

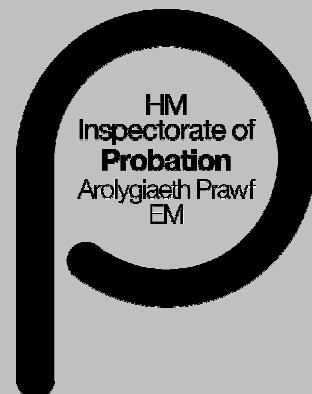


Inspection of
Adult Offending Work
Arolygiad o Waith Troseddu Oedolion

An Inspection led by HMI Probation

Case Assessment Tool

October 2013



I A O W CASE ASSESSMENT TOOL

EXPLANATORY NOTES AND KEY

NOTES

Questions have been ordered in the InfoPath view sequence based on process: Assessment & Planning, Delivery & Review, Outcomes and Leadership & Management, as follows:

View	Section	Sub section	
0	0		Case details
1	A	1.1	Assessment and planning to inform sentencing
1	B	3.1	Assessment to reduce the likelihood of reoffending
1	B	4.1	Assessment and planning to minimise risk of harm to others
1	C	2.1	Assessment and sentence planning to deliver the sentence
2	D	2.2	Delivery and review of the sentence plan and maximising offender engagement
2	D	3.2	Delivery of interventions to reduce the likelihood of reoffending
2	D	4.2	Delivery of interventions to minimise risk of harm to others
3	E	2.3	Initial outcomes are achieved
3	E	3.3	Likelihood of reoffending is reduced
3	E	4.3	Risk of harm to others is minimised
4	F	5.5	Victim contact and restorative justice
4	G	2.4	Leadership and management to deliver the sentence and achieve initial outcomes
4	G	3.4	Leadership and management to reduce the likelihood of reoffending
4	G	4.4	Leadership and management to minimise the risk of harm to others

The questions retain their numbering linked to the criteria. Hence:
 First character in the question number denotes the View in InfoPath.
 Second character in the question number denotes the Section in InfoPath.

Sections have been amalgamated in Views as: View 1 = A B C, 2 = D, 3 = E, 4 = F G

Third character in the question number denotes CRITERIA:

1	Preparing for sentence
2	Delivering the sentence of the court
3	Reducing likelihood of reoffending
4	Protecting the public
5	Work with victims

Fourth character in the question number denotes PROCESS:

1	Assessment & Planning
2	Delivery & Review
3	Outcomes
4	Leadership & Management
5	Victim Work

'Free text boxes' have been included throughout as an alternative to using a LIIS to record notes relating to specific case assessments. Free text boxes have been given their own separate

question number in sequence, except where they relate solely to the question directly above. At the end of views 1,2 and 3 a summary text box has been provided to record issues relating specifically to women offenders. View 5 can be used to record overarching themes and issues relating to the tool itself.

Question format and scoring

Criteria No.	Question No.	Scoring
▼ 2.2.a.2	▼ D.2.2.3	▼

- mutually exclusive options
- multiple selection options

Question format

Answer options generally follow the order:

- | | | | |
|----------------|-----------------------|----------|---|
| Yes | <input type="radio"/> | positive | + |
| No | <input type="radio"/> | negative | - |
| Not applicable | <input type="radio"/> | neutral | \ |

For compound questions with subsidiary information lists the standard order of answer options is:

- | | | | |
|-----------------------|---|-------------|---|
| Not required etc | <input type="radio"/> | neutral | \ |
| Not completed | <input type="radio"/> | negative | - |
| Information questions | <input type="radio"/> <input type="radio"/> | not scoring | / |
| Information questions | <input type="radio"/> <input type="radio"/> | not scoring | / |
| Yes | <input type="radio"/> | positive | + |
| No or Not sufficient | <input type="radio"/> | negative | - |

The information list remains open for completion unless the Not required/ Not completed option is selected.

Numbering

All questions have been renumbered in order. Topic questions are numbered T and U from the previous question, so that they can be removed in future topics without altering other question numbers.

Text colour

Red text denotes guidance note appended to question
Blue text denotes form mechanics and routing etc

Colour shading

Green shading marks compound questions with subsidiary non-scoring information questions in the positive form. The subsidiary non-scoring indicators may appear before, after, or interspersed between the substantive answers.

Yellow shading marks compound questions with subsidiary non-scoring information questions intentionally in the negative form.

View 0 CASE DETAILS

Assessor details

- 1 Name
- 2 HMI Probation or Local Assessor?
- HMI Probation
- Local Assessor

Offender details

- 3 Name of area
- 4 **HMIP ID Number**
Do NOT write the offender's name on the form
- 5 Age at start or order or licence
- 6 Gender Male Female
- include free text box at end of views 1, 2 & 3*
- 7 Race and ethnic category

W1 – White : British, W2 – White : Irish, W9 – White : Other, B1 – Black/Black British : Caribbean, B2 – Black/Black British : African, B9 – Black/Black British : Other, M1 – Mixed : White & Black Caribbean, M2 – Mixed : White & Black African, M3 – Mixed : White & Asian, M9 – Mixed : Other, A1 – Asian/Asian British : Indian, A2 – Asian/Asian British : Pakistani, A3 – Asian/Asian British : Bangladeshi, A9 – Asian/Asian British : Other, 01 – Chinese, 09 – Other Ethnic Group, NS – Refusal, NR – Not recorded

Case details

Note new subheadings used in View 0, and questions re-grouped accordingly

- 8 Type of case Licence Community Order Suspended Sentence Order
- include Sec A.1.1*
- include Sec A.1.1*
- 9 Is this case Unpaid work only,

or Unpaid Work + Curfew only?

Yes

No

if Yes route out: B.3.1.1 – B.3.1.2.U
C.2.1.9 – C.2.1.11
C.2.1.15.T
E.3.3.1 – E.3.3.9

10 Has this order or licence terminated? Yes

No

11 Is this a case in which statutory victim liaison had to be offered?
[licence cases only]

include F.5.5.1 & 2 Yes

No

11 Number not used previously

12 Tier at start of sentence or licence (as per NOMS guidance)

Tier 1

Tier 2

Tier 3

Tier 4

Unallocated

13a. Order Requirements/ Licence Conditions

Is this an Unpaid work only case?

If YES, please mark the unpaid work box below
and enter the hours ordered.

Yes

If NO, please answer the rest of the question.

No

[licence cases only] Standard 6 only
remove remainder of (IPP cases 7 only)

[licence cases only] Pre-dates CJA 2003

[CO or SSO only] Attendance Centre

include B.4.1.10 Curfew

if CO or SSO

Exclusion

Prohibited Activity

[CO or SSO only]
include text box below
include D.3.2.7 – 9

Specified Activity

– please enter details below,
noting ALL interventions/
providers that applied

Free text box

[licence cases only] Non-association

[licence cases only] Address offending behaviour

[licence cases only] Address substance misuse

[licence cases only] Contact

[licence cases only] Prohibited Contact

Residence

[licence cases only] Prohibited Residency

Prohibited Travel

[CO or SSO only] Mental Health Treatment

Alcohol Treatment

Drug Rehabilitation/ drug testing

Accredited Programme

[CO or SSO only] Supervision

[CO or SSO only] Unpaid work

– please enter number of
hours ordered at start of
sentence

Bespoke requirement
– please enter details below

Free text box

13b. Was any requirement or condition monitored electronically?

No

Yes – Curfew

Yes – Satellite tracked curfew

include text box below

Yes – Other

Please enter details below

Free text box

13c. For this offence did the court also:
[This information is available on the police list of previous convictions issued post sentence]

A order payment of compensation? No

Yes, on this occasion

Yes, for this offence on a previous occasion

B impose a fine?
(for another offence related to the same crime) No

Yes – on this occasion

Yes – for this offence on a previous occasion

N/A – only one offence

Offence details

14a. Offence: **please select the original, principal, offence only**

Violence against the person
(including affray, violent disorder and threatening and abusive behaviour (even where there is no actual individual victim or physical assault)

Fraud and Forgery

Sexual offences

Criminal damage (excluding arson)

Burglary

Arson

Robbery

- | | | |
|------|---|-----------------------|
| | Drug offences | <input type="radio"/> |
| | Theft and handling stolen goods | <input type="radio"/> |
| | Motoring inc: Drive whilst disqualified | <input type="radio"/> |
| | Motoring inc: Drive with excess alcohol | <input type="radio"/> |
| | Other | <input type="radio"/> |
| 14.b | Number not used | |
| 14.c | Number not used | |
| 14.d | Was the victim named in the offence?
[Please answer for intended victim in attempted offences] | |
| | A child (person aged under 18) | <input type="radio"/> |
| | A Vulnerable Adult | <input type="radio"/> |
| | Other adult | <input type="radio"/> |
| | No specific victim. | <input type="radio"/> |

Offender characteristics and other case details

- 14e. 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)
- | | | |
|--|--|--------------------------|
| | Alcohol use | <input type="checkbox"/> |
| | Drug use | <input type="checkbox"/> |
| | [include Q14f] Mental health issues | <input type="checkbox"/> |
| | [include Q14f] Learning or behavioural issues | <input type="checkbox"/> |
| | None | <input type="checkbox"/> |
| | Other particular factor – please enter details below | <input type="checkbox"/> |

Free text box

- 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)
- | | | |
|--|----------------------|--------------------------|
| | Diagnosed depression | <input type="checkbox"/> |
|--|----------------------|--------------------------|

- Other diagnosed mental illness
- Diagnosed personality disorder
- Poor emotional well-being
- Autism or Aspergers' Syndrome
- Confirmed ADHD/ ADD
- Confirmed learning difficulty or disability
- Other – please enter details below

Free text box

- 14g. Was the offender?
- A vulnerable person
 - A military veteran
 - Neither

- 15 Were there concerns about offender vulnerability or risk of suicide during the period being assessed?
- Yes
 - No

- 16 Was there evidence this offender has currently or previously been a perpetrator of domestic abuse?
- [include E.4.3.2](#) Yes
 - No

- 17 In your assessment, were there concerns about protecting children in this case at any time during the period of supervision?
- [include Q18.A + B](#) Yes – and these had been identified by the OM
 - [include Q18.A + B](#) Yes – but these had NOT been identified by the OM
 - Unsure – there may have been concerns about protecting children, but this had not been adequately checked
 - No – there were no concerns about

protecting children

- 18a. Was the offender in contact with a child/children subject to formal child protection procedures e.g. a s47 child protection enquiry, child protection plan or child in need?
- Yes
- No
- 18b. Was the offender a source of these protection concerns?
[include E.4.3.2](#)
- Yes
- No
- 19 Was this offender:
- A a prolific or other priority offender? Yes
- No
- B subject to Integrated Offender Management? Yes
- No
- C transferred in from a YOT during the past 12 months? Yes
- No
- 20 Has this offender been a resident in approved premises for at least 6 weeks during the period being assessed?
- Yes
- No
- 21 Employment status at start of order or licence:
- Employed
- Full time education/ training
- Unemployed
- Other/ non-employed

Staff details

- 22 Grade of current or last offender manager/ responsible officer.
- Main grade Probation Officer (PO)
- Probation Service Officer (PSO)

(or equivalent)

Senior Practitioner

Other

23 Staff interviewed.

Offender manager/
responsible officer

Offender supervisor

SPO or substitute

No-one available

Other – please give details below

[Free text box](#)

24 Was this interview conducted in Welsh?

Yes – wholly or mainly

No

View 1 – Sections A B C ASSESSMENT & PLANNING

A.1.1 ASSESSMENT AND PLANNING TO INFORM SENTENCING

Reports assist courts in passing appropriate sentences.

[Section A.1.1.1 – A.1.1.13 Community & SS Orders only]

1.1.a Reports are based on sufficient information.

A.1.1.1 Was a report prepared for this sentence?

[This includes Oral Reports]
 [Please answer 'No' if the report was prepared by
 another Trust]
 [not scoring]

include remainder of Section A.1.1 below Yes /

go to B.3.1.1 No /

A.1.1.2 What type of report was it?

[not scoring]

Full typed report /

Shorter typed report /

include A.1.1.3 remove A.1.1.4 – A.1.1.9 Oral Report /
 (or hand written proforma)

1.1.a.1 A.1.1.3 Was there a written copy of the report if delivered orally?

[oral reports only]

Yes +

route out A.1.1.10 – A.1.1.13 No -

1.1.a.2 A.1.1.4 Was the report based on sufficient information for this court appearance?

pc

[written reports only]

Please mark the following: Yes No N/A

The report was based on the following information:

the required assessment of the likelihood of reoffending Yes No N/A /

a risk of harm screening/ assessment Yes No N/A /

relevant information about the offender's home and social environment Yes No N/A /

T Children's social care and other checks to protect children Yes No N/A /

pc

other information as appropriate. Yes No N/A /

The sources of information were:	indicated	<input type="radio"/>	<input type="radio"/>	/
	verified where necessary.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Overall, was the report based on sufficient information for this court appearance?				
	Yes	<input type="radio"/>		+
	No	<input type="radio"/>		-

1.1.b *Written reports are of sufficient quality.*

1.1.b.1 A.1.1.5

Was the content of the report of sufficient quality? [written reports only]				
Please mark the following:		Yes	No	
The report contained:				
	an analysis of the offence and its impact	<input type="radio"/>	<input type="radio"/>	/
	reference to previous convictions and cautions, and other relevant behaviour	<input type="radio"/>	<input type="radio"/>	/
	an accurate analysis of the likelihood of reoffending	<input type="radio"/>	<input type="radio"/>	/
	an accurate analysis of the risk of harm posed by the offender.	<input type="radio"/>	<input type="radio"/>	/
	The report was free from inaccurate, inappropriate or irrelevant information.	<input type="radio"/>	<input type="radio"/>	/
Overall, was the content of the report of sufficient quality?				
	Yes	<input type="radio"/>		+
	No	<input type="radio"/>		-

1.1.b.2 A.1.1.6

Was the language and style of the report clear and accessible? [written reports only]				
Please mark the following:		Yes	No	
The report was:				
	suitably concise	<input type="radio"/>	<input type="radio"/>	/
	generally free from typographical and grammatical errors	<input type="radio"/>	<input type="radio"/>	/
	clear in meaning.	<input type="radio"/>	<input type="radio"/>	/
	The report used appropriate language.	<input type="radio"/>	<input type="radio"/>	/
Overall, was the language and style of the report clear and accessible?				
	Yes	<input type="radio"/>		+
	No	<input type="radio"/>		-

1.1.c *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.*

1.1.c.1 A.1.1.7

Did the report contain an appropriate proposal for a community sentence?					
[written reports only] remove list below		N/A – community sentence not appropriate		<input type="radio"/>	✓
If a community sentence was appropriate please mark the following: The report contained:		Yes	No		/
a clear and specific proposal (or clear conclusion explaining that no proposal was possible)		<input type="radio"/>	<input type="radio"/>		/
a proposal that followed logically from the main content of the report		<input type="radio"/>	<input type="radio"/>		/
a proposal proportionate to the seriousness of the offence		<input type="radio"/>	<input type="radio"/>		/
a proposal appropriate to the nature of the offending		<input type="radio"/>	<input type="radio"/>		/
a proposal appropriate to the offender's circumstances (including their motivation and ability to complete the proposed sentence)		<input type="radio"/>	<input type="radio"/>		/
a proposal including requirements aimed at keeping risk of harm to a minimum (where relevant)		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
a proposal for a punitive requirement if appropriate [e.g. unpaid work or curfew].		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
On balance, did the report contain an appropriate proposal for a community sentence?					
		Yes	<input type="radio"/>		+
		No	<input type="radio"/>		-

1.1.c.2 A.1.1.8

Did the report state intended outcomes or objectives appropriate to the proposed sentence?					
[written reports only] remove list below		Outcomes/ objectives not stated		<input type="radio"/>	-
If outcomes or objectives were stated please mark the following: The report stated outcomes/ objectives which:		Yes	No		
related to the intended purposes of the proposed sentence		<input type="radio"/>	<input type="radio"/>		/
took full account of the assessed likelihood of reoffending		<input type="radio"/>	<input type="radio"/>		/
took full account of the assessed risk of harm.		<input type="radio"/>	<input type="radio"/>		/
Overall, did the report state intended outcomes or objectives					

appropriate to the proposed sentence?			
	Yes	<input type="radio"/>	+
	No	<input type="radio"/>	-

1.1.c.3	A.1.1.9	Did the report indicate: [written reports only]			
	A	the offender's motivation and capacity to comply with the proposed sentence?	Yes	<input type="radio"/>	+
			No	<input type="radio"/>	-
	B	how any particular barriers to compliance and engagement will be addressed?	Yes	<input type="radio"/>	+
			No	<input type="radio"/>	-

1.1.c.4 A.1.1.10 What type of sentence was proposed in the report? [\[not scoring\]](#) /

[Drop down list](#)

Custody
 Suspended Sentence Order
 Community Order
 Fine
 Other
 No proposal

A.1.1.11 What type of sentence was passed by the court? [\[not scoring\]](#) /

[Drop down list](#)

Custody
 Suspended Sentence Order
 Community Order

Data table for LI to contain a cross tabulation of proposal against sentence made

A.1.1.12	Was the proposal for the type of sentence broadly followed by the court?			
	remove list below	Yes	<input type="radio"/>	+
		No	<input type="radio"/>	-
	If No please mark the following:	Yes	No	
	Differing assessments of seriousness	<input type="radio"/>	<input type="radio"/>	/
	There was no clear single proposal	<input type="radio"/>	<input type="radio"/>	/
	Custody was likely	<input type="radio"/>	<input type="radio"/>	/

The reason was not clear or not recorded. O O /

A.1.1.13 Which of the following Requirements were proposed in the Pre Sentence Report?
[CO and SSO only]
[not scoring]

- Attendance Centre /
- Curfew /
- Exclusion /
- Prohibited Activity /
- Specified Activity /
- Prohibited Travel /
- Residence /
- Mental Health Treatment /
- Alcohol Treatment /
- Drug Rehabilitation /
- Accredited Programme /
- Supervision /
- Unpaid Work /

Data table to contain a cross-tabulation of requirements proposed against requirements made in community orders from Q12

TB Please enter any additional comments here:

B.3.1 ASSESSMENT TO REDUCE THE LIKELIHOOD OF REOFFENDING

The likelihood of reoffending is accurately assessed.

3.1.a *There is a sufficient assessment of the likelihood of reoffending at the start of sentence or release from custody.*

Route out questions B.3.1.1 – B.3.1.2.U for UW only cases.

3.1.a.1 B.3.1.1 At the start of sentence or release on licence or transfer into the area, was there a sufficient assessment of the likelihood of reoffending?

[remove list below](#)

Assessment not completed O —

If the assessment was completed please mark Yes No

the following:	Completion was timely.	<input type="radio"/>	<input type="radio"/>	/
The assessment:				
drew fully on all available sources of information		<input type="radio"/>	<input type="radio"/>	/
included relevant information from the offender's home and social environment.		<input type="radio"/>	<input type="radio"/>	/
Offending related factors were identified.		<input type="radio"/>	<input type="radio"/>	/
Relevant previous behaviour was taken into account.		<input type="radio"/>	<input type="radio"/>	/
The assessment was new or sufficiently revised from a previous one.		<input type="radio"/>	<input type="radio"/>	/
On balance, at the start of sentence or release on licence or transfer into the area, was there a sufficient assessment of the likelihood of reoffending?				
	Yes	<input type="radio"/>		+
	Assessment not sufficient	<input type="radio"/>		-

3.1.a.2 B.3.1.2 Was the offender actively and meaningfully involved in the assessment of their likelihood of reoffending?

Yes +

No -

Topic B.3.1.2.T In your opinion was alcohol a contributing factor to the offence?
[not scoring]

include B.3.1.2.U & C.2.1.15.T

Yes /

go to B.3.1.3

No /

Topic B.3.1.2.U Was this taken account of sufficiently in the assessment?

Yes +

No -

B.3.1.3 At the start of sentence or release on licence, which factors – in your opinion – made this offender more likely to reoffend?
[Note that factors relevant to improving the offender's community integration are assessed in C.2.1.9]
[not scoring]

Accommodation /

Employment, training and education /

- Financial management /
- Relationships /
- Lifestyle & associates /
- Gang membership /
- Drug misuse /
- Alcohol misuse /
- Emotional well-being /
(including mental health and behavioural issues)
- Thinking & behaviour /
- Attitudes to offending /
- Discriminatory attitudes /

TB
B.3.1.a Please enter any additional comments here:

B.4.1 ASSESSMENT AND PLANNING TO MINIMISE RISK OF HARM TO OTHERS

Risk of harm is accurately assessed. Plans are made to minimise the individuals' risk of harm.

4.1.a There is a sufficient assessment of the risk of harm to others at the start of sentence or release from custody.

B.4.1.1 What was the OASys RoSH classification as recorded at the start of sentence or release on licence or transfer into this area?
[not scoring]

- Low /
- Medium /
- High /
- Very high /
- Not recorded /

B.4.1.2 In your view was this the correct classification?

- [go to B.4.1.5](#) Yes +
- No -
- [go to B.4.1.4](#) Not recorded -

B.4.1.3 Is this incorrect classification:
[\[not scoring\]](#)

Too low /

Too high /

B.4.1.4 What do you think the RoSH classification should have been?
[\[not scoring\]](#)

Low /

Medium /

High /

Very high /

4.1.a.1 B.4.1.5 Was a sufficient initial RoSH screening completed?

[remove list below](#) Screening not completed -

If the screening was completed please mark the following:

Yes	No		
Screening was completed on time	<input type="radio"/>	<input type="radio"/>	/
Screening was accurate.	<input type="radio"/>	<input type="radio"/>	/

On balance, was a sufficient initial RoSH screening completed?

Yes +

Screening not sufficient -

4.1.a.2 B.4.1.6 Was there a sufficient full initial analysis of the risk of harm?
pc

[remove list below](#) Analysis not required \

[remove list below](#) Analysis not completed -

If the analysis was completed please mark the following:

Yes	No	N/A	
Analysis was completed within an appropriate timescale	<input type="radio"/>	<input type="radio"/>	/
Included the offender's address, parental/carer status and children with whom the offender has contact & the child/children's address if different from the offender	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> /
Assessment drew fully on all available sources of information	<input type="radio"/>	<input type="radio"/>	/
Relevant previous behaviour was taken into account	<input type="radio"/>	<input type="radio"/>	/

T
pc

T pc	There was sufficient analysis of risk to:			
	Children	<input type="radio"/>	<input type="radio"/>	/
	Public	<input type="radio"/>	<input type="radio"/>	/
	Known Adult	<input type="radio"/>	<input type="radio"/>	/
T pc	Risk categories were correct to:			
	Children	<input type="radio"/>	<input type="radio"/>	/
	Public	<input type="radio"/>	<input type="radio"/>	/
	Known Adult	<input type="radio"/>	<input type="radio"/>	/
	Staff	<input type="radio"/>	<input type="radio"/>	/
	The assessment was new or sufficiently revised from a previous one.	<input type="radio"/>	<input type="radio"/>	/
Overall, was there a sufficient full initial analysis of the risk of harm?				
	Yes	<input type="radio"/>	<input checked="" type="radio"/>	
	Analysis not sufficient	<input type="radio"/>	<input checked="" type="radio"/>	

4.1.a.3 B.4.1.7 Was information actively sought as appropriate, from other relevant staff and agencies involved with the offender?

Yes	<input type="radio"/>	<input checked="" type="radio"/>
No	<input type="radio"/>	<input checked="" type="radio"/>
Not necessary	<input type="radio"/>	<input checked="" type="radio"/>

4.1.a.4 B.4.1.8 Was sufficient attention paid to the protection of children in relation to the offender's contact with any child?

Yes	<input type="radio"/>	<input checked="" type="radio"/>
No	<input type="radio"/>	<input checked="" type="radio"/>

4.1.b The public is protected by the appropriate use of restrictive requirements.

4.1.b.1 B.4.1.9 If restrictive requirements, electronic monitoring, restraining orders or SOPOs were used in this order or licence, was this appropriate?

remove list below	Not used	<input type="radio"/>	<input checked="" type="radio"/>
Where they were used please mark the following:	Yes	No	
The use of restrictive requirements: was proportionate to the risk of harm and	<input type="radio"/>	<input type="radio"/>	/

likelihood of reoffending posed by the offender minimised the risk to actual or potential victims.	<input type="radio"/>	<input type="radio"/>	/
Overall, was the use of restrictive requirements, electronic monitoring, restraining orders or SOPOs in this order or licence appropriate?		Yes <input type="radio"/>	+
		No <input type="radio"/>	-

B.4.1.10	Did the curfew in this order: [route in from Q13: Curfew, CO and SSO only] [not scoring]			
A	provide a significant punishment to the offender?	Yes <input type="radio"/>	<input type="radio"/>	/
		No <input type="radio"/>	<input type="radio"/>	/
B	protect the public from the risk of harm or further offending posed by the offender?	Yes <input type="radio"/>	<input type="radio"/>	/
		No <input type="radio"/>	<input type="radio"/>	/

4.1.c *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.*

4.1.c.1	B.4.1.11	Was there a sufficient initial plan in place to manage risk of harm? [route out if 4.1.1 = Low RoSH] remove list below, go to B.4.1.12	Plan not completed	<input type="radio"/>	-
		If the plan was completed please mark the following:	Yes	No	N/A
		The initial risk management plan was:			
		completed within an appropriate timescale	<input type="radio"/>	<input type="radio"/>	/
		addressed the factors identified in the risk of harm assessment.	<input type="radio"/>	<input type="radio"/>	/
		The initial risk management plan:			
		anticipated possible changes in risk of harm factors	<input type="radio"/>	<input type="radio"/>	/
		included relevant contingency planning and events that should prompt a review	<input type="radio"/>	<input type="radio"/>	/
		addressed all relevant factors	<input type="radio"/>	<input type="radio"/>	/
4.1.c.2		addressed the risks to any specific victims	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
		accurately described how the objectives of the sentence plan and other activities would address risk of harm issues and protect actual and potential victims.	<input type="radio"/>	<input type="radio"/>	/
		The assessment was new or sufficiently revised from a previous one.	<input type="radio"/>	<input type="radio"/>	/
		Overall, was there a sufficient initial plan in place to manage risk of harm?		Yes <input type="radio"/>	+

Plan not sufficient **-**

4.1.c.3 B.4.1.12

Did the initial risk management plan set out all necessary action?
[\[route out if 4.1.1 = Low RoSH\]](#)

Please mark the following:	Yes	No	N/A	
The initial plan was:				
clear about who would do what and when	<input type="radio"/>	<input type="radio"/>		/
communicated to all relevant staff and agencies	<input type="radio"/>	<input type="radio"/>		/
clear about arrangements for sharing information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
Overall, did the initial risk management plan set out all necessary action?				
		Yes	<input type="radio"/>	+
		No	<input type="radio"/>	-

4.1.c.4 B.4.1.13

Was key risk of harm information communicated between all relevant staff and agencies?

Yes	<input type="radio"/>	+
No	<input type="radio"/>	-
Not necessary	<input type="radio"/>	\

B.4.1.14

Where required, was the case recorded on ViSOR?
[\[not scoring\]](#)

Yes	<input type="radio"/>	/
No	<input type="radio"/>	/
Not required	<input type="radio"/>	/

4.1.c.5 B.4.1.15

Was the offender actively involved in all plans and arrangements to manage their own risk of harm, including constructive and restrictive interventions?

Yes	<input type="radio"/>	+
No	<input type="radio"/>	-
Not applicable	<input type="radio"/>	\

4.1.d *An effective referral to MAPPA is made in all cases where required.*

4.1.d.1 B.4.1.16 Did this case meet the criteria for MAPPA at any time during this order

or licence?

- [go to TB B.4.1.d](#) No
- [go to TB B.4.1.d](#) Yes – but NOT identified
- Yes – and was identified

B.4.1.17 What was the initial level of MAPPAs management?
[not scoring]

- Level 1
- [include B.4.1.20 & D.4.2.8](#) Level 2
- [include B.4.1.20 & D.4.2.8](#) Level 3

B.4.1.18 Was the initial MAPPAs level of management appropriate?

- Yes
- [include B.4.1.19](#) No

B.4.1.19 Was this inappropriate initial level:
[not scoring]

- Too low
- Too high

4.1.d.2 B.4.1.20

For MAPPAs cases that were identified, were referral processes used effectively?
[Level 2 & 3 only]

Please mark the following:	Yes	No	N/A	
Referral was made	<input type="radio"/>	<input type="radio"/>		<input checked="" type="checkbox"/>
Referral was timely	<input type="radio"/>	<input type="radio"/>		<input checked="" type="checkbox"/>
Details and/or category were accurate.	<input type="radio"/>	<input type="radio"/>		<input checked="" type="checkbox"/>
Actions agreed by MAPPAs were: incorporated into all planning relevant documents	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>
communicated to all relevant bodies.	<input type="radio"/>	<input type="radio"/>		<input checked="" type="checkbox"/>

Overall, for identified MAPPAs cases were referral processes used effectively?

- Yes
- No

TB
B.4.1.d

Please enter any
additional comments here:

Free text box

C.2.1 ASSESSMENT AND PLANNING TO DELIVER THE SENTENCE

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.

2.1.a Cases are assigned to an appropriate level of service, and contact started promptly.

2.1.a.1 C.2.1.1 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?

Yes +

No -

C.2.1.2 Was a valid reason recorded for any departure from the indicative tiering?

Yes +

No -

N/A – indicative tiering followed \

2.1.a.2 C.2.1.3 Was an appointment arranged for the offender to meet the allocated offender manager/ responsible officer within a reasonable timescale after sentence or release on licence?

*[For high & v high RoSH cases first appointment within two days.
For licences first appointment on day or release or following day if impracticable]*

Yes +

No -

2.1.b Induction promotes offender engagement and compliance. Diversity factors and potential barriers to future engagement are assessed.

2.1.b.1 C.2.1.4 Is there evidence the offender was offered a full, timely and individualised induction following sentence or after release on licence?

Yes +

No -

2.1.b.2 C.2.1.5.A Was the offender informed of their commitments, obligations, opportunities and rights in relation to their order or licence in a clear

and accessible way?

- Yes +
- No -

C.2.1.5.B Was there a sufficient assessment of the Welsh/ English language preferences of this offender?
[\[route in from Q3 = Wales\]](#)

- Yes +
- No -

C.2.1.5.C What was the offender's preferred language?

[remove C.2.1.5.D – F](#)
+ D.2.2.6.B

- English \
- Welsh \
- Not known \
- Other language – please specify \

[remove C.2.1.5.D – F](#)
+ D.2.2.6.B

Free text box

C.2.1.5.D Was the offender offered the opportunity to be managed by a Welsh speaking offender manager?
[\[route in from Q3 = Wales\]](#)

- Yes +
- No -
- Not known -

C.2.1.5.E Did the offender express a preference to be managed by a Welsh speaking offender manager?
[\[route in from Q3 = Wales\]](#)

- Yes \
- Expressed no preference \
- Not known \

C.2.1.5.F Was a Welsh speaking offender manager provided in this case?
[\[route in from Q3 = Wales\]](#)

- Yes +
- No -
- Not required \

2.1.b.3 C.2.1.6 Was there a sufficient assessment of actual and potential barriers to offender engagement, and any other individual needs, including offender vulnerability?

Yes **+**

No **-**

2.1.c Sentence planning involves offenders in a meaningful and active way.

2.1.c.1 C.2.1.7 Was the offender actively and meaningfully involved in the sentence planning process?

Yes **+**

No **-**

2.1.d Sentence planning is informed by an assessment of the likelihood of reoffending and risk of harm to others.

2.1.d.1 C.2.1.8 Was initial sentence planning (at the start of sentence or release on licence or transfer into the area) timely and informed?

[remove list below](#) Planning not completed **-**

If planning was completed please mark the following:

Completion was timely. [Within a maximum of 15 days for high & v high RoSH cases]	Yes	No	N/A	
	<input type="radio"/>	<input type="radio"/>		/
Planning was informed by an assessment of:				
the likelihood of reoffending	<input type="radio"/>	<input type="radio"/>		/
the risk of harm to others	<input type="radio"/>	<input type="radio"/>		/
any other relevant assessments.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
The plan was new or sufficiently revised from a previous one.	<input type="radio"/>	<input type="radio"/>		/

Overall, was initial sentence planning timely and informed?

Yes **+**

Planning not sufficient **-**

2.1.e Sentence planning supports community integration.

2.1.e.1 C.2.1.9 Was there a sufficient assessment of the offender's community integration, including social networks and sources of support?
2.1.e.2 [route out for UW only]

Please mark the following:		Yes	No	N/A	
There was a current Skills for Life screening.		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
There was sufficient assessment of the offender's:					
	education	<input type="radio"/>	<input type="radio"/>		/
	employability	<input type="radio"/>	<input type="radio"/>		/
	potential sources of support within the family or community	<input type="radio"/>	<input type="radio"/>		/
	accommodation needs	<input type="radio"/>	<input type="radio"/>		/
	access to primary health services.	<input type="radio"/>	<input type="radio"/>		/
Overall, was there a sufficient assessment of the offender's community integration, including personal strengths, social networks and sources of support? [route out for UW only]					
		Yes	<input type="radio"/>		+
		No	<input type="radio"/>		-

2.1.e.3 C.2.1.10 Where necessary was sufficient action either taken or included in sentence planning to enhance the impact of these factors?
[route out for UW only]

	Yes	<input type="radio"/>	+
	No	<input type="radio"/>	-
	Not required	<input type="radio"/>	\

C.2.1.11 Where required was the offender signposted to the appropriate service?
[Please record details of any specific service or provider in the free text box below]
[route out for UW only]

	Yes	<input type="radio"/>	+
	No	<input type="radio"/>	-
	Not required	<input type="radio"/>	\

2.1.f *Sentence planning promotes offender engagement and compliance. Diversity factors and potential barriers to offender engagement are taken into account.*

2.1.f.1 C.2.1.12 Did sentence planning pay sufficient attention to factors which may promote engagement and compliance?

Please mark the following:		Yes	No
Planning paid sufficient attention to:			

the offender's personal strengths and aptitudes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
the methods likely to be most effective with the offender	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
their level of motivation and readiness to change	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
their capacity to change.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
Overall, did sentence planning pay sufficient attention to factors which may promote compliance?				
		Yes	<input type="radio"/>	<input checked="" type="radio"/>
		No	<input type="radio"/>	<input checked="" type="radio"/>

2.1.f.2 C.2.1.13 Were actions to minimise the impact of potential barriers to offender engagement, and any other individual needs, including offender vulnerability, taken or included in relevant planning documents?
[Please record details of any specific service or provider in the free text box at the end of this section]

Yes	<input type="radio"/>	<input checked="" type="radio"/>
No	<input type="radio"/>	<input checked="" type="radio"/>
Not required	<input type="radio"/>	<input checked="" type="radio"/>

2.1.g *Sentence planning sets objectives, the pattern of contact, and the timescale for reviewing progress.*

2.1.g.1 C.2.1.14 **pc** Did sentence planning set appropriate objectives?

Please mark the following:		Yes	No	N/A	
pc	Sentence planning set objectives: appropriate to the purposes of sentencing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
	to address the likelihood of reoffending	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
	to address the risk of harm to others	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
	to manage the protection of children	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
	to meet relevant obligations from multi-agency risk management procedures <i>[e.g. MAPPA, child protection].</i>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
Overall, did sentence planning set appropriate objectives?					
		Yes	<input type="radio"/>	<input checked="" type="radio"/>	
		No	<input type="radio"/>	<input checked="" type="radio"/>	

2.1.g.2 C.2.1.15 Did sentence planning set outcome focused objectives?

Please mark the following:		Yes	No	
Sentence planning set objectives:				
	that were outcome focused [specific, measurable, achievable, realistic & time limited]	<input type="radio"/>	<input type="radio"/>	/
	that were clearly and simply framed	<input type="radio"/>	<input type="radio"/>	/
	set out in achievable steps.	<input type="radio"/>	<input type="radio"/>	/
Overall, did sentence planning set outcome focused objectives?				
		Yes	<input type="radio"/>	+
		No	<input type="radio"/>	-

Topic C.2.1.15.T Was the contribution of alcohol to the offence addressed sufficiently in the sentence plan?
[route in from B.3.1.2.T] include D.3.2.9.T
[route out for UW only]

Yes +
No -

2.1.g.3 C.2.1.16 Was sentence planning sufficiently clear about what the offender had to do to achieve the objectives?

Yes +
No -

2.1.g.4 C.2.1.17 Was the planned level and pattern of contact:

A recorded (in the sentence plan or elsewhere)? Yes +
No -

B appropriate to the case? Yes +
Not appropriate or not recorded -

2.1.g.5	C.2.1.18	Was there a clear indication of when work with the offender would be reviewed? [within the sentence plan or elsewhere in the case management system]		
Please mark the following:		Yes	No	N/A
There was a clear indication of:				
	the timescale for reviewing progress against objectives	<input type="radio"/>	<input type="radio"/>	/
	any changes that would prompt an unscheduled review.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Overall, was there a clear indication of when work with the offender would be reviewed?				

	Yes	<input type="radio"/>	+
go to TB C.2.1.g	No	<input type="radio"/>	-

2.1.g.6 C.2.1.19 Was the planned review period appropriate to the case?

Yes +

No -

2.1.h Sentence planning sets out the contribution to be made by all those involved with the offender.

2.1.h.1 C.2.1.20 Was there a clear record of the contribution to be made by all workers involved in the case to achieve sentence planning objectives?

Yes +

No -

2.1.h.2 C.2.1.21 Was there evidence the relevant parts of the sentence plan were clearly communicated to all relevant others involved in the case?

Yes +

No -

No others involved \

TB C.2.1.h Please enter any additional comments here:

TB C.W. Please enter here any additional, overall comments on Assessment and Planning, relating to the fact that this case is a women offender: [\[route in from Q5 = female\]](#)



View 2 – Section D DELIVERY & REVIEW

D.2.2 DELIVERY AND REVIEW OF THE SENTENCE PLAN AND MAXIMISING OFFENDER ENGAGEMENT

Sentence plans are delivered and progress reviewed. Offender engagement motivation and community integration is maximised to promote positive outcomes.

2.2.a Interventions are delivered according to the requirements of the sentence, and the sentence plan.

2.2.a.1 D.2.2.1 Were interventions delivered according to the requirements of the sentence?

Yes +

No -

D.2.2.2 Were interventions delivered in line with sentence planning objectives?

Yes +

No -

No sentence plan \

2.2.a.2 D.2.2.3 Did the delivery of interventions take account of any risk of harm to others posed by the offender?

[This applies in all cases – please see CAG]

Yes +

No -

2.2.b Positive outcomes for offenders are promoted by work to improve community integration.

2.2.b.1 D.2.2.4
2.2.b.2

Did the offender receive sufficient assistance to improve their community integration, social networks and sources of support?
[If signposting alone was sufficient please answer 'Not required']

[remove list below](#) Not required \

If assistance was required please mark the following:

education Yes No N/A /

employability /

potential sources of support within the family or /

community accommodation needs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
access to primary health services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
Overall, did the offender receive sufficient assistance to improve their community integration, social networks and sources of support? [Please record details of any specific service or provider in the free text box at the end of this section]				
	Yes	<input type="radio"/>		+
	No	<input type="radio"/>		-

2.2.c *Work with offenders maximises their motivation, and enables them to engage fully with the sentence.*

2.2.c.1 D.2.2.5 Was motivational work done to help and encourage the offender to engage fully with the work undertaken during their sentence?

Yes	<input type="radio"/>	+
No	<input type="radio"/>	-
Not required	<input type="radio"/>	\

2.2.c.2 D.2.2.6.A Were relevant diversity factors taken into account in the delivery of services?

Yes	<input type="radio"/>	+
No	<input type="radio"/>	-
No relevant factors	<input type="radio"/>	\

2.2.c.2 D.2.2.6.B Was sufficient account taken of the offender's expressed preference for interventions to be delivered through the medium of Welsh?
[route in from Q3 = Wales]

Yes	<input type="radio"/>	+
No	<input type="radio"/>	-

2.2.c.3 D.2.2.7 Was sufficient work directed at overcoming barriers to engagement?

Yes	<input type="radio"/>	+
No	<input type="radio"/>	-
None present or not required	<input type="radio"/>	\

2.2.d *The level of contact with offenders is sufficient to promote positive outcomes.*

2.2.d.1 D.2.2.8

Was the level of contact arranged with the offender sufficient?			
Please mark the following:	Yes	No	
The frequency of contact arranged was sufficient to:			
facilitate the delivery of the sentence	<input type="radio"/>	<input type="radio"/>	/
deliver the sentence planning objectives	<input type="radio"/>	<input type="radio"/>	/
monitor changes in dynamic risk factors	<input type="radio"/>	<input type="radio"/>	/
take full account of the likelihood of reoffending	<input type="radio"/>	<input type="radio"/>	/
take full account of the assessed level of risk of harm.	<input type="radio"/>	<input type="radio"/>	/
[At least weekly for high & v high RoSH cases]			
The level of contact maintained with the offender in custody was sufficient to contribute to the post-release planning and case management.	<input type="radio"/>	<input type="radio"/>	/
[licence cases only]			
On balance, was the level of contact arranged with the offender sufficient?			
	Yes	<input type="radio"/>	+
	No	<input type="radio"/>	-

2.2.e *Resources are used appropriately to promote positive outcomes.*

2.2.e.1 D.2.2.9

Was an appropriate level of resource allocated throughout the sentence?			
Please mark the following:	Yes	No	N/A
The allocated resources were sufficient to address:			
the likelihood of reoffending	<input type="radio"/>	<input type="radio"/>	/
the risk of harm	<input type="radio"/>	<input type="radio"/>	/
the purpose of the sentence	<input type="radio"/>	<input type="radio"/>	/
any relevant diversity needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The resources allocated were too high for the needs of the case.	<input type="radio"/>	<input type="radio"/>	/
[Yes is negative and No is positive for this point]			
Overall, was an appropriate level of resource allocated throughout the sentence?			
	Yes	<input type="radio"/>	+
	No	<input type="radio"/>	-

2.2.f *The responsible officer/ offender manager is responsible for and takes a leading role in the management of sentence.*

2.2.f.1 D.2.2.10 Was there evidence that the offender manager/ responsible officer took a leading role in the management of the sentence in relation to other workers?

Yes +

No -

No other workers \

2.2.g *Actions are taken to secure compliance and enforce sentences, and re-engage offenders following breach or recall.*

2.2.g.1 D.2.2.11 Did the offender manager/ responsible officer monitor offender attendance across all parts of the order or licence?

Yes +

No -

D.2.2.12 Did the offender manager/ responsible officer take a timely and investigative approach to instances of non-compliance?

Yes +

No -

Not necessary \

2.2.g.2 D.2.2.13 Was effective action taken by other workers/ agencies to secure compliance with, or support enforcement of all interventions?

Yes +

No -

Not necessary/ no other workers \

D.2.2.14 Was effective action taken by other workers/ agencies to engage with the offender to increase motivation and promote future engagement and compliance?

Yes +

No -

Not necessary/ no other workers \

D.2.2.15 Were there any absences or instances of unacceptable behaviour in this case?
 [not scoring]

	Yes	O	/
go to TB D.2.2.g	No	O	/

2.2.g.3 D.2.2.16 Were professional judgements about the acceptability of absence and other offender behaviour appropriate?

Please mark the following:	Yes	No	N/A	
The judgements were:				
reasonable	O	O		/
consistent	O	O	O	/
clearly recorded	O	O		/
Overall, were professional judgements about the acceptability of absence and other offender behaviour appropriate?				
	Yes	O		+
	No	O		-

D.2.2.17 Was a clear and timely formal warning given to the offender?

	Yes	O	+
	No	O	-
	Not required	O	\

2.2.g.4 D.2.2.18 Were legal proceedings or recall used appropriately in response to absence or other offender behaviour?
 [Note that use of enforcement proceedings or recall in response to an increase in the offender's risk of harm is covered in D.4.2.6]

remove list below, go to TB D.2.2.g	Use not required	O	\
remove list below, go to TB D.2.2.g	Use required but not made	O	-
If use was made please mark the following:	Yes	No	N/A
the legal proceedings or recall were instigated promptly	O	O	/
a clear explanation was given to the offender.	O	O	O
Overall, were legal or recall used appropriately in response to absence or other offender behaviour?			
	Yes	O	+

Use made but not appropriate **-**

2.2.g.5 D.2.2.19 Was sufficient effort made to re-engage the offender with their sentence plan, and encourage their commitment to continued engagement?

Yes **+**

No (or no sentence plan) **-**

D.2.2.20 Was this:
[\[not scoring\]](#)
 in the community following breach of a community sentence? **/**

while in custody after recall on licence? **/**

following re-release after recall on licence? **/**

2.2.h Work with the offender is reviewed and is informed by reviews of the assessment of likelihood of reoffending and risk of harm.

2.2.h.1 D.2.2.21 Was there a sufficient review of work with the offender?

[remove list below, go to TB D.2.2.h](#) Review not required ****

[remove list below, go to TB D.2.2.h](#) Review not completed **-**

If the review was completed please mark the following: Yes No N/A

The review of work with the offender was:

in line with the timescale stated in the initial plan, or there was a recorded explanation for otherwise	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
within a reasonable interval after the initial sentence planning or last review done promptly following any significant change	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
informed as required by a review of the assessment of the likelihood of reoffending	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
informed as required by a review of the assessment of the risk of harm to others	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
informed by a review of any other relevant assessments	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
informed by progress reports from others involved with the offender	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
used to record progress against objectives	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
used to prioritise objectives appropriately	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
used to allocate additional resources if required.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/

Overall, was there a sufficient review of work with the offender?

Yes	<input type="radio"/>	+
Review not sufficient	<input type="radio"/>	-

2.2.h.2 D.2.2.22

Where required was the review of work with the offender used to promote compliance and support desistance?

[remove list below](#) Not required ****

If required please mark the following:	Yes	No	
The review of work was:			
undertaken in a way that enabled the offender to participate fully	<input type="radio"/>	<input type="radio"/>	/
used as an opportunity to reinforce and increase the offender's commitment to the sentence and the work being undertaken	<input type="radio"/>	<input type="radio"/>	/
used as an opportunity to celebrate and reinforce progress.	<input type="radio"/>	<input type="radio"/>	/

Overall, was the review of work with offender used to promote compliance and support desistance?

Yes	<input type="radio"/>	+
No	<input type="radio"/>	-

2.2.h.3 D.2.2.23

Where required did the review of work with the offender focus on further work to be done?

[remove list below](#) Not required ****

If required please mark the following:	Yes	No	
The review:			
restated/ reframed the objectives and actions and/ or incorporated new objectives/ actions	<input type="radio"/>	<input type="radio"/>	/
described the ongoing level and pattern of contact	<input type="radio"/>	<input type="radio"/>	/
indicated when work with the offender would be next reviewed, including a record of any contingencies or changes that would prompt an unscheduled review	<input type="radio"/>	<input type="radio"/>	/
[within the plan or elsewhere in the case management system]			
set a period for further reviews that was appropriate to the case.	<input type="radio"/>	<input type="radio"/>	/

Overall, did the review of work with the offender focus on further work to be done?

Yes	<input type="radio"/>	+
No	<input type="radio"/>	-

2.2.h.4 D.2.2.24 If required in the light of any review, was there an appropriate

reallocation to a different level of service?

- Yes +
- No -
- Not required \

2.2.i *Transfer of cases is managed in a way which ensures the integrity of the sentence and the protection of the public. Information is exchanged to enable continuity of sentence planning and delivery.*

D.2.2.25 Was there a transfer of the overall management of the case (the Responsible Officer role) between DIFFERENT trusts?
 [or between a trust and another organisation, or between two different organisations]
 [not scoring]

- include D.2.2.26 - 31 Yes /
- go to D.2.2.32 No /

D.2.2.26 Was this a transfer:
 [not scoring]

- remove D.2.2.27 IN /
- remove D.2.2.28, 29 & 30 OUT /

2.2.i.1 D.2.2.27
 pc

Was the transfer from the originating organisation handled appropriately?

Please mark the following:	Yes	No	N/A	
The transfer from the originating organisation involved provision of:				
an up to date likelihood of reoffending assessment and sentence plan relating to the current sentence	<input type="radio"/>	<input type="radio"/>		/
an up to date risk of harm assessment, and risk management plan relating to the current sentence unless low risk of harm	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
any other key documents. [including those relating to multi-agency child protection procedures].	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
Allowing transfer rather than using enforcement or recall was the appropriate course of action.	<input type="radio"/>	<input type="radio"/>		/
Overall, was the transfer from the originating organisation handled appropriately?				
	Yes	<input type="radio"/>		+
	No	<input type="radio"/>		-

2.2.i.2 D.2.2.28

Was the transfer into the receiving organisation handled

appropriately?				
Please mark the following:		Yes	No	N/A
Within a reasonable period of time following the transfer into the receiving organisation there was a sufficient update of:				
the likelihood of reoffending assessment and sentence plan		<input type="radio"/>	<input type="radio"/>	/
the risk of harm assessment and RMP.		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Accepting transfer rather than using enforcement or recall was the appropriate course of action.		<input type="radio"/>	<input type="radio"/>	/
Overall, was the transfer into the receiving organisation handled appropriately?				
		Yes	<input type="radio"/>	<input checked="" type="radio"/>
		No	<input type="radio"/>	<input type="radio"/>

- D.2.2.29 Did the transfer also involve the offender moving geographical area?
[not scoring]
- include D.2.2.30 Yes /
go to TB D.2.2.i No /

2.2.i.3	D.2.2.30 pc	Was the offender moving into this geographical area handled appropriately?				
		Please mark the following:		Yes	No	N/A
		The transfer into the receiving organisation involved:				
		making an appointment with the offender as soon as possible [e.g. within 5 days of notification of them living in the area]		<input type="radio"/>	<input type="radio"/>	/
	pc	undertaking a home visit to the offender's new address as soon as possible following notification of them living in the area if high or very high risk of harm or if there were concerns about protecting children. [e.g. within 10 days at most]		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
		Overall, was the offender moving geographical area handled appropriately?				
				Yes	<input type="radio"/>	<input checked="" type="radio"/>
				No	<input type="radio"/>	<input type="radio"/>

- 2.2.i.4 D.2.2.31 At every point in the transfer process was there clarity about who was managing the case?

Yes +
 No -

2.2.j *Offender records support the management of the case, and relevant information is accessible or communicated to all those involved.*

2.2.j.1 D.2.2.32 Did the overall case record contain sufficient information to support the overall management of the case?

Please mark the following:

	Yes	No	
The overall case record:			
was well organised	<input type="radio"/>	<input type="radio"/>	/
contained all relevant documents.	<input type="radio"/>	<input type="radio"/>	/
[If you answer NO please state which were missing below]			
The recording of information:			
was clear	<input type="radio"/>	<input type="radio"/>	/
was timely	<input type="radio"/>	<input type="radio"/>	/
reflected the work carried out.	<input type="radio"/>	<input type="radio"/>	/
Overall, did the overall case record contain sufficient information to support offender management tasks?			
	Yes	<input type="radio"/>	+
	No	<input type="radio"/>	-

2.2.j.2 D.2.2.33 Is there evidence that relevant case information was accessible by or communicated to all those involved in the management of the offender, including third parties?

Yes +
 No -

TB D.2.2.j Please enter any additional comments here:

D.3.2 DELIVERY OF INTERVENTIONS TO REDUCE THE LIKELIHOOD OF REOFFENDING

Interventions are delivered to address offending related factors and reduce the likelihood of reoffending.

3.2.a *Interventions are delivered to encourage and challenge offenders to accept responsibility for their offending behaviour.*

3.2.a.1 D.3.2.1 Did constructive interventions encourage and challenge the offender to take responsibility for their actions and decisions related to

offending?

Yes +

No -

N/A – unpaid work only \

3.2.a.2 D.3.2.2 Did contact between the offender manager and the offender maintain a focus on the behavioural changes required to reduce the likelihood of reoffending?

Yes +

No -

N/A – unpaid work only \

D.3.2.3 Did planned interventions include delivery of an accredited programme?
[not scoring]

include D.3.2.4 & 5

Yes /

go to D.3.2.6

No /

D.3.2.4 Which type of programme applied?
[not scoring]

ART (aggression replacement training) /

CALM (controlling anger & learning to manage it) /

COVAID (control of violence for angry impulsive drinkers) /

IDAP (integrated domestic abuse programme) /

CDVP (community domestic violence programme) /

BBR (building better relationships) /

Thinking skills /

Sex offender /

Substance misuse (inc drink driving) /

Other – please enter details below /

Free text box

3.2.a.3 D.3.2.5 Was the timing of the programme consistent with the sentence plan?

remove list below

Yes – already delivered +

[remove list below](#)

Yes – plan to deliver at appropriate time in the future [+](#)

No – delivered late [-](#)

No – not yet delivered but should have been [-](#)

If NO please mark all those that applied:

insufficient evening or weekend provision [/](#)

programme not run frequently enough [/](#)

programme not available at all [/](#)

offender did not cooperate [/](#)

other – please enter details below. [/](#)

3.2.a.4 D.3.2.6

Did approved premises offer constructive interventions in line with offender need and sentence plan objectives?

- Yes [+](#)
- No [-](#)
- Not used [\](#)

D.3.2.7

In View 0 Q13a. you have indicated this order included a Specified Activity Requirement.
 Please write below which activity(ies) were required, noting ALL interventions/ providers that applied.
[\[route in from View 0 Q13a.: All Community & Suspended Sentence Orders with Specified Activity Requirement\]](#)
[\[not scoring\]](#)

D.3.2.8

How was the activity(ies) delivered?
[\[route in as above\]](#)
[\[not scoring\]](#)

Please mark all those that apply:

- Delivered individually by offender manager [/](#)
- Delivered individually by another person [/](#)
 – please enter details below

Delivered as a group activity /

3.2.a.5 D.3.2.9 Did the Specified Activity make the intended contribution to the planned work with the offender?
[route in as above]

Yes +

No -

Topic D.3.2.9.T Were interventions to address alcohol use delivered in line with sentence plan objectives?
[route in from C.2.1.15.T]
[not scoring]

Yes /

No /

Not required /

3.2.b Contact with the offender reinforces the impact of interventions and facilitates community integration to sustain positive outcomes.

3.2.b.1 D.3.2.10 Was the offender prepared thoroughly for interventions delivered throughout the order or licence?

Yes +

No -

3.2.b.2 D.3.2.11 Did the offender manager/ responsible officer routinely review with the offender the work the offender did in other parts of the order or licence, to promote and reinforce learning?

Yes +

No -

Not required \

3.2.b.3 D.3.2.12 Was the offender informed of local services to support and sustain desistance from offending, and rehabilitation in relation to offending related factors?

Yes +

No -

Not required \

D.3.2.13 Was the offender referred to such services where appropriate?

Yes +

No -

Not required \

3.2.b.4 D.3.2.14 Number not used

3.2.c Assessments of likelihood of reoffending are reviewed when required.

3.2.c.1 D.3.2.15 Was there a sufficient review of the likelihood of reoffending assessment when required?

[remove list below](#) Review not required \

[remove list below](#) Review not completed -

If the review was completed please mark the following: Yes No N/A

The assessment was reviewed sufficiently:
within a reasonable interval after the initial sentence planning or previous review promptly following any significant change. /

The review:
took into account changes in relevant factors /

was informed by information sought from others involved with the offender /

For any further reviews the planned review period was appropriate to the case. /

Overall, was there a sufficient review of the likelihood of reoffending assessment?

Yes +

Review not sufficient -

TB
D.3.2.c Please enter any additional comments here:

D.4.2 DELIVERY OF INTERVENTIONS TO MINIMISE RISK OF HARM TO OTHERS

All reasonable action is taken to minimise individuals' risk of harm.

4.2.a The public is protected by the management of risk of harm and monitoring of restrictive requirements.

4.2.a.1 D.4.2.1 Was there an appropriate response to changes in risk of harm?

	remove list below	No change	<input type="radio"/>	↘
If there were changes please mark the following:		Yes	No	N/A
Changes were:				
	identified swiftly	<input type="radio"/>	<input type="radio"/>	/
	acted on appropriately by all relevant staff.	<input type="radio"/>	<input type="radio"/>	/
	Where necessary other agencies were notified of any increase in risk of harm.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Overall, was there an appropriate response to changes in risk of harm?				
		Yes	<input type="radio"/>	+
		No	<input type="radio"/>	-

4.2.a.2 D.4.2.2 Were restrictive requirements in licences and community orders monitored fully?

Yes +

No -

No restrictive requirements ↘

4.2.a.3 D.4.2.3 Were approved premises used effectively as a restrictive intervention to manage risk of harm.?

Yes +

No -

Not used ↘

4.2.a.4 D.4.2.4 **pc** Was an initial and purposeful home visit carried out because the case was high/v high RoSH, or to support the protection of children, or for some other necessary reason?

Yes +

Yes – but not purposeful -

No – but should have been -

Not required ↘

4.2.a.5 D.4.2.5 **pc** Were purposeful 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?

- Yes +
- Yes – but not purposeful -
- No repeat visits – but there should have been -
- Not required \

4.2.b Breach and recall are used in response to an increase in offenders' risk of harm.

4.2.b.1 D.4.2.6 Were enforcement proceedings or recall used appropriately, if required specifically in response to an increase in the offender's risk of harm?
 [Note that use of enforcement proceedings or recall in response to absence or other offender behaviour is covered in D.2.2.18]

remove list below Use not required \

go to TB D.4.2.b
 remove list below Use required but not made -

go to TB D.4.2.b

If use was made please mark the following: Yes No

the breach or recall was Instigated promptly /

a clear explanation was given to the offender. /

Overall, was breach or recall used appropriately in response to an increase in the offender's risk of harm?

Yes +

Use made but not appropriate -

4.2.b.2 D.4.2.7.A Was sufficient effort made to re-engage the offender with their sentence plan, and encourage their commitment to continued engagement?

Yes +

No -

D.4.2.7.B Was this:
 [not scoring]

in the community following breach of a community sentence? /

while in custody after recall on licence? /

following re-release after recall on licence? /

4.2.c Multi-agency structures for protecting and safeguarding the public are used where required.

4.2.c.1 D.4.2.8 Were MAPPA operated effectively?

[route in from question B.4.1.17 = Level 2 & 3]

Please mark the following:	Yes	No	N/A	
Decisions taken within the MAPPA were:				
clearly recorded	<input type="radio"/>	<input type="radio"/>		/
followed through and acted upon	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
and reviewed appropriately.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
all relevant staff working with the offender contributed effectively to MAPPA	<input type="radio"/>	<input type="radio"/>		/
Overall, were MAPPA operated effectively?				
		Yes	<input type="radio"/>	+
		No	<input type="radio"/>	-

4.2.c.2 D.4.2.9
pc

Were multi-agency child protection procedures used effectively?

[remove list below](#) Not required \

If procedures were required please mark the following:	Yes	No	N/A	
Decisions taken within the agency child protection procedures were:				
clearly recorded	<input type="radio"/>	<input type="radio"/>		/
communicated, followed through and acted upon	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
and reviewed appropriately.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
All relevant staff working with the offender contributed effectively to multi-agency child protection procedures.	<input type="radio"/>	<input type="radio"/>		/
The offender manager or a representative attended and contributed to all child protection conferences and core groups	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
An appropriate written report was submitted to all child protection conferences and core group meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
Overall, were multi-agency child protection procedures used effectively?				
		Yes	<input type="radio"/>	+
		No	<input type="radio"/>	-

pc

pc

4.2.c.3 D.4.2.10 Was ViSOR used effectively?

Yes +

No -
 Not required \

4.2.d *The safety of victims is given a high priority.*

4.2.d.1 D.4.2.11 Was appropriate priority accorded to the safety of current and potential victims by the offender manager/ responsible officer and other workers?

Yes +
 No -
 N/A \

4.2.d.2 D.4.2.12 Was there evidence that the offender manager/ responsible officer took into account any concerns expressed by the victim and/ or the likely impact of the offender's behaviour on the victim?

Yes +
 No -
 N/A \

4.2.e *Risk management plans are implemented, and assessments of risk of harm and risk management plans are reviewed when required.*

4.2.e.1 D.4.2.13 Was there evidence that the actions set out in the risk management plan were carried out as required?
 [route out if 4.1.1 = Low RoSH]

Yes +
 No -

4.2.e.2 D.4.2.14 Was there a sufficient review of the risk of harm assessment?

[remove list below](#) Review not required \

[remove list below](#) Review not completed -

If the review was completed please mark the following:

The assessment was reviewed sufficiently:	Yes	No	N/A	
within a reasonable interval after the initial assessment or last review	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
promptly following any significant change.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
The review:				
took into account changes in relevant factors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
was informed by information sought from others involved with the offender	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/

was informed by relevant information from multi-agency systems	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
contained sufficient analysis of risk.	<input type="radio"/>	<input type="radio"/>		/
Overall, was there a sufficient review of the risk of harm assessment?				
		Yes	<input type="radio"/>	+
		Review not sufficient	<input type="radio"/>	-

4.2.e.3 D.4.2.15

Was there a sufficient review of the risk management plan?				
remove list below	Review not required	<input type="radio"/>		\
remove list below	Review not completed	<input type="radio"/>		-
If the review was completed please mark the following:	Yes	No	N/A	
The RMP was reviewed sufficiently:				
within a reasonable interval after the initial RMP or last review	<input type="radio"/>	<input type="radio"/>		/
promptly following any significant change	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	/
The review:				
contained sufficient information	<input type="radio"/>	<input type="radio"/>		/
anticipated possible changes in risk of harm factors and included relevant contingency planning and events that should prompt a further review.	<input type="radio"/>	<input type="radio"/>		/
For any further reviews the planned review period was appropriate to the case.	<input type="radio"/>	<input type="radio"/>		/
Overall, was there a sufficient review of the risk management plan?				
		Yes	<input type="radio"/>	+
		Review not sufficient	<input type="radio"/>	-

4.2.f *There is structured and effective management involvement where required in risk of harm and child safeguarding cases.*

4.2.f.1 D.4.2.16 **pc**

Was there structured management involvement because the case was high/v high RoSH or there were concerns about protecting children?

Yes – effective	<input type="radio"/>	+
Yes – but not effective	<input type="radio"/>	-
No	<input type="radio"/>	-
Not applicable OR No significant issues	<input type="radio"/>	\

Data table for this question to include answer options in total, and separated according to: high & v high RoSH / CP / high & v high RoSH + CP (from Q19 Yes & B.4.1.4).

TB
D.4.2.f

Please enter any
additional comments here:

[Free text box](#)

TB
D.W.

Please enter here any additional, overall comments on Delivery and
Review, relating to the fact that this case is a women offender:

[\[route in from Q5 = female\]](#)

[Free text box](#)

View 3 – Section E OUTCOMES

E.2.3 INITIAL OUTCOMES ARE ACHIEVED

The sentence is delivered and sentence plan objectives achieved.

2.3.a *The sentence is delivered as intended by the court, including any punitive requirements. Offender compliance is promoted. Where appropriate the sentence is enforced.*

- | | | | |
|---------|---------|--|---|
| 2.3.a.1 | E.2.3.1 | <p>Were the requirements of the sentence delivered as intended?
 [As far as practicable at this point in the sentence]</p> | <p>Yes <input type="radio"/> +</p> <p>No <input type="radio"/> —</p> |
| 2.3.a.2 | E.2.3.2 | <p>Were the reporting instructions given (appointments arranged) sufficient for the purpose of carrying out the sentence of the Court?
 [The benchmark here is lower than for question D.2.2.8. Please see CAG for details]</p> | <p>Yes <input type="radio"/> +</p> <p>No <input type="radio"/> —</p> |
| 2.3.a.3 | E.2.3.3 | <p>Did the offender comply with the requirements of the sentence, without the need for the offender manager/ responsible officer to take action to promote compliance?</p> | <p style="text-align: center;">go to TB E.2.3.a</p> <p>Yes <input type="radio"/> +</p> <p>No <input type="radio"/> —</p> |
| | E.2.3.4 | <p>Was action taken to promote compliance (including any punitive requirements)?
 [Where action was required on more than one occasion, mark the first answer that applied in any of them]
 [not scoring]</p> | <p>No – and there should have been action to promote compliance (breach or recall was subsequently required) <input type="radio"/> /</p> <p>No – and this was appropriate because immediate breach or recall action needed to be taken <input type="radio"/> /</p> <p>Yes – but was not successful and breach or recall was subsequently required <input type="radio"/> /</p> <p>Yes – and was successful in that the offender then complied
 go to TB E.2.3.a <input type="radio"/> /</p> <p>Other – please record details below. <input type="radio"/> /</p> |

2.3.a.4 E.2.3.5 Was breach or recall used on all occasions when required?

Yes +

No -

Not required \

2.3.b There is no further offending during the period of supervision. Where appropriate early revocation is applied for.

2.3.b.1 E.2.3.6 Has the offender:
[Please indicate the most serious which applied from top down]

been convicted for an offence committed since the start of the sentence or release on licence? -

been cautioned for an offence committed since the start of the sentence or release on licence? -

received any other type of disposal related to their behaviour during the duration of the sentence or licence e.g. SOPO, Restraining Order or Penalty Notice? -

been charged with an offence committed since the start of the sentence or release on licence? -

none of the above? +

2.3.b.2 E.2.3.7 Was the order terminated early for good progress?
[Community Orders only]

Terminated early appropriately +

Terminated early but should NOT have been -

Not terminated early (for good progress) and this was appropriate \

Not terminated early but could have been -
include E.2.3.8

E.2.3.8 Was the order not terminated early for good progress because:
[Community Orders only]
[not scoring]

an application was not made to the court? /

the court refused the application? /

2.3.c Sentence planning objectives are achieved as intended.

2.3.c.1 E.2.3.9 Were the Sentence Planning objectives achieved?

- Fully **+**
- Partly **+**
- No **-**

E.2.3.10 Including the PSR writer, how many OMs managed this case?
 [not scoring]

[go to TB 2.3.c](#)

- 1 /
- 2 /
- 3 or more /

2.3.c.2 E.2.3.11 Was the delivery of sentence planning objectives maintained where there was a change of offender manager/ responsible officer?

- Yes **+**
- No **-**

TB
 E.2.3.c Please enter any additional comments here:

[Free text box](#)

E.3.3 LIKELIHOOD OF REOFFENDING IS REDUCED

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.

3.3.a Interventions and services are available and delivered. There is improvement in factors associated with the likelihood of reoffending.

3.3.a.1 E.3.3.1 Was there a sufficient record of the degree of progress or change made by the offender?
 [route out for UW only]

- Yes **+**
- No **-**

3.3.a.2 E.3.3.2 In question B.3.1.3 you identified these factors as making this offender more likely to reoffend. For which of them **were there sufficient services and interventions available?**
 [route in options from B.3.1.3]
 [route out for UW only]
 [not scoring]

- Accommodation /
- Employment, training and education /
- Financial management /

- Relationships /
- Lifestyle & associates /
- Gang membership /
- Drug misuse /
- Alcohol misuse /
- Emotional well-being /
(including mental health and behavioural issues)
- Thinking & behaviour /
- Attitudes to offending /
- Discriminatory attitudes /
- NONE – insufficient services and interventions available to address any relevant factor /

3.3.a.3 E.3.3.3

In question B.3.1.3 you identified these factors as making this offender more likely to reoffend. For which of them **had sufficient interventions been delivered** by this point in the sentence?

[\[route in options from B.3.1.3\]](#)

[\[route out for UW only\]](#)

[\[not scoring\]](#)

- Accommodation /
- Employment, training and education /
- Financial management /
- Relationships /
- Lifestyle & associates /
- Gang membership /
- Drug misuse /
- Alcohol misuse /
- Emotional well-being /
(including mental health and behavioural issues)
- Thinking & behaviour /
- Attitudes to offending /
- Discriminatory attitudes /
- NONE - insufficient interventions delivered to address any relevant factor /

3.3.a.4 E.3.3.4 In question B.3.1.3 you identified these factors as making this offender more likely to reoffend. For which of them **had sufficient progress been made** by this point in the sentence?
[\[route in options from B.3.1.3\]](#)
[\[route out for UW only\]](#)
 [not scoring]

- | | | |
|--|--------------------------|---|
| Accommodation | <input type="checkbox"/> | / |
| Employment, training and education | <input type="checkbox"/> | / |
| Financial management | <input type="checkbox"/> | / |
| Relationships | <input type="checkbox"/> | / |
| Lifestyle & associates | <input type="checkbox"/> | / |
| Gang membership | <input type="checkbox"/> | / |
| Drug misuse | <input type="checkbox"/> | / |
| Alcohol misuse | <input type="checkbox"/> | / |
| Emotional well-being
(including mental health and behavioural issues) | <input type="checkbox"/> | / |
| Thinking & behaviour | <input type="checkbox"/> | / |
| Attitudes to offending | <input type="checkbox"/> | / |
| Discriminatory attitudes | <input type="checkbox"/> | / |
| NONE – insufficient progress on any relevant factor | <input type="checkbox"/> | / |

3.3.a.5 E.3.3.5 Had sufficient overall progress been made in relation to the factors you identified as making the offender more likely to reoffend?
[\[route out for UW only\]](#)

- | | | |
|---|-----------------------|---|
| Good progress on the most significant factors | <input type="radio"/> | + |
| Progress on some of the significant factors, but not all | <input type="radio"/> | + |
| Insufficient progress on the most significant factors | <input type="radio"/> | - |
| Evidence of deterioration in relation to significant factors related to offending | <input type="radio"/> | - |

3.3.b *Interventions and resources are used to reduce factors associated with the likelihood of reoffending.*

3.3.b.1 E.3.3.6 Have resources been used efficiently to help the offender achieve the planned outcomes in this case?
[\[route out for UW only\]](#)

- | | | |
|-----|-----------------------|---|
| Yes | <input type="radio"/> | + |
|-----|-----------------------|---|

No O —

E.3.3.7 Was there any evidence of the impact of the restorative justice intervention on the offender?
[route out for UW only]
[not scoring]

Yes – please record details below O /

No O /

N/A O /

3.3.c *Improved community integration sustains positive outcomes.*

3.3.c.1 E.3.3.8 Where relevant was there evidence of improved integration in the community, or improved family relationships?
[route out for UW only]

Yes O +

No O —

Not relevant O \

3.3.c.2 E.3.3.9 Was action is taken or were plans in place to ensure that positive outcomes were sustainable beyond the end of the sentence?
[route out for UW only]

Yes O +

No O —

Not relevant, or too early in sentence O \

TB
E.3.3.c Please enter any additional comments here:

Free text box

E.4.3 RISK OF HARM TO OTHERS IS MINIMISED

All reasonable action is taken to minimise individuals' risk of harm to others.

4.3.a *All reasonable action is taken minimise risk of harm.*

4.3.a.1 E.4.3.1 Had all reasonable action been taken to keep to a minimum the offender's risk of harm to others?
[not scored for RoH]

Yes O +

No O —

4.3.b *Multi-agency work contributes effectively to the management of risk of harm.*

4.3.b.1	E.4.3.2 pc	<p>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? [DV & CP cases only]</p> <p style="text-align: right;">include E.4.3.3</p> <p style="text-align: right;">Yes <input type="radio"/> +</p> <p style="text-align: right;">No <input type="radio"/> -</p> <p>Please mark the following:</p> <p>Checks had been made to:</p> <p style="text-align: right;">Yes No N/A</p> <p style="text-align: right;">Police DVU <input type="radio"/> <input type="radio"/> <input type="radio"/> /</p> <p style="text-align: right;">pc Children's Services <input type="radio"/> <input type="radio"/> <input type="radio"/> /</p>
4.3.b.2	E.4.3.3	<p>Was appropriate action taken by the offender manager in the light of this information? [DV & CP cases only]</p> <p style="text-align: right;">Yes – appropriate action WAS taken <input type="radio"/> +</p> <p style="text-align: right;">No – appropriate action NOT taken <input type="radio"/> -</p> <p style="text-align: right;">No reports or concerns <input type="radio"/> \</p>
	E.4.3.3.T pc	<p>Where a risk of harm was identified to either the child/children or their main carer, was a referral made to children's social care services, in line with the local protocol?</p> <p style="text-align: right;">Yes – appropriate referral WAS made <input type="radio"/> +</p> <p style="text-align: right;">No – appropriate referral NOT made <input type="radio"/> -</p> <p style="text-align: right;">No concerns <input type="radio"/> \</p>
	E.4.3.3.U pc	<p>Was the referrals monitored and followed up to ensure an appropriate response?</p> <p style="text-align: right;">Yes <input type="radio"/> +</p> <p style="text-align: right;">No <input type="radio"/> -</p> <p style="text-align: right;">No referral <input type="radio"/> \</p>
4.3.b.3	E.4.3.4	<p>Were plans in place to minimise the risk of harm presented by the offender in the longer term, when no longer subject to MAPPA?</p> <p style="text-align: right;">Yes <input type="radio"/> +</p> <p style="text-align: right;">No <input type="radio"/> -</p> <p style="text-align: right;">Not required <input type="radio"/> \</p>

E.4.3.5 Had multi-agency work contributed effectively to the management of risk of harm to others?

- Yes +
- No -
- Not required \

4.3.c *The safety of victims and children is promoted.*

4.3.c.1 E.4.3.6 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?

- Yes +
- No -
- N/A \

4.3.c.2 E.4.3.7 **pc** Where necessary was the safety of children promoted?

- Yes +
- No -
- N/A \

TB E.4.3.C Please enter any additional comments here:

TB E.W. Please enter here any additional, overall comments on Outcomes, relating to the fact that this case is a women offender:
[\[route in from Q5 = female\]](#)

View 4 – Sections F Victims & restorative justice

G LEADERSHIP & MANAGEMENT

F.5.5 VICTIM CONTACT AND RESTORATIVE JUSTICE

Victim safety is given a high priority, and restorative justice interventions delivered for the benefit of victims.

5.5.a Victim safety is given a high priority (also 4.2d). Statutory victim contact work is undertaken where required.

5.5.a.1	F.5.5.1	Where statutory victim contact was required: [route in from Q9]			
	A	Was an offer of face to face contact with the VLO is made to the victim?	Yes	<input type="radio"/>	+
				<input type="radio"/>	-
	B	Was the offer made within 8 weeks of sentence?	Yes	<input type="radio"/>	+
			No	<input type="radio"/>	-
	C	Did statutory victim contact proceed? [not scoring]	Yes	<input type="radio"/>	/
		go to TB 5.5.a	No	<input type="radio"/>	/

5.5.a.2	F.5.5.2	Was the quality of statutory victim contact sufficient? [route in from Q9]			
		Please mark the following:	Yes	No	N/A
		There was regular and accurate information exchange between:			
		the offender manager and the VLO	<input type="radio"/>	<input type="radio"/>	/
		the offender manager and prison staff.	<input type="radio"/>	<input type="radio"/>	/
		Victim(s) were offered an opportunity to:			
		provide views on proposed licence conditions	<input type="radio"/>	<input type="radio"/>	/
		to see the relevant part of any appropriate report.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
		Victim(s) were informed of:			
		any relevant conditions of release	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
		any relevant events during the offenders sentence.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
		Overall, was the quality of statutory victim contact sufficient?			
			Yes	<input type="radio"/>	+
			No	<input type="radio"/>	-

5.5.b Restorative justice interventions provide satisfactory outcomes for victims.

Questions in this Section do not contribute to headline or overall Section scores.

- 5.5.b.1 F.5.5.3 Was a restorative justice intervention offered to the victim in this case?
- [include F.5.5.4](#) Yes **+**
- No **-**
- Not applicable/ not appropriate ****
- F.5.5.4 Was the offer taken up by the victim?
[not scoring]
- [include F.5.5.5 – 8](#) Yes **/**
- No **/**
- 5.5.b.2 F.5.5.5 Is there evidence that the offender was enabled to take part in restorative processes?
- Yes **+**
- No **-**
- Not required or not appropriate ****
- 5.5.b.3 F.5.5.6 Was there sufficient assessment of offender suitability and victim safety?
- Yes **+**
- No **-**
- 5.5.b.4 F.5.5.7 What type of intervention took place?
[not scoring]
- Face to face meeting **/**
- Letter of apology **/**
- Other – please record details below **/**
- [go to TB F.5.5.b](#) None – please record reason below **/**
- F.5.5.8 Was the outcome of the restorative justice intervention for the victim satisfactory?
- Yes **+**
- Partly **+**
- No **-**

Not known —

TB
F.5.5.b

Please enter any
additional comments here:

Free text box

G.2.4 LEADERSHIP AND MANAGEMENT TO DELIVER THE SENTENCE AND ACHIEVE INITIAL OUTCOMES

Resources are in place to ensure the delivery of sentences. Staff supervision and development supports practice and achievement of initial outcomes.

Questions in this Section do not contribute to headline or overall Section scores.

2.4.a *The deployment of resources supports the delivery of work with offenders and victims, and services to courts.*

G.2.4.1 Is this the first time this member of staff has been interviewed?

include all remaining Section G questions Yes /

end of form No /

end of form No one available /

2.4.b.1 G.2.4.2 If you have any diversity needs to what extent have they been reasonably addressed by the organisation?

This question is intentionally
out of the order of the criteria

Excellent /

Sufficient /

Insufficient /

Poor /

No diversity needs that could be reasonably addressed /

2.4.a.1 G.2.4.3 Are workloads actively monitored?

Yes +

No —

Not sure \

G.2.4.4 Are workloads managed in a fair and transparent way?

Yes +

No —

			Not sure	<input type="radio"/>	∖
2.4.a.2	G.2.4.5	Are planned staff absences managed to minimise the impact on the continuity of offender management?			
			Yes	<input type="radio"/>	+
			No	<input type="radio"/>	-
	G.2.4.6	Are unplanned staff absences managed to minimise the impact on the continuity of offender management?			
			Yes	<input type="radio"/>	+
			No	<input type="radio"/>	-
2.4.b	<i>Professional oversight and supervision supports practitioners in the delivery of sentences and the achievement of initial outcomes.</i>				
	G.2.4.7	Is the person who countersigns your work:			
		A senior practitioner or equivalent?		<input type="radio"/>	/
		A middle manager?		<input type="radio"/>	/
		A senior manager?		<input type="radio"/>	/
2.4.b.2	G.2.4.8	Does this manager have the skills to:			
	A	assess the quality of your work?	Yes	<input type="radio"/>	+
			No	<input type="radio"/>	-
	B	assist you to develop your work?	Yes	<input type="radio"/>	+
			No	<input type="radio"/>	-
	C	and support you in your work?	Yes	<input type="radio"/>	+
			No	<input type="radio"/>	-
2.4.b.3	D	Are they actively involved in helping you to improve the quality of your work?	Yes	<input type="radio"/>	+
			No	<input type="radio"/>	-
2.4.b.4	G.2.4.9	Is routine countersigning/ management oversight of your work an active process?			
			Yes always	<input type="radio"/>	/
			Sometimes	<input type="radio"/>	/

Not enough O /

2.4.b.5 G.2.4.10 How frequently, on average, in the last 12 months have you received formal supervision?

Half yearly or less O /

Quarterly O /

6 weekly O /

Monthly O /

More frequently O /

2.4.b.5 G.2.4.11 Which of the following are included in the content of supervision meetings?
(Please mark all those that apply)

Case discussion /

Performance targets/ feedback /

Dissemination of information /

Personal well-being /

Training and development /

Career development /

Other – please enter details below /

Free text box

2.4.c *Learning and development opportunities promote and support good quality practice.*

2.4.c.1 G.2.4.12 Are any particular methods or techniques used to help you develop your practice (in formal supervision, or in other development activities)?
(Please mark all those that apply)

include following three options Mentoring or coaching /

by SPO/ manager /

by senior practitioner /

by other person /
– please enter details below

- include following three options
- Observation of practice with reflection /
 - by SPO/ manager /
 - by senior practitioner /
 - by other person /
 - please enter details below
 - Action learning sets or similar /
 - No particular methods or techniques used /
 - Other – please enter details below /

Free text box

G.2.4.13 Have these methods promoted improvements in your practice?

- Yes definitely /
- To some extent /
- No /

2.4.c.2 G.2.4.14 What qualification did you gain to become a probation officer?
[Probation Officers only]

- PQF Community Justice **Hons Degree** and L4 Diploma in Probation Practice /
- PQF Community Justice **Graduate Diploma** and L4 Diploma in Probation Practice /
- Diploma in Probation Studies /
- Dip SW /
- CQSW /
- Home Office direct entrant /
- Other – please enter details below /

Free text box

G.2.4.15 Have you gained a professional qualification?
[Probation Service Officers only]

- VQ Diploma in Probation Practice level 3 /
- NVQ Community/Criminal Justice level 3 /

Neither /

G.2.4.16 Are you working towards any professional qualifications?

[Probation Service Officers only]

PQF Community Justice Hons Degree and L4 Diploma in Probation Practice /

PQF Community Justice Graduate Diploma and L4 Diploma in Probation Practice /

VQ Diploma in Probation Practice level 3 /

None /

Other – please enter details below /

Free text box

2.4.c.3 G.2.4.17 How well do arrangements for continuing staff development and training equip you to do your current job?

Excellent /

Sufficient /

[include 2.4.19](#) Insufficient /

[include 2.4.19](#) Poor /

G.2.4.18 How well do arrangements for continuing staff development and training equip you for your future development?

Excellent /

Sufficient /

[include 2.4.19](#) Insufficient /

[include 2.4.19](#) Poor /

G.2.4.19 Where you have marked 2.4.17.or 2.4.18 as insufficient or poor, which of the following apply:

There were insufficient relevant training or development opportunities /

You have insufficient time to take advantage of opportunities on offer /

Other – please enter details below: /

Free text box

G.2.4.20 How would you rate formal opportunities to discuss practice issues with colleagues?

Excellent /

Sufficient /

Insufficient /

Poor /

2.4.c.4 G.2.4.21 Are there any offender diversity factors that you do NOT feel sufficiently able to identify, for onward specialist assessment if required?
For example, factors relating to:
(Please mark all those that apply)

Language & communication /

Culture and ethnicity /

Issues relating to women offenders /

Learning needs /

Alcohol misuse /

Drug misuse /

Mental health problems /

Young offenders (under 21) /

None /

Other – please enter details below /

Free text box

Topic 2.4.c.5 G.2.4.21.T **pc** Have you had any training in protecting children within the last one or two years?
(this can include refresher or top-up training where staff were initially trained some time ago).

Yes – within last year +

Yes – within last two years +

Not with last two years – please enter details below -

Free text box

- 2.4.c.5 G.2.4.22 **pc** Do you feel able to identify and work with child protection and safeguarding issues?
- Yes +
- No – please enter details below -

Free text box

- 2.4.c.5 G.2.4.22.T **pc** Has your organisation disseminated the findings from the Munro enquiry/ report?
- Yes +
- No -

- 2.4.c.6 G.2.4.23 Does your organisation disseminate learning from local or national Serious Further Offences or Serious Case Reviews?
- Yes /
- No /
- Not sure /

- 2.4.c.7 G.2.4.24 How well does the organisation promote a culture of learning and development?
- Excellent /
- Sufficient /
- Insufficient /
- Poor /

TB G.2.4.c Please enter any additional comments here: Free text box

G.3.4 LEADERSHIP AND MANAGEMENT TO REDUCE THE LIKELIHOOD OF REOFFENDING

Arrangements ensure offenders have access to interventions to reduce the likelihood of reoffending. Outcomes are monitored to maintain and increase effectiveness.

Questions in this Section do not contribute to headline or overall Section scores.

3.4.a *There is access to a sufficient range of interventions to reduce the likelihood of reoffending, based on an analysis of current and projected offending patterns and related factors.*

- 3.4.a.1 G.3.4.1 How would you rate the range of interventions to enable the delivery of planned work?
- Excellent O /
- Sufficient O /
- Insufficient O /
- Poor O /

3.4.a.2 G.3.4.2 In general, are there any particular strengths or difficulties in your working relationship with any other organisation to secure access to interventions **related specifically to reducing offending** (such as a Drug Treatment Requirement)?
[This question relates generally and not to the particular case assessed]

- Yes, particular strength – please give details /
- Yes, particular difficulty – please give details /
- No particular strengths or difficulties /

TB G.3.4.a Please enter details of the service provider and any additional comments here:

3.4.b This criterion is not evidenced through case assessment

3.4.c *Effective partnership working supports work to reduce offending.*

- 3.4.c.1 G.3.4.3 In general, are there any particular strengths or difficulties in your working relationship with any other organisation to secure access to **mainstream services** (such as community mental health services) that could have contributed to a reduction in the likelihood of reoffending?
[This question relates generally and not to the particular case assessed]
- Yes, particular strength – please give details /
- Yes, particular difficulty – please give details /
- No particular strengths or difficulties /

TB G.3.4.b Please enter details of the service provider and any additional comments here:

additional comments here:

G.4.4 LEADERSHIP AND MANAGEMENT TO MINIMISE THE RISK OF HARM TO OTHERS

Effective work with partner organisations minimises the risk of harm to others.

Questions in this Section do not contribute to headline or overall Section scores.

4.4.a An effective strategic contribution is made to public protection, and work to minimise the risk of harm to others and protect victims has high priority.

4.4.a.2 G.4.4.1 In general, are there any particular strengths or difficulties in your working relationship with any other organisation in relation to public protection work – Including protecting children?
pc [Don't forget to give details of agency and nature of strength or difficulties in free text box below].
[This question relates generally and not to the particular case assessed]

Yes, particular strength – please give details /

Yes, particular difficulty – please give details /

No particular strengths or difficulties /

TB G.4.4.a Please enter details of the partner organisation and any additional comments here:

4.4.b The management and operation of restrictive interventions minimises the risk of harm to others.

4.4.b.1 G.4.4.2 In general, are there any particular strengths or difficulties in the use of restrictive interventions to minimise the risk of harm to others (such as approved premises, exclusions or monitored curfews)?
[This question relates generally and not to the particular case assessed]

Yes, particular strength – please give details /

Yes, particular difficulty – please give details /

No particular strengths or difficulties /

TB G.4.4.b Please any additional comments here:

END