



Her Majesty's
Inspectorate of
Probation

2018/2019 inspections of probation services: summary report

HM Inspectorate of Probation

OCTOBER 2019

We would like to thank all those who participated in any way in our inspections. Without their help and cooperation, the collation of inspection data 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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The HMI Probation Research Team can be contacted via HMIProbationResearch@hmiprobation.gov.uk

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Foreword



Over the past year, Her Majesty's Inspectorate of Probation has been completing one of the most intensive programmes of inspection it has ever undertaken. For the first time it has inspected every probation service in England and Wales within a 12-month period and given each one an overall rating for the quality of service they are delivering.

The inspections were conducted using a new set of quality standards, launched in the spring of 2018, after extensive consultation with the probation service itself. As I have found on my own visits, these standards have

been widely welcomed as encapsulating what a good probation service should look like and many probation leaders are now evaluating their own practice against them.

Over the course of 12 months HM Inspectorate of Probation inspected all 28 probation services in England and Wales. Our Inspectors conducted hundreds of site visits and thousands of interviews and have analysed nearly 6,000 individual cases, including interviews with over 1,900 probation officers and probation service officers responsible for supervising those cases. I am grateful to them, and to all of the probation staff they spoke to, for their help with this formidable undertaking.

In the course of our inspections we have found a clear difference in performance between the National Probation Service (NPS) and Community Rehabilitation Companies (CRCs), with five of the seven NPS divisions rated 'Good' but only one out of the 21 CRCs falling into this category. This reflects some of the well-documented flaws in the *Transforming Rehabilitation* model for funding and organising probation services identified by my predecessor, which have resulted in a significant shortfall in funding for supervision of what is often a highly chaotic and difficult to manage cohort of offenders.

This has had a particularly significant impact on the workload of frontline probation officers and probation services officers. Average caseloads for CRC probation officers were far higher than for the NPS, with over two-thirds of probation staff managing more than 50 cases, compared to just one in 20 staff in NPS divisions. And we found that across all inspections, less than half of responsible officers felt they had reasonable workloads.

The sheer volume of work can make it difficult for probation staff to maintain high standards and can impair judgment. High workloads can also contribute to stress and sickness levels. In some organisations, this has led to additional pressures on the remaining workforce as they cover for absent colleagues.

High workloads may also be impacting on the way that risk to the public is being managed. Our inspectors found a particularly large gap between the NPS and CRCs in relation to work to protect the public from serious harm. More than half of the inspected CRC cases did not pay sufficient attention to this issue in the way that sentence plans were developed, delivered or reviewed. And overall scores on this aspect of performance were up to 25 percentage points lower for CRCs than for the NPS.

I welcome the reforms to the probation service that the government has announced and hope they will re-establish the twin aims of probation on an equal footing – services must protect the public as well as reduce reoffending.

In relation to the National Probation Service, which supervises the highest risk cases, the Inspectorate rated five NPS divisions as 'Good' and two divisions 'Require improvement'.

Overall, inspectors found NPS divisions were particularly strong at assessing and planning cases, commissioning services to meet individuals' needs, and working with agencies to manage the risks of serious harm and to support service users to stop offending.

But NPS divisions typically scored lower marks in two areas: staffing and facilities – with every division being rated as 'Requiring improvement' on staffing. There is a national shortage of qualified probation officers and many divisions have found it difficult to recruit and retain staff. The quality of premises also fell below expectations, and did not always provide a safe and secure environment for staff and service users. The Ministry of Justice holds a national contract to maintain facilities, but inspectors found some divisions' sites required hundreds of repairs.

Effective probation services play a vital role in helping individuals to turn away from crime and towards more positive and productive futures. Probation staff are often dealing with people who have complex and multiple needs, and the work that they do matters not just to individuals, but also to their families, communities and society at large. Over the past year, we have shone a light on the quality of work in each probation service. I am confident that probation leaders have the skills and motivation needed to respond to the issues we have raised. In my discussions with them since taking over this role, I have been heartened by the continuing commitment they are showing to improving quality and better protecting the public, in spite of the challenges they face. We will be inspecting all 28 organisations again over the next 18 months and I look forward to seeing if and how this positive commitment translates into improvement on the ground.

A handwritten signature in black ink that reads "Justin Russell". The signature is written in a cursive, flowing style.

Justin Russell
HM Chief Inspector of Probation

Executive summary

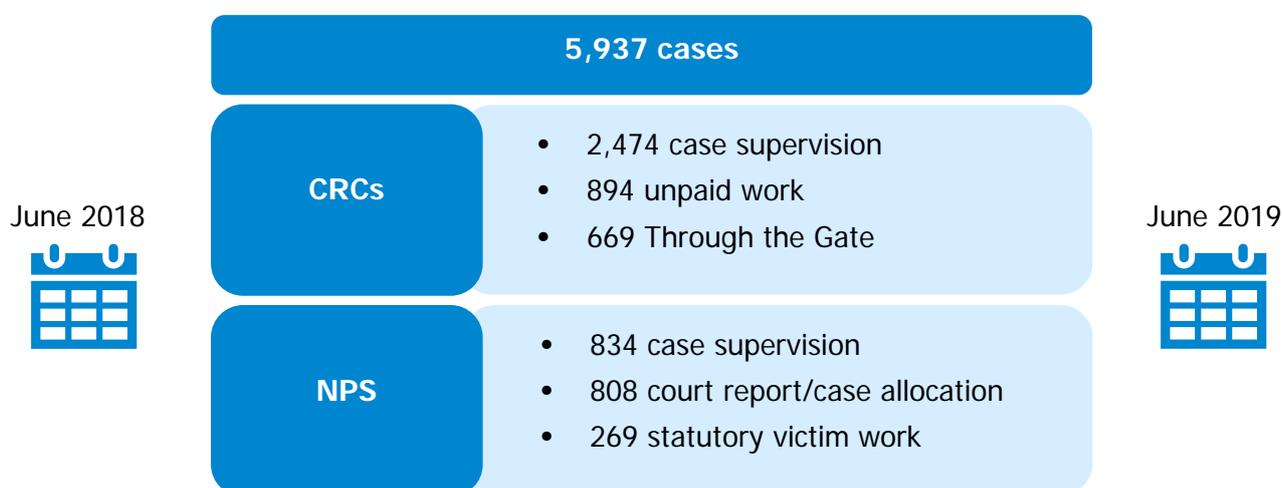
Context

Probation services can make a big difference to those receiving them and to wider society, with around 260,000 adults supervised annually. Probation providers supervise individuals serving community orders, deliver resettlement services while individuals are in prison, and supervise for a minimum of 12 months all individuals released from prison. It is a complex social service, and is currently provided by a publicly owned National Probation Service (NPS) and 21 privately owned Community Rehabilitation Companies (CRCs).

Our inspection programme

We commenced a new probation inspection programme in 2018, introducing inspection standards and ratings grounded in evidence, learning and experience. Together, these standards and ratings set out clearly our expectations for probation provision, forming the basis for transparent, evidence-based and independent inspection.

By the end of June 2019, we had completed the fieldwork for a full round of probation inspections, covering all seven NPS divisions and all 21 CRCs. Across these inspections, we examined approximately 6,000 cases. While the NPS manages all those who present a high or very high risk of serious harm, almost seven in ten of the CRC service users in our main sample presented a medium risk of serious harm. The CRC and NPS service users were also very similar in terms of their likelihood of reoffending. These profiles clearly reinforce the importance for all providers to deliver a quality service in relation to supporting both rehabilitation/desistance and the safety of other people.



Key findings and implications

CRCs

Strengths

- (i) Leadership: mission-driven leaders working hard to deliver well
- (ii) Facilities: delivery in some modern and appealing offices, as well as community hubs and other community settings
- (iii) Unpaid work: overall, work being delivered safely and effectively

Areas for improvement

- (i) Public protection work: insufficient focus on the risks of harm presented by individual service users
- (ii) Staff workloads: high caseloads impacting upon the ability of staff to assist and support service users
- (iii) Through the Gate delivery: many service users' resettlement needs not being met

NPS

Strengths

- (i) Assessment and planning: meaningful engagement of service users and identification/ prioritisation of relevant factors
- (ii) Services: commissioning of services aligned to service users' needs
- (iii) Multi-agency working: effective multi-agency working to manage risks of serious harm and support service users' desistance

Areas for improvement

- (i) Staff workloads: staff recruitment and retention challenges in the south west, south east and London, impacting upon workloads
- (ii) Facilities: too many buildings in a state of disrepair and below standard

Review of 2018/2019 probation ratings

- None of the probation providers achieved an overall rating of 'Outstanding'. We found a clear difference in performance between the NPS and CRCs, with five of the seven NPS divisions rated as 'Good' and 19 of the 21 CRCs rated as 'Requires improvement'.
- At the individual standard level, all the 'Outstanding' and nearly all the 'Good' CRC ratings were achieved in relation to organisational delivery, unpaid work and Through the Gate services. The NPS achieved 'Good' or 'Outstanding' ratings across most of the standards, but there were no such ratings for staff and only one 'Good' rating for information/facilities. The level of probation officer vacancies across the NPS combined with the consistent failures of the facilities management contract, were the main drivers for the staff and information/facilities ratings.
- Across all our inspections, less than half of the interviewed responsible officers felt that their workloads were reasonable. This perception varied markedly between CRCs, but overall CRC caseloads were much higher than NPS caseloads, impacting upon the quality of delivery in individual cases.

- The inspections identified effective multi-agency working to manage the risk of serious harm across the NPS divisions. Such multi-agency working was much more inconsistent across the CRCs, and was deemed insufficient in about half of the cases we inspected. Wales had clearly benefited from the coterminosity of key agencies, with these agencies building upon the collaborative environment created under the Welsh Government.

Delivery against the high-level expectations for probation services

- *Providing advice to courts*
The quality of the reports delivered to courts across the NPS was identified as requiring improvement in just one NPS division; otherwise it was assessed as 'Good' or 'Outstanding'. A key component of comprehensive assessment is, however, the consideration of victims and potential victims, and this was less consistent. The majority of reports are now delivered on the same day as the assessment, and we found that information requested from other agencies, including the police and children's social care services, was often not shared in the time necessary to be included in the reports.
- *Delivering and enforcing the order of the court*
NPS divisions and many CRCs were good at engaging service users in their post-sentence assessments. However, contact prior to release in custody cases managed by the CRCs was more often than not insufficient.
- *Supporting rehabilitation and desistance*
Probation providers work to support service users' desistance, and our inspections found the most room for improvement with those who present a high or very high likelihood of reoffending. These individuals tend to have chaotic, unstable lives and multiple needs, requiring interventions which are integrated and combine holistically.
- *Supporting resettlement*
Delivery of resettlement activity was generally disappointing, with less than two-thirds of CRC resettlement services delivered in line with individual's priority resettlement needs.
- *Protecting the public from serious harm*
CRC case supervision ratings were pulled down by poor performance in terms of public protection; the overall percentage scores for CRCs were between 18 and 25 percentage points lower than for the NPS. The focus of the *Transforming Rehabilitation* reforms on reducing reoffending, with financially-linked contractual requirements and targets, have failed to direct CRCs to what we know to be good practice in managing risks of harm.
- *Engaging with victims*
Our inspections found that the services delivered to victims were generally good across the NPS, although one division required improvement. Two divisions were rated as 'Outstanding'.

These findings, and the others set out below, help to demonstrate to providers where they are performing well and where they can improve. We will begin publishing findings from our round two inspections early next year, setting out clearly any changes in performance from

our 2018/2019 inspections.¹ Notably, two NPS divisions and four CRCs were just one or two points away from an overall 'Good' rating. In our view, making up this ground would be an achievable improvement for at least these six providers in our next round of inspections.

¹ We have made some changes to our inspection standards, e.g. a clearer link between our judgments on organisational delivery and the data from our reviews of individual cases, and we will take these changes into account when analysing changes in performance. For further information on the changes, see <https://www.justiceinspectorates.gov.uk/hmiprobation/probationinspectionchanges20192020/>.

1. Introduction

1.1 Probation services

Around 260,000 adults are supervised by probation services annually. 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.²

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 NPS and 21 privately owned CRCs that provide services under contract. The government has announced its intention to change these arrangements, and has given notice to CRCs that it will terminate their contracts early, by Spring 2021, with responsibility for offender management passing to the NPS at that point.³

The NPS advises courts on sentencing all offenders, and currently 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.

1.2 Our inspection programme

We commenced a new probation inspection programme in 2018 with the following features:

- an increase in the frequency of inspection to an annual inspection cycle
- the introduction of evidence-based inspection standards
- the introduction of ratings
- the change of unit of inspection to NPS division and CRC
- an increase in case sample sizes.

Our standards framework focuses upon those key 'inputs' and 'activities' which are the drivers of positive outcomes. Getting to the heart of current probation delivery through on-site inspection is where we believe we add most value – based on our independence and the expertise/experience of our inspectors, we can uniquely focus on the effectiveness of work with individual service users. Various outputs and outcomes are measured by the Ministry of Justice and HM Prison & Probation Service (HMPPS), and we see our work as complementary. Without high-quality inputs (such as professional staff and comprehensive services) and activities (such as case assessment and individual supervision), probation providers are less likely to meet the enduring aims for probation.

² 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.

³ Offender management responsibilities are due to be transferred earlier in Wales – by the end of 2019.

We introduced an overall (composite) provider rating, and ratings at the standard level. The overall rating is the prime measure of the quality of the service, while the ratings at the standard level enable providers to identify where they should focus their efforts, helping them to improve the quality of service and any future overall rating.

Together, our standards and ratings set out clearly our expectations for probation provision, forming the basis for transparent, evidence-based and independent inspection. Further information on our standards and ratings is provided in Annex A.

1.3 2018/2019 inspections and case samples

We completed a full round of probation inspections between June 2018 and June 2019 (see Annex B for the sequencing of these inspections and a summary of the inspection methodology). Across these inspections, we inspected 5,937 cases, broken down as follows:⁴

- 3,308 community order or post-release cases (834 NPS and 2,474 CRC)
- 808 NPS court reports and case allocations
- 269 NPS cases where there was a statutory responsibility to work with victims⁵
- 894 CRC cases delivering unpaid work
- 669 CRC cases delivering Through the Gate services.

We present findings from these case assessments in this summary report,⁶ alongside good and poor practice examples.

Details about the case samples themselves are set out in Annex D. Focusing upon our case supervision sample, about three in ten (29 per cent) service users were assessed as having a high/very high likelihood of reoffending and more than one in ten (14 per cent) presented a high/very high risk of serious harm. There were current concerns in relation to domestic abuse (as a perpetrator) in more than four in ten (42 per cent) of the cases.

Comparing the CRC and NPS cases within this case supervision sample, CRC service users were more likely to be female, White, and subject to a community sentence. As noted above, the NPS manages all those who present a high or very high risk of serious harm or who are managed under MAPPA. However, almost seven in ten (68 per cent) of the CRC service users still presented a medium risk of serious harm – with concerns in relation to domestic abuse and child safeguarding/protection in 41 per cent and 32 per cent of these cases respectively. The CRC and NPS cases were also very similar in terms of likelihood of reoffending, with 47 per cent of both sub-samples having a drug misuse need linked to their offending. These figures reinforce the importance of high-quality service delivery across all probation providers in relation to both: (i) supporting service users' desistance; and (ii) supporting the safety of other people.

⁴ See Annex D for the service user profiles within these case samples.

⁵ In addition to these cases, we examined a subset of our case supervision sample to look at the immediate pre-release period.

⁶ Annex F sets out which parts of the standards framework have been used in each of the figures presented.

2. Review of 2018/2019 probation ratings

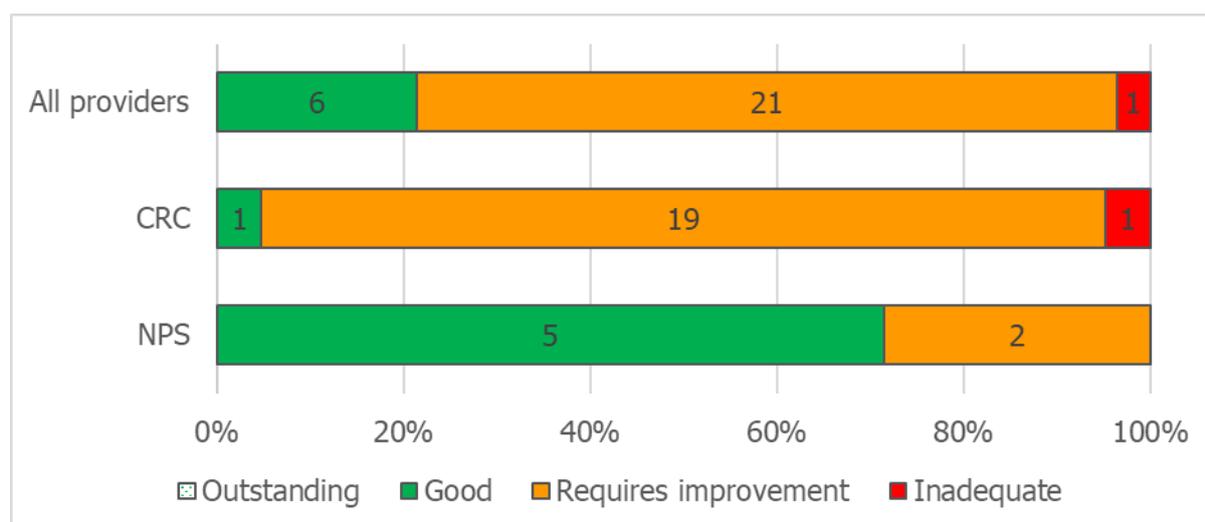
In this section, we provide a review of all our NPS and CRC inspection ratings for 2018/2019, including those at an organisational level. Section three then presents more detailed findings in relation to the high-level expectations for probation service delivery.⁷

2.1 Distributions of ratings

As shown by Figure 2.1, we found a clear difference in overall performance between the NPS and CRCs, with five of the seven NPS divisions rated as 'Good' and 19 of the 21 CRCs rated as 'Requires improvement'.

This was the first year of our new inspection standards and we found that two NPS divisions and four CRCs in the 'Requires improvement' category were just one or two points away from an overall 'Good' rating. In our view, making up this ground would be an achievable improvement for at least these six service providers in our next round of inspections.

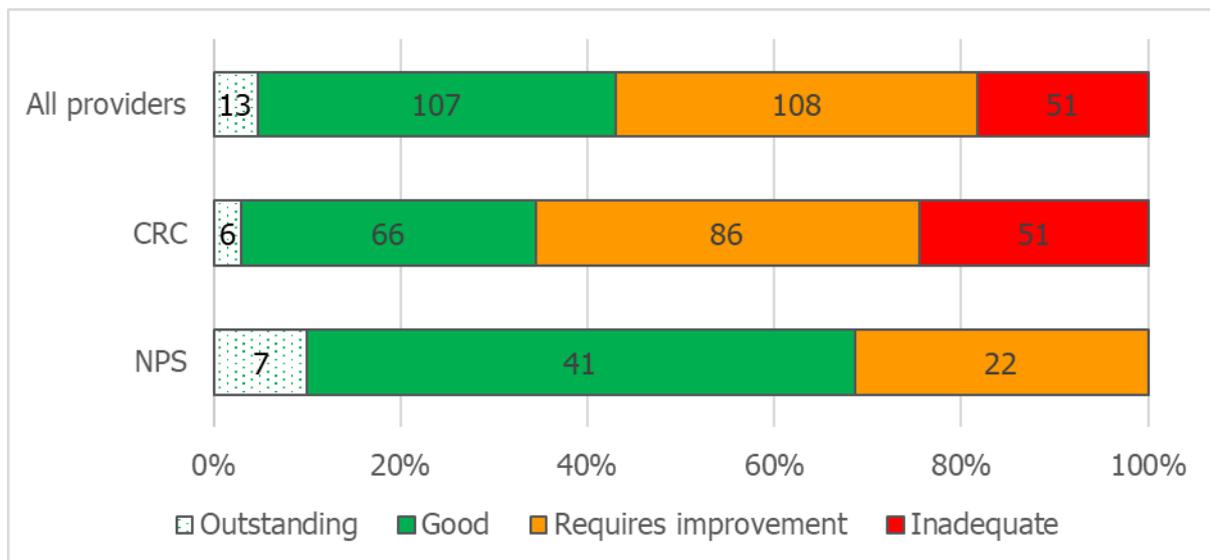
Figure 2.1: Overall provider ratings



Every probation provider was rated against 10 different quality standards, generating a total of 280 ratings across the 28 providers. Figure 2.2 presents an analysis of all these standard-level ratings. While greater variance can be seen at this level, it is noticeable that only 13 of the 280 ratings were 'Outstanding'. At the other extreme, there were no 'Inadequate' ratings for any of the NPS divisions. All 51 'Inadequate' ratings came from CRC inspections.

⁷ See Annex C for an overview of these high-level expectations.

Figure 2.2: Ratings at standard level



The full breakdown of ratings for each individual provider is set out in Figure 2.3. As can be seen, the NPS achieved 'Good' or 'Outstanding' ratings across most of the standards, but there were no such ratings for staff and only one 'Good' rating for information/facilities. For the CRCs, all the 'Outstanding' and nearly all the 'Good' ratings were achieved for organisational delivery, unpaid work and Through the Gate services.

Figure 2.3: 2018/2019 ratings table

Probation inspection ratings and composite scores

-  Outstanding (3)
-  Good (2)
-  Requires improvement (1)
-  Inadequate (0)
- NR = not rated

Service inspected	Type	Published	Overall rating	Composite score	1. Operational delivery				2. Case supervision				3. NPS specific		4. CRC specific	
					1.1 Leadership	1.2 Staff	1.3 Services	1.4 Information and facilities	2.1 Assessment	2.2 Planning	2.3 Implementation and delivery	2.4 Review	3.1 Court reports and case allocation	3.2 Statutory victim work	4.1 Unpaid work	4.2 Through the Gate
Midlands Division	NPS	18/12/2018		21												
Wales	NPS	17/04/2019		20												
North West	NPS	22/02/2019		19												
North East	NPS	26/06/2019		18												
South West South Central	NPS	01/11/2018		16												
Hampshire & Isle of Wight	CRC	08/05/2019		16												
London	NPS	22/05/2019		15												
London	CRC	21/08/2019		15												
Kent, Surrey and Sussex	CRC	19/06/2019		15												
South East and Eastern	NPS	04/09/2019		15												
Essex	CRC	10/10/2018		14												
South Yorkshire	CRC	27/03/2019		14												
Derbyshire, Leicestershire, Nottinghamshire and Rutland	CRC	23/01/2019		13												
Durham Tees Valley	CRC	06/03/2019		13												
Warwickshire and West Mercia	CRC	17/07/2019		13												
Humberside, Lincolnshire and North Yorkshire	CRC	21/02/2019		12												
West Yorkshire	CRC	31/10/2018		11												
Thames Valley	CRC	28/11/2018		11												
Merseyside*	CRC	26/09/2018		11											NR	
Wales division of Kent, Surrey and Sussex	CRC	03/07/2019		11												
Northumbria	CRC	07/11/2018		10												
Cheshire and Greater Manchester	CRC	03/04/2019		10												
BeNCH	CRC	03/05/2019		10												
Norfolk & Suffolk	CRC	11/09/2019		10												
Staffordshire & West Midlands	CRC	19/12/2018		9												
Cumbria and Lancashire	CRC	30/05/2019		7												
Bristol, Gloucestershire, Somerset and Wiltshire	CRC	25/09/2019		6												
Dorset, Devon and Cornwall	CRC	20/02/2019		5												

*The score for Merseyside CRC is understated compared to other CRCs, because we were unable to evaluate the quality of unpaid work at the time of the inspection.

Five of the six CRC 'Outstanding' ratings related to organisational delivery; the rationale for three of these ratings is provided in these examples:

Good practice example: leadership
Durham Tees Valley (DTV) CRC

Inspectors described DTV as being 'built on a solid platform', with nine in ten interviewed staff believing there was a clear vision and strategy in place for delivering high-quality services. This approach had been developed with input from the whole staff team. As such, they welcomed the values and ethos at the heart of the organisation – that is, to provide high-quality services that meaningfully address the needs of participants,⁸ promote rehabilitation, and protect the public. In line with this, staff were required to spend the majority of their time in face-to-face contact with participants in locations which were community based and accessible. Inspectors found that this approach particularly helped staff to address diversity factors.

Staff involvement in setting priorities had been maintained over time, and much innovative practice originated from the staff themselves. The investment made by the CRC in their staff was exemplified through a number of external accreditations, including the Investors in People award which signifies promising workforce engagement. Clear policies and practice guidelines had given staff the confidence to perform their roles, and risks to the organisation were well understood and mitigated or addressed.

Positive staff views on DTV leadership were clearly illustrated in a recent staff survey. Overall, staff reported feeling that the organisation was run on strong values and principles, that they had confidence in the leadership skills of managers, and that managers regularly expressed their appreciation for good work. Staff also reported feeling proud to work for DTV CRC.

Good practice example: staff
Bedfordshire, Northamptonshire, Cambridgeshire & Hertfordshire (BeNCH) CRC

Inspectors were impressed to find that both staff and managers consistently spoke with enthusiasm about their work and employer, demonstrating commitment to making a difference with service users. Eight in ten interviewed responsible officers believed that quality was prioritised in the service, and over nine in ten responded that they had the skills and ability to provide a high-quality service.

The workforce was relatively experienced, with two-thirds of current staff having been with the CRC for over two years. Having acknowledged some challenges in recruiting and retaining staff, leaders had worked hard to bring the workforce levels to full complement and reduce the previously high use of agency staff. The well-developed workforce planning strategy included employing former service users.

There had been investment in training which was widely available, with nine in ten interviewed staff confirming that they had received sufficient in-service training to undertake their role. Two development programmes designed to train existing CRC staff to transition to frontline practitioner posts had been established, and at the time of inspection, the CRC was supporting six staff members through the Professional Qualification in Probation (PQiP), with more due to commence in 2020. Staff provided very positive feedback in relation to recent training on risk and domestic abuse.

⁸ 'Participants' was the term adopted by the CRC.

Both staff and managers spoke positively about the supervision process. Discussions around learning and development were seen to be well balanced with discussions about current cases, with almost nine in ten interviewed responsible officers stating that their learning was enhanced by the supervision they received. Staff wellbeing was well supported, with managers ensuring that support groups were in place for staff with protected characteristics, together with diversity and inclusion networks. Counselling and additional support services were also available, and there was a good use of staff reward and recognition.

Good practice example: information and facilities Hampshire and Isle of Wight CRC

Current and up-to-date policies and guidance were found to be in place and communicated efficiently, facilitated by a pan-CRC (owner-level) intranet, as well as being cascaded by email and through team meetings. Clear policies were found in relation to case recording, supporting defensible decision-making.

The CRC sought to work with individuals as citizens rather than reinforcing the label of 'offender'. To help achieve this, the reception areas in offices co-located with local authorities had the same look and feel as those for any other member of the public accessing mainstream services. Overall, facilities were found to be of good standard, being accessible to all staff and service users, and supporting a rehabilitative culture, while at the same time meeting the requirements for safety, security, privacy and confidentiality.

There had been improvements in ICT over the past year, with confidence in the hardware having increased. Lessons had been learnt from what had not worked well in the past, and an ICT engineer had been appointed to facilitate many of the improvements. In addition, all operational staff were issued with modern mobile telephones and laptop computers, which were generally perceived by staff as an asset to service delivery.

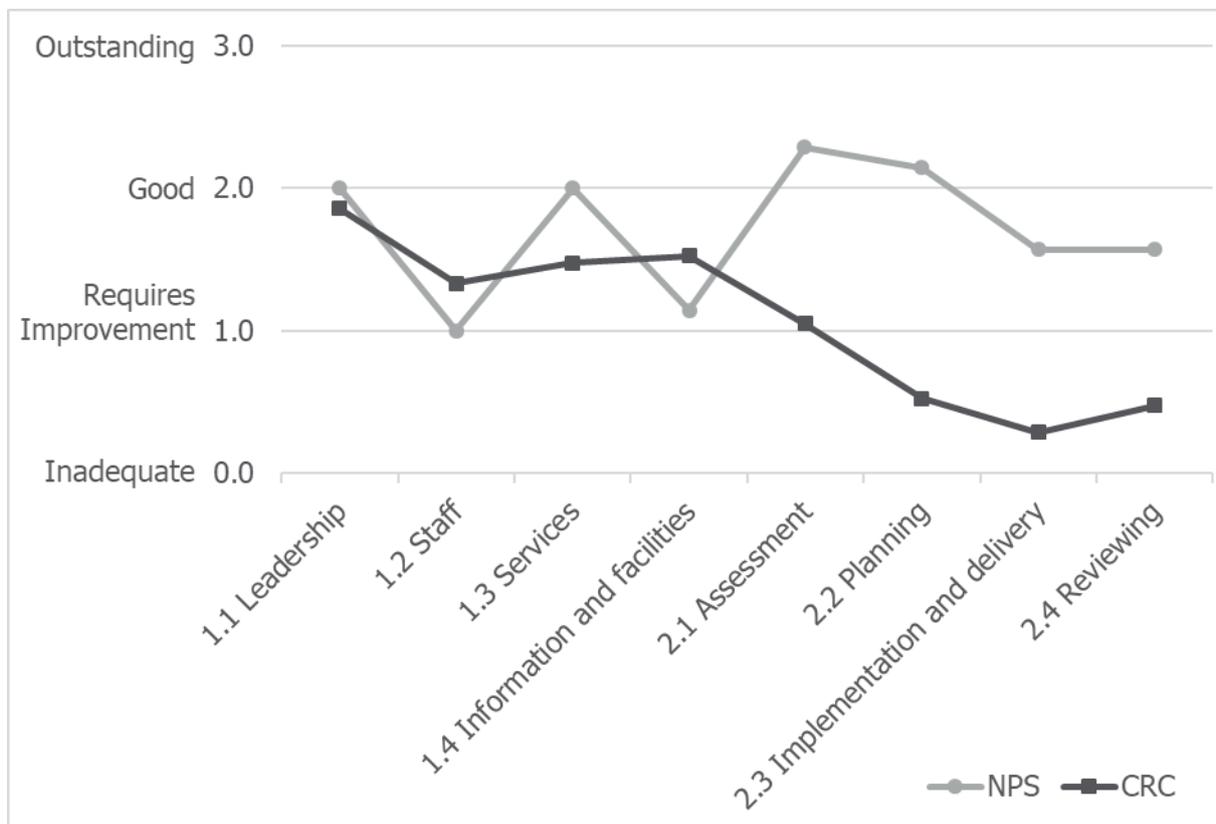
Timely and reliable information was used to monitor performance and drive improvements. A range of approaches had also been used to gain feedback from service users and other stakeholders, with a focus on inclusivity. A programme of evaluative work had been coordinated across the Interserve/Purple Futures CRCs, which had contributed to the review, development and implementation of both accredited and non-accredited interventions.

2.2 Relationship between organisational delivery and case supervision

The inspectorate standards within domains one and two are consistent across our NPS and CRC inspections, with the same four organisational delivery and four case supervision standards. As shown in Figure 2.4, although overall NPS and CRC ratings were broadly similar for domain one, there was much lower CRC performance across the domain two case supervision standards.

The ratings for the domain two standards are each determined by the scores for three key questions, with the lowest percentage score of these three then determining the overall rating given to that standard. If less than half of the cases are judged to have been supervised satisfactorily on any aspect of the standard then a rating of 'Inadequate' is applied. CRC ratings were consistently pulled down by the public protection key questions. As the data in section 3 of this report shows, across all domain two cases, the CRC/NPS difference for these key questions ranged from -18 to -25 percentage points. For two of the key questions, the overall percentages for NPS and CRCs were two rating bands apart.

Figure 2.4: Mean scores at standard level



Our domain one ratings were, in the main, consistent across all seven NPS divisions, partly reflecting the fact that the NPS is a national organisation and the divisions have little or no control over some aspects of their delivery. Leadership and services were all rated as 'Good', while staff and information/facilities were nearly all rated as 'Requires improvement'.⁹ A clear strategy focused on quality and underpinned by an effective delivery plan was identified in all NPS divisions. Services were also commissioned and delivered in line with a comprehensive analysis of service user needs in each division.

⁹ The exception being the 'Good' rating for facilities in the North East division.

Good practice example: services

London NPS Division

Inspectors rated services as 'Good' in the London NPS Division. Staff were found to have a clear understanding of the individuals they supervised, with a needs analysis having been used to identify risk factors and factors supporting desistance. A good level of diversity data was available which had been used to inform the delivery of interventions and support a better understanding of how certain groups were represented in the division's work.

A strategy was in place to provide services for women under supervision, with the division working alongside the Mayor's Office for Policing And Crime (MOPAC) and the London CRC to develop services specific to the needs for women. Services were also available for staff working with individuals demonstrating personality disorder symptoms/traits.

The division had taken steps to tackle the difficult task of finding accommodation for service users, paying for the use of housing advice workers to provide a single point of contact as well as offering direct support to individuals. Staff reported that their experiences of the project had been positive to date.

Inspectors noted that work relating to extremism, serious organised crime and gangs was well developed, supporting both the relevant individuals under supervision, as well as the officers working with them. Early work was also taking place regarding knife-crime initiatives.

Good links were found with external agencies, with leaders and staff being actively engaged in many cross-London and multi-agency initiatives. In relation to supporting the courts, judges spoke highly about the quality of the work delivered in Crown Courts, particularly in relation to the assessment of risk.

The CRC ratings for services were much more varied; twelve 'Good' ratings balanced by seven 'Requires improvement' ratings and two 'Inadequate' ratings.

Poor practice example: services

Dorset, Devon & Cornwall (DDC) CRC

Inspectors rated services as 'Inadequate' in DDC. The CRC was found by inspectors to have a limited understanding of the profile of its service users due to its reliance on historical data or estimates based on anecdotal evidence. As such, it was challenging to ensure that the necessary range of interventions were being commissioned, developed and implemented. While there were various services in place, marked delays were noted in accessing structured interventions due to the lack of trained staff available to deliver these.

While some real strengths were found in the CRC's community hubs as a way of working with service users, one of the hubs closed during the inspection and there was little evidence that the CRC was further developing and extending this promising approach.

Senior managers viewed the current operating environment, with its focus on contract compliance and restrictions on expenditure, as a significant obstacle to maintaining positive inter-agency working. This challenge was also believed to extend to the level of CRC engagement with community safety partnerships. In relation to the courts, sentencers were found to have very low levels of confidence in the work of the CRC, with reasons including accredited programmes not starting on time, poor enforcement of orders, and non-compliances being accepted without sufficient investigation.

The main drivers for the NPS 'Requires improvement' ratings for staff and information/facilities were: (i) the levels of probation officer vacancies, resulting in unreasonably high workloads; and (ii) the consistent failures of the facilities management contract, leading to probation staff working in buildings that were in disrepair. We found that the recruitment and retention of professional staff has been particularly challenging in the south west, south east and London.

Requires improvement example: staff South East & Eastern NPS Division

Inspectors rated staff as 'Requires improvement' in the South East & Eastern NPS Division. Workload levels for probation officers were found to be too high in this division and, as such, undermined service delivery. The division had a shortfall of over 100 POs, and in nine out of ten local delivery units, POs workloads were over 100 per cent on the workload management tool. Unsurprisingly, over half of the interviewed responsible officers reported that their workloads were unmanageable. The shortfall in staff had been partly addressed by the recruitment of agency staff, with further efforts being made to recruit additional workers. In some areas, workload prioritisation plans had been implemented, but the impact of this was described as 'marginal'.

Almost all staff reported that the cases allocated to them were in line with their training and experience. However, concerns were raised that, due to the breadth of senior probation officer responsibilities, it was difficult for them to provide the support required for the effective management of individuals presenting a high risk of serious harm. Competing priorities for the senior probation officers also impeded on their ability to maintain detailed oversight of their teams' caseloads.

Although learning and professional development was promoted within the division, with staff generally reporting they could access appropriate training, the fact that this was mainly online meant that there was little opportunity for reflective discussion. Workload demands also prevented staff from attending training events. Work-based inductions were seen to be inconsistent, and, due to the fact that there was no mandatory refresher training for operational staff, responsible officers were not required to attend training on topics such as risk management or report writing. This was likely to have a detrimental impact on professional development.

NPS scores for case supervision followed a consistent pattern across the divisions. The assessment and planning of cases scored strongly across the seven divisions but there was greater inconsistency in relation to implementation of plans and the reviewing of cases. Although one division was assessed as 'Outstanding',¹⁰ the focus of reviews on keeping people safe was assessed as requiring improvement in four divisions.

The NPS victim work and court work inspected in domain three was generally strong and was the domain with the most 'Outstanding' ratings.

Our understanding of the clear difference between the NPS and CRC ratings is informed by the way contractual requirements drive CRC service delivery. There is no financially-linked contractual requirement in respect of the quality of CRCs' assessment of individual service users. Financial targets focused on (i) turnaround times rather than quality and (ii) rehabilitation and reoffending rates rather than public protection and risk of harm, may be directing providers away from what we know to be good practice. Where assessment is below the required standard, it follows logically that planning, implementation and delivery, and reviewing will also be of poor quality.

¹⁰ The NPS in Wales achieved this rating.

2.3 Caseloads

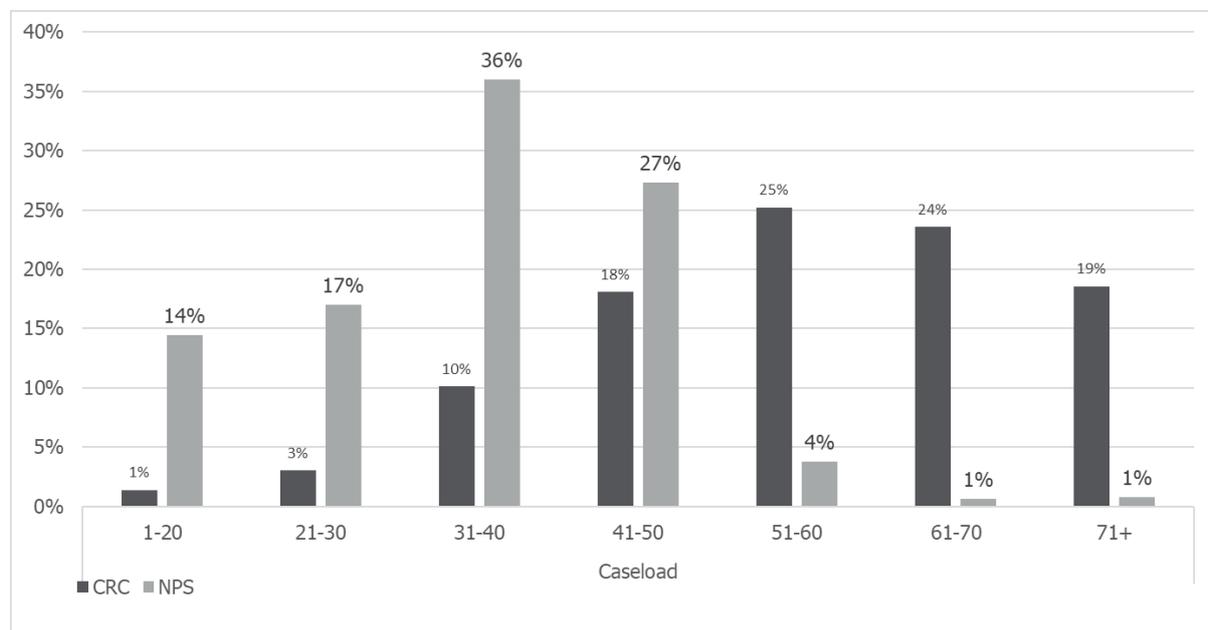
One of our four organisational delivery standards is focused upon staff, with a key question considering whether the staffing and workload levels support the delivery of a high-quality service. Only if workloads are reasonable can individual practitioners produce their best practice, assisting and supporting service users to achieve positive outcomes.¹¹

As part of our 2018/2019 assessments of case supervision, we interviewed over 1,900 responsible officers.¹² Less than half (46 per cent) of these officers felt that their workloads were reasonable, taking into account the profile of their cases and the range of work they were required to undertake. A smaller proportion of CRC responsible officers responded positively: 41 per cent, compared to 57 per cent of NPS officers.

There was notable variability in this response between CRCs, ranging from 16 per cent to 83 per cent. Concerns about this variability were expressed in the recent *Report of the Chief Inspector of Probation*.¹³ For example, while Durham Tees Valley CRC had a stable and experienced workforce with manageable caseloads, the caseloads in Dorset, Devon and Cornwall CRC ranged from 18 to 102 for probation officers and from 14 to 168 for probation service officers.

Notwithstanding these variations, Figure 2.5 demonstrates that, overall, CRC caseloads were much higher than NPS caseloads for those responsible officers we interviewed. Only a small minority (5 per cent) of NPS responsible officers had a caseload in excess of 50, compared to two in three (67 per cent) CRC officers.

Figure 2.5: Caseload numbers



¹¹ We are currently undertaking a research project to develop the evidence base on the optimum caseloads and workloads for probation services. Findings will be published in 2020.

¹² 1,319 CRC responsible officers and 646 NPS responsible officers. Some responsible officers had responsibility for more than one of the inspected cases, but we did not ask subsequent interview questions.

¹³ Accessible here: <https://www.justiceinspectorates.gov.uk/hmiprobation/corporate-documents/report-of-the-chief-inspector-of-probation/>

Unsurprisingly, there was a strong correlation between caseload and the responsible officers' views on whether their workloads were reasonable. As shown by Table 2.1, once caseloads exceeded 50 cases, fewer than half the respondents responded positively. There was also an association between caseload and the quality of delivery in the individual cases inspected. As shown by Table 2.2, for those with 50 or more cases, our inspectors judged that the sentence had been implemented effectively in about seven in ten cases, notably below the rates for those with smaller caseloads.

Table 2.1: RO views on manageability of workload by number of current cases

Caseload	Manageable workload?	
	n	% yes
1-20	109	88%
21-30	146	68%
31-40	357	57%
41-50	405	50%
51-60	349	40%
61-70	308	30%
71+	245	23%

Table 2.2: Inspector judgements on effective implementation of sentence by number of current cases

Caseload	Sentence implemented effectively?	
	n	% yes
1-20	109	90%
21-30	145	86%
31-40	357	85%
41-50	406	79%
51-60	350	72%
61-70	308	72%
71+	244	68%

Our findings on heavy caseloads are not new. In our last inspection programme (inspections completed between March 2016 and December 2017), we found that responsible officers tended to have a strong work ethic but were struggling to maintain high standards due to the sheer volume of their workloads. Terms used to describe their workloads included: "manic", "demanding", "high", "intense", or "relentless". This could result in increased stress and sick leave, leading to even higher workload pressure for remaining staff.

During the interviews we conducted for our 2018/2019 inspections, the pressures felt by many individual responsible officers remained very evident, as illustrated here:

"The responsible officer was close to tears in the interview, describing his situation as unmanageable. He reported that he is currently managing 79 cases but will be receiving an additional nine in the next couple of weeks. Due to the levels of stress he is experiencing, he doesn't feel totally clear in his decision making, feeling as though he flies by the seat of his pants on a daily basis."

"The workload is only manageable because the responsible officer works evenings and weekends for their own peace of mind. In previous

months he reported having a mini-breakdown as the stress was so immense. The choice was to either go off sick with stress, and then put additional strain on other colleagues, or get on with it.”

“I am playing catch up continually and am extremely stressed and completely burnt out... I am overworked, tired and deflated. I love probation and am committed to it but the changes have made me not want to do it anymore. A supportive great team keeps me here.”

2.4 Partnership working

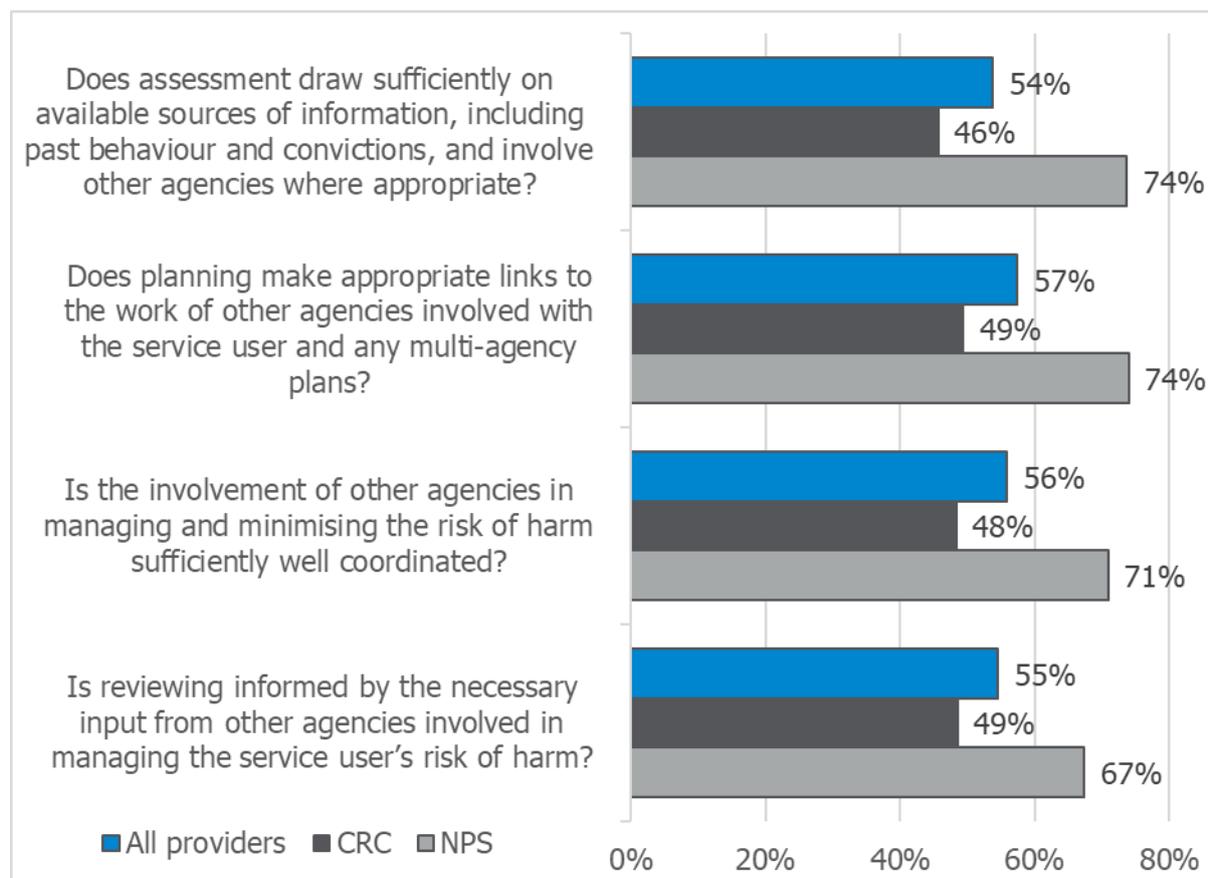
Within our standards framework, we consider whether relationships with providers and other agencies are established, maintained and used effectively to deliver high-quality services. This is underpinned by evidence highlighting the potential benefits from joint working at a local level, involving, for instance, the police, the voluntary sector, health services, and local authorities.

Some service users pose significant risks to the public and these risks are most effectively managed by agencies using their skills and knowledge in a complementary way. Our inspections identified effective multi-agency working to manage the risk of serious harm across all seven NPS divisions. NPS partnership working arrangements are reinforced by its responsibilities under MAPPA, and multi-agency working was found to be effective in managing MAPPA level two and three high risk of harm cases.¹⁴ There was generally good evidence of information exchange with agencies such as the police and children’s social care services, to inform the supervision of cases.

As indicated by Figure 2.6, public protection multi-agency working across the CRCs was much more inconsistent, and was deemed insufficient in about half of the cases we inspected.

¹⁴ The vast majority of MAPPA offenders are managed at level 1 through a single agency. Levels 2 and 3 require inter-agency offender management, with level 3 involving senior management oversight – this is for the “critical few” who pose the greatest danger to society.

Figure 2.6: Proportion of cases judged as sufficient: public protection partnership working



Multi-agency working can also play an important part in supporting desistance through addressing the complex needs of offenders (including but not limited to accommodation, employment, family relationships, education and training, and substance misuse). Probation services should thus work collaboratively with each other, with partners across the criminal justice system, and with organisations in other sectors who can contribute to delivering positive public protection and rehabilitation outcomes. As shown by Figure 2.7, multi-agency working to support service users' desistance was deemed to be sufficient in about three in four of the NPS cases, compared to about three in five of the CRC cases.¹⁵ Figure 2.8 indicates a similar level of performance for the CRCs in relation to Through the Gate partnership working.

¹⁵ We asked responsible officers for their views on the effectiveness of relationships with other agencies to (i) manage risk of harm and (ii) support desistance. The views of NPS and CRC respondents did differ, although not as markedly as judged by our inspectors; 86 per cent vs. 76 per cent of cases in relation to public protection, and 87 per cent vs. 80 per cent of cases for desistance.

Figure 2.7: Proportion of cases judged as sufficient: partnership working relating to desistance

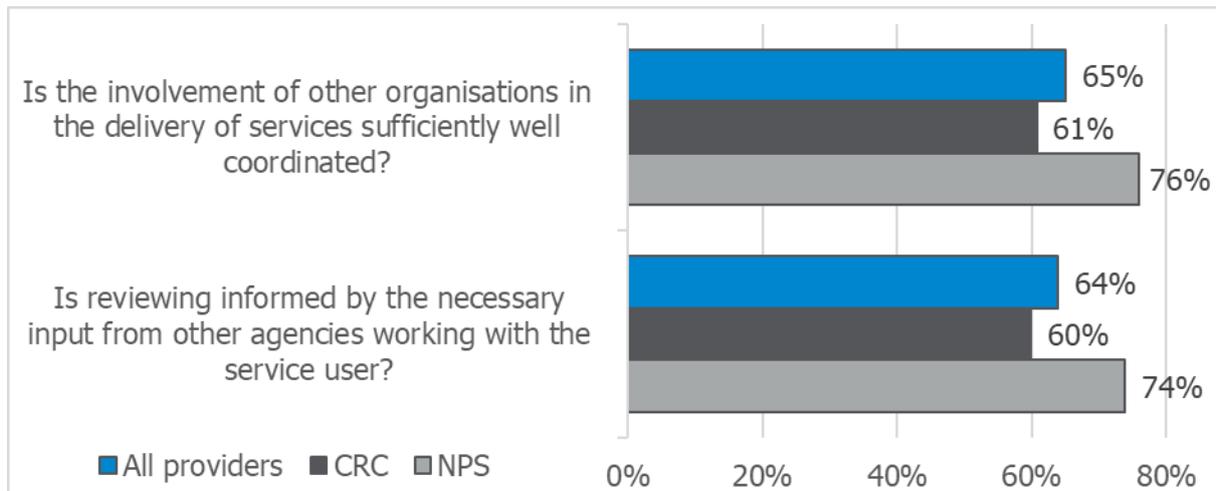
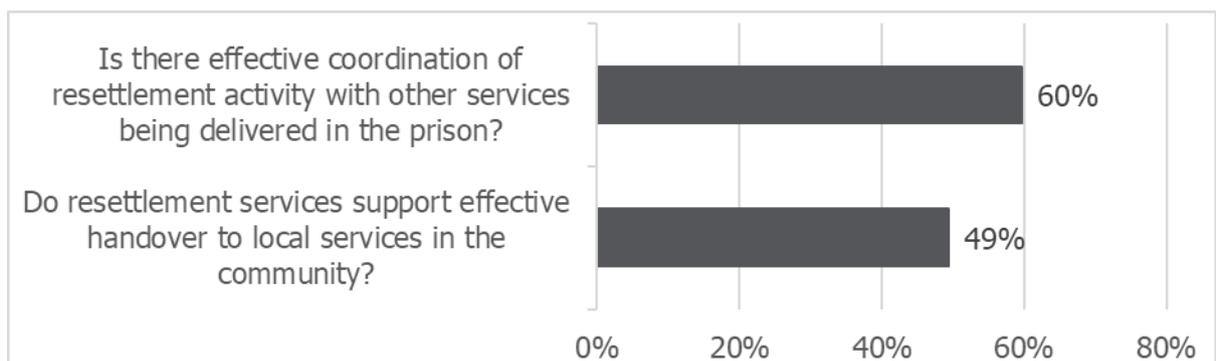


Figure 2.8: Proportion of cases judged as sufficient: CRC Through the Gate partnership working



Wales differs from England, with a single executive director in HMPPS having responsibility for prisons and probation, and coterminosity between the NPS, CRC and a number of other organisations. As set out in this good practice example, the agencies have built upon the collaborative environment created under the Welsh Government, delivering clear benefits for all.

Good practice example: partnership working

Wales NPS Division and Wales division of Kent, Surrey, and Sussex CRC

The Welsh Government has created a strategic environment that necessitates agencies in Wales to work together to address the needs of communities. As such, partnership working across both the NPS division and the CRC were found to be strong. Both work jointly with the four Police & Crime Commissioners (PCCs), leading to joint approaches to work on organised crime, information exchanges with the police, and delivering the Integrated Offender Management (IOM) Cymru scheme. In many offices, there is co-location of the NPS and CRC probation services alongside third sector and local authority partners as well as specialist services, such as those providing domestic abuse support.

The CRC has developed as a community-oriented organisation, with a clear commitment to partnership work. This is seen through a range of services, including IOM Cymru, Prevent, hate crime, serious organised crime, Restorative Justice, women’s services, community payback

individual placements, and community hubs. Within the NPS, good working relationships were seen with the PCCs, MAPPA partners, and police officers involved in the Management of Sexual Offenders and Violent Offenders (MOSOVO).

The CRC set up initial supply chain contracts in 2015, which still continue, with the main supply chain provision being Through the Gate services delivered by St Giles Trust (male prisons) and Safer Wales (female prisons). They have also developed a network of reporting facilities (community hubs) away from mainstream offices, which are attended by a wide range of partner agencies to address a range of criminogenic needs.

Within the NPS division, there was strong evidence regarding the use and benefits of partnership working to support effective case supervision. Information from partner agencies, such as the police, victim liaison officers (VLOs), and children's social care services were used in assessments. Planning was also supported by effective links with other agencies. With regard to implementation and delivery of the sentence, probation officers actively involved other agencies and coordinated joint work to manage and minimise the risk of harm to others. When reviewing cases, this was informed by information from other agencies, such as substance abuse services and education, training, and employment (ETE) providers. Information from other agencies was also used effectively to review the risk of harm posed.

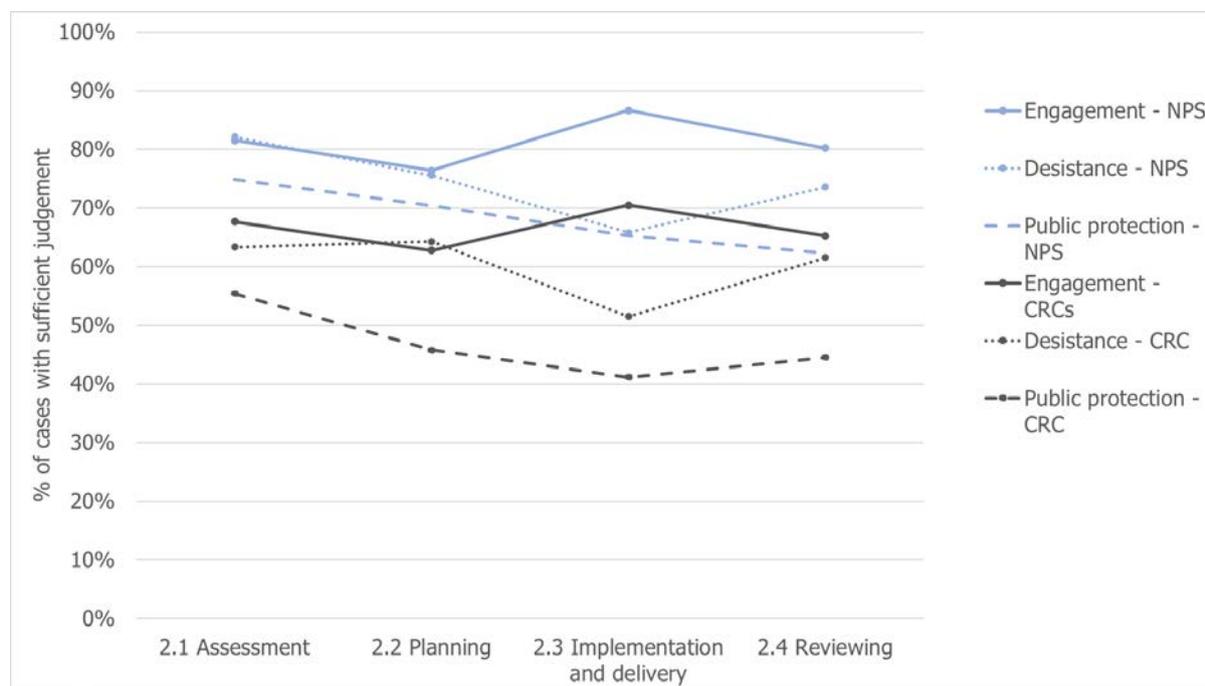
Across both the NPS division and the CRC, there was evidence of partnership working being used to support either specific groups or particular needs. For example, within the NPS, responsible officers were provided with consultancy by the Forensic Psychological Services through the High-Risk Community Pathway and the Wales Integrated Serious and Dangerous Offender Management (WISDOM) project, for those assessed as high risk of harm to others. The WISDOM Model operates from co-located units and involves representatives from police, probation, prison, mental health and Personality Disorder Pathways, among other partners. Collaboration was seen to allow for an enhanced and more intensive risk management process. Within the CRC, partnership working was used to address the needs of women who come into contact with the criminal justice system. Led by HMPPS Wales, the four Welsh police forces and the four PCCs with support from the Welsh Government, it is also supported by a wide range of other partners including female-focused third sector agencies already delivering local services.

3. Delivery against the high-level expectations for probation services

The high-level expectations for probation service delivery set out in this section reflect the main purposes of probation as set out in the *Offender Management Act 2007*.¹⁶ They were drawn up with the Ministry of Justice to inform the development of our inspection standards framework. Most apply to both the NPS and CRCs, although the NPS has responsibility for the provision of advice to the courts to support decisions on sentencing (section 3.1) and statutory victim work (section 3.5), while CRCs provide Through the Gate services to support resettlement from custody into the community (section 3.3).

Our domain two standards, applicable to both the NPS and CRCs, focus upon the case supervision process. Each of these standards is broken down into three key questions relating to (i) service user engagement (section 3.2), (ii) desistance (section 3.3), and (iii) public protection (section 3.5). Figure 3.1 summarises the differing levels of NPS and CRC performance across these key questions, and how CRC ratings were pulled down by insufficient attention upon (iii) public protection; one of the CRC public protection percentages aligns to a 'Requires improvement' rating (banding of 50-64 per cent), while the other three percentages align to an 'Inadequate' rating (<50 per cent). More detailed findings are set out in the relevant sections below.

Figure 3.1: Proportion of cases judged as sufficient: key questions across the domain two standards

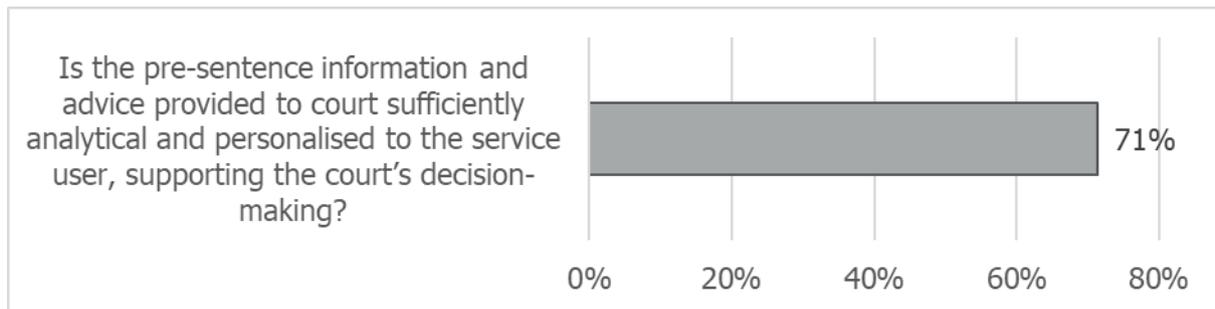


¹⁶ See Annex C for an overview of these expectations, and Annex E for findings in relation to diversity, equality and inclusion.

3.1 Providing advice to courts

The NPS should provide courts with timely, accurate, evidence-based and high-quality advice to support decisions on sentencing. Within our standards framework, we have a key question considering whether the pre-sentence information and advice provided to court was sufficiently analytical and personalised to the service user. As shown by Figure 3.2, the information and advice was judged to be sufficient in 71 per cent of cases across all our NPS inspections (which equates to a rating of 'Good').

Figure 3.2: Proportion of cases judged as sufficient: advice to courts



The quality of the reports delivered to courts across the NPS was identified as requiring improvement in just one NPS division; otherwise it was assessed as 'Good' or 'Outstanding'. Service users were consistently engaged in the preparation of their reports (87 per cent of all cases), and most reports contained a good analysis of the key offending related factors. A key component of comprehensive assessment is, however, the consideration of victims and potential victims in reports. This was less consistent (66 per cent of all cases) and undermined the quality of information delivered to the courts.

In addition to the information provided by the court and the service user, the NPS court teams are dependent on receiving information on victims and potential victims from other agencies such as the police and children's social care services. The timely receipt of this information depends on the effectiveness of the information sharing arrangements in place. Our inspections identified that the majority of reports are now delivered on the same day as the assessment in either an oral or short delivery format. This has implications for the expedient delivery of key information. We found that information requested from other agencies was often not shared in the time necessary to be included in the reports.

3.2 Delivering and enforcing the order of the court

Probation providers should engage and seek to motivate service users to comply and engage positively with the requirements of their sentence or licence. This includes: (i) helping service users to recognise the positive changes and benefits from desistance; (ii) taking full account of those personal circumstances that might make compliance more difficult; and (iii) working with the service users to overcome such difficulties. At the same time, providers should take appropriate enforcement action where required, with instances of non-compliance and relapse being dealt with in a proportionate, fair and transparent manner.

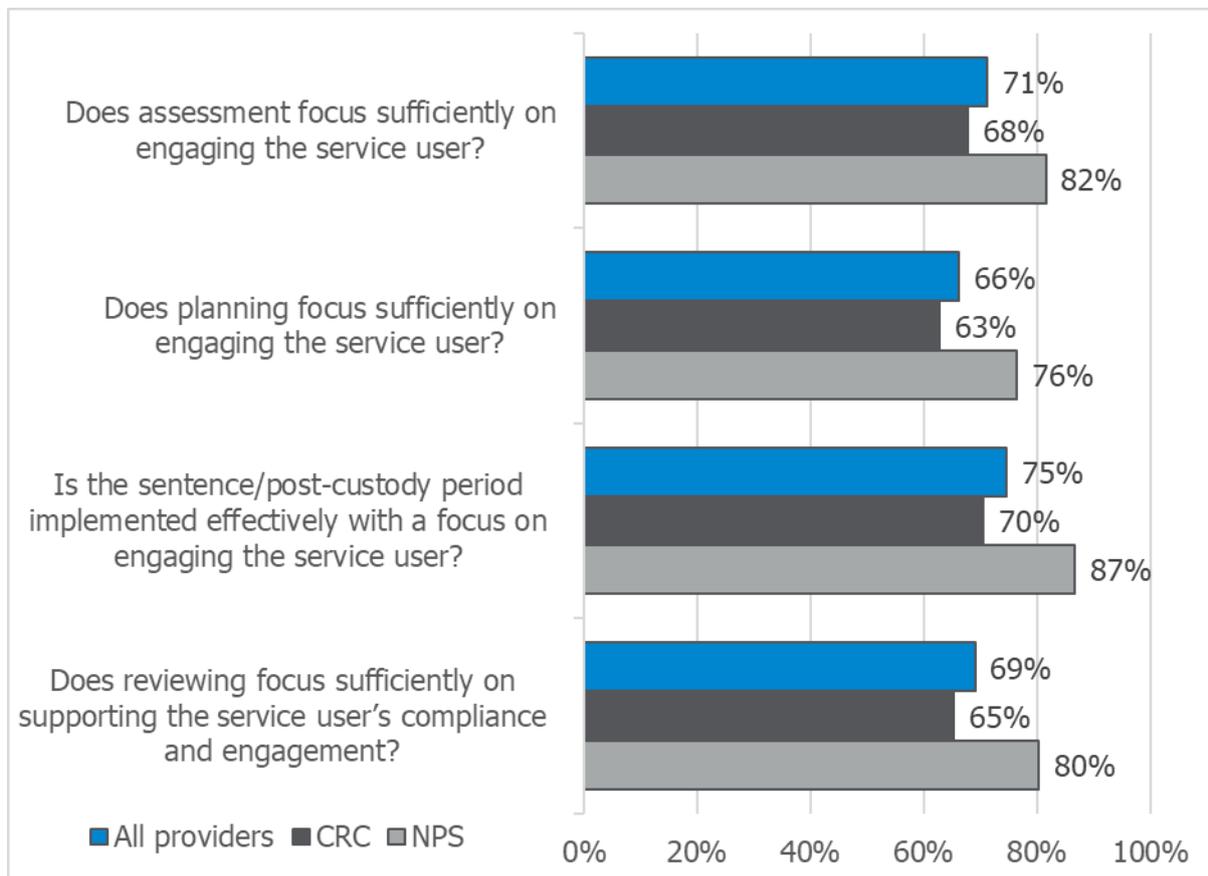
We found that NPS divisions and many CRCs were good at engaging service users in their assessments (71 per cent of all cases; see Figure 3.3), making it more likely that they will

comply with their sentences, as responsible officers will have taken account of what is going on in their lives and any barriers to compliance and completion.

The engagement of service users to ensure the implementation of sentence plans and the compliance with supervision was also undertaken effectively across the NPS divisions. Licences and community orders commenced promptly and our inspections found a high level of service user engagement in all parts of their supervision. Where supervision arrangements broke down and enforcement action was necessary, the inspection of cases demonstrated consistently effective practice across the NPS in re-engaging service users so that supervision could recommence (94 per cent of all these cases).

Service users were slightly less involved in planning their sentences across the CRCs (61 per cent of cases). Responsible officers were good at developing appropriate professional relationships with service users, while enforcing orders and licences; however, contact prior to release in custody cases managed by the CRCs was sufficient in less than half (44 per cent) of these cases.

Figure 3.3: Proportion of cases judged as sufficient: delivering and enforcing the order of the court



Good practice example: delivering and enforcing the order of the court North West NPS Division

In the North West NPS Division, inspectors found a good level of performance in all those areas related to delivering and enforcing the order of the court. In more than eight out of ten cases, assessment focused on engaging people under supervision. This included taking into consideration individuals' diversity factors and personal circumstances, as well as how these might affect their ability to comply with their supervision requirements. Service users were deemed to be meaningfully involved, with their views being taken into consideration.

With regard to planning, sufficient account was taken of the service users' readiness and motivation to change, alongside details regarding how the requirements of the sentence or licence would be delivered. Planned contact was seen to be sufficient to support those under supervision, with a clear plan in place on how they could be best engaged in nine out of ten cases.

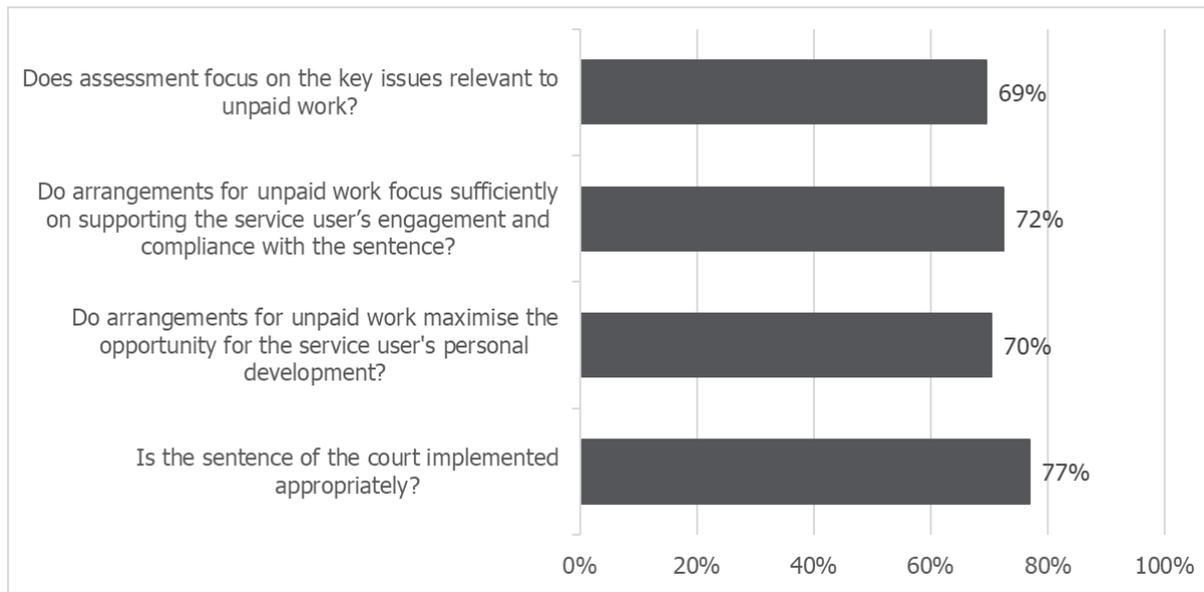
The requirements of the sentence or licence started within an appropriate timeframe, with staff maintaining effective relationships with those under supervision. Where required, this involved visiting the individual while still in custody, following them through on release. Supervision work included addressing offending behaviour as well as providing practical help, such as assistance to open bank accounts, acquire official identification, and register for medical treatment. Where there were risks of non-compliance, these were identified and addressed promptly, which reduced the need for enforcement action. Professional judgement decisions about missed appointments were recorded, with action being taken when required. Flexibility was also seen in appropriate circumstances.

Compliance and engagement levels, as well as relevant barriers, were considered when undertaking reviews in almost nine out of ten cases, with necessary adjustments being made where required. Meaningfully engaging service users in this process on a more regular basis would have further raised the quality of delivery.

Within our CRC inspections, we have a specific unpaid work standard, assessing whether this work is delivered safely and effectively, engaging the service user in line with the expectations of the court. In 12 of the 21 CRC inspections, we rated the delivery as 'Good', with an 'Outstanding' rating in Norfolk & Suffolk. In over three-quarters (77 per cent) of all cases, our inspectors judged that the sentence of the court had been implemented appropriately, with the arrangements maximising the opportunity for the service user's personal development in seven out of ten cases (see Figure 3.4).¹⁷ There was scope for improvement in terms of assessment, with the service user's motivation and willingness to comply with unpaid work being considered in about three in five (61 per cent) cases.

¹⁷ In our next round of inspections, we will pay greater attention to whether the arrangements for unpaid work maximise rehabilitative elements and support desistance.

Figure 3.4: Proportion of cases judged as sufficient: delivery of unpaid work

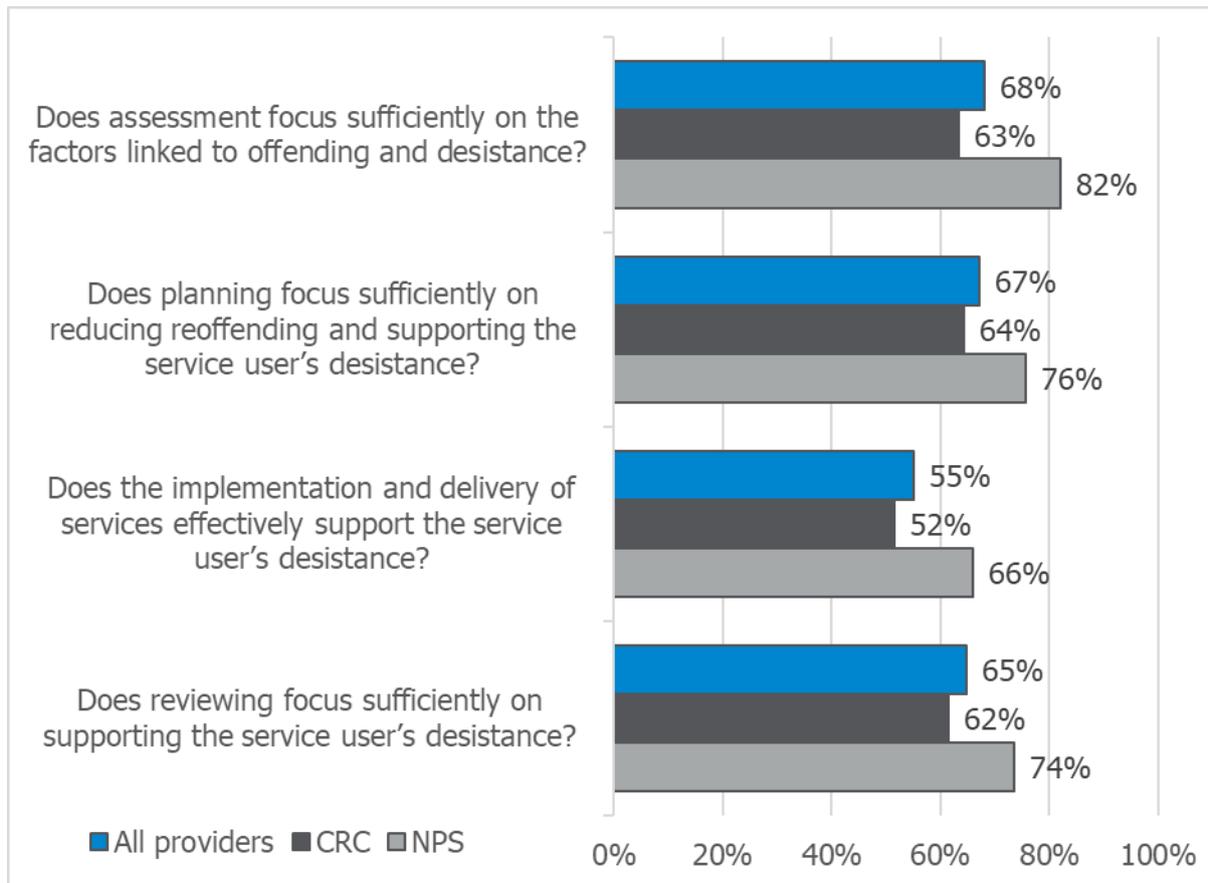


3.3 Supporting rehabilitation and desistance

Probation providers should work to support the desistance of those subject to supervision. Service users should experience an integrated approach, with relationships, interventions, and services combining holistically to address their individual risks and needs, while building upon strengths and enhancing protective factors.

As indicated by Figure 3.5, rehabilitation and resettlement work in relation to desistance factors was undertaken effectively across the NPS divisions. Assessments identified the key factors (with strengths and protective factors identified in 87 per cent of cases), appropriate plans were made, and the relevant services usually delivered. There were, however, some differences according to likelihood of reoffending, with sufficient implementation and delivery to support the service user's desistance being less likely for those assessed as having a high/very high likelihood (58 per cent of these cases). Our inspections identified that the engagement of service users was integral to the effective practice of the divisions in relation to this work.

Figure 3.5: Proportion of cases judged as sufficient: supporting rehabilitation and desistance



Good practice example: supporting rehabilitation and desistance

North East NPS Division

Our inspection of the North East NPS Division found a good level of service to support service users' desistance. Overall, assessments focused on offending related factors, with an investigative approach being undertaken by responsible officers to enable appropriate analysis. Service users' strengths and protective factors were also recognised in nine out of ten cases, with assessment drawing on available sources of information, including that from prison, responses to release on temporary licence (RoTL), and information from voluntary providers.

Planning focused sufficiently on reducing offending and supporting the service user's desistance in eight out of ten cases, and reflected offending-related factors, with the most critical being prioritised. Planning likewise built on protective factors and service users' strengths, setting out those services most likely to support desistance. The work of partnership agencies was also incorporated into plans to address issues such as accommodation, employment, and mental health.

To address factors linked to reoffending, including repeated homelessness, services were well-coordinated through good liaison with police, children's social care services, housing suppliers, and specialist local voluntary providers. They were also delivered responsively, addressing the most immediate needs first. Key individuals in the service users' lives were engaged where appropriate.

In relation to reviewing cases, changes in the service users' circumstances were monitored consistently, with supportive contributions from partnership agencies. Written reviews were completed appropriately as a formal record of progress towards desistance. OASys (Offender Assessment System) reviews were also completed to reflect positive progress and the completion of requirements, leading to adjusted plans of work where appropriate, including reducing the frequency of contact.

All CRC delivery models had a strong focus on helping individuals to desist from reoffending. About half of the CRCs were good at assessing relevant factors and planning interventions. While most identified relevant factors, they were less good at analysing these factors, or drawing on all relevant sources of information. Only one CRC delivered services that were likely to reduce reoffending in a sufficient number of cases.

Poor practice example: supporting rehabilitation and desistance Cumbria and Lancashire CRC

Assessments were mostly descriptive in nature and often lacked a clear explanation of how and why the service users had offended. In just over half of the inspected cases, the strengths of the individuals were drawn upon. Assessment lacked key information from other agencies, such as the police.

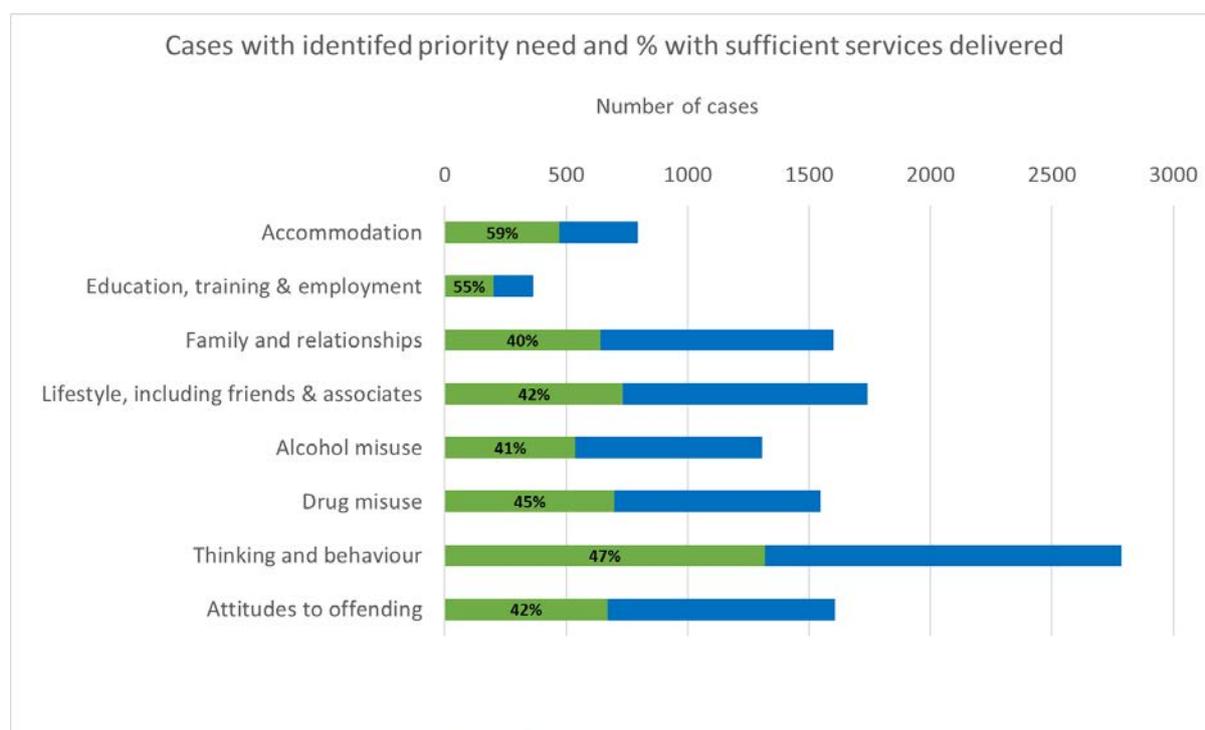
Planning did not sufficiently grasp and connect the issues underpinning offending, or seek to put in place structured interventions to help people move towards offence-free lifestyles. Opportunities were missed to build on people's strengths. A little over one-half of plans made appropriate use of protective factors and sources of support.

Staff struggled to implement high-quality interventions, and these were insufficient across all areas of offending-related need. Often the work delivered did not focus on the primary interventions intended to bring about a reduction in reoffending. Not enough use was made of individuals' strengths and support networks, or agencies available in the community that could support people in their desistance. More positively, when other agencies were involved, the CRC coordinated activities well for most people. We were also pleased to see that changes in responsible officer were kept to a minimum.

We found good reviewing practice in identifying and addressing changes in factors linked to desistance and offending. Importantly, in over three-quarters of cases, reviews built on individual strengths and enhanced protective factors. Reviewing work, however, was not sufficiently informed by input from other agencies. Staff had problems accessing information from other services and in far too many cases, staff naively believed that the police or other agencies would get in touch with the CRC if important events occurred.

In each individual case assessment, our inspectors considered which needs were most important in terms of the service user's offending and whether sufficient services had then been delivered. As shown by Figure 3.6, thinking and behaviour was the most commonly identified factor, and education, training and employment was the least commonly identified factor (indicated by the full bars). Across six of the eight needs, sufficient services had been delivered in under half of the cases in which the need had been identified (indicated by the green segments). There were some significant differences in the levels of delivery between the CRC and NPS cases; with sufficient services having been delivered in at least half of the NPS cases across seven of the eight needs, with the CRC cases reaching this mark for just two of the needs.

Figure 3.6: Sufficiency of service delivery against needs linked to offending



3.4 Supporting resettlement

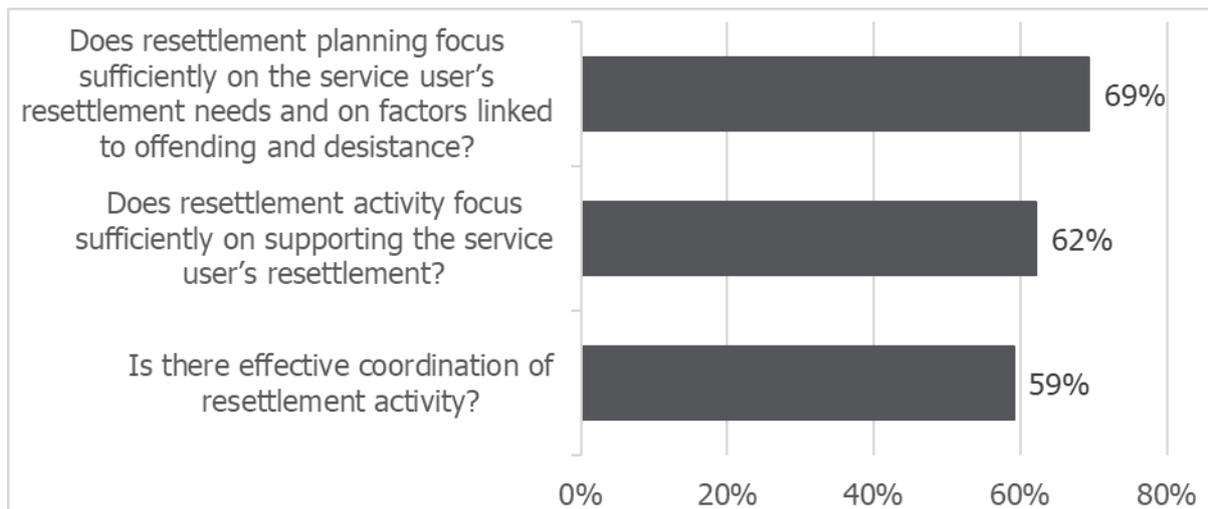
In collaboration with prisons and other relevant partners, probation providers should work to prepare individuals in custody for life after release and to resettle and rehabilitate them in the community. Within our CRC inspections, we have a specific Through the Gate standard, assessing whether these services are personalised and coordinated, addressing service users' resettlement needs. It is worth noting that most of our inspections took place before the new Enhanced Through the Gate model came into effect in most resettlement prisons on 01 April 2019.¹⁸

We found that service users were meaningfully involved in developing their resettlement plans in the large majority of cases (89 per cent), though planning took account of risk of harm factors in less than half of cases (44 per cent) where these factors were present.

¹⁸ HMPPS is investing an additional £22m per annum in the enhanced specification, with the aim of improving the current service and helping prisoners prepare for their release.

Delivery of resettlement activity was generally disappointing, with less than two-thirds of resettlement services delivered in line with individual's priority resettlement needs. In seven percent of cases, the Through the Gate teams found new temporary accommodation for individuals, but about one in four (24 per cent) were released without an address to go to. In three out of five (60 per cent) cases, there was effective coordination with other services delivered in the prison, and effective communication with local services in the community.

Figure 3.7: Proportion of cases judged as sufficient: supporting resettlement



Good practice example: supporting resettlement

West Yorkshire CRC

West Yorkshire CRC was rated as 'Good' for their Through the Gate service, with some aspects of its work deemed to be 'Outstanding'. Resettlement plans were completed on time in all cases, and were well supported by information from a variety of sources in over eight out of ten cases. Evidence from case files revealed that individuals were consistently given opportunities to contribute to establishing their own resettlement needs, with their motivation to change being assessed well.

Planning for resettlement work was good, with sufficient attention being paid to individuals' needs and factors linked to offending and desistance in more than nine out of ten cases, as well as a good focus on understanding and addressing diversity factors in almost all cases. There was effective coordination of resettlement activity, with other services being delivered in prison, as well as resettlement services supporting an effective handover to local service providers in the community.

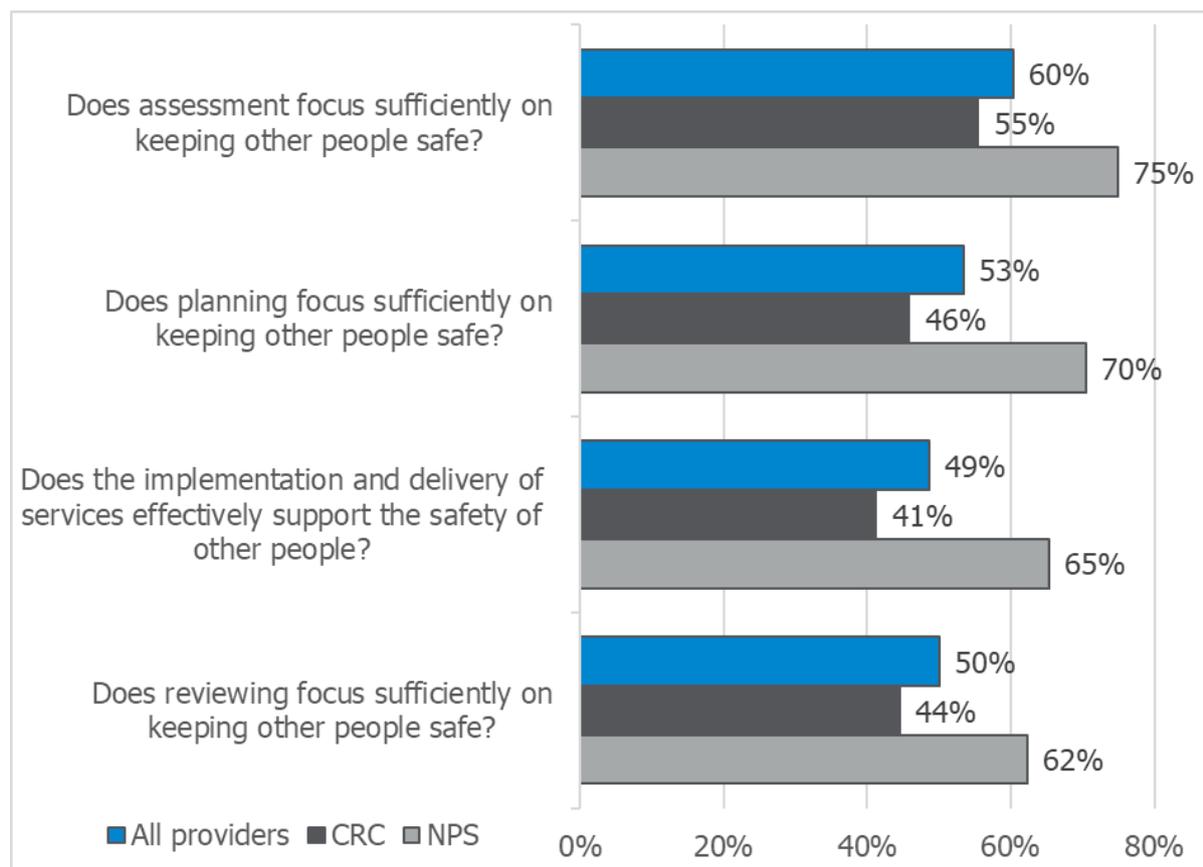
Addressing some gaps in the delivery of resettlement services would have further raised the quality of delivery. Inspectors also noted the need for further development in terms of (i) the links with prison health services, (ii) ensuring all individuals were met just before release, and (iii) in facilitating relevant CRC staff to access and undertake work in prison.

3.5 Protecting the public from serious harm

Public protection work depends upon accurate assessment of the risk of harm presented by service users and the skilful management of and engagement with those who pose risks to individuals or the community in general. Public protection work also requires strong partnerships between probation services, the police, children's social care services and health (especially mental health) services (see section 2.3 above).

As shown by Figure 3.8, of all the aspects of case supervision quality we inspect, the gap between NPS and CRC performance was most pronounced in relation to this issue, with CRCs scoring up to 25 percentage points lower than the NPS on the four key questions relating to public protection. We found that CRC case management arrangements too frequently had insufficient focus on the risk of harm that the individual presented.¹⁹ This was evident in assessment work (sufficient focus in just 55 per cent of cases) and followed through to the other delivery standards (with implementation and delivery supporting the safety of other people in just 41 per cent of cases, which equates to a rating of 'Inadequate'). The very low level of home visiting recorded (32 per cent of all relevant cases) was indicative of the lack of attention to risk of harm-related concerns.

Figure 3.8: Proportion of cases judged as sufficient: protecting the public from serious harm



¹⁹ Our last inspection programme also highlighted the deficiencies in this area of CRC work. See, for example, HMI Probation Research Bulletin 2018/02, accessible at <https://www.justiceinspectorates.gov.uk/hmiprobation/research/research-analysis-bulletins/>.

CRCs manage the vast majority of offenders assessed as presenting a low risk of serious harm, but *low risk* does not equate to *no risk*. The Inspectorate's position is that work to manage and reduce risk of harm should take account of all potential risks, whatever their level or degree of seriousness, not least because these risks can change over time. Any risk of harm is, by definition, something that should be responded to and not ignored. We thus look to see that this has been recognised and responded to appropriately. Across those CRC cases assessed as low risk, and in which we judged there were issues to be addressed, the delivery to support the safety of other people was found to be sufficient in just 22 per cent of cases.²⁰ For those CRC cases assessed as medium risk, the delivery was less likely to be judged sufficient where there were concerns about domestic abuse perpetration; only 39 per cent of these cases were judged to have been adequately supervised compared to 60 per cent of medium risk cases with no such concerns.

Poor practice example: protecting the public
Bristol, Gloucestershire, Somerset and Wiltshire CRC

Only a minority of assessments focused sufficiently on keeping other people safe. Inspectors deemed that the assessed risk level was inappropriate in several cases, with key information having not been sufficiently considered. Where there was a risk of harm, less than half of the assessments clearly identified the risk to others and analysed the risk.

In only one-third of relevant cases was planning focused sufficiently on keeping other people safe. Plans were insufficient to address risk of harm factors and did not prioritise those that were most critical. Adequate planning was identified in less than a third of those cases with domestic abuse and child protection issues. Where other agencies were involved, appropriate links to their work and to any multi-agency plans were often not made.

Given the paucity of effective assessment and planning to support the safety of others, it was not surprising that poor understanding and management of risks of harm was also widely reflected in the implementation of case supervision. Of the cases where services to support the safety of other people were required, this work was delivered in less than one in five (17 per cent) of cases. Minimal attention was given to protecting victims, and where there was involvement of other agencies in managing and minimising the risk of harm, this was insufficiently coordinated. Home visits were undertaken in less than one in ten cases where they would have been relevant.

Reviews did not focus sufficiently on keeping other people safe where this was required. Necessary adjustments were often not made to the ongoing plan of work to take account of changes in the risk of harm, and other agencies involved in managing the service user's risk of harm rarely contributed to the reviewing process.

The NPS manages all high risk of serious harm and MAPPA cases. The inspections demonstrated that across the seven divisions, there was generally good public protection practice in relation to NPS assessment and planning of cases (sufficient focus in 75 per cent and 70 per cent of cases respectively). However, good assessment and planning did not always result in the effective implementation and reviewing of risk management plans. The reviewing of cases in response to risk of harm issues was identified as requiring improvement in four NPS divisions (sufficient focus in 62 per cent of all NPS cases).

²⁰ See <http://www.justiceinspectorates.gov.uk/hmiprobation/inspections/20182019probationssummaryreport/> for further breakdown of our CRC and NPS case supervision data.

Good practice example: protecting the public

Midlands NPS Division

In the Midlands NPS Division, inspectors recognised the good work taking place in relation to protecting the public. In more than eight out of ten cases, assessments focused on keeping other people safe, with consideration being given to previous convictions, behaviour, and information provided from relevant agencies. In addition, details were provided relating to who was at risk, the level and the nature of that risk, and external controls in place.

Planning also appropriately addressed public protection factors. This included making links with the work of other agencies and addressing child protection plans where needed. Risk management plans were deemed sufficient (where relevant) in nine out of ten cases, and many included recording of contingency plans to be enacted if a heightened risk of harm to other people occurred.

Implementation and delivery of services was deemed to be effective in keeping other people safe. This included using licence conditions to manage behaviour, and close liaison with agencies. Good communication was also seen between NPS court based staff and CRCs to ensure awareness of intervention availability.

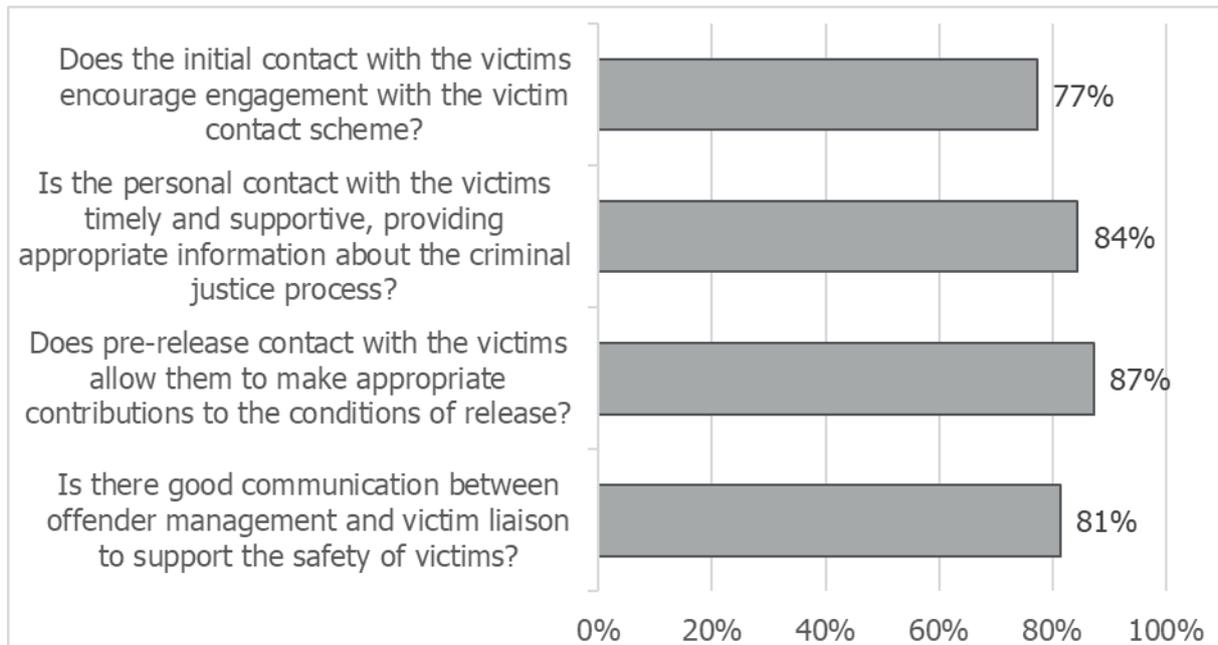
Finally, reviews focused on protecting the public, such as through close monitoring of behaviour and continued imposition of licence conditions. There was also evidence of adjustments being made where there were emerging patterns of risky behaviour, such as requiring service users to undertake additional offence-focused work. Effective multi-agency work was evident, including with housing providers and through referrals to approved premises where this was deemed to be the best means of keeping other people safe. Formal written reviews were completed in many cases, including following significant events.

3.6 Engaging with victims

Victims of crime should be provided with appropriate information and support, ensuring that their views are taken into consideration in decisions relating to the sentencing and management of the offender. Within our NPS inspections, we have a specific standard for statutory victim work, considering whether relevant and timely information is provided to the victims of a serious offence, and whether they are given the opportunity to contribute their views at key points in the sentence.

Our inspections found that the services delivered to victims were generally good across the NPS, although one division required improvement. Two divisions were rated as 'Outstanding'. As shown by Figure 3.9, most victims were encouraged to engage through the initial contact (77 per cent of cases), and services were in the main tailored to the victim's individual circumstances. There was consistent evidence of strong professional relationships, providing the foundation for effective information exchange (81 per cent of cases) and allowing victims to make appropriate contributions to licence conditions (87 per cent of cases).

Figure 3.9: Proportion of cases judged as sufficient: engaging with victims



Good practice example: engaging with victims

Wales NPS Division

Inspectors rated statutory victim work in the Wales NPS Division as 'Outstanding', deeming its liaison with victims of serious offences as one of the division's strengths. In nine out of ten cases, initial contact with victims was made within an appropriate timescale after sentencing and encouraged engagement with the scheme. Initial letters to victims were personalised, contained contact details of the VLOs, and provided sufficient information to enable the victim to make an informed decision about whether to participate in the scheme. Letters had also recently been made available in Welsh.

Personal contact with the victim provided appropriate information about the victim contact scheme, as well as information in terms of timescales, the input which victims could have, and an

explanation of the criminal justice process. Details were provided to victims about available sources of help and support, with referrals being made to other agencies where appropriate.

In South Wales, a victim's hub which provided counselling services was commissioned by the Police & Crime Commissioner (PCC) in response to an identified need to prioritise support for victims.

On all occasions, contact with victims was made in good time to allow them to make an appropriate contribution to the conditions of release. This included giving victims the opportunity to express anxieties and concerns about an individual's release (nine out of ten cases), all of which were considered and addressed. Attention was also paid to victim's safety when planning for release. Good joint working was seen between responsible officers and VLOs, with practitioners providing VLOs with up-to-date information about the management of offenders (all but one case). Where relevant, VLOs were appropriately involved in MAPPA.

Poor practice example: engaging with victims

London NPS Division

Inspectors rated London NPS as 'Requires improvement' for their work with victims, describing the delivery of services to victims as 'wholly unsatisfactory'. It was found that over one in five of the reviewed cases were not recorded on the national Victim Contact Scheme (VCS) database which resulted in victims in these cases not being offered the opportunity to access available statutory services. Performance improvement plans had been put in place and meetings held with relevant stakeholders to attempt to address this.

For those victims whose cases had been recorded appropriately, a number had not been contacted within the expected timescales, and some letters sent to victims lacked personalisation or relevant contact details to access support. Action plans had been formatted to address deficits. It was found that over half of the sampled cases had not opted into the VCS, indicating that the initial contact had not be sufficient in encouraging engagement with the scheme.

Inspectors noted that for most victims that opted into the scheme, personalised contact was timely and that in general they were provided with all relevant information. However, several victims who had opted into the scheme had not yet been seen, including one who had their appointment cancelled twice and a third attempt had not yet been arranged. In over a third of cases, there was no written record of the initial meeting, and where a record had been made, it was not always provided to the victim.

Victims were not enabled to contribute to release planning arrangements in a third of cases, and some victims did not get the opportunity to express concerns or views about the perpetrator's release. Information sharing between the responsible office and VLO was lacking at times which had resulted in the safety of victims not always being supported sufficiently well, described by inspectors as a 'missed opportunity'.

4. Conclusion

Probation services can make a big difference to those receiving them and to wider society, supporting service users to desist from offending and protecting the public from harm. From our 2018/2019 inspections of all probation providers, a clear difference in overall performance between the NPS and CRCs could be seen, with five of the seven NPS divisions rated as 'Good' and 19 of the 21 CRCs rated as 'Requires improvement'.

Our inspection standards and ratings are grounded in evidence, learning and experience. Together, they set out clearly our expectations for probation provision, forming the basis for transparent, evidence-based and independent inspection. 2018/2019 was the first year of requiring delivery to our standards, and two NPS divisions and four CRCs were just one or two points away from an overall 'Good' rating. In our view, making up this ground would be an achievable improvement for at least these six providers in our next round of inspections.

CRC case supervision ratings (domain two of our standards framework) were pulled down by poor performance in terms of public protection; across these key questions, the CRC and NPS overall percentages were up to 25 percentage points apart. Consequently, a greater focus on public protection, with appropriate attention to the identification and management of risks posed to vulnerable adults, children and to society, would help to drive up CRC performance. There is clear scope for improved multi-agency working in this area.

Improvements at the pre-sentence report stage would assist both the NPS and CRCs. A key component of comprehensive assessment is the consideration of victims and potential victims. However, the majority of reports are now delivered on the same day as the assessment, and we found that information requested from other agencies, including the police and children's social care services, was often not shared in the time necessary to be included in the reports.

Turning to the work to support service users' desistance, our inspections found the most room for improvement with those who present a high or very high likelihood of reoffending. These individuals tend to have chaotic lives and multiple needs, requiring interventions which are integrated and combine holistically.

Domain one of our standards framework focuses upon organisational delivery, and the NPS could improve their ratings through addressing the levels of probation officer vacancies, resulting in more reasonable workloads, and improving the physical estate, so that probation staff are working in buildings which are fit for purpose. Across all our inspections, less than half of the interviewed responsible officers felt that their workloads were reasonable. This perception varied markedly between CRCs, but overall CRC caseloads were much higher than NPS caseloads, impacting upon the quality of delivery in individual cases.

In relation to our domain three sector-specific standards, CRC resettlement services were the most disappointing. The transition from custody to community is a crucial stage for many service users, and our next round of inspections will help to assess the impact of the extra investment of £22m per year by the Ministry of Justice into the Enhanced Through the Gate model (which into effect in most resettlement prisons on 01 April 2019).

We will begin publishing findings from our round two inspections early next year, setting out clearly any changes in performance from the 2018/2019 inspections summarised in this report.

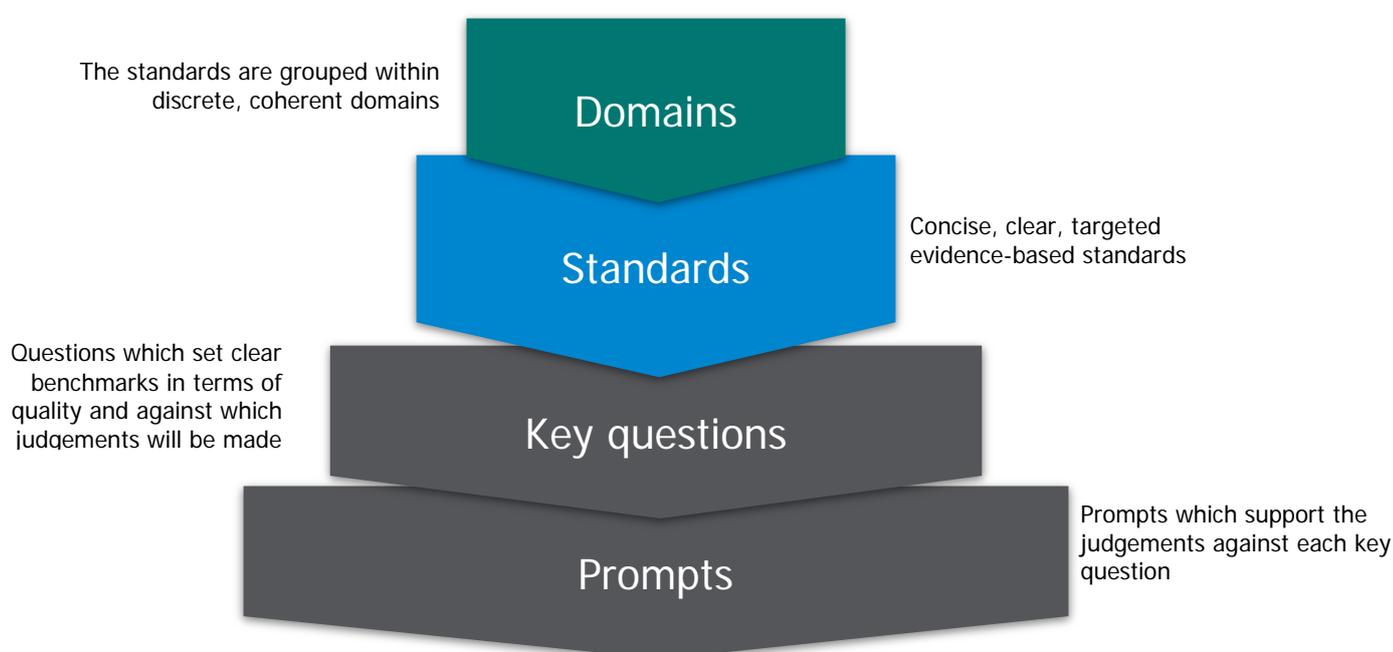
Annex A: Standards and ratings for inspecting probation services

Standards framework

Our inspection standards reflect the high-level expectations that government and the public have of probation services. They apply to both CRCs and the NPS, and form the basis for transparent, evidence-based and independent inspection. They are based on established models and frameworks, and are grounded in evidence, learning and experience.

As set out in Figure A1, the standards are grouped into domains, with each standard underpinned by key questions and prompts.

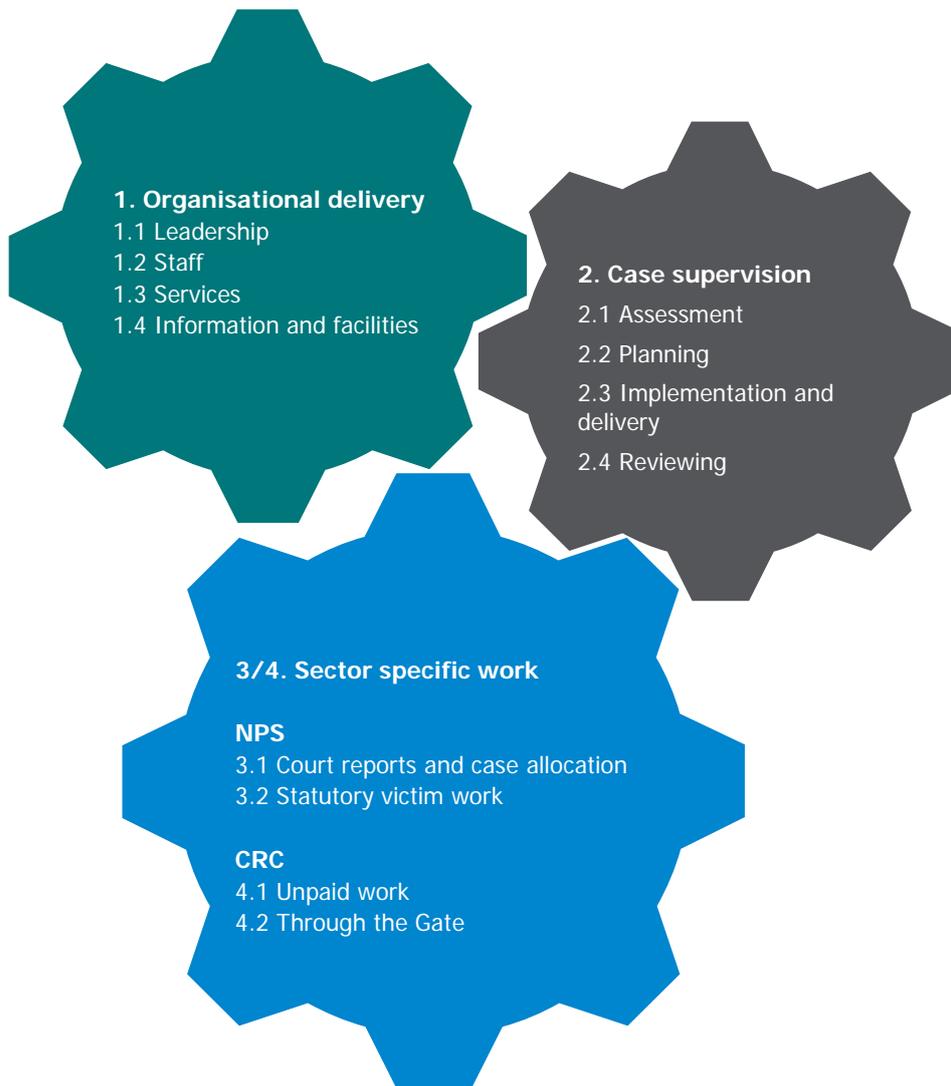
Figure A1: The structure of the standards



The standards were designed to be concise and restricted to those that are most essential, as well as balanced across domains which are sufficiently discrete and coherent. The standards framework currently has three domains.²¹ The first two domains apply to all probation providers – CRCs and the NPS. Domain one covers how well the organisation is led, managed and set up, while domain two covers the quality of work in individual cases, and how well individuals are being supervised. Domain three is modular and sector specific (CRCs or NPS) recognising that responsibility for some other areas of probation work rests just with the NPS (e.g. court work) or just with CRCs (e.g. unpaid work). The standards within these domains are summarised in Figure A2.

²¹ The full standards framework can be found here: <https://www.justiceinspectorates.gov.uk/hmiprobation/about-our-work/our-standards-and-ratings/>.

Figure A2: Standards across the three domains



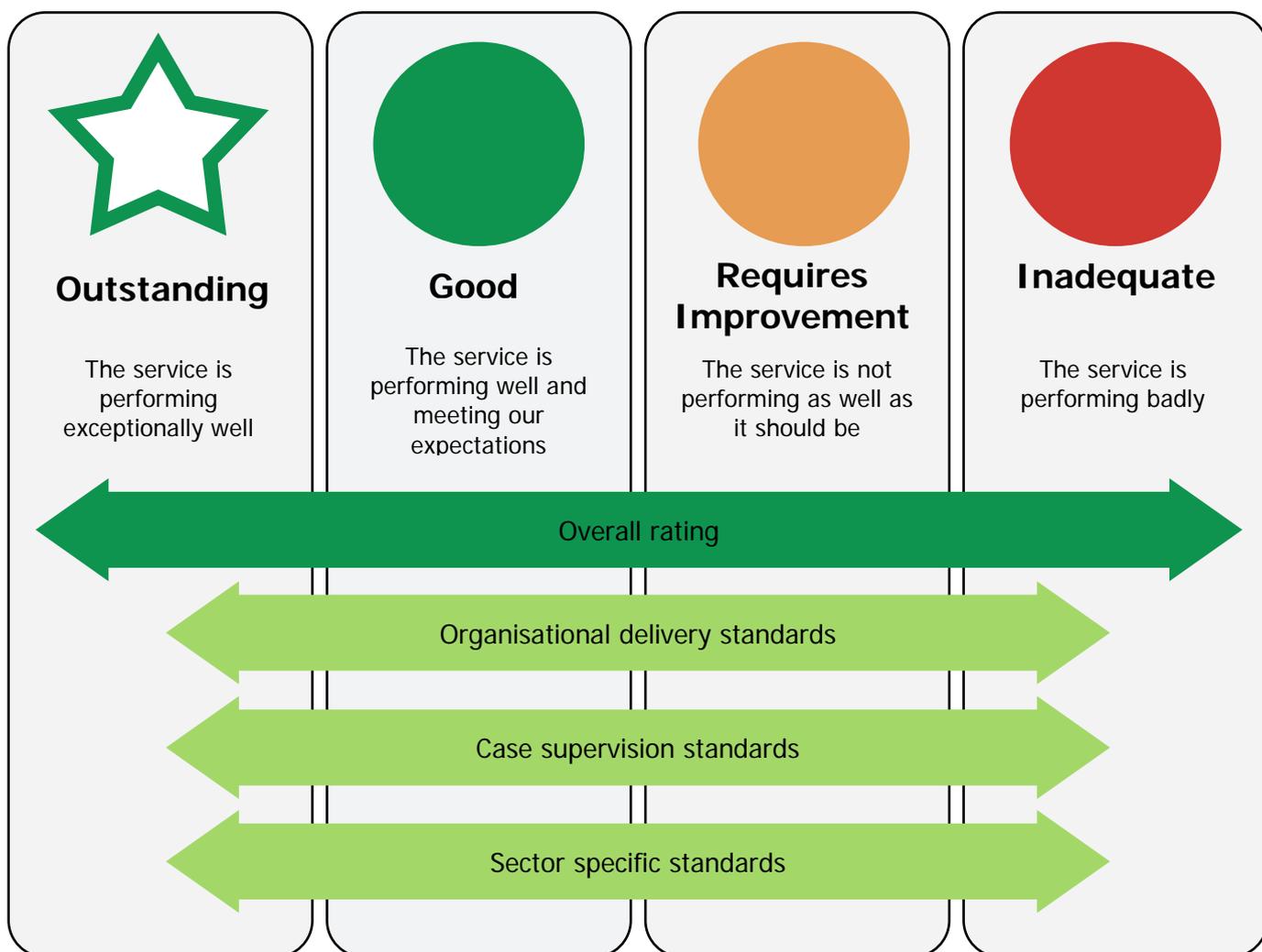
Ratings

For our 2018/2019 inspections of probation services, we aimed to develop ratings with a clear rationale and which challenge providers, helping to drive improvement, while also being attainable. Various stakeholders emphasised the need to avoid a scoring system that was overly complex and difficult to understand and explain.

As shown by Figure A3, we decided to adopt the rating labels of Outstanding; Good; Requires improvement; and Inadequate. We saw these ratings as the 'market leader', being used by CQC, Ofsted and HMICFRS, and thus relatively well-known.

We adopted an overall (composite) provider rating, and ratings at the standard level. The overall rating is the prime measure of the quality of the service, while the ratings at the standard level enable providers to identify where they are performing well and where they can improve, and so improve the quality of service and any future overall rating.

Figure A3: Rating levels and labels



Domain two and three ratings

Domain two and three ratings are based on the results of the inspection of individual cases. For each standard, the rating is aligned to the lowest banding at the key question level (see Figure A3); the rationale being that each key question is an integral part of the standard. We recognised that there was value in keeping the performance bandings matched to that of previous years. In this way, we would not be raising or lowering our expectations of the quality of probation services, but maintaining our long-established view.

Figure A4: Alignment of ratings to key question bandings

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

Domain one ratings

Domain one ratings are not led by our findings in individual cases. Instead, the evidence comes primarily from data, documents and evidence submitted by the organisation, and through interviews with leaders, managers, staff and other relevant stakeholders. The ratings are proposed by the lead inspector, using all the relevant sources of evidence. The evidence obtained in advance of the fieldwork is reviewed to make preliminary assessments against the prompts and key questions, as well as identifying gaps in the evidence and thus further requests for evidence for the fieldwork.

Domain one rating characteristics are published on our website alongside the standards.²² They provide a framework to support the lead inspector's recommendations rather than being a checklist; we do not expect every characteristic to be present for the corresponding rating to be given. The characteristics are closely aligned to the key questions and prompts in the standards framework.

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

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

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

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

Overall provider rating

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

0-5 = 'Inadequate'

6-15 = 'Requires improvement'

16-25 = 'Good'

26-30 = 'Outstanding'

These bandings are aligned to the tipping points between the ratings at the standard level, e.g. an overall probation provider rating of 'Good' is produced through six standard ratings of 'Good' and four standard ratings of 'Requires improvement'.

²² The 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>

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

Ratings panel

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

- The panel considers whether the ratings for domain one are evidenced-based and balanced (considering the validity and impact of the evidence used), and in line with our published rules and guidance.
- Exceptionally, the panel considers whether professional discretion should be exercised in relation to any of the domain two or three ratings that yield a percentage close to the rating boundary, for example, between 'Requires improvement' and 'Good' (specifically, within five percentage points of the boundary or where a different judgement in one case would result in a change in rating). The panel considers the sizes of any sub-samples used and the percentages for the other key questions within that standard, such as whether they fall within different bandings and the level of divergence, to make this decision. The panel only revises the domain two or domain three scores at the key question level if they believe that to do otherwise would not be a true reflection of how the inspected organisation is performing.
- The panel makes sure that ratings are consistently applied across inspections.

Annex B: Inspection methodology

Probation inspections

A full round of probation inspections was completed between June 2018 and June 2019 (first fieldwork weeks), with the reports being published between September 2018 and September 2019 (as set out in Table B1).

Table B1: Probation inspections, June 2018 – June 2019

Provider	CRC or NPS	Publication month
Merseyside	CRC	September 2018
Essex	CRC	October 2018
West Yorkshire	CRC	October 2018
South West South Central	NPS	November 2018
Northumbria	CRC	November 2018
Thames Valley	CRC	November 2018
Midlands	NPS	December 2018
Staffordshire and West Midlands	CRC	December 2018
Derbyshire, Leicestershire, Nottinghamshire and Rutland	CRC	January 2019
Dorset, Devon and Cornwall	CRC	February 2019
Humberside, Lincolnshire and North Yorkshire	CRC	February 2019
North West	NPS	February 2019
Durham Tees Valley	CRC	March 2019
South Yorkshire	CRC	March 2019
Cheshire and Greater Manchester	CRC	April 2019
Wales	NPS	April 2019
Bedfordshire, Northamptonshire, Cambridgeshire and Hertfordshire	CRC	May 2019
Hampshire & Isle of Wight	CRC	May 2019
London	NPS	May 2019
Cumbria and Lancashire	CRC	May 2019
Kent, Surrey and Sussex	CRC	June 2019
North East	NPS	June 2019
Wales	CRC	July 2019
Warwickshire & West Mercia	CRC	July 2019
London	CRC	August 2019
South East and Eastern	NPS	September 2019
Norfolk and Suffolk	CRC	September 2019
Bristol, Gloucestershire, Somerset and Wiltshire	CRC	September 2019

The methodology for these inspections 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

Each provider submitted evidence in advance and the CRC's Chief Executive Officer/NPS Divisional Director 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 of each inspection, we interviewed 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. The evidence explored under this domain was judged against our published ratings characteristics.

Domain two and three case samples

As set out below, proportionate stratified random sampling was used to achieve sufficiently representative samples in all our inspections. All sampled cases were then allocated to individual inspectors. To support the reliability and validity of their judgements against our standards framework, all cases were reviewed using standard case assessment forms, underpinned by rules and guidance.²³

Case supervision (domain two)

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. We examined service users' files and interviewed responsible officers. Where necessary, interviews with other people closely involved in the case also took place.

The overall sample size in each inspection was set to achieve a confidence level of 80 per cent (with a margin of error of five percentage points), 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.

²³ The reliability and validity of judgements was further supported through training and quality assurance activities.

NPS court reports and case allocation

As in domain two, the sample size in each inspection was set to achieve a confidence level of 80 per cent (with a margin of error of five percentage points). We selected cases in which the court report had been completed nine weeks previously, and in which the individual had been sentenced to a community order, suspended sentence order, or immediate custody. We ensured that the ratios in relation to report type and CRC/NPS allocation matched those in the eligible population. We used the case management and assessment systems to inspect these cases, judging the quality of the written evidence in the report provided to court, the quality of information-gathering at the court and allocation stage, and the accuracy of the allocation decision.

NPS victim work

We examined custodial cases that had commenced six to seven months previously and where the victim was eligible for statutory victim contact. As above, the sample size in each inspection was set to achieve a confidence level of 80 per cent (with a margin of error of five percentage points), based on the number of cases where victim contact had commenced. We looked at whether the case was appropriately recorded on the Victim Contact Management System (VCMS), how initial pre- and post-release contact was made, whether this was timely, and the quality of the contact offered. The sample included a proportionate ratio of cases where the contact was taken up and cases in which it was not.

To examine pre- and post-release victim work, we drew on cases from our domain two case sample.

CRC unpaid work

We examined cases with unpaid work requirements that had commenced at least three months previously. As above, the sample size in each inspection was set to achieve a confidence level of 80 per cent (with a margin of error of five percentage points). 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.

CRC Through the Gate work

We examined custodial cases in which the individual had been released on licence or post-sentence supervision six weeks earlier from the CRC's resettlement prison. As above, the sample size in each inspection was set to achieve a confidence level of 80 per cent (with a margin of error of five percentage points). 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.

Annex C: High-level expectations for probation service delivery

The following statements represent high-level expectations for probation service delivery, reflecting the main purposes of probation as set out in the *Offender Management Act 2007*. They were drawn up with the Ministry of Justice to inform the development of our inspection standards framework.

1. Provide advice to courts

Probation services will provide courts with timely, accurate, evidence-based and high-quality advice to support decisions on sentencing.

2. Protect the public from reoffending and from serious harm

Probation services will:

- assess offenders' risk of serious harm they pose to society
- develop proportionate, tailored plans to manage each offender's risk in collaboration with other relevant agencies
- proactively manage the risks of each offender throughout their order.

3. Rehabilitate and resettle offenders in order to reduce reoffending

Probation services will work to support the rehabilitation of individuals subject to community sentences.

In collaboration with prisons and other relevant partners, probation services will work to prepare individuals in custody for life after release and to resettle and rehabilitate them in the community.

4. Deliver and enforce the order of the court

Probation services will manage community and custodial sentences to deliver effective, appropriately-tailored, rehabilitation and meaningful punishment in line with the order of the court, enabling people who have offended to reform and to repair the harm they have caused.

Probation services will engage and seek to motivate offenders to comply and engage positively with the requirements of their sentence or licence and will take appropriate enforcement action where this is not the case.

5. Engage with victims

Probation services will provide victims of crime with appropriate information and support and will ensure that the victim's views are taken into consideration in decisions relating to the sentencing and management of the offender.

Probation services will ensure that offenders are aware of the impact of their offending on victims.

6. Respect and promote diversity, equality and inclusion

Probation services will ensure that advice to Courts and the supervision of people who have offended promotes diversity, equality and inclusion by addressing the characteristics and circumstances of the individuals appropriately.

7. Partnership working

Probation services will work collaboratively with each other, with partners across the criminal justice system and with organisations in other sectors (including but not limited to accommodation, employment, healthcare, family relationships, education and training, and financial advice) who can contribute to delivering positive public protection and rehabilitation outcomes.

Annex D: Case assessments – service user profiles

Information on the profiles of the service users within our domain two and domain three case samples are set out in Tables D1 to D4.²⁴ Comparing the CRC and NPS cases within our domain two sample (Table D1), CRC service users were more likely to be female, White, and subject to a community sentence.

Table D1: Domain two case supervision sample

		All cases		CRC cases		NPS cases	
		n	%	n	%	n	%
All cases		3,308	-	2,474	-	834	-
Gender	Male	2,815	85.6	2,025	82.5	790	94.8
	Female	472	14.4	429	17.5	43	5.2
Age group	18-20	150	4.6	103	4.2	47	5.7
	21-24	383	11.7	276	11.3	107	12.9
	25-29	573	17.5	415	16.9	158	19.1
	30-39	1,160	35.4	897	36.6	263	31.7
	40-49	646	19.7	498	20.3	148	17.9
	50+	366	11.2	260	10.6	106	12.8
Ethnic group	White	2,662	82.7	2,031	84.3	631	77.8
	Black	224	7.0	146	6.1	78	9.6
	Asian	177	5.5	126	5.2	51	6.3
	Mixed	119	3.7	79	3.3	40	4.9
	Other	37	1.1	26	1.1	11	1.4
Supervision type	Community sentence	1,788	54.4	1,566	63.8	222	26.7
	Post-custody	1,499	45.6	889	36.2	610	73.3
OGRS band	Low	1356	42.1	998	41.6	358	43.5
	Medium	934	29.0	713	29.7	221	26.9
	High/Very high	931	28.9	687	28.6	244	29.6
RoSH level	Low	777	23.9	768	31.8	9	1.1
	Medium	2,017	62.1	1,646	68.1	371	44.8
	High/Very high	452	13.9	4	0.2	448	54.1
Domestic abuse perpetrator – current concerns	Yes	1,401	42.5	1,022	41.4	379	45.6
	No	1,533	46.5	1,139	46.2	394	47.4
	Not clear from records	364	11.0	305	12.4	59	7.1
Child safeguarding/ protection – current concerns	Yes	1,221	37.1	783	31.8	438	52.8
	No	1,651	50.2	1,302	52.9	349	42.1
	Not clear from records	420	12.8	378	15.3	42	5.1
Factors linked to offending	Accommodation	794	24.0	520	21.0	274	32.9
	Education, training & employment	364	11.0	269	10.9	95	11.4
	Family & relationships	1,602	48.4	1,115	45.1	487	58.4

²⁴ Data was missing for some variables. Percentages relate to the data available for each variable and not all inspected cases.

	All cases		CRC cases		NPS cases	
	n	%	n	%	n	%
Lifestyle, including friends & associates	1,740	52.6	1,217	49.2	523	62.7
Alcohol misuse	1,307	39.5	936	37.8	371	44.5
Drug misuse	1,547	46.8	1,154	46.6	393	47.1
Thinking & behaviour	2,786	84.2	2,022	81.7	764	91.6
Attitudes to offending	1,607	48.6	1,097	44.3	510	61.2

Table D2: NPS court reports sample

		n	%
Gender	Male	671	83.4
	Female	134	16.6
Age group	18-20	60	7.5
	21-24	85	10.6
	25-29	184	22.9
	30-39	238	29.6
	40-49	151	18.8
	50+	87	10.8
Ethnic group	White	655	85.4
	Black	50	6.5
	Asian	37	4.8
	Mixed	13	1.7
	Other	12	1.6
OGRS band	Low	451	59.6
	Medium	185	24.4
	High/Very high	121	16.0
RoSH level	Low	322	41.6
	Medium	414	53.5
	High/Very high	38	4.9
Domestic abuse perpetrator – current concerns	Yes	259	32.2
	No	352	43.7
	Not clear from records	194	24.1
Child safeguarding/ protection – current concerns	Yes	204	25.4
	No	395	49.1
	Not clear from records	205	25.5

Table D3: CRC unpaid work sample

		n	%
Gender	Male	768	89.4
	Female	90	10.5
Age group	18-20	92	10.8
	21-24	140	16.4
	25-29	164	19.2
	30-39	268	31.4
	40-49	109	12.8
	50+	81	9.5
Ethnic group	White	656	78.3
	Black	77	9.2
	Asian	61	7.3
	Mixed	33	3.9
	Other	11	1.3
RoSH level	Low	402	48.0
	Medium	418	49.9
	High/Very high	18	2.1

Table D4: CRC Through the Gate sample

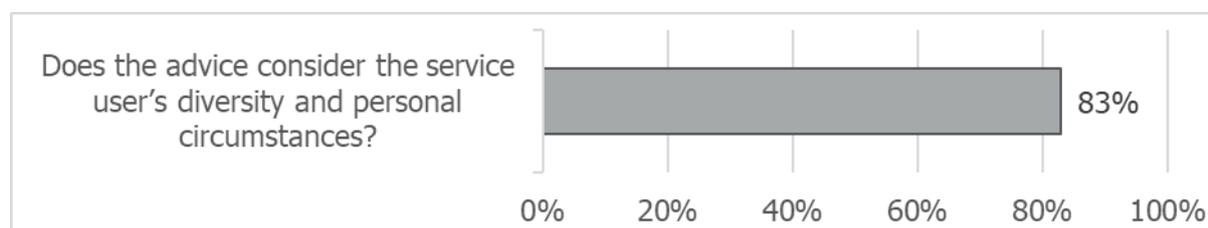
		n	%
Gender	Male	611	92.2
	Female	52	7.8
Age group	18-20	23	3.5
	21-24	60	9.0
	25-29	135	20.3
	30-39	235	35.3
	40-49	148	22.3
	50+	64	9.6
Ethnic group	White	534	83.0
	Black	46	7.2
	Asian	32	5.0
	Mixed	23	3.6
	Other	8	1.2
RoSH level	Low	111	17.9
	Medium	373	60.3
	High/Very high	135	21.8

Annex E: Diversity, equality and inclusion

Probation providers should ensure that their case supervision and other services promote diversity, equality and inclusion by addressing the characteristics and circumstances of individual service users appropriately. Across our standards framework, we thus have a number of prompts asking whether sufficient account has been taken of diversity and personal circumstances.

At the pre-sentence stage, we judged that the NPS advice to court had considered the service user's diversity and personal circumstances in more than four in five cases (see Figure E1).

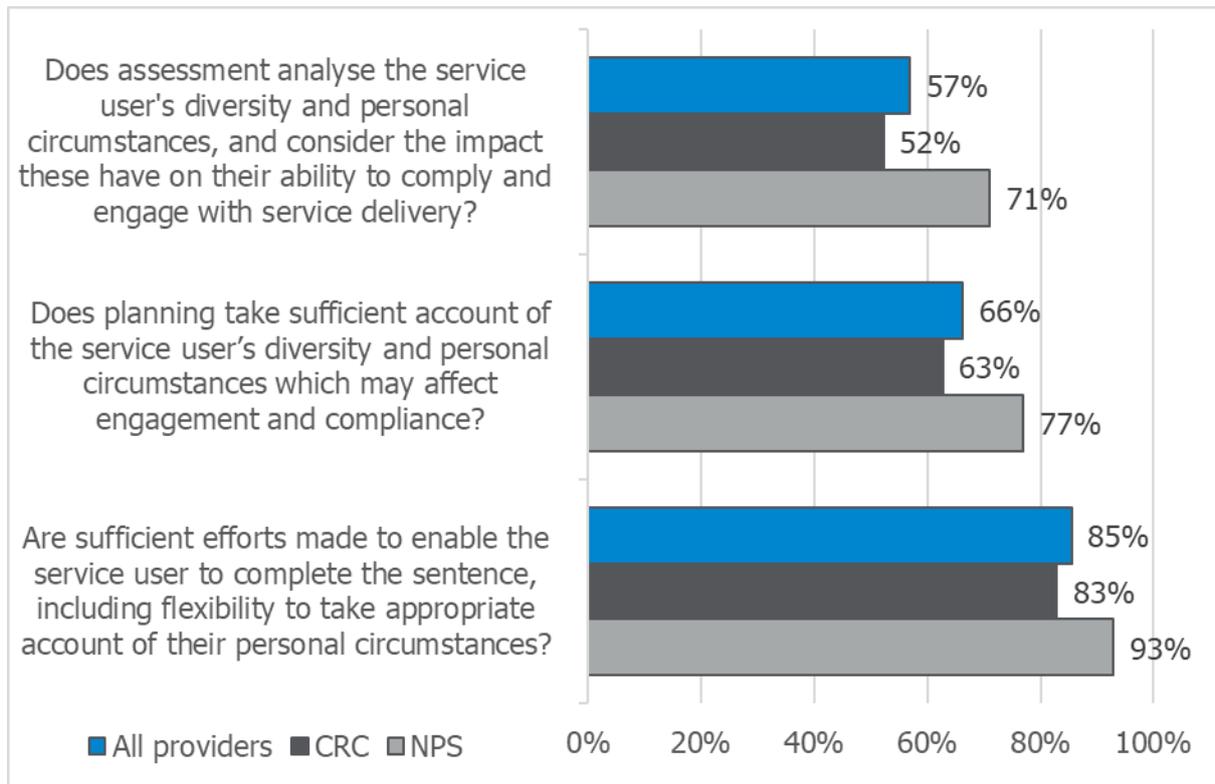
Figure E1: Proportion of cases judged as sufficient: diversity, equality and inclusion (NPS court advice)



Probation providers are required to complete diversity monitoring on all individuals to ensure that services are delivered fairly and meet any requirements related to individual's protected characteristics. All seven NPS divisions effectively recorded diversity data for service users under their supervision. As shown by Figure E2, in most cases this was incorporated into the supervision of service users and used to identify appropriate services, with diversity factors routinely considered in relation to service user engagement. However, the comprehensive provision of services to meet the diverse needs of the service user population was inconsistent in part due to the unavailability of appropriate services. The NPS use of diversity data to inform the reviewing of performance was also inconsistent. For example, recall rates and programme referral rates for ethnic minority service users were inconsistently reviewed.

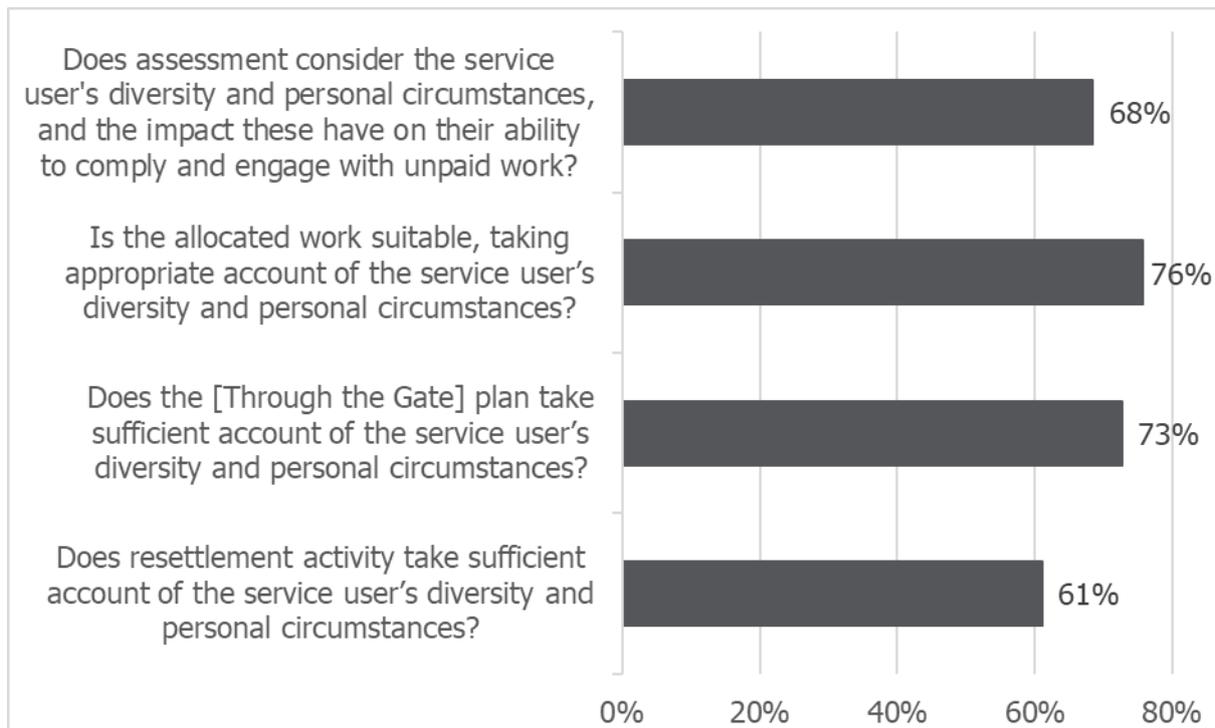
In the CRCs, ethnic monitoring was completed in most cases; however, data on faith, sexuality and disability was unclear in about one-fifth of cases. While assessments analysed diversity and personal circumstances in less than two-thirds (64 per cent) of cases, where this was done the impact on the individual's ability to comply was considered in the vast majority of instances. Staff were then very good at considering these needs in the way services were delivered.

Figure E2: Proportion of cases judged as sufficient: diversity, equality and inclusion (case supervision)



A strategic approach to addressing the needs of women was evident in most CRCs; partnerships with women's centres were operating in most major centres of population. Services for ethnic minorities were less well developed. In unpaid work cases, diversity and personal circumstances were considered at the assessment stage (including the impact on the ability to comply and engage) in about two-thirds (68 per cent) of cases (see Figure E3). Careful attention was paid to addressing protected characteristics in allocating individuals to projects in about three-quarters (76 per cent) of cases, taking into account work, child and dependent care responsibilities, while providing safe working conditions for individuals with a range of needs and abilities.

Figure E3: Proportion of cases judged as sufficient: diversity, equality and inclusion (CRC unpaid work and Through the Gate)



There were some differences in our case assessment findings when dividing the cases according to gender and age, but these were largely explained through the interactions with risk levels. Women and older service users were more likely to present a low likelihood of reoffending and a low risk of serious harm – assessment scores tended to be higher in these cases.

Good practice example: promoting diversity, equality and inclusion

London CRC

The provision of services for women was strong in most London boroughs. The CRC's relationship with Advance (a commissioned charity providing services for women) was mature and purposeful. We found many examples where interventions had led to positive outcomes in securing accommodation for vulnerable women and where emotional wellbeing interventions had led to healthier relationships. The organisation's 'Women's Resettlement and Community Priorities strategy 2018-2019' is comprehensive, and the profile of women supervised by the CRC was well understood. There were women-only interventions, including women-only placements for unpaid work, and all staff working directly with women had undergone training in trauma-informed practice.

The CRC was testing a mentoring pilot for ethnic minority service users. It was encouraging to see that this was being managed well, and that staff involved in the project were considering inputs from service users themselves.

Good practice example: promoting diversity, equality and inclusion

Norfolk and Suffolk CRC

Unpaid work arrangements in the Norfolk and Suffolk CRC were strong, having developed over several years. A consistent service was provided across the whole of the area, responsive to the needs of individuals and communities. Careful attention was paid to protected characteristics and personal circumstances, to ensure that appropriate unpaid work placements were available for individuals with a range of diverse needs. Individuals received a comprehensive induction to their unpaid work requirement, where their diversity and personal circumstances were considered. The allocated work was considered appropriate to the individual's circumstances in eight out of ten cases, with arrangements being flexible enough to enable individuals with different work patterns to attend. Examples included placements at the women's centre for female service users, work instructions in a range of Eastern European languages, and arrangements to accommodate an amputee with limited mobility.

Annex F: Index of figures

All the figures in the report are set out below, clarifying which key questions and prompts within our 2018/2019 standards framework have been used.

2.1	Overall provider ratings
2.2	Ratings at standard level
2.3	Mean score at standard level
2.4	Caseload numbers
2.5	<p>Proportion of cases judged as sufficient: public protection partnership working</p> <ul style="list-style-type: none"> • 2.1.3(c) Does assessment draw sufficiently on available sources of information, including past behaviour and convictions, and involve other agencies where appropriate? • 2.2.3(c) Does planning make appropriate links to the work of other agencies involved with the service user and any multi-agency plans? • 2.3.3(c) Is the involvement of other agencies in managing and minimising the risk of harm sufficiently well-coordinated? • 2.4.3(b) Is reviewing informed by the necessary input from other agencies involved in managing the service user's risk of harm?
2.6	<p>Proportion of cases judged as sufficient: partnership working relating to desistance</p> <ul style="list-style-type: none"> • 2.3.2(c) Is the involvement of other organisations in the delivery of services sufficiently well-coordinated? • 2.4.2(c) Is reviewing informed by the necessary input from other agencies working with the service user?
2.7	<p>Proportion of cases judged as sufficient: CRC Through the Gate partnership working</p> <ul style="list-style-type: none"> • 4.2.3(a) Is there effective coordination of resettlement activity with other services being delivered in the prison? • 4.2.3(c) Do resettlement services support effective handover to local services in the community?
3.1	<p>Proportion of cases judged as sufficient: key questions across the domain two standards</p> <ul style="list-style-type: none"> • 2.1.1 Does assessment focus sufficiently on engaging the service user? • 2.2.1 Does planning focus sufficiently on engaging the service user? • 2.3.1 Is the sentence/post-custody period implemented effectively with a focus on engaging the service user?

- 2.4.1 Does reviewing focus sufficiently on supporting the service user's compliance and engagement?
- 2.1.2 Does assessment focus sufficiently on the factors linked to offending and desistance?
- 2.2.2 Does planning focus sufficiently on reducing reoffending and supporting the service user's desistance?
- 2.3.2 Does the implementation and delivery of services effectively support the service user's desistance?
- 2.4.2 Does reviewing focus sufficiently on supporting the service user's desistance?
- 2.1.3 Does assessment focus sufficiently on keeping other people safe?
- 2.2.3 Does planning focus sufficiently on keeping other people safe?
- 2.3.3 Does the implementation and delivery of services effectively support the safety of other people?
- 2.4.3 Does reviewing focus sufficiently on keeping other people safe?

3.2 Proportion of cases judged as sufficient: advice to courts

- 3.1.1 Is the pre-sentence information and advice provided to court sufficiently analytical and personalised to the service user, supporting the court's decision-making?

3.3 Proportion of cases judged as sufficient: delivering and enforcing the order of the court

- 2.1.1 Does assessment focus sufficiently on engaging the service user?
- 2.2.1 Does planning focus sufficiently on engaging the service user?
- 2.3.1 Is the sentence/post-custody period implemented effectively with a focus on engaging the service user?
- 2.4.1 Does reviewing focus sufficiently on supporting the service user's compliance and engagement?

3.4 Proportion of cases judged as sufficient: delivery of unpaid work

- 4.1.1 Does assessment focus on the key issues relevant to unpaid work?
- 4.1.2 Do arrangements for unpaid work focus sufficiently on supporting the service user's engagement and compliance with the sentence?
- 4.1.3 Do arrangements for unpaid work maximise the opportunity for the service user's personal development?
- 4.1.4 Is the sentence of the court implemented appropriately?

3.5 Proportion of cases judged as sufficient: supporting rehabilitation and desistance

- 2.1.2 Does assessment focus sufficiently on the factors linked to offending and desistance?

	<ul style="list-style-type: none"> • 2.2.2 Does planning focus sufficiently on reducing reoffending and supporting the service user's desistance? • 2.3.2 Does the implementation and delivery of services effectively support the service user's desistance? • 2.4.2 Does reviewing focus sufficiently on supporting the service user's desistance?
3.6	Sufficiency of service delivery against needs linked to offending
3.7	Proportion of cases judged as sufficient: supporting resettlement <ul style="list-style-type: none"> • 4.2.1 Does resettlement planning focus sufficiently on the service user's resettlement needs and on factors linked to offending and desistance? • 4.2.2 Does resettlement activity focus sufficiently on supporting the service user's resettlement? • 4.2.3 Is there effective coordination of resettlement activity?
3.8	Proportion of cases judged as sufficient: protecting the public from serious harm <ul style="list-style-type: none"> • 2.1.3 Does assessment focus sufficiently on keeping other people safe? • 2.2.3 Does planning focus sufficiently on keeping other people safe? • 2.3.3 Does the implementation and delivery of services effectively support the safety of other people? • 2.4.3 Does reviewing focus sufficiently on keeping other people safe?
3.9	Proportion of cases judged as sufficient: engaging with victims <ul style="list-style-type: none"> • 3.2.1 Does the initial contact with the victims encourage engagement with the victim contact scheme? • 3.2.2 Is the personal contact with the victims timely and supportive, providing appropriate information about the criminal justice process? • 3.2.3 Does pre-release contact with the victims allow them to make appropriate contributions to the conditions of release? • 3.2.4 Is there good communication between offender management and victim liaison to support the safety of victims?
E1	Proportion of cases judged as sufficient: diversity, equality and inclusion (NPS court advice) <ul style="list-style-type: none"> • 3.1.1(f) Does the advice consider the service user's diversity and personal circumstances?
E2	Proportion of cases judged as sufficient: diversity, equality and inclusion (case supervision) <ul style="list-style-type: none"> • 2.1.1(b) Does assessment analyse the service user's diversity and personal circumstances, and consider the impact these have on their ability to comply and engage with service delivery?

- 2.2.1(b) Does planning take sufficient account of the service user's diversity and personal circumstances which may affect engagement and compliance?
- 2.3.1(c) Are sufficient efforts made to enable the service user to complete the sentence, including flexibility to take appropriate account of their personal circumstances?

E3 Proportion of cases judged as sufficient: diversity, equality and inclusion (CRC unpaid work and Through the Gate)

- 4.1.1(b) Does assessment consider the service user's diversity and personal circumstances, and the impact these have on their ability to comply and engage with unpaid work?
- 4.1.2(a) Is the allocated work suitable, taking appropriate account of the service user's diversity and personal circumstances?
- 4.2.1(e) Does the [Through the Gate] plan take sufficient account of the service user's diversity and personal circumstances?
- 4.2.2(c) Does resettlement activity take sufficient account of the service user's diversity and personal circumstances?