



Independent inspection of adult & youth offending work

INSPECTION FRAMEWORK

for

Quality & Impact Inspection (Adult)

Version release date: 04 May 2016

HMI Probation, 1st Floor Manchester Civil Justice Centre, 1, Bridge Street West, Manchester, M3 3FX; 0161 240 5336

Introduction

This inspection framework is used in our core inspection of adult probation services in England and Wales. Within this inspection programme we examine probation work in discrete geographical areas, regardless of who is delivering the work. We focus on:

- **assessing** *how* the quality of practice contributes to achieving positive outcomes for individuals (sections 2-6)
- **evaluating** *what* positive impact is being achieved (section 1), since current impact provides evidence of progress towards long-term desistance for individuals.

The working model for this inspection is:

quality (of work) + **impact** (positive change achieved) = **effectiveness**.

In particular, we are looking to report on whether:

- reoffending is reduced
- the public is protected from harm
- individuals abide by their sentence.

The framework provides a structure for inspectors to assess effectiveness against these outcome measures. Quality is assessed against four practice themes (service user engagement, assessment and planning, delivering interventions and reviewing progress). We also look at leadership, management and partnership working, and evaluate the positive impact achieved in relation to each element.

We aim to put the experience of the service user at the centre of our inspection and take into account the local context in which the work has been undertaken. We recognise that organisations that are attentive to the diverse needs of their staff and service users are more likely to sustain achievements and to increase their business resilience. We believe that inspecting services against this framework will help us, and the services we inspect, to understand differential outcomes for different groups, which in turn will support the overall inspection aim of assisting improvement. To explore this complex range of issues we take evidence from a range of practice, performance and data sources. Underpinning this is the evidence we glean from pursuing detailed lines of enquiry into issues emerging from the analysis of individual cases.

The world of adult probation services has undergone considerable change in recent times and there is more scope for those providing services to decide upon the details of what and how services should be provided. On that basis this framework does not prescribe the 'what' and 'how' of service delivery; rather it explores whether the services provided are contributing to positive change for individuals. In essence, this inspection addresses the questions: are we convinced that the probation work that is being done *should* achieve a positive impact; and what indicators are there, so far, of progress towards individual desistance? Through this inspection, by identifying what we have called 'enablers', we will promote effective practice in England and Wales. We will also make recommendations to

address 'barriers' to effectiveness. Through our inspection work, we aim to contribute to the overall improvement of services.

Although fieldwork for these inspections is undertaken by HMI Probation alone (rather than jointly with other inspectorates), inspections in England have the underpinning support of inspectors from the Care Quality Commission (CQC), Ofsted and HMI Constabulary (HMIC). When inspecting in Wales there is similar support from HMIC, the Care and Social Services Inspectorate Wales (CSSIW), Estyn and Healthcare Inspectorate Wales (HIW).

In order to achieve maximum impact from these inspections, the reports are published promptly. Inspected bodies respond to recommendations with an action plan for improving the effectiveness of their services and update the inspectorate at specified periods on their progress in delivering improvement. Follow-up activities, including reinspection as appropriate, demonstrate the impact, and therefore effectiveness, of inspections.

For more information on the Quality & Impact inspection approach, please see the 'Adult text model' available on our website.

The inspection framework

1. Positive impact is achieved

- 1.1. Reoffending is reduced
- 1.2. The public is protected from harm
- 1.3. Individuals abide by their sentence

2. Engagement with service users contributes to effectiveness

- 2.1. Positive outcomes are promoted by effective engagement with service users
- 2.2. Engagement overcomes barriers to the achievement of positive outcomes
- 2.3. Engagement motivates service users to achieve positive outcomes

3. Assessment and planning contributes to effectiveness

- 3.1. Assessment establishes outcome priorities
- 3.2. Assessment establishes outcome enablers and barriers
- 3.3. Planning enables the required services to be delivered in ways that maximise their impact

4. Interventions contribute to effectiveness

- 4.1. Interventions contribute to progress on outcome priorities
- 4.2. Interventions are delivered in ways that maximise their impact
- 4.3. Interventions maximise impact by meeting the diverse needs of service users

5. Reviews contribute to effectiveness

- 5.1. Reviews track progress on outcome priorities
- 5.2. Reviews make sure that all aspects of practice combine to achieve outcomes
- 5.3. Reviews take into account the diverse needs of service users and secure their ongoing engagement

6. Leadership, management and partnership arrangements contribute to effectiveness

- 6.1. Leadership creates an environment where reoffending is reduced, the public is protected and individuals abide by their sentence
- 6.2. Management of the organisation and its workforce promotes effectiveness
- 6.3. Partnerships contribute to effectiveness

1. Positive impact is achieved

1.1. Reoffending is reduced

Key indicators of achievement:

- Evidence indicates that there has been a reduction in the frequency and seriousness of reoffending.
- Evidence indicates that there has been an overall improvement in those factors most closely linked with reoffending, such as living arrangements, education, training and employment, substance misuse, health etc.

1.2. The public is protected from harm

Key indicators of achievement:

- Evidence indicates that there has been a reduction in the frequency and seriousness of violent and sexual reoffending.
- Evidence shows that the public, specific victims and children have been protected from serious harm.

1.3. Individuals abide by their sentence

Key indicators of achievement:

- Evidence indicates that individuals have completed the sentence of the court.
- Evidence indicates that, where individuals have failed to comply, an appropriate response is taken, including breach action when required.

2. Engagement with service users contributes to effectiveness

2.1. Positive outcomes are promoted by effective engagement with service users

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- A positive relationship is established with service users and takes account of their diverse needs.
- Service users understand what is expected of them and what they can expect from supervision.

2.2. Engagement overcomes barriers to the achievement of positive outcomes

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- Diversity factors which could act as barriers are identified and addressed.
- Protective and positive factors are identified and integrated into the work.

2.3. Engagement motivates service users to achieve positive outcomes

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- Service users are motivated to work towards achieving outcomes.
- Engagement is responsive to the needs and abilities of service users.
- Engagement effort is sustained.

3. Assessment and planning contributes to effectiveness

3.1. Assessment establishes outcome priorities

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- The potential risk of harm posed to others is identified, with particular consideration given to children.
- Information from other agencies (such as through Multi-Agency Public Protection Arrangements (MAPPA) and local children's safeguarding processes) underpins assessments in all relevant cases.
- Victim safety concerns are specifically addressed in assessments.
- Factors linked to offending are identified.
- Factors linked to vulnerability are identified.
- Factors that may contribute to non-compliance are identified.
- The impact of the local context on service users' ability to achieve outcomes is taken into account.
- Drawing on all relevant sources of information, assessments analyse what needs to be done to protect the public, strengthen protective factors and help individuals abide by their sentence.
- Assessments include resettlement issues when relevant.

3.2. Assessment establishes outcome enablers and barriers

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- The methods and approaches most likely to lead to positive outcomes are identified.
- Proposed interventions are assessed for their suitability and ability to secure the participation of service users.

3.3. Planning enables the required services to be delivered in ways that maximise their impact

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- When required, there is clear planning to protect victims and potential victims, and to minimise the risk of harm posed to others with specific consideration given to children.
- Plans to address public protection and child protection issues are integrated and shared with relevant agencies, e.g. through MAPPA and child protection processes.
- Planning addresses offending-related factors.
- Plans set contact levels that will support achieving planned outcomes.
- Plans address diversity factors and barriers to engagement and are shared with all involved in the case.
- Service users (and where applicable other significant persons, e.g. family/partners/carers) are fully involved in planning, with plans reflecting their views.
- Planning in collaboration with other organisations shows shared understanding and clarity about the roles and responsibilities of everyone involved with plans being aligned and shared where appropriate.
- Plans anticipate possible changes in the circumstances of the case and include contingency arrangements when relevant.
- Plans of work address community integration issues when relevant.
- Resettlement planning throughout the custodial phase of the sentence promotes effective transition back into the community.

4. Interventions contribute to effectiveness

4.1. Interventions contribute to progress on outcome priorities

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- Interventions address the agreed priorities for the service user.
- Interventions delivered protect the public, and help individuals abide by their sentence.
- Contact levels meet the requirements of the case and support achieving planned outcomes.
- Interventions address resettlement issues when relevant.

4.2. Interventions are delivered in ways that maximise their impact

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- Delivery of interventions is well coordinated and sequenced.
- Service users are effectively re-engaged following enforcement action, where this is necessary.
- Interventions encourage and develop strengths and do not just focus on behaviours to be discouraged.

4.3. Interventions maximise impact by meeting the diverse needs of service users

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- Interventions engage service users and pay attention to their individual needs and circumstances.
- Interventions prioritise increasing the motivation and self-respect of service users.
- Interventions offer opportunities for service users to develop social capital (strengthening the 'social bond').

5. Reviews contribute to effectiveness

5.1. Reviews track progress on outcome priorities

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- Reviews monitor the extent to which the public, potential victims and children have been protected. Where necessary, appropriate actions are taken and new outcome priorities are identified.
- Reviews monitor the extent to which planned interventions to reduce future reoffending achieve positive outcomes and show improvements in factors linked to reoffending. Where necessary, appropriate actions are taken and new outcome priorities are identified.
- Reviews monitor the extent to which service users have met the requirements of their sentences. Where they have failed to do so there is an appropriate response, including breach action when required.
- Reviews monitor the extent to which the 'soft outcomes', e.g. improved pro-social attitudes or increased motivation, have been achieved. Outcome priorities are amended as appropriate.
- Reviews monitor the extent to which the improvements achieved can be sustained, including through the use of partnership and community resources. Outcome priorities are amended as appropriate.

5.2. Reviews make sure that all aspects of practice combine to achieve outcomes

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- Assessments and plans are reviewed and updated, particularly following significant changes in the circumstances of the service user.
- All relevant agencies contribute to reviews.
- The contribution of interventions to reducing the likelihood of reoffending is reviewed and amended as necessary.
- All reasonable steps are taken to keep to a minimum the risk of harm posed to others, including children.
- Where the service user is vulnerable, all reasonable steps are taken to keep to a minimum the risk of harm to the individual from self and others.

5.3. Reviews take into account the diverse needs of service users and secure their ongoing engagement

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- Service users are meaningfully involved in reviews of progress and in constructing revised plans.
- Reviews monitor and address the extent to which the staff have maintained positive working relationships with service users and continue to motivate them to achieve outcomes.
- Work with service users who have not complied with the requirements of their sentences is undertaken with a view to securing future compliance and engagement.
- Reviews address any relapses on the path to desistance.

6. Leadership, management and partnership arrangements contribute to effectiveness

6.1. Leadership creates an environment where reoffending is reduced, the public is protected and individuals abide by their sentence

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- Senior managers demonstrate visible leadership and have a clear understanding of the local and national outcome priorities which they communicate systematically and effectively to staff.
- Quantitative and qualitative data about the organisation's performance in reducing reoffending and meeting other local and national criminal justice objectives is known and is used to improve effectiveness.
- Senior managers contribute effectively to local strategic arrangements and networks (e.g. local reoffending strategies and plans) so as to deliver local and national objectives.
- Probation service providers and other relevant agencies coordinate activity and share resources, e.g. information sharing and delivery of services.
- Relevant diversity factors relating to local communities, including differences in offending patterns and diverse characteristics, are identified and taken into account in planning and service delivery.
- The range of interventions available to reduce reoffending meets local needs.
- Work with other organisations supports comprehensive and accessible provision of required services.
- The organisation applies lessons from both successful and adverse outcomes, to improve future work.

6.2. Management of the organisation and its workforce promotes effectiveness

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- There are effective local systems for staff to monitor case outcomes and support practice improvement.
- Managers evaluate the effectiveness of services in achieving positive outcomes and use this to further improve outcomes, e.g. by ensuring processes and resources support the work.

- Staff are adequately trained, qualified, experienced and supported to make sure that practice is effective.
- Staff are supported by an effective quality assurance framework.
- Staff are supported to meet their responsibilities under local MAPPA, child protection and other multi-agency processes.
- All staff have a clear knowledge and understanding of the organisation's approach to delivering outcomes and their role in achieving those goals.

6.3. Partnerships contribute to effectiveness

Possible lines of enquiry (*to identify how each element of practice is working towards positive outcomes*):

- Partners make effective contributions to assessment, planning and the delivery of interventions.
- Partners work together to provide service users with sufficient access to the interventions they need.
- Plans agreed jointly by probation service providers and key partners are implemented and reviewed regularly.
- Managers work with partners to make sure that services are effective.