



# Probation inspection (CRC) Unpaid Work Observation Case Assessment Rules and Guidance (CARaG)

HMI Probation, August 2019

Domain two and domain three standards, questions and prompts are supported by the domain two and three case assessment rules and guidance (CARaGs) respectively. These are a comprehensive set of published rules and guidance to be followed by inspectors and local assessors in their assessment of cases. The CARaGs promote transparency and consistency in our inspection of cases. Inspection staff and local assessors should use the appropriate CARaG as a reference document when assessing a case.

Guidance is provided in the CARaGs for questions and prompts. The CARaGs are regularly updated to ensure that they remain consistent with any changes that we make at standard, question and prompt level and so that they remain linked to evidence. The CARaGs also contain links where relevant to more detailed guidance and HMI Probation position statements in specialist areas.

Example	Question Format	Represents:
Does assessment identify offending-related factors?	Dark grey background	A question directly linked to a prompt in the inspection standards. The answers to these questions directly influence the summary judgement at key question level.
Were domestic abuse checks undertaken?	Light grey background	A supplementary question, asked to provide additional background information about the case, but less strongly linked to summary judgement questions.
Is this service user subject to Integrated Offender Management?	Light green background	A question asked for information gathering purposes; data may be used to inform enquiries in domain one.
<b>Does planning focus sufficiently on engaging the service user?</b>	<b>Bold text on a dark grey background</b>	A summary judgement question, answering a key question from the inspection standards.

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## Observation of Induction Sessions

D 1 Does unpaid work offer opportunities to develop employment-related skills?		
	Inspection question	CARaG Case Assessment Rules and Guidance
D 1.1	Are service users informed during the induction about ETE opportunities?	<p>Inspectors will consider how well service users are informed during the induction session about the opportunities to develop ETE skills and the opportunity to use up to 20% of unpaid work hours towards ETE activity. Unpaid work can provide opportunities for service users to improve personal and practical employment related skills. This may include problem solving, working co-operatively with others, gaining knowledge and safety, improving basic skills or skills for life.</p> <p>Motivating the offender to attend and to make the most of the opportunities available through unpaid work is a critical aspect of induction. Unpaid work provides a unique opportunity to engage service users in learning in a practical work setting. These opportunities must be presented to all relevant service users so that their personal and practical employment potential can be improved. These opportunities can include problem solving skills, working co-operatively with others, gaining knowledge of health and safety, improving basic skills such as literacy or numeracy or specific vocational skills such as multi skills or horticulture qualifications. The extent and nature of the information to be given will depend on the opportunities available, but is likely to include employment and skills development/ accreditation opportunities. A unpaid work assessment form should be completed during induction, which should highlight any educational or training needs and made available to staff responsible for the allocation of the service user to a work placement.</p> <p>Whilst the officer conducting the induction may not know which projects service users will be allocated to, relevant information should still be provided to inform service users how they can develop ETE related skills.</p>

D 1.2	Are service user needs for skills and development assessed and matched to suitable projects?	Inspectors will observe the induction process to assess how well the service users' needs for skills development are assessed and matched to suitable projects, this should include a learning needs screening. The service user's needs in relation to ETE should be identified and recorded in the unpaid work assessment form (or equivalent). This information should be used by the officer allocating the service user to suitable projects. In some areas the CRC will complete group inductions and then take the group out to work and in some areas the CRC will conduct one-to-one inductions and provide reporting instructions. Which ever system is used, inspectors will consider how decisions are made for allocating service users with an ETE need.
D 1S	Does unpaid work offer opportunities to develop employment related skills?	Inspectors will base their answer on what has been observed during the induction section, and if necessary, any separate follow-up of how individual service users are allocated to projects.

<b>D 2 Do unpaid work supervisors follow the principles of pro-social modelling, demonstrating good behaviours?</b>		
	<b>Inspection question</b>	<b>CARaG Case Assessment Rules and Guidance</b>
D 2.1	Are induction sessions delivered using pro-social behaviours and positive attitudes?	Inspectors will observe and assess the quality of engagement and interaction between the staff delivering the induction and service users. We expect induction sessions are delivered using pro-social behaviours and positive attitudes. The examples include: <ul style="list-style-type: none"> <li>- Greet each offender individually</li> <li>- Address offenders politely by name</li> <li>- Use appropriate eye contact in conversation</li> <li>- Use appropriate body language</li> <li>- Use appropriate gestures</li> <li>- Use a balanced tone of voice</li> <li>- Give attention to everybody</li> <li>- Treat everybody fairly having regard to individual needs</li> <li>- Uphold the rules</li> </ul>

D 2.2	Are supervisors professional and do they engage with service users appropriately?	Relationships need to be characterised by a firm but fair approach that demonstrates honesty, warmth, empathy and appropriate humour. Inspectors will observe the quality of interaction between service users and staff conducting the induction. . If people feel they are treated fairly, they will accept the legitimacy of those in authority and are more likely to accept difficult decisions and abide by the rules, even where a decision goes against them.
D 2.3	Are the diversity factors and personal circumstances of service users considered?	<p>The diversity factors and personal circumstances of service users should be assessed to ensure appropriate placement allocation decisions are made. Inspectors will observe how well staff obtain individual information and how the impact is assessed when deciding what type of placement allocation is made. The 'personal factors' section of a any unpaid work assessment form might provide the opportunity to identify the individual requirements of service users and to highlight what impact these may have on the allocation of work. The impact of these factors should be fully considered including the service user's view.</p> <p>Reasonable adjustments should be made to facilitate service user attendance on unpaid work; this should include paying attention to race, ethnic background, cultural or language requirements, gender, disability pregnancy and child care arrangements or any other factor or protected characteristic which could lead to disproportionate treatment. Service users must not be expected to undertake activities which are contrary to their culture or religious beliefs. It is important that assumptions are not made about these issues and that time is taken at the assessment stage to establish with the service user how any identified factors could affect work placement allocation.</p> <p>Inspectors will assess the suitability of arrangements for inducting female service users. There should be sufficient options in place if a female service user does not want to be inducted in a mixed gender group environment, which may require one-to-one delivery.</p>
D 2 S	Do unpaid work supervisors follow the principles of pro-social modelling, demonstrating good behaviour?	Inspectors will make their judgement based on direct observation of staff, and how they interact with service users attending induction. If required, they will have follow-up conversations with the staff delivering the induction sessions, to support their judgement.

<b>D 3 Is there clear information and consistent application of the rules?</b>		
	<b>Inspection question</b>	<b>CARaG Case Assessment Rules and Guidance</b>
D 3.1	Are service users informed about health and safety requirements?	Service users must be given information about unpaid work rules and their responsibilities while undertaking unpaid work. This should include the requirement to use distinctive clothing. Health and safety instruction, including the use of personal protective equipment, must also be provided. This information must be given in a format which meets individual requirements in relation to comprehension and literacy.
D 3.2	Are service users clearly notified of all the rules and action taken upon failure to comply?	Induction information must clearly explain the standard of behaviour expected on work sites and will include no unreasonable or disruptive behaviour, no attendance under the influence of drink or drugs, plus restrictions on smoking and the use of mobile phones, cameras and other electronic equipment. Providers of unpaid work are expected to formulate clear rules regulating the use of mobile phones, which do not result in work being disrupted and the credibility of the sentence being undermined. Information should also include instructions about how to inform the CRC of sickness or any other reason for non-attendance, and the process and consequences of breach.
D 3.3	Are supervisors provided with clear information about risk issues and actions relating to all service users?	A risk of harm assessment and sentence plan must be completed by the responsible officer within 15 days of allocation to the organisation with offender management responsibility, and must be completed before allocation to a unpaid work placement. The induction for unpaid work may take place before the responsible officer has completed the assessment and sentence plan, so inspectors will consider how staff conducting the induction sessions have been provided with relevant information to ensure the induction is conducted safely. The assessment will be completed through OASys (or for some CRCs, a locally-agreed system). The risk of harm assessment should clearly indicate how any risk that may be present during the completion of unpaid work is to be managed. Where the offence has resulted in serious harm to an identified victim(s) the nature of the offence must be considered to ensure that the placement is appropriate and does not risk contact between the service user and the victim(s). Placement decisions should reference the risk assessment and any relevant documents within the placement assessment to ensure that work instructions do not

		conflict with an existing Court Order, Injunction, Exclusion Requirement, DVPO etc. Relevant information should be provided for any staff responsible for unpaid work induction.
D 3 S	Is there clear information and consistent application of the rules?	Inspectors will answer this question from the perspective of the service user; does induction prepare them fully for their responsibilities while completing unpaid work? Do they understand what is required of them, and the consequences of not abiding by the rules Will they be kept safe, and will other people be kept safe from them?

## Observation of Work Projects

D 5 Is unpaid work experienced as useful and rewarding?		
	Inspection question	CARaG Case Assessment Rules and Guidance
D 5.1	Are service users aware of how their work benefits the local community?	<p>Inspectors will consider how well service users are informed about the unpaid work project they are working on. We expect service users to understand the purpose of unpaid work projects, how the community will benefit and in what ways they can also benefit from engaging in the project. Inspectors will ask service users if they understand how their contribution will benefit local communities.</p> <p>Supervisors should have a project/placement assessment which provides instructions for the work required and tools that are required, in that assessment there should be sufficient detail about the purpose of the project and the beneficiaries who will benefit from the work. supervisors should use the information to prepare the group prior to work taking place.</p> <p>It is the perspective of the service user that is the key issue here.</p>
D 5.2	Are service users aware of skills they can develop on UPW?	Inspectors will speak to service users and assess how well they have been informed about the work they are undertaking and what skills they may be able to develop. In some cases, there will be project where there is an identifiable link to ETE or a recognised qualification. Other projects will not be directly linked to a qualification, but will still provide service users with some opportunities to develop basic skills which



		<p>can be transferred to employment or training related opportunities.</p> <p>It is the perspective of the service user that is important here, and the question will be answered on the basis of the majority view from the service users interviewed.</p>
D 5S	Is unpaid work experienced as useful and rewarding?	<p>Inspectors will answer this question on the basis of the perspective given by the majority of service users interviewed. Some service users will have experienced projects other than the one being observed; their views from all projects experienced should be taken into account. Work experienced by offenders as useful and rewarding has been shown to increase the likelihood of compliance with the order. Similarly, the opportunity to gain employment related skills, such as good timekeeping and the ability to follow instructions, has been linked to a reduction in pro-criminal attitudes. Work which is clearly of benefit to local communities is also likely to be seen as useful by offenders. This may increase compliance by providing a clear sense of purpose and sense of pride in the work done.</p>

<b>D 6 Does unpaid work offer opportunities to develop employment-related skills?</b>		
	<b>Inspection question</b>	<b>CARaG Case Assessment Rules and Guidance</b>
D 6.1	Does the project have identifiable opportunities to develop ETE skills?	<p>We ask this question from the perspective of the service users interviewed. Unpaid work provides a unique opportunity to engage offenders in learning in a practical work setting. It can provide opportunities for offenders to improve personal and practical employment related skills. This may include problem solving, working co-operatively with others, gaining knowledge and safety, improving basic skills or skills for life. Providers of unpaid work should seek to establish work placements which are able to provide formal vocational or skills for life qualifications for offenders who are unemployed and whose offending reflects employment related needs. Providers of skills training must be able to enable offenders to work towards a nationally recognised qualification.</p>
D 6.2	Is the work carried out maximising ETE skills development?	<p>Some unpaid work projects offer the opportunity to use 20% of the unpaid work hours ordered to address ETE needs. This should be offered to service users who are unemployed, at risk of unemployment and whose offending reflects employment related needs. Training and education should target unemployed service users but</p>

		<p>where employment related needs have been identified this can also be offered to those who are currently employed. Providers of skills training should demonstrate that activities are either part of a nationally recognised qualification or are preparation work that will enable the service user to move on to more formal qualifications. Support for employability spans a broad spectrum and the education and training activity does not necessarily need to be a vocational qualification but may encompass a variety of additional employability activities which offer an additional route to addressing identified employment needs. For example, this could include disclosure sessions, job-search activity, on-line learning, modules towards a qualification, structured preparatory and motivational work to develop employability, appointments with the Providers employment/ training teams, college course or job interviews, voluntary work, courses or sessions focusing upon self-employment and business start-up. This list is not exhaustive but aims to broaden the spectrum of how unpaid work can be used in a rehabilitative manner to address learning, skills and employability needs.</p> <p>All projects should offer the opportunity to develop softer employability skills, such as following instructions, working as a team, use of tools etc. The absence of formal ETE provision on the project does not automatically lead to a negative judgement.</p> <p>Inspectors will answer this question from the basis of what they observe during the site visit and from what service users say.</p>
D 6S	Does unpaid work offer opportunities to develop employment related skills?	<p>Inspectors will consider the extent to which this unpaid work project provides opportunities to develop employment related skills. Some projects may be delivered and supervised by qualified/accredited tutors, where there are clear opportunities to work towards nationally recognised qualifications. Other projects will be supervised by CRC staff and could consist of a variety of work tasks. For these types of projects, consider how sufficiently the supervisor has informed the group what skills they can develop. Direct observation and interviews with the supervisor and service users will contribute towards the judgement for this question.</p>

**D 7 Do unpaid work supervisors follow the principles of pro-social modelling, demonstrating good behaviours?**

	<b>Inspection question</b>	<b>CARaG Case Assessment Rules and Guidance</b>
D 7.1	Are supervisors modelling pro-social attitudes and behaviours?	<p>Inspectors will observe and assess the quality of engagement and interaction between the supervisor and service users. We expect to see supervisors using pro-social behaviours and positive attitudes. The examples include:</p> <ul style="list-style-type: none"> <li>- Greet each offender individually</li> <li>- Address offenders politely by name</li> <li>- Use appropriate eye contact in conversation</li> <li>- Use appropriate body language</li> <li>- Use appropriate gestures</li> <li>- Use a balanced tone of voice</li> <li>- Give attention to everybody</li> <li>- Treat everybody fairly having regard to individual needs</li> <li>- Uphold the rules</li> </ul>
D 7.2	Are service users actively supervised and behaviour monitored?	<p>The relationships formed by offenders with supervisors, beneficiaries and others who model good behaviour and challenge anti-social attitudes has a positive impact, as does the opportunity to help others by doing useful work. By ensuring the group is actively supervised and behaviour monitored the supervisor can address and respond to any concerns that may arise in relation to unacceptable behaviour. The majority of unpaid work projects should be visible to local communities, the behaviour of the group and to be seen doing credible work by members of the community is important. During the site visit, inspectors will observe how supervisors monitor behaviour and ensure the group are involved in work in sufficient sight for continued supervision.</p>
D 7.3	Are supervisors professional and engaging with service users appropriately?	<p>Inspectors will observe the quality of engagement between supervisors and service users. The supervisor will be required to provide instructions on the work to be carried out, they will enforce rules and expectations in relation to acceptable behaviour. Inspectors will also consider to what extent positive reward is given to motivate and reward service users for good behaviour and good work. Some examples of professional and engaging behaviours include:</p> <ul style="list-style-type: none"> <li>An anti-drugs stance</li> <li>A responsible attitude to the use of alcohol</li> <li>A positive attitude to the police, the courts and Probation</li> </ul>

		<p>A positive attitude to Unpaid Work</p> <p>A positive attitude to employment and education</p> <p>Anti sexist attitudes and socially inclusive values</p> <p>Respect for minority ethnic groups and other cultural backgrounds</p> <p>Good time keeping</p> <p>Courtesy</p> <p>Good relationships with others involved in the work</p> <p>Attention to the task in hand</p> <p>Complying with instructions</p> <p>Compliance with health and safety requirements</p> <p>Making useful contributions to the planning and organising of the work</p> <p>Taking in to account diversity needs of the service users where necessary</p>
D 7 S	Do unpaid work supervisors follow the principles of pro-social modelling, demonstrating good behaviours?	This judgement will be made on the basis of what has been observed during the site visit. If relevant, the views of the supervisor and service users will be taken into account. Inspectors will recognise that different projects will provide different opportunities to demonstrate the elements we are looking for here, and will not judge negatively on the basis of the absence of opportunity to demonstrate any individual activity/behaviour. For example, if all service users follow instructions without any problems, supervisors may not have the opportunity to demonstrate how they would deal with any difficulties, and the project would not be judged negatively on the element.

<b>D 8 Is there clear information and consistent application of the rules?</b>		
	<b>Inspection question</b>	<b>CARaG Case Assessment Rules and Guidance</b>
D 8.1	Is the group working in accordance with the unpaid work rules and regulations?	Unpaid work staff should understand their responsibility for their own health and safety, that of colleagues, service users, beneficiaries, visitors to the project (including inspectors) and members of the public. Health and safety risk assessments should be reviewed every 12 months and whenever there is a change to the tasks being undertaken. All unpaid work placements should be assessed to identify relevant risk related information and to ensure minimum placement quality standards are met. Inspectors will review copies of the project risk assessment before site visits. The assessment should provide clear details of health and safety arrangements, such as

		any personal protective equipment (PPE) required, specific tools and equipment and their safe use. Inspectors may refer to the risk assessment to assess the level of compliance by the supervisor and service users during their observation.
D 8.2	Are service users clearly informed about the rules whilst on the unpaid work placement?	Supervisors must clearly explain the standard of behaviour expected on work sites and will include no unreasonable or disruptive behaviour, no attendance under the influence of drink or drugs, plus restrictions on smoking and the use of mobile phones, cameras and other electronic equipment. Providers of unpaid work are expected to formulate clear rules regulating the use of mobile phones, which do not result in work being disrupted and the credibility of the sentence being undermined. Inspectors will consider how clearly service users have been informed about the rules, the supervisor should not assume service users will have full knowledge and therefore a summary or refresher of the rules is expected prior to work commencing.
D 8.3	Are supervisors provided with clear risk information and actions relating to all service users?	Inspectors will speak to supervisors to identify what information they have been provided and what they understand about the actions required to manage the individual risks for each of the service users on the group. Ensuring that the risk presented by a service user can be safely managed within a placement is the priority of allocation. Effective management of the risk of serious harm is the combined responsibility of all staff. Anyone working directly with a service user must be aware of the risk factors identified and have a clear understanding of the responsibilities they have in the management of the identified risks. The Responsible officer will co-ordinate the risk management activity. When placing a service user with identified risks, the decisions about the placement must be recorded by the responsible officer and endorsed by a manager.
D 8 S	Is there clear information and consistent application of the rules?	Inspectors will answer this question on the basis of what they have observed directly, and any relevant information from supervisors and/or service users. Often, there will be a balance of positive and negative information, and professional judgement will guide the answer to this question. Occasionally, a single positive or negative factor may outweigh a range of other factors.