and skill in the staff group, which limits effective practice and adequate use of broader information, such as home visits.
- Management oversight makes too little difference to the quality of case management.
- There is insufficient use of structured interventions to tackle reoffending and address risk of harm.
- Work to safeguard children and adults alike is inadequate.

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

We found that assessments were completed in a timely way in the large majority of cases. Practice is generally inclusive; the majority of people are involved in assessment activity and their views taken into account almost two-thirds of the time.

Individual needs and diversity considerations were highlighted in just over one-half of all cases. When people's needs were identified, responsible officers took these into account properly. Motivation and readiness to comply were assessed in only a little over one-half of all cases.

The CRC had used the most basic level of assessment available in OASys (layer 1 OASys) for the initial assessments in the cases we inspected. As a result, we saw large deficits in how offending factors and needs were analysed. A fuller assessment approach (layer 3 OASys) was implemented late in 2018, but it was too early to see the impact of this change in the cases we inspected.

Assessments were mostly descriptive in nature and lacked an analytical focus: a clear explanation of how and why offending happened in each case was frequently missing. This means that responsible officers are missing opportunities to lay a well-thought-through foundation to underpin the planning and service delivery to people under their supervision.

Responsible officers draw on the strengths that individuals possess too rarely; they did so in a little over one-half of the inspected cases. This runs counter to the principles of desistance, and people lose out on the prospect of better outcomes.

Worryingly, we found that assessment practice lacked key information from other agencies, such as the police. This weakens the CRC's ability to anchor its work with comprehensive information to reduce risks of reoffending. It also jeopardises child and adult safeguarding.

In one case an inspector found:

"No up-to-date check was made with the police, despite the current offence being a second domestic abuse assault. Although domestic abuse was identified in the risk of serious harm section, there is no clear picture of potential risks and circumstances where these are likely to occur. The assessment identified that children are at risk and that they have child protection plans; however, neither the assessment nor case records specifies detailed reasons. The responsible officer did not establish the substance of children's social care services concerns quickly enough."

In at least four out of every ten cases inspected, risk of harm to children was highlighted, but for a further one-fifth of cases the situation was not clear. An even higher number of people presented risks of domestic abuse, with an additional one-fifth of cases where the relevant information was missing. Against this backdrop of complexity, we found the following:

- Responsible officers incorrectly assessed people as posing a low risk of harm in one-quarter of all cases, leading to harm issues being missed.

- Analysis of risk of harm to other people featured in enough detail in only one-half of the cases we inspected.
- Crucial information was collected from partner agencies for less than one-half of the individuals.
- Some staff had a negligible understanding of adult safeguarding.
- The prevailing culture included a lack of professional curiosity and proactivity among staff.

Specific key groups fare worse than others in the CRC's assessment practice. Women receive a substantially poorer assessment on the whole, as do people from black and minority ethnic backgrounds. We urge the CRC to analyse why this is happening and implement measures to ensure equitable practice.

Positively, we found the assessment work undertaken by POs to be much better than that of their PSO colleagues, although still requiring improvement.

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

The planning work we saw was highly variable. Where the work was undertaken by POs, in the majority of cases we saw inclusive plans which engaged people under supervision. Overall, however, practice was not consistent, with just over one-half of people included in planning their sentences. Women were less engaged than men.

Sentence requirements were set out with clear timescales, in clear written plans. More needs to be done, however, to outline the type and frequency of contact in support of planned interventions.

Good planning is at the heart of helping people tackle factors related to their offending. We found that planning did not sufficiently grasp and connect the issues underpinning offending, or seek to put in place structured interventions to help people move towards offence-free lifestyles.

Planning practice must be strengthened, to ensure that diversity needs are properly considered. Similarly, not enough planning addressed individual motivation and readiness to change. Such deficits make people more likely to encounter problems in their sentences.

Opportunities were missed to build on people's strengths. A little over one-half of plans made appropriate use of protective factors and sources of support. Again, we found disproportionality. Women and people from a black and minority ethnic background had far fewer strengths and protective factors appropriately recognised.

Keeping people safe was the weakest area of all planning practice, with only 4 out of 10 plans addressing risk of harm issues properly. Responsible officers planned for risk of harm, and the critical factors relating to it, in just over one-half of cases. There was even less involvement of other agencies, resulting in a predominantly 'siloes' approach, rather than joined-up multi-agency planning to manage and reduce the risk of harm. Contingency arrangements were absent in six out of 10 plans, resulting in staff not having a clear, articulated approach to managing escalating risk when circumstances changed.

In the majority of cases, risks concerning children were planned for but, by contrast, less than one-half of the people presenting domestic abuse risks had plans that were robust enough.

Concerningly, we found that in the cases that the CRC had assessed as low risk of serious harm, there were none that had appropriate plans to keep people safe. As indicated in the assessment standard in section 2.1 of this report, there are too many cases being wrongly assessed as posing low risks of serious harm, with damaging consequences to planning.

In line with our assessment findings, planning work undertaken by PO staff was far better than that of PSOs, although it still required improvement.

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

The CRC is good at engaging individuals in their interventions, and we were pleased to see that more than three-quarters of people were actively involved. Sentence requirements started on time in more than eight out of 10 cases. We judged that responsible officers were focused on maintaining an effective working relationship with people under their supervision, giving flexibility to ensure that people could complete their sentences successfully.

The CRC is less effective at maintaining relationships with people serving prison sentences. Less than one-third of people in prison had sufficient contact with their responsible officer before release. Indeed, people who were re-released on licence generally received worse treatment than those on community orders. The roll-out of an enhanced Through the Gate service across local prisons in April 2019, however, gives an opportunity to strengthen communication, to aid better resettlement.

We found that responsible officers took appropriate enforcement action, including when to enforce, and when to apply professional judgement to, minor breaches of sentences. When enforcement action was necessary, we found that responsible officers re-engaged people well in more than 8 out of 10 inspected cases.

Given that assessment and planning practice are currently insufficient, it is not surprising to find that staff are struggling to implement high-quality interventions to reduce risks of harm and reoffending.

Interventions were insufficient across all areas of offending-related need. Concerningly, we found that the work delivered by PSOs did not focus on the primary interventions to bring about a reduction in reoffending. It is acknowledged, however, that the CRC has attracted payment by results relating to reducing reoffending, when using a binary adjusted measure.¹⁴

Not enough use was made of individuals' strengths and support networks, or agencies available in the community that could support people in their desistance, although POs demonstrated a good level of practice in this regard. When other agencies were involved, however, the CRC coordinated activities well for the majority of people. We were also pleased to see that changes in responsible officer were kept

¹⁴ Proven reoffending, Payment by results, January to March 2017 cohort, Ministry of Justice, January 2019.

to a minimum, with three-quarters of people keeping the same responsible officer throughout their sentence.

Home visits were undertaken for only one-third of the people who needed them. Concerningly, only four out of 10 cases featured the appropriate focus on protecting actual and potential victims. This was a particularly worrying feature in domestic abuse, safeguarding adults and safeguarding children cases.

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

In the autumn of 2018, the CRC reintroduced the widespread use of an in-depth assessment (and reassessment) tool, layer 3 OASys. Responsible officers were retrained and there was noticeably more use of fuller assessments, for reviewing changes and the progress that individuals have made in their sentence. Quality is improving because of this change.

We found that the majority of reviews are completed using a formal written document. Responsible officers consider compliance, engagement and barriers. Crucially, staff are adjusting plans to boost compliance. Improvements need to be made to engage individuals better in reviewing their sentences, as fewer than six out of 10 cases demonstrated people being meaningfully involved in their reviews.

We found good reviewing practice in respect of identifying and addressing changes in factors linked to desistance and offending; responsible officers adjusted plans to respond to changes. We saw this through formal reviews and structured recording in case records. Importantly, we observed that in over three-quarters of cases, reviews built on individual strengths and enhanced protective factors.

The following case example highlights the recent improvement in reviewing and recording practice:

“The responsible officer undertakes a review at each appointment and amends the plan for the appointment when necessary, offering support according to need and making referrals to additional resources such as housing and benefits support.”

Reviewing work, was not sufficiently informed by input from other agencies. We found problems with staff being unable to access information from children’s social care services and drug and alcohol service providers. In far too many cases, we witnessed examples of staff naively believing that the police or other agencies would get in touch with the CRC if important events occurred. The CRC must pay attention to improving both this culture and the conduits for requesting and receiving key information.

Reviewing practice was weakest in relation to keeping other people safe. Just over one-half of the cases properly reviewed risk of harm factors but, worryingly, only around four out of 10 cases contained the necessary adjustments to risk management plans when change had occurred. Important information for partner agencies was lacking reviews of risk of harm in nearly one-half of reviews sampled.

Individuals were often not involved in the process of reviewing their risk of harm. This featured in just over one-third of the work and represents a large number of missed opportunities to help people reduce their risky behaviours.

We observed a higher level of competence from the POs across all standards of reviewing.

4. Unpaid work and Through the Gate

Unpaid work assessment practice is flawed in the CRC. Assessment of suitability is made by staff in the CRC and the NPS, who may not have enough knowledge of unpaid work. Consequently, vulnerabilities, health and risk of harm considerations are often missed. Not enough has been done to promote people's access to personal development or education, training and employment opportunities. Court sentences are implemented effectively, although more needs to be done to help people comply with the scheme.

Through the Gate work is delivered by the CRC as 'lead host' in four resettlement prisons locally, the busiest of which is Her Majesty's Prison (HMP) Preston. Staff work flexibly across the prisons to ensure that staffing levels can be maintained, although there have been some staff shortages. Planning is carried out in most cases but not enough services to support resettlement are delivered. The coordination and recording of resettlement activity also need to improve. The CRC additionally delivers services as 'host' for women at HMP Styal and HMP Low Newton.

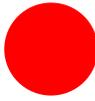
We identified the following strengths and areas for improvement from our examination of 38 unpaid work cases and 27 Through the Gate cases. These cases were inspected against the standards we have set for the quality of unpaid work and Through the Gate.

Strengths:

- The CRC is meeting the expectations of the courts in delivering unpaid work.
- There are good relationships with beneficiaries, and a range of placements is provided.
- Women are provided with opportunities to be placed in individual placements and within women's centres.
- Flexible staffing arrangements are in place, which help to reduce the need for people being sent home after reporting for unpaid work.
- The CRC is well embedded into prisons, and most people are provided with plans to help with their resettlement after release.
- Plans are in place to improve Through the Gate work.

Areas for improvement:

- Unpaid work assessment practice does not contain enough consideration of health, vulnerability and risk of harm issues.
- Opportunities for personal development are not promoted within unpaid work.
- Education, training and employment are underused within unpaid work.
- Resettlement activity does not adequately meet individuals' needs.
- There is not enough coordination of Through the Gate work across the prison departments and with the community.
- Personal data is not always handled appropriately.

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

The CRC operates unpaid work across a large and mainly rural area. Transport links can be limited. There is one overall manager and a more junior manager assigned to each of the two county clusters. There are no placement officers, and management is thinly stretched. We found that three-quarters of people were allocated to outdoor group activity, and good use was made of individual placements – for example, in local charity shops. One-half were sentenced with a single requirement. Around nine out of 10 people were managed by the CRC, with the remainder under the responsibility of the NPS.

The assessment practice supporting unpaid work is very weak. We noted that in almost one-third of cases in the sample, no OASys assessment had been completed or it had been finalised many weeks after the requirement had started. In more than three-quarters of cases, the assessment was not sufficient. Far too little use was made of available sources of information, further weakening the quality and validity of the assessments undertaken.

An assessment of people’s motivation and willingness to comply was present in only 13 per cent of cases. Far too few people were supported by sufficient consideration of their health and safety or vulnerabilities. We saw a much better consideration of people’s diversity and individual needs, however, with over two-thirds of assessments including these factors appropriately.

Although staff showed a high level of accuracy in assessing the level of risk of serious harm present, these risks were suitably considered in only one-half of cases. This was compounded by assessments failing to draw on other sources of information in two-thirds of cases. We found cases where weapons, threats to others and restraining order information had not been recorded in the assessments that unpaid work staff relied on. This increases the risk of danger on placement sites, and diminishes the opportunities to protect the public.

The CRC needs to improve the way that risks of harm are handled when making arrangements for suitable work placements. This element of practice has been negatively influenced by the deficiencies in assessment of individual risk and need, highlighted above.

The arrangements for unpaid work were handled more competently. Suitable work was arranged for the majority of people and it featured positive encouragements to comply with the order. Over two-thirds of people were supported by appropriate feedback being sent to their responsible officer.

The overriding consideration was the pragmatic placement of people, to work where it was available in their locality, rather than concerted attempts to place them on projects where they could experience reparation and rehabilitation.

Only one in six people were given explicit opportunities to build on their skills, in order to guard against a return to offending. Concerningly, we noted that almost one-quarter of people experienced being sent home after reporting, or having their work instructions withdrawn.

Nearly three-quarters of unpaid work requirements start within 14 days of the court's sentence. Work tends to start promptly and any absences are generally recorded. Just under two-thirds of cases contained professional judgements aimed at improving compliance. Engagement was reviewed in nearly three-quarters of relevant cases, to address barriers. We saw examples of people having work arrangements adjusted; however, only a little over one-half of people experienced enforcement action when it was necessary. This suggests that the CRC is not managing people robustly enough.

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

Accommodation was the most prevalent need, with three-quarters of people needing help; this was followed by finance, benefits and debts. Drug misuse featured as an issue for one-half of people, alcohol problems for two-fifths and mental health issues for two-fifths. Between one-quarter and one-half of people had disabilities but the recording was not clear enough to tell precisely. Just over one-half were people with a CRC-based sentence, with the remainder being the responsibility of the NPS. More than one-third were serving sentences for violent crimes.

More than three-quarters of people were provided with a plan for their resettlement. The quality of these plans would have been much improved with better use of available information. We found that less than one-half of plans made sufficient use of such information. It was good to see that the large majority of people (88 per cent of relevant cases) were meaningfully involved in discussions about their resettlement. Much more needs to be done, however, to build on individuals' strengths. Diversity and personal circumstances were considered for just under two-thirds of people.

Sufficient account had been taken of risk of harm issues in only approximately one-half of the cases we looked at. The CRC plans well for finance, benefit and debt but only one-half of people had robust plans to tackle accommodation difficulties.

Individuals with alcohol needs were the most poorly served, with less than one-half of people having plans containing enough help. Not enough support was planned to help those with mental health or drug problems either.

Resettlement services did not adequately meet the needs of people in prison. Just over one-half of people were given the services they needed to secure their resettlement. Services did not build on individuals' strengths in around one-half of cases. We were pleased to see, however, that two-thirds of people had appropriate consideration given to their diversity needs and personal circumstances.

Concerningly, only one-third of people supported by the Through the Gate scheme received services that took proper account of their risks of harm. Inevitably, such omissions destabilise safe resettlement and protection of the public.

Around one out of every seven people were released with no fixed abode, or temporary accommodation. Three-quarters were unemployed directly after their release from prison. Clearly, there is room for improvement, to ensure better resettlement and outcomes which support offence-free lifestyles.

One inspector found:

“Although there is a release plan, this does not specifically address the pertinent issues – ETE [education, training and employment], accommodation and substance misuse. The risk of harm section is not completed by prison staff and there is no evidence that the Through the Gate staff consider risk concerns in relation to domestic abuse history, safeguarding children and substance misuse.”

Only four out of every ten individuals received a service that was well coordinated across the prison departments. Just under one-half received the benefit of enough communication between the prison and their responsible officer. Concerningly, the handover to local services in the community was inconsistent, with more than one-half of people being poorly served.

Part of the reason we found such poor coordination in case records may have been because of current recording practices. We were informed that Through the Gate staff capture activity on ICT systems outside of nDelius and OASys, and that this information is routinely not retained. We urge the CRC to rectify the way that it handles sensitive and important data.

Annex 1: Methodology

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 Chief Executive Officer 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 55 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 20 meetings and visited a total of six offices, a women's centre and a large unpaid work site. The evidence explored under this domain was judged against our published ratings characteristics.¹⁵

Domain two: case supervision

We completed case assessments over a two-week period, examining service users' 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 119 cases from across two clusters. The sample size was set to achieve a confidence level of 80 per cent (with a margin of error of five), 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.

In some areas of this report, data may have been split into smaller sub-samples. For example, male/female cases, Probation Officer/Probation Service Officer cases and

¹⁵ HM Inspectorate's domain one ratings characteristics can be found here: <https://www.justiceinspectors.gov.uk/hmiprobation/wp-content/uploads/sites/5/2018/05/Probation-Domain-One-rating-characteristics-March-18-final.pdf>

where this is the case, the margin of error for the sub-sample findings may be higher than five.

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 five).

Unpaid work

We examined 38 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 27 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 middle manager responsible for Through the Gate services in specific prisons
- one CRC resettlement worker directly responsible for preparing resettlement plans and/or meeting identified resettlement needs. Owing to local staff sickness, it was not possible to hold a group meeting.

Annex 2: Inspection results: domains two and three

2. Case supervision

Standard/Key question	Rating/% yes
2.1. Assessment	
Assessment is well-informed, analytical and personalised, actively involving the service user	Inadequate
2.1.1. Does assessment focus sufficiently on engaging the service user?	64%
2.1.2. Does assessment focus sufficiently on the factors linked to offending and desistance?	46%
2.1.3. Does assessment focus sufficiently on keeping other people safe?	48%
2.2. Planning	
Planning is well-informed, holistic and personalised, actively involving the service user.	Inadequate
2.2.1. Does planning focus sufficiently on engaging the service user?	55%
2.2.2. Does planning focus sufficiently on reducing reoffending and supporting the service user's desistance?	61%
2.2.3. Does planning focus sufficiently on keeping other people safe? ¹⁶	41%
2.3. Implementation and delivery	
High-quality, well-focused, personalised and coordinated services are delivered, engaging the service user	Inadequate
2.3.1. Is the sentence/post-custody period implemented effectively with a focus on engaging the service user?	76%
2.3.2. Does the implementation and delivery of services effectively support the service user's desistance?	46%
2.3.3. Does the implementation and delivery of services effectively support the safety of other people?	40%

¹⁶ 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	Requires improvement¹⁷
Reviewing of progress is well-informed, analytical and personalised, actively involving the service user	
2.4.1. Does reviewing focus sufficiently on supporting the service user's compliance and engagement?	69%
2.4.2. Does reviewing focus sufficiently on supporting the service user's desistance?	63%
2.4.3. Does reviewing focus sufficiently on keeping other people safe?	49%

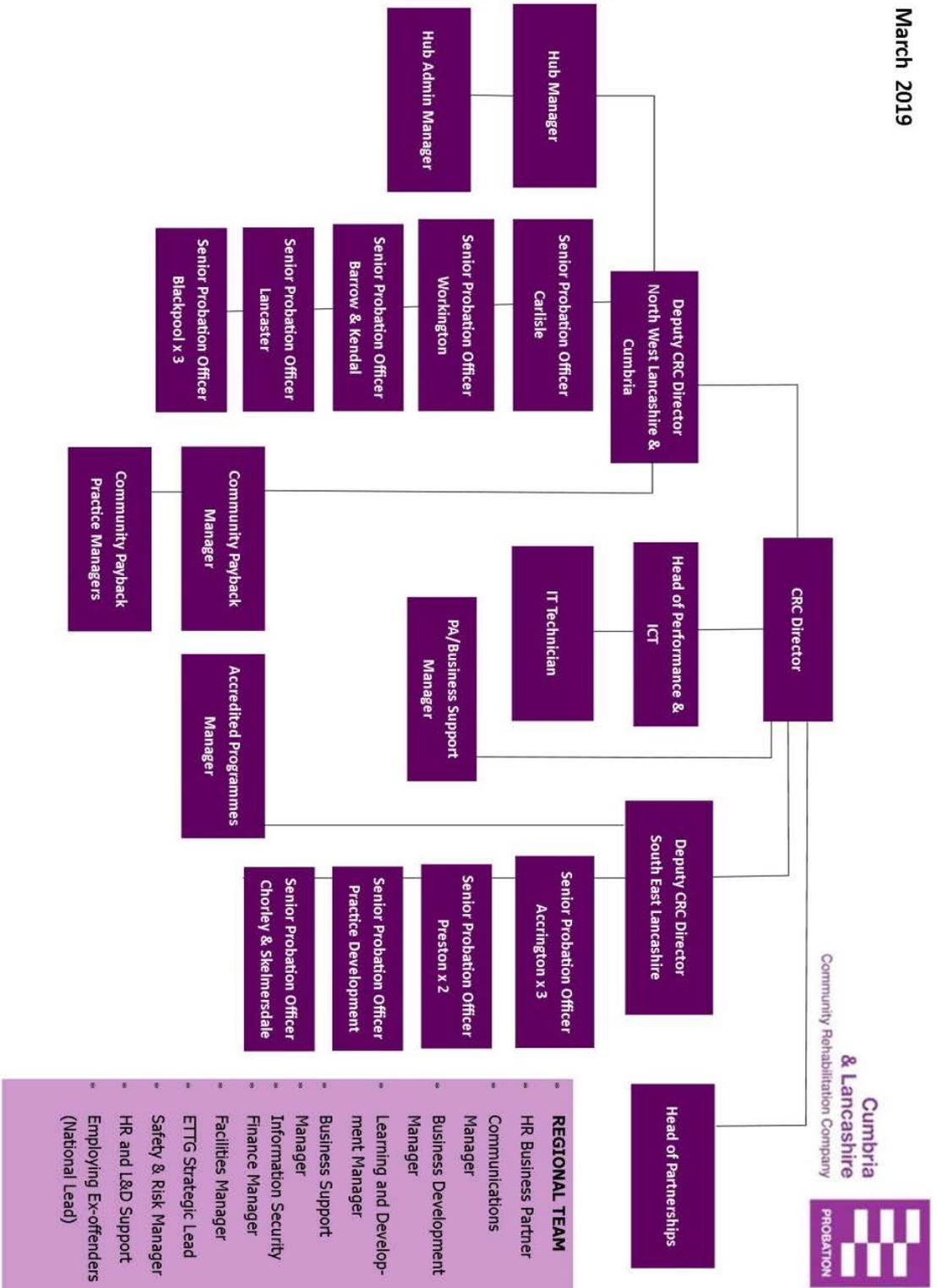
4. CRC-specific work

Standard/Key question	Rating/% yes
4.1. Unpaid work	Inadequate
Unpaid work is delivered safely and effectively, engaging the service user in line with the expectations of the court	
4.1.1. Does assessment focus on the key issues relevant to unpaid work?	24%
4.1.2. Do arrangements for unpaid work focus sufficiently on supporting the service user's engagement and compliance with the sentence?	61%
4.1.3. Do arrangements for unpaid work maximise the opportunity for the service user's personal development?	29%
4.1.4. Is the sentence of the court implemented appropriately?	68%
4.2. Through the Gate	Requires improvement
Through the Gate services are personalised and coordinated, addressing the service user's resettlement needs	
4.2.1. Does resettlement planning focus sufficiently on the service user's resettlement needs and on factors linked to offending and desistance?	70%
4.2.2. Does resettlement activity focus sufficiently on supporting the service user's resettlement?	56%
4.2.3. Is there effective coordination of resettlement activity?	52%

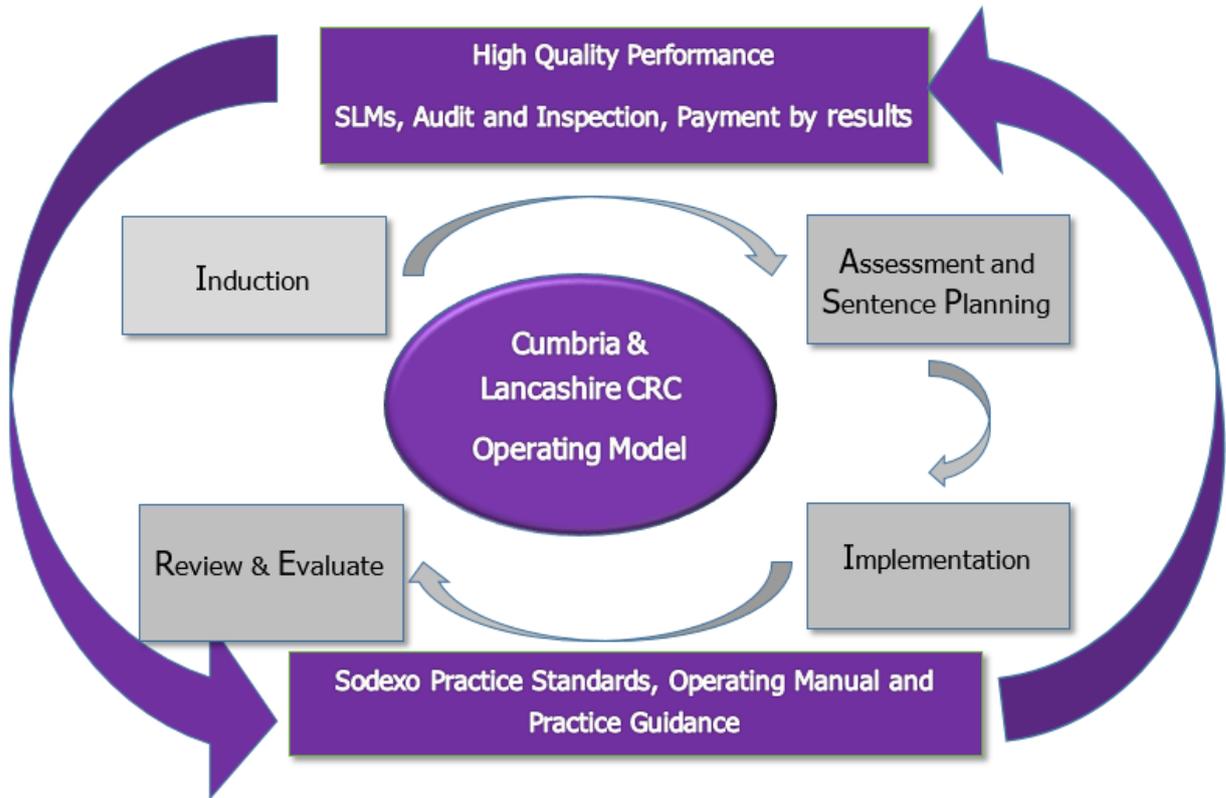
¹⁷ In arriving at the rating for reviewing, we have exercised professional discretion, lifting the rating from inadequate to requires improvement, so as to take into account wider evidence gathered about this particular aspect of practice.

Annex 3: Operating model and map

March 2019



The Operating model in practice



All cases or requirements assigned to the CRC are received through nDelius by the centralised administrative team based at the Hub. All Community Orders and SSOs with standalone Unpaid Work and Attendance Centre requirements which are not already current to the field ROs are managed from the Hub. All other cases are sent to the relevant field Team Manager for allocation to a Responsible Officer. The relevant manager determines which Responsible Officer will hold the case based on grade, workload, skills and experience and also determines the “colour band” to be assigned. Decisions regarding the allocation of colour banding are primarily based on an assessment of risk of serious harm and risk of reoffending predicated on the principles of “resource follows risk” as follows:

Colour Banding Allocation Guidance

Decisions in regard to the allocation of colour banding are primarily based on an assessment of risk of serious harm and risk of reoffending as set out in the allocation matrix. However, the additional guidance should also be utilised to ensure the issues of complexity and offence/sentence type are also considered.

Risk of Reoffending			
Very High RoR Indicative OGRS 3 90-100. IOM nominal	Red Structured assessment followed by high intensity rehabilitation and social reintegration interventions/ motivational work. Sentence Plan delivered via multi-agency partnership arrangements	Red Structured assessment followed by high intensity rehabilitation and social reintegration interventions/ motivational work. Sentence Plan delivered via multi-agency partnership arrangements Delivery of a robust Risk Management Plan	
High RoR based on OGRS/ Professional Judgement Indicative OGRS 50-89	Yellow Structured assessment followed by rehabilitation and social reintegration interventions/ motivational work.	Blue Structured assessment followed by high intensity rehabilitation and social reintegration interventions/ motivational work. Delivery of a robust Risk Management Plan	
Low RoR based on OGRS/ Professional Judgement. Indicative OGRS 3 0-49	Green Structured assessment followed by a focus on social integration by supply chain.	Yellow Structured assessment followed by rehabilitation and social reintegration interventions/motivational work. Delivery of a robust Risk Management Plan.	
	Low RoSH	Medium RoSH	Risk of Serious Harm

Allocation to Yellow :

Any case could be allocated to Yellow on the basis of professional judgement with particular reference to risk of harm/reoffending and complexity of need. However, the following should be allocated to Yellow as a minimum:

- DRRs, ATRs and MHTRs
- Where a young person has identified adverse childhood experiences (ACEs).
- Involvement in serious organised crime even on the periphery.

Automatic Allocation to Blue (Red if very high RoR or IOM nominal):

- Safeguarding - Child Protection Plan in place.
- Sex Offenders
- Prevent Cases

Consider Allocation to Blue (Red if very high RoR or IOM nominal):

Any case could be allocated to Blue on the basis of professional judgement but particular consideration should be given in the following cases:

- Safeguarding – child concern, child in need
- Domestic Abuse
- Hate Crime
- Complex Mental Health

Automatic Allocation to Red

All IOM nominals should be allocated to Red

Available Services - Service User Journey

<p>Induction and individual contracting</p> <p>Ref. CL CRC Operating Manual Chapter 4</p>	<p>Completion Layer 3 OASys including the following:.</p> <p>Functional Assessment to ensure investigative approach to offence analysis</p> <p>RMP informed by completion of Risk Map</p> <p>Sentence Plan with SMART objectives to manage risk of harm, reduce likelihood of reoffending and ensure sentence is delivered</p> <p>Ref. CL CRC Operating Manual Chapter 5 and Chapter 6</p>	<p>Motivational interviewing integrated into group and 1-1 delivery, incorporating SEEDS and desistance principles</p> <p>Ref. CL CRC Operating Manual Chapter 5 and Chapter 10</p> <p>Ref Staff Guide to Interventions</p>	<p>Non-accredited Group Work Programmes</p> <p>Vision (for women)</p> <p>ACE - Attendance Centre Engagement (for men)</p> <p>Domestic Abuse (Safer Relationships)</p> <p>Conflict Resolution</p> <p>Stress Resilience</p> <p>Emotional Resilience</p> <p>Hate Crime – Low Intensity</p> <p>Hate Crime – High Intensity</p> <p>Think Victim</p> <p>Restorative Justice</p> <p>Drug Awareness</p> <p>Alcohol Intervention</p> <p>Drink Impaired Drivers</p> <p>Targets for Effective Change</p> <p>Compliance Ref Staff Guide to Interventions</p>	<p>Accommodation Employment,</p> <p>Training and Education</p> <p>Services for Women Mentoring</p> <p>Finance and Debt</p> <p>Other partner agencies (supplementary activities)</p> <p>Ref. Staff Guide to Interventions</p>	<p>Delivery of RMP, ensuring victims/potential victims are prioritised; RMP to include the following where appropriate:</p> <ul style="list-style-type: none"> • Safeguarding checks • DA Checks • Home Visit <p>Ref. CL CRC Operating Manual Chapter 5 and Chapter 6 Ref. CL CRC Risk and Public Protection Manual</p>	<p>Levels of contact – face-to-face and structured telephone contact where appropriate.</p> <p>Encourage engagement and compliance Enforce appropriately</p> <p>Ref CL CRC Operating Manual Chapters 9, 10, 11, 12 and 15</p> <p>See practice standards chapter 10</p>	<p>Ongoing Review of progress against RMP and SP objectives; Review OASys/Justice Star after significant event</p> <p>Reference CL CRC Operating Manual Chapter 5</p> <p>See practice standards chapter 10</p>
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Cumbria & Lancashire CRC has 6 operational partners which offer a diverse range of services which form an integral part of the operational service delivery. These are:



Shelter helps millions of people every year struggling with bad housing or homelessness through their advice, support and legal services. In addition they campaign to make sure that, one day, no one will have to turn to them for help. They help people in need with expert advice and support. Shelter provide assistance with accommodation, finance and debt advice to Service Users in HMP Kirkham, HMP Preston, HMP Lancaster Farms, HMP Haverigg and HMP Styal. Shelter also provide the services above, to Service Users in the Community, covering Lancashire and South Cumbria (Kendal and Barrow). In addition, Shelter provide a Mentoring Service to the Community cohort in Lancashire.



Lancashire Women believe that Every Woman Counts. They are there for all women, working to ensure that they can achieve their potential, develop their assets and skills and live safe, healthy and prosperous lives. Lancashire Women provide a broad range of support services within the community to address women's needs, ranging from substance misuse, health and mental well-being and social networks to accommodation, debt advice and self-management skills. There are 12 female only specialist centres across Cumbria and Lancashire, providing assistance and training to the female cohort.



Humankind – Cumbria Offender Services is part of a humanitarian tradition of independent voluntary organisations that are concerned with the welfare of others and dedicated to improving the lives of those who receive their services. Humankind offers a range of services throughout North and West *Cumbria*, which aim to meet the needs of homeless people, those who are threatened with homelessness and those who have other accommodation difficulties. Services include temporary *supported* accommodation, permanent housing and benefits related advice.



The Prison Advice and Care Trust (Pact) is a national charity that provides support to prisoners, people with convictions, and their families. They support people to make a fresh start, and minimise the harm that can be caused by imprisonment on people who have committed offences, on families and on communities. Pact provide family related services to Service Users in HMPs Lancaster Farms and HMP Preston.



Cumbria & Lancashire Employment, Training & Education Team provide tailored support to help service users find work, access training or education and improve their career prospects. They do this by helping service users to keep an existing job, find and apply for jobs and volunteering opportunities, access education, training and skills development courses, develop an awareness of the local labour market, improve their employability by giving advice on CV's and job applications, job search skills, interview techniques and the disclosure of offences to potential employers, develop their confidence and motivation and help in accessing suitable funding streams.



User Voice believes that their role is to improve rehabilitation through collaboration. They believe that rehabilitation is possible, and people with convictions can turn their lives into an active force for good in society. Rehabilitation is the goal

of all our work, a process which goes deeper than reducing offending, although that is an outcome. User Voice build the structures that enables productive collaboration between service users and service providers. They are able to do this because their work is led and delivered by ex-offenders. This provides the special ability to gain the trust of, access to, and insight from people within the criminal justice system. User Voice coordinates the Service User Council. The Council meets quarterly and membership consists of a combination of Cumbria and Lancashire CRC employees and Service User representatives.

Further information can be obtained from the website: www.clcrc.co.uk.

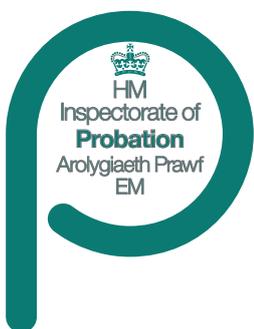
Annex 4: Glossary

Accredited programme	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
Approach	The overall way in which something is made to happen; an approach comprises processes and structured actions within a framework of principles and policies
Assessment	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
Barriers	The things that make it difficult for an individual to change
Breach (of an order or licence)	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
Building Better Relationships	A nationally accredited group work programme designed to reduce reoffending by adult male perpetrators of intimate partner violence
Child protection	Work to make sure that all reasonable action has been taken to keep to a minimum the risk of a child coming to harm
Cluster	A grouping of adjacent local delivery units to assist in administration and monitoring
CRC	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
Criminal justice system	Involves any or all of the agencies involved in upholding and implementing the law – police, courts, youth offending teams, probation services and prisons
Desistance	The cessation of offending or other antisocial behaviour
Diversity	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
Enforcement	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

ETE	Education, training and employment: work to improve an individual's learning, and to increase their employment prospects
HMP/YOI	Her Majesty's Prison/Young Offender Institution
Host CRC	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
ICT	Information and communications technology
Intervention	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 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
IOM	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
Lead host	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
Licence	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
MAPPA	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

Mentoring	The advice and guidance offered by a more experienced person to develop an individual's potential
nDelius	National Delius: the approved case management system used by the CRCs and the NPS in England and Wales
NPS	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
OASys	Offender Assessment System: currently used in England and Wales by the CRCs and the NPS to assess the risks and needs of offenders under supervision
Offender management	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
Partners	Partners include statutory and non-statutory organisations, working with the participant/offender through a partnership agreement with a CRC or the NPS
PO	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
PQiP	Probation Qualification in Probation
Providers	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
PSO	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
Rate card	A directory of services offered by the CRC for the NPS to use with its offenders, detailing the price
Responsible officer	The term used for the officer (previously entitled 'offender manager') who holds lead responsibility for managing a case

Safer Relationships	A specified activity, to reduce reoffending for men who have committed offences in a domestic abuse context
Stakeholder	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
Through the Gate	Through the Gate services are designed to help those sentenced to more than one day in prison to settle back into the community on release and receive rehabilitation support so that they can turn their lives around
Unpaid work	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
Women's centre	A centre dedicated to services for women. This may include education, training and interventions to help with confidence and self-esteem



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

ISBN: 978-1-84099-869-6