



National Offender
Management Service

**National Service Level Agreement
for probation services Commissioned
by the National Offender Management
Service from the National Probation
Service in Wales**

2015-16

Between

**The National Offender Management
Service as the Commissioning
Authority and**

The National Probation Service

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1. Context

- 1.1.1. **National Offender Management Service (NOMS)** both commissions and provides offender management services in the community and in custody ensuring best value for money from public resources.
- 1.1.2. **NOMS Agency Board (NAB)** acts corporately in the role of the **Commissioning Authority** that commissions services from a number of providers.
- 1.1.3. **Commissioners** and **Providers** have different but complimentary roles in achieving NOMS aims and objectives. The responsibility and accountability for the delivery of agreed outcomes sits within the provider operational line. The responsibility and accountability for ensuring agreed outcomes which will deliver the NOMS objectives and represent value for money sits with commissioning.
- 1.1.4. In providing **probation services**, NOMS acts on behalf of the Secretary of State for Justice.
- 1.1.5. The **National Probation Service (NPS)** must comply with the requirements HM Treasury's "Managing Public Money" document and NOMS financial controls and frameworks. **NPS** will receive funding for the financial year from NOMS, subject to the delegated financial authority issued to the Deputy Director of each NPS Division on behalf of the **NOMS Chief Executive Officer (CEO)**.
- 1.1.6. NPS is a directly managed delivery function within NOMS and will deliver services under **Service Level Agreement (SLA)**.
- 1.1.7. The NOMS CEO will oversee the entire delivery structure. The Director of the NOMS in Wales will report to the NOMS CEO and will be responsible for the delivery of the SLA in the Wales NPS Division.
- 1.1.8. The Wales NPS Division and Commissioner agree to work together to ensure effective delivery of services in accordance with the SLA and the applicable NOMS Service Specifications as set out in section 5.
- 1.1.9. In delivering the requirements of the SLA, the NPS Divisions shall comply with all relevant legislation, statutory and regulatory requirements and NOMS policies, and any subsequent amendments, additions or deletions to such. This includes compliance with the mandatory content in applicable Probation Instructions.

2. Form of Agreement

2.1 Purpose and Scope of this Document

- 2.1.1 The Secretary of State for Justice, acting through NOMS, is under this National Service Level Agreement (SLA) making an arrangement pursuant to section 3(5) of the Offender Management Act 2007 (the OMA 2007). This SLA sets out the terms under which NOMS (on behalf of the Secretary of State) proposes to commission probation provision which is to be funded through NOMS.

- 2.1.2 This SLA is designed to reflect the full range of NPS services provided to NOMS and, on behalf of NOMS, to others such as the courts. The SLA recognises the importance of providing a joined-up system of community provision which supports offender management, rehabilitation, resettlement, and victims. 2015-16 will be a year of transition for probation services and this SLA will be updated as necessary during the year, through the Notice of Change process (see section 8).
- 2.1.3 This SLA does not include within its scope probation services delivered by CRCs under contract to the Commissioning Authority. It does include requirements for joint / collaborative working between the NPS and CRCs and the NPS and EM Providers. It also includes those obligations placed on NPS in respect of CRC functions as set out in the Amended and Restated Services Agreement.
- 2.1.4 This SLA has been produced as part of the NOMS commissioning cycle. The commissioning cycle sets out the high level commissioning priorities for NOMS (taking into account service need and demand, resources, government policy and the priorities of other commissioners and funders of offender services) and securing services under SLAs and contracts to meet these priorities. This National SLA will be underpinned by a national NPS Business Plan and Divisional Delivery Plan which provide details of agreed priorities and objectives. The plans will describe how each division will respond to the overarching NOMS Commissioning Intentions and use segmentation data to understand overall offender risk and need and identify trends within the caseload and to assist discussions about targeting of accredited programmes and other interventions.
- 2.1.5 Support services will be provided by NOMS to enable the NPS to deliver the requirements of the SLA. The NPS will use the existing support structures within NOMS, including HR, Finance, Procurement, ICT, Estates, Communications and Legal Services, and will comply with all relevant NOMS instructions and policies in relation to these services. Separate internal agreements and protocols for the delivery of specific ancillary and operational support services may be agreed and will remain in force until cancelled in writing.
- 2.1.6 For the avoidance of doubt, this agreement is not legally binding.
- 2.1.7 To support transparency, this SLA will be published on the Ministry of Justice website (<https://www.justice.gov.uk>).
- 2.1.8 Further information on responsibilities, terms and conditions are outlined in Section 3.

2.2 Agreement

- 2.2.1 Commencement date for this Service Level Agreement will be 1 April 2015 and it shall remain in place until 31 March 2016, inclusive, unless otherwise agreed by the Parties. This SLA will be reviewed on an annual basis and may be subject to change under the Notice of Change process.

3. Terms and Conditions

3.1 Responsibilities

- 3.1.1 In delivering the requirements of this SLA, the NPS shall comply with all relevant legislation, statutory, contractual and regulatory requirements and NOMS policies, and any subsequent amendments, additions or deletions to such. This includes compliance with the mandatory content in applicable Probation Instructions / Circulars and Prison Service Instructions, and National Standards for the Management of Offenders published under section 7 of the OMA 2007.
- 3.1.2 The NPS will, in its capacity as a public body, meet its statutory obligations. These include its interactions with the courts and its obligations in respect of Section 4(2) of the OMA 2007 relating to enforcement of Youth Rehabilitation Orders.
- 3.1.3 In delivering the requirements of this SLA, the NPS will co-operate fully with the Commissioning Authority to promote and exchange effective practice and continuous improvement.

3.2 Delivery partners

- 3.2.1 The NPS will work with all relevant partners to deliver the requirements of this SLA. These can include but are not limited to: national statutory partners, the voluntary and community sector, social enterprises, faith groups, private organisations, CRCs and agencies and the Welsh Government, as well as local Liaison and Diversion Services (where they exist).
- 3.2.2 The NPS shall work to meet any requirements and obligations agreed and supported by the Commissioning Authority under joint working arrangements with NOMS partners and providers of probation services (other than the Secretary of State). This includes compliance with all relevant legislation.
- 3.2.3 The principal statutory partnership working arrangements in which mandatory participation is required from the NPS are shown below. Further information can be found at:-
www.justice.gov.uk/downloads/publications/transforming-rehabilitation/statutory-partnerships.pdf :-
- Safeguarding Children Boards
 - Safeguarding Adults Board
 - Community Safety Partnerships
 - Multi Agency Public Protection Arrangements (MAPPA)
 - Youth Offending Partnership Boards
 - elected Local Policing Body (PCCs)
- 3.2.4 The NPS will be the relevant provider of probation services for the purpose of acting jointly with the police and prisons as the responsible authority in relation to MAPPA in each criminal justice area. There are a number of other relevant non-statutory public protection partnerships that the NPS will be required to participate in, in line with their public protection

duties, these include but are not limited to PREVENT and Multi-Agency Risk Assessment Conferences (MARAC) where they exist. The NPS will also engage and work collaboratively with reducing reoffending partnerships where they exist, for example IOM initiatives, and local gang partnerships.

- 3.2.5 The NPS will also be required to work in partnership with service providers not commissioned by NOMS but which support delivery of services specified in the SLA.
- 3.2.6 In delivering the requirements of the SLA, the NPS should seek to agree arrangements with CRCs in relation to their own participation in, and information sharing with, statutory and non-statutory partnerships. The purpose of establishing such an agreement is to ensure effective offender management and risk management of offenders, and to avoid duplication.
- 3.2.7 The NPS and CRCs have a shared responsibility to discuss the needs of offenders with local agencies in order to inform the commissioning of mainstream offender services. For example, by providing evidence of need as part of Joint Strategic Needs Assessments (JSNA) or contributing to local consultations. The NPS will co-operate with CRCs to ensure that these joint responsibilities are discharged effectively. As part of the consultation concerning developing JSNAs and Health and Wellbeing Strategies by Health and Wellbeing Boards, the NPS will have primary responsibility to promote the substance misuse and mental health needs of offenders. Nevertheless the NPS and CRCs are both required to co-operate and provide information in relation to the health needs of offenders. Availability of, and access to, these treatments forms an essential part of Court Order treatment requirements and statutory licence condition options.
- 3.2.8 The NPS may make arrangements with another organisation or enter into joint commissioning arrangements such as resource pooling to deliver the non-restricted probation services as specified in the NOMS Service Specifications. The NPS will remain accountable for the delivery of any Services and must notify the Commissioning Authority of any delivery partners, under arrangements such as joint commissioning proposals.
- 3.2.9 The NPS will manage the contracts for all Independent Approved Premises (IAP) in their area. Under these contracts, the NPS are accountable for referral and liaison arrangements.
- 3.2.10 The NPS may also be required to deliver additional time-limited contracts over and above the core services commissioned by NOMS, including, but not restricted to, contracts with the NOMS Co-Financing Organisation (ESF) and NOMS/NHS Offender Personality Disorder Programme.
- 3.2.11 The NPS will utilise existing NOMS 'call-off' contracts for the provision of specific services and commodities (e.g. Drug Testing Kits) in order to ensure value for money, subject to any transitional or contingency arrangements agreed with the Commissioning Authority to support the initial implementation. Any future proposal from the NPS to use alternative provision will need to be approved by the Commissioning Authority in advance, and in accordance with standard NOMS processes.

3.2.12 The NPS will operate in accordance with NOMS Information Assurance protocols/ requirements, particularly in relation to information sharing with external bodies/ partners.

4. Service requirements

4.1 Responsibilities

4.1.1 The NPS will deliver the outcomes and outputs in the applicable NOMS Service Specifications listed in Annex A. The NPS will deliver these services in accordance with the NOMS Statement of Vision and Values and subject to the Annual Operating Price.

4.1.2 As material changes to NOMS Service Specifications are made or updated, they will be introduced into the SLA through the Notice of Change process.

4.1.3 The NPS will meet the SLA Service Delivery Requirements (SDRs) that are set and documented at Annex D. These SDRs replace previous NPS performance measures. There are 25 measures, for each there is a proposed performance level and a lower trigger. For nine of these measures, NPS will be required to meet the stated final target levels by April 2017. Interim target levels will be set between now and then and the final target will be reviewed as part of the commissioning round for 2016-17.

4.1.4 Where there is a need to make material changes to the Service Delivery Requirements, the NPS and the Commissioning Authority will follow the Notice of Change process set out in Section 8. Such changes will reflect NOMS requirements and priorities, as well as any agreed recommendations arising from audit and inspection reports.

5. Key operational interfaces between NPS and CRCs and between NPS and Electronic Monitoring Providers

5.1 A number of interfaces have been identified to reflect the new system design and the introduction of CRCs as providers of probation services as set out in Schedule 10 of the CRC contracts. The NPS's obligations in respect of these interfaces are set out in the relevant Probation Instructions so that services to offenders are delivered appropriately.

6. Performance Management

6.1.1 The minimum Service Delivery Requirements (SDRs) that the NPS will be required to meet and the trigger levels established, the detailed definitions of the SDRs, National performance targets and trigger points can be found at Annex D.

6.1.2 The SDRs reflect the key outcomes for the NPS to deliver the sentences of the court, protect the public and reduce re-offending. The NPS will be required to deliver the following services to support these outcomes:

- supporting victims of crime
- delivering court services

- managing risk
 - managing offenders
 - acting as system integrators through its interfaces with CRCs, courts, police, prisons and other partners
- 6.1.3 Performance in relation to the SDRs will provide assurance that the NPS is delivering high quality services in line with commissioning priorities and will display transparency in terms of the NPS providing value for money.
- 6.1.4 The SDRs will be measured on a monthly basis to enable management responses to actual levels of performance and the Rating System will be published quarterly.
- 6.1.5 Regular meetings will be held between Contract Managers and the NPS divisions to ensure a collaborative approach to target setting and review.
- 6.1.6 The Commissioning Authority will provide relevant timely information and support to enable the NPS to meet their performance management requirements.
- 6.1.7 Accurate and timely management information will be needed to support delivery and to enable the effective monitoring of performance, including the NPS and CRC interface.
- 6.1.8 Any updates to the Divisional Business Plan will be reviewed in the monthly meetings between the Contract Manager and Deputy Director of Probation and Partnership within NOMS in Wales.

6.2 Audit, Inspection and Quality Assurance Arrangements

- 6.2.1 The NPS shall fully co-operate with any audits or reviews initiated by NAB as the Commissioning Authority and will work collaboratively to address any review findings.
- 6.2.2 The NPS will comply with the Commissioning Authority's requirements in relation to quality assurance, and will work collaboratively to provide assurance of the quality of services it delivers.
- 6.2.3 Where any investigation is undertaken by a person or body empowered to conduct such investigation and/or proceedings (including the Prison and Probation Ombudsman), the NPS shall:
- provide any information requested in the timescale allotted
 - attend and permit members of the NPS staff to attend any meetings as required
 - allow itself and any member of the NPS staff to appear as witnesses in any ensuing proceedings
 - co-operate fully and promptly in every way required by the person or body conducting such investigation during the course of that investigation and/or proceedings
 - ensure that anyone it enters into arrangements with for the delivery of Services provides information to enable NPS to fulfil the above responsibilities

6.2.4 The NPS shall:

- provide HMI Probation and HMI Prisons with full access to records and information required to undertake an inspection, and make its personnel and offenders receiving its services available to facilitate the inspection, during normal business hours and on reasonable notice
- comply with relevant instructions regarding provision of responses to all recommendations made by HMI Probation and HMI Prisons

7. Governance

7.1 Commissioning and delivery assurance

7.1.1 The NPS is a directly managed delivery function within NOMS and will deliver services under the service level agreement (SLA). The Commissioning Authority sets the requirements for the SLA and when agreed, the NOMS CEO will hold the Director of NOMS in Wales to account for delivery. NOMS governance for the NPS SLA and agreeing SDRs will be via the Commissioning Working Group and Commissioning and Contract Management Sub-Committee, with final approval via NAB.

7.1.2 The NOMS CEO will oversee the entire delivery structure. The Director of NOMS in Wales will report to the NOMS CEO and will be responsible for the delivery of the SLA in the one division in Wales.

7.1.3 The Commissioning Authority will identify the expectations of the NPS through Commissioning Intentions and agreed Divisional Business plans, and will measure and assess performance against a set of Service Delivery Requirements (SDRs). The Commissioning Authority will review performance measures annually and re-issue new delivery requirements prior to the commencement of each year of the SLA. Requirements may also be subject to change/negotiation throughout the SLA period.

7.1.4 In its Annual Business Plan, as required by section 8(2) OMA 2007, the NPS will make reference to how it will deliver its service requirements, including elements not captured in this SLA.

7.1.5 The NPS Division will operate in accordance with the NOMS Business Risk Management Framework.

7.2 Commissioning Intentions

7.2.1 One of the ways the Commissioning Authority will identify the expectations and ambitions for the NPS in Wales is through the setting of NOMS commissioning intentions. There are currently 6 overarching NOMS commissioning intention themes and further information on these can be found at :

<http://www.justice.gov.uk/downloads/about/noms/commissioning-intentions-2014.pdf>

The Wales Divisions Business plan will detail NPS's commitment to meeting these commissioning intentions.

- 7.2.2 In meeting NOMS **Commissioning Intention Theme 1; “Enhance public protection and ensure a safe, decent environment and rehabilitative culture”**, the division will prioritise activity which promotes desistance and includes an emphasis on positive relationships between staff and offenders which convey a sense of purpose and hope and on maintaining structured change-focused interactions.
- 7.2.3 In meeting NOMS **Commissioning Intention Theme 2; “Strengthen integration of service delivery between directly funded, co-commissioned providers and wider partners”**, the division will engage in activity to ensure ongoing commitment to existing multi-agency forums, the maintenance of current valued partnerships and engagement with new providers, partners and interventions.
- 7.2.4 In meeting NOMS **Commissioning Intention Theme 3; “Deliver an efficient, quality service”**, all decisions about approach, activity and service delivery in the community will be evidence informed, efficient, quality assured and well targeted. Resources will be targeted on strategic approaches, activities, services and interventions that are likely to deliver the best outcomes for offenders, victims and their communities.
- 7.2.5 In meeting NOMS **Commissioning Intention Theme 4; “Ensure delivery is matched to population, purpose and NOMS outcomes”**, the division will ensure that the right approaches, interventions and services are delivered to the right offenders, in order to get the best possible outcomes for offenders, victims and their communities, the division will use the segmentation approach and other available data, to ensure that this happens.
- 7.2.6 In meeting NOMS **Commissioning Intention 5, “Ensure that delivery of services is responsive to individual needs and characteristics to maximize outcome”**, the division will identify individual characteristics, understand the significance of resulting needs and ensure that services are sequenced or adapted to meet them. These activities will be underpinned by effective information sharing arrangements.
- 7.2.7 In meeting NOMS **Commissioning Intention Theme 6, “Deliver priority national or specialist services”**, the division will meet the requirement for NOMS to deliver particular specialist services, and respond to new and/or changing priorities. They will make best use of existing provision and continue to maintain and develop their capability and capacity in relation to these priorities.

7.3 Commissioning Strategy and response to evidence

- 7.3.1 **Innovation:** The National Probation Service is committed to innovating to develop more effective and/or efficient ways of ensuring the safe rehabilitation of offenders and the protection of the public. Ideas, promising approaches or issues requiring development of a new approach will be shared with the Innovation Steering Group so that divisions can be supported in evidencing the impact of initiatives and sharing relevant learning and effective practice across NPS divisions and NOMS.

- 7.3.2 The National Probation Service will utilise the opportunities afforded by **the NOMS Grants Programme** to develop local initiatives which offer learning, good practice or enhanced capability in meeting priority outcomes for offenders and for the Agency.
- 7.3.3 NPS will apply the **NOMS Commissioning Principles for Sex Offenders**, which set out the evidence for risk factors for sexual reoffending, characteristics of different subgroups of sex offenders, and the impact of various interventions.
- 7.3.4 NPS will apply the **NOMS Commissioning Principles for Young Adult Men** which set out the evidence relating to young male adult offenders, including the principles that are relevant to better understanding psychosocial maturity. They outline the evidence on the impact of various interventions and rehabilitative activity in order to better meet the needs of young male adult offenders.
- 7.3.5 NPS will apply the **NOMS Commissioning Principles for Women Offenders** which set out the evidence base for and encourage the development of those integrated, holistic interventions and services that are most likely to reduce re offending in women.

7.4 SLA Review Process

- 7.4.1 SLA review meetings will take place when either the NPS or the Commissioning Authority requests them.
- 7.4.2 The NPS will provide reports and other information about SLA delivery to the Commissioning Authority as required. For example:
- performance reports, including audit reports
 - Her Majesty's Inspectorate of Probation reports
 - Prison and Probation Ombudsman reports
 - any other reports into serious operational failures and Serious Further Offences
- 7.4.3 NPS service cost information will be reported through a costing system to be designed to replace the existing PREview costing system (supported by NOMS Performance Hub and other central systems).
- 7.4.4 The NPS will appoint a representative who will participate in a Service Integration Group, which it is envisaged will consist of but not be limited to, representatives from NOMS Rehabilitation Services; the CRC, and each Resettlement Prison and other providers as necessary e.g. BASS and Electronic Monitoring. The Service Integration Group will manage the interfaces between the parties to efficiently and effectively deliver services in the Contract Package Area. It is envisaged the Service Integration Group will meet regularly as agreed locally but as a minimum quarterly.
- 7.4.5 The Service Integration Group shall be responsible for:
- resolving any issues arising between the NPS, the CRC and/or the relevant Resettlement Prisons in relation to the delivery of the Services in the Contract Package Area and the interfaces

between them, including any relevant interfaces set out in this SLA

- discussing potential opportunities to improve the integration, efficiency and effectiveness of the services in the Contract Package Area
- identifying and agreeing measures to address recurring or material problems with the integration of services in the Contract Package Area
- providing an overview of the issues, opportunities and measures discussed at meetings of the Service Integration Group and escalating any significant unresolved issues for the relevant governance groups to resolve

7.5 SLA Delivery Issues and Failures

7.5.1 In the first instance, the NPS and the Commissioning Authority will seek to work together to resolve any issues (including any failure to agree a matter) that may arise under this SLA at the lowest appropriate level in a timely way. Where the Commissioning Authority is not satisfied with the actions taken by the NPS in response to identified delivery issues and/or failures, or it considers the issues and/or failures to be of a serious nature, the issue will be escalated through the line management chain and to the NOMS Executive Management Committee if required.

7.5.2 Without prejudice to any improvement action that may be underway, the Commissioning Authority reserves the right to take more immediate performance improvement action where serious deficiencies are identified or there is a repetition of the same issues.

7.5.3 Sustained failure to deliver could ultimately result in the Commissioning Authority taking action through NOMS governance to ensure that the service is delivered in accordance with this SLA. The Director of Probation will be responsible for addressing any such delivery failure.

7.5.4 If the Parties are unable to resolve an issue through line managers or through internal dialogue at Director level, either party may seek final resolution by invoking the Issue Resolution process by notifying the other in writing and notifying the Secretary to the NOMS Commissioning and Contract Management Sub-Committee

7.6 Issue Resolution Process

7.6.1 The Issue Resolution Process must be carried out in a timely manner, starting with an Issue Report, prepared by the party which invoked the process, setting out:

- name of the originator
- date the issue was first raised
- description of the issue (including any relevant evidence and history of similar problems)
- the implications of the issue, its severity and the degree of urgency
- an estimate of the current and potential cost of the issue; and
- work being undertaken to resolve the issue

- 7.6.2 Within 10 working days of invoking the process, the party which invoked the process will share the Issue Report with the other party, who may add any additional comments to it before it is submitted to the NOMS Commissioning and Contract Management Sub-Committee.
- 7.6.3 If a resolution is not achieved at the NOMS Commissioning and Contract Management Sub-Committee, the matter will be referred to the NOMS Executive Management Committee for a final and binding decision.
- 7.6.4 For the avoidance of doubt, the rights and responsibilities of the parties shall not cease due to any issue.
- 7.6.5 Any operational disputes that arise between the NPS and CRCs should be managed and resolved at the lowest appropriate level, through dialogue between the Deputy Director of Probation and the relevant Contract Management Teams. If a dispute is not resolved at this level it may be escalated through line management and resolved in accordance with the Amended and Restated Services Agreement Dispute Resolution Procedure under clause 41 of the Services Agreement where it is appropriate to do so. A copy of the Services Agreement can be found at: www.justice.gov.uk/transforming-rehabilitation/competition. Where it is considering the appropriateness of the Disputes Resolution Procedure to resolve a dispute, the NPS shall first seek advice and guidance from the Commissioning Authority.

8. Notice of Change Process

8.1 Changes to the agreement

- 8.1.1 Appropriate governance and approvals processes are in place to allow changes to the agreement to be made at any time upon agreement of both the Strategic Support, Administration and Assurance department and the National Probation Service.
- 8.1.2 Any agreed changes of this SLA will be sent to the Commissioning Strategies Group for record keeping, for which it is recommended the 'notice of change' form at Annex E is used.

9. Financial Protocol

9.1 Financial Framework

- 9.1.1 The NPS will meet the requirements of the delegated financial authority issued to the Director of NOMS in Wales on behalf of the NOMS CEO and comply with the requirements of HM Treasury's "Managing Public Money" document and NOMS financial controls and frameworks. A copy of 'Managing Public Money' can be found at: www.gov.uk/government/publications/managing-public-money.
- 9.1.2 Details of the annual operating price and national caseload figures are included at Annex C.

9.2 Charges for Services

- 9.2.1 The NPS will deliver some specialised interventions for their offender cohort, but other interventions and services for the NPS cohort will be purchased from CRCs or other providers in accordance with NOMS financial protocol. In the case of purchases from CRCS, details of these arrangements are set out in the Amended and Restated Services Agreement.

Signed for the Commissioning Authority by:

Name (Print): Sian Hibbs

Signature:

Position: Deputy Director Strategic Support, Administration and Assurance

Date:

Signed for the representative of the NPS in respect of the services commissioned by Commissioning Authority under the terms of this SLA by:

Name (Print): Ian Barrow

Signature:

Position: Deputy Director Probation and Partnerships

Date:

ANNEX A: MANDATORY NOMS SERVICE SPECIFICATIONS: Delivery by NPS

Specification Title
Approved Premises - Catering
Approved Premises - Public Protection & Regimes
Assessment & Reports Pre-Sentence
Bail Accommodation Support Service
Bail Services
Court work other than Assessments & Reports
Manage the Sentence for a Community Order or Suspended Sentence Order
Deliver Accredited Programmes
Deliver Curfew Requirement (EM)
Deliver Junior Attendance Centre Requirement
Deliver Residence Requirement
Deliver Prohibited Activity Requirement
Deliver Exclusion Requirement
Deliver Senior Attendance Centre Requirement
Rehabilitation Services - In the community
Support Delivery of Alcohol Treatment Requirement
Support Delivery of Drug Rehabilitation Requirement
Support Delivery of Mental Health Treatment Requirement
Unpaid Work / Community Payback
Victim Liaison
Manage the Custodial and Post Release Periods
Deliver Victim Offender Conferencing (Restorative Justice)
Deliver Supervision Requirement*
Rehabilitation Services - Deliver Activity Requirement*
Deliver Statutory Post-release Supervision
Deliver Rehabilitation Activity Requirement

*Continues to apply for legacy cases and new sentences where offence was committed before 1 February 2015

ANNEX B: GLOSSARY

Throughout this **SLA**, the use of the singular includes the plural. The following terms are identified in the document in bold text and have the following meanings, except where the context requires otherwise:

Allocated Person	A person allocated to receive probation services from a Community Rehabilitation Company.
Annual Operating Price	Price to be paid for the Services under the terms of this SLA . In effect, the NOMS-funded annual budget for the Division .
Accredited/offending behaviour programmes	A structured programme that is evidence-based. Programmes are designed to address specific offending related factors which are identified as leading to offending behaviour.
Commencement	The delivery of the first session of a service following sentencing.
Commencement of Community Payback	The arranging of the first work session of Unpaid Work for an Offender in accordance with the Community Payback Operating Manual.
Commissioning Authority	<p>The NOMS Agency Board (NAB) is the NOMS Commissioning Authority with corporate responsibility for all of the Agency's commissioning activity.</p> <p>Where this SLA refers to the Commissioning Authority, this reference includes anyone acting on behalf of the Commissioning Authority. This could include commissioners, Operational Services personnel and others.</p>
Community Rehabilitation Companies (CRC)	The organisations covering the 21 Contract Package Areas which will deliver offender management services in the community.
Contract Package Area (CPA)	The individual geographic area under which new services will be commissioned nationally. There will be a total of 21 areas.
Designated Retained Person	A Retained Person in respect of whom the Authority requires certain of the Services;
Division	The business unit of operational delivery, with a single point of accountability, for which NPS has agreed to provide services under the terms of this SLA .

Divisional business plan	A plan that sets out the objectives, delivery priorities and commissioning ask for NPS at a divisional level.
Her Majesty's Prison Service (HMPS)	Public sector provider of prison and high-security prison services.
Privately managed prisons	Prisons managed by the private sector.
HMI Probation	An independent Inspectorate, funded by the Ministry of Justice, and reporting directly to the Secretary of State on the effectiveness of work with adults, children and young people who have offended.
Improvement	The Performance Remedy
Improvement Plan	A plan delivered by the NPS to the Commissioning Authority.
In-Year Change	A material change to the Service Requirements or Annual Operating Price of the SLA .
Liaison and Diversion	Liaison and Diversion services identify, assess and refer people of all ages with a wide range of mental health, learning disability and substance misuse vulnerabilities when they first come into contact with the youth and adult criminal justice systems.
Local Delivery Unit (LDUs)	The core unit of delivery for probation services.
Legislation	Any Act of Parliament or subordinate legislation.
LDU Cluster	A grouping of LDUs, several of which make up a Division.
Management Information	Information available to support the management and monitoring of service delivery.
Monthly Performance Report	A report delivered by the NPS to the Commissioning Authority in respect of its Actual Performance in the month to which it relates.
NOMS Agency Board (NAB)	The Agency Board is the main decision making group at Agency level. It is responsible for the NOMS Agency's strategic direction; performance management (including finance); and risk assessment and management, within the context of overall MoJ strategy
National Delius	National case management system for the National Probation Service.
National Probation Service (NPS)	Public sector provider of specified probation activities.
NOMS	National Offender Management Service Agency, or its designated representative, acting in a corporate capacity. NOMS is both commissioner and provider of services, being responsible for the direct management of the public sector prison service (HMPS) and the National Probation Service (NPS).

NOMS Directory of Services	The list of NOMS -funded services delivered to offenders, defendants, victims and courts.
NOMS Executive Management Committee (NEMC)	The Executive Management Committee is responsible for the day to day management and leadership of the Agency
Notice of Change (NoC)	Mechanism by which an In-Year Change is effected.
OASys	The national system for recording a structured assessment of offending risk and needs and risk of serious harm.
Offender Manager	The Offender Manager is responsible for the overall management of the offender and discharges this by; determining and implementing the sentence plan and liaising with all agencies involved in delivering the requirements of the sentence to ensure it is delivered effectively and public protection is maximised. NOMS Offender Management Model 2005.
Offender Management Act 2007 (OMA 2007)	The relevant legislation in relation to the provision of probation services.
Offender Rehabilitation Act	The Act containing relevant legislation in relation to the provision of supervision in the community for offenders on their release from custody.
Officer of a Provider of Probation Services	An individual authorised under section 9 of the OMA 2007.
Performance Remedy	The remedy applicable in the event that Actual Performance does not meet the applicable Service Level.
Probation Instructions (PI)	Formal process produced by NOMS for communicating mandatory actions that implement service specifications and policy.
Provider of Probation Services	In accordance with section 3(6) OMA 2007, a person or organisation who has entered into an arrangement or contract with the Secretary of State for the provision of probation services, or, the Secretary of State, where he provides such services directly.
Resettlement Person	This is a person who: (a) has been remanded, sentenced or committed to custody in a Resettlement Prison; and (b) has been assigned to the Contractor or a Community Rehabilitation Company, as the case may be, by the Authority to receive Resettlement Services
Restricted Probation Provision	Provision, as defined in section 4(2) of the Offender Management Act 2007, which may only be provided by a public body.
Retained Person	A person retained by the National Probation Services for the purpose of receiving probation services.

Services Agreement	The agreements pursuant to which the Authority (NOMS) appointed each Contractor (CRC) pursuant to section 3(2) of the Offender Management Act 2007 as a provider of the Services.
Service Level Agreement (SLA)	This Service Level Agreement between the Commissioning Authority and NPS .
Service Delivery Requirement(s)	The requirement(s) for service delivery under this SLA , as set out at Section Four and relevant Annexes.
Service	A service to be provided by the NPS , as detailed in the Service Specification and/or other documents referenced under the Service Requirement .
Service Options	An option above the national minimum, available to commission, in some Service Specifications .
Service Specification	A document specifying, for each service in the NOMS Directory of Services , the outcomes and outputs to be delivered.
SLA Delivery Requirement	A specific, commissioned output delivered by the NPS Division or on behalf of the Division .
SLA Delivery Requirement Level	The agreed level at which the output is expected to be delivered. The Division's performance will be monitored and assessed against this level.
Technical Notes	Describe the rationale for the measure and what behaviour the measure is expected to drive, data sources, frequency, targets, any calculations, detailed definitions, exceptions etc.
Treatment Requirement	Any or all of an Alcohol Treatment Requirement (as defined in section 212 of the CJA), a Drug Rehabilitation Requirement (as defined in section 209 of the CJA) or a Mental Health Treatment Requirement (as defined in section 207 of the CJA).

ANNEX C: COST & NATIONAL CASELOAD

Annual Operating Cost Wales 2015/ 16 - £17.5m

Snapshot of NPS Caseload by Division on 31st December 2014

Area	Community Order	Suspended Sentence Order	Post Release	Deferred Sentence	Voluntary Supervision	Pre-CJA Orders	Total
NPS London Division	1,036	1,063	3,620	5	8	6	5,738
NPS Midlands Division	1,741	1,235	4,007	19	25	7	7,034
NPS North East Division	1,983	1,455	3,706	18	9	4	7,175
NPS North West Division	1,704	1,487	3,904	3	12	9	7,119
NPS South East & Eastern Division	1,723	1,360	2,835	11	20	6	5,955
NPS South West & South Central Division	1,485	1,227	2,636	20	14	17	5,399
NPS Wales Division	876	586	1,326	6	17	2	2,813

ANNEX D: NATIONAL PROBATION SERVICE – PERFORMANCE TARGETS

2015-16

Ref	Performance Measures	Proposed Level
SL001	<p>Pre-Sentence Report Timeliness</p> <p><i>The proportion of Pre-Sentence Reports completed by the NPS in the relevant month within the timescales set by the court.</i></p>	<p>Service Level 95%</p> <p>Trigger Level 90%</p>
SL002	<p>Allocation Timelines</p> <p><i>The proportion of cases in the relevant month where the NPS has allocated an offender by the end of the second full business day following the date of sentence.</i></p>	<p>Service Level 95%</p> <p>Trigger Level 90%</p>
SL003	<p>Initial Contact (Community Orders and Suspended Sentence Orders)</p> <p><i>The percentage of Retained Persons (under a Community Order or Suspended Sentence Order) in the relevant month who have a face to face appointment with the NPS arranged to take place no later than 5 business days after allocation to the NPS.</i></p>	<p>Service Level * 97%</p> <p>Trigger Level 92%</p>
SL004	<p>Initial Contact (Release from custody on licence)</p> <p><i>The percentage of Retained Persons in the relevant month who have a face to face appointment with the NPS arranged to take place no later than 1 business day after release (including immediate release from court following a period of remand).</i></p>	<p>Service Level * 97%</p> <p>Trigger Level 92%</p>
SL005	<p>Completing the Plan (Community Orders and Suspended Sentence Orders)</p> <p><i>The percentage of Retained Persons under Community Orders or Suspended Sentence Orders for whom in the relevant month the NPS has completed a Plan for within 10 business days after the date the Retained Person attends their first appointment with the NPS.</i></p>	<p>Service Level * 97%</p> <p>Trigger Level 92%</p>
SL006	<p>Completing the Plan (Release from custody)</p> <p><i>The percentage of Retained Persons released from custody on licence for whom in the relevant month the NPS has completed a Plan for within 10 business days after the date the Retained Person attends their first appointment with the NPS</i></p>	<p>Service Level * 97%</p> <p>Trigger Level 92%</p>

Ref	Performance Measures	Proposed Level
SL007	<p>Allocation of UPW Requirements</p> <p><i>The percentage of UPW Requirements of Retained Persons allocated to CRCs within 5 business days after allocation to the NPS.</i></p>	<p>Service Level *</p> <p>97%</p> <p>Trigger Level</p> <p>92%</p>
SL008	<p>RAR Completions</p> <p><i>The percentage of positive completions of Rehabilitation Activity Requirements by Retained Persons in a month.</i></p>	<p>Service Level *</p> <p>90%</p> <p>Trigger Level</p> <p>80%</p>
SL009	<p>SOTP Treatment</p> <p><i>Proportion of offenders referred to SOTP that successfully complete the programme by sentence termination</i></p>	<p>Service Level</p> <p>TBC</p> <p>Trigger Level</p> <p>TBC</p>
SL010	<p>Accredited Programme Quality</p> <p><i>The percentage rating of Accredited Programmes meeting required quality assurance to show adherence to accreditation standards</i></p>	<p>Service Level</p> <p>90%</p> <p>Trigger Level</p> <p>75%</p>
SL011	<p>Response to Risk Escalation</p> <p><i>The percentage of cases in a month where a response to a risk escalation referral has been communicated to the CRC within 1 business day.</i></p>	<p>Service Level *</p> <p>97%</p> <p>Trigger Level</p> <p>92%</p>
SL012	<p>Recall Timeliness</p> <p><i>The proportion of standard and fixed term recall referrals (with regard to Retained Persons) in the relevant month made within 24 hours of the NPS becoming aware of the alleged breach occurring.</i></p>	<p>Service Level</p> <p>95%</p> <p>Trigger Level</p> <p>85%</p>
SL013	<p>Recall Referral Quality</p> <p><i>The percentage of Recalls that the Authority is able to make following receipt of a recommendation to Recall and Recall Information from the NPS without the need for additional information (excluding additional information that only becomes available after the date that the original Recall Information pack is compiled).</i></p>	<p>Service Level</p> <p>90%</p> <p>Trigger Level</p> <p>80%</p>

Ref	Performance Measures	Proposed Level
SL014	<p>Breach Timeliness</p> <p><i>The percentage of alleged breaches of a Community Order, Suspended Sentence Order, Post Sentence Supervision Period or Supervision Default Order by a Retained Person in a month presented to court by the NPS within 10 days of the NPS becoming aware of the alleged breach occurring.</i></p>	<p>Service Level *</p> <p>95%</p> <p>Trigger Level</p> <p>85%</p>
SL015	<p>Response to Breach Referral</p> <p><i>The proportion of breach referral requests that are presented to court in a month by the National Probation Service within 2 working days of the receiving an acceptable referral request from a Community Rehabilitation Company.</i></p>	<p>Service Level *</p> <p>95%</p> <p>Trigger Level</p> <p>85%</p>
SL016	<p>MAPPA Attendance</p> <p><i>To achieve a rating of level 3 or better for creating appropriate records on VISOR and attendance at both SMB meetings and MAPPA meetings for Level 2 and 3 cases.</i></p>	<p>Service Level</p> <p>90%</p> <p>Trigger Level</p> <p>80%</p>
SL017	<p>SFO Reviews</p> <p><i>The percentage of acceptable Serious Further Offence Reviews conducted by the NPS for Retained Persons within 3 months of notification of the SFO being submitted to NOMS.</i></p>	<p>Service Level *</p> <p>100%</p> <p>Trigger Level</p> <p>90%</p>
SL018	<p>Completion of Community Orders and Suspended Sentence Orders</p> <p><i>Percentage of completions of Community Orders and Suspended Sentence Orders by Retained Persons in a month which were positive</i></p>	<p>Service Level</p> <p>75%</p> <p>Trigger Level</p> <p>65%</p>
SL019	<p>Completion of Licences and Post Sentence Supervision Periods</p> <p><i>Percentage of completions of Licences and, where applicable, Post Sentence Supervision Periods, by Retained Persons in a month which were positive</i></p>	<p>Service Level</p> <p>65%</p> <p>Trigger Level</p> <p>55%</p>
SL020	<p>Reducing Reoffending</p> <p><i>Use interim re-offending measure in the short term and PbR measure on Retained cohort once it is developed.</i></p>	<p>Not Applicable</p>

Ref	Performance Measures	Proposed Level
SL021	<p>OASys QA</p> <p><i>Percentage of OASys assessments are assessed as either "Satisfactory" or "Good" on the OASys Quality Assurance</i></p>	<p>Service Level 90%</p> <p>Trigger Level 80%</p>
SL022	<p>GPP</p> <p><i>The percentage of indeterminate and determinate parole assessment reports (PAROM1s) that are sent within the timescale specified by the NOMS Offender Management and Public Protection Group.</i></p>	<p>Service Level 90%</p> <p>Trigger Level 80%</p>
SL023	<p>Quality of Engagement</p> <p><i>The percentage of Offender Surveys conducted by the NPS that demonstrate an Overall Positive Experience by the Retained Person in each six month period.</i></p>	<p>Service Level 75%</p> <p>Trigger Level 60%</p>
SL024	<p>OASYS final reviews</p> <p><i>Work is ongoing to substitute this measure with a SFO quality measure from July 2015.</i></p>	<p>Service Level TBC</p> <p>Trigger Level TBC</p>
SL025	<p>Victim Feedback</p> <p><i>Percentage of victims surveyed who are satisfied or very satisfied with service received</i></p>	<p>Service Level 90%</p> <p>Trigger Level 80%</p>

* Required delivery level to be achieved by April 2017 and subject to review as part of the commissioning round 2016-17.

ANNEX E: NOTICE OF CHANGE TEMPLATE

NOTICE OF CHANGE (NoC)

Issued by: [Insert: Commissioner or Provider details]

In respect of: [name of Division]

Date of Issue:

Ref No: [Insert: Unique reference number in a format agreed by Commissioner and the Provider]

<p>Title & Issue [Provide a relevant title for the NoC (including details of the subject and applicable date/period), a brief headline/outline description of the change proposed and state whether or not this NoC is mandatory. Where the NoC relates to a change of SLA Delivery Requirement Level this should be made clear and this document copied to Performance and Analysis Group]</p>			
<p>Change Required [Please provide full details of the proposed change(s) or refer to an attached document including the date from which it will be implemented.]</p>			
<p>Financial Implications: VALUE: £ In-year figure (£): n/a (assuming implemented on date specified above) Full year costs (£): n/a</p>		<p>[Please provide full details of the financial implications or refer to an attached document.]</p>	
<p>Outcomes</p>		<p>[Please provide full details of the outcomes expected or refer to an attached document.]</p>	
<p>Quality Implications:</p>		<p>[Please provide full details of quality implications]</p>	
<p>Regional Implications:</p>		<p>[Please provide full details of any impact this proposed change would have at a regional level]</p>	
Issued		Approved	
Date:		Date:	
Signed:		Signed:	
Name:		Name:	
Position:		Position:	