An inspection led by HMI Probation

CRITERIA

Phase 2  March 2007
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Introduction

Glossary
INTRODUCTION

The OMI Criteria cover each of the aspects of work to be addressed in the inspection (General Criteria) and set out the areas of specific evidence that should be provided either in advance or during the course of the fieldwork in the probation area concerned (Specific Criteria). This version of the criteria includes revisions to accommodate the introduction of offender management in the custodial setting. References to a required standard relate to NPD’s national standards or the NOMS offender management standards, whichever was applicable at the time. A Glossary is provided at the front for all abbreviations used. Italicised terms in Section 4 are explained in the “Terminology” at the end of each criterion. For those assessing against the OMI Criteria, an accompanying Toolkit is available which provides further clarification in relation to Sections 1-3.

The criteria have been divided into four main sections:

Section 1: Assessment and Sentence Planning
Section 2: Implementation of Interventions
Section 3: Achievement and Monitoring of Outcomes
Section 4: Leadership and Strategic Management

A note on the scoring of criteria is available on the website.

This inspection covers all work undertaken under the auspices of NOMS in cases to which an offender manager is allocated under national guidelines. It aims to scrutinise the end-to-end offender management process.

GLOSSARY

DIP Drug Intervention Programme
DRR Drug Rehabilitation Requirement
LCJB Local Criminal Justice Board
MAPPA Multi-Agency Public Protection Arrangements
NOMS National Offender Management Service
OASys/eOASys Offender Assessment System/electronic OASys (or an accredited successor assessment tool)
OGRS2 Offender Group Reconviction Score2
OMI Offender Management Inspection
PPO Prolific and other Priority Offenders
PSO Probation service officer
PSR Pre-sentence report
REM Race and ethnic monitoring
RoH Risk of harm
SFO Serious further offence
SMB Strategic Management Board
TPO Trainee probation officer
YOT Youth Offending Team
1. ASSESSMENT AND SENTENCE PLANNING

1.1 General Criterion: PREPARING FOR SENTENCE

Activity in the phase leading up to sentence is timely, purposeful and effective.

Specific Criteria:

1.1.a Any court reports in the case take account of stated sentencing purpose(s) and seriousness level, or give clear explanations if proposals are at variance with these.

1.1.b Any fast delivery and standard court reports in the case are of the appropriate type, are written to the standard set down and are made available to the court within the required timescale. The eOASys PSR template enhances quality where used.

1.1.c Offence seriousness and likelihood of reoffending are clearly articulated, particularly in the case of PPOs. Proposals made are proportionate and clear. PPOs are not described as such in court reports.

1.1.d Issues of risk of self-harm, if applicable, are clearly recorded. If the offender is in custody, these concerns are immediately communicated to prison staff.

1.2 General Criterion: ASSESSMENT OF RISK OF HARM

RoH is comprehensively and accurately assessed using OASys in each case and additional specialist assessment tools where relevant.

Specific Criteria:

1.2.a A timely OASys RoH screening is completed accurately at the start of sentence.

1.2.b A timely full OASys RoH analysis is completed to a sufficient standard in appropriate cases. It specifies the nature and level of risk to victims, the public, and staff.

1.2.c The OASys RoH classification – and the MAPPA classification if applicable – is clear, accurate and has been communicated to all staff involved in the case.

1.2.d All RoH assessments (OASys and specialist tools) draw adequately on MAPPA, other agencies’ and previous probation/prison service/YOT assessments, and cover victim issues sufficiently wherever applicable.

1.2.e In appropriate cases a comprehensive and current risk management plan is completed using the required format. This is done within five working days of the order being made or of the offender being assessed as posing a high/very high ROH, or prior to release in the case of licences.

1.2.f In high and very high RoH cases and in child safeguarding cases, there is evidence of effective higher and middle management involvement in the assessment.
1.2.g Arrangements are made for placement of high or very high RoH offenders in approved premises in cases where greater oversight of the offender is required to protect the public.

1.3 General Criterion: ASSESSMENT OF LIKELIHOOD OF REOFFENDING

Likelihood of reoffending is comprehensively and accurately assessed using OASys as applicable.

Specific Criteria:
1.3.a An OASys score is calculated at the start of sentence/release from custody. In cases where this is not a requirement, an accurate OGRS2 score should be clearly recorded within the same timescale.
1.3.b Using OASys, criminogenic factors relevant to each individual offender are assessed. Positive influences such as supportive and pro-social factors are also identified.
1.3.c A comprehensive OASys assessment is completed within five working days of sentence for PPOs.
1.3.d Assessments draw on those of other agencies including those previously carried out by the prison and probation services, YOTs, DIP and other treatment providers.

1.4 General Criterion: ASSESSMENT OF OFFENDER ENGAGEMENT

Potential obstacles or challenges to positive engagement are identified and plans made to minimise their possible impact.

Specific Criteria:
1.4.a A basic skills’ screening is carried out at start of sentence in every case, and a full assessment follows where indicated.
1.4.b Attention is paid to the methods likely to be the most effective with each offender, whether in custody or in the community.
1.4.c Offenders’ intellectual ability, learning style, motivation and capacity to change are taken into account at the earliest opportunity.
1.4.d At an early stage diversity issues, potentially discriminatory/disadvantaging factors and any other individual needs are actively assessed. If identified, plans are put in place to minimise their impact.
1.5 General Criterion: SENTENCE PLANNING

The offender manager plans interventions in custody and the community with a view to addressing criminogenic factors and managing any RoH to others. The initial sentence plan or unpaid work assessment is designed to describe a structured and coherent plan of work for each offender.

Specific Criteria:

1.5.a Each offender is accurately located within the four-tier structure of the Offender Management Model, and plans are made that reflect the purposes of the sentence as appropriate: punish, help, change, control.

1.5.b Offenders are allocated to an offender manager within the required timescale.

1.5.c The roles and liaison responsibilities of all workers – offender managers, offender supervisors, key workers and case administrators – in the community and custodial settings are clearly defined and understood.

1.5.d Where relevant, recommendations are made for restrictive licence conditions or community order requirements aimed at minimising RoH to others.

1.5.e Sentence planning is given a high priority. It should: give a clear shape to the sentence, focus on achievable change, reflect the sentencing purpose(s), set relevant goals for each offender.

1.5.f A timely initial sentence plan draws on OASys, MAPPA, other agencies’ and previous prison/probation service/YOT assessments. It meets the requirements of national and prison service standards. For cases involving custody, the plan systematically sets out what work will be done in custody and what on release.

1.5.g As applicable, interventions are identified to reduce/contain RoH, address likelihood of reoffending, promote community reintegration and to meet the requirements for punishment included in the sentence.

1.5.h Plans are made to sequence interventions according to RoH and offending-related need, taking reasonable account of offender circumstances and abilities and issues relating to victims.

1.5.i Plans are sensitive to factors relating to diversity issues, including offender vulnerability.

1.5.j The offender is enabled to participate actively and meaningfully in the planning process and the requirements of the sentence are explained to them.
2. IMPLEMENTATION OF INTERVENTIONS

2.1 General Criterion: DELIVERING THE SENTENCE PLAN

The offender manager facilitates the structured delivery of all relevant elements of the sentence.

Specific Criteria:

2.1.a There is appropriate sequencing of interventions both in custody and the community, according to RoH and likelihood of reoffending. Work in the community builds on activity in prison, especially in relation to education and substance misuse treatment.

2.1.b Arrangements are put in place so that offenders are prepared thoroughly for interventions and in order that new skills are reinforced with them afterwards (e.g. pre- and post-programme work).

2.1.c Offender managers oversee and coordinate the input of all workers, and there is evidence of good communication between them and with the offender.

2.1.d Workers demonstrate commitment to their work with the offender, actively motivating and supporting them throughout their sentence, and reinforcing positive behaviour.

2.1.e Custody reports are clear and thorough, incorporating accurate RoH assessments, and contribute to decision-making processes within the required timescales.

2.1.f The sentence plan is reviewed in accordance with the required timescales (at least every four months in the community). Work with the offender flows from a coherent sentence plan and a clear direction is given to the sentence by the use of objectives and milestones for which continuing ownership by the offender is sought.

2.1.g Where appropriate, reviews integrate other ongoing plans, e.g. MAPPA action plan/plan from another risk management meeting, individual learning plan, safeguarding children plan.

2.1.h There is positive, proactive and timely joint working between prison-based staff, offender managers and others in preparation for an offender moving between custody and community.

2.1.i All sentence requirements are fully implemented.

2.1.j Transfers of cases between areas are handled according to national requirements. The movement of prisoners is communicated promptly to offender managers. Wherever possible, the planned movement of prisoners is consistent with the sentence plan and, where unplanned moves occur for operational or security reasons, these are communicated promptly to the offender manager.
2.2 General Criterion: PROTECTING THE PUBLIC BY MINIMISING RISK OF HARM

All reasonable actions have been taken to protect the public by keeping to a minimum the offender’s RoH to others.

Specific Criteria:

2.2.a RoH to others is managed throughout as a high priority. It is thoroughly reviewed within the required timescales (at least every four months) and always following a significant change that might give rise to concern. There is ongoing planning to address RoH to children, the public, known adults, staff and prisoners. For custody cases, the offender manager and offender supervisor provide evidence of engagement with internal risk management processes.

2.2.b MAPPA are utilised effectively for appropriate cases, i.e. those where RoH warrants multi-agency involvement, including at key points in a custodial term.

2.2.c Offender managers and all other relevant staff contribute effectively to MAPPA processes including: by following through actions from MAPPA meetings and contribute to other multi-agency meetings as appropriate.

2.2.d Recall is used effectively and appropriately when an offender’s RoH to others increases. MAPPA are involved as appropriate.

2.2.e Following recall, clear explanations are given to the offender as to the reasons for their imprisonment and efforts made to re-engage the offender.

2.2.f Changes in RoH/acute factors are anticipated wherever feasible, identified swiftly and acted upon appropriately to protect the public.

2.2.g A purposeful home visit will be carried out on a high/very high RoH case within ten working days of sentence/release and repeated as necessary to keep the offender’s RoH to a minimum. Home visits are employed effectively to monitor children’s safeguarding outcomes.

2.3 General Criterion: VICTIMS

Consistent attention is given to issues concerning victims.

Specific Criteria:

2.3.a Victim safety: High priority is given by the offender manager to issues of victim safety, where there is a direct/potential victim, restrictive/prohibitive conditions on an order/licence concerning a victim, or concerns about children’s safeguarding outcomes. Particular regard is paid to victims/potential victims who could be deemed particularly vulnerable. In certain cases offender supervisors will have a role in promoting victim safety from a custodial setting by monitoring calls and working to prevent harassment from prison.

2.3.b Offender awareness about victims: Victim awareness work appropriate to the case is delivered to offenders wherever relevant, and especially where there is a direct victim. Particular care is taken in addressing this in cases of racially motivated offending or hate crime.
2.3.c **Victim contact:** In relevant cases, statutory victim liaison takes place in accordance with the required standards.

2.4 **General Criterion: ENSURING CONTAINMENT & PROMOTING COMPLIANCE**

*(Punish)*

*Contact with the offender and enforcement of the sentence is planned and implemented to meet the required standards and to encourage engagement with the sentence process.*

**Specific Criteria:**

2.4.a As applicable, satisfactory arrangements are in place for offenders to be contained in the custodial setting in accordance with sentence requirements for restriction of liberty.

2.4.b In licence cases, sufficient probation contact and liaison is undertaken pre-release to promote subsequent effective offender management in the community.

2.4.c For all offenders there is a comprehensive and timely induction promptly after sentence or release.

2.4.d The frequency of appointments or work sessions arranged conforms, at a minimum, to standards set down and to the requirements of the sentence. It is sufficient to meet any RoH considerations and also supports the achievement of sentence plan objectives.

2.4.e Unpaid work placements are matched to the offender, are demanding and are of benefit to the community.

2.4.f In the case of PPOs, enhanced levels of contact are arranged and a pattern of reporting put in place which supports all elements of the sentence.

2.4.g Offender attendance across all interventions is monitored by the offender manager with effective action taken, where necessary, to ensure compliance.

2.4.h Any exclusion or curfew requirement is appropriately enforced. There is effective liaison with the electronic monitoring provider.

2.4.i Judgements about acceptability/unacceptability of absences and other offender behaviour are consistent and appropriate.

2.4.j Action on breach/recall, if required, meets the required standards and is taken promptly, particularly in high/very high RoH cases and PPOs. The swift resolution of breach proceedings is promoted through partnership working with relevant courts and other agencies.

2.4.k Case records are well organised and contain all relevant documentation, including the required REM information. The recording of information is clear, timely and sufficient.
2.5 General Criterion: CONSTRUCTIVE INTERVENTIONS (Help & Change)

Interventions are delivered to identified ends and to meet the requirements of the sentence: help and change.

2.5.a Constructive interventions encourage the offender to accept responsibility for their offending behaviour and its consequences.

2.5.b Sufficient work and resources are directed at community reintegration issues.

2.5.c Arrangements are in place for basic skills inputs to be delivered if this need has been identified.

2.5.d The offender manager prepares reports and attends DRR review hearings in accordance with the required standards and court requirements.

2.5.e The nature and timing of accredited programme work is consistent with sentence plan objectives.

2.5.f For offenders in prison, action is taken immediately after reception into custody to preserve employment, accommodation and family ties where these are put at risk. Supporting protective factors are evident in a custodial setting; offenders are given help throughout their time in custody to preserve appropriate community links and/or resources that may be important to them.

2.5.g Approved premises offer constructive and planned interventions. Facilities in approved premises adhere to quality standards to enable effective interventions, including specialist facilities where applicable.

2.6 General Criterion: RESTRICTIVE INTERVENTIONS (Control)

Interventions are delivered to identified ends and to meet the requirements of the sentence: control.

2.6.a All restrictive interventions are monitored fully and every reasonable action is taken to minimise RoH.

2.6.b Approved premises are effectively used for offenders who represent a risk of serious harm to the public and for whom the enhanced supervision of an approved premises pathway is indicated. If the area does not have its own approved premises, alternative suitable arrangements are made for offenders who pose a high/very high RoH.

2.6.c Licence requirements are comprehensive and necessary. They are proportionate to the RoH, likelihood of reoffending and the protection of victims.

2.6.d In the case of PPOs, there is a presumption towards additional licence conditions relating to drugs if applicable.
2.7 General Criterion: DIVERSITY ISSUES

*Full and proper attention is paid to diversity issues.*

**Specific Criteria:**

2.7.a Arrangements for interventions take account of offenders’ diversity issues. Factors relating to disability, literacy and dyslexia are addressed.

2.7.b Singleton placements of minority offenders in any mixed setting only occur with offenders’ informed consent.

2.7.c Where minority offenders are placed in a mixed setting, attention has been paid to staff composition and arrangements made to support offenders’ engagement.

2.7.d Offenders have been clearly informed that discriminatory behaviour will not be tolerated.
3. ACHIEVEMENT AND MONITORING OF OUTCOMES

3.1 General Criterion: ACHIEVEMENT OF INITIAL OUTCOMES

Planned objectives are efficiently achieved.

Specific Criteria:
- 3.1.a The public has been better protected, with any RoH successfully managed or reduced.
- 3.1.b Increased victim awareness on the part of the offender is clearly evidenced.
- 3.1.c There has been no reconviction for offences committed since the start of the sentence.
- 3.1.d The offender has complied with the requirements of the sentence.
- 3.1.e In applicable cases, there is evidence of demonstrable benefits to the community.
- 3.1.f There has been a reduction in criminogenic needs as shown by an improvement in OASys scores over time.
- 3.1.g Learning outcomes/skills have been applied and basic skills awards achieved wherever relevant and possible.
- 3.1.h There is positive demonstrable change in attitudes and behaviour in relation to offending.
- 3.1.i The sentencing objectives of punish, help, change and control are achieved as appropriate to each offender.
- 3.1.j The resources allocated to the case are consistent with the offender’s RoH and likelihood of reoffending and with PPO status as applicable.
- 3.1.k Resources are used efficiently in achieving planned outcomes.

3.2 General Criterion: SUSTAINABILITY OF PROGRESS

Results are capable of being sustained between different phases of a sentence and beyond the end of supervision.

Specific Criteria:
- 3.2.a There is continuity of offender management.
- 3.2.b Structured sentence planning takes high priority throughout.
- 3.2.c Sufficient action is taken to consolidate offender learning and the acquisition of new skills has been reinforced.
- 3.2.d Full attention is given to long-term community reintegration issues. Links are made with community resources/family, etc., with a reasonable prospect that an offender will draw on community organisations to address their criminogenic needs in an ongoing way where required.
4. LEADERSHIP AND STRATEGIC MANAGEMENT

4.1 General Criterion: LEADERSHIP AND PLANNING

*There is active leadership in the implementation of national policies via local policies and procedures which are regularly monitored and reviewed, through proactive planning with other key agencies, and by promoting the diversity agenda.*

**Specific Criteria:**

4.1.a The area’s annual plan builds on national and regional plans, gives priority to Government objectives, is implemented consistently and regularly reviewed.

4.1.b Proactive planning develops policies and procedures supportive of agreed national and local objectives. These are communicated to staff at all levels of the organisation and regularly reviewed.

4.1.c Effective liaison arrangements with sentencers contribute to sentencing outcomes for offenders which are consistent with current NOMS policy aims and with the work of the Sentencing Guidelines Council.

4.1.d There is appropriate linkage to *local authority strategies*.

4.1.e The employing body works cooperatively and productively with *all relevant organisations* and engages effectively with local communities.

4.1.f An *appropriate strategic contribution is made to public protection*.

4.1.g Diversity issues are an integral part of the strategic planning and implementation process and are regularly monitored against agreed criteria.

4.1.h The service user perspective is taken into account in planning processes.

4.1.i Action by NOMS supports and holds the area to account for its leadership and planning processes.

4.1.j Managers demonstrate professional management approaches and model positive leadership behaviour.

4.1.k The employing body is receptive to the findings of regulatory bodies and acts on them to improve performance.

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- *local authority strategies*: e.g. Local Area Plans, Local Strategic Plans and Regional Reducing Reoffending Plans.
- *all relevant organisations*: e.g. sentencers, LCJB, CDRP/Community Safety Partnerships, MAPPA SMB, Supporting People, Children’s Trusts, Health Services, Regional Forums.
- *appropriate strategic contribution is made to public protection*: e.g. via MAPPA SMB; CDRP; multi-agency arrangements for PPOs; Children’s Safeguarding Boards.
4.2 General Criterion: PERFORMANCE AGAINST NATIONAL AND REGIONAL TARGETS

*Key performance targets are consistently met, with careful attention to diversity issues throughout.*

Specific Criteria:

4.2.a The achievement of key national, regional and local targets is a high priority and work is planned and resourced accordingly.

4.2.b Performance against targets is monitored routinely, and robust quality assurance procedures are in place. Results are used to improve performance and to hold managers to account.

4.2.c In working to meet targets due regard is paid to diversity issues.

4.2.d There is evidence of cooperative working towards targets, drawing particularly on good probation practice elsewhere, and benchmarking across regions.

4.2.e Where targets are not being met, clear plans for performance improvement are in place.

4.3 General Criterion: RESOURCE DEPLOYMENT

*There is a strategic approach to deploying resources to deliver effective performance and support diversity initiatives and there are positive indications in relation to value for money.*

Specific Criteria:

4.3.a Resources are deployed appropriately and used well to support effective offender management.

4.3.b Resources follow risk, with RoH to others as a clear priority, and PPOs given proportionate resource.

4.3.c Sufficient resource is dedicated to support diversity initiatives and their impact is monitored.

4.3.d Court staffing levels are sufficient to provide appropriate information to sentencers as they determine disposals.

4.3.e Workload prioritisation and allocation decisions are made according to clear criteria, in line with national priorities, and are communicated to all staff.

4.3.f The area maximises the benefits of resources allocated from national/regional level and seeks out additional resources for work with offenders.
4.4 General Criterion: WORKFORCE PLANNING AND DEVELOPMENT

Workforce planning and development leads to a good match between staff profile and service delivery requirements. Relevant diversity legislation is observed in staff recruitment and deployment.

Specific Criteria:

4.4.a Effective human resource structures are in place for the staff profile needed to service the Offender Management Model, to meet service delivery requirements and to plan for future needs and contingencies.

4.4.b A costed staff training and development plan links individual performance to the achievement of the area’s business plan. There is ongoing focus on developmental and training needs of staff in all roles, including support staff, seconded staff, PSOs, approved premises staff, unpaid work supervisors, and sessional staff.

4.4.c Particular attention is paid to appropriate learning opportunities and support for staff in training, e.g. TPOs.

4.4.d Staff role boundaries are well defined, and lines of accountability are clearly understood. All workers have a clear understanding of their role, task and relationship to offenders.

4.4.e There is evidence of a constructive working dynamic with recognised unions.

4.4.f Effective procedures are in place to address and minimise staff sickness absence.

4.4.g Staff supervision is delivered at an appropriate frequency and to a satisfactory standard.

4.4.h All staff are subject to an annual appraisal of sufficient quality, linked to the area’s business plan.

4.4.i The employing body operates with full regard to the Race Relations (Amendment) Act 2000 and diversity issues in respect of employment, undertakes ethnic monitoring of staff as required by NOMS and adheres appropriately to the Race Equality Scheme.

4.5 General Criterion: REVIEW AND EVALUATION

Outcomes of interventions are assessed and reviewed using available data.

Specific Criteria:

4.5.a The views of service users and stakeholders are routinely collated, evaluated and used to improve service delivery.

4.5.b Sentencing proposal/disposal and release data are compared with completion data and monitored for successful outcomes.

4.5.c Aggregated information on outcomes is made available and used to inform practice.

4.5.d Monitoring and evaluation information is regularly discussed by relevant staff groups and practice modified in response. There is evidence of the use of local, national and international research findings to inform policy and practice.
4.5.e Processes are in place to spread the learning from SFO reviews, complaints, and investigations into deaths in approved premises.

4.6 General Criterion: COMMISSIONING OF SERVICES

*There is efficient provision of effective services to support offender management outcomes and to ensure equal access to provision for offenders.*

Specific Criteria:

4.6.a Services are specified, secured and monitored at a strategic level to support the effective management of offenders. Where services are commissioned by other mechanisms, probation plays an active role on these commissioning bodies.

4.6.b The user perspective is a key factor in commissioning, maintaining or decommissioning services.

4.6.c Services commissioned are of a high quality and represent good value for money. Duplication of services is avoided.

4.6.d Relationships between offender managers in this criminal justice area and prisons facilitate the smooth transition of prisoners on release and prompt transmission of information from prison to probation and vice versa.

4.6.e A comprehensive range of offender provision is developed, following research into local, regional and national criminogenic needs and RoH.

4.6.f Services are developed, as appropriate, to support work with minority groups.

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