



Her Majesty's  
Inspectorate of  
Probation

## An inspection of central functions supporting the National Probation Service

JANUARY 2020

This inspection was led by HM Inspector Yvette Howson, supported by a team of inspectors and colleagues from across the Inspectorate. The manager responsible for this inspection programme is Sally Lester. We would like to thank all those who participated in any way in this inspection. Without their help and cooperation, the inspection would not have been possible.

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

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

We inspect these services and publish inspection reports. We highlight good and poor practice, and use our data and information to encourage high-quality services. We are independent of government, and speak independently.

The fieldwork for this inspection started in June 2019.

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## 1. Foreword

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As part of the *Transforming Rehabilitation* reforms, the government created the public sector National Probation Service (NPS) in 2015 to manage offenders leaving custody and given community sentences who were assessed as posing the highest risk to the public. The NPS currently supervises over 106,000 higher risk offenders released on licence or on community sentences, and those managed under Multi-Agency Public Protection Arrangements – about 42 per cent of the total probation caseload in England and Wales. It also has responsibility for providing all pre-sentence advice to courts and operates a victim liaison service to ensure that the victims of more serious offences are kept informed about parole hearings and the opportunity to contribute to plans for post-release licence conditions.

Over the past year, Her Majesty's Inspectorate of Probation has inspected all seven NPS divisions against 10 different quality standards and given each of them an overall rating. While none of the divisions were rated 'Outstanding', five out of seven were rated 'Good' and none were found to be 'Inadequate'. In general, the quality of case supervision delivered by NPS staff was found to be better than that delivered by their CRC equivalents – particularly in relation to the management of risk of harm to the public. We found overall NPS performance to be strongest on leadership and on the range and quality of services that the NPS provides. But there were some areas for improvement, particularly in relation to staffing, where we assessed all seven divisions as 'Requires improvement', and on information and facilities, where all but one division also fell into this category.

Staff we spoke to in NPS divisions told us that many of the decisions on these issues – like the contracts for maintaining their office premises or national arrangements for recruiting probation officers or training staff – were out of their control and determined from the centre by HM Prison and Probation Service (HMPPS) headquarters. We therefore felt it important to conduct an 'eighth inspection' of the NPS, focused on the support provided by the centre to enable NPS staff to deliver a quality service.

This eighth NPS inspection report draws on detailed evidence from our seven regional divisional inspections, as well as 35 meetings with senior representatives from HMPPS and the Ministry of Justice (MoJ) and a survey of NPS band 5 managers (senior probation officers and equivalents) to which 266 responded.

We found significant areas of positive performance, including good leadership at every level of the service and increasing investment in training for new probation officers and in a new line management supervision framework. Probation services officer (PSO) numbers and workloads are adequate; staff were positive about the roll-out of new laptops, services for victims are improving and there is a strong focus on services for women under supervision.

However, other areas were more concerning. Workloads are high, with 60 per cent of probation officers carrying a workload over the 100 per cent target level and some much more than this. This reflects an ongoing and, in some areas, critical shortage of probation officers, with over 600 vacancies reported in June 2019 across England and Wales. Once staff have been recruited, there has been a lack of investment in their ongoing training and development, much of which is not of a sufficient standard to meet their needs. More investment is also needed in understanding the profile of service users and matching interventions to this. The NPS is not making use of all

services commissioned from CRCs. This remains a critical issue to put right as the service moves towards a new model that will create a clear split between NPS offender management and the provision of interventions by separate probation delivery partners. We also found a catalogue of issues with the buildings from which NPS staff are working. In some cases, these were unfit for purpose, with less than half of facilities maintenance jobs completed within 10 days and many taking much longer.

The announcement that the offender management functions of the NPS and CRCs will be coming together in a new, unified model under the NPS from 2021 – and from the end of 2019 in Wales – has been widely welcomed. This will present significant challenges to the service, but also a good opportunity to get things right from the start in terms of staffing and investment in training and development and modern, well-equipped premises, drawing on what has been learned by both CRCs and the NPS over the past five years. With the right investment, I hope that the issues we've identified in this report can be put right and that our recommendations will help to guide the service as it moves forward through its next stage of reform.

A handwritten signature in black ink, reading "Justin Russell". The signature is written in a cursive, flowing style with a large initial 'J'.

**Justin Russell**

Chief Inspector of Probation

## 2. Executive summary

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From July 2018 to May 2019, HMI Probation inspected all seven divisions of the NPS. These regional inspections found many areas of good practice but also room for improvement. Of the seven divisions, five were given an overall rating of 'Good' and two a rating of 'Requires improvement'. No division was found to be 'Inadequate', and no division achieved a rating of 'Outstanding'.

Overall, performance was strongest in relation to 'leadership', for which all seven areas were rated 'Good'. By contrast, every division was rated as 'Requires improvement' against our staffing standards and six out of seven were rated 'Requires improvement' for information services and facilities. Since both of these areas are particularly reliant on the support offered to local divisions by the national headquarters of HMPPS, we felt it important to look at the support and services provided to divisions by the centre – hence this 'eighth inspection' of the NPS.

We found a mixed picture. On the positive side:

- Leadership at every level in the NPS is good. The creation of a Director General post for probation within HMPPS in January 2019 is welcome and has significantly strengthened the voice of the probation service within HMPPS and the MoJ.
- The Chief Probation Officer and Executive Director for Women provides visible national leadership to NPS staff. We found that staff understood the vision of the organisation and most staff remain committed to the probation mission.
- At a local level, we found that leadership teams focused on delivering a high-quality service, and we rated every division as 'Good' against this standard.
- In Wales, the integrated operating model with prisons works well and there are good relationships with other partners. Staff understand the operating model and hold leaders in high regard. Communication is good and staff have the opportunity to meet and give their views.
- Staff undertaking the Professional Qualification in Probation (PQiP) training for new probation officers receive suitable support to help them complete their training.
- A new line management supervision framework is being rolled out. This sets out the recommended frequency and content of supervision, including direct observation of responsible officers doing their job and reflective discussions on this. Fifty-three per cent of senior probation officers (SPOs) have been trained to date.
- Eighty-four per cent of the responsible officers we interviewed said that, when they received line management support, it improved the quality of their work.
- SPOs were positive about the frequency of line management supervision, and three-quarters felt that appropriate attention was paid to their wellbeing.
- Recruitment of PSOs has been adequate, and 87 per cent of the PSOs we interviewed said they had manageable workloads.

- We found a strong strategic focus on services for women under probation supervision. Every division has a strategic lead, who meet regularly to share good practice and discuss progress.
- Services provided to victims are improving. National training delivered to local victim liaison officers (VLOs) following a recent high-profile case has been well received.
- Local staff were confident in their knowledge of, and ability to keep up to date with, NPS policy and procedures. The EQuIP system provides a single repository for up-to-date information on processes for the NPS.
- The roll-out of new laptops has been a major success. Staff feel they now have more up-to-date, flexible and reliable IT equipment.

However, we also found a significant number of areas requiring improvement. These included:

- NPS operational staff often felt disconnected from the 'centre'. They view HMPPS as remote and distanced from operational delivery.
- Probation officer vacancies remain high, particularly in London and areas close to London. Over 600 probation officer vacancies were reported in June 2019; however, there were also 614 probation officers in training in June 2019, which in time should ease the shortage.
- Workloads for probation officers are unreasonably high. In July 2019, over 60 per cent of probation officers were working in excess of the 100 per cent standard on the NPS workload measurement tool. Nearly 30 per cent had workloads of more than 120 per cent.
- The span of control for SPOs is too broad. Half supervise between 11 and 20 staff. This prevents them from supervising staff effectively to ensure they deliver a quality service. Half of the SPOs who responded to our survey said they spend less than 20 per cent of their time monitoring casework.
- Continuing professional development of qualified staff is not sufficiently comprehensive or responsive. A culture of learning and continuous development has not been sufficiently embedded.
- The use of accredited offending behaviour programmes has substantially reduced. HMPPS is not supporting divisions to properly understand the profile of their service users or to improve their use of services.
- HMPPS does not adequately oversee the commissioning process to ensure that quality services are available and accessible to service users.
- Gaps in local provision are apparent. The NPS is commissioning services from CRCs but then purchasing very few of them.
- Underinvestment in NPS buildings has meant that many probation staff work from buildings that are in disrepair. We found a catalogue of problems on our inspections, including faulty plumbing, broken lifts, vermin infestations and some older premises that are unfit for purpose in a modern probation service. In the last year, only 43 per cent of facilities management jobs were completed within the 10-day target. Business-critical jobs, for example in approved premises, remain unresolved for an unacceptably long time.

HMI Probation introduced a new inspection programme from April 2018. Unlike the previous programme, the 21 Community Rehabilitation Companies (CRCs) and the seven divisions of the NPS were inspected separately. In our inspections of the NPS, it was apparent that the divisions have little or no control over some aspects of their infrastructure. This was particularly evident in relation to staffing issues and the management of their estates.

In these matters they were, to a large extent, dependent on central teams, in both HMPPS and the MoJ. The seven divisional inspections therefore did not give the full picture of how well the NPS, as a national organisation, was functioning. This 'eighth inspection' gives us the opportunity to complete the picture.

In this inspection, we explored the extent to which the divisions are supported by HMPPS to deliver against our standards on: leadership, staff, services, and information and facilities. The aim was to identify factors that enhance and enable the work of the divisions or act as barriers. We have not sought to inspect against all our standards, but have focused on those areas that emerged as issues during our divisional inspections. We acknowledge that this means we have focused more on areas for improvement than on strengths.

The scope of our inspection has, where necessary, extended beyond HMPPS to some functions that are the responsibility of the wider MoJ. HMPPS is an executive agency of the MoJ and its functions are managed centrally across prison and probation services. HMPPS's business plans and strategies set direction and hold NPS divisions to account. However, our conclusion is that HMPPS does not adequately support NPS divisional operations on some key issues.

The potential benefits of a centralised approach to functions like facilities management have not been fully realised, and divisions have resorted to 'workarounds'. Where these have not been possible, divisional directors have often been frustrated by their inability to resolve matters, despite their overall responsibility for their division's performance.

Problematic areas include: recruitment and training; human resources (HR) processes; analysis of local offender profiles to inform the commissioning of interventions; and the maintenance of NPS premises. Central functions are described by NPS staff as remote and overly bureaucratic.

During our first year of divisional inspections, we made more than 20 recommendations to HMPPS and the MoJ. A number of these related to staff recruitment and training and to the unsatisfactory maintenance of NPS premises.

In May 2019, the government announced plans to unify the delivery of probation services. At this time, when further significant changes are planned across probation, we hope that our findings in this report will help to inform the strategic decisions that are necessary to implement these changes.

## Leadership

HMPPS covers England and Wales, but there are important differences in the way the organisation works in the two countries. In this inspection, we have examined some of these differences.

In Wales, prison and probation are the responsibility of a single executive HMPPS director. Probation works closely with other organisations based solely in Wales, including the police, CRC, Welsh Government, health services and local authorities. The role played by the Welsh Government in bringing these parties together delivers



significant benefits. In England, the position is more complex; prison and probation regions have different geographical boundaries and are not always coterminous with other organisations. The NPS in England covers six divisions and has one executive director. Prisons in England have three executive directors. As a result, there is a marked difference in the way probation engages with colleagues in the prison service and other key partnership organisations.

The different scale of operations and differing structures in England and Wales create very different operating environments. In Wales, public protection work benefits from the integrated structure of that region and its links to other agencies and national mechanisms, which enable it to undertake joint work (e.g. adult and child safeguarding boards). Welsh legislation underpins these developments.

At the outset of the government's *Transforming Rehabilitation* reforms in 2014, the operating model for probation provided clarity about the role and tasks of the NPS, but since then no NPS division in England or Wales has reached the number of staff originally proposed, particularly for probation officer grades. A steady state has never been achieved and the model has not yet been successfully embedded.

Communication across the national organisation is problematic. HMPPS's central communication strategy in England focuses on delivering national messages to the divisions, which then filter these for communication to their staff, adding local messages. There is little effective join-up between national and local communication strategies. Staff in divisions speak of being bombarded with information. In Wales, there is a more collaborative approach, with senior leaders working with the HMPPS communications team to deliver essential messages to staff.

Although staff interviewed in our divisional inspections understand the vision of the NPS, operational staff often feel disconnected from the 'centre'. They view HMPPS as a remote organisation, distanced from operational delivery. It is a commonly held view in probation that in several of the central functions – for example recruitment, learning and development, and facilities maintenance – the prison service has received more immediate attention. While we have no evidence of this beyond individual reports, the perception has a negative impact on the morale of NPS staff.

In January 2019, during our divisional inspections, the senior leadership of HMPPS was restructured, with the appointment of a Director General of Probation. This restructure has resulted in the voice of probation being strengthened within HMPPS. Senior leaders in the NPS have welcomed the increased focus on probation.

The unified model for probation will have 11 regional areas in England, reducing the size of some of the geographically largest divisions and improving alignment with other organisations. The new management structure in the divisions will include new senior leadership roles, for example Head of Operations, Head of Corporate Services and Head of Community Integration, Contract Management and Commissioning. Wales is well placed to unify probation before the English regions.

## Staff

Despite ongoing recruitment, staff vacancies are high throughout the NPS. Divisions rely on the HMPPS national recruitment process. There has been some progress in meeting staff targets, but there remain many vacancies for probation officers, especially in those areas closest to London. The profile of staff does not match the profile of the offender population; 70 per cent of probation staff are female, whereas 97 per cent of the NPS offender population are male. The NPS is not attracting sufficient numbers of men into the profession.

Workload, especially for probation officers, is unreasonably high. In July 2019, over 60 per cent of probation officers were working in excess of 100 per cent on the workload measurement tool. Nearly 30 per cent of probation officers have a workload of more than 120 per cent. The NPS workload measurement tool does not sufficiently capture the complexity of the NPS caseload, many of whom present a high risk of harm to others, aggravated by multiple offending-related factors.

The span of control for SPOs is too broad. Half of the SPOs who responded to our survey supervise between 11 and 20 staff. Managing too many staff and holding multiple responsibilities prevents staff from being sufficiently supported to deliver a quality service. We note that the role of the SPO is being reviewed, and we welcome this. The centre does not monitor the workload of other grades of staff, such as administration staff and VLOs. In our divisional inspections, we found that many VLOs are holding a very high number of cases, on average 215 each.

The Learning and Development Unit sits within the new Performance Directorate in HMPPS and is responsible for learning and development across prison and probation services. The NPS national training team is part of the HMPPS Learning and Development Unit. This team is responsible for identifying the training needs of different grades of NPS staff, commissioning training packages and delivering professional skills training across the NPS. Access to training for PSOs and PQiPs is sufficient for them to gain the required qualification.

The needs of qualified probation officers, however, are not well met. Newly qualified staff need more support to gain the confidence and skills to supervise the complex and high risk of harm offenders who form the NPS cohort. The quality of training is not always pitched at the right level for probation practitioners and the method of delivering training is not always appropriate. Probation staff find that the e-learning is too basic, the locations of some venues are too far for some staff to travel and some staff are not released to complete training due to high workloads.

Learning and development is supplemented by divisions creating their own practice guidance. The Effective Probation Practice (EPP) division – originally part of the NPS structure, but now a team in the Performance directorate in HMPPS – has links with the divisions via the divisional Performance and Quality teams. The EPP division issues practice guidance, 7-minute briefings and videos to highlight areas of practice where training or guidance need to be developed. While training events and workshops have been evaluated following delivery, there is no mechanism to evaluate the impact of the EPP division on practice.

## Services

Information about the offender population supervised by the NPS is collected on national computer systems that are available to HMPPS analytical teams. In this inspection, we found limited evidence that HMPPS enabled divisions to understand the profile of service users in their locality. The information has not been made available at the right time to support the divisions in making commissioning decisions. As a result, each division has set up its own systems for identifying and addressing offending-related needs. This is a missed opportunity.

The services commissioned from CRCs are not being fully utilised. Action has been taken to address this nationally; however, the focus appears to be on ensuring that CRCs are not financially disadvantaged rather than addressing the mismatch between supply and demand.

In summary, there appears to be little application of centrally held information about the needs of service users, about how the profile of service users drives decisions on commissioning, about the quality of commissioned services, or even about the extent to which those services are actually used. In our view, this position is unacceptable.

### **Accredited programmes**

In recent years, the use of accredited programmes has reduced substantially,<sup>1</sup> replaced to a large extent by non-accredited interventions. Recommendations for service users to be referred to accredited programmes – apart from those to address sexual offending – have fallen. We were not able to find an evidence-informed strategy on the use of accredited programmes.

An exercise is underway to explore the disproportionately low number of black, Asian and minority ethnic service users on offender programmes. It was positive to see that, following our thematic report on *Management and Supervision of Men Convicted of Sexual Offences*,<sup>2</sup> further training has been delivered to staff.

### **Services for women**

HMPPS has a strategic focus on women who offend, and has developed a plan of work derived from the MoJ strategy published in June 2016.<sup>3</sup> Each NPS division has a strategic lead who drives the division's priorities for women. HMPPS in Wales led on a joint initiative with the Welsh Government, and have developed a female offending blueprint for Wales.<sup>4</sup> The blueprint aims to address the needs of women at all stages of engagement with the criminal justice system, and to provide a joined-up approach that acknowledges the gender-specific needs of women, promotes positive wellbeing and supports successful long-term outcomes to reduce reoffending. Services available to women via the rate card (a menu of services provided by CRCs) vary between divisions, and HMPPS does not evaluate the work being delivered to women. Engagement with female offenders to review and improve the services delivered is underdeveloped.

At the time of writing, HMPPS has not yet secured approved premises for women in Wales and London, as recommended in our thematic report in 2017.<sup>5</sup> We understand that negotiations are under way for a women's premises to be open in London by the end of December 2019.<sup>6</sup>

### **Services for victims**

HMPPS's Victims Unit supports divisions to improve the effectiveness of their work with victims who opt into the Victim Contact Scheme. Since April 2018, the Parole Board has provided reviews to victims to help them understand decisions, where

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<sup>1</sup> HMI Probation. (2019). *Report of the Chief Inspector of Probation*.

<sup>2</sup> HMI Probation. (2019). *Management and Supervision of Men Convicted of Sexual Offences*.

<sup>3</sup> Ministry of Justice. (2016). *Female offender strategy*.

<sup>4</sup> Ministry of Justice and Welsh Government. (2019). *Female offending blueprint*.

<sup>5</sup> HMI Probation. (2017). *Probation Hostels' (Approved Premises) Contribution to Public Protection, Rehabilitation and Resettlement*.

<sup>6</sup> R (on the application of Coll) V Secretary of State for Justice (Respondent) (2017) UKSC40. This judgment found that the current distribution of approved premises constitutes unlawful sex discrimination against women.

requested. VLOs based in the divisions have had training on the new parole process. Some were recruited from the generic pool of PSOs, and we question whether they are necessarily suited to a specialist and demanding role. We also question whether, with the new responsibility for delivering summaries of parole decisions to victims, the role is correctly graded.

### **Services to courts**

The Head of Practice Development for Courts, who is part of the EPP, works collaboratively with senior leaders from each division in England and Wales. HMPPS is aware that sentencers have lost confidence in the delivery of community sentences. The EPP division has a strategy to address this at a national and divisional level. There has been an initiative in some divisions (rather than a centrally prescribed strategy) to embed CRC staff within a few court teams. However, to date we have little evidence that engagement with the courts has increased sentencers' confidence.

Authors of pre-sentence reports have benefited from the practice guidance on short custodial sentences. This has focused on the disproportionality of women offenders from black, Asian and minority ethnic backgrounds and the cohort of 18–25-year-olds in receiving short-term custodial sentences.

We have noted in our inspections that, although NPS staff make a key contribution to the court system, they are not always treated as professional partners. In some instances, they have inadequate facilities to conduct interviews, do not have access to essential facilities, and often have to use a separate entrance to other court staff.

## **Information and facilities**

### **Learning from audits and reviews**

Performance measures are produced nationally. Each division has a process for monitoring, analysing and improving its performance. In divisional inspections, we found that operational staff understood how their work contributes to the performance of their team, local delivery unit (LDU) and division. The quality of practice is monitored through quality development tools, quality assurance processes and management oversight.

The HMPPS Serious Further Offence (SFO) team has supported divisions with the implementation of a new format for SFO reviews. It also provides the quality assurance function for all reports submitted by the divisions. There is no central written strategy to ensure that lessons learned from SFOs and complaints are shared effectively across the NPS. We commend the approach to learning from SFOs adopted in NPS Wales via its best practice forums.

SFO reviews focus on the role and responsibility of probation, predominantly for supervision in the community. In our view, there is potential for a more system-wide approach, incorporating a review of the work that is done in prison and in preparation for release, where this is appropriate.

### **Facilities management and ICT**

The roll-out of laptops and mobile phones has enabled NPS staff to work in a more flexible way. In our divisional inspections, we found no issues with the development of the ICT infrastructure.

The underinvestment in NPS buildings has meant that many probation staff operate from buildings that are in disrepair. There have been longstanding problems with the centrally led MoJ facilities management contract. In the last year, only 43 per cent of facilities management jobs were completed within the 10-day target.

Insufficient precision about the priorities and timescales for resolving issues with NPS premises has resulted in business-critical jobs remaining unresolved for an unacceptably long time. There was a lack of awareness of the significance of this for the probation estate, as opposed to prisons, where the problems posed by a broken door are more immediately understood.

We have drawn attention to these problems in the majority of our reports. We acknowledge that this situation is improving, with facilities management staff now dedicated to probation and better monitoring of outstanding jobs. However, the time required to resolve facilities issues is unacceptable, and priority needs to be given to addressing the many unresolved health and safety issues within the estate.

### 3. Recommendations

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We have made 24 recommendations that we believe, if implemented, will have a positive impact on the National Probation Service in England and Wales.

#### **Leadership – HM Prison and Probation Service should:**

1. ensure that corporate services are structured and resourced appropriately and that there is a focus on improved understanding and delivery of the NPS's needs
2. hold the providers of corporate services to account for the services they deliver to probation
3. conduct a review to see if aspects of corporate delivery and facilities management can be devolved to the divisions where this will improve delivery.

#### **Staff – HM Prison and Probation Service should:**

4. review NPS workforce requirements and recruit sufficiently skilled staff in the numbers that are required to meet current and anticipated future demand
5. review its approach to recruitment to better address the underrepresentation of black, Asian and minority ethnic and male staff in the workplace
6. ensure that relevant information disclosed on diversity needs is collected and shared appropriately at all stages of the qualification process for probation officers
7. improve the accuracy and comprehensiveness of management information produced by the workload measurement tool to support service improvement and staff's understanding, including applying the tool to other operational probation staff
8. review the role of the senior probation officer to ensure that the workload is manageable
9. ensure that learning and development resources meet the needs of staff in the NPS
10. identify the learning needs of all staff and provide access to learning to ensure that all staff are sufficiently trained to carry out their tasks
11. ensure that efficient and effective use is made of probation services officers
12. improve data collection to support analysis of staff performance management with a view to better understanding and addressing disproportionality
13. review the role of the quality development officer to ensure that it is effective and well understood.

**Services – HM Prison and Probation Service should:**

14. have strategic oversight of commissioning arrangements and ensure that non-accredited services meet the required standard
15. increase opportunities for service user feedback
16. review the grade of the victim liaison officers
17. ensure that HMPPS and Her Majesty's Courts and Tribunals Service establish equal access to court buildings and facilities for NPS staff.

**Information and facilities – HM Prison and Probation Service should:**

18. develop a strategy for disseminating lessons learned from serious further offences
19. review the potential for a system-wide approach to the review of serious further offences, incorporating work that is done in prison and in preparation for release, in relevant cases
20. issue clear guidance on the recording and classification of NPS complaints to ensure consistent practice and support service improvement
21. ensure that data and learning from NPS complaints are routinely gathered, analysed and shared with divisions.

**Information and facilities – the Ministry of Justice should:**

22. implement a strategy to reverse the underinvestment in the NPS estate, with costs and timescales
23. ensure that the process for reviewing work orders in the facilities management contract prioritises public protection
24. develop and deploy a streamlined escalation process in relation to the facilities management contract, and monitor performance at each stage to support better service delivery and ensure that repairs are carried out to the required standard and an acceptable timescale.

## 4. Background

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

Her Majesty's Inspectorate of Probation is the independent inspector of youth offending and probation services in England and Wales. We provide assurance on the effectiveness of work with adults and children who have offended to implement orders of the court, reduce reoffending, protect the public and safeguard the vulnerable. We inspect these services and publish inspection reports. We highlight good and poor practice and use our data and information to encourage high-quality services. We are independent of government, and speak independently.

### **HM Inspectorate of Probation standards**

The standards against which we inspect are based on established models and frameworks, which are grounded in evidence, learning and experience. These standards are designed to drive improvements in the quality of work with people who have offended.

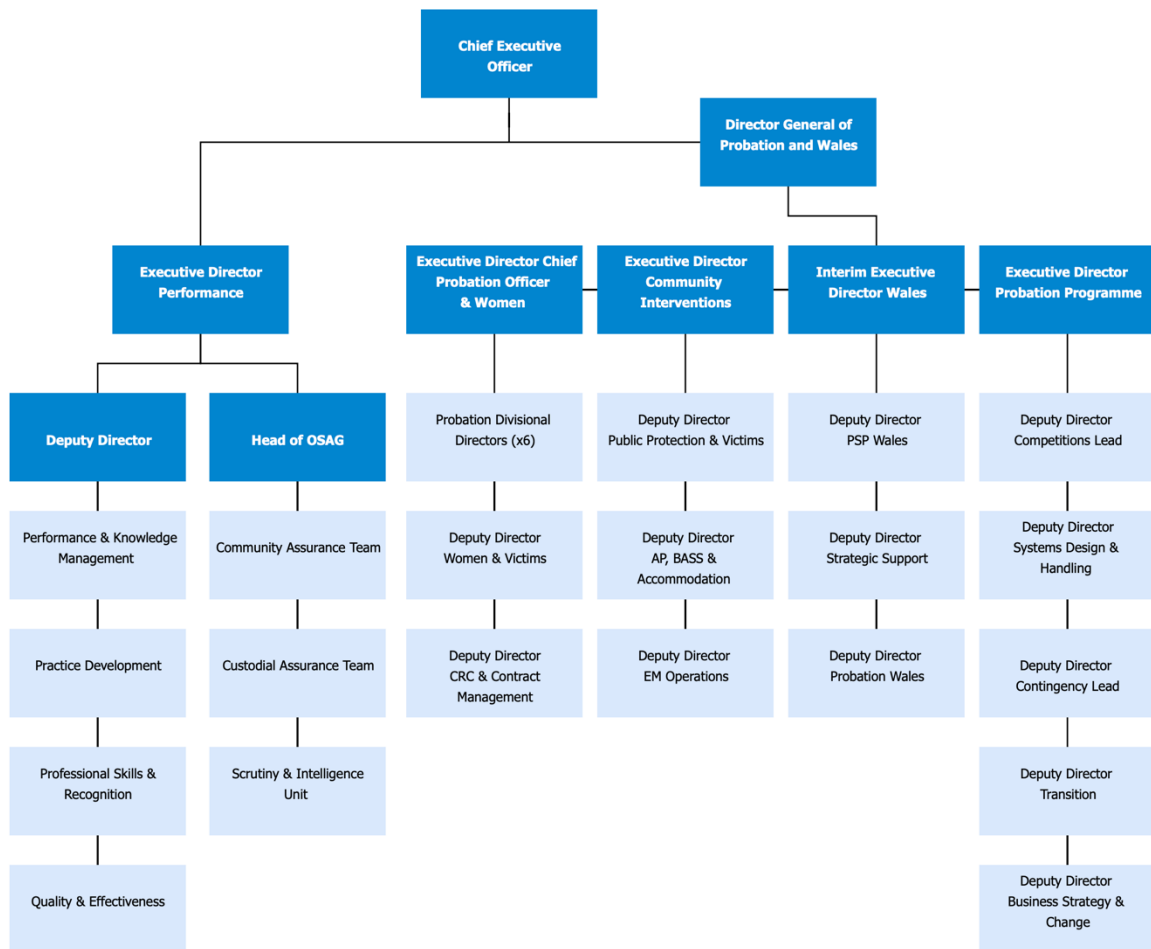
### **The role of probation services**

Over 250,000 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 all individuals released from prison, for a minimum of 12 months.

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 offending. They monitor whether individuals are complying with court requirements, to make sure that they abide by their sentence. If offenders fail to comply, probation staff generally report them to court or request recall to prison.



## HMPPS organisational structure chart



HMPPS is an executive agency sponsored by the MoJ. The NPS, which sits within HMPPS, is split into seven geographical areas: six in England and one in Wales. Services are provided in-house, apart from those commissioned from CRCs. As a national organisation, the NPS has standardised processes and guidance on policies and practice.

Following a review of the HMPPS management structure in September 2018, a decision was made to create a new Director General post for Probation, reporting to the HMPPS Chief Executive Officer. Four NPS Executive Directors report to the Director General for Probation: the Executive Director for HMPPS in Wales, the Chief Probation Officer and Executive Director for Women and Victims in England, the Executive Director for Community Interventions and the Executive Director for Probation Reform.

The NPS Effective Probation Practice (EPP) division was set up in 2017. The division has four main functions: performance and knowledge management; quality and effectiveness; professional skills and recognition; and practice development. The EPP division now sits with the HMPPS Executive Director of Performance, which is outside the NPS structure. This provides an opportunity to adopt a whole-system approach to supporting prisons and probation, as well as providing central support to a new Chief Executive Officer.

MoJ Estates Directorate is responsible for all MoJ buildings, including those occupied by the NPS, and for administering the facilities management (FM) contract. The MoJ holds the budget for improvements to buildings. The Business Strategy and Change (BSC) division in HMPPS is responsible for advising and communicating directly with MoJ Estates on behalf of the NPS. This includes escalating any concerns or outstanding work for both buildings and the FM contract. The contract arrangements have been in place since January 2018. They will run for five years, with an option to extend for a further two years if MoJ Estates sees fit to do so. As part of this inspection, we have sought to understand why the FM process operated by the MoJ on behalf of the NPS is not delivering and what underlying issues contribute to this underperformance.

### **The future delivery of probation services**

In July 2018, the government consulted on the future delivery of probation services in the document *Strengthening probation, building confidence*. It set out proposals for improving probation services and putting in place new arrangements, following the decision to end CRC contracts early in 2020.

The problems that have beset probation since *Transforming Rehabilitation* are well known and have been comprehensively reported.<sup>789</sup> In May 2019, the Secretary of State for Justice announced the government's intention to unify the provision of probation services. At the same time, the government's response to the consultation was published. In the future, responsibility for managing all offenders, whether low, medium or high risk of harm to others, will be held by the NPS. Private and voluntary sector organisations will deliver interventions and rehabilitative services, such as unpaid work, accredited programmes (with the exception of programmes for those individuals who have committed sexual offences, which will continue to be delivered by the NPS) and other resettlement and rehabilitative interventions.

The new model will have 11 NPS regions in England and one in Wales. In England, each region will be overseen by a Regional Probation Director, who will provide strategic leadership and be responsible for the overall delivery and commissioning of probation services. The Executive Director for HMPPS in Wales has responsibility for all probation services and prisons in Wales, which will remain unchanged. The move to the unified model is planned to take place in England in 2021 and for Wales at the end of 2019.

The Probation Director General has set three strategic priorities for the future probation model.

- Manage the change in a way that ensures that probation is on a sustainable footing after the end of the CRCs' current contracts by delivering a new model while managing risk effectively.

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<sup>7</sup> National Audit Office. (2019). *Transforming Rehabilitation: Progress review*. [Online] Available at <https://www.nao.org.uk/wp-content/uploads/2019/02/Transforming-Rehabilitation-Progress-review.pdf>. (Accessed 6/12/19)

<sup>8</sup> Justice Select Committee. (2019). *Transforming Rehabilitation: Follow-up*. [Online] Available at <https://publications.parliament.uk/pa/cm201719/cmselect/cmjust/2526/2526.pdf>. (Accessed 6/12/19)

<sup>9</sup> HMI Probation. (2019). *Report by Chief Inspector of Probation*. [Online] Available at <https://www.justiceinspectorates.gov.uk/hmiprobation/wp-content/uploads/sites/5/2019/03/HMI-Probation-Chief-Inspectors-Report.pdf>. (Accessed 6/12/19)

- Provide professional recognition – “to build back the pride in what we do” – by recognising the skills and professionalism of the probation workforce through registration, training and a performance framework.
- Maximise the influence of the NPS by working with the justice system and others so that probation can deliver effective end-to-end offender management and rehabilitation as well as ministers’ priority of sentencing reform.



Engaging with staff on the changes is crucial; the plan is that change will be done with staff rather than to them.





























In June 2019, HMPPS published *The proposed future model for probation: a draft operating blueprint*. This document provides more detail about the future model for delivering probation services.

## 5. Summary ratings of divisional inspections

The chart below shows the rating for HMI Probation NPS division inspections between July 2018 and May 2019 for the organisational delivery standard. For further information, see our website.<sup>10</sup>

**Table 1: Ratings for Domain 1 organisational delivery**

-  Good
-  Requires improvement

	Leadership	Staff	Services	Information and facilities
South West South Central				
Midlands				
North West				
Wales				
London				
North East				
South East and Eastern				

<sup>10</sup> [www.justiceinspectorates.gov.uk/hmiprobation](http://www.justiceinspectorates.gov.uk/hmiprobation).

## **6. Organisational delivery standard – leadership findings**

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This section considers the extent to which HMPPS supports divisional leadership and enables the delivery of a high-quality, personalised and responsive service for all service users. Inspectors pursued lines of enquiry focused on: organisational structure; business continuity; operating model; and communication.

Leadership was the only standard in our divisional inspections where every division was rated as 'Good'. After *Transforming Rehabilitation*, the organisational structure of the NPS presented a formidable challenge for probation divisional directors. Thirty-five former Probation Trusts, with different policies and processes, were merged into seven divisions covering large geographical areas (see the divisional map in Annex 2). Despite these challenges, we found leadership teams focused on delivering a high-quality service.

### **National leadership**

There is an effective national governance framework, with clear lines of accountability between the NPS senior leadership and HMPPS. The HMPPS vision and strategy are set out in the NPS's strategic business plan.

The Chief Probation Officer and Executive Director for Women provides visible national leadership to the NPS staff group, through bulletins, office visits and teleconferences. During our inspections, we found that staff understood the organisation's vision and, despite the well-publicised problems following *Transforming Rehabilitation*, most staff remain committed to the probation system.

Nevertheless, many staff expressed a disconnect from the HMPPS centre and were unsure about the different functions and responsibilities. The centralisation of various functions has impacted at a local level. This was often seen as the cause of local difficulties. For example, the NPS no longer has dedicated human resources, ICT helpdesks or training teams at a local or divisional level. Staff viewed the HMPPS as a remote, bureaucratic organisation that does not understand the day-to-day difficulties that operational staff experience. They also perceived the NPS as the poor relation of the criminal justice system, and despite – or perhaps because of – well-publicised difficulties within the prison system, probation staff often feel they are the poor relation within HMPPS.

### **Communication**

Communication across the MoJ is the responsibility of the Communications and Information Service directorate in the MoJ. The team is responsible for both internal and external communications for around 44,000 staff in HMPPS, based across 106 prisons, over 400 probation offices and several HMPPS headquarters buildings.

The team communicates daily with NPS divisions via the intranet, fortnightly through NPS news and weekly through the Senior Leadership Bulletin. It hosts teleconferences for communication leads across the MoJ. The central communications team is also responsible for supporting national initiatives, for

example promoting vacancies to support recruitment, producing leaflets for service users, and running campaigns. 'Child safeguarding month' is one example, where the aim was to increase the volume of referrals to children's social care and to increase awareness among offender management staff of how to record referrals correctly. This campaign had a positive outcome, with a 216 per cent increase in the completion of referrals – up from 42 completions before the campaign to 133 completions afterwards.

The HMPPS communication strategy does not drive a consistent or coordinated approach at divisional level. We found that not all divisions were clear about what they could expect from the centre, or the extent to which they could resource and manage their own communications. Not all divisions had a senior leader responsible for internal communication. There was no nationally agreed strategy for communicating with staff.

Each division has a section on the NPS intranet in addition to EQuIP, team briefings and emails. With no nationally agreed principles for communicating with staff, many practitioners told us that they were deluged with communications, all considered important. We were pleased to note that the communications plan for 2018/2019 included a project to review the methods of communication used in the NPS. The plan also includes more joint working with the NPS to create a culture of clearer, concise communications to reduce duplication and reliance on email.

### **Leadership – HMPPS in Wales**

HMPPS in Wales is led by an Executive Director. The accountability structure mirrors that in England, but prisons and probation performance monitoring arrangements are combined. This enables prisons and probation to share knowledge. The integrated approach to service delivery allows HMPPS in Wales to work across community and custody.

The NPS in Wales consists of five LDUs, covering 22 local authorities. The organisation is coterminous with Wales CRC. The strategic aims are outlined in the annual business plan of the HMPPS in Wales, and implemented through the operating model. The plan incorporates national priorities, commissioning intentions and local priorities. The management structure, process and delivery plans are clear, and there is a process for tracking and reviewing progress.

Importantly, the structure in Wales facilitates a sense of common identity for staff. The concept of 'Team Wales' has real resonance in this respect. Probation has operated on an all-Wales basis since 2010, during which time the organisation has built a cohesive identity for staff. The management arrangements enable HMPPS in Wales to benefit from being part of the greater whole.

Communication with staff is driven by an integrated communications team, supported by the national function. There is a comprehensive staff engagement and communication strategy and several forums that give staff the opportunity to meet and provide feedback to middle and senior managers on operational delivery. Good links with LDUs and clear communications ensure that relevant messages are imparted to staff and others about both national issues and issues specific to Wales. In our divisional inspection of Wales, team managers told us that leaders provide clarity about the direction of the organisation and almost all Welsh responsible officers interviewed stated that the division prioritised quality. Our inspection findings where almost all responsible officers interviewed stated that the division prioritised quality. Staff understand the operating model and hold leaders in high regard.

Strong partnerships between the NPS and other agencies support service delivery. The Welsh Government requires agencies to work together to address the needs of Welsh communities. The All Wales Criminal Justice Board sets a strategic framework for reducing reoffending. The 'Framework to Support Positive Change for Those at Risk of Offending in Wales' establishes seven pathways, each with a strategic lead. HMPPS and the CRC in Wales have a high profile in this work. Significant developments include the youth and women's blueprints. Welsh Government ministers have endorsed these as approaches that will work for women and children in Wales.

The all-Wales approach enables the HMPPS team to engage in cohesive joint planning with others. The probation providers in Wales work jointly with the four Police and Crime Commissioners (PCCs) in Wales. In addition, HMPPS works through the Justice in Wales Strategy group to bring together senior operational and policy colleagues from the Welsh Government, MoJ and Crown Prosecution Service. This provides an effective forum for discussion that has allowed HMPPS in Wales to collaborate effectively on policy issues in Wales. It has improved information exchange with the police and led to joint approaches to work on organised crime and the delivery of Integrated Offender Management Cymru.

The *Well-being of Future Generations (Wales) Act 2015* also requires HMPPS service delivery to relate to the all-Wales context. Crucially, the HMPPS structure in Wales enables HMPPS staff, at all levels of the organisation, to engage with key partners and stakeholders. Together they can build on the common goals and aims of a range of agencies and work together to meet the needs of Welsh communities.

Overall, HMPPS has a solid platform for leading and managing the delivery of services in Wales. This will ease the process of unifying NPS and CRC operations.

## **The future**

Given the challenges presented by managing these current large geographical areas, we see it as a positive step that plans for the unified probation model will include 11 smaller regions in England and one in Wales. In Wales, the role of Executive Director for both prisons and probation will remain. There will also be a new regional management structure, which will include a new head of NPS operations. This post will be responsible for operational delivery in each region, and report to the regional probation director and have line management responsibility for heads of LDUs. This role will provide additional support to the divisional director as well as to the heads of LDUs.

We believe that there are considerable advantages associated with the Wales model. The coterminosity of prison and probation areas, and the combined governance, brings a number of benefits, and the level of devolved responsibility has allowed for a more locally driven service, less hindered by what can appear to be a confusing and unclear relationship between divisions and 'the centre'. Prisons and probation, and others, working more collaboratively can be both more efficient and more effective.

## 7. Organisational delivery standard – staff findings

This section considers the extent to which staff in the organisation are empowered to deliver a high-quality, personalised and responsive service for all service users. Inspectors pursued lines of enquiry regarding: recruitment; workload; staff supervision; managing poor performance; staff undertaking the Professional Qualification in Probation, known as 'PQIPs'; newly qualified officers (NQOs); and quality development officers (QDOs). We also conducted an e-survey of band 5 middle managers.

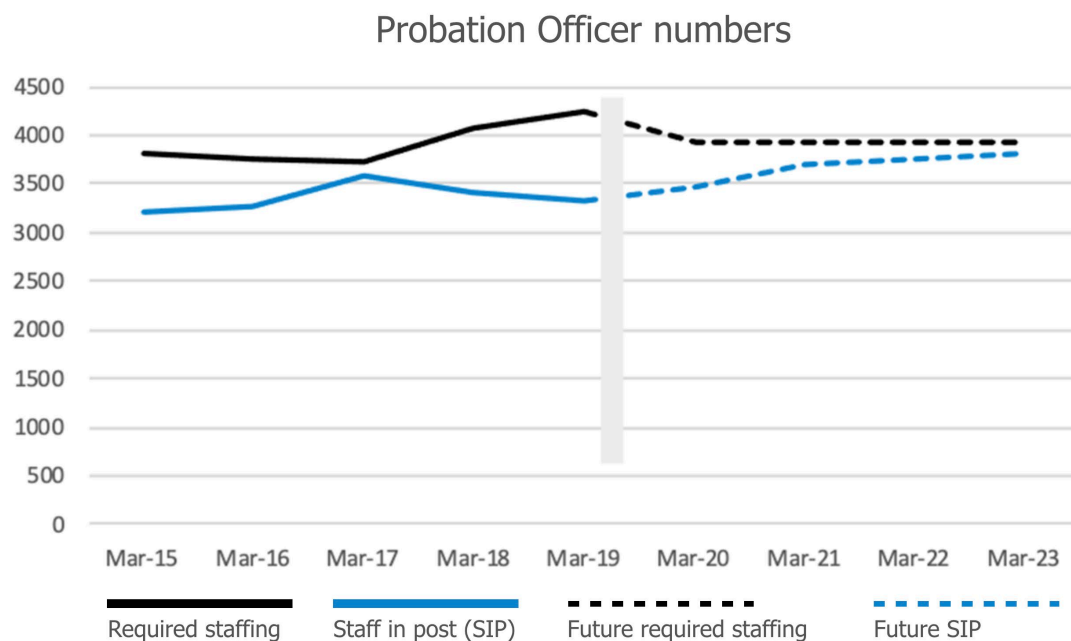
In our divisional inspections, every division was rated as 'Requires improvement' against our standards for staff.

### National staff shortages – the background

We found staff shortages in all divisions of the NPS. They were particularly acute for the probation officer grade. The number of staff in post has fallen short of the target since 2015; at the same time, the NPS caseload has increased. At the time of *Transforming Rehabilitation*, a divisional staffing profile was established as part of the operating model. This has proved to be inaccurate, partly because the number of NPS cases has been higher than expected.

The following chart shows trends in the recruitment of probation officers over time.

**Figure 2: NPS probation officer numbers March 2015 – March 2019**



In addition, the problem has been exacerbated by national recruitment difficulties, which are particularly challenging in some areas, especially those close to London. Probation officer training was frozen for a period of time, with a resultant gap in the throughput of newly qualified officers; as a result, probation officer grades are particularly stretched.



## Workforce planning

Nationally, the NPS staffing plan has been reviewed to reflect the changing workload. The plan is based on activity costing, the tiering model and the future target workforce. The workforce planning tool incorporates 'movers and leavers' and predicts how long it will take to fill gaps, for example through the recruitment of PQiPs.

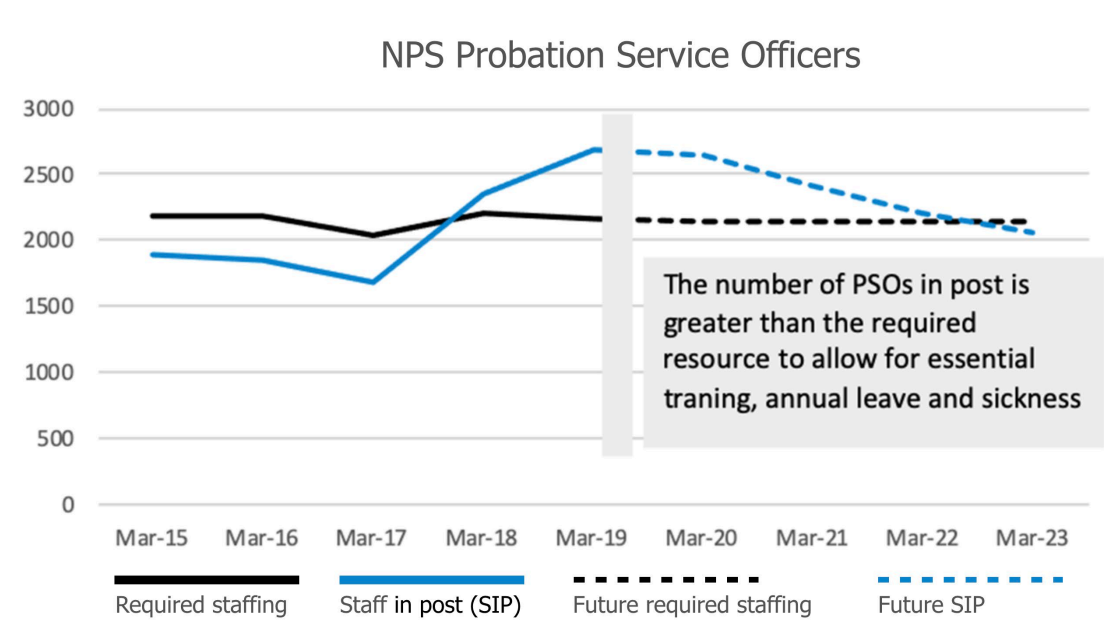
The difficulties with workforce planning from the time of *Transforming Rehabilitation* have not been fully resolved, and this presents a risk to the future unified model of probation. For example, the reported shortage of CRC probation officers has recently changed from 40+ to 500. Data on divisional staffing requirements is not sufficiently accurate, and HMPPS has acknowledged that this is "*a work in progress and not as good as it should be*".

## Recruitment

HMPPS has made some progress in recruiting the numbers of staff required, but national recruitment processes do not always meet local need. Divisions can run local recruitment campaigns for qualified probation officers, but only within the staffing requirements set by the national workforce planning committee staffing forecast.

The position for Probation Service Officers (PSOs) is more positive, as illustrated below, with few vacancies across the NPS.

**Figure 3: Probation service officer numbers March 2015 – 2019**



There have been lengthy delays in vetting of new starters, resulting in the loss of some successful applicants who have found work elsewhere while waiting for a start date. The length of time taken to complete vetting processes has recently improved. In April 2018, the NPS had 694 vacancies for probation officers. The highest number of vacancies were in South East and Eastern (102). In June 2019, figures showed that the NPS had 3,319 probation officers in post versus a requirement of 3,934 – a gap of 615 probation officer vacancies.

To address the shortfall of probation officers in the long term, divisions are recruiting high numbers of trainee probation officers (PQIPs). In June 2019, 614 were in

training, which is the expected full year cohort. The Director General of Probation has approved the recruitment of 400 PQiP learners to be seconded to CRCs, to ensure continuous service delivery ahead of implementing the unified model. Further work needs to be completed to ensure the accuracy of the vacancy data used to design the unified model of probation.

PQiPs are appointed to local offices with vacancies, though vacancies may no longer exist in their selected office by the time they have completed their training. On qualifying, a small number of NQOs may not wish to move to another office – which could be some considerable distance away – and they remain in post as a PSO. This is costly to the NPS, as the financial investment in training does not yield a return in such cases. It also adversely affects the ability to fill vacancies in some of the LDUs where NQOs are most needed. Market forces payments for the South East of England and South West South Central do not attract sufficient numbers of staff to work in these high-vacancy areas.

In summary, centralised recruitment processes are not sufficiently responsive to local need. While progress has been made in recruiting PQiPs, it will be some time before gaps in skills and experience are adequately filled.

### **Diversity of the workforce**

The NPS workforce is not sufficiently diverse. Newly recruited probation officers have been predominantly white females, and the staff profile is currently 70 per cent white female. Staff from black, Asian and minority ethnic backgrounds are not represented enough at senior manager level. The entry criteria to PQiP has been widened, and this has attracted more applications from women with diverse backgrounds. A small team has been recruited in HMPPS to help increase the number of black, Asian and minority ethnic staff at all levels of HMPPS, particularly in senior leadership. HMPPS human resources teams have used Facebook and local recruitment initiatives such as school visits to try and attract more diverse applications. Despite these efforts, not enough men are being attracted into the workforce. As a result, there is a mismatch between the profile of the workforce and that of the people under supervision.

### **Workload management**

The national workload measurement tool (WMT) is used across the NPS to measure the workload of those who supervise offenders. This tool measures individual, team and divisional workloads based on a nationally agreed Specification, Benchmarking and Costing Framework. Cases are classified by type, complexity and tier.

We found that staff have little faith that the WMT accurately reflects how busy they are. Some staff are shown as being significantly 'over 100 per cent capacity', despite the WMT not covering the full range of tasks they cover. The BSC directorate reports that up to 120 per cent is an acceptable workload, as the level of demand varies between similarly tiered cases. However, this is interpreted by some responsible officers as "120 per cent is the new 100 per cent".

During this inspection, the NPS acknowledged that the WMT does not accurately reflect some situations, such as co-worked cases, and is not sufficiently responsive to the complexity and changing demands of NPS workloads. It is recognised that the WMT does not take sufficient account of the complexity of managing women offenders. There is limited scope to introduce changes to the WMT due to budgetary considerations and the limitations of the Notice of Change process. The move of the WMT to Kainos, a private contractor, has improved functionality. For example, Kainos

has created a monthly dashboard that provides performance and quality managers with a real-time picture of workload distribution.

In our view, many probation officers have unacceptably high workloads. In our divisional inspections, only 46 per cent of probation officers said they had manageable workloads, compared with 87 per cent of PSOs and 83 per cent of PQiPs. This correlates with the figures provided by HMPPS for 04 July 2019, when of 2,547 probation officers, 63 per cent (1,600) exceeded 100 per cent on the WMT. A further breakdown shows that 47 per cent (1,189) exceeded 110 per cent, 29 per cent (743) exceeded 120 per cent and 17.43 per cent (444) exceeded 130 per cent.

The NPS operating model includes 'case management support' for probation officers, with a range of specific tasks undertaken by other relevant grades to enhance offender supervision. PSOs were recruited in large volumes to undertake tasks that supported cases held by probation officers, including delivering specific pieces of work identified in the sentence plan and activities such as more complex referrals.

Case management support was expected to provide an element of workload relief for probation officers. However, the distribution of work between probation officers and PSOs has not sufficiently evened out. WMT data suggests that PSOs are significantly less heavily loaded, with only 10 per cent (75) exceeding 100 per cent, 5 per cent (39) exceeding 110 per cent, 3 per cent (22) exceeding 120 per cent and 1.71 per cent (13) exceeding 130 per cent.

Divisions can decide whether to use 'case management support', and it is not being applied to full effect. Furthermore, PSOs have had some difficulty in accessing the relevant training to manage specific types of case. The impact is that there is insufficient workload relief where it is required.

Workloads for PQiPs are monitored by divisional training managers and practice tutor assessors (PTAs). NQO workloads are managed by divisions and monitored by the BSC team. NQOs have protected caseloads; however, local pressures often mean that they are required to take on a higher number of cases than planned. This results in NQOs lacking the skills and experience to manage appropriately some of the complex cases allocated to them.

In summary, probation officer shortages remain a major issue for the NPS, which ultimately cannot be resolved by 'moving work around' within limited resources. Until this shortage is addressed, too many probation officers will be managing high caseloads of challenging individuals for which they receive inadequate training and insufficient oversight. This situation undermines the very real commitment and dedication of local staff and managers.

### **Specialist roles**

The deployment of probation qualified staff into specialist roles, such as practice tutor assessor, quality development officer, and learning and development facilitator, potentially results in higher workloads for those who are left as responsible officers. Local managers rightly wish to deploy able staff in these roles, to provide them with development opportunities and to use them to support less experienced practitioners. Nevertheless, drawing these staff from the frontline perpetuates the pressure on other staff. This is a no-win situation that will not be resolved until the shortfall of probation practitioners has been reduced.

The workload of other grades of staff is not sufficiently monitored by HMPPS. Ratios are currently set at one band 2 case administrator to every four responsible officers and a business manager for each LDU head. The workloads of reception staff and

Multi-Agency Public Protection Arrangements (MAPPA) administrators are under review, alongside consideration of the impact of divisional enforcement hubs, a centrally located team of administrators who manage the enforcement processes for the whole division.

In relation to courts, staffing and workload levels are too high to support the delivery of a high-quality service for all service users. The allocation of staff to local courts is determined by the Detailed Court Staff Resourcing model (DCSR). The model does not adequately take account of the complex requirements of local courts, for example the need for the NPS to maintain sufficient presence in courts, to generate or respond to demand for pre-sentence reports.

The workload measurement tool was not designed to capture the workload of the VLOs. In our divisional inspections, we found that many VLOs are holding very high numbers of cases, on average 215 active and inactive cases. The allocation of work to VLOs is determined by the Victim Contact Management System tool and management oversight.

### **Role of senior probation officers**

The breadth of the SPO's role is of concern. They increasingly deal with complex staffing and human resources issues, for which some feel ill-equipped. This also reduces the time they have available to provide effective professional oversight of work on individual cases. Most told us that they do not have enough time to supervise all members of their teams to the standard they would wish, and when they do supervise, there is often a focus on managing volumes of work rather than improving quality.

As part of this national inspection, we conducted a survey of band 5 managers, the majority of whom were SPOs in LDUs. We also received responses from SPOs from courts, victim liaison units and business managers. Only 30 per cent of managers who responded stated that they had received sufficient support in dealing with recruitment, attendance management, staff wellbeing, grievance, discipline and retirement processes.

We found a relatively inexperienced group; only 15 per cent of managers had been in their current role for more than 10 years. The majority – 75 per cent – had been in their role for less than five years, with 29 per cent in their role for less than one year. As noted above, many had not received the training they needed to make the transition to a management role.

Their time was split between monitoring casework, supervision of staff, meeting performance targets, managing the team and stakeholder engagement. Just over half of managers stated that they spend less than 20 per cent of their time monitoring casework. Given the breadth of their role, and their relative lack of experience, we were not surprised to note that 68 per cent said that they were never, or seldom, able to fulfil their tasks within their contracted hours. On average, this group were working five hours per week above their contract.

We asked managers about their perception of the skills of their teams: 69 per cent felt that staff had sufficient skills to work with those who had committed sexual offences; 72 per cent to work with domestic abuse perpetrators; and 77 per cent to work with women who have offended. Managers stated that they would like to spend more time focusing on supporting staff to improve their skills.

Managers were less confident in the abilities of their staff in other areas, with only 63 per cent regarding their staff as skilled in responding to and assessing those with

diverse needs, such as black, Asian and minority ethnic individuals and those with mental health issues.

Middle managers were generally positive about the frequency of line management supervision they receive from their managers: 72 per cent stated that they had line management supervision at least quarterly but less than monthly. It was good to see that 77 per cent felt that appropriate attention was paid to their wellbeing.

Some comments revealed their frustration with the position of the NPS and their role as managers:

*"We are the poor relation in the CJS [criminal justice system]. We have unrealistic targets, too high caseloads and insufficient staff".*

*"I am proud to work for the NPS. Unfortunately, since TR some things have deteriorated, such as HR and IT support. There has also been a layer of management removed so SPOs are taking on more and more responsibility but have not been moved up a grade. The job can be frustrating at times but this is due to the organisation and not so much the job itself. Locally, the support I receive from my manager is great".*

Despite the challenges and frustrations, most still loved their jobs. This comment was typical of many:

*"I thoroughly enjoy working with my team and colleagues. They are dedicated professionals who work hard to make a difference and manage our most dangerous offenders and protect the public. I enjoy making that difference and supporting my colleagues".*

Our survey bears out what we found during divisional inspections. Band 5 managers are the squeezed middle layer of management, frequently overwhelmed by their duties and requiring more formal development. This has been recognised by HMPPS and we will be interested to see the outcome of the SPO review.

The NPS operating model is based on SPOs supervising 10 full-time equivalent (FTE) staff. With many probation officers now working part time, 10 FTE staff can in practice be up to 20 team members. Half of the managers surveyed report supervising between 11 and 20 members of staff, some well over the recommended level of 10 direct reports. SPOs often manage these individuals across several office locations, on top of liaising with a range of local partners. The current supervision model results in variable quality of staff supervision. As a result, many frontline responsible officers are not adequately supported to develop quality case management practice. We did, however, find that 84 per cent of the responsible officers we interviewed told us that, when they received line management supervision, it improved the quality of their work and helped them sustain it. While we were assured that managers were available to their staff and many had an 'open door' policy, the frequency of formal supervision varied.

PQiPs are better supported. Supervision arrangements vary across divisions, with some managed by a specialist SPO and some having access to an SPO single point of contact. PTAs also provide support in each office. The accessibility of SPO

management and PTA provision means that PQiPs receive a suitable level of support to help them complete their training.

Training for SPOs does not sufficiently enable them to adapt to a new role. Some new managers find it difficult to adjust from writing offender assessments to quality assuring them. Some managers have been on the first line managers course, which is available to new managers within HMPPS. However, they have reported that, while helpful, it is not NPS-specific. A recent learning and development survey indicated that managers required training in chairing meetings, lifer reviews, HR and commissioning.

There is insufficient training for middle managers in HR processes, and many felt that they lacked skills and knowledge in key areas, for example absence management. It is not the role of Human Resource Business Partners to provide recruitment training to middle managers; help and guidance are available online. Consequently, middle managers “*pick recruitment processes up from an experienced manager*”, which as a result is “ad hoc”. Because of this, many middle managers struggle to implement standard HR processes. Some newly appointed SPOs are not sufficiently supported to manage their workload with confidence.

We note that line manager responsibilities are being reviewed to enable greater oversight of the quality of case management work. The ratio of frontline staff to SPOs is helpfully within the scope of the review, alongside rurality and the impact of managing probation learners.

The Effective Probation Practice Division has helpfully developed a new supervision framework, which sets out the required frequency and content of supervision. The framework includes direct observations of responsible officer work, reflective discussions and performance reviews. SPO training in the new effective supervision framework began in January 2019, and the framework was implemented on 01 April 2019. Fifty-three per cent of SPOs have been trained to date, though attending the three-day training is not a prerequisite to delivering the framework. The guidance provided through this framework is relevant to SPOs and frontline practitioners, including probation staff working in courts, approved premises and prisons.

## **Learning and development**

The NPS national training team is part of the HMPPS Learning and Development unit. This team is primarily responsible for identifying the training needs of staff at different grades of the NPS, commissioning training packages to be developed by subject experts and delivering professional skills training across the NPS.

Line managers are responsible for designating training for staff and supporting their continuing professional development through the supervision and appraisal process.

The majority of learning materials can now be accessed through a single portal, the ‘myLearning’ platform. This is a learning management system, launched in November 2018. The courses available consist of both classroom training and online learning. The learner pathways, although currently under-utilised, make clear to specified groups of staff the learning they are expected to complete. The Learning and Development unit can identify completion of specific courses, but does not provide a learning record for an individual member of staff. Completion of a learning record is reliant on SPOs, divisional director oversight and self-reporting. As a result, completion of learning and continuous improvement is unhelpfully left in the hands of individual practitioners and divisional discretion. We are aware that this has been recognised and action is being taken to address it.

We found that continuous professional development arrangements provided by the Learning and Development unit are not sufficiently comprehensive and responsive to meet the learning needs of all staff. Child safeguarding training is seen as too basic by many experienced practitioners. Training in completing the Active Risk Management System (ARMS) and in attending parole and oral hearings has recently been added to the catalogue of courses on 'myLearning', alongside 7-minute briefings from the EPP division. Completion of some core practice learning – for example on hate crime and on working with foreign national offenders – is discretionary, as is the PSO workbook for experienced PSOs. Court workbooks and court report writing training is discretionary for experienced PSOs who move into court teams.

Although PSO and PQiP training is generally well attended, there is insufficient take-up of other training, with only 40–50 per cent of training places currently utilised. A self-service learning culture has not been sufficiently established, and many staff do not prioritise learning and development. High workloads have an adverse impact on the capacity of responsible officers to attend training. As a result, a significant number of training places are booked but then not taken up. Due to workload demands, some staff are required to undertake work for which they have not received training. Workbooks are not well received by staff and learning outside of a classroom, for example in a team meeting, is often not seen as a learning experience. Staff indicate a preference for face-to-face learning, as completing workbooks too often takes second place to the daily tasks of supervising offenders. Learning in a dedicated environment would give individuals the opportunity to absorb and reflect on the information.

High-quality learning opportunities are critical to support the development of probation professionals. It is of particular concern that NQOs are poorly served in developing their skills and knowledge. There is insufficient access to post-qualification learning for this group. The learning package designed by the EPP division includes peer learning and workshops, designed to be delivered by 'subject matter experts' from within the division. However, due to workload pressures, subject matter experts have not come forward as anticipated; therefore, some NQOs are not receiving the required level of support.

### **Monitoring performance and improving quality**

The EPP division provides practice guidance to improve service delivery. This includes identifying specific NPS training needs and advising the HMPPS Learning and Development unit on NPS requirements. For example, a toolkit on identifying and working with individuals in relation to child sexual exploitation was issued by the division and circulated to operational divisions as best practice. Staff from the EPP division communicate with the NPS by email, newsletters, divisional visits, briefings and workshops, and a programme of videos that include contributions from academics, managers, stakeholders and staff.

The EPP division has received positive feedback on its training, but there has been no clear strategy to evaluate the impact on practice. There is not sufficient coordination of learning and development delivered by the EPP division and that delivered by the Performance directorate in the HMPPS, and learners are not always aware of where responsibility lies for their training.

Each division has a head of performance and quality. The performance quality manager (PQM) role supports divisional improvement priorities. The quality of practice is monitored through quality development tools, assessment quality

assurance and management oversight. PQMs produce and share weekly reports that outline how LDUs, teams and individuals perform and focus on areas that require further improvement. We found that divisional staff were aware of the performance measures in relation to their role and function. The EPP division meets regularly with divisional performance managers and QDOs. Interaction between the PQMs and EPP division was positive, encouraging an NPS approach to addressing performance weakness. QDO roles are held by probation officers who focus on promoting effective practice, undertaking observations of responsible officers and other quality assurance activity. They support divisions to ensure some consistency in approach, placing an equal emphasis on performance and quality.

There is insufficient evidence that QDOs consistently drive performance improvement. QDOs work differently in each division, and practitioner feedback varies from welcoming the support given, particularly following self-referral, to a degree of disquiet, fed by a view that QDOs have been taken off frontline practice to 'police' probation officers. Impact is measured by quality assurance data and feedback held by the division.

The implementation of quality improvement tools is monitored. A new OASys quality assurance tool was recently launched in response to a perceived inconsistency with other quality assurance processes. Divisions reported, however, that the new OASys quality assurance tool was cumbersome to use, resource-intensive and not driving improvement. The tool and its future deployment have been reviewed in response to this feedback.

Other quality assurance tools used by practitioners include a focus on parole reports, court reports and the use of professional judgement. Evaluation of these tools has been limited, due to IT difficulties in gathering data on impact. Further tools are in development, including quality assurance of oral reports, ARMS and work with victims. National data is required to assess the effectiveness of quality assessment tools.

We were pleased to see that the model for the new management structure includes the appointment of a Head of Corporate Services, who will have responsibilities for the administration hub, compliance, litigation, complaints, and learning and development.

### **ICT and case recording**

New recruits generally receive ICT training as part of their induction; PQiPs are trained in the use of nDelius within two weeks and OASys within four weeks. Beyond this, however, HMPPS does not actively promote a culture of learning for technology packages.

Staff have requested training on Outlook, Excel, Word and video editing, but ICT trainers have not been trained on the new ICT bundles and the availability of ICT training rooms is insufficient. There is a shortage of computer mice, laptop bags and connector cables for new starters.

Training on accurate case recording is delivered by performance and quality single points of contact. This includes the use of case flags and registrations and use of the officer diary to improve risk management and the accuracy of the WMT. The way to record non-statutory interventions is not well understood. There is good take-up of rehabilitation activity requirement (RAR) training by case administrators. Most divisions allocate the responsibility for RAR recording to administrators, though case



recording instructions are not explicit about which roles are responsible for RAR recording.

### **Staff induction, appraisals and monitoring performance**

Induction processes for staff new to the NPS are in place. The centre has developed a corporate induction programme, which is supplemented by local orientation in each division. However, formal induction and training for staff moving between specific NPS roles, such as courts, approved premises and offender management, is a gap. The impact of this is that some staff may be in roles for which they do not feel appropriately equipped. They may also get stuck in their roles, thereby limiting their professional development.

The induction for PQiPs requires improvement. Information that is collected for recruitment processes does not get fed into the employee's record. Diversity needs identified at the start of the application process are not always passed on to the line manager and, in effect, learners start from scratch on the day they join the service. Divisional training managers have noted an increase in the number of PQiPs disclosing mental health difficulties. The opportunity to put support in place to prevent difficulties arising later in the learning process, such as the requirement for assistive technology, can be missed.

Line managers receive support from Human Resource Business Partners to manage formal HR processes. Casework support is available from the MoJ in relevant cases, although, as we have noted above, this is a new and challenging area of work for many managers. Conduct and disciplinary guidance was not sufficiently clear, and the guidance has now been reviewed following the publication of a high-profile SFO review.<sup>11</sup> HR has produced a helpful flowchart to guide line managers through the process of determining whether performance requires formal or informal intervention, and whether poor performance is a matter of conduct or capability and relates to knowledge, skill or competence.

There is insufficient data on staff who are subject to performance improvement, capability and disciplinary processes. Data is not captured formally and HR does not receive information on the number of staff who are receiving informal support from their line manager. As would be expected, PSO and probation officers are the grades predominantly represented as needing to improve, as they are the largest group of staff. Due to variable rates of completion of ethnicity data, HMPPS has done limited analysis of the use of formal performance processes with different staff groups or between divisions.

More attention is paid to identifying and managing poor performance of PQiPs. Work that is lower than the required standard is identified by Practice Tutor Assessors (PTA) and SPOs and the evidence to support this judgement is reviewed by a national board. Helpfully, an action plan is devised to support the learner to demonstrate the competency required to progress.

A senior manager from HMPPS HR directorate told inspectors:

*“NPS staff are not perfect, but they are committed to doing a good job in difficult circumstances”.*

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<sup>11</sup> HMI Probation. (2018). *Independent review of the case of Leroy Campbell: final report*.

## 8. Organisational delivery standard – services findings

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In this section, we assess the extent to which HMPPS supports the divisions to have a comprehensive range of high-quality services in place. We focused our inspection on the offender profile and commissioning strategy, rate card, accredited programmes, sentencer engagement, women and victims.

We rated the delivery of services in all but one division as 'Good'. We have, however, identified significant gaps in the extent to which operational divisions are supported by central teams, particularly in relation to the analysis of information about service users and use of this information to inform the design, delivery and commissioning of interventions.

### **Commissioning strategy**

In our divisional inspections, we found that not all service users had the opportunity to access the required interventions. There was insufficient analysis of the offending-related factors presented by offenders. Information has not been provided by HMPPS in time to inform delivery plans and commissioning intentions for the following year. As a result, each NPS division has set up local systems to identify and address offending-related needs. This does not seem to be the best use of resources, when information has been available to national analytical teams. Moreover, we cannot be sure that the approaches taken by divisions are consistent.

Since January 2019, a 'segmentation tool' produced by the HMPPS performance division has been available. Segmentation is an analytical technique that groups people together for gender, age, demographics and specified offending-related needs to target services. The data gives a snapshot taken from one day in the year, and includes information from offender assessments, and from probation, prison and police case management systems. The validated data enables the division to understand how many violent offenders, for example, may be suitable for an accredited programme, but does not allow data to be accessed at LDU level. Although the data is retrospective, it gives sufficient depth of information over a 12-month period.

Unfortunately, the tool was launched too late for the divisions to use it to inform their purchasing intentions for 2019. The HMPPS team responsible for the build and implementation of the tool acknowledge that they are far from meeting the needs of the NPS divisions. They have little insight into how it is being used operationally, for example to influence commissioning intentions.

The next phase is to enable the tool to be used by the NPS in the new regional commissioning processes. The tool has real potential to assist divisions to understand the cohort they are working with, but it was developed without sufficient involvement from the NPS and there is no formal monitoring of its use.

HMPPS does not oversee the commissioning process to ensure that quality services are available and accessible to service users. Gaps in provision were apparent when we completed divisional inspections. At the same time, we found that the NPS divisions were commissioning services from the CRCs, but then purchasing very few of these services.

The reluctance of the NPS to purchase from the CRCs had a negative impact on the funding stream for the CRCs. There are no national figures available on the extent to which services were under-utilised, as each division holds its own data on commissioning and purchasing.

In 2018, the MoJ responded to the low take-up of services by implementing minimum levels of payment. This committed the NPS to paying for services commissioned, up to a defined level, regardless of purchase. Previously, CRCs were only paid for the services actually delivered, not those originally commissioned by the NPS. The divisional director can set a minimum level of payment for all interventions, and HMPPS contract managers support the NPS by holding CRCs to account in terms of what they deliver on the rate card. We are doubtful whether introducing minimum payments is in the best interests of those being supervised, as it does not address any issues about the quality of the intervention. HMPPS has no system to validate the quality of non-accredited interventions. Therefore, NPS divisions and CRCs are left to decide for themselves what a good quality intervention looks like.

There is insufficient strategic focus on ensuring that all commissioned services meet the offence-related needs of all those subject to probation supervision. The success of the unified model will depend on a commissioning strategy for interventions based on sound data analysis of the offence-related needs of the NPS cohort.

The unified model for probation services will allow the NPS to commission services directly from private and voluntary sector providers on a scale that is responsive to the needs of local areas. The regional coordination function will be responsible for actively managing supply and demand for all services to ensure offenders can access the services they need. The need to ensure services are of the quality required is essential and the centre has a key role to play in providing information and analysis to support these decisions and to ensure that public resources are targeted efficiently and effectively.

## **Services in Wales**

The NPS in Wales has developed and maintained effective working relationships with other key mainstream providers. Partnerships in Wales include the Welsh Government, the Justice in Wales Strategy Group, All Wales Criminal Justice Board, and Integrated Offender Management Cymru. To help to deliver its aims, the NPS works in collaboration with others in the Welsh criminal justice sector and has a high profile in key strategic bodies. This includes the overarching All Wales Criminal Justice Board, and the Welsh Government's reducing reoffending pathways are aligned with the work of this Board.

There is an HMPPS stakeholder strategy in Wales. Senior staff acknowledged that, to get the best out of partnership work, they needed to collaborate with and influence others. Senior staff work closely with the communication team on this. Key partners include:

- four PCCs and police forces on an operational and strategic level
- sentencers and the judiciary
- partners in the Multi-Agency Public Protection Arrangements (MAPPA)
- police officers involved in the management of sexual offenders and violent offenders
- HMP Parc and Wales CRC
- 22 local authorities.

The NPS in Wales has an up-to-date assessment of the profile of risk and needs of the offender population. As in England, however, staff do not make full use of all the services commissioned through the CRC.

Many offices in Wales NPS and CRC probation services are co-located with third-sector and local authority partners, or with specialist services, such as those providing domestic violence support. This helps NPS staff to access resources on behalf of individuals.

### **Accredited programmes**

HMPPS Interventions Services design and develop programmes in line with the Correctional Services Accreditation and Advice Panel (CSAAP) standards. CSAAP is a panel of independent international experts who assess programme design against the principles of effective interventions. Lack of completion and starts data from some CRCs means that interventions have not always been subject to the scrutiny required to test their effectiveness. This is recognised as a missed opportunity to use the significant evidence base to inform commissioning and strategic decisions.

The proportion of court orders with accredited programme conditions has fallen since the introduction of the RAR, despite sentencers having little confidence in the RAR. There appears to have been little central analysis of this change, but a strategic review of all programmes is now underway to ensure that they are the most efficient and effective way to deliver desired outcomes, and that individual service users are allocated to the most suitable programme.

The Thinking Skills Programme is the main offer in the community, but take-up for this is inconsistent across divisions. Evaluation by the MoJ of other programmes, including Building Better Relationships and Resolve, is being undertaken, in the lead up to re-evaluation by CSAAP.

The HMPPS Intervention Services team has supported CRCs by training 110 trainers to deliver accredited programmes; however, there is little evaluation of anything other than accredited programmes, so it is difficult to demonstrate the effectiveness of other programmes.

Statistics suggest that black, Asian and minority ethnic offenders are under-represented on accredited programmes generally, although once started they are more likely to complete the intervention than white offenders. We were encouraged to see that a review is currently being undertaken to explore this apparent disproportionality between different groups of service users.

### **Programmes for men who commit sexual offences**

The use of programmes for men who commit sexual offences has increased. An evaluation of the previous Sex Offender Treatment Programme's effectiveness in custody found that more sexual offenders went on to commit at least one sexual re-offence (commonly internet offending) during the follow-up period than similar offenders who did not receive this intervention (MoJ 2017).<sup>12</sup> Following the evaluation, HMPPS withdrew this programme, and subsequently implemented Horizon and Kaizen – programmes that were already being developed. This moved the focus of interventions for sexual offenders to a strengths-based approach.

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<sup>12</sup> Ministry of Justice. (2017). *Impact and Evaluation of the prison-based Core Sex Offender Treatment Programme*.

In our thematic report on work with and management of men who commit sexual offences,<sup>13</sup> we found that many NPS offender management staff lacked knowledge of the new approach and evidence base behind it. We have therefore been encouraged to see training being delivered to address this gap. This training includes the accredited programme content of the Horizon programmes, and the delivery of the individual 'Maps for Change' workbooks.

## **Services for women**

Women offenders represent approximately four per cent of the overall NPS caseload. We found that there was a strong strategic focus on this area of work, although at operational level there were some inconsistencies.

In June 2018, the government set out a new strategy for women, with the aim of providing better support in the community as an alternative to imprisonment. HMPPS has developed a plan of work from the strategy, and this is clearly described in the HMPPS business plan. There is an HMPPS Deputy Director of Women's Services, whose role is to deliver policies related to women service users across prison and probation. The national senior leader for women's services oversees this work. All NPS divisions have a strategic lead for women, who coordinates and drives divisional priorities for women. LDUs have allocated staff known as 'concentrators', who act as a central point of contact.

Communication appears to work well, with divisional leads meeting regularly to share good practice, understand new guidance, and discuss progress against divisional female-centred objectives. Good practice is also communicated via a national newsletter.

A modular training package called 'Power' has been developed to improve consistency. It is accessible to all staff who work with female offenders. Although the full roll-out of this training is not yet complete, feedback from staff has been positive.

The rate card offers services for women across the divisions, and there are pockets of good practice; however, the provision is not consistent, the range of accredited programmes provided for women is limited. The Thinking Skills Programme is the main offer, but take-up is low, which makes it difficult to evaluate results. HMPPS has no role in formally evaluating the work delivered to women, and there appears to be little data gathered on the effectiveness of interventions. More could be done to identify and share practice across the country.

A priority for the women's team is work to address disproportionality of women being sentenced to short-term custody. HMPPS has recognised that some NPS court staff are not sufficiently confident to ask for adjournments, and this is an area for development. Advice has been issued to court staff on report writing. A checklist for reports on women has been introduced to improve the quality of recording, and the use of this is regularly monitored, together with diversity data. The Effective Proposal Tool is being updated to ensure that it is relevant to female offenders. In our divisional inspections, we found court reports to be varied, and we rated one division as requiring improvement in this area of work.

The national lead also gathers data from divisional quality development teams when they have undertaken exercises on women's cases. The NPS could make more of this information, and collate a set of national thematic data.

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<sup>13</sup> HMI Probation. (2019). *Management and supervision of men convicted of sexual offences*.

In our 2016 inspection of the provision and quality of services in the community for women who offend,<sup>14</sup> we recommended that the government should make clear its strategic policy aims for women in the criminal justice system. In our 2017 inspection on probation hostels,<sup>15</sup> we highlighted the absence of approved premises for women in London and Wales, and recommend that HMPPS:

*"focus on the capacity, type and distribution of the probation hostel estate".*

We understand that more residential support options for vulnerable women are to be developed. In April 2019, HMPPS created a function to concentrate on accommodation-related issues, and a project is in place to review and expand the approved premises estate, including women's approved premises. The Approved Premises Expansion Board conducted negotiations for a women's premises. A ten-bed approved premises for women was due to open in London by the end of December 2019. Accommodation for women more generally is being considered as part of a wider NPS strategy.

### **Services for women in Wales**

The Welsh Government has a strategy known as the Female Offending Blueprint, which aims to ensure early intervention to keep women out of the criminal justice system. A dedicated women's SPO is responsible for implementing the blueprint. An NPS staff member has been seconded to the Welsh Government to develop work with perpetrators and victims of domestic abuse. NPS in Wales is working closely with partners on this agenda. The women's Integrated Offender Management Pathfinder programme is a specific integrated, multi-agency approach to managing women who come into contact with the criminal justice system in Wales. It includes a pre-court diversion scheme and a psychologically informed approach to working with women.

Women in Wales are accommodated in approved premises in England. Options for women's residential centres in Wales are being explored as part of the implementation of the MoJ's female offender strategy. HMPPS and the Welsh Government are keen to see at least one of the proposed pilot sites to be in Wales. The aim of the pilot will be to provide an alternative to custody while developing a robust evidence base about what could be effective, sustainable and scalable models for improving outcomes for female offenders and reducing the numbers and frequency of women entering and re-entering custody for short periods. At the time of the inspection, no timescale had been set for creating this provision in Wales.

### **Services for victims**

The Victim Contact Scheme is an information-sharing service, with VLOs based in each NPS division. The VLOs provide victims with information about the offender's journey through custody and prepare and support victims in the run-up to an offender's release. The HMPPS Victims team – part of the Public Protection Group – is responsible for the NPS policy and strategy regarding work with victims of violent

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<sup>14</sup> HMI Probation (2016). *A thematic inspection of the provision and quality of services in the community for women who offend*.

<sup>15</sup> HMI Probation. (2017). *Probation Hostels' (Approved Premises) Contribution to Public Protection, Rehabilitation and Resettlement*.

and sexual offences. A senior manager in each of the NPS divisions is responsible for operational management of the statutory Victim Contact Scheme.

The Victims team issues guidance to divisions and produces a newsletter every two months for all users of the Victim Contact Management System to communicate changes and good practice. It also liaises with other agencies and acts in an advisory capacity on complex or high-profile cases.

We found that the service provided to victims was improving in most divisions; however, more can be done to ascertain the views of victims on the service they receive. We were disappointed to find that not all relevant cases were recorded on the national database. We rated two divisions as 'Outstanding', four as 'Good', and one as 'Requires improvement'.

Since the high-profile case of John Worboys in 2018,<sup>16</sup> there has been a slight increase in all victim contact cases, most notably discretionary cases. Contact has also been made with a significant number of victims who had previously opted out of the scheme but have now decided to opt in. Just over 40,000 victims of violent and sexual offences are actively managed under the NPS Victim Contact Scheme. VLOs hold on average 215 cases each, due to staff shortages. The WMT was not designed to be used by VLOs. Line managers check individual caseloads and activities completed by individuals over any time period.

National training delivered to VLOs following the case of John Worboys was very well received by divisions. The victim's unit is now working with policy colleagues to run training in three areas for victim contact managers in changes recently introduced to the Parole Board process.

VLOs are often selected via the generic PSO recruitment campaigns then allocated to the VLO role on starting in the organisation. This can be problematic, given that individuals may have joined the organisation to work with offenders, and may not wish to, or have the necessary skills to, work with victims. Work with the victims of crime is a specialist area, requiring sensitivity and a sound knowledge of the criminal justice system to be able to update victims appropriately. It is clear that the scheme often goes outside the remit of providing information, with dedicated VLOs providing support and advice directly to victims, in addition to signposting to other agencies. The VLO role was previously at a higher grade, but was reduced under the E3 operating model. Since then, the role of the VLO has widened, with the introduction of Parole Board summaries for victims following the high-profile case in 2018. Since then, more than 1,000 victims in the Victim Contact Scheme have been sent a summary. With the expansion of the VLO role, we question whether the grade and recruitment processes are still appropriate.

The HMPPS Victims team has been working closely with NPS London, where issues were identified by HMI Probation in the divisional inspection. It has provided support to the division's victims work improvement plan. Some divisions have identified a VLO lead for working with victims where the perpetrator is subject to a Mental Health Order, following a recommendation in a previous report by the Victims Commissioner. This is positive, as it incorporates cross-divisional working, shared learning and consistency. Not all divisions have an identified lead to ensure that learning is shared across HMPPS.

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<sup>16</sup> HMI Probation. (2018). *Investigation into the policy and process followed by the Victim Contact Scheme in the Worboys case.*

The current methods of obtaining feedback about victim satisfaction rates are underdeveloped, and data gathered is rarely used to enhance performance or levels of service. HMPPS is developing a new victim satisfaction measure, and we welcome this.



## 9. Organisational delivery standard – information and facilities findings

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In this section, we consider the extent to which HMPPS ensures that timely and relevant information is available to divisions. We look at how HMPPS shares learning across the NPS when things go wrong, and we consider the quality of engagement with service users in reviewing and improving services. Finally, we consider the HMPPS/MoJ role in providing assurance that all NPS premises support a high-quality, personalised and responsive approach to service delivery.

We have rated one division as 'Good' and six divisions as 'Requires improvement' for information and facilities.

### **Learning from audits and inspection – Operational and Systems Assurance Group (OSAG)**

HMI Probation provides independent external oversight of the work of probation providers. In addition, OSAG – which is part of the HMPPS Performance directorate – undertakes internal audits of the NPS. These focus on a range of performance and quality issues, including those identified by HMI Probation. Additionally, OSAG monitors the implementation of action plans prepared by the NPS divisions.

While this approach follows the 'three lines of defence' model used by other organisations, it is not universally welcomed. Managers and staff in the NPS perceive duplication of oversight and are critical of the burden on their time. Furthermore, the findings of internal audit and external inspection sometimes appear to differ. This has occurred at times because the two processes measure different things, but it is nevertheless confusing to staff in divisions.

### **Serious further offences**

The Deputy Director for Public Protection and Victims has responsibility for the HMPPS Serious Further Offending (SFO) team, which supports both the NPS and CRCs in quality assuring SFO reviews. In the event of an SFO by someone under probation supervision, a review is conducted on behalf of the relevant local probation divisional director. The reviewing manager produces a chronological report, assessing the standard of practice in the case. If they find deficiencies in practice, an action plan is produced to address shortfalls. The Chief Probation Officer is informed of progress throughout the sentencing stage of high-profile cases. The SFO team also liaises with ministers and the MoJ press office.

A small team of three HMPPS staff quality assure approximately 600 reviews submitted per year; they do not read the source material as part of this process. If the review does not sufficiently explain the events leading up to the offence, or the action plan does not address deficiencies in practice, the review will be returned to the NPS to add extra information. On completion of the quality assurance process, the divisional director is supplied with a written explanation of the rating.

At busy times, the team struggles to keep on top of the number of reviews coming through. This results in delays in feeding back to the division. There is no external scrutiny of the benchmarking and quality assurance process.

In April 2018, a new SFO report writing format was implemented. The new report provides the victim with information about how the perpetrator was supervised. The entire report is now available to victims, apart from some minor redactions to protect third-party information, as required by legislation. We were informed that the Victims Commissioner has welcomed this transparency, but we are not aware of any feedback from victims about their experience of the process.

During the divisional inspections, we found that reviewing managers were getting to grips with the new format. Reviews now take longer to complete, which has impacted on the divisions' resources. The SFO Unit has supported the transition by delivering a series of workshops for reviewing managers. It has also updated the guidance, and remains available to give ongoing advice. At the time of this inspection, the new process had been in place for 15 months; a shadow grading on the quality of reviews was still in place.

HMPPS does not have a written strategy to disseminate learning from SFOs across the NPS. The EPP had developed a three-hour SFO workshop with materials and supporting manual. At the time of the inspection, this had been delivered as a pilot to 100 probation officers in three divisions but had not yet been launched nationally. Divisions have a variety of methods to share learning; some have produced 'lessons learnt' bulletins, focusing on systemic or general practice issues. This inconsistent approach does not assure us that all staff are able to benefit from the learning.

The SFO Unit told us it is focused on improving the standard of reviews; at present, it does not have sufficient resources to support divisions to learn from SFOs. It no longer sends out quarterly lessons learnt bulletins to divisions, as the same messages were repeated. This suggests that the approach was not sufficiently effective. It does update policies, such as the Risk of Serious Harm guidance, and try to identify systemic learning.

NPS in Wales has a team of quality and scrutiny managers who complete SFO reviews and provide feedback to relevant staff. They are linked to each LDU and provide expertise on critical reviews and recent lessons learned. Cases are reviewed through the best practice forums. We commend the 'all Wales' approach to learning from SFOs. In particular, we think that there is potential for a more system-wide approach, incorporating work that is done in prison and in preparation for release, in relevant cases.

### **Learning from complaints**

HMPPS does not sufficiently support dissemination of the learning from complaints. The HMPPS governance framework for complaints is in its infancy. Under the E3 operating model, divisions were resourced for complaints teams, but there was little coordination centrally. More recently, work has been done to start to share learning, processes and practice.

A national complaints database was introduced in September 2018, together with a quarterly complaints workshop for divisional complaint leads. The NPS recognises that there has been a lack of analysis of complaints data and that such data could help to identify process improvements. The BSC division has worked with MoJ Digital to develop a complaints information management system, which has delivered its first 'snapshot' of complaints data for the year to April 2019. While analysis of the data has not yet been completed, it appears that complaints are not recorded in the same way in different divisions. Although the divisions are broadly comparable in size, staffing and caseloads, initial data indicates that some record over five times as

many complaints as others. Composition of the type of complaint recorded (formal, informal and informal escalated to formal) varies, with the highest having 20 times more informal complaints than the lowest.

The database provides an opportunity to gather and analyse data and share this with national NPS leads and divisions. More needs to be done to progress this area of work. To date, there is no analysis of the protected characteristics of those making complaints, and this is a missed opportunity to explore issues of disproportionality within the process.

Despite these national structures and tools, more needs to be done to ensure consistency in the recording of complaints, in particular informal complaints and those that potentially might result in formal investigations. The differential number of complaints recorded across divisions suggests that recording practice is not reliably understood. Similarly, HMPPS acknowledges that there is no shared definition of vexatious complainants and it is working with the Prisons and Probation Ombudsman to identify a usable definition.

### **Service user engagement**

As part of our divisional inspections, we found that, in some areas, local arrangements for seeking feedback from service users were limited. NPS senior leaders and the BSC division recognise that arrangements for sampling and learning from service users' experiences have not been consistently developed since the transition from local Probation Trusts to the NPS. In the past, Trusts had locally focused arrangements, which have been replaced with a national consultation group. There are plans for EPP staff to meet with service users to inform the development of practitioner training. The BSC division has plans to develop service user consultation in line with the proposed move to smaller geographic divisions (as part of the future delivery model in 2021); however, this gap will remain unfilled for some time.

### **Policies**

As part of our divisional inspections, we found that staff were confident in their knowledge and ability to keep up to date with NPS policy and procedures, also receiving regular local briefings and emails. However, we did find that staff felt at times that they were 'overloaded' with information. The central team acknowledges this, and has appointed a 'national engagement lead', who is working with single points of contact in each division to address the issue of information overload.

EQuIP is now the single repository for up-to-date process information for the NPS, meaning staff do not have to log into separate systems for other policies, such as HR. Management information on use of the system is shared with divisions and broken down to LDU level.

Every policy and process contained on EQuIP has a designated 'owner', who is the point of contact for any suggested changes. As part of our divisional inspections, we found that staff could access EQuIP, although some found it difficult to navigate and others felt the log on process was unnecessary and complex. We noted that the log on process has now been simplified in response to staff feedback.

We did find one aspect of the updates included in EQuIP unhelpful. Users subscribe to a link to provide updated information. Whenever there is a change on that page, they get an email stating *something* has changed. They do not, however, get told *what* has changed. This could be one email a week or multiple emails in a day. For the process to be effective, practitioners need to know what and where the changes

are; for example, has a typing mistake been corrected or is it a significant policy change?

## **Buildings and facilities management**

NPS divisions are working from premises used by former Probation Trusts. We found during our inspections that not all of these have been maintained to a good standard. We have made recommendations in relation to this for every division.

There are significant issues related to the facilities management (FM) of the NPS buildings that staff work in and service users attend. We found a catalogue of problems, including faulty plumbing, broken lifts, vermin infestations, general lack of maintenance and some older premises that are unfit for purpose in a modern probation service. We also found that it was difficult to report problems and, when problems were reported, they were not repaired promptly. Staff also told us that too much of their time was taken up trying to get through to a 'help-desk' to report problems, then waiting for repairs that were not carried out and having to chase and escalate work to get it completed. This was understandably a significant cause of frustration for staff. It is unacceptable that the list of outstanding maintenance orders runs into the hundreds in many divisions.

In the approved premises estate, where individuals who may pose the highest risk of harm to others are supervised as part of their transition from custody to the community, we found that much-needed bed space was lost due to basic repairs not being carried out.

We also found a failure of contractors to provide 'waking night cover' (staff who are on duty through the night at approved premises to supervise residents) at short notice, and that this cover then has to be filled by NPS staff called out from home.

In Wales, we were told that: *"in one approved premises, only eight shifts were successfully covered over a two-and-a-half-month period"*.

This issue was raised in the thematic inspection *Probation Hostels' (Approved Premises) Contribution to Public Protection, Rehabilitation and Resettlement* (July 2017). One of our recommendations was to:

*"Review out-of-hours cover arrangements to ensure that prompt and effective management cover is available at all times".*

Some staff provided by contractors were also found to be unsuitable to work in the role. The situation is worsened by low levels of pay compared with other roles in some parts of the country, particularly the South East.

As part of this inspection, we have sought to understand why the FM process operated by the MoJ on behalf of the NPS is not delivering and what underlying issues contribute to this underperformance. We found that the process is a complex mix of four primary contractors delivering different elements of the process, with a fifth collating performance information from each, acting as a managing agent and reporting to the MoJ. We also found that the financial difficulties experienced by two of the primary contractors has had an impact on service delivery. In addition, there has been historical underfunding of maintenance and replacement requirements across the NPS estate, leading to a deterioration in its condition. The FM contract for the NPS is currently held by Kier and OCS in the South, and Interserve and Sodexo in the North. KBR, a separate organisation, is responsible for the FM helpdesk and liaises directly with the contractors when jobs are raised. These contract arrangements have been in place since January 2018 and will run for five years, with

an option for the MoJ to extend for another two. The contract included the outstanding jobs from the previous contract arrangements.

Divisions have a process for recording all requests made for work to be completed under the FM contract and a record of those jobs that have been escalated. The target is for work to be completed within 10 working days of the job being raised. They also keep a record of the communication they have received from the MoJ FM client unit about the progress of outstanding work. In exceptional circumstances, where there is a delay in completing business-critical work, MoJ Estates can initiate a 'step in' process. This process involves the MoJ taking over responsibility for completing the work and then charging the cost to the FM contractor. Any work completed under this process should also be recorded.

Tensions due to underperformance have built up over time between frontline staff, estates staff and the contractors. It is clear that NPS staff have little faith in the escalation process when jobs are not completed within the contract time and that the current seven-stage process is not fit for purpose. MoJ Estates is currently working with its contractors to develop a more straightforward process with better performance monitoring. HMPPS is working closely with MoJ Estates to monitor this output.

We found a range of spreadsheets being kept by divisions to monitor FM issues and progress to resolve them. We also requested data from HMPPS to show the current national position and any trends in performance over time. There has been some improvement. The completed work orders from January 2019 to July 2019 for the HMPPS estate show that 43 per cent were completed within the timescale stated in the service level agreement. This is an improvement on 2018, when only 36 per cent of work orders were dealt with within the timescale. The average time it takes to complete tasks has also reduced. While the overall performance is improving, work orders are still outstanding. In July 2019, nearly 70 per cent of Interserve's work orders had not been completed within the 10 day turnaround SLA target, with Kier having over 28 per cent not completed.<sup>17</sup>

In response to the recommendations in our early divisional reports, the HMPPS Estates Board has increased its focus on FM issues, accepting that the service delivered was not to the expected standard. We question why the NPS estates did not get the attention they deserved before the HMI Probation inspections.

MoJ Estates has undertaken a number of actions to improve both processes and strategic direction. The NPS representation on the MoJ Estates Board has been increased in seniority to improve influence. Underinvestment in the MoJ estate (including Probation) has been entered on the MoJ departmental risk register.

MoJ Estates has introduced a pilot for a contractor to provide a mobile 'handyman' function for approved premises. They carry common spare parts and are capable of undertaking a wide range of minor repairs in a much faster time. Feedback on this practical approach to 'getting things done' has been positive and the scope is being expanded.

Performance against the 'waking night cover' requirement has also improved since our first inspections. Of the two contractors, one is meeting its target performance and the other has reduced the number of missed shifts by about two-thirds but still

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<sup>17</sup> Figures supplied by HMPPS

has further improvement to make. Suitability of staff provided has also improved, and contract arrangements are monitored weekly with approved premises managers and the contractors.

HMPPS has a set of criteria to ensure that offices are sufficiently accessible to service users. When the NPS was created, this included no service user having a journey of more than 60 minutes by public transport to an office. During our inspections, a small number of examples were given of difficult journeys for service users or lack of accessibility for different groups. HMPPS has run a trial in the North East to survey each site for accessibility issues. The process is now being rolled out nationally under the Estates Equalities working group, with a target for completion by the end of September 2019.

NPS offices within court buildings do not always support the delivery of a quality service or provide a safe environment for working with service users. We have noted in our inspections that, although NPS staff have a key role in courts, they are not always treated as professional partners. In some instances, they have inadequate facilities to conduct interviews, do not have access to essential facilities, and may have to use a separate entrance to other court staff. The Transforming Summary Justice programme, designed to speed up the progression of cases through the magistrates' courts, is supported by probation providing oral reports on the day of the hearing. To do so, probation staff need access to safe, appropriate interviewing facilities.

## **ICT**

The NPS is nearing the end of a significant programme of rolling out ICT equipment, including laptops, to frontline staff.

We found that the roll-out of this new equipment was a major success. Staff felt it has provided much more up-to-date, flexible and reliable IT provision (notwithstanding the national IT disruption documented elsewhere in this report). It has enabled staff to plan, deliver and record their work in a timely way and gives frontline staff the ability to work in a more flexible way at a wide range of different locations, depending on business need. However, we did find that guidance on flexible working away from a main office location was significantly different depending on the LDU and division, causing staff some confusion.

As part of our divisional inspections, we identified the need to roll out mobile phones to staff to maximise the benefits of the new IT provision, increase resilience and enhance staff safety. Our recommendations in this area have been acted on. Probation staff welcome the provision of mobile phones and feel that these help them to provide a more responsive service.

The new equipment does not, however, meet the needs of all staff. The IT does not sufficiently enable staff to deliver a quality service in the court setting. New laptops do not work well in court rooms and staff are not immediately able to access information as required in many court environments. The use of laptops that convert into a tablet is being piloted in ten courts. The lack of access to appropriate ICT delays information exchange with sentencers.

During our inspections, we found that there was a lack of management data to support decision-making, though various initiatives and local workarounds tried to fill the gaps. There is also an acceptance within HMPPS that the recording of diversity data for staff has been hampered by the complexity of the recording process and 'user unfriendliness' of some systems that contain data.

In December 2018, the NPS suffered a major outage to its IT infrastructure that lasted several days. During our subsequent divisional inspections, staff told us about the very significant impact the outage had on their workload and ability to deliver frontline services effectively. Local business continuity plans did not cater for a failure on this scale and staff told us that communication to help them understand what they should do was poor.

HMPPS has conducted a detailed 'lessons learned' exercise, which acknowledges the communications difficulties and has sought to put mitigations in place. Lines of communication have been reviewed so that information can be disseminated faster and so that they are not wholly dependent on the network infrastructure. In addition, the roll-out of mobile phones to frontline staff improves resilience. The HMPPS digital strategy is seeking to mitigate risk by moving to a range of smaller applications and taking parts of the critical infrastructure back in-house to improve management of risk.

The improvement of HMPPS IT equipment and infrastructure represents a significant achievement and has resulted in the board deciding sufficient progress has been made to remove it from the risk register. We agree with this assessment.

## Annex 1 – Methodology

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HMI Probation introduced a new inspection programme from April 2018. Unlike the previous programme, the 21 CRCs and the seven divisions of the NPS were inspected separately. In our inspections of the NPS, some clear themes started to emerge early on. It became apparent that the NPS had little or no control over some aspects of operational delivery. This was particularly evident in relation to staffing issues and the management of its estates. It was to a large extent dependant on central teams in both HMPPS and the MoJ.

In this inspection, we have explored the extent to which the divisions were supported by HMPPS and the MoJ in relation to our domain 1 standards: leadership, staff, services, and information and facilities.

HMI Probation held 35 meetings with senior representatives responsible for these functions. The aim was to identify factors that enhance and enable the work of the divisions and those factors that act as barriers. The scope of this inspection has extended beyond the scope of HMPPS to some functions that are the wider responsibility of the MoJ, where necessary.

Interviewees included:

- Director General of Probation and Wales, HMPPS
- Chief Probation Officer and Executive Director for Women, HMPPS
- Deputy Director, Effective Probation Practice, HMPPS
- Lead for Quality and Effectiveness, Effective Probation Practice, HMPPS
- Deputy Director, Business Strategy and Change, HMPPS
- Head of Innovation, Development, and Change, HMPPS
- Head of Communications, HMPPS
- National Communications Manager, HMPPS
- Director of Communications and Information, HMPPS
- Acting Head of News, HMPPS
- Head of Practice Development for Courts, HMPPS
- Interim Human Resources Director, HMPPS
- Senior Lead, Operational Policy and System Reform Team, HMPPS
- Head of National MAPPA Team, HMPPS
- Deputy Director of Public Protection and Victims, HMPPS
- Head of Public Protection, HMPPS
- Head of Programme Management Office for NPS, HMPPS
- Lead for Commercial and Contracts for NPS, HMPPS
- Head of Partnership and Contract Team, HMPPS
- Head of Intervention Services, HMPPS
- Head of Victims Team, HMPPS
- Head of Women's Services, HMPPS
- Head of CRC Contract Management, HMPPS
- Divisional Director South East and Eastern NPS, HMPPS



- Segmentation Tool Development Lead, HMPPS
- Segmentation Tool Team Leader, HMPPS
- Head of Learning and Development, HMPPS
- National IT specialist trainer, HMPPS
- Training projects managers, HMPPS
- Operational Policy and System Reform Team
- Executive Director, HMPPS in Wales
- Divisional Director, HMPPS in Wales
- Justice in Wales Lead, HMPPS in Wales
- Head of Public Protection, HMPPS in Wales
- Director of Strategic Support, Administration and Assurance, HMPPS in Wales
- Head of Stakeholder Engagement, HMPPS in Wales
- Head of Communications, HMPPS in Wales

We interviewed the following from Ministry of Justice:

- Head of Estates, MoJ
- Lead for Facilities Management, MoJ
- Divisional Director Service Improvement and Assurance, MoJ

A survey was conducted with NPS band 5 managers. Managers were invited to complete an online survey. A total of 266 managers took part.

## Annex 2 – NPS organisational map of England and Wales



National Offender  
Management Service

National Probation Service:  
Geographic Areas of the New Divisions

National  
Probation  
Service



## Annex 3 – NPS survey results

We received 266 completed surveys from NPS staff.

### What is your current role?

Value	Percent	Count
Senior Probation Officer/ Team Manager LDU	64.3%	171
Senior Probation Officer Courts	12.0%	32
Senior Probation Officer Victims Unit	3.8%	10
Business Manager	3.4%	9
Other	16.5%	44
	<b>Totals</b>	<b>266</b>

### What Division do you currently work in?

Value	Percent	Count
North East	27.8%	74
North West	19.5%	52
Wales	6.8%	18
Midlands	0.4%	1
South East	16.5%	44
South West and South Central	20.7%	55
London	8.3%	22
	<b>Totals</b>	<b>266</b>

### How many years have you been in your current role?

Value	Percent	Count
1 year or less	28.8%	76
2-5 years	44.7%	118
6-10 years	11.4%	30
more than 10 years	15.2%	40
	<b>Totals</b>	<b>264</b>

### How many members of staff report directly to you?

Value	Percent	Count
1-5	16.4%	43
6-10	32.8%	86
11-20	49.6%	130
Over 20	1.1%	3
	<b>Totals</b>	<b>262</b>

### Do your staff have sufficient skills in working with those who:

	Yes	No	Not Sure	N/A	
	Count / %	Count / %	Count / %	Count / %	Responses
Commit sexual offences	183 (69.1%)	39 (14.7%)	16 (6.0%)	27 (10.2%)	265
Are perpetrators of domestic abuse	192 (72.7%)	26 (9.8%)	17 (6.4%)	29 (11.0%)	264
Commit violence against others	207 (78.4%)	15 (5.7%)	13 (4.9%)	29 (11.0%)	264

### Do your staff have sufficient skills in assessing and responding to the diverse needs of service users under the following characteristics:

	Yes	No	Not Sure	
	Count / %	Count / %	Count / %	Responses
Females	188 (72.0%)	42 (16.1%)	31 (11.9%)	261
Individuals from BAME backgrounds	167 (63.3%)	50 (18.9%)	47 (17.8%)	264
Individuals who have mental health needs or a personality disorder	172 (65.6%)	56 (21.4%)	34 (13.0%)	262

**What proportion of your time do you spend on the following activities?  
(the whole of your time should add up to 100%)**

	less than 20%	20% to less than 40%	40% to less than 60%	60% to less than 80%	More than 80%	Total response
Monitoring of casework	113 (51.8%)	97 (44.5%)	8 (3.7%)	0 (0.0%)	0 (0.0%)	218
Managing the team	102 (45.7%)	106 (47.5%)	13 (5.8%)	2 (0.9%)	0 (0.0%)	223
Supervision and professional development of staff	97 (42.9%)	124 (54.9%)	4 (1.8%)	1 (0.4%)	0 (0.0%)	226
Meeting performance targets	148 (65.5%)	72 (31.9%)	6 (2.7%)	0 (0.0%)	0 (0.0%)	226
Managing HR issues, (recruitment, managing attendance, staff wellbeing, poor performance)	139 (62.1%)	81 (36.2%)	4 (1.8%)	0 (0.0%)	0 (0.0%)	224
Stakeholder engagement	178 (81.3%)	36 (16.4%)	5 (2.3%)	0 (0.0%)	0 (0.0%)	219
Other	112 (83.6%)	16 (11.9%)	2 (1.5%)	2 (1.5%)	2 (1.5%)	134

**Are you able to complete all your management tasks within your contracted hours for a working week?**

Value	Percent	Count
Most of the time	15.1%	40
Some of the time	16.6%	44
Seldom	34.0%	90
Never	34.3%	91
<b>Totals</b>		<b>265</b>

**If some of the time, seldom or never, how many extra hours per over your contracted time do you work an average each week?**

Value	Percent	Count
1-5 hours	53.0%	116
5+ hours	47.0%	103
	<b>Totals</b>	<b>219</b>

**Have you received sufficient training and support in dealing with recruitment, attendance management, staff wellbeing, grievance disciplinary and retirement processes?**

Value	Percent	Count
Yes	29.8%	79
No	70.2%	186
	<b>Totals</b>	<b>265</b>

**How often do you typically receive supervision by your line manager?**

Value	Percent	Count
More than once per month	0.8%	2
Monthly	19.2%	51
At least quarterly, but less than monthly	72.1%	191
Less often	7.9%	21
	<b>Totals</b>	<b>265</b>

**Do you feel that this frequency of supervision is enough?**

Value	Percent	Count
Yes	78.1%	207
No	21.9%	58
	<b>Totals</b>	<b>265</b>

**Do you receive supervision that supports you to deliver a high-quality service and your professional development?**

Value	Percent	Count
Most of the time	44.9%	118
Some of the time	39.9%	105
Seldom	12.2%	32
Never	3.0%	8
	<b>Totals</b>	<b>263</b>

**Which of the following does your supervision cover?**

Value	Percent	Count
Managing team performance	86.9%	225
Supervision and professional development of staff	70.3%	182
Meeting performance targets	79.5%	206
Managing HR issues, (recruitment, managing attendance, staff wellbeing)	81.1%	210
Stakeholder engagement	57.1%	148

**Does your supervision pay appropriate attention to your wellbeing?**

Value	Percent	Count
Yes	76.6%	203
No	23.4%	62
	<b>Totals</b>	<b>265</b>

## Annex 4 – Glossary

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<b>Accredited programme</b>	A programme of work delivered to offenders in groups or individually through a requirement in a community order or a suspended sentence order, or as part of a custodial sentence or a condition in a prison licence. Accredited programmes are accredited by the Correctional Services Accredited Panel as being effective in reducing the likelihood of reoffending
<b>Approved premises</b>	Premises approved under Section 13 of the <i>Offender Management Act 2007</i> , and managed either by the National Probation Service or by independent organisations. They are used as a short-term residence for offenders considered a high risk of serious harm, who require close monitoring and supervision, to begin to integrate them back into the community
<b>ARMS</b>	Active risk management system: provides an approved framework for working with sexual offenders who are subject to statutory supervision
<b>Barriers</b>	The things that make it difficult for a service user to change
<b>Benchmarking</b>	A systematic comparison of approaches with other relevant organisations to gain insights that will help the organisation to act to improve its performance
<b>Building Better Relationships (BBR)</b>	BBR is for adult men convicted of an Intimate Partner Violence (IPV) offence. BBR is a moderate-intensity cognitive-behavioural programme which recognises that IPV is a complex problem which is likely to have multiple causes. BBR responds to individual needs and provides opportunities to develop skills for managing thoughts, emotions, and behaviours
<b>Child safeguarding</b>	The ability to demonstrate that a child or young person's wellbeing has been 'safeguarded'. This includes – but can be broader than – child protection. The term 'safeguarding' is also used for vulnerable adults
<b>CRCs</b>	Community Rehabilitation Company: 21 CRCs were set up in June 2014 to manage most offenders who present low or medium risk of serious harm
<b>Criminal justice system</b>	Involves any or all of the agencies involved in upholding and implementing the law – police, courts, youth offending teams, probation and prisons
<b>Diversity</b>	The extent to which people within an organisation recognise, appreciate and utilise the characteristics that make an organisation and its service users unique. Diversity can relate to age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sex



<b>E3</b>	E3 stands for 'Effectiveness, Efficiency, and Excellence'. The E3 programme was created following the <i>Transforming Rehabilitation</i> programme in June 2014. The basic principle is to standardise NPS delivery, redesigning the NPS structure with six key areas of focus, including: community supervision; court services; custody; youth offending services; victims' services and approved premises
<b>EQuiP</b>	Excellence and Quality in Process: an NPS web-based national resource providing consistent information about the processes to be followed in all aspects of NPS work. The process mapping is underpinned by quality assurance measures
<b>FM</b>	Facilities management
<b>HMPPS</b>	Her Majesty's Prison and Probation Service: from 01 April 2017, HMPPS became the single agency responsible for delivering prison and probation services across England and Wales. At the same time, the Ministry of Justice took on responsibility for overall policy direction, setting standards, scrutinising prison performance and commissioning services. These used to fall under the remit of the National Offender Management Service (the agency that has been replaced by HMPPS)
<b>Human Resource Business Partner</b>	An HMPPS resource allocated to the NPS to support all aspects of human resources work
<b>Intervention</b>	Work with an individual that is designed to change their offending behaviour and/or to support public protection. A constructive intervention is where the primary purpose is to reduce likelihood of reoffending. A restrictive intervention is where the primary purpose is to keep to a minimum the individual's risk of harm to others. With a sexual offender, for example, a constructive intervention might be to put them through an accredited sex offender programme; a restrictive intervention (to minimise their risk of harm) might be to monitor regularly and meticulously their accommodation, their employment and the places they frequent, imposing and enforcing clear restrictions as appropriate to each case. Both types of intervention are important
<b>LDU</b>	Local delivery unit: an operational unit comprising an office or offices. They are generally coterminous with police basic command units and local authority structures
<b>Maps for Change</b>	A toolkit for working with male sex offenders at low risk of reoffending, and those for whom an accredited programme is deemed inappropriate
<b>MAPPA</b>	Multi-Agency Public Protection Arrangements: where NPS, police, prison and other agencies work together locally to manage offenders who pose a higher risk of harm to others. Level 1 is ordinary agency management where the risks posed by the offender can be managed by the agency responsible for the supervision or case management of the offender. This

	compares with Levels 2 and 3, which require active multi-agency management
<b>MoJ</b>	Ministry of Justice: the government department with responsibility for the criminal justice system in the United Kingdom
<b>NQO</b>	Newly qualified probation officers
<b>NPS</b>	National Probation Service: a single national service that came into being in June 2014. Its role is to deliver services to courts and to manage specific groups of offenders, including those presenting a high or very high risk of serious harm and those subject to MAPPA in England and Wales
<b>OASys</b>	Offender Assessment System: currently used in England and Wales by the CRCs and the NPS to measure the offending-related risks and needs of those who are subject to probation supervision
<b>Offender management</b>	A core principle of offender management is that a single practitioner takes responsibility for managing an offender through the period they are serving their sentence, whether in custody or the community
<b>OSAG</b>	Operational Systems and Assurance Group
<b>PTA</b>	Practice tutor assessor: provides continuous assessment and supports trainee probation officers throughout their training
<b>PO</b>	Probation officer: this is the term for a responsible officer who has completed a higher-education-based professional qualification. The name of the qualification and content of the training varies depending on when it was undertaken. They manage more complex cases
<b>PQiP</b>	Professional Qualification in Probation is a full-time work-based learning programme that trainees need to complete successfully to become a probation officer
<b>PSO</b>	Probation services officer: this is the term for a responsible officer who was originally recruited with no professional qualification. They may access locally determined training to qualify as a probation services officer or to build on this to qualify as a probation officer. They may manage all but the most complex cases depending on their level of training and experience. Some PSOs work within the court setting, where their duties include writing pre-sentence reports
<b>Quality development officer</b>	A specialist role within the NPS. QDOs work closely with local managers, practice tutors and operational staff to promote and improve the quality of work with offenders and victims
<b>Rate card</b>	A directory of services offered by the CRCs for the NPS to use with its offenders, detailing the price
<b>RAR</b>	Rehabilitation activity requirement: from February 2015, when the <i>Offender Rehabilitation Act 2014</i> was implemented, courts can specify a number of RAR days within an order; it is for

probation services to decide on the precise work to be done during the RAR days awarded

<b>Responsible officer</b>	The term used for the officer (previously entitled 'offender manager') who holds lead responsibility for managing a case
<b>Risk of Serious Harm</b>	A term used in OASys. All cases are classified as presenting a low, medium, high or very high risk of serious harm to others. HMI Probation uses this term when referring to the classification system, but uses the broader term 'risk of harm' when referring to the analysis which must take place in order to determine the classification level. This helps to clarify the distinction between the probability of an event occurring and the impact/severity of the event. The term 'Risk of Serious Harm' only incorporates 'serious' impact, whereas using 'risk of harm' enables the necessary attention to be given to those offenders for whom lower impact/severity harmful behaviour is probable
<b>SPO</b>	Senior probation officer: line manager within the NPS
<b>SFO</b>	Serious further offence: where a service user subject to (or recently subject to) probation commits one of a number of serious offences (such as murder, manslaughter, rape etc.) The CRCs and/or NPS must notify HMPPS of any individual charged with one of these offences. A review is then conducted with a view to identifying lessons learned
<b>Stakeholder</b>	A person, group or organisation that has a direct or indirect stake or interest in the organisation because it can either affect the organisation or be affected by it. Examples of external stakeholders are owners (shareholders), customers, suppliers, partners, government agencies and representatives of the community. Internal stakeholders are people or groups of people within the organisation
<b>Thinking Skills Programme (TSP)</b>	TSP is designed for adult men and women with a medium/high risk of reoffending. TSP supports participants to develop thinking (cognitive) skills to manage risk factors, develop protective factors, and achieve pro-social goals
<b><i>Transforming Rehabilitation</i></b>	The government's programme for how offenders are managed in England and Wales from June 2014
<b>Victim Contact Scheme</b>	The standard NPS model to provide a consistent service based on the specification for victim services
<b>VLO</b>	Victim liaison officer: responsible for delivering services to victims in line with the NPS's statutory responsibilities
<b>WMT</b>	Workload measurement tool: a tool to calculate the overall workload of an individual responsible officer. It takes into account numbers and types of cases



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