



Her Majesty's
Inspectorate of
Probation

Inspecting probation services: A technical review of our standards framework

HM Inspectorate of Probation
Research & Analysis Bulletin 2020/05

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HMI Probation is committed to reviewing, developing and promoting the evidence base for high-quality probation and youth offending services. Our *Research & Analysis Bulletins* are aimed at all those with an interest in the quality of these services, presenting key findings to assist with informed debate and help drive improvement where it is required. The findings are used within HMI Probation to develop our inspection programmes, guidance and position statements.

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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.

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Executive summary

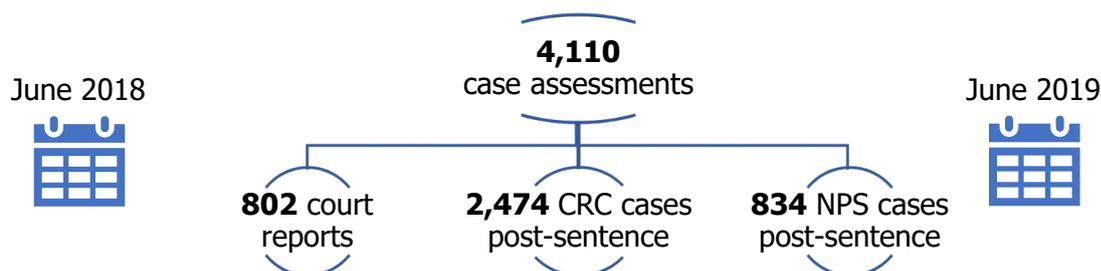
Context

We launched a probation inspection programme in 2018 with a new inspection standards framework. The standards are grouped into three domains, with each standard (four within each domain) underpinned by key questions and prompts.

We are committed to continually reviewing our standards framework, and the focus in this bulletin is upon the technical performance of the framework, covering five of the case-level delivery standards. Across these standards, we consider whether we are measuring discrete, coherent and critical aspects of service delivery, supporting the accompanying inspection ratings.

Approach

The findings are based upon data collected from our probation inspections completed between June 2018 and June 2019. Across these inspections, we examined a total of 802 cases at the pre-sentence stage and 3,308 cases in relation to their post-sentence supervision. In each case, our inspectors made a range of judgements about the quality of delivery, recording yes/no responses at the key question level, informed by similar yes/no responses at the prompt level.



Key findings and implications

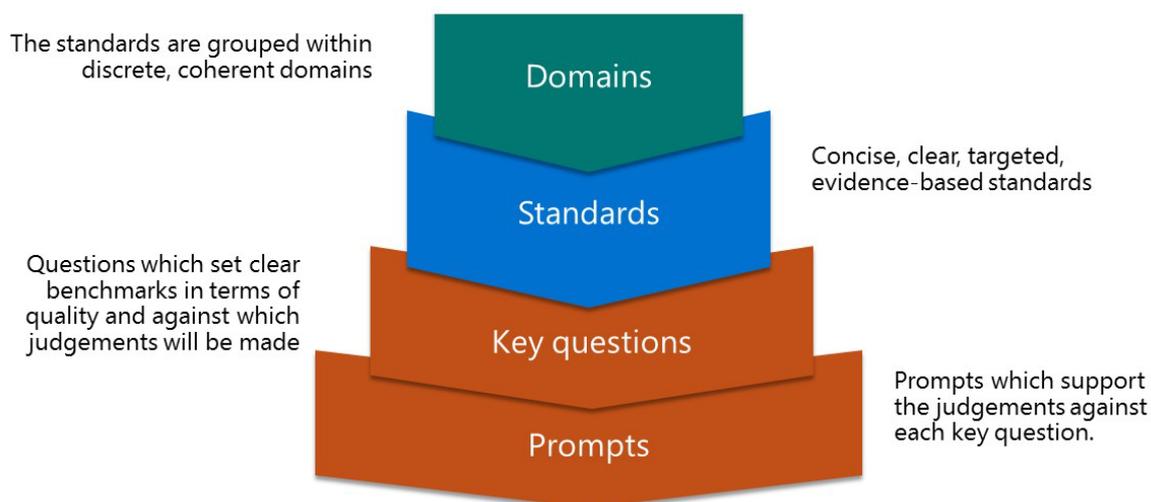
- In terms of a focus upon the most **critical** aspects of service delivery, we found five of the nine pre-sentence prompts to be driving the inspectors' overall judgements – we recognise that nine prompts is a relatively large number to balance into a single judgement. Across the post-sentence case supervision key questions, all of the underpinning prompts were found to be driving the inspectors' judgements, indicating that all were independently important.
- We found the standards to have strong **coherence**, with the prompts within each key question correlating well with each other. The weakest correlation was for the prompt focusing upon the timeliness of commencing delivery, indicating that speed does not always align with wider aspects of quality. We are very clear that the former should not be pursued to the detriment of the latter.
- We found that the standards were measuring **discrete** aspects of delivery, with each set of prompts mainly distinct from each other. The key questions within our case supervision standards distinguish between the aims of (i) engaging service users, (ii) supporting their desistance, and (iii) protecting the public. This structure was maintained, with two exceptions:

- a natural split between engagement/completion and non-compliance/enforcement within the implementation/delivery standard (reflecting the carrot and stick approach which practitioners need to balance); and
 - a separating out of formal recording from the earlier analytical stages within the reviewing standard.
- We are in the process of amending our standards framework to reflect the new probation delivery model which will commence in June 2021. When considering potential changes, the findings in this bulletin will be considered alongside other internal and external feedback on the framework's application, as well as any relevant developments in the underlying evidence base for delivering high-quality probation services. We are determined to ensure that our approach remains focused on those areas that make a difference to the quality of probation services, and that providers know where to focus their efforts when improvement is required.

1. Introduction

We launched a probation inspection programme in 2018 with a new inspection standards framework grounded in evidence, learning and experience. As set out in Figure 1 below, the standards are grouped into domains, with each standard underpinned by key questions and prompts. When developing this framework,¹ we took account of the evidence (from studies across differing disciplines) that the reliability and validity of professional judgement is aided through the structuring of these judgements. We recognised that the greater the number of prompts underpinning a key question, the more difficult it becomes to balance them into a single judgement. We thus took the view that no key question should have more than ten prompts. We further recognised the need for the standards, key questions and prompts to be coherent, sufficiently comprehensive and balanced, supporting inspection ratings. They need to be sufficiently discrete, one from another, and they should be restricted to those areas that are most essential.

Figure 1: The structure of the standards framework



Three domains were created:

- Domain one covers how well the organisation is led, managed and set up.
- Domain two covers the quality of supervision in individual cases.
- Domain three is modular and sector specific, recognising that responsibility for some other areas of probation work rests solely with the National Probation Service (NPS; e.g. court work) or solely with the Community Rehabilitation Companies (CRCs; e.g. unpaid work).

Each domain has four standards, and each standard is accompanied by a rating: outstanding; good; requires improvement; inadequate. In domains two and three, these

¹ The full standards framework can be found here: <https://www.justiceinspectorates.gov.uk/hmprobation/about-our-work/our-standards-and-ratings/>.

ratings are driven by the results from our assessments of individual cases.² In each case, inspectors make yes/no judgements at the key question level, informed by similar yes/no judgements at the prompt level.

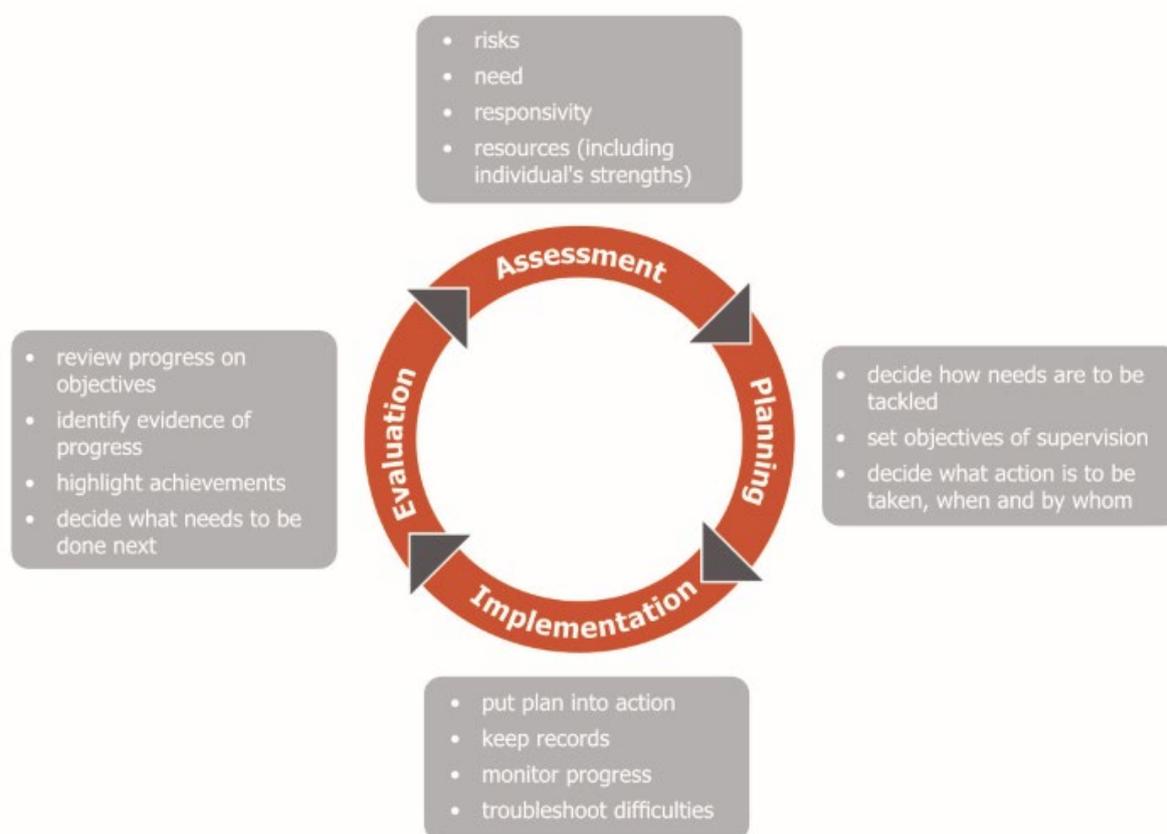
We continually review our standards framework, evaluating how well it is working and whether it remains focused on those areas that are most essential.³ In this bulletin, we focus upon the technical performance of the framework. Using the case assessment data from our 2018/2019 inspections, we examine which prompts have been influential, and how these prompts relate to each other. We cover our judgements relating to pre-sentence reports (PSRs; within domain three) and our judgements relating to post-sentence supervision (domain two).

The government has announced changes to the way that probation services will be delivered from June 2021, and we intend to continue assessing these key areas of work, driving improvements where they are needed. It will continue to be the responsibility of the NPS to deliver PSRs to provide advice and information to help judges and magistrates decide on the most appropriate sentence for individual service users. Within our inspections, we consider whether the specialist court-based teams are providing the courts with well-informed, considered and tailored advice. The quality of this advice has a further impact post-sentence, with high quality PSRs assisting responsible officers in timely and sufficient assessment and sentence planning. This is the starting point of the well-established and recognised ASPIRE model for case supervision (see Figure 2 below). Within our inspections, we make judgements as to the quality of supervision across this process.

² In domain one, judgements are not driven by findings in individual cases – they are single judgements, based upon a wide range of sources.

³ We have previously examined the links between organisational inputs and the quality of delivery in individual cases, and plan to match our case assessment data with appropriate outputs/outcomes data, further validating the inputs → activities → outputs → outcomes logic model.

Figure 2: ASPIRE model for case supervision



The standards framework was also designed to reflect the high-level expectations that government and the public have of probation services. As set out in Table 1 below, the key questions across the APSIRE case supervision standards are aligned to the following enduring expectations:

- engaging service users and ensuring the sentence of the court is served
- reducing reoffending and supporting desistance
- protecting the public.

Table 1: Number of prompts by key question

Key questions	Number of prompts
3.1 Court reports and case allocation	
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?	9
2.1 Assessment	
2.1.1 Does assessment focus sufficiently on engaging the service user?	3
2.1.2 Does assessment focus sufficiently on the factors linked to offending and desistance?	3
2.1.3 Does assessment focus sufficiently on keeping other people safe?	3

Key questions	Number of prompts
2.2 Planning	
2.2.1 Does planning focus sufficiently on engaging the service user?	5
2.2.2 Does planning focus sufficiently on reducing reoffending and supporting the service user's desistance?	3
2.2.3 Does planning focus sufficiently on keeping other people safe?	4
2.3 Implementation and delivery	
2.3.1 Is the sentence/post-custody period implemented effectively with a focus on engaging the service user?	7
2.3.2 Does the implementation and delivery of services effectively support the service user's desistance?	6
2.3.3 Does the implementation and delivery of services effectively support the safety of other people?	5
2.4 Reviewing	
2.4.1 Does reviewing focus sufficiently on supporting the service user's compliance and engagement?	3
2.4.2 Does reviewing focus sufficiently on supporting the service user's desistance?	4
2.4.3 Does reviewing focus sufficiently on keeping other people safe?	4

2. Findings

The findings presented in this bulletin are based upon the case assessment data from our inspections of CRCs and NPS Divisions completed between June 2018 and June 2019.⁴ We inspected 808 NPS court reports and 3,308 (834 NPS and 2,474 CRC) cases post-sentence. Breakdowns of the service user profiles within these case samples can be found in Annex B – there were higher proportions of high-risk cases in the post-sentence sample.

The focus in the bulletin is upon the technical performance of the standards framework rather than user requirements such as face validity, clarity or simplicity. We consider whether the standards are measuring *discrete, coherent and critical aspects of service delivery* by examining:

- (i) which prompts are the main drivers of judgements at the key question level;
- (ii) how well the prompts within each key question tie together and measure various aspects of the same characteristic; and
- (iii) the extent to which the prompts can be explained by groupings which are distinct from the other sets of prompts.

As set out in Annex C, there are some further supplementary questions within our case assessments tools, and these have been incorporated within the analysis where appropriate.⁵

To look at the drivers of the inspectors' judgements, binary logistic regression was used to account for the relationships between the prompts. To examine the coherence of the standards, Cronbach's alpha scores were used, measuring how well the individual prompts in each key question correlate with the sum of the remaining prompts. Item-scale correlations were also calculated. To examine how well the standards are measuring discrete aspects of delivery, principal component analysis was used, assessing the variance among all the prompts and then explaining these prompts in terms of their common underlying dimensions (components).⁶

⁴ See Annex A for further information about our case assessment approach.

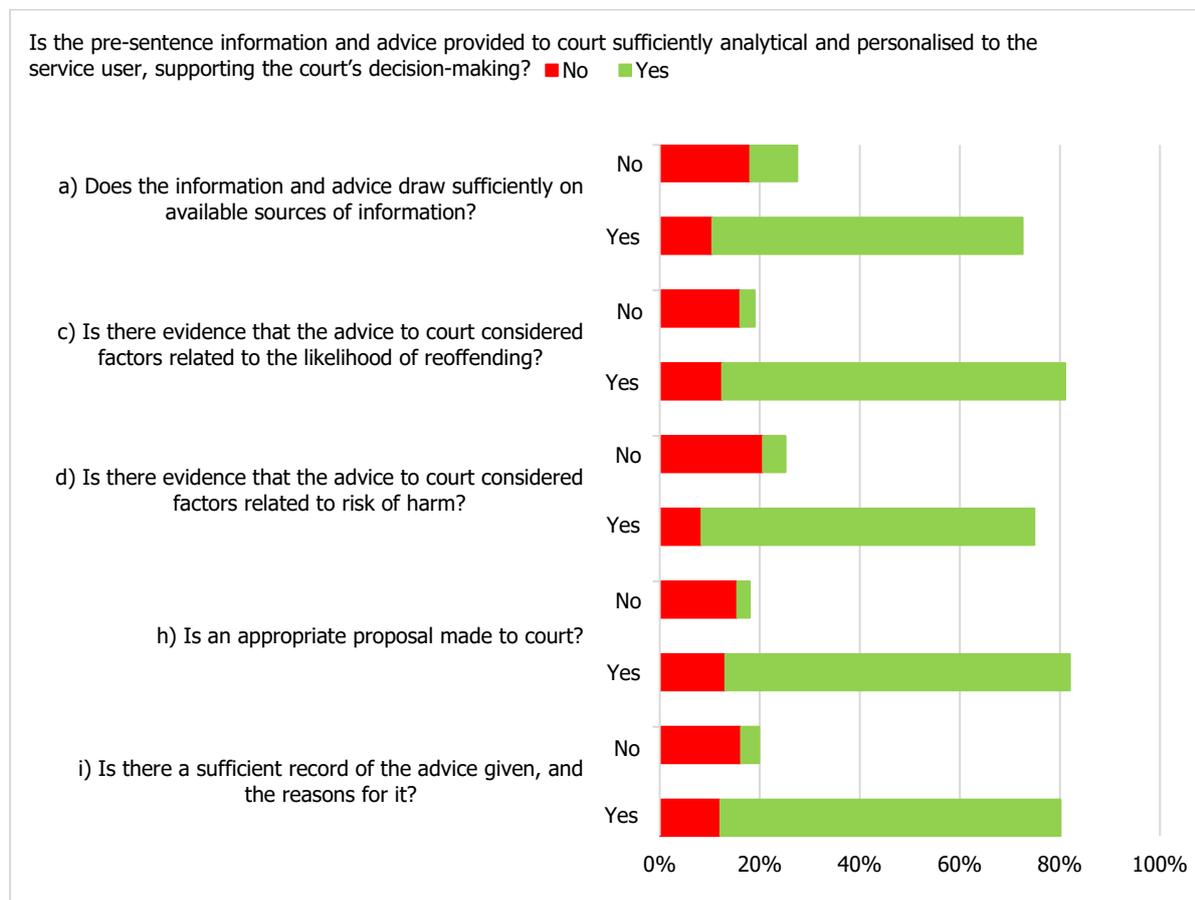
⁵ The two supplementary questions relating to court reports were excluded from the analysis – they are very specific questions about the availability of certain information sources, and were answered positively in the vast majority of cases (95%+). Two prompts within 2.3.1 were also excluded from the analysis, as they were not applicable in more than half the cases – they only applied in cases released from custody (2.3.1(d)) or in cases where enforcement actions had been taken (2.3.1(f)).

⁶ See Annex A for further information about the analysis.

2.1 Critical aspects of service delivery

The standards framework should be focused on the most *critical* aspects of service delivery. There is a single key question on the quality of pre-sentence information and advice, underpinned by nine prompts – a relatively large number of prompts to balance into a single judgement. Five of the nine prompts were found to be independently driving the inspectors’ judgements (taking into account the relationships between the prompts).⁷ These five prompts are set out in Figure 3. As can be seen, the pre-sentence advice was more likely to be judged sufficient (the green proportion of the bars) when it had drawn appropriately upon available sources of information and sufficiently considered the dual high-level expectations of supporting desistance and protecting the public. The final proposal should then be deemed appropriate, with a sufficient record of the advice and the reasoning.

Figure 3: Quality of pre-sentence information and advice by responses to prompt questions



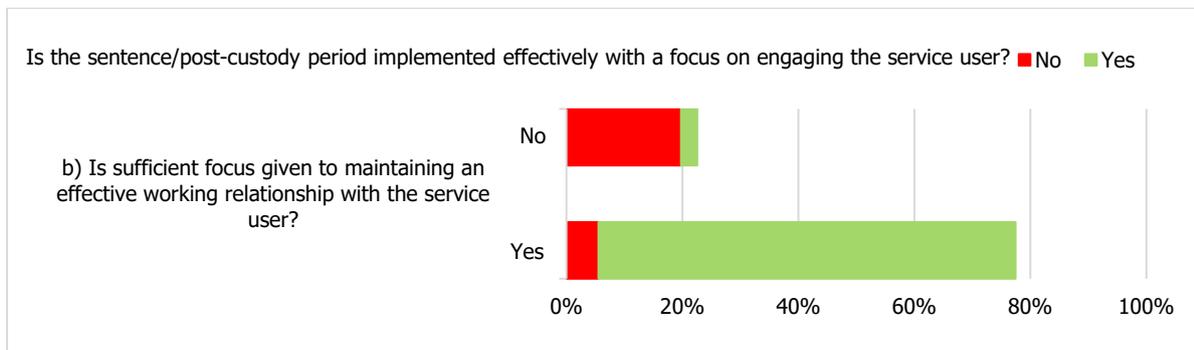
⁷ All the logistic regression models can be found in Annex D.

Across the post-sentence case supervision key questions, all of the underpinning prompts were found to be driving the inspectors' judgements, indicating that all were independently important. The magnitude of the associations between the prompts and the higher-level key questions varied considerably, with the biggest effect size for yes vs. no responses to the following prompt:

'Is sufficient focus given to maintaining an effective working relationship with the service user'.

As shown by Figure 4, when the inspector made a positive judgement against this prompt, the key question judgement was positive in 93% of cases, compared to 12% of cases when the prompt judgement was negative. This is perhaps not surprising when one considers how the importance of individual relationships is highlighted across the desistance, personal recovery, supervision skills and what works literature. People are influenced to change by those whose advice they respect and whose support they value, and staff need to utilise their skills, knowledge and experience to establish relationships which are trusting, supportive, challenging and meaningful.

Figure 4: Effectiveness of sentence implementation by sufficiency of focus on working relationship



2.2 Coherent aspects of service delivery

Focusing on the *coherence* of the standards, all of the key questions were found to have good internal consistency, with the prompts (and supplementary questions) correlating well with each other, indicating that they are measuring various aspects of the same construct. As shown in Annex E, the Cronbach's alpha score for each key question was at least 0.8 (and at least 0.9 for three key questions).

Removal of individual prompts resulted in an increase in the overall alpha score for just three of the 59 prompts, but in all instances, the increase was marginal (an increase of 0.01). The following prompt, within the implementation/delivery standard, was the only one to also have an item-scale correlation below 0.5:⁸

2.3.1(a) Do the requirements of the sentence start promptly, or at an appropriate time?

The focus of this prompt upon timeliness distinguishes it from the other prompts which cover wider aspects of quality. There can sometimes be a conflict between speed and overall quality; we are very clear that the former should not be pursued to the detriment of the latter.

In relation to the supplementary questions, the following question within the assessment standard also had an item-scale correlation below 0.5, with a marginal increase (0.01) in the overall alpha score when removed:

2.1.3 Is the responsible officer's classification of risk of serious harm correct?

Looking across all the case supervision prompts and key questions, a positive judgement was most likely for this specific question (87% positive). While inspectors usually judged the practitioner risk classification to be correct, they often found issues with the wider assessment.

⁸ Some commentators have proposed a lower cut-off (e.g. 0.3) when considering the removal of individual items.

2.3 Discrete areas of service delivery

Each set of prompts within the standards framework should also measure *discrete* aspects of delivery, requiring them to be sufficiently distinct from the other prompts. Principal component analysis was thus used to group the prompts within each standard into their common underlying components (see Annex F for the resulting tables).

The court report prompts all fell into one principal component, which aligns to their single grouping within the standards framework. There thus appears to be no obvious split within these prompts.

As highlighted previously, the prompts within the case supervision standards are all grouped according to the following three enduring expectations:

- engaging service users and ensuring the sentence of the court is served;
- reducing reoffending and supporting desistance; and
- protecting the public.

When requesting a three-component solution, the prompts within the assessment standard fell into components aligning to this engagement/desistance/public protection structure, with each prompt in the expected component. A similar structure was produced for the planning standard, with the prompts falling within the expected component except for the two prompts set out in Table 2 (with a further supplementary question marked in italics). The non-alignment of these two prompts demonstrates the close relationship between engaging service users and supporting their desistance. For example, while a focus upon strengths is emphasised in the desistance literature, it also supports initial engagement and ensuring that the service user is meaningfully involved, with their views and individual circumstances sufficiently reflected.⁹

⁹ There was a strong correlation – concurrence in 80% of cases – between the strengths prompt (2.2.2(b)) and the following engagement prompt: 'Does planning take sufficient account of the service user's diversity and personal circumstances which may affect engagement and compliance?' (2.2.1(c)).

Table 2: Planning prompts and supplementary questions within non-corresponding components

Prompt/supplementary question	Grouping within standards framework (key question)	Grouping within analysis (principal component)
2.2.2(b) Does planning build on the service user's strengths and protective factors, utilising potential sources of support?	Desistance	Engagement
2.2.1(d) Does planning set out how all the requirements of the sentence or licence/ post-sentence supervision will be delivered within the available timescales?	Engagement	Desistance
<i>2.2.1 Is there a clear, written record of the plan to engage the service user?</i>	<i>Engagement</i>	<i>Desistance</i>

Analysis of the prompts within the implementation/delivery standard revealed a more logical four-component solution, with the prompts within the first key question divided according to their focus on (i) engagement/completion; and (ii) non-compliance/enforcement. The carrot and stick approach which practitioners continually need to manage and balance is reflected in this distinction.

Otherwise, the prompts fell within the expected components except for the two prompts set out in Table 3. In both instances, there are equivalent prompts underpinning the other key question, recognising the relevance of: (i) key individuals around the service user in terms of preventing more serious reoffending and harm; and (ii) the level and nature of contact with the service user in terms of supporting their desistance. There were strong correlations between the equivalent prompts – 91% concurrence in relation to the key individual prompts and 90% concurrence in relation to the level/nature of contact prompts. This indicates that it was uncommon for us to find key individuals and the level/nature of contact supporting only one of aspect of desistance or public protection.

Table 3: Implementation/delivery prompts within non-corresponding components

Prompt	Grouping within standards framework (key question)	Grouping within analysis (principal component)
2.3.2(d) In cases where there are key individuals in the service user's life, are they engaged where appropriate to support their desistance?	Desistance	Public protection
2.3.3(a) In relevant cases, is the level and nature of contact offered sufficient to manage and minimise the risk of harm?	Public protection	Desistance

Analysis of the prompts within the reviewing standard also revealed a more logical four-component solution, with the three prompts relating to written reviews/formal recording falling into a distinct component, separate from the other prompts which cover differing quality aspects of the earlier reviewing processes. All other prompts fell within the expected components.

3. Conclusion

When we launched the inspection standards framework in 2018, we highlighted its grounding in evidence, learning and experience, and our intention to continually review and update it over time. The focus in the bulletin has been upon the technical performance of the framework (rather than user requirements such as face validity, clarity or simplicity), encompassing five of the case-level delivery standards. Across these standards, it is considered whether we are measuring discrete, coherent and critical aspects of service delivery, supporting the accompanying inspection ratings.

In terms of an emphasis upon the most **critical** aspects of service delivery, five of the nine pre-sentence prompts were driving the inspectors' overall judgements. When designing the standards framework, we recognised that the greater the number of prompts underpinning a key question, the more difficult it becomes to balance them into a single judgement – nine prompts is at the high end. Across the post-sentence case supervision key questions, all of the underpinning prompts were found to be driving the inspectors' judgements, indicating that all were independently important.

The standards examined had strong **coherence**, with the prompts within each key question correlating well with each other. The weakest correlation was for the prompt focusing upon the timeliness of commencing delivery, indicating that speed does not always align with wider aspects of quality. We are very clear that the former should not be pursued to the detriment of the latter. There was also a relatively weak correlation for a supplementary question asking whether the responsible officer's classification of risk of serious harm was correct. While inspectors usually judged the classification to be correct, they often found issues with the wider assessment of risk.

The standards framework was found to be measuring **discrete** aspects of delivery, with each set of prompts mainly distinct from each other. The key questions within our case supervision standards distinguish between the aims of (i) engaging service users, (ii) supporting their desistance, and (iii) protecting the public. This structure was maintained, with two exceptions:

- a natural split between engagement/completion and non-compliance/enforcement within the implementation/delivery standard; and
- a separating out of formal recording from the earlier analytical stages within the reviewing standard.

There were also a few instances of prompts falling into principal components different to their positioning in the standards framework, illustrating the close relationship between engaging service users, supporting their desistance, and protecting the public. We have continually emphasised the need for providers and practitioners to focus upon all three areas, which is why they are afforded equal importance (i.e. no weightings) within the ratings which accompany our inspection standards.

We are in the process of amending our standards framework to reflect the new probation delivery model which will commence in June 2021 – we intend to continue to inspect the quality of the court report and the quality of case supervision across the ASPIRE process. When considering any potential changes to these standards, the technical performance findings in this bulletin will be considered alongside other analytical findings (e.g. we plan to match our case assessment data to appropriate outputs/outcomes data) and the internal/external feedback on the framework's application, as well as relevant developments in the underlying evidence base for delivering high-quality probation

services. We are determined to ensure that our approach remains focused on those areas that make a difference to the quality of probation services, and that providers know where to focus their efforts when improvement is required.

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Annex A: 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 A1 below).

Table A1: Probation inspections, June 2018 – June 2019

Provider	CRC or NPS	Month of report publication
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

Case samples

As set out below, proportionate stratified random sampling was used to achieve sufficiently representative samples. 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.¹⁰

Court reports

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 information-gathering and the quality of the written evidence in the report provided to court.

Post-sentence case supervision

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 again 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.

Analysis

In this bulletin, a range of quantitative analytical methods have been used to evaluate the construction of our probation standards. To identify the critical drivers of the inspectors' judgements, binary logistic regression was used to analyse how the relevant prompts (and supplementary questions) independently contributed to each higher-level key question. For each regression model, a forced entry method was used, entering all the variables in a single step. This method identifies the unique effect of each independent variable (prompt/supplementary question) to predict the dependent variable (key question).

To examine coherence (internal consistency), Cronbach's alpha scores were used to measure how well the individual prompts (and supplementary questions) underpinning each key question correlated with the sum of the remaining prompts/questions. Alpha scores generally increase when the correlations between questions increase, thus indicating the extent to which each set of questions can be treated as measuring a coherent characteristic. By comparing the overall alpha score for the key question to the score produced when each individual prompt/supplementary question was removed, the results were used to indicate which items were not contributing to the internal consistency of the

¹⁰ The reliability and validity of judgements was further supported through training and quality assurance activities.

key question. Item-scale correlations were also calculated to demonstrate which prompts/supplementary questions were poorly correlated with the total of scores on all other items.

To examine how well the standards are measuring discrete aspects of delivery, factor analysis using the principal components extraction method was used. Principal component analysis assesses the variance amongst questions and then groups them in terms of their composite dimensions (components) to explain the maximal variance. The correlation matrix was used in the method of analysis, and components were rotated using VARIMAX.

The number of components retained for each standard varied, with multiple criteria used to assess the optimal number. The criteria included: Eigenvalue greater than one; scree plot break points; and a priori structure within the standards framework and components for interpretability.¹¹ Not all noted criteria were met within each analysis. Where appropriate, multiple iterations of the analysis retaining different numbers of principal components were assessed to identify the most logical component groupings. The final criteria were as follows:

- Court reports (one component): Eigenvalue > 1 and standards framework.
- Assessment (three components): Eigenvalue > 1 and standards framework.
- Planning (three components): Eigenvalue > 1 and standards framework.
- Implementation and delivery (four components): Standards framework and component structure.
- Reviewing (four components): Standards framework and component structure.

¹¹ Yong, A.G. and Pearce, S. (2013). 'A beginner's guide to factor analysis: Focusing on exploratory factor analysis', *Tutorials in quantitative methods for psychology*, 9(2), pp.79-94.

Annex B: Case assessments – service user profiles

Information on the profiles of the service users within our case samples are set out in Table B1 below. Data was missing for some variables – percentages relate to the data available for each variable and not all inspected cases.

Table B1: Case sample profiles

		Pre-sentence		Case supervision	
		n	%	n	%
All cases		808	-	3,308	-
Gender	Male	671	83.4	2,815	85.6
	Female	134	16.6	472	14.4
Age group	18-20	60	7.5	150	4.6
	21-24	85	10.6	383	11.7
	25-29	184	22.9	573	17.5
	30-39	238	29.6	1,160	35.4
	40-49	151	18.8	646	19.7
	50+	87	10.8	366	11.2
Ethnic group	White	655	85.4	2,662	82.7
	Black	50	6.5	224	7.0
	Asian	37	4.8	177	5.5
	Mixed	13	1.7	119	3.7
	Other	12	1.6	37	1.1
Supervision type	Community sentence	-	-	1,788	54.4
	Post-custody	-	-	1,499	45.6
OGRS band	Low	451	59.6	1356	42.1
	Medium	185	24.4	934	29.0
	High/Very high	121	16.0	931	28.9
RoSH level	Low	322	41.6	777	23.9
	Medium	414	53.5	2,017	62.1
	High/Very high	38	4.9	452	13.9
Domestic abuse perpetrator – current concerns	Yes	259	32.2	1,401	42.5
	No	352	43.7	1,533	46.5
	Not clear from records	194	24.1	364	11.0
Child safeguarding/ protection – current concerns	Yes	204	25.4	1,221	37.1
	No	395	49.1	1,651	50.2
	Not clear from records	205	25.5	420	12.8

Annex C: Frequency tables

All of the key questions, prompts and supplementary questions are set out in Tables C1 to C5 below, alongside the number of cases in which answered and the percentage of cases in which the inspectors' judgement was positive. The key questions are in bold, while the supplementary questions are in italics. In a few instances, prompts have been divided, hence the duplicate numbering.

Table C1: Responses to court report questions

Key question, prompt or supplementary question	n	% yes
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?	804	71%
a) Does the information and advice draw sufficiently on available sources of information?	803	73%
b) Is there evidence that the service user is meaningfully involved in the preparation of the report, and are their views taken into account?	802	87%
c) Is there evidence that the advice to court considered factors related to the likelihood of reoffending?	804	81%
d) Is there evidence that the advice to court considered factors related to risk of harm?	758	75%
e) Is there evidence that the advice to court considered the service user's motivation and readiness to change?	801	74%
f) Is there evidence that the advice to court considered the service user's diversity and personal circumstances?	801	83%
g) Is there evidence that the advice to court considered the impact of the offences on known/identifiable victims?	645	66%
h) Is an appropriate proposal made to court?	796	82%
i) Is there a sufficient record of the advice given, and the reasons for it?	802	80%
<i>Were up-to-date previous convictions available at the point the report was prepared?</i>	806	95%
<i>Was a written copy of the prosecution papers available at the point the report was prepared?</i>	805	98%

Table C2: Responses to assessment questions

Key question, prompt or supplementary question	n	% yes
2.1.1 Does assessment focus sufficiently on engaging the service user?	3,303	71%
a) Does assessment analyse the service user's motivation and readiness to engage and comply with the sentence?	3,301	71%
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?	2,963	57%
c) Is the service user meaningfully involved in their assessment and are their views taken into account?	3,279	69%
<i>Is there sufficient assessment (of engaging the service user) within an appropriate period following the start of sentence or release on licence?</i>	3,295	75%
<i>Is there a clear, written record of the assessment of engaging the service user?</i>	3,282	79%
2.1.2 Does assessment focus sufficiently on the factors linked to offending and desistance?	3,303	68%
a) Does assessment identify offending-related factors?	3,299	82%
a) Does assessment analyse offending-related factors?	3,279	61%
b) In relevant cases, does assessment identify the service user's strengths and protective factors?	2,805	74%
c) Does assessment draw sufficiently on available sources of information?	3,271	63%
<i>Is there sufficient assessment of offending and desistance factors within an appropriate period following the start of sentence or release on licence?</i>	3,288	72%
<i>Is there a clear, written record of the assessment of offending and desistance factors?</i>	3,280	80%
2.1.3 Does assessment focus sufficiently on keeping other people safe?	3,299	60%
a) Does assessment clearly identify any risk of harm to others?	2,900	59%
a) Does assessment clearly analyse any risk of harm to others?	2,895	59%
a) Does assessment specify who is at risk?	2,896	71%
a) Does assessment specify the nature and level of the risk?	2,887	70%
c) Does assessment of risk of harm include information from partner agencies, and involve them where appropriate?	2,657	54%
c) Does assessment of risk of harm take into account past behaviour and convictions?	2,882	69%
<i>Is the responsible officer's classification of risk of serious harm correct?</i>	3,202	87%

Key question, prompt or supplementary question	n	% yes
<i>Is there sufficient assessment (to keep other people safe) within an appropriate period following the start of sentence or release on licence?</i>	3,281	67%
<i>Is there a clear, written record of the assessment to keep other people safe?</i>	3,277	76%

Table C3: Responses to planning questions

Key question, prompt or supplementary question	n	% yes
2.1.1 Does assessment focus sufficiently on engaging the service user?	3,303	71%
d) Does assessment analyse the service user's motivation and readiness to engage and comply with the sentence?	3,301	71%
e) 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?	2,963	57%
f) Is the service user meaningfully involved in their assessment and are their views taken into account?	3,279	69%
<i>Is there sufficient assessment (of engaging the service user) within an appropriate period following the start of sentence or release on licence?</i>	3,295	75%
<i>Is there a clear, written record of the assessment of engaging the service user?</i>	3,282	79%
2.1.2 Does assessment focus sufficiently on the factors linked to offending and desistance?	3,303	68%
b) Does assessment identify offending-related factors?	3,299	82%
d) Does assessment analyse offending-related factors?	3,279	61%
e) In relevant cases, does assessment identify the service user's strengths and protective factors?	2,805	74%
f) Does assessment draw sufficiently on available sources of information?	3,271	63%
<i>Is there sufficient assessment of offending and desistance factors within an appropriate period following the start of sentence or release on licence?</i>	3,288	72%
<i>Is there a clear, written record of the assessment of offending and desistance factors?</i>	3,280	80%
2.1.3 Does assessment focus sufficiently on keeping other people safe?	3,299	60%
b) Does assessment clearly identify any risk of harm to others?	2,900	59%
b) Does assessment clearly analyse any risk of harm to others?	2,895	59%
b) Does assessment specify who is at risk?	2,896	71%
b) Does assessment specify the nature and level of the risk?	2,887	70%

Key question, prompt or supplementary question	n	% yes
d) Does assessment of risk of harm include information from partner agencies, and involve them where appropriate?	2,657	54%
d) Does assessment of risk of harm take into account past behaviour and convictions?	2,882	69%
<i>Is the responsible officer's classification of risk of serious harm correct?</i>	3,202	87%
<i>Is there sufficient assessment (to keep other people safe) within an appropriate period following the start of sentence or release on licence?</i>	3,281	67%
<i>Is there a clear, written record of the assessment to keep other people safe?</i>	3,277	76%

Table C4: Responses to implementation and delivery questions

Key question, prompt or supplementary question	n	% yes
2.3.1 Is the sentence/post-custody period implemented effectively with a focus on engaging the service user?	3,297	75%
a) Do the requirements of the sentence start promptly, or at an appropriate time?	3,302	76%
b) Is sufficient focus given to maintaining an effective working relationship with the service user?	3,293	78%
c) Are sufficient efforts made to enable the service user to complete the sentence, including flexibility to take appropriate account of their personal circumstances?	3,296	86%
d) Was there a proportionate level of contact with the prisoner before release? ¹²	1,483	59%
e) Are risks of non-compliance identified and addressed in a timely fashion to reduce the need for enforcement actions?	3,271	73%
f) In cases where it was required, were enforcement actions taken?	2,015	73%
g) In cases where enforcement action was taken, are sufficient efforts made to re-engage the service user after enforcement action or recall? ¹³	1,459	84%
<i>When required, are appropriate professional judgements recorded in relation to decisions about missed appointments?</i>	2,858	80%
2.3.2 Does the implementation and delivery of services effectively support the service user's desistance?	3,285	55%
a) Are the delivered services those most likely to reduce reoffending and support desistance, with sufficient attention given to sequencing and the available timescales?	3,209	56%

¹² Not included in analysis due to sample size.

¹³ Not included in analysis due to being conditional on previous prompt.

Key question, prompt or supplementary question	n	% yes
b) Where possible, in cases where there were relevant strengths or protective factors, does the delivery of services build upon the service user's strengths and enhance protective factors?	2,661	69%
c) In cases where other organisations were involved in the delivery of services, was that sufficiently well-coordinated?	2,604	65%
d) In cases where there are key individuals in the service user's life, are they engaged where appropriate to support their desistance?	2,184	55%
e) Is the level and nature of contact sufficient to reduce reoffending and support desistance?	2,501	72%
f) Are local services engaged to support and sustain desistance during the sentence and beyond?	2,784	63%
2.3.3 In relevant cases, does the implementation and delivery of services effectively support the safety of other people?	2,690	49%
a) In relevant cases, is the level and nature of contact offered sufficient to manage and minimise the risk of harm?	2,690	63%
b) In relevant cases, where there are identifiable actual or potential victims, is sufficient attention given to protecting actual and potential victims?	2,548	49%
c) In relevant cases, is the involvement of other agencies in managing and minimising the risk of harm sufficiently well-coordinated?	2,287	56%
d) In relevant cases, where there are key individuals in the service user's life, are they engaged where appropriate to support the effective management of risk of harm?	1,808	53%
e) In relevant cases, are home visits undertaken where necessary to support the effective management of risk of harm?	2,339	44%

Table C5: Responses to reviewing questions

Key question, prompt or supplementary question	n	% yes
2.4.1 In relevant cases does reviewing focus sufficiently on supporting the service user's compliance and engagement?	2,728	69%
a) In cases where it is needed, does reviewing consider compliance and engagement levels and any relevant barriers?	2,559	74%
a) In cases where it was needed, were any necessary adjustments made to the ongoing plan of work to take account of compliance and engagement levels and any relevant barriers?	2,163	65%
b) In cases where it was needed, was the service user meaningfully involved in reviewing their progress and engagement?	2,725	53%
c) In cases where it is required, are written reviews completed where required as a formal record of actions to implement the sentence?	2,473	72%

Key question, prompt or supplementary question	n	% yes
2.4.2 In relevant cases, does reviewing focus sufficiently on supporting the service user's desistance?	2,437	65%
a) In relevant cases, does reviewing identify and address changes in factors linked to desistance and offending?	2,146	66%
a) In cases where it was necessary, were any necessary adjustments made to the ongoing plan of work to take account of changes in factors linked to desistance and offending?	2,007	61%
b) In cases where it is required, does reviewing focus sufficiently on building upon the service user's strengths and enhancing protective factors?	1,864	66%
c) In cases where other agencies are working with the service user, does input from them inform reviewing?	2,037	64%
d) In cases where it is required, are written reviews completed as appropriate as a formal record of the progress towards desistance?	2,226	68%
2.4.3 In relevant cases, does reviewing focus sufficiently on keeping other people safe?	1,863	50%
a) In cases where there have been changes in factors related to risk of harm, does reviewing identify them?	1,865	54%
a) In cases where it was necessary, were necessary adjustments made to the ongoing plan of work to take account of changes in the risk of harm?	1,610	47%
b) In cases where other agencies were involved in managing the service user's risk of harm, does input from them inform reviewing?	1,717	55%
c) Is the service user (and, where appropriate, key individuals in the service user's life) meaningfully involved in reviewing their risk of harm?	1,860	42%
d) In relevant cases, are written reviews completed as needed as a formal record of the management of the service user's risk of harm?	1,797	61%

Annex D: Logistic regression tables

The logistic regression models are set out in Tables D1 to D5. In each table, the asterisks indicate whether the association with the prompt/supplementary question is significant and to which level (***) $p < .001$; **) $p < .01$; *) $p < .05$). The odds ratios are an indication of effect size, comparing: (i) the odds of a positive response to the summary question when the response to the prompt/supplementary question was positive; with (ii) the odds of a positive response to the summary question when the response to the prompt/supplementary question was negative.

All supplementary questions are marked in italics.

Court reports

Table D1: Regression model for quality of pre-sentence information and advice

Prompt	b (SE)	Odds ratio
a) Does the information and advice draw sufficiently on available sources of information?	1.76 (0.39) ***	5.82
b) Is there evidence that the service user is meaningfully involved in the preparation of the report, and are their views taken into account?	0.95 (0.67)	2.58
c) Is there evidence that the advice to court considered factors related to the likelihood of reoffending?	1.82 (0.57) **	6.17
d) Is there evidence that the advice to court considered factors related to risk of harm?	2.28 (0.42) ***	9.76
e) Is there evidence that the advice to court considered the service user's motivation and readiness to change?	0.62 (0.44)	1.86
f) Is there evidence that the advice to court considered the service user's diversity and personal circumstances?	0.77 (0.49)	2.16
g) Is there evidence that the advice to court considered the impact of the offences on known/identifiable victims?	-0.02 (0.40)	0.98
h) Is an appropriate proposal made to court?	3.30 (0.44) ***	27.05
i) Is there a sufficient record of the advice given, and the reasons for it?	1.13 (0.49) *	3.11
<i>constant</i>	-8.49 (0.97) ***	0.00

Assessment

Table D2: Regression model for focus of assessment on engaging service user

Prompt	b (SE)	Odds ratio
a) Does assessment analyse the service user's motivation and readiness to engage and comply with the sentence?	2.45 (0.20) ***	11.54
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?	2.75 (0.22) ***	15.63
c) Is the service user meaningfully involved in their assessment and are their views taken into account?	2.63 (0.20) ***	13.88
<i>Is there sufficient assessment (of engaging the service user) within an appropriate period following the start of sentence or release on licence?</i>	2.44 (0.22) ***	11.47
<i>Is there a clear, written record of the assessment of engaging the service user?</i>	1.46 (0.24) ***	4.32
<i>constant</i>	-5.87 (0.31) ***	0.00

Table D3: Regression model for focus of assessment on supporting desistance

Prompt	b (SE)	Odds ratio
a) Does assessment identify offending-related factors?	2.84 (0.38) ***	17.03
a) Does assessment analyse offending-related factors?	2.67 (0.21) ***	14.37
b) In relevant cases, does assessment identify the service user's strengths and protective factors?	0.79 (0.21) ***	2.20
c) Does assessment draw sufficiently on available sources of information?	1.78 (0.19) ***	5.90
<i>Is there sufficient assessment of offending and desistance factors within an appropriate period following the start of sentence or release on licence?</i>	2.63 (0.22) ***	13.86
<i>Is there a clear, written record of the assessment of offending and desistance factors?</i>	2.03 (0.29) ***	7.61
<i>constant</i>	-7.81 (0.49) ***	0.00

Table D4: Regression model for focus of assessment on keeping other people safe

Prompt	b (SE)	Odds ratio
a) Does assessment clearly identify any risk of harm to others?	1.83 (0.24) ***	6.26
a) Does assessment clearly analyse any risk of harm to others?	1.17 (0.23) ***	3.21
a) Does assessment specify who is at risk?	1.12 (0.31) ***	3.07
a) Does assessment specify the nature and level of the risk?	1.18 (0.29) ***	3.25
c) Does assessment of risk of harm include information from partner agencies, and involve them where appropriate?	1.86 (0.21) ***	6.41
c) Does assessment of risk of harm take into account past behaviour and convictions?	1.46 (0.26) ***	4.28
<i>Is the responsible officer's classification of risk of serious harm correct?</i>	1.04 (0.35) **	2.83
<i>Is there sufficient assessment (to keep other people safe) within an appropriate period following the start of sentence or release on licence?</i>	3.11 (0.25) ***	22.46
<i>Is there a clear, written record of the assessment to keep other people safe?</i>	1.53 (0.37) ***	4.63
<i>constant</i>	-9.87 (0.63) ***	0.00

Planning

Table D5: Regression model for focus of planning on engaging service user

Prompt	b (SE)	Odds ratio
a) Is the service user meaningfully involved in planning?	1.58 (0.26) ***	4.84
a) Are the views of the service user taken into account in planning?	2.12 (0.26) ***	9.01
b) In cases with relevant factors, does planning take sufficient account of the service user's diversity and personal circumstances which may affect engagement and compliance?	2.01 (0.20) ***	7.45
c) Does planning take sufficient account of the service user's readiness and motivation to change which may affect engagement and compliance?	1.35 (0.21) ***	3.85
d) Does planning set out how all the requirements of the sentence or licence/post-sentence supervision will be delivered within the available timescales?	1.49 (0.22) ***	4.44
e) Does planning set a level, pattern and type of contact sufficient to engage the service user and to support the effectiveness of specific interventions?	1.3 (0.21) ***	3.67
<i>Is there sufficient planning (to engage the service user) within an appropriate period following the start of sentence or release on licence?</i>	2.39 (0.23) ***	10.95
<i>Is there a clear, written record of the plan to engage the service user?</i>	1.75 (0.26) ***	5.73
<i>constant</i>	-8.50 (0.45) ***	0.00

Table D6: Regression model for focus of planning on supporting desistance

Prompt	b (SE)	Odds ratio
a) Does planning sufficiently reflect offending-related factors and prioritise those which are most critical?	3.17 (0.25) ***	23.85
b) Does planning build on the service user's strengths and protective factors, utilising potential sources of support?	1.56 (0.23) ***	4.76
c) Does planning set out the services most likely to reduce reoffending and support desistance?	2.99 (0.24) ***	19.83
<i>Is there sufficient planning to reduce reoffending and support desistance, within an appropriate period following the start of sentence or release on licence?</i>	3.44 (0.26) ***	31.14
<i>Is there a clear, written record of the plan to reduce reoffending and support desistance?</i>	0.88 (0.34) *	2.41
<i>constant</i>	-7.08 (0.58) ***	0.00

Table D7: Regression model for focus of planning on keeping other people safe

Prompt	b (SE)	Odds ratio
a) In relevant cases, does planning sufficiently address risk of harm factors and prioritise those which are most critical?	2.99 (0.27) ***	19.87
b) In relevant cases, does planning set out the necessary constructive and/or restrictive interventions to manage the risk of harm?	1.38 (0.27) ***	3.96
c) Where other agencies are involved in the case, does planning make appropriate links to their work and to any multi-agency plans?	1.78 (0.24) ***	5.94
d) In relevant cases, does planning set out necessary and effective contingency arrangements to manage those risks that have been identified?	1.50 (0.24) ***	4.46
<i>In relevant cases, is there sufficient planning to keep other people safe, within an appropriate period following the start of sentence or release on licence?</i>	2.98 (0.26) ***	19.64
<i>In relevant cases, is there a clear, written record of the plan to keep other people safe?</i>	1.28 (0.32) ***	3.60
<i>constant</i>	-7.38 (0.44) ***	0.00

Implementation and delivery

Table D8: Regression model for focus of implementation on engaging service user

Prompt	b (SE)	Odds ratio
a) Do the requirements of the sentence start promptly, or at an appropriate time?	1.48 (0.21) ***	4.38
b) Is sufficient focus given to maintaining an effective working relationship with the service user?	3.74 (0.25) ***	42.25
c) Are sufficient efforts made to enable the service user to complete the sentence, including flexibility to take appropriate account of their personal circumstances?	1.67 (0.33) ***	5.31
e) Are risks of non-compliance identified and addressed in a timely fashion to reduce the need for enforcement actions?	1.95 (0.21) ***	7.03
f) In cases where it was required, were enforcement actions taken?	1.92 (0.23) ***	6.80
<i>When required, are appropriate professional judgements recorded in relation to decisions about missed appointments?</i>	0.88 (0.23) ***	2.41
<i>constant</i>	-7.17 (0.44) ***	0.00

Table D9: Regression model for effectiveness of implementation/delivery in supporting desistance

Prompt	b (SE)	Odds ratio
a) Are the delivered services those most likely to reduce reoffending and support desistance, with sufficient attention given to sequencing and the available timescales?	3.18 (0.30) ***	24.02
b) Where possible, in cases where there were relevant strengths or protective factors, does the delivery of services build upon the service user's strengths and enhance protective factors?	1.71 (0.36) ***	5.53
c) In cases where other organisations were involved in the delivery of services, was that sufficiently well-coordinated?	1.32 (0.35) ***	3.73
d) In cases where there are key individuals in the service user's life, are they engaged where appropriate to support their desistance?	1.02 (0.32) **	2.77
e) Is the level and nature of contact sufficient to reduce reoffending and support desistance?	3.09 (0.36) ***	21.91
f) Are local services engaged to support and sustain desistance during the sentence and beyond?	1.89 (0.37) ***	6.62
<i>constant</i>	-7.41 (0.58) ***	0.00

Table D10: Regression model for effectiveness of implementation/delivery in keeping other people safe

Prompt	b (SE)	Odds ratio
a) In relevant cases, is the level and nature of contact offered sufficient to manage and minimise the risk of harm?	2.20 (0.30) ***	9.05
b) In relevant cases, where there are identifiable actual or potential victims, is sufficient attention given to protecting actual and potential victims?	3.35 (0.26) ***	28.47
c) In relevant cases, is the involvement of other agencies in managing and minimising the risk of harm sufficiently well-coordinated?	2.58 (0.27) ***	13.17
d) In relevant cases, where there are key individuals in the service user's life, are they engaged where appropriate to support the effective management of risk of harm?	1.09 (0.27) ***	2.97
e) In relevant cases, are home visits undertaken where necessary to support the effective management of risk of harm?	1.18 (0.26) ***	3.24
<i>constant</i>	-6.20 (0.41) ***	0.00

Reviewing

Table D11: Regression model for focus of reviewing on supporting compliance and engagement

Prompt	b (SE)	Odds ratio
a) In cases where it is needed, does reviewing consider compliance and engagement levels and any relevant barriers?	3.15 (0.28) ***	23.43
a) In cases where it was needed, were any necessary adjustments made to the ongoing plan of work to take account of compliance and engagement levels and any relevant barriers?	3.08 (0.24) ***	21.70
b) In cases where it was needed, was the service user meaningfully involved in reviewing their progress and engagement?	3.06 (0.28) ***	21.38
c) In cases where it is required, are written reviews completed where required as a formal record of actions to implement the sentence?	2.24 (0.26) ***	9.41
<i>constant</i>	-5.81 (0.38) ***	0.00

Table D12: Regression model for focus of reviewing on supporting desistance

Prompt	b (SE)	Odds ratio
a) In relevant cases, does reviewing identify and address changes in factors linked to desistance and offending?	2.57 (0.35) ***	13.03
a) In cases where it was necessary, were any necessary adjustments made to the ongoing plan of work to take account of changes in factors linked to desistance and offending?	2.61 (0.32) ***	13.56
b) In cases where it is required, does reviewing focus sufficiently on building upon the service user's strengths and enhancing protective factors?	2.15 (0.32) ***	8.56
c) In cases where other agencies are working with the service user, does input from them inform reviewing?	2.04 (0.31) ***	7.72
d) In cases where it is required, are written reviews completed as appropriate as a formal record of the progress towards desistance?	1.86 (0.30) ***	6.45
<i>constant</i>	-6.24 (0.49) ***	0.00

Table D13: Regression model for focus of reviewing on keeping other people safe

Prompt	b (SE)	Odds ratio
a) In cases where there have been changes in factors related to risk of harm, does reviewing identify them?	2.98 (0.34) ***	19.74
a) In cases where it was necessary, were necessary adjustments made to the ongoing plan of work to take account of changes in the risk of harm?	2.79 (0.29) ***	16.23
b) In cases where other agencies were involved in managing the service user's risk of harm, does input from them inform reviewing?	2.44 (0.30) ***	11.45
c) Is the service user (and, where appropriate, key individuals in the service user's life) meaningfully involved in reviewing their risk of harm?	1.11 (0.28) ***	3.02
d) In relevant cases, are written reviews completed as needed as a formal record of the management of the service user's risk of harm?	1.36 (0.31) ***	3.88
<i>constant</i>	-6.68 (0.49) ***	0.00

Annex E: Internal consistency tables

Cronbach's alpha scores and item-scale correlations are set out in Tables E1 to E13 below. The supplementary questions are in italics. Alpha scores are marked in bold where exclusion of the item would increase the overall alpha score.

Court reports

Table E1: Internal consistency of court report prompts

Key question	Cronbach's alpha	
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?	0.86	
Prompt	Item-scale correlation	Alpha if item deleted
a) Does the information and advice draw sufficiently on available sources of information?	0.50	0.86
b) Is there evidence that the service user is meaningfully involved in the preparation of the report, and are their views taken into account?	0.59	0.85
c) Is there evidence that the advice to court considered factors related to the likelihood of reoffending?	0.71	0.84
d) Is there evidence that the advice to court considered factors related to risk of harm?	0.69	0.84
e) Is there evidence that the advice to court considered the service user's motivation and readiness to change?	0.56	0.85
f) Is there evidence that the advice to court considered the service user's diversity and personal circumstances?	0.59	0.85
g) Is there evidence that the advice to court considered the impact of the offences on known/identifiable victims?	0.57	0.85
h) Is an appropriate proposal made to court?	0.55	0.85
i) Is there a sufficient record of the advice given, and the reasons for it?	0.66	0.84

Assessment

Table E2: Internal consistency of assessment – engagement prompts and key questions

Key question	Cronbach's alpha	
2.1.1 Does assessment focus sufficiently on engaging the service user?	0.86	
Prompt	Item-scale correlation	Alpha if item deleted
a) Does assessment analyse the service user's motivation and readiness to engage and comply with the sentence?	0.70	0.82
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?	0.62	0.84
c) Is the service user meaningfully involved in their assessment and are their views taken into account?	0.67	0.83
<i>Is there sufficient assessment (of engaging the service user) within an appropriate period following the start of sentence or release on licence?</i>	0.72	0.82
<i>Is there a clear, written record of the assessment of engaging the service user?</i>	0.67	0.83

Table E3: Internal consistency of assessment – desistance prompts and key questions

Key question	Cronbach's alpha	
2.1.2 Does assessment focus sufficiently on the factors linked to offending and desistance?	0.87	
Prompt	Item-scale correlation	Alpha if item deleted
a) Does assessment identify offending-related factors?	0.68	0.85
a) Does assessment analyse offending-related factors?	0.69	0.85
b) In relevant cases, does assessment identify the service user's strengths and protective factors?	0.58	0.86
c) Does assessment draw sufficiently on available sources of information?	0.63	0.86
<i>Is there sufficient assessment of offending and desistance factors within an appropriate period following the start of sentence or release on licence?</i>	0.77	0.83
<i>Is there a clear, written record of the assessment of offending and desistance factors?</i>	0.70	0.85

Table E4: Internal consistency of assessment – public protection prompts and key questions

Key question	Cronbach's alpha	
2.1.3 Does assessment focus sufficiently on keeping other people safe?	0.90	
Prompt	Item-scale correlation	Alpha if item deleted
a) Does assessment clearly identify any risk of harm to others?	0.80	0.88
a) Does assessment clearly analyse any risk of harm to others?	0.77	0.89
a) Does assessment specify who is at risk?	0.71	0.89
a) Does assessment specify the nature and level of the risk?	0.71	0.89
c) Does assessment of risk of harm include information from partner agencies, and involve them where appropriate?	0.61	0.90
c) Does assessment of risk of harm take into account past behaviour and convictions?	0.67	0.89
<i>Is the responsible officer's classification of risk of serious harm correct?</i>	0.39	0.91
<i>Is there sufficient assessment (to keep other people safe) within an appropriate period following the start of sentence or release on licence?</i>	0.74	0.89
<i>Is there a clear, written record of the assessment to keep other people safe?</i>	0.66	0.89

Planning

Table E5: Internal consistency of planning – engagement prompts and key questions

Key question	Cronbach's alpha	
2.2.1 Does planning focus sufficiently on engaging the service user?	0.89	
Prompt	Item-scale correlation	Alpha if item deleted
a) Is the service user meaningfully involved in planning?	0.70	0.88
a) Are the views of the service user taken into account in planning?	0.74	0.87
b) In cases with relevant factors, does planning take sufficient account of the service user's diversity and personal circumstances which may affect engagement and compliance?	0.66	0.88
c) Does planning take sufficient account of the service user's readiness and motivation to change which may affect engagement and compliance?	0.71	0.88
d) Does planning set out how all the requirements of the sentence or licence/post-sentence supervision will be delivered within the available timescales?	0.56	0.89
e) Does planning set a level, pattern and type of contact sufficient to engage the service user and to support the effectiveness of specific interventions?	0.60	0.89
<i>Is there sufficient planning (to engage the service user) within an appropriate period following the start of sentence or release on licence?</i>	0.76	0.87
<i>Is there a clear, written record of the plan to engage the service user?</i>	0.64	0.88

Table E6: Internal consistency of planning – desistance prompts and key questions

Key question	Cronbach's alpha	
2.2.2 Does planning focus sufficiently on reducing reoffending and supporting the service user's desistance?	0.88	
Prompt	Item-scale correlation	Alpha if item deleted
a) Does planning sufficiently reflect offending-related factors and prioritise those which are most critical?	0.76	0.84
b) Does planning build on the service user's strengths and protective factors, utilising potential sources of support?	0.57	0.89
c) Does planning set out the services most likely to reduce reoffending and support desistance?	0.78	0.84
<i>Is there sufficient planning to reduce reoffending and support desistance, within an appropriate period following the start of sentence or release on licence?</i>	0.79	0.83
<i>Is there a clear, written record of the plan to reduce reoffending and support desistance?</i>	0.67	0.86

Table E7: Internal consistency of planning – public protection prompts and key questions

Key question	Cronbach's alpha	
2.2.3 Does planning focus sufficiently on keeping other people safe?	0.92	
Prompt	Item-scale correlation	Alpha if item deleted
a) In relevant cases, does planning sufficiently address risk of harm factors and prioritise those which are most critical?	0.82	0.89
b) In relevant cases, does planning set out the necessary constructive and/or restrictive interventions to manage the risk of harm?	0.78	0.90
c) Where other agencies are involved in the case, does planning make appropriate links to their work and to any multi-agency plans?	0.75	0.90
d) In relevant cases, does planning set out necessary and effective contingency arrangements to manage those risks that have been identified?	0.71	0.91
<i>In relevant cases, is there sufficient planning to keep other people safe, within an appropriate period following the start of sentence or release on licence?</i>	0.81	0.89
<i>In relevant cases, is there a clear, written record of the plan to keep other people safe?</i>	0.70	0.91

Implementation and delivery

Table E8: Internal consistency of implementation – engagement prompts and key questions

Key question	Cronbach's alpha	
2.3.1 Is the sentence/post-custody period implemented effectively with a focus on engaging the service user?	0.80	
Prompt	Item-scale correlation	Alpha if item deleted
a) Do the requirements of the sentence start promptly, or at an appropriate time?	0.40	0.81
b) Is sufficient focus given to maintaining an effective working relationship with the service user?	0.65	0.75
c) Are sufficient efforts made to enable the service user to complete the sentence, including flexibility to take appropriate account of their personal circumstances?	0.56	0.77
e) Are risks of non-compliance identified and addressed in a timely fashion to reduce the need for enforcement actions?	0.67	0.74
f) In cases where it was required, were enforcement actions taken?	0.53	0.78
<i>When required, are appropriate professional judgements recorded in relation to decisions about missed appointments?</i>	0.54	0.77

Table E9: Internal consistency of implementation – desistance prompts and key questions

Key question	Cronbach's alpha	
2.3.2 Does the implementation and delivery of services effectively support the service user's desistance?	0.89	
Prompt	Item-scale correlation	Alpha if item deleted
a) Are the delivered services those most likely to reduce reoffending and support desistance, with sufficient attention given to sequencing and the available timescales?	0.74	0.86
b) Where possible, in cases where there were relevant strengths or protective factors, does the delivery of services build upon the service user's strengths and enhance protective factors?	0.70	0.87
c) In cases where other organisations were involved in the delivery of services, was that sufficiently well-coordinated?	0.74	0.86
d) In cases where there are key individuals in the service user's life, are they engaged where appropriate to support their desistance?	0.61	0.88
e) Is the level and nature of contact sufficient to reduce reoffending and support desistance?	0.70	0.87
f) Are local services engaged to support and sustain desistance during the sentence and beyond?	0.73	0.86

Table E10: Internal consistency of implementation – public protection prompts and key questions

Key question	Cronbach's alpha	
2.3.3 Does the implementation and delivery of services effectively support the safety of other people?	0.86	
Prompt	Item-scale correlation	Alpha if item deleted
a) In relevant cases, is the level and nature of contact offered sufficient to manage and minimise the risk of harm?	0.64	0.84
b) In relevant cases, where there are identifiable actual or potential victims, is sufficient attention given to protecting actual and potential victims?	0.77	0.81
c) In relevant cases, is the involvement of other agencies in managing and minimising the risk of harm sufficiently well-coordinated?	0.73	0.82
d) In relevant cases, where there are key individuals in the service user's life, are they engaged where appropriate to support the effective management of risk of harm?	0.69	0.83
e) In relevant cases, are home visits undertaken where necessary to support the effective management of risk of harm?	0.57	0.86

Reviewing

Table E11: Internal consistency of reviewing – engagement prompts and key questions

Key question	Cronbach's alpha	
2.4.1 Does reviewing focus sufficiently on supporting the service user's compliance and engagement?	0.82	
Prompt	Item-scale correlation	Alpha if item deleted
a) In cases where it is needed, does reviewing consider compliance and engagement levels and any relevant barriers?	0.74	0.73
a) In cases where it was needed, were any necessary adjustments made to the ongoing plan of work to take account of compliance and engagement levels and any relevant barriers?	0.73	0.74
b) In cases where it was needed, was the service user meaningfully involved in reviewing their progress and engagement?	0.60	0.80
c) In cases where it is required, are written reviews completed where required as a formal record of actions to implement the sentence?	0.53	0.83

Table E12: Internal consistency of reviewing – desistance prompts

Key question	Cronbach's alpha	
2.4.2 Does reviewing focus sufficiently on supporting the service user's desistance?	0.92	
Prompt	Item-scale correlation	Alpha if item deleted
a) In relevant cases, does reviewing identify and address changes in factors linked to desistance and offending?	0.86	0.88
a) In cases where it was necessary, were any necessary adjustments made to the ongoing plan of work to take account of changes in factors linked to desistance and offending?	0.81	0.89
b) In cases where it is required, does reviewing focus sufficiently on building upon the service user's strengths and enhancing protective factors?	0.78	0.90
c) In cases where other agencies are working with the service user, does input from them inform reviewing?	0.77	0.90
d) In cases where it is required, are written reviews completed as appropriate as a formal record of the progress towards desistance?	0.71	0.91

Table E13: Internal consistency of reviewing – public protection prompts

Key question	Cronbach's alpha	
2.4.3 Does reviewing focus sufficiently on keeping other people safe?	0.89	
Prompt	Item-scale correlation	Alpha if item deleted
a) In cases where there have been changes in factors related to risk of harm, does reviewing identify them?	0.83	0.84
a) In cases where it was necessary, were necessary adjustments made to the ongoing plan of work to take account of changes in the risk of harm?	0.82	0.84
b) In cases where other agencies were involved in managing the service user's risk of harm, does input from them inform reviewing?	0.77	0.86
c) Is the service user (and, where appropriate, key individuals in the service user's life) meaningfully involved in reviewing their risk of harm?	0.63	0.89
d) In relevant cases, are written reviews completed as needed as a formal record of the management of the service user's risk of harm?	0.60	0.89

Annex F: Principal component analysis tables

The principal component analysis tables are set out in Tables F1 to F5 below. Supplementary questions are in italics.

Table F1: Principal components of court report prompts

Component (% variance explained)	Prompt	Largest loading
1. Advice to court (49.1%)	3.1.1(a) Does the information and advice draw sufficiently on available sources of information?	0.60
	3.1.1(b) Is there evidence that the service user is meaningfully involved in the preparation of the report, and are their views taken into account?	0.69
	3.1.1(c) Is there evidence that the advice to court considered factors related to the likelihood of reoffending?	0.79
	3.1.1(d) Is there evidence that the advice to court considered factors related to risk of harm?	0.77
	3.1.1(e) Is there evidence that the advice to court considered the service user's motivation and readiness to change?	0.67
	3.1.1(f) Is there evidence that the advice to court considered the service user's diversity and personal circumstances?	0.69
	3.1.1(g) Is there evidence that the advice to court considered the impact of the offences on known/identifiable victims?	0.67
	3.1.1(h) Is an appropriate proposal made to court?	0.65
	3.1.1(i) Is there a sufficient record of the advice given, and the reasons for it?	0.76

Table F2: Principal components of assessment prompts and key questions

Component (% variance explained)	Prompt	Largest Loading	Loading across other components		
			1	2	3
1. Public protection (26.0%)	2.1.3(a) Does assessment clearly identify any risk of harm to others?	0.82	-	0.16	0.20
	2.1.3(a) Does assessment clearly analyse any risk of harm to others?	0.80	-	0.18	0.19
	2.1.3(a) Does assessment specify who is at risk?	0.79	-	0.12	0.09
	2.1.3(a) Does assessment specify the nature and level of the risk?	0.79	-	0.11	0.13
	2.1.3(c) Does assessment of risk of harm include information from partner agencies, and involve them where appropriate?	0.60	-	0.22	0.27
	2.1.3(c) Does assessment of risk of harm take into account past behaviour and convictions?	0.71	-	0.12	0.24
	<i>2.1.3 Is the responsible officer's classification of risk of serious harm correct?</i>	0.49	-	0.10	0.01
	<i>2.1.3 Is there sufficient assessment (to keep other people safe) within an appropriate period following the start of sentence or release on licence?</i>	0.71	-	0.20	0.33
	<i>2.1.3 Is there a clear, written record of the assessment to keep other people safe?</i>	0.63	-	0.11	0.38
2. Engaging the service user (17.5%)	2.1.1(a) Does assessment analyse the service user's motivation and readiness to engage and comply with the sentence?	0.74	0.21	-	0.25
	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?	0.70	0.24	-	0.19
	2.1.1(c) Is the service user meaningfully involved in their assessment and are their views taken into account?	0.80	0.15	-	0.11
	<i>2.1.1 Is there sufficient assessment (of engaging the service user) within an appropriate period following the start of sentence or release on licence?</i>	0.76	0.13	-	0.30
	<i>2.1.1 Is there a clear, written record of the assessment of engaging the service user?</i>	0.66	0.09	-	0.37

Component (% variance explained)	Prompt	Largest Loading	Loading across other components		
			1	2	3
3. Desistance (17.0%)	2.1.2(a) Does assessment identify offending-related factors?	0.75	0.20	0.18	-
	2.1.2(a) Does assessment analyse offending-related factors?	0.63	0.31	0.31	-
	2.1.2(b) In relevant cases, does assessment identify the service user's strengths and protective factors?	0.49	0.17	0.45	-
	2.1.2(c) Does assessment draw sufficiently on available sources of information?	0.51	0.47	0.27	-
	<i>2.1.2 Is there sufficient assessment of offending and desistance factors within an appropriate period following the start of sentence or release on licence?</i>	0.73	0.25	0.36	-
	<i>2.1.2 Is there a clear, written record of the assessment of offending and desistance factors?</i>	0.78	0.17	0.26	-

Table F3: Principal components of planning prompts and key questions

Component (% variance explained)	Prompt	Largest loading	Loading across other components		
			1	2	3
1. Public protection (23.1%)	2.2.3(a) In relevant cases, does planning sufficiently address risk of harm factors and prioritise those which are most critical?	0.83	-	0.18	0.27
	2.2.3(b) In relevant cases, does planning set out the necessary constructive and/or restrictive interventions to manage the risk of harm?	0.79	-	0.19	0.26
	2.2.3(c) Where other agencies are involved in the case, does planning make appropriate links to their work and to any multi-agency plans?	0.76	-	0.26	0.21
	2.2.3(d) In relevant cases, does planning set out necessary and effective contingency arrangements to manage those risks that have been identified?	0.76	-	0.23	0.12
	<i>2.2.3 In relevant cases, is there sufficient planning to keep other people safe, within an appropriate period following the start of sentence or release on licence?</i>	0.83	-	0.18	0.24
	<i>2.2.3 In relevant cases, is there a clear, written record of the plan to keep other people safe?</i>	0.70	-	0.16	0.32
2. Engaging the service user (22.5%)	2.2.1(a) Is the service user meaningfully involved in planning?	0.83	0.16	-	0.17
	2.2.1(a) Are the views of the service user taken into account in planning?	0.85	0.16	-	0.19
	2.2.1(b) In cases with relevant factors, does planning take sufficient account of the service user's diversity and personal circumstances which may affect engagement and compliance?	0.73	0.25	-	0.20
	2.2.1(c) Does planning take sufficient account of the service user's readiness and motivation to change which may affect engagement and compliance?	0.74	0.23	-	0.24
	2.2.1(e) Does planning set a level, pattern and type of contact sufficient to engage the service user and to support the effectiveness of specific interventions?	0.45	0.28	-	0.43

Component (% variance explained)	Prompt	Largest loading	Loading across other components		
			1	2	3
	<i>2.2.1 Is there sufficient planning (to engage the service user) within an appropriate period following the start of sentence or release on licence?</i>	0.67	0.24	-	0.41
	2.2.2(b) Does planning build on the service user's strengths and protective factors, utilising potential sources of support?	0.55	0.23	-	0.43
3. Desistance (21.0%)	2.2.1(d) Does planning set out how all the requirements of the sentence or licence/post-sentence supervision will be delivered within the available timescales?	0.56	0.18	0.36	-
	<i>2.2.1 Is there a clear, written record of the plan to engage the service user?</i>	0.52	0.15	0.49	-
	2.2.2(a) Does planning sufficiently reflect offending-related factors and prioritise those which are most critical?	0.76	0.33	0.18	-
	2.2.2(c) Does planning set out the services most likely to reduce reoffending and support desistance?	0.77	0.28	0.23	-
	<i>2.2.2 Is there sufficient planning to reduce reoffending and support desistance, within an appropriate period following the start of sentence or release on licence?</i>	0.76	0.30	0.28	-
	<i>2.2.2 Is there a clear, written record of the plan to reduce reoffending and support desistance?</i>	0.77	0.21	0.23	-

Table F4: Principal components of implementation/delivery prompts and key questions

Component (% variance explained)	Prompt	Largest loading	Loading across other components			
			1	2	3	4
1. Desistance (22.9%)	2.3.2(a) Are the delivered services those most likely to reduce reoffending and support desistance, with sufficient attention given to sequencing and the available timescales?	0.78	-	0.29	0.23	0.21
	2.3.2(b) Where possible, in cases where there were relevant strengths or protective factors, does the delivery of services build upon the service user's strengths and enhance protective factors?	0.52	-	0.42	0.45	0.17
	2.3.2(c) In cases where other organisations were involved in the delivery of services, was that sufficiently well-coordinated?	0.66	-	0.44	0.16	0.27
	2.3.2(e) Is the level and nature of contact sufficient to reduce reoffending and support desistance?	0.70	-	0.19	0.43	0.28
	2.3.2(f) Are local services engaged to support and sustain desistance during the sentence and beyond?	0.77	-	0.30	0.19	0.19
	2.3.3(a) In relevant cases, is the level and nature of contact offered sufficient to manage and minimise the risk of harm?	0.67	-	0.37	0.36	0.21
2 Public protection (21.2%)	2.3.2(d) In cases where there are key individuals in the service user's life, are they engaged where appropriate to support their desistance?	0.70	0.31	-	0.31	0.20
	2.3.3(b) In relevant cases, where there are identifiable actual or potential victims, is sufficient attention given to protecting actual and potential victims?	0.68	0.43	-	0.08	0.26
	2.3.3(c) In relevant cases, is the involvement of other agencies in managing and minimising the risk of harm sufficiently well-coordinated?	0.68	0.49	-	0.05	0.24
	2.3.3(d) In relevant cases, where there are key individuals in the service user's life, are they engaged where appropriate to support the effective management of risk of harm?	0.82	0.25	-	0.23	0.19

Component (% variance explained)	Prompt	Largest loading	Loading across other components			
			1	2	3	4
3. Engaging the service user (15.0%)	2.3.3(e) In relevant cases, are home visits undertaken where necessary to support the effective management of risk of harm?	0.72	0.16	-	0.29	0.09
	2.3.1(a) Do the requirements of the sentence start promptly, or at an appropriate time?	0.70	0.21	0.24	-	0.08
	2.3.1(b) Is sufficient focus given to maintaining an effective working relationship with the service user?	0.65	0.36	0.24	-	0.38
	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?	0.75	0.19	0.16	-	0.35
4. Non-compliance (14.9%)	2.3.1(e) Are risks of non-compliance identified and addressed in a timely fashion to reduce the need for enforcement actions?	0.64	0.37	0.25	0.35	-
	2.3.1(f) In cases where it was required, were enforcement actions taken?	0.80	0.21	0.22	0.21	-
	<i>2.3.1 When required, are appropriate professional judgements recorded in relation to decisions about missed appointments?</i>	0.83	0.19	0.16	0.16	-

Table F5: Principal components of reviewing prompts and key questions

Component (% variance explained)	Prompt	Largest loading	Loading across other components			
			1	2	3	4
1. Public protection (23.8%)	2.4.3(a) In cases where there have been changes in factors related to risk of harm, does reviewing identify them?	0.78	-	0.24	0.28	0.33
	2.4.3(a) In cases where it was necessary, were necessary adjustments made to the ongoing plan of work to take account of changes in the risk of harm?	0.76	-	0.30	0.32	0.27
	2.4.3(b) In cases where other agencies were involved in managing the service user's risk of harm, does input from them inform reviewing?	0.75	-	0.15	0.40	0.25
	2.4.3(c) Is the service user (and, where appropriate, key individuals in the service user's life) meaningfully involved in reviewing their risk of harm?	0.74	-	0.40	0.17	0.18
2. Engaging the service user (19.9%)	2.4.1(a) In cases where it is needed, does reviewing consider compliance and engagement levels and any relevant barriers?	0.75	0.21	-	0.30	0.31
	2.4.1(a) In cases where it was needed, were any necessary adjustments made to the ongoing plan of work to take account of compliance and engagement levels and any relevant barriers?	0.76	0.28	-	0.33	0.20
	2.4.1(b) In cases where it was needed, was the service user meaningfully involved in reviewing their progress and engagement?	0.73	0.29	-	0.26	0.22
3. Desistance (19.7%)	2.4.2(a) In relevant cases, does reviewing identify and address changes in factors linked to desistance and offending?	0.68	0.34	0.39	-	0.33
	2.4.2(a) In cases where it was necessary, were any necessary adjustments made to the ongoing plan of work to take account of changes in factors linked to desistance and offending?	0.68	0.34	0.44	-	0.22
	2.4.2(b) In cases where it is required, does reviewing focus sufficiently on building upon the service user's strengths and enhancing protective factors?	0.71	0.28	0.40	-	0.26
	2.4.2(c) In cases where other agencies are working with the service user, does input from them inform reviewing?	0.66	0.44	0.25	-	0.32

Component (% variance explained)	Prompt	Largest loading	Loading across other components			
			1	2	3	4
4. Written reviews (19.8%)	2.4.1(c) In cases where it is required, are written reviews completed where required as a formal record of actions to implement the sentence?	0.81	0.16	0.38	0.19	-
	2.4.2(d) In cases where it is required, are written reviews completed as appropriate as a formal record of the progress towards desistance?	0.77	0.30	0.23	0.39	-
	2.4.3(d) In relevant cases, are written reviews completed as needed as a formal record of the management of the service user's risk of harm?	0.76	0.44	0.14	0.22	-