Probation Programme

Market Engagement – Day 2

Enabling Services

Protecting and advancing the principles of justice
## Agenda – Day 2

<table>
<thead>
<tr>
<th>No.</th>
<th>Item</th>
<th>Aim</th>
<th>Length*</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Introduction</td>
<td>Set out the purpose of the session</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Workforce</td>
<td>Outline key roles and responsibilities in the existing system and describe plans for future planning and recruitment</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Comfort break</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>IT and Digital</td>
<td>Provide an overview of current IT systems and plans to develop these in the future to improve ways of working</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Estates</td>
<td>Describe estates arrangements in exiting model</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Close</td>
<td>Closing remarks</td>
<td></td>
</tr>
</tbody>
</table>
Probation Workforce

All Service users subject to Community orders, Suspended Sentence Orders, Prison sentence, Licence and Post Sentence Supervision will be managed by a **Responsible Officer**.

The Criminal Justice Act 2003 defines the duties of the Responsible Officer as:-

- to make any arrangements that are necessary in connection with the requirements imposed by the order,
- to promote the offender’s compliance with those requirements, and
- where appropriate, to take steps to enforce those requirements.

**Responsible Officer Tasks and Functions**

- Sentence Planning
- Broker Delivery
- Agency Liaison
- Delivering or commissioning Change Activity
- Enforcement
- Signposting
- Manage Risk
- Pre Release Planning
• A sequence of tasks and functions make up the offender management system and therefore defines the **Responsible Officer** role:

  • Assessment and preparation of a **sentence plan** and regular **reviews** to identify and sequence the activity required to manage individual risks and rehabilitate the service user
  • Manage **pre-release** planning
  • **Broker** the **delivery** of requirements/conditions
  • **Liaison** with other **agencies** to manage risks
  • Adopting an **inquisitive approach** and verify information to manage risk
  • **Enforcement** in the event of non-compliance
  • Delivering or commissioning **change activity**, including practical support and motivational work to increase compliance, address need and reduce reoffending
  • **Signposting** to universal services provided by other agencies

• Other roles within the probation system include administrative support, intervention staff, back office functions and senior management.
**Probation is a people business.** It is a service built on dedicated and passionate staff who have the skills and experience to connect with offenders, motivate them to change and manage the risk they present to victims and the public.

The move to the new **Transforming Rehabilitation** model planned the NPS:CRC staff split for 30%:70%.

However, the unions estimated in the recent **Justice Select Committee** enquiry that the staff split was now 54%:46%.

There have been changes in in the staffing split across the system and this reflects the changing mix of the probation caseload with more higher risk offenders in the system now.
## Probation Workforce

<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
<th>NPS Pay Band (rounded)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrator</td>
<td>Administrative support, ensuring that staff and Service Users are supported</td>
<td>£17,400 - £21,600</td>
</tr>
<tr>
<td>Probation Service Officer (PSO)</td>
<td>VQ3 or equivalent - To assess and manage the risk posed by offenders to protect victims of crime and the general public.</td>
<td>£22,000 - £27,400</td>
</tr>
<tr>
<td>Probation Officer (PO)</td>
<td>VQ5 or equivalent - To assess and manage more complicated risks posed by offenders to protect victims of crime and the general public.</td>
<td>£29,000 - £36,000</td>
</tr>
<tr>
<td>Senior Probation Officer / Middle Manager</td>
<td>To provide effective management and leadership of staff to ensure quality of delivery. E.g. to ensure that staff manage risk appropriately.</td>
<td>£35,000 - £39,800</td>
</tr>
</tbody>
</table>

NPS pays a London Allowance circa £3,900

We hold some management information about CRC staffing. Further details will be provided in the data room.
CRCs have all introduced their own operating models to support their workforce to deliver probation services and have had freedom and flexibility to move away from how Probation Trusts were set up in the past.

There are variations across providers with their workforce models having in house directly employed staff and the use of supply chain to deliver services. This will vary dependent on their operating models for each CRC and some are more heavily reliant on one aspect than others.

Delivery models will be different which will also impact on how the workforce is configured and where staff are located. For example;

- some CRCs have moved to a more administrative hub model where administrative and back office functions would be more centralised;
- or a customer service centred approach where all calls go to the centre;
- and other CRCs have moved to a more local approach which is more wholly integrated around the offender journey and working closely or directly with local partners.

Workforce information by CRC will be available as part of the data room.
Workforce planning and recruitment

The probation system has taken on the supervision of an additional 40,000 offenders released from custody each year (offenders sentenced to less than 12 months custody).

Many Responsible Officers (Probation Officers and Probation Service Officers) are carrying high caseloads, making it harder for them to invest the time they need in working face-to-face with offenders.

In response to an increasing number of higher-risk offenders, the NPS has recruited and trained a large number of staff:

- 2017-18 - Over 800 Probation Officers and Probation Service Officers were recruited
- 2018-19 - a further 1,300 Probation Officers and Probation Service Officers will be recruited.

We have also agreed changes to CRC contracts to increase investment in through-the-gate services and ensure that staff are able to do more to help offenders overcome the barriers to successful resettlement.

We know that in some areas of the country both the NPS and CRCs have found it difficult to attract new recruits.

There has been limited uptake in some areas by providers investing in training for future Probation Officers.
Workforce planning and recruitment

As part of a review of Prisons, the Offender Management in Custody model will see NPS Probation Officers move into prisons. This will have a significant impact on recruitment planning within the NPS.

We have already broadened the entry criteria to join the probation service so that those with the skills and motivation to work with offenders are able to do so.

While it is too early to judge the impact of this change, we know that we are beginning to attract more people to probation. More than 4,000 applied to join the service in the most recent recruitment round, compared to around 750 previously.

We are seeking to continue to improve the diversity of the workforce through these changes.

We will seek to increase the profile of probation work so that the public recognises the demanding and valuable job that probation staff do day in, day out.

The current training route to be a Probation Officer is the work-based training Professional Qualification in Probation (PQiP):

- 15 month for those with level 5 qualification in criminology or similar
- 21 month for those with level 5 qualification not in relevant field.

We want to ensure that staff in both NPS and CRC feel valued as part of the delivery of probation system and ensure the probation profession is recognised and considered to be an attractive future career option.
Pay and reward

Many Probation staff within CRCs are members of Local Government Pension Scheme and will have ongoing protections to their pension.

Other staff recruited since the implementation of TR may be other company pensions which has other ongoing protections. We would want to ensure that through any transfer process staff are protected and no worse off.

We do not intend to enforce any new pay and reward requirements but we are wanting to understand the market dynamics we have created through TR by having a mixed market economy market with public/private players and how we ensure providers have freedom and flexibility over their workforce but does not create recruitment issues that impact on the system.

The NPS is reviewing it’s current pay and reward structure to review the length of pay scales, legacy terms and the pay framework.

On 25 July 2018, HMPPS has informed probation trade union partners that they are proceeding to initiate a new pay system for the National Probation Service so will be entering into negotiations on probation pay reform with our probation trade unions.

The NPS is planning to undertake some workshops with current and future providers (if interested) to share these pay proposals in due course.
Workforce Context

External drivers

**Justice Select Committee** - Transforming Rehabilitation report (June 2018)

Requirement that the MoJ publish a probation workforce strategy, which covers staff in the CRCs and NPS

**The Lammy Review** - Independent review into the treatment of, and outcomes for, Black, Asian and Minority Ethnic individuals in the Criminal Justice System

Recommendations include a cross-CJS approach should be agreed to record data on ethnicity. This should enable more scrutiny in the future
Future Workforce Strategy

Ambitions

We are developing a workforce strategy to support the entire probation system and ensures that providers can recruit and develop the workforce they need to deliver quality services to courts, victims and offenders.

As part of this strategy we are looking to develop a clear articulation of future requirements for how we understand and manage workforce planning and professionalisation across the system.

We want to look at what more we can do to play a stewardship role in this area to support providers in the implementation of this strategy.
Future Workforce Strategy

Workforce planning

To support the strategy we looking to improve the range and quality of data that we get from providers on the make-up of their workforces, including numbers of staff, their grades and those in the process of undertaking professional qualifications.

Initially, the Transformation Rehabilitation contracts information requirements for workforce planning were limited. Contract changes capture more information to enable the Authority to begin to understand whole system requirements:

- **Target** (Target staffing (FTE))
- **Staff** (Number of Contractor Personnel (Headcount and FTE))
- **Vacancies** (Number of Vacancies (FTE))
- **Starters** (Number of new starters (Headcount and FTE))
- **Training** (Number in next 6 months / currently undertaking Qualifications (Headcount and FTE))
- **Agency** (Number of Agency (Headcount and FTE))

*We are seeking a clear understanding of workforce to support the system whilst balancing MI requirements on providers*
Developing the skills of the workforce

- The effectiveness of probation work depends on staff with the professional and vocational commitment to make a difference with offenders.
- It is vital that probation staff have the right skills for the roles they perform. As new recruits join the profession, and as we seek to build the capability and resilience of the workforce, equipping staff with the right skills is paramount.
- We must also ensure that probation continues to be seen as a rewarding profession that offers opportunities for professional development and long-term careers.
We want to seek your views on future ambition on developing the skills of the workforce as well as how we balance training requirements with the needs of providers.

Our current thinking includes:

- We want to make sure that we do all we can to develop the skills and capability of the workforce so all staff are equipped to do their jobs.
- In recognition of the importance of staff having access to the right training, our workforce strategy will more clearly specify the training, skills and competencies that staff will require for different roles.
- We intend to develop a framework of recognised training for probation staff so that we maintain standards across the profession and provide staff with ways to evidence transferable skills as they progress in their careers.
- We are looking to balance standards with the opportunity for providers to develop their own approaches to training and development.
- We will undertake a review of the Criminal Justice Learning Framework in 2019 prior to a retender of any new contracts on probation qualifications. We are also exploring how the apprenticeships currently being designed will be able to support workforce requirements.
Professional register

Probation work involves making difficult and often finely balanced decisions about the risk an offender presents and the steps that should be taken in response. This takes skill, experience and professionalism. It is vital that probation providers can demonstrate that those taking these decisions are fit to do so.

Currently we collect information on the number of staff that have had their authorisation to practise probation services withdrawn in accordance with the Offender Management Act 2007 requirements.

To safeguard both providers and staff, we propose to develop a national professional register as a way of maintaining a single list of those staff who are trained and authorised to deliver probation services.
Future Workforce Strategy

A register will support Probation Providers to ensure that only authorised staff can provide probation services.

The register will provide assurance that:

- staff hold the requisite qualifications
- staff are not subject to relevant disciplinary processes
- staff have not been previously dismissed for poor performance or malpractice

_We are seeking feedback to develop a process by which, subject to appropriate safeguards, staff could be removed from the register and their authorisation to practise revoked in certain circumstances._

We would like to continue to develop a register through the next generation of contracts and how we can continue to professionalise the probation vocation.
Questions

Workforce monitoring

To support whole system workforce recruitment, what management information should we collect?

How would you propose working with the Authority to do this in a joined up way – whilst allowing individual providers freedom and flexibility to manage their workforces?

Developing the skills and capability of the workforce

Which skills, training or competencies do you think are essential for responsible officers authorised to deliver probation services?

How do you think these differ depending on the types of offenders staff are working with?

Do you think qualifications (or through the means of apprenticeships) would be the best way to mandate requirements?

Professional register

How would you see a national professional register operating across all providers – both public and private sector, and including agency staff?

What information should it capture?

Please provide any further feedback
Digital and Technology

Protecting and advancing the principles of justice
# Current Technology Operational Systems Landscape

<table>
<thead>
<tr>
<th>Court (NPS)</th>
<th>Prison</th>
<th>NPS</th>
<th>CRCs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Libra (magistrates)</td>
<td>Prison NOMIS (plus private managed prison systems)</td>
<td>NDelius</td>
<td>NDelius / plus own CMS linked to NDelius via SPG</td>
</tr>
<tr>
<td>Xhibit (court reporting)</td>
<td>OASys</td>
<td>OASys</td>
<td>OASys plus own tools</td>
</tr>
<tr>
<td>NDelius</td>
<td>Interventions Manager</td>
<td>Interventions Manager plus own tools</td>
<td></td>
</tr>
<tr>
<td>OASys</td>
<td>CRCs specific</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Effective Proposal Framework</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Case Management:**
- MoJ DOM1
- MoJ NICTS / Quantum
- MoJ TTP
- CRCs specific

**Risk and Needs Assessment:**
- MoJ DOM1
- MoJ NICTS / Quantum
- MoJ TTP
- CRCs specific

**Accredited Programmes/Interventions:**
- MoJ DOM1
- MoJ NICTS / Quantum
- MoJ TTP
- CRCs specific

**Infrastructure:**
- MoJ DOM1
- MoJ NICTS / Quantum
- MoJ TTP
- CRCs specific
Provider Systems and Infrastructure

- CRCs have:
  - new secure infrastructure separate from the NPS - networks (including PSN), end user devices, print services, secure email
  - mobile technology that better supports a more flexible way of working
  - back office solutions - HR, finance, payroll and other services
  - telephony systems
  - security accreditation by the MoJ for the systems processing offender data
  - ISO 27001 certification

- All currently operate using Authority provided systems:
  - National Delius (probation case management)
  - OASys (risk and needs assessment)
  - Interventions Manager (accredited programme management)
  - Management Information systems NDelius MIS, OASys National Reporting
  - Prison NOMIS (in prisons only)

- The introduction of bespoke case and risk management solutions developed for CRCs with a means of data exchange with National Delius:
  - The Authority’s Strategic Partner Gateway (SPG) delivered in September 2016
  - A number of CRC case management and risk assessment tools have been developed and are in testing with the SPG
**Digital & Technology: HMPPS Systems & Infrastructure**

<table>
<thead>
<tr>
<th>Current</th>
<th>Future</th>
</tr>
</thead>
</table>
| ● Four separate core applications for case management and risk management (Prison NOMIS, OASys, National Delius, Interventions Manager)  
● A mix of on-premise, private data centre hosting and public cloud hosting for our applications. The non-cloud hosted applications have slow release cycles and no ability to deploy rapid changes.  
● Lack of connectivity options limits services and integrations which can be built in some services.  
● Leading to poor quality data, duplicate data entry, inconsistent reference data | ● All Authority systems/applications migrated to public cloud and managed by in-house DevOps resource. This has already been achieved with NOMIS, OASys and soon National Delius  
● In addition to significant cost savings, this enables data sharing via APIs (integration points built using open standards) and also allows us to build digital services on top of our systems  
● Applications will be available over the internet, removing private networks and associated restrictions, also doing away with PSN/GSI for connectivity. This is in-line with the MOJ Digital & Technology strategy and the [GDS Technology Code of Practice](#)  
● Digital services which have optimised processes and which follow their flow – spanning boundaries between delivery organisations  
● Delivered on the move – allowing our staff much more freedom via mobile devices  
● Sharing data with everyone – making it available to all providers – through APIs which we will share  
● Sharing services with those that want to use them  
● An integrated digital supply chain – all of our delivery partners working together where it makes sense  
● Begin a piece of discovery on TTG services |
Information security

Current (existing contract)

- HMG Accreditation
  - Information Standard No 1 & 2
  - ITHC/CHECK
  - Good Practice Guides
- Government Secure Networks (GSI/PSN)
  - CoCo / IA Conditions
  - Government Encryption
- Data Protection Act (DPA)
  - Data Controllers in common

Future (new contract)

- Continuous Assurance
  - Engage with specialist to gain Cyber Essentials Plus and work towards ISO:27001 certification
  - Have a repeatable risk assessment and risk management methodology
  - Perform regular Security testing
  - Guidance rather that standards
- Internet
  - Use commercial encryption
- GDPR / DPA :2018
  - TBC
All of the digital transformation of systems and processes across HMPPS form part of the Ministry of Justice’s wider digital and technology strategy to design new and existing services around the needs of users in a digital age. This vision has been signed off and is supported at a Ministerial level.
HMPPS is complex, difficult and ripe for transformation

We must:

- Make it work
- Make it personal
- Make an impact
- Make it cheaper
- Keep up
...our technology hasn’t kept pace...

Make it work - be brilliant at the basics
...and needs to join up services, to meet everyone's needs

**Make it Personal - Join it up...**

- A single offender view bringing data together from NOMIS, Delius, OASys and Mercury, plus data from Courts and the Police
- Ensure effective future services for our front-line staff, where acronyms and “systems” are replaced by simple, modern digital services designed around our people and their jobs
...to make an impact

- strategic priorities need things to be joined up
- develop integrated services that help people do what they need to do
- our offenders, teams in prison or the community and all those who from departments and sectors that help achieve that
- to meet our critical outcomes safe, modern, reduce risk, improve rehabilitation
Sustainability

Make it Cheaper

Better performing tech for less

Taking control of our environments from expensive old commercial arrangements will save millions each year and provide greater speed and control of delivery.

Keep up

Better performing tech for less

Innovating, exploring radical options and cutting edge technology and partnerships in a controlled way.
New probation national search

- New national search microservice launched in May 2018
- Enables fuzzy matching, “search as you type”, elastic search functionality which is more efficient than reading the database
- Permits searching on address, name, DOB, alias and identification numbers
- Includes offender image for ID from NOMIS
- Reduces the time spent searching for offenders
- Minimises the risk of creating duplicate records
- Currently undertakes approx. 270,000 searches a week
New SFR report service currently being trialled in Westminster, Kent and Suffolk and rolling out nationally in October.

- Reduces the likelihood of work being lost by using cloud hosting to remove the need to save locally and upload reports in progress.
- Draws in data dynamically from Delius and OASys where possible to reduce re-keying information.
- Adds in-line guidance to assist less experienced officers in writing reports and reduces the reliance on the PITT tool.
- Allows the user to save and view the report as they write.
- Presents the report in a concise format agreed with magistrates and judges.
- Provides usage analytics and stats.
New PAROM1 report

• New PAROM1 report service currently being developed for trial in Q3 2018

• Updates the report format in advance of Offender Management in Custody (OMIC) rolling out in 2019

• Reduces the likelihood of work being lost by using cloud hosting to remove the need to save locally and upload reports in progress

• Adds in-line guidance to assist less experienced officers in writing reports and reduce the reliance on the PITT tool

• Allows the user to save and view the report as they write

• Presents the report in a concise format agreed with the Parole board

• Provides usage analytics and stats
New offender summary screen

- Simplified offender summary drawing the most important information from sub-screens into one place
- Risk indicators are emphasised and provide clarity as to what risks there are. These are available to AT users and fulfil all accessibility requirements
- Last three events are viewable and accessible in order to quickly understand an offender's current situation
- ‘Next appointment’ and ‘Personal circumstances’ information is viewable for Offender Managers.
- Offender images are drawn from NOMIS
## Anticipated digital and technology developments

<table>
<thead>
<tr>
<th>Authority</th>
<th>Probation Service Provider</th>
</tr>
</thead>
<tbody>
<tr>
<td>● Access for probation service providers to core applications, reporting tools and new data services from their own secure infrastructure</td>
<td>• Provision of core infrastructure including:</td>
</tr>
<tr>
<td>● Development of core offender management applications and data services</td>
<td>○ End user devices</td>
</tr>
<tr>
<td>○ microservices to provide improved functionality and access to required offender information from across our systems</td>
<td>○ Network</td>
</tr>
<tr>
<td>○ support for probation service changes e.g. pay mech and performance mechanism</td>
<td>○ Back office and supplementary business applications</td>
</tr>
<tr>
<td>○ built to GDS standards, open source as default</td>
<td>○ Secure Email</td>
</tr>
<tr>
<td></td>
<td>○ Telephony</td>
</tr>
<tr>
<td></td>
<td>• Connectivity to Authority provided applications and data services</td>
</tr>
<tr>
<td></td>
<td>• Potential for development of own applications/ data services with data exchange with the Authority’s data systems:</td>
</tr>
<tr>
<td></td>
<td>• Built to GDS standards</td>
</tr>
<tr>
<td></td>
<td>• Meets required level of info assurance incl. ISO 27001</td>
</tr>
<tr>
<td></td>
<td>• Engagement with Authority on data services</td>
</tr>
<tr>
<td></td>
<td>• IT and Info security training</td>
</tr>
</tbody>
</table>
Your feedback

- Investment in technology can offer real opportunity for efficiency and improved services
- Please provide your views to help inform our approach and priorities for probation digital and technology
- Level of technology enabled innovation under consideration
  - key technology enabled services/ what efficiencies are you seeking to prioritise
  - appetite to develop your own tools and make them available
  - improvements to support better data driven decision making and analytical capability
- Use of Authority systems and data services to support operating model
- Value of additional data sources e.g. police, DWP
- What do you need from us?

*We would welcome written submissions during our market engagement phase.*
*You are also invited to a follow up session taking place in September*
Current Estate Arrangements

General space requirements -

- Space in which to meet service users individually
- Space for group meetings and workshops
- Office space for CRC staff
- Unpaid work base or storage

Responsibility was placed on the CRC to source the accommodation and facilities management services that they require for the delivery of their service.

A wide diversity of arrangements is now in place across the country driven by:

- The local property market and supply
- CRC operating model
- Available fit for purpose space with NPS or other partners.
Current Estate Arrangements

Shared locations with NPS
- Occupied under a lease/licence with MoJ
- Use of interview rooms
- Arrangements with NPS to manage shared functions i.e. reception, H&S

CRC directly leased property
- Separate from NPS
- Shared with other partners
- Mobile workforce (use of police stations and community facilities – libraries, community centres)

Custodial
- For provision of resettlement services
- Space provided by prison governors not leased
Questions

• What features of estate provision have most impact on effective service provision?

• What flexibilities and freedoms do probation providers require in order to deliver their services?

• Are there opportunities that providers see as unexplored to date that should be considered?
End of Day Two

Please send any feedback and comments to ProbationCommercialTeam@justice.gov.uk
Important points to note

MoJ is undertaking this market engagement (“ME”) alongside the ‘Strengthening Probation, Building Confidence’ public consultation, which was launched on 27 July 2018. Please note the following, MoJ:

is not liable for any costs incurred by anyone who chooses to participate in this ME; may choose and/or be obliged to disclose information submitted to it as part of this ME. In particular please note MoJ is subject to the Freedom of Information Act 2000 (as amended) and the Public Contracts Regulations 2015 (as amended);

makes no guarantee, representation nor warranty (express or implied) with respect to any information disclosed as part of this ME;

MoJ shall not be liable for any loss or damage arising as a result of reliance on information disclosed as part of this ME and/or from any participation in the ME; and is not committed to any course of action as a result of this ME.