



HM Prison &
Probation Service

A Draft Target Operating Model for the Future of Probation Services in England and Wales

Probation Reform Programme

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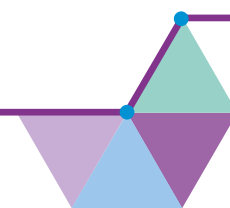
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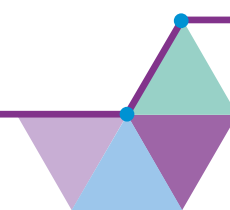
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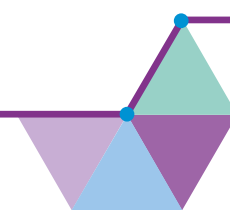
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Probation Reform

Executive Summary



Probation Reform - Executive Summary

Probation is at the heart of Government plans to strengthen the criminal justice system to instil confidence that justice is being delivered and that victims of crime and the wider public are effectively protected.

To support a more robust criminal justice system, we are implementing a sustainable long-term model for probation services that provides public protection, visible

and credible options for sentencers, deals effectively with individuals who have offended repeatedly and gives the right rehabilitative support to address offending behaviour. This will contribute to Her Majesty's Prisons and Probation Service (HMPPS) strategic vision to protect the public and help people live law-abiding and positive lives.

The key changes in England and Wales

(i) Delivery of Sentence Management by a single organisation

We are moving to a unified model which brings responsibility for the management of all individuals subject to probation services into the National Probation Service (NPS) by integrating the Community Rehabilitation Company (CRC) and NPS Sentence Management.

This will help us transform through partnerships by providing clarity for other organisations involved in probation as well as simplifying arrangements for providing advice to courts and resettlement following release from prison. Crucially, given the need for responsiveness to wider criminal justice system changes, it also offers more flexibility to redeploy staff across functions and build capacity to respond to changing demand for probation services.

(ii) Twelve new probation regions

We are moving to a model where probation services are organised around 12 regions overseen by a Regional Probation Director with clear accountabilities between delivery of Sentence Management and outsourced interventions.

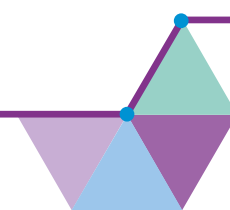
This will help respond to demands at a more local level and improve our ability to meet our statutory and non-statutory partnership-working obligations. It will also support **an open learning culture** by enabling us to identify and agree shared priorities based on the evidence available and to work with partners to support individuals, reduce reoffending and protect the public.

(iii) Transformation Through Partnerships: Working with partners to deliver effective and innovative rehabilitation services

We are committed to ensuring our future model allows all potential providers of probation services, regardless of sector, to play their role in delivering probation services. Through the Probation Delivery Partner and Dynamic Framework competitions we will test ideas from the market to improve service delivery. We will use this process to decide on the future shape of our provider base. Our fundamental priority is to ensure we secure the best possible service for the public we serve.

We will look to potential Probation Delivery Partners to provide definable interventions delivered at scale, with the Dynamic Framework providing more tailored rehabilitative and resettlement services that can be called off at a regional and local level to respond to need. This will enable us to draw on the experience, innovation and skill within the private, voluntary, community and social enterprise sectors to provide effective rehabilitation services that address criminogenic needs including mental health and addiction. We have designed the competition and commissioning processes to create greater ability to co-commission services, and to give more direct opportunities for national and local voluntary, community and social enterprise organisations to deliver services.

Regional Probation Directors will have a critical role in the effective and responsive commissioning and delivery of probation services locally to realise transformation through partnerships. By establishing clarity of accountabilities for delivery and the necessary processes and tools to support this, we will enable joint working at a regional level between the NPS, service providers and the wider criminal justice system including local courts, Police and Crime Commissioners and other commissioners. This will enable us to address cross-cutting social issues that are key to tackling reoffending and preventing further victims of crime. Through establishing more strategic probation leadership in each region, it will also enable us to adapt how we work with partners in the future according to what works in practice.



(iv) Modernising our estate and technology to enable reform

We will rationalise and modernise our non-residential estate to support service delivery. We will also invest in upgrades to technology that will enable better recording, sharing and use of data to inform decision-making and facilitate better ways of working.

This will provide a modern estate for staff and, provide better environments and information-sharing to support partnership working and deliver value for money through more effective ways of working.

It will also enable an open learning culture by allowing us to better track and support an individual's journey through the probation system including any interventions received, which will help inform future improvements to the system.

(v) Enabling people to be their best: Professional recognition of probation staff

All our staff working across the probation sector play an important part in changing and addressing offending behaviour. To enable our probation professionals to be confident in advising sentencers and to supervise individuals in the community most effectively we must be clear about the professional standards and expectations under which we expect them to operate, and support them to develop the right tools, skills and capabilities to perform to these standards.

Key to this is modernising our technology, recording and monitoring systems that reduce duplication, streamlining tasks and enabling Probation Practitioners to spend more time working with individuals to support their rehabilitation.

To deliver our ambition for probation to be recognised as a skilled profession which delivers a quality service, we have established a Probation Workforce Programme. This will ensure a renewed focus on our valued workforce and ensure we have the right people, with the right skills in the right roles. It will drive greater ownership of professional development by providing access to a suite of world-class learning and development opportunities with a basis in evidence-based professional practice. The programme will enable people to be their best through reviewing and expanding the existing entry routes into careers in probation, and by developing a series of defined career pathways with the aim of attracting and retaining a more diverse workforce.



Chapter 1

Introduction



Introduction

This chapter outlines the purpose of this document, describes the context in which we are developing the new probation system, sets out the vision for the Probation Reform Programme within the wider HMPPS strategic context, and provides an overview of the future system and what is changing.

1. The document: scope and language

1.2. Scope

This document supersedes the 'Draft Operating Model Blueprint' for probation services published in June 2019, providing further information on our intentions and how we envisage the future model working. We expect the model described to be fully operational from June 2022, following integration of Sentence Management into the NPS in Wales at the end of 2019 and new arrangements for probation coming into effect in summer 2021 when we intend to end existing CRC contracts.

The content of this document and the development of our thinking have been informed by market and stakeholder engagement following publication, in May 2019, of the 'Strengthening Probation, Building Confidence'¹ consultation response. Since the consultation response, we have held over 20 events and met with over 530 stakeholders with an interest in probation delivery. We have held a number of market engagement events, alongside workshops for practitioners and individuals subject to probation services. We have continued to engage with the Greater Manchester Combined Authority, the Mayor's Office for Policing and Crime (London), and with Police and

Crime Commissioners as we shape design choices. We have continued to engage with trade unions and have held a number of staff engagement workshops. We have also met and talked with over 200 members of probation staff from NPS and CRCs.

The remainder of this document is split into the following chapters and annexes:

Chapter 2: 'Draft Target Operating Model'

Provides an overview of the draft Target Operating Model for future probation services including a description of the structures and responsibilities within the new system, how we will collaborate within HMPPS and work with partners to rehabilitate people, professional recognition of Probation Practitioners, and technology and data.

Chapter 3: 'Draft Target Operating Model:'

Further detail is targeted at key operational stakeholders and expands on the detail provided in Chapter 2.

Annex A: 'Transition planning'

Sets out how we are managing and organising the programme of work including the roadmap for delivering the future operating model, our high-level transition plan, and approach to stakeholder management.

Annex B: 'An open learning culture - Evidence and effective probation practice'

Sets out the evidence base around effective practice that has informed our approach and which we will use and build on to inform further design development of future services.

Annex C: 'Design principles'

Sets out the factors underpinning the design of key areas of the new system.

Annex D: 'How our thinking has moved on since the Draft Operating Blueprint'

Describes the rationale to changes in design since the publication of the Blueprint.

Annex E: 'Wider HMPPS Changes'

Outlines some of the other changes happening in HMPPS in the context of the HMPPS business strategy.

Annex F: 'Design areas being developed'

Summarises the areas of the Programme which will continue to be developed between now and publication of the more detailed operating model which will be published later in 2020.

Annex G: 'Glossary'

Explains key terms, acronyms and abbreviations used in this document.

Annex H: 'Links to other resources'

Lists the useful links which provide wider context.

1.1. Language

We are using this document as an opportunity to reset some of the language in the probation system so that we can build an inclusive culture which staff from both CRCs and the NPS can relate to; utilising terminology that resonates with stakeholders, and best reflects the intentions behind the new model and the benefits that we are seeking to achieve.

¹https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/802175/strengthening-probation-consultation-response.PDF

In describing the new probation system, this document will, as far as possible, use **individual/individual subject to probation services/person, Probation Practitioner** and **Sentence Management** to denote the formerly-used terms Offender, Offender Manager/Responsible Officer and Offender Management. Exceptions will be either to denote a specific Criminal Justice context (such as Responsible Officer when referring to key legislation requirements) or when referring to parallel programme features, such as Offender Management in Custody.

A comprehensive glossary is at Annex G.

2. The case for change and wider context

There has been significant external scrutiny of the current system including a Justice Select Committee report on the Transforming Rehabilitation reforms published in June 2018, a National Audit Office report published in February 2019 and Her Majesty's Inspectorate of Probation's 2018/19 Annual Report. All recognised the challenges in the current system and called for reform.

Probation services are central to ensuring that justice is delivered. Whether an individual is sentenced to a custodial or a community sentence, probation services are key to ensuring that the orders of the court are delivered and enforced, that the public are protected and that individuals are rehabilitated as well as punished. The probation system supervises more than 250,000 individuals at any time. That entails assessing, protecting them and the public, and changing behaviour by arranging relevant interventions for those on community sentences, short custodial sentences and approaching release from prison.



Pre-sentence, Probation Practitioners advise courts so that sentences can reflect the often-complex factors at play in an individual's circumstances. Depending on whether a custodial or community sentence is delivered, probation services have a role for the entirety of the sentence. Probation Practitioners manage the ever-changing needs and risk profile of those under our supervision, working to ensure they fulfil the conditions of their sentence and that swift action is taken when they do not.

The operations of probation services must also be understood in the wider delivery context. The NPS is one of three operational arms of HMPPS, which is an executive agency of the Ministry of Justice. In addition to probation services, HMPPS has responsibility for prisons (both public and private), youth custody and a range of other services including overseeing contracted provision for electronic monitoring and prisoner escort services and so is an integral part of the Criminal Justice System. Through the framework of the HMPPS business strategy, we have a strong commitment to working together as one HMPPS, to deliver the best outcomes for individuals subject to probation services and for the public.

Internal collaboration across our operational arms is an important part of delivering a more joined-up probation service. As well as the wider Ministry of Justice, including the Court system, partnerships extend to other Government departments, the Welsh Government, Police and Crime Commissioners and the Police, and broader public services including local authorities and the voluntary, community and social enterprise sector. Our contracted providers will also be integral to our organisation and vital to our effectiveness.

To be effective, probation must be part of wider, local, public service delivery to ensure it is responsive to local priorities and needs and able to influence and shape delivery of the broader services that the individual is entitled to as a member of the community. This includes services such as accommodation and health which are key to supporting individuals' rehabilitation.

The new system seeks to support the protocol agreed with Ministry of Justice, Department of Health and Social Care, NHS England and Public Health England to promote the use of Mental Health Treatment, Alcohol Treatment and Drug Rehabilitation requirements. The Dynamic Framework seeks to ensure interventions are available to meet the frequently occurring needs of the probation caseload. These include overall emotional well-being, the ability to regulate mood and resilience and confidence, the ability to engage with and access mental health services and/or comply with medication/ treatment and the ability to build and maintain appropriate social interactions.

2.1. Other programmes of reform

The changes to probation are being made alongside other significant programmes of reform and delivery across HMPPS and its contracted providers. As with the probation reforms, those programmes and changes to delivery are evolving with the HMPPS business strategy. We want our future probation operating model to align with these wider changes so that we can fully realise the potential to improve outcomes, consistent with the strategy and our HMPPS vision to 'work together to protect the public and help people lead law abiding and positive lives'. In developing the new model, we have and will continue to consider touchpoints with other key delivery

programmes and developments in HMPPS, for example Offender Management in Custody as well as wider changes such as court reform.

An overview of some parallel HMPPS changes consistent with the framework of the HMPPS business strategy, is set out in Annex E. Further detailed information will follow in the next iteration of the Target Operating Model later in 2020.

2.2. HMPPS Business Strategy and Vision

The new probation model is informed by the overarching HMPPS business strategy and our vision to work together to protect the public and help people lead law abiding and positive lives.

“ The new probation model is informed by the overarching HMPPS business strategy and our vision to work together to protect the public and help people lead law abiding and positive lives. ”

The central tenet to a strong probation service is ‘Assess, Protect, Change’. The NPS’s role is to assess the risks and needs presented by individuals in the probation system, protect the public through identifying and overseeing effective action to address these and putting the right motivators in place for individuals to change their behaviour. Outlined at Figure 1 is our vision for probation reform.

When delivering this role, our focus is the four principles set out in the HMPPS business strategy:

- ▲ Enabling our people to be their best.
- ▲ An open learning culture.
- ▲ Transforming through partnerships.
- ▲ Modernising our estates and technology.

The above principles are evident in the design of the new system including our focus on understanding effective practice, considering how we can utilise digital tools to capture data more effectively to help inform future decision-making and recognising the need for an estates strategy to support the changes. They are also evident in some of the anticipated benefits of the new probation model which will contribute to building a strong probation service as part of the overarching HMPPS vision through:

- ▲ Better use of community sentences as an alternative to custody.
- ▲ Increased judicial confidence and influence in the court setting.
- ▲ A higher quality service.
- ▲ Increased collaborative working within our organisation and strengthening our work with partners.
- ▲ Developing our workforce.
- ▲ Greater flexibility enabling us to drive change across the system and meet changes in demand where required.

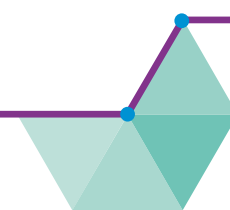
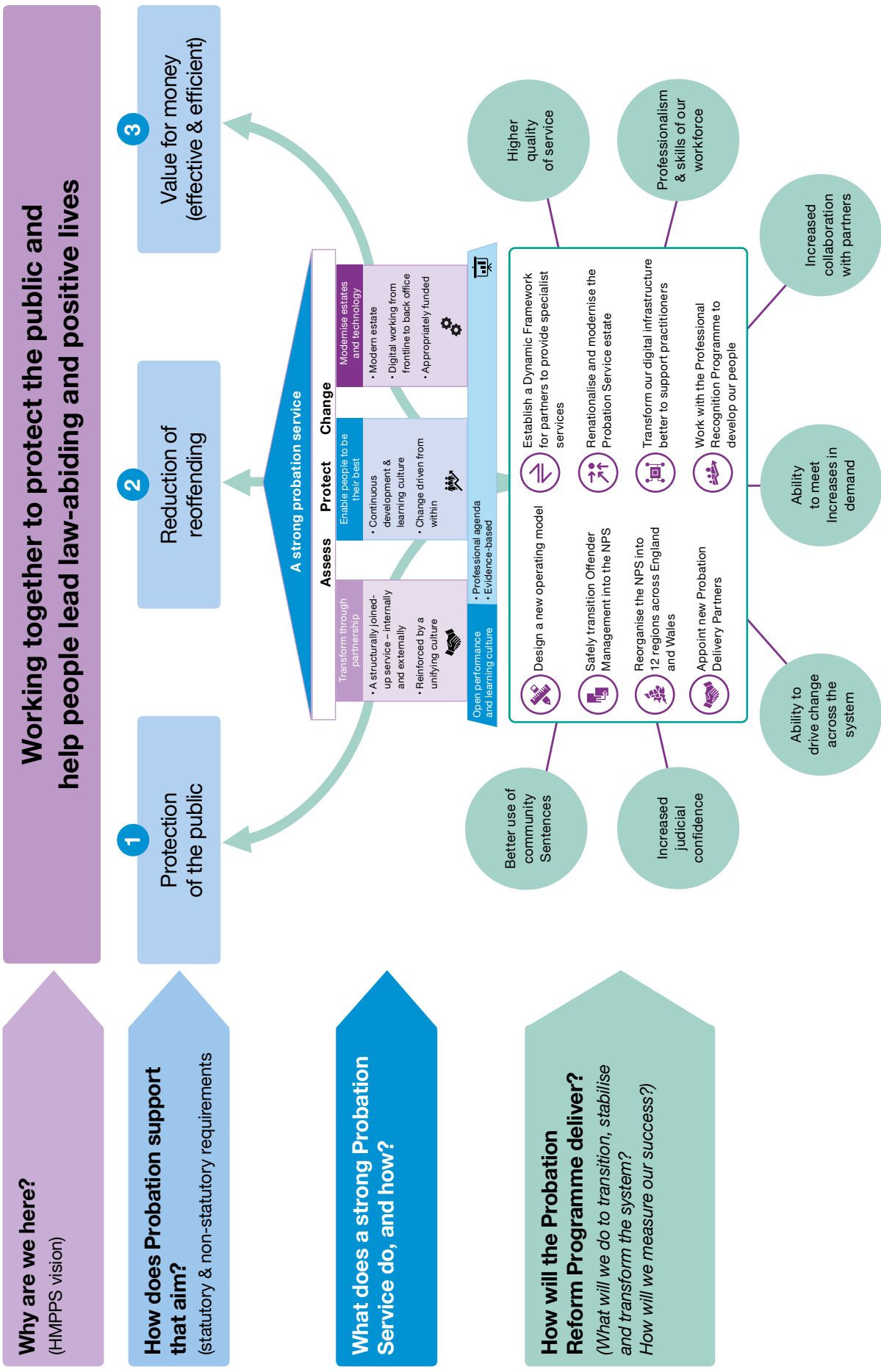


Figure 1. Our vision and objectives



3. Our 'key customers': desired outcomes

We are mindful that a future probation system needs to respond to the requirements of those that it serves. Our thinking in designing the future Target Operating Model has therefore been informed by market and stakeholder engagement following the publication of the '*Strengthening Probation, Building Confidence*' consultation response in May 2019 with focus on feedback from our key customers on their desired outcomes from the new system. These are detailed at Figure 2 (overleaf) but, in summary:

Sentencers² require **credible community sentences** (which commands the confidence of the courts and the public, while helping individuals on their path back into society and reducing pressure on the prison system).

Individuals subject to probation services will desire **increased capability of the probation system** (allowing individuals to be safely supported in the community, giving them the capacity to engage in employment and with other welfare services, and dealing with the problems which led them to commit crime), and **secure access** (to a range of statutory services and third-sector provision beyond the probation system, supporting their rehabilitation).

Probation Practitioners will desire a **motivational environment** (with the skills to deliver effective probation services), **reduced time spent on basic administrative tasks by front-line staff** (by investing in simplified business

processes and enabling technologies), and **acceleration of the professional recognition of the workforce**.

Partners and Authorities will desire **strengthened engagement and collaboration** (in designing, delivering and overseeing probation services locally), and **greater alignment and joint working** (to create a more effective delivery landscape).

The Public will desire **improved public safety, reduced reoffending** (by ensuring individuals are appropriately supported in resettling within the community) and **increased value for money** (by delivering the intended outcomes more efficiently and more effectively).

Victims will desire **confidence that the sentence protects the public and reduces crime** by tackling people's underlying offending behaviour.

²We are using the term 'sentencers' as a generic term to describe sentencing judges and magistrates

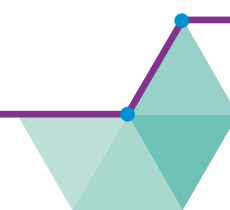
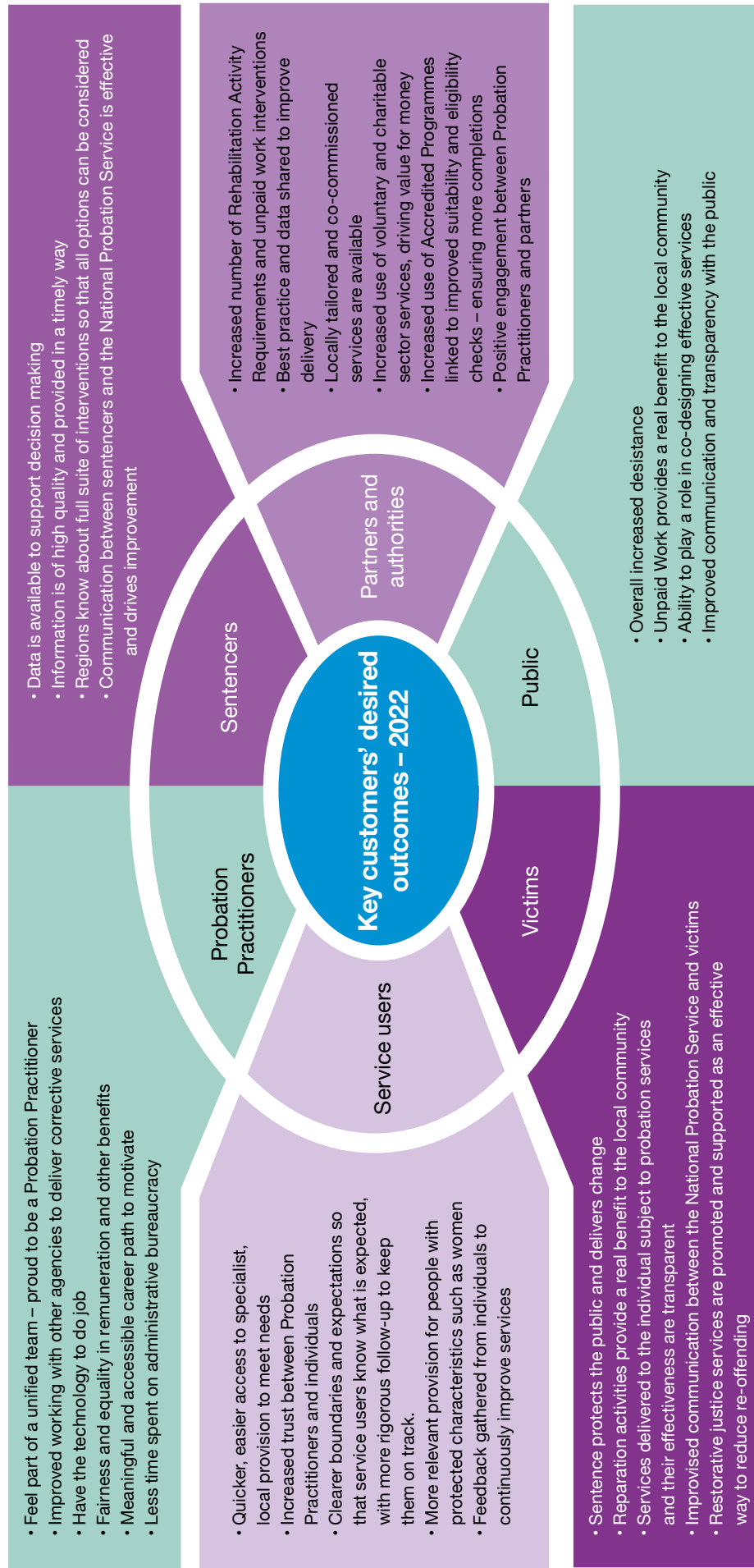


Figure 2. 'Key Customers': Desired Outcomes



4. Victim Contact Scheme

Becoming a victim of crime can be a deeply traumatic experience that can leave physical scars or emotional trauma that may last for many years after the incident. It is essential that victims have access to high quality, timely and effective support to help them cope and, as far as possible, recover from the effects of crime and rebuild their lives.

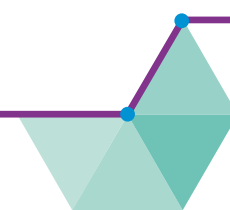
“ It is essential that victims have access to high quality, timely and effective support to help them cope and, as far as possible, recover from the effects of crime and rebuild their lives.

The Government's Victims' Strategy, published in September 2018, commits to ensuring that victims receive the support they need throughout their experience of the criminal justice system, including the need for victims to access clear, accurate and timely information to support them through the criminal justice process. The Strategy recognised that victims are not always provided with clear and correct information which is a requirement in the Victims' Code, including how to join the Victim Contact Scheme, and a commitment to improve information about the Victim Contact Scheme and make the referral process more straightforward.

Building the capability of National Probation Service Victim Liaison Officers will be central to driving a high-quality information service for victims in the Victim Contact

Scheme. While much has already been done to equip officers with updated training and guidance, there is more to do. The Probation Reform Programme's document, *The Proposed Future Model for Probation: A Draft Operating Blueprint*, published in June 2019, emphasised the need for clarity about the professional standards and expectations under which staff are expected to perform, and recognises that they must be supported with the right tools and technology to enable them to meet victims' expectations.

We will provide victims with better information about the scheme. Specifically, we will clearly and simply lay out the benefits of the scheme including details of a revised and clarified opt-in process. We will consider introducing measures to re-offer services later in an individual's sentence to those victims that opted out of the scheme at first contact. The quality of our communication with victims will be improved. We will provide victims with greater choice as to the method and frequency of our communication with them. Where appropriate we will use more efficient digital communication methods (e-mail, texts), moving away from postal communication wherever possible.

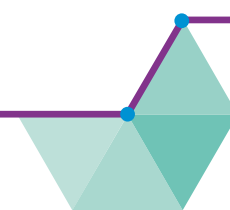


5. Current and planned future state

Outlined below are the key changes planned under the new model, which we anticipate will be embedded from 2022. These include updates in our planning since the Draft Operating Blueprint, notably to the number of probation regions, the split in work between Probation Delivery Partners (formerly Innovation Partners) and the Dynamic Framework providers, and setting up a separate programme to take forward delivery of professional recognition proposals.

- ▲ We will be moving from responsibility for Sentence Management being split between the NPS and CRCs (according to the risk assessment of individuals) to all Sentence Management being integrated into the NPS. The NPS will drive improvements in the advice provided in court (including pre-sentence reports, reviews and enforcement proceedings for individuals). This will put us in a better position to improve quality and invest in our workforce as well as ensuring we are better placed to protect the public and respond to change (be that wider policy changes or changes in demand). It will help us to deliver a HMPPS strategic outcome, ‘high quality Sentence Management.’
- ▲ We will be amending how we organise probation services from seven NPS Divisions across England and Wales and 21 CRC contract package areas to 12 new probation regions across England and Wales (11 new regions in England and the existing arrangement in Wales). This will be supported by a new management structure whereby each region is overseen by a dedicated Regional Probation Director (a NPS Director in Wales). They will provide strategic leadership, with reference to the overarching HMPPS business strategy, and be responsible for overall delivery and commissioning of probation services in each region. This will help respond to demands at a more local level and improve our ability to meet our statutory and non-statutory partnership obligations, enabling the identification of shared priorities and exploration of co-commissioning of services that support individuals, reduce reoffending and protect the public.

- ▲ We will move from outsourcing a range of services to CRCs to establishing a significant and clearly defined role for private and voluntary, community and social enterprise sectors in the delivery of Unpaid Work, Accredited Programmes and Structured Interventions. We will use the Probation Delivery Partner competition to test ideas from the market for how the private, voluntary, community and social enterprise sectors can provide Unpaid Work, Accredited Programmes and Structured Interventions. We will also establish a Dynamic Framework as a vehicle for securing more individualised rehabilitation and resettlement services and to encourage participation of smaller suppliers. Simpler contracting arrangements will allow us to play to the strengths of a mixed market that we have seen from Transforming Rehabilitation examples of Unpaid Work and Accredited Programmes being delivered well by contracted providers. This will help improve the rehabilitation offer available to individuals. We are clear of the importance of setting out minimum expectations for delivery standards as well as an ongoing commitment to increasing innovation in delivery. The NPS will continue to deliver some Accredited Programmes, including those which address sexual offending.
- ▲ We are transitioning from complex information-technology systems (that have limited data connectivity and do not make best use of digital solutions) to investment in new technology that will enable better recording, sharing and use of data. This will strengthen collaboration between the NPS and providers of outsourced interventions and provide a better evidence base to help improve our service offer.
- ▲ The changes to the probation system mean rationalisation and modernisation of our probation non-residential estate to support service delivery. This will provide a modern working environment for staff and individuals subject to probation services, provide better buildings and environments to support partnership working and deliver value for money.
- ▲ The Probation Workforce Programme has been created to take forward work on making sure recruitment is diverse and inclusive, staffing levels are met, staff have the right learning, development and qualifications and opportunities for ongoing career development, and making sure our HR policies are fit for purpose. High level details are included in this document with further details to be provided in separate publications. We aim to improve our learning and development offer to staff by putting in place the infrastructure required to support continuous professional development and developing an effective learning programme to meet the changing needs of our workforce. We will also seek to better recognise the professional standing of our Probationer Practitioners, and will implement an internally administered register for probation professionals using existing powers, before seeking to enshrine this function in primary legislation. The Workforce Programme will contribute to a HMPPS strategic outcome, 'a diverse, skilled and valued workforce'.



6. Transition and next steps

We recognise that transition to the new model represents further, significant change for probation staff within the NPS and CRCs. To address uncertainty around future employers and what these changes mean for individuals, the programme has a dedicated change management function. This will ensure that the transition and mobilisation process is well managed, with consistent engagement and meaningful consultation with trade unions and communication with staff throughout.

We have put in place arrangements to extend CRC contracts to ensure the necessary time to transition to the new system. We intend to end contracts in summer 2021 when new arrangements for probation will come fully into effect. This will ensure a smooth transition, focussing on seamless continuity of public protection and rehabilitation in the community. We expect the model to be fully embedded from June 2022. We anticipate though that there will be flexibility in the new system to refine the model further according to what works in practice.

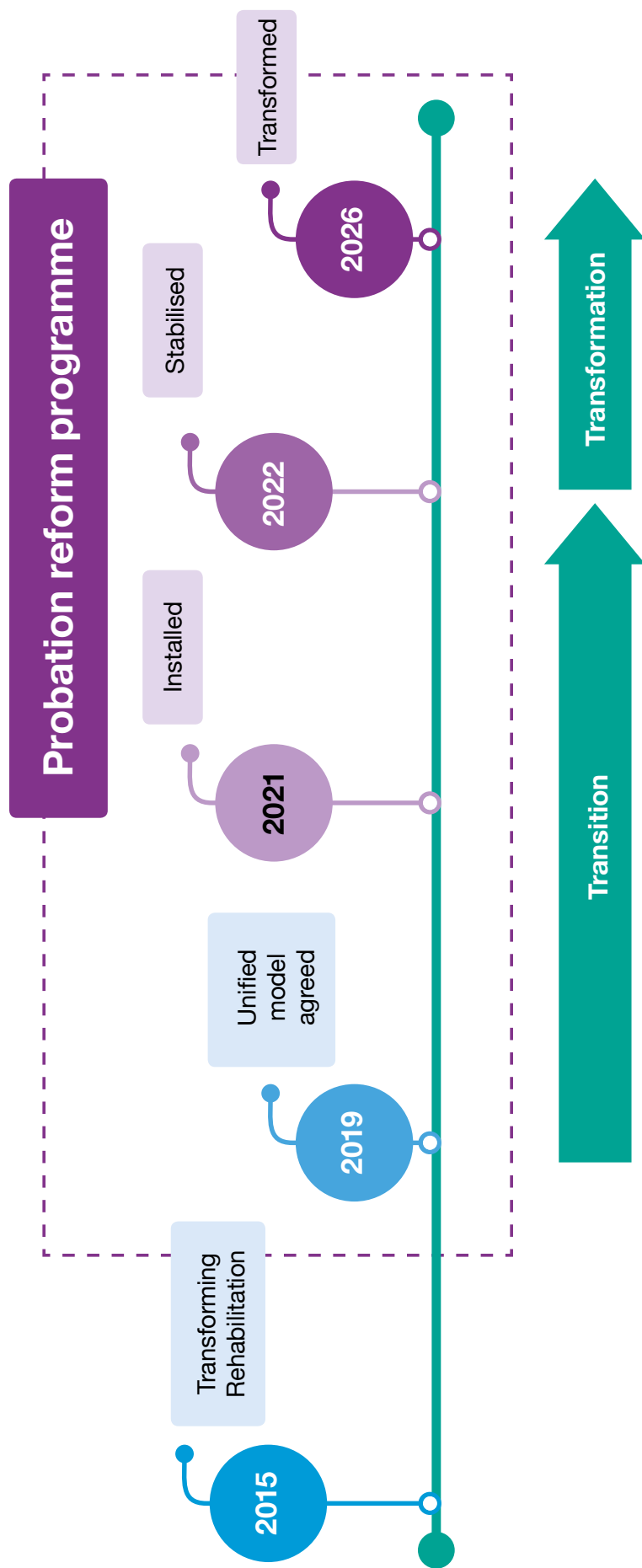
6.1. Wales

The new model recognises the devolved responsibilities of the Welsh Government and existing partnership arrangements and takes account of the Welsh Government's priorities and legislative agenda. In Wales, we have already brought Sentence Management into the NPS, which provides both opportunity for early improvements to quality and lessons learned to feed into the wider transition. The CRC will continue to provide all other contracted services until contract end.

6.2. Final design work

The design of the future system is an iterative process and as such this document is a work in progress that sets out development thus far. Some elements may therefore be subject to amendments following further development and testing of the model as we continue to work on the design and transition arrangements. We plan to publish a more detailed version of the future probation operating model later in 2020. Details of key design areas currently being developed, are set out in Annex F. Any queries should be directed to Strengthening.probation@justice.gov.uk

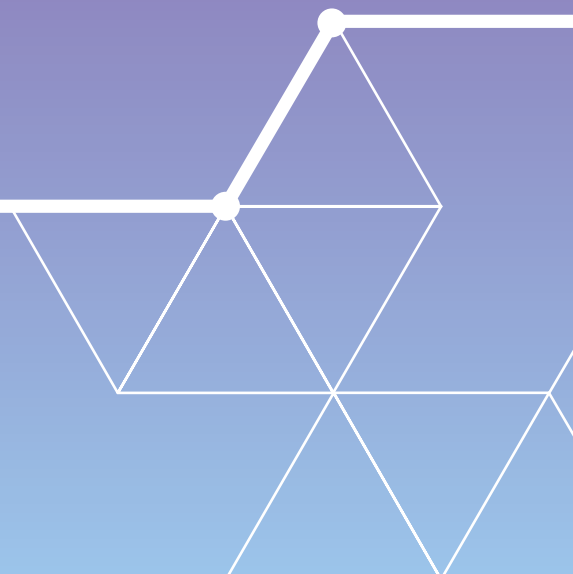
Figure 3. High-level milestones for transitioning to the unified model





Chapter 2

Draft Target
Operating Model



Draft Target Operating Model

1. What this chapter covers

This chapter provides an overview of the draft Target Operating Model for the probation system, which we expect to be embedded from 2022 **(with further detail provided in Chapter 3)** and includes the following sections:

Delivery of Sentence Management:

including the new HMPPS business structure and NPS delivery arrangements, including all Sentence Management activities.

Transforming through partnerships: innovation and working with partners to rehabilitate people: including the Dynamic Framework, Probation Delivery Partners, Interfaces between the NPS and providers, Rehabilitative services, and resettlement from prison to the community.

Enabling people to be their best: workforce management and professional recognition: Setting qualification requirements and practice standards for probation professionals, accountability and management of performance, evidence-based professional learning and development, entry routes in to the profession, and clear career pathways and enhancing professional recognition of our workforce.

Equalities and individuals subject to probation services:

cohorts and protected characteristics:
The protected characteristics that fall within

the Equality Act 2010 and the impact of the future system on individuals with those protected characteristics.

Modernising our technology and digital services:

The right systems to deliver and inform delivery, access to data to support continuous learning, the needs of individuals subject to probation services and of front-line staff.

Modernising our estate:

Our estates strategy and how it supports a sustainable, long-term estates platform for probation services.

Performance framework:

New quality measures and assurance.

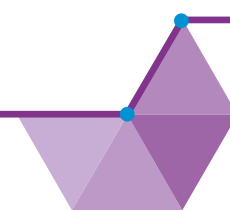


Figure 4. Available services and where in the probation system they are to be delivered

NPS (HMPPS) delivery

- | | | |
|---|---|---|
| <ul style="list-style-type: none"> • Court advice • Sentence Management • Victim services • Approved premises | + | <ul style="list-style-type: none"> • Sex offender programmes • Extremism intervention • Organised crime intervention |
|---|---|---|

Programmes and Unpaid Work

- | | |
|--|--|
| <ul style="list-style-type: none"> • Accredited Programmes • Unpaid Work • Other structured and evidence-based interventions to address attitudes, thinking and behaviour | <ul style="list-style-type: none"> • Emotional management • Domestic abuse |
|--|--|

Rehabilitation and resettlement services (Dynamic Framework)

- | | |
|--|--|
| <ul style="list-style-type: none"> • Accommodation • Education, training and employment • Finance, benefits and debt • Family and significant others • Lifestyle and associates | <ul style="list-style-type: none"> • Substance and other dependencies • Well-being • Social inclusion • Cohort specific interventions, e.g. women and young people |
|--|--|

Regional Outcomes and Innovation Fund

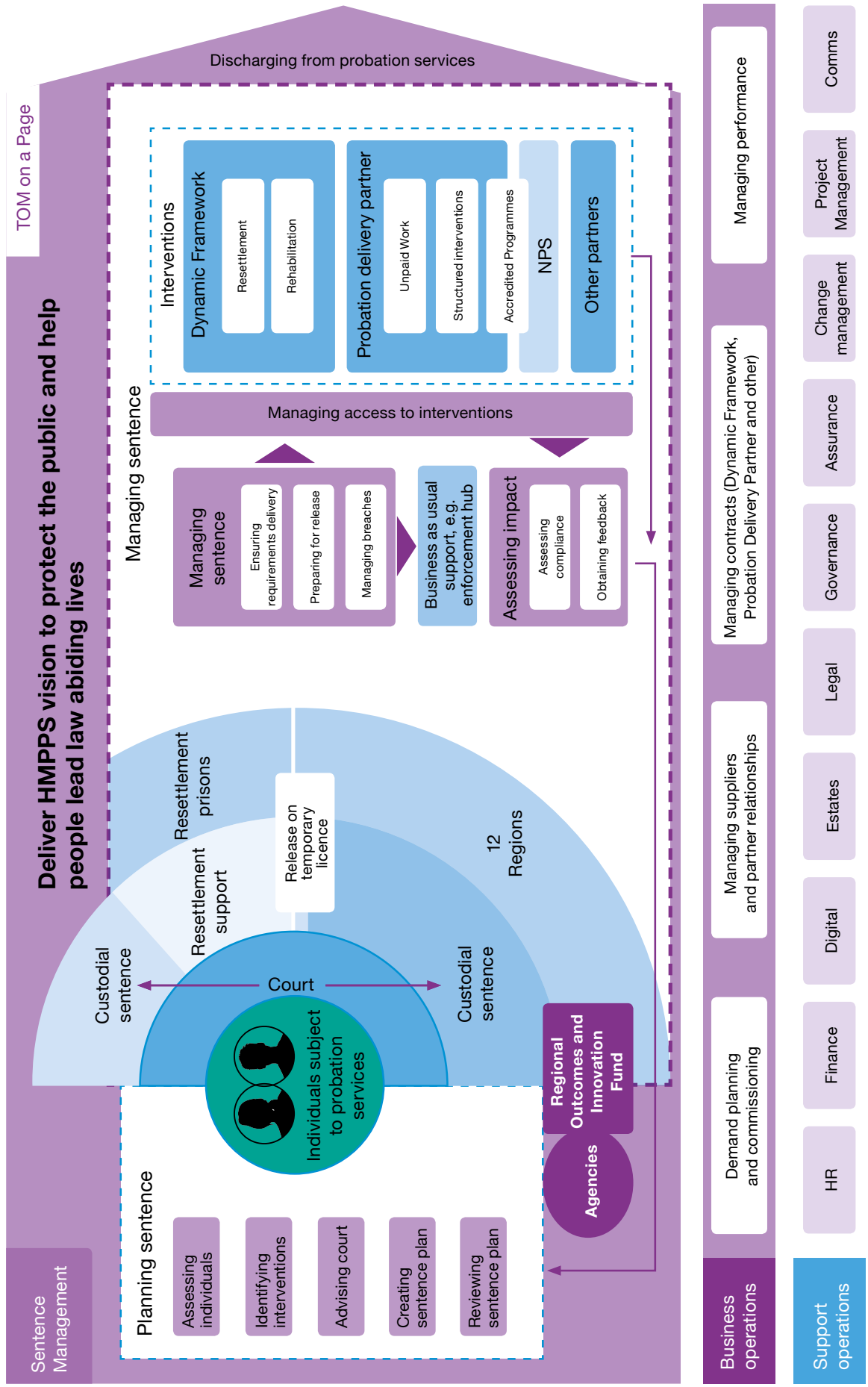
- | | |
|---|--|
| <ul style="list-style-type: none"> • Finding services to support improved outcomes • Early interventions and diversion from the Criminal Justice System | <ul style="list-style-type: none"> • Additional support to address complex needs • Longer term support to follow end of sentence |
|---|--|

Treatments, pathways and universal services

- | | |
|--|---|
| <ul style="list-style-type: none"> • Primary care • Mental health services • Liaison and diversion • Education • Community and voluntary • Local Authority | <p>Paid for by others but co-delivered (and enforced) by NPS:</p> <ul style="list-style-type: none"> • Substance misuse treatment (alcohol/drug treatment requirements) • Mental health treatment requirements • Community Personality Disorder Service |
|--|---|

Probation System Delivery

Figure 5. A summary of the Target Operating Model



3. Delivery of Sentence Management

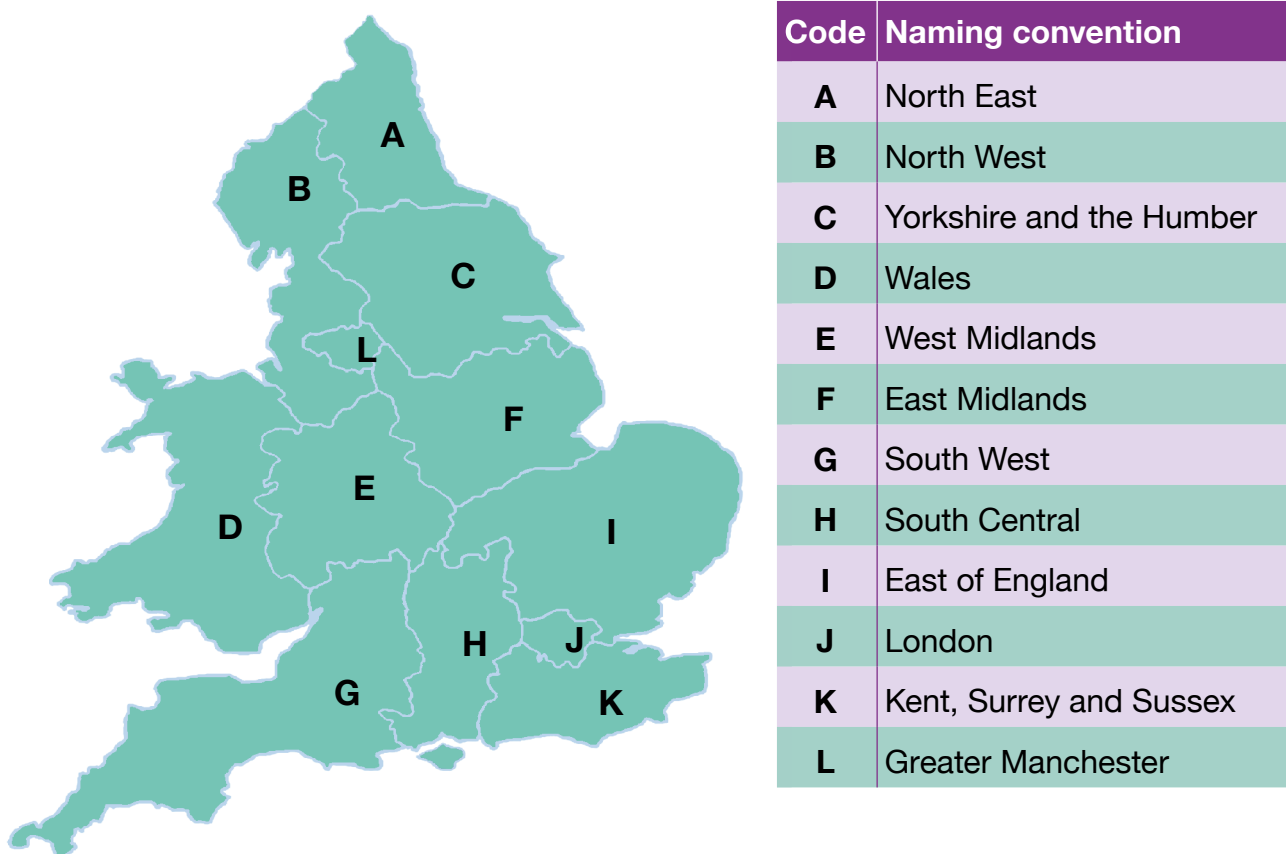
3.1. The regions: responsibilities, accountabilities and commissioning

Regions will plan and deliver the best possible service to the community with a focus on applying evidence to inform priorities and ultimately improve services. This will enable front line service delivery within the wider HMPPS strategy and be consistent the NPS's role to assess risks, protect the public and change behaviour.

3.2. Regional structure

The current structure of 21 contract package areas and seven geographical divisions of the NPS will be reconstituted to form 12 regions across England and Wales (11 in England and one in Wales) with NPS and contracted provision aligned within this. The 12 regions are depicted below.

Figure 6. The twelve probations regions in England and Wales from 2022



Responsibilities and accountabilities

The new HMPPS Regional Probation Directors will oversee each region and be accountable for both NPS and contracted delivery. We are designing a new regional organisational structure under each Regional Probation Director to ensure we have the right capabilities and functions in place to ensure they are able to fulfil their responsibilities. This includes NPS operational delivery, commissioning, contract management, performance, quality and corporate services. The regional structure will be supported by the relevant capabilities and functions within central HMPPS and Ministry of Justice to drive efficiency and consistency.

The Regional Probation Director will report into the wider HMPPS structure and be line managed by the Chief Probation Officer. Leadership in both England and Wales will be brought together under the Director General for Probation.

Partnership

Working in partnership with other providers and agencies is key to successful delivery of Sentence Management, including appropriate information sharing to meet needs and manage risk. Our Agency, HMPPS, wants to transform outcomes through partnership working and Probation is central to this.

“ Working in partnership with other providers and agencies is key to successful delivery of Sentence Management

Probation Practitioners will collaborate with their HMPPS colleagues and with system partners to manage some cases under local Integrated Case Management or Whole System Approach arrangements. That will contribute to reducing reoffending plans as part of Community Safety Partnerships or other local/regional partnership arrangements, including those focussed on preventing crime by individuals who have offended repeatedly.

Probation Practitioners will work with other local partners, including health and related partners, to strengthen rehabilitation, social inclusion and improved outcomes, including on release from custody.

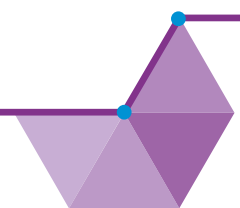
Business planning and commissioning

We are looking to create a planning process for the regions. Our aim is to provide a simple model that sets out key milestones and products for regions. The business cycle design is intended to also be applied to co-commissioned services, devolved regions, and to allow planning at sub-regional level including local delivery units, working in alliance with wider HMPPS.

As well as providing a simple model for the business cycle we are looking to confirm that at each stage there will be an evidence based approach, and to create a transparent process to both setting the priorities and the accountability for delivery within the wider HMPPS strategic context.

Enablers

Our approach is designed to ensure that we make best use of the opportunities and permissions that delivering a sentence can provide, but this is not and cannot be the only activity that reduces offending.



Our new regional structure and leadership team is designed to champion and enable a whole-system response to desistance. Working collaboratively with colleagues within wider HMPPS, and in partnership with local system partners and commissioners, our leaders will seek to establish good community links that can help not only prevent reoffending and protect the public, but also enrich and empower individuals. This provision includes opportunity for specifically targeted provision, ranging from pre- and post-sentence support through to locally sourced mentoring and advocacy provision to those in most need.

Future provision in the regions may require investment and some of what we are seeking to buy may not currently exist but we will want to design and invest in provision to support these aims. Our ambition is to establish a Regional Outcomes and Innovation Fund as part of our delivery against the wider priorities for HMPPS, an intended outcome of which is to work with our HMPPS colleagues and with partners to create a more supportive environment for sentence delivery to occur in order to reduce reoffending.

4. National Probation Service delivery

This section sets out the role of the Probation Practitioner in the NPS and describes the functions of Sentence Management and giving advice to court.

4.1. The role of the Probation Practitioner: assess, protect and change

Within the wider HMPPS strategic context, with reference to the principle ‘enable people to be their best,’ the role of professional probation staff to assess, protect and change is central. In the future probation system, there is no change to the statutory framework within which this role operates. The elements of the role of Probation Practitioner defined in legislation remain the same. However, we want to better define the key skills, activities and behaviours which form the basis of the Probation Practitioner role and to properly emphasise the centrality of this in securing effective change with individuals. To enable probation staff to focus on this, we are making a clearer distinction between key functions of the Probation Practitioner role.

Within this, we recognise that the move for young people from Youth Offending Teams to adult probation services is characteristically a complex one requiring specific support to reduce the risk of reoffending and vulnerabilities predominantly presented.

Currently transition requirements for young people aged 17 and a half and over are detailed within the National Transition Protocol <https://www.gov.uk/government/publications/joint-national-protocol-for-transitions-in-england>. This is produced in collaboration between the NPS and Youth Justice Board (YJB) and will be reviewed in line with timescales for the new probation model. This summary has been prepared in advance of the full protocol review to enable existing Youth Offending Teams, NPS and CRC services to note status quo or, indeed, begin to plan for changes in 2021.

4.2. The role of the Probation Practitioner in assessment and public protection

The key elements include:

- ▲ Assessment of risk of harm (to others and to self) and risk of reoffending.
- ▲ Developing a plan with those under our supervision to identify how their areas of need are linked to a risk of reoffending and how those needs will be addressed. Where relevant, that will include a plan for how the risk of serious harm will be managed.
- ▲ Implementation and review of the plan.
- ▲ Risk management - decisions about restrictive activity, multi-agency liaison and enabling the individual to build their own motivation and capability to manage and reduce the risk they present.
- ▲ Enforcement.
- ▲ Maximising successful completion of the supervision period and enabling a smooth transition at the end of statutory contact.

4.3. The role of the Probation Practitioner in supporting change

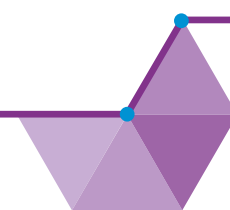
As part of the work being undertaken by the Workforce Reform Programme, we will review our current learning and development offer and use this as the basis to develop a new offer which supports the ongoing development of the skills and capacity that the probation workforce will need to operate successfully in our future probation system.

We will work to ensure a clearer focus on those key skills and behaviours that Probation Practitioners will need to demonstrate as they support an individual's journey to desistance. To do this effectively, consistent with the HMPPS principle 'open learning culture', Probation Practitioners will need an understanding of those theoretical models and approaches most effective in enabling individuals to undertake this journey and the range of skills to deploy in their one-to-one work. The key elements of this change work are likely to include:

(i) Build a trusting relationship to promote compliance, increase hope and sustain motivation.

To achieve this, the Probation Practitioner will:

- ▲ Build a positive, collaborative and trusting relationship that communicates respect and encourages self-respect.
- ▲ Express confidence in the individual's ability to give up crime and make different choices.
- ▲ Build motivation and a sense that they (the individual subject to probation services) have a role in managing their rehabilitation. The period of supervision should allow the individual to become an increasingly active participant.
- ▲ Be realistic that it can take time to change life-long patterns of behaviour and underlying problems, so expect relapses and don't give up hope.
- ▲ Recognise and reward efforts to give up crime and encourage and reinforce positive change.



(ii) Make decisions about interventions to meet need and manage risk dynamically, including amending these as circumstances change.

The Probation Practitioner should oversee the selection and sequencing of delivery of the rehabilitative interventions and:

- ▲ Use informal and individualised approaches to help an individual to identify goals and to work towards achieving these without harming others.
- ▲ Have the skills to amend their delivery to reflect the needs of the individual, which may be linked to maturity, gender, ethnicity, learning disability and challenges etc.
- ▲ Sequence interventions which prioritise the need to meet urgent, basic needs but also reflect the person's own capacity to change.
- ▲ Recognise and build on strengths and help individuals to achieve what is important to them.

(iii) Reinforce progress and new ways of thinking and behaving to support behavioural change.

The relationship between the Probation Practitioner and the individual provides opportunities to:

- ▲ Promote and reinforce effective learning from interventions and provide opportunities to practice new skills and reflect on this learning.
- ▲ Build social skills - the Probation Practitioner can support the individual both to build ties with family and friends but also, build links with a wider, pro-social network to support reintegration.

- ▲ Support the individual as they build up a new identity and seek to lead an offence-free lifestyle.

This work is highly-skilled, long term and iterative. We need to make a clear distinction between rehabilitative interventions provided by specialist providers designed to address key criminogenic needs or the needs of particular cohorts and the work delivered by Probation Practitioners which sees this relationship with the individuals they supervise as the principal means of supporting the journey to desistance.

4.4. Court advice and Sentence Management Summary

Assess:

Probation Practitioners provide quality assessments, using professional judgement to reflect the complexity of individual circumstances and consider all relevant information from partners.

Probation Practitioners in court will be trained, developed and competent to identify relevant risks and provide advocacy in the Court setting. Their assessment will balance risk, need, responsivity, rehabilitation and sentencing guidelines.

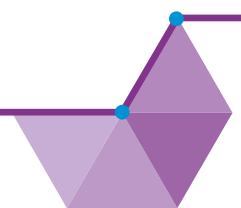
Community Sentence Management will be delivered through the NPS with timely allocation post sentence. Prompt allocation will support an early focus on individual needs.

Probation Practitioners in Court will provide an in-depth assessment of risk and need, building on the knowledge gained pre-sentence. They will develop with the individual a sentence plan which will focus on delivering justice through rehabilitation, managing and reducing harm and reducing reoffending.

Protect:

Probation Practitioners in Court will carry out their duties with victims and potential victims in mind. Their proposals will include restrictive controls where appropriate to safeguard victims. They will complete post sentence interviews to identify vulnerability and welfare needs and provide a robust and timely enforcement.

The Probation Practitioner will deliver the sentence of the Court, working to mitigate and manage risk of serious harm and of reoffending. They will ensure protective and restrictive requirements are in place and reviewed. The Probation Practitioner will ensure the delivery of justice and enforce the sentence to support the protection of victims.



Change:

Change: Through increased influence and confidence in court using their expert assessment and professional judgement, Probation Practitioners in court will identify and recommend a suitable and deliverable sentence to affect change. Advice to court will be independent and objective as defined in statute.

Where appropriate, they will actively promote community sentence options to increase the use of community requirements as the most effective solution to deliver behaviour change.

The Probation Practitioner will work to enable the long-term goal of individuals living positive, non-offending lives in the community. They will refer to available specialist services and experts to ensure sentence delivery meets those risks and needs identified in the sentence plan in a timely way.

They will build motivation and a sense that they (individual subject to probation services) have a role in managing their rehabilitation, using evidence-based approaches to problem solve, model positive relationships, identify and sequence rehabilitative interventions and promote and support effective learning from those interventions accessed.

Sentence Management is the core responsibility of the probation service and encompasses the effective delivery of the sentence of the Court, ensuring that those subject to community/suspended sentence orders, licence and post sentence supervision are properly supervised, requirements are delivered, offending related needs are identified, risks are managed and prompt enforcement action is taken after non-compliance.

In addition to its core duties of Court advice and Sentence Management, the NPS will retain responsibility for delivering some accredited and Structured Interventions that relate to specific cohorts of offending in the NPS caseload, namely sex offending, extremism and serious organised crime. We are not proposing to change responsibilities for delivery of these interventions at this point as the expertise in delivering them (and the relevant assessment tools etc) resides within the NPS.

Unifying Sentence Management within one organisation will reduce the complexity of the current system and ensure it is delivered in a more coherent and efficient manner. Our model will build on the improvements underway in CRCs and the NPS and aims to achieve:

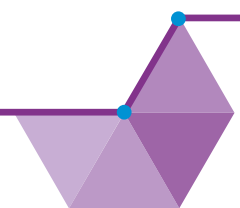
- ▲ Improved ICT Digital infrastructure for Court staff pre-sentence and for post Sentence Management.
- ▲ Improved assessment and Court reports proposing sentences and effective requirements to address identified risk and needs and reduce reoffending.
- ▲ An improved allocation process that is timely and supports an early focus on individuals' needs.
- ▲ Risk and needs assessments and sentence planning that fosters a collaborative method of engaging with individuals subject to probation services.
- ▲ Clearer requirements for frequency of face-to-face contact.
- ▲ Clearer requirements for home visits where there are child protection/ domestic abuse issues.

- ▲ Strengthened management oversight to support professional judgement and enforcement decisions to improve compliance and increase sentencer and public confidence.
- ▲ Increased flexibility to manage dynamic risk factors whilst ensuring continuity of Sentence Management.
- ▲ Probation Practitioners engaging expertise from other providers to reduce reoffending and harm.

In working with Her Majesty's Courts and Tribunals Service to reduce delays within the justice system, consistent with the wider aims of the Ministry of Justice, there will be challenges in the court setting. We will need to increase our influence and work with others in the court setting, including Her Majesty's Courts and Tribunals Service and sentencers, to identify how best to improve assessment and reports. Increased confidence in the advice given and reports presented to the court will support safer sentencing with requirements to address the identified risk and needs and reduce further reoffending, central to HMPPS responsibilities and to the Criminal Justice System's overall objectives.

The integration of Sentence Management staff from CRCs and the former NPS structure will reconstitute working relationships, establish a shared professional agenda and identify new organisational objectives consistent with the four strategic principles and wider plans for HMPPS as one Agency. The process will need to be managed carefully and sensitively but the benefits are expected to be an increase in the quality of Sentence Management, consistent use of interventions and activities known to be

“ Unifying Sentence Management within one organisation will reduce the complexity of the current system and ensure it is delivered in a more coherent and efficient manner.



effective and the potential for improved compliance and engagement, helping to restore sentence and public confidence.

A common understanding of the Probation Practitioner role is pivotal to the success of the approach. This requires strong leadership to foster the right culture change and staff training. In combination, these measures will help to ensure Probation Practitioners are fully enabled to refer and broker procured services, moving away from in-house delivery to the effective use of newly-procured provision.

5. Transforming through partnerships: innovation and working with partners to rehabilitate people

5.1. The role of the provider in the delivery of interventions

As outlined at Annex B, there is evidence that a combination of effective interventions and staff skills in engaging and motivating individuals subject to probation services can reduce reoffending. Therefore, it is important that Probation Practitioners are able to access specialist services that address specific criminogenic needs or the needs of particular cohorts.

As part of delivering against the strategic principle of ‘open learning culture,’ we are looking to supplement accredited programmes with interventions that address known rehabilitative and resettlement needs from a mix of provision pathways, including specialist NPS provision, Probation Delivery Partners, the Dynamic Framework, and other partners, including other Government Departments.

We intend to contract provision of rehabilitative and resettlement interventions for those with a Rehabilitation Activity Requirement and for those on Licence. These interventions will address areas of need either strongly associated with reoffending or which provide the stabilisation that an individual may need to focus on other issues.

The Probation Delivery Partner will form a significant part of probation service delivery with responsibility for Unpaid Work and Accredited Programmes. Additionally, we will include provision of Structured Interventions addressing the areas of emotional management, attitudes, thinking and behaviour (for cases not eligible for the accredited Thinking Skills Programme) and domestic abuse (for those not eligible for Building Better Relationships).

The introduction of the Dynamic Framework will allow the Regional Probation Directors to procure interventions which can be undertaken as the activity days of Rehabilitation Activity Requirements or for those on licence. Our caseload is diverse with over-representation of some groups within the system. We expect providers to evidence how they will meet the diverse needs of those handed both custodial or community sentences with characteristics protected under the Equality Act 2010. We have also taken into consideration priority areas under Welsh Government strategies.

5.2. Contracting and delivery of interventions

We want the future model to allow all potential providers of probation services, regardless of sector, to play their role in delivering probation services. We will look to the Regional Probation Directors to buy interventions from the market, with clearly defined roles for Probation Delivery Partners and providers of services through the Dynamic Framework. We are clear that we want to maintain a role for innovation, identifying and building on the best practice developed since the implementation of Transforming Rehabilitation, but we are also clear on the importance of setting out minimum expectations and delivery standards.

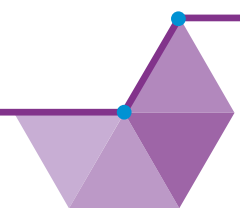
“ we want to maintain a role for innovation, identifying and building on the best practice developed since the implementation of Transforming Rehabilitation,

Partnership working is integral to our delivery and ensuring that our delivery is responsive to local needs and demands. Staff in the NPS, and our providers will work closely with our partners in the public, voluntary and private sectors as well as collaborating with our colleagues within HMPPS. We will also take opportunities to co-commission those services that are central to reducing reoffending with local partners such as Police and Crime Commissioners, local authorities and health commissioners.

5.3. The Dynamic Framework

The Dynamic Framework will enable the delivery interventions that meet rehabilitative needs not met by Accredited Programmes, treatment requirements, or Structured Interventions delivered by Probation Delivery Partners. Under the Dynamic Framework, potential providers will qualify for the Framework by need area, specifying in what geographies they can deliver. HMPPS will then run a series of call-off competitions, amongst those providers that have qualified, to procure priority services required from day-one (summer 2021) of the new model for probation. Some services procured via the Framework for day one will be accessible during the final stage of a prison sentence and following release. NPS regions will then be able to procure interventions, post-day-one, to fill gaps or extend service delivery. The Dynamic Framework will be available for use by other commissioners including, for example, prison governors and Police and Crime Commissioners.

Interventions and services available on the Dynamic Framework will often give tailored support to help individuals overcome barriers and sustain engagement with local services rather than directly provide them. An example could be to access suitable accommodation and to sustain this through support with independent living skills. The type and nature of these services will vary from area to area and needs to be commissioned in a way which is responsive to local and regional variation and requirements.



Rehabilitation and resettlement services via the Dynamic Framework Summary

Assess:

Probation Practitioners will be responsible for the assessments which identify the most pressing rehabilitative and resettlement needs and the appropriate interventions to address these. They will decide on the sequencing of the interventions and will respond to new information or changing circumstances which suggest that different interventions are needed.

Protect:

Probation Practitioners work pro-actively to protect current and potential victims. They will work with providers of interventions to ensure that the services delivered are responsive to specific issues identified in risk assessments and risk management plans.

Change:

Rehabilitative and resettlement interventions will be the primary vehicle through which Probation Practitioners access expert services for individuals to address offence-related issues. They will focus on work to build motivation and support structured work and the skills learned to progress towards a pro-social life.

Interventions and services commissioned by other government departments, their agencies or local delivery organisations, such as Mental Health Treatment Requirements, will also be supported by the Probation Practitioners to reinforce progress in behavioural change, sustain hope and maintain motivation. To secure the best outcomes for individuals, Probation Practitioners and service providers will work in partnership to share information, support individual change and deliver intended outcomes.

Rehabilitation services via the Dynamic Framework

Rehabilitation is a primary function of probation. Our design recognises that we need a collaborative and locally responsive approach to achieve sustained rehabilitative outcomes. We want to ensure that individuals receive well-designed and well-delivered interventions that maximise their chances of leading non-offending lives. We want the interventions and services to:

- ▲ Be **well-targeted** to address the areas of need either strongly associated with reoffending or which provide the stabilisation that individuals need.
- ▲ Include **tailored support** which recognises the diverse backgrounds and needs of individuals, delivered in a planned way to meet these needs and achieves outcomes.
- ▲ Involve **collaborative work with local partners**, including voluntary, community and social enterprise sector organisations, local authorities, and Police and Crime Commissioners to ensure individuals have the opportunity to access all available opportunities.
- ▲ Be delivered by a **diverse mixed market** of service providers, making the most of expertise from the public, private and voluntary, community and social enterprise sector.
- ▲ **Increase judicial and other stakeholder confidence**, in the interventions that will be available to those under Probation supervision.

We will specify the outcomes we want to be achieved through the rehabilitative interventions delivered under the Rehabilitation Activity Requirement and to people on licence, including post-sentence supervision. Our emphasis will be on demonstrating the progress made by each individual who is subject to probation services.

Whilst the interventions above will address many of the frequently occurring needs of the probation caseload, we believe that treatment requirements are the most appropriate intervention for those who are eligible. The Ministry of Justice, Department of Health and Social Care, NHS England and Public Health England have worked together to develop a new protocol to address the low numbers of treatment requirements and to improve access to mental health and substance misuse services for the individuals who need them.

We are committed to supporting this initiative and to maximising the use of Community Sentence Treatment Requirements (Mental Health, Alcohol and Drug Rehabilitation Requirements).

We want to ensure interventions dovetail with existing statutory and other locally-available provision. We need to ensure that services are delivered in a way which is easy to access and meet the priority needs within each region.

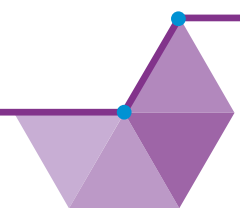


Table 1. The need areas for rehabilitation services and the desired outcomes

Needs	Outcomes
Accommodation	<ul style="list-style-type: none"> • Accommodation obtained/sustained • Homelessness prevented
Employment, training and education	<ul style="list-style-type: none"> • Suitable employment, training and education obtained and sustained • Barriers removed and skills increased
Finance, benefits and debt	<ul style="list-style-type: none"> • Stable and lawful income with reduced debt • Improved skills to manage finances
Family and significant others	<ul style="list-style-type: none"> • Safe and positive intimate relationships • Improved family relationships/parenting capacity
Lifestyle and associates	<ul style="list-style-type: none"> • Have pro-social support and interests • Negative associates have less influence
Emotional and personal well-being	<ul style="list-style-type: none"> • Improved coping skills and strategies • More able to comply with treatments/medication
Addictions and dependencies	<ul style="list-style-type: none"> • More able to manage high-risk situations. • Specialist support accessed
Mentoring/social inclusion	<ul style="list-style-type: none"> • Successful transition e.g. from custody to community • More able to manage challenging situations and to engage with services and other opportunities

5.4. Resettlement from custody into the community: the new model

Summary

Assess:

Probation Practitioners will complete robust assessments on all individuals entering and being released from prison on short sentences. Speedier assessment aims to ensure practical support is in place to sustain services (benefits, housing, jobs) for up to six months during prison sentences and re-instated on release.

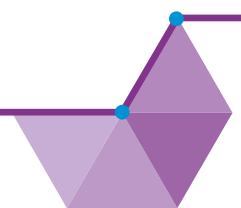
For longer prison sentences, custody-based Probation Practitioners working to the new Offender Management in Custody model will hand-over accountability for the individual subject to probation services (including assessments) seven to eight months pre-release to community Probation Practitioners. The clarity of assessment accountability means Probation Practitioners can ensure a single plan drives pre- and post-release planning to ensure the right protections and change interventions are in place at the right time.

Protect:

The key role of probation during pre-release is to maximise motivation, reduce risks of reoffending and protect the public, including victims.

The new resettlement model will:

- ▲ Identify and access the right services per person and do this in a timely way, before release.
- ▲ Ensure services are delivered in the right place and at right time.
- ▲ Build professional relationships with individuals before and after release so there is continuity of support and bridge between prison and community.
- ▲ Consider an individuals' risk, need, strengths and wider lifestyle circumstances for resettlement.
- ▲ Use the enhanced pre-release time to engage with the prison and other statutory agencies (safeguarding, Multi Agency Public Protection Arrangements, police, victim liaison) to ensure control and close monitoring is put in place, as required.



Change:

A core set of services will be provided in prisons in the future (advanced benefits claims, family services, health, and services that address needs around education, training and employment). Other services to promote rehabilitation, reparation, reintegration and social inclusion will be provided and delivered either through Probation Practitioners, regional co-commissioning arrangements between probation, prison and other local commissioners (Police and Crime Commissioners; Clinical Commissioning Groups), the Dynamic Framework and Probation Delivery Partners.

This mix of provision and providers, which supports resettlement and use of release on temporary licence for change work will offer a local package of interventions designed to improve the outcomes for those leaving prison.

The model reflects the need and opportunity to work in collaboration with our prison colleagues to deliver the best outcomes. The resettlement model will strengthen integration between prisons and probation in the community, learning from the current through-the-gate approach to ensure that the model is scalable while also agile enough to adjust to changes across the whole system and give us a more effective and efficient way to deliver resettlement.

“ The resettlement model will strengthen integration between prisons and probation in the community,

We are developing our approach to resettlement alongside Offender Management in Custody - which is intended to improve safety, reducing the likelihood of self-harm and violence in prisons, by establishing better relationships between staff and individuals. Key to this is

the allocation of a Probation Practitioner in the community at a consistent point pre-release so that there can be a greater focus on preparing the individual for resettlement and addressing any barriers they may have to successful reintegration into the community. This will allow Prison Offender Managers and keyworkers who are part of the Offender Management in Custody structure to be able to better respond to individual need.

The new Probation model has provided the opportunity to integrate through-the-gate roles, processes and products with Sentence Management, aligning delivery to an individual's presenting risk. The model enhances one-to-one tailored support to individuals while in prison, enabling safer, better-planned, transparent, measurable and sequenced approaches for all those released from prison. It also provides the following opportunities:

- ▲ Removing duplication of roles and tasks between through-the-gate and Sentence Management in prison and community.

- ▲ Enhancing pre-release planning by Probation Practitioners in the community from 12 weeks to around seven and a half months.
- ▲ Providing through-the-gate - not to-the-gate - by adjusting our approach to reach-in - to prepare for when individuals come out.
- ▲ Tailoring services to individual needs, taking into account the impact of transition from the highly structured prison environment to the community.
- ▲ Investing in place-based services post release in the locations where individuals are released to - not just where the prison is based.
- ▲ Providing a single accountable person with a single sentence plan to oversee and coordinate all services pre- and post-release from prison into the community.
- ▲ Strategically aligned to fit and sustain new prison and probation arrangements, in the future.

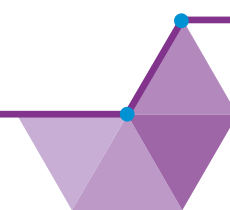
The transition from enhanced through-the-gate to the resettlement model will involve a cultural change within probation to raise the priority of resettlement work. The community Probation Practitioner will be responsible for pre-release activities included identification of need within a pre-release assessment and co-ordination of resettlement interventions.

Preparation for release is a core part of Probation work. It requires an understanding of the challenges of transition from prison to community. Those interventions available via the Dynamic Framework will ensure support for individuals to resettle and integrate into the community. This will require community

Probation Practitioners to broker services early on rather than undertake the activities themselves. The experience of the current NPS use of the rate card suggests that there will need for significant change in practitioner behaviour to support increased use of procured services.

A core aim of the resettlement model is to provide increased 'grip' on short term sentences. Individuals within this cohort pose a specific challenge with limited time available, particularly during the custodial phase, to effect a real change. The focus will be on sustaining engagement with any existing community services and starting the process of referring into community-based services as early as possible to shorten the gap between release and services being in place.

In 2018, the Ministry of Justice announced additional investment of £22m per annum to further stabilise and improve through-the-gate delivery through an enhanced through-the-gate specification delivered by CRCs in prisons. These arrangements have been in place since 1st April 2019 and will run until new arrangements go live.



5.5. Probation Delivery Partner

To support our vision of a mixed market that draws on the best services from all sectors, we are running a competition to test ideas from the market for delivering Unpaid Work, Accredited Programmes and certain interventions. Subject to the outcome of the tender exercise, this will ensure there is a Probation Delivery Partner in each region to deliver Unpaid Work, Accredited Programmes (except those reserved to the NPS) and Structured Interventions in the three core areas of emotional management, domestic abuse and attitudes, and thinking and behaviour. Accredited Programmes are the intervention of choice for HMPPS, given it is supported by a robust evidence base.

The core principles for the relationship between HMPPS and the Probation Delivery Partner will be:

- ▲ Aligned vision, culture and behaviours that support a rehabilitative culture.
- ▲ A commitment to work with and across multiple agencies and delivery partners.
- ▲ A true partnership ethos, with a joint vision and joint working to address any issues encountered by either party.
- ▲ Respect by the partners for the individual needs and accountabilities of each party.
- ▲ A clear focus on evidence informed practice, innovation and continuous improvement in service delivery, consistent with the HMPPS strategic principle 'open learning culture'.

HMPPS will place contractual requirements on Probation Delivery Partners with respect to how they deliver specific elements of delivery and they will also be required to evidence innovation and development of best practice in their delivery. The NPS will also be held to account for delivery across the critical interface with the Probation Delivery Partner. This will include their capability to design and test new Structured Interventions with the potential to put these forward for accreditation.

“ HMPPS will place contractual requirements on Probation Delivery Partners with respect to how they deliver specific elements of delivery and they will also be required to evidence innovation and development of best practice

To ensure effective integration of services and clear accountability for delivery, we will create (with respect to Probation Delivery Partners) geographical contracted lots which will be coterminus with NPS regions. We will design the contracts flexibly so that innovative approaches that show results can be quickly identified and spread across the wider system.

Unpaid Work via the Probation Delivery Partner - Summary

Assess:

The Probation Practitioner will complete a comprehensive risk and needs assessment at the start of the sentence. This helps allocate work placement by the Probation Delivery Partner to best manage risk whilst providing opportunities to address needs.

Research suggests that this approach helps to address needs and is also likely to optimise compliance and opportunities for rehabilitation during the sentence.

Protect:

Unpaid Work provides opportunity for both reparation and punishment, enabling the public to see benefits delivered in the local community as well as justice being done.

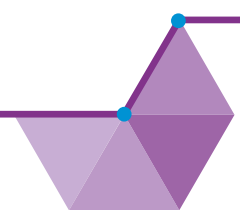
We deliver justice and public protection by requiring sentenced individuals to work for the benefit of their local community in placements managed by suitably trained staff.

Improvements in Unpaid Work placements for individuals who pose a high risk of harm and those convicted of sexual offences ensures more effective overall management of risk in the community during sentence delivery.

Change:

Unpaid Work supports the rehabilitative aspects of a community based order through developing work-ready skills, including good timekeeping and working cooperatively with others.

The revised delivery model further increases opportunities to develop vocational skills. There will be increased opportunity for those eligible to benefit from up to 20% of their Unpaid Work hours being served in a work related educational or training capacity.



Accredited Programmes via the Probation Delivery Partner - Summary

Assess:

We will assess every convicted individual's eligibility and suitability at court, prior to sentence or release on licence, for an Accredited Programme. Once sentenced, a further assessment by the Probation Practitioner will ensure the individual is programme ready before referral to the Probation Delivery Partner to deliver the Accredited Programme in the community.

The progress of individuals on an Accredited Programme will be monitored by both the Probation Delivery Partner and Probation Practitioner. On completion of an Accredited Programme, where the programme manual specifies, a post-programme report, post-programme review and meeting will summarise the individual's development of skills, highlighting further areas of work for the Probation Practitioner to focus on during the remainder of the sentence.

Protect:

Accredited Programmes are designed to address offending behaviour by teaching participants new skills and insights to challenge their thinking and behaviour linked to offending.

By improving skills and building on those insights, individuals are better equipped to manage their behaviours. This helps reduce the risk of future harm, thus protecting future victims. Public Protection is the highest priority of the NPS and a core outcome from our HMPPS business strategy. Accredited Programmes are evidence informed approaches which are independently judged by the Correctional Services Advice and Accreditation Panel.

Change:

Accredited Programmes can help individuals to recognise their risks, self-manage and turn their lives around. Robust international evidence and outcome evaluation of HMPPS Accredited programmes demonstrates that matching the right people to the right programme is critical for achieving positive outcomes and supporting change.

By challenging pro-criminal attitudes and behaviours, Accredited Programmes address offending behaviour and equip the individual with the ongoing support of their Probation Practitioner to build safer and less harmful lives in the community.

Probation Delivery Partners will be contracted to deliver the Thinking Skills Programme and Building Better Relationships Programme in all regions. A number of other Accredited Programmes addressing other needs such as Resolve and Building Skills for Recovery, are currently being delivered in some contract package areas. Where these programmes are currently being delivered, we will expect Probation Delivery Partners to continue to deliver them in those locations only.

We want to ensure that the right suite of Accredited Programmes are available at sufficient frequency and in locations to meet the risk and need of the probation caseload.

In the future, additional Accredited Programmes may be commissioned by the Regional Probation Director based on regional need and decommissioned if need/demand decreases. (Accredited Programmes for those convicted of sexual offences and extremism-related offences will remain the responsibility of the NPS).

Structured Interventions via the Probation Delivery Partner - Summary

Assess:

Good quality assessments ensure that individuals attend the Structured Interventions that best meets their need.

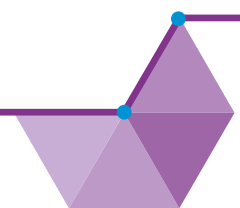
A further assessment by the Probation Practitioner will ensure that Structured Interventions are sequenced correctly to maximise the rehabilitative outcomes.

Through ongoing assessments of the individual, the Probation Practitioner can be more responsive to any changes in risks or needs and then refer the individual to the most suitable Structured Intervention available, assuming enough Rehabilitation Activity Requirement days are left on the order or time left on the licence or post-sentence supervision.

Protect:

By challenging risks and addressing needs, these Structured Interventions will help protect the public and future victims including individuals subject to probation services and their families through a reduction in reoffending.

Through the use of Structured Interventions, Probation Practitioners are able to work flexibly with individuals to address emerging risks or needs as they arise during an Order, licence or post-sentence supervision, enabling a more dynamic and responsive approach in protecting the public.



Change:

The Probation Practitioner can support a positive change in an individual subject to probation services by selecting the most suitable Structured Intervention available when it is needed during an Order, licence or post-sentence supervision.

By changing attitudes and beliefs linked to offending and addressing other rehabilitative needs, a Structured Intervention can help individuals change their lives around to lead a non-offending lifestyle.

Referral will take place following a full assessment and completion of a sentence plan and may reflect the need to sequence a range of activities throughout the sentence. The referral will be transmitted electronically to the Probation Delivery Partner either through the Authority System or via secure email.

6. Interfaces between NPS and providers

We need to ensure that we have the right processes in place to enable effective working between the NPS and the outsourced interventions. This will need to support an individual's journey from court, all the way through management of the individual in the NPS, and any delivery of interventions either through the Dynamic Framework and/or the Probation Delivery Partner, as well as other Government Departments and wider local intervention provision.

To ensure both the NPS and the new Probation Delivery Partner have a strong working relationship, the dependencies on which both will rely are set out clearly in the contract arrangement. The service level agreements, the revised version of national standards, the data waiver process and the provision of a clear escalation process should any issues arise will provide confidence for both parties and a means for clarifying any areas of contractual ambiguity.

We have currently identified three key areas for review and development in relation to processes, skills and capability and digital requirements to facilitate the commissioning model in the new probation system. These are set out in Figure 6, below, and are:

(i) Understanding demand to identify service requirements

Within each region we need to have processes in place to understand demand to inform future commissioning requirements and manage services.

Data will be a crucial requirement for successful regional delivery of the new commissioning arrangements. We will review data requirements and data flows and ensure we have the right data to support regional strategies and delivery as well as the capability for analysis to meet local needs.

There has been increased focus on improving data accuracy and work is underway to identify the most effective levels of assurance and streamline this across both in-house and outsourced delivery³. We want to get the balance right between providing national consistency through governance and structure, and allowing sufficient flexibility for tailoring to meet local specific needs and challenges.

We are keen to ensure that key information is shared with the right people at the right time. We are, therefore, reviewing processes between national and regional functions that will enable all relevant staff to make best use of the data collected, and increasingly build on the intelligence to inform commissioning intentions and performance activity.

(ii) Access to services

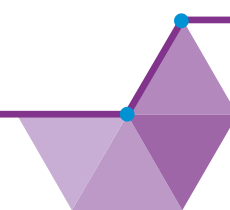
We want probation staff to know what services are available locally and have a robust process in place to support them accessing these. Reflecting an agency-wide strategic commitment to modernising our estates and technology, we plan to develop a digital service catalogue, which will allow Probation Practitioners (both in court and in the local delivery units) to have current information on services available, both from the Dynamic Framework and the Probation Delivery Partner, and where possible services that can be freely accessed locally or co-commissioned through other pathways.

We will be reviewing referral processes and feedback mechanisms on progress and updating these to ensure they avoid duplication and are accessible. This will allow the Probation Practitioner to spend more time with the individual subject to probation services rather than on administrative processes to support and monitor the referral. We will assess who is best placed to manage and coordinate referrals and whether dedicated resourcing is required to support them. We want to make best use of digital mechanisms to support communication between Probation Practitioners and outsourced providers to ensure the right information (need, risk, etc) is shared securely at the right time to enable meaningful intervention delivery and effective Sentence Management, consistent with a HMPPS strategic outcome, 'high quality Sentence Management.'

(iii) Commission and contract management of the service

We will need to ensure that regions are structured with the skills and capability to support the new commissioning requirements as part of the Dynamic Framework. Contract management capability will also be embedded within the regions and will manage the contracts for the Dynamic Framework and the Probation Delivery Partner for that region. As part of developing this area of work we will ensure that the staff and processes support the new contract requirements and have sufficient capacity to cater for the number of contracts with differing levels of value.

³Our assurance approach will be informed by the 'three lines of defence' model for assurance which is the industry standard approach for designing assurance arrangements. The first line of defence is provided by HMPPS Contract Management and by the NPS line management function which manages the day to day oversight of each NPS division, the second by the Operational and System Assurance Group, which provides internal HMPPS assurance and the third line is provided by HMIP through their independent inspections.



Commissioning and contract management staff will need to work closely with the regional Performance and Quality teams to ensure that the data we have is supporting effective working with outsourced providers.

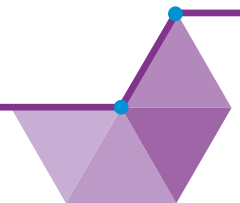
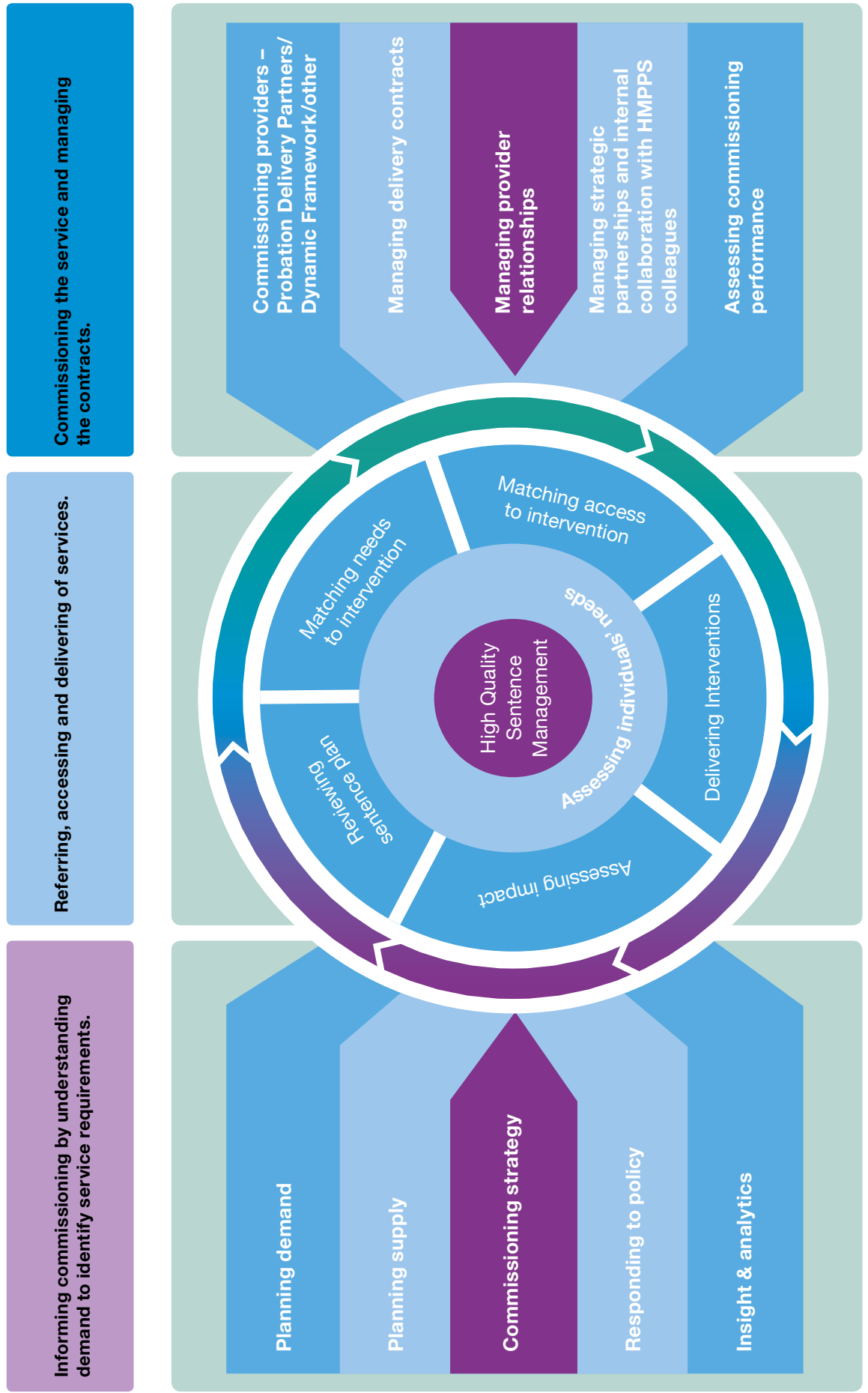
Our intention is that wherever possible we will look to embed new processes within current planned structures and, where additional skills, capability and capacity is required, we will embed this within the regional structures that are being developed.

We will also be reviewing the role supporting functions play within HMPPS and the Ministry of Justice and how these align with the requirements within the regions in the new model to understand roles and responsibilities, where activities best sit (nationally or regionally) and ensure alignment and streamlining of activity across the system.

We are committed to improving user experience for Probation Delivery Partners and Dynamic Framework providers through this work. We are keen to reduce the administrative burden on providers, facilitate compliance with contractual agreements, and understand what processes, systems and interfaces are best placed to enable providers to share relevant information with the NPS at the right point in time.

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Figure 7. The three key areas for review and development to enable the commissioning models to work



7. Enabling people to be their best: workforce management and professional recognition

7.1. People, organisation and key roles

Consistent with a HMPPS strategic outcome, 'diverse, skilled and valued workforce', we are committed to ensuring those working within probation services are recognised and valued for the specialist and skilled roles that they carry out

and to providing the right support to the Probation workforce to allow for the development of cutting-edge practice in order to have the biggest impact on the lives of individuals, victims and the public.

“ we are committed to ensuring those working within probation services are recognised and valued for the specialist and skilled roles that they carry out

We will develop practice standards and expectations for our workforce, so that they are aware of the expectations incumbent upon them, and develop a register for Probation Practitioners using existing levers.

We will review the existing learning and development offer for staff working in probation, and take steps to ensure that all our people have access to world-class, evidence-based professional learning and development opportunities, and the time and support to access them and apply their learning to effective management of individuals in the community. Our enhanced learning offer will support and enable wider reform by ensuring our people have

access to relevant, evidence based and ever-evolving development opportunities, allowing them to rapidly adapt to the new expectations developed as part of the unified model.

We will explore how to enhance entry routes into the Probation Service, and develop clear and transparent career pathways, ensuring that those who progress are provided with appropriate and world-class training and support to excel as they progress.

We will introduce new regional leadership structures and capabilities to support a smooth transition for staff and drive up standards, and continue to work with Trade Unions to introduce new pay arrangements for staff.

This work will not only help buoy our people through recognition that they are valued for the challenging and specialist work that they do, but will also ensure that we are able to embed best practice standards, backed up with a world-class learning and development offer to support our staff to continue their professional development throughout their careers.

8. Equalities and individuals subject to probation services: cohorts and protected characteristics

There are nine protected characteristics that fall within the Equality Act 2010: sex, race, disability, age, sexual orientation, religion or belief, gender reassignment, marriage and civil partnership, pregnancy and maternity. We are committed to working with stakeholders to consider the impact of the future system on individuals with protected characteristics.

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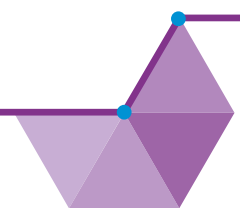
As part of the service design process, we have undertaken cohort-specific scoping exercises, including: for Black and Asian individuals and individuals of other minority ethnic groups; women; older and young adult offenders; Foreign National Offenders; LGBTQ+ offenders and offenders with disabilities. Scoping exercises have included discussions with internal and external stakeholders such as voluntary, community and social enterprise sector groups. These have aimed to understand the specific needs of each cohort and the likely impact of our plans on each group.

Our focus on the diversity of the probation cohort in our service design is intended to ensure that future probation arrangements are an improvement on current arrangements. Where the Government has already made commitments to specific cohorts, for example, women or black and Asian people and people in other minority ethnic groups, we will seek to build these into the design of new arrangements, whether this is through direct or contracted service provision, working to ensure that interventions delivered in the community are tailored to a diverse cohort of individuals and their experiences and needs to maximise their relevance and value.

Consistent with the proactive spirit of the Public-Sector Equality Duty, we have identified a number of opportunities to improve service delivery and address risks of disproportionate impact, and discussed the merits of taking these forward.

Each Regional Probation Director will be responsible for meeting the Public Sector Equality Duty and delivering the relevant recommendations of the Lammy Review and the Female Offender Strategy. Each region will have a dedicated Equalities Manager.

We recognise that a greater proportion of Black and Asian people and people of other minority ethnic groups receive custodial sentences, with these groups markedly over-represented in the custodial population. They also receive a disproportionately high referral rate of Unpaid Work and a disproportionately low referral rate for Accredited Programmes. We will actively build in safeguards to ensure the advice we give sentencers in no way reflects biased or negative stereotypes associated with an individual's ethnic background.



Key probation processes, for example completions of Unpaid Work and Accredited Programme completions must be monitored for racial disparity, and those outcomes must be analysed and made public wherever possible. Probation providers must sign up to the principle introduced by the Lammy Review to explain or reform.

Similarly, we are committed to addressing the issues relevant to female offending. It is vital that we do so to better protect the public and deliver more effective rehabilitation. In June 2018, the Ministry of Justice published its Female Offenders Strategy which set out a vision and plan to improve outcomes for women in the community and custody. This vision is to see fewer women coming into the criminal justice system, a greater proportion managed successfully in the community, and better conditions for those in custody.

As announced in the Female Offenders Strategy, an investment of £5 million has been made to support community provision for women subject to probation services and women at risk of offending. We will continue to consider how to build on current good practice and incorporate these principles into future delivery arrangements and guidance over the coming months.

In the future model, we are working to ensure that there is resource allocated for female offenders to receive fuller pre-sentence reports to ensure that they more effectively address a woman's full range of risks and needs and propose credible community sentences in appropriate cases.

We are also developing the new case allocation criteria and tiering framework, which will better reflect the risk, needs and responsiveness of cases and match those with the skills and experience of the Probation Practitioner. As part of this, we are also considering the options for female offenders in the tiering framework.

For other groups, such as those with learning disabilities or low maturity, we will establish more consistent assessment of need via screening and health assessment tools. For example, to further support individuals with low maturity, Responsible Officers will be required to complete a pre-release OASys assessment, which includes a Maturity Screening Tool. The results of this assessment should help determine the interventions applied to any individual in this cohort, including extending the support structures of the Youth Justice System for offenders over the age of 18 who are judged to have low levels of maturity.

For individuals who have offended repeatedly, we will ensure continued investment and engagement in local Integrated Offender Management schemes. We will make resettlement services available to all foreign nationals serving custodial sentences in the UK.

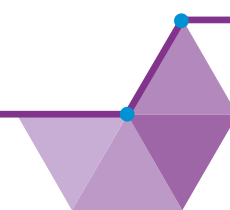
We will ensure that the future of services is built upon on the best, evidence-based practice for these groups as part of HMPPS developing an open, learning culture. There is still work ongoing to develop design thinking. Our design commitments so far include:

- ▲ Rigorous data collection, monitoring and analysis to understand and to explain or reform any disparity in outcome. This includes resource to support the completion of a Probation Equalities Monitoring Tool being developed by the HMPPS Diversity and Inclusion Team, which will enable the comparison of outcomes for different protected characteristic cohorts within the probation system, as well as a segmentation tool which will allow us to better understand the rehabilitation needs and characteristics of different groups.
- ▲ Developing our learning and development offer to ensure staff have the opportunity to develop the skills required for working with specific cohorts, such as women and young people.
- ▲ Additional resource to support an increase in fuller pre-sentence reports for women and for black and Asian people and people in other minority ethnic groups and to ensure report writers provide clear, unbiased advice.
- ▲ A procurement approach which requires providers to set out equalities commitments as part of the bidding process and, where possible, includes these commitments within contracts.
- ▲ A Dynamic Framework designed to allow rehabilitative and resettlement interventions to be commissioned separately for different cohorts of individuals, including protected characteristic groups.
- ▲ Culturally competent practice and service design which is inclusive and takes into account the realities and impact of discrimination. This will embrace the commitment within the HMPPS Equality Strategy that all new services have an explicit focus on equality in their design.
- ▲ A supply chain which includes the voluntary, community and specialist sector where they have experience or expertise in providing services to minority groups in the justice system, such as the third sector women's centres, especially when under supervision in the community.
- ▲ Improved governance, leadership and scrutiny, including senior leaders with explicit responsibility for working to advance equality.

9. Modernising our technology and digital services

Staff should be supported by the right systems to deliver their responsibilities effectively and to be able to inform their practice with access to accurate data supporting continuous learning. This reflects the wider HMPPS focus on modernising our estates and technology.

NPS systems are in need of upgrading as the current applications do not meet the needs of users and require front-line staff to spend a large proportion of their time on basic administrative tasks, rather than adding real value as probation professionals. Further, there are fundamental gaps in our data, resulting in a lack of intelligence across the system,



and a relatively sparse and static evidence base (what works, and for whom?).

Simplified business processes and accompanying digital services delivering efficiencies are necessary. In building new digital services, we will be able to connect data, and use it to inform decisions, resulting in better outcomes for society.

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Via digital transformation, we will design our digital services and architecture to collect the right set of data, make it less onerous to collect, stop bad data getting in, and make it easier to connect and analyse. We can then use the latest data science and artificial intelligence techniques to generate insight (and evidence) in near-real time, share this with front-line users at the point of case-level decision, and apply to future strategy and policy decisions.

Embedding this data and insight into the day-to-day routines of Probation Practitioners and shared appropriately with colleagues in HMPPS (for example when an individual enters custody) would transform the way we make decisions in Probation, the efficiency and effectiveness of our system, and our ability to apply our evidence base in practice.

Further, we will put technologies in place so that new insights can be introduced to existing digital services. Where these insights take the form of improvements to

existing processes - for example, more effective algorithms for identifying offenders who require additional support - we will manage the business change cycle to ensure a rapid and smooth transition to the new process. Incremental improvement should be routine, rather than an occasional, disruptive event.

A seamless view of the individual through their sentence and rehabilitative journey will be at the heart of the Digital and Data Service Strategy for probation, joining up data, needs and risks from custody through to outcomes. Over the next 10 years we need to transform our service delivery, effectively managing the sentence at court and in the community while obtaining and securely accessing, in real-time, a single, standardised, comprehensive repository of structured data on interventions and services. By controlling the interventions data through a central database, we can provide a consistent foundation for all connected systems and processes. We can also leverage the insights gained through captured performance data and use this to drive more intelligence in our choice of interventions.

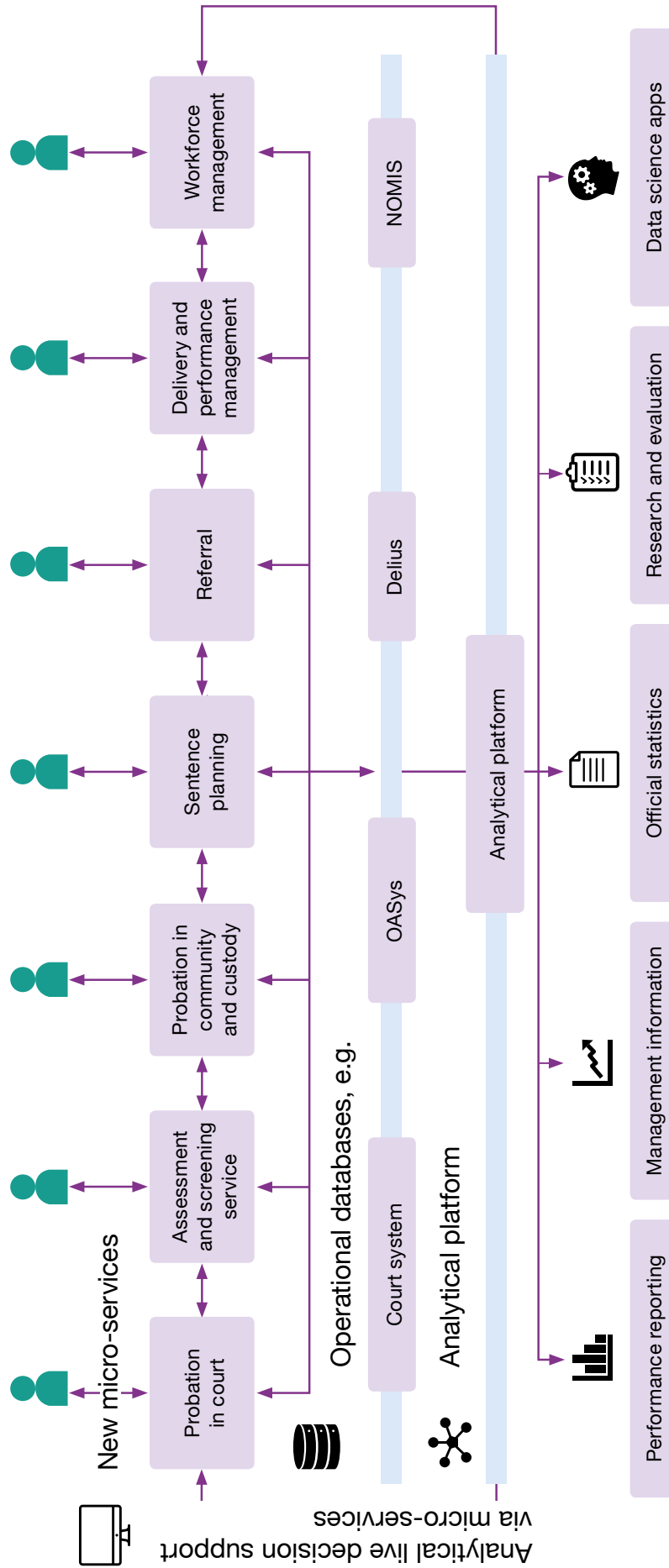
This Digital and Data Service Strategy has been developed to deliver the technology enablers for the Target Operating Model and key policy requirements ready for day-one of the new model, but in a future-proof way in which each development is part of this bigger, strategic picture: an end-to-end offer that also addresses user experience and delivers our data and evidence strategy.

Figure 8 (overleaf) provides an illustration of how new digital services and the MoJ's analytical platform will enable future data flows in the new probation system.

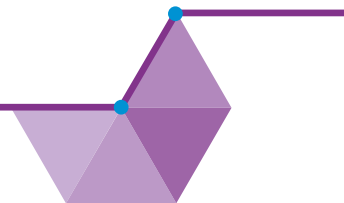
Figure 8. An overview of the digital services and where in the probation system they are employed

Digital service view

Future data flows



Analytical live decision support via micro-services



10. Modernising our estate

With reference to the HMPPS strategic principle, modernise our estates and technology, our estates strategy aims to deliver a sustainable long-term estates platform for probation services which meets our overall public protection and rehabilitation duties, whilst ensuring good value for money. It is specifically designed to:

- ▲ Support the delivery of the core functions of Sentence Management, Unpaid Work, Accredited Programmes, protecting the public and delivering the orders of the Court to an acceptable level of service by improving the quality of our properties when new properties are designed and fit out works undertaken.
- ▲ Support our workforce ambitions by enhancing our ability to recruit and retain staff by offering a quality working environment that enables a smarter working culture.
- ▲ Deliver an estate that provides the opportunity to enhance the quality of relationships between individuals subject to probation services and Probation Practitioners.

“ Our estates strategy aims to deliver a sustainable long-term estates platform for probation services which meets our overall public protection and rehabilitation duties, whilst ensuring good value for money.

- ▲ Where possible, encourage (through the design of our estate) collaboration with devolved authorities, including Police and Crime Commissioners, and delivery partners.

In the development of our future estates strategy, our aims are for an estate that:

- ▲ Where possible, supports better integration and partnerships with NPS and other local justice partners.
- ▲ Is geographically located to provide reasonable travel time for individuals to access services and to encourage compliance. This travel time will need to be locally determined, subject to local transport networks and other logistical influencers. An individual should not be expected to travel more than 90 minutes (one way).
- ▲ Provides for appropriate confidential space for interactions with individuals subject to probation services, and adequate group space or training rooms for the delivery of interventions.
- ▲ Is safe and accessible for all staff and individuals, subject to probation services but risk appropriate.
- ▲ Provides value for money and efficiency.
- ▲ Has fair, consistent and effective mechanisms in place for charging where there is shared space within the estate.
- ▲ Is environmentally sustainable as specified under the Greening Government Commitments Policy.
- ▲ Provides access for the diverse needs of individuals subject to probation services and staff in accordance with the Equality Act 2010 and the nine protected characteristics.

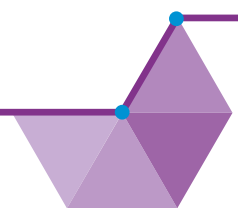
11. Performance framework

To ensure an effective probation, a new performance framework will support three key areas:

- ▲ Rebalancing the focus from processes to quality delivery by introducing new quality measures and strengthening provider quality assurance.
- ▲ Understanding outcomes by capturing outputs and outcomes over which providers have an element of control and for which there is evidence of a link with reduced reoffending.
- ▲ Promoting confidence in probation delivery by holding the NPS and contracted providers to account on sentence delivery, enforcement and protecting the public.

The performance framework for the future system creates the incentives to drive improved performance across the NPS and contracted providers. Key targets for HMPPS will provide visibility on whether it is achieving its overall goals.

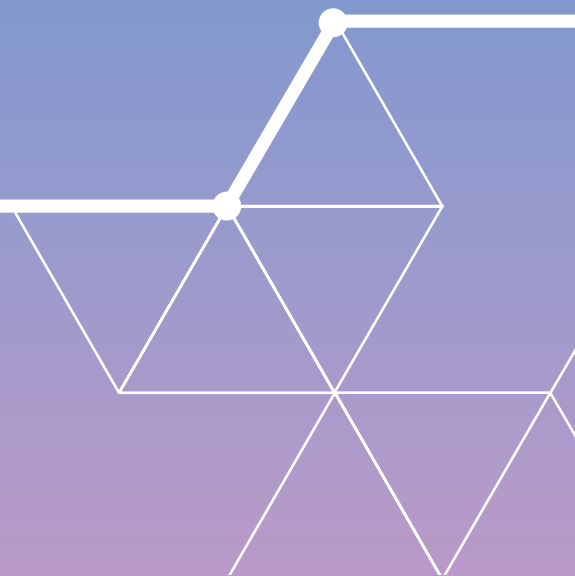
“ The performance framework for the future system creates the incentives to drive improved performance across the NPS and contracted providers.





Chapter 3

Draft Target
Operating Model:
further detail

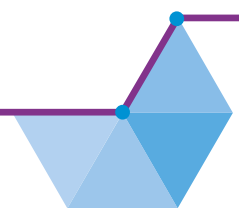


Draft Target Operating Model: further detail

This chapter expands on the draft Target Operating Model set out in Chapter 2 and details how some of the specific services will operate in the future, and how they will be enabled.

The sections within this chapter are as follows:

- ▲ **Delivery of Sentence Management**, including the new HMPPS business structure and NPS delivery, including all sentence management activities.
- ▲ **Transforming through partnerships: innovation and working with partners to rehabilitate people**, including the Dynamic Framework; Probation Delivery Partners; Interfaces between the NPS and providers; Rehabilitative services, and Resettlement from prison to the community.
- ▲ **Enabling people to be their best: workforce management and professional recognition**: Recognising probation work as a profession; setting qualification requirements and practice standards; accountability and management of performance; evidence-based professional learning and development; entry routes into the profession, and career pathways.
- ▲ **Modernising our estate**: Our estates strategy and how it supports a sustainable, long-term estates platform for probation services.
- ▲ **Modernising our technology and digital services**: The right systems to deliver and inform delivery; access to data to support continuous learning; the needs of users and front-line staff.
- ▲ **Performance framework**: New quality measures and assurance.



1. Delivery of Sentence Management

1.1. The regions: responsibilities, accountabilities and commissioning

Design rationale

The current probation structures have created a complex delivery and management environment, with responsibilities for Sentence Management in any given area divided between CRCs and the NPS. The NPS, which is split into seven Divisions, is responsible for high risk individuals, whilst CRCs, which are owned by seven parent companies and split into 21 contract package areas, are responsible for low and medium risk individuals.

Furthermore, the geographical footprints of the NPS Divisions and CRCs are not aligned. For example, the North East NPS division works in the same areas as five CRCs owned by three different parent companies, each with their own operating model. That means there is no clear leadership and accountability for probation in any given area.

Our future delivery structure and management model will:

- ▲ Strengthen strategic leadership.
- ▲ Create clearer accountabilities.
- ▲ Simplify delivery.
- ▲ Improve system and local integration.
- ▲ Increase efficiency.

How it will work

Regional structure

The future delivery structures will be built around 12 probation regions, with a mix of public, private and voluntary sector provision structured around these regions. The new regions' boundaries will not cut across police force or local authority area boundaries.

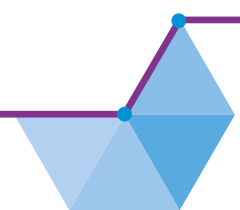
The NPS will be reorganised from seven divisions to 12 regions, with a Probation Delivery Partner in each region. Dynamic Framework contracts will be aligned within these regions, and competed for across smaller areas, such as police force area or local authority.

Electronic monitoring will continue to be delivered as a national service across England and Wales, but we will appoint an electronic monitoring champion at a senior management level to ensure that issues within the region are brought to the attention of the responsible HQ group and to champion consistent, creative and effective use of electronic monitoring within the region.

Responsibilities and accountabilities

In England, each region will be overseen by an HMPPS Regional Probation Director. They will provide strategic leadership consistent with the overarching HMPPS strategic direction and be responsible for the overall delivery and commissioning of probation services. Their key responsibilities will include:

- ▲ Setting regional strategy, ensuring this takes appropriate account of different priorities at a sub-regional level and conforms to the HMPPS business strategy. Using the evidence-base on effectiveness and local need to help delivery.
- ▲ Line managing NPS operational leaders, ensuring that business plan expectations are met and that consistent and effective professional standards are maintained.
- ▲ Managing the regional contract(s) to deliver service outcomes and value for money.
- ▲ Ensuring that there are appropriate levels of contract management and that service quality and contract compliance issues are addressed, applying contract remedies and improvement processes where necessary.
- ▲ Promoting effective partnership between public, private and voluntary-sector providers. Identifying common needs between the providers, driving integrated delivery and promoting the pursuit of joint delivery solutions where appropriate.
- ▲ Driving and embedding a culture of continuous improvement to protect the public, reduce reoffending and build safer communities, consistent with an open learning culture.
- ▲ Advocating for all probation providers within the region, building external confidence in probation and ensuring that it has a single, influential voice.
- ▲ Working in partnership with Criminal Justice partners across the region, driving cross-criminal justice system strategic alignment (with particular reference to statutory police and crime plans developed by Police and Crime Commissioners). Attending regular partnership forums with key delivery partners and local stakeholders, including regional co-commissioning meetings with Police and Crime Commissioners.
- ▲ Working with other strategic partners, fulfilling statutory partnership duties and maximising opportunities for joint approaches to shared objectives. Ensuring the supply and use of transparent data to support effective decision making.
- ▲ Supporting national strategy for probation and providing professional support and advice to the Director of Probation.
- ▲ Leading at a national level on aspects of strategy, service specifications or particular segments of the population of individuals subject to probation services.
- ▲ Working with colleagues in HMPPS on driving an integrated system for Sentence Management and in the Ministry of Justice to align with wider departmental work such as improving outcomes for women subject to probation services.



In Wales, the HMPPS Deputy Director role (as the equivalent role to the Regional Probation Directors) already has responsibility for all probation services in Wales and this will remain unchanged.

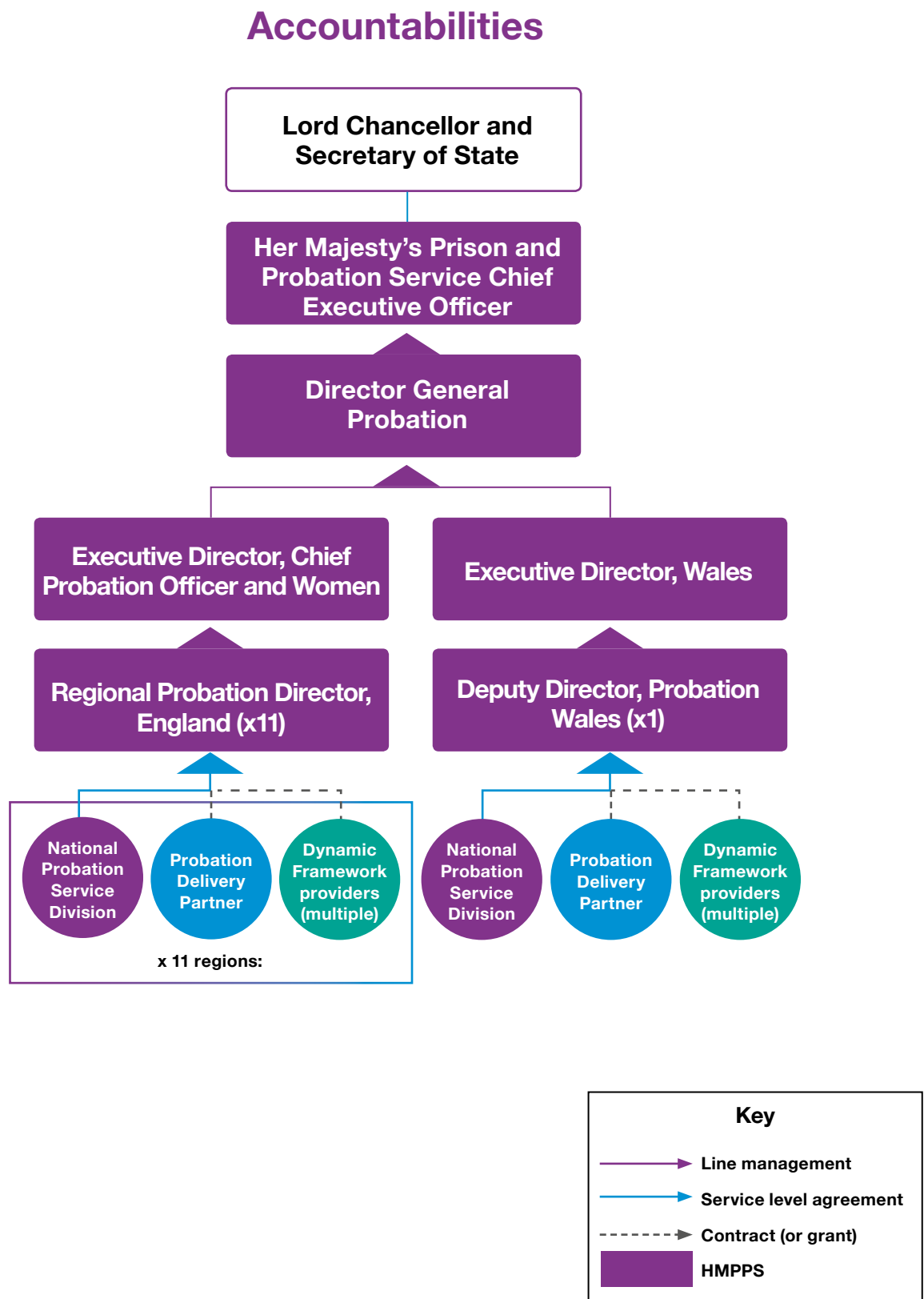
Each Regional Probation Director will be supported by a senior leadership team that brings together responsibility for NPS operational delivery and contract management of both the Probation Delivery Partner and Dynamic Framework contracts for that region.

The new regional structure and management team will champion and enable a whole-system response to desistance. Working collaboratively with colleagues within HMPPS and with local strategic partners and commissioners, the management team will seek to establish good community links that are responsive to what works, and help reduce the risk of reoffending. The regional structure includes opportunity for specifically targeted provision, ranging from pre- and post-sentence support to locally sourced mentoring and advocacy to those in most need.

Within the regions, NPS operational delivery will be reorganised around new Probation Delivery Units based on upper tier and unitary local authority boundaries led by a single Head of Service. At this level, teams will undertake supervision of all individuals and ensure that public sector local responsibilities (such as victim liaison and local adult and child safeguarding responsibilities) are discharged. Our new structure will ensure sufficient management capability and capacity to account for the increased caseload in the NPS and to be the clear local voice for probation and, in some contexts, HMPPS. We are still defining the exact Probation Delivery Unit geographies.

The Regional Probation Director will also be supported by a range of analytical, commissioning and contract management functions to account for their new responsibilities.

Figure 9. Future NPS management and accountabilities structure



1.2. Business planning and commissioning

We will create a business planning process for regions, which sets an expectation that they:

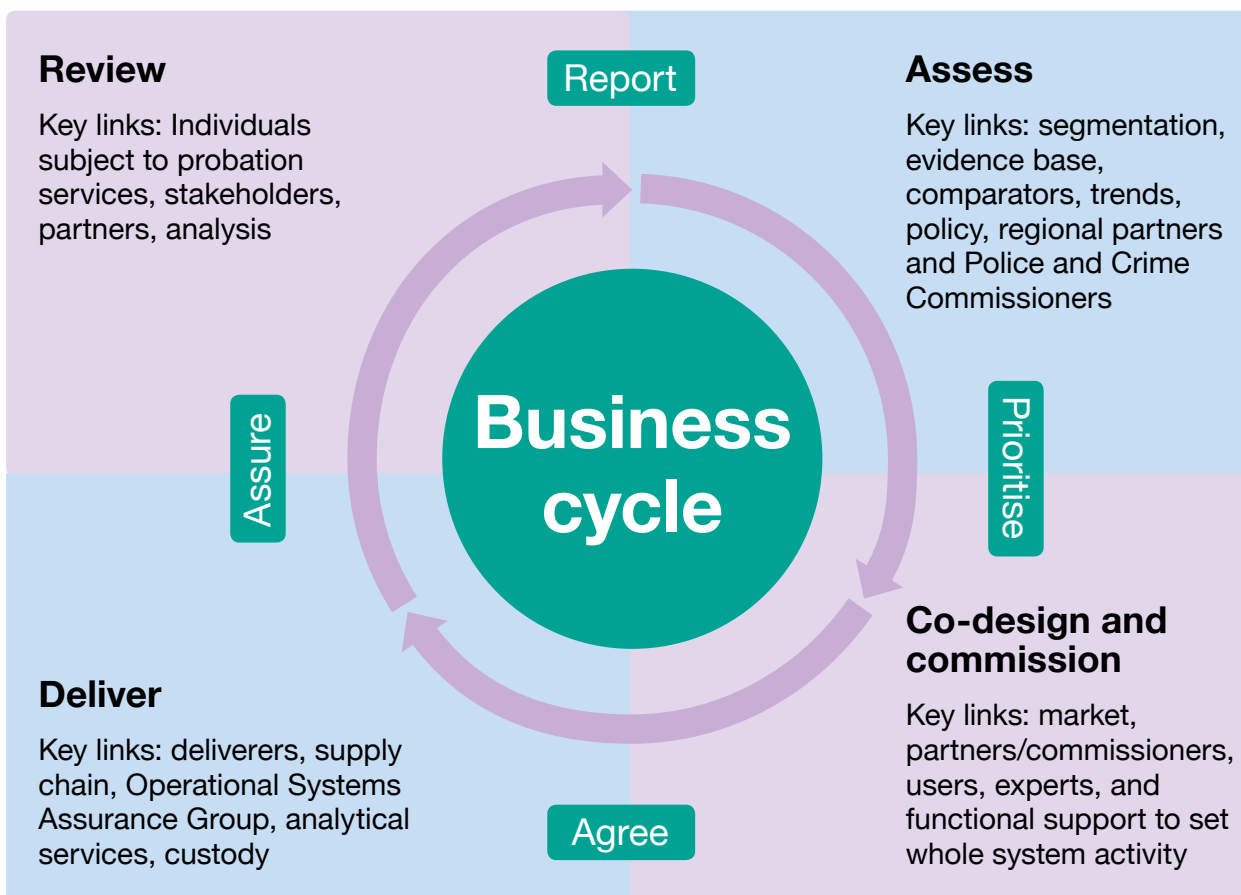
- ▲ Plan and prioritise with explicit reference and alignment to the wider strategic aims and priorities for HMPPS and the Ministry of Justice.
- ▲ Set out in specific and measurable ways their delivery intentions and their evidence-based prioritisation of service.
- ▲ Demonstrate proactive adherence to the Public-Sector Equality Duty, with clear consideration of each protected characteristic.

- ▲ Have a process to agree and source services.
- ▲ Support delivery.
- ▲ Assess and review the outcomes.
- ▲ Respond and change future priorities to reflect delivery, demand and evidence.

The Business Planning Cycle

The business cycle for the future commissioning of services is divided into four phases, which are described at a high level in the diagram below. Whilst this is a cycle, different phases will necessarily overlap with each other (for example, review of delivery will be a continual process that runs alongside the delivery itself).

Figure 10. The four-phase business cycle for the future commissioning of services



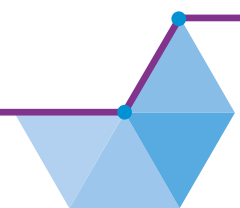
Phase one: assessment

In this phase the Regional Probation Director and their senior leadership team will work with their partners to draw together the information necessary to make prioritisation decisions. This will include confirming statutory expectations, the wider HMPPS strategic context, Ministerial priorities and Chief Probation Officer demands, along with their own assessment of what the local communities require. They will consider the resources they have as well as the volumes and needs and sentence type projections for their region, applying the evidence-base to support their decisions and to ensure that they achieve best results.

Critical to the Regional Probation Director's ability to lead the assessment phase of the process will be the understanding of current delivery in light of the evidence-base. This will include performance information but should also include qualitative assessment, including intelligence on providers and on individuals subject to probation services. They will cross cut with other senior leaders including those within HMPPS HQ, prison groups and prisons, Youth Custody Service, Local Authorities, Police and Crime Commissioners, health and social care commissioners and provider organisations to work across government towards shared outcomes. We are considering if direct public engagement on prioritisation should be required.

The Regional Probation Director will work in collaboration with wider HMPPS (including the Performance Directorate and the Reducing Reoffending Directorate), Analytical Services and Finance and Operational Policy to have updated research and evidence on effective practice, and be able to access segmentation, trend analysis and budget forecasts. We are not intending to set up 12 independent research teams but for each region to be able to draw upon central knowledge sharing and service improvement resources.

The Regional Probation Director will review the available knowledge and data to create a set of regional priorities for the Probation Service aligned with the wider HMPPS context and Ministry of Justice objectives. Consistent with the organisational value of openness, the set of regional priorities will be understood and shared within and beyond the region and contribute to and be shaped by the overall ambitions for HMPPS as captured through the HMPPS business strategy and evolving strategic plans. Our intention is that the assessment process will culminate in a Regional Reducing Reoffending Plan (see the product description which follows).



Phase two: co-design

We describe the next phase as co-design, rather than commissioning to reflect the fact that reaching an agreed set of services requires the commissioner and providers to work together. While the Regional Probation Director and their team will lead on setting out the requirement from the delivery organisations, this will be most successful if the process is done in partnership, using the knowledge and experience of all parties to design the future service. It also reflects the fact that this is a whole system process that will coordinate the services of public, private, third sector and partner organisations, and will cover a wider set of agreements than the use of the terms 'commissioning' and 'contracting' would imply.

Despite different service elements having different processes for sourcing, with different timescales and different tools, we believe that in all cases there will be a formal agreement about what will be delivered.

Phase three: delivery

In this phase operational teams take the lead in carrying out the work that has been agreed. The Probation Service as part of HMPPS will always be actively involved in delivering services, and at this phase we work to reduce reoffending. The regional team will ensure that each component is working well and that as a whole system it is delivering to the plan. It will offer support to the delivery organisations and system improvement activity, as well as gathering intelligence for future planning. During this phase, commercial, finance and performance teams will monitor and support the frontline activity.

A set of indicators, measures and internal and external audits and inspections will ensure delivery meets performance and quality expectations. That will form the basis of the review phase (phase four) of the cycle.

Phase four: review

The Regional Probation Director and their team will monitor and review the service, holding delivery organisations accountable for what has been provided to their communities. This phase reflects the need to not only judge compliance to a contract and achievement of performance targets, but to consider more broadly:

- ▲ Whether the service delivered as expected. If so, how? If not, why not?
- ▲ If it delivered as expected, were they the right set of expectations and do they continue to be?

In determining whether any change in expectations is necessary, any new information and evidence will be reviewed.

As with each of the other phases, there will be contributions from many stakeholders to provide both quantitative and qualitative assessment of delivery. That process must explicitly include ongoing equalities analysis with specific reference to the needs and outcomes of a diverse cohort, as well as assessments of overall effectiveness and efficiency. It will be important to learn from any reviews of serious further offences or other poor outcome events.

Our intention is that the review phase of the business cycle will culminate each year in an annual report being published.

Transition and products

We intend to have a set of business products and tools that provide evidence and give confidence that each region is successfully engaging in each stage of the business cycle process, and assist in the oversight of the region. It will be, as far as possible, through the scrutiny of the business products (rather than additional reporting mechanisms) that we will understand a region's fitness. It is therefore important that the products are genuinely useful and used critically by the business to drive their processes. Having a set of products to mark the transition from each phase will give high levels of confidence and a mechanism for early identification of potential problems.

The Regional Reducing Reoffending Plan

Our current intention is for the Regional Reducing Reoffending Plan to be a public document that sits alongside other regional strategic documents such as the crime plans of Police and Crime Commissioners. It will describe the service-offer that probation, as part of HMPPS, will provide and set out our priorities and longer-term goals, in the wider context of HMPPS. This will allow partners and current and potential providers to know what HMPPS expects them to deliver, and make clear to the public, including those under probation supervision, what they have a right to expect.

We anticipate that the Regional Reducing Reoffending Plan will set out a rolling three-year schedule for the region, with an annual update published each April.

All 12 regions will use a common template that will set out:

(i) What it believes:

To set out the purpose and values of HMPPS, and our vision as an Agency to work together to protect the public and help people lead law abiding and positive lives. A commitment to that will be demonstrated through assessing how best to protect the public and deliver change which will benefit the communities they are serving.

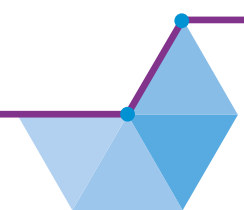
(ii) What it knows:

To set out the evidence-base for an effective approach, along with financial, workforce, and caseload information, and the need and risk profiles of the caseload.

(iii) What it will do:

To set out the regional priorities and plan for the next few years, in the wider HMPPS strategic context. It will have detailed milestones for the coming year such as, at high level, who should deliver what. It will include local priorities and initiatives that will be put in place to support the aims of the Probation Service locally. We expect that there will also be national or cross-regional priorities that will be included within the regional plans, along with support of cross-government objectives.

The template will be framed in the wider HMPPS context. We will collaborate with our colleagues in HMPPS and with other colleagues to ensure we create a suitable template for this published plan, consistent with HMPPS strategic plans, and to consider what other supporting products the Regional Probation Director may require for their business planning process.



Each Region's plan will conform to the wider Agency strategic plans, currently under development, as part of a coordinated national approach.

The published plan will set out at a high level what should be expected in the region, what it must provide, and how it will deliver locally set priorities in the context of whole Agency plans for HMPPS.

Agreements

After the processes of co-design, which may include procurement, competition and/or grant awards, we will require written agreements (in the form of Service Level Agreements, contracts or grant agreements) between the Regional Probation Director and those that will be delivering to the Regional Reducing Reoffending Plan. These will form part of the evidence required for the quarterly boards chaired by the Chief Executive.

We will explore how to develop the Regional Delivery Plans and the use of the European Excellence Model, recognised by the inspectorate design, to create a plan that covers the overall Probation Service in each region including contracted and co-commissioned services.

We expect some form of service agreement or business plan to be produced that confirms targets, budgets and specifically what the service offer will be for:

- ▲ Courts.
- ▲ Sentence Management.
- ▲ Public sector interventions.
- ▲ Accredited Programmes and Bail Accommodation and Support Services.
- ▲ Victims.

We expect this to align with contracts and agreements with the Probation Delivery Partners on the use of:

- ▲ Accredited Programmes.
- ▲ Unpaid Work.
- ▲ Structured Interventions (Domestic Abuse, Emotional Wellbeing and Attitude, Thinking and Behaviour).

Probation Delivery Partners will have annual delivery plans confirming volumes and performance levels, as well as the contracts created with the support of the commercial teams.

We also expect the Regional Probation Director to have a set of agreements with those providing services through the Dynamic Framework. Some will be in place on day one, and others will be set up during future years. We expect these to be updated in line with the developing Regional Reducing Reoffending Plan.

These agreements will provide evidence that the Regional Probation Director has put in place the services necessary to deliver to the plan. It will allow them to identify both gaps and duplication in the service offer.

This set of agreements will include commercial documents. We do not expect these to be published.

Governance and assurance

Both public sector provision and contracted provision will be subject to governance and monitoring procedures. In addition to a live monitoring system, each system will carry out internal governance to support a process of in-year governance including national quarterly performance boards between the Regional Probation Director and the Chief Probation Officer.

To provide delivery confidence, we will use several tools such as key performance indicators, management information, HM Inspectorate of Probation reports, HMPPs assurance reports and other agreed data from providers. We believe that there will also be useful qualitative and quantitative data from beneficiaries, stakeholders and individuals subject to probation services and we plan to consider how we might use these to provide evidence of delivery.

Regional reporting

To provide transparency and accountability to the regions, we will publish an annual report that sets out how well the region did against its stated expectations. This will include performance data and a high-level review/assessment of the effectiveness of the provision, highlighting innovation and excellence as well as any areas of concern or for change. We intend to provide a common template for this report.

We believe that these processes and products will allow each region to describe how it will carry out its duties to assess, protect, and change the delivery of their service in the wider context of the HMPPS vision and business strategy.

2. National Probation Service delivery

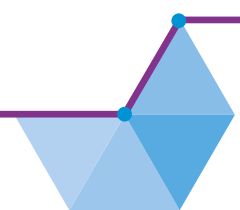
2.1. Design rationale and how it will work

Advice to court

The design of advice to court will maximise the NPS's capacity to influence the court's sentencing determination, to ensure the effective and efficient administration of justice and commitment to protecting the public and reducing re-offending. An overview is provided in Chapter 2. Our role in providing an expert assessment and independent recommendation to the court, supports the safe sentencing of offenders. In addition, HMPPS are committed to developing a future delivery model for Probation Practitioners which enhances sentencer confidence in probation and enhances professional recognition of the NPS in courts. Further detail of the future model will be contained in later published iterations of this document.

Sentence Management

Depending on whether a custodial or community sentence is delivered, probation services continue to play a role for the remainder of the individual's sentence. Probation professionals manage the ever-changing needs and risk profile of the individuals in their care, ensuring that those they supervise in the community and in prison fulfil the conditions of their sentence, and that action is taken swiftly where they do not.



Sentence Management is at the core of the Probation Service. It requires the effective delivery of the sentence of the court, ensuring individuals, who are subject to community orders, suspended sentence orders, licence and post sentence supervision, are properly supervised and that requirements are delivered, taking account of protected characteristics, risks are managed and enforcement action is taken for non-compliance. Activities include managing the sentence specification, risk and need assessments, sentence planning, oversight, enforcement, breach and recall. The role of the community Probation Practitioner will also include working with individuals in prisons in preparation for the start of their licence period, and working in collaboration with prison colleagues to deliver the sentence of the court effectively.

Allocation and continuity of Probation Practitioner

Each individual subject to probation services will have a single clearly defined Probation Practitioner (or Prison Offender Manager, see section on Sentence Management for custodial cases below).

Cases will continue to be allocated based on risk and need, with an increased focus on ensuring continuity and reducing hand-offs in the system.

Case allocation will be based on utilising staff with the appropriate level of experience and training to enable them to manage cases when dynamic risk factors increase with consideration of when and how to review risk assessments, develop robust risk management plans and refer to a senior probation officer for further advice and support when necessary.

Where possible, the individual subject to probation services will remain with the same Probation Practitioner throughout their supervision. Where possible, the Probation Practitioner will therefore continue to monitor the same individual where an escalation of risk has been identified, unless professional judgement suggests that there should be a transfer to a different Probation Practitioner. There will continue to be procedures for cases to be reviewed by a senior probation officer and risk management options will be considered, including case transfer to a more experienced practitioner or additional support for their Probation Practitioner.

There will inevitably be some circumstances where the Probation Practitioner needs to change (e.g. due to staff turnover or during longer custodial sentences) but for consistency, this should be kept to a minimum and there should be appropriate handover processes in place to manage change.

Case contact

As outlined at Annex B, strong relationship and supervision skills are key to promoting desistance. Face-to-face contact between the Probation Practitioner and individual provides Probation Practitioners with the opportunity to exercise these skills and develop an effective working relationship. Effective management (including pre- and post-release supervision) of the order or licence and its requirements will minimise the risk of serious harm and reduce reoffending.

The minimum requirements will be set out in National Standards. This will be face-to-face monthly meetings for individuals and the Probation Practitioner. This is the absolute minimum and cases should be managed at levels appropriate to risk and need.

The individual will be allocated to their Probation Practitioner within five working days of sentence to allow a better match to a comprehensive assessment of their risks, needs and responsivity. This allocation will be done by new case allocation criteria which reflect the risk, needs and responsivity of cases and matches those with the skills and experience of the Probation Practitioner. We will expect those serving short prison sentences to be allocated to short sentence teams as soon as practically possible to ensure maximum pre-release support can be provided.

This minimum monthly contact requirement will not apply to cases consisting only of post-sentence supervision.

Sentence planning

The initial sentence plan (for all community sentences) will be developed and completed within 15 working days of sentence. A minimum of six-monthly reviews will be required, as well as regular recording of progress on sentence plan objectives.

The future structure will facilitate a more streamlined approach to assessment, providing flexibility for the different types of sentence requirements. Consistent with an open learning culture, this will be evidenced (including where there are gender-specific differences), evidence around the role of families and significant others in supporting rehabilitation and learning from desistance theories and practice.

We will aim to develop a new individual self-assessment that will be included and considered within the assessment and development of the sentence plan.

We will update our policy and guidance for sentence planning, drawing on the knowledge and experience of our practitioners from CRCs and the NPS in developing sentence plans that are engaging for individuals.

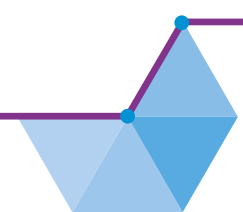
In updating this guidance, we will take into account that evidence that demonstrates that greater involvement of individuals with sentence planning, which firmly positions them as the agents of their own change process, is more effective at achieving successful sentence delivery and reducing reoffending.

Enforcement

Enforcement of orders and licences is an important element of Sentence Management, to ensure risk is managed and the sentence of the court is delivered. For the NPS, there will be an enforcement quality measure.

The use of professional judgement is an important tool for the Probation Practitioner, where appropriate decisions need to have a clear rationale recorded in the case record, with appropriate management oversight.

Acceptable and unacceptable absences will be monitored through management information. Management oversight after three acceptable absences will be required as part of National Standards, and recorded on the case record. A holistic review of practice on enforcement will also be undertaken in line with the performance framework (see page 137 for details).



Revised policies on risk assessment, risk review, escalation and management will be published. These will reflect the approach that:

- ▲ Sentence Management principles should be applied from the first allocation of the case.
- ▲ Risk assessment and risk management activities take place when changes have occurred that require a review.
- ▲ Cases are discussed with line management and robust risk management plans are developed that mitigate and manage the identified risk.
- ▲ The case continues to be managed by the most appropriate probation staff member along with the necessary support, management and oversight.

Each region will have a head of public protection who will have oversight of risk management activities within their region. This should support continuity and our ability to effectively manage cases where risk of serious harm has escalated, thus providing greater continuity of organisational oversight.

Probation Practitioners will be able to apply for early revocation of all applicable community orders where requirements have been completed.

Sentence Management for custodial sentences

Prison staff as part of the wider HMPPS workforce will be responsible for ensuring that the immediate needs of all individuals sentenced to custody, as well as those in prison on remand, are identified and addressed as part of the reception process.

Sentence plans for those with 10 months or more of their sentence to serve will be completed by Prison Offender Managers until the hand over to the community when the Probation Practitioner will complete a pre-release OASys assessment which will replace the Basic Custody Screening Tool (Two, i.e. BCST-2).

We are proposing to remove from the Basic Custody Screening Tool (One, i.e. BCST-1) the majority of questions on health and education that are duplicated within the health and education processes completed during the first night and during inductions in prisons by health and education providers. This will remove duplication. The remaining questions will be simplified so that only required information is obtained and to help improve engagement with the process.

Remanded individuals will be allocated to a keyworker in prison and supported with practical tasks as well as encouraged to access the services provided in the prison where they are based.

The launch of Offender Management in Custody changed the way custodial sentences were managed. From February 2019 (in Wales) and from October 2019 (in England), responsibility for those with 10 or more months left to serve in male prisons moved from NPS Probation Practitioners to Offender Management Units within closed male establishments. These units include both prison grade Prison Offender Managers and Probation Practitioners, with a Senior Probation Practitioner from NPS taking on the role of Head of Offender Management Delivery and working alongside the prison grade Head of Offender Management Services to oversee delivery of Sentence Management within establishments.

The responsibility for Sentence Management transfers to NPS Probation Practitioners in the community once individuals reach the pre-release resettlement phase of sentence. Under Offender Management in Custody, this transfer of responsibility currently happens at different points dependent on a number of factors. We propose standardising the transfer point for all at seven and a half months, with the exception of those critical few that meet the existing Early Assignment Criteria (under Offender Management in Custody) who would be transferred at 15 months prior to release. (This is primarily reserved for Level-three Multi Agency Public Protection Arrangements cases, Terrorist Act cases and those with significantly high media interest).

For all individuals serving shorter prison sentences (less than 10 months to serve) they will have a community-based Probation Practitioner in the NPS, focusing on resettlement from the day of sentence as well as after release.

Within the NPS, we will create short sentence teams within each of the 12 probation regions. The role and focus of the team will be to work for those on shorter sentences to ensure services are sustained and provided, relationships are built and transitions are supported as effectively as possible.

This resource will help manage and address some of the specific disruption that can arise from services being stopped or suspended while an individual is in prison and the time it can take for these services to restart following release. For example, suspending benefits can take up to two months to reinstate after someone is released from prison.

The use of release on temporary licence has been used for resettlement purposes. Additionally, individuals eligible for home detention curfew may be released ahead of their automatic release date. Decisions on home detention curfew and release on temporary licence will continue to be taken by prisons with input from the NPS. The Governor/Controller will take into account information provided from the home circumstances report prepared by the NPS in order to help with their assessments, as for all licence conditions.

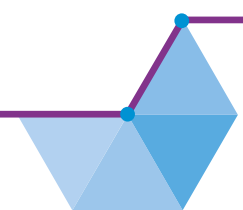
Post-sentence supervision

The Offender Rehabilitation Act 2014, Section 2, created a period of post-sentence supervision after licence for people serving custodial sentence of more than one day but less than two years.

All people released from custody are subject to at least 12 months supervision. The total supervision period (licence plus post-sentence supervision) begins at the end of the custodial part of the sentence and ends after 12 months from the date of release. The purpose of post-sentence supervision is rehabilitation and the change was intended to offer rehabilitation services to a group of individuals with high need and high risk of reconviction.

Post-sentence supervision cases will be excluded from the minimum monthly contact requirement given its sole focus is rehabilitation.

Where cases are assessed as low risk and rehabilitative needs have been addressed, a process will be put in place whereby the Probation Practitioner may refer to their line manager for suspension of the Probation Practitioner's face-to-face contact with oversight undertaken by telephone contact.



Updated Practice Guidance will be provided to set out clarity on the purpose and expectations of post-sentence supervision. In the future, cases will be managed according to their risk and need, and contact levels will be appropriate to this.

Transfers

When an individual moves location from one area to another it is important that the transfer of the case is done in a timely manner and risk is managed at all times. Management information will be collected regarding changes of Probation Practitioner to enable reporting on patterns in regions.

There are a small number of cases that transfer within UK jurisdictions each year. The protection of the public and ensuring the delivery of the sentence of the court will remain the key principle to determine the management of case transfer.

Youth Transition

Young people are considered for transition from the Youth Offending Team into the NPS from the age of 17½. Each Youth Offending Team will have a qualified seconded Probation Practitioner to act as the lead contact with the NPS to provide advice and recommendations on the transitions to wider adult services. Neither of these factors will alter as a result of the new model and should continue to form part of all sentence plans.

As required within the national protocol, the NPS and Youth Offending Team will be responsible for maintaining an information sharing protocol in relation to those young people who:

- ▲ Remain under Youth Offending Team supervision at the age of 18.
- ▲ Transfer to NPS supervision at or around the age of 18.
- ▲ Come to the attention of the NPS post the age of 18 but who were previously known to the Youth Offending Team.

Transition planning and transfer meetings between the seconded Probation Practitioner and the wider NPS should commence no later than six months prior to the individual turning 18. A successful transition from youth to adult services must focus on:

- ▲ Addressing a young person's individual needs, particularly maturity, learning needs and family relationships.
- ▲ Any safeguarding requirements, integrating with any ongoing wider interventions such as those ascribed to Looked After Status.
- ▲ Diversity.
- ▲ Identification and allocation of transfer at the earliest opportunity to stage handover (not after the young person has turned 18 years old).
- ▲ Implementing effective case management transfer between agencies tailored to the young person to give the best chance of successful engagement.
- ▲ Achieving a stable resettlement pathway.
- ▲ Maintaining rehabilitation achievements and interventions.
- ▲ Protecting the public.
- ▲ Preventing future reoffending.

⁴<https://www.gov.uk/government/news/offender-rehabilitation-drive-boosted-by-new-rotl-rules>

⁵<http://www.legislation.gov.uk/2014?title=The%20Offender%20Rehabilitation%20Act>

When a young person is in custody and nearing 18 years old, they can face significant changes making them particularly vulnerable, i.e. moving from the youth estate to a young adult establishment, along with the transition to adult services in the community. The Youth Offending Team should work closely with the new establishment and receiving NPS area in good time to ensure that resettlement guidance is followed and adapted to adult provision.

The implementation of the new probation model will entail some significant changes in how resettlement services are delivered. Again, this will be detailed within a timely update to the National Transition Protocol.

Rehabilitation: in-house/National Probation Service delivery

In relation to the delivery of interventions, probation practitioners must consider the following criteria:

- ▲ **Correct targeting of activity** is the basis for securing desired outcomes.
- ▲ **Rehabilitation effort should be proportionate to risk.** Intensive rehabilitative effort should be focused on those with a higher likelihood of reconviction. While there are exceptions for certain groups, in general those at low risk of reconviction (e.g. offender group reconviction scale below 25%) are unlikely to benefit from rehabilitative interventions and there is some evidence that such activity with this group may even be damaging.

- ▲ **Rehabilitation should address criminogenic needs.** Rehabilitative interventions only make a difference to reoffending when they focus on the skills, behaviours and attitudes that relate to the person's pathway into crime - and those that hinder the way out.

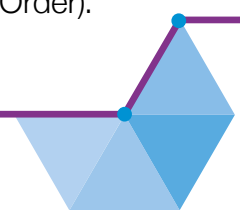
The Rehabilitation Activity Requirement and resettlement interventions

Pre-sentence assessment

In relation to the Rehabilitation Activity Requirement, pre-sentence reports will include a proposal for an overall number of Rehabilitation Activity Requirement days that reflects the risk of reoffending (determined by the Offender Group Reconviction Scale in the majority of cases). This supports the principle that rehabilitative input should be proportionate to the risk and seriousness of reoffending. A suitable number of Rehabilitation Activity Requirement days should be proposed to address the criminogenic needs identified.

Post-sentence

Post-sentence, the Probation Practitioner will allocate the Rehabilitation Activity Requirement days and will select specific interventions that address the most significant areas of need linked to the person's reoffending. Interventions will be delivered at an intensity that reflects the varying complexity and acuteness of needs that are commonly occurring in the probation caseload. For example, an individual might have a combination of acute and less severe needs and the Probation Practitioner will allocate the number of activity days (low, medium, high) to reflect this (applicable to Community and Suspended Sentence Order).



In a similar manner, with interventions selected for resettlement cases, the Probation Practitioner should consider the assessed risk of reoffending and agree with the individual which needs should be prioritised and the corresponding level of intensity (low, medium, high) to address the identified need/s.

The Probation Practitioner will need to ensure that the supervision plan sequences interventions in line with the complexity of the needs identified. Those that will provide the stabilisation that an individual needs to be able to focus on other issues should be a priority. Probation Practitioners' collaboration with contracted providers of interventions will be crucial to the success of the sentence plans and the actual timely implementation of the interventions.

At termination

The Probation Practitioner will be required to record the completion of the intervention(s) and the outcomes that have been achieved. It is crucial that there has been ongoing liaison with the Probation Delivery Partner/Dynamic Framework provider throughout the order, so that the progress that the individual has made can be effectively recorded.

Community Sentence Treatment Requirements

There are three requirements available to courts across England and Wales through which substance misuse and/or mental health issues and related offending are addressed within community order or suspended sentence order. These are:

- ▲ Drug rehabilitation requirements.
- ▲ Alcohol treatment requirements.
- ▲ Mental health treatment requirements.

Before any of the above requirements can be made, a court must be satisfied that:

- ▲ The individual requires and is susceptible to treatment.
- ▲ Arrangements have been or can be made for the treatment which will be delivered under the requirement (including arrangements for the reception of the individual where required to submit to treatment as a resident).
- ▲ The individual expresses his or her willingness to comply.

The delivery of the treatment is undertaken by locally commissioned substance misuse and mental health services. As part of their overall responsibilities to manage the order, probation providers must work closely with treatment providers to support the individual to successfully complete the requirement and to ensure the provider is fully aware of relevant issues which will impact on the treatment.

In relation to alcohol treatment requirements, drug rehabilitation requirements and mental health treatments, the Ministry of Justice, HMPPS, Department of Health and Social Care, NHS England and Public Health England have worked together to develop a new protocol to address the low numbers of treatment requirements and to improve access to mental health and substance misuse services for the individuals who need them.

The protocol is currently being tested in seven test bed sites within England (as health is devolved in Wales). These sites are Milton Keynes, Northampton, Birmingham, Sefton, Plymouth, Greater Manchester and London. The first of these sites (Milton Keynes) went live in October 2017. The NHS Long Term Plan, published in January 2019, includes a commitment to expand provision for the Community Sentence Treatment Requirement programme for more women subject to probation services, short-term prisoners, individuals with a learning disability and those with mental health and additional requirements. Health and Justice ministers announced that the programme would be expanded in Autumn 2019 to include two new test bed sites in Greater Manchester and London. This builds on the commitment to expansion given in the NHS Long Term Plan.

Probation Practitioners from the NPS take overall responsibility for:

- ▲ Making any necessary arrangements around the requirement.
- ▲ Local information sharing of appropriate and proportionate offence-related information to effectively manage the order.
- ▲ Understanding what is available and promote treatment needs.
- ▲ Promoting compliance (by individuals subject to probation services) with the order and to ensure that the enforcement of orders (where appropriate) does not impact treatment.

Continuity of care for those on licence

An integrated care pathway from prison to the community is crucial for supporting recovery from substance misuse, and reducing reoffending among people leaving custody. Work is underway to secure effective provision that meets the needs of individuals consistent with our HMPPS strategic principle, 'transform through partnerships'.

Senior Attendance Centres

The Powers of Criminal Courts (Sentencing) Act 2000 empowers the court also to impose an Attendance Centre Order for default of a fines payment for enforcement purposes. However, this is an order in its own right and is not imposed as a community requirement as part of sentence under the Criminal Justice Act 2003.

The primary purpose of an Attendance Centre requirement is to support rehabilitative activities. It also has a punitive element through the restriction of liberty due to attendance requirements. The activities typically carried out at an attendance centre include social, education and life skills training. The minimum number of hours is 12 and the maximum is 36, typically in three hour sessions, historically undertaken on a Saturday.

It is agreed that the Senior Attendance Centres are transferred to the NPS, with an intention to enable regional directors to review existing provision.

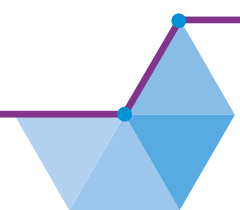


Figure 11. Targeting at Court – NPS activity to support design intentions

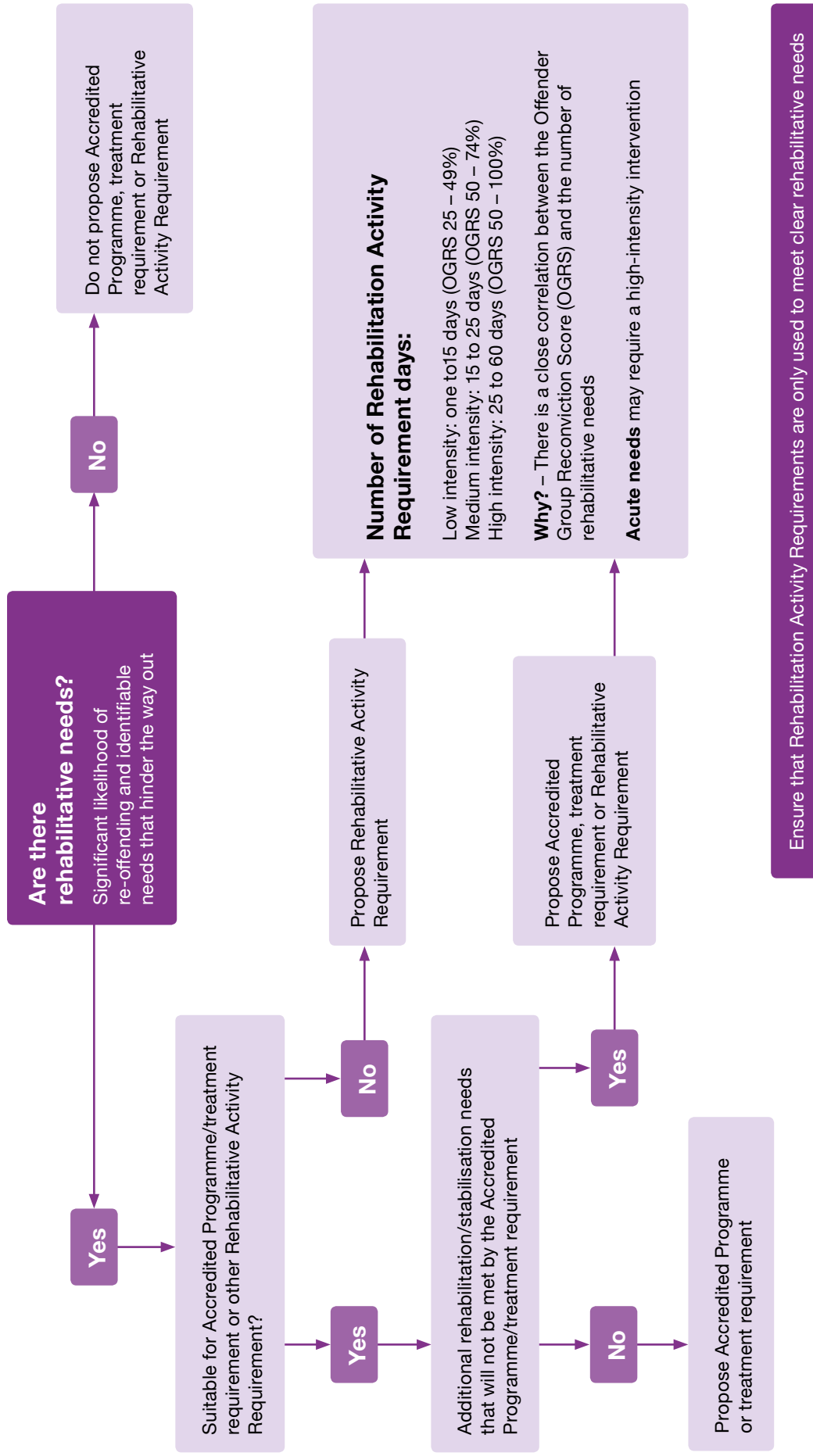
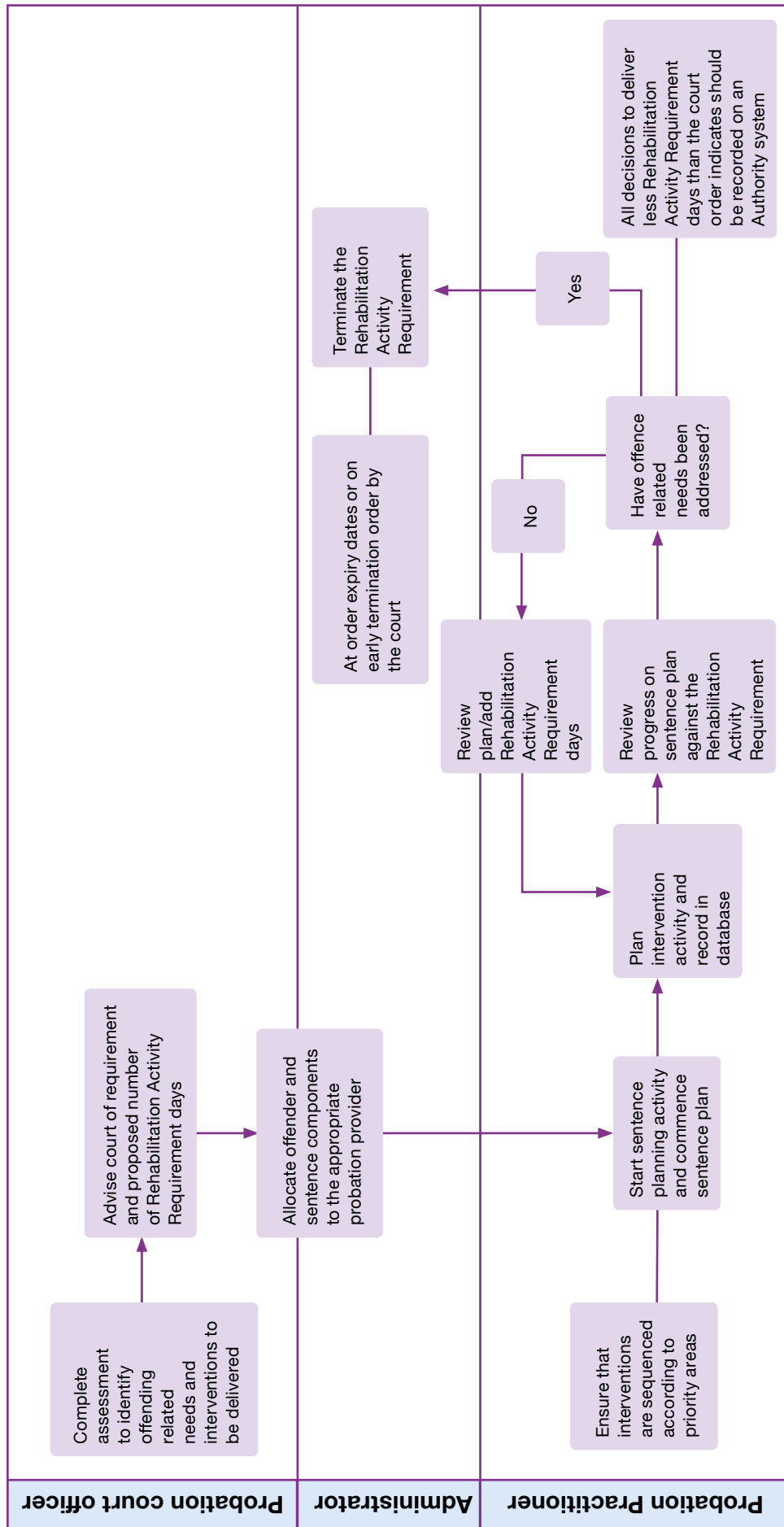


Figure 12. High-level process flow for Rehabilitation Activity Requirements (January 2019)



An activity is usually delivered by a third party on behalf of the Probation Practitioner, but it could be done by the Probation Practitioner themselves if there is no existing intervention available.

Figure 13. High-level process flow for pre and post release Resettlement interventions

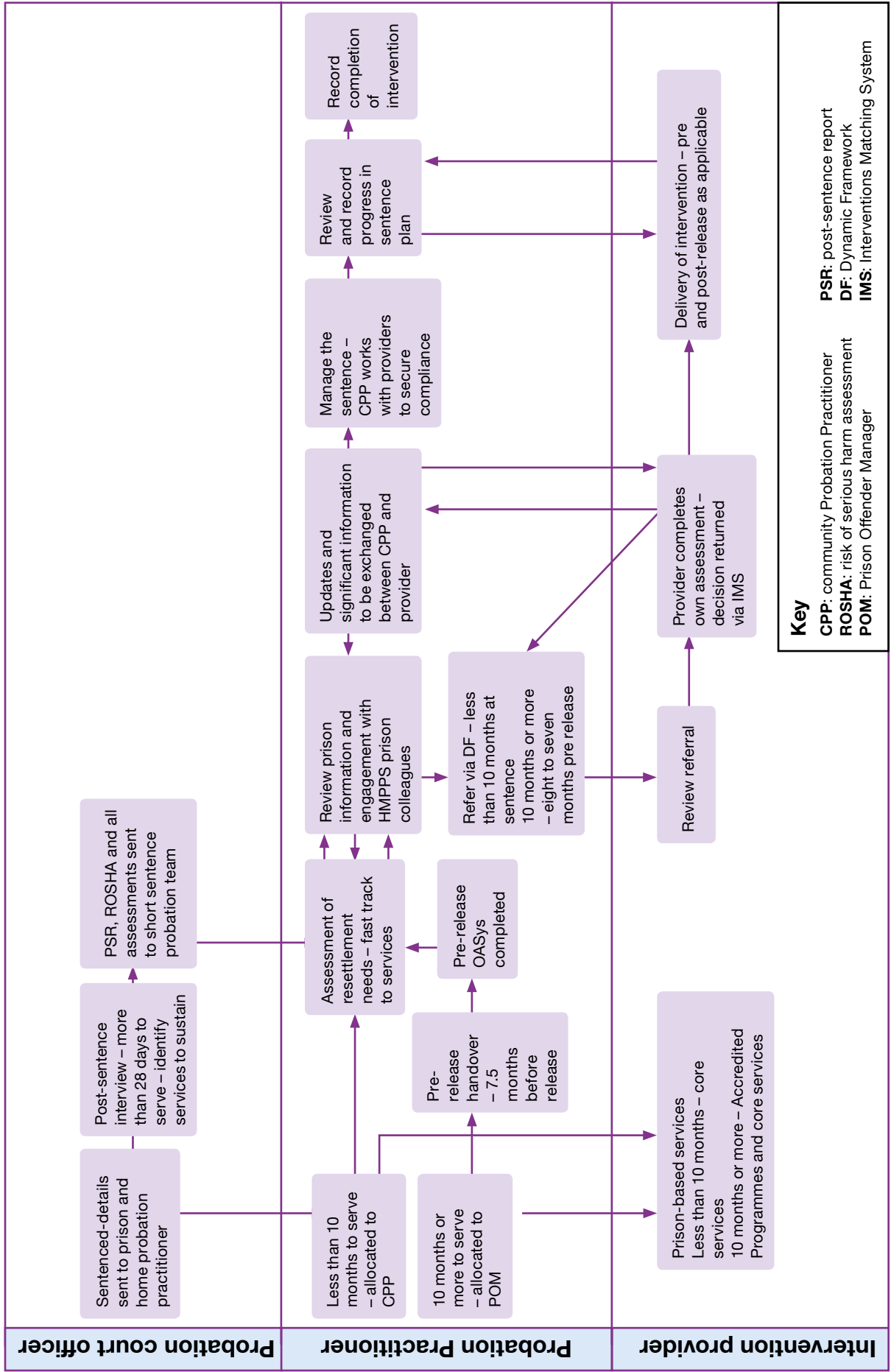
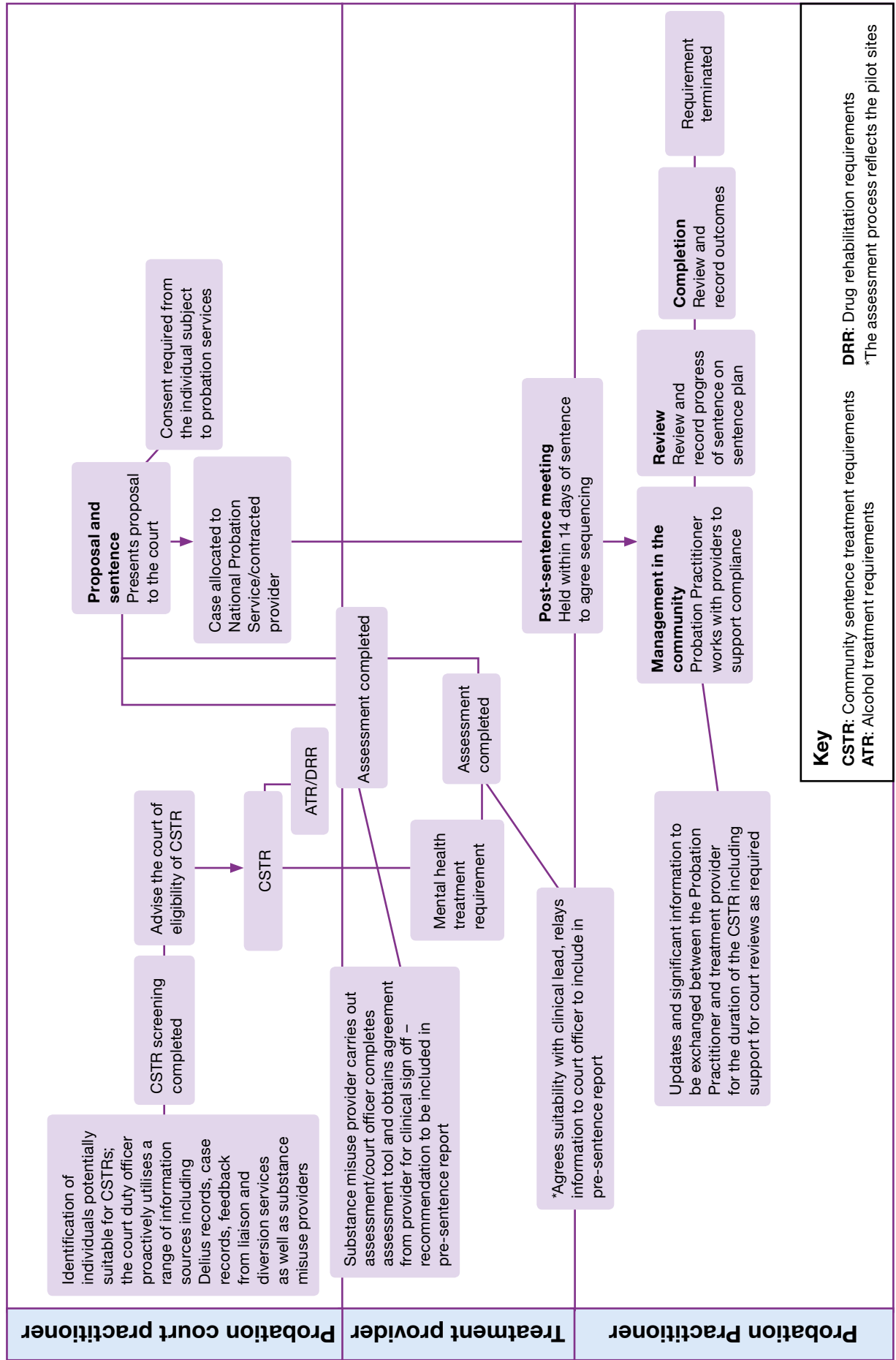


Figure 14. High-level process flow for Community Treatment Sentence Requirements (pilot areas only. Updated October 2019)



3. Transforming through partnerships: innovation and working with partners to rehabilitate people

Transform through partnerships is one of the four principles in the HMPPS business strategy. This section sets out:

- ▲ The Dynamic Framework (and its relationship with the model for rehabilitation services and resettlement from custody into the community);
- ▲ Probation Delivery Partners (and the relationship between them and the model for providing Accredited Programmes and Unpaid Work services).
- ▲ The Interfaces between the NPS and providers.
- ▲ Rehabilitative services.
- ▲ Resettlement from prison to the community.

3.1. Dynamic Framework Services

Design rationale

A commercial ‘Dynamic Framework’ will enable us to put in place more flexible arrangements at a regional and local level for accessing specialist rehabilitative and resettlement services, by running call-off competitions and contracting for services such as accommodation or employment support services. It is also intended to help create a clearer role in probation delivery for the voluntary, community and social enterprise sector and smaller providers, including local and specialist services to reflect the wider strategic ambitions of HMPPS.

The Dynamic Framework will allow the Regional Probation Director to procure interventions available as part of Rehabilitation Activity Requirements activity days and for those on licence that can be tailored to local need and create or take advantage of emerging local opportunities, such as opportunities for co-commissioning.

What it covers

The Dynamic Framework will provide a flexible mechanism to source suppliers who can deliver resettlement and rehabilitative interventions across England and Wales⁶.

The services from the Dynamic Framework will be used for individuals both on community orders and those supervised on licence in the community. Resettlement services are delivered to individuals while in custody to help them prepare for release and resettle post-release, focussed specifically on supporting and addressing needs in relation to transition from prison as well as reintegration into community life. Rehabilitative interventions are focussed on the need to reduce reoffending for those on community orders, suspended sentences and licences and are intended to support individuals to re-integrate in the community and reduce reoffending by addressing a range of needs.

⁶The Dynamic Framework is a hybrid of a Framework Agreement and a Dynamic Purchasing System (DPS). This is permissible as the services to be procured are listed within Schedule 3 of the Public Contracts Regulations (PCR) 2015 and so, pursuant to Regulation 74 of the PCF, will be subject to the Light Touch Regime under which the Authority is not obliged to comply with the full requirements of the PCR.

Interventions such as those that address needs around education, training, employment and accommodation will be sourced from the Dynamic Framework. Those interventions and services available through the Dynamic Framework will often involve the provision of tailored support to help individuals overcome barriers and to sustain engagement with universal services. One example would be the provision of support in accessing suitable accommodation and sustaining this through support with independent living skills, once housing is secured.

Following mobilisation and the initial phase of delivery under new structures, the ambition is that some services from the Dynamic Framework will eventually reach into the pre-release phases of sentence in England. This would see services working with individuals in custody to ensure a safe and smooth transition into the community supervision.

How it will be utilised

The Dynamic Framework will allow organisations to qualify to provide services in whatever combination of local geographies (ranging from nationally through to a local and unitary authority level) best reflects their current footprint or ability to credibly expand, via selection of geographical areas from a predefined list provided. It will also be split into categories based on needs and cohorts.

Call-off competitions from the Dynamic Framework will be run for particular geographic areas, cohorts or needs to respond to local need. The size, value and length of individual call-off contracts under the Dynamic Framework will therefore vary. The Dynamic Framework will be used to award both contracts and grants. Based on criteria contained within the Dynamic

Framework procurement documentation, commissioners will determine the most appropriate approach, which will be set out within the Invitation-To-Tender for each call-off competition.

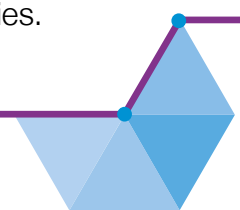
As well as being a mechanism for the NPS, the Dynamic Framework also provides accessibility for a range of different participating bodies who will be able to buy services directly from the Dynamic Framework or via co-commissioning arrangements with the Authority. This will include HM Prisons, Regional Authorities for Probation, HMPPS Wales, the Welsh Government, Police and Crime Commissioners, the Mayor's Office for Policing and Crime (London), the Greater Manchester Combined Authority, and other local authorities.

Qualification

All providers that successfully meet the criteria outlined in the Selection Questionnaire will be admitted to the Dynamic Framework, enabling them to participate in future call-off competitions.

The qualification process to join the Dynamic Framework will be simple and proportionate. Organisations will not be required to submit technical or financial solutions to join the Dynamic Framework. They will instead be required to show their technical capabilities for the categories they wish to join.

We expect providers to show how they will meet the diverse needs of those with characteristics protected under the Equality Act 2010 which would include young adults, those with a learning disability or challenge, and black and Asian people and people of other minority ethnic groups. We have also taken into consideration priority areas under Welsh Government strategies.



Qualification will be open following publication of the Contract Notice, as the framework is dynamic, organisations will be able to qualify at any point in time throughout during the term of the Dynamic Framework. We anticipate that the Dynamic Framework will be in place for a period of seven to 10 years, with the opportunity to extend in perpetuity upon appropriate notification to the market. Providers qualifying for the Dynamic Framework will be able to amend their details (e.g. the geographical area they are interested in bidding for) at any time subject to a review process.

Commissioning

The commissioning of services for day one will be undertaken by the HMPPS Probation Reform Programme coordinated at a national level, with input from our future Regional Probation Directors. In the future state, commissioning will be the responsibility of the Regional Probation Director and undertaken by the NPS division utilising available intelligence to identify requirements.

Dynamic Framework: requirements for future providers

The following list is not exhaustive and further information will be provided in commercial documents/specifications.

In assessing interventions for the Dynamic Framework, we will invite providers to:

- ▲ Articulate the specific Structured Interventions they will offer to meet the key criminogenic needs which are not met by either accredited programmes or treatment requirements.
- ▲ Offer a detailed explanation of how they will customise interventions and services to:
 - Secure outcomes that are responsive and can meet varying levels of need.
 - Address the needs of individuals with multiple complex needs and protected characteristics.
- ▲ Provide a detailed explanation of how and when they will support individuals pre-release, and how interventions will specifically address needs relating to transition and community reintegration from prison to community and move-on from approved premises.
- ▲ Describe appropriate outputs and outcomes for each intensity level and for each need area.

As the Authority, we will:

- ▲ Seek a provider-led response rather than prescribing the detailed activities that should be delivered.

3.2. Rehabilitation services and interventions procured via the Dynamic Framework

Summary of design

Stability

Our ambition is to promote stability by focussing on the key rehabilitative and resettlement needs which occur within the probation caseload. We want to ensure that these interventions are delivered well and that Probation Practitioners make good use of them. Using a Dynamic Framework enables Regional Directors to extend the range of interventions available over time to reflect emerging and local needs.

Getting the basics right

We intend to enable interventions which meet priority needs to be procured from the Dynamic Framework. The interventions and services on the Dynamic Framework will be available for those with a Rehabilitation Activity Requirement and for those on licence or post-sentence supervision. These interventions will address the areas of need strongly associated with reoffending or will provide the stabilisation that an individual needs.

- ▲ Be **well-targeted**.
- ▲ Include **tailored support**.
- ▲ Involve **collaborative work with local partners**.
- ▲ Be delivered by a **diverse mixed market**.
- ▲ Increase **judicial and other stakeholder confidence**.

Quality

A focus on quality outcomes for commissioned services, ensuring that individuals subject to probation services make progress in building strengths and access to opportunities that address criminogenic needs.

We expect that interventions and services will be delivered by appropriately skilled and trained staff.

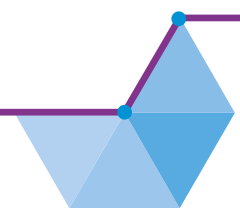
Value for money

We are expecting providers to deliver sufficient sessions to enable an individual to achieve the agreed goals and to vary their delivery to reflect the complexity of the situation. We will also expect providers to make the best use of existing services and to support individuals in accessing and sustaining engagement with these services. This will ensure that rehabilitative and resettlement interventions complement, rather than mirror, services which are already available locally.

Evidence of effectiveness

Evidence suggests that rehabilitative effort should be proportionate to risk. Intensive rehabilitative effort should be focused on those with a higher likelihood of reconviction.

Rehabilitation should address criminogenic needs and build on strengths. Rehabilitative interventions only make a difference to offending when they focus on the skills, behaviours and attitudes that relate to an individual's pathway into crime and those that hinder the way out. Providers should work towards supporting individuals to achieve measurable outcomes and use approaches that work and are responsive to the person and their circumstances.



There is increasingly strong evidence that supervision in the community is most effective when:

- ▲ It is structured both within each session and across the trajectory of the supervision period.
- ▲ It addresses criminogenic attitudes and thinking as well as practical and social needs.
- ▲ It has a motivational and engaging relationship at its core.
- ▲ It emphasises social integration and provides links to other community agencies for continuing support post sentence.

The resettlement element of rehabilitative interventions should focus on the complexities associated with making the transition from custody into the community, as well as steps to protect the public. Sustaining services already in place for those on short sentences, as well as a holistic approach addressing both practical and emotional well-being are critical areas in supporting individuals to make the transition from prison and approved premises to life in the community.

Feedback on the current model

We acknowledge that some interventions and services currently delivered are not sufficiently structured. There is significant variation in the amount of purposeful activity being undertaken and for the Rehabilitation Activity Requirements in particular there is a lack of confidence in both the amount and type of activity being delivered. In future we plan to mandate more stringent

requirements for what should constitute appropriate provision for interventions and services delivered for rehabilitation activity requirements and for Resettlement, aligned with the HMPPS principle of ‘an open, learning culture.’

Equalities

We expect providers to ensure that interventions are responsive to people’s circumstances and protected characteristics. We are attentive to our duties under the Equality Act 2010 and the nine protected characteristics. Those groups on which we have a particular focus, include women, young adults, and black, and Asian other minority ethnic groups.

Providers will be expected to demonstrate how they are able to tailor the interventions and services they offer using best practice approaches that will achieve better engagement and outcomes of individuals subject to probation services. We acknowledge that individuals often present with multiple, complex and intersecting needs, and as such it is crucial that providers are able to provide sufficient flexibility to support individuals subject to probation services.

Addressing the opportunities of tomorrow

The future design of rehabilitative interventions seeks to ensure that individuals receive well-targeted, well-designed and well-delivered interventions that maximise their chances of leading non-offending lives.

For those on community orders and suspended sentence orders, the role of the NPS is critical in ensuring the proposals in court reports identify the requirements most likely to reduce the risk of reoffending. For those on licence, interventions need to be available that will support their resettlement and enable a successful transition back into the community.

The proposed changes to rehabilitative services are achievable through:

- ▲ The additional specification which will be assessed through the bid process.
- ▲ A performance framework which emphasises outcomes and quality of delivery.
- ▲ Intervention providers will deliver planned and Structured Interventions which meet the key needs above and which secure clear outcomes.
- ▲ A payment mechanism which secures average payments for delivery of rehabilitative interventions which will be based on three levels (low, medium and high).
- ▲ Guidance to stakeholders about the Rehabilitation Activity Requirement.
- ▲ Clarity about the role of the Probation Practitioner and Partners.
- ▲ NPS structures and resources to appropriately reflect the proposed design.
- ▲ We have proposed a digital recording solution which much better enable staff to record need areas, intensity level, activity type and length, objective, status and outcome/output.

Target the right interventions for the right user at the right time. We are not seeking interventions which meet the

same needs as accredited programmes or treatment requirements, as we consider these to be the intervention of choice for those individuals who are assessed as eligible and suitable.

The interventions provided through the Dynamic Framework will focus on the specific role of probation providers in either removing barriers and facilitating sustained engagement with statutory services or in the delivery of activities where such services do not exist.

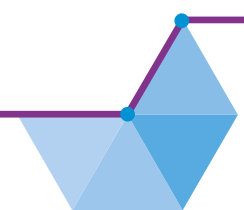
Allocation of resource will follow risk, need and responsivity principles.

Pre-sentence reports will, therefore, propose an overall number of Rehabilitation Activity Requirement days which reflects the risk of reoffending (determined by the Offender Group Reconviction Scale). This supports the principle that rehabilitative input should be proportionate to the risk of reoffending.

Post-sentence, the Probation Practitioner will allocate the Rehabilitation Activity Requirement days and will select the interventions which address the most significant areas of need linked to reoffending.

Interventions will be delivered at different levels of intensity to reflect the varying complexity and acuteness of need

that is commonly occurring in the probation caseload. An individual may have a combination of acute and less severe needs and the Probation Practitioner will select a combination of intensity levels to reflect this. Equally, when these interventions are being selected for post-release cases, Probation Practitioners should consider both the assessed risk of reoffending and agree with the individual which needs should be prioritised.



Ongoing communication, engagement and recording is key. Providers will be required to ensure that information on the interventions and services provided are accurate and reviewed, where appropriate, to ensure that probation report writers, sentencers and Probation Practitioners are kept informed.

We expect providers on the Dynamic Framework to provide interventions and services in the locality where the individual subject to probation services resides, where this is possible.

Throughout the delivery of the sentence all enforcement decisions and appropriate action will remain with the Probation Practitioner within the NPS. Providers will be required to inform the NPS Probation

Practitioner in a timely manner of any failures to attend or other compliance issues so that enforcement decisions can be made. It is crucial that providers recognise the importance of supporting compliance in carrying out the sentence of the court. Individuals are subject to court ordered requirements and conditions, and effective collaboration ensures that (where appropriate and not linked to risk of harm) individuals can and should continue to take advantage of the support offered by providers.

At the end of the intervention or service, the provider will be expected to provide the Probation Practitioner with a detailed report outlining a summary of the interventions provided and the outcomes achieved.

Rehabilitation services via the Dynamic Framework: requirements of future providers

The following list is not exhaustive and further information will be provided in commercial documents/specifications.

- ▲ Interventions will be focused on the role of the provider in either removing barriers and facilitating sustained engagement with statutory services or in the delivery of activities where such services do not exist. (see example below).
- ▲ To ensure that commissioned interventions result in quality outcomes, we propose that potential success measures are developed which can be used to assess whether minimum outcomes have been met for each of the interventions. These will also include quality measures on whether individuals are enabled to make progress in meeting their offending related needs.
- ▲ Providers will ensure that interventions delivered are responsive and have sufficient flexibility to secure access for all individuals.
- ▲ Providers will be required to deliver interventions and services having regard to the protected characteristics and where applicable, provide reasonable adjustments to all individuals to enable them to benefit from the intervention.
- ▲ All interventions and services will be delivered by appropriately skilled and trained staff.

Table 2. The need areas for rehabilitation services and the desired outcomes

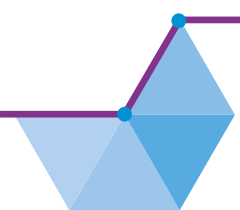
Needs	Outcomes
Accommodation	<ul style="list-style-type: none"> • Accommodation obtained/sustained • Homelessness prevented
Employment, training and education	<ul style="list-style-type: none"> • Suitable employment, training and education obtained and sustained • Barriers removed and skills increased
Finance, benefits and debt	<ul style="list-style-type: none"> • Stable and lawful income with reduced debt • Improved skills to manage finances
Family and significant others	<ul style="list-style-type: none"> • Safe and positive intimate relationships • Improved family relationships/parenting capacity
Lifestyle and associates	<ul style="list-style-type: none"> • Have pro-social support and interests • Negative associates have less influence
Emotional and personal well-being	<ul style="list-style-type: none"> • Improved coping skills and strategies • More able to comply with treatments/medication
Addictions and dependencies	<ul style="list-style-type: none"> • More able to manage high-risk situations. • Specialist support accessed
Mentoring/social inclusion	<ul style="list-style-type: none"> • Successful transition e.g. from custody to community • More able to manage challenging situations and to engage with services and other opportunities

3.3. Resettlement services and interventions procured via the Dynamic Framework

Summary

Effective resettlement interventions act as enablers in supporting individuals to adapt and re-integrate into community life, build a crime-free lifestyle and network of support. Basic resettlement needs on leaving prison or moving on from approved premises, include somewhere to live, a means to

support oneself via paid employment and access to benefits. We want to ensure all individuals who are moving from custody to the community have access to resettlement interventions. The same categories of services are available for those on community orders as part of rehabilitation including accommodation.



Dynamic Framework suppliers will include resettlement services and interventions to be accessed and made available on and before release from prison, as well as during move-on from an approved premise and the Bail, Accommodation and Support Service.

Our service intent for those being released from prison is to ensure services are place-based. This means, where possible, we want services to be delivered where the

user is living in the community with some flexibility for services to be delivered during pre-release or from the prison gate. We want to avoid procuring services that start and end in prison without some continuity of service after release or which duplicate other services or responsibilities. We will only procure services that are not already part of the core offer in our future reception and resettlement prisons across England and Wales.

Rehabilitation services via the Dynamic Framework: requirements of future providers

This list is not exhaustive and further information will be provided in commercial documents/specifications.

Services will be:

- ▲ Delivered through regional probation structures.
- ▲ Mostly delivered from the community 'reaching-in' to prison.
- ▲ Inclusive of a 'meet at the gate' requirement, to support transition from prison back to the community.
- ▲ Require delivery in the location where the individual resettles.
- ▲ Evidence led and based on tried and tested approaches to support transition and resettlement.
- ▲ Tailored to individual's needs, behaviours and circumstances.
- ▲ Meet range of diverse needs, e.g. for women, young people.

Interventions should:

- ▲ Adhere to pre-release sentence plan objectives.
- ▲ Be tailored and not standardised.
- ▲ Meet pre-release, at gate and continue post-release.
- ▲ Delivered in place where individual is being resettled, not just where prison is based.
- ▲ Reach in, not reach out - avoid duplication with services bring provided by prison in prison.

3.4. Resettlement from custody into the community: the future model

Design principles

Stability - ensuring Sentence Management delivers resettlement assessments, pre-and-post sentence planning, identifies, controls and sequences the right interventions at the right time and place. This will ensure people have one pre-and-post release plan and one person who is accountable for their transition.

Getting the basics right - ensuring we learn from lessons in through-the-gate and provide a more effective, efficient model which is measurable, and allows sufficient time to make the changes from current through-the-gate to new model.

Quality - placing all resettlement interventions onto the Dynamic Framework based within each probation region will allow for better relationships between Probation Practitioners, prison staff and suppliers.

Value for money - by removing duplication of roles, tasks, products and system processes between prison and probation work.

Evidence of effectiveness

Our starting point has been to consider how we can best reduce reoffending for those being released from prison into the community, and apply the evidence on effective working to promote this outcome.

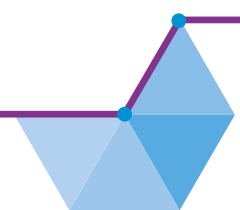
Our intended outcome for a new resettlement approach is based on:

- ▲ **Protecting the public**, ensuring our Sentence Management practice across the community and the prisons is tight and prioritises this.
- ▲ **Reducing unnecessary duplication** of work and roles between prison, probation and supplier of intervention services.
- ▲ **Enhancing integration and community inclusion** through achieving positive change in the lives of individuals released from prison, through tailored locally based interventions.

Feedback on current through-the-gate

In 2018, we surveyed and held focus groups for up to 300 CRC and NPS staff across England and Wales as well as over 250 individuals who had recently been released from prison and had direct experience of through-the-gate. Our key findings included:

- ▲ Better use should be made of through-the-gate products (Basic Custody Screening Tools).
- ▲ There is a need to remove duplication and the complexity of through-the-gate.
- ▲ The role of the Sentence Manager requires enhancing.
- ▲ A firmer grip is required regarding those on very short prison sentences.
- ▲ Anxiety and wellbeing should be considered as factors hindering change at the time of release.



Since 2018, £22m per annum has been invested to enhance through-the-gate delivery and the benefits of these enhancements are starting to be realised, with evidence from Her Majesty's Inspectorate of Probation that in some places improved through-the-gate delivery and alignment with the community is happening. However, with the wider changes taking place across the system affecting this area, we are still of the view that a revised resettlement model takes the best from through-the-gate, and will be the most effective and efficient way to support prisoners released from prison.

Resettlement equalities

The approach to resettlement in the unified model will take into consideration all protected characteristics. We will consider, for example, an ability to purchase, through the Dynamic Framework, services specific to young-adults, women, and black and Asian people and people of other minority ethnic groups.

Complex Needs - The introduction of the pre-release OASys assessment - completed by the Probation Practitioner - supports a comprehensive assessment for those with complex needs. The Probation Practitioner will be responsible for all pre-release activities between eight and seven months pre-release (or from the start of sentence for those with less than 10 months to serve at the point of sentence), providing a longer timeframe to assess need and prepare the individual for release.

We are working with NHS England on their Reconnect pilots to ensure the health navigator role is designed to support those released from prison and with complex needs, with improved access into health pathways in the community which adds value to the resettlement model for individuals with complex needs as well as for others.

Addressing the opportunities for tomorrow

The features of the new resettlement approach are described, as follows:

It considers how we can build on information gathered in the courts in the form of a post sentence interview and how this interview will immediately identify what can be sustained (job, benefits, housing) for those sentenced to short periods in prison. The early gathering of this information about practical need enables us to share information with prisons and act on it. The more we can do at court the more the prisons can do at reception to build on it.

For all those receiving custodial sentences with less than 10 months left to serve at point of sentence, we have created a pre-release role for community Probation Practitioners who will be required to assess, engage, motivate and sentence plan release while also actively engaging with individuals subject to probation services, prison keyworkers, Probation Practitioners, Senior Probation Officers and operational governors. There will be dedicated short sentence teams focused on short prison cases, with local flex within probation regions to decide on scope and where this team sits.

We are keen for HMPPS to adopt an Integrated Offender Management team approach for short prison sentences for probation regions to consider the co-location of police, volunteers, health and prison staff to provide rapid multi-agency approaches.

For those on longer sentences (serving 10 months or more), the resettlement model aligns tightly with Offender Management in Custody, the handover of Sentence Management accountability shifting from prison to community Probation Practitioners eight to seven months pre-release. As with the shorter sentences, we will specify what pre-release activity entails and what outputs and outcomes we will expect to see achieved.

In addition to the enhanced pre-release support, we are specifying community Probation Practitioners offer two weeks of enhanced post release support to ensure barriers into interventions or contingences that may need enacting are speedily recognised and acted on.

There will be a new performance framework for resettlement. Resettlement assessments and sentence planning will be undertaken using OASys and N-delius.

Resettlement interventions will be delivered from the Dynamic Framework. We have embedded the services from the enhanced through-the-gate specification into the competitions for the Dynamic Framework. Our focus is ensuring assessment of risk, need and circumstances drives the referral and that interventions are tailored to what best promotes desistance for each individual and delivered at the right time and in the place where the individual is released to and will reside, not where the prison is based.

We will coordinate the use of core services - which will also be available in prisons - to avoid commissioning the same services to deliver the same provisions in the same places.

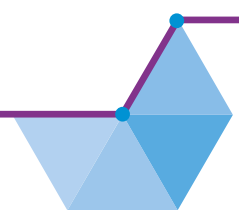


Figure 15. Outline of the future Resettlement model

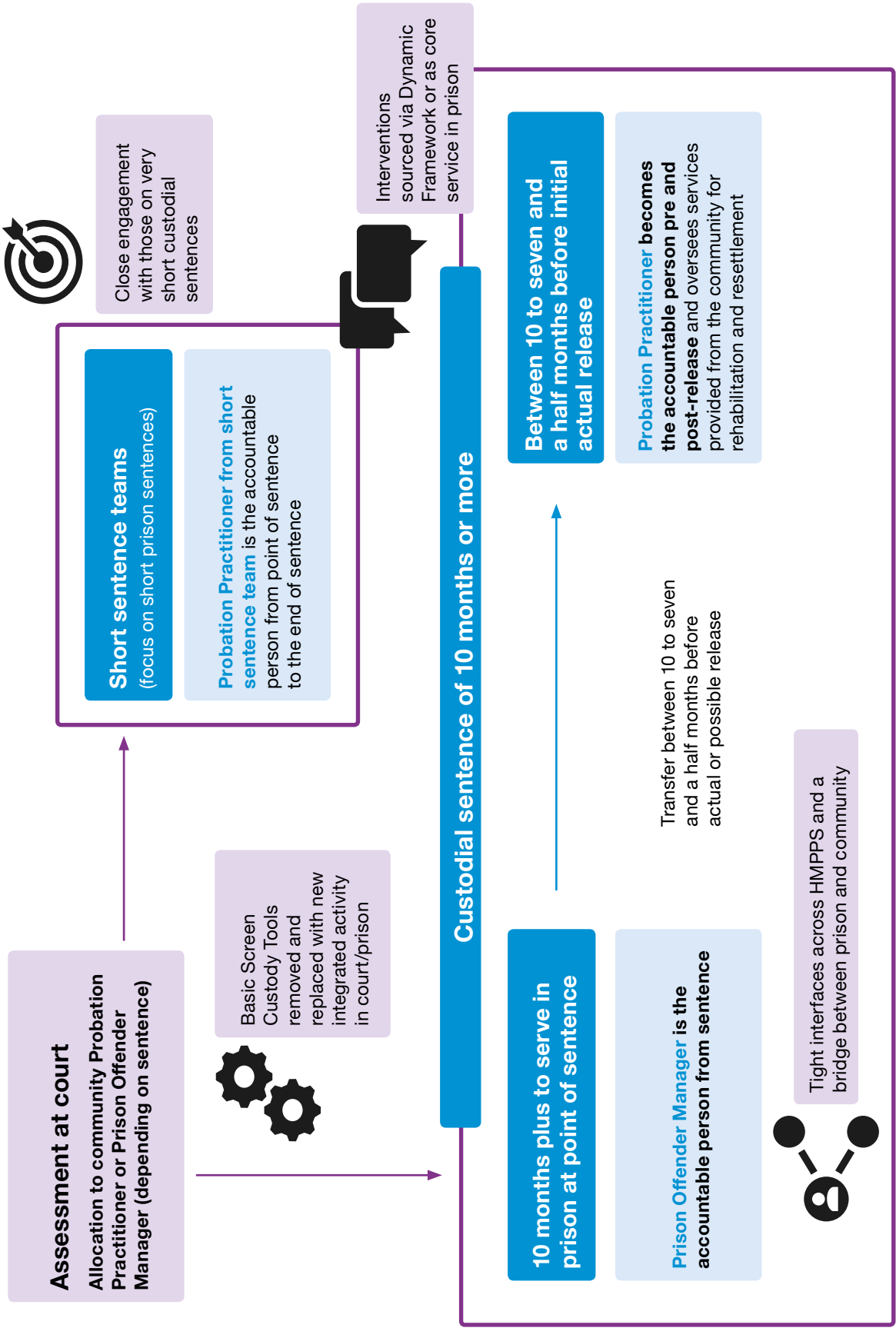


Figure 16. Outline of how Offender Management in Custody aligns with the future Resettlement model

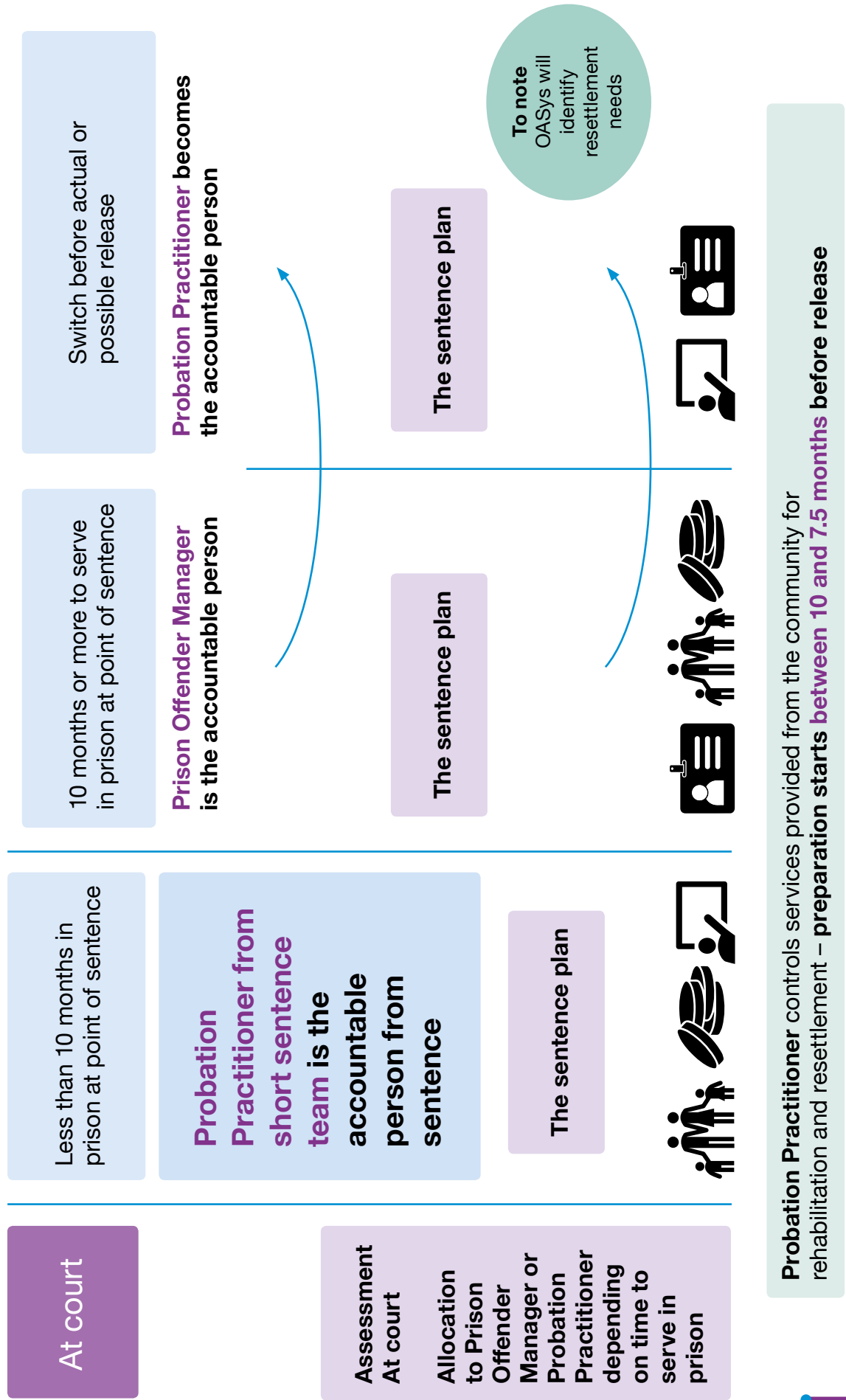
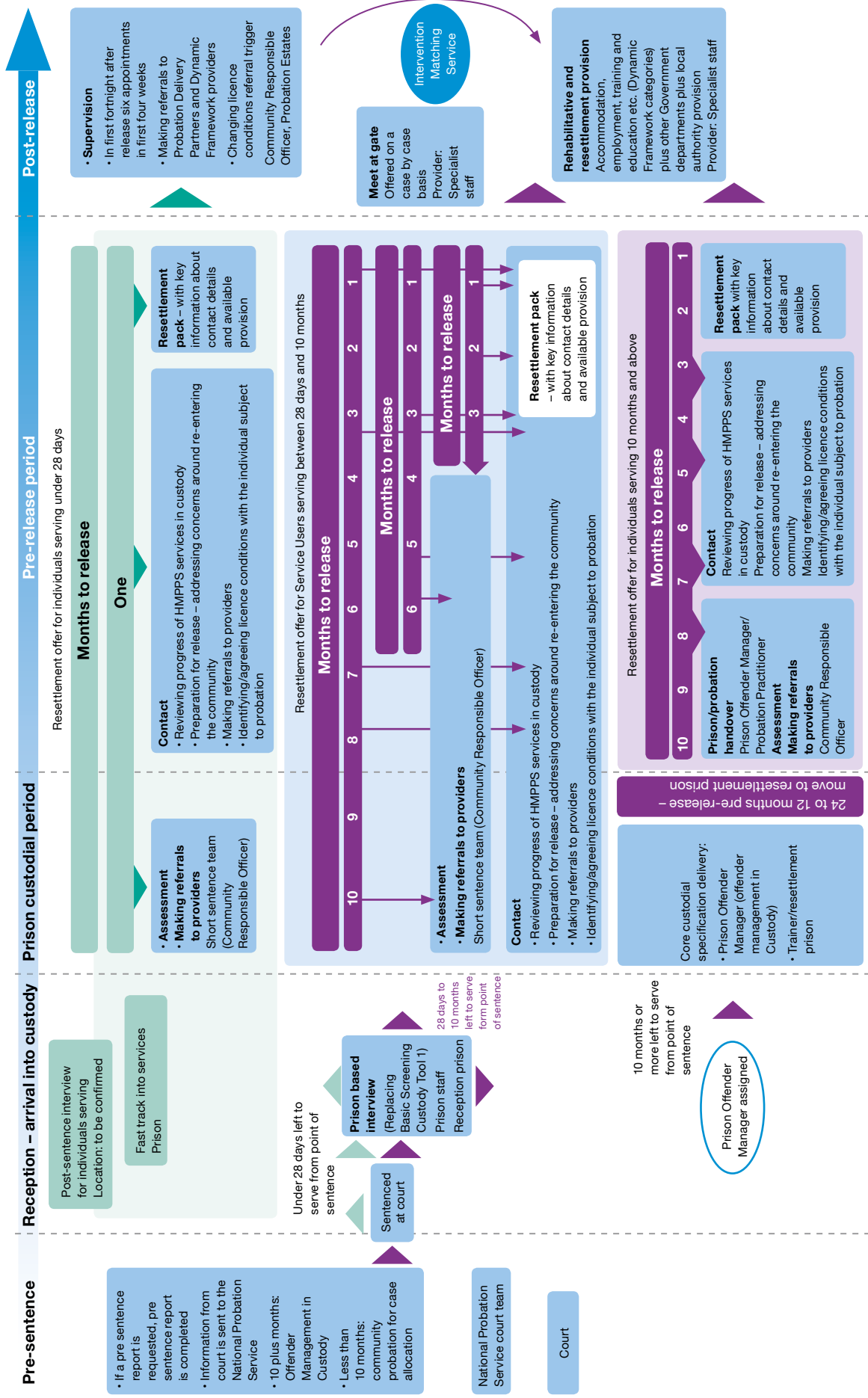


Figure 17. Outline of how the future resettlement model aligns with Offender Management in Custody and the wider future model for probation



4. Probation Delivery Partner

The Probation Delivery Partner is a contracted provider accountable for the delivery of Unpaid Work, Accredited Programmes and Structured Interventions. In each of the 12 regions, subject to successful competition, there will be a single Probation Delivery Partner procured through a national competition by HMPPS.

Probation Delivery Partners will be responsible for the delivery of Unpaid Work, the majority of Accredited Programmes (with the exception of men convicted of sexual offending and programmes delivered by the NPS to address extremist offending) including delivering Accredited Programmes in prisons in Wales and Structured Interventions covering the three areas of emotional management, attitudes, thinking and behaviour and domestic abuse.

The core principles for this relationship between HMPPS/NPS and the Probation Delivery Partner will be:

- ▲ Aligned vision, culture and behaviours that support a rehabilitative culture.
- ▲ A commitment to work with and across multiple agencies and delivery partners.
- ▲ A true partnership ethos, with a joint vision and joint working to address any issues encountered by either party.
- ▲ Respect by the partners for the individual needs and accountabilities of each party.
- ▲ A clear focus on evidence-informed practice, innovation and continuous improvement in service delivery.

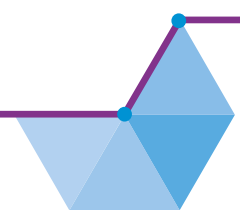
4.1. Design rationale for the Probation Delivery Partner

Design principles

It is important that the implementation of the sentence starts promptly and correctly. This requires an assessment that identifies available interventions within the sentence that best meets the needs of the individual subject to probation services. We will ensure that all individuals who are eligible and suitable attend the accredited programme that best meets their criminogenic needs and for Unpaid Work, that sufficiently good quality placements will be available so that stand downs are avoided and 'on the job' training and education opportunities are provided as appropriate. Services will be locally delivered by trained and supported staff. All cases will be reviewed to ensure that they complete within the timescale set by the court.

What we know is effective based on evidence

The body of research on promoting desistance from offending informs our approach. Engaging with individuals subject to probation services with a meaningful pro-social approach improves the likelihood of successful completion and a reduction of reoffending. For Unpaid Work, individuals who recognise the benefit of the work they are doing are more likely gain rehabilitative insights from the sentence. For Accredited Programmes and Structured Interventions, evidence suggests that matching the right people to the right intervention will improve outcomes and, the suitability and eligibility checks built into the design will also help improve these outcomes.



Research on pro-social modelling and procedural justice reinforce the expectation that trained and supported staff further improves the rehabilitative outcomes of the sentence. To support this, the contracts will require Probation Delivery Partners to provide suitable trained staff in the delivery of interventions to increase rehabilitative outcomes.

Equalities considerations

There will be a greater emphasis on suppliers to give consideration to groups with specific needs and vulnerability. This includes ensuring that women subject to probation services are offered the opportunity not to be placed in an all-male environment. These considerations are contractualised and will ensure that suppliers are providing adequately for individuals with specific needs as well as being explicitly attentive to the nine characteristics protected under the Equality Act 2010. A more robust initial assessment of individuals subject to probation services will provide Probation Delivery Partners with a clearer understanding of those individuals' needs. The reforms will present an opportunity to encourage the development of programmes aimed specifically at women, young-adults and black and Asian people and people of other minority ethnic groups.

Feedback on current model (“fixing the problems of today”)

We want to improve on the completion of court orders. Currently, this area is not performing as we would expect. Within Unpaid Work, a sufficient number of quality placements that improve the availability of educational and training opportunities is required. Also required is the availability of placements within the

local area of individuals subject to probation services. This will reduce travel time which currently is too long in some cases. We will seek to ensure that all eligible and suitable individuals attend the appropriate Accredited Programmes or, where this is not possible, a Structured Intervention with an evidence-base.

Addressing the “opportunities of tomorrow”

The service delivery model ensures an improvement in quality with improved access to services that support rehabilitation, promote access to employment, and reduce reoffending. Whilst securing best value for money the systems also allows flexibility to continually improve and develop services locally through the Regional Probation Directors in conjunction with the Probation Delivery Partners.

Other benefits

The future delivery model seeks to improve sentencer confidence in sentence requirements by expecting Probation Delivery Partners/Dynamic Framework providers to share information about available interventions and placement provision and improved compliance outcomes.

Accounting for the differences in Wales

There is no appreciable difference in the way the Probation Delivery Partner will function in England and Wales except that in Wales only the Probation Delivery Partner will provide accredited programmes in custody.

4.2. How the Probation Delivery Partner will work

We want to maintain a strong mixed market with clearly defined roles for Probation Delivery Partners and providers of services through the Dynamic Framework. HMPPS will place contractual requirements on Probation Delivery Partners with respect to how they deliver specific elements of delivery. The Probation Delivery Partner will work with the NPS Regional Director to seek ways to innovate and improve the quality of service delivery.

This will include capability to design and test new interventions (either with a view to getting these accredited or to be run as Structured Interventions), but we are also clear on the importance of getting the basics right and setting out minimum expectations for providers and delivery standards.

To ensure both the NPS and the new Probation Delivery Partner have a strong working relationship, the dependencies on which both will rely on are set out clearly in the contract arrangement. Also, the service level agreements, the revised version of national standards, the data waiver process and the provision of a clear escalation process should any issues arise, will provide confidence for both parties and a means for clarifying any areas of contractual ambiguity.

We will continue to work closely with our partners, and plan to take opportunities to co-commission with local partners (such as Police and Crime Commissioners, Local Authorities and Health Commissioners) those services that are central to reducing reoffending.

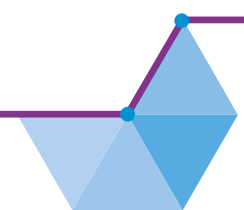
The new contracts will ensure that the Probation Delivery Partner will provide services which take into account the

protected characteristics as listed in the Equality Act 2010, with a particular focus on black and Asian people and people of other minority ethnic-groups, women, care leavers and those previously excluded from engaging in Accredited Programmes and Structured Interventions. By having just one Probation Delivery Partner for each NPS probation region, it will reduce the complexity for Probation Practitioners in procuring intervention services and drive an increase in the use of suitable interventions. This could lead to another benefit of reducing reoffending as individuals are engaging with the right interventions at the right time and reducing the risk of reoffending.

To aid sentencing decisions, Probation Delivery Partners will be required to provide a directory of services to the NPS, which describes the range of placements available. The directory will be updated on a quarterly basis and will be used by NPS Court Practitioners supplying advice to court for sentencing. A range of placements are required to allow local delivery and meet the risk and needs of individuals subject to probation services.

4.3. Unpaid Work services via the Probation Delivery Partner

The Probation Delivery Partner will be notified of all new requirements post sentence. The NPS Probation Practitioner will undertake a full risk and needs assessment and complete the Unpaid Work Assessment form within 10 business days of sentence. The assessment is used to allocate the requirement to the Probation Delivery Partner and will indicate the type of placement most appropriate for the individual, any specific requirements or restrictions, including risk or identification



of need and may include the use of the 20% allowance for education, training or employment related need. If the individual is unemployed, the Unpaid Work Assessment will also indicate the Probation Practitioner's expectation for the number of Unpaid Work Hours to be scheduled each week, that build to the required intensive level of 28 hours per week. The Sentence Plan completed by the NPS Probation Practitioner will reflect the Unpaid Work Assessment. The NPS will be held to account for the timely delivery of this assessment through performance measures and National Standards monitoring.

The Probation Delivery Partner will source a range of work placements that benefit the community and will use information from the Unpaid Work Assessment to match appropriate individuals with the most appropriate placements that address the identified risks and need. The individual will receive a full Unpaid Work induction and instruction to attend a first work session within 10 days of allocation to the Probation Delivery Partner. The induction will provide information and instruction on Unpaid Work rules and regulations, compliance, expectations of behaviour and health and safety.

The new contracts provide the opportunity to increase the level and scope of work placements available to meet the requirements of the court. This will bring sufficient high-quality group and individual placements that are available locally and meet individuals' risk and need, and particularly for those who pose a high risk of harm. Women subject to probation

services will be offered a choice not to be placed in all male work environments and appropriate placements will be sought in the local community to meet diverse needs. The Probation Delivery Partner is required to avoid the use of stand-downs⁷ through the provision of sufficient placements and a degree of flexibility alongside other strategies that will avoid short notice cancellation of an individual's work sessions under any circumstances.

A system will be in place so that local people and community organisations can identify work projects for Unpaid Work teams to complete. Probation Delivery Partners will actively seek the views of local people and organisations when adopting new Unpaid Work projects.

Local nominations for work projects can be made by the public through the government nominations website and through websites managed by the Probation Delivery Partner. Liaison arrangements with the Police and Crime Commissioner, Community Safety Partnerships and other community forums will ensure that community leaders and local officials fully understand the contribution that Unpaid Work can make to local initiatives. These links will help to develop new project work and ensure that all sections of the local community benefit from the work delivered through Unpaid Work.

The new contracts provide the opportunity to maximise the value of education, training and employment opportunities available

⁷Stand downs refers to a scenario where an individual reports for the Unpaid Work placement but is 'stood down' due to a local of placement availability. This can be demotivating and impact on compliance. Frequent stand downs undermine confidence in the sentence as well as making it more difficult for the individual to complete the required hours within the legal timeframe.

through Unpaid Work placements for eligible individuals. The main pathway to address education, training and employment needs remains with the Rehabilitation Activity Requirement as a specific element of the sentence. However, considerable potential remains within the Unpaid Work requirement for on the job training and skills development that can support future employment opportunities. A feature that defines a 'good quality' placement is one that can utilise the 20% allowance for education, training and employment activities for eligible individuals. While there is no expectation that separate or specific education, training and employment activities (e.g. job applications or writing a curriculum vitae) will be provided, there is an expectation that, where appropriate, an individual will be supported to attend at a training provider to supplement on the job training. In these circumstances this activity can qualify as part of the 20% allowance for education, training and employment within the requirement hours.

Good quality work placements will be available in the local community. Travel time of individuals will be limited to a maximum of 90 minutes each way, of which a maximum of 60 minutes each way can be spent under supervision (usually a crew bus) and credited against the sentence of the court.

Throughout the delivery of the sentence all enforcement decisions and appropriate action will remain with the NPS Probation Practitioner. Providers will be required to inform the Probation Practitioner within one business day of any failures to attend or other compliance issues so that enforcement decisions can be made.

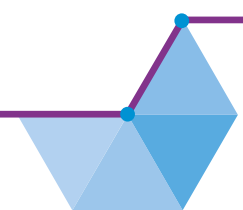
A review of all active cases will take place at the six-month and nine-month stages of the requirement to ensure that all hours are completed within the 12-month period prescribed by the court. The Probation Delivery Partner will be required to have appropriate systems in place to ensure completion of hours within timescale and to ensure that reviews take place and are shared with the Probation Practitioner so that appropriate action is taken.

At the end of the requirement, the Probation Delivery Partner will provide the Probation Practitioner with an overview of the individual's compliance with the requirement including attitude and behaviour and any education, training and employment activity undertaken and awards gained.

Unpaid Work - summary

Unpaid Work, also referred to as Community Payback, is a requirement attached to a community or suspended sentence order. It can also be made as part of a supervision default order and enforcement order but cannot be a licence condition. In the year 2018-19, over 5.3 million hours of Unpaid Work benefited local communities in England and Wales. Courts can impose between 40 and 300 hours reflecting the seriousness of the offence. Employed individuals must do a minimum of seven hours a week, unemployed individuals will be expected to carry out an intensive regime working up from a minimum of seven hours per week to a maximum of 28 hours a week.

Unpaid Work is one of the most commonly used requirements and enables individuals to make direct reparation for their crime by undertaking work which provides benefits to the local community.



It is primarily used by the courts as a punishment as it deprives individuals of their free time. It can also support rehabilitation by instilling a work ethic and routine, teaching co-operation and work-related skills, equipping individuals with experience that can help improve their employability and promote reintegration into the community. All Unpaid Work requirements must be completed within 12 months of sentencing.

Unpaid Work can be delivered in a group or one-to-one setting. Examples include gardening, painting and decorating, ground maintenance and work in charity shops. Women have an option to not be placed in an all-male environment.

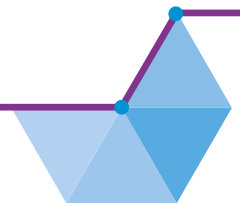
Up to 20% of the sentence of the court can be used for education, training and employment activity if a need is identified. This activity has been under-utilised in current contracts. Our future model will encourage bidders to develop models that maximise usage of this allowance where appropriate to do so.

Unpaid Work cannot directly replace paid employment and providers cannot profit directly from the work. However, it can generate income to contribute to the cost of delivery (e.g. the costs of materials). Work should benefit the local community, and the views of local people and stakeholders should be considered when identifying potential work placements.

Unpaid Work: requirements of future providers

- ▲ The delivery of a range of placements, providing opportunities for group and single placements for all individuals. The development of new or innovative approaches to work projects.
- ▲ The provision each quarter of information to NPS Court and Sentence Management Teams that sets out the range of placements available.
- ▲ The allocation of individuals to placements that best manage risk and meet needs. This will include offering the opportunity for women not to be placed in all male environment.
- ▲ The commencement, within 10 working days of referral.
- ▲ Delivery of an Unpaid Work induction to individuals prior to commencement of the first work session. This will include information about Community Payback rules, health and safety and the responsibilities and rights of individuals subject to Unpaid Work.

Unpaid Work: requirements of future providers

- ▲ Individuals should travel no more than 90 minutes each way to a placement to ensure that they are located within their local community. A maximum of 60 minutes of this time can be counted as hours worked if transported by the Probation Delivery Partner under supervision.
 - ▲ A requirement to share information relating to compliance or risk within one business day using the Authority system to ensure that any relevant enforcement action is undertaken.
 - ▲ Partnership working, for example the office of the Police and Crime Commissioner, Community Safety Partnerships, and other community forums, will ensure that work placements meet the needs of the local community and ensure that all sections of the local community have an opportunity to benefit from the work delivered through Community Payback.
 - ▲ Completion of requirements within 12 months.
 - ▲ A case review will take place at the six-month and nine-month stage of the order and shared with the NPS Probation Practitioner to ensure that the requirement will complete all hours within the 12-month period as required.
 - ▲ The Probation Practitioner is notified when the hours sentenced have been completed.
 - ▲ Provision of services that address needs around education, training and employment opportunities to enable up to 20% of the sentenced hours to be used for this purpose where a need is identified.
 - ▲ Sufficient quality placements are available so that stand downs are avoided.
 - ▲ Work placements will be available to meet the needs of people with protective characteristics.
 - ▲ Community Payback Supervisors will undertake, as a minimum, introductory training in health and safety, first aid, the core principles of Unpaid Work, safeguarding; PREVENT ; risk awareness; dealing with challenging behaviour, pro-social modelling and diversity.
 - ▲ Community Payback Supervisors will receive ongoing professional development in the core requirements but may also include wider practice issues e.g. engaging with those individuals subject to Unpaid Work, support and motivation compliance, problem solving techniques to model life skills, domestic abuse and substance abuse awareness, procedural justice and positive reinforcement and desistance.
 - ▲ The list of requirements is not exhaustive and further information will be provided in commercial documents/specifications.
- 

The operating model for Unpaid Work will improve the quality of service delivery and increase sentencer confidence in the delivery of the sentence of the court. This will be achieved through the provision of a comprehensive assessments that will support the induction and most appropriate placement allocation of the individual. The availability of sufficient good quality placements within the local community that are delivered by staff who are appropriately trained is a requirement of the contract.

The NPS will be held to account for timely delivery of the Unpaid Work assessment and further communication with the Probation Delivery Partner through performance monitoring and national standards. The appropriate level of good quality work placements made available by the Probation Delivery Partner will be monitored.

4.4. Accredited Programmes via the Probation Delivery Partner

Accredited Programmes are the intervention of choice for HMPPS, as they are supported by a robust evidence base. We want to ensure that the right suite of Accredited Programmes is available, at sufficient frequency and in locations to meet the risk and need of the probation caseload. Probation Delivery Partners will be contracted to deliver the Thinking Skills Programme and Building Better Relationships Programme in all regions.

A number of other Accredited Programmes addressing other needs, such as Resolve and Building Skills for Recovery are currently being delivered in some contract package areas. Where these programmes are currently being delivered, we will expect

Probation Delivery Partners to continue to deliver them in those locations only (this is to ensure continuity of service at the point of transition to the new probation model). They will not be required to deliver these programmes in parts of the new region where the programmes are not currently delivered. Following the point of transition, Regional Probation Directors will be able to, if they feel the offer needs to change, commission or decommission services.

In the future, additional Accredited Programmes may be commissioned by the Regional Probation Director based on regional need or may be decommissioned if need/demand decreases.

Probation Delivery Partners must deliver the programme in accordance with the programme manual including the recording of sessions for audit purposes. This includes using suitable venues as described in the relevant programme manuals and as such, it essential that it is located within an environment which is supportive of rehabilitation and in good order to meet the necessary health and safety requirements as well as have consideration for practical arrangements to enable individuals who are physically impaired and/or those with learning and literacy needs to fully engage with the programme.

⁸PREVENT is part of the Government's counter terrorism strategy. PREVENT aims to stop people becoming terrorists or supporting terrorism.

We expect Probation Delivery Partners to deliver Accredited Programmes in the locality that the individual subject to probation services resides, where this is possible. The maximum time that an individual will be expected to travel to attend a programme will be 90 minutes each way (this will be a contractual requirement). The maximum time is expected to be the exception and a rationale for the length of travel time will be expected to be recorded for audit purposes.

To aid sentencing decisions, Probation Delivery Partners will be required to provide a directory of Accredited Programmes to the NPS, which describes the range of programmes available and their delivery location, updated on a quarterly basis for use by both NPS Court Practitioners supplying advice to court for sentencing and the Probation Practitioner.

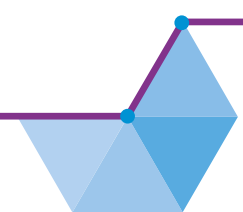
The NPS will identify all eligible and suitable cases at the pre-sentence or pre-release stage and will propose an Accredited Programme when there are no barriers to attendance. While we will maximise pre-sentence proposals for Accredited Programmes, we will nonetheless maintain an option for identification of eligible cases post-sentence and delivery under a Rehabilitation Activity Requirement, post-sentence supervision, licence or release on temporary licence. This should increase the number of Accredited Programmes being completed compared to the current system as improved suitability and eligibility checks will ensure better matching of individuals to Accredited Programmes. It is our priority to ensure that only people assessed as eligible undertake Accredited Programmes. The identification of eligible individuals will be undertaken by the NPS. The Probation Delivery Partner, however, will

be responsible for checking eligibility and suitability and referring cases which are considered ineligible or unsuitable to the NPS to take back to court for resentencing.

Evidence suggests that Accredited Programmes are effective when targeted at the right individuals and, therefore, the 'risk, need and responsivity' principle should always be considered within eligibility and suitability checks. Evidence does suggest that lower risk individuals are unlikely to benefit or be harmed by intensive interventions and will form a part of the decision of whether an Accredited Programme or Structured Intervention is better suited.

When an individual is sentenced to an Accredited Programme requirement the Probation Delivery Partner will be informed on the day of sentence. Where an NPS Probation Practitioner identifies a need for an Accredited Programmes as part of a licence condition or post-sentence supervision they will be referred to the Probation Delivery Partner. This will enable the Probation Delivery Partner to plan programme delivery and anticipate volumes.

A formal referral will take place when the Probation Practitioner judges that the individual is 'programme ready'. The assessment of programme ready made by the Probation Practitioner ensures motivational work has been completed and that there are no practical reasons such as ability to attend, substance misuse or work pattern that will prevent an individual from completing the programme. This decision will be transmitted electronically, either through the Authority System, or via secure email. Access to the Authority assessment and contact record will be provided.



Accredited Programmes: review and enforcement

Throughout the delivery of the sentence all enforcement decisions and appropriate action will remain with the NPS Probation Practitioner. Probation Delivery Partners will be required to inform the NPS Probation Practitioner in a timely manner of any failures to attend or other compliance issues so that enforcement decisions can be made. Probation Delivery Partners should also keep a record of these communications for audit purposes.

A review of each case will take place at the three-month prior to the end of an order/licence to ensure an Accredited Programme is completed in time. The review is a shared responsibility of the NPS and the Probation Delivery Partner and aims to ensure that all programme requirements are completed as prescribed by the court.

At the end of the Accredited Programme, the Probation Delivery Partner will be expected to provide the Probation Practitioner with a detailed post-programme report as detailed in the programme manuals. The post-programme report will provide details on levels of engagement and programme content covered and include information relating to levels of engagement and understanding of the content, attitudes, behaviours and any changes in their risks or needs.

Accredited Programmes: specific cohorts

Probation Delivery Partners are expected to provide Accredited Programmes for those individuals who are assessed to be eligible and suitable to attend an Accredited Programme, with delivery models which maximise individuals' ability to attend. There is an expectation that Accredited Programmes are tailored to meet the diverse needs of the local population, with a focus on black and Asian people and people of other minority ethnic groups, women, carers, care leavers and those with learning difficulties and learning challenges which were previously excluded from this type of intervention. Contractualising the need for eligibility and suitability checks to be completed by both the NPS and the Probation Delivery Partner should drive up completion rates of programmes by having the right people on the right programmes. This in turn should help reduce the risk of reoffending and therefore go towards one of the main aims of further protecting the public.

Accredited Programmes - summary

Accredited Programmes are a requirement of a Community Order or Suspended Sentence Order and can also be delivered on post-release licence/post-sentence supervision. They are structured and evidence-based programmes which address key behaviours that are associated with offending. In 2018, 14,700 Accredited Programmes (as part of a Community Order or Suspended Sentence Order) were commenced.

⁹<https://www.gov.uk/government/statistics/offender-management-statistics-quarterly-october-to-december-2018>

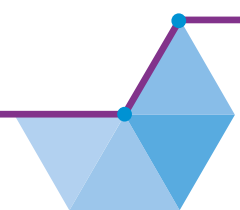
¹⁰<https://www.gov.uk/guidance/offending-behaviour-programmes-and-interventions>

An Accredited Programme is a programme which has been accredited by the Correctional Services Accreditation and Advice Panel, an independent, expert advisory panel for the Ministry of Justice who accredit programmes and provide independent evidence based advice on the development of criminal justice services. Accreditation indicates that the programme has been independently assessed as being based on the best available evidence and likely to be effective if well-implemented. The programmes accredited by the Correctional Services Accreditation and Advice Panel are typically interventions that address entrenched anti-social thinking, attitudes and behaviours that lead to reoffending. Accredited Programmes vary in length and intensity but are structured interventions which are underpinned by an operating manual which covers all the delivery requirements, including facilities, staffing, training and delivery.

Accredited Programmes are a statutory sentencing option under the 2003 Criminal Justice Act. This requires the Government to identify a suite of Accredited Programmes for delivery as a requirement of a Community or Suspended Sentence Order. Accredited Programmes are continually monitored in line with accreditation standards.

Evaluation of programmes is a complex and time-consuming task. There is good evidence, both internationally and nationally, to support the use of Accredited Programmes. For example, there is good evidence for our cognitive skills offer (robust evaluations exist in relation to both the Thinking Skills Programme and its predecessor (Enhanced Thinking Skills), showing that, when implemented correctly, it can reduce reoffending). All Accredited Programmes are subject to independent

evaluation by the Correctional Services Accreditation and Advice Panel. Our programmes are subject to continuous improvement in line with the latest evidence about what works. The Probation Delivery Partner will be required to deliver the programme in line with the new programme manual and ensure staff are suitably trained with the new materials. In the event of an Accredited Programme not being renewed by the Correctional Services Accreditation and Advice Panel after the current accreditation expires, then this programme will no longer be available for delivery as an Accredited Programme.



Accredited Programmes: requirements of future providers

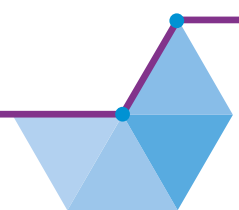
This list is not exhaustive and further information will be provided in commercial documents/specifications.

- ▲ The Probation Delivery Partner will deliver both the Thinking Skills Programme and Building Better Relationships Programme.
- ▲ The Thinking Skills Programme is for adult men and women with a medium/high risk of reoffending. It supports participants to develop thinking (cognitive) skills to manage risk factors, develop protective factors and achieve pro-social goals. The maximum number of participants in a group is 12, with a minimum of four. The optimum number of participants for group work is eight. The Thinking Skills Programme is 19 sessions long, consisting of 15 group and four individual sessions. Each group session lasts between two and two and a half hours with a break. Individual sessions should last between 50 minutes and one hour. Sessions must be delivered at a rate of one to four sessions per week, with no more than one session per day. Sessions can be delivered in a fixed or rolling group format.
- ▲ The Building Better Relationships Programme is for adult men convicted of an intimate partner violence offence. It is a moderate intensity cognitive behavioural programme which recognises partner violence offences are a complex problem which is likely to have multiple causes. The Building Better Relationships Programme responds to individuals' needs and provides opportunities to develop skills for managing thoughts, emotions and behaviour. The maximum number of participants in a group is 12, with a minimum of four. The optimum number of participants for group work is eight. The Building Better Relationships Programme is made up of 29 group and individual sessions. There are three core modules preceded by a foundation module and two preparatory one-to-one sessions. Each group session lasts two and half hours with a break. Individual sessions last one hour. Sessions can be delivered in a fixed or rolling group format. Partner link workers are allocated to the partners or ex-partners of men attending the programme.
- ▲ Practitioners delivering these interventions will be required to undertake specific training requirements, as set out by the programme manual.
- ▲ Probation Delivery Partners will be required to deliver new Accredited Programmes as they become available and have the potential to design, develop and test new programmes in partnership with HMPPS.
- ▲ Providers will ensure that interventions are responsive to people's circumstances and characteristics and place emphasis on the needs of women, black and Asian people and people of other minority ethnic groups, young adults and those with learning difficulties and challenges, including care leavers.
- ▲ The Probation Delivery Partner for Wales will be expected to delivery Accredited Programmes in the custodial setting as well as the community.

Table 3. Additional programmes currently being delivered by CRC

Additional programmes	Resolve	Drink impaired drivers	Building skills for recovery	Breaking free (online)
Thames Valley CRC	X			
Warwickshire and West Mercia CRC	X	X		
Kent, Sussex and Surrey CRC	X	X		
Derbyshire, Leicestershire, Nottinghamshire and Rutland CRC	X	X		
Staffordshire and West Midlands CRC	X	X	X	
London CRC	X	X		
Cumbria and Lancashire CRC	X	X		
Essex CRC	X	X	X	
Hampshire and the Isle of Wight CRC	X	X		
Merseyside CRC	X	X		
Cheshire and Greater Manchester CRC	X	X		X
West Yorkshire CRC	X	X		
Humberside, Lincolnshire and North Yorkshire CRC	X	X		
Dorset, Devon and Cornwall CRC	X	X		
Northumbria CRC	X	X		

*This table names only those CRCs which currently offer programmes in addition to Thinking Skills Programme and Building Better Relationships programmes. Not all CRCs, therefore, are listed.



4.5. Structured Interventions via the Probation Delivery Partner

Probation Delivery Partners will also deliver Structured Interventions, which are rehabilitative interventions with a consistent delivery model for lower risk individuals not suitable for an Accredited Programme.

The three areas of need identified for these Structured Intervention are:

- ▲ Attitudes, Thinking and Behaviour.
- ▲ Domestic Abuse.
- ▲ Emotional Management

Probation Delivery Partner are to ensure Structured Interventions provided:

- ▲ Can be assessed for effectiveness against the principles of the Correctional Services Accreditation and Advice Panel.
- ▲ Have a core fixed number of sessions with pre-set content which everyone receives.
- ▲ Have a primary aim to secure cognitive change with specific staff training required.
- ▲ The delivery model can be group or one-to-one.
- ▲ The planned sessions will be the primary activity which will meet the need (liaison with local statutory services, e.g. housing, is not needed for these interventions).
- ▲ Probation Delivery Partners are responsible for securing the outcomes.

Structured Interventions are designed to fit with the broader sentence plan to maximise the opportunity to reduce the likelihood of reoffending. Referral will take place following a full assessment and completion of a sentence plan and may reflect the need to sequence a range of activities throughout the sentence. The referral will be transmitted electronically to the Probation Delivery Partner either through the Authority system or via secure email.

To aid sentencing decisions, Probation Delivery Partners will be required to provide a directory of Structured Interventions to the NPS, which describes the range of interventions available and their delivery location, updated on a quarterly basis for use by both NPS Court Practitioners supplying advice to court for sentencing and the NPS Probation Practitioner.

When an individual is sentenced to a Rehabilitation Activity Requirement or for those on licence, post-sentence supervision or on release on temporary licence, the Probation Practitioner will assess the needs of that individual and if the need is focused in one of the three areas of criminogenic need identified for Structured Interventions, the Probation Delivery Partner will be commissioned to deliver the intervention. It is expected that the Probation Delivery Partner will liaise closely with the Probation Practitioner to agree the right time to commence the intervention, to enable the Probation Delivery Partner to plan programme delivery and anticipate volumes.

We expect Probation Delivery Partners to deliver Structured Interventions in the locality that the individual subject to probation services resides, where this is possible. The maximum time that a user will be expected to travel to attend an intervention will be 90 minutes each way, although the maximum time is expected to be the exception and a rationale for the length of travel time will be expected to be recorded for audit purposes.

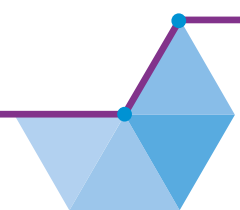
Throughout the delivery of the sentence all enforcement decisions and appropriate action will remain with the Probation Practitioner within the NPS. Probation Delivery Partners will be required to inform the NPS Probation Practitioner in a timely manner of any failures to attend or other compliance issues so that enforcement decisions can be made. Probation Delivery Partners will also be expected to keep records of these communication for audit purposes.

A review of each case will take place at the three-months prior to the end of an order/licence to ensure the Structured Intervention is completed in time. The review is a shared responsibility of the NPS and the Probation Delivery Partner and aims to ensure that the requirements are completed as prescribed by the court.

At the end of the Structured Intervention, the Probation Delivery Partner will be expected to provide the Probation Practitioner with an overview of an individual's compliance, engagement and understanding of the content including information relating to attitudes and behaviour and any changes in their risks or needs.

Probation Delivery Partners will have access to the Authority system to record Structured Intervention delivery to reflect the number of days/sessions, the needs addressed, interventions selected, the activity undertaken and the outcomes secured.

Probation Delivery Partners are expected to provide Structured Interventions to meet the diverse need of the individuals in that area. There is an expectation that interventions are tailored to meet the diverse needs of the local population, with a focus on black and Asian people and people of other minority ethnic groups, women, young adults, care leavers and those with learning difficulties who were previously excluded from this type of intervention. By providing this service for the whole community that it services, both the NPS and Probation Delivery Partners will be able to help protect the public and reduce reoffending by engaging individuals on the right interventions and at the right time within their sentence plan. This should help drive up completion rates and positively engage individuals which in turn should help reduce the risk of reoffending and therefore go towards one of the main aims of protecting the public.



Structured Interventions: Requirement on future providers

Delivery of a range of Structured Interventions, providing opportunities for group and one-to-one interventions for all individuals.

- ▲ The Probation Delivery Partner will deliver Structured Interventions which fall under the areas of attitudes, thinking and behaviour, emotional management and domestic abuse.
- ▲ Probation Delivery Partners will be encouraged to design, develop and evaluate additional Structured Interventions, where there is an identified need in the three areas of attitudes, thinking and behaviour, emotional management and domestic abuse, subject to being able to demonstrate a secure delivery model which ensures timely access.
- ▲ Provision of information to the NPS on a quarterly basis, setting out the range of Structured Interventions available, for use by both the Probation Practitioner and court advice teams.
- ▲ A minimum level of training for staff and continuous professional development delivering Structured Interventions.
- ▲ Probation Delivery Partners will be required to work closely with the Probation Practitioner, providing notification of non-compliance (such as failure to attend) or an indication of increasing risk, to ensure that any relevant enforcement action is undertaken. All information is shared through the Authority system with an additional email for significant risk information.
- ▲ The venue for Structured interventions should have a travel time of no more than 90 minutes each way for individuals subject to probation services.

Figure 18. Process flow for Unpaid Work Requirements

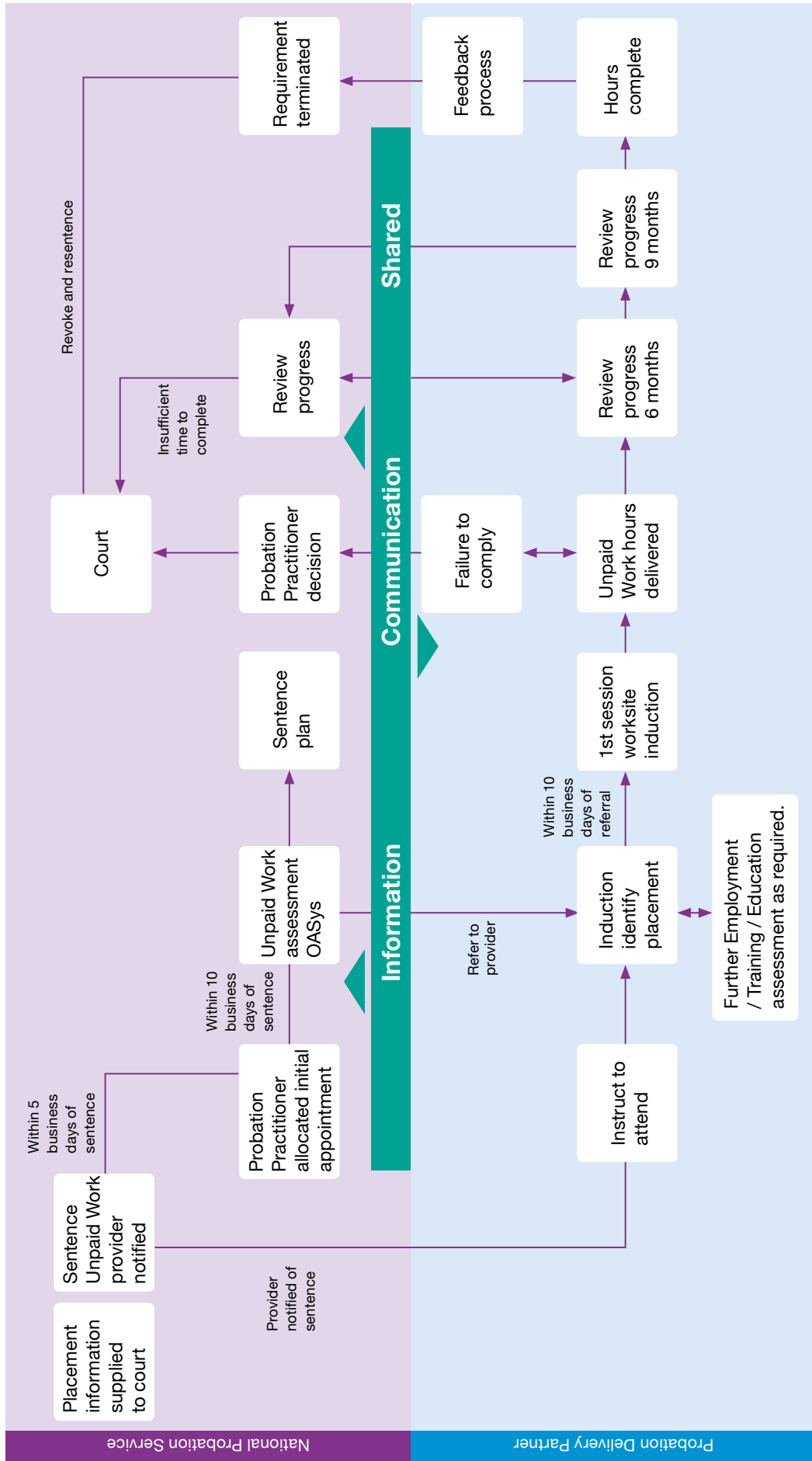


Figure 19. Process flows for Accredited Programmes

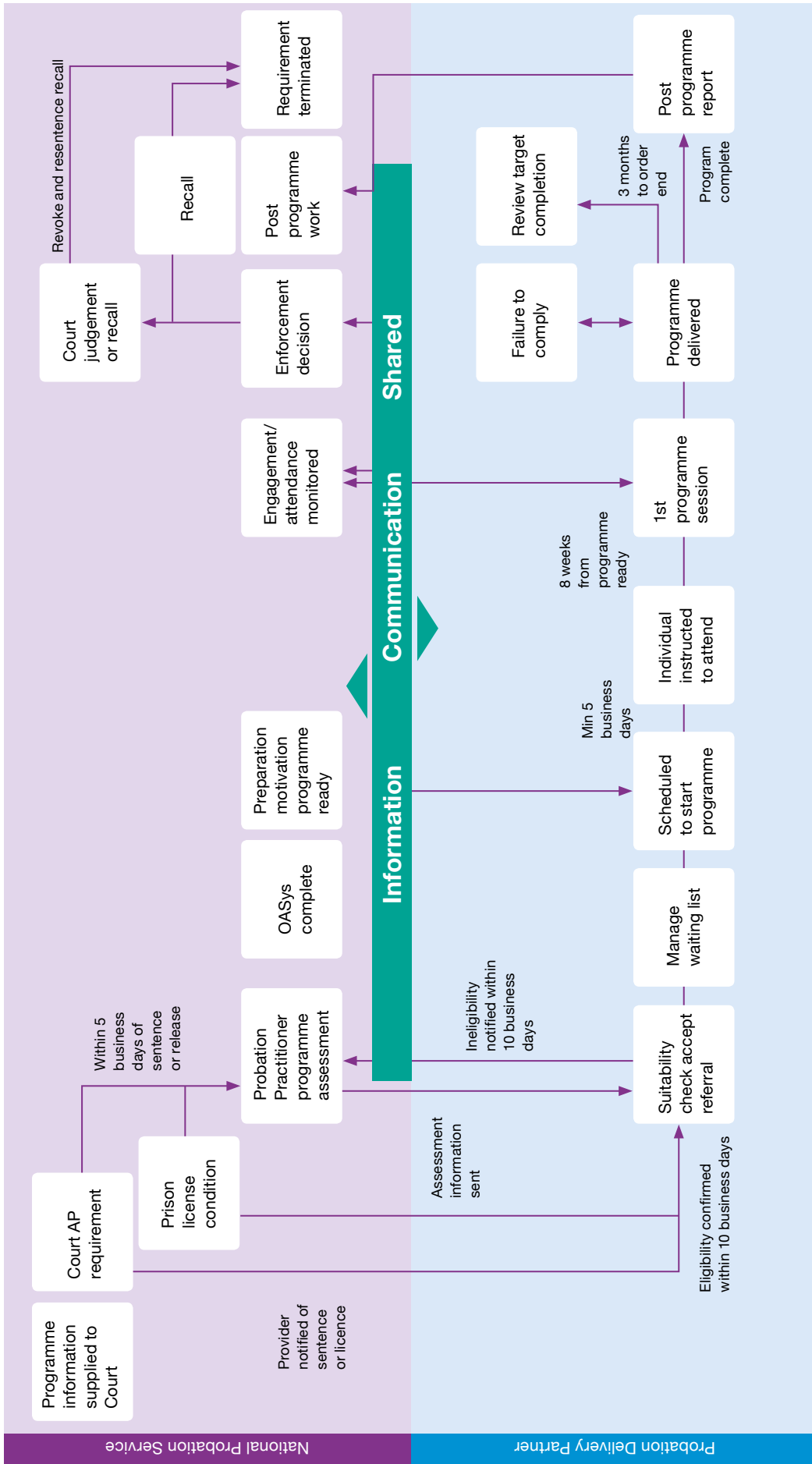
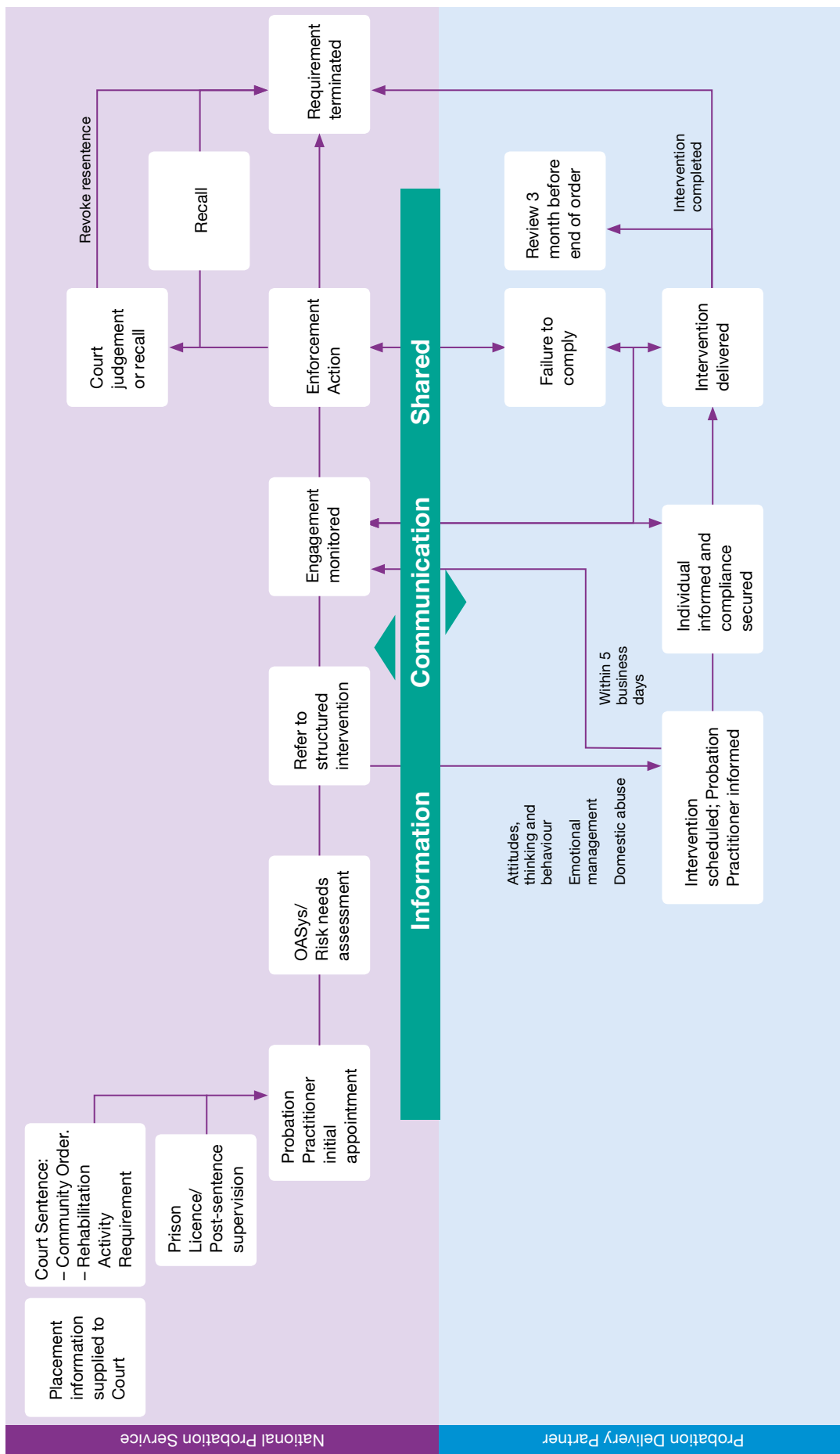


Figure 20. Process flow for Rehabilitation Activity Requirements, post-sentence supervision, licence or release on temporary licence



5. Interfaces between NPS and providers

Design rationale

We want to have the business architecture in place to enable the interfaces between the NPS and the outsourced interventions within the future probation unified model. This will need to support the individual journey from court, all the way through to management of the case in the NPS, and any delivery of interventions either through the Dynamic Framework and/or the Probation Delivery Partner. It will be set explicitly in the wider HMPPS context and reflect the Agency's wider vision, values and strategic plans.

5.1. How it will work

We have currently identified three key areas for review and development to enable the commissioning models to work. These include:

Understanding demand to identify service requirements

We want to ensure that within each region we have processes in place to support the requirements to understanding demand to inform future commissioning requirements and manage services.

Data will be a crucial requirement to success of regional delivery of the new commissioning arrangements. We will review data requirements and data flows and ensure we have the right data to support requirements for the region as well as the capability for analysis to understand local needs.

Access to services

We want probation staff to know what services are available locally and to have a robust process in place to support them accessing the intervention. We are intending to develop a digital 'service catalogue' which will allow staff (both from court and in local delivery units) to have up to date information on services available from the Dynamic Framework and the Probation Delivery Partner and where possible services that can be accessed locally by anyone entitled to do so (including, as a citizen, the individual subject to probation services).

We will be reviewing referral processes and feedback mechanisms on progress and updating these to avoid duplication and make them as clear and accessible as possible for Probation Practitioners. This will allow them to spend more time with the individual rather than on administrative processes to support the referral and booking processes or seeking feedback on the individual's attendance. This is consistent with the wider HMPPS strategic principle to modernise our estates and technology. We will assess who is best placed to manage and coordinate these referrals and whether dedicated resourcing is required to support these processes.

Commission and contract management of the service

We intend to create a regional structure and a strategic planning process for the regions that allows them to:

- ▲ Plan and prioritise with explicit reference to the HMPPS business strategy.
- ▲ Set out in specific and measurable ways their delivery intentions and their evidence-based prioritisation of services.
- ▲ Demonstrate proactive adherence to the public-sector equality duty with clear consideration of each protected characteristic.
- ▲ Have a process to agree and source services.
- ▲ Support delivery.
- ▲ Assess and review the outcomes.
- ▲ Be responsive and change future priorities in light of delivery, demand and evidence information.

To do this, regions will be structured with the skills and capability to support the new commissioning requirements as part of the Dynamic Framework. We will need to be able to develop specifications and manage a competitive process for call-off contracts to support local requirements.

Contract management will be embedded within the region to manage the contracts for the Dynamic Framework and the Probation Delivery Partner. We will need to ensure that the staff and processes support the new contract requirements and have sufficient capacity to cater for the number of contracts with differing levels of value.

Commissioning and contract management staff will need to work closely with the performance and quality teams to ensure that the data we have is supporting all areas of the interfaces between NPS and service providers.

Our intention is that wherever possible we will look to embed new processes within current planned structures and where additional skills, capability and capacity is required we will incorporate this within the regional structures that are being developed.

We are also reviewing the role certain functions play within HMPPS and the Ministry of Justice and how these align with the requirements within the regions in the new model to understand roles and responsibilities, what is done best nationally or regionally and ensure alignment and streamlining of activity across the system. Central to this decision-making process will be reviewing current or planned activity in relation to the wider HMPPS and the Ministry of Justice's priorities and plans.

We are committed to improving the user experience for Probation Delivery Partners and Dynamic Framework providers through this work. We are keen to understand how to reduce the administrative burden on providers, how to facilitate compliance with contractual agreements, and what processes, systems and interfaces are best placed to enable providers to share relevant information with probation staff at the right point in time. Key to this will be to design a system that allows the regional leadership to create and demonstrate a high performing service. An essential tool to allow this to happen across the regions will be the use of a common business planning approach with agreed terms and products which reflect and conform to the wider HMPPS strategic planning approach.

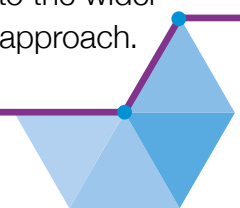
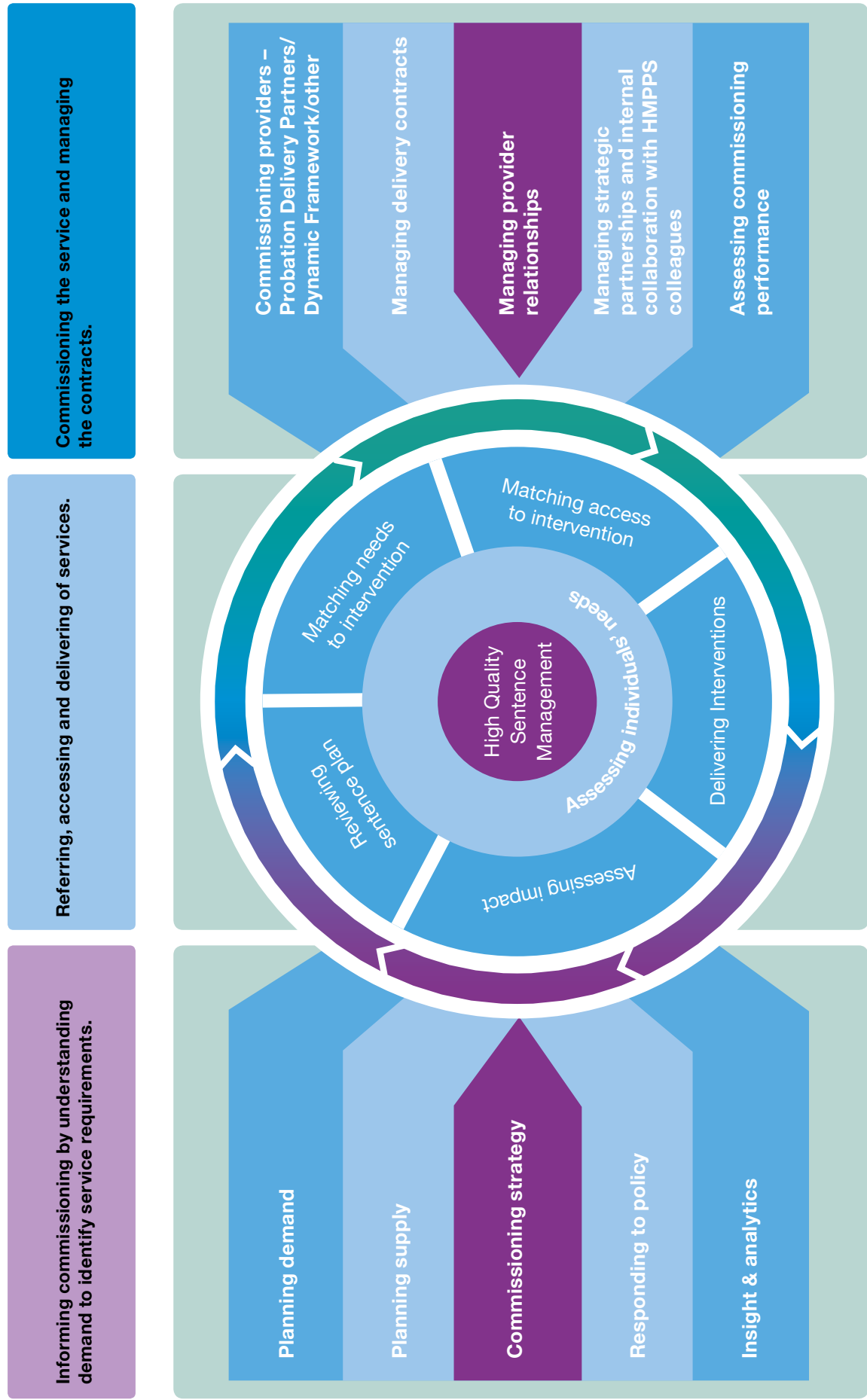


Figure 21. The three key areas for review and development to enable the commissioning models to work



6. Enabling people to be their best: workforce management and professional recognition

6.1. People, organisation design and key roles

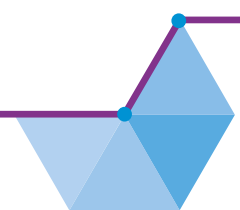
Who do we need?

Staffing, and having an appropriately trained and motivated workforce across the probation system and HMPPS as a whole, is crucial to reducing reoffending and protecting the public. This is consistent with HMPPS's strategic outcome of a diverse, skilled and valued workforce. People are the probation system's greatest asset, and we need to do all we can to make sure they are properly equipped to do their jobs and given the opportunities to enhance their professional skills and develop rewarding careers. We will not be able to do this without our staff across the system being engaged and providing a quality service. We need to equip our probation staff to deliver the probation reform agenda, across both the NPS and future contracted provision, and to develop the capability of our staff, as part of the HMPPS workforce, to ensure the effective management of individuals.

Our new model will ensure that the whole system for probation is appropriately resourced and supported. We will take targeted action to ensure we have the right number of staff within the NPS, and support them to develop evidence based and cutting-edge skills as they take on the full scope of Sentence Management. It is right that the public sector manages the greatest risks to public protection. We are aware of the need to recruit more probation officers and the important work they do in supporting individuals.

We want to ensure that staff are equipped for the future, and are given the opportunity to develop the skills to deal with changes to caseload, to respond to changes to policy or technology and to work collaboratively with colleagues in HMPPS and with partners in the criminal justice system through an enhanced learning and development offer. We must also ensure that there is sufficient commissioning capability within the regions which will allow us to buy in services through the Dynamic Framework. Our enhanced learning and development offer for staff will support this by enabling staff to build upon and maximise their specialist commissioning capability.

The changes we have announced are about strengthening probation services and supporting staff delivering these services.



Organisational construct

The senior management structure that will directly report into the Regional Probation Director at a regional level will consist of a head of operations, head of community integration, commissioning and contract management, head of performance and quality, and head of corporate services.

NPS operational delivery will be managed by a head of operations who will report directly to the Regional Probation Director. Delivery will be structured around a geographically based Probation Delivery Unit model which allows appropriate alignment with local authority areas and engagement with larger local partnership arrangements. These Probation Delivery Units will be headed by a single head of service and within them, teams will undertake Sentence Management of all individuals, ensure the needs of all individuals are met, provide advice to courts and focus at local level on the HMPPS strategic outcomes, which include protecting the public, reducing reoffending and high-quality Sentence Management. As part of that, we will attend to our responsibilities towards victims and in the safeguarding of vulnerable children and adults.

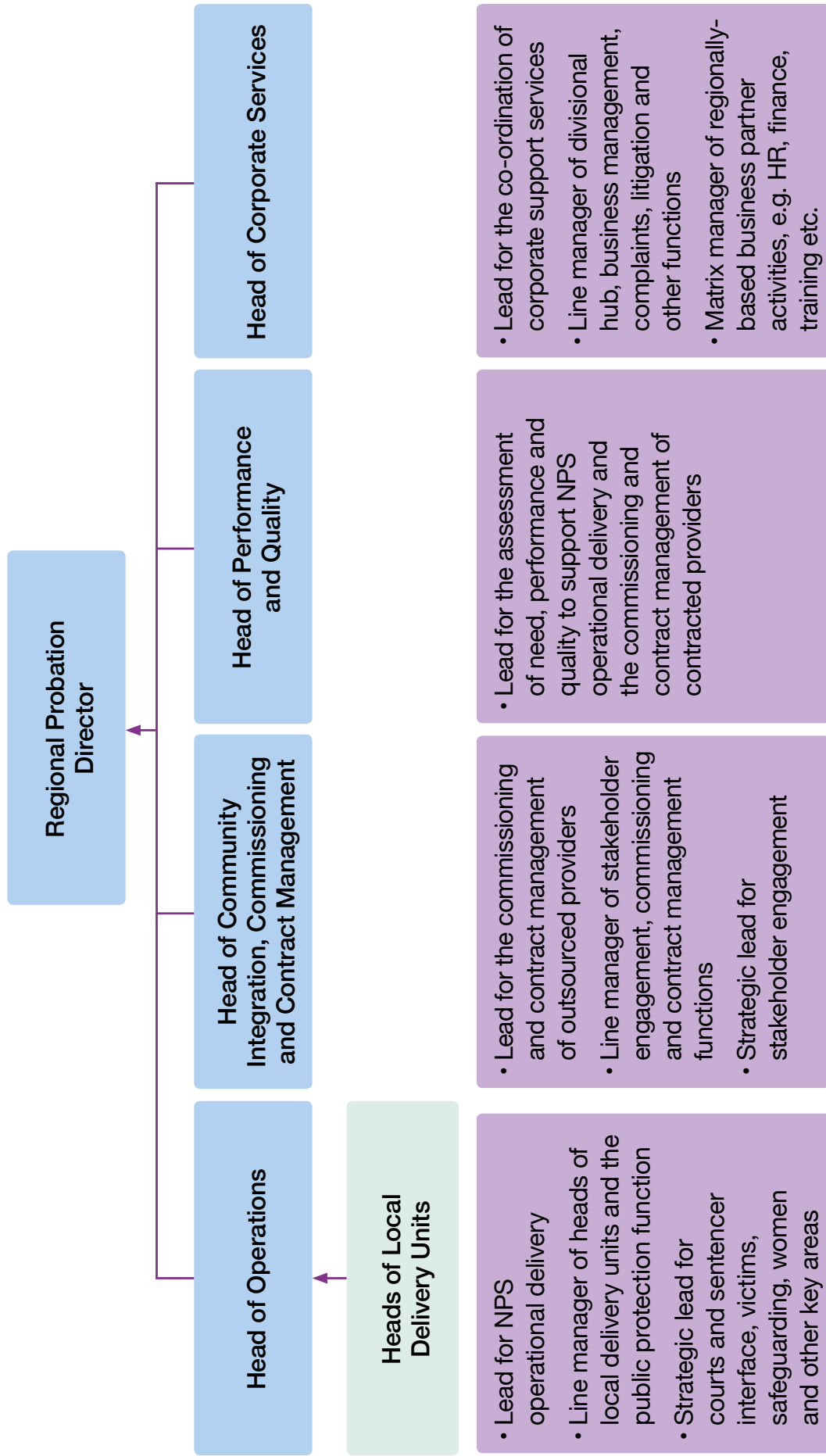
To bring together the stakeholder engagement, commissioning and contract management function there will be a head of community integration, commissioning and contract management in each region. This will ensure there is a dedicated focus on ensuring that the right services are in place to meet the needs of individuals subject to probation services and that probation is influencing locally so that opportunities for partnership-working and co-commissioning are fulfilled.

These areas will be supported by a performance and quality team led by a head of performance and quality, who will be responsible for analysing performance and quality of service delivery, assessing overall need and driving quality improvement.

A head of corporate services will oversee the range of corporate functions and relationships with HQ business functions that are critical for supporting the smooth running of each region.

There will be some variance to these structures to account for difference in regions and local ways of working. Additional resources will be invested within each function to account for the known challenges of delivery consistency in a setting of significant regional variation in business needs and volume. However, this will remain consistent with the overall design and regional resource allocation. The regional delivery and management structure will also be supported by a range of central functions and the head of community integration will work closely with prison group director/s and prison governors within the region.

Figure 22. The regional senior management team



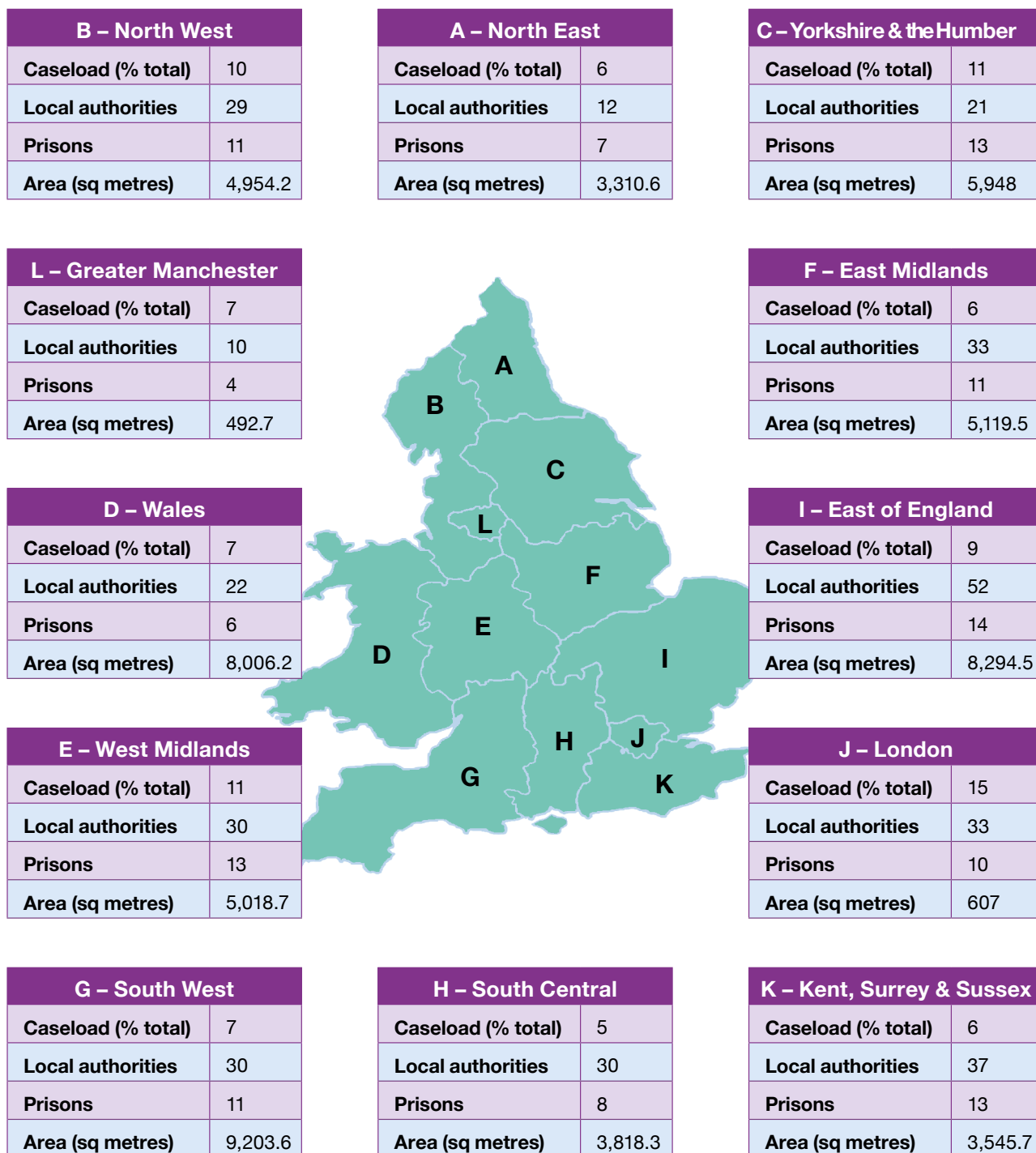
Staff security and vetting policy

Providers will have the option to employ individuals who were formerly subject to probation services, and volunteers e.g. peer mentors. This will, however, be in line with currently agreed HMPPS vetting processes. Where an individual who was formerly subject to probation services potentially may fail the standard vetting checks, providers can use the 'Standard Plus' policy which builds on the Cabinet office strategy 'Going Forward for Employment.' They need to use additional risk criteria, undertake a risk assessment and ultimately the provider needs to sign-off against the individual that they are confident they can manage the risk.

7. Modernising our estate

Regional construct (11+1 regions)

Figure 23. Numbers of probation cases, local authorities and prisons by probation region and region size



7.1. Base level requirements for future estate

As part of our new plans to transition Sentence Management to the NPS we will inherit a significant amount of property/estate from the existing CRCs. Initial estimates suggest that this will be more than we require, and plans are in place to ensure that we manage this new estate effectively and efficiently. 'Modernise our estates and technology' is one of the four principles in the HMPPS business strategy that will frame future plans for our Agency.

7.2. Requirements for future providers

To support operations in the future, the programme has identified a set of base-level requirements and ideal operating characteristics that should form part of the NPS estate solution and modernisation agenda.

- ▲ Legislative and regulatory compliant - an estate that meets all legislative and regulatory compliance requirements in respect of health and safety, access and equality.
 - ▲ In good repair - adequately invested in. Fabric, mechanical and electrical (if applicable) elements are in good working order with no major backlog repair issues, or requirements.
 - ▲ Digitally and technologically enabled - to ensure that the building is provided with the appropriate ICT infrastructure to maximise current and future developments.
 - ▲ Secure - properties equipped with all necessary security installations for the protection of staff, visitors and individuals subject to probation services.
 - ▲ Security of tenure - appropriate tenure arrangements in place to support ongoing occupation without the threat of potential forced moves.
- In addition to the base-level requirements, the NPS estates design guide establishes a number of characteristics that demand a robust and modern estates platform:
- ▲ Keeping staff and individuals subject to probation services safe: physical and covert technological security measures (CCTV or key fobs) that support operations and protect and reassure staff.
 - ▲ Promoting the well-being of staff and individuals subject to probation services: modern fit-out, and facilities (e.g. soft seating, and kitchenette provision) supported by an effective facilities management provision.
 - ▲ Delivering accessibility and equality via design: promoting accessibility via signage and physical features and adherence to estates design, equalities, and accessibility guides to eliminate discrimination, harassment, victimisation or conduct prohibited by the Equality Act 2010.
 - ▲ Supporting the sustainability agenda: Investment in physical building features (e.g. energy and water efficiency and solar photovoltaics solutions where possible), ensuring works comply with the Government Greening Commitment, and construction legislation, including Government buying standards.

- ▲ Robust asset management: a confirmed estates strategy supported by appropriate funding to support future operational requirements by a planned forward maintenance programme and adherence to best practice sustainability, accessibility and equality guidance.

Although the Authority will be able to offer some space for use by partnering organisations as detailed below, where this is not possible, it is expected that bidders will need to source their own properties.

Further data collection work is being led by the Probation Programme, working closely with CRCs and NPS estates managers, to establish the costs and tenure information of standalone Unpaid Work sites, offices where Unpaid Work activities are taking place and a list of premises in each region. We are further undertaking condition surveys and space utilisation audits of premises that are Sentence Management contact centres where Unpaid Work activities are taking place. This will outline key information on the estate and help demonstrate regional key towns and cities and coverage for planning purposes.

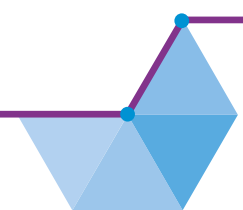
8. Modernising our technology and digital services

In order to deliver their responsibilities effectively and to be able to inform practice with continuous learning, probation staff should be supported by the right systems and access to accurate and relevant data. The Authority's current probation systems are in need of modernisation as the current applications do not meet the needs of users and require front-line staff to spend a large proportion of their time on basic administrative tasks, rather than adding real value as probation professionals. Simplified

business processes and accompanying digital services delivering efficiencies are necessary. In building new digital services, we will be able to connect data, and use it to inform decisions, resulting in better outcomes for society.

We have the opportunity to transform the way we make decisions in probation by collecting the right data about each individual, including outcomes, connecting and storing it efficiently, continuously learning, and ensuring data and insights are embedded into the day-to-day routines of probation staff and shared where appropriate with custodial colleagues in HMPPS. A seamless view of the individual through their sentence and rehabilitative journey, joining up data, needs and risks from custody (where applicable) through to outcomes will be at the heart of the Digital and Data strategy for probation, as part of the wider HMPPS plans. Over the next 10 years we need to transform our service delivery, effectively - managing the sentence at court, in the community while obtaining and securely accessing our central catalogue of interventions and services. In delivering this, our aims are to ensure that for probation staff:

- ▲ Information is collected once, connected with an individual's digital record and available at any point going forward.
- ▲ Up to date, optimised insight from aggregate, holistic data is drawn through to support front line decision making about individuals.
- ▲ Individuals' complex journeys through our system become tractable - we understand effectiveness - we can drive live local decision support in a holistic way.



Where possible, application development will be undertaken in-house and in accordance with government digital standards. The wider developments within HMPPS in relation to digitalisation will see the progressive enhancement of the applications supporting prison and probation through the development of services targeted to discrete user needs and journeys which will build upon and replace the current systems.

In developing new digital services, we will make use of newer technologies that better serve the evolving needs of users and provide appropriate protection of their personal data. We will ensure services always meet the minimum viable needs of their users and then seek to drive efficiencies and improvements across probation. Our ambition is to replace our current siloed and outdated systems with a set of strategic digital and data services that are:

- ▲ Consistent in look and feel.
- ▲ Easy to integrate with, for both internal and external partners.
- ▲ Easier to update, extend and replace.
- ▲ Cheaper to operate, run and maintain.
- ▲ Supported by digital teams focussed on continuously improving functionality to meet evolving user needs.

In delivering this, the Authority will aim to deliver services for the NPS, Probation Delivery Partners and suppliers under the Dynamic Framework that:

- ▲ Support transformed business processes which relieve staff of arduous and difficult administrative tasks.
- ▲ Better utilise data to inform professional judgement.

- ▲ Allow more focussed work with individuals to achieve our common business outcomes.
- ▲ Improve support for commissioning as well as the management and performance of the NPS and our delivery partners.
- ▲ Both the NPS and delivery partners will use the Authority's core probation systems and new digital services in the delivery of probation services in England and Wales.
- ▲ Our new services will be designed to be highly secure, incorporating the latest innovations in cybersecurity and able to operate in zero-trust networks, and thus available over the internet, removing the need to maintain a secure link via a Public Services Network connection. Probation Delivery Partners and suppliers under the Dynamic Framework will be expected to access the systems and services from their own infrastructure and technology.

8.1. Data strategy

We recognise the value of treating data as a strategic asset, and the need to establish a strong evidence base on reoffending to help us better understand the needs of individuals and how best to work with them.

Reducing reoffending is a core aim of HMPPS and the Ministry of Justice. However, there are some significant evidence gaps and the evidence base has been relatively static in recent years. For example, the currently defined prolific cohort is so large and variable that more research is needed before specific recommendations can be made to the Probation programme. As a result, over the coming years we are planning to invest in our data infrastructure to deliver the data we need to answer these questions.

We will do this via digital transformation. We will design our digital services and architecture to collect the right set of data, make it less onerous to collect, stop bad data getting in, and make it easier to connect and analyse.

We can then use the latest cutting-edge, ethical data science and artificial intelligence/machine learning techniques to generate insights in near-real time (across our system), and share these with front-line users at the point of decision.

Ultimately, we want to change what making a data-driven decision feels like for our staff. Currently, if the data and evidence to support a decision (e.g. booking an intervention) exists, our staff need to undertake a separate process to access that data/evidence (e.g. consult the policy guidance, read a published article, find a report, or use an existing tool) and apply this to their practice.

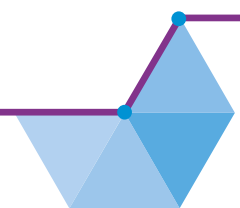
In future, we can continuously develop our evidence base with a combination of qualitative and quantitative (e.g. machine learning) methods, and recommendations can be made to staff within workflows (e.g. when booking an intervention, we can present staff with the supporting data/evidence for each available option and a recommendation based on their specific case, for their professional judgement).

8.2. Digital transformation

As we develop new digital services, we will seek to learn from the systems and applications that CRCs have developed, and we will utilise the knowledge and experience of our practitioners from CRCs and NPS in making improvements to our systems.

A large part of the digital transformation will focus on replacing our legacy systems and infrastructure with digital Services developed using cloud-native principles. Creating services that are:

- ▲ Highly secure - providing the highest level of assurance for the protection of our data and ensuring users have the right level of access.
- ▲ Highly scalable - services that are responsive under load, ensuring that systems scale up automatically so that there is no degradation of service during periods of high demand and that they scale down appropriately to reduce over spend on redundant capacity.
- ▲ Highly resilient - that they implement best practices in fault-tolerance and allow for self-healing and recovery, thus ensuring that failures in one part of the eco-system do not impact the remainder of the service.



- ▲ Highly observable - that we are able to observe and record every aspect of our services, including usage patterns, performance, bottlenecks and potential issues. Allowing us to proactively monitor and correct any issues, with the aim of having zero-downtime across the eco-system.
- ▲ Highly responsive - that the services are easy to update, amend, integrate with and replaceable if required. Allowing us to quickly implement changes that are needed as well as providing us the ability to test changes quickly and gather data about the effectiveness of the changes prior to national rollout. Development of revised systems will initially focus on day-one requirements for summer 2021, but systems will be designed so that they can be further developed and built upon in order to achieve a comprehensive set of digital services that will transform our assessment practice and support the improved management of individuals and the ultimate reduction in reoffending. We recognise that partners may seek to introduce their own supplementary systems to support delivery but expect the core Authority systems to be used.

All probation services will directly use the appropriate elements of the case management and risk assessment systems and new digital services provided by the Authority.

The three main systems currently in use are:

OASys: The risk and needs assessment tool used across prison and probation services.

National Delius (nDelius): The Authority's sentence management system and repository of the case record for individuals managed by probation.

Interventions Manager: a tool used for tracking the delivery of Accredited Programmes.

It is expected that specific changes to current systems will be required to support the delivery of interventions by third party delivery partners under the proposed future model. Work is needed to establish the most effective way of sharing required information to support delivery and contract management.

System changes will need to be made to support the new organisational structures, payment mechanism and performance frameworks. There will be a long-term aim to enhance the use of data to enable more data driven decisions to be made at a strategic level and by individual probation practitioners using our systems.

Case recording

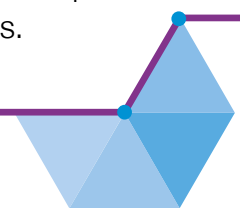
- ▲ New digital services will facilitate better sharing of information between courts, probation and prisons, recording and management of the sentence plan, risk management plans and the delivery of objectives.
- ▲ For court staff, we will build a digital first service that will manage court cases from first hearing to outcome. We will do this by integrating the current court, case work and assessment systems together to create a single view to users of everything going on in their court. It will assist probation staff with identifying cases of interest, preparing consistent sentence recommendations that match the suitability and eligibility of users and transfer cases to the correct providers, whether it be custodial or community.
- ▲ Ensuring that service users are allocated to the correct probation practitioner is key in the rehabilitation of our service users. As a result, when allocating service users, we will build business rules into our digital services to ensure the risks and needs of a service user is matched to a probation officer with the most appropriate skills and experience. We will ensure all data about users is available to HMPPS staff who require access to it, regardless of whether they work in prisons or probation.
- ▲ Information for cases may also be enhanced for some individuals who will have had a post-sentence interview at court and will also reflect new national and local protocols with police and social services in relation to arrest, domestic abuse callouts and safeguarding information.

Risk and needs assessments

- ▲ We will create a straightforward way to record risk assessment and make the results consistent, accessible and usable by everyone in the process. This will cover pre-sentence, custody and community settings.
- ▲ The plans that come from assessments will be written with greater involvement and engagement from the individuals who are going through the process.
- ▲ We will ensure that interventions information available during sentence planning is more relevant to the needs of the service user and will take into account eligibility and suitability criteria.
- ▲ We will rationalise the different layers of OASys assessments. This will let us build on the current development of a new sentence plan - one that's appropriate for every type of sentence that requires probation management. We will focus on a new individual self-assessment to be included and considered within the assessment and development of the sentence plan.

Equalities

Current data on protected characteristics needs improvement and forms a key part of our new approach of driving performance improvement. We aim to address the varying quality of data recorded by the CRCs as we move core Sentence management to the NPS creating a central function that should allow for data to be recorded more efficiently and in a standardised form. For example, the NPS has implemented a standard data collection form for individuals as part of the pre-sentence report. This data will be collected once and made available to all upstream and downstream processes.



Improved technology for the NPS

There has been considerable development of the technology infrastructure on which the NPS relies with a rollout of new devices, mostly laptops, and improvements to the underlying networks and plans to improve telephony.

To enable an enlarged NPS to operate effectively, we will need to extend and deploy that infrastructure to provide an Integrated Offender Management provision to the new estate and user base, for Wales in 2019 and England in 2020/21 and then refresh that technology after five years. Further initiatives under the umbrella 'NPS 2020' initiative aim to develop improved telephony.

Provider access to Authority systems

Successful bidders will be expected to ensure during the proposed six-month mobilisation period that all critical infrastructure and technology services are in place by service commencement. Access to training materials for Authority systems will be available.

It is expected that there may be further changes to ICT as the provider moves to their future target operating model. Providers will be expected to use Authority Systems including new digital services to manage and track delivery of Accredited Programmes, Structured Interventions and Unpaid Work.

Providers will need to ensure devices have connectivity to the internet to enable access to Authority provided systems which will support the core business processes required to deliver the services. The Ministry of Justice will provide support to all users of these services and engage with providers on the ongoing development and improvement of our probation digital services and opportunities for innovation and new technologies.

Information assurance

Where ICT systems and infrastructure are processing, storing or transmitting Authority data, the Authority will require continuous assurance that providers are following National Cyber Security Centre, Authority and cyber security commercial best practice. Providers will need to comply with the government's independently audited Cyber Essentials Plus scheme and have an Information Security Management System that meets the appropriate standards.

Figure 24. An overview of the digital services and where in the probation system they are employed

Digital service view

Future data flows

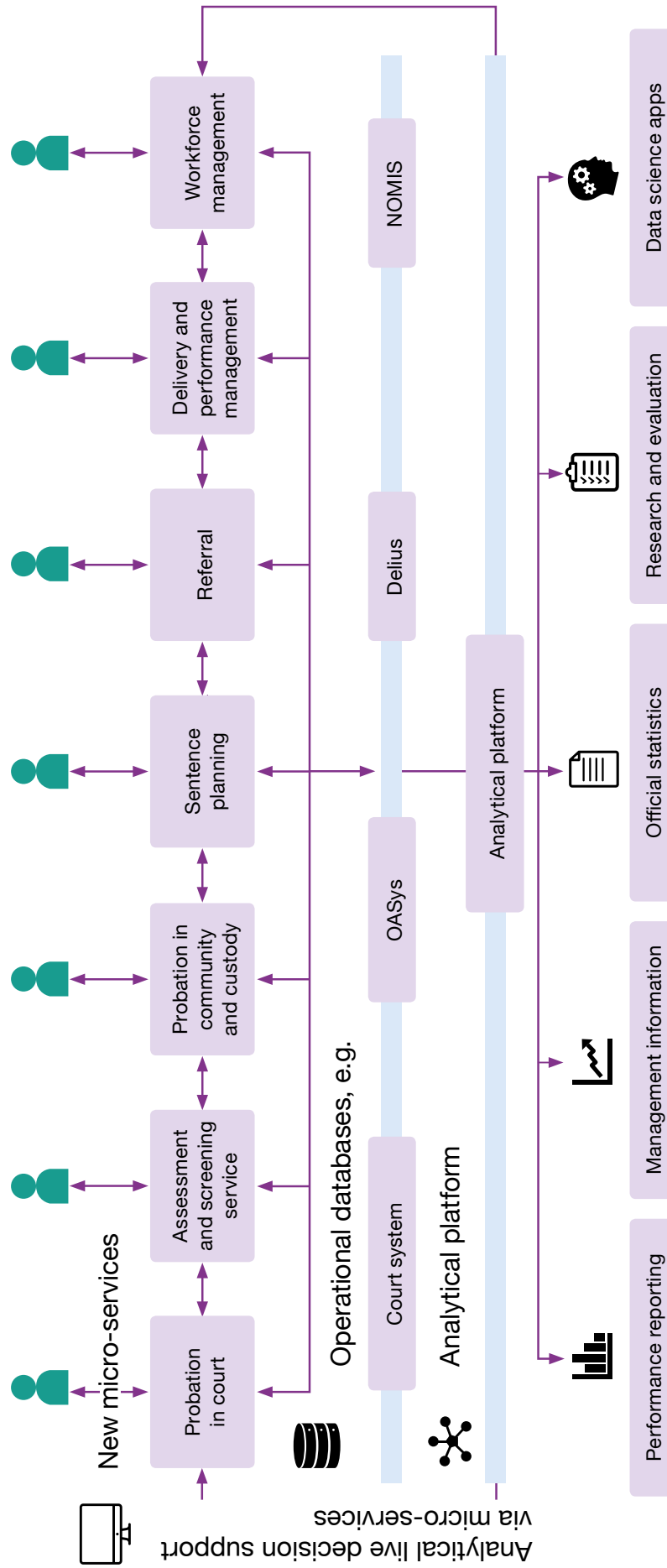


Figure 25. Digital services across the probation system



9. Performance Framework

To ensure we have a probation system which commands confidence, delivers punishments, enforces orders, protects the public and gives individuals subject to probation services the support they need to lead law-abiding lives, a new performance framework will support three key objectives:

- ▲ Focusing on quality - by rebalancing the focus from processes to quality delivery by introducing new quality measures and strengthening provider quality assurance.
- ▲ Securing outcomes likely to reduce offending - by capturing outputs and outcomes over which providers have an element of control and for which there is evidence of a link with reduced reoffending.
- ▲ Getting the basics right - by holding the NPS and contracted providers to account on sentence delivery, enforcement and protecting the public and, therefore, promoting sentencer confidence in probation delivery.

The performance framework for the future system creates the incentives to drive improved performance across the NPS and contracted providers. Key targets for HMPPS will provide visibility on whether HMPPS is achieving its overall goals.

9.1. HMPPS measures

We will introduce targets on three core deliverables on Unpaid Work and Accredited Programmes:

- ▲ Unpaid Work is arranged to start within 20 business days of sentence.
- ▲ Unpaid Work hours are completed within 12 months of sentence.

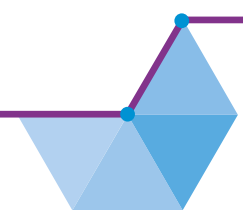
- ▲ Accredited Programmes are completed by individuals who meet eligibility criteria.

The purpose of these measures is to put in place a single point of accountability under the strategic leadership of HMPPS Regional Probation Directors, to manage the performance of both NPS and Probation Delivery Partners, and to promote collaborative work to achieve the overall target. They will help establish joint-ownership of the system across the different component parts of probation, both public and private/voluntary and the community and social enterprise sector. In demonstrating that we have a better grasp of performance and are providing visibility on whether sentence requirements are being delivered, we will build stakeholder confidence, including among sentencers, in the probation system.

9.2. NPS measures

Measures for the NPS will ensure the probation system functions properly throughout the journey of the individual subject to probation services. NPS measures are being developed as follows to secure effective Sentence Management and collaboration with contractors:

- ▲ Starting the sentence: on allocation and initial appointment, and on preparation of the initial sentence plan within 15 business days to enable timely referrals to contractors supported by a more streamlined and flexible assessment system starting at court.



- ▲ Unpaid Work: the timescale for suitability and risk assessment is being increased to facilitate better risk and needs assessment, e.g. to identify individuals who would benefit from education, training and employment provision.
- ▲ Accredited Programmes: measures on the effectiveness of referrals to programmes (whether eligible individuals are referred as 'programme ready' with enough time to complete the programme) will ensure the NPS is meeting its primary responsibility for targeting Accredited Programmes on individuals who will benefit.
- ▲ Recording protected characteristics: a new target will strengthen our ability to look at the experience of different cohorts and whether their needs are being met - so we can explain or reform any disparity.
- ▲ Monthly appointments attended: a new measure will support engagement and the development of an effective working relationship between the supervising Probation Practitioner and the individual subject to probation services.
- ▲ Accommodation and employment: new targets at release will mirror existing prison targets and meet ministerial commitments on shared targets across prison and probation. Targets will apply while individuals are still under supervision rather than at termination.
- ▲ Quality measures: will focus on effective delivery of the sentence of the court, risk management and enforcement, and the appropriate referrals that are required to support the delivery of rehabilitative interventions. These apply the audit methodology developed through operational assurance of service delivery.

9.3. Probation Delivery Partner measures

The performance framework will ensure financial incentives (graduated profit reductions where performance falls below target levels) for Probation Delivery Partners while supporting the key objectives of focussing on quality, securing rehabilitative outcomes and getting the basics right. New quality measures apply the audit methodology developed through the Authority's operational assurance of service delivery.

Probation Delivery Partner measures will support the operating model for Unpaid Work in improving quality delivery by ensuring sufficient quality placements are provided to meet the risk and needs of all individuals and to enable them to complete Unpaid Work in their local area within the legal requirement of 12 months. The performance measures will focus on timely starts and completions of Unpaid Work hours, and minimise the impact of cancelled sessions (stand downs). There will also be a focus on the quality of delivery, including education, training and employment provision for those individuals who need it.

The Probation Delivery Partner measures will support the principle that Accredited Programmes are the intervention of choice for eligible cases. The focus of the performance measures will be on getting eligible individuals onto Accredited Programmes promptly, and to complete them. We will hold providers to account on ensuring Accredited Programmes meet accreditation criteria, enabling individuals to complete programmes and securing their engagement and compliance, and meeting equalities requirements.

Equivalent measures will apply to Structured Interventions delivered by Probation Delivery Partners to ensure that interventions are delivered to referred individuals and meet quality expectations.

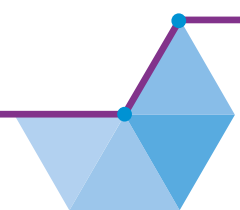
Effective joint working with the NPS will be supported by a quality measure on liaison with the Probation Practitioner supervising the individual to ensure that Probation Delivery Partners support risk management, enforcement, and sentence delivery.

9.4. Dynamic Framework measures

The performance framework for the Dynamic Framework will maintain the focus on quality and outcomes, with service levels that are proportionate to the value and complexity of the service. To ensure that commissioned interventions result in quality outcomes, we will develop success measures which can be used to assess whether minimum outcomes have been met for each of the core interventions. These would be recorded by the provider so that the NPS Probation Practitioner supervising the individual can assess whether the intervention has met sentence plan objectives. There will also be quality measures mirroring those for Probation Delivery Partners, on whether interventions enable individuals to make progress in meeting their offending related needs, and on liaison with the supervising Probation Practitioner.

9.5. Management information and information sharing

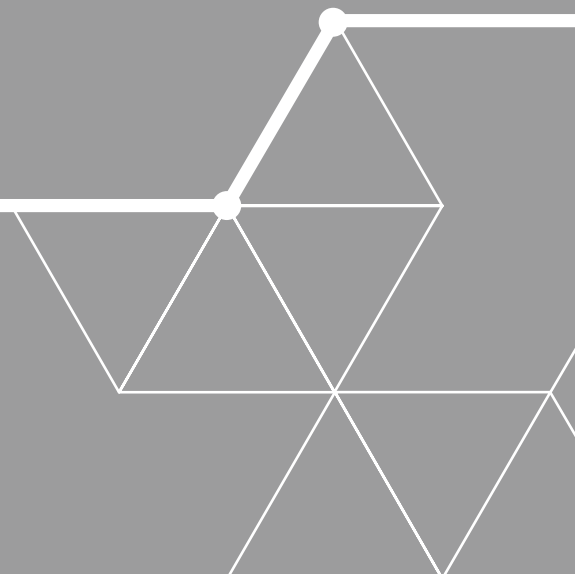
We will ensure that the data requirements for the future system, including for accurate data to be recorded by the NPS and contractors, support our operating model and contractual requirements, so the Authority can use management information to monitor whether the system is operating as intended. The NPS and contractor measures set out above will hold providers to account on effective information sharing on referrals, risk escalation and management, and enforcement of orders and licence conditions.





Annex A:

Transition Planning



Transition planning

1. Approach

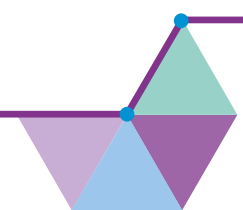
We need to maintain delivery of services and interventions in the period while CRC contracts come to an end. We need to ensure continuity for individuals and to continue to deliver our public protection responsibilities. As we move Sentence Management of low and medium risk individuals to the NPS we are taking the appropriate time to prepare for the transition. Further detail on our plans for transition will be set out in future iterations of the Target Operating Model, including our approach to assurance during the transition period. This section provides an interim update to support preparations for the change.

The CRCs will continue to deliver services over the remainder of the contracts. The CRCs will also have responsibility to support an orderly exit from the contracts and we will support this transition through the creation of regional transitional boards with representatives from across the CRCs and NPS. Throughout the transition period, we will ensure that any disruption to staff and individuals subject to probation services is kept to the absolute minimum with a key focus on maintaining operational delivery at all times.

We have robust contingency plans in place for managing the continuation of current CRC contracts and continue to work closely with CRCs to monitor their financial health.

2. Transition of services

We have put in place arrangements to allow us to extend CRC contracts through to June 2021 (albeit this might not be true for all contracts) to ensure we have the necessary time to get the transition to the new system right.



As we move Sentence Management of low and medium risk individuals to the NPS, we are taking the appropriate time to prepare for the transition. Activity here will be focusing on safe continuity of provision for individuals. There will be a comprehensive programme of induction, learning and development for all probation staff, staged harmonising of Sentence Management and allocation processes and incorporation of what have been effective practices.

Preparatory activity for transition has included investment in central and local transition lead staff, creation of local transition boards and working groups across estates, operational practice and workforce. Readiness assessments will take place in the lead up to transition and local delivery staff will have an opportunity to feed in views but also be supported to achieve what will be significant working changes.

Professional standards will be updated to reflect the unified model and specific performance oversight and change support will be tailored to the new regional structures as they are established.

For resettlement, the enhanced through-the-gate requirements came into effect in April 2019. In preparation for the unified model, programme leads are reviewing all current delivery models to ensure that any future changes can be tailored to seek as much service continuity for individuals and in collaboration with key stakeholders such as prison leaders. Importantly, there is close alignment with Offender Management in Custody leads.

3. Transition of people

It is important for us to balance current operational demands against preparing for the future. As a result, discussions have begun on how the transition of staff will be implemented. We are working closely with CRCs to reduce the risk of increased staff attrition during the transition period. This includes plans to increase recruitment of trainee Probation Officers. We will continue to work closely with Trade Unions, CRCs and staff to support the transition to the future model and minimise disruption.

All Regional Probation Directors (to the new regional structures) were appointed in 2019 and are due to start in post from 1st April 2020. Preparation for the new regional structures is being overseen by the Transition Boards led by NPS and CRC leads.

HMPPS will define the scope of the services it will deliver and which services will be put out to tender or delivered by third parties in the future. Current employers will then use the scope to determine which of their staff are assigned to which services and produce an in-scope list. We will need the support from CRCs as employers to understand the current roles of all staff to support concrete planning for staff transfers. Current staff employed by CRCs are likely to be in scope for transfer to new provider organisations including the NPS. Not having a probation qualification would not prevent a probation service officer transferring to the NPS if they are assessed as in-scope to do so.

We need to carefully review the current and future delivery models and consider where systems and processes change that affects peoples' roles with a view to minimising the impacts. If staff are displaced, we would seek to work with them and exhaust all redeployment options.

Staff will be transferred by staff transfer scheme(s) using the powers set out in the Offender Management Act 2007. Although, the transfer falls within the TUPE exemption, in the main, the provisions of the staff transfer scheme will follow the approach of TUPE and will protect staff terms and conditions following transfer to the new employer. Most new staff compulsorily transferring into NPS will be eligible to join the local government pension scheme post transfer. The exception is those who retain eligibility to participate in the civil service pension scheme. For existing NPS staff, there will be no changes to current pension arrangements. In 2018, we reached agreement with Trade Unions (NAPO, Unison and GMB SCOOP) on pay modernisation for probation professionals within the NPS.

All HMPPS staff are contracted to work from locations that are suited to their work. We do not, however, expect there to be any immediate requirements for staff to change workplace although future delivery arrangements could require some adjustments. We will aim to minimise these impacts as far as possible and will continue to consult with staff throughout the process.

Staff will continue to be updated on design developments as and when they become available, both publicly and through local leadership structures. This will include communications from regional transition boards to develop the local perspective. Additionally, there will be the opportunity for staff to engage in local change and engagement events to be held in due course.

Retaining skilled staff is a key priority for the department and we will continue to work closely with Trade Unions, CRCs and staff to support the transition to the future model and minimise disruption. We recognise that there will be learning and development and experience gaps that apply to staff in both the NPS and staff transitioning from CRCs. Work is underway to identify learning and development requirements and, where possible, to provide opportunities to address those gaps prior to transfer.

Within the NPS we will need to ensure suitable learning and development is available to support transition. This will include a learning and development package rolled out and available for both NPS and those CRC staff transferring to the NPS to support identified training needs linked to holding a blended caseload of risk and offence type. We will also ensure that CRC staff moving into the NPS are fully orientated and supported into the NPS and the civil service.

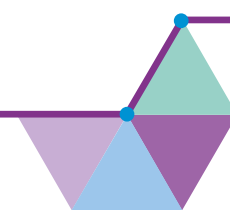


Figure 26. The key milestones for the move to the unified model of probation in 2021

Step 1 – Establish new regions

- Set up new regions
- Assume using existing NPS estate
- Establish new business functions ('do minimum')
- Shadow management under restructured model

June
2020

Step C1 – Run competition

- Develop Outline Business Case/ Full Business Case
- Run Dynamic Framework competition to select new framework providers
- Run Probation Delivery Partner competition

Step 2 – Migrate National Probation Service (NPS)

- Migrate NPS Probation Practitioners to new NPS regions
- Migrate multi-agency public protection agency/high risk of serious harm offenders to new NPS regions
- Management under restructured model
- Establish infrastructure and IT

December
2020

Step 3 – Migrate Community Rehabilitation Company (CRC) Probation Practitioners

- Migrate CRC Probation Practitioners to new NPS regions
- Migrate medium/low risk of serious harm offenders to new NPS regions
- Interventions continue from CRCs
- Wind down legacy intervention provision into Dynamic Framework
- Transform offender management to unified model
- Implement Probation Delivery Partner model

Step C2 – Establish Dynamic Framework and Probation Delivery Partner

- Transition new regions to purchase under Dynamic Framework

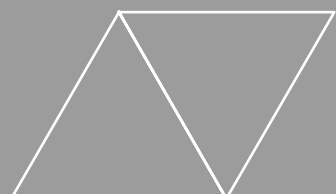

June 2021 –
Unified model
established

Transition activities



Annex B:

An open learning
culture - evidence
and effective
probation practice



Evidence and effective probation practice

1. Introduction

Purpose of this Annex:

- ▲ Probation staff support individuals to change their lives. This chapter describes the evidence base underpinning effective probation practice including assessment; supervision skills and risk management, as well as provision of interventions, like offending behaviour programmes and Unpaid Work.
- ▲ It also outlines how we will enable evidence-based practice and decision-making in the future probation model, as well as efficient and effective commissioning and delivery of services.

Evidence based practice for probation involves blending insights from rigorous studies which evaluate specific interventions, with studies that tell us more about what matters to individuals in their social context and understanding how they achieve long-term life change.

The HMPPS business strategy establishes 'open learning culture' as one of the four principles that will structure our future plans and prioritisation. HMPPS will look continually for ways to improve performance and to deliver our services efficiently and effectively, increase the use of evidence, insight and data to improve our understanding of what works. We will also look at good practice inside and outside of HMPPS, and learn from our successes and what has not worked well, sharing that learning across HMPPS and our partners. By doing so, we support probation staff to learn and develop evidence-based practice by:

- ▲ Providing a whole system learning approach which engages staff in the development and use of evidence and insights in their day to day work, as well as supporting evidence-based decisions about the services needed to protect the public and reduce reoffending.
- ▲ The workforce reform programme will enable the development of a workforce with the right skills and capabilities to deliver under the new unified model by ensuring access to the best available evidence based learning and development for efficient and effective service delivery.

1.1. What is evidence and how should we use it to inform practice and decision-making in probation?

Allegiance to evidence does not mean commitment to specific models or theories. Using evidence requires an organisational culture that promotes testing, learning and improving as new evidence emerges. The system learning capability we are developing in HMPPS will help to prioritise projects to fill gaps in our knowledge and support continuous improvement.

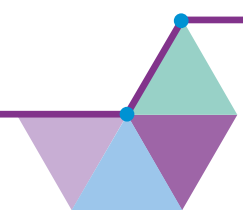
A **summary of evidence on reducing reoffending** was published in 2014 which detailed evidence against a range of offending related needs and interventions. This remains highly relevant to an evidence-based approach for probation in future. This annex adds to that summary by drawing attention to evidence about effective practice including risk assessment and management, supervision skills, procedural justice, interventions and evidence-based approaches for engaging those who have particular protected characteristics, vulnerabilities or complex needs. We will continue to update staff with insights as we build the evidence base.

Criminal behaviour has multiple causes. Reduced reoffending is more likely to be achieved through a combination of experiences, services and circumstances rather than a single intervention. Strong relationship skills are a pre-requisite for effective engagement but specific supervision skills, including the use of cognitive-behavioural techniques, motivational interviewing and a 'rehabilitative orientation' make a difference to individuals' outcomes.

What is strong evidence?

Strong evidence helps us understand what is effective and what is not effective. It is drawn from good quality research and evaluation studies, replicated across different groups. To be sure something works, evaluation needs to include a matched comparison group to assess what would have happened without the intervention. This reduces the possibility that the results were due to something else.

Evaluations should also be repeated on different groups of people and in different contexts. This can help show how useful the findings are and whether they can be applied to different people and settings. Evaluations should also be repeated because the results from one study alone could be due to something specific to that study, or something unique about the participants.



Other sources of information and data are vital to understanding effective probation delivery. These include:

- ▲ Engagement with individuals subject to probation services.
- ▲ Staff engagement.
- ▲ Performance data.
- ▲ Audit and assurance information.
- ▲ Information and evidence from scrutiny bodies (e.g. **HMI Probation Academic Insights**).

2. Evidence for effective probation delivery

The purpose of this section is to outline the evidence underpinning effective probation delivery.

2.1. What we already know

We have well established evidence about some human factors which are important in understanding reoffending. These must be balanced alongside protective factors arising from desistance research.

Human factors related to reoffending

These are well established and reasonably well applied by probation services

- ▲ Attitudes that support crime.
- ▲ Anti-social peer networks Impulsivity/low self-control.
- ▲ Lack of positive/poor relationships.
- ▲ Substance misuse.
- ▲ Lack of employment and employability.
- ▲ Lack of suitable accommodation.
- ▲ Sexual deviance, sexual preoccupation and sexual obsession.
- ▲ Beliefs that support specific offences such as domestic violence and extremism.
- ▲ Criminal history.
- ▲ Gender.
- ▲ Age.

These factors are well established but not always well applied

- ▲ Psycho-social maturity.
- ▲ Brain injury.
- ▲ Adverse childhood experiences.

We do not know enough about how these factors relate to reoffending

- ▲ Experience of care.
- ▲ Learning and communication difficulties.
- ▲ How factors combine to influence risk.

Situational factors related to reoffending are well known but not always applied

- ▲ Perception of social injustice, or illegitimate use of authority.
- ▲ Civil unrest and violence sanctioned by war.
- ▲ Poverty, deprivation.
- ▲ Skills and approach of staff.
- ▲ Social exclusion.
- ▲ Opportunities to gain valued resources or personal gratification from offending.
- ▲ Absence of effective social controls.

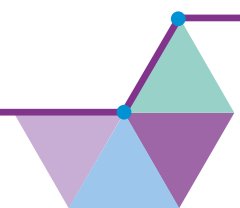
Although it is unlikely that a single intervention will lead an individual to stop offending, there is evidence that a combination of effective interventions and staff skills in engaging and motivating individuals can reduce reoffending. These also need to be matched to the level of risk posed by the individual.

What does not work

It is important to be aware of evidence about what doesn't work. There are interventions that seem to have no impact on reoffending, or that cause harm by raising the reoffending rates of those who take part such as those which:

- ▲ Do not build skills that can help people behave differently in the future (e.g. awareness raising courses).
- ▲ Reinforce a person's view of themselves as a 'criminal' or fail to help people build an alternative, prosocial identity.

- ▲ Do not target those factors that research suggests are linked to reoffending.
- ▲ Rely on external motivators (like punishment) to bring about change, failing to support individuals to change their own attitudes and commitment to an offence free life.
- ▲ Are poorly implemented, due to poor staff training and supervision, problems with funding and sustainability, poor targeting, poor quality assurance and lack of proper evaluation.



Effective approaches to community supervision

This section focuses on supervision skills and is followed by a section on interventions.

Strong relationship skills are a pre-requisite for effective engagement but specific supervision skills, including the use of cognitive-behavioural technique, motivational interviewing and a 'rehabilitative orientation' make a difference to individuals' outcomes.

Relationship skills include: listening, empathy, warmth, showing concern and respect, clarity about roles and expectations, being reliable and consistent and conveying optimism about the possibility of change. These contribute to effective engagement and prepare the way for specific supervision skills intended to bring about change in attitudes, thinking, feeling and behaviour.

Studies of the way practitioners engage with individuals indicate that certain skills can enhance behaviour change. Such practice requires staff training and an organisational culture that puts the learning needs of practitioners and individuals subject to probation services at the heart of its structures and processes.

There is growing international evidence about the importance of 'core correctional practice' - or effective supervision skills - for enabling rehabilitation and positive outcomes, including public protection, for those on community orders and licences.

Even the earliest contact, such as pre-sentence assessments, are an opportunity to engage an individual in discussion that supports change. Interventions, such as offending behaviour programmes and services focused on employment or accommodation, work better when the individual is supported by a Probation Practitioner using effective supervision skills.

Trotter 2013 - Systematic review of eight studies:

- ▲ All studies found that when probation officers use evidence-based practice skills their clients had lower reoffending rates.
- ▲ Relevant skills included pro-social modelling and reinforcement, problem-solving and cognitive behavioural techniques.

Smith et al 2018 - Rapid Evidence Assessment including 13 studies:

- ▲ Overall, supervision has a positive effect on reducing reoffending.

Effective probation supervision factors:

1. Focus on change and criminogenic factors rather than relying solely on monitoring and addressing problems raised by the individual.
2. Informed by principles of risk, need and responsivity.
3. Accompanied by participation in structured treatment programmes.
4. Involves strong, purposeful relationships between supervisor and supervised.
5. Staff skilled in techniques such as motivational interviewing and cognitive behaviour therapy.
6. Staff have ongoing training and support.

This first factor is based on evidence that focusing on factors related to offending during supervision sessions will be more effective than dealing with other issues raised by the individual.

Monitoring of risk-related behaviours may be relevant to manage some individuals but this should be proportionate to the risk posed, and balanced with an emphasis on factors that can change.

Bonta and colleagues (2011) found that the more Probation Practitioners spoke about the requirements or conditions of the community order or licence, the higher the reoffending rate. They concluded that preoccupation with the conditions of probation, or the enforcement role of the Probation Practitioner, negatively impacts on the relationship and gets in the way of supporting individuals through interventions that help.

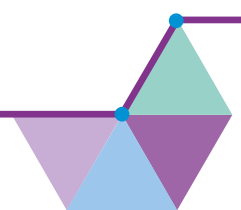
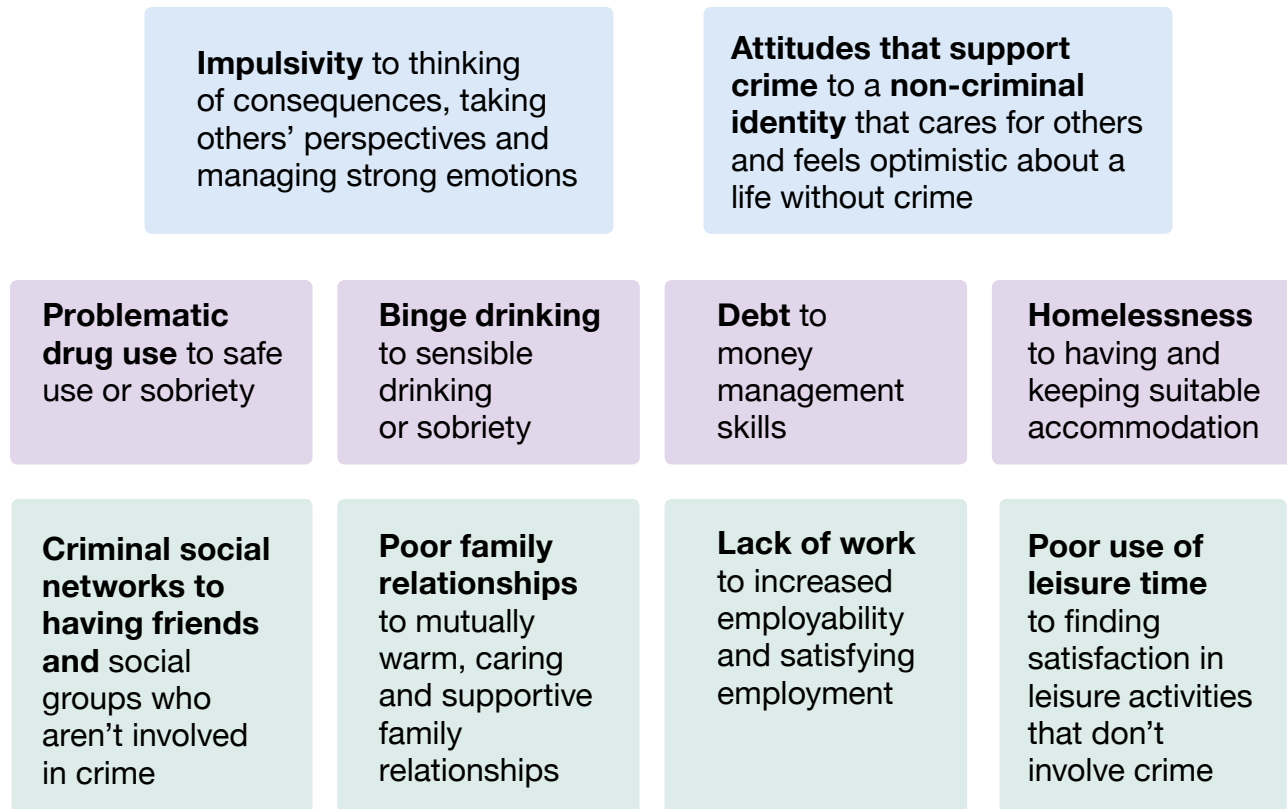


Figure 27. Criminogenic factors which rehabilitation services will address

Promoting rehabilitation and reducing risk requires a focus on criminogenic factors. This means enabling people to move from...



By focusing on change rather than monitoring behaviour, practitioners can apply evidence about desistance.

Desistance is how people with a previous pattern of offending abstain from crime. Helping someone to desist from crime means to believe in them and convey a sense of optimism about their future and how they can live a crime free life. Desistance is a process and is influenced by someone's circumstances, the way they think, and what is important to them. It will probably involve some false starts.

Promoting a range of protective factors and taking a strengths-based approach is part of the supervision process. For example, **strong and supportive family and intimate relationships can support**

individuals in their desistance journey.

Prisoners who receive family visits are less likely to reoffend than those who don't. They are also more likely to have employment, training and accommodation on release. Working with individuals and their families to develop a more positive relationship is an example of promoting protective factors.

How this applies in the future probation model:

When commissioning services in probation we will use evidence about what works, and what does not work, or is harmful.

In the future model, we will commission rehabilitative and resettlement interventions to address the needs of those on probation which either hinder the journey away from offending or need to be addressed to enable the necessary stability to focus on offence-focused factors, also known as criminogenic needs. Providers will have to demonstrate how relevant services are based on the evidence-based principles for effective interventions.

We will also seek evidence of how these interventions are tailored to meet the urgency of individual needs and are responsive to the characteristics of a range of groups, including young adults and those with learning disabilities and learning challenges.

The HMPPS whole system learning capability will support probation commissioners to make data and evidence-based choices about the right services to help achieve public protection and reduced reoffending with individuals subject to their probation services.

2.2. Informed by principles of risk, need and responsivity

Choosing the appropriate interventions to support someone under probation supervision to help reduce the likelihood of reoffending, or serious harm, is informed by the principles of risk, need and responsivity.

The risk, need and responsivity principles are widely established and evidence-based, and underpin our approach to rehabilitation. They help us focus on what is relevant to an individual's offending behaviour to protect the public and reduce reoffending:

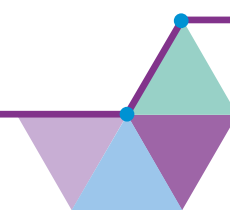
- ▲ Risk is about whom to target, based on their likelihood of reoffending. This is important because interventions should match the likelihood of reoffending and/or risk of serious harm.
- ▲ Need is about what should be done, and which of the individual's offending related factors we should address to reduce reoffending.
- ▲ Responsivity is about how we should work with an individual using the most effective ways to reduce reoffending. The supervision skills described above are an aspect of responsivity.

Drake (2011) showed that reoffending rates were reduced (by approximately 10%) if individuals received treatment during supervision, with more face-to-face contacts associated with a higher reduction. Reoffending rates were further decreased (16%) if the supervision applied the risk, need and responsivity principles.

Assessment

Accurately assessing an individual's risk and needs, and understanding how to be responsive to their individual characteristics, helps to target interventions to best effect. This is an evidence based approach to enable public protection, reduced reoffending and proportionate use of resources.

The risk, need and responsivity principles help practitioners to assess the amount of supervision and types of interventions that are proportionate to the individual's likelihood of reoffending and risk of serious harm. Intensive rehabilitative effort should be focused on those with a higher likelihood of reoffending.



For HMPPS, OASys provides a structured and standardised assessment framework across the core offending-related needs. The most effective and consistent way to assess individuals is to use a standardised and validated risk assessment tool which integrates actuarial and professional judgements. In OASys this involves using validated predictor tools, such as OGRS3 and the risk of serious recidivism tools, alongside structured professional judgement based on an understanding of the nature of the risk of serious harm, how to manage and reduce it.

In pre-sentence reports, prepared to advise the court on suitable sentencing proposals, the use of assessment tools enables practitioners to evidence their assessment more fairly and consistently. This results in sentencing proposals that will address identified needs and reduce the risk of reoffending. The Effective Proposal Framework enables probation to help make more consistent recommendations to courts.

How this applies in the future probation model:

Equalities, proportionality and parity of access to services

The future probation model promotes consistency and effectiveness in the way staff assess and plan interventions for those on probation. This will improve provision for vulnerable individuals, including those with multiple and complex needs, those at risk of homelessness, and individuals liable to experience disadvantage or discrimination on the basis of protected characteristics.

More information on evidence-based approaches for working with individuals with protected characteristics can be found at Annex B, Part 2.

Effective interventions panels

We intend to support regional effective intervention panels to provide assurance that key rehabilitative and resettlement interventions are being designed and delivered in line with the evidence-based principles for effective interventions. We will work together with providers to ensure that these interventions have the best chance of achieving the desired outcomes.

Motivation and readiness to change

The first contact between the Probation Practitioner and the individual being assessed also sets the tone for the way they perceive probation and affects their willingness to engage. Using supervision skills such as motivational interviewing and cognitive behavioural techniques during assessment sessions helps to ready an individual for change.

The rehabilitative process frequently involves set-backs and subsequent reassessment and re-evaluation of priorities and choices of activities. Decisions about the right sort of rehabilitative activity at the right time will need to be determined case by case aided by the risk, need and responsivity principles.

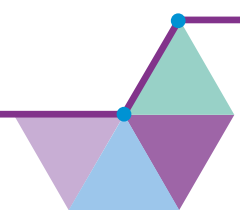
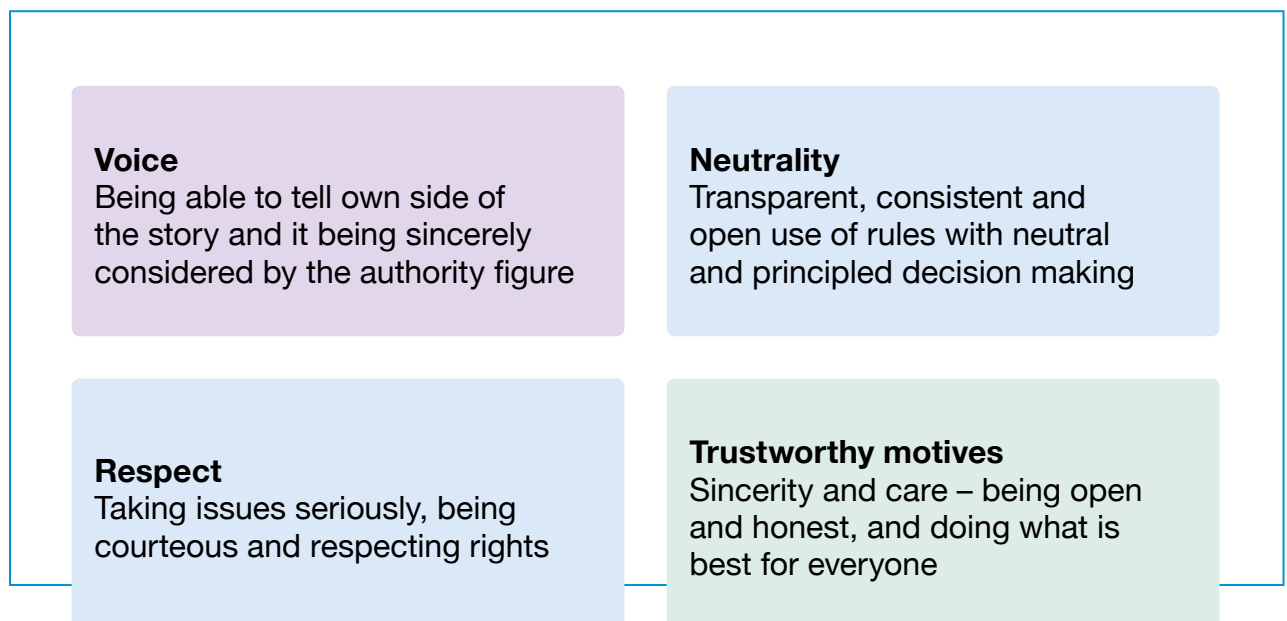
Procedural justice at the assessment stage

Research shows the positive effect of **procedural justice** in prison and probation settings. This demonstrates why people in prison and probation need to be treated in procedurally just ways by those in authority.

Procedural justice starts from the first contact between probation and the individual. It is the degree to which someone perceives people in authority apply processes or make decisions about them in a fair and just way. According to procedural justice theory, if people feel they are treated in a procedurally just way, they view people in authority as more legitimate and respect them more. They are more likely to comply with their decisions. This is true even if the outcome of the decision or process is unfavourable or inconvenient, which is relevant to explaining risk assessments and risk management plans as part of public protection activities.

Maguire & Raynor (2015) emphasise the need to help with urgent basic needs first and then to maximise engagement and collaborative goal setting before introducing interventions. This applies to rehabilitation as well as risk management plans aimed at reducing risk of serious harm to protect the public. In both circumstances, it is important for the individual to feel that they are making progress and that their progress is recognised.

Figure 28: The four key principles of procedural justice applicable during every contact with individuals subject to probation services



Procedural justice, risk management and protecting the public

Public protection and effective supervision are complementary. It is possible to enable rehabilitation even when making decisions for the purposes of public protection. Manchak et al (2014) note the importance of integrating procedural justice into community supervision. Practitioners who balance their case management and enforcement roles have better outcomes with individuals (e.g. Paparozzi and Gendreau 2005).

Paparozzi and Gendreau (2005) found that when intensive supervision was combined with rehabilitative intervention, it reduced parole revocation rates from 48% to 19%, which was between 10% to 20% less than for the group experiencing traditional supervision alone.

Recall to prison

People on determinate sentences are recalled if their behaviour indicates an increased risk of further offending, which cannot be safely managed in the community. Recalled prisoners are more likely to be reconvicted for a violent, sexual, serious, or any offence, more likely to be assessed as at high risk of serious harm, and vulnerable. The experience of recall is predominantly negative but recalled prisoners do tend to want, and are motivated to achieve, a different future. Acknowledging, reinforcing and supporting this may enhance the rehabilitative nature of recall. For example, creating a new sentence plan may help the individual understand what is expected of them and to avoid recall in future.

2.3. Accompanied by participation in structure treatment programmes

Supervision with a skilled practitioner before, during, and after rehabilitative interventions and programmes is known to help maximise the benefits of the treatment.

Offending behaviour programmes and interventions

These services aim to support individuals to change the thinking, attitudes and behaviours which may lead them to reoffend. Programmes encourage pro-social attitudes and goals for the future and are designed to help people develop new skills to stop their offending. Programmes often use cognitive-behavioural techniques. There is good international evidence that these are most effective in reducing reoffending.

Evidence shows that programmes which follow these principles are more likely to work if they are offered as part of a package of rehabilitative activity and support. They are most effective when they are properly targeted and provided within a prison or probation culture that supports rehabilitation and staff development; and by staff who are properly trained and the activity is quality assured.

There are common features of effective programmes or interventions that reduce reoffending. We have turned these into evidence-based principles for interventions, as follows:

1. The intended outcome of the activity aligns with the evidence on what works to reduce reoffending, promote desistance and protect the public.
2. There is a credible rationale for how, why, and for whom, the activity will work.

3. The activity should have a structure that allows it to be replicated.
 4. There is a selection process so that the activity is targeted at appropriate individuals.
 5. The activity should be designed to equip individuals with useful skills while aiming to ensure that no one will be disadvantaged or harmed.
 6. The activity is quality assured to ensure it is delivered as designed.
 7. The activity design shows a commitment to research and evaluation as demonstrated by having a clear, systematic and manageable process for the monitoring of outcomes. This should include evidence of whether intended benefits occur, and harm and disadvantages are avoided.
4. Develop new skills (as opposed to only awareness raising).
 5. Motivate, engage and retain participants.
 6. Are delivered as intended by staff with appropriate skills and quality assured.
 7. Are evaluated.

These principles will be used by effective interventions panels in the future probation model.

For those programmes seeking accreditation, the Correctional Services Accreditation and Advisory Panel applies accreditation criteria. Accreditation of programmes gives us the highest level of confidence that they are well designed; delivered and evaluated.

Accreditation criteria

High-quality programmes and interventions:

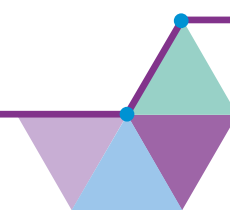
1. Are evidence based and/or have a credible rationale for reducing reoffending or promoting desistance.
2. Address factors relevant to reoffending and desistance.
3. Are targeted at appropriate participants.

Using the **risk, needs and responsivity principles** to help target the right programmes to the right people means that the level of support provided by a programme matches a person's likelihood of reoffending.

Programmes should cover the areas a person needs to address to stop offending, for example, being impulsive or having poor relationship skills. The approach should be adapted to respond to people's individual circumstances, abilities and strengths, including use of programmes specifically for people with learning disabilities and challenges.

2.4. Involves strong, meaningful relationships between supervisor and supervisee

Supervision is not a process done to a supervised person. It is more complex, and the nature of the relationship between practitioner and supervised person will affect their experience. Effective probation practice also recognises the situational factors and circumstances relevant to offending which cannot be changed through focusing on the individual alone. These include perceptions of justice and experiences of poverty or deprivation.



Chamberlain and colleagues (2013) found that individuals with a negative relationship with a staff member had higher recidivism rates.

Leibrich (1993) in a small-scale study concluded that the quality of the supervisory relationship was pivotal in supporting desistance, with supervisors and desisters agreeing on the factors that enable a positive relationship:

- ▲ Genuinely caring.
- ▲ Clear about expectations.
- ▲ Level of trust.

Shapland (2012) found that probation is more effective when staff build genuine and therapeutic relationships that focus on professional care, desistance and future planning rather than focusing on monitoring and surveillance.

Shapland and colleagues (2012) produced a summary of the factors that are important to good experiences of supervision. It is also important to note that the opposite may not just be neutral but may harm desistance.

- ▲ Building genuine and therapeutic relationships that focus on professional care about the person being supervised, their desistance and their future.
- ▲ Actively listening and engaging people in identifying their needs and setting goals for supervision - basing this on a therapeutic dynamic that encourages open discussions and problem solving.
- ▲ A focus on desistance and understanding of how breaches occur to prevent them happening.

- ▲ Attention to practical obstacles to desistance, providing knowledge and access to local resources.
- ▲ Tailoring services and interventions to the needs and capabilities of the individual, looking at issues such as motivation, self-confidence and social capital.

Chadwick et al (2015) found that those officers who had been trained and were using core correctional practices produced significantly larger reductions in recidivism compared to those who did not.

Labrecque et al (2015) found a link between Motivational Interviewing (MI) and Cognitive Behavioural Therapy (CBT) techniques and recidivism rates.

Raynor et al (2014) found that reconviction rates were significantly lower among individuals supervised by probation officers who used more skills from a checklist including setting up the interview, non-verbal communication, verbal communication, effective/legitimate use of authority, motivational interviewing, pro-social modelling, problem solving, and cognitive restructuring.

Trotter (2013) found that when probation officers used evidence-based practice skills their individuals had lower recidivism rates.

2.5. Staff skilled in techniques such as motivational interviewing and cognitive behaviour therapy

Evidence for the importance of staff skills is more robust than any other factor.

How this applies in the future probation model:

Community supervision approaches

We have learned from international approaches to effective supervision to develop the approach in England and Wales. Outcome evaluations of international approaches to building effective supervision skills have identified core principles that influence their effectiveness. See Annex B, Part 3, for examples of international approaches including staff training at reducing re-arrest, proactive community supervision, and the strategic training initiative in community supervision.

Skills for effective engagement and development (SEED)

In England and Wales, the principles for effective supervision have been operationalised through SEED to develop practitioner skills in effective engagement through training and continuous professional development with the expectation that it would reduce re-offending.

SEED components:

- ▲ Relationship building.
- ▲ Structuring sessions.
- ▲ Use of risk, need and responsivity principles.
- ▲ Motivational interviewing.
- ▲ Cognitive behavioural techniques.
- ▲ Pro-social modelling.

The model consists of core training followed by quarterly follow up training that teams of practitioners attend together with their team, and continuous professional development to support learning.

The aim of the model is to bring about cultural change to enable professional practice and a focus on quality outcomes. SEED has now been brought together with a piloted model for reflective supervision to produce the skills for effective engagement, development and supervision (SEEDS) model (see factor 6 below).

Unpaid Work

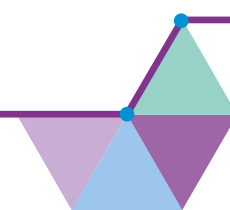
Unpaid Work supervisor skills are integral to supporting individuals to lead law-abiding lives.

HMPPS recognises the importance of core skills for Unpaid Work staff to enable them to engage well with individuals subject to Unpaid Work. This helps them motivate compliance with orders and to use skills such as pro-social modelling and problem-solving techniques to develop life skills. We will continue to build the evidence base to support effective practice for Unpaid Work.

2.6. Staff ongoing training and support.

Practitioners need to be supported by an organisational culture, management and structures to help them do their jobs well.

HMPPS will support its operational arms, including probation and its partners, to develop a culture of evidence-based practice. This will include access to high quality data, evidence and insights, and will be accompanied by a culture which values the contribution of staff and individuals subject to probation to developing our knowledge through their experience and capability.



How this applies to the future probation model:

SEEDs2

SEEDs2 was developed following lessons learned from implementation of SEED and is underpinned by a policy emphasising person-centred practice and requirements for NPS staff to undertake training. This approach will continue in the future probation model as a core element of professionalisation. It consists of three elements:

- ▲ Supervisory and line management meetings framework

Implemented in the NPS since April 2019 to ensure that staff have regular supervision, including observations of practice and practice supervision discussions. This supports staff to reflect on their work to drive their own learning and development.

- ▲ SEEDs2 Part 1 training for managers

This is currently being implemented and supports the supervisory and line management meetings framework.

- ▲ SEEDs2 Part 2 training for practitioners

Training is in development with advice from academics and practitioners. It builds on SEED components with additional content such as procedural justice and emotional labour. Training is due to commence in 2020.

2.7. Engagement of individuals subject to probation services

HMPPS uses a range of data and evidence which needs to be applied in context. Consulting and engaging with individuals subject to probation services provides a critical element of this context. There is also widespread recognition and evidence that involving people with experience of services can help providers improve what they deliver.

A growing body of evidence links engagement (with individuals subject to probation services) to desistance and recovery, showing that involvement and participation can have a positive impact on the success of an individual's own rehabilitation. Providers are expected to systematically and meaningfully engage with the individuals for whom they develop and deliver services.

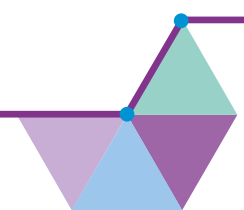
HMPPS has recently developed service user involvement standards of excellence in consultation with over 200 individuals (see Annex B, Part 4). The standards draw on the UK customer service excellence standards, and are in line with key aspects of the recognised for excellence model, as well as HMI Probation and HMI Prisons expectations.

The standards set consistent, national, expectations across prisons and probation, to drive improvements and assist with sharing good practice. By adopting and using these standards, providers demonstrate their commitment to engaging and consulting with individuals subject to probation services as a key feature of their rehabilitative culture.

All NPS divisions have adopted the standards and are completing self-assessments which allows providers to outline current practice and highlight plans. A tool kit is also being developed, which will include examples of good practice, check lists and "how to" guides. This will be available in early 2020.

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Annex B - Part 2: information about equalities, proportionality and parity of access to services

1. Black and Asian people and people of other minority ethnic groups

What can we do to achieve better outcomes for black and Asian people and people of other minority ethnic groups on probation?

Although research is in its infancy, available studies point to some tentative but promising approaches for making services

more responsive to black and Asian people and people of other minority ethnic groups. These include:

- ▲ Making interventions more relevant to black and Asian people and people of other minority ethnic groups.
- ▲ Increasing the numbers of black and Asian people and people of other minority ethnic groups taking up interventions.
- ▲ Increasing the numbers of black and Asian staff and staff of other minority ethnic groups working in interventions.
- ▲ Actively engaging with and respecting cultural experiences and differences.
- ▲ Recognising the need for black and Asian individuals and individuals of other minority ethnic groups subject to probation services to express their cultural identity free from fear of being stereotyped or discriminated against.
- ▲ Qualitative research has suggested that culturally sensitive treatment is preferred by clients. This includes treatment being delivered by culturally sensitive and aware staff; treatment being delivered by staff from a similar background or culture, or treatment being delivered in one's native language.

2. Young adult males

The paper 'Better outcomes for young adult men' found that young adult men are at higher risk of any proven reoffending, and of violent proven reoffending and respond differently to services, activities, systems and interventions, than older adults.

Young people continue to mature both psychologically and socially up until their mid-twenties. We now know that the parts of the brain responsible for impulse control,

regulation and interpreting emotions, continue to develop well into adulthood. Young people continue to develop in their ability to: temper themselves, consider wider perspectives and think about the future when making decisions; and know who they are and what they want to be, as well as their ability to resist peer influence. Together, these factors are known as 'psychosocial maturity'. Psychosocial immaturity is prevalent in young men in custody or under probation supervision. There is evidence to suggest that young adults in the criminal justice system are likely to have disproportionately high markers of psychosocial immaturity. This affects how they engage with and respond to prison regimes, probation licenses and supervision.

3. Women convicted of crime

In 2018, the Ministry of Justice published a [female offender strategy](#) which launched a new programme of work to improve outcomes for women subject to probation services and make society safer by tackling the underlying causes of offending. The strategy has three main priorities: earlier interventions, an emphasis on community-based solutions and, where custody is used as a last resort for the most serious offences, delivering better custody.

4. Learning disabilities and challenges

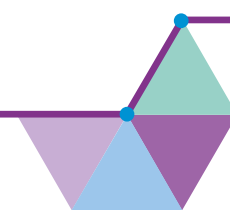
Between 2% and 40% of people in the criminal justice system may have a learning disability. Across the criminal justice system, many different definitions of learning disability and assessments are used. This makes more exact figures difficult to estimate. The Ministry of Justice estimates in 2018 that 32% of females and 28% of males in community or custody care may have had a learning disability or challenge - based on a screening tool using items in OASys.

Without identification and support, people with a learning disability or challenge may struggle to cope with day to day life and may not benefit from the range of services available to help rehabilitation. The Ministry of Justice is currently developing improved tools to improve disability data collection, which will ensure that disability categorisation is consistent across the criminal justice system and in line with World Health Organisation and government statistical service classifications.

5. Information on vulnerable groups

5.1. Traumatic brain injury

Traumatic brain injury often results from an external force to the head. It is one of the leading causes of death and disability in young people and adults worldwide. More severe injuries can lead to cognitive and developmental difficulties. These include problems with memory, processing information, and learning difficulties. Others are emotional and personality changes, impaired social function and aggression. People most at risk of traumatic brain injury tend to be from a low socio-economic status, children under 14 years old, with low education, male, and people with a tendency for risky behaviour. Traumatic brain injury is higher in vulnerable groups like homeless people, substance abusers and prison populations.



5.6. Personality disorder

People with personality disorder often display unusual or extreme behaviour traits. These traits are very different from their cultural norms. They may cause suffering to themselves or others, and hinder interpersonal functioning. People may have mild problems, or severe difficulties managing themselves and relating to others. Some people with personality disorder pose harm to either themselves or others. It usually results from trying to adapt to abuse, neglect or trauma in early years. Personality disorders affects between 4 and 11% of the UK population. It is more prevalent amongst people convicted for criminal behaviours. It affects 60-70% of people in prison and about 50% of those accessing probation services. It is important that criminal justice staff understand personality disorders and how to support people. It is a controversial diagnosis with many people feeling stigmatised. Mainstream services often exclude individuals with the most difficulties.

5.7. Care experienced people in prison and probation

Transition to adulthood is a difficult time for many young people. It can be especially so for young adults who have been in care. Often, they are without emotional, financial and personal support from parents and other family. Care leavers are more likely to have a criminal conviction, and may have experienced unnecessary criminalisation. Care leavers are estimated to represent between 24% and 27% of the adult prison population. Young adults in the criminal justice system who are care leavers may need more support to help their transition to adulthood. They may also need help understanding differences between youth and adult justice systems.

5.8. Experience of domestic abuse of people in prison and on probation

The impact of domestic abuse can be significant and long lasting. It can affect people in a range of ways. Experiencing domestic abuse can lead to: substance misuse; self-harm; and mental health problems like depression, anxiety and post traumatic disorder. Some people in custody and under probation supervision are affected by domestic abuse. There are things we can do to improve outcomes for them.

5.9. Sex workers convicted of crime

Sex work is associated with a range of negative health outcomes. There are high levels of self-reported substance misuse among those involved in sex work. Experiences of violence and trauma are also common. Many involved in sex work report significant mental and physical health problems. These include post-traumatic stress disorder. Studies report that sex workers identify the stigma they faced as the most challenging barrier to permanently leaving the sex trade.

5.10. Former armed service personnel in prison and on probation

Life in the armed forces is generally a positive experience and a protective factor. Former armed service personnel are less likely to commit crime than the general population. The vast majority of those leaving the armed forces in the UK transition successfully into civilian life. However, a small, but significant minority face challenges to their transition, for example, contact with the criminal justice system, mental health problems and alcohol misuse. Former armed service personnel who come into contact with the criminal justice system have broadly the same needs as those that have not

served in the armed forces. However, some studies suggest that they are at greater risk of self-harm and suicide and may be overpopulated amongst violent and sexual offending individuals compared to those who have not been in the armed services. Regardless, there are a wealth of additional services for ex-armed-service-personnel within the voluntary sector that those in the criminal justice system can be signposted to for specialist support.

Annex B - Part 3: Organisational approaches to supervision skills - examples from international practice

1. The strategic training initiative in community supervision

This initiative was carried out in Canada, and was the most systematic attempt to apply the risk, need and responsivity principles to individual interviews. It taught probation and parole officers to structure their supervision sessions around criminogenic needs, with a focus on anti-social attitudes, and to use cognitive behavioural techniques to address these needs.

The initiative consisted of training and ongoing support to increase use of the principles as well as skills including rapport building and using CBT to challenge and change pro-criminal attitudes.

Bonta and colleagues (2011) found that reconviction rates for those under supervision of the initiative-trained staff was lower (25%) than those of non-trained staff (40%).

2. Proactive community supervision

The scheme was designed to protect public safety applying a valid risk and

need tool and a supervision plan that addresses criminogenic traits employing effective external controls and treatment interventions. Proactive Community Supervision holds the supervisee accountable for progress on the supervision plan, uses a place-based strategy using probation office environments to implement the strategy and develop partnerships with community organisations who will provide ancillary services to supervisees.

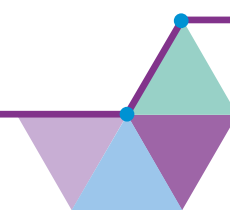
Taxman (2008) found that supervisors supported by a prosocial organisational environment, achieved lower re-arrest rates than those in a less prosocial environment (30% versus 42% for the comparison group).

3. Staff training at reducing re-arrest

This initiative involves US probation staff being trained in risk, need and responsivity and core correctional practices.

Robinson et al. (2012) found that staff displaying greater use of these practices had significantly lower reoffender rates with their caseload than other officers (26% versus 34% after one year). The difference was greatest for medium likelihood of reoffending probationers, but there was very little difference for those at highest risk.

In a separate evaluation of practitioner skills in probation work, Raynor et al (2014) also found that reconviction rates were significantly lower among those supervised by Probation Practitioners who used more skills from a checklist including setting up the interview, verbal and non-verbal communication, effective/legitimate use of authority, motivational interviewing, pro-social modelling, problem solving, and cognitive restructuring.



Annex B: Evidence and effective probation practice – Part Four: HMPPS Service User Involvement and Engagement: Standards of Excellence and Evidence

HMPPS Service User Involvement and Engagement Standards of Excellence and Evidence (1)

	Standard	Evidence (to include evidence from Operational Assurance, HM Inspectorate of Probation etc.)
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1. Ensuring service users contribution to their sentence planning and review

1.1	Staff are skilled and competent in securing service user involvement in their sentencing planning and review.	Staff training, development, and supervision methods explicitly include skills and experienced needed to successfully involve service users in their sentence planning and review. Evidence of opportunities for service users to be directly involved in staff recruitment, training and development are actively explored, and realised.
1.2	Service users have been actively involved in the development of their sentence plan and its review.	Case file notes clearly identify where service users views have been sought, and fully taken into account, as part of the development of their sentence plan and subsequent reviews.

2. Securing service user feedback on which intervention most help them, or how they could be improved at a wider level

2.1	Robust methods for securing good insight into the needs of service users are in place and used regularly.	Evidence of regular use of meaningful opportunities to gain service user insight, such as use of focus groups, one-to-one interviews, surveys, observation, service user journey mapping and other ways of collecting information about service users.
2.2	Opportunities for service input are provided to enable service users to influence which interventions work best for them and others.	Case file notes, and other written records of work with service users, clearly identify where the views of service users have been sought regarding their own needs and the wider needs of others.

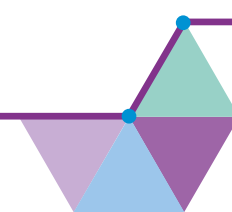
Annex B: Evidence and effective probation practice – Part Four: HMPPS Service User Involvement and Engagement: Standards of Excellence and Evidence


HMPPS Service User Involvement and Engagement Standards of Excellence and Evidence (2)

Standard	Evidence (to include evidence from Operational Assurance, HM Inspectorate of Probation etc.)
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3. Involving service users in key stages of service design, development and delivery

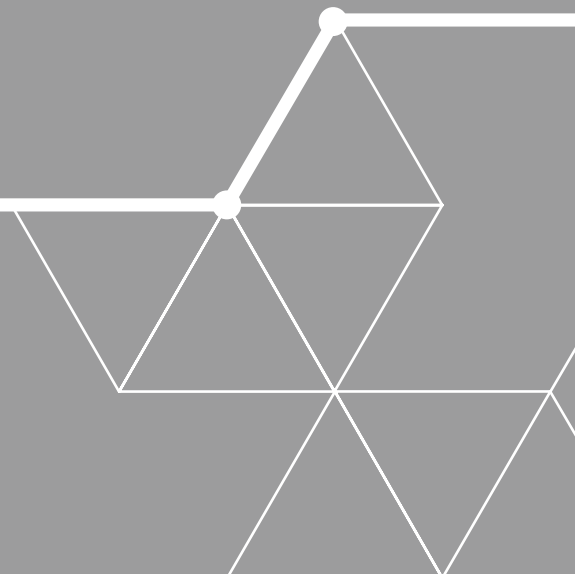

3.1	<p>There is clear evidence of the influence and impact of service user involvement on service design, development and delivery at a strategic/ organisational level.</p>	<p>There is evidence of service user impact and influence on strategic plans and organisational policies, and on work to design and develop services and activities to deliver and review services.</p> <p>There is evidence of how services were changed and improved as a direct result of service user involvement and influence, along with evidence of how this is conveyed back to service users, for their further consideration services.</p>
3.2	<p>Opportunities for service users to assist with service reviews and development as well as opportunities to co-deliver services are actively sought and realised where possible.</p>	<p>Service users are demonstrably encouraged and supported to participate in service review and development work.</p> <p>Opportunities are provided for service users to develop their confidence and skills in relation to engaging in consultation work, and participating in service development and delivery work.</p> <p>Meaningful service development and delivery roles are sought and offered to service users, for example, peer support and mentoring work.</p>
3.3	<p>A systematic effort is made to engage with a delivery of service users including those from specific and under represented groups, with evidence of a tailored response to their needs (consistent with the Equality Act 2010).</p>	<p>Evidence of how a diversity of service users, including those from specific and represented groups, have been encouraged to participate and engage.</p> <p>Examples of how needs which were not being met have been identified and addressed and changes made to promote and enable inclusion of all, with systems put in place to monitor.</p>





Annex C:

Design Principles



Design Principles

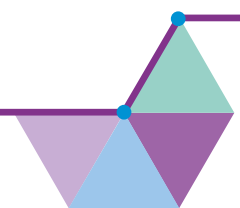
1. Delivery by the NPS

Advice to courts

- ▲ Advice to court functions will continue to sit alongside existing NPS responsibilities which include the preparation of pre-sentence reports, review and enforcement proceedings for all individuals.
- ▲ We are committed to improving the quality of our advice to courts and pre-sentence reports to ensure proposals target specific interventions and treatment requirements that will facilitate reduced reoffending.
- ▲ We want to target fuller reports on more complex cases including individuals who have offended repeatedly, individuals subject to probation services, women, black and Asian people and people of other minority ethnic groups. We will also focus on the needs of young people as a priority cohort.
- ▲ We will review the training for staff in court to ensure that those who represent the Probation Service are confident in the advice they provide and increase the confidence of sentencers in community sentence requirements known to be more effective at reducing reoffending.
- ▲ We want to improve local and national court liaison arrangements so that sentencers are confident about probation services and the delivery of community sentences, are aware of the range of effective interventions being delivered or commissioned by probation and are assured of the quality and effectiveness of those services.

Sentence Management

- ▲ Sentence Management is at the core of probation services. It requires the effective delivery of the sentence of the court, ensuring individuals subject to community orders, suspended sentence orders, licence and post-sentence supervision are properly supervised, requirements are delivered, risks managed and enforcement action taken after non-compliance. A sequence of tasks and functions make up the case management system and therefore define the Probation Practitioner's role.
- ▲ To encourage compliance and continuity, those subject to community or suspended sentence orders or having less than 10 months left to serve will be allocated to their community Probation Practitioner within five days of sentence to allow a comprehensive assessment of their risks, needs and responsivity. Where possible, the individual will remain with the same Probation Practitioner throughout their order.
- ▲ The minimum of face-to-face monthly meetings will remain with telephone contact to support these monthly meetings.
- ▲ Home visits will be mandated where there are child protection/domestic abuse issues and this includes all identified risk levels.
- ▲ Management oversight will be used more effectively including in professional judgement decisions and acceptable absence decisions.
- ▲ The Probation Practitioner will act as broker, commissioning work related to reducing reoffending or reducing harm.



- ▲ To ensure the seamless transition of young adults transferring from the Youth Offending Team into the NPS, transfer arrangements between the two services will commence at least six months prior to the young person turning 18 years old. Where a young person is due to be sentenced as an adult and transfer immediately to NPS, it remains imperative that the Youth Offending Team supervising officer undertakes liaison with the receiving service.

2. Probation Delivery Partners

Unpaid Work

- ▲ Quality and locality of placements provided by the provider are a key aspect of the desired overall quality of Unpaid Work service delivery. This placement information and any other relevant information will be made available to the NPS for use by both the Probation Practitioners and the court practitioners supplying advice to court for sentencing.
- ▲ To place an individual on to an appropriate placement that meets the needs of that individual and the local community, the NPS needs to provide all the relevant risk and need information. To enable the NPS to deliver quality assessments and the provider time to source quality placements to match risk and need, the provider will have up to one month to start the individual on their first work placement.
- ▲ Unpaid Work should be delivered to the individual within their local area/ community.
- ▲ Travel time will be kept to a minimum so that individuals are both working in their local area and spending more of their hours working rather than travelling.
- ▲ Up to 20% of the hours of an individual subject to Unpaid Work can be used on education, training and employment if a need is identified. This is currently underused so an emphasis is placed on ensuring that those individuals that need it undertake education, training and employment provision.
- ▲ A review of each case will take place at the six-month stage of the requirement if it is not yet completed. Both the NPS and the provider will be expected to carry out a review at that stage or before if it becomes clear that the individual is not completing hours at a reasonable rate. This then leads to the completion of hours on a requirement within the 12-month period allowed.

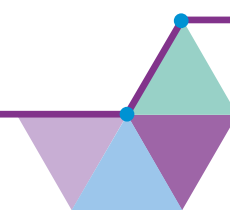
Accredited Programmes

- ▲ Accredited Programmes are the intervention of choice for those who are eligible and we will ensure all those eligible and able to attend an Accredited Programme do so.
- ▲ For Accredited Programmes, evidence suggests that matching the right people to the right intervention will improve outcomes. The suitability and eligibility checks built into the design will help improve these outcomes.
- ▲ We want to build confidence through a delivery model which secures the consistent timely delivery of core Accredited Programmes in locations which meet the needs of individuals.

- ▲ We want to ensure that the right suite of Accredited Programmes are available at sufficient frequency and in locations to meet the risk and need of the probation caseload.
- ▲ Probation Delivery Partners will deliver both the thinking skills programme and building better relationships programme. The NPS will maintain responsibility for programmes for people convicted of sexual offences as well as for individuals convicted of extremism or related offences.
- ▲ Probation Delivery Partners will be required to deliver new Accredited Programmes as they become available and have the potential to design, develop and test new programmes in partnership with HMPPS.
- ▲ We expect Probation Delivery Partners to deliver Accredited Programmes in the locality that the individual subject to probation services resides, where this is possible. The maximum time that an individual subject to probation services will be expected to travel to attend a programme will be 90 minutes each way.
- ▲ A review of each case will take place at the three-month prior to the end of an order/licence to ensure an Accredited Programme is completed in time. The review is a shared responsibility of the NPS and the Probation Delivery Partners and aims to ensure that all programme requirements are completed as prescribed by the court.

Structured Interventions

- ▲ We expect the Probation Delivery Partner to deliver a range of Structured Interventions, providing opportunities for group and one-to-one interventions for all individuals subject to probation services.
- ▲ The Probation Delivery Partners will form a part of probation service delivery with responsibility for provision of Structured Interventions addressing emotional management, attitudes, thinking and behaviour (for cases not eligible for the accredited thinking skills programme) and domestic abuse (for those not eligible for building better relationships programme). Other Structured Interventions will be delivered via the Dynamic Framework.
- ▲ We expect Probation Delivery Partners to show how in their delivery of Structured Interventions they will meet the specific and diverse needs of those with protected characteristics as defined by the Equality Act 2010.
- ▲ Through Structured Interventions, NPS Probation Practitioners are able to work flexibly with individuals to address emerging risks or needs as they arise during an order, licence or post-sentence supervision, enabling a more dynamic and responsive approach in protecting the public.
- ▲ Structured Interventions are designed to fit with the broader sentence plan to maximise the opportunity to reduce the likelihood of reoffending. Referral will take place following a full assessment and completion of a sentence plan and may reflect the need to sequence a range of activities throughout the sentence.



- ▲ We expect the delivery of Structured Interventions in the locality that the individual subject to probation services resides, where this is possible. The maximum time that an individual will be expected to travel to attend an intervention will be 90 minutes each way.
- ▲ A review of each case will take place at the 3-month prior to the end of an order/licence to ensure a Structured Intervention is completed in time. The review is a shared responsibility of the NPS and the provider and aims to ensure that all programme requirements are completed as prescribed by the court.
- ▲ Accredited Programmes are the intervention of choice for those who are eligible.
- ▲ Optimise use of community sentence treatment requirements (mental health treatment requirements, alcohol treatment requirements, drug rehabilitation requirements).
- ▲ We want to enable the Probation Practitioners to focus on the key Sentence Management activities and to be able to access interventions which meet the criminogenic needs of their cases.
- ▲ We intend to mandate a core set of interventions that will be available for those with a Rehabilitation Activity Requirement and for those on licence. These interventions will address the areas of need either strongly associated with reoffending or to provide the stabilisation an individual needs to focus on other issues.

3. Dynamic Framework

Rehabilitative services

- ▲ Rehabilitation is a primary function of probation. We seek to ensure that all individuals subject to probation services, irrespective of where they live, receive well-targeted, well-designed and well-delivered interventions that maximise their chances of leading crime-free lives.
- ▲ For those on community orders and suspended sentence orders, the role of the NPS is critical in ensuring the proposals in court reports identify the interventions most likely to protect the public and reduce the risk of reoffending. For those on licences, interventions need to be available that will support their resettlement and enable a successful transition back into the community.
- ▲ In selecting interventions, we intend that risk, need and responsivity principles are followed. These will include both strengths-based, and trauma-informed approaches where relevant. These interventions will have various levels of intensity to reflect the varying complexity and acuteness of need that is commonly occurring in the probation caseload. The number of days proposed will reflect this and, within this, delivery should be individually tailored to reflect a person's progress.

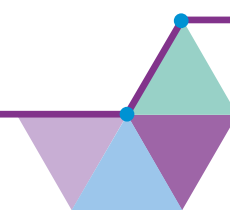
- ▲ We want to see evidence that providers will tailor design and delivery of these interventions to reflect the needs of specific cohorts where the evidence shows that different approaches improve outcomes. The cohorts in scope are, women, young adults, those with learning disabilities and black and Asian people and people of other minority ethnic groups.
- ▲ We are not seeking interventions that meet the same needs as Accredited Programmes or treatment requirements.
- ▲ We wish providers to have flexibility in designing interventions that will meet clear outcomes in relation to each need area. While the core needs are frequently occurring, we acknowledge that regional variations in terms of existing service provision and barriers to needs being met will mean that the design and delivery of the interventions may vary. The focus needs to be on the specific role of Probation Providers in either removing barriers and facilitating sustained engagement with statutory services (particularly joining up services across multiple needs) or in the delivery of activities where such services do not exist.
- ▲ Tailoring services so they meet an individual's needs, behaviours and circumstances and specifically relate to transition and community reintegration.
- ▲ Investing more in non-mainstream services post release, e.g. mentoring in the places where users are released to and not just to where the prison is based.
- ▲ Providing a single accountable person with a single sentence plan to oversee and coordinate all services - pre- and post-release - from prison into the community.
- ▲ Strategically aligned to fit and sustain new prison and probation arrangements in the future.

Resettlement

- ▲ Remove duplication of roles and tasks between through-the-gate and Sentence Management in prison and the community.
- ▲ Enhance pre-release planning by community Probation Practitioners.
- ▲ Providing through-the-gate, not to-the-gate focus by adjusting our approach to reach-in and prepare for when individuals come out.
- ▲ Rigorous data collection, monitoring and analysis (including the recommendations from the Lammy Review) to 'explain or reform' any disparity.
- ▲ A workforce strategy which emphasises equalities in both the training and the continuous professional development offer, one that ensures that the workforce is skilled in working with specific cohorts, such as women and one which focusses on workforce diversity, including ambitions and schemes to advance under-represented groups into management and senior leadership roles.
- ▲ Culturally competent practice/service design, including the commitment to the HMPPS equality strategy that all new interventions/services have an explicit focus on equality in their design.

4. Enablers

Equalities



- ▲ Services and interventions that are most likely to meet the rehabilitative needs of females. This will mean ensuring that services take into account gender and trauma and are designed by, or in consultation with, experts in this area.
- ▲ A supply chain which includes the voluntary, community and social enterprise sector where they have experience or expertise in providing services to minority groups in the criminal justice system, such as the third sector women's centres, especially when under supervision in the community.
- ▲ Improved governance, leadership and scrutiny, including appointment of senior leaders with responsibility for the elimination of disparities, following the example of our chief probation officer and executive director for women.

Interfaces between the NPS and providers

- ▲ Places the Probation Practitioner at the heart of operational delivery and processes to co-ordinate support for individuals.
- ▲ Provides timely access to the best local services and experts to meet the identified need.
- ▲ Works as an enabler to allow the Probation Practitioner to concentrate on the right things at the right time.
- ▲ Works from an evidence-based approach to ensure we spend our money well.
- ▲ Provides the region with simple, visible and easy to understand services.

- ▲ Works within existing resources to offer enabler solutions.
- ▲ Creates the right conditions for voluntary organisations to be able to bid as local service providers.

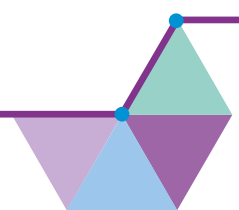
Digital, data and technology

- ▲ We should collect and store relevant information and it should be immediately accessible to anyone who might need it for good risk and Sentence Management and to ensure well-planned and targeted interventions.
- ▲ We should only collect information once and store it in one place.
- ▲ We should use technology efficiently and minimise the cost burden of information collection, retention and sharing.
- ▲ We should make data easily available for analysis.
- ▲ We should continue to identify opportunities to share, make accessible and jointly contribute to data with our Prison colleagues.

5. Mobilisation and transition

The programme transition team will:

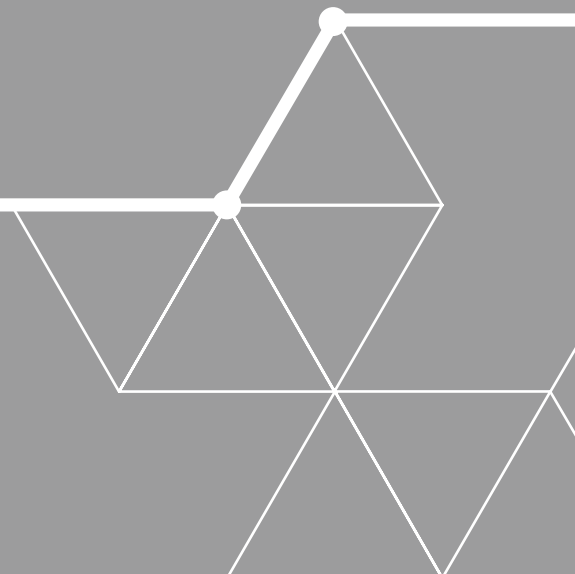

- ▲ Translate the design principles and key activities into a national transition plan that can be adapted to regional plans.
- ▲ Work with probation leaders to establish a regional transition model to enable localised oversight and achievement of the unified model.
- ▲ Create a regional oversight model to assess regional readiness to transition to the unified model, support innovation and change.
- ▲ Ensure that design and enabler workstreams across the programme have clear and achievable day one requirements that can be customised to meet regional capacity and capability.
- ▲ Work closely with contract management teams to ensure that CRC exit plans are executed with minimum disruption to business as usual.
- ▲ Act as the programme bridge with change and delivery leaders within NPS and CRC, enabling communication, identification of risks and potential to inform appropriately staged delivery of the unified model.
- ▲ Liaise with wider HMPPS workstreams to adapt delivery structures within the unified model.
- ▲ Ensure that any disruption to staff and individuals subject to probation services is kept to the absolute minimum with a key focus on maintaining operational delivery and public protection at all times.





Annex D:

How our thinking
has moved on since
the Draft Operating
Blueprint



How our thinking has moved on since the Draft Operating Blueprint

We have made a number of updates in our planning since the Draft Operating Blueprint was published in June 2019. This document sets out our current plans and highlights more substantive changes around:

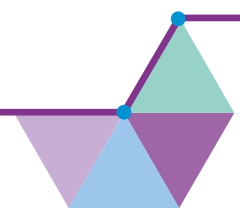
- ▲ Probation regions.
- ▲ The split between the Probation Delivery Partner (formerly Innovation Partner) and the Dynamic Framework.
- ▲ Professional recognition proposals.

1. Probation regions

The Draft Operating Blueprint set out plans for 10 regions in England and one region in Wales. In June 2019, following extensive consultation with local stakeholders, we announced plans to create a standalone probation region covering Greater Manchester and a revised North-West region made up of Cheshire, Merseyside, Cumbria and Lancashire.

That decision recognised the significant caseload volumes in the original North-West region. No further changes to regions are anticipated. An overview of the structure of future regions follows in this chapter.

We have made progress with the recruiting and appointing 11 HMPPS Regional Probation Directors. In Wales, the HMPPS Director will fulfil this role.



2. Split between the Probation Delivery Partner and Dynamic Framework

We have considered the feedback from the market on the proposed division between services from the Probation Delivery Partner (formerly titled Innovation Partner) and those procured through the Dynamic Framework. This includes feedback on the commercial viability of projected flows in large rural areas, including for example access to Accredited Programmes in a timely way.

We have therefore decided that the role of the Probation Delivery Partner will be expanded. This will see the Probation Delivery Partner delivering an increased range of services - to include those rehabilitative interventions which are structured and consistently delivered in the domains of attitudes, thinking, behaviour, emotional management and domestic abuse. This will cover provision under the Rehabilitation Activity Requirement or on licence. The Dynamic Framework will continue to deliver those more individualised rehabilitative services (alongside resettlement services) such as accommodation services; services that address needs around education training and employment; finance, benefits and debt services; non-dependent alcohol services; family relationships and lifestyle services; mentoring services, and some women-specific services.

3. Professional recognition proposals

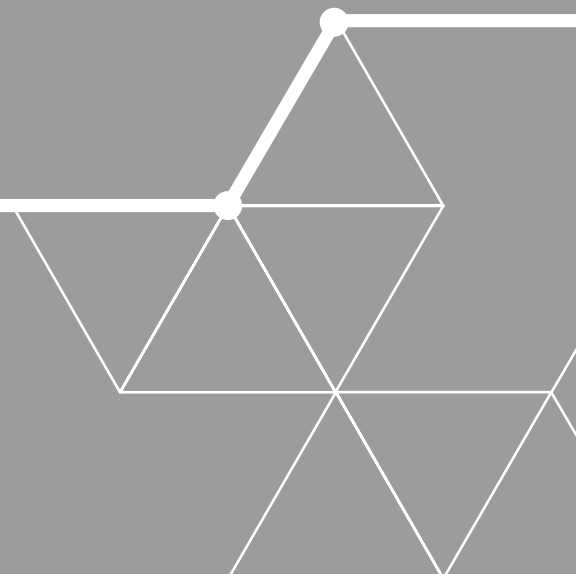
We have set up a separate programme to take forward the delivery of those proposals that were included in the professional recognition agenda.

High level details of this programme are included in this document with further details to be provided in a separate publication.



Annex E:

Wider HMPPS
changes



Wider HMPPS changes

1. HMPPS business strategy

The HMPPS business strategy was launched in November 2019.

Our purpose as HMPPS is to enact the orders of the court, rehabilitate those serving sentences and keep those in our care safe and secure. The strategy sets out our vision to work together to protect the public and help people lead law abiding and positive lives.

We want a diverse, skilled and valued workforce working in a safe, decent and secure estate delivering high quality Sentence Management so we can reduce reoffending and protect the public.

The strategy has four principles that all our work should align with to achieve these outcomes.

- ▲ Enable people to be their best.
- ▲ Transform through partnerships.
- ▲ An open, learning culture.
- ▲ Modernising our estates and technology.

We are now developing underpinning strategic plans.

2. The prison estate

Consistent with the strategic principle 'modernising our estates and technology,' there are a number of changes being made across the prison estate over the next few years which will impact and support our future plans for a new resettlement model.

Reconfiguration aims to match the supply of places with the demands of the prison population by rebalancing the adult male estate to provide the right type of places to meet the needs of the population. To achieve this, the closed adult male estate will be gradually reorganised into three clear functions, reception, training and resettlement.

Reconfiguration also introduces new 'offender flows' which will set out how men progress through the prison estate. The 'offender flows' will be adopted in five geographical areas, known as Lots, from 2019 to 2023. These flows underpin Offender Management in Custody by ensuring men are located in the right prison at the right point in their sentence to access the support and services they require. Under the new flows, men will progress to the training and/or resettlement estate earlier in their sentence, thereby spending longer engaging in activities/interventions and preparing for release.

Additionally, the reconfiguration project is installing video conferencing centres in some reception prisons to help serve the courts better by increasing the number of hearings conducted via video and reducing the volumes of transfers from prison to court.

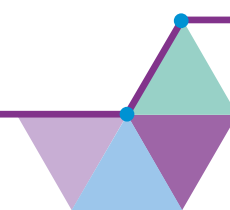
We aim to release the majority of men from resettlement prisons/prisons with a resettlement function. While this may not always be possible (and therefore there is a need for an agile service) Probation Practitioners should work with men to support their progression through categories to enable release from a resettlement prison.

The resettlement prisons will also have more core services provided inside them, and these will include, employment and education suppliers, enhanced physical and mental health casework (including GP registration), family support services and advanced housing and benefit claims support.

3. Offender Management in Custody

The Offender Management in Custody project aims to deliver transformational improvements to the way we support and manage individuals through their sentence. We want our prisons to be places where staff and individuals alike feel safe and secure and where those in our care are supported and challenged to make the most effective use of their time in prison to best prepare them for release. The Offender Management in Custody project key principles include the following:

- ▲ Moving responsibility for Probation Practitioner work from the community into the prison for the duration of the prison period for those serving longer-term sentences.
- ▲ Providing significant investment in keyworker support so that front-line prison staff can focus on building relationships with individuals in prison to support them to change their lives.
- ▲ Prioritising allocation of resources to support individuals in prison based on risk, sentence length and complexity.
- ▲ Ensuring staff delivering Sentence Management work in prison are suitably skilled and supported, avoiding duplication by integrating all Sentence Management functions.



- ▲ Ensuring there is a handover between prison Sentence Management and the community Probation Practitioner in a timely, planned and robust way. Offender Management in Custody will play a vital role in making our adult prisons safer for those on remand and serving sentences in prison and for staff working in prison, by providing a supportive and enabling environment.

In 2017 HMPPS received £100m for the implementation of the new model, which includes 2,500 additional prison officers as well as additional NPS staff, to ensure there are sufficient resources in the prisons to engage the necessary services in prison.

In Wales, Offender Management in Custody was rolled out from February 2019 and in England from October 2019. It is expected to be fully mobilised and stable from Spring 2021. This reform will see long-serving prisoners (with 10 months or more to serve from point of sentence) managed by band-4 prison officers and prison-based Probation Practitioners until specific points pre-release when the transfer of Sentence Management accountability will move to the community Probation Practitioner. We intend to align the proposed resettlement model with the Offender Management in Custody model, with a single handover point of seven and a half months (excluding early assignment cases for the critical few at 15 months). This will simplify existing arrangements. All sentenced and unsentenced prisoners will also continue to be supported with practical tasks by Offender Management in Custody keyworkers (prison staff on residential wings).

During 2019, Offender Management in Custody transferred accountability for community Probation Practitioner roles and tasks from the NPS into the prisons,

enabling prison governors - rather than probation directors working in probation regions - to be directly responsible for the delivery of Sentence Management for individuals on long sentences (with more than ten months to serve). To do this in prison, the workforce will be a mix of prison staff and Probation Practitioners with senior Probation Practitioners from the NPS overseeing the prison-based teams.

4. Electronic monitoring

Electronic monitoring technologies, whether to support compliance with court ordered curfews or location monitoring requirements or as part of a licence requirement on release from custody are an important tool in helping to effectively supervise individuals in the community. As well as providing effective punishment they can help protect the public and reduce reoffending. Electronic monitoring has the potential to divert some people in our care from custody and motivate the right behavior from those under supervision. It can also generate valuable data to improve the work of probation professionals. The department has invested significantly in electronic monitoring technologies in recent years. Location monitoring technology, whereby an individual's precise whereabouts can be monitored enabling enforceable exclusion zones is now available as a requirement of a community order or licence condition throughout England and Wales. In addition, following the successful piloting of technology to monitor alcohol consumption as part of an alcohol abstinence monitoring requirement, the Department is working to roll out the capability and introduce the alcohol abstinence monitoring requirement across England and Wales, starting in 2020.

In our future probation system, we will ensure that electronic monitoring capabilities are better supported within probation structures so we make more effective use of their potential to both improve compliance and public protection/ reoffending outcomes. As part of this we will ensure clear accountabilities/ interfaces for delivery at a regional and national level and ensure that probation staff are providing informed advice to sentencers on how electronic monitoring requirements can be used to support robust community sentences. We will also improve the sharing of appropriate information between electronic monitoring providers and probation to better manage compliance and risk.

5. Accommodation support

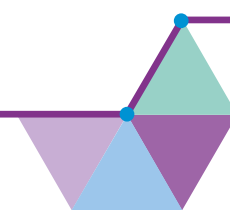
Evidence shows that those who are homeless or reside in temporary accommodation are more likely to reoffend, while a significant proportion (37%) of those recorded as sleeping rough in London, have experience of prison. Overall statutory responsibility for housing and planning is the responsibility of local authorities in both England and Wales. HMPPS currently provides temporary accommodation solutions, including bail accommodation and support services and approved premises.

Government is committed to ensuring that every individual with a history of offending can secure and maintain settled accommodation. Having somewhere to live gives people a stable platform from which to access health services, hold down a job and reduces the likelihood of them reoffending.

On 13 August 2018, the rough sleeping strategy was published. It set out an ambitious £100m package to help people who currently sleep rough as well as putting in place the structures that will end rough sleeping completely. It is the first step towards achieving the government's vision for a country where no one needs to sleep rough by 2027. As part of this strategy, £6.4m has been invested in a pilot scheme to support individuals released from three prisons, Bristol, Leeds and Pentonville. Services have now started in all three areas, with the first individuals now being supported into accommodation following release.

The accommodation pilot is scheduled to conclude in spring 2022 and, subject to evaluation, it is planned that through the future probation system, the final service specification will be available to the NPS to deliver future accommodation support going forward.

The bail accommodation and support service was introduced to provide a source of temporary accommodation and minimal support for those who would otherwise be held in prison. The service is specifically for defendants who can be bailed by the courts and prisoners who can be released on home detention curfew or those who are subject to an intensive community order with a residence requirement.



The bail, accommodation and support service allows more of those who are eligible, to be bailed or released on home detention curfew, reducing loss of liberty and its negative impacts on family life, employment and housing. The service helps to reduce offending and supports efficient use of public resources by freeing up prison places, thereby assisting in managing the prison population by providing an alternative to custody or custodial remand. The current service, as delivered under the extended bail, accommodation and support service contract, consists of over 600 bed spaces in 177 properties.

Approved premises provide residential accommodation for certain individuals subject to probation services who are classified as posing a significant risk of harm to the public. These facilities offer an enhanced level of public protection where individuals are housed in the community.

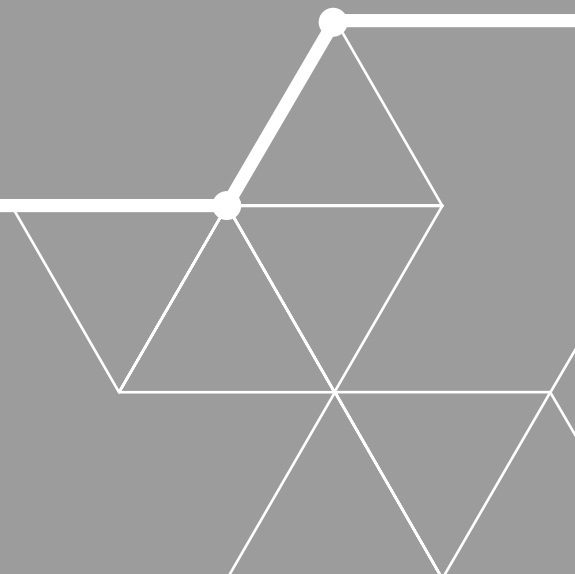
There are 100 approved premises currently, providing over 2000 bed spaces in 89 approved premises managed by the NPS with the remaining 11 operated by independent charitable organisations. In response to forecast demand, HMPPS are planning to expand the approved premises estate by an extra 200 bed spaces.

The importance of approved premises was highlighted in a July 2017 report, by Her Majesty's Inspectorate of Probation, entitled, Probation hostels' (approved premises) contribution to public protection, rehabilitation and resettlement. Her Majesty's Inspectorate of Probation found that 'probation hostels offer a necessary and valuable service and are, overall, performing well. They provide a credible way of managing the transition from custody to the community for many of the most dangerous offenders in England and Wales. They offer a structured method of protecting the public and rehabilitating and resettling offenders.'



Annex F:

Design areas
being developed



Design areas being developed

The design of the future system is an iterative process and as such this document is a work in progress that sets out development thus far. Some elements may therefore be subject to amendments following further development and testing of the model as we continue to work on the design and transition arrangements. We plan to publish a more detailed version of the future probation operating model later in 2020. We continue to work with stakeholders on those design areas currently being developed, the key areas are summarised below.

1. Regional HMPPS structures and staffing

We are developing a target staffing operating model for the new probation model and which will align with the new HMPPS structure. We are considering the recruitment strategy and the right approach for allocating staff to positions within the new structure, and we are continuing to consider the transitional arrangements and costs and the needs around estates/premises. Concerning these points, we are working closely with key stakeholders and trade unions.

We are also developing the structure of the new probation delivery units, including the preferred scope of regional delivery teams and the functions necessary to manage the new range of services that will be commissioned and managed via contracts.

2. The commissioning of services

As well as cultural shifts and skill-based changes needed by regional leadership and staff in terms of commissioning of services, we continue to refine what services will be in place from day-one of the new model as well as confirming our approach to a Regional Outcomes and Innovation Fund. We are also developing the detail around the cycle of spend/commissioning including how we will evaluate impact before making decisions about scaling up/extending provision.

3. Interfaces between the NPS and providers

With regard to how the NPS will interface with service providers, we are designing a centralised interventions and service catalogue that will support the referral process, and we are developing the detail around the interface, referral and administration processes including the information exchange with outsourced providers and the digital solutions needed to achieve this.

4. Sentence Management

We are developing the new case allocation criteria and tiering framework for the future model, which will reflect the risk, needs and responsivity of cases and match those with the skills and experience of the Probation Practitioner. As part of this, we are also considering the options for allocating resources to specific cohorts.

We continue to develop options around the assessment of people including how we would replace the Basic Custody Screening Tool, and we are considering how post-sentence assessments and Basic Custody Screening Tool decisions impact on the new resettlement model.

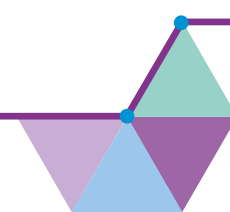
We are developing the detail around risk management plans and how to best reduce potential risk and develop sentence plans accordingly. We are looking at what operational guidance will be needed and what will be the quality indicators.

5. Probation Delivery Partner

We are considering the options around whether new providers will be responsible for interventions not completed, and who will be responsible should backlogs arise. We are also exploring how existing and new cases/intervention deliveries will be managed at the transition point of the new model, and we are developing the panels that will assess the effectiveness of interventions.

6. Resettlement model

We are developing our intentions for the resettlement model for those people given very short prison sentences. We are considering the access to prisons for community-based Probation Practitioners, and we are also developing the options around when prison-based services are used versus services via the Dynamic Framework.



We are considering how we can ensure that the new model is agile enough to adapt to both male and female adults being released from reception and resettlement prisons and other prisons including, for example, foreign national and training prisons.

We also continue to work with the Offender Management in Custody project, to ensure it is unified and aligned with the resettlement model.

7. Rehabilitation/Dynamic Framework services

We are considering if/how rehabilitation and resettlement needs are bundled together for Dynamic Framework competition purposes, and we are making decisions around the size and shape of lots for the competitions.

We are developing the options for an assurance model that will assess the extent to which the design and delivery of interventions meets evidence-based principles, and we are considering what will be the core set of interventions that will meet key criminogenic needs and the needs of different cohorts and protected characteristics. We are developing a picture of existing statutory and non-statutory provision of services and how we can ensure that existing provision is maintained where it is desirable to do so.

We are also considering the appropriate volume of change work that will be undertaken by the Probation Practitioner and the volume of change work that will be available to Probation Delivery Partner/ Dynamic Framework providers.

8. Digital and technology

We will continue to develop the digital solutions to support the new probation model. We are considering the most effective way of sharing information (including access to service user data) to support delivery and contract management.

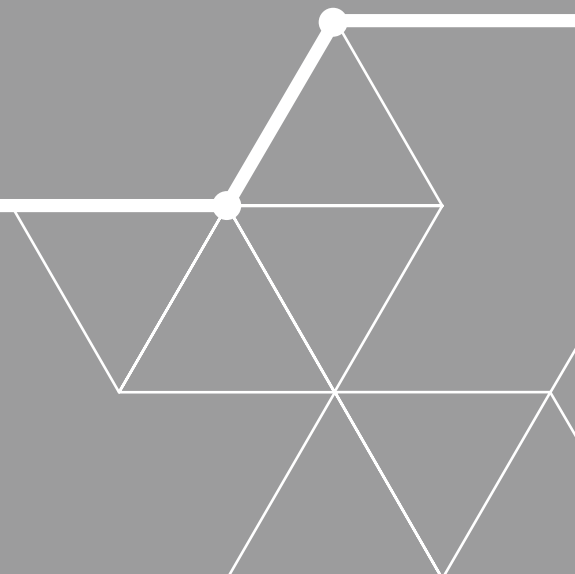
We are developing a set of principles to guide our work in Data, Data Science and Artificial Intelligence, and will use user-centred design to co-create the tools alongside our users, ultimately empowering our front-line and strategic decision makers with the data and insight to complement their professional experience, expertise and judgement. For example:

- ▲ We want to create tools that support not automate human decisions with the latest evidence.
- ▲ We want to consider data as part of a peer review - offering a perspective/ recommendation on a complex case, not a prescription.
- ▲ We want to create data practices that are compliant with and designed to exceed our legal and ethical responsibilities - working in partnership with leading academics.

We are developing plans for how providers will have in place the appropriate technology infrastructure, networks and systems. We are also considering the risk and case management tools required for the NPS.



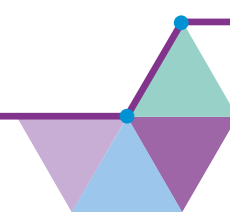
Annex G: Glossary



Glossary

Authority	The Ministry of Justice on behalf of the Secretary of State for Justice.
Dynamic Framework	The Dynamic Framework will operate as an open panel, which eligible suppliers can qualify to join, providing they meet the minimum criteria, at any point in time. Suppliers will be required to qualify for lots, based on the needs and cohorts of individuals subject to probation services. Call-off competitions will be run to source specific rehabilitative and resettlement interventions.
HMPPS	Her Majesty's Prison and Probation Service, which is an executive agency of the Ministry of Justice. The NPS is one of three operational arms of HMPPS (the others are Prison and Youth Custody Service).
Individual/Individual subject to probation services	Means a person currently subject to a community order, suspended sentence order, licence on release from prison and post-sentence supervision.
Interfaces between the NPS and providers	The mechanism the programme will undertake to ensure that we have the right processes, skills and capability, data and digital requirements in place to enable effective working between the NPS and the outsourced interventions. These processes will support an individual's journey from court, all the way through management of the individual in the NPS, and any delivery of interventions either through the Dynamic Framework and/or the Probation Delivery Partner, as well as other government departments and wider local intervention provision.
Invitation to Tender	The document from the Ministry of Justice that sets out what is expected from prospective providers and against what they will bid.
Long sentences	Used with reference to sentences of 10 months or more in custody.
National Standards	The National Standards together with any associated guidance are published by the authority under section 7 of the Offender Management Act from time to time which can be found on the Authority website.
NDelius	National Delius is a browser based, NPS case management system, designed to include the required probation business logic and appropriate security. It contains all adult individual related information, pre-sentence, community orders, custodial sentences pre- and post-release, individuals in approved premises and some young individuals with Unpaid Work requirements.

OASys	Offender Assessment System used by the NPS to support assessment of individuals; identification of the risk they pose, and decisions on how to minimise those risks and how to tackle their offending behaviour effectively. OASys is designed to help practitioners to make sound and defensible decisions.
Probation Delivery Partner	Each of the probation regions will have a Probation Delivery Partner under which the supplier will provide Unpaid Work, Accredited Programmes and Structured Interventions, within the relevant contract package area, to individuals subject to probation services.
Probation Delivery Unit	The basic management unit for NPS operational delivery. This replaces local delivery units or local delivery unit cluster.
Prison Offender Manager	Practitioner within custody responsible for individuals with 10 months or more left to serve through Offender Management in Custody.
Probation Practitioner	The name ascribed to those staff at both probation officer and probation service officer grades delivering court advice and Sentence Management within the NPS.
Public Services Network	The government’s high-performance network used by organisations working with the public sector.
Rehabilitation Activity Requirement	The Rehabilitation Activity Requirement: has the meaning given to it in section 200A of the CJA Criminal Justice Act. The Rehabilitation Activity Requirements RAR is one of the requirements that can be included within a community order or suspended sentence order. The main purpose is to secure someone’s rehabilitation, restoring individuals to a purposeful life in which they do not reoffend.
Region	The revised regions for probation delivery (11 in England and one in Wales).
Regional Probation Director	The Regional Probation Director is the new senior leader who will provide strategic leadership and be responsible for overall delivery and commissioning of probation services in each probation region.
Regional Reducing Reoffending Plan	A public document that describes the probation service offer in the corresponding Region and sets out priorities and longer-term goals, in the wider context of HMPPS.

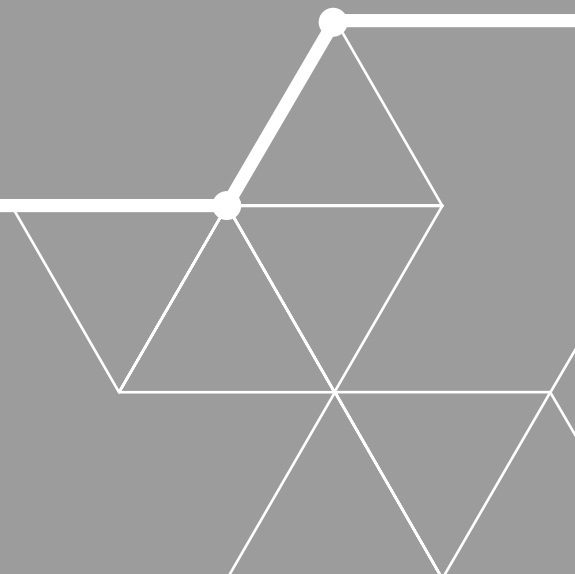


Responsible Officer	This term denotes the role described in section 197 of the Criminal Justice Act; the person who is an officer of a provider of probation services, or a person responsible for monitoring the individual in accordance with an electronic monitoring requirement imposed by the relevant order.
Selection Questionnaire	The first stage of a tender exercise, used to collect information to help decide which suppliers should be selected to participate in the competitive stage of a tender exercise.
Sentence Management	The function of the NPS responsible for management of the community element of an individual's sentence formerly known as offender management.
Sentence Plan	With respect to an individual subject to a community order, a suspended sentence order, a license on release from prison or a post-sentence supervision period, a sentence plan is a document that comprises: <ul style="list-style-type: none"> (i) The identification of the present risk of harm of that individual. (ii) The proposed management and mitigation of the present risk of harm. (iii) The needs of the individual in the context of the delivery of the services and identification of the likelihood of that individual reoffending. (iv) The activity to be undertaken with the individual to deliver that part of the of the sentence of the court to be served in the community and to reduce the likelihood of reoffending.
Short Sentences	Used with reference to sentences of less than 10 months left to serve at point of sentence.
Structured Intervention	Means a planned and Structured Intervention that has a core number of sessions with pre-set content which everyone receives and can be assessed for effectiveness using the principles of the correctional services accreditation and advice panel. Structured Interventions have been approved by the authority for use as part of a Rehabilitation Activity Requirement or post-release licence, release on temporary licence or post-sentence supervision.
Youth Offending Service	The Youth Offending Service is a multi-agency team which works with young people and families to address factors that lead to offending behaviour.



Annex H:

Future publication
and links to other
resources



Links to other resources

- ▲ Ministry of Justice Social Mobility Action Plan (February 2018)
- ▲ Working Towards Justice Devolution to London: Memorandum of Understanding Between the Mayor's Office for Policing and Crime, the Ministry of Justice and London Councils (March 2018)
- ▲ Female Offenders Strategy (June 2018)
- ▲ Strengthening Probation, Building Confidence (May 2019) consultation response
- ▲ Greater Manchester Justice Devolution 2019-2021: Memorandum of Understanding between the GMCA Greater Manchester Combined Authority and the Ministry of Justice (May 2019)
- ▲ The Proposed Future Model for Probation: A Draft Operating Blueprint (June 2019)
- ▲ HMPPS Probation Reform Programme Events Page





HM Prison &
Probation Service

