

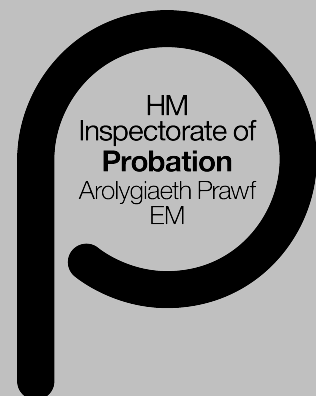


Inspection of
Adult Offending Work
Arolygiad o Waith Troseddu Oedolion

An Inspection led by HMI Probation

**Case Assessment
Guidance**

October 2013



HM
Inspectorate of
Probation
Arolygiaeth Prawf
EM

Introduction

The primary purpose of this case assessment guide is to 'guide' assessors from HMI Probation and Probation Trusts in what they should look for when assessing the quality of offender management in cases managed in the community. Use of the guidance provides an aid to consistency as it defines what good practice looks like in key aspects of offender management. It is a companion document to the Inspection of Adult Offending Work (IAOW) inspection tool implemented from April 2013. This will be used by HMI Probation throughout England and Wales over the next four years. The inspection tool and this guide have been revised for use from October 2013, when for the second six inspections of the programme we will have a particular focus on protecting children, as explained below.

We are grateful to the service users we met through Revolving Doors for their input on 'what an experience of supervision should be like'. Their thoughtful comments have contributed to our inspection criteria, and helped to shape this guidance and set benchmarks for the quality of practice we define as sufficient.

Inspection Context

HMI Probation manages a 'core' inspection programme in each of our main areas of responsibility: adult offenders in the community, adult prisoners (as a contribution to HMI Prisons's inspections) and children and young people who are the responsibility of Youth Offending Teams. We adopt a case-based approach to all of this work.

The IAOW programme was developed during a period in which the future of the probation service is under review, as it is proposed to commission from other sectors much of the work traditionally provided by the public sector. HMI Probation will continue to inspect the quality of work with adult offenders whoever provides that service. The wording in the inspection tool and this guide may change over time to reflect changes in the arrangements for delivering services. However, the standards and basic methodology of the programme will remain constant throughout the period of the programme.

In the IAOW programme we have also adopted an approach that builds in some change every six months: for the first six months all cases in the sample had an index offence that was one of a number of specified violent offences. This will enable us to report on the quality of the management of violent offenders as a themed topic as well as reporting specifically on the quality of the overall work with these offenders in the geographical areas covered by the inspections. For the second six month period we have reverted to a sample that includes all types of offence, and will take a particular focus on protecting children.

During each subsequent six month period we will adopt a different topic, with the samples of cases inspected adjusted accordingly. Future topics may be based on offence types, offender characteristics (offending related factors), the use of particular types of intervention, as so on. However, the core of the inspection tool will remain constant, allowing us to review the overall quality of work across the whole four year inspection programme.

The programme has adopted clusters of local delivery units (LDUs) as the units for inspection, an approach which should remain relevant for the duration of the programme. The LDUs selected for each inspection may involve the whole or a part of a Probation Trust depending on its size, with larger areas (e.g. metropolitan areas) being divided and inspected partly during one topic of inspection and partly during another.

Inspection Scope

In this inspection programme we assess the quality of work in community orders and licences. Suspended sentence orders are custodial sentences, but for the purposes of inspection they are classed as community orders as they are managed as such. A primary emphasis on the quality of offender management also incorporates a key focus on the effective engagement with offenders to promote compliance with the sentence and achieve planned outcomes. The inspection also looks at the effective use of interventions to achieve sentence plan objectives.

Offender Management Context

We are inspecting work with offenders in the context of the following instructions from NOMS to probation and prison services.

In 2011 the National Offender Management Service published a new set of National Standards for the Management of Offenders which were to be implemented by the end of that year. In April 2012 it issued Prison Instruction (PI) 8/2012 which is also Probation Service Instruction (PSI) 14/2012: Implementation of the Service Specification for "Manage the Sentence: Pre and Post Release from Custody" (transitional version). This was due to be implemented by October 2012 with a final version of the specification due by April 2013. PI 21/2012 - PSI 41/2012 was issued in December 2012 for immediate implementation in respect of Sentence Planning. In this inspection programme the second document is relevant to the management of licence cases. It is acknowledged that the start of the programme implementation is in the 'transitional' phase; it may not have been fully implemented in prisons, although it should be reflected in community offender management practice as the instruction restates what practice should have always been in respect of licence cases pre-release.

These three documents set the standards by which prisons and Probation Trusts (and any other organisation under contract) carry out offender management. HMI Probation takes careful account of what is demanded of these organisations but sets its own standards for what constitutes good practice. Consequently, there may be instances where practice in a particular case meets the National Standard and the local prison guidance but is considered insufficient in that particular instance. Conversely, there may be instances where practice in a particular case falls short of local guidance but is considered sufficient against the HMI Probation benchmark set out here.

PI 8/2012 - PSI 14/2012 extends case management and specifies the following responsibilities:

- Extend case management work (Offender Supervisor and Case Administrator roles) to all offenders sentenced to 12 months or more in custody, and to all young adult offenders (aged 18-21) with more than four weeks left to serve, who are not already in scope for offender management.
- Management responsibility for cases, i.e. sentence planning, is divided by prisoner type in the following way:
 - Offenders in scope of Phases II and III of the original offender management model (i.e. cases that are classed as high and very high risk of harm, Prolific and other Priority Offenders and those sentenced to Indeterminate sentences for Public Protection) – Community Offender Managers.

- Sentenced to under 12 months – Custody-based Offender Management Unit (screening and signposting only).
- Sentenced to 12 months+ – Custody Offender Supervisors.
- Lifers – Custody Offender Supervisors (Lifer Management trained).
- Community offender managers must still be allocated at sentence commencement stage to all cases where they are subject to release on licence, and must ensure engagement in pre-release tripartite activity to enable a smoother transition from custody to community.
- Deliver pre-release activity involving the offender supervisor, offender manager and offender to make preparations for all offenders being released on licence.
- Offender supervisor and offender manager to take a proactive approach to addressing the recall and re-release of offenders. This includes prisons informing the offender manager within two days of an offender returning to custody.

Inspecting cases and using the guide

The basic task of those assessing under IAOW is to decide whether or not the practice they are inspecting is good enough, i.e. is the right thing being done well enough with this individual in the right way at the right time? This is the approach that HMI Probation takes to all of its case-based inspections. Always look for evidence in order to answer the question: what you think about the offender, the offender manager or anyone else involved in the case is irrelevant, what you find is what matters. Use of this guide will ensure that assessors look for the same type or standard of evidence in each case.

The guidance also assists HMI Probation to quality assure its work, acting as an aid to benchmarking the standard of practice of case assessment. This is important as we aim for consistency both over time and between those assessing.

It is noted that the latest National Standard introduced flexibility and an increased use of professional discretion into decision making so that most requirements setting time limits were removed. The guidance is written with that in view.

When the guide refers to the assessor – it means you – what you should be looking for in a case.

Many of the questions in the IAOW inspection tool have an entry in the guide but not all, as some are so straightforward as to not need one. Where a question has two entries in the guide the main entry is in the extended guidance section; the 'quick indicator' is for use in the electronic form giving a quick reminder of what line the guidance takes.

A key point to note is that HMI Probation continues to refer to 'risk of harm to others' except when dealing specifically with classification, when 'Risk of Serious Harm' is used. This means looking for indicators of harm at a lower level than life threatening as defined in OASys. In other words, the risk has to be fully assessed, before the level can be accurately assessed. Further notes are linked to the relevant questions below.

Read each question carefully and in the order in the inspection tool. Consider your answer to each independently of the other questions.

October 2013

Question No	Criterion	Quick Indicator	Extended Guidance
IAOW CASE ASSESSMENT GUIDANCE			
View 0	CASE DETAILS		
11	Is this a case in which statutory victim liaison had to be offered?		
		<p>Definition of a statutory victim case: custodial sentences of 12 months and over for certain violent and sexual offences.</p>	<p>Under the Criminal Justice and Court Services Act 2000, all victims or their families must be offered contact, in cases where there is a custodial sentence of 12 months or more for a sexual or violent offence. The range of offences which are regarded as 'relevant' is lengthy and falls into three categories:</p> <ul style="list-style-type: none"> • A sexual or violent offence within the meaning of the Powers of Criminal Courts (Sentencing) Act 2000, for example, murder, wounding, Section 47 assault, assault on police, causing death by dangerous or careless driving, arson offences, etc. In this Act 'a violent offence' means: 'an offence which leads, or is intended or likely to lead, to a person's death or to physical injury to a person, and includes an offence which is required to be charged as arson'. • An offence in respect of which an offender is subject to the notification requirements of Part 2 of the Sexual Offences Act 2003 for example, indecent assault, rape, unlawful sexual intercourse, etc. • An offence against a child as set out in Part 2 of the Criminal Justice and Court Services Act 2000, for example, offences not already in the above categories (when committed against a child) such as cruelty to a child, supplying Class A drugs to a child, etc.

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>As specified in the community order or licence. N.B. Although a suspended sentence is a custodial sentence, for inspection purposes and in offender management practice, they are treated as a community order.</p>	<p>All requirements and conditions can be found on the community order or licence. N.B. Although a suspended sentence is a custodial sentence, for inspection purposes and offender management purposes they are treated as a community order.</p> <p><u>“Standard 6 only”</u> means:</p> <p>In licence cases there are six standard conditions in determinate sentences (or seven in indeterminate sentences).</p> <p>They specify the requirement to have contact with, and receive visits from, a named offender manager, reside at an address detailed in the licence, only take approved work, not to travel outside the United Kingdom, and to be of good behaviour.</p> <p>In licences relating to indeterminate sentences the additional condition relates to the offender placing themselves under the supervision of a nominated supervising officer.</p> <p>Select this answer if the case is a licence and it has no additional conditions.</p> <p>If there are additional conditions, select these only.</p> <p><u>Specified activity</u></p> <p>There is no definition of what constitutes the content of a specified activity requirement. Check that it is recorded as such on the order then record in the free text box what is on the order and what this is meant to mean in practice, e.g. so many weeks’ group or one-to-one activity or a service delivered by another agency.</p>
14a.		Offence: please select the original, principal, offence only	
		<p>The second six IAOW inspections have a particular focus on protecting children. This is not specifically an inspection of child protection cases, and the sample will include the full range of</p>	<p>The second six IAOW inspections have a particular focus on protecting children. This is not specifically an inspection of child protection cases, and the sample will include the full range of offences. Please select the original, principal (most serious) offence only.</p> <p>The sample includes community sentence and licence cases, cases from all offender management tiers (including some ‘unpaid work only’ cases), and cases with all levels of risk of serious harm. The sample will specifically include some cases ‘flagged’ as having child protection issues. But the inspection will assess how well offender managers were</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		offences. Please select the original, principal (most serious) offence only.	aware of any contact the offender had with children, or what risks they posed to children, and what action they then took to protect those children, in a general cross selection of cases, not only those recognised by the trust as having children protection issues.
14d.		Was the victim named in the offence?	
		A Vulnerable Adult	
		A working definition of Vulnerable Adult is found in extended guidance.	A Vulnerable Adult is someone aged 18 or over: who is, or may be, in need of community services due to age, illness or a mental or physical disability. They are or may be unable to take care of themselves or be unable to protect themselves against significant harm or exploitation. Included in the definition are: older people, people with mental health problems, people with physical disabilities, people with learning difficulties, people with acquired brain damage, people who misuse substances. This is not an exhaustive list.
14e. 14f.		Which of the following was an issue in the life of the offender at the time of the offence? (whether or not they were linked to the offending)	
		Linkage to the likelihood of reoffending is assessed elsewhere.	
14g.		Was the offender?	
		A vulnerable person	
		This refers to Vulnerable Adults. A working definition of Vulnerable Adult is found in extended guidance.	This refers to Vulnerable Adults. A Vulnerable Adult is someone aged 18 or over: Who is, or may be, in need of community services due to age, illness or a mental or physical disability. They are, or may be, unable to take care of themselves or be unable to protect themselves against significant harm or exploitation.

Question No	Criterion	Quick Indicator	Extended Guidance
			Included in the definition are: older people, people with mental health problems, people with physical disabilities, people with learning difficulties, people with acquired brain damage, people who misuse substances. This is not an exhaustive list.
		A military veteran	
		Include those currently serving in the armed forces.	
15		Were there concerns about offender vulnerability or risk of suicide during the period being assessed?	
		This question is related to aspects of vulnerability identified by the assessor that the offender manager can have an impact on whilst delivering interventions to an offender. Information about these areas should be contained in the risk of harm screening and in the risk of harm analysis in OASys.	This question is related to aspects of vulnerability identified by the assessor that the offender manager can have an impact on whilst delivering interventions to an offender. Information about these areas should be contained in the risk of harm screening and in the risk of harm analysis in OASys. Examples may be: <ul style="list-style-type: none"> • vulnerability arising from the behaviour of other people, for example, abuse, intimidation, exploitation • vulnerability arising from other events or circumstances, for example, separation, homelessness • vulnerability arising from the offender's own behaviour, for example, risk taking, alcohol use, drug use.
16		Was there evidence this offender has currently or previously been a perpetrator of domestic abuse?	
		Use the September 2012 wide-ranging definition of domestic abuse which includes violence to parents. This definition refers to	Use the September 2012 wide ranging definition of domestic abuse. This refers to behaviour and not just to convictions. This (cross government) definition of domestic violence and abuse states: 'Any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence or abuse between those aged 16 or over who are or have been intimate partners

Question No	Criterion	Quick Indicator	Extended Guidance
		behaviour and not just to convictions and is in the extended guidance.	<p>or family members regardless of gender or sexuality. This can encompass but is not limited to the following types of abuse:</p> <ul style="list-style-type: none"> • psychological • physical • sexual • financial • emotional. <p>Controlling behaviour is: a range of acts designed to make a person subordinate and/ or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour.</p> <p>Coercive behaviour is: an act or a pattern of acts of assault, threats, humiliation and intimidation or other abuse that is used to harm, punish, or frighten their victim.'</p> <p>This definition, which is not a legal definition, includes so called 'honour'-based violence, female genital mutilation and forced marriage, and is clear that victims are not confined to one gender or ethnic group.</p> <p>Note also that this definition includes parent abuse by children. Research by substance misuse charities suggests that child to parent violence following the child's involvement in substance misuse is under recognised and under supported by agencies. Most parent victims were found to be mothers with their son most likely to be the perpetrator of the abuse, which could take several forms including physical violence, emotional abuse and financial exploitation. Government and local strategies do not take this kind of abuse into account in their planning, as until recently domestic abuse was defined as occurring between those aged 18 and over.</p>
17		In your assessment, were there concerns about protecting children in this case at any time during the period of supervision?	

Question No	Criterion	Quick Indicator	Extended Guidance
		Refers to any case with child protection concerns even though the offender may not be the source of risk to the child or children.	<p>This is a wider focus than protecting children from harm and includes expectations, defined in local procedures, that offender managers will share information with children's social care services which may fall short of an assessment that a child has been harmed. Parental drug abuse and domestic abuse within a household are examples of such information.</p> <p>The offender manager should be able to demonstrate that they know whether there are children in the household or having significant contact with the offender who may be at risk of harm from the offender or anyone else. Where there are concerns these should be raised and addressed using local policy and practice guidance – this will usually require consultation with children's social care services and with a line manager.</p> <p>It is good practice to carry out a routine check with children's social care services in all cases where there are children to see if there are any concerns – this is agreed at senior management level.</p> <p>Evidence of this should be available throughout the case record, but particularly evident in the OASys full risk of harm analysis and risk management plan. The contact log should also provide evidence of action taken regards this area, e.g. request for information from children's social care services, use of home visits and discussion with line managers.</p>
View 1		Sections A B C ASSESSMENT & PLANNING	
A.1.1	ASSESSMENT AND PLANNING TO INFORM SENTENCING		
		<i>Reports assist courts in passing appropriate sentences.</i>	
	<i>1.1.a</i>	<i>Reports are based on sufficient information.</i>	
A.1.1.3	<i>1.1.a.1</i>	Was there a written copy of the report if delivered orally?	
		Reports delivered orally must	

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>be recorded for the purposes of offender management. This is to ensure that in the event of breach of a community sentence there is an accurate record of the report content.</p>	
A.1.1.4	<i>1.1.a.2</i>	Was the report based on sufficient information for this court appearance?	
		<p>This question is not assessed for oral reports because of the difficulty of assessing with certainty the sources of evidence used and exactly what was put before the court.</p> <p>All reports as a minimum must be based on:</p> <ul style="list-style-type: none"> • OGRS score • risk of harm screening • consideration of any previous relevant information held by the trust (case records, recent pre-sentence reports etc) • consideration of the Crown Prosecution Service sentence 	<p>This question is not assessed for oral reports because of the difficulty of assessing with certainty the sources of evidence used and exactly what was put before the court.</p> <p>All reports as a minimum must be based on:</p> <ul style="list-style-type: none"> • OGRS score • risk of harm screening • consideration of any previous relevant information held by the trust (case records, recent pre-sentence reports etc) • consideration of the Crown Prosecution Service sentence papers • offence analysis and impact on victim • statement of adjournment by the court (if stated, what was the purpose of the adjournment) <p>and should contain a clear proposal for sentence.</p> <p>Examples of necessary sources of information (specific to the case) might include; domestic abuse checks; safeguarding checks; referrals made to agencies/ partnerships; management oversight in risk and child/ adult safeguarding; bail information checks; mental health diversion schemes.</p> <p>Specialist assessments should be undertaken where appropriate by trained report writers and used to inform the content of the report and proposal, e.g. Thornton’s Risk Matrix</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>papers</p> <ul style="list-style-type: none"> • offence analysis and impact on victim • statement of adjournment by the court (if stated, what was the purpose of the adjournment) <p>and should contain a clear proposal for sentence.</p>	<p>2000 for all men convicted of a sexual offence, including internet offenders – this is a structured assessment that predicts likelihood of sexual offending, or SARA for those men who have committed an offence of domestic abuse – a structured assessment that considers imminence of further offending.</p> <p>In some cases referral for other assessments may also be required, e.g. serious mental health issues or dangerous sexual offending or generally in complex cases where further guidance is required in order to advise sentencers.</p> <p>Referral to other agencies may be appropriate at this stage in order to be included as a requirement of an order, for example drug or alcohol treatment or to an accredited programme.</p> <p>Note that the Legal Aid, Sentencing and Punishment of Offenders Act 2012 (LASPO 2012) has introduced changes that have an impact on pre-sentence report writers' practice. Relevant reports are unlikely to feature in an inspection before Autumn 2013. Check that these new (implemented January 2013) requirements are understood by report writers and have been taken into account in the information they give to courts. Many changes have been introduced, relevant here are those relating to proposals for requirements to address mental health problems.</p> <p>The Act removes the requirement in the Criminal Justice Act 2003 and the Mental Health Act 1983 (MHA 1983) that evidence of the need for mental health treatment given in assessments to the court is given by a Section 12 registered medical practitioner when proposing a Mental Health Treatment Requirement (MHTR). This change means that the court may seek views and assessments on the mental health treatment needs of the defendant from a broader range of mental health practitioners, such as Community Mental Health Teams, Community Psychiatric Nurses or Probation Trust staff. The MHTR is intended to be used where the defendant suffers from medium to low level mental health issues and suitable treatment and support is available to enable the MHTR to be delivered in the community.</p> <p>In all reports, sources of information should be verified where necessary and an indication made where this has not been possible. Most key information comes from official sources as part of the sentencing process, and would not need to be verified. This point relates to</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>other specific information that should have been verified.</p> <p>Use your judgement – were sentencers given sufficient appropriate information to make a decision about sentencing in this case?</p>
	<i>1.1.b</i>	<i>Written reports are of sufficient quality.</i>	
A.1.1.5	<i>1.1.b.1</i>	Was the content of the report of sufficient quality?	
		<p>There should be an emphasis on analysis of information to support judgement making rather than simply restating information already available to the court.</p>	<p>All of the indicators in this question apply in all cases.</p> <p>Point b): For offenders with no previous convictions this should be answered 'Yes' or 'No' according to whether the absence of previous convictions or relevant previous behaviour was referred to in the report.</p> <p>Point d): Where an offender is assessed as posing a low risk of harm or of reoffending, there should be a statement to indicate this. Failure to do this requires a negative answer.</p> <p>There needs to be an accurate assessment of the likelihood of reoffending and a comprehensive and an accurate assessment of the risk of harm posed to the public by the offender, drawing on all available sources of information. [For a full discussion about the accuracy of an assessment of the likelihood of reoffending and of a risk of harm analysis see guidance in Questions B.3.1.1 and B.4.1.6. respectively.]</p> <p>These are then used by the report writer to make judgements that are presented in a written report as an <u>analysis</u> of the offence and its impact, the likelihood of reoffending and the risk of harm posed by the offender. <u>Analysis</u> is the key word here; a list of facts and repetition of the Crown Prosecution Service account of the offence do not constitute sufficient quality. This should be more than a statement of the level of the likelihood of reoffending or risk of harm, and should include an analysis of the factors contributing to the levels, and how they will be reduced.</p> <p>There are three levels of OASys. At pre-sentence report stage the NOMS operating model assumes that the 'full' OASys will only be completed in those reports adjourned for 15 working days which are meant to be for Crown Court only.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>As outlined in relation to Q 1.1.4 all reports require as a minimum:</p> <ul style="list-style-type: none"> • OGRS score • risk of harm screening • consideration of any previous relevant information held by the trust (case records, recent pre-sentence reports etc) • consideration of the Crown Prosecution Service sentence papers • offence analysis and impact on victim • statement of adjournment by the court (if stated, what was the purpose of the adjournment). <p>Where the full OASys has not been completed the assessor has to consider whether the analysis presented gives sufficient detail in this case.</p> <p>To answer that content of this report is of sufficient quality the assessor must also be satisfied that it contained no inaccurate, inappropriate or irrelevant information.</p>
A.1.1.6	<i>1.1.b.2</i>	Was the language and style of the report clear and accessible?	
		Appropriate here means free from technical jargon and slang – the report is likely to be understood by lay magistrates and the offender.	
	<i>1.1.c</i>		<i>Written reports assist courts in passing sentence and, where appropriate, contain a clear proposal for a community sentence. A punitive element is included where appropriate.</i>
A.1.1.7	<i>1.1.c.1</i>	Did the report contain an appropriate proposal for a community sentence?	
		A pre-sentence report may detail a number of sentencing	A pre-sentence report may detail a number of sentencing options but there should be one clear proposal. This could be a clear conclusion explaining that no proposal was possible.

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>options but there should be one clear proposal. In this question community sentence means a Community Order or Suspended Sentence Order. The extended guidance indicates the elements of a proposal to consider in relation to determining sufficient quality.</p>	<p>In this question community sentence means a Community Order or Suspended Sentence Order.</p> <p>When requesting a report, the court should indicate the preliminary level of seriousness in terms of low, medium or high community sentence, or custody. Alternatively, sentencers may have a specific sentence in mind and require an assessment of suitability only. In some cases the court may have used a general comment such as 'considering all options' or there may be no record of the court having made an indication of seriousness. In all cases the assessor will need to make a judgement based on the available evidence, including sentencers' preliminary view of seriousness, about an appropriate proposal in this case.</p> <p>Use the indicators in this question to determine whether any proposal made was appropriate. Consider carefully each point; assessors should be able to see evidence, e.g. of how a particular requirement, constructive or restrictive, might be used to keep the risk of harm posed by this offender to a minimum. The proposal should flow logically from the content of the report. It should target relevant offending related needs and be proportionate to the seriousness of the offence.</p> <p>Any proposal should be appropriate to the offender's circumstances including their motivation and ability to complete the proposed sentence. Where relevant, it should also take into account their vulnerability.</p>
A.1.1.8	<i>1.1.c.2</i>	Did the report state intended outcomes or objectives appropriate to the proposed sentence?	
		<p>Where a community order, a suspended sentence order or a custodial sentence is proposed the report should include an outline sentence plan which describes how the proposed sentence would be carried out and what it is</p>	<p>Where a community order, a suspended sentence order or a custodial sentence is proposed the report should include an outline sentence plan which describes how the proposed sentence would be carried out and what it is meant to achieve. This can be in the body of the report or an attached copy of the OASys plan. The plan can be brief but should include objectives to be achieved during the sentence that address the likelihood of reoffending and any risk of harm to the public, and set out how they are to be achieved. Objectives that do not relate to the purpose of the proposed sentence should not be included.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>meant to achieve.</p> <p>The extended guidance indicates what to look for in an outline sentence plan or detailed in the report proposal. This should link directly with any risk management plan.</p>	<p>It should be written in such a way that both the defendant and the court understand what is meant to be done and achieved during the proposed sentence.</p> <p>Where a risk management plan has been prepared at this stage, each plan should mirror the other. For cases assessed as low risk of harm, answer according to whether the objectives/outcomes are commensurate with that level.</p>
A.1.1.9.A	<i>1.1.c.3</i>	Did the report indicate the offender’s motivation and capacity to comply with the proposed sentence?	
		<p>There should be comment about the offender’s motivation and capacity to address their offending, including, where relevant, an analysis of the offender’s previous response to community sentences and or custodial sentences.</p>	
A.1.1.9.B	<i>1.1.c.3</i>	Did the report indicate how any particular barriers to compliance and engagement will be addressed?	
		<p>Extended guidance gives examples of what barriers might exist. Having established what potential barriers there might be to compliance and engagement, has the report writer indicated how they might be addressed?</p>	<p>Assessors should look for evidence that the offender manager has sought information about potential barriers to the offender’s capacity to engage with a community order. Issues to cover include:</p> <ul style="list-style-type: none"> • Response to previous periods of supervision. • Childcare responsibilities. • Employment. • Finance – for bus fares etc.

Question No	Criterion	Quick Indicator	Extended Guidance
			<ul style="list-style-type: none"> • Unpaid work – their availability or ability to undertake intensive unpaid work. • Gender – were there arrangements available that are suitable? The background to women’s offending is often different to men’s and requires a different approach; engagement with supervision and compliance is often more difficult to achieve with female offenders without a sensitivity to women’s issues. This should include consideration of supervision by a female offender manager or at an alternative women-only facility if available or on a women only day at the probation office. Each Trust should have a guide to working with women that outlines expectations. • Language – was an interpreter necessary? • In Wales were offenders offered a service in Welsh? • Gang membership; in areas where there is gang activity there will be places that gang members are unable to visit safely. • Race and ethnicity – could black and other minority ethnic offenders be given the option of not being the sole non-white British member of a group programme or work party? Did the report writer enquire what their ethnicity means to them in terms of family and community expectations and religion, and what impact these might have - positive or negative – on engaging with supervision? What was their experience, if any, of discrimination – should this be addressed in supervision? • Religion – a potential positive support to engagement and a need to avoid appointments on days when attendance at a place of worship takes place. • Health and mental health – what impact did illness have on the ability of the offender to keep appointments and engage with supervision? • Vulnerability. <p>This is not an exhaustive list.</p> <p>Having established what potential barriers there might be to compliance and engagement, did the report writer indicate how they might be addressed.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
B.3.1	ASSESSMENT TO REDUCE THE LIKELIHOOD OF REOFFENDING		
		<i>The likelihood of reoffending is accurately assessed.</i>	
	<i>3.1.a</i>	<i>There is sufficient assessment of the likelihood of reoffending at the start of sentence or release from custody.</i>	
B.3.1.1	<i>3.1.a.1</i>	At the start of sentence or release on licence or transfer into the area, was there a sufficient assessment of the likelihood of reoffending?	
		<p>This question does not apply to standalone unpaid work cases with a basic layer OASys.</p> <p>An assessment must be undertaken even where there was one undertaken pre-sentence or pre-release. However, if this was a sufficient assessment that remained valid, then it could be replicated and details updated only where necessary and count as sufficient. The extended guidance sets out in more detail what to look for in order to assess the content of the assessment as sufficient.</p>	<p>This question does not apply to standalone unpaid work cases with a basic layer OASys.</p> <p>An assessment must be undertaken even where there was one undertaken pre-sentence or pre-release. However, if this was a sufficient assessment that remained valid, then it could be replicated and details updated only where necessary and count as sufficient. The question here is whether the assessment was sufficient. In some cases only a basic level of assessment may have been done. Even if this was completely fully at the time, and in line with any guidance, if this was insufficient for the case being assessed then it should be scored as insufficient.</p> <p>In all cases the assessment of the likelihood of reoffending should be completed sufficiently early to enable an effective sentence plan to be completed and implemented in a manner appropriate to the needs of the case. The assessment of the likelihood of reoffending is a fundamental part of the assessment process on which the other elements are built; it follows therefore that it ought to be completed as soon as possible after sentence if there was not one completed pre-sentence. For instance, sentence plans in high and very high risk of harm cases should be completed within 5-15 days of sentence and cannot be completed without this assessment.</p> <p>Therefore, if the assessment has not been completed shortly after sentence there should be recorded a reason for this. In such a case, e.g. that information was being actively pursued to inform the screening, the assessor should judge whether the explanation is acceptable. An alternative approach of locking an incomplete plan and recording the intention to review within a short period when further information would be available might be a more appropriate solution to the problem of wanting a plan in place quickly but</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>not being in possession of all information.</p> <p>If the first record of an assessment occurs later than the time by which you consider a first review should have been made, then you should score the question as 'Assessment not completed' rather than as the initial assessment having been untimely. This first assessment can then be treated as a review of the case in answering question D.3.2.15.</p> <p>The assessor must judge that the information in OASys draws fully on all available sources of information. Consideration should be given to whether the selected Level of OASys was appropriate: NOMS guidance assumes that offenders who are managed at Tiers 3 and 4 or as Prolific and other Priority Offenders or within an Intensive Offender Management scheme will have a full or Level 3 OASys assessment. Offenders managed at Tier 2 will have a standard or Level 2 OASys with the exception of standalone unpaid work cases which, with Tier 1 cases, will have a basic or Level 1 assessment.</p> <p>Key indicators include:</p> <ul style="list-style-type: none"> • Accuracy of the information. It should be correct at the time of the assessment. • Attention to and inclusion of detail. Scored sections of the assessment should match recorded evidence. The evidence sections should contain sufficient detail to clearly describe the extent to which an offending-related factor impacts on an offender's behaviour and circumstances. • Consistency of evidence. Evidence in different sections should not be contradictory. Evidence from one section of the assessment should inform other sections where there is a link, e.g. male perpetrators of domestic abuse often hold attitudes which support their offending. • Identification of positive and/or protective factors where they exist, in particular from the offender's home and social environment. There should be an indication of where there are gaps in community integration. • The thoroughness of the assessment – all sections should be completed. All aspects of the relevant offence(s) should be taken into account, e.g. the offender manager has spotted and taken into account violent extremism rather than simply a violent offence.

Question No	Criterion	Quick Indicator	Extended Guidance
			<ul style="list-style-type: none"> All available sources of information should be used – reference to previous agency records in particular, youth offending service in relevant cases, victim statements, records of previous convictions, ViSOR, specialist police units (e.g. domestic abuse units), contact with agencies currently linked to the offender (e.g. example, housing associations, social care services) and employers.
B.3.1.2	3.1.a.2	Was the offender actively and meaningfully involved in the assessment of their likelihood of reoffending?	
		<p>This question is not just about the process of discussing sections in OASys and reviewing the Self-Assessment Questionnaire but about the quality of engagement. This includes honest dialogue about the index offence and the factors linked to it.</p>	<p>In order to be successful, i.e. in order that the offender benefits from the period of supervision and does not reoffend, he or she has to engage with their offender manager and anyone else involved in delivering the elements of the sentence.</p> <p>This question is not, therefore, just about the process of discussing sections in OASys and reviewing the Self-Assessment Questionnaire (SAQ) but about the quality of engagement. A recent SAQ that had been completed during a previous order might be acceptable if there was clear proof of date, but the offender’s view of themselves may change over time so an old questionnaire would not be valid.</p> <p>Engagement includes honest dialogue about the index offence, the factors linked to it and what the offender has reflected about them in the SAQ. On the part of the offender manager it requires active listening, showing respect and relating at a level which the offender can understand; this can be checked out in discussion with them.</p> <p>Honest dialogue means that the offender manager takes the opportunity to review thoroughly with the offender what they say about themselves and to give reasons for disagreeing with their analysis if necessary. It is important to recognise issues that are important to the offender; agreements about priorities will be easier when the offender fully understands the purpose and objectives of supervision. This interview (or interviews) can set the scene for the quality of engagement for the whole order. The offender should feel involved in the assessment in order to be able to understand the logic of and buy into the plan that will emerge from it.</p>
B 3.1.3	3.1.a.2	At the start of sentence or release on licence, which factors – in your opinion – made this offender more likely to reoffend?	

Question No	Criterion	Quick Indicator	Extended Guidance
		Discriminatory attitudes	
		Discriminatory attitudes include sexism, racism and homophobia that have directly contributed to the offence and/or made the offender more likely to reoffend.	
B.4.1	ASSESSMENT AND PLANNING TO MINIMISE RISK OF HARM TO OTHERS		
		<i>Risk of harm is accurately assessed. Plans are made to minimise the individuals' risk of harm.</i>	
	<i>4.1.a</i>	<i>There is sufficient assessment of the risk of harm to others at the start of sentence or release from custody.</i>	
B.4.1.1	<i>4.1.a.1</i>	What was the OASys risk of serious harm classification as recorded at the start of sentence or licence or transfer into this area?	
		Chapter 8 of the OASys manual contains the following definition: ' <i>Serious harm can be defined as an event which is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible</i> '. Chapter 8 then goes on to classify cases by Risk of Serious Harm in terms of ' <i>the likelihood of this event</i> '	Chapter 8 of the OASys manual contains the following definition: ' <i>Serious harm can be defined as an event which is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible</i> '. Chapter 8 then goes on to classify cases by Risk of Serious Harm in terms of ' <i>the likelihood of this event happening</i> '. The OASys classifications of risk of serious harm are defined as follows: Low – current evidence does not indicate likelihood of causing serious harm. Medium – there are identifiable indicators of risk of serious harm. The offender has the potential to cause serious harm, but is unlikely to do so unless there is a change in circumstances, for example, failure to take medication, loss of accommodation, relationship breakdown, or drug or alcohol misuse.

Question No	Criterion	Quick Indicator	Extended Guidance
		<p><i>happening</i>’.</p> <p>Extended guidance defines what each classification means.</p>	<p>High – there are identifiable indicators of risk of serious harm. The potential event could happen at any time and the impact would be serious</p> <p>Very high – there is an imminent risk of serious harm. The potential event is more likely than not to happen imminently and the impact would be serious.</p> <p>The specific level should be entered in the OASys level of Risk of Serious Harm matrix. However, if an accurate and complete Risk of Serious Harm screening indicates no need to complete a full Risk of Serious Harm analysis, the boxes may appear blank; this is acceptable as it is judged that there is no evidence to indicate that the offender presents anything other than a low Risk of Serious Harm.</p>
B.4.1.2	4.1.a.1	In your view was this the correct classification?	
		<p>In order to answer Q B.4.1.2 the assessor should be satisfied that the risk of harm screening and any full analysis have been completed accurately. Extended guidance distinguishes between risk of harm and risk of serious harm.</p>	<p>In order to answer Q 4.1.2 the assessor should be satisfied that the risk of harm screening and any full analysis have been completed accurately. The information in the analysis should be used to justify which classification is the appropriate one at this time.</p> <p>A key point to note is that HMI Probation continues to refer to ‘<u>risk of harm to others</u>’ except when dealing specifically with <u>classification</u>, when ‘<u>Risk of Serious Harm</u>’ is used.</p> <p>Whilst Chapter 8 of the OASys manual guides assessors using OASys to form an opinion on the Risk of Serious Harm an offender presents, it is the view of HMI Probation that such a decision can only be reached following a clear assessment and analysis of that person’s previous and current harmful behaviour and their potential for causing any harm in the future (i.e. an analysis of <u>all</u> harm not just <u>serious</u> harm). To make a judgement about this question it will therefore be necessary for the assessor to have had access to sufficient information to be confident that all aspects of harmful, or potentially harmful, behaviour have been considered. Evidence from the screening document, the full analysis (if done) and the risk summary (if done) will be important in this respect, as will be information from previous conviction records, Crown Prosecution Service papers regarding offence details, and from the offender manager.</p> <p>Occasions where an assessor may disagree with a classification of Risk of Serious Harm in OASys will include:</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<ul style="list-style-type: none"> • where a full analysis has not been done but should have been • where indicators have been missed, for example, in the screening • where the OASys assessor has over or underestimated the level of Risk of Serious Harm • where the OASys assessor has not taken into account factors that could constitute serious harm in individual cases, for example the psychological harm caused by sexual offending, by domestic abuse or to particularly vulnerable victims.
B.4.1.5	<i>4.1.a.1</i>	Was a sufficient initial risk of serious harm screening completed?	
		<p>A risk of harm screening must be completed in every case at the pre-sentence report stage or initial assessment post sentence if no report was prepared. Extended guidance works through the elements that make a screening sufficient.</p>	<p>A risk of harm screening must be completed in every case at the pre-sentence report stage or at the initial assessment post sentence if no report was prepared. To answer that the screening is sufficient an accurate answer to all relevant questions (a 'Yes' in the boxes) about current and previous behaviour and convictions must be seen.</p> <p>In all cases the screening should be completed sufficiently early to enable an effective risk management plan (and corresponding sentence plan) to be completed and implemented in a manner appropriate to the level of risk of harm.</p> <p>The risk of harm screening is a fundamental part of the assessment process on which the other elements are built; it follows therefore that it ought to be completed as soon as possible after sentence if there was not one completed pre-sentence. For instance, sentence plans in high and very high risk of harm cases should be completed within 5-15 days of sentence and cannot be completed without the screening.</p> <p>Therefore, if the screening has not been completed shortly after sentence there should be recorded a reason for this. In such cases, e.g. that information was being actively pursued to inform the screening, the assessor judges whether the explanation is acceptable.</p> <p>If the first record of a screening occurs later than the time by which you consider a first review should have been made, then you should score the question as 'Screening not completed' rather than as the initial screening having been untimely.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>Were there behaviours or convictions that have been overlooked? Pay particular attention to whether the previous convictions are accurately reflected here; in order for that to be the case the offender manager or supervisor ought to know the detail, particularly about offences of violence, regardless of how long ago they occurred, e.g. the age and gender of victims.</p> <p>From your reading of the file, were there gaps in the screening or inaccuracies? Should enquiries have been made, e.g. to children’s social care services or the police domestic violence unit? Were there behaviours or convictions that have been overlooked?</p>
B.4.1.6	4.1.a.2	Was there a sufficient full initial analysis of the risk of harm?	
		<p>A full risk of harm analysis is required where there is an answer of ‘Yes’ in any box in the risk of harm screening document. It is possible for an offender manager to justify not completing a full analysis – explanation found in the extended guidance where there is also detail about what to expect in the risk of serious harm sections.</p>	<p>A full risk of harm analysis is required where there is an answer of ‘Yes’ in any box in the risk of harm screening document.</p> <p>Non-completion of a full risk of harm analysis implies that the risk of harm was low in this case at that time based on the information available. The assessor can answer that an analysis was not required if they are satisfied that the reason for not completing the analysis is that the case fits the classification of low risk of serious harm: ‘current evidence does not indicate likelihood of causing serious harm’. In most cases this means that none of the boxes in the screening has been answered with a ‘Yes’.</p> <p>It is possible for an offender manager to justify not completing a full analysis where there has been a ‘Yes’ answer. The specific reason for this should be entered in the screening document and countersigned by a staff member designated by the Trust as responsible, e.g. a middle manager.</p> <p>The offender manager must be able to point to the evidence for not needing to undertake a full analysis and demonstrate that this is a defensible decision. The reason given in the screening section should spell this out clearly.</p> <p>An acceptable example could be: a male offender with a juvenile conviction for assault against a teenage male when he was a teenager himself; he is now ‘mature’, it is many years since that conviction, he has committed no further violent offences and his current offence is non-violent. Care should be taken before concluding that this is an acceptable</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>reason – are there any indicators of risk of harm to the public short of a conviction?</p> <p>In all cases the analysis should be completed sufficiently early to enable an effective risk management plan (and corresponding sentence plan) to be completed and implemented in a manner appropriate to the level of risk of harm.</p> <p>The analysis of risk of harm is a fundamental part of the assessment process on which the other elements are built; it follows therefore that it ought to be completed as soon as possible after sentence if there was not one completed pre-sentence. For instance, sentence plans in high and very high risk of harm cases should be completed within 5-15 days of sentence and cannot be completed without the analysis.</p> <p>Therefore, if the analysis has not been completed shortly after sentence there should be recorded a reason for this. In such a case, e.g. that information was being actively pursued to inform the analysis, the assessor judges whether the explanation is acceptable.</p> <p>If the first record of an analysis occurs later than the time by which you consider a first review should have been made, then you should score the question as 'Analysis not completed' rather than as the analysis having been untimely. This first analysis can then be treated as a review of the case in answering question D.4.2.14.</p> <p>The analysis should draw on all significant information. In relation to protecting children consideration should have been given to whether or not the offender manager/ responsible officer ascertained where the offender was living, and if they had parental or carer responsibilities for a child or significant contact with a child, or were seeking significant contact with a child. If an initial inquiry or referral to children's social care services had been completed sometime ago, consideration should be given to the current situation and whether a fresh inquiry should be made, particularly if a significant period of time has elapsed and there is a new offence. If there was evidence that the offender had contact with children the offender manager/ responsible officer should have obtained the full names and address of the children and enter this information into OASys.</p> <p>All relevant past behaviour (including that which has not led to a conviction but about which there is evidence or intelligence) should be included in sections R6 to R10 in the risk of harm full analysis. It should be accurate and sufficiently detailed to be useful. Does the</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>analysis take into account current or previous assessments, e.g. earlier OASys, Asset, RM 2000, SARA? Have checks been made with children’s social care services or the new Multi-Agency Safeguarding Hub (MASH) for information about other services working with children, the police domestic violence unit and information drawn on in the analysis? Is there information on ViSOR? Have all aspects of the current offence been taken into account, e.g. the presence of children during an assault? Were Crown Prosecution Service documentation analysed in order to assess fully the seriousness and impact of the current offence? Does this offender present a risk to a child/ children because of the current offences or any previous offences or behaviour. This should also take into account any direct risk, where the child/ children are seen as “in need”, or “at risk” for other reasons. Include dire financial circumstances or potential child neglect issues.</p> <p>Entries in section R10, the summary, should form an <u>analysis</u> of the information included in the whole section and not just a list of events or other details – what do the facts suggest might happen in future given a certain set of circumstances?</p> <p>It is the <u>analysis</u> that leads to the judgement about the level and type of risk of harm posed to the public and it is not sufficient that this should have been done in the offender manager or supervisor’s head. How they reached their conclusion about the level of risk of harm posed should be clear and based on the evidence in this section. If there is no evidence of analysis then the assessor should check this box which indicates that there was insufficient analysis of risk of harm.</p> <p>The risk of harm analysis should identify those factors or circumstances that could indicate an increase in the risk of harm posed, and these should be referred to under the contingencies in the risk management plan – see Question B.4.1.11.</p> <p>Risk categories. This refers to section R10.6 where the offender manager considers specifically who is at risk from this offender in custody and in the community. It is important to consider separately the risk of serious harm posed to: children, known adults, prisoners, staff and the public. Those completing OASys are required to consider the risks posed in custody as equal to those in the community, as though the prisoner were to be released imminently. Using the definitions of risk of serious harm (Q 4.1.1) and the information in the analysis, the identification of who is at risk should flow logically.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>If the assessor finds that any of the levels of risk of harm have been incorrectly identified, this box should be checked.</p> <p>Note that sensitive information that could increase a risk of harm to someone should not be included in OASys but in a confidential section of the case record.</p>
B.4.1.7	<i>4.1.a.3</i>	Was information actively sought as appropriate, from other relevant staff and agencies involved with the offender?	
		<p>Identify whether information from others is required in order to complete the analysis. If so, was it actively sought? In particular, where cases are on the point of transfer from a youth offending service there must be contact between the offender manager and that service.</p>	<p>Identify whether information from others is required in order to complete the analysis. If so, was it actively sought? For example, section R7.2 is for details about children who are at risk of serious harm and require contact with children's social care services. Information about domestic abuse should be sought from the police.</p> <p>In particular, where cases are on the point of transfer from a youth offending service or their last period of supervision was in that service there must be contact between the offender manager and the youth offending service.</p>
B.4.1.8	<i>4.1.a.4</i>	Was sufficient attention paid to the protection of children in relation to the offender's contact with any children?	
		<p>This relates to all cases, and the need to attend to the possibility of child protection risks being present in any case. To answer 'Yes' there must be clear evidence that either the offender was not having contact with any children, or if they were or if there were known child protection concerns,</p>	

Question No	Criterion	Quick Indicator	Extended Guidance
		sufficient attention was paid to any actual or possible child protection risk.	
	<i>4.1.b</i>	<i>The public is protected by the appropriate use of restrictive requirements.</i>	
B.4.1.9	<i>4.1.b.1</i>	If restrictive requirements, electronic monitoring, restraining orders or sexual offences prevention orders (SOPOs) were used in this order or licence, was this appropriate?	
		The extended guidance identifies what these requirements are and defines what 'appropriate' means here.	<p>To answer 'Yes' to this question any restrictive requirements must be linked to the assessed level of risk of harm and to situations where harm might occur.</p> <p>Answer 'No' if any requirements were not seen as proportionate, i.e. were too restrictive in relation to the risk of harm posed. Examples could be an exclusion zone or curfew imposed in a licence that interfered with an offender's ability to get to his place of work; the location bore no relation to where the victims or potential victims of his offending lived or worked or the timing of the curfew did not relate to offending.</p> <p>Also answer 'No' if the assessed risks were not addressed by additional requirements but could have been, e.g. someone committing sexual offences against children in the family is not given an additional requirement not to reside in the same address as people aged under 18 years.</p> <p>Possible restrictive requirements and conditions are listed in Q 11 in the case details – and note that there is the possibility of a bespoke condition in a licence in extreme circumstances.</p> <p>The two following orders may run alongside a community order or licence:</p> <p>A restraining order is a civil order can be made at the time of sentencing to protect a victim from specific harm for a specified period. Typically, these are used in cases of domestic abuse, harassment and stalking when an offender will be ordered not to approach a person or a place or have any form of contact with them.</p> <p>A SOPO, introduced in the Sexual Offences Act 2003, is a civil order that can be made at point of sentence in criminal proceedings or by complaint to a magistrates' court at a later</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>date in respect of someone previously convicted of a sexual offence. The aim is to reduce the risk of future sexual harm; conditions within the order are prohibitive, e.g. not to enter a swimming pool, and are specific (bespoke) to that offender's circumstances and the assessed risk of harm presented. Whilst these are civil orders, they can remain in force for years and breach is a separate offence carrying a penalty of up to five years imprisonment.</p>
	4.1.c	<p><i>There is sufficient planning to manage the risk of harm to others at the start of sentence or release from custody in all relevant cases.</i></p>	
B.4.1.11	4.1.c.1	<p>Was there a sufficient initial plan in place to manage risk of harm?</p>	
		<p>There should be a risk management plan on all cases except those assessed as posing a low risk of serious harm. Guidance addresses elements of sufficiency.</p>	<p>There should be a risk management plan in all cases except those assessed as posing a low risk of serious harm. To answer 'Yes', the plan was sufficient it should have the following features:</p> <p>A timescale is only defined in cases assessed as posing a high or very high risk of serious harm where the plan should be completed within 5-15 days.</p> <p>However this timescale is a maximum, and it is possible that in some high or very high risk of harm cases the assessor may consider that five days is too long and that an assessment and plan should have been produced sooner. In medium risk of harm cases the plan should be in place within a period appropriate to the level of risk posed.</p> <p>However the National Standard does allow flexibility in respect of timeliness of planning by the offender manager. This flexibility can allow for more engagement with an offender to enhance the level of the offender manager's knowledge and understanding; it also creates potential to increase offender engagement with the risk assessment process and plan to manage it.</p> <p>For cases in the licence sample it would be good practice to see evidence of the offender manager undertaking a risk of harm analysis and plan to manage it prior to release, in conjunction with the offender supervisor and prisoner.</p> <p>If the first record of a risk management plan occurs later than the time by which you</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>consider a first risk of harm review should have been made, then you should score the question as 'Plan not completed' rather than as the plan having been untimely. This first plan can then be considered as part of the review of risk of harm in answering question D.4.2.15.</p> <p>Planned activity should address directly all the risks outlined in Section R10 of the risk of harm analysis. If there are gaps or there is no evidence for some of the planned activity then the plan is insufficient.</p> <p>The risk management plan should address the risks to any specific victims.</p> <p>A full and accurate risk of harm analysis should identify those factors or circumstances which if changed could indicate an increase in the risk of harm posed (e.g. a return to alcohol misuse or losing settled accommodation that could each signal a heightened risk of harm in a domestic abuse case or a child safeguarding case, or starting inappropriate employment or voluntary work in a sex offence case). Where such factors exist they should be repeated within a section for contingencies within the risk management plan, along with a clear and specific record of the action to be taken in respect of each factor should the change occur.</p> <p>There may not be a need for a 'contingency plan' in every case, but it is likely that there will be in most cases, particularly those presenting a high risk or very high risk of serious harm.</p> <p>Contingency planning should be specific, address known threats, and state what the options are should a change occur – this could be about who to contact to protect known victims, or it could be an immediate recall to prison or an increase in the length of curfew during residence at an approved premises. All actions should be specific and relevant. A generalised catch-all phrase, for example about enforcement or recall, would not be sufficient.</p> <p>Examples of contingency actions could be:</p> <ul style="list-style-type: none"> • children's social care services would intervene should an offender return to their former home and partner • an offender with a condition of residence in their licence can be made to move or

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>return to an approved premises</p> <ul style="list-style-type: none"> • information about risks can be shared with, for example the local church minister if starting to attend church has been an element of planning to offend • consideration of whether there is sufficient evidence to support an application for an SOPO through MAPPA • consideration of whether the risks are such that a woman would need to be found a place in a Refuge. <p>The anticipated event is also likely to prompt a re-assessment of relevant parts of the likelihood of reoffending and risk of harm assessments, and the content of the sentence plan and risk management plan.</p>
B.4.1.12	<i>4.1.c.3</i>	Did the initial risk management plan set out all necessary action?	
		<p>The risk management plan should refer to and mirror the initial sentence plan identifying, as an example, who is having contact with the offender, when and for what purpose. It should be clear who is to be involved in delivering the plan and who needs what information. It should be written in language that the offender can understand and contain only information that can be safely shared with the offender.</p>	
B.4.1.13	<i>4.1.c.4</i>	Was key risk of harm information communicated between all relevant staff and agencies?	

Question No	Criterion	Quick Indicator	Extended Guidance
		Identify from the risk of harm analysis and risk management plan who needs what information in order to keep to a minimum the risk of harm posed in this case. If communication is necessary, is there evidence in the plan or the contact log that information has been communicated?	
B.4.1.14	4.1.c.4	Where required, was the case recorded in ViSOR?	
		<p>All MAPP Category 1 cases (sexual offences) and most Category 2 and 3 cases (violent and other offences) managed at Levels 2 and 3 will have a ViSOR record. Most Category 2 and 3 cases managed at Level 1 will not have a ViSOR record, although arrangements vary locally.</p> <p>Access to the database varies locally but offender managers should access it in relevant cases either directly or indirectly – see extended guidance.</p>	<p>ViSOR, is a national confidential database, owned by the police, which supports the Multi-Agency Public Protection Arrangements (MAPP – see Question B.4.1.15). It was initially an acronym for the Violent and Sexual Offender Register, but was expanded by the police to record information on some non-convicted subjects (known as Potentially Dangerous Persons) and terrorist offenders. ViSOR is no longer an acronym but is the formal name of the database.</p> <p>ViSOR facilitates the effective sharing of information and intelligence between the three MAPP Responsible Authority agencies: police, probation and prisons. Information recorded on ViSOR includes all factual case details plus MAPP meeting minutes, risk management plans plus any other risk assessments and intelligence in respect of those who are registered. The three agencies have responsibility for appointing and training staff to keep the database up to date.</p> <p>The following MAPP cases will have a ViSOR record:</p> <ul style="list-style-type: none"> • Category 1 (sexual offences), all Levels • Categories 2 and 3 (violent and other offences), Levels 2 and 3. <p>Most Category 2 and 3 cases managed at Level 1 will not have a ViSOR record, although</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>arrangements vary locally.</p> <p>When ViSOR was established offender managers were not able to access it directly but had to ask their middle manager to do that for them. There might only be one ViSOR terminal in a probation office. Trusts were invited in November 2011 to increase the number of terminals and access to them, under strict controls, in offices and approved premises and the decision about whether or how to do that will vary.</p> <p>Regardless of access arrangements, in relevant MAPPA cases there should be evidence on file of the offender manager periodically contributing to and accessing information on ViSOR which is taken into account in planning. Where the case should have been recorded in ViSOR but was not because of difficulties of access you should answer the question 'No'.</p>
B.4.1.15	4.1.c.5	Was the offender actively involved in all plans and arrangements to manage their own risk of harm, including constructive and restrictive interventions?	
		Evidence for this question could be found in the risk management plan under the heading 2. 'Existing support/controls' and in the contact log. Extended guidance considers 'actively involved'.	<p>Evidence for this would be found in the risk management plan under the heading 2. 'Existing support/ controls' where the offender manager sets out the offender's view of the risks they pose, the plans to address them and what they intend to do to contribute to minimising the risk of harm they pose.</p> <p>Discussion with the offender manager (and/or contact log entries) will identify whether the offender was actively involved in the process of identifying what needed to be done to protect the public. This includes honest dialogue about the index offence, the factors linked to it and what the offender has reflected about them in the SAQ. On the part of the offender manager it requires active listening, showing respect and relating at a level which the offender can understand.</p> <p>Honest dialogue means that the offender manager takes the opportunity to review thoroughly with the offender what they say about themselves and to give reasons for disagreeing with their analysis if necessary. It is important to recognise issues that are important to the offender; agreements about priorities will be easier when the offender fully understands the purpose and objectives of the elements of the risk management plan. The offender should feel involved in agreeing the arrangements to manage the risk</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>of harm they present. Evidence for this could include a copy of the risk management plan printed and signed by the offender and filed with a signed copy of the sentence plan.</p> <p>There will be cases where there is no agreement possible about some or all aspects of managing the risk of harm this offender presents and others where it is not safe to disclose all measures taken to prevent harm to victims. In these cases mark the answer 'Not applicable'.</p> <p>Whilst the primary purpose of any intervention here is to prevent harm, the aim is that offenders will change relevant attitudes and behaviour. In order to do that they need to understand and accept the need for constructive interventions and ideally, for the restrictive interventions. Otherwise policing restrictive interventions, which cannot be permanent, is all that might be achieved.</p>
	<i>4.1.d</i>	<i>An effective referral to MAPPA is made in all cases where required.</i>	
B.4.1.16	<i>4.1.d.1</i>	Did this case meet the criteria for MAPPA at any time during this sentence/order/licence?	
		<p>Extended guidance sets out which offenders are registered within the three MAPPA Categories.</p>	<p>The criteria for registration as a Multi-Agency Public Protection Arrangements (MAPPA) case are:</p> <p>Category 1 – Registered Sexual Offender</p> <p>All sex offenders regardless of sentence – who have been convicted of an offence from a comprehensive list in Part 2 Schedule 3 of the Sexual Offences Act 2003 – see Appendix 1 to this guide.</p> <p>Category 2 - Violent and Other Sexual Offenders</p> <p>This includes offenders who have been convicted of an offence under Schedule 15 of the Criminal Justice Act 1988; there are 65 specified violent offences ranging from murder through assaults, dangerous driving, kidnap and acts of terrorism and 88 specified sexual offences starting with rape – see Appendix 1 to this guide.</p> <p>In addition to committing one of these offences the offender must have been:</p> <ul style="list-style-type: none"> • sentenced to 12 months or more in custody; or

Question No	Criterion	Quick Indicator	Extended Guidance
			<ul style="list-style-type: none"> • sentenced to 12 months or more in custody and is transferred to hospital under s.47/s.49 MHA 1983, or • detained in hospital under s.37 MHA 1983 with or without a restriction order under s.41 of the Act. <p>It also applies to those offenders subject to a disqualification order imposed under s.28-29A of the Criminal Justice and Court services Act 2000, i.e. an order disqualifying them from working with children.</p> <p>Category 3 - Other Dangerous Offender</p> <p>A person who has been cautioned for or convicted of an offence which indicates that he or she is capable of causing serious harm and which requires multi-agency management.</p>
B.4.1.18	<i>4.1.d.1</i>	Was the initial MAPPA level of management appropriate?	
		Extended guidance describes which cases can be managed at which level.	<p>Cases within MAPPA are managed at different levels on the basis of the principle that they should be managed at the lowest level that is safe to do so.</p> <p>Level 1 – Ordinary Agency Management</p> <p>Ordinary agency management: Level 1 is where the risks posed by the offender can be managed by the agency responsible for the supervision or case management of the offender. This does not mean that other agencies will not be involved; only that it is not considered necessary to refer the case to a Level 2 or Level 3 MAPP meeting.</p> <p>Level 2 – Multi-Agency Management</p> <p>Cases should be managed at Level 2 where the offender:</p> <ul style="list-style-type: none"> • is assessed as posing a high or very high risk of serious harm or • the risk level is lower but the case requires the active involvement and coordination of interventions from other agencies to manage the presenting risks of serious harm or • the case has been previously managed at Level 3 but no longer meets the criteria for

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>Level 3 or</p> <ul style="list-style-type: none"> Multi-agency management adds value to the lead agency's management of risk of serious harm posed. <p>The essential element for inclusion at Level 2 is that the management of the risk of harm is improved by formal discussion and agreement between agencies.</p> <p>Level 3 – Multi-Agency Management</p> <p>Level 3 management should be used for cases that meet the criteria for Level 2 but where it is determined that the management issues require senior representation from the Responsible Authority and Duty To Cooperate agencies.</p> <p>This may be when there is a perceived need to commit significant resources at short notice or where although not assessed as high or very high risk of serious harm, there is a high likelihood of media scrutiny or public interest in the management of the case and there is a need to ensure that public confidence in the criminal justice system is maintained.</p>
B.4.1.20	<i>4.1.d.2</i>	For MAPPA cases that were identified, were referral processes used effectively?	
		Extended guidance addresses what to look for to answer the question.	<p>There is no longer a requirement to notify Level 1 cases to MAPPA – instead, the coordinator has access to the information should they want it.</p> <p>Where offenders are serving a custodial sentence and have been assessed as meeting the criteria for Level 2 or 3 registration, a referral should be made no later than six months before release. In particularly complex cases or where a release plan could take longer to establish, referral should be made earlier.</p> <p>For cases in the community, referral should take place within ten days of an assessment that a case meets the criteria for registration.</p> <p>Check the MAPPA referral form for accuracy and to see if the correct category has been selected – see Q B.4.1.16.</p> <p>Once referred and the case has been taken to a MAPP panel meeting, actions agreed</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			should be incorporated into risk and sentence planning documents.
C.2.1	ASSESSMENT AND PLANNING TO DELIVER THE SENTENCE		
		<i>Arrangements for allocation and induction promote offender engagement. The initial sentence planning takes into account diversity factors, and is of sufficient quality to support the achievement of positive outcomes.</i>	
	<i>2.1.a</i>	<i>Cases are assigned to an appropriate level of service, and contact started promptly.</i>	
C.2.1.1	<i>2.1.a.1</i>	Was the case allocated to the correct tier of service at the start of sentence or release on licence or transfer into the area in accordance with NOMS guidance?	
		<p>The offender management model tiering framework and post-sentence tiering decision grid are reproduced and explained in the extended guidance.</p>	<p>The local Probation Trust allocates an offender to a tier of service at the start of sentence or transfer into the area.</p> <p>This decision reflects the sentence, offending-related needs and assessment of risk of harm. It determines the grade of worker to whom the case will be allocated, other resources used, frequency of contact and levels of further assessment and review.</p> <p>This decision determines the level of resources that will be invested in the case and therefore the associated cost to the provider.</p> <p>The NOMS Tiering Framework and Tiering Decision Grid will be found in Appendix 2 to this guide.</p> <p>The Tiering Framework from the offender management model describes the kind of offender profile likely within each tier and the type of intervention typically required.</p> <p>This is followed by the post-sentence Tiering Decision Grid which provides a simple method of identifying the 'indicative' tier post-sentence, i.e. the tier indicated by the model for an offender with 'this' profile and 'this' sentence. Trusts employ their own guidance for either accepting or amending this indicative tier to the final allocated tier. In answering Question C.2.1.1., answer 'Yes' if the allocated tier is that suggested in the tiering grid <u>and</u> that it appears to be appropriate, i.e. it meets the needs of the case.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
C.2.1.2	2.1.a.1	Was a valid reason recorded for any departure from the indicative tier?	
		To be judged appropriate, the reason for departing from the indicative tier must be that the allocated tier ensures a level of service that meets the needs of the case according to sentence, likelihood of reoffending and risk of serious harm classification.	
C.2.1.3	2.1.a.2	Was an appointment arranged for the offender to meet the allocated offender manager/responsible officer within an appropriate timescale after sentence or release on licence?	
		National Standards 2011 are prescriptive about how quickly an offender should be seen in high and very high risk of harm cases and in all licence cases. However, this question is about an appointment with the <i>allocated offender manager</i> rather than with a duty officer. <u>Please see extended guidance in this question.</u>	<p>National Standards for the Management of Offenders 2011 are prescriptive about how quickly an offender on a community order should be seen by <u>an</u> offender manager in the case of high and very high risk of serious harm cases where an appointment is arranged to take place within two working days of sentence. The expectation in licence cases continues to be that the first appointment is arranged to take place on the day of release (or on the next working day when this is impractical). The principles underpinning the timing of the first appointment in all cases are that it should take place in sufficient time to address the risks presented by the offender and that this appointment is crucial in the offender manager's plan to engage and motivate the offender.</p> <p>This question is about an appointment with the <u>allocated offender manager</u> rather than with a duty officer. The implication is that this first appointment is important in establishing an effective working relationship with the offender.</p> <p>In all cases there should be an appointment arranged to take place as above or within a few days of sentence in other community orders. It may well be that it was known that the allocated offender manager would be absent at the start of the order or licence and</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>that this first appointment would be with someone else. Where it is known that the allocated offender manager could not see the offender within more than one week of sentence or release, the assessor should consider whether what was arranged for them was appropriate or whether the case ought to have been reallocated so that planning could begin and an effective working relationship established. There will be many good reasons why a temporary arrangement could be appropriate, e.g. the offender manager already has a well established relationship with this offender or they prepared the pre-sentence report and agreed an outline plan with the offender. Alternatively, in this unit offender managers work collaboratively and their colleagues can start effective working in their absence so that the offender does not have to start again when they return.</p> <p>If the offender was not seen by their offender manager in what looks like an appropriate timescale, please comment in the free text box.</p>
	<i>2.1.b</i>	<i>Induction promotes offender engagement and compliance. Diversity factors and potential barriers to future engagement are assessed.</i>	
C.2.1.4	<i>2.1.b.1</i>	Is there evidence the offender was offered a full, timely and individualised induction following sentence or after release on licence?	
		There should be an early meeting when someone checks with the offender that they understand precisely what they are expected to do, for what purpose and what the intended outcome is. This is more than just about legal commitment – see extended guidance.	There should be an early meeting when someone checks with the offender that they understand precisely what they are expected to do, for what purpose and what the intended outcome is. This is a different conversation than reading them their rights and responsibilities and about their legal commitment. If induction is undertaken as a group or standard process with no scope for a personalised discussion in relation to this offender, then there should be evidence of this discussion taking place at the first meeting with an offender manager.
C.2.1.6	<i>2.1.b.3</i>	Was there a sufficient assessment of actual and potential barriers to offender engagement, and any other individual needs, including offender vulnerability?	

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>To facilitate positive engagement with supervision, assessment of potential barriers to compliance and engagement is an essential element at the planning stage. Extended guidance gives examples of what to look for.</p>	<p>In order for the offender to benefit fully from supervision they need to engage positively with their offender manager and anyone else providing a service in order to prevent reoffending. To facilitate this, assessment of potential barriers to compliance and engagement is an essential element at the planning stage.</p> <p>Assessors should look for evidence that the offender manager has actively carried out this assessment by using the information available to them and checking out with the offender what it means to them. This should be a careful discussion about potentially sensitive matters which should be recorded in the contact log or OASys. Check out how the discussion was conducted in an interview with the offender manager. Issues to cover include:</p> <ul style="list-style-type: none"> • Childcare responsibilities – an agreement is made about when and where appointments can be carried out that are not likely to be disrupted by the need to collect children from school and which do not put unreasonable expectations on sole carers. • Employment – appointments do not interfere with normal working patterns and an agreement is made about how to manage changes. • Finance – where bus fares, etc are not available appointments are made, where practical to coincide with other visits to town. • Gender – women offenders should be asked if they wish to work with female staff wherever possible. The background to women’s offending is often different to men’s and requires a different approach; engagement with supervision and compliance is often more difficult to achieve with female offenders without a sensitivity to women’s issues. This should include consideration of supervision at an alternative women-only facility if available or on a women only day at the probation office. Each Trust should have a guide to working with women that outlines expectations. <p>Extracts from recent research in Australia (Trotter 2012) include the following characteristics most strongly related to reduced offending in the view of the women and from an analysis of recidivism (according to self-reports and/or police records):</p> <ul style="list-style-type: none"> ○ a positive client-worker relationship, including the worker’s understanding

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>of the women’s perspective;</p> <ul style="list-style-type: none"> ○ collaborating with the women and having an optimistic view that the women could change; ○ a holistic approach, or the worker focusing on all of the issues of concern to the women; ○ the reliability of the worker; and ○ the worker giving practical assistance. <p>These findings support a developing emphasis on strengths-based approaches, including the importance of a positive worker-client relationship.</p> <p>Factors not associated with good outcomes were:</p> <ul style="list-style-type: none"> ○ the worker talking a lot about their offences; ○ talking about the things they did badly; ○ and challenging the women. <p>On this last point, most intervention models favour constructive challenge to ‘pro-criminal’ comments and actions. The authors argue that women may be less responsive than men to having their behaviour and attitudes challenged and more responsive to explicitly strengths-based approaches including the importance of a positive worker-client relationship.</p> <ul style="list-style-type: none"> • Language – is an interpreter necessary? • In Wales are offenders offered a service in Welsh? • Gang membership; in areas where there is gang activity there will be places that gang members are unable to visit safely. • Race and ethnicity – where practical black and other minority ethnic offenders should be given the option of not being the sole non-white British member of a group programme or work party. Has the offender manager enquired what their ethnicity means to them in terms of family and community expectations and religion

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>and what impact these might have - positive or negative – on engaging with supervision? What is there experience, if any, of discrimination – should this be addressed in supervision?</p> <ul style="list-style-type: none"> • Religion – a potential positive support to engagement and a need to avoid appointments on days when attendance at a place of worship takes place. Christian holy days are catered for in terms of holidays so offender managers ought to be aware of holy festivals in other religions. • Health and mental health. What impact does illness have on the ability of the offender to make appointments and engage with supervision? • Vulnerability. Where self-harm is an issue this should be explored in the risk of harm section. Vulnerability here includes the risks presented to the offender by other people either through being abused by them in some way or by being exploited and encouraged to commit offences. Other risks include vulnerability arising from their own behaviour, e.g. alcohol or drug misuse. Many other issues, e.g. mental health problems, insecure housing etc can make a person vulnerable and could constitute a barrier to engagement with supervision. <p>This is not an exhaustive list.</p> <p>To answer 'Yes' to this question there should be evidence of the offender manager checking out potential barriers with the offender, particularly where there is information available that suggests there might be.</p>
	<i>2.1.c</i>	<i>Sentence planning involves offenders in a meaningful and active way.</i>	
C.2.1.7	<i>2.1.c.1</i>	Was the offender actively and meaningfully involved in the sentence planning process?	
		In order to answer 'Yes' there should be evidence that the offender manager has engaged the offender in planning what they seek to	<p>In order to be successful, i.e. in order that the offender benefits from supervision and does not reoffend, he or she has to engage with supervision, with their offender manager and anyone else involved in delivering the elements of the sentence.</p> <p>In order to answer 'Yes' there should be evidence that the offender manager has engaged the offender in planning what they seek to achieve and how they are going to do this.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>achieve and how they are going to do this. Their SAQ should be completed, discussed with them and taken into account in planning.</p>	<p>Their self assessment questionnaire should be completed, discussed with them and taken into account in planning. It is possible that agreement will not be reached about how realistic the offender's views are so revisiting these will become part of the plan. Discussion with the offender manager may illustrate how a plan was developed to take account of the offender's views. Look for evidence that objectives set towards achieving the agreed desired outcomes are at least in part directed by the offender. Ideally an offender will suggest their own objectives - what they need to do to stop offending.</p> <p>The second part of this criterion: 'The planned outcomes for the sentence are jointly agreed wherever possible.' is not assessed separately, but evidence of joint agreement would enable this question to answered positively.</p> <p>Any hard copies of sentence planning tools used with the offender (as an alternative to OASys sentence plan printouts) would be good evidence.</p>
	<i>2.1.d</i>	<i>Sentence planning is informed by an assessment of the likelihood of reoffending and risk of harm to others.</i>	
C2.1.8	<i>2.1.d.1</i>	Was initial sentence planning (at the start of sentence or release on licence or transfer into the area) timely and informed?	
		<p>In order to answer whether sentence planning was informed by an assessment of the likelihood of reoffending, the risk of harm to others and any other relevant assessments the assessor should consider whether the information existed, should other assessments have been commissioned, was the information used to inform the sentence plan against</p>	<p>The current Standard is not prescriptive about the timeliness of completing a sentence plan except in high and very high risk of serious harm cases. For cases other than these the sentence plan is completed in 'sufficient time to give a sense of purpose and direction to the implementation of the sentence from the outset' which should be developed with input from the offender. This removes the requirement to complete a plan before the offender manager has met the offender, particularly where an outline plan was not prepared before sentence. It is recognised that the offender manager needs sufficient information in order to complete a plan. However, in order to get an order going an interim plan can be made which can be updated and completed when full information is available.</p> <p>The expected range for completion of sentence plans in high or very high risk of serious harm cases is 5-15 working days. The HMI Probation benchmark of sufficiency is that plans in such cases should be completed within 5-15 working days unless the assessor considers that there was an acceptable reason for delay that did not compromise the</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>each of these questions? Guidance sets out what to look for in content and timeliness.</p> <p>Planning should be recorded in an appropriate tool (e.g. OASys), and in the absence of a clear record of a plan having been made this question should be answered as 'Planning not completed'.</p>	<p>actions to minimise the risk of harm to the public or named victims. However, it is possible that in exceptional cases the assessor may consider that five days is too long and that a plan should have been produced sooner. For cases in the licence sample it would be good practice to see evidence of the offender manager completing the plan prior to release in collaboration with the offender supervisor and prisoner.</p> <p>Planning should be recorded in an appropriate tool (e.g. OASys).</p> <p>If the first record of a plan occurs later than the time by which you consider a first review should have been made, then you should score the question as 'Planning not completed' rather than as the initial planning having been untimely. This first plan can then be treated as a review of the plan in answering question D.2.2.21.</p> <p>For the sentence plan to be sufficient the sections of OASys relating to the likelihood of reoffending and risk of harm will have been completed fully and are up to date.</p> <p>In addition to OASys, the sentence plan should draw on other assessments and sources of information.</p> <p>These could include (not an exhaustive list):</p> <ul style="list-style-type: none"> • assessments of substance use • psychometric testing • accredited programme reports • mental health assessments • literacy, numeracy and learning and skills assessments • specialist assessments for specific offence types, for example, SARA and Thornton Risk Matrix 2000 • previous completed assessments using OASys and/or Asset • MAPPA assessments • child safeguarding assessments • unpaid work assessments

Question No	Criterion	Quick Indicator	Extended Guidance
			<ul style="list-style-type: none"> • feedback from accredited programmes • reports from periods in custody. <p>In order to answer whether the plan was informed by an assessment of the likelihood of reoffending, the risk of harm to others and any other relevant assessments the assessor should consider whether the information existed, should other assessments have been commissioned, was the information used to inform the sentence plan against each of these questions?</p>
	<i>2.1.e</i>	<i>Sentence planning supports community integration.</i>	
C.2.1.9	<i>2.1.e.1</i> <i>2.1.e.2</i>	Was there a sufficient assessment of the offender’s community integration, including social networks and sources of support?	
		Consider each of the factors in the question; extended guidance sets out examples of what to look for.	<p>Consider each of the factors in the question:</p> <p>Skills for Life and education. All cases should have an initial screening of Skills for Life by the time a sentence plan is completed at the start of an order or licence.</p> <p>The initial screening may have been undertaken at the pre-sentence report stage or in prison. Copies of the screening should be on file with an indication of the result recorded in OASys Section 4, Education, Training and Employability. If necessary the screening should lead to a referral for full assessment and training.</p> <p>Employability: There should be an assessment of the offender’s employment history, e.g. is this someone who has had a history of short term unskilled employment? Or no employment? The initial screening of Skills for Life should lead to referral for Information Advice and Guidance in relation to employability in relevant cases for a full assessment.</p> <p>Accommodation: The accommodation section in OASys is completed thoroughly. The offender manager is clear about immediate and longer-term needs in relation to housing and about potential barriers to community reintegration where accommodation is insecure. Clarity is sought in relation to current and past applications and tenancies with social housing providers; for instance are there debts or previous evictions that will have an</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>impact on future availability of secure or supported housing? In relation to informal agreements with friends or relatives, e.g. 'sofa surfing', what is the basis for the arrangements and likely duration?</p> <p>Primary health: Offenders are less likely than the general population to be registered with a GP or dentist but are more likely to have physical and mental health problems requiring diagnosis and treatment. Has the status of the offender been explored with them?</p> <p>Potential sources of support: Evidence for this question is likely to be found in OASys sections about Relationships and about Lifestyle and Associates. In addition to stating what the influencing factors are, the offender manager ought to be able to express what impact these factors have on the offender's life and on offending in particular. Assessors should look for evidence that the offender manager has considered with the offender what their family and community ties mean to them. This could include religion, employers, sport and any other community based organisation. Is there potential to engage them further with any positive influences they are already in touch with?</p>
C.2.1.10	2.1.e.3	Where necessary, was sufficient action either taken or included in sentence planning to enhance the impact of these factors?	
		This question addresses both immediate action on the part of the offender manager or an agreement to include action in the sentence plan.	<p>This question addresses both immediate action on the part of the offender manager or an agreement to include action in the sentence plan. In relation to the first two factors, the offender manager could either signpost the offender to a service and this is all that may be required or they could make an immediate referral for a service. Where employability or accommodation or health issues are linked to offending they can be properly built into the sentence plan with an appropriate objective. For instance, currently [January 2013] offenders with a requirement of unpaid work may unpaid work are enabled to undertake up to 20% of their ordered hours in education, training or employment-related activity.</p> <p>In relation to family or social networks, in some cases these should also be addressed in the sentence plan. For instance, is this a case where a family is in touch with children's social care services and the offender would benefit from a parenting intervention? – relevant where family relationships are linked to offending.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
C.2.1.11	<i>2.1.e.3</i>	Where required was the offender signposted to the appropriate service?	
		<p>To determine whether signposting was required the relevant screening should have been done.</p> <p>For an offender with literacy difficulties, any offender scoring 59 and under in the skill check should be signposted to a service that can carry out a full diagnostic assessment of their skills development needs.</p>	<p>To determine whether signposting was required the relevant screening should have been done.</p> <p>For an offender with literacy difficulties, the First Move skills check used in the community is a screening tool that generates a score. Interpretation of the scores is:</p> <p>60+ – ‘The offender is unlikely to have significant skills needs but may well have very specific skills needs for example, they may have a particular problem with spelling.’</p> <p>40-59 – ‘The offender will have skills development needs.’</p> <p>Below 40 – ‘The offender will have significant skills development needs and may well be operating below Entry Level 2.’</p> <p>Any offender scoring 59 and under should be signposted to a service that can carry out a full diagnostic assessment of their skills development needs. Offenders undertaking unpaid work are enabled to undertake up to 20% of their ordered hours in education, training or employment-related activity.</p>
	<i>2.1.f</i>	<i>Sentence planning promotes offender engagement and compliance. Diversity factors and potential barriers to offender engagement are taken into account.</i>	
C.2.1.12	<i>2.1.f.1</i>	Did sentence planning pay sufficient attention to factors which may promote engagement and compliance?	
		<p>In order to mark ‘Yes’ there should be evidence that the offender manager has considered the methods most likely to be effective in this case and to have paid sufficient attention to the offender’s level of motivation and capacity to change.</p>	<p>In order to mark ‘Yes’ there should be evidence that the offender manager has considered the methods most likely to be effective in this case and to have paid sufficient attention to the offender’s level of motivation and capacity to change. Do objectives and methods reflect the offender’s personal strengths and aptitudes as well as their needs?</p> <p>In order to do this the offender manager should have met the offender and have discussed with them their offending and related needs and the risks they pose to the public. They should identify with the offender what their strengths and skills are and what methods are most likely to meet their needs in terms of stopping further offending. The</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>offender manager should also take into account the offender's circumstances as poor social circumstances, e.g. insecure or inadequate accommodation or poor physical health will have a negative impact on their capacity to engage with supervision.</p> <p>Use of the SAQ can be a simple but effective tool here to identify the offender's level of self-knowledge, motivation to change and willingness to engage with the relevant opportunities. Any resulting plan should be written in language that makes sense to the offender – when read by them or to them.</p> <p>In most cases it is unlikely that sentence planning would have paid sufficient attention to factors which may promote engagement and compliance in the absence of a formal sentence plan. However, work in a case could meet this criterion where a sentence planning was done using a framework and/ or tool other than OASys.</p>
	<i>2.1.g</i>	<i>Sentence planning sets objectives, the pattern of contact, and the timescale for reviewing progress.</i>	
C.2.1.14	<i>2.1.g.1</i>	Did sentence planning set appropriate objectives?	
		<p>Consider whether 'on balance' the objectives were appropriate and addressed the work required over the whole order or licence. This is detailed in the extended guidance. Planning should be recorded in an appropriate tool (e.g. OASys), and in the absence of a clear record of a plan this question should be answered 'No' or 'N/A'.</p>	<p>Consider whether 'on balance' the objectives were appropriate and addressed the work required over the whole order or licence. In all cases planning should set objectives that address the significant factors identified as linked to current offending which need to be addressed to prevent further offending. In cases where education, training or employment is a factor and the offender has been referred for assessment any learning plan should be included in the sentence plan.</p> <p>In relevant cases sentence planning should set objectives to address the risk of harm to others. Where there is involvement with multi-agency risk management procedures through MAPPA, MARAC or child safeguarding arrangements, this should be explicit in the sentence plan unless there are reasons for not including information in a document to be shared with the offender. Where there is a risk management plan these objectives should feature in both.</p> <p>The plan may be based on appropriate assessments and contain outcome-focused objectives, etc. but either it does not address the objectives stated in a pre-sentence report proposal or it only addresses some of the requirements in a sentence. For instance,</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>it might omit to address education, training or employment or unpaid work when these are important factors linked to offending and a clear requirement, respectively. All requirements and conditions, e.g. residence in approved premises, curfew and specified activity must be included in the sentence plan. Conversely, a plan might include elements that are linked neither to current offending nor to the sentence.</p> <p>Planning should be recorded in an appropriate tool (e.g. OASys), and in the absence of a clear record of a plan this question should be answered 'No' or 'N/A'.</p>
C.2.1.15	<i>2.1.g.2</i>	Did sentence planning set outcome-focused objectives?	
		<p>Planning should be recorded in an appropriate tool (e.g. OASys), and in the absence of a clear record of a plan this question should be answered 'No' or 'N/A'.</p>	<p>Objectives should be SMART, i.e. specific, measurable, achievable, realistic and time-bounded. Is what has been set achievable? If the offender's ability, level of motivation and capacity to change have been accurately assessed, what is planned should reflect this and be expressed in manageable steps. The time set for review should reflect this.</p> <p>It should be clear what the offender is meant to do and achieve in practical terms. Objectives should not be written in such a way that they express aspirations only, e.g. changing attitudes. How will the offender know if the objectives set have been achieved? If stopping violent offending is the desired outcome and the methods employed are to include participation in an accredited programme (in order to change attitudes amongst other goals) the plan should say so in plain language. Other activity to support the desired outcome should also be clear, for example a reduction in alcohol consumption and whether this is to be addressed in supervision or referral to another agency or worker.</p> <p>Objectives and activities should be sequenced and the timings set should be explained.</p> <p>Planning should be recorded in an appropriate tool (e.g. OASys), and in the absence of a clear record of a plan this question should be answered 'No' or 'N/A'.</p>
C.2.1.16	<i>2.1.g.3</i>	Was sentence planning sufficiently clear about what the offender had to do to achieve the objectives?	
		<p>The plan should be written in such a way that it is clear what the offender has agreed</p>	<p>The plan should be written in such a way that it is clear what the offender has agreed to undertake in order to achieve sentence plan objectives. They should reflect the fact that the offender is not passive but takes an active part in their rehabilitation, and the agreed</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		to undertake in order to achieve sentence plan objectives.	actions should be clearly indicated in the plan itself. Planning should be recorded in an appropriate tool (e.g. OASys), and in the absence of a clear record of a plan this question should be answered 'No'.
C.2.1.17.a C.2.1.17.b	2.1.g.4	Was the planned level and pattern of contact recorded (in the sentence plan or elsewhere) and appropriate to the case?	
		The sentence plan should set out the intended level and pattern of contact with all parties involved in the case, up to the point of the first (next) review. Levels of contact should be consistent with the levels of risk of harm and likelihood of reoffending/needs in the case. See extended guidance for more detail.	<p>The sentence plan should set out the intended level and pattern of contact with all parties involved in the case, up to the point of the first (or next) review. In the basic layer OASys sentence plan there is no field to record planned level of contact, so in these cases it should be noted elsewhere.</p> <p>The National Standards for the Management of Offenders 2011 give flexibility to offender managers to determine the frequency of contact with offenders. Offender Managers are required to record the reasons for their decision about frequency. Levels of contact should be consistent with the levels of risk of harm and likelihood of reoffending and needs in the case.</p> <p>The offender manager should state in the sentence plan how often they and anyone else involved in the management of the sentence intend to meet the offender and where, in order to carry out what has been planned up to the point of the next review. Where the planned level and pattern of contact seem out of the ordinary then this should be explained in the sentence plan and also in the contact log as a record of discussing this with the offender.</p> <p>The important point here is that the frequency and pattern of contact should meet the needs of the case and that this might change during the course of an order or licence. Assessors should look for a rationale behind any such decisions which should be clearly recorded. In particular, consider whether levels of contact are appropriate to keep to a minimum the levels of risk of harm to the public. Home visits should be included in high risk of harm and child protection cases and others where the knowledge gained could contribute to risk management plans.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
C.2.1.18	2.1.g.5	Was there a clear indication of when the sentence plan would be reviewed?	
		<p>There should be a clear indication in the sentence plan and/or in the contact log of when the plan will be reviewed and a rationale for this. The extended guidance sets out what to look for. Whether the period set was appropriate to the needs of the case is considered in question C.2.1.19.</p>	<p>There should be a clear indication in the sentence plan and/or in the contact log of when objectives will be reviewed and a rationale for this. It is for the offender manager to determine when this might be. Whether the period set was appropriate to the needs of the case is considered in question C.2.1.19.</p> <p>The National Standards 2011 do not require a review post-sentence if there was a plan written pre-sentence unless the offender manager thinks it appropriate.</p> <p>Assessors should expect that the offender manager intends to review a plan in some cases when there appears to be a change in the level of risk of harm presented or any other significant change, e.g. reoffending (or intelligence of such), change of employment or address in relevant cases, start or end of relationships in relevant cases such as domestic abuse or child safeguarding cases. There should be mention of such a contingency in any risk management plan or elsewhere in the case record, not necessarily in the sentence plan.</p>
C.2.1.19	2.1.g.6	Was the planned review period appropriate to the case?	
		<p>There should be a clear indication of when the plan will be reviewed and a rationale for this. It is for the offender manager to determine when this should be reviewed. The extended guidance sets out issues to consider in deciding whether it was appropriate to the case.</p>	<p>There should be a clear indication in the sentence plan and/or in the contact log of when objectives will be reviewed and a rationale for this. It is for the offender manager to determine when this might be, but this should be at least annually, and in most cases much more frequently, including on completion of requirements in the order or licence.</p> <p>There is an expectation in PI 21/2012 that the sentence plan should be reviewed 'where one or more objectives in the sentence plan has been achieved or conversely where progress is not being made and alternative options need to be considered'.</p> <p>Without regular reviews of the offender's progress, the offender manager may be unaware that insufficient progress was being made, and a failure to set reviews at sufficiently frequent intervals may inadvertently allow the order or licence to 'drift'. The intervals between scheduled reviews may vary but should be short enough to provide for a meaningful assessment of progress against objectives. This also ensures that the offender</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>continues to be engaged in and owns the sentence plan throughout the sentence, and that achievements are acknowledged and new objectives are created.</p> <p>A reason should be given for selecting the time to review an activity, e.g. at the end of a programme or an academic term or at the next planned child safeguarding review. All cases should be reviewed when a requirement comes to an end and this should be built into the sentence plan.</p> <p>The National Standards 2011 do not require a review post-sentence if there was a plan written pre-sentence unless the offender manager thinks it appropriate. Subsequent reviews are required 'promptly when there is new information or significant change which affects the validity of the assessment'.</p> <p>Assessors should expect that in some cases the offender manager will intend to review a plan if there appears to be a change in the level of risk of harm presented or any other significant change, e.g. reoffending (or intelligence of such), change of employment or address in relevant cases, start or end of relationships in relevant cases such as domestic abuse or child safeguarding cases. There should be mention of such a contingency in any risk management plan or elsewhere in the case record, not necessarily in the sentence plan.</p> <p>In general, in high and very high risk of harm cases we would expect planned reviews of assessments and plans to be more frequent, and linked to external meetings such as MAPPA, MARAC or child protection meetings.</p>
	<i>2.1.h</i>	<i>Sentence planning sets out the contribution to be made by all those involved with the offender.</i>	
C.2.1.20	<i>2.1.h.1</i>	Was there a clear record of the contribution to be made by all workers involved in the case to achieve sentence planning objectives?	
		In the sentence plan there is scope to indicate who will undertake what role. This should be completed in such a way as to identify (if known	In the sentence plan there is scope to indicate who will undertake what role. This should be completed in such a way as to identify (if known at the time) the names and contact details of other workers involved. Even if names, etc. are unknown, the level and purpose of contact should be and should form part of the plan.

Question No	Criterion	Quick Indicator	Extended Guidance
		at the time) the names and contact details of other workers involved and specify as far as possible what the level and purpose of contact should be.	
View 2		Section D DELIVERY & REVIEW	
D.2.2	DELIVERY AND REVIEW OF THE SENTENCE PLAN AND MAXIMISING OFFENDER ENGAGEMENT		
		<i>Sentence plans are delivered and progress reviewed. Offender engagement, motivation and community integration is maximised to promote positive outcomes.</i>	
	<i>2.2.a</i>	<i>Interventions are delivered according to the requirements of the sentence, and the sentence plan.</i>	
D.2.2.1	<i>2.2.a.1</i>	Were interventions delivered according to the requirements of the sentence?	
		Cases in the inspection sample will have normally run for around nine months so all elements ought to have at least commenced, including accredited programmes.	Cases in the inspection sample will have normally run for around nine months so all elements ought to have at least commenced, including accredited programmes, to enable the assessor to answer 'Yes' to this question. In a community order where an additional requirement is not going to take place, for whatever reason, the case ought to be returned to court with a request to vary the order, i.e. remove the requirement; if this has been done the assessor can answer 'Yes'. If this is the case but there are no plans to return it to court then the answer to this question is 'No'.
D.2.2.3	<i>2.2.a.2</i>	Did the delivery of interventions take account of any risk of harm to others posed by the offender?	
		In all cases the delivery of all	In all cases the delivery of all interventions should take account of any risk of harm to

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>interventions should take account of any risk of harm to others that might be posed by the offender. Remember, <u>low</u> risk of harm is not the same as <u>no</u> risk of harm The extended guidance gives more detail.</p>	<p>others that might be posed by the offender. Even where they are assessed as a low risk of serious harm they may still pose some level of risk. <u>Low</u> risk of harm is not the same as <u>no</u> risk of harm, and where the offender poses an identifiable low level risk this should be noted, and steps taken to keep this to a minimum in the arrangements for delivery of interventions. Where this has been done, or there was no identifiable low level risk, the question can be answered 'Yes'. If in section B.4.1 you had judged the assessment of risk of harm was insufficient, and it was uncertain as to whether the offender posed any low (or higher) level risk, the question should be answered 'No'.</p> <p>For medium and high risk offenders, the risk management plan and sentence plan should set out the same plan of action for the offender where managing the risk of harm posed takes top priority. The level or nature of risk might legitimately prevent some objectives being attempted until other arrangements can be made, e.g. where the offender belongs to a particular gang which constitutes a threat to members of other gangs or their associates who might be undertaking unpaid work or a programme that this offender needs to wait to start.</p> <p>More commonly, those interventions aimed at keeping to a minimum the risk of harm should be started as soon as possible and attendance and engagement prioritised.</p>
	<i>2.2.b</i>	<i>Positive outcomes for offenders are promoted by work to improve community integration.</i>	
D.2.2.4	<i>2.2.b.1</i> <i>2.2.b.2</i>	Did the offender receive sufficient assistance to improve community integration, including social networks and source of support?	
		Refer back to Question C.2.1.9 – has the offender been supported to benefit from or build on the potential in these areas? If signposting by itself was all that was required then the question should be answered 'Not	

Question No	Criterion	Quick Indicator	Extended Guidance
		required'.	
	<i>2.2.c</i>	<i>Work with offenders maximises their motivation and enables them to engage fully with the sentence.</i>	
D.2.2.5	<i>2.2.c.1</i>	Was motivational work done to help and encourage the offender to engage fully with the work undertaken during their sentence?	
		An important element of offender management is the offender manager's skill in motivating the offender to want to engage with the course of action agreed that is aimed at supporting them in stopping offending. Examples are in the extended guidance of what to look for.	An important element of offender management is the offender manager's skill in motivating the offender to want to engage with the course of action that is agreed and aimed at supporting them in stopping offending. Assessors should look for evidence in the contact log and any material on file, (such as exercises used in supervision sessions) and discuss with the offender manager how they used their time and skill to establish their relationship with the offender. Were they responsive to the offender's learning style – through choice of language used with them or in exercises? Did they take care to ensure that the offender understood what the sentence meant, what was to be achieved and how that was to be done? Did they take a shared approach to problem solving? Did the offender understand what was in this for them? Does the Trust employ mentors as staff or volunteers to support their work and the offender? This question also refers to the offender manager and others motivating the offender to comply with restrictive conditions.
D.2.2.6.A	<i>2.2.c.2</i>	Were relevant diversity factors taken into account in the delivery of services?	
		In Question C.2.1.12 there was consideration of what diverse factors should be taken into account in planning to factors which might promote engagement and compliance. Have these been taken into account in	

Question No	Criterion	Quick Indicator	Extended Guidance
		delivery of the plan?	
D.2.2.7	2.2.c.3	Was sufficient work directed at overcoming barriers to engagement?	
		Consider the potential barriers to engagement identified and what was planned to address these in question C.2.1.13. Were they delivered?	Consider the potential barriers to engagement identified and what was planned to address these in question C.2.1.13. Were they delivered? As an example, from April 2013 most offenders will undertake unpaid work requirements more intensively. The expectation is that an unemployed offender's experience of unpaid work will be more like a normal working week. Where offenders are affected by any of the potential barriers outlined in C.2.1.6 this should have been taken into consideration in planning activity.
	2.2.d	<i>The level of contact with offenders is sufficient to promote positive outcomes.</i>	
D.2.2.8	2.2.d.1	Was the level of contact arranged with the offender sufficient?	
		There are few specific requirements about levels of contact in the 2011 National Standards for Offender Management. Otherwise, offender managers are required to arrange sufficient contact to deliver the sentence plan and monitor changes in dynamic risk factors. Extended guidance gives examples for what to look for to judge sufficiency. Under normal circumstances contact in community orders should not be less frequent	There are few specific requirements about levels of contact in the 2011 National Standards for Offender Management Quality indicators. These are: <ul style="list-style-type: none"> the first appointment for cases assessed as posing a high or very high risk of serious harm should be within two working days all offenders released on licence should be seen on the day of release or the next working day if impractical in respect of high or very high risk of serious harm offenders managed in the community, contact is arranged to take place weekly. Otherwise, offender managers are required to arrange sufficient contact to deliver the sentence plan and monitor changes in dynamic risk factors. The assessor's task is to judge whether the level and pattern of arranged contacts was sufficient to do this. The level of contact set, and any subsequent plan to change it, should be recorded in the sentence plan, or alternatively in the contact log, and the explanation for the planned level should be recorded in the contact log.

Question No	Criterion	Quick Indicator	Extended Guidance
		than monthly.	<p>Plans to change the level of contact should be made as part of a review of the sentence plan.</p> <p>The first consideration should be whether contacts arranged were sufficient to address any risk of harm posed. For instance, it would be hard to justify seeing an offender who poses a high risk of harm less frequently than weekly – and more if circumstances warrant it. Contact does not just mean with the offender manager but with anyone contributing to the delivery of the sentence plan who communicates what has taken place to the offender manager so that it is recorded.</p> <p>The different elements in an order or licence should be sequenced in the sentence plan so there need to be sufficient contacts to ensure that all objectives are addressed at the right time. Where it is necessary for several requirements to be delivered simultaneously, e.g. supervision, unpaid work and a specified activity requirement, in some weeks an offender may have three appointments to keep.</p> <p>The offender manager should respond flexibly to changes and to signs that the likelihood of reoffending or risk of harm is increasing by changing reporting instructions accordingly. Consider – in this case, at the different stages of the order or licence, was there sufficient contact for the offender manager to monitor for changes in dynamic factors?</p> <p>All licence cases in the inspection sample should have had a community based offender manager allocated at sentence. Was the level of contact sufficient for the offender manager to contribute positively to planning for release? This can include contact by letter, telephone or video link as well as through visiting. It can also include contact with the offender supervisor or other prison based staff.</p> <p>With the exception of cases where the level of risk of harm is judged to remain or to become high or to be volatile or unstable, it is to be expected that the level of contact will reduce as elements of the sentence have been completed.</p> <p>However, except in the later stages of very long licences it would be exceptional for contact less than monthly to be considered appropriate. A greater than monthly interval between appointments would not permit any useful work to be done, nor provide sufficiently frequent oversight to detect possible changes in the level of risk of harm or</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			likelihood of reoffending. If there was no work to be done or monitoring of risk required, a community order should be revoked for good progress.
	<i>2.2.e</i>	<i>Resources are used appropriately to promote positive outcomes</i>	
D.2.2.9	<i>2.2.e.1</i>	Was an appropriate level of resource allocated throughout the sentence?	
		The extended guidance gives examples of what to look for.	<p>Consideration of this question should include the assessor's judgement in Question D.2.2.8, as without sufficient contact arranged the answer here has to be 'No'.</p> <p>Was the offender managed by someone who was suitably trained for this case?</p> <p>In addition, consider what resources should or could have been used to address the likelihood of reoffending or the risk of harm. Consider both resources that were included in the sentence plan and those that were not but ought to have been. For example, alcohol misuse may be a clear factor linked to offending that was overlooked at sentence planning stage so no work was done either by the offender manager or another worker to address this. In such a case answer 'No'.</p> <p>Any deficiencies due to a lack of resource locally should be added to the free text box.</p> <p>Were resources too high for the needs of the case? Consideration should include whether a probation officer's training was required or not. Was there the need for an accredited programme? Was residence in an approved premise justified by virtue of the offender being assessed as posing a high risk of harm and so on?</p>
	<i>2.2.f</i>	<i>The responsible officer/offender manager is responsible for and takes a leading role in the management of the sentence.</i>	
	<i>2.2.g</i>	<i>Actions are taken to secure compliance and enforce sentences, and re-engage offenders following breach or recall.</i>	
D.2.2.13	<i>2.2.g.2</i>	Was effective action taken by other workers/agencies to secure compliance with, or support enforcement of all interventions?	
		The emphasis here is on 'effective' – rather than	The emphasis here is on <u>effective</u> action – rather than noting whether some action was taken. A swift home visit, for instance, could have a much more positive effect than a

Question No	Criterion	Quick Indicator	Extended Guidance
		noting whether some action was taken.	warning letter in some cases.
D.2.2.16	2.2.g.3	Were professional judgements about the acceptability of absence and other offender behaviour appropriate?	
		<p>The offender manager should exercise professional judgement to determine whether a reason provided for non compliance is acceptable. The extended guidance explains how to assess whether appropriate judgements have been made.</p>	<p>The rule in the 2011 National Standards for the Management of Offenders requiring enforcement action in the event of unacceptable absences remains as it did in the 2007 version, but the offender manager now has greater discretion to determine whether an absence is acceptable or not. The Standard states:</p> <p>'The offender manager exercises professional judgement to determine whether a reason provided for non compliance constitutes a 'reasonable excuse', taking into account:</p> <ul style="list-style-type: none"> • the nature of the failure, • the circumstances of the non compliance • the pattern of compliance to date • the circumstances of the offender'. <p>The offender manager is required to record the details of any explanation for an absence and to explain their decision about the reasonableness of any excuse.</p> <p>The assessor should consider whether the decision to judge a reason for absence acceptable was appropriate in this case given the level of risk of harm (for instance, was there contradictory evidence that an absence was an indicator of a breakdown of self-control?). Was it appropriate in terms of the offender's reoffending?</p> <p>Non compliance by women offenders is a major cause of imprisonment, and proportionately much greater than for men. Offender managers should be trained in engaging and motivating women and in establishing what constitutes acceptability that is different from their approach to male offenders.</p> <p>Were judgements made over the course of an order or licence consistent?</p> <p>Was there a consistent approach from all involved to what behaviour is not acceptable, e.g. attending appointments under the influence of alcohol, swearing at staff or sexist</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			comments?
D.2.2.19	<i>2.2.g.5</i>	Was sufficient effort made to re-engage the offender with their sentence plan and encourage their commitment to continued engagement?	
		The offender manager (and supervisor in licence cases) should work proactively with those offenders who have been subject to breach proceedings or recall. Where a prisoner has been recalled to prison, work starts immediately to prepare for rerelease.	The offender manager (and supervisor in licence cases) should work proactively with those offenders who have been subject to breach proceedings or recall. Where a prisoner has been recalled to prison, work starts immediately to prepare for rerelease.
	<i>2.2.h</i>	<i>Work with the offender is reviewed and is informed by reviews of the assessment of likelihood of reoffending and risk of harm.</i>	
D.2.2.21	<i>2.2.h.1</i>	Was there a sufficient review of work with the offender?	
		It is for the offender manager to determine when to review work with the offender. Reviews should be recorded in an appropriate tool. Extended guidance includes what to look for with a note about timing.	A review should be undertaken within the timescale stated in the original sentence plan. Sentence plan reviews are also required 'promptly when there is new information or significant change which affects the validity of the assessment'. They should be recorded in an appropriate tool. Assessors should expect that plans will be reviewed when there appears to be a change in the level of risk of harm presented or any other significant change, e.g. reoffending (or intelligence of such), change of employment or address in relevant cases, start or end of relationships in relevant cases such as domestic abuse or child safeguarding cases. Cases managed in MAPPA or with child safeguarding reviews or any other multi-agency element of management should be fully reviewed as part of the multi-agency process review.

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>In general, in high and very high risk of harm cases we would expect planned and actual reviews of assessments and plans to be more frequent, and linked to external meetings such as MAPPA, MARAC or child protection meetings.</p> <p>There is an expectation in PI 21/2012 that sentence plan should be reviewed 'where one or more objectives in the sentence plan has been achieved or conversely where progress is not being made and alternative options need to be considered'.</p> <p>Without regular reviews of the offender's progress the offender manager may be unaware that insufficient progress was being made, and a failure to undertake reviews at sufficiently frequent intervals may inadvertently allow the order or licence to 'drift'. The intervals between reviews may vary but should be short enough to provide for a meaningful assessment of progress against objectives.</p> <p>A review is insufficient if the existing OASys was 'pulled through' with little or no changes. To be sufficient the factors linked to offending, the risk of harm and the offender's circumstances must be considered and reassessed. Progress against the sentence plan objectives should be reviewed and new objectives set as appropriate. The risk of harm analysis and management plan should likewise be reviewed and amended as necessary.</p>
D.2.2.22	2.2.h.2	Where required was the review of work with the offender used to promote compliance and support desistance?	
		This is not required if this is the termination review.	
D.2.2.23	2.2.h.3	Where required did the review of work with the offender focus on further work to be done?	
		This is not required if this is the termination review.	
D.2.2.24	2.2.h.4	If required in the light of any review, was there an appropriate reallocation to a different level of service?	
		This is not required if this is	

Question No	Criterion	Quick Indicator	Extended Guidance
		the termination review.	
	<i>2.2.i</i>	<i>Transfer of cases is managed in a way which ensures the integrity of the sentence and protection of the public. Information is exchanged to enable continuity of sentence planning and delivery.</i>	
D.2.2.27	<i>2.2.i.1</i>	Was the transfer from the originating organisation handled appropriately?	
		This is only assessed where the case has been transferred out from the organisation being inspected.	This is only assessed where the case has been transferred out from the organisation being inspected.
D.2.2.28	<i>2.2.i.2</i>	Was the transfer into the receiving organisation handled appropriately?	
		This is only assessed where the case has been transferred into the organisation being inspected	<p>This is only assessed where the case has been transferred into the organisation being inspected.</p> <p>A review of the case should be undertaken by the receiving organisation when accepting transfer of the case. In all cases the offender manager/ responsible officer should have ascertained where the offender was living, and if they had parental or carer responsibilities for a child or significant contact with a child, or were seeking significant contact with a child. If there was evidence that the offender had contact with children the offender manager/ responsible officer should have obtained the full names and address of the children and enter this information into OASys.</p> <p>Where there were known concerns about the protection of children prior to transfer the receiving offender manager/ responsible officer should have made inquiries of children's social care services in their own area and the transferring area as required.</p>
D.2.2.30	<i>2.2.i.3</i>	Was the offender moving into this geographical area handled appropriately?	
		This is only assessed where the case has been transferred into the organisation being	

Question No	Criterion	Quick Indicator	Extended Guidance
		inspected.	
	2.2.j	<i>Offender records support the management of the case, and relevant information is accessible or communicated to all those involved.</i>	
D.3.2	DELIVERY AND REVIEW OF INTERVENTIONS TO REDUCE THE LIKELIHOOD OF REOFFENDING		
		<i>Interventions are delivered to address offending-related factors and reduce the likelihood of reoffending.</i>	
	3.2.a	<i>Interventions are delivered to encourage and challenge offenders to accept responsibility for their offending behaviour.</i>	
D.3.2.1	3.2.a.1	Did constructive interventions encourage and challenge the offender to take responsibility for their actions and decisions related to offending?	
		Individual supervision should take place in structured sessions that have as the focus encouraging and challenging the offender to take responsibility for their offending.	<p>This question relates to the impact of specific interventions delivered, including structured programmes and work done individually with the offender manager.</p> <p>Supervision sessions should be focused, with a clear purpose and planned outcome linked to the risk and need of the offender – does the offender go away with a level of understanding of what they have participated in and is this followed up in the next meeting? Is learning embedded in supervision?</p> <p>Look for evidence in the contact log that the offender manager introduces discussion about the index offence and preventing further offending at the earliest opportunity, setting the expectation that this is what supervision is about. There should be structure to a session for example using the CRISS model – Check in, Review, Implement, Summarise and Set tasks. This should form the pattern for most meetings.</p> <p>Other constructive interventions may or may not be intended to challenge the offender. The offender manager should discuss these with the offender and record it accordingly.</p>
D.3.2.2	3.2.a.2	Did contact between the offender manager and the offender maintain a focus on the offender changing their behaviour to reduce the likelihood of reoffending?	

Question No	Criterion	Quick Indicator	Extended Guidance
		The offender manager should deal with other issues as they arise while keeping the offender to task on the sentence plan objectives related directly to their offending.	In contrast to question D.3.2.1 this question relates to the ongoing contact between the offender and offender manager as part of the overall management of the order or licence. This contact may be used to support the offender and work with them to address a range of needs and issues relating to community integration. But it is important that the primary purpose of the order, to reduce the likelihood of reoffending, is not overlooked or sidetracked. The offender manager should deal with other issues as they arise while keeping the offender to task on the sentence plan objectives related directly to their offending.
D.3.2.5	3.2.a.3	Was the timing of the programme consistent with the sentence plan?	
		Timing is at the discretion of the offender manager. The extended guidance considers some points of good practice.	There is no target waiting time for a programme in the National Standards for the Management of Offenders 2011. In the initial sentence plan there should be an indication of when this was likely to take place. An accredited programme ought to be a priority intervention and implementation should not be allowed to drift. Cases in the inspection sample are around nine months into supervision and any programme ought to have commenced by the time the case is inspected. The judgement for the assessor to make is whether the timing of the start of a programme was reasonable if it has not yet started.
D.3.2.6	3.2.a.4	Did approved premises offer constructive interventions in line with offender need and sentence plan objectives?	
		A condition to reside in an approved premise is primarily intended as a restrictive intervention. However, it is acknowledged that this also presents an excellent opportunity for constructive work with offenders to address both their offending behaviour (as opposed to just containing it) and issues	<p>A condition to reside in an approved premise is primarily intended as a restrictive intervention. However, it is acknowledged that this also presents an excellent opportunity for constructive work with offenders to address their offending behaviour (as opposed to just containing it), and also issues likely to promote community integration. Almost all residents in approved premises are released there on licence, some after very long prison sentences, which brings the need for reintegration into sharp focus.</p> <p>An offender will typically spend three to six months as a hostel resident. The release sentence plan should feature what work is to be undertaken in the approved premises and by whom.</p> <p>Residents are often there reluctantly and it takes a special skill to get them to engage</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		likely to promote community integration. Extended guidance sets out how this should work.	<p>positively with constructive work.</p> <p>Each approved premise has its own programme to offer to residents in addition to sessions with a keyworker; to answer 'Yes' to this question the assessor should see evidence of the offender being offered the opportunity of participating in whatever relevant constructive interventions were available in the hostel.</p> <p>For instance, almost all approved premises residents have a housing need that should be addressed either by hostel staff or probation or local housing advice workers.</p> <p>Answer 'Not used' if it is apparent that resources were on offer but not taken up by this offender.</p>
	<i>3.2.b</i>	<i>Contact with the offender reinforces the impact of interventions and facilitates community integration to sustain positive outcomes.</i>	
D.3.2.10	<i>3.2.b.1</i>	Was the offender prepared thoroughly for interventions delivered throughout the order or licence?	
		A number of interventions have preparatory work as an integral part of the intervention. Extended guidance gives examples of what to look for.	<p>A number of interventions have preparatory work as an integral part of the intervention, e.g. unpaid work and some accredited programmes, and the offender may not undertake the actual intervention until this has been completed. It is good practice for offenders to be properly prepared for any specific intervention; this is likely to encourage attendance and engagement with what is on offer.</p> <p>Preparation for the next one-to-one session with the offender manager is equally important.</p> <p>The offender manager should assess the likelihood of an offender attending a resource they have referred them to, particularly when the offender does not particularly want to do it and has agreed reluctantly or half heartedly. Would the offender benefit from a three way meeting between the intervention provider, their offender manager and them? Is there any preparatory work they can do together as part of individual supervision? It is asking a great deal of someone who did not go to school and has poor literacy skills and probably low self esteem to join a basic skills class, for instance?</p>

Question No	Criterion	Quick Indicator	Extended Guidance
D.3.2.11	3.2.b.2	Did the offender manager/responsible officer routinely review with the offender the work they did in other parts of the order or licence to promote or reinforce learning?	
		<p>It is important that whilst offenders are undertaking any intervention, that the offender manager keeps up an agreed level of contact to support the offender and to reinforce the learning and skills development they are undertaking elsewhere.</p>	<p>It is important whilst offenders are undertaking any intervention that the offender manager keeps up an agreed level of contact to support the offender and to reinforce the learning and skills development they are undertaking elsewhere.</p> <p>For learning to be effective new learning and skills should be reinforced, therefore they should be monitored and discussed by the offender and offender manager. In relation to accredited programmes, offender managers have had training to understand how the programme works and what contribution they can play in supporting the offender.</p> <p>As an example, in the case of an offender who has completed a general offending behaviour programme, the offender manager could arrange for the offender to keep account of occasions where they have stopped and thought prior to acting. Further, the offender manager could provide fictitious scenarios linked to the individual's offending in order to reinforce skills taught on the programme. For example, for an offender who has always offended with others, scenarios around 'responding to persuasion' could be set and their response discussed. Sentence plans should include objectives to support reinforcement of new skills. At the end of a programme there should be a review, and further work the offender needs to undertake together with their offender manager can be clarified and agreed.</p> <p>In a less formal way offender managers can also support learning and development in education, training or employment activity and unpaid work through showing an interest while they are ongoing, and at the end of an intervention discussing what further options might be open to them.</p>
D.3.2.12	3.2.b.3	Was the offender informed of local services to support and sustain rehabilitation in relation to offending-related factors?	
		<p>Many offenders have long term problems that are associated with their recent offending that may still be a</p>	<p>This and the following question relate to services to address specific offending-related factors rather than general support to aid desistance and support compliance. Many offenders have long-term problems that are associated with their recent offending that may still be a problem when their sentence is completed. For instance, long-term alcohol</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>problem when their sentence is completed. General support to aid desistance and support compliance are covered in Question D.2.2.23.</p>	<p>or substance misuse may have reduced or stopped but services addressing relapse prevention will be required – or the offender will need the reassurance that they are available should the need arise. Other common needs include housing support and mental health problems. The extent to which these services are available in local communities varies enormously but where they are available offender managers can play a part in identifying them and either signposting the offender to them or making a referral. General support to aid desistance and support compliance are covered in Question D.3.2.1.</p>
D.3.2.13	<i>3.2.b.3</i>	Was the offender referred to such services as appropriate?	
		<p>As part of the review process the offender manager ought to be identifying long-term needs and considering with the offender how to address them both within offender management and later, in the community. They should not wait until the end of an order or licence but be able to support them in using any available service.</p>	
D.3.2.14	<i>3.2.b.4</i>	Was sufficient attention paid to helping group/gang members to leave the group and reintegrate into the wider community? Please note that this question has not been included in the current version of the case assessment tool.	
		<p>The assessor is looking for evidence that the offender manager was aware of gang activity and the level of this offender's involvement. In extreme cases, if the gang</p>	<p>In areas where there is gang activity there should be a multi agency approach to addressing it that is allied to MAPPAs. It may be that there is a specialist gang management team which will include police and probation staff.</p> <p>The assessor is looking for evidence that the offender manager was aware of gang activity and the level of this offender's involvement.</p> <p>Research suggests that individuals enter gangs, groups or new religious movements when</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		member wants to stop this activity, they and their family have to be relocated as the only safe alternative to more serious violence. At the other end of the spectrum of gang activity it might be sufficient to engage gang members with mentors, typically former gang members who can persuade and support a change of lifestyle.	these promise to meet their needs for identity, power, respect and a sense of belonging, and they leave them when they cease to serve this purpose. Exploration of the balance of push and pull factors for entering and potentially for leaving may help to mobilise and motivate change. In extreme cases, if the gang member wants to stop this activity, they and their family have to be relocated as the only safe alternative to more serious violence. At the other end of the spectrum of gang activity it might be sufficient to engage gang members with mentors, typically former gang members who can persuade and support a change of lifestyle.
	<i>3.2.c</i>	<i>Assessments of likelihood of reoffending are reviewed when required.</i>	
D.3.2.15	<i>3.2.c.1</i>	Was there a sufficient review of the likelihood of reoffending assessment when required?	
		Reviews should be recorded in an appropriate tool. Factors linked to offending and the offender's circumstances should be considered and reassessed.	Reviews should be recorded in an appropriate tool. A review is not sufficient if the existing OASys was 'pulled through' with little or no changes. To be sufficient the factors linked to offending and the offender's circumstances must be considered and reassessed. When it is appropriate to review the sentence plan it will often be the case that many of the OASys sections would be unchanged. However, those where there are no changes should be clearly marked, out of date material removed from all sections, and there should be evidence of a considered review in those sections where there have been changes.
D.4.2	DELIVERY OF INTERVENTIONS TO MINIMISE RISK OF HARM TO OTHERS		
		<i>All reasonable action is taken to minimise individuals' risk of harm.</i>	
	<i>4.2.a</i>	<i>The public is protected by the management of risk of harm and monitoring of restrictive requirements.</i>	
D.4.2.1	<i>4.2.a.1</i>	Was there an appropriate response to changes in risk of harm?	

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>As part of the risk management plan the factors linked to the risk of harm posed by the offender are monitored so that when change occurs it should be identified swiftly, information shared with others involved and acted on appropriately.</p>	<p>As part of the risk management plan the factors linked to the risk of harm posed by the offender should be monitored so that when change occurs it can be identified swiftly. To achieve this, the offender should be being seen sufficiently often and those involved with them should know what to look for, e.g. a return to substance misuse or moving into a new household where there are potentially vulnerable adults or children.</p> <p>Active management in such cases may involve a multi agency approach and intelligence sharing. The assessor is looking for evidence that the offender manager acted on information or suspicions about changes and shares information appropriately so that others can also do so.</p> <p>If there was a specific contingency plan as part of the risk management plan, this might be the time to activate it, e.g. a visit from children’s social care services to a house or immediate recall to prison, depending on the circumstances.</p> <p>A change in risk of harm is one of the factors requiring a review of the sentence plan and risk management plan.</p>
D.4.2.2	4.2.a.2	Were restrictive requirements in licences and community orders monitored fully?	
		<p>To monitor such requirements fully the offender manager should actively seek information, e.g. from the police domestic abuse unit or electronic monitoring provider that there have been no breaches of a restriction. These should be recorded in the contact log.</p>	<p>Restrictive requirements and conditions are imposed in order to manage aspects of risk of harm and include: residence, prohibited activity or contact, exclusion and electronic monitoring. They are indicated clearly on the order or licence. Whilst the offender manager does not deliver these restrictions or interventions, they do have responsibility to monitor compliance, through liaison with third parties.</p> <p>Look for evidence in the contact log that the offender manager has discussed the restrictive requirement or condition with the offender; they are encouraged to comply with the requirement, and assisted in developing strategies for so doing. For instance, working out a route to work that avoids an exclusion zone or negotiating with family in order to comply with curfew times.</p> <p>To monitor such requirements fully the offender manager should actively seek information, e.g. from the police domestic abuse unit or electronic monitoring provider that there have</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			been no breaches of a restriction. These should be recorded in the contact log.
D.4.2.3	4.2.a.3	Were approved premises used effectively as a restrictive intervention to control risk of harm?	
		The assessor should consider the reason for applying for a period of residence – what aspects of risk of harm were to be addressed by living in the hostel? Did the approved premises achieve what was intended?	<p>Approved premises for men will normally accommodate only those assessed as posing a high or very high risk of harm, so residents are likely to have been convicted of either sexual or violent offences. Approved premises for women may also take medium risk of harm cases where there is less emphasis in some cases on restriction.</p> <p>The assessor should consider the reason for applying for a period of residence -what aspects of risk of harm were to be addressed by living in the hostel? Did the approved premises achieve what was intended?</p> <p>For instance, the standard curfew period in approved premises is from 11pm to 7am. This is often increased in cases of newly released prisoners convicted of sexual offences against children, particularly in the case of predatory sex offenders who can be kept indoors during the periods when children travel to and from school. Approved premises staff in conjunction with the offender manager decide whether an offender can visit their home, a member of family or partner, etc. Although not a prison, residence in an approved premises can be very restrictive indeed, often directed by MAPPA as a proportionate response to the risk of harm posed to the public.</p>
D.4.2.4	4.2.a.4	Was an initial and purposeful home visit carried out because the case was high or very high risk of serious harm, or to support the protection of children, or for some other necessary reason?	
		HMI Probation expects that a home visit will be undertaken in high and very high risk of harm cases, in child protection cases and in some other cases where a home visit would contribute to the assessment or management of risk of harm.	There is no requirement of offender managers to undertake home visits in the National Standards for the Management of Offenders 2011 although in relation to high and very high risk of harm cases it does state: 'home visits can provide important information about whether re-offending risks are under control or are escalating'. The NOMS Service Specification for the management of community orders and suspended sentence orders goes slightly further, expecting a home visit to high and very high risk of harm cases at the assessment and planning stage. There is also an assumption that in some Tier 3 and 4 cases there will be home visits at both assessment and review stages.

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>This question relates to protection and safeguarding to prevent harm that might be caused by behaviour related to the offending (such as drug use or domestic violence). It does not relate to issues of general child welfare.</p> <p>HMI Probation takes the view that a home visit is good practice at some stage in most cases, particularly early on during a licence or order, or when management of the case is transferred into the organisation following a change of address. So much more can be learned about an offender by visiting where they live and meeting family or partners so understanding more about their environment and community. There should be a home visit in child protection cases. In cases managed within multi-agency arrangements, who will undertake the home visit and when this might be will be part of an agreed action plan.</p> <p>In determining which other cases might require a home visit the assessor should consider: is there evidence that this is a case where a home visit could contribute to an assessment or plan to manage risk of harm? What would the purpose be?</p>
D.4.2.5	4.2.a.5	Were home visits repeated or carried out later in the order or licence as part of a risk management regime, or to support the protection of children, or for some other necessary reason?	
		This question relates to protection and safeguarding to prevent harm that might be caused by behaviour related to the offending such as drug use or domestic violence. It does not relate to issues of general child welfare.	This question relates to protection and safeguarding to prevent harm that might be caused by behaviour related to the offending such as drug use or domestic violence. It does not relate to issues of general child welfare. In those cases where the offender lives with a child/children and there are potential child safeguarding issues (including those were there is only a 'gut feeling') if possible home visits should take place when the child is at home and the offender manager/ responsible officer should ensure that they meet the child.
	4.2.b		<i>Breach and recall are used in response to an increase in the offender's risk of harm.</i>
D.4.2.6	4.2.b.1	Were enforcement proceedings or recall used appropriately, if required, specifically in response to an increase in the offender's risk of harm?	

Question No	Criterion	Quick Indicator	Extended Guidance
		<p>This question applies to cases that the assessor considers ought to have been subject to expedited breach proceedings or immediate recall to prison as a necessary measure to contain the risk of harm. Extended guidance explains what to look for.</p>	<p>Enforcement here means the instigation of legal proceedings. Work to encourage compliance in general is assessed in D.2.2.5 and specifically in response to breach in E.2.3.4. This question applies to cases that the assessor considers ought to have been subject to expedited breach proceedings or immediate recall to prison as a necessary measure to contain the risk of harm. These are cases where the risk of harm has increased and the assessment is that the offender can no longer be managed safely in the community (acknowledging that following breach of an order the offender may remain in the community). It is not necessary for them to have reoffended although that may be the case.</p> <p>If the offender fails to comply with their order and poses a risk of harm to a child or children or to their main carer, immediate breach or recall action should be taken. Breach action should then be expedited by immediate warrant application with the court. The increased risk to the child/ children should be notified to the police.</p> <p>If the use of such procedures was required in the assessors view but not made, check the box accordingly. If breach or recall was instigated, consider each of the statements in the question. If any of these apply in this case the assessor should answer that use was made but it was not sufficient.</p> <p>To be effective such proceedings should be instigated as soon as the information comes to light and there is discussion with a manager who agrees that immediate breach or recall are appropriate.</p>
D.4.2.7.A	4.2.b.2	Was sufficient effort made to re-engage the offender with their sentence plan, and encourage their commitment to continued engagement?	
		<p>This is about the quality of offender engagement following recall to prison or breach proceedings as in most cases there will be an ongoing licence to manage.</p>	<p>This is about the quality of offender engagement following recall to prison or breach proceedings as in most cases there will be an ongoing licence to manage.</p> <p>It is expected that the offender will be given a clear explanation for breach or recall. Whilst in custody there should be efforts made to engage them about the reasons for recall (directly or via an offender supervisor) and to encourage them to recommit themselves to their supervision plan.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
	<i>4.2.c</i>	<i>Multi-agency structures for protecting and safeguarding the public are used where required.</i>	
D.4.2.8	<i>4.2.c.1</i>	Were MAPPA operated effectively?	
		In order to be able to answer this question the assessor will need to read either MAPP meeting minutes or a record of decisions taken and an action plan on the case record. Extended guidance outlines what to expect.	<p>This question applies to MAPPA cases managed at Levels 2 and 3. In order to be able to answer this question the assessor will need to read either MAPP meeting minutes or a record of decisions taken and an action plan on the case record. In relation to whether probation staff contributed effectively to MAPPA the assessor should consider whether local procedures were followed in terms of referral, whether the information and assessments supplied by them were of sufficient quality and whether they subsequently did what was required of them under the action plan.</p> <p>The offender manager should have a paper or electronic copy of the meeting minutes or have at least seen them if local practice is for them to be stored centrally. Assessors should be able to read the minutes. The offender manager should be clear about what actions were agreed at a meeting and about who should carry them out, with a timescale.</p> <p>A MAPP meeting is a case review and changes to plans should be incorporated in a reviewed risk management plan and corresponding sentence plan.</p> <p>All those involved in a case should be informed of the outcome of a MAPP meeting, including the offender – as determined by the meeting.</p>
D.4.2.9	<i>4.2.c.2</i>	Were multi-agency child protection procedures used effectively?	
		This question applies to cases where child protection is being managed via formal child safeguarding procedures. In order to be able to answer this question the assessor will need to read either child safeguarding meeting minutes or a record	<p>This question applies to cases with a child protection element where it is this offender who poses a risk of harm to a child or children or is so significantly involved with the person or persons who do pose a risk of harm that they are involved in multi agency child safeguarding procedures that the offender manager contributes to. If the offender does not meet this criterion answer 'Not required'.</p> <p>In order to be able to answer this question the assessor will need to read either child safeguarding meeting minutes or a record of decisions taken and an action plan on the case record. In relation to whether probation staff contributed effectively to child</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		of decisions taken and an action plan on the case record. Extended guidance outlines what to expect.	safeguarding procedures the assessor should consider whether local procedures were followed in terms of referral, whether the information and assessments supplied by them were of sufficient quality, whether any contribution recorded at a meeting was accurate and whether they subsequently did what was required of them under the action plan.
D.4.2.10	<i>4.2.c.3</i>	Was ViSOR used effectively?	
		In relevant MAPPA cases there should be evidence on file of the offender manager periodically contributing to and accessing information on ViSOR which is taken into account in planning.	In relevant MAPPA cases there should be evidence on file of the offender manager periodically contributing to and accessing information on ViSOR which is taken into account in planning. See Question B.4.1.14 for an explanation of how ViSOR should be used.
	<i>4.2.d</i>	<i>The safety of victims is given a high priority.</i>	
D.4.2.11	<i>4.2.d.1</i>	Was appropriate priority accorded to the safety of current and potential victims by the offender manager/ responsible officer and other workers?	
		This question applies to cases where there is a known victim of a previous offence, typically, but not exclusively of violent or sexual assault, or there is evidence to suggest in the risk of harm analysis that other named people or people sharing characteristics of previous victims could be at risk of harm. The extended guidance	This question applies to cases where there is a known victim of a previous offence, typically, but not exclusively of violent or sexual assault, or there is evidence to suggest in the risk of harm analysis that other named people or people sharing characteristics of previous victims could be at risk of harm. These are very often domestic abuse or child protection cases. The question is not restricted to statutory victim contact cases. To answer 'Yes' to this case the assessor should find evidence that there is active assessment and management in the case that gives priority to victims' safety over the offender's needs. Evidence could include: <ul style="list-style-type: none"> ensuring the offender's place of residence does not increase the victim's vulnerability taking timely action following the receipt of information which may indicate a heightened risk of harm to a previous victim or a potential future victim

Question No	Criterion	Quick Indicator	Extended Guidance
		gives examples of what to look for.	<ul style="list-style-type: none"> • undertaking appropriate liaison with police or children’s social care services • in some cases ensuring employment agencies or employers are aware of relevant convictions • using MAPPA appropriately • use of ViSOR to access and share information • challenging offender stereotypes of potential victims. • minimising potential for victim contact through appropriate consideration of unpaid work placements, reporting times, programme allocation, etc. <p>Most of the restrictive requirements and conditions available in orders and licences are intended to protect known and potential victims. These are listed in Question 12 of the case details. Whilst it is normal for these to be added to orders on sentence and licences at release, it is possible in exceptional circumstances to go back to the court or prison governor to have them varied. Consider whether all of the possible restrictive conditions were in place in this case?</p>
	<i>4.2.e</i>	<i>Risk management plans are implemented and assessments of risk of harm and risk management plans are reviewed when required.</i>	
D.4.2.13	<i>4.2.e.1</i>	Was there evidence that the actions set out in the risk management plan were carried out as required?	
		This question is about carrying out what was planned. If this was done, even where the plan was imperfect and items omitted, it should be answered ‘Yes’. The quality of the plan itself has already been assessed in Section 4.1.	

Question No	Criterion	Quick Indicator	Extended Guidance
D.4.2.14	4.2.e.2	Was there a sufficient review of the risk of harm assessment?	
		<p>To be sufficient the review should be timely in relation to the last plan or review or to a significant change. Information should be sought to inform the review from all relevant others having contact with the offender.</p>	<p>To be sufficient the review should be timely in relation to the last plan or review or to a significant change. Information should be sought to inform the review from all relevant others having contact with the offender, e.g. have checks been made with children’s social care services or the new MASH for information about other services working with children, the police domestic violence unit and information drawn on in the analysis? Dynamic reviews should take place to address changes in circumstances, and actions agreed and recorded by the offender manager/ responsible officer, particularly where there are issues of protecting the child.</p> <p>As in the initial risk of harm assessment, it is the <u>analysis</u> that leads to the judgement about the level and type of risk of harm posed to the public, and it is not sufficient that this should have been done in the offender manager or supervisor’s head. How they reached their conclusion about the level of risk of harm posed should be clear and based on the evidence in this section. If there is no evidence of analysis then the assessor should check the box which indicates that there was insufficient analysis of risk of harm.</p>
D.4.2.15	4.2.e.3	Was there a sufficient review of the risk management plan?	
		<p>This question applies to medium, high and very high risk of harm cases. It is unlikely that there would be an acceptable reason for not reviewing a risk management plan during lifetime of cases in the inspection sample. Check ‘not required’ if there is an acceptable reason or ‘not completed’ if in your view there ought to have</p>	<p>Cases in the inspection sample have normally run for around nine months. This question applies to medium, high and very high risk of harm cases. It is unlikely that there would be an acceptable reason for not reviewing a risk management plan during that time. Check ‘not required’ if there is an acceptable reason or ‘not completed’ if in your view there ought to have been a review but it has not been completed. For other cases consider the statements below and check that the review was not sufficient if any apply in this case. Your assessment of the timeliness of a review should be consistent with that in Question 4.2.11.</p> <p>To be sufficient the review should be timely in relation to the last plan or review or to a significant change. The plan should have been reviewed and updated in the event of any of the contingencies set out in the initial or previous plan taking place.</p> <p>The new plan should reflect the current assessment of risk of harm anticipating potential</p>

Question No	Criterion	Quick Indicator	Extended Guidance
		been a review but it has not been completed. Extended guidance gives examples of what to look for.	changes in risk of harm and a practical contingency plan to address them. Details of what to look for in contingency planning are covered in Question B.4.1.11.
	4.2.f	<i>There is structured and effective management involvement where required in risk of harm and child safeguarding cases.</i>	
D.4.2.16	4.2.f	Was there structured management involvement because the case was high/very high RoSH or there were concerns about protecting children?	
		<p>These questions apply to high and very high risk of harm cases and to child protection cases.</p> <p>In appropriate cases managers are actively involved in monitoring progress and countersigning assessments and plans.</p>	<p>These questions apply to high and very high risk of harm cases and to child protection cases.</p> <p>OASys in high and very high risk of harm cases requires countersigning by a manager or some other person designated as competent to do so. They should countersign the risk of harm section only if the risk of harm analysis and risk management plan that are accurate and of sufficient quality and the risk of serious harm classification is correct.</p> <p>There should be evidence in the contact log of discussion, probably in supervision about monitoring progress in this case with agreements reached noted. This relates to protection and safeguarding to prevent harm that might be caused by behaviour related to the offending (such as drug use or domestic violence. It does not relate to issues of general child welfare. (Evidence for this oversight could be found elsewhere, e.g. supervision notes) Consider whether advice or opinion given is sufficient.</p> <p>Where both of these sources of evidence are positive then check that management involvement was effective.</p> <p>The same approach should be adopted to the question in child protection cases. Whilst there is no systematic requirement for a manager to countersign work in child protection cases unless they are also assessed as posing a high or very high risk of harm, HMI Probation expects that there will be active involvement by a manager in many such cases.</p> <p>There are exceptions where the assessor can check that there were no significant issues. These include cases the offender has no current contact with children.</p>

Question No	Criterion	Quick Indicator	Extended Guidance
View 3		Section E OUTCOMES	
E.2.3	INITIAL OUTCOMES ARE ACHIEVED		
		<i>The sentence is delivered and sentence plan objectives achieved.</i>	
	<i>2.3.a</i>	<i>The sentence is delivered as intended by the court, including any punitive requirements. Offender compliance is promoted. Where appropriate the sentence is enforced.</i>	
E.2.3.2	<i>2.3.a.2</i>	Were the reporting instructions given (appointments arranged) sufficient for the purpose of carrying out the sentence of the court?	
		<p>This question asks whether the level of contact was sufficient to carry out the basic sentence passed by the court. The benchmark is lower than for Question D.2.2.8.</p> <p>If you answered 'Yes' to D.2.2.8 you should answer 'Yes' here also. The extended guidance gives further information.</p>	<p>In question D.2.2.8 you assessed whether the level of contact arranged with the offender was sufficient to deliver the sentence, reduce the likelihood of reoffending, manage any risk of harm to others, and achieve sentence plan objectives. The question here at E.2.3.2 asks simply whether the level of contact was sufficient to carry out the basic sentence passed by the court.</p> <p>To answer 'Yes' here, the legal requirements of the order or licence must have been implemented insofar as appointments were offered, and arrangements were in place to deliver specific interventions where they had not yet started.</p> <p>However this benchmark could have been met, even where the level of contact arranged was not sufficient to ensure the achievement of all sentence plan objectives.</p> <p>If you answered 'Yes' to D.2.2.8 you should answer 'Yes' here also. However, it is possible to have answered 'No' to D.2.2.8, but for the level of contact arranged to have still met the basic requirements of the sentence, and to answer 'Yes' here.</p> <p>You should answer 'No' to this question if there were extended periods where no contact was arranged (or enforcement pursued) and no contact took place. Also answer 'No' if no attempt was made to implement legal requirements in the order or conditions in the</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			licence, where these required active contact with the offender.
E.2.3.4	2.3.a.3	Was action taken to promote compliance (including any punitive requirements)?	
		Where there was more than one instance answer for the most negative, i.e. the first applicable option working down the answer list.	<p>In this question 'action to promote compliance' may include 'negative' action – e.g. warning letters or 'positive' action designed to promote compliance for example, home visits, compliance groups, motivational interviewing techniques. If there was a need to take action to avoid the need for breach or recall but this was not done, answer 'No – and there should have been' to this question.</p> <p>Where there was more than one instance answer for the most negative, i.e. the first applicable option working down the answer list.</p> <p>Mark 'Yes – but was not successful' if compliance improved but engagement in constructive work was reduced.</p>
E.2.3.5	2.3.a.4	Was breach or recall used on all occasions when required?	
		The offender manager exercises professional judgement to determine whether a reason provided for non compliance constitutes a 'reasonable excuse', taking into account issues outlined in the extended guidance.	<p>The rule in the 2011 National Standards for the Management of Offenders requiring enforcement action in the event of unacceptable absences remains as it did in the 2007 version, but the offender manager now has the discretion to determine whether an absence is acceptable or not. The Standard states:</p> <p>'The offender manager exercises professional judgement to determine whether a reason provided for non compliance constitutes a 'reasonable excuse', taking into account:</p> <ul style="list-style-type: none"> • the nature of the failure, • the circumstances of the non compliance • the pattern of compliance to date • the circumstances of the offender.' <p>The offender manager is required to record the details of any explanation for an absence and to explain their decision about the reasonableness of any excuse.</p> <p>The assessor should consider whether the decision to judge a reason for absence</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			acceptable was appropriate in this case given the level of risk of harm (for instance, was there contradictory evidence that an absence an indicator of a breakdown of self control?). Was it appropriate in terms of the offenders reoffending?
	<i>2.3.b</i>	<i>There is no further offending during the period of supervision. Where appropriate early revocation is applied for.</i>	
E.2.3.7	<i>2.3.b.2</i>	Was the order terminated early for good progress?	
		This question applies to community orders only. Where appropriate the offender manager may apply to a court to revoke an order early for good progress. The extended guidance defines when this is appropriate.	<p>This question applies to community orders only.</p> <p>Where appropriate the offender manager may apply to a court to revoke an order early for good progress. This should take place in cases where there is evidence:</p> <ul style="list-style-type: none"> • the offender having demonstrated sustained compliance with the order • all of the specific requirements of the order have been completed • the needs associated with the likelihood of offending have been met • the offender is assessed as presenting a low risk of harm, and • the likelihood of offending is assessed as having stabilised or reduced. <p>Consider each of the statements and check the one that applies in this case according to the criteria above.</p>
	<i>2.3.c</i>	<i>Sentence plan objectives are achieved as intended.</i>	
E.3.3	LIKELIHOOD OF REOFFENDING IS REDUCED		
		<i>There is evidence of a reduction in the likelihood of reoffending and/or the achievement of other outcomes known to be associated with the reduction of likelihood of reoffending.</i>	
	<i>3.3.a</i>	<i>Interventions and services are available and delivered. There is improvement in factors associated with the likelihood of reoffending.</i>	

Question No	Criterion	Quick Indicator	Extended Guidance
E.3.3.1	<i>3.3.a.1</i>	Was there a sufficient record of the degree of progress or change made by the offender?	
		This question is about the quality of recording. The degree of progress itself is assessed in questions E.3.3.4 & E.3.3.5.	
E.3.3.2	<i>3.3.a.2</i>	Factors linked to offending:	
		Discriminatory attitudes	
		Discriminatory attitudes refers here to negative attitudes such as sexism, racism or homophobia that have directly contributed to the offence and/or made the offender more likely to reoffend.	
E.3.3.3	<i>3.3.a.3</i>	Factors linked to offending:	
		Discriminatory attitudes	
		Discriminatory attitudes refers here to negative attitudes such as sexism, racism or homophobia that have directly contributed to the offence and/or made the offender more likely to	

Question No	Criterion	Quick Indicator	Extended Guidance
		reoffend.	
E.3.3.4	<i>3.3.a.4</i>	Factors linked to offending:	
		Discriminatory attitudes	
		Discriminatory attitudes refers here to negative attitudes such as sexism, racism or homophobia that have directly contributed to the offence and/or made the offender more likely to reoffend.	Discriminatory attitudes refers here to negative attitudes such as sexism, racism or homophobia that have directly contributed to the offence and/or made the offender more likely to reoffend.
	<i>3.3.b</i>	<i>Interventions and resources are used to reduce factors associated with the likelihood of reoffending.</i>	
E.3.3.6	<i>3.3.b.1</i>	Have resources been used efficiently to achieve the planned outcomes in the case?	
		Extended guidance sets out what to look for.	<p>In Question D.2.2.11 we considered what to look for to establish that an appropriate level of resources was being allocated to work with this offender. To answer that resources have been used efficiently the assessor should have evidence that the following applied in this case:</p> <p>Was an appropriate level of contact was maintained? Was the offender managed by someone who was suitably trained in this case?</p> <p>In addition, consider what resources should or could have been used to address the likelihood of reoffending or the risk of harm. Consider both resources that were included in the sentence plan and those that were not but ought to have been. For example, alcohol misuse may be a clear factor linked to offending that was overlooked at sentence planning stage so no work was done either by the offender manager or another worker to address this.</p> <p>Consider the potential barriers to engagement identified in Question C.2.1.6 and what was</p>

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>planned to address these. Were they delivered?</p> <p>Were any aspects of offender management delivered unnecessarily or at too high a level for an offender with these offence-related needs and posing this level of harm to the public?</p>
	<i>3.3.c</i>	<i>Improved community integration sustains positive outcomes.</i>	
E.3.3.8	<i>3.3.c.1</i>	Where relevant was there evidence of improved integration in the community, or improved family relationships?	
		<p>In relevant cases did the offender manager assist the offender to overcome barriers to leading a settled life within their community and/or family?</p>	<p>In relevant cases did the offender manager assist the offender to overcome barriers to leading a settled life within their community and/or family? Or did the offender achieve this on their own?</p> <p>The assessor should look for evidence that the offender manager considered with the offender what their family and community ties meant to them. This could include religion, employers, sport and any other community based organisation.</p> <p>Did they engage them further with any positive influences they were already in touch with, e.g. family members with positive influence? Did they make any new links or start a new job or class?</p>
E.4.3	RISK OF HARM TO OTHERS IS MINIMISED		
		<i>All reasonable action is taken to minimise the individual's risk of harm to others.</i>	
	<i>4.3.a</i>	<i>All reasonable action is taken to minimise risk of harm</i>	
E.4.3.1	<i>4.3.a.1</i>	Had all reasonable action been taken to keep to a minimum the offender's risk of harm to others?	
		<p>Detailed consideration of all aspects of managing the risk of harm in this case guides the answer in the case. Should something else have</p>	<p>Detailed consideration of all aspects of managing the risk of harm in this case guides the answer in the case. Should something else have been done?</p> <p>To answer this question consideration will need to be given to whether:</p> <ul style="list-style-type: none"> changes in risk of harm were anticipated, identified and acted upon appropriately

Question No	Criterion	Quick Indicator	Extended Guidance
		been done? Extended guidance sets out some of the key points to consider.	<ul style="list-style-type: none"> • MAPPA were used appropriately and effectively • child safeguarding procedures were used appropriately and effectively • appropriate use was made of restrictive conditions or requirements • compliance with restrictive interventions has been monitored, for example, curfews or exclusions • the frequency of reporting has been appropriate to the level of risk of harm • home visits have been undertaken appropriately and when necessary to manage the risk of harm • there has been active liaison with others involved in the management of risk of harm – not for instance assuming that the absence of news is positive if nothing has been heard from an electronic curfew monitoring agency • there has been active liaison with victim liaison staff in relevant cases • victim safety has been prioritised • there has been effective management oversight of issues relating to high and very high risk of harm and child protection cases • relevant information has been sought from the police and other agencies and, where appropriate, ViSOR has been referred to and updated • if the offender was in approved premises the regime was being used effectively. <p>Plus any other factors relevant in this case.</p>
	<i>4.3.b</i>	<i>Multi-agency work contributes effectively to the management of risk of harm.</i>	
E.4.3.2	<i>4.3.b.1</i>	Was there evidence that ALL inter-agency checks had been made by the offender manager/ responsible officer to ascertain if there had been any reports or concerns regarding the offender or their address?	
		Extended guidance sets out what to look for.	Checks should have been carried out to determine whether any children with whom the offender has regular contact are known to children’s social case services. If they are

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>known, the extent of any children’s social care service involvement should be recorded. Procedures should be in place to for such screening checks take place at the start of all periods of supervision. The offender manager/ responsible officer should ensure that screening checks have taken place, and that a response has been received. Where no response was received this should have been escalated through management, MAPPA, MARAC or LSCB as appropriate.</p> <p>In cases where there is a known risk of domestic violence, regular checks should be made with the police to ascertain if there have been callouts, reports or other intelligence related to the offender.</p>
E.4.3.3	4.3.b.2	Was appropriate action taken by the offender manager in the light of this information?	
		Extended guidance sets out what to look for.	<p>In domestic violence cases where positive information has been received from the police the offender manager/ responsible officer should check that other agencies have been informed appropriate.</p> <p>Where a risk of harm is identified to either a child or their main carer, a timely referral should be made to children’s social care services, inline with local procedures and protocols. Referrals should be monitored and followed up to ensure an appropriate response is received. Alternatively, if the case is already known to be subject to current inquiries or children’s social care service procedures, the new information should be shared as required.</p> <p>In the light of information received the case should be reviewed by the offender manager/ responsible officer as necessary, using any relevant tools (e.g. SARA and RM2000). The risk management plan and sentence plan should be updated if required.</p> <p>Where relevant, consideration should have been given to contacting other agencies including housing providers, the job centre and possibly schools.</p>
E.4.3.3.U	4.3.b.2	Was the referrals monitored and followed up to ensure an appropriate response?	
		Extended guidance sets out what to look for.	The offender manager/ responsible officer should check that an appropriate response has been received to any referral or exchange of information. Where no response was

Question No	Criterion	Quick Indicator	Extended Guidance
			received this should have been escalated through management, MAPPA, MARAC or LSCB as appropriate.
	4.3.c	<i>The safety of victims and children is promoted.</i>	
E.4.3.6	4.3.c.1	Where there was an identifiable victim or an identifiable potential victim, was there evidence that the risk of harm to them had been managed effectively?	
		Consider whether there has been active assessment and management in the case to give priority to victims' safety. The extended guidance gives examples of evidence to look for.	<p>To answer this question consider whether there has been active assessment and management in the case to give priority to victim safety. Evidence could include:</p> <ul style="list-style-type: none"> • ensuring the offender's place of residence does not increase the victim's vulnerability • taking timely action following the receipt of information which may indicate a heightened risk of harm to a previous victim or a potential future victim • undertaking appropriate liaison with police or children's social care services • in some cases ensuring employment agencies or employers are aware of relevant convictions • using MAPPA appropriately • use of VISOR to access and share information • challenging offender stereotypes of potential victims • minimising potential for victim contact through appropriate consideration of unpaid work placements, reporting times, programme allocation, etc. <p>Most of the restrictive requirements and conditions available in orders and licences are intended to protect known and potential victims. These are listed in Question 12 of the case details. Whilst it is normal for these to be added to orders on sentence and licences at release, it is possible in exceptional circumstances to go back to the court or prison governor to have them varied. Consider, were all of the possible restrictive conditions in place in this case?</p>

Question No	Criterion	Quick Indicator	Extended Guidance
E.4.3.7	4.3.c.2	Where necessary was the safety of children promoted?	
		Extended guidance sets out what to look for.	To answer this question consider overall whether the offender manager/ responsible officer and others contributed to protecting the children by making all necessary enquiries, following up concerns, conducting home visits, sharing information and through contributing effectively to any child protection procedures.
View 4		Section F Victims & Restorative Justice Section G LEADERSHIP & MANAGEMENT	
F.5.5	VICTIM CONTACT & RESTORATIVE JUSTICE		
		<i>Victims' safety is given a high priority, and restorative justice interventions delivered for the benefit of victims.</i>	
	5.5.a	<i>Victims' safety is given a high priority (also 4.2.d). Statutory victim contact work is undertaken where required.</i>	
F.5.5.1	5.5.a.1	Where statutory victim contact is required:	
		The extended guidance defines statutory victim liaison cases.	<p>Under the Criminal Justice and Court Services Act 2000 all victims or their families, in cases where there is a custodial sentence of 12 months or more for a sexual or violent offence, must be offered contact. The range of offences which are regarded as 'relevant' is lengthy and falls into three categories:</p> <ul style="list-style-type: none"> • a sexual or violent offence within the meaning of the Powers of Criminal Courts (Sentencing) Act 2000, for example, murder, wounding, Section 47 assault, assault on police, causing death by dangerous or careless driving, arson offences, etc. In this Act 'a violent offence' means: 'an offence which leads, or is intended or likely to lead, to a person's death or to physical injury to a person, and includes an offence which is required to be charged as arson' • an offence in respect of which an offender is subject to the notification requirements

Question No	Criterion	Quick Indicator	Extended Guidance
			<p>of Part 2 of the Sexual Offences Act 2003 for example, indecent assault, rape, unlawful sexual intercourse, etc</p> <ul style="list-style-type: none"> an offence against a child as set out in Part 2 of the Criminal Justice and Court Services Act 2000, for example, offences not already in the above categories (when committed against a child) such as cruelty to a child, supplying Class A drugs to a child, etc. <p>The victim file should be kept separately from the offender file but should be available for the inspection.</p>
	<i>5.5.b</i>	<i>Restorative justice interventions provide satisfactory outcomes for victims</i>	
F.5.5.5	<i>5.5.b.2</i>	Is there evidence that the offender was enabled to take part in restorative processes?	
		Note: Restorative Justice here would NOT include unpaid work unless there was some activity specific to the offender and their offence that was restorative	<p>An example of such an activity could be acting as mentor to other offenders in restorative justice processes.</p> <p>Note: Restorative Justice here would NOT include unpaid work unless there was some activity specific to the offender and their offence that was restorative (e.g. work to repair damage to a community garden that the offender had vandalised, where there was personal contact between the offender and a representative of the garden as part of the work)</p>
END			

IAOW Case Assessment Guide – Appendix 1

List of specified offences

Offences specified in Schedule 15 to the Criminal Justice Act 2003

PART 1 SPECIFIED VIOLENT OFFENCES

1	Manslaughter
2	Kidnapping
3	False imprisonment
4	An offence under section 4 of the Offences against the Person Act 1861 (c.100) (soliciting murder)
5	An offence under section 16 of that Act (threats to kill)
6	An offence under section 18 of that Act (wounding with intent to cause grievous bodily harm)
7	An offence under section 20 of that Act (malicious wounding)
8	An offence under section 21 of that Act (attempting to choke, suffocate or strangle in order to commit or assist in committing an indictable offence)
9	An offence under section 22 of that Act (using chloroform etc. to commit or assist in the committing of any indictable offence)
10	An offence under section 23 of that Act (maliciously administering poison etc. so as to endanger life or inflict grievous bodily harm)
11	An offence under section 27 of that Act (abandoning children)
12	An offence under section 28 of that Act (causing bodily injury by explosives)
13	An offence under section 29 of that Act (using explosives etc. with intent to do grievous bodily harm)
14	An offence under section 30 of that Act (placing explosives with intent to do bodily injury)
15	An offence under section 31 of that Act (setting spring guns etc. with intent to do grievous bodily harm)
16	An offence under section 32 of that Act (endangering the safety of railway passengers)
17	An offence under section 35 of that Act (injuring persons by furious driving)
18	An offence under section 37 of that Act (assaulting officer preserving wreck)
19	An offence under section 38 of that Act (assault with intent to resist arrest)
20	An offence under section 47 of that Act (assault occasioning actual bodily harm)
21	An offence under section 2 of the Explosive Substances Act 1883 (c.3) (causing explosion likely to endanger life or property)
22	An offence under section 3 of that Act (attempt to cause explosion, or making or keeping explosive with intent to endanger life or property)
23	An offence under section 1 of the Infant Life (Preservation) Act 1929 (c.34) (child destruction)
24	An offence under section 1 of the Children and Young Persons Act 1933 (c.12) (cruelty to children)

25	An offence under section 1 of the Infanticide Act 1938 (c.36) (infanticide)
26	An offence under section 16 of the Firearms Act 1968 (c.27) (possession of firearm with intent to endanger life)
27	An offence under section 16A of that Act (possession of firearm with intent to cause fear of violence)
28	An offence under section 17(1) of that Act (use of firearm to resist arrest)
29	An offence under section 17(2) of that Act (possession of firearm at time of committing or being arrested for offence specified in Schedule 1 to that Act)
30	An offence under section 18 of that Act (carrying a firearm with criminal intent)
31	An offence under section 8 of the Theft Act 1968 (c.60) (robbery or assault with intent to rob)
32	An offence under section 9 of that Act of burglary with intent to— (a) inflict grievous bodily harm on a person, or (b) do unlawful damage to a building or anything in it
33	An offence under section 10 of that Act (aggravated burglary).
34	An offence under section 12A of that Act (aggravated vehicle-taking) involving an accident which caused the death of any person
35	An offence of arson under section 1 of the Criminal Damage Act 1971 (c.48)
36	An offence under section 1(2) of that Act (destroying or damaging property) other than an offence of arson
37	An offence under section 1 of the Taking of Hostages Act 1982 (c.28) (hostage-taking)
38	An offence under section 1 of the Aviation Security Act 1982 (c.36) (hijacking)
39	An offence under section 2 of that Act (destroying, damaging or endangering safety of aircraft)
40	An offence under section 3 of that Act (other acts endangering or likely to endanger safety of aircraft)
41	An offence under section 4 of that Act (offences in relation to certain dangerous articles)
42	An offence under section 127 of the Mental Health Act 1983 (c.20) (ill-treatment of patients)
43	An offence under section 1 of the Prohibition of Female Circumcision Act 1985 (c.38) (prohibition of female circumcision)
44	An offence under section 1 of the Public Order Act 1986 (c.64) (riot)
45	An offence under section 2 of that Act (violent disorder)
46	An offence under section 3 of that Act (affray)
47	An offence under section 134 of the Criminal Justice Act 1988 (c.33) (torture)
48	An offence under section 1 of the Road Traffic Act 1988 (c.52) (causing death by dangerous driving)
49	An offence under section 3A of that Act (causing death by careless driving when under influence of drink or drugs)
50	An offence under section 1 of the Aviation and Maritime Security Act 1990 (c.31) (endangering safety at aerodromes)

51	An offence under section 9 of that Act (hijacking of ships)
52	An offence under section 10 of that Act (seizing or exercising control of fixed platforms)
53	An offence under section 11 of that Act (destroying fixed platforms or endangering their safety)
54	An offence under section 12 of that Act (other acts of endangering or likely to endanger safe navigation)
55	An offence under section 13 of that Act (offences involving threats)
56	An offence under Part II of the Channel Tunnel (Security) Order 1994 (S.I. 1994/570) (offences relating to Channel Tunnel trains and the tunnel system)
57	An offence under section 4 of the Protection from Harassment Act 1997 (c.40) (putting people in fear of violence)
58	An offence under section 29 of the Crime and Disorder Act 1998 (c.37) (racially or religiously aggravated offences under section 4 or 4A of the Public Order Act 1986 (c.64))
59A	An offence under section 54 of the Terrorism Act 2000 (weapons training)
59B	An offence under section 56 of that Act (directing terrorist organisation)
59C	An offence under section 57 of that Act (possession of article for terrorist purposes)
59D	An offence under section 59 of that Act (inciting terrorism overseas)
60	An offence under section 51 or 52 of the International Criminal Court Act 2001 (c.17) (genocide, crimes against humanity, war crimes and related offences), other than one involving murder
60A	An offence under section 47 of the Anti-terrorism, Crime and Security Act 2001 (use etc of nuclear weapons)
60B	An offence under section 50 of that Act (assisting or inducing certain weapons-related acts overseas)
60C	An offence under section 113 of that Act (use of noxious substance or thing to cause harm or intimidate)
61	An offence under section 1 of the Female Genital Mutilation Act 2003 (c.31) (female genital mutilation)
62	An offence under section 2 of that Act (assisting a girl to mutilate her own genitalia)
63	An offence under section 3 of that Act (assisting a non-UK person to mutilate overseas a girl's genitalia)
63A	An offence under section 5 of the Domestic Violence, Crime and Victims Act 2004 (causing or allowing the death of a child or vulnerable adult)
63B	An offence under section 5 of the Terrorism Act 2006 (preparation of terrorist acts)
63C	An offence under section 6 of that Act (training for terrorism)
63D	An offence under section 9 of that Act (making or possession of radioactive device or material)
63E	An offence under section 10 of that Act (use of radioactive device or material for terrorist purposes etc)
63F	An offence under section 11 of that Act (terrorist threats relating to radioactive devices etc)
64	An offence of— (a) aiding, abetting, counselling, procuring or inciting the commission of an offence

	specified in this Part of this Schedule, (b) conspiring to commit an offence so specified, or (c) attempting to commit an offence so specified
65	An attempt to commit murder or a conspiracy to commit murder

PART 2
SPECIFIED SEXUAL OFFENCES

66	An offence under section 1 of the Sexual Offences Act 1956 (c.69) (rape)
67	An offence under section 2 of that Act (procurement of woman by threats)
68	An offence under section 3 of that Act (procurement of woman by false pretences)
69	An offence under section 4 of that Act (administering drugs to obtain or facilitate intercourse)
70	An offence under section 5 of that Act (intercourse with girl under 13)
71	An offence under section 6 of that Act (intercourse with girl under 16)
72	An offence under section 7 of that Act (intercourse with a defective)
73	An offence under section 9 of that Act (procurement of a defective)
74	An offence under section 10 of that Act (incest by a man)
75	An offence under section 11 of that Act (incest by a woman)
76	An offence under section 14 of that Act (indecent assault on a woman)
77	An offence under section 15 of that Act (indecent assault on a man)
78	An offence under section 16 of that Act (assault with intent to commit buggery)
79	An offence under section 17 of that Act (abduction of woman by force or for the sake of her property)
80	An offence under section 19 of that Act (abduction of unmarried girl under 18 from parent or guardian)
81	An offence under section 20 of that Act (abduction of unmarried girl under 16 from parent or guardian)
82	An offence under section 21 of that Act (abduction of defective from parent or guardian)
83	An offence under section 22 of that Act (causing prostitution of women)
84	An offence under section 23 of that Act (procuration of girl under 21)
85	An offence under section 24 of that Act (detention of woman in brothel)
86	An offence under section 25 of that Act (permitting girl under 13 to use premises for intercourse)
87	An offence under section 26 of that Act (permitting girl under 16 to use premises for intercourse)
88	An offence under section 27 of that Act (permitting defective to use premises for intercourse)
89	An offence under section 28 of that Act (causing or encouraging the prostitution of, intercourse with or indecent assault on girl under 16)
90	An offence under section 29 of that Act (causing or encouraging prostitution of defective)

91	An offence under section 32 of that Act (soliciting by men)
92	An offence under section 33 of that Act (keeping a brothel)
93	An offence under section 128 of the Mental Health Act 1959 (c.72) (sexual intercourse with patients)
94	An offence under section 1 of the Indecency with Children Act 1960 (c.33) (indecent conduct towards young child)
95	An offence under section 4 of the Sexual Offences Act 1967 (c.60) (procuring others to commit homosexual acts)
96	An offence under section 5 of that Act (living on earnings of male prostitution)
97	An offence under section 9 of the Theft Act 1968 (c.60) of burglary with intent to commit rape
98	An offence under section 54 of the Criminal Law Act 1977 (c.45) (inciting girl under 16 to have incestuous sexual intercourse)
99	An offence under section 1 of the Protection of Children Act 1978 (c.37) (indecent photographs of children)
100	An offence under section 170 of the Customs and Excise Management Act 1979 (c.2) (penalty for fraudulent evasion of duty etc.) in relation to goods prohibited to be imported under section 42 of the Customs Consolidation Act 1876 (c.36) (indecent or obscene articles)
101	An offence under section 160 of the Criminal Justice Act 1988 (c.33) (possession of indecent photograph of a child)
102	An offence under section 1 of the Sexual Offences Act 2003 (c.42) (rape)
103	An offence under section 2 of that Act (assault by penetration)
104	An offence under section 3 of that Act (sexual assault)
105	An offence under section 4 of that Act (causing a person to engage in sexual activity without consent)
106	An offence under section 5 of that Act (rape of a child under 13)
107	An offence under section 6 of that Act (assault of a child under 13 by penetration)
108	An offence under section 7 of that Act (sexual assault of a child under 13)
109	An offence under section 8 of that Act (causing or inciting a child under 13 to engage in sexual activity)
110	An offence under section 9 of that Act (sexual activity with a child)
111	An offence under section 10 of that Act (causing or inciting a child to engage in sexual activity)
112	An offence under section 11 of that Act (engaging in sexual activity in the presence of a child)
113	An offence under section 12 of that Act (causing a child to watch a sexual act)
114	An offence under section 13 of that Act (child sex offences committed by children or young persons)
115	An offence under section 14 of that Act (arranging or facilitating commission of a child sex offence)
116	An offence under section 15 of that Act (meeting a child following sexual grooming etc.)

117	An offence under section 16 of that Act (abuse of position of trust: sexual activity with a child)
118	An offence under section 17 of that Act (abuse of position of trust: causing or inciting a child to engage in sexual activity)
119	An offence under section 18 of that Act (abuse of position of trust: sexual activity in the presence of a child)
120	An offence under section 19 of that Act (abuse of position of trust: causing a child to watch a sexual act)
121	An offence under section 25 of that Act (sexual activity with a child family member)
122	An offence under section 26 of that Act (inciting a child family member to engage in sexual activity)
123	An offence under section 30 of that Act (sexual activity with a person with a mental disorder impeding choice)
124	An offence under section 31 of that Act (causing or inciting a person with a mental disorder impeding choice to engage in sexual activity)
125	An offence under section 32 of that Act (engaging in sexual activity in the presence of a person with a mental disorder impeding choice)
126	An offence under section 33 of that Act (causing a person with a mental disorder impeding choice to watch a sexual act)
127	An offence under section 34 of that Act (inducement, threat or deception to procure sexual activity with a person with a person with a mental disorder)
128	An offence under section 35 of that Act (causing a person with a mental disorder to engage in or agree to engage in sexual activity by inducement, threat or deception)
129	An offence under section 36 of that Act (engaging in sexual activity in the presence, procured by inducement, threat or deception, of a person with a mental disorder)
130	An offence under section 37 of that Act (causing a person with a mental disorder to watch a sexual act by inducement, threat or deception)
131	An offence under section 38 of that Act (care workers: sexual activity with a person with a mental disorder)
132	An offence under section 39 of that Act (care workers: causing or inciting sexual activity)
133	An offence under section 40 of that Act (care workers: sexual activity in the presence of a person with a mental disorder)
134	An offence under section 41 of that Act (care workers: causing a person with a mental disorder to watch a sexual act)
135	An offence under section 47 of that Act (paying for sexual services of a child)
136	An offence under section 48 of that Act (causing or inciting child prostitution or pornography)
137	An offence under section 49 of that Act (controlling a child prostitute or a child involved in pornography)
138	An offence under section 50 of that Act (arranging or facilitating child prostitution or pornography)
139	An offence under section 52 of that Act (causing or inciting prostitution for gain)
140	An offence under section 53 of that Act (controlling prostitution for gain)

141	An offence under section 57 of that Act (trafficking into the UK for sexual exploitation)
142	An offence under section 58 of that Act (trafficking within the UK for sexual exploitation)
143	An offence under section 59 of that Act (trafficking out of the UK for sexual exploitation)
144	An offence under section 61 of that Act (administering a substance with intent)
145	An offence under section 62 of that Act (committing an offence with intent to commit a sexual offence)
146	An offence under section 63 of that Act (trespass with intent to commit a sexual offence)
147	An offence under section 64 of that Act (sex with an adult relative: penetration)
148	An offence under section 65 of that Act (sex with an adult relative: consenting to penetration)
149	An offence under section 66 of that Act (exposure)
150	An offence under section 67 of that Act (voyeurism)
151	An offence under section 69 of that Act (intercourse with an animal)
152	An offence under section 70 of that Act (sexual penetration of a corpse)
153	An offence of— (a) aiding, abetting, counselling, procuring or inciting the commission of an offence specified in this Part of this Schedule, (b) conspiring to commit an offence so specified, or (c) attempting to commit an offence so specified

1. Commencement information for these offences is available at <http://www.legislation.gov.uk/ukpga/2003/44/schedule/15>.

2. Murder is omitted from this list because it is already included by virtue of section 327(3)(a) of the Criminal Justice Act 2003:

“Section 327: Section 325 – interpretation

(1) For the purposes of section 325, a person is a relevant sexual or violent offender if he falls within one or more of subsections (2) to (5)...

...(3) A person falls within this subsection if—

(a) he is convicted by a court in England or Wales of murder or an offence specified in Schedule 15”.

IAOW Case Assessment Guide – Appendix 2

NOMS Offender Management Model Tiering Framework

Tiering Framework

Tiering framework Tier	Offender profile
1	<p>NB. offender descriptions are for illustrative purposes. The complexity of factors and variables means that the definitions at the margins between levels are a matter for professional and local judgement</p> <p>Medium or low risk harm cases</p> <p>Low likelihood of reoffending</p> <p>Low intervention cases requiring monitoring of risk factors only</p> <p>Compliant offenders who are well motivated to complete the sentence</p> <p>Offenders who present no manageability problems</p> <p>Cases in which punishment is or has become the main objective</p>
2	<p>Rehabilitation cases in which the focus of the work is on the offender's situation</p> <p>Rehabilitation cases with less complex intervention plans</p> <p>Reasonably motivated, reasonably compliant offenders</p> <p>Medium or low risk of harm</p> <p>Resettlement/reintegration cases where practical help is the intervention approach</p>
3	<p>Medium/high likelihood of re-offending cases with multi-factor intervention plans</p> <p>Medium risk of harm cases</p> <p>Cases with personal change as the primary objective</p> <p>Cases requiring high levels of integrative work</p> <p>Cases in which mishandling would have significant organisational consequences</p> <p>Vulnerable offenders</p>
4	<p>High and very high risk of serious harm – public protection priorities</p> <p>Cases requiring the highest level of skill, qualification and organisational authority</p> <p>Cases requiring unusual or exceptional resource allocation</p> <p>Cases requiring very high levels of inter-agency work</p> <p>High local and national priority cases (prolific and/or persistent offenders)</p>

Post-sentence Tiering Decision Grid

In order to allocate the case to a tier, you will need the OGP or OGRS 3 (24 month predictor) score, the OASys RoSH categorisation and the sentence details

Address every question If the answer to a question is 'YES', tick the blank box to the right	T1	T2	T3	T4
CO or SSO with Standalone Unpaid Work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CO or SSO with punitive requirements only (e.g. UPW + curfew or AC)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CO or SSO inc Supervision Requirement or pre-release custody or licence.....				
....with Medium Risk of Serious Harm?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
....with a High or Very High Risk of Serious Harm?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
....with OGP 2 year % 0 – 33 (OGRS 3 0 – 49)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
....with OGP 2 year % 34 – 66 (OGRS 3 50 – 74)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
....with OGP 2 year % 67 – 84 (OGRS 3 75 – 89)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
....with OGP 2 year % 85 – 100 (OGRS 3 90 – 100)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CO or SSO or licence with current ¹ intervention.....				
DID, LIAP or (for local determination) ²	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cognitive Skills Booster?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accredited Programme other than DID, LIAP or Cog Skills Booster?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Alcohol Treatment Requirement (or licence equivalent)? (for local determination) ³	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Activity Requirement (or licence equivalent)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Low intensity DRR?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Medium or High intensity DRR?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PPO – any sentence?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MAPPA Level 2 or 3 – any sentence?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Now look down the 4 right hand columns; transfer the tick furthest to the right to the blank box at the bottom of the column. This is the indicative tiering	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Allocated tier	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If allocated tier is different from indicative tier why is this the case: <i>(Areas may populate this section with coded options if required)</i> <i>(Areas may determine whether this section should be signed by the offender manager only or needs line management approval)</i>				

¹ 'Current' here means that the requirement is not yet complete or that the core programme, treatment or activity has been completed within the last four weeks.

² There is an assumption with DID and LIAP that the core programme is embedded in a medium-term case management process. Where the local organisation of the components of this process require that the offender manager deliver them, then cases should be tiered at T2; where the components are delivered entirely by the programme provider, cases may be tiered at T1. For Alcohol Treatment Requirements, where the local design of the intervention is to be delivered entirely by a provider other than the offender manager, then the case should be tiered as T1; where there are expectations that the offender manager will complete work which complements the work of another provider, then the case should be tiered at least at T2 or higher dependent upon the scale of those expectations. The same principle applies to Activity Requirements, for which there is no standard template.