



An inspection of

Northumbria

Community Rehabilitation Company

HM Inspectorate of Probation

NOVEMBER 2018

Contents

Foreword.....	4
Overall findings.....	5
Summary of ratings.....	7
Recommendations.....	8
Background	9
Key facts	11
1. Organisational delivery	12
1.1. Leadership	13
1.2 Staff	14
1.3. Services	16
1.4. Information and facilities.....	16
2. Case supervision	19
2.1. Assessment	20
2.2 Planning.....	21
2.3. Implementation and delivery	22
2.4. Reviewing	23
4. Unpaid work and Through the Gate.....	25
4.1. Unpaid work.....	26
4.2. Through the Gate	27
Annex 1: Methodology.....	28
Annex 2: Inspection results: domains two and three	30
Annex 3: Operating model.....	32
Annex 4: Glossary	37

This inspection was led by HM Inspector Tessa Webb OBE, supported by a team of inspectors and our operations and corporate staff. The manager responsible for this inspection programme is Helen Rinaldi. We would like to thank all those who participated in any way in this inspection. Without their help and cooperation, the inspection would not have been possible.

Please note that throughout the report the names in the practice examples have been changed to protect the individual's identity.

© Crown copyright 2018

You may re-use this information (excluding logos) free of charge in any format or medium, under the terms of the Open Government Licence. To view this licence, visit www.nationalarchives.gov.uk/doc/open-government-licence or email psi@nationalarchives.gsi.gov.uk.

Where we have identified any third-party copyright information, you will need to obtain permission from the copyright holders concerned.

This publication is available for download at:

www.justiceinspectorates.gov.uk/hmiprobation

Published by:

Her Majesty's Inspectorate of Probation
1st Floor Civil Justice Centre
1 Bridge Street West
Manchester
M3 3FX

Foreword

In our annual report 2017,¹ I commented: 'In about half of all CRC cases we have inspected, not enough attention was given to risk of harm right from the beginning, and we find that lack of focus continuing through the period of supervision in a similar proportion of cases'. Disappointingly, that finding is repeated again for Northumbria Community Rehabilitation Company (CRC). Overall, we have rated the CRC as 'Requires improvement'.

Northumbria CRC has built solid relationships with partners and representatives of those under probation supervision to develop its services. It also provides an impressive range of services to support people to turn away from crime. These are essential for delivering a successful probation service, and it is so pleasing to see them well developed here, although the CRC does need to make sure its services are easily accessible, especially for those who are disabled or attending after work.

However, despite a stable, experienced workforce and strong, effective local partnerships, the quality of this CRC's work is undermined by a lack of sufficient attention to managing risk of harm.

In common with other Sodexo CRCs, Northumbria has been unable to implement its operating model fully due to difficulties outside its control. Because it has been unable to introduce the Sodexo Offender Management System, the CRC has implemented an interim solution focused on Justice Star. This is a useful assessment tool, designed to engage the individual and help identify issues they need to work on, to avoid reoffending.

This concentration on Justice Star, and therefore on reoffending issues, has led to a lack of focus on risk management, when of course there is a balance to be struck. In addition, attention to completing process tasks has been at the expense of critical analysis and the need to act to safeguard victims and potential victims. Experienced probation workers should strike the right balance between rehabilitation and public protection intuitively, but here, systems and other pressures are influencing that judgement unduly. This requires attention at all levels. The commitment we found to achieving high performance, combined with loyal, skilled staff and partners, provides the right ingredients for addressing this and other areas for improvement we identify here.



Dame Glenys Stacey
Chief Inspector of Probation

¹ HM Inspectorate of Probation (2017). *Annual report 2017*.
www.justiceinspectorates.gov.uk/hmiprobation/wp-content/uploads/sites/5/2017/12/HMI-Probation-Annual-Report-2017-1.pdf (p15)

Overall findings

Overall, Northumbria CRC is rated as: **Requires improvement**. This rating has been determined by inspecting this provider in three areas of its work, referred to as 'domains'. The findings and subsequent ratings in those three domains are described here:



Our key findings about the organisation were as follows:

- The two key ingredients of quality services – addressing reoffending needs and managing risk of harm – are not well integrated in Northumbria. This has a detrimental effect on the quality of safeguarding and risk management practice.
- Northumbria CRC benefits from a cohesive, supportive and experienced workforce with a low staff turnover and many experienced staff. There are good training and development opportunities.
- A wide range of interventions are available, enhanced by effective working relationships with operational partners.
- Technology supports the delivery of services, but premises are not always designed to meet diverse needs.



Our key findings about case supervision were as follows:

- Assessment of individuals' needs in order to reduce the risk of harm and of reoffending does not consistently draw on all sources of information available.
- Planning addresses the reasons why someone offends, but it does not include sufficient arrangements to keep others safe.
- An impressive range of services is available to deliver court orders, but practice is let down by an insufficient focus on keeping people safe during implementation and delivery.
- Reviewing focuses on whether staff have complied with processes. Practice is weak in relation to ensuring that necessary measures are in place to keep people safe.

Our key findings about other core activities specific to CRCs were as follows:

- **Unpaid work**

Unpaid work is well organised, and communication between unpaid work staff and responsible officers at the local management centre level is effective.

- **Through the Gate**

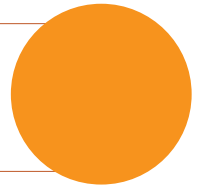
CRC staff, operational partners and prison staff work together effectively to develop Through the Gate services, which require further improvement.

Service: Northumbria Community Rehabilitation Company

Fieldwork started: July 2018

Overall rating

Requires improvement



1. Organisational delivery

1.1	Leadership	Requires improvement	
1.2	Staff	Good	
1.3	Services	Good	
1.4	Information and facilities	Requires improvement	

2. Case supervision

2.1	Assessment	Requires improvement	
2.2	Planning	Inadequate	
2.3	Implementation and delivery	Inadequate	
2.4	Reviewing	Inadequate	

4. CRC specific

4.1 ²	Unpaid work	Good	
4.2	Through the Gate	Requires improvement	

² CRC aspects of domain three work are listed in HMI Probation's standards as 4.1 and 4.2. Those for the NPS are listed as 3.1 and 3.2.

Recommendations

As a result of our inspection findings we have made six recommendations that we believe, if implemented, will have a positive impact on the quality of probation services in the Northumbria Community Rehabilitation Company.

Northumbria Community Rehabilitation Company should:

1. better integrate the assessment tools Justice Star and Offender Assessment System (OASys) to improve the quality of sentence planning and risk management
2. improve the quality of management oversight so as to enhance the analysis and development of risk management and sentence plans
3. ensure that all CRC premises are accessible to disabled people
4. ensure that an individual's suitability for group induction has been considered
5. improve staff awareness of the role of partner link workers and deploy more of them to support delivery of the Building Better Relationships accredited programme
6. better coordinate risk management plans and resettlement plans when prisoners are released.

Background

An explanation of probation services

Over 260,000 adults are supervised by probation services annually.³ Probation services supervise individuals serving community orders, provide offenders with resettlement services while they are in prison (in anticipation of their release) and supervise for a minimum of 12 months all individuals released from prison.⁴

To protect the public, probation staff assess and manage the risks that offenders pose to the community. They help to rehabilitate these individuals by dealing with problems such as drug and alcohol misuse and lack of employment or housing, to reduce the prospect of reoffending. They monitor whether individuals are complying with court requirements, to make sure they abide by their sentence. If offenders fail to comply, probation staff generally report them to court or request recall to prison.

These services are provided by a publicly owned National Probation Service (NPS) and 21 privately owned CRCs that provide services under contract. The government intends to change the arrangements for delivering probation services, and is consulting on some aspects of the future arrangements, at the time of writing.

The NPS advises courts on sentencing all offenders, and manages those who present a high or very high risk of serious harm or who are managed under Multi-Agency Public Protection Arrangements (MAPPA). CRCs supervise most other offenders who present a low or medium risk of harm.

Northumbria CRC

Sodexo Justice Services is part of a large multinational private company with a wide range of commercial interests. It took over formal ownership of the Northumbria CRC on 01 February 2015. It operates a strategic partnership with Nacro, a well-known charity. With contracts to deliver probation services across six CRCs⁵, Sodexo is the third-largest CRC-owning company in the country by contract value, and has almost 18 per cent of the market share.⁶ Sodexo also runs 4 of the 14 private prisons in England and Wales, all of which are located in England.⁷

³ Ministry of Justice (2017). *Offender management caseload statistics*, as at December 2017. <https://www.gov.uk/government/collections/offender-management-statistics-quarterly>.

⁴ All those sentenced for offences committed after the implementation of the *Offender Rehabilitation Act 2014*, to more than one day and less than 24 months in custody, are supervised in the community for 12 months post-release. Others serving longer custodial sentences may have longer total periods of supervision on licence.

⁵ The six CRCs owned by Sodexo are: BeNCH; Cumbria and Lancashire; Essex; Norfolk and Suffolk; Northumbria; and South Yorkshire.

⁶ Ministry of Justice (2018). *Offender management statistics quarterly*, January to March 2018: <https://www.gov.uk/government/collections/offender-management-statistics-quarterly>. Table 4.10: Offenders supervised in the community at period end, by National Probation Service Region, Division and CRC, England and Wales.

⁷ Private prisons run by Sodexo are: HMP Bronzefield; HMP/YOI Forest Bank; HMP Peterborough; and HMP Northumberland: <https://uk.sodexo.com/home/services/on-site-services/justice/where-we.html>.

Two Sodexo senior staff (regional Chief Executive Officers (CEOs)) each have oversight of a region – one the north and the other the south of England. Each is responsible for three CRCs and works to the Director of Operations (community) at Sodexo Justice Services. Colleagues based in London and Salford provide corporate support services, supplemented by regional CRC personnel who cover human resources, finance, business development, health and safety, facilities management, and communications. Each individual CRC is led by a director with overall responsibility for operational delivery and performance, supported by deputy directors.

For more information about this CRC, including details of its operating model, please see Appendix 3 of this report.

The role of HM Inspectorate of Probation

Her Majesty's Inspectorate of Probation is the independent inspector of youth offending and probation services in England and Wales. We report on the effectiveness of probation and youth offending service work with adults and children. We inspect these services and publish inspection reports. We highlight good and poor practice, and use our data and information to encourage high-quality services. We are independent of government, and speak independently.

HM Inspectorate of Probation standards

The standards against which we inspect are based on established models and frameworks, which are grounded in evidence, learning and experience. These standards are designed to drive improvements in the quality of work with people who have offended.⁸

⁸ HMI Probation's standards can be found here: <https://www.justiceinspectors.gov.uk/hmiprobation/about-our-work/our-standards-and-ratings/>

Key facts

262,758

The total number of individuals subject to probation supervision across England and Wales ⁹

75%

The proportion of individuals who were recorded as having successfully completed their community orders or suspended sentence orders for Northumbria CRC. The performance figure for all England and Wales was 78%, against a target of 75% ¹³

155,939

The total number of individuals subject to probation supervision by CRCs across England and Wales ¹⁰

89%

The proportion of positive completions of unpaid work requirements for Northumbria CRC. The performance figure for all England and Wales was 88%, against a target of 90% ¹⁴

3,629

The number of offenders supervised by Northumbria CRC ¹⁰

94%

The proportion of resettlement plans completed by the CRC. The performance figure for all England and Wales was 96%, against a target of 95% ¹⁵

6

The number of CRCs owned by Sodexo

898

The number of cases managed by staff in the hub ¹⁶

4.6%

The rate of unemployment in Northumberland. This is higher than the England average (4.3%) ¹¹

51.7%

Average probation officer (PO) caseload (excluding hub)

5.6%

The rate of unemployment in Tyne and Wear (metropolitan county). This is higher than the England average (4.3%) ¹¹

43.9%

The adjusted proportion of Northumbria CRC's service users who reoffend ¹²

Average probation services officer (PSO) caseload (excluding hub)

⁹ Ministry of Justice (2018). Offender management statistics quarterly, January to March 2018:

www.gov.uk/government/collections/offender-management-statistics-quarterly. Table 4.7: Offenders supervised in the community at period end, by National Probation Service Region, Division and CRC, England and Wales.

¹⁰ As footnote 9: Table 4.10.

¹¹ Office for National Statistics (2018). Regional labour market statistics in the UK: July 2018:

www.ons.gov.uk/employmentandlabourmarket/peopleinwork/employmentandemployeetypes/bulletins/regionallabourmarket/july2018.

¹² Ministry of Justice (2018). Final Proven Reoffending Statistics for the Community Rehabilitation Companies and National Probation Service Table 1 July to September 2016:

www.gov.uk/government/statistics/payment-by-results-statistics-october-2015-to-september-2017.

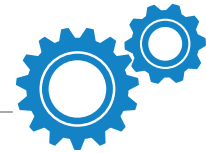
¹³ Ministry of Justice (2018). CRC Service Level 8 in Community performance quarterly management information, update to March 2018.

¹⁴ Ministry of Justice (2018). CRC Service Level 10 in Community performance quarterly management information, update to March 2018.

¹⁵ Ministry of Justice (2018). CRC Service Level 13 in Community performance quarterly management information, update to March 2018.

¹⁶ Caseload data provided by Northumbria CRC as at 10 July 2018.

1. Organisational delivery



Northumbria CRC forms part of Sodexo Justice Services, and clear leadership at regional level ensures priorities are aligned to the implementation of the Sodexo operating model. The CRC's overarching vision is unclear. The two key ingredients of quality services – addressing reoffending needs and managing risk of harm – are not well integrated in Northumbria. This has a detrimental effect on the quality of safeguarding and risk management practice. Arrangements are in place to exchange safeguarding information between the CRC and key partners such as the police and children's social care services; such information is recorded reliably. There is often, however, a lack of analysis and focus on using this information to strengthen risk management planning.

Managers are frustrated, understandably, because the Sodexo Offender Management System (OMS) has not been implemented. This is due to problems at national level with the Strategic Partner Gateway, which provides the means of connecting CRC systems with the national case management system, nDelius. Sodexo has now decided not to continue with the OMS, and the CRC relies on workaround solutions to collate information on needs related to reducing reoffending.

Northumbria CRC benefits from a cohesive, supportive and experienced workforce with a low staff turnover and many experienced staff. Opportunities for training and development are good. Induction and core training for new recruits are less convincing. The organisation works hard to contribute to local strategic partnerships, where the CRC's presence is recognised and valued. An impressive range of interventions is available, enhanced by effective working relationships with supply chain providers, known as operational partners. Services for women are good.

Sodexo was quick to reconfigure the estate to support the operating model, and a centralised administrative hub and six local management centres are aligned to the local authorities. In addition, three neighbourhood centres are available in rural Northumberland. Access to services is limited for some disabled people and for those who can only report in the evening after work.


Strengths:

- Operational partners are effectively integrated into the delivery of services.
- Organisational resilience is built into how the hub and local management centres deliver services.
- The workforce is stable and experienced, with relatively low turnover and rates of sickness absence.
- Staff are supported with suitable information and communications technology (ICT) to enable them to be agile and mobile in how they deliver their work.
- A well-established service user council is supported, listened to and able to contribute to the improvement of services.
- Analysis, evidence and learning are used well and staff are committed to driving improvement.

Areas for improvement:

- Northumbria CRC staff are confused about the interplay between Justice Star and OASys in assessing and planning case supervision. The CRC needs to clarify urgently how best to use the two tools.
- The quality of management oversight is variable. Managers focus too much on whether staff have complied with processes, which means their oversight is not of a sufficiently high quality or analytical enough to support effective risk management.
- Most local management centres are not accessible to people who rely on a wheelchair, which can impair their access to services.
- People under supervision who are employed during normal working hours have limited access to services.
- The limited deployment of partner link workers, and staff's lack of awareness of these roles, weakens the CRC's capacity to keep people safe.

Organisations that are well led and well managed are more likely to achieve their aims. We inspect against four standards.

1.1. Leadership	Requires Improvement
The leadership of the organisation supports and promotes the delivery of a high-quality, personalised and responsive service for all service users.	

Managers prioritise delivering the contract and pay attention to activities to improve services, but the vision and strategy for Northumbria CRC are unclear.

There are mixed messages about how services should be delivered, including: deliver the contract, deliver a personalised service, and implement Justice Star. The emphasis is on meeting performance targets rather than analysing the quality of work. Two assessment tools are used to prepare a sentence plan: Justice Star and a partially completed OASys assessment. The way these dual assessments have been implemented contributes to a fragmented approach to case management. Nonetheless, the CRC communicates effectively about the range of services available with practitioners, sentencers, partner agencies, providers and people under supervision.

CRC leaders actively contribute to local strategic partnerships. Sodexo Justice Services has clear governance arrangements in place at a regional level. Northumbria CRC's annual service plan provides continuity between Sodexo and local improvement priorities, such as to enhance Through the Gate services. Operational managers drive the implementation of improvement priorities and the achievement of contractual service level targets. There are no local delivery plans, however, that set out how the organisation's vision and strategy are being implemented by the local management centres. A range of quality assurance measures mean the CRC can monitor performance and compliance with the

contract. It was good to note that these quality assurance mechanisms can involve staff through the practice advisory group and representatives from the User Voice council.

Good arrangements are in place to provide organisational resilience and anticipate risks to service delivery. Business continuity arrangements are kept under review. ICT servers are backed up and operational staff are equipped to work remotely. Work is arranged within the hub to improve the CRC's resilience.


The regional CEO monitors business risks; however, no specific organisational risk register currently exists for Northumbria CRC.

The Sodexo operating model has only been partially implemented, which has an impact on the quality of work to manage risk of harm. The Justice Star needs assessment helps to identify what services should be prioritised for an individual, but it is not used well to inform the assessment for managing risk of harm via the OASys process and the subsequent sentence plan. We found different formats of Justice Star being used.

Effective arrangements are in place with operational partners, who deliver a wide range of services. Services are delivered at the local management centres, but only during normal office hours.

The hub currently provides telephone contact for those who have completed their identified interventions. Some practitioners resist transferring their cases to the hub, with support from their operational managers.

Dedicated women's champion practitioners manage female service users, usually through one of the nine women's hub locations. A number of equality and inclusion projects are in progress at the CRC. These are set out in its annual *Equality and Inclusion Plan*. However, action to address equality and diversity is responsive rather than proactive and strategic. Not all premises can be accessed by disabled service users and there are gaps in the support offered to those with dependants to enable them to attend interventions.

1.2 Staff	Good
Staff within the organisation are empowered to deliver a high-quality, personalised and responsive service for all service users.	

Workloads at Northumbria CRC are monitored and manageable.

The Sodexo People Services Centre monitors sickness rates and provides monthly reports to the CRC leadership. In July, Northumbria CRC reported 6.27 average days lost per annum. Caseloads of staff at PO and PSO grades are monitored each month. Staff mainly reported that their workloads are manageable and kept under review by their managers. Surprisingly, POs have slightly higher caseloads than PSOs, despite holding cases with a higher risk of harm profile. The organisation is supported by an agreed resource management framework. The skills and profile of staff are usually appropriate to support the delivery of high-quality services for all service users.

The number of people line-managed by middle managers ranged from 6 to 20. Most reported that this was manageable, and the high outliers were hopeful that a management review might reduce their spans of control. Administrative staff's work is well organised and promotes resilience; staff have opportunities to learn new skills and avoid repetitive tasks by rotating duties regularly.

There is an experienced, stable workforce, with a higher percentage of POs than we have found in other Sodexo CRCs inspected. Most responsible officers interviewed reported that they have the skills and knowledge necessary to supervise their caseload. Programme staff are appropriately trained to deliver the portfolio of accredited programmes. We noted a lack of staff trained to carry out the partner link worker role required to support delivery of the Building Better Relationships accredited programme, despite senior managers thinking that this role was covered.


The CRC has recently been delivering risk management workshops to address concerns identified by an external audit.

Staff receive support where appropriate, with reasonable adjustments made if bespoke equipment is required. 'Return to work' arrangements were managed effectively. Management oversight entries on nDelius are monitored each month; however, they focus primarily on compliance with processes at the expense of analysis and quality. We found examples of incomplete or poor-quality work being signed off. Formal appraisals were completed for 93 per cent of staff for 2017/2018. Most practitioners reported receiving regular supervision. A range of quality assurance methods are deployed, including a practice advisory group, DRIVE (paired case reviews) and monthly themed dip sampling.

Arrangements for learning and development are comprehensive and mostly responsive. A wide range of training and development opportunities is available through the Sodexo Ingenium platform. At times, staff have to travel some distance to attend training courses. A long-standing probation training provider is contracted to deliver training for the Sodexo CRCs. Training records can be analysed by grade, location or staff member. We found evidence of some new PSOs failing to receive training in Justice Star and the OASys process but who were required to complete these assessments.

Managers pay good attention to staff engagement. Core messages from senior leaders and policies are delivered by email and cascaded to staff through team meetings, and information is available on the intranet. The deputy directors are reported to be visible and accessible. The intranet has been revised and relaunched as a Sodexo CRC-wide platform. Staff are aware of the intranet, although many acknowledged they do not use it frequently.

The director attends the operational managers' meeting to discuss specific issues and makes regular visits to the local management centres. The regional CEO hosts quarterly staff engagement events, which are available to staff from across the northern region CRCs. A reward and recognition framework is in place and some staff reported receiving gift vouchers as rewards. An annual award ceremony for service users was also identified as a positive event.


1.3. Services	Good
A comprehensive range of high-quality services is in place, supporting a tailored and responsive service for all service users.	

The CRC is unable to undertake a strategic needs assessment of the caseload using Justice Star and has developed a range of workarounds for analysing the profile of the caseload. The CRC relies on consulting staff, partners, the User Voice council representatives and dip sampling. In the absence of the OMS, the CRC confirmed it could undertake analysis using available OASys reports, but it had not done so. Risk flags on nDelius were interrogated and work had been undertaken to improve the reliability of the information. An annual equality and inclusion report provides detailed information on protected characteristics.

The volume, range and quality of the organisation’s services meet the needs of service users. There is a well-developed range of rehabilitation activity requirements (RARs), which the CRC keeps under review. While many RAR activities are delivered to service users as a group, there remains the option of one-to-one delivery to meet individual needs.

Women make up almost 19 per cent of the caseload, which is high compared with other CRCs. The CRC provides nine women’s hubs through its operational partner, Changing Lives. The hubs are supported by dedicated PO and PSO women’s champions. A schedule for delivering accredited programmes is available, primarily from two local management centres, although there is capacity to deliver them elsewhere if there is sufficient demand. Practitioners and operational partners commented, however, that the provision of interventions for employed people who could not attend during the day was poor.

Good relationships are in place with key strategic partners, including the NPS, the police, local authorities and the local criminal justice board. The CRC has built a strong and supportive relationship with all the supply chain partners, who told us their work is valued. Safeguarding information is usually passed on to the CRC efficiently, although the CRC does not always make best use of this information to strengthen risk management in individual cases. There is a shared commitment between the CRC and police to support Integrated Offender Management (IOM). Police officers linked to IOM regularly work from the local management centres and collaborate well with CRC staff.

1.4. Information and facilities	Requires Improvement
Timely and relevant information is available and appropriate facilities are in place to support a high-quality, personalised and responsive approach for all service users.	

Policies and guidance are in place to enable staff to deliver a quality service and meet the needs of all service users.

Managers disseminate policies and guidance through email, team meetings and supervision. Several policies have been harmonised across the six Sodexo CRCs. They are in the process of being rolled out and placed on the new intranet. There are indications that staff find the intranet hard to access and do not have time to look at it. Most responsible officers said policies and guidance are communicated effectively.

Premises are available to enable staff to deliver services, but they are not always designed to meet diverse needs.

Four local management centres are not accessible for disabled people who rely on a wheelchair. We do not consider the suggestion of interviewing disabled service users elsewhere as a long-term reasonable adjustment or as compliant with the *Equality Act 2010*. In a fifth local management centre, while the office can be accessed by a wheelchair user, anyone visiting for supervision is told that they need to visit the bus station if they require a toilet. Evening reporting extends until 18:30 one evening a week, and many staff commented that this limits their capacity to undertake meaningful work or have access to operational partners for those who report after work. We were not convinced that women are routinely informed about possible support for childcare; take-up of this offer is low. Such support could be useful to enable women to access services at the women's hubs and so should be better promoted.

Local management centres are bright, clean and equipped with a private interview room and open-plan booths. Privacy is not protected by the booths, as others sitting in the waiting area can observe who is being interviewed. Staff explained that interviews are sometimes interrupted by other people who are also reporting to the office. Sodexo has responded to previous HMI Probation criticism of the interview environment by adding side panels to the booths and providing a single private interview space in each centre. Nonetheless, most people are interviewed in the booths, which are not appropriate for sensitive interviews.

ICT systems enable staff to deliver a quality service to meet the needs of all service users, although the case management arrangements do not readily support the production of all necessary management information.

The CRC has been unable to implement the operating model fully and make use of the Sodexo OMS. Justice Star has been implemented as a paper-based needs assessment tool but managers cannot interrogate it to provide a strategic needs assessment of the caseload. OASys data for the caseload has not been analysed. Staff have reliable ICT hardware, laptops and mobile telephones, where these are relevant to their role. Solo Protect lanyards enhance staff safety. ICT is managed securely and Northumbria CRC has achieved ISO27001 for best practice in information security.

Analysis, evidence and learning are used effectively and there is a commitment to driving improvement.

A comprehensive monthly performance and quality assurance management report is produced to support management and respond to areas that require improvement. The CRC is responsive to identified gaps in services and the quality of work and

makes good use of the innovation fund to explore opportunities to improve. Practitioners welcomed an initiative to increase individuals' access to a counselling service to address mental health issues. Operational partners have opportunities to share lessons learned with the CRC and other contracted partners. The Sodexo innovation fund is used effectively, for example to target women who offend prolifically when they are released from prison.

Northumbria CRC is one of the top-performing CRCs for reducing reoffending, measured by binary and frequency cohorts.¹⁷ The CRC obtains external evaluation and expertise to support it in developing new interventions. Its commitment to responding to areas that require improvement is a strength. The CRC has a well-established service user council, which is supported, listened to and able to contribute to the improvement of services.

¹⁷ Ministry of Justice (2018). *Payment by results statistics: October 2015 to September 2017*. <https://www.gov.uk/government/statistics/payment-by-results-statistics-october-2015-to-september-2017> (Accessed: 04 September 2018).

2. Case supervision




Justice Star is a helpful tool that encourages individuals to take ownership of the issues they need to address to support desistance. This self-assessment needs to be better integrated into sentence planning and, in relevant cases, risk management planning. There is a disconnection between the Justice Star and OASys processes. In the cases inspected, responsible officers did not pay enough attention to the assessment and management of the potential to cause harm to others. Operational partners work well with staff to support individuals to address the reasons why they offend. However, information from other agencies could have been better analysed and used to keep other people safe and contribute to planning, implementation and review.

Strengths:

- Justice Star plays to individuals' strengths, which encourages the person being supervised to engage in and take ownership of the work to be done.
- Operational partners are integrated and work is coordinated to deliver services to support individuals in reducing reoffending.
- There is continuity between responsible officers and the people they supervise.
- Services take account of individual circumstances to support compliance.
- Women's services are coordinated well.

Areas for improvement:

- The screening process to assess a person's suitability for group induction is not rigorously applied.
- Assessments of the reasons why a person offends and of how their behaviour may be harmful to others need to be considered together, in order to put in place arrangements for keeping others safe.
- Different formats of Justice Star are in use, causing inconsistencies.
- The Building Better Relationships accredited programme suffers because of the limited availability of partner link workers and the fact that responsible officers lack awareness of the importance of this specialist role.
- Responsible officers make insufficient use of home visits to enhance risk management.
- Information from other agencies is not well integrated into risk management planning and reviews.

2.1. Assessment	Requires Improvement
Assessment is well-informed, analytical and personalised, actively involving the service user.	

The assessment of individuals' needs to address reoffending and risk of harm should include all sources of information; practice requires improvement in this respect. At the start of supervision, most people are instructed to attend a standardised group induction meeting. We were informed that people could be seen individually, but found few examples of this in practice. The induction meeting gathers core information about individual protected characteristics and explains expectations and the implications of non-compliance. This approach enables the CRC routinely to cover all these processes, but it is not a personalised meeting. Requirements that may not have applied to the individual are covered and records often consist of an impersonal standardised text referring to optional requirements. We found examples where the option to deliver an induction individually had not been considered appropriately, as the following practice example demonstrates:

Leslie was a 69-year-old with a first-time conviction for a serious assault on his wife. He received a community order for 18 months with a condition to complete the Building Better Relationships programme and 30 days of RARs. Leslie was overwhelmed by his criminal justice experience and felt anxious about it.


When he attended the group induction, Leslie learned about Shelter, which is contracted by the CRC to provide advice and support about accommodation. Leslie told his officer at the next meeting that he had thought this meant he was to be directed to live in an old people's home. The induction experience had made him nervous about attending a group setting with other offenders.

Following the induction meeting, a 'new directions' meeting is arranged with the assigned responsible officer, who completes a Justice Star assessment with the individual and confirms the colour banding. This colour banding dictates the level of resource for the case in accordance with the operating model. In four out of five cases, we found that staff focused sufficiently on engaging individuals. Combined with the OASys process, Justice Star enabled responsible officers to analyse the factors contributing to offending behaviour in two-thirds of the cases sampled. Most assessments were completed by hand and subsequently scanned into nDelius. Some Justice Star documents contained analysis and objectives linked to a sentence plan (also known in Northumbria CRC as an achievement plan); others did not. An electronic format was also found in some instances, which, of course, was unable to capture the person's signature.

The assessment of individuals' needs to address reoffending should have been followed by an analysis of all other sources of information, and here practice was less convincing. In over one-third of cases staff failed to take account of past behaviour and previous convictions, and in two-fifths they did not take account of information on risk of harm from other agencies, where it was relevant.

A large majority of the people in our sample were correctly assessed as presenting a medium risk of harm. Just over half of male cases examined were assessed as domestic abuse perpetrators. One-third of the whole case sample presented child safeguarding concerns, with most of these individuals being the source of the concern.

It is crucial that an assessment brings together, in the analysis, the reasons why someone offends and the potential harmful behaviour they may cause to others. Northumbria CRC has focused on completing Justice Star, expecting it eventually to be integrated into the OMS, the Sodexo electronic case management system. To assess risk of harm, practitioners are required to continue to make use of the OASys assessment tool. We concluded that this fragmented use of the assessment tools meant insufficient attention was paid to assessing risk of harm.

2.2 Planning	Inadequate
Planning is well-informed, holistic and personalised, actively involving the service user.	

In the cases sampled, planning addressed the reasons why someone offended but did not sufficiently address arrangements to keep others safe.

Where Justice Star was used, we found good examples of individuals being involved in the planning of their supervision, although there was little evidence that the objectives in their achievement plan were consistently linked to factors scoring seven or below as required. A simple, helpful leaflet for those being assessed had been designed by the service user council so sentence plan objectives could be recorded, expectations set out and useful contact numbers included.

Planning took sufficient account of an individual's diversity and personal circumstances in just under two-thirds of the cases we inspected. There were good examples of planning taking work commitments into consideration.


In almost three-quarters of cases, planning set out the services most likely to reduce reoffending and support desistance. There was a good correlation between factors linked to reoffending and services that focused on thinking and behaviour, as well as education, training and employment. The required work to address family and relationships was not carried out, however, in almost half of relevant cases. Home visiting was underutilised. This was disappointing given the range of services available and the prevalence of domestic abuse in the case sample.

The quality of planning to keep other people safe was poor. While risk management planning was in place through the OASys process for just over two-thirds of the cases inspected, less than half of the plans were assessed as sufficient when addressing domestic abuse issues.

As with assessment, planning has become confused; this is in part because of the disjuncture between the Justice Star achievement plan and the OASys initial sentence plan, which also sits alongside the risk management plan, where relevant. Some practitioners were clear that they prioritised OASys at the expense of Justice

Star; others concentrated on Justice Star, which could be at the expense of attention to risk management.

Risk management planning did not reliably focus on the involvement or planning of other agencies or on risk management forums such as the Multi-Agency Risk Assessment Conference. Overall, there was a lack of coherent approach to planning across the cases inspected.

2.3. Implementation and delivery	Inadequate
High-quality, well-focused, personalised and coordinated services are delivered, engaging the service user.	

An impressive range of services was coordinated to deliver the order of the court, but practice was let down by insufficient attention during implementation and delivery to keeping people safe.

Responsible officers in Northumbria know their cases well, and over three-quarters managed the case for the duration of the period inspected. Staff work hard to establish an effective working relationship and take account of individual circumstances. Good attention was paid to encouraging compliance action in over 70 per cent of the cases inspected. Similarly, staff took appropriate enforcement action in two-thirds of relevant cases in our sample. Work starts promptly on the RARs within court orders and referrals to operational partners are acted on quickly. This was exemplified in the following case:

Kayleigh was a 44-year-old convicted of theft from her employer. She received a 12-month community order with 25 days of RAR. The interventions began promptly. She was fully engaged from the start and attended all but one of the appointments arranged. Appointments at the Changing Lives hub were scheduled regularly. Contact with the responsible officer after group sessions helped build an effective working relationship. Kayleigh had access to specialist counselling and support to address her gambling problem, and plans were put in place for her to begin to repay her debts at an amount she could afford. Kayleigh was involved in all assessments, planning and reviews.

The positive pathways and/or the victim awareness structured RAR activities were prioritised. In a few cases, we found a delay in starting meaningful contact, particularly where people were being released from prison. The CRC had recognised the problem and was addressing it as part of the Through the Gate improvement plan.


In three-fifths of cases, services to support desistance were implemented and delivered. There were good examples of women accessing a range of services and engaging well at the women's hubs. Activities were coordinated between the women's champions, who managed the case, and Changing Lives, which provided access to a wide range of services from the women's hubs.

The operational partners provided a wide range of services. Veterans could access additional support and services through the Northern Learning Trust. Access to education, training and employment support, while available, was underutilised when analysed against identified needs.

Practice was let down because insufficient attention was paid during implementation and delivery to keeping people safe. An inspector captured a concern that was mirrored in other cases:

“The activity in this case does not draw sufficiently on information held by other agencies. There is a lack of responsiveness evident when risk concerns are raised and a willingness to accept self-report without challenge.”

Home visits were not reliably implemented to enhance risk management where needed. Domestic abuse featured in almost half of the case sample, but we found insufficient attention paid to actual or potential victims in almost two-thirds of relevant cases. This chimes with the findings from our recently published thematic report on domestic abuse.¹⁸ Staff were unsure about the role or existence of the partner link worker, which is designed to enhance safety and support partners of men attending the Building Better Relationships accredited programme.

2.4. Reviewing	Inadequate
Reviewing of progress is well-informed, analytical and personalised, actively involving the service user.	

Reviewing practice focused on compliance with process. Practitioners did not focus sufficiently on keeping people safe, and did not, for instance, adjust the way they delivered services in order to achieve this.

Reviewing focused sufficiently on supporting compliance and engagement in two-thirds of cases inspected. Where Justice Star was used to support the OASys review, there was better evidence of the person being engaged and their progress recognised, alongside any necessary adjustments to the supervision plan. It was disappointing that this practice did not take place consistently. We found cases where managers had requested an OASys review ahead of the inspection, but we often found staff complying with the process without paying attention to analysis or engagement.

A review is required before a case is assessed as suitable for remote contact supervision through the hub. The operating model encourages transfer to the hub when the required interventions are completed. Responsible officers said that, while they understood this expectation, they did not experience significant pressure to move cases on, unless their caseloads were too large. While the number of cases transferred to the hub was small in our case sample, inspectors expressed concerns about the suitability of some that were transferred, given that there were ongoing issues with risk management. Other cases that were transferred following a review

¹⁸ HMI Probation (2018) *Domestic abuse: the response of Community Rehabilitation Companies*

had lengthy licence periods remaining (for example, until 2021). It was questionable whether relying on self-reporting by telephone could fulfil the necessary oversight or expectations of the court in such cases. Sodexo was undertaking a review of the hub telephone reporting approach at the time of the inspection, in light of the government's recent announcements about the future of probation services.¹⁹

Reviewing practice sufficiently supported a person's desistance in two-thirds of cases inspected. Where a review had been undertaken, we found that adjustments to support engagement and compliance, or changes to address offending and desistance factors, were not sufficient in one-quarter of relevant cases.

In almost two-thirds of cases inspected, the quality of reviewing practice, when it came to focusing on keeping other people safe, was not good enough. In just over half of relevant cases, we assessed that necessary adjustments required to keep people safe were not made. Information from other key agencies was not reliably gathered, analysed or used to contribute to reviews to improve risk management. The following comment on a case illustrates an inspector's concerns:

“Review completed without updated domestic abuse checks and information from children's social care services, which later revealed potential concerns.”

Despite good arrangements for the CRC to exchange information with the police and children's social care services, this information is not being integrated well enough into ongoing risk management.

¹⁹ Ministry of Justice, National Probation Service, HM Prison and Probation Service (2018). *Strengthening probation, building confidence*. Available at: <https://www.gov.uk/government/consultations/strengthening-probation-building-confidence>

4. Unpaid work and Through the Gate

CRC

Unpaid work is a requirement of a community order or suspended sentence order. Individuals must undertake between 40 and 300 hours of work within a year of the sentence being passed. Within Northumbria, unpaid work is well organised, and communication between responsible officers and unpaid work supervisors is effective. A range of group and individual agency placements are available across the area. Managers pay attention to improving completion rates, which are closely monitored.

Northumbria CRC is the lead host provider for Through the Gate services for male prisoners at HM Prison Northumberland. It also provides services, as a secondary provider, at HM Prison Durham for those being released to Northumbria. In addition, the CRC provides Through the Gate services for relevant women at HM Prison Low Newton.


In 2017, the CRC experienced difficulties with delivering services to male prisoners when an operational partner withdrew from its contract. An effective improvement plan was developed, which is being implemented with enthusiasm and shows promise. CRC staff, prison managers and operational partners work well together and are committed to developing services further.

Strengths:

- Unpaid work supervisors communicate effectively with responsible officers.
- Northumbria CRC makes sure unpaid work orders are completed within 12 months of an individual's sentence.
- CRC staff, operational partners and prison staff work together effectively to improve Through the Gate services.
- Innovation is encouraged and supported.

Areas for improvement:

- Opportunities for education, training and employment for relevant unpaid work cases (within the limit of 20 per cent of the number of hours ordered) are not maximised.
- Group induction processes are used too frequently for people with literacy and numeracy problems.
- Risk of harm indicators are not considered sufficiently when drafting resettlement plans.
- Multi-agency activity to reduce risks linked to domestic abuse are not well coordinated in planning for the release for relevant prisoners.

4.1. Unpaid work	Good
Unpaid work is delivered safely and effectively, engaging the service user in line with the expectations of the court.	

Unpaid work is delivered effectively. Staff are positive about communication with responsible officers. Unpaid work supervisors return to the local management centre each day and can speak to staff about any issues.

The majority of risk of harm assessments were found to be accurate. In terms of risk assessments prior to placement, unpaid work supervisors usually looked at previous convictions and court paperwork, and took note of the risk level assigned. Issues relating to health and safety were correctly assessed in just over two-thirds of cases.


Unpaid work supervisors reported that group induction can be problematic for those with literacy and numeracy issues. In three-quarters of the cases we examined, the responsible officer had tried to maximise opportunities to address an individual's personal development. Group projects included groundwork, grass cutting and litter picking. Women were mostly assigned individual placements through the women's hub. Just over one-third of cases inspected were worked intensively. This required those who were unemployed to complete unpaid work several days each week. While unpaid work staff informed us about opportunities for individuals to access employment, training and education, managers recognised this as work in progress. This area of practice requires improvement.

Achievements are recognised through service user awards, where individuals are invited to a lunch to receive a certificate of recognition. For example, a female service user received an award after she was given a manager's job in a shop after completing her order.

The sentence of the court was implemented appropriately in the majority of cases inspected. Northumbria CRC actively monitors the completion of orders and addresses those cases which over-run 12 months.

Managers advise practitioners to prioritise unpaid work requirements when planning the sequence of delivery. This is a strategy to tackle the problem of people failing to complete unpaid work requirements within 12 months. Some responsible officers complained about having to issue unpaid work instructions regardless of the service user's readiness for unpaid work or at the expense of starting to meet other requirements linked to addressing offending behaviour. Good efforts are made to arrange placements around employment commitments.

Overall, there is an organised approach to unpaid work, with attention to risk and contingency planning and provision of single agency and group placements.

4.2. Through the Gate	Requires improvement
Through the Gate services are personalised and coordinated, addressing the service user's resettlement needs.	

Resettlement plans focused well on the reasons why someone offends; however, they did not sufficiently assess or manage risk of harm issues. Finance, benefit and debt, drug misuse and accommodation were the most common issues that needed to be addressed in plans.

Over two-thirds of cases inspected focused sufficiently on supporting resettlement; in too many cases, staff should have taken greater account of the individual's diversity and personal circumstances, such as their ethnicity.

Shelter (an operational partner) provides advice on accommodation, debt and benefits. If a person is homeless on release from prison, local authorities will not take any action until the prisoner has reported to them on the day of release. This can contribute to immediate pressure and difficulties for resettlement.

Resettlement staff need to coordinate referrals to substance misuse services in the community with prison health care staff to ensure that a prescription is available on release. While we found good examples of coordination, in one-third of the cases in our sample, this did not happen as it should. These were missed opportunities. Staff told us that the ability to arrange access to mental health services on release is very difficult. There are difficulties establishing an individual's eligibility and lengthy delays in obtaining appointments following release. Coordination of resettlement activity was effective in only just over half of the inspected sample.

The operational partner, North East Prisoners and Children's Services (NEPACS), delivers an impressive initiative that provides a 'departure lounge' at HM Prison Northumberland. The project offers prisoners at the point of release practical support and advice, such as help to charge mobile telephones, information about public transport, access to a telephone, and toiletries or clothing, where helpful.

A joint innovation project at the women's prison, Low Newton, provides enhanced support for women assessed as presenting a high likelihood of reoffending. While it was too early to be conclusive, there were encouraging signs that it was realising improvements.

An improvement plan for Through the Gate services, designed to address previous poor performance and prepare for a revised enhanced service, was being led vigorously and showed promise.

Annex 1: Methodology

The inspection methodology is summarised below, linked to the three domains within our standards framework. Our focus was on obtaining evidence against the standards, key questions and prompts within our inspection framework.

Domain one: Organisational delivery

The provider submitted evidence in advance and the regional CEO and CRC Director delivered a presentation covering the following areas

- How does the leadership of the organisation support and promote the delivery of a high-quality, personalised and responsive service for all service users?
- How are staff in the organisation empowered to deliver a high-quality, personalised and responsive service for all service users?
- Is there a comprehensive range of high-quality services in place, supporting a tailored and responsive service for all service users?
- Is timely and relevant information available, and are there appropriate facilities to support a high-quality, personalised and responsive approach for all service users?
- What are your priorities for further improvement, and why?

During the main fieldwork phase, we interviewed 60 individual responsible officers, asking them about their experiences of training, development, management supervision and leadership. We held various meetings and focus groups, allowing us to triangulate evidence and information. In total, we conducted 42 meetings and 8 focus groups, meeting with a total of 153 people including: staff, operational partners, key stakeholders and service users. The evidence explored under this domain was judged against our published ratings characteristics.²⁰

Domain two: case supervision

We completed case assessments over a two-week period, examining service users' files and interviewing responsible officers. The cases selected were those individuals who had been under community supervision for approximately six to seven months, either through a community sentence or following release from custody. This enabled us to examine work in relation to assessing, planning, implementing and reviewing. Where necessary, we interviewed other people who were significantly involved in the case also took place.

We examined 100 cases from across six local management centres and the hub. The sample size was set to achieve a confidence level of 80 per cent (with a margin of error of 5), and we ensured that the ratios in relation to gender, type of disposal and risk of serious harm level matched those in the eligible population.

²⁰ HM Probation's domain one ratings characteristics can be found here: <https://www.justiceinspectorates.gov.uk/hmiprobation/about-our-work/our-standards-and-ratings/>

Domain three: sector-specific work

We completed case assessments for two further samples: 26 unpaid work and 20 Through the Gate. As in domain two, sample sizes were set to achieve a confidence level of 80 per cent (with a margin of error of 5).

Unpaid work

We examined 26 cases with unpaid work requirements that had begun at least three months previously. The sample included cases where the order was managed by the NPS as well as cases managed by the CRC. We ensured that the ratios in relation to gender and risk of serious harm level matched those in the eligible population. We used the case management and assessment systems to inspect these cases.

We also held meetings with the following individuals/groups, which allowed us to triangulate evidence and information:

- the senior manager with overall responsibility for the delivery of unpaid work
- middle managers with responsibilities for unpaid work
- a group of unpaid work supervisors from a range of geographical locations.

Through the Gate

We examined 20 custodial cases in which the individual was released six weeks earlier on licence or post-sentence supervision from the CRC's resettlement prisons over a two-week period. The sample included those entitled to pre-release Through the Gate services from the CRC who were then supervised post release by the CRC or by the NPS. We used the case management and assessment systems to inspect these cases.

Meetings were also held with the following individuals/groups:

- the senior manager in the CRC responsible for Through the Gate services
- a middle manager responsible for Through the Gate services in specific prisons
- a group of CRC resettlement workers directly responsible for preparing resettlement plans and/or meeting identified resettlement needs
- the resettlement lead staff members in the three prisons where Northumbria CRC Through the Gate services are delivered.

Annex 2: Inspection results: domains two and three

2. Case supervision

Standard/Key question	Rating/% yes
1.1. Assessment	Requires improvement
Assessment is well-informed, analytical and personalised, actively involving the service user	
1.1.1. Does assessment focus sufficiently on engaging the service user?	81%
1.1.2. Does assessment focus sufficiently on the factors linked to offending and desistance?	70%
1.1.3. Does assessment focus sufficiently on keeping other people safe?	54%
1.2. Planning	Inadequate
Planning is well-informed, holistic and personalised, actively involving the service user.	
1.2.1. Does planning focus sufficiently on engaging the service user?	74%
1.2.2. Does planning focus sufficiently on reducing reoffending and supporting the service user's desistance?	66%
1.2.3. Does planning focus sufficiently on keeping other people safe? ²¹	45%
1.3. Implementation and delivery	Inadequate
High-quality, well-focused, personalised and coordinated services are delivered, engaging the service user	
1.3.1. Is the sentence/post-custody period implemented effectively with a focus on engaging the service user?	75%
1.3.2. Does the implementation and delivery of services effectively support the service user's desistance?	61%
1.3.3. Does the implementation and delivery of services effectively support the safety of other people?	41%

²¹ Please note: percentages relating to questions 2.2.3, 2.3.3 and 2.4.3 are calculated for the *relevant* sub-sample – that is, those cases where risk of serious harm issues apply, rather than for the *total* inspected sample.

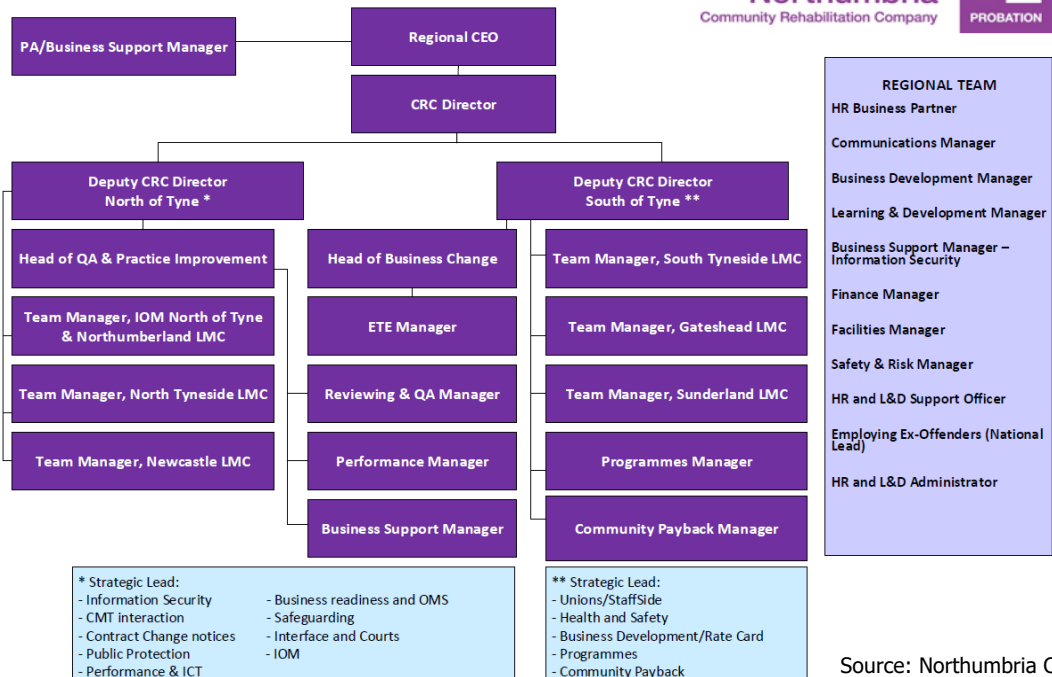
1.4. Reviewing	
Reviewing of progress is well-informed, analytical and personalised, actively involving the service user	Inadequate
1.4.1. Does reviewing focus sufficiently on supporting the service user's compliance and engagement?	65%
1.4.2. Does reviewing focus sufficiently on supporting the service user's desistance?	66%
1.4.3. Does reviewing focus sufficiently on keeping other people safe?	38%

4. CRC-specific work

Standard/Key question	Rating/% yes
4.1. Unpaid work	
Unpaid work is delivered safely and effectively, engaging the service user in line with the expectations of the court	Good
4.1.1. Does assessment focus on the key issues relevant to unpaid work?	69%
4.1.2. Do arrangements for unpaid work focus sufficiently on supporting the service user's engagement and compliance with the sentence?	84%
4.1.3. Do arrangements for unpaid work maximise the opportunity for the service user's personal development?	76%
4.1.4. Is the sentence of the court implemented appropriately?	96%
4.2. Through the Gate	
Through the Gate services are personalised and coordinated, addressing the service user's resettlement needs	Requires improvement
4.2.1. Does resettlement planning focus sufficiently on the service user's resettlement needs and on factors linked to offending and desistance?	90%
4.2.2. Does resettlement activity focus sufficiently on supporting the service user's resettlement?	70%
4.2.3. Is there effective coordination of resettlement activity?	55%

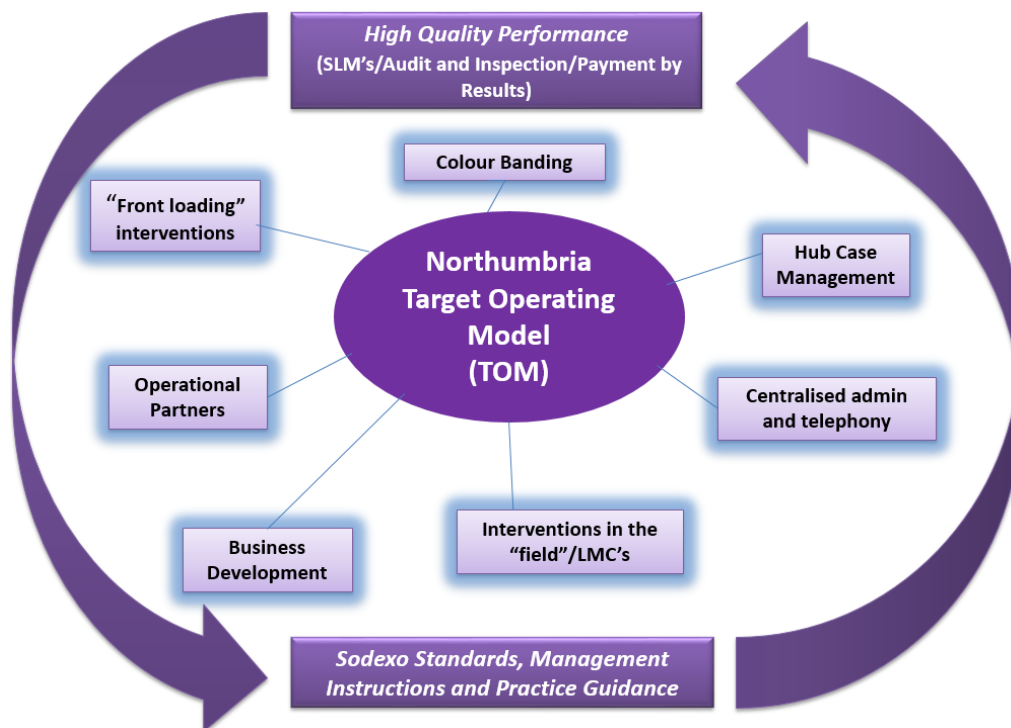
Annex 3: Operating model

Northumbria CRC Leadership & Management June 2018



Source: Northumbria CRC

The Operating model in practice



Source: Northumbria CRC

All cases or requirements assigned to the CRC are received through nDelius by the centralised administrative team based at the Hub. In the majority of cases, based on geographical location, cases are sent to the relevant Local Management Centre (LMC) manager for allocation to a responsible officer. The exceptions to this relate to cases which are automatically allocated to the Hub regardless of geographical location. These cases are:

- Standalone UPW/exclusion requirements. These cases are held in the Hub for the entirety of their sentence.
- Cases which receive a custodial sentence of 18 months or more. These cases are reallocated to the relevant LMC (based on release address) at either 12 weeks pre-release or by virtue of a ROTL/HDC request.

The relevant manager determines which responsible officer will hold the case based on grade and workload. In allocating the team manager also determines the “colour band” to be assigned. Decisions regarding the allocation of colour banding are primarily based on an assessment of risk of serious harm and risk of reoffending. However, additional guidance should also be utilised to ensure the issues of complexity and offence/sentence type are also considered. Colour banding operationally is predicated on the principles of “resource follows risk” and colours are assigned in each case as follows:

Risk of Reoffending (RoR)			
High RoR based on OGRS/ Professional Judgement Indicative OGRS 3 50-100	<u>Yellow</u> Structured assessment followed by rehabilitation and social reintegration interventions/ motivational work. Minimum 24 hours	<u>Blue/Red</u> Structured assessment followed by high intensity rehabilitation and social reintegration interventions/ motivational work. Delivery of a robust Risk Management Plan Minimum 35 hours	
Low RoR based on OGRS/ Professional Judgement. Indicative OGRS 3 0-49	<u>Green</u> Structured assessment followed by a focus on social integration by supply chain Minimum 12 hours	<u>Yellow</u> Structured assessment followed by rehabilitation and social reintegration interventions/motivational work. Delivery of a robust Risk Management Plan. Minimum 24 hours	
	Low RoSH	Medium RoSH	Risk of Serious Harm

Source: Northumbria CRC

Allocation to Yellow: Any case could be allocated to Yellow on the basis of professional judgement with reference to risk of harm/reoffending and complexity of need. However, the following should be allocated to Yellow as a minimum:

- DRRs, ATRs and MHTRs.
- Where a young person has identified adverse childhood experiences (ACEs).
- Involvement in serious organised crime.

Automatic Allocation to Blue/Red:

- Safeguarding – Child Protection Plan in place.
- IOM nominals.
- Sex Offenders.
- Prevent Cases.

Consider Allocation to Blue/Red: Any case could be allocated to Red/Blue on the basis of professional judgement but particular consideration should be given in the following cases:

- Safeguarding – child concern, child in need.
- Domestic Abuse.
- Hate Crime.
- Complex Mental Health.

Available services and involvement of the third sector

Northumbria CRC provides the following Accredited programmes: Thinking Skills Programme (TSP), Building Better Relationships (BBR), Resolve (Violence and aggression) and Drink Impaired Drivers programme (DIDs).

RAR work is delivered through a range of sources:

Northumbria CRC elements under each RAR component								
Sodexo Component	New Directions	Group work	Motivational module	1-1 work	Community Integration	Mentoring	Restorative Justice	Kiosk
Northumbria CRC – RAR Elements	ND Part 1: Group Induction	Women's hub (primary delivery model)	Motivational interviewing integrated into group and 1-1 delivery, incorporating SEEDS and desistance principles	Positive Pathways (6 sessions)	Substance misuse programmes (4 sessions)	Supply chain provision:	Victim First Northumbria	Kiosk provision (not yet available)
Delivered by CRC RO/other	ND Part 2: Initial 1-1 session	Male interventions (optional within PP structure and other activities)	Re-engagement programme (3 sessions)	Masculinity & Aggression (6 sessions)	cannabis	Women's Services (Changing Lives)	(e.g. letter of apology, shuttle mediation,	Contact sessions
Delivered by Operational Partners	Used for ISP completion, update risk assessment and agreed intervention planning	such as M&A and substance misuse interventions) <i>(N.B. All Accredited Programmes are via AP requirement not RAR)</i>		Victim Awareness (3 sessions)	alcohol NPS/legal highs	Family Support (NEPACS)	telephone conferencing,	
Other partner agencies	<i>(N.B. These should be recorded as RAR appts, not RAR activities)</i>			SOLO/ SOLO enhanced (12 sessions)	Resource centre	Recovery Support (NERAF)	face to face conferencing)	
				Values, Attitudes & Behaviour – Hate Crime (4 sessions)	Operational Partners: Accommodation (Shelter) ETE (APM) Finance/Debt (Shelter)	Veterans Provision (NLT) Mentoring (Shelter)		
					Other partner agencies (supplementary activities)			

Source: Northumbria CRC

Northumbria CRC has six operational partners which offer a diverse range of services which accompany the existing internal RAR offers. These are:

Tier 2: Shelter – which provide accommodation, finance and debt help to prisoners in both HMP Durham and Northumberland as part of Northumbria CRC's Through the Gate offer. These services may continue into the community, where Shelter will work with both Northumbria CRC and NPS services users via the rate card to help with housing and debt issues. Another strand of the contract with Shelter is a generic mentoring contract. Shelter also represents Northumbria CRC at local and regional housing forums.

Tier 2: The Cyrenians trading as Changing Lives manage, coordinate and deliver Northumbria CRC's nine women's community hubs which are located across the six local authority areas. The hubs operate out of community centres, church venues and specialist women centres. The hubs are women-only environments informed by an understanding of trauma with an emphasis upon multi partnership working. They bring together a broad range of support services within the community to address women's needs, which can range from substance misuse, self-management skills, health and mental well-being, social networks, relationships and accommodation. Changing Lives is also commissioned to deliver a Through the Gate service at HMP Low Newton.

Tier 3: NEPACS is a local charity and specialist family provider. NEPACS will work with the service user and the family to help to resolve any family breakdown offering family mediation, mentoring and conferencing interventions. NEPACS manages Northumbria CRC's Departure Lounge operating at HMP Northumberland. This is a universal service for all prisoners released from this prison.

Tier 3: NERAF is a local charity specialising in supporting service users with substance misuse issues. Based in Sunderland, this charity now works across all the

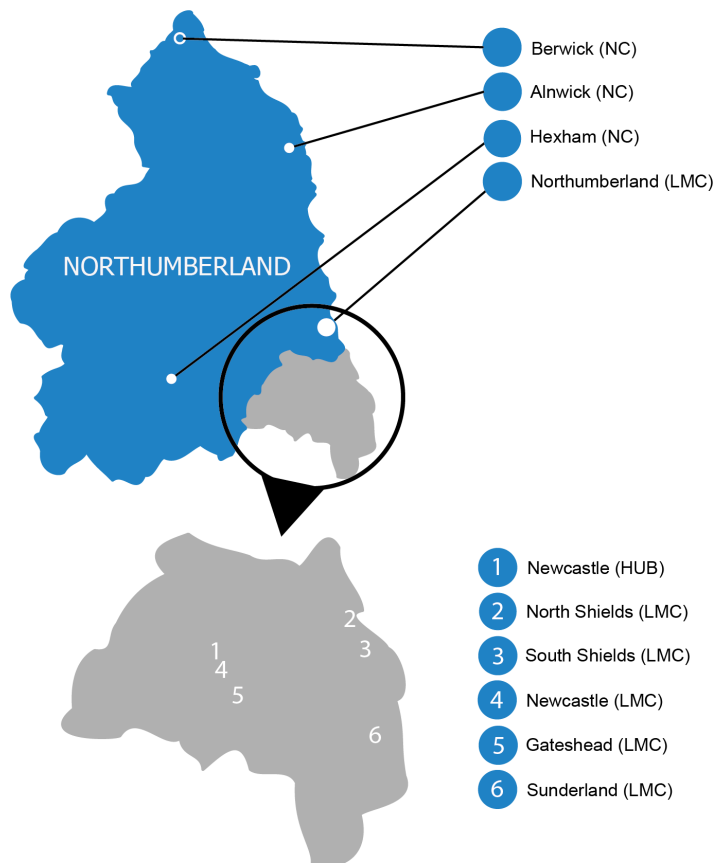
local authority areas and helps our service users into recovery. It is a mentoring provision using paid employees but also utilises a number of volunteers, most of which have direct experience of substance misuse.

Tier 3: Northern Learning Trust (NLT) is again local charity specialising in education provision and supporting veterans.

Tier 3: User Voice coordinates the Service User Council. The Council meets quarterly and membership consists of a combination of Northumbria CRC employees and Service User representatives.

Other providers working from the CRC offices include: National Career Service, NOMS CFO3: to support service user furthest away from employment and managed by APM, Interserve: an Education, training and employability provider based in Newcastle, Gateshead Housing Company, Fulfilling Lives (Community Navigators, Forward Assist, Evolve, BASIS /Aquila Homelessness and Housing and CRISIS

Further information can be obtained from the website: www.northumbriacrc.co.uk.



The Hub is the central point for all our administration, performance and corporate activity. The Hub carries out an 'arms length' offender management function, using our operational partners to undertake interventions on our behalf. Staff in the Hub handle all key processes involved in managing a community order, including case allocation, reporting, dealing with breaches and the purchase of interventions.

Local Management Centres (LMCs) are our primary offices within our areas of operation where service users report in person. Staff will work on a 'hot desk' arrangement supporting the new approach to mobile working.

Neighbourhood Centres (NCs) are smaller offices and do not have a dedicated reception facility, but staff can 'hot desk' and meet service users there.

Annex 4: Glossary

Accredited programme	A programme of work delivered to offenders in groups or individually through a requirement in a community order or a suspended sentence order, or part of a custodial sentence or a condition in a prison licence. Accredited programmes are accredited by the Correctional Services Accredited Panel as being effective in reducing the likelihood of reoffending
ACE	Adverse Childhood Experience
Allocation	The process by which a decision is made about whether an offender will be supervised by a CRC or the NPS
APM	Advanced Personnel Management: provides education, training and employment support in the community and at HM Prison Northumberland and HM Prison Durham
Approach	The overall way in which something is made to happen; an approach comprises processes and structured actions within a framework of principles and policies
Assessment	The process by which a decision is made about the things an individual needs to do to reduce the likelihood of them reoffending and/or causing further harm
ATR	Alcohol treatment requirement: a requirement that a court may attach to a community or suspended sentence order aimed at tackling alcohol abuse
Breach (of an order or licence)	Where an offender fails to comply with the conditions of a court order or licence. Enforcement action may be taken to return the offender to court for additional action or recall them to prison
BBR	Building Better Relationships: a nationally accredited group work programme designed to reduce reoffending by adult male perpetrators of intimate partner violence
Changing Lives	Changing Lives is a national charity based in the North East. In Northumbria it manages, coordinates and delivers services for women through community hubs
Child protection	Work to make sure that all reasonable action has been taken to keep to a minimum the risk of a child coming to harm
Child safeguarding	The ability to demonstrate that a child or young person's well-being has been 'safeguarded'. This includes – but can be broader than – child protection. The term 'safeguarding' is also used in relation to vulnerable adults.

CRC	Community Rehabilitation Company: 21 CRCs were set up in June 2014, to manage most offenders who present low or medium risk of serious harm
Criminal justice system	Involves any or all the agencies involved in upholding and implementing the law – police, courts, youth offending teams, probation and prisons
Desistance	The cessation of offending or other antisocial behaviour
Diversity	The extent to which people within an organisation recognise, appreciate and utilise the characteristics that make an organisation and its service users unique. Diversity can relate to age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sex
DIDs	Drink Impaired Drivers programme: an accredited programme designed to reduce the risk of future drink-related driving offences
DRR	Drug Rehabilitation Requirement: a requirement that a court may attach to a community order or a suspended sentence order aimed at tackling drugs misuse
Education, training and employment	Work to improve an individual's learning, and to increase their employment prospects
Enforcement	Action taken by a responsible officer in response to an individual's non-compliance with a community sentence or licence. Enforcement can be punitive or motivational
Equality	Ensuring that everyone is treated with dignity and respect, regardless of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sex. It also means recognising that diverse groups have different needs, and ensuring that they have equal and fair access to appropriate opportunities
Host CRC	A CRC, which is not the lead host of Through the Gate services, that provides services to some but not all prisoners in a particular prison. They are likely to deliver services exclusively to prisoners who will be released within their contract package area
IOM	Integrated Offender Management: a cross-agency response to the crime and reoffending threats faced by local communities. The most persistent and problematic offenders are identified and managed jointly by partner agencies working together

Intervention Work with an individual that is designed to change their offending behaviour and/or to support public protection. A constructive intervention is where the primary purpose is to reduce likelihood of reoffending. A restrictive intervention is where the primary purpose is to keep to a minimum the individual's risk of harm to others. With a sexual offender, for example, a constructive intervention might be to put them through an accredited sex offender treatment programme; a restrictive intervention (to minimise their risk of harm) might be to monitor regularly and meticulously their accommodation, their employment and the places they frequent, imposing and enforcing clear restrictions as appropriate to each case. Both types of intervention are important

Lead host The CRC delivering the main Through the Gate services in a prison, to all prisoners except those who are the responsibility of another host CRC

Licence This is a period of supervision immediately following release from custody, and is typically implemented after an offender has served half of their sentence. Any breaches to the conditions of the licence can lead to a recall to prison where the offender could remain in custody for the duration of their original sentence

LMC Local Management Centre: an operational unit comprising of an office or offices, generally coterminous with local authority structures

MAPPA Multi-Agency Public Protection Arrangements: where NPS, police, prison and other agencies work together locally to manage offenders who pose a higher risk of harm to others. Level 1 is ordinary agency management where the risks posed by the offender can be managed by the agency responsible for the supervision or case management of the offender. This compares with Levels 2 and 3, which require active multi-agency management

MARAC Multi-Agency Risk Assessment Conference: part of a coordinated community response to domestic abuse, incorporating representatives from statutory, community and voluntary agencies working with victims/survivors, children and the alleged perpetrator

Mentoring The advice and guidance offered by a more experienced person to develop an individual's potential

MoJ Ministry of Justice: the government department with responsibility for the criminal justice system in the United Kingdom

MHTR The Mental Health Treatment Requirement is one of three possible treatment requirements which may be made part

of a community order. The MHTR is intended for the sentencing of offenders convicted of an offence which is below the threshold for a custodial sentence and who have a mental health problem which does not require secure in-patient treatment

Nacro	Formerly known by the acronym of NACRO (National Association for the Care and Resettlement of Offenders), Nacro is a social justice charity which for over 50 years has offered a range of services to support people to change their lives and to prevent crime and the risk of reoffending
nDelius	National Delius: the approved case management system used by the CRCs and the NPS in England and Wales
NEPACS	North East Prisoners and Children's Services is a charity that provides family support to prisoners and their families in the North East of England
NERAF	North East Regional Alcohol Forum: a charity specialising in supporting service users with substance misuse issues, based in Sunderland
NLT	Northern Learning Trust: a local charity specialising in education provision and support for veterans
NOMS	National Offender Management Service: the single agency responsible for both prisons and probation services in England and Wales until 31 March 2017. Since 01 April 2017, this service has been superseded by Her Majesty's Prison and Probation Service
NPS	National Probation Service: a single national service that came into being in June 2014. Its role is to deliver services to courts and to manage specific groups of offenders, including those presenting a high or very high risk of serious harm and those subject to MAPPA in England and Wales
OASys	Offender Assessment System: currently used in England and Wales by the CRCs and the NPS to measure the risks and needs of offenders under supervision
Offender management	A core principle of offender management is that a single practitioner takes responsibility for managing an offender through the period they are serving their sentence, whether in custody or the community
OMS	Operational Management System: the name for the Sodexo electronic casework platform, designed to incorporate assessments, and record and manage resources
Operational partner	Refers to organisations commissioned as part of the supply chain to provide services for Northumbria CRC. This

	includes the staff and services provided under the contract, even when they are integrated or located within the CRC
Offender Rehabilitation Act 2014	Implemented in February 2015, applying to offences committed on or after that date, the Offender Rehabilitation Act (ORA) 2014 is the Act of Parliament that accompanies the Transforming Rehabilitation programme
Partner link worker	Partner link workers provide voluntary support to the victims of offenders undertaking the Building Better Relationships programme. They provide information about the programme and the progress made by the offender, and ensure the victim has an arranged place of safety, emergency contact numbers, and access to support services such as counselling
Partners	Partners include statutory and non-statutory organisations, working with the offender through a partnership agreement with a CRC or the NPS
Post-sentence supervision	Post-sentence supervision: brought in via the Offender Rehabilitation Act 2014, the PSS is a period of supervision following the end of a licence. Breaches are enforced by the magistrates' court
Pre-sentence report	This refers to any report prepared for a court, whether delivered orally or in a written format
PO	Probation officer: this is the term for a responsible officer who has completed a higher-education-based professional qualification. The name of the qualification and content of the training varies depending on when it was undertaken. They manage more complex cases
PSO	Probation services officer: this is the term for a responsible officer who was originally recruited with no professional qualification. They may access locally determined training to qualify as a probation services officer or to build on this to qualify as a probation officer. They may manage all but the most complex cases depending on their level of training and experience. Some PSOs work within the court setting, where their duties include writing pre-sentence reports
Rate card	A directory of services offered by the CRC for use with the NPS with their offenders, detailing the price
RAR	Rehabilitation Activity Requirement: from February 2015, when the Offender Rehabilitation Act 2014 was implemented, courts can specify a number of RAR days within an order; it is for probation services to decide on the precise work to be done during the RAR days awarded

Resolve	An accredited programme for male perpetrators of interpersonal violence, designed to help them gain a better understanding of their emotions and behaviour and learn new ways of thinking to help them avoid violence
Responsible officer	The term used for the officer (previously entitled 'offender manager') who holds lead responsibility for managing a case
RoR	Risk of Reoffending: a term used to describe the probability that an offender/prisoner will be arrested and be reconvicted within two years
RoSH	Risk of Serious Harm: a term used in OASys. All cases are classified as presenting a low/medium/high/very high risk of serious harm to others. HMI Probation uses this term when referring to the classification system, but uses the broader term risk of harm when referring to the analysis which must take place in order to determine the classification level. This helps to clarify the distinction between the probability of an event occurring and the impact/severity of the event. The term Risk of Serious Harm only incorporates 'serious' impact, whereas using 'risk of harm' enables the necessary attention to be given to those offenders for whom lower impact/severity harmful behaviour is probable
Shelter	Shelter is a national charity which provides advice and support on accommodation, finance, debt and some mentoring services
Stakeholder	A person, group or organisation that has a direct or indirect stake or interest in the organisation because it can either affect the organisation, or be affected by it. Examples of external stakeholders are owners (shareholders), customers, suppliers, partners, government agencies and representatives of the community. Examples of internal stakeholders are people or groups of people within the organisation
Supply chain	Providers of services commissioned by the CRC
SSO	Suspended sentence order: a custodial sentence that is suspended and carried out in the community
Thinking Skills Programme	An accredited group programme designed to develop an offender's thinking skills to help them stay out of trouble
Through the Gate	Through the Gate services are designed to help those sentenced to more than one day in prison to settle back into the community upon release and receive rehabilitation support so they can turn their lives around
Transforming Rehabilitation	The government's programme for how offenders are managed in England and Wales from June 2014

Unpaid work	A court can include an unpaid work requirement as part of a community order. Offenders can be required to work for up to 300 hours on community projects under supervision. Since February 2015, unpaid work has been delivered by CRCs
User Voice	User Voice is a charity that fosters dialogue between service providers and service users that is mutually beneficial, aiding rehabilitation and recovery
Women's centre	A centre dedicated to services for women. This may include education, training and interventions to help with confidence and self-esteem



HM Inspectorate of Probation
1 Bridge Street West
Civil Justice Centre
Manchester
M3 3FX

ISBN: 978-1-84099-829