Probation Programme

Market Engagement 12th September 2018
Performance Framework
Market engagement – performance framework

Agenda

- Session objectives
- Service User involvement
- Quality measures
- Measuring outcomes and related outputs
Session objectives ~ a reminder

- We want to get your views on how to design a performance framework which supports the delivery of the services;

- We want to hear your views about what will work;

- We will share our current thinking on the three key areas in which we are developing measures, and use round table discussion to get your views;

- We would also welcome written feedback following this event, both on what we discuss today and on other aspects of the performance framework. Could you provide this by **Friday 28th September**;

- This will help us consider whether a third event would be useful, and what to cover in that event. Please tell us what you believe would be helpful
Service User Involvement
Current activity to involve SUs in service development and design.

- ‘Your Views Matter’ Service User survey
- Activity led by CRC, NPS and Prison staff
- User Voice contracted provision with CRCs
- NPS National Stakeholder Engagement Reference Group,
- MOJ User Centred Design Team
- National Service User Involvement Advisory Group
- Consultation on the future design of Probation Services - *Strengthening probation, building confidence*
- Development of ‘Standards of Excellence’
Round table discussions

• We will ask each table to look at one of these questions

1. What do we mean by service user engagement and involvement?

2. What aspects of service user involvement are key?

3. How should we articulate expectations and standards?

4. How do we measure success and hold providers to account?
1. What do we mean by service user engagement and involvement?

Suggestions

- Ensuring service users contribute to their sentence planning and review?

- Gathering service user feedback on which interventions most help them or how they could be improved at a wider level?

- Involving service users in key stages of service design, development and delivery?

How can we achieve this, and what else could be done?
2. What aspects of service user involvement are key?

Suggestions

- Clearly articulated corporate vision and commitment to SU involvement at all levels
- Demonstrable staff skills and experience in consulting and engaging with SUs
- Use of wide range of methods and opportunities to engage with and gather SU views
- Well developed user led work across the organisation
- Evidence of impact of service user input on service development and delivery

How can we achieve this, and what else could be done?
3. How should we articulate expectations and standards?

Suggestions:

Expectations and standards could be informed by current activity, and included in:

- Target Operating Model
- Quality Assurance Arrangements
- Service specification in contract
- Delivery solution in contract

How can we achieve this, and what else could be done?
4. How do we measure success and hold providers to account?

Suggestions

- Case file checks and conversations with staff and service users
- Consideration of strategic plans, and how they link to operational implementation
- Evidence of range and frequency of involvement activities and opportunities
- Measuring impact of service user involvement on service design, development and delivery

How can we achieve this, and what else could be done?
Quality Measures
Developing quality measures

- To support a focus on quality, we are developing core quality measures drawn directly from the Authority’s audit of case management, covering the following areas:
  - sufficient sentence planning
  - delivery of the sentence
  - sufficient risk assessment and management
  - proper enforcement

- These will be assessed by the Authority, but with the potential to rely on providers’ own QA for some elements
Building on an established approach of assessing quality

- Operational Assurance has been assessing quality of delivery since current contracts started (2014)
- Established approach and methods
- Based on actual practice on cases (case reviews)
- Skilled and experienced team of practitioners
- Transparent
- Consistency a high priority (see later slide)
- Light touch for providers (eg cases assessed offline)
- Based on contractual requirements – not seeking a level of performance above that expected in contract and therefore costed

Not subjective / ‘woolly’
How is Quality defined?

- Definition is rooted in contractual requirements
- Some elements of quality will be directly written into the contract
- Supplemented by concept of Good Industry Practice. This is standard industry language.

**Good Industry Practice**

As defined in Schedule 1 of the current CRC contract: Good Industry Practice means that degree of skill, care, prudence and foresight and operating practice which would reasonably and ordinarily be expected from time to time of a skilled and experienced operator (engaged in the same or similar type of undertaking as that of the Contractor or any Subcontractor) under the same or similar circumstances taking into account guidance issued from time to time

GIP = Based on the contract, referenced PIs, data recording technical notes, National Standards etc
How is consistency ensured?

A high priority because audits are judgement based

- **Audit Staff:**
  - operational and audit experience
  - significant training programme, focussed on what constitutes above or below satisfactory
  - training includes benchmarking - all auditors assess same case and results are compared and discussed
  - All auditors have 5% of their case reviews double reviewed
  - Scores for all auditors are compared with peers

- **Audit Methodology:**
  - Subject to rigorous development to ensure sound assessment of practice
  - Criteria on which audit is based (GIP etc) = clear and transparent
  - Results for each audit are moderated in a meeting of all team members to ensure consistency across that team
  - Further senior moderation panel compares results across the country to ensure same standards apply from Cornwall to Cumbria
Scope of audit work

In assessing each case we review:

- Compliance – Have contractual requirements been met?
- Data Quality - Has data supporting Service Levels been accurately recorded, and does recorded data correspond with actual delivery?
- **Quality** – Does the quality of service delivery meet Good Industry Practice?

At provider level we assess;

- Organisational Support – are systems and processes sufficient to ensure contract compliance, data quality and service quality
- Quality Assurance – are QA arrangements adequate?

Information on all these elements is vital for a rounded picture of performance but **Quality is the key focus**
Current thinking based on established and tested approach

Work directly answers and rates performance on important quality questions (Key Lines of Enquiry (KLOEs)). Potential KLOEs below...

**KLOE 1 SENTENCE PLANNING**
Is a plan, of sufficient quality, completed for all persons within the required timeframe following first face to face contact?

**KLOE 2 RISK MANAGEMENT**
Are plans to manage and mitigate the risk of serious harm implemented and any increases in risk identified and acted on appropriately throughout the sentence?

**KLOE 3 ENFORCEMENT**
Is the RO demonstrating sound professional judgements in their decisions making about an individual’s compliance and, are ROs enforcing failures to comply appropriately?

**KLOE 4 DELIVERY OF SENTENCE/LICENCE**
Is the CRC delivering the sentence of the court, including those subject to licence, as intended?

**OVERALL RATING**
- **Green**
- **Amber / Green**
- **Amber / Red**
- **Red**

**Ratings**

<table>
<thead>
<tr>
<th>Color</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>Green</td>
<td>Service delivery is fully compliant with the contract requirements and meets or exceeds ‘Good Industry Practice’</td>
</tr>
<tr>
<td>Amber / Green</td>
<td>Service delivery is mostly compliant with the contract requirements and sufficiently meets Good Industry Practice</td>
</tr>
<tr>
<td>Amber / Red</td>
<td>Service delivery is partly compliant with the contract requirements and does not meet Good Industry Practice in some regards</td>
</tr>
<tr>
<td>Red</td>
<td>Service delivery fails to comply with the contract requirements and fails to meet Good Industry Practice in significant areas</td>
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</table>
Round table discussions

We will ask each table to discuss one of these questions

1. **How can the Authority and suppliers best work together to assure quality in the delivery of probation services?**
   a. What could be the role of providers’ own QA arrangements in assessing quality?
   b. What do you see as the benefits of providers’ assessing the quality of their delivery
   c. How could we address the potential issues with this approach

2. **What is it most important to look at in assessing whether sufficient quality is being achieved in the following areas?**
   a. Sentence planning
   b. Risk management
   c. Enforcement
   d. Sentence/licence delivery
Measuring outcomes and related outputs
Characteristics of offenders

Those who commit crimes often have complex, multiple needs which contribute to their offending behaviour. It makes sense to hold suppliers to account on probation work that addresses these.

Proportion of offenders supervised in the community with identified criminogenic needs, 30 June 2017*

*These figures exclude women and men without a valid OASys assessment or needs data at this point in time.
Developing outcome-related measures

- We intend to continue to focus on the key outcomes of probation work in promoting rehabilitation and ultimately reducing reoffending.

- The approach we are working on looks at whether service users’ core offending-related needs and related protective factors have been improved.

- To do this, we need to capture outcomes and outcome-related outputs for rehabilitative interventions, e.g., RARs, treatment requirements, accredited programmes, and resettlement.

- An ‘outcome’ could be a service user starting steady employment. An ‘outcome-related output’ could be an eligible individual completing an evidence based accredited programme.
Round table discussions

• The purpose of this exercise is to look at what offending-related needs/protective factors probation can influence, and how suppliers could demonstrate change in those areas.

• The annex ‘Measuring Improved Needs/Protective Factors’ looks at:
  • the probation role in relation to core social, health and criminogenic needs
  • what we would like to achieve, and how we could measure success
  • the potential data sources

• We will ask each table to look at one of the need areas, and give your views on potential success measures and data sources

• Please identify any issues with our suggestions and make additional suggestions
HANDBOUT

Measuring Improved Needs/Protective Factors
# Social Needs Area

## Housing

<table>
<thead>
<tr>
<th>Probation role</th>
<th>Desired outcome/output</th>
<th>Possible success measures</th>
<th>Possible data sources</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Support to access local housing provision/specialist third sector accommodation and to overcome barriers to obtaining accommodation</td>
<td>• Referrals to social, charitable or private housing provision&lt;br&gt; • Access to rent and bond schemes&lt;br&gt; • Increased ability to maintain a tenancy&lt;br&gt; • Access to emergency accommodation&lt;br&gt; • Access to appropriate supported accommodation related to reducing risk of harm/reoffending</td>
<td>• Transient housing becomes settled (i.e. 13 weeks plus)&lt;br&gt; • Rough sleeper moves to supported accommodation&lt;br&gt; • Local Authority accepts referral to prevent homelessness&lt;br&gt; • Short terms prisoner maintains prior accommodation on release</td>
<td>• nDelius personal circumstances, with positive housing status verified&lt;br&gt; • OASys assessed need improves</td>
</tr>
</tbody>
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## Social Needs Area #2

- Education, training and employment

<table>
<thead>
<tr>
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<th>Desired outcome/output</th>
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</table>
| • Develop individual ‘career plan’ as part of sentence plan and provide tailored info and help to access local education/ training providers, including removal of barriers e.g. childcare | • Access to education/ training/ temporary employment  
• Achieve nationally accredited qualifications  
• Enhanced employment skills/ability to follow-up advice/information  
• Support received for specific learning difficulties | • Starts education/training course leading to recognised qualification  
• Starts/maintains employment  
• Achieves Qualification – e.g. functional numeracy/literacy, Short term prisoner maintains prior employment on release | • nDelius personal circumstances  
• OASys assessed need improves  
• Service User - assessment OASys Self-Assessment Questionnaire (SAQ); structured SU input to needs re/assessment |
## Health Needs Area

- **Substance Misuse and Mental Health**

<table>
<thead>
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<th>Possible data sources</th>
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</thead>
<tbody>
<tr>
<td>● Build skills, motivation and support to access local provision (including specialist services and referrals)</td>
<td>● Reduced resistance and anxiety about change.</td>
<td>● Completes structured interventions</td>
<td>● OASys assessed need improves</td>
</tr>
<tr>
<td>● Structured brief interventions for non-dependant drinkers.</td>
<td>● Completes evidence-based single extended brief intervention of brief lifestyle counselling (BLC) or brief motivational interviewing (BMI).</td>
<td>● Drug/alcohol dependant SUs engage with DRR/ATR services</td>
<td>● Service User - assessment OASys Self-Assessment Questionnaire (SAQ); structured SU input to needs re/assessment</td>
</tr>
<tr>
<td>● Build coping strategies for high-risk situations.</td>
<td>● Access to ongoing support</td>
<td>● Maintains treatment/prescription</td>
<td>● nDelius delivery of RAR</td>
</tr>
<tr>
<td>● Structured brief interventions to increase self-awareness and build self-efficacy.</td>
<td>● Completes structured brief interventions to increase self-awareness and build self-efficacy</td>
<td>● Reduces use of drugs/alcohol</td>
<td>● Interventions Manager/nDelius SARA assessment demonstrates eligibility</td>
</tr>
<tr>
<td>● Promote self-referrals to NA, AA networks</td>
<td>● Registration with GP re MH</td>
<td>● SUs with diagnosable MH conditions engage with MHTR services</td>
<td>● nDelius registered with GP</td>
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<tr>
<td>● Emotional management interventions for MH (see ATB section)</td>
<td>● Fewer hospital admissions (MH)</td>
<td>● Continuity of care from prison into community (MH)</td>
<td></td>
</tr>
<tr>
<td>● ROTLs to support registration with GP, access to health services</td>
<td></td>
<td>● Fewer hospital admissions (MH)</td>
<td></td>
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## Criminogenic Needs Area

### Attitude Thinking and Behaviour

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<tr>
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</table>
| • TSP for eligible cases.  
• RAR to address problem-solving and cog skills deficits for cases ineligible/unavailable for TSP  
• Emotional management cog skills intervention to improve emotional regulation, build emotional resilience and self-efficacy and sustain overall emotional well-being  
• Support from OMiC including prison staff and keyworker prison officer for eligible cases, and community RO for prisoners with 10 months to serve | • Improved cognitive skills  
• Safe planned transition from prison to community | • Eligible available SU receives/completes TSP  
• Other SUs complete offending behaviour/cog skills intervention under a RAR  
• Reduced offending related behaviour  
• Reduced recalls to prison | • OASys assessed need improves  
• Service User -assessment OASys Self-Assessment Questionnaire (SAQ); structured SU input to needs re/assessment  
• nDelius delivery of TSP or RAR  
• OGRS scores and OASys assessments demonstrate eligibility  
• Interventions Manager risk assessment demonstrates eligibility  
• nDelius referrals for recalls  
• Reduced proven reoffending (national statistics) |
### Criminogenic Needs Area #2

#### Relationships

<table>
<thead>
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</table>
| • Advocacy/help to access support services e.g. Family Services, Troubled family programmes, IDVAs, MARACS, Children’s Centres, relationship guidance and support with practical problems impacting on family relationships | • Completes interventions to improve skills/ability to build/maintain positive family, or healthier and more supportive intimate, relationships  
• BRR outcomes  
• Referrals into MARACs  
• Use of safety plans  
• Reduced domestic abuse  
• Entry to Care avoided for children when a parent is in prison | • Eligible available SU receives/completes BBR  
• Other SUs complete RAR  
• Completes licence requirements  
• Improved/maintained relationships  
• Reduced abusive behaviour | • OASys assessed need improves  
• Service User -assessment OASys Self-Assessment Questionnaire (SAQ); structured SU input to needs re/assessment  
• pNOMIS Family visits in prison  
• nDelius delivery of BBR or RAR |
### Criminogenic Needs Area #3

- **Lifestyle and Associates**

<table>
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<tr>
<th>Probation role</th>
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<th>Possible success measures</th>
<th>Possible data sources</th>
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</thead>
</table>
| • Interventions to develop pro-social network and leisure activity, decrease influence of pro-criminal associates and address entrenched criminal identity  | • Completes structured sessions to develop skills to build pro-social support and achieve goals  
• Completes structured sessions, using strengths-based approaches, to develop future orientation  
• Receives mentoring to develop pro-social identity and confidence in ability to change, exit negative peer groups and develop future identity | • Completes a RAR  
• Completes licence requirements  
• Engages with a mentor  
• More pro-social identity and behaviour  
• Participates in community activities/volunteers  
• Reduced offending related behaviour | • OASys assessed need improves  
• Service User - assessment OASys Self-Assessment Questionnaire (SAQ); structured SU input to needs re/assessment  
• nDelius delivery of RAR  
• Reduced proven reoffending (national statistics) |