



HM Prison &
Probation Service

February 2021

The Target Operating Model for probation services in England and Wales

Probation Reform Programme



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Introduction

This chapter provides the context for our target operating model, outlining what we hope to achieve through our reforms and the additional investment being made. It also sets out some key considerations that have informed our proposals, including alignment with the HMPPS Business Strategy, how we can create a more equitable, diverse and inclusive system, and how our proposals link to wider changes and improvements to the criminal justice system.

About this document

This document supersedes the document 'A Draft Target Operating Model for the Future of Probation Services in England and Wales,' published in March 2020. It sets out the further design detail and key design changes that have developed since then.

It is aimed at staff and stakeholders involved in probation delivery and is intended to establish a common understanding of our aspirations for the future of probation services in England and Wales.

Its focus is, therefore, on how we anticipate the key features of the model working once we have implemented the reforms. We recognise that it will take time to get there, not least given the challenges presented by COVID-19 and the subsequent recovery work needed to get probation services onto a stable footing. The position as of June 2021 – when Community Rehabilitation Company (CRC) contracts end – will, therefore, look quite different, as our focus will be on the smooth transition of services. We provide an overview in Chapter 2 of what services will be in place as of June 2021 ('Day 1') and key milestones post Day 1 to get us to our target operating model.

In accordance with the HMPPS Business Strategy principle of an open, learning culture, we will need flexibility to update this target operating model to be able to apply lessons learned from how it is working in practice. The experience of the COVID-19 pandemic has also highlighted that events or wider changes outside our direct control may impact on how our probation system operates. We therefore expect that there will be further iterations of this target operating model following the transition to the new model.

We have used **language** intended to resonate with stakeholders and best reflect the intentions behind the new model and the benefits that we are seeking to achieve. In describing the new probation system, this document will, therefore, and as far as possible, use:

- 'Probation Practitioner' to denote the formerly-used terms 'Offender Manager'/'Responsible Officer' and 'Officer.'
- 'Sentence Management' to denote the formerly-used term 'Offender Management.'

Learning from the more progressive approach CRCs have taken, we will also move away from the term 'offender' in those contexts where it is an unhelpful label, instead referring in this document to supervised individuals or individuals.

Exceptions to this approach 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 B.

This document is split into two further chapters and three annexes:



Chapter 2 provides an overview of the changes that will be implemented for Day 1 and those that will be implemented post Day 1 and sets out our roadmap for achieving the end state described in this target operating model.



Chapter 3 sets out the detail of the new model. This is split into:

- **Part One** Delivery of Sentence Management (comprising advice to court, Sentence Management and resettlement).
- **Part Two** Delivery of interventions and rehabilitative services (comprising Commissioned Rehabilitative Services, the Regional Outcomes and Innovation Fund (ROIF), Unpaid Work, Accredited Programmes, Structured Interventions and Senior Attendance Centres (SACs).
- **Part Three** Victims' Services (comprising how we will improve communication with victims about parole and release, and how victims will engage with the Victim Contact Scheme).
- **Part Four** Supporting delivery of the new model (comprising performance measures, service user involvement, business planning processes, regional structures and accountabilities, our people, estates and digital transformation).



Annex A – 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 development of future services.



Annex B – Glossary – explains key terms, acronyms and abbreviations used in this document.



Annex C – Provides maps of the Probation Delivery Units that comprise each of the 12 probation regions.

The purpose of probation

As set out in law, probation services have multiple aims that relate to protecting against further offences (protecting the public, empowering those that commit crimes to want to make positive changes and reducing the likelihood of reoffending) and addressing the harm caused by the original offence (highlighting the effects of crime on victims and facilitating appropriate punishment).

These aims are not mutually exclusive and there is overlap across them. For example, by challenging and empowering people to embrace the opportunity to make lasting changes to their lives, Probation Practitioners will, in turn, advance the key aim of protecting the public by reducing reoffending. Indeed, a renewed focus on change work forms part of the Government's broader approach to the Criminal Justice System, particularly through the ambition (set out in the White Paper 'A Smarter Approach to Sentencing') to make greater use of robust and effective community sentences as a credible alternative to custodial sentences. Through increasing the use of appropriate community sentencing options, we will be better equipped to address the complex needs of supervised individuals and to target the underlying causes of offending behaviour, thereby breaking the cycle of offending and keeping the public safer.

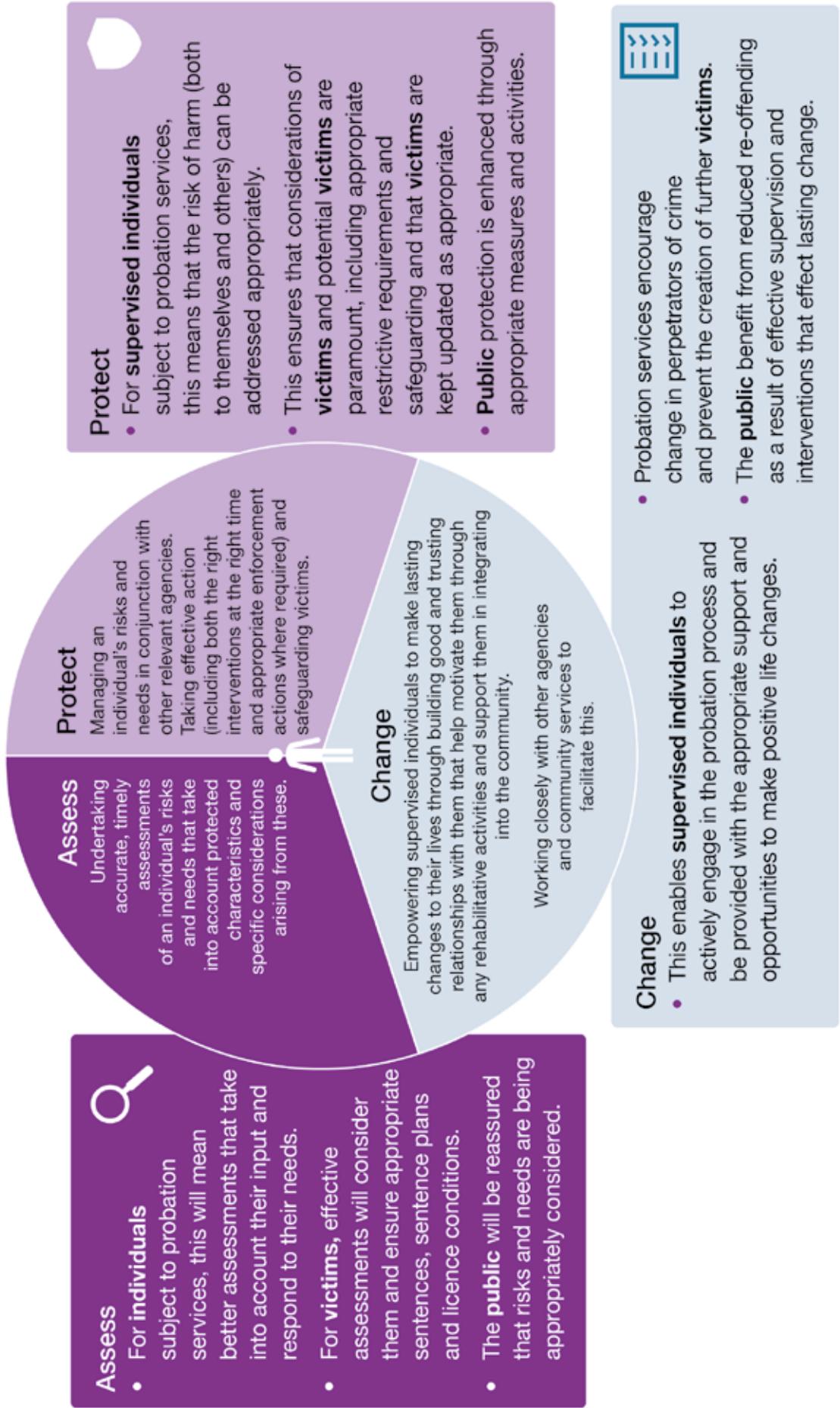
Our reform of probation services offers a valuable opportunity to not only stabilise the probation landscape, reinforce its ethics¹ and ensure that core services are properly delivered, but also to innovate and improve the way these services are delivered such that we can better achieve probation's key aims. In defining the future operating model, we have, therefore, considered the foundations of a strong probation service to be able to achieve this and have distilled it into a simpler description of '**Assess, Protect and Change**'.

Probation's statutory aims revolve around three distinct groups with differing perspectives (those that commit crime, victims and the public). We have, therefore, outlined in Figure 1 (below) what **Assess, Protect, Change** means in the context of both probation services themselves and those that they are intended to serve.

In Chapter 3, we further consider the implications of Assess, Protect, Change on the role of the Probation Practitioner in the context of delivering advice to court, Sentence Management and resettlement support.

¹ The Probation Institute owns and regularly updates the Code of Ethics for Probation and Rehabilitation, which can be found here: <https://www.probation-institute.org/code-of-ethics>

Figure 1. Probation’s role to Assess, Protect, Change



Our vision and the HMPPS Business Strategy

The new probation model is grounded in the overarching HMPPS Business Strategy which sets out our vision to work together to protect the public and help people lead law abiding and positive lives. It outlines four principles that inform the way in which we deliver the role of probation services to 'Assess, Protect, Change', namely:

- **enabling people to be their best** – Investing in our people to make sure they have the tools to do their jobs well and reach their full potential.
- **transforming through partnerships** – Working closely with our partners to deliver a more holistic service that elicits positive change and keeps the public safe.
- **an open, learning culture** – Consulting with our colleagues and stakeholders, including supervised individuals, to learn from each other and looking externally at good practice to improve services.
- **modernising our estates and technology** – Making our working environment safe and flexible and harnessing data and technology to facilitate more effective working practices.

What we want to achieve

The shortcomings of the existing system have been well documented and the need for reform called out by several external bodies including the Justice Select Committee, National Audit Office and Her Majesty's Inspectorate of Probation.

This has resulted in us being able to make a strong case for reform and further investment in the system. We estimate that once the new model is in place fully, total annual spending on probation services will be around £155m more than current annual spend.

Our starting point in considering how we can reform the current system most effectively has been to consider the desired outcomes of those that use, are involved in or impacted by probation services. The diagram at Figure 2 outlines what each group wants from a reformed service, and these have fed into the benefits we want to achieve as well as specific elements of the new target operating model.

We anticipate that, longer-term, our reforms and increased investment will deliver the following strategic benefits:

- Consistent supervision and targeted rehabilitation.
- Trusted contribution to the delivery of justice in courts.
- A skilled, responsive and resilient workforce.
- A flexible, responsive and collaborative system.

We have identified a series of intermediate benefits that we expect the target operating model to achieve as we phase in reforms further post Day 1 and which will feed into achievement of our strategic benefits:

- Improved Sentence Management.
- Improved assessment of service users' needs, risks and characteristics.

- Improved sentencer² confidence in the new probation service and contracted probation services.
- Improved quality of pre-sentence advice.
- Increased staff capacity to meet demand.
- Improved staff engagement.
- Improved quality of programmes, interventions and Unpaid Work.
- More successful delivery of programmes, interventions and Unpaid Work.
- Increased local and partnership-based delivery of probation services.

These intermediate benefits will be measured and monitored in order to ensure that they are fully realised as the new model is established and embedded. They are likely to begin to be realised from 2022 (particularly as baseline measures for new approaches are established). More detail on how these intermediate benefits will be measured can be found in the relevant sections of Chapter 3.

We anticipate that implementation of the new model will generate financial efficiency savings as well as benefits which will improve outcomes and the effectiveness of probation services.

Anticipated efficiencies can be categorised into four broad areas:

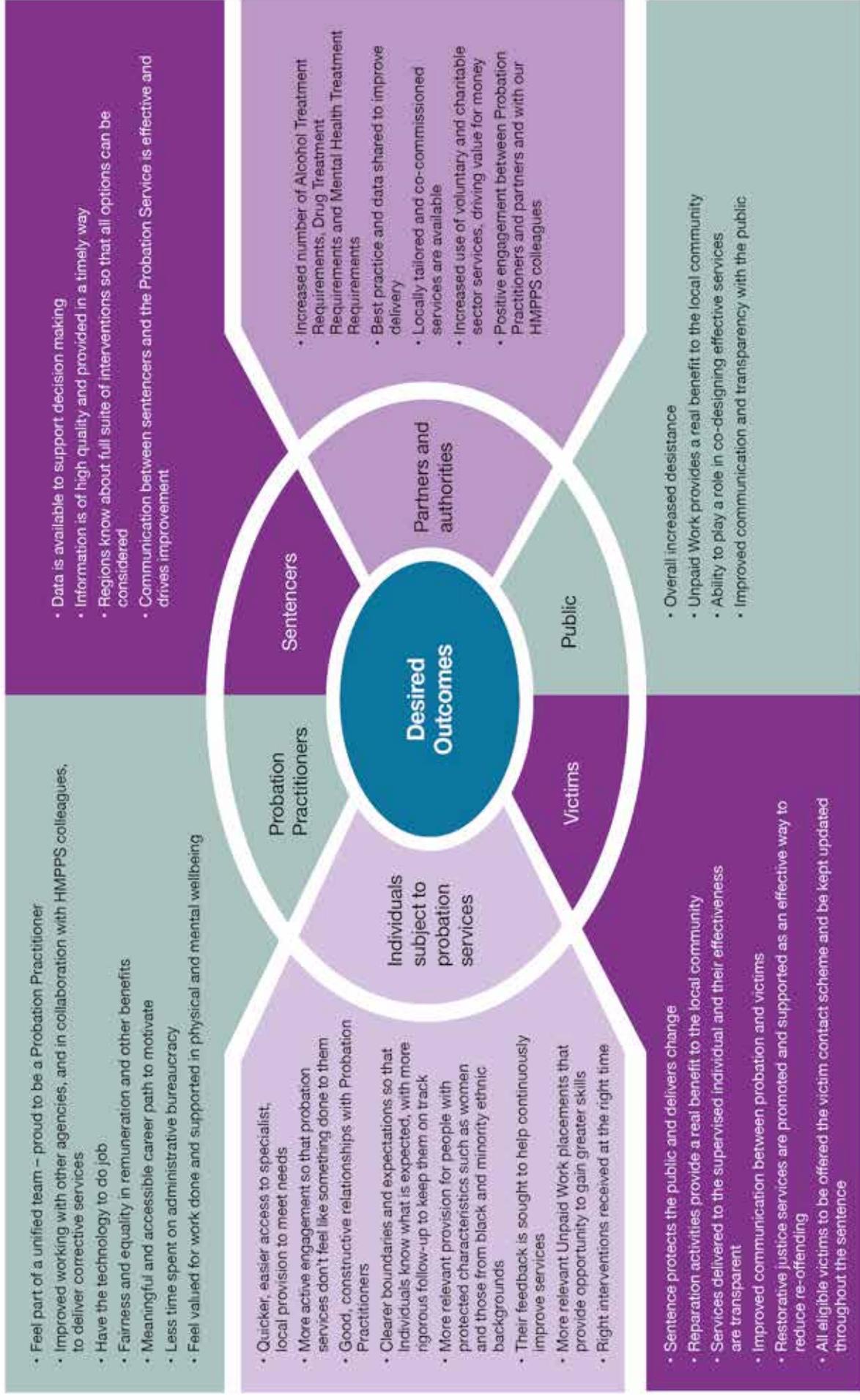
- **Removal of unproductive activities:** This includes unification of probation services resulting in a reduction in hand offs and duplicative activities.
- **Preventing breaches and recall:** The model aims to reduce the amount of enforcement actions needed, for example, through regular case reviews.
- **Increased productivity:** We anticipate that this will be achieved through greater investment in staff and their working environments as well as improvements to digital services that will drive efficiencies and improvements in the way we work.
- **Structural cohesion:** Bringing decision-making under one organisation will bring efficiencies including reducing work required to maintain communications across multiple organisations.

Efficiency savings made will be reinvested in service delivery and enable us to improve the quality of probation services to get better outcomes, and to meet increases in demand.

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

Figure 2. The desired outcomes of key players in the probation system

We have considered the desired outcomes of key players in the probation system, informed by both formal and informal consultation on our plans for reform.



Engagement

The content of this document and the development of our thinking has been informed by market and stakeholder engagement following publication in May 2019 of the ‘Strengthening Probation, Building Confidence’³ consultation response.

Between May 2019 and the publication of the draft target operating model in March 2020, we held over 20 events and met with over 530 stakeholders with an interest in probation delivery, and held a number of market engagement events, alongside workshops for practitioners and service users. We also engaged with the Greater Manchester Combined Authority, the Mayor’s Office for Police and Crime (London), and with Police and Crime Commissioners as we shaped design choices. We continued to engage with trade unions and held a number of staff engagement workshops. We also met and spoke with over 200 members of probation staff from the NPS and CRCs.

Since March 2020, we have engaged with over 160 stakeholder groups within and outside of HMPPS/MoJ, including those engaged with previously. We have sought their views and steers on the changes made since March 2020 (resulting, partly, from COVID-19), such as changes to regional structures, the cessation of the Probation Delivery Partner competition and the bringing of those services into the new probation service, and the revisions to services procured via the Dynamic Framework.

We have continued to engage with stakeholders across probation in Wales. Integration of Sentence Management into the NPS in Wales at the end of 2019, has provided opportunity to identify early improvements and to learn lessons that can feed into the wider transition to the new unified model.

We recognise the importance of engaging with those who are or have been subject to probation services to help shape a better probation system and have sought their views on key elements of this target operating model via surveys and focus groups. We have also undertaken specific engagement with service users with protected characteristics (as defined by the Equality Act 2010), including black and Asian people, so that we can test and challenge whether our proposed model goes far enough in meeting differential needs and experience. Further details are set out below under the ‘Equalities’ heading.

Links to HMPPS Business Strategy

As part of our open, learning culture, we are committed to increasing the use of evidence, insight and data to improve our understanding of what works for probation services.



³ https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/802175/strengthening-probation-consultation-response.PDF

We are committed to ongoing engagement with staff, those with lived experience (building on the innovative work done by CRCs in this area) and other stakeholders as we implement the new model so that we can learn lessons and refine our approach accordingly.

Aspirations around workforce and culture

Our workforce is central to the successful delivery of probation reform. The service they provide changes the lives of those they support and keeps the public safe. The transition to a new probation service (comprising staff from the NPS, CRCs and their supply chain) presents an exciting opportunity to invest in our workforce and to make the new probation service an excellent and rewarding place to work, as we set out in the Probation Workforce Strategy. As part of investing in our workforce, we will:

- recruit more staff to meet demand and build a diverse workforce representative of the communities we serve
- provide staff manageable workloads to support the provision of a high-quality service and enable time for learning and development
- deliver a comprehensive and modernised learning offer, allowing staff greater control over their learning and professional development
- promote wellbeing for everyone, ensuring our workforce is supported by the right structures and encouragement to maintain mental and physical health
- modernise our estates and digital solutions to provide staff and service users with a modern, safe and enabling environment

- foster confident leaders who inspire and empower others, including strong regional leadership to improve coordination and partnership working across the whole Criminal Justice System
- learn lessons from across the NPS, CRCs and their supply chain so that we can avoid repeating mistakes and can harness successes, including retaining successes from operations during COVID-19

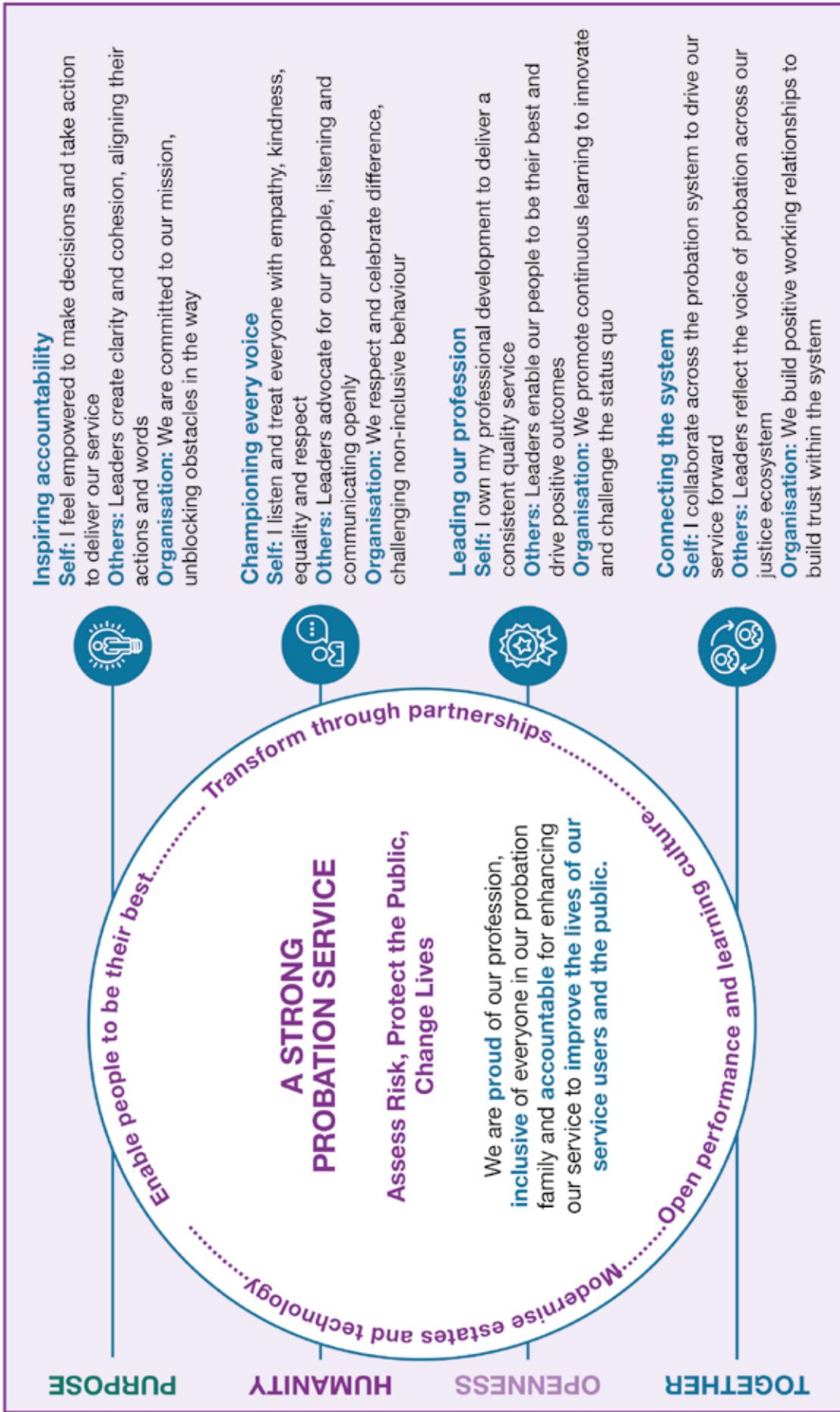
Links to HMPPS Business Strategy

We will enable our workforce to be their best by fostering an inclusive culture where all our staff have the opportunity to develop their careers and reach their potential.

We recognise that our workforce has experienced a lot of change in recent years and we are committed to supporting staff as we transition to the new model, both in preparation for Day 1 and throughout the changes taking place beyond June 2021. We are seeking to involve all staff in shaping the future of our organisation and workforce by providing regular communications and opportunities for staff to engage through activities and change networks, and through trade unions.

The involvement of all staff in developing and embedding new ways of working is also key to creating a new culture for the new probation service, our aspirations for which are outlined below.

Figure 3. Our Probation Culture Code Framework: shaping the future of our new probation service



In advance of June 2021, we are developing a national culture implementation plan which sets out our programme of work over the next three to five years to drive forward and embed culture change into the new probation service. We will also be testing and further refining the Culture Code – which we have developed with Senior Leaders – to get staff support on the cultural ambitions going forward.

Equalities

From the inception of the new unified model, we have ensured that the reforms have been carried out in accordance with the Public Sector Equality Duty set out in the Equality Act 2010.

Careful consideration of potential equality and diversity issues has been undertaken at each stage of the policy development and decision-making process. This has included providing comprehensive advice on potential equality and diversity implications to Ministers to support key decision points in the Programme. The Public Sector Equality Duty is an ongoing duty and the equality implications of the new model will continue to be kept under review during transition and into steady state.

In developing and implementing the reforms, we have sought to ensure that our approach eliminates the potential for unlawful discrimination, harassment and victimisation. Where potential areas of concern have been identified, we have assessed the possible implications of our approach and applied appropriate and proportionate mitigations to reduce or remove the risk of unlawful discrimination. Where there is opportunity to create positive impact, we have taken this forward into design work.

Underpinning the Equality Analysis, we have proposed the improvement of five underlying systems to improve the delivery of probation services across all cohorts, which will have a specific benefit to those with protected characteristics:

- Rigorous data collection monitoring and analysis (including the recommendations from the Lammy Review to ‘explain or reform’ any disparity).
- Culturally competent practice/service design – including the commitment in the HMPPS Equality Strategy that all interventions/services have an explicit focus on equality in their design. All policies, procedures and/or practices will continue to consider their impact on service users from different characteristics groups. This will be evidenced through the Equality Analysis.
- A supply chain which includes the voluntary, community and specialist sector where they have experience or expertise in providing services to minority groups – especially when under supervision in the community. The Dynamic Framework is designed to allow rehabilitative and resettlement interventions to be commissioned separately for different cohorts of individuals.
- Improved governance, leadership and scrutiny – including the process for equality reporting and equality functions within the new model.

- A close relationship with the Probation Workforce Programme to ensure that equalities issues are considered throughout the development of the Probation Workforce Equality, Diversity and Inclusion Strategy – including diversifying entry routes, enhancing qualification routes, improving staff experience, retention and career opportunities, and creating schemes to advance under-represented groups into the probation workforce and senior leadership roles. More information is available within the Probation Workforce Strategy.

Using data from our analytical services team, information from across MoJ and HMPPS, and input from external and internal experts, we have identified the opportunities to advance equality and address any potential risks that arise from the new unified model, particularly in relation to those with protected characteristics, including age race and disability. Findings from this process were fed back to inform service design decisions to strengthen opportunity and tackle potential risk.

Externally, we have engaged with Clinks to ensure that we are engaging with the voice of the voluntary, community and social enterprise (VCSE) sector. We have worked closely with the women's VCSE sector to understand the impact of the competition process and the Dynamic Framework on women. We have also worked particularly closely to understand how we can better address racial disparity within probation services, this is particularly important in the context of the COVID-19 pandemic given its disproportionate impact on those from black, Asian and other minority ethnic (BAME) backgrounds. To check and challenge whether the first iteration of the

target operating model went far enough to address inequalities, acknowledge lived experience and provide suitably tailored support to those from BAME backgrounds (including BAME women), we have worked with a variety of voluntary sector providers to host focus groups with people with lived experience to better understand differential needs and experiences around ethnicity and religion. The findings from this work have informed our design, for example, we plan to provide, to all prison leavers, resettlement packs that include details of third-party agencies that are able to provide specific support to BAME service users in response to feedback on the need for access to more culturally competent services in the community. We are also placing an increasing emphasis on deploying former service users to support supervised individuals in response to calls for access to more people with lived experience of the justice system. We will continue to use service user feedback to inform our approach. We have engaged with probation staff, prison staff and service users to understand how the new model will impact individuals at all stages through the criminal justice system, from the court process, through to custody and post-release.

Internally, we have ensured synergy with cross-department initiatives and identification of pertinent issues as early as possible. We have also worked closely with analysts to understand the landscape in which we are operating, the gaps that exist due to current data collection processes, and how we might better record data in future and apply learning to continue to improve our services for those with protected characteristics (see the section on [equality reporting in the performance framework](#)).

Links to other reform programmes within HMPPS and MoJ

In developing the target operating model, we have had due regard to wider reforms happening within the HMPPS and MoJ that impact on our approach. We will continue to liaise closely with the relevant areas to continue to review any impacts on the model and update as appropriate. Below we outline some of the key areas and how they interact with the new model.

Links to HMPPS Business Strategy

We are committed to transforming our services through working in partnership across HMPPS and the wider Criminal Justice System so that we can maximise our collective experience and expertise and deliver the right services at the right time.



Through the **Community Sentence Treatment Requirement (CSTR) Programme**, health and justice partners are working together to ensure that greater use is made of mental health, alcohol and drug treatment requirements as part of community sentences. The Programme was launched in October 2017 by the Ministry of Justice, Department of Health and Social Care, NHS England and NHS Improvement, Her Majesty's Prison and Probation Service and Public Health England. It focuses on improving multi-agency working to ensure that the roles and responsibilities of all

those involved in delivering CSTRs are clear, with the necessary treatment pathways in place. The CSTR Programme ensures that all CSTRs are available through local steering groups and partnerships between health and justice agencies. Processes, governance frameworks and ways of working are agreed locally, in order to provide the judiciary with robust community order recommendations, along with bringing together the partnerships which enable joint working, all with the aim to treat the individual to reduce their risks and protect the public.

The CSTR Programme is currently operating in courts across 14 areas in England, with further rollout planned with the money committed by the NHS's 2019 Long-Term Plan. This includes a commitment to expand provision of CSTRs to more women, short-sentence prisoners, those with learning disabilities and those with mental health needs. We will achieve 50% coverage of mental health provision by 2023/24 and want to go further with drug and alcohol treatment.

HMPPS is also seeking to improve its understanding of, and influence in, the health landscape in order to improve pathways into local health services for our service users, particularly those with substance misuse and mental health needs. We will do this by testing the benefits of a dedicated probation resource to build relationships with local and regional health systems.

Terrorist attacks at London Bridge and Streatham carried out by individuals under probation supervision have necessitated a reassessment of how the NPS manages individuals convicted of terrorist offences. This remit has been expanded to include the most high-risk, complex and high-profile individuals that the NPS is responsible for managing in the community. The **NPS National Security Division** will be a specialist, dedicated and highly skilled division which provides an enhanced level of management and intervention for these individuals.

We have considered, and will continue to consider, the interfaces between this specialist team and services being delivered under this target operating model. For individuals who are under the supervision of the National Security Division, control of their cases will be handled from court to post-release by an expert in one of the five units being set up across the country. The National Security Division will need to work with senior leads for courts to ensure that, when appropriate, staff within the units who have the specialist training and knowledge are called upon to support court staff in writing pre-sentence reports. Liaison and transfer of individual cases and the operational management of MAPPA and links with local partners and service providers will be critical to the ability of the new probation service to manage risk effectively, and it will be imperative for national security unit leads to forge strong relationships with regional colleagues. We plan to establish a base unit in Wales that will span the management of a wider geographical area, including the South West. This will help meet the dual requirements in Wales of building a strong

relationship with the Welsh Government to support delivery of devolved services as well as recognising the value of a single NPS approach to the national security agenda.

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 resettlement. The **Reconfiguration** project 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. The closed adult male estate will be gradually reorganised into three clear functions, reception, training and resettlement, and men will progress to the training and/or resettlement estate earlier in their sentence. Video conferencing centres in some reception prisons will help serve the courts better by increasing the number of hearings conducted via video and reducing the volumes of transfers from prison to court. The resettlement prisons will have more core services provided inside them. The female estate, whilst outside the scope of the reconfiguration project, will go through a transformation project. We have and will continue to consider the different configuration of the women’s estate in interactions and resettlement planning for women.

The Offender Management in

Custody (OMiC) model 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.

OMiC was introduced in two separate phases. The first phase (Key Work) is the foundation of the OMiC model and is available to all men in closed conditions and will be available to women with low and medium complexity needs. Women assessed as having high complexity needs, receive more time with their allocated Prison Offender Manager (POM) instead of an allocated Key Worker. The second phase (the Case Management model) changes how we manage individuals through their sentence, by bringing offender management responsibility into the custodial setting, for those with a significant period to serve before their release. In Wales, Case Management was rolled out from February 2019 and in England from October 2019. It will be rolled out in the open estate in March 2021 and the women's estate in April 2021. It is expected to be fully mobilised and stable from Spring 2021 in the male closed estate, later for the open and women's estates with differing models. We have developed our approach to resettlement under the new model in conjunction with OMiC and the reconfiguration work and further detail on this is outlined in Chapter 3.

Integrated Offender Management aims for the police and probation to jointly provide enhanced supervision of priority offenders identified in local communities in line with the government's criminal justice priorities, including crime reduction and reducing reoffending plans. Due to the complexity of those selected to be supervised by Integrated Offender Management, they require more intensive supervision to address the underlying criminogenic drivers of their offending behaviour. For Probation Practitioners, this includes activity to undertake the necessary partnership work and connect individuals to the most suitable pathways.

The joint thematic inspection of Integrated Offender Management report published in February 2020⁴ made clear recommendations to ensure that there is a workstream dedicated to Integrated Offender Management. It also recommended that Chief Constables and probation leads define an Integrated Offender Management operating model and produce practice guidance that sets out what is required by each agency to address the acceptance that Integrated Offender Management had lost its way and to restore this multi-agency working arrangement to achieve its full potential. The Integrated Offender Management Refresh programme intends to respond to these recommendations and provide clarity, strategy and essential toolkits to support local arrangements to achieve this.

⁴Criminal Justice Joint Inspection (2020). 'A joint thematic inspection of Integrated Offender Management'. <https://www.justiceinspectorates.gov.uk/cjji/inspections/iomthematic/>

Electronic Monitoring technologies are being used to support compliance with court ordered curfews, location monitoring requirements or as part of a licence requirement on release from custody and 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. We will ensure that Electronic Monitoring capabilities are better supported within probation structures so that we make more effective use of their potential to improve compliance, public protection and reoffending outcomes. As part of this, we will ensure clear accountabilities and 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.

The Sentencing White Paper published on 16th September 2020, sets out proposals to expand the use of Electronic Monitoring and make it more flexible. This includes a proposal to give probation services powers within a prescribed range of circumstances to vary Electronic Monitoring requirements. This is intended to free up court time and enable Probation Practitioners to vary arrangements to support individuals' living and working patterns and encourage increased compliance. If this proposal goes ahead, we will review our procedures and processes for recording amendments and communicating these to the court, police and Electronic Monitoring providers.

Electronic Monitoring encompasses the **Alcohol Abstinence and Monitoring Requirement (AAMR)** which gives courts the power to impose such monitoring as part of a Community Order or Suspended Sentence Order and to order an individual to abstain from alcohol for a fixed period of up to 120 days. AAMRs are intended to tackle offending behaviour where alcohol has been a contributory factor. Wales have already adopted the AAMR approach and a national rollout is anticipated in February 2021. Court staff will receive training on this new approach and administrative roles within Probation Delivery Units will be supported on downloading and preparing data on alcohol monitoring for review by Probation Practitioners. Probation Practitioners will have responsibility for supporting this process through consideration of any complementary interventions as well as monitoring compliance with an AAMR and taking any necessary enforcement action.

Accommodation, and more importantly a home, is a cornerstone to reducing reoffending and it is essential that individuals leaving prison and those on Community Orders have somewhere stable and secure to live. 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.

The Ministry of Housing, Communities and Local Government are responsible for legislation relating to housing in England; responsibility lies with the Welsh Government in Wales. Statutory responsibility for housing and homelessness in England and Wales lies with Local Authorities. HMPPS provide short term temporary accommodation placements only in specific circumstances, mainly when additional public protection measures are required, for example in Approved Premises or when release from custody is dependent on a suitable address for Home Detention Curfew.

Approved Premises (AP) support a safe transition from custody into the community and provide a high-level of monitoring and public protection. APs are staffed 24 hours a day and balance care with control. They impose various constraints on residents' freedom. There are 100 APs across the country with over 2,250 bed spaces and a normal length of stay of 3 months, but this can be longer depending on the availability of safe move-on arrangements. Close working with Multi Agency Public Protection Arrangements (MAPPA), including Local Authorities and housing providers is crucial. Some APs are designated 'Psychologically Informed Planned Environments' (PIPEs). This means that additional expert psychological input from NHS clinicians is provided to help APs manage individuals with personality disorders. Plans are in place to develop an extra 200 bed spaces and to work towards a better spread of provision across the country so that residents can be reintegrated back into their own communities. We also want to improve the quality of our AP buildings, including through a £10m additional investment in maintenance and security. We want to secure further provision for female offenders by opening additional

APs and improve opportunities for our residents by developing stronger local models of partnership working based on individual resident need, including establishing a social prescribing network, implementing strategies to reduce suicide and self-harming behaviour and reviewing the impact of the PIPE model and future potential. We all intend to build on our local relationships and ensure appropriate move-on accommodation opportunities for high risk complex APs' residents.

The **Bail and Accommodation Support Service (BASS)** was introduced to provide temporary accommodation with support for those low and medium risk individuals, who would otherwise be held in prison. The service is available for those on Bail, Home Detention Curfew, released from a custodial sentence of less than four years and of no fixed abode, on licence and at risk of recall due to loss of accommodation or on an Intensive Community Order with a residential requirement (Wales and Manchester only). The service provides 550 bed spaces for both men and women across England and Wales. Partnership working is crucial both in relation to property procurement and move-on support with a range of agencies playing key roles. Plans are in place to increase the capacity of BASS and improve occupancy levels, also to improve the quality and consistency of the accommodation. We will realign the estate, so we have the right properties in the right places and review our services for women to make sure they are appropriate and effective.

When HMPPS does provide temporary accommodation placements, we aim to ensure that they are of excellent quality and that we work closely with our partners to integrate residents into suitable longer-term housing and the community. 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 by the end of this Parliament. 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 Summer 2022 and, subject to evaluation, it is planned that through the future probation system, the final service specification will be available to the probation service to deliver future accommodation and wrap around support going forward.

The Homelessness Reduction Act (HRA) 2017 has significantly reformed England's homelessness legislation by placing duties on Local Housing Authorities (LHA) to intervene at earlier stages to prevent homelessness in their areas. The HRA brought two new key duties to public bodies and Local Authorities: the duty to prevent and the duty to relieve homelessness. The established National Offender pathway in Wales, operates similar arrangements to support those with a history of offending at risk of homelessness. Prison and probation providers are now subject to the 'Duty to Refer' and have a statutory responsibility to refer anyone at risk of homelessness to the LHA 56 days before they are due to become homeless.

COVID-19 has changed the way we deliver our services and it remains to be seen how it will change our delivery in the coming months and years. To ensure that no-one needed to leave prison homeless during this period, we have also seen the introduction of Regional **Homelessness Prevention Taskforces** which will remain as a feature of the landscape beyond the current period. The Government is committed to ensuring that those with an history of offending can secure or maintain settled accommodation, as part of their rehabilitative support. To ensure that provision of accommodation is kept as an imperative, the performance framework for the new unified model will include measures around accommodation (see 'Performance Framework' section in Chapter 3, Part Four for further details).

The **Probation Business Recovery Programme** was set up to respond to the impact that COVID-19 has had on the Probation Service and to progress a programme for resuming probation services during the continuing pandemic. The programme acts as a conduit between probation and wider recovery work across HMPPS and MoJ, including the HMPPS Recovery Committee. This is intended to remove pressure from other parts of probation to feed information into the wider recovery machinery. It also provides a recovery coordination service to the wider probation business to ensure that decisions made in one part of the business do not adversely affect other parts, or the wider system. The programme takes responsibility for operational decision-making on recovery which does not fit in either existing probation programme and cannot be effectively undertaken within the operational line or needs a cross-probation approach. The Probation Reform Programme is working closely with the Probation Business Recovery Programme to identify impacts of recovery work on transition to the new model and the longer-term target operating model, including where new delivery approaches have worked well and can be embedded into the future probation system to achieve efficiencies and better ways of working.

Chapter 2

Day 1 design and transition

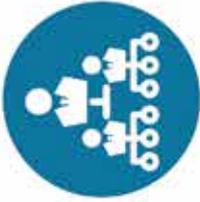


Chapter 2: Day 1 design and transition

Day 1 of the new model and approach to transformation

We will transfer to the new unified model on 26th June 2021 following the end of CRC contracts (Day 1). For Day 1, the aim is to maintain current operational delivery, protect service continuity and minimise risk of operational failures. This means minimising change for Day 1 and maintaining existing delivery models where feasible. We acknowledge that this may feel like a bigger change for those staff currently working within CRCs, particularly in relation to IT and systems which will largely be those utilised currently by the NPS. Once we have secured the smooth transition of services, post Day 1 we will phase in further changes that move us towards the target operating model described at Chapter 3 of this document.

Figure 4. Priority areas for continuity from Day 1

Process	People	Organisation	Digital, Data & Tech	Estates
 <p>Same tasks and activities carried out as pre-Day 1 wherever viable/appropriate.</p>	 <p>The same people are carrying out the same jobs, in the same location, wherever viable/appropriate. CRC staff will be transferred to the new probation service where they are in scope to transfer and meet the transfer criteria.</p>	 <p>Teams follow same configuration and structure wherever viable/appropriate. All operational line management structures will align with new regional senior leadership structures (down to Heads of Probation Delivery Unit tier).</p>	 <p>We will have access to all relevant data. We will not have the same current systems and equipment – we will have reliance on HMPPS systems, infrastructure/devices only, not those currently used by CRCs, unless this is found to not be operationally viable for some processes/regions.</p>	 <p>Probation staff will carry out their jobs in the same location wherever viable/appropriate. There is no (or minimal) change to the location where supervised individuals report to their Probation Practitioner and attend placements and services.</p>

People

In respect of transfer of people for Day 1, we have reached a National Agreement with trade unions which will mean the following arrangements for terms and conditions will be put in place:

Current Employer	Future Employer	Terms & Conditions (T's & C's) Position
CRC	HMPPS (NPS)	Will be aligned to NPS T's & C's upon transfer in line with the National Agreement
CRC	Commissioned Rehabilitative Services provider	Contractual T's & C's will be protected upon transfer, plus some additional elements of protection provided by the National Agreement
Parent Organisation	HMPPS (NPS)	Contractual T's & C's will be protected upon transfer, subject to future employer 'measures'
Parent Organisation	Commissioned Rehabilitative Services provider	Contractual T's & C's will be protected upon transfer, subject to future employer 'measures'
Supply Chain	HMPPS (NPS)	Contractual T's & C's will be protected upon transfer, subject to future employer 'measures'
Supply Chain	Commissioned Rehabilitative Services provider	Contractual T's & C's will be protected upon transfer, subject to future employer 'measures'

Day 1 Overview

Area	Area Key Day 1 Changes	What will not change for Day 1 ⁵
General	<p>EQuIP processes and probation instructions will have been updated to reflect Day 1.</p> <p>EQuIP will host any existing CRC guidance documents and process maps that are still relevant.</p> <p>There will be new National Standards in place that reflect ambitions for practice expectations.</p>	
Courts	<p>There will be an updated list of contacts for Interventions Teams within the new probation service.</p> <p>Court staff will have access to an updated list of interventions in the area to meet user needs and inform pre-sentence proposals.</p> <p>A new digital service that provides a more streamlined way of accessing information will have been rolled out.</p>	<p>Probation's presence activity in courts, the use of pre-sentence reports and the approach to dealing with breaches will not change on Day 1.</p> <p>Existing NPS systems and processes will remain in place to notify Interventions Teams of sentence requirements post sentence.</p>

⁵ This is in the context of the majority of staff. We recognise that in relation to the use of existing NPS Systems, it will signify a change for some CRC staff (e.g. those CRCs that have bespoke systems in place for Unpaid Work scheduling and referrals).

Area	Key Day 1 Changes	What will not change for Day 1
Sentence Management	<p>All staff delivering Sentence Management will work in the new probation service.</p> <p>All data from non-authority CRC systems will have been migrated to allow uninterrupted access for case admin staff.</p> <p>New tiering model will be in place⁶.</p> <p>New minimum contact requirements will be set out in National Standards with the option to use alternative contact types to support supervision. Post-sentence supervision cases will be excluded from the monthly face-to-face contacts.</p> <p>Probation Practitioners will deliver structured change work to fulfil required Rehabilitation Activity Requirements days where appropriate and to complement Commissioned Rehabilitative Services provision. A new portfolio of toolkits will be available that includes guidance and materials for Probation Practitioners to refer to and use when delivering change work.</p> <p>There will be a revised process for dealing with transfers in and out to other regions, which will include how interventions will be transferred.</p>	<p>No change to caseload types and colleagues formerly based in CRCs will keep low and medium risk cases.</p> <p>All case admin functions will largely follow the same processes as currently.</p> <p>The existing Workload Management Tool will remain in place (although CRC caseloads will be included in this).</p> <p>Former CRC teams will be able to continue to allocate in line with their own tiering model and continue to utilise their own workload management tools should they decide to do so.</p> <p>Existing NPS systems and processes will remain in place for risk assessment and escalation as well as for eligibility and suitability assessment for Accredited Programmes.</p>

⁶ Allocation will be in line with the new tiering model in all legacy NPS teams and legacy CRC teams will have decided whether to follow this or continue to allocate in line with own tiering model.

Area	Key Day 1 Changes	What will not change for Day 1
Sentence Management	<p>New digital service, processes and guidance for referring supervised individuals to Commissioned Rehabilitative Services as well as mechanism for Commissioned Rehabilitative Services providers to detail information about the interventions they provide to inform Probation Practitioners' referrals.</p> <p>In Wales, the Centralised Operational, Resettlement, Referral and Evaluation (CORRE) Hub will manage the interface between Probation Practitioners and the complex interventions landscape. The CORRE Hub will assist Probation Practitioners through identifying suitable interventions, completing referrals, monitoring supervised individuals' progress and keeping the sentence on track.</p>	<p>Existing NPS systems and processes will remain in place for referrals to Unpaid Work placements, Accredited Programmes, Structured Interventions and Senior Attendance Centres.</p> <p>Existing process will remain in place for dealing with transitions from youth services.</p>

Area	Key Day 1 Changes	What will not change for Day 1
Resettlement	<p>The handover report from Prison Offender Manager and Probation Practitioner (Community Offender Manager, COM) for low and medium risk cases will also be shared with former ETTG staff.</p> <p>Accommodation and Mentoring Commissioned Rehabilitative Services will be available pre and post-release.</p> <p>Employment Training and Education and other Personal Well-Being Commissioned Rehabilitative Services will be available post-release.</p> <p>A new digital service is in place for referrals to the Commissioned Rehabilitative Services.</p> <p>Some early adopter regions will move to a short-sentence function, creating a fast-tracked route to ensure this cohort have access to services in a timely manner.</p> <p>All those leaving prison will receive a resettlement pack so they have the information they need about their resettlement options and what is expected of them on release.</p>	<p>There will be no change to the handover point between OMiC Prison Offender Managers and Probation Practitioners (COMs).</p> <p>Pre and post-release contract frequency will remain as is.</p> <p>The Basic Custody Screening Tool will still be completed.</p> <p>No change to approach to unconvicted and unsentenced cohort (will continue to be serviced by OMiC resource and staff transferring across from Enhanced Through The Gate (ETTg) teams).</p> <p>Finance, Benefit and Debt support will still be provided by former ETTG staff transferring to the new probation service.</p>
Victims' Services	<p>The annual contact letter to victims will contain enhanced information, including the prison security category.</p>	<p>Victims' services will otherwise continue as currently.</p>
Unpaid Work	<p>Core staff delivering Unpaid Work will work in the new probation service. Some beneficiary organisations may continue to provide supervision of groups or individuals.</p>	<p>Existing operational models of Unpaid Work delivery will continue (these will vary across and within regions).</p> <p>Unpaid Work in-flight cases will continue.</p>

Area	Key Day 1 Changes	What will not change for Day 1
Unpaid Work	<p>The Unpaid Work Service Manual will be updated to set out clear processes and guidance for delivery.</p>	<p>Existing CRC case administration models will remain to support Unpaid Work delivery.</p> <p>Referrals to Unpaid Work placements will be made through NDelius (this is not a change for most CRCs, but it is for the two CRCs that currently use a bespoke system for this activity).</p> <p>Scheduling of supervisors onto Unpaid Work projects will be done through spreadsheets and staff knowledge (this will be a change for CRCs that currently use a bespoke system to do this activity).</p> <p>Processes will be in place to enable local people and organisations to make nominations for Unpaid Work schemes in their locality.</p>
Accredited Programmes	<p>All staff delivering Accredited Programmes will work in the new probation service.</p> <p>New timeliness checks to ensure requirements are completed in time.</p>	<p>As a minimum, the same suite of Accredited Programmes will be delivered in each locality.</p> <p>In-flight Accredited Programmes will continue.</p> <p>Referral and management of Accredited Programmes will be through existing NPS systems and processes.</p> <p>Existing NPS processes will assess eligibility and suitability for Accredited Programmes.</p> <p>The Partner Link Worker service will remain in place.</p>

Area	Key Day 1 Changes	What will not change for Day 1
Structured Interventions	<p>All staff delivering Structured Interventions will work in the new probation service.</p> <p>A national Effective Interventions Panel will have been put in place to review the effectiveness of interventions.</p>	<p>Rehabilitation Activity Requirements and review will continue as is.</p> <p>Probation Practitioners will need to refer and manage through existing NPS systems.</p>
Commissioned Rehabilitative Services via the Dynamic Framework	<p>Commissioned Rehabilitative Services through the Dynamic Framework established in all areas except Greater Manchester and for women's services in London. Contracts will be in place for delivery of the following specific services or cohorts:</p> <ul style="list-style-type: none"> • Accommodation (at a regional level). • Employment, Training and Education (at a regional level). • Personal Wellbeing (at a PCC level). <ul style="list-style-type: none"> – Social Inclusion. – Lifestyle and Associates. – Family & Significant others. – Emotional Well-Being. • Women's Services (at PCC level). • Services for Young Adults (in Wales only and at Wales PCC level). <p>In Greater Manchester, co-commissioned services with Greater Manchester Combined Authority will be in place.</p> <p>In London, co-commissioned women's services with the Mayor's Office for Policing and Crime will be in place.</p>	<p>In all areas other than Greater Manchester, existing statutory services will continue to deliver work related to finance, benefits and debt as well as dependency and recovery.</p>

Area	Key Day 1 Changes	What will not change for Day 1
Commissioned Rehabilitative Services via the Dynamic Framework	<p>New contract management guidance will be in place.</p> <p>All available interventions and services will be captured in new digital services and Probation Practitioners will have access to clear and timely feedback on delivery and progress of Commissioned Rehabilitative Services.</p> <p>There will be a clear process for referrals, with probation staff using the new digital services and providers able to record and communicate information about services and about risk, non-compliance and progress.</p>	

Area	Key Day 1 Changes	What will not change for Day 1
Commissioning of other (non-enforceable) outsourced interventions	<p>Regional Probation Directors, HQ commercial support and regional contract management and commissioning teams, will have responsibility for commissioning services and will understand the rules and process for commissioning and co-commissioning including what the Regional Outcome and Innovations Fund (ROIF) funding may/may not be used for.</p> <p>A mechanism is in place that allows those we commission services from to submit payment requests and support payment queries.</p>	

Post-Day 1: Roadmap to achieving target operating model

Post Day 1, we will look to implement further changes that seek to stabilise and transform services to achieve our target operating model. Set out below is the broad roadmap for achieving this.

Figure 5a. Post-Day 1 roadmap: Process and operations

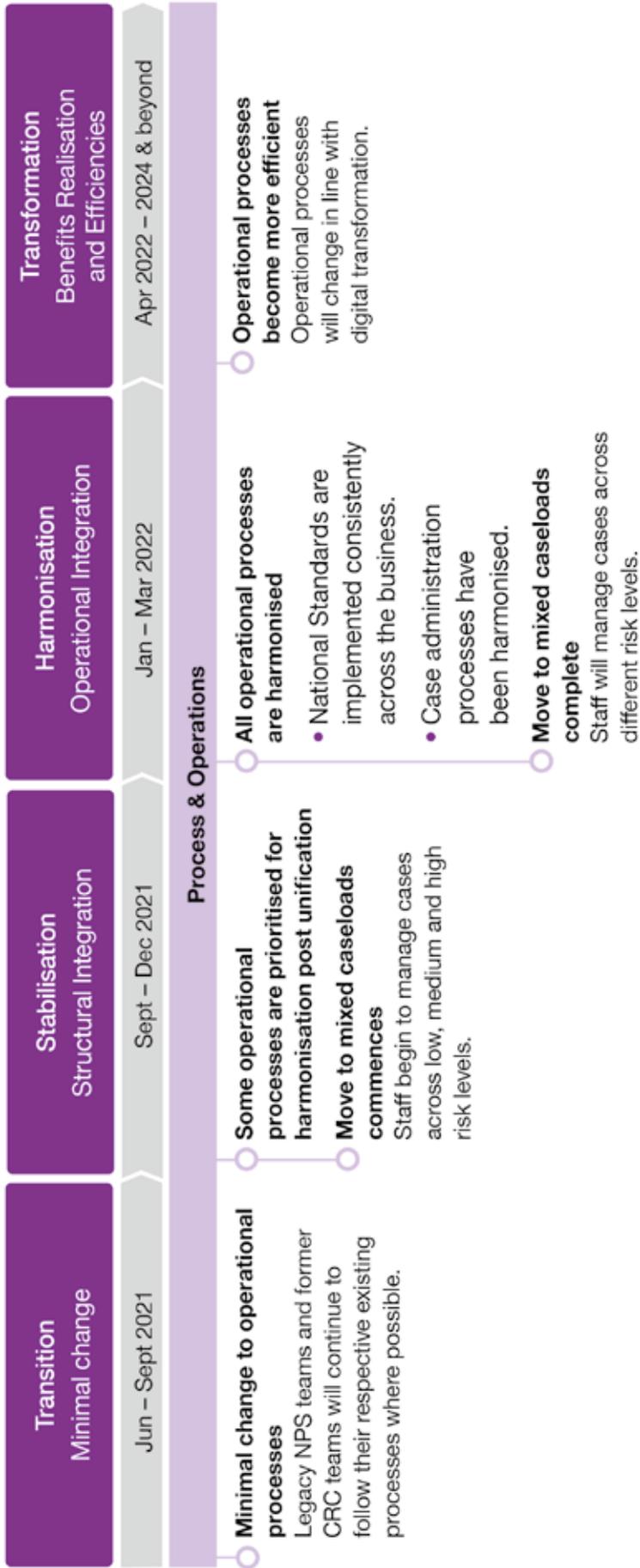


Figure 5b. Post-Day 1 roadmap: People, organisational and structural changes

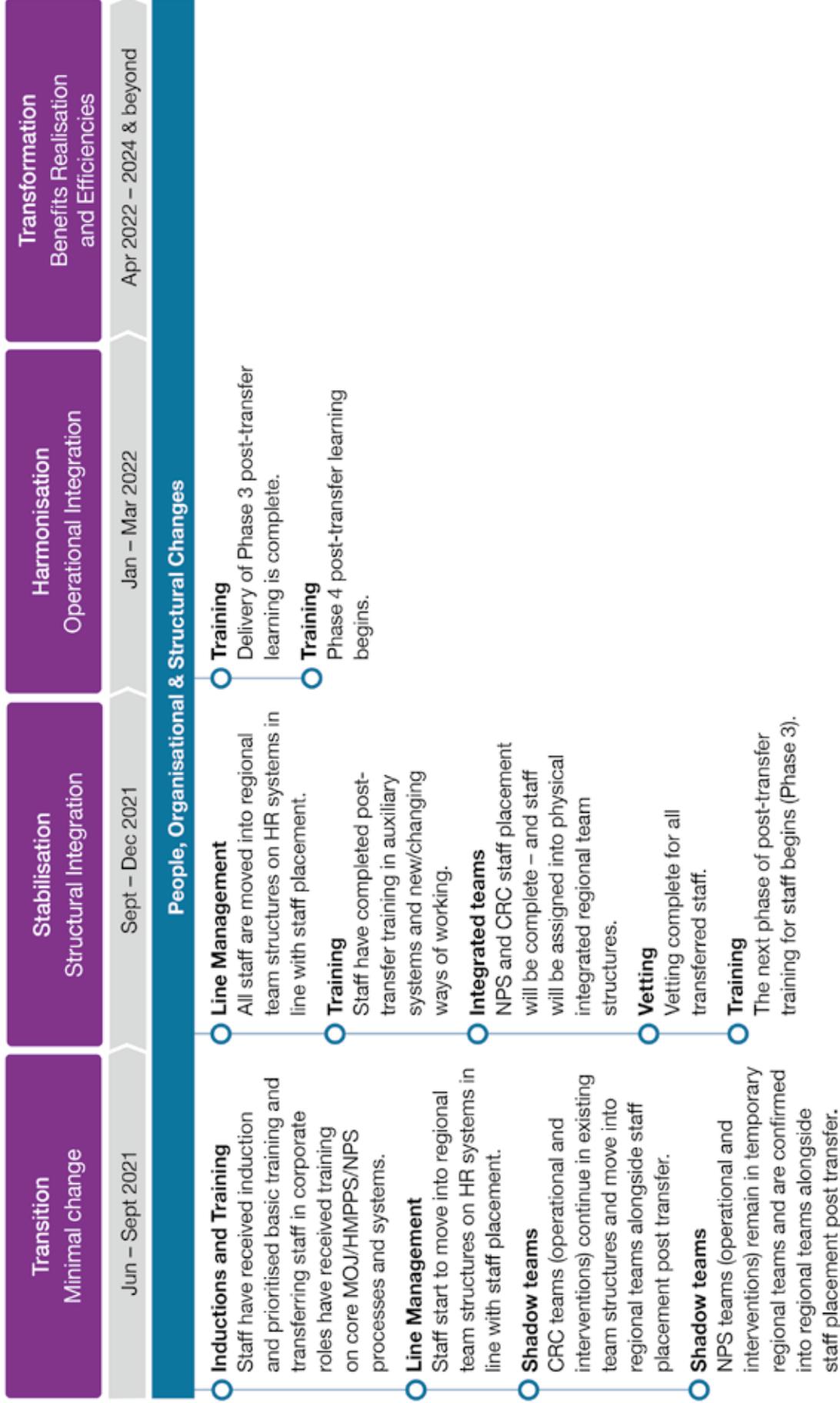
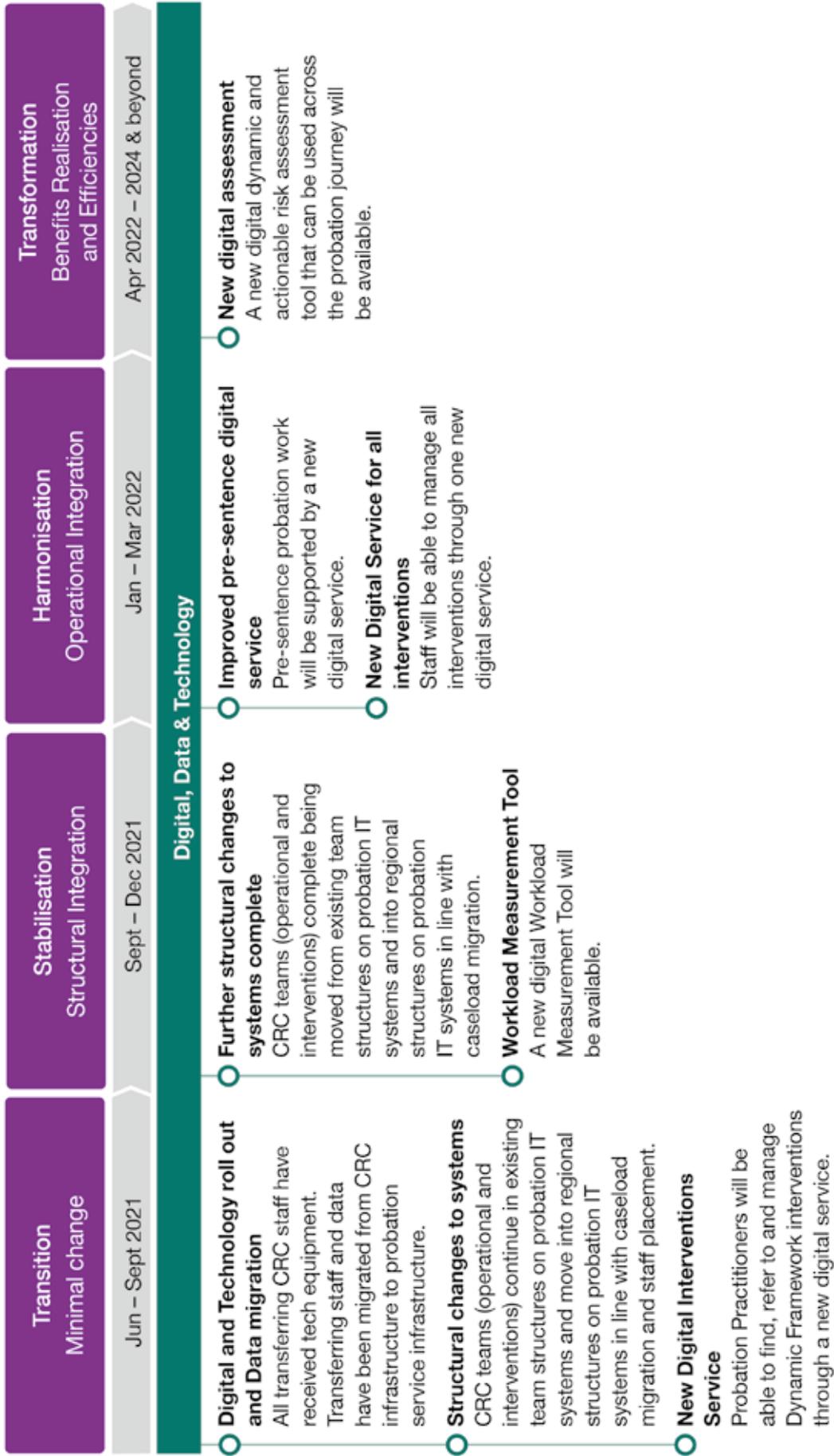
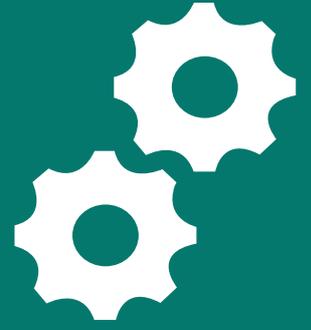


Figure 5c. Post-Day 1 roadmap: Digital, data and technology





Chapter 3

Target Operating Model





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Chapter 3:

Target operating model

Overarching Design Principles

Development of the target operating model has been underpinned by a consistent set of overarching design principles, which we have then applied to the design of key elements of the model (as outlined in each of the relevant sections below).

Figure 6. Overarching design principles

<p>User centred</p>	<p>Services will work for the people who need to access them and use them. A detailed understanding of all our user groups including all cohorts of those subject to probation services and all our partners will ensure our design meets their needs.</p>
<p>Cost effective</p>	<p>Services will remove duplication of tasks and processes, make best use of existing and free services, as well as maximise the technology and digital tools available to us. Where we identify viable alternatives, we will use the most cost-effective option that delivers quality services.</p>
<p>Whole system</p>	<p>Our design recognises that probation is part of a wider justice system. Our design is not, therefore, a system that works in isolation. This ensures continuity of user experience is maintained across the whole system.</p>
<p>Consistent but flexible</p>	<p>Our design aims to strike the right balance between national consistency to ensure good quality services across the country, and regional flexibility to enable tailoring of design to meet local needs. The design has built-in flexibility to respond to changing and newly emerging needs.</p>
<p>Evidence based</p>	<p>Our design is based on lessons learned from previous models of delivery and available research material. Our design will ensure that we frequently test the service with users in order to iteratively improve the design.</p>
<p>Effective partnership working</p>	<p>Our design enables probation and partner agencies to work effectively together, making best use of skills and expertise present in different parts of the model and system. Our design ensures the interface between partners works effectively to foster communication and information sharing between the right people, at the right time, to enable effective service delivery and sentence management.</p>
<p>Inclusive</p>	<p>Our design aims to be inclusive and takes into account the realities and impact of discrimination. Our design embraces the commitment within the HMPPS Equality Strategy that all new services have an explicit focus on equality in their design, and it considers the needs of different cohorts of individuals including protected characteristic groups.</p>



Part One: Delivery of Sentence Management

This section includes advice to court, our approach to Sentence Management activities and the model for resettlement services.

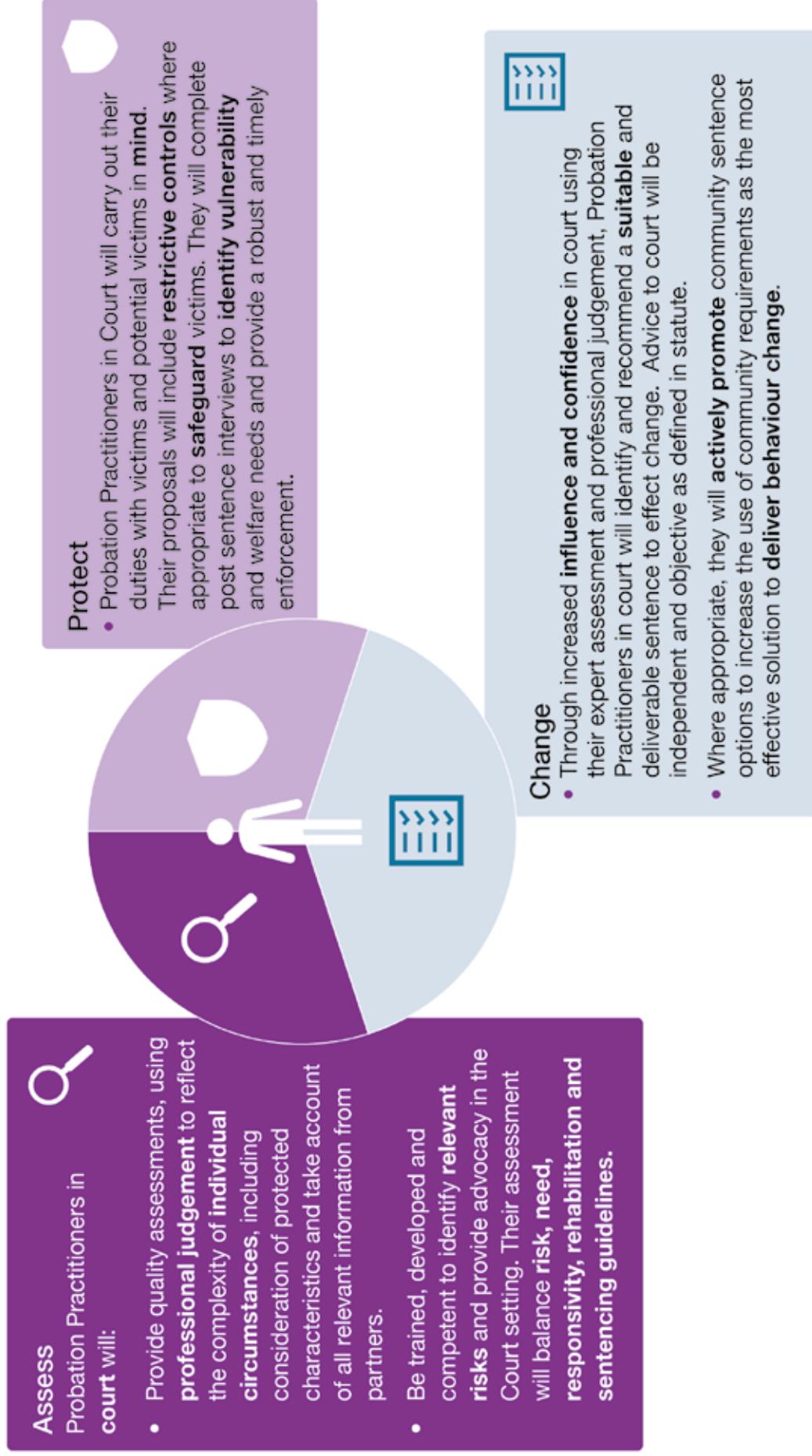
Advice to Court

Probation court teams are central to supporting justice. They work directly in courts and are effectively the start of an individual's journey through the probation system. They provide expert advice to sentencers to support effective and safe sentencing, smooth management of the sentence, enforcement and judicial oversight.

Probation Practitioners in court ensure that risk assessment and pre-sentence advice is based upon principles of public protection, rehabilitation and provides safe sentencing options enabling the Court to set the best possible conditions to drive a successful rehabilitative journey. They achieve this by providing expert pre-sentence advice to sentencers, contribute to efficient court processes and arrangements for enabling successful sentence commencement.

Figure 7. What Assess, Protect, Change means for court work

As outlined in Chapter 1, the core role of probation services is to 'Assess, Protect, Change'. The diagram below outlines what this means in the context of delivering advice to court.





Design Principles

Overarching design principle	How it applies to advice to court design
<p>User centred design</p>	<p>Ensuring staff in court receive comprehensive training, including on cultural competency, continued professional development and support that emphasises judicial confidence and professional recognition.</p> <p>Targeting services, consulting and co-designing with key stakeholders: the judiciary, victims and individuals appearing before the court.</p> <p>Requiring staff writing pre-sentence reports to complete comprehensive assessments, targeting interventions which address individuals' needs and reduce re-offending. Initially, court probation staff will continue to use the Effective Proposals Framework Tool to find suitable interventions.</p> <p>Continuing to require staff to ensure that public protection, rehabilitation and victim impact are central to all assessments they complete.</p> <p>Requiring post-sentence interviews to be appropriately targeted to identify and communicate effectively issues of vulnerability and risk, ensuring the best possible start following sentencing, including safeguarding of the service user.</p> <p>Building in additional capacity for leadership engagement and training for the judiciary to maximise the opportunity to increase confidence in probation and Commissioned Rehabilitative Services (via the Dynamic Framework).</p>
<p>Cost effective/ efficient design</p>	<p>Seeking to agree shared goals with Her Majesty's Courts & Tribunal Service (HMCTS), which will balance court efficiency and the timely provision of advice with the quality of the input from probation to drive positive sentencing and rehabilitative outcomes.</p> <p>Exploring the most efficient methods of deploying staff and resources to provide pre-sentence reports and court services, inclusive of the contexts of COVID recovery and digital reform.</p>



Overarching design principle	How it applies to advice to court design
<p>Whole system design</p>	<p>Aligning ambitions and interfaces with the Probation Workforce, HMCTS Reform, HMPPS Prison Reconfiguration and other relevant programmes to ensure overall improvements.</p> <p>Developing analysis and monitoring mechanisms to establish system efficiencies and whether the improvements facilitate the delivery of pre-sentence reports and reduce breach and reoffending.</p> <p>Considering how to make the most of flexibility provided within the sentencing framework to ensure decisions on the most appropriate Rehabilitation Activity Requirements for individuals are taken at the right point and informed by a suitable assessment.</p> <p>Cohort planning, proactive pursuit and assessment of the prison and probation workload; to support commissioning and ensure operational viability of interventions and the success of the Dynamic Framework.</p> <p>We seek to ensure as a whole systems principle that service users have the best possible start to the management of their sentence and compliance with the first appointment following sentencing.</p> <p>Modelling the volume and type of requirements needed to generate sufficient demand to ensure that Commissioned Rehabilitative Services are viable and will succeed.</p>
<p>Evidence-based design</p>	<p>Taking account of existing evidence but recognising that measures are required to establish a solid foundation of 'what works in court' to inform future development.</p> <p>Better defining the presence of staff in courts to ensure all work is correctly captured and costed, including the presentation of case reviews, the delivery of bail information, and the completion of post sentence interviews.</p> <p>Taking account of the lessons from the recovery programme, inclusive of virtual presence, and assessing the viability of appropriate minimum staffing levels for the delivery of court services.</p> <p>Contributing to the development of performance measures which capture the effectiveness of the work completed in court, including how staff influence and enable safe justice.</p>



Overarching design principle	How it applies to advice to court design
Consistent but flexible design	<p>Working with regions and other areas of HMPPS to ensure we have capacity to be flexible to the changing environments and approaches to justice in Courts.</p> <p>Working with Regional Probation Directors to effectively deploy leadership capacity to deliver on probation court services and maximise collaboration with HMCTS and sentencers.</p> <p>Taking into account and seeking to positively influence changes in HMCTS to ensure best presence and service models are delivered.</p>
Effective partnership working design	<p>Improving engagement with the Judiciary, build confidence in probation, interventions offered via the Dynamic Framework and in-house interventions and the delivery of community sentences.</p> <p>Making the Judiciary aware of the range of available interventions through training and engagement, with ongoing communication to provide assurance of the quality and effectiveness of those services.</p> <p>Reviewing information-exchange, referral processes and joint assessments (where appropriate) at the pre- and post-sentence stage in court to support public protection and rehabilitation outcomes. We will ensure that design maintains a focus on the quality of reports in line with the requirements of the court.</p>
Inclusive design	<p>Within the overall target cohort for the HMPPS caseload, ensure fuller reports on more complex cases, women, and BAME service users to ensure complex needs profiles are identified and can be addressed as part of sentence planning.</p> <p>Requiring staff to advocate, target and assess the suitability of community sentence treatment requirements in collaboration with service providers to address individuals' specific needs.</p>



Case for change and evidence base

Through the provision of expert pre-sentence advice to sentencers, the contribution to efficient court processes and the arrangements for enabling successful sentence commencement, probation Court Teams are central to supporting justice and maximising influence. Probation Practitioners in court ensure that risk assessment and pre-sentence advice are based upon principles of effective justice, public protection and rehabilitation and provide safe sentencing options enabling the Court to set the best possible conditions to drive a successful and safe rehabilitative journey.

In 2010, 211,494 reports were requested; by 2018 this had fallen to 113,228. However, a decline in total sentencing disposals has also occurred during the same time period. In 2010, a total of 338,964 custodial or community sentences were recorded, in contrast to 212,994 in 2018. The decline in pre-sentence report volumes has been particularly acute for community orders. For example, in 2014 85% of all community orders received a pre-sentence report, but by 2019 this had fallen to only 45% of community orders.

Through the additional investment in court work we want to increase the use of pre-sentence reports in order to drive the confidence of sentencers in the delivery of community sentences and to support the rehabilitation of service users at the earliest opportunity.

The necessity to increase the influence of probation in the court setting has been a consistent objective of the Probation Reform Programme. From discussions with service users, we recognise the importance of providing them with clarity on the role of probation services and the need for sensitivity and cultural competency in our approach to dealing with them given that, in many instances, this will be the start of their journey through the justice system and will inform future perceptions and engagement. Our recent work with HMCTS to enable the recovery of the Criminal Justice System following the impact of COVID-19 has further established the foundation for more collaborative working. As such we will continue to work closely with sentencers to identify and progress how best to improve assessments, reports and confidence in the advice given and the services available to reduce further offending.

Anticipated Benefits

The reforms present opportunities to build and maintain a strong strategic and operational base to maximise probation influence in court. This ethos will serve to reaffirm and promote the standing of probation as a professional, expert and highly skilled workforce which positively influences sentencing outcomes, and is a leading organisation in the Criminal Justice System.



Our approach to advice to court will help deliver two of the intermediate benefits which we expect to achieve as the reforms are implemented:

- **Improved sentencer confidence in the new probation service and contracted probation services:** This includes an improvement in judicial satisfaction rates in the annual Sentencers' Survey and an increased proportion of service users receiving pre-sentence reports where this is expected, which we will monitor through management information and performance measures.
- **Improved quality in pre-sentence advice:** Following the introduction of new digital solutions for pre-sentence reports we will measure this through Operational Systems Assurance Group (OSAG) audits.

Equalities Considerations

Better-informed pre-sentence reports will ensure that the needs of those subject to court proceedings are more fully considered. This will particularly benefit those with specific protected characteristics which mean that they are likely to have differential needs and experiences that should be recognised and reflected.

Providing updated training for probation staff working in court will ensure that they are culturally competent with the right knowledge and skill-set to understand the differential needs and experiences of those with protected characteristics. This understanding will mean better interactions with those subject to court proceedings and ensure that their needs and experiences are reflected in their pre-sentence reports and sentencing recommendations.

The Centre for Court Innovation found that cases with pre-sentence reports are more than 10 times more likely to receive a community sentence. Thus, by increasing the use of pre-sentence reports, probation staff can enable sentencers to feel more confident in ordering community sentences.

OSAG's report Management of Women on Licence – Thematic Report (January 2020) found that short sentences accounted for 83% of all prison receptions for women in the year to June 2019. The commitment to increase and target pre-sentence reports is, therefore, likely to benefit women significantly and contribute to the commitment in the Female Offender Strategy to have an emphasis on community-based solutions for women.

We have made a commitment to specifically fund greater targeting of fuller pre-sentence reports for those from BAME backgrounds to address existing disparities in the proportion of custodial sentence that they receive, as well as disproportionately high referral rates for Unpaid Work and disproportionately low referral rates for Accredited Programmes. This will ensure that there is greater consideration of equality and diversity issues within these reports. Fuller reports will allow more detailed assessments of individuals, considering the factors that influence their offending and the strengths that they can draw on to move away from offending. They provide the opportunity for a more personalised response which will ensure that the sentence given is effective and suitable and reduce existing disparities.



The increased emphasis on post-sentence interviews will provide individuals with additional needs an opportunity to highlight these and for services to be adjusted accordingly.

Advice to court approach

By its nature advice to court has to take account of wider impacts, including HMCTS Court reform, legislative planning and the commissioning of pilots to improve sentencing outcomes. In delivering improvements to advice to court, we are focusing on three high-level areas and are planning specific activity to bring these to effect, some of which will support wider improvements:

1. Increasing the use and the quality of pre-sentence reports, including a more targeted approach:
 - Deliver improved assessments and an increase in the use of pre-sentence reports.
2. Maximising our influence by flexibly developing our approach to sentencer liaison and the effective deployment of practitioners to influence outcomes:
 - Enhanced stakeholder engagement and sentencer collaboration.
 - Utilising an improved use of presence and liaison to enhance sentencing outcomes and maximise influence.
 - Increased and improved use of the post-sentence interview.
3. Improving the operating environment and capability for probation court teams:
 - Implement an improved ICT infrastructure.
 - Enable an improved training offer.

Deliver improved assessments and an increase in the use of pre-sentence reports

Currently, around 53% of all court disposals receive a pre-sentence report. Through the investment of additional staffing, the ambition is to increase this to 75%, with an emphasis on providing more detailed reports on a targeted basis to inform effective sentencing and to support long-term desistance.

This increase in pre-sentence report delivery will be closely aligned with current business-as-usual requirements and recovery work to move towards an end-state position where greater numbers of pre-sentence reports, enhanced by improvements in quality, are completed. Recognising the experience of disproportionality for women and those from BAME backgrounds, higher proportions of more detailed reports will be completed for these groups. Similarly, those at risk of receiving a short-term custodial sentence will be actively identified and prioritised to receive a pre-sentence report to inform effective sentencing and the viability of a community sentence as an alternative to custody. For those cases receiving a custodial sentence, the pre-sentence report will continue to provide an assessment of risk and rehabilitative needs which will facilitate effective sentence planning at reception into custody.



Enhanced stakeholder engagement and sentencer collaboration

Central to maximising influence is effective engagement and collaboration. The implementation of these reforms will provide Regional Probation Directors with the flexibility to utilise and deploy senior leadership resource as part of regional structures and an uplift in investment to court teams to effectively engage sentencers. This increase in capacity seeks to maximise probation's influence to achieve:

- the provision of evidence related to the effectiveness of interventions and the outcomes of Sentence Management
- a strong collaborative ethos reinforced by a continual dialogue through formal forums, training events and working groups linked to other court users, enhancing the probation's influence across the system
- clarity on the availability of interventions delivered by the new probation service and commissioned through the Dynamic Framework
- recognition of the value of probation and promotion of public support for our shared goals and whole systems objectives

Utilising an improved use of presence and liaison to enhance sentencing outcomes and maximise influence

In investing in the court staffing model, we are seeking to enhance outcomes through the activities undertaken by Probation Practitioners in court. The enhanced ICT infrastructure (see below) will provide

efficient, streamlined processes which will in turn enable staff to deliver against critical public protection, safeguarding and diversionary activities. They include:

- liaison with police domestic abuse units and Local Authority Children's Services to undertake safeguarding checks
- bail information services – including referrals to other statutory and voluntary support services
- pre-court meetings with the Crown Prosecution Service, legal advisors or solicitors to target reports
- support and the provision of information to the Judiciary
- provision (to the judiciary) of information on local services or Commissioned Rehabilitative Services
- liaison with other agencies, for example substance misuse, mental health service providers and local diversionary schemes
- Serious Further Offence case identification, reporting and tracking
- prison liaison
- case allocation activity

We are aware that there is further work needed to facilitate more effective presence in courts. Given pressures on space within the court estate, further work is likely to include utilising remote technology and deploying staff according to the local need of the court. We will work in conjunction with HMCTS and in the context of COVID recovery work to address a long-term solution to this.



Increased and improved use of the post-sentence interview

By enabling the conditions to achieve the best possible start to the sentence, we will prioritise the use of a post-sentence interview for up to 20% of all cases. This will support improved identification of an individual's needs and help ensure they subsequently have a better experience and get the right services. Through the additional investment in court staff, capacity is built-in to undertake assessments relating to vulnerability and any immediate public protection activity which is required, inclusive of signposting. Targeting criteria will be developed to support staff to undertake this activity to aid the communication of information concerning risk and need relating to either community or custodial sentences, and to support individuals' compliance and needs at the first opportunity following sentencing.

Implementing an improved ICT infrastructure

To enable modern technological enablers, a new court comparison tool is being developed which will streamline the process of information gathering from multiple NPS and HMCTS systems. The development of this tool will produce information for Probation Practitioners inclusive of listing information, the case summary, previous convictions and the supervision history of individuals. This will be critical to the identification of service user cohorts to drive requests for pre-sentence reports. Probation Practitioners will have the ability to use this information to enhance risk-assessment information which will contribute to the provision of high-quality advice to the courts.

Links to HMPPS Business Strategy

Our commitment to modernising our technology will allow us to introduce innovative ways of working and to embed more efficient approaches to core processes.



Post June 2021, we will also seek to introduce a new pre-sentence report format that draws on the benefits of this system to avoid duplication, emphasising the importance of the dynamic risk assessment and link to the Effective Proposal Framework to support safe and appropriate sentencing recommendations. This will also help elicit the confidence of sentencers.

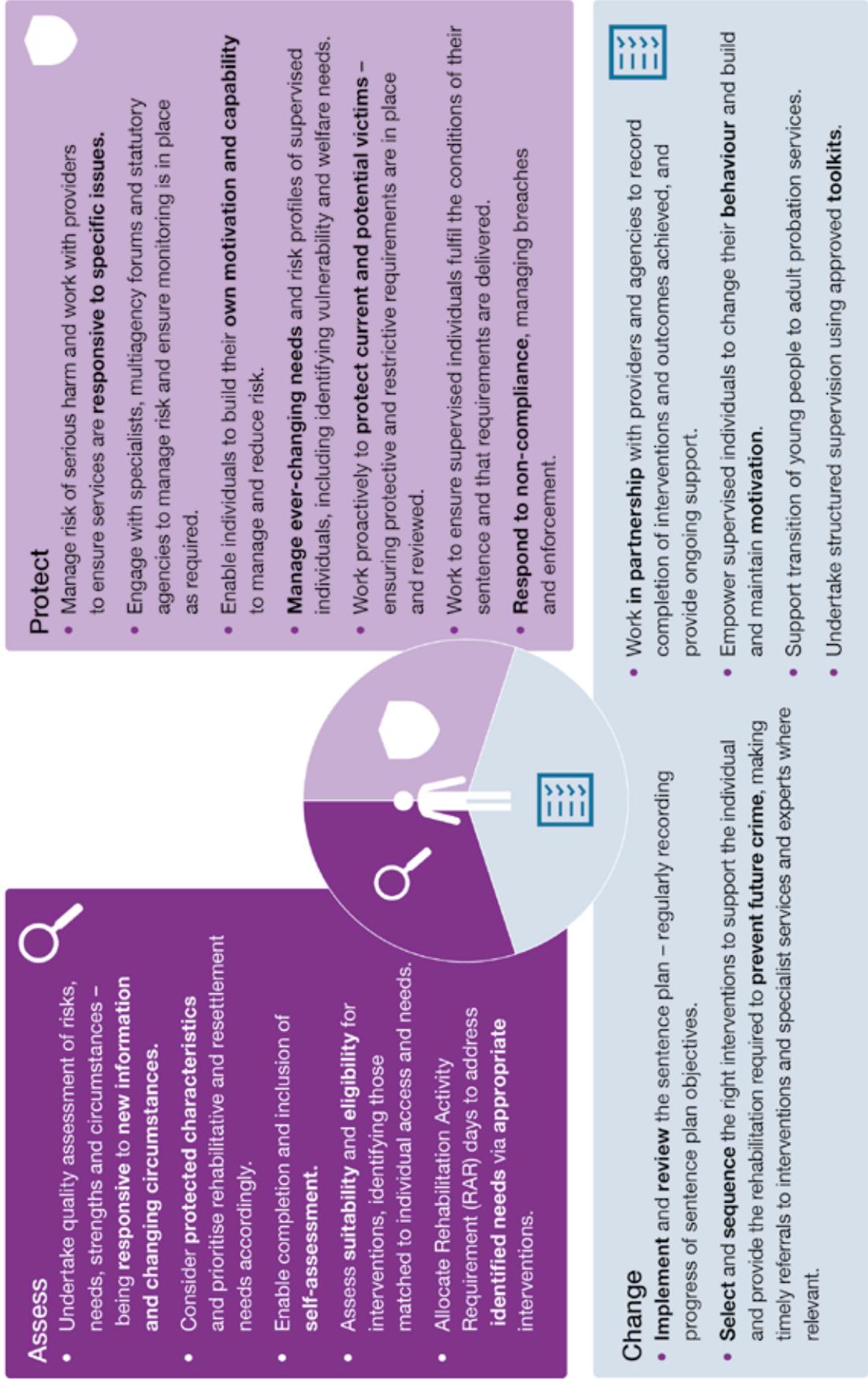
We will continue to utilise the Effective Proposals Framework Tool, which is a digital decision-making tool through which pre-sentence proposals are made for all cases and licence conditions are set. It ensures interventions recommendations and licence conditions address risk and need, are in line with policy and sentencing guidelines and supports consistency of practice, proportionality and the reduction of bias.

Enable an improved training offer

Critical to the success of empowering our court teams to deliver high-quality services to court is an improved training offer which reinforces the professional status of our staff and builds on the operational lessons identified via recovery work and the exceptional delivery arrangements implemented for COVID-19.

Figure 8. What Assess, Protect, Change means for Sentence Management

The diagram below outlines what probation’s role to ‘Assess, Protect, Change’ means in the context of delivering Sentence Management.





Design Principles

Overarching design principle	How it applies to Sentence Management design
<p>User centred design</p>	<p>Facilitating relationship building through offering continuity of Probation Practitioners supervising an individual throughout their order, helping them to achieve better outcomes.</p> <p>A blended approach to contact (applying learning from COVID-19 delivery arrangements) whilst retaining the minimum of face-to-face meetings (under normal working conditions), in order to ensure individuals have access to appropriate support from Probation Practitioners.</p> <p>Prioritising reducing the time taken for individuals to be allocated to a Probation Practitioner (to within five days of sentence), in order to allow for a more comprehensive assessment of their risks, needs and responsivity.</p> <p>Recognising the importance of service users' involvement in their own assessment and sentence management processes and enabling them to input where possible.</p>
<p>Cost effective/ efficient design</p>	<p>Empowering the Probation Practitioner to deliver the sentence plan with access to relevant experts, specialists and providers to reduce reoffending and harm, in order to ensure the Probation Service is making best use of available resources.</p> <p>Ensuring management oversight and peer discussion is used more effectively, including in Professional Judgement decisions and acceptable absence decisions, in order to empower staff to manage their caseloads more effectively.</p> <p>Delivering structured supervision using approved Probation Practitioner toolkits.</p>
<p>Whole system design</p>	<p>Mandating home visits in accordance with guidance (e.g. where there are child protection/domestic abuse issues), in order to ensure effective multi-agency working to safeguard and support individuals, their families and wider networks.</p>



Overarching design principle	How it applies to Sentence Management design
Evidence-based design	<p>Utilising feedback from users in order to continuously improve current Sentence Management processes and standards, ensuring that there is a documented, evidence-informed rationale for any changes.</p> <p>Responding to new research findings, allowing for changes in the evidence base and being able to adapt and flex accordingly.</p> <p>Regularly reviewing National Standards on Sentence Management in consultation with appropriate experts in order to ensure standards draw on evidence-base around effective supervision and meet the needs of users.</p>
Consistent but flexible design	<p>Providing clear guidance on National Standards, Performance Indicators and operational processes in order to ensure consistency in the way these are applied across the new probation service.</p> <p>Identifying areas of design where regional flexibility should be encouraged to increase responsiveness to specific needs of the local community.</p>
Effective partnership working design	<p>Balancing the role of the Probation Practitioner with the role of other third party and subject matter experts, informed by the responsiveness of the individual to ensure we are making best use of all available resources (including resources available through the Dynamic Framework) to support the desistance and resettlement of supervised individuals.</p> <p>Ensuring effective links with Commissioned Rehabilitative Services providers to allow for timely provision of relevant, complete and accurate information.</p>
Inclusive design	<p>Comprehensively assessing individual risks, needs and responsiveness in order to match individuals we are supervising with an appropriately skilled Probation Practitioner, thereby achieving better outcomes.</p> <p>Recognising and responding to the evidence base about effective approaches with women and the need for different approaches when working with women.</p> <p>Supporting the probation service's wider statutory responsibilities where possible e.g. managing child and adult safeguarding.</p>



Case for change and evidence base

Sentence Management ensures those individuals subject to community orders, suspended sentence orders, licence and post-sentence supervision are properly supervised, so that risk is effectively managed; the likelihood of reoffending is reduced and the sentence plan is delivered. The integration of Probation Practitioners from CRCs and the current NPS provides an opportunity for us to take the best of current Sentence Management practice, as well as to continue to apply evidence on effective supervision. There is a significant amount of research on the critical role that Probation Practitioners can play in motivating the effective change of individuals through their supervisory role and by building strong, meaningful relationships. Our focus is, therefore, on harnessing the key skills, activities and behaviours that we should be prioritising in Probation Practitioners to elicit the most effective outcomes. We have also considered how to achieve continuity of supervision where possible. Structured supervision will be delivered using approved Probation Practitioner toolkits from which we will build an evidence base.

A central consideration in achieving this is providing Probation Practitioners with the right tools and support to assess an individual's risk, protect the public and enable those they supervise to change their underlying behaviour to break the cycle of reoffending.

Our plans for Sentence Management in the new model have been developed through drawing on many available sources of research and information, including existing organisational knowledge and best practice, as well as recommendations made by other organisations such as HMI Probation. The design has been tested through consultation with a range of stakeholders, including service users to ensure that the changes we implement are responsive and result in positive improvements.

Anticipated benefits

Our planned approach to Sentence Management is based on building strong, meaningful relationships with supervised individuals that provide them with comprehensive support throughout their probation journey, with the aim of achieving better outcomes for them and enhancing public protection. A streamlined assessment process that avoids duplication will improve the Probation Practitioner's ability to identify immediate needs and enable the provision of a more individualised and responsive service. In turn, this will result in improved sentence management and risk management planning, which will include greater emphasis on taking victims' considerations into account. Moreover, a renewed focus on delivering the right services and interventions, drawn from an increased range of specialist providers, at the right time, including during the pre-release and resettlement periods, will help individuals to successfully complete their sentences and lead law-abiding and positive lives following their supervision period.



Our plans for Sentence Management will help achieve the following intermediate benefits following full implementation of the reforms:

- **Improved assessment of service users' needs, risks and characteristics:** Measured through the number of referrals to Structured Interventions and Commissioned Rehabilitative Services and the proportion of service users with relevant needs that are referred to these interventions. We will also look at improvements in the identification of service users' needs, risks and characteristics through completion rates for individuals with protected characteristics on our systems and the outcome of Sentence Management audits with a focus on quality assurance of assessments and reassessments.
- **Improved Sentence Management:** Monitored through quality measures around risk management, sentence delivery and enforcement. We will also seek to track improvements in the relationships between individuals and their Probation Practitioner via the annual service user survey, levels of compliance in appointments attended and the completion rate of sentence requirements before the sentence expires.

Equalities considerations

In order to inform and embed inclusivity in our approach, we have drawn on the recommendations and guidance available from both specialist knowledge and teams within HMPPS (such as Women and Youth Offenders), and from existing research and reviews (for example, the Lammy Review, Female Offender Strategy and Farmer Review).

Additionally, aspects of our Sentence Management approach have been informed by engagement with service users, including those from BAME backgrounds. This includes embracing inclusive and culturally competent practice and encouraging continuity of supervision by a clearly identified Probation Practitioner.

It is critical to the successful delivery of Sentence Management under the new unified model that specific needs are recognised and addressed throughout the development and delivery of the sentence plan. In order to achieve a sufficient level of support, both formal learning and development and informal mentoring and local champions will be provided to Probation Practitioners to enable them to confidently build supportive and trusting relationships with service users and recognise their diverse needs. Probation Practitioners will be able to access and refer supervised individuals onto a wide range of interventions provided by specialist organisations through the Dynamic Framework that are appropriate to their specific needs and take account of protected characteristics.



Sentence Management Approach

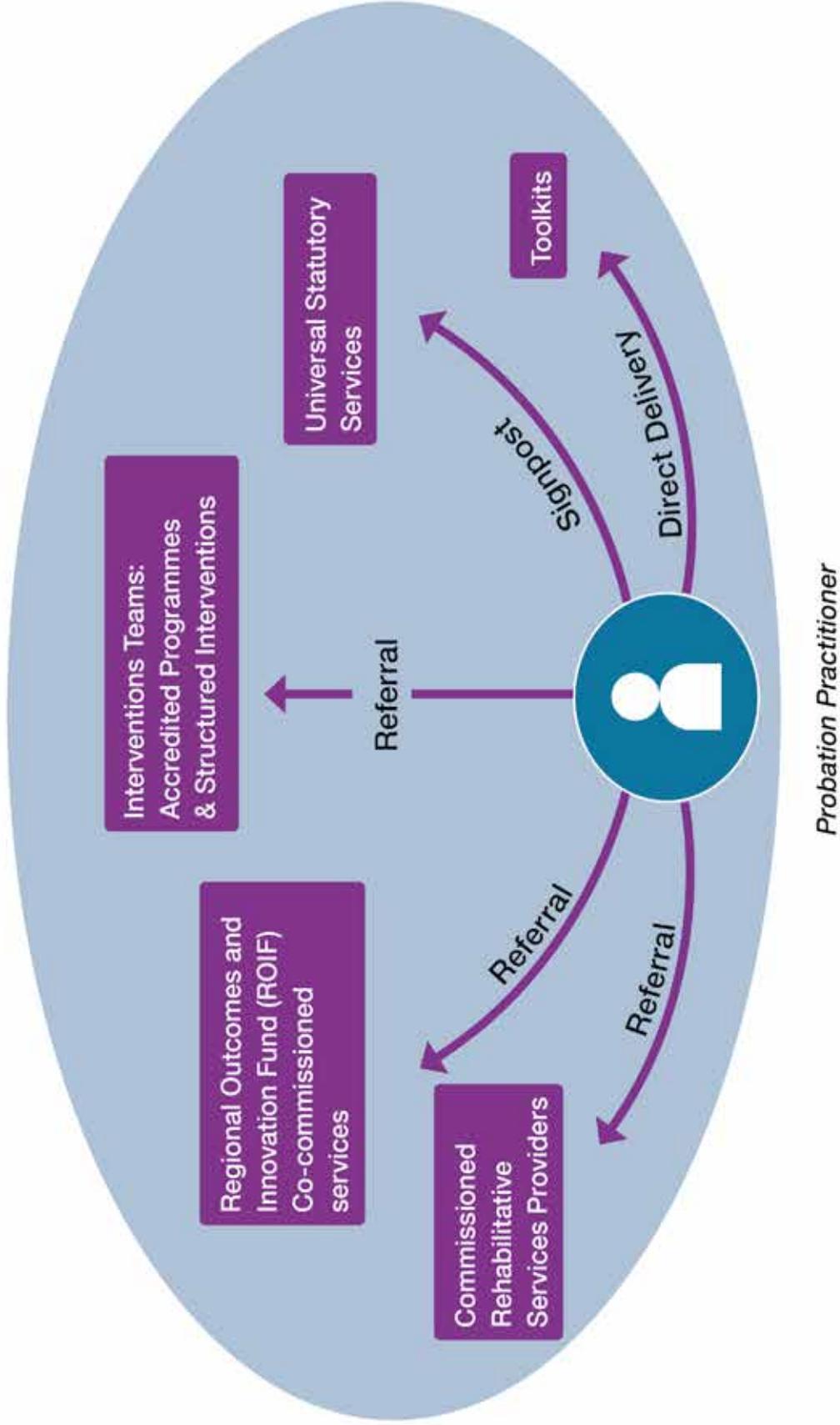
The role of professional probation staff to assess, protect and change is central to Sentence Management under the new model. In the future probation system, there is no change to the statutory framework within which this role operates. The elements of the role of Probation Practitioner defined in legislation 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 their relationship with supervised individuals in securing effective change. To enable probation staff to focus on this, we are making a clearer distinction between key functions of the Probation Practitioner role.

The key elements of Sentence Management will be:

- public protection
- allocation of cases informed by the new Tiering Framework
- one sentence plan
- caseloads and manageable workloads
- Probation Practitioners actively engaged in evidence-based 'change' work, delivering structured supervision using approved Probation Practitioner toolkits
- integrated sentence management

The Sentence Management reforms will be delivered iteratively as staffing levels increase and digital solutions, to deliver specific elements of the design and support Probation Practitioners in their practice, are developed and come online.

Figure 9: The Probation Practitioner will be equipped to refer, signpost and deliver to facilitate change.



The Probation Practitioner will have a variety of interventions and programmes at their disposal





Public protection

Risk assessment and management is one of the most important parts of the Probation Practitioner's role, incorporating tasks to both assess and protect. It starts from the first allocation of the case to a Probation Practitioner and is reviewed throughout the management of the sentence, considering both actual and potential risks to public protection. Identifying and communicating risks, such as those pertaining to safeguarding and domestic abuse, are key to successful public protection.

The Management Oversight Touchpoints model provides a mechanism to ensure that there is consistency and fairness in decision-making around risks and that staff are supported in making effective decisions. In accordance with the model, cases are discussed with line management and robust risk management plans are developed that mitigate and manage the identified risk, when changes have occurred that require review. This includes a requirement to review risk management activity accompanying the issue of licence warnings and alternatives to recall ensuring that the most appropriate action is taken to protect the public. Where changes in risk occur, the most appropriate Probation Practitioner will manage the case, with the necessary support provided by peers and managers. Where possible, consistency of Probation Practitioner support will be maintained, although some cases may require transfer to a different Probation Practitioner with the appropriate skillset for managing the case and associated risk. The consistent application of the Management Oversight Touchpoints model across the new probation service is key to the achievement of this.

Under the new model there will be an increased focus on consistency of practice for managing risk and increased flexibility to manage dynamic risk factors, driving overall improved risk management, whilst ensuring continuity of Sentence Management. Appropriate oversight of Probation Practitioners and supported use of Professional Judgement will underpin case management decision-making. This will be achieved by revising and implementing policies on risk management – for example, refining the tools used to assess risk and regular use of the Risk of Serious Recidivism tool throughout the risk management of a case (i.e. not just at case allocation). Consistency of Multi Agency Public Protection Arrangements (MAPPA) level setting will be driven at a national level. Improvements will be evidence-driven and build on good practice currently undertaken by both the NPS and CRCs.

Staff will be recruited and trained to have the right knowledge and skills to effectively assess and manage risk, supported by a tailored learning and development provision, including MAPPA briefings and workshops and both digital and face-to-face risk management and assessment training. Appropriate management oversight and supervision will be in place to support staff in this work and to hold them to account for maintaining consistently high standards of practice.

There is an expectation that multi-agency relationships will be strengthened as part of the full implementation of the new model through the creation of a simplified probation system that is focused on proactive information sharing, the increased use of Violent and Sexual Offending Register (ViSOR) and good working relationships with statutory agencies.



It is envisaged that the risk management processes will be enhanced by a digital suite of risk assessment tools, replacing the current OASys and Delius systems. This is still in the very early phase of work, and is being developed with a focus on better engaging those we supervise in the assessment process in order to support compliance and a more responsive risk management process.

Probation Practitioners will be responsible for compliance and enforcement of all parts of the sentence, including non-compliance of Unpaid Work.

Allocation of cases informed by the new Tiering Framework

Following full implementation of reforms there will be an improved case allocation process that is timely and supports an early focus on an individual's needs. Cases will be allocated based on both risk of harm and complexity of need, with an increased focus on ensuring continuity and reducing hand-offs in the system. The Tiering Framework will inform the allocation of cases to the right Probation Practitioner with appropriate skills and experience.

The Tiering Framework will go some way to recognising the specific complexity factors present amongst women and will be the main vehicle for directing organisational resource to working with women. It is envisioned that all Probation Practitioners will be appropriately trained to work with women. Women who are subject to probation services will be given the option to have a female Probation Practitioner. Regions may choose to enhance provision through the use of semi specialist 'women concentrators' (Probation Practitioners that

champion specific considerations in dealing with women).

Individuals will be allocated to their Probation Practitioner within five working days of sentence. Where possible, the supervised individual will remain with the same Probation Practitioners throughout their supervision. In line with research on effective supervision, this will allow for continuity of contact and support the building of a constructive relationship with service users.

Case allocation will be based on utilising staff with the appropriate level of training and competency to enable them to continue to manage cases when dynamic risk factors change. Ongoing risk assessments are expected to trigger a tier review. There will be situations whereby an escalating risk and increase in tier will require a reallocation of a case. It is anticipated that ways of working supported by a Probation Operational Delivery structure (see 'Integrated Sentence Management below) and appropriate oversight of the Senior Probation Officer will ensure safe practice and minimise disruption to those under our supervision.

A new Tiering Framework will be introduced, accompanied by a revised Workload Management Tool that will facilitate an even distribution of workload across Probation Practitioners by supporting effective workload management decision making. The full benefits will not, however, be realised until target staffing is achieved and sufficient resource is available to allow Probation Practitioners capacity to manage a varied risk profile of caseload, and to be sufficiently trained to undertake all of the necessary change activities.



One sentence plan

The role of Probation Practitioner will expand to actively managing the delivery of the sentence plan, in order to deliver on both assess and change principles, including change work, for all cases. This will support delivery of the right interventions to the right service users at the right time. Probation Practitioners will be responsible for identifying and sequencing suitable structured interventions and specialist services and including them in the sentence plan. Decision-making for this identification, in particular for interventions sourced through the Dynamic Framework, will be data driven and based on readily available evidence. There will be a focus on the suitability of interventions informed by conversations with the supervised individual and evidence about which are most likely to make a positive impact on particular cohorts, considering protected characteristics and diversity and inclusion.

Where Community Sentence Treatment Requirements (CSTR) have been ordered it is the Probation Practitioner's responsibility to ensure that any necessary arrangements around the requirements are made, that there is appropriate local information-sharing, that they work with individuals to encourage compliance with the order, and that any enforcement of orders does not impact treatment. The services provided via the Dynamic Framework act as complementary services which promote holistic, integrated delivery and emphasise the crucial role of wrap-around provision to promote enhanced engagement. This also establishes the pivotal role of the Probation Practitioner in balancing the support required to bring about opportunities for change and the provision of robust

oversight and management of the various elements of the sentence.

The initial sentence plan (for all community sentences) will be developed and completed within 15 working days of sentence. The sentence plan will be a live document to be regularly reviewed and updated with the active participation of service users, in order to support active monitoring and positive reinforcement of progress. It will include sentence objectives which address identified need and cover relevant interventions. The new digital developments will support making this plan into a more user-focused, interactive and iterative process that Probation Practitioners can easily access and update to reflect changes.

Links to HMPPS Business Strategy

By modernising our digital tools, we will enable Probation Practitioners to access and share the right information to support individuals in engaging with their sentence plans and making positive progress.





Once individuals reach the pre-release resettlement phase of a custodial sentence, the responsibility for Sentence Management transfers to Probation Practitioners in the community. The transfer point for all determinate sentences will be standardised at seven and a half months, except for those critical few that meet the existing Early Assignment Criteria – who would be transferred at fifteen-months prior to release (see the Resettlement section below for further detail).

We are developing a suite of digital tools that will support effective progress monitoring and data collection. This will include a new, individual self-assessment that will be included and considered within the assessment and development of the sentence plan, enabling individuals to actively engage in their sentence plans.

These new digital services will facilitate better sharing of information between courts, probation and prisons to support the recording and management of the sentence plan, risk management plans and the delivery of objectives. The digital interfaces will support referrals to specialist interventions and services, including booking processes for inductions and providing feedback on the outcomes.

We will ensure sufficient and appropriate support for Probation Practitioners to embed consistent and effective management and delivery of the sentence plan, including:

- structured supervision and Skills for Effective Engagement and Development ('SEEDs') approach by Senior Probation Officers

- access to specialist clinical supervision
- enhanced levels of supervision for Probation Practitioners working with complex cases
- relevant and consistent updates to policies and staff guidance

Combined caseloads and manageable workloads

We want to achieve more balanced caseloads to enable Probation Practitioners to deliver all elements of their role to assess, protect and change. Caseloads will be combined so that Probation Officers will manage some high and some medium/low risk of harm cases at any one time and Probation Service Officers manage a mixture of medium and low risk of harm cases. All Probation Practitioners will work with a range of complexity issues, matched to their level of training and expertise.

Links to HMPPS Business Strategy

Through having access to the right training and opportunities for continuous professional development, staff will be empowered to deliver their best work across their whole caseload.





In order to enable them to manage this combined caseload with confidence, all staff will be professionally skilled in the core aspects of the probation work approach underpinned by the academic evidence base. The specific skillset will include:

- risk assessment and management
- cognitive behavioural work
- motivational and desistance-based engagement
- trauma responsive practice (particularly for working with women)
- maturity assessment and approaches to working with young adults
- cohort specific approaches to deliver change work
- delivery of specific accredited programmes, structured interventions and specialist services

Activities that will deliver our Probation Workforce Strategy, including continuous professional development and learning and development opportunities, will assist staff in achieving a full level of competency.

We are also reliant on ongoing recruitment activity to ensure enough professionally qualified and skilled staff to achieve more manageable caseloads and meet operational demand. This will require a workforce structure that is frontline focused, integrated, collaborative, responsive and flexible. This will include embedded admin functions, setting targets for the proportion of paid staff that have lived experience of the criminal justice system and utilising volunteer peer mentors.

Probation Practitioners actively engaged in evidence-based design ‘change’ work

We propose that ‘change’ work by a Probation Practitioner can take the form of both planned structured sessions with supervised individuals and responsive desistance-based contact aimed to build a positive working relationship. Such structured sessions are covered in the definition of a rehabilitation activity requirement (RAR) day and the work required under licence conditions, whereas the desistance contact is a core element of the appointments with Responsible Officers as recognised by the Criminal Justice Act 2003. Key elements of ‘change work’ will include:

- building a trusting relationship to promote compliance, increase hope and sustain motivation
- making decisions about interventions to meet need and manage risk dynamically, including amending these as circumstances change
- reinforcing progress and new ways of thinking and behaving to support behavioural change

There needs to be a clear distinction between rehabilitative interventions provided by specialist providers, designed to address key criminogenic needs or the needs of specific cohorts, and the change work delivered by Probation Practitioners, which sees the relationship with the individuals they supervise as the principal means of supporting the journey to desistance. The structured activity undertaken by Probation Practitioners will be supported by a portfolio of toolkits (approved nationally), in order to engage the supervised individual and supplement and support other intervention work across wide-ranging themes.



The approach to selecting interventions will be commensurate to an individual's risk and need, taking account of specific diversity needs and suitability to the sentence. Post-sentence as part of sentence planning, the Probation Practitioner will allocate the RAR days and select and sequence specific interventions that address the most significant areas of need linked to an individual's reoffending. As outlined above, this will be accompanied by individuals having greater involvement in assessment and the development of their sentence plan to help their engagement with their sentence objectives and secure better outcomes.

Integrated sentence management

Sentence Management will have an integrated Probation Operational Delivery (POD) structure, grouping officers and admin staff together to provide continuity for service users and collaborative support for each other. There will be several PODs within a team managed by one Senior Probation Officer. The Probation Operational Delivery structure will have agreed national principles to provide consistency but will allow for some regional flexibility in interpretation and implementation. Whilst continuity of supervision is a key principle of our model, a sole relationship can sometimes be difficult to facilitate for a range of practical reasons (absence, staff movement etc.). This structure ensures service users benefit from a familiar relationship with a small team beyond their supervisor and allows Probation Practitioners to work collaboratively to deliver change and support individuals through to the completion of their sentence. This will also enable an increased focus on the unique needs and requirements of

individual cohorts, including easing the transition from youth to adult services to effectively support these individuals and encourage greater desistance.

Successful contacts between Probation Practitioners and those they supervise are key to supporting the delivery of the sentence and building relationships with service users that in turn drive positive engagement. We are going to do further work in this area to provide evidence-based recommendations for both the frequency and nature of contact that incorporates learning arising from exceptional delivery arrangements put in place in response to COVID-19. This will include providing clarity on the requirements for frequency of face-to-face contact and for home visits where there are child protection/domestic abuse issues or in relation to sex offenders. We will continue to have an aspiration that women will be offered the opportunity to report either to a women only setting or at a time that is for women only. Whilst we cannot fully predict where this new evidence will lead us, it remains highly likely that we cannot take a one size fits all approach to differing contact types and should rely on Probation Practitioners' assessment and judgement of the needs of each individual.

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



Post-sentence supervision cases will be excluded from the minimum monthly face-to-face contact requirement, given that 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 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.

It is an aspiration that travel time for supervised individuals to attend a contact meeting should not exceed 60 minutes each way. Research has shown that individuals are more likely to attend and comply when their journey time is reasonable and not costly. We are currently undertaking analysis work to assess how far away from the 60-minute ideal we will be based on the estate as of June 2021. It is recognised that 60 minutes will be challenging in some rural areas and that achievement of this ambition is unlikely for all.

Moving from the youth estate to a young adult establishment or the transition to adult services in the community are both periods of increased vulnerability for youths. To support this transition, the Youth Offending Team should work closely with the new establishment and the receiving probation area in good time to ensure that resettlement guidance is followed and adapted to adult provision. This will be in place for both community and custodial cases.

Probation Practitioners will adopt an inclusive and engaging culture and holistic approach that effectively engages young adults. Staff will be trained in the evidence base which supports this approach around

maturity, brain development, and adverse childhood experiences. There will be a requirement for the routine completion of maturity assessments and access to specialist services that meet the needs of young adults and support positive outcomes, as well as an enhanced level of support (for example, through contact with Probation Practitioners and/or peer mentors). We have linked in with a pilot (being run in London) of a Transition Programme for youths transitioning to adult provision (currently paused due to COVID-19), and the results should be used to inform our approach.

We recognise that some CRCs have made advancements in the digital space to support more effective delivery and are committed to building on this by utilising digital developments to provide enhanced and responsive communication between Probation Practitioners and those they supervise. We are currently developing a digital platform that aims to provide direct access for individuals to engage fully in the planning of and arrangements for their order (see the 'Digital Delivery: Service user engagement' heading in Part Four below). This will drive improved engagement and promote a more collaborative relationship with probation services.

Our internal system (EQuIP) will be updated to hold the single source of truth for all national operational and organisational processes, so that staff are clear about what is expected of them.

Wales CORRE Hub

The Centralised Operational, Resettlement, Referral and Evaluation (CORRE) Hub is a key element of the Wales unified model and provides an interface between Probation Practitioners and the complex interventions landscape. The CORRE Hub will assist



Probation Practitioners through identifying suitable interventions, completing referrals, monitoring service user progress and keeping the sentence on track. Taking these time-consuming functions away from Probation Practitioners will allow them to better focus on their supervisory responsibilities and delivering change work to support the provision of interventions, leading to better outcomes. We are testing the effectiveness of this hub approach in Wales to inform whether it might be a useful model to adopt in other regions.

The primary functions of the Probation Practitioner will not be impacted by the work of the CORRE Hub. Probation Practitioners will still have overall responsibility for the key Sentence Management activities with the CORRE Hub assisting in the identification of providers, sequencing of interventions and ensuring that services are brokered on time.

The CORRE Hub model in Wales broadly covers two layers: operational and strategic. The operational layer encompasses the interface between the Probation Practitioner and the CORRE Hub, including the process of referrals and scheduling that will occur once a court disposal has been made or in the planning phase for a release from custody. The strategic function refers to the role that the CORRE Hub will play in supporting intervention providers with demand management and assisting HMPPS Wales with its regional approach to commissioning services.

The CORRE Hub will interface with a much broader set of interventions/provision than those covered by probation services and the Dynamic Framework, but digital solutions developed to manage interventions will be incorporated within the CORRE Hub's

remit. The CORRE Hub will though mean a differing approach to interventions processes in Wales including those for Unpaid Work, Accredited Programmes, Structured Interventions, Commissioned Rehabilitative Services and wider commissioning activity.

Specialist teams

The principles of Sentence Management are to be applied consistently across all cases, with certain cohorts receiving an enhanced provision of specialist services. There will be specialist teams in place to deal with specific types of cases – these will be clearly defined and include national security teams and localised short sentence teams. This structure will increase responsiveness to needs of individuals. Some specialist expertise will be embedded within generic teams (for example, women and young adult concentrators).

Probation Practitioners will also require access to specialist support for working with individuals with complex needs and offending behaviour, including personality disorders, sex offending, and terrorism-related offending. Available support must meet both the wellbeing needs of staff and the professional management of cases. This provision would be in addition to line management arrangements.

The policy for transferring cases to internal teams will be updated, including for transfer between specialist teams.

Regional Probation Directors will have flexibility to assign Probation Practitioners to the Unpaid Work Team to undertake the Sentence Management of all single requirement Unpaid Work cases.

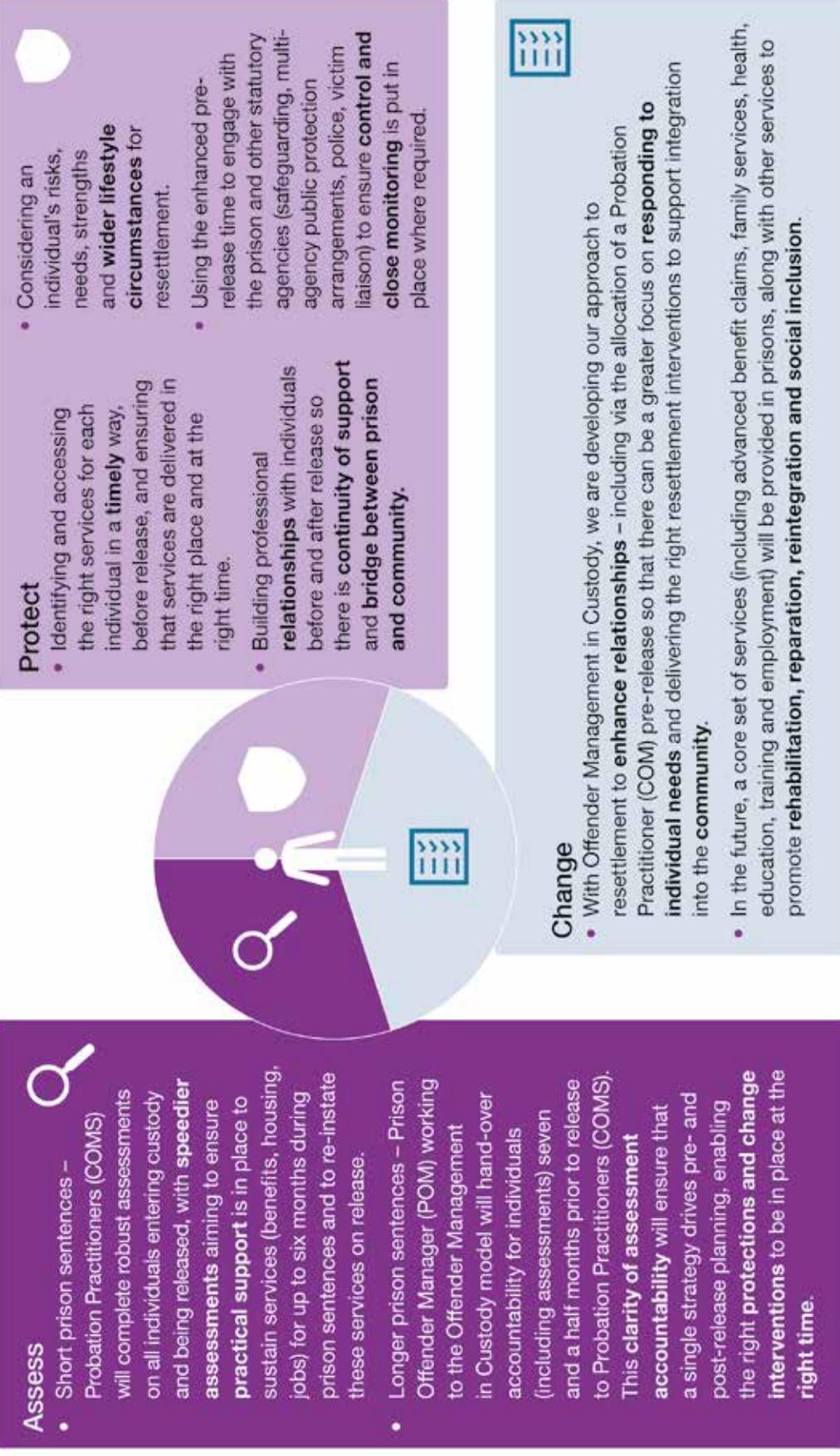


Figure 10. What Assess, Protect, Change means for resettlement

The diagram below outlines what probation's role to 'Assess, Protect, Change' means in the context of delivering our approach to resettlement.

Resettlement





Design Principles

Overarching design principle	How it applies to Sentence Management design
User centred design	<p>Enhancing the OMiC model by introducing additional processes and resources to improve pre-release planning by Probation Practitioners (known as Community Offender Managers/COMs under OMiC) in order to ensure a safer, more effective and consistent transition from custody back to the community, improve outcomes and reduce recidivism.</p> <p>A single accountable person with a single sentence plan to manage risk, victim issues and oversee and coordinate all services pre and post release from prison to the community in order to provide continuity for individuals, and more effective risk management building on OMiC case management.</p>
Cost effective/ efficient design	<p>Learning from good practice in 'Enhanced Through the Gate' (ETTg), whilst remodelling a new and refined service in order to reduce duplication of roles and tasks in prison and community teams to maximise and repurpose staff's capacity to meet individuals' needs.</p>
Whole system design	<p>Ensuring alignment with Offender Management in Custody (OMiC) and prison reconfiguration alongside other parts of the probation model (e.g. Sentence Management).</p>
Evidence-based design	<p>Ensuring a resettlement service starting in prison and continuing into the community (not to the gate or from the gate), by adjusting our approach to reach-in and preparation for release to provide continuity for individuals, and ensure appropriate support is in place.</p>
Consistent but flexible design	<p>Strategically aligned to fit and sustain new prison and probation arrangements in the future to ensure flexibility in responding to changes in the wider justice system. Guidance will be provided on where there is regional flexibility and freedom in the approach.</p>



Overarching design principle	How it applies to Sentence Management design
Effective partnership working design	By avoiding duplication with prison-based services, Commissioned Rehabilitative Services will meet resettlement needs by providing pre-release specialist accommodation support services and mentoring services in order to ensure continuity of service provision as individuals settle back into the community.
Inclusive design	Resettlement is supported by Commissioned Rehabilitative Services providers that are community based and tailor their services to meet an individual's needs, behaviours and circumstances. This will be accessible for individuals held in resettlement function and non-resettlement function prisons.

Case for change and evidence base

Our approach to resettlement is intended to address the issues identified in Her Majesty's Inspectorate of Prison/Probation (HMIP) reports on resettlement and through the gate services, whilst retaining the best practice developed by CRCs and their partner third sector organisations delivering Enhanced Through The Gate (ETTg) services. Since 2018, £22m per annum has been invested in these services and HMIP has recognised that improvements are starting to be realised in some places. However, given the wider fundamental changes taking place across the probation system, we are implementing a revised resettlement approach that takes the best from improvements made thus far and seeks to provide the most effective and efficient way to support those released from prison. Currently, individuals released from non-resettlement prisons are only able to access through the gates services if commissioned. Our resettlement approach provides pre-release activities for all sentenced individuals whichever prison they are held in before release and considers necessary support, including the

importance of strong family relationships to support desistance.

In 2018, we surveyed and held focus groups for up to 300 CRC and NPS staff across England and Wales and held engagement events for prison-based staff as well as over 250 individuals who had recently been released from prison and had direct experience of ETTg. The key findings were:

- Better use should be made of through-the-gate products (Basic Custody Screening Tools) to reduce repeated questions and improve quality of information.
- 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.

These findings have informed our approach to resettlement.



Links to HMPPS Business Strategy

By fostering an open, learning culture which enables us to learn from what has and has not worked well, we will deliver improvements to better support individuals at key points in their experience of probation services.

Anticipated benefits

Under the new model, the approach to resettlement will enable the delivery of a more coherent and effective service, particularly by removing any duplication of roles and tasks between prison services, probation services, and suppliers of interventions. There will be continued focus on improving the relationships between Probation Practitioners (COMs) and individuals resettling into the community by starting contact at seven and a half months pre-release and providing a consistent contact for all pre and post release activities from this point. Community integration and inclusion for those released from prison will be enhanced through tailored and locally-based interventions, which will also aid people's rehabilitation.

Moreover, there will be enhanced access to resettlement provision wherever individuals are being held (whether in resettlement or non-resettlement prisons) via the work that Probation Practitioners (COMs) will undertake to drive both pre-release activities and access to Commissioned

Rehabilitative Services providers based in the communities where individuals are being released.

In order to assess the effectiveness of resettlement services, we intend to monitor outcomes following release from prison and at key points under supervision in respect of accommodation and employment. This will include metrics on the number of individuals being housed and in employment on release from custody. There will be a metric concerning settled accommodation for all individuals under probation supervision three months after commencement of their supervision and monitoring of those in employment six months after commencement of supervision.

Through its emphasis on sourcing the most effective resettlement and rehabilitative services via the Dynamic Framework, the new approach to resettlement will also help achieve the following intermediate benefits:

- **More successful delivery of interventions:** Measured via an increase in the proportion of individuals who receive Commissioned Rehabilitative Services. We are also considering how we might be able to monitor the proportion of service users whose needs reduce following these interventions.
- **Increased local and partnership-based delivery of probation services:** We will measure this through the number of local voluntary sector organisations involved in the delivery of rehabilitative interventions via the Dynamic Framework which we anticipate will increase.



Equalities considerations

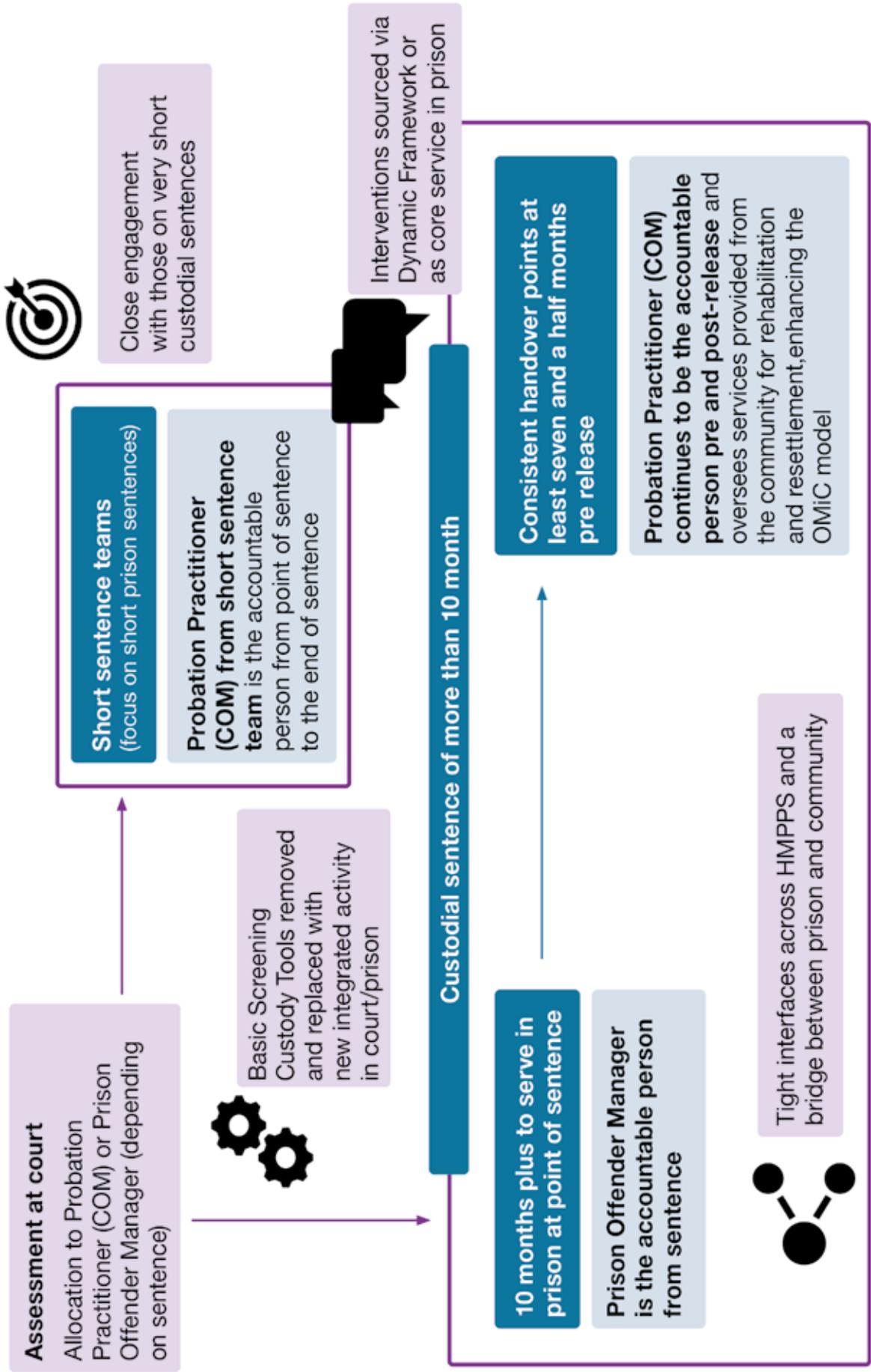
The extension of the pre-release assessment to all sentenced to custody, completed by the Probation Practitioner (COM), builds on assessments completed by the Prison Offender Manager and plans for release back into the community. This supports a comprehensive assessment for those with complex needs, including disabilities such as mental health issues and age-related conditions, and any specialist assessments such as adult social care assessments. The Probation Practitioner (COM) is responsible for all pre-release activities from the point of handover from the Prison Offender Manager, (or from the start of sentence for those with less than 10 months to serve at the point of sentence). The handover meeting provides the opportunity for the Probation Practitioner (COM) to be informed of engagement with any prison-based services, such as those provided via the Chaplaincy supporting engagement with community-based faith organisations, provided via New Futures Network or Department of Work and Pensions Work coaches, which could inform release plans ensuring work started in prison can be supported or continue into the community. This provides a longer timeframe to assess needs, including any specific to protected characteristics, build positive relationships with service users and prepare them for release to take account of the transition from a highly structured prison environment to the community. The handover from the Prison Offender Manager to the Probation Practitioner (COM) provides enhanced information exchange including ensuring the awareness of the experience and assessments of those with protected characteristics.

Our approach is flexible – ensuring that we meet the varying needs of specific cohorts including those within the women’s estate, those in national resource sex offender prisons, and foreign nationals.

The provision of a Probation Practitioner (COM) with a single sentence plan to oversee and coordinate all services pre- and post-release from prison into the community, supports pre-release activities wherever a service user is held, building on measures implemented under the OMiC model. Processes will be available to support pre-release activity within the different prisons, including those pre and post reconfiguration.

Resettlement services available via the Dynamic Framework include the ability to purchase services specific to young-adults, women, and those from BAME backgrounds. Where contracts are not designed to be cohort-specific, providers will be required to demonstrate that they can tailor their service provision to meet particular needs of different cohorts.

Figure 11. Outline of the approach to resettlement





Sentence Management of custodial sentences that supports resettlement

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

A revision of the Basic Custody Screening Tool One (i.e. BCST-1) is under development to remove some of the duplication in the system and reduce the number of repetitions of the same question. The aim is to simplify questions so that only required information is obtained and to help improve engagement with the process.

The launch of Offender Management in Custody (OMiC) changed the way custodial sentences were managed and was implemented in the Male Closed Estate from February 2019 (in Wales) and from October 2019 (in England). The changes introduced by OMiC sees long-term sentenced prisoners (those with 10 months or more to serve from point of sentence) managed by Band 4 Prison Offender Managers and Probation Prison Offender Managers until specific points pre-release, when the transfer of responsibility moves to the OMiC Community Offender Manager (COM). Where the prison holds responsibility all high risk of serious harm cases are managed by a probation Prison Offender Manager, with Band 4 Prison Offender Managers managing low and medium risk of serious harm cases. Prison Offender Managers also act in a supportive role to Probation Practitioners (COM) when the community have responsibility for the management of a case. The OMiC model for the male open estate will start implementation from March 2021 and the women's estate from April 2021.

Key work is now rolled out across the closed male estate. This has been transformative in the way prison staff work with prisoners, allowing for an opportunity to develop supportive relationships based on trust and to embrace the principles of a rehabilitative culture. Individuals held in prison now have an identified member of staff who they can talk to and who can provide some practical support. Key workers also provide a crucial link between the residential function of a prison and the Offender Management Unit, with Key Workers and Prison Offender Managers working closely together to provide a service which is supportive, promotes information sharing and ensures that risk is managed and assessed robustly.

The responsibility for Sentence Management (OMiC Case Management) transfers to Probation Practitioners (COMs) in the community once individuals reach the pre-release resettlement phase of sentence. Under OMiC, this transfer of responsibility currently happens at different points dependent on a number of factors. The transfer point will be standardised for all at seven and a half months for determinate sentenced prisoners, and in line with points where release is considered for indeterminate sentenced prisoners and those determinate sentenced prisoners subject to parole, with the exception of those critical few that meet the existing Early Allocation Criteria (under OMiC) who would be transferred to the Probation Practitioner (COM) at 15 months prior to release.



Sentence plans for those with 10 months or more of their sentence left to serve will be completed by Prison Offender Managers until the handover to the community when the Probation Practitioner (COM) will complete a pre-release risk and needs assessment. This builds on and incorporates work and plans completed in prison including education assessments for learning disabilities to support future interactions and provision.

It will be a requirement for the Probation Practitioner (COM) to have at least three contacts with a prisoner pre-release to help build a good relationship with them. This includes the current OMiC handover meeting, with at least two additional meetings. As well as relationship building, the handover process supports effective information-sharing between prison and community and enables the Probation Practitioner (COM) to be aware of services available in the prison.

All individuals serving shorter prison sentences (less than 10 months left to serve at point of sentence) will have a community-based Probation Practitioner (COM), focusing on resettlement from the day of sentence as well as after release. They will continue to receive Key Worker support under OMiC and Prison Offender Managers will be allocated in a supporting role to work with Probation Practitioners (COMs) to assist with transactional tasks, provide knowledge of what is available in the prison to help with preparation for release, support via supervision sessions, which are requested by the Probation Practitioner (COM), progress updates and act as a communication link between the Probation Practitioner (COM) and the individual.

This will include progress in prison-based services, including in education.

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

The use of Release on Temporary Licence is 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 probation. The Governor/Director will take into account information provided from the home circumstances report prepared by probation, including contributions from Victim Liaison Officer, where applicable, in order to help with their assessments, as for all licence conditions.



An integrated approach, alignment with other programmes

In addition to the OMiC programme outlined above, resettlement is aligned to changes in the male estate being implemented by the Prison Reconfiguration Project. Reconfiguration is simplifying the adult male estate (age 18+) into three main functions, reception, trainer and resettlement, and introducing new offender flows so that people are held in the right place at the right time. In future, prisons will provide one or more of these three main functions. The probation reform programme, OMiC, Reconfiguration and ETTG leads have worked together to align the programmes and manage ongoing dependencies. One of the aims of the Reconfiguration Project is to provide sufficient resettlement places so that more prisoners have the opportunity to be released from a resettlement prison close to home. The offender flows also support the in-reach approach to resettlement as prisoners will move from a trainer prison to a resettlement prison between 24 to 10 months before release. A joint approach with reconfiguration to define close to home using the new probation service regions, divided into Probation Delivery Units, will assist transfer decisions to appropriate prisons with a resettlement function.

We are working with the women's estate to align with transformation and to ensure our resettlement approach does enhance resettlement planning and provision.

We are also seeking to ensure alignment with relevant programmes outside the HMPPS. This includes NHS England's Reconnect programme as 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. This would not duplicate services provided via the Dynamic Framework as the Probation Practitioner will be required to identify any services already in place during the final part of custody.

Links to HMPPS Business Strategy

Working in partnership with Commissioned Rehabilitative Services providers and across HMPPS and with other key bodies and agencies (including the NHS) will enable us to deliver the right interventions and to support better integration into communities for those subject to probation services.

Link between Offender Management in Custody (OMiC), Resettlement and current Enhanced Through the Gate (eTTG)

We will transfer the majority of eTTG staff into the Sentence Management function. They will receive training and support to upskill in areas of practice that will in time lead to them supporting and undertaking Community Offender Management activity as Probation Practitioners.

OMiC will continue to be our model and process for managing cases during the custodial part of the sentence, for Prison Offender Management work and for making links with Probation Practitioners (COMs).



Our end state ambition is for an enhanced pre-release process with greater Probation Practitioner (COM) contact as service users prepare for release and transition back in to the community.

Key elements of resettlement

Short sentence function

We are implementing early adopters of the short sentence function in some regions and learning from these will inform our longer-term approach. Our focus is on developing strategies to improve engagement, a partnership approach to support quick access, fast interventions to sustain any existing community services and to fast track referrals to reduce waiting times before new services are in place.

Within the new probation service, a short sentence function will be created within each of the 12 probation regions, incorporating the learning from the early adopters. The role and focus of the team will be to work with those serving shorter sentences to ensure services are sustained and provided, relationships are built, and transitions are supported as effectively as possible. There will be an additional focus on those cohorts who receive a disproportionate number of short prison sentences including women who, due to the geographical spread of the women's estate, are often a distance from home. The learning from the early adopters and best practice will be incorporated into processes including ensuring good access into prisons specifically those detained out of home area. 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. Those subject to short sentences have a higher than average recall/breach rate and a higher reconviction rate compared to the general population so our aim is to improve outcomes for this cohort.

Improvements to post-sentence interviews outlined in the court advice section above will enable us to utilise these interviews to identify what can be sustained (job, benefits, housing) for those sentenced to short periods in prison as well as establishing good links with families and partners where this is appropriate. The early gathering of this information about practical need enables us to share information with prisons and act on it reducing the number of times the same questions are asked. The more we can do at court the more the prisons can do at reception to build on it. We are keen 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.



Probation Practitioners (COMs) responsible for pre-release activities will be routinely based in Probation Delivery Units under the line management of Senior Probation Officers. Regions will, however, have flexibility on where short sentence functions are located with the option to base them in the community, prison or a combination of both. Although under OMiC there would not be a handover as individuals are allocated direct to the community, all those serving short sentences would access a Key Worker in the male closed estate and women assessed as presenting with medium or low complexity of need in the women's estate. A Prison Offender Manager is also allocated in a supporting role, where the Probation Practitioner (COM) is responsible for the management of the case. The Probation Practitioners (COMs) will be able to work with Prison Offender Managers for specific activities. A key focus is on sustaining relationships between probation and those serving frequent short prison sentences.

There will also be some flex for regions to develop their short sentence function to take into account local issues and services. These will take the learning from early adopter regions as they develop processes including maintaining contact with women across a geographical diverse estate. As a minimum, the following arrangements need to be in place:

- Focus on cohorts who receive proportionally more short-term sentences such as women and foreign national offenders for a bespoke service.
- Address the revolving door nature of short sentences by enabling staff delivering this function to more readily access resettlement prisons in their area.

- Potential to see individuals in prison on behalf of out of area probation regions focusing on the stage closer to release working with Prison Offender Managers.

Un-convicted prisoners

Un-convicted prisoners form a significant part of the prison population. They can currently access ETTG services, prison-based services and are allocated a key worker under OMiC. They will continue to be able to access the same level of service from Day 1. An assessment of the numbers of cases for each receiving prison (the impact being mainly in reception prisons) will inform a balance of ETTG staff embedded in the prison being maintained as we progress forward into end state delivery. These staff could also assist those on short sentences by supporting resettlement services.

This approach is user-centred as it maintains work with the 80% of people who will go on to become sentenced. It is cost effective as it uses existing resource. It is evidence-based, building upon ETTG and OMiC processes and benefits, and ensures alignment with prisons.



In order to ensure the current level of service is maintained, once the current ETTG contracts end there will be support for accommodation and signposting to community-based services to assist integration back into the community on release from court or prison. Initially, ETTG services will continue whilst staff assigned to the new probation service remain in the prison on Day 1. We intend to provide a resettlement pack to all prison leavers including those unconvicted, and this information would also be available to support remand cases. Available at court and prison, the pack would provide information on local services for those 20% placed on remand who leave custody unconvicted. In response to service user feedback, the pack will include details of third-party agencies within the community who are able to provide specialist services (e.g. for those from BAME backgrounds).

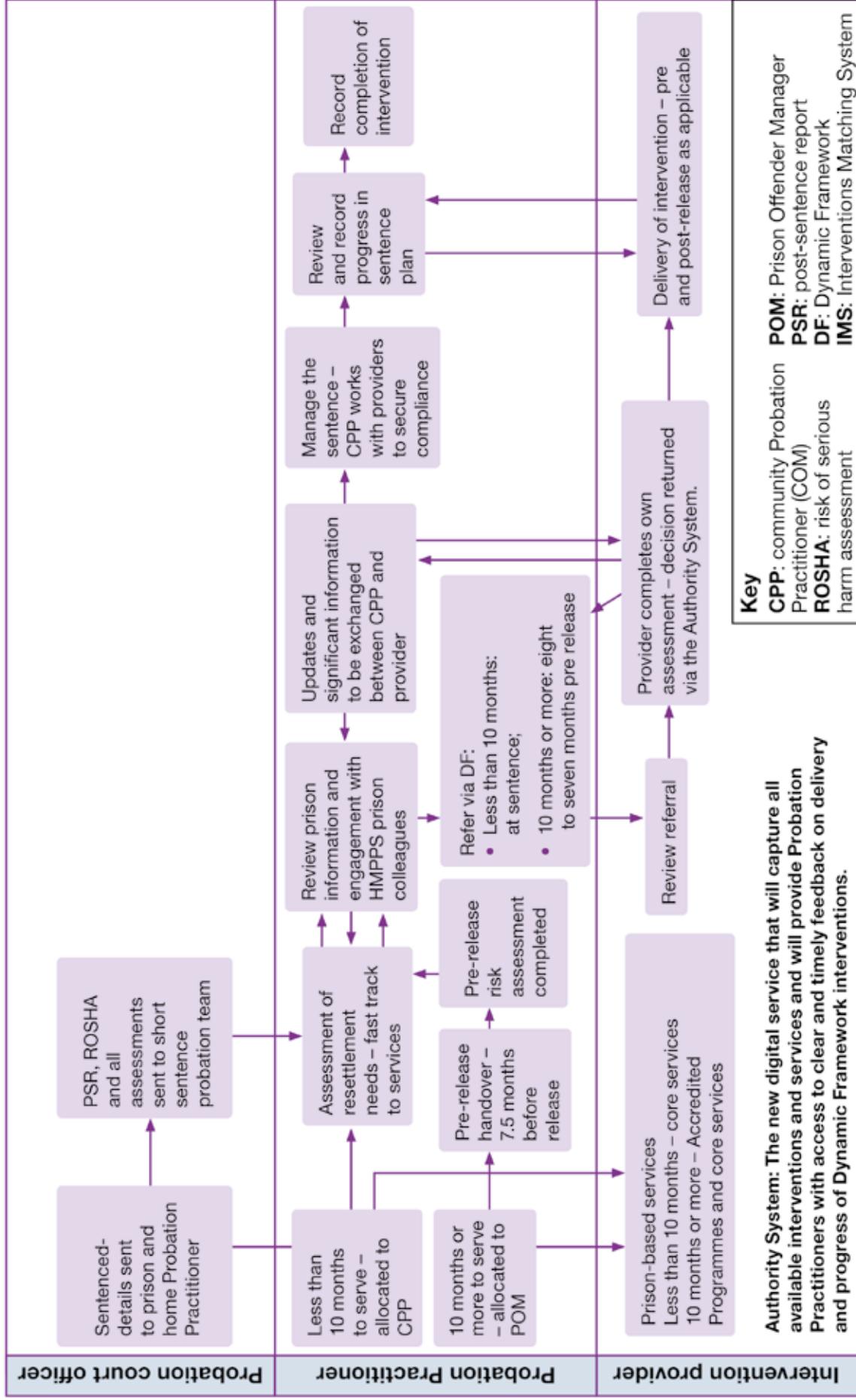
Support for those on remand can also be provided through a progression plan, a voluntary tool intended to assist the engagement and building of relationships between key workers and people in prison. It does not replace a sentence plan or a risk management plan completed by probation. It is intended to be owned by an individual in prison to enable them to identify targets to help them feel safe, secure and settled while in custody, and also allows them to set targets to progress as they work with their key worker under OMiC.

Resettlement services and interventions procured via the Dynamic Framework

Effective resettlement interventions act as enablers to support supervised individuals to adapt and re-integrate into community life, build a crime-free lifestyle and a 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 bulk of which will be provided via the Dynamic Framework. There will be a women's services category on the Dynamic Framework to provide services specifically designed for women, recognising the often-important protective factor for women of maintaining relationships and contact with children. These will be designed to take into account the geographically dispersed nature of the women's estate.

Our service intent for those being released from prison is to ensure services are place-based. This means, where possible, we have specified that 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 through the Dynamic Framework that are not already part of the core offer in our future reception and resettlement prisons across England and Wales.

Figure 12. The high-level process flow for pre- and post-release Resettlement Interventions





Part Two: Delivery of interventions and rehabilitative services

This section covers both commissioned interventions services (Commissioned Rehabilitative Services and the Regional Outcomes and Innovation Fund) and in-house delivery of interventions (Unpaid Work, Accredited Programmes, Structured Interventions and Senior Attendance Centres).

Commissioned Rehabilitative and Resettlement Interventions

Commissioned Rehabilitative Services (via the Dynamic Framework)

Design Principles

Overarching design principle	How it applies to Commissioned Rehabilitative Services design
User centred design	<p>Commissioning a set of interventions which are available for those on community or suspended sentence orders (specifically with Rehabilitation Activity Requirements) and for those on licence and post-sentence supervision.</p> <p>Ensuring that, for those on licence, the appropriate interventions are available in order to support their resettlement and enable a successful transition back into the community.</p> <p>Securing consistently available interventions so that:</p> <ul style="list-style-type: none"> all supervised individuals, irrespective of where they live, receive well-targeted, well-designed and well-delivered interventions in order to maximise their chances of leading crime free lives Probation Practitioners have access to interventions which meet the frequently occurring criminogenic needs or which contribute to stabilisation of their cases, enabling Practitioners to focus on key Sentence Management activities



Overarching design principle	How it applies to Commissioned Rehabilitative Service design
	<p>Ensuring interventions are delivered in a way which:</p> <ul style="list-style-type: none"> • reflects the appropriate intensity of intervention needed to support individual to make progress and achieve appropriate outcome(s) • reflects the appropriate intensity of intervention needed to support individual to make progress and achieve appropriate outcome(s) • is responsive both to individual needs and the needs of specific cohorts
<p>Cost effective/ efficient design</p>	<p>Providers are expected to work closely with statutory and non-statutory provision, making the best use of existing services to support individuals in accessing and sustaining engagement with these services. This will ensure that rehabilitative and resettlement interventions complement, rather than duplicate, services which are already available locally.</p> <p>Providers are expected to deliver sufficient sessions to enable an individual to achieve his/her agreed goals and to vary the intensity of the interventions and services to reflect the complexity of the situation.</p>



Overarching design principle	How it applies to Commissioned Rehabilitative Service design
Whole system design	<p>Commissioned Rehabilitative Services do not seek to meet the same needs as Accredited Programmes or Community Sentence Treatment Requirements. Where supervised individuals are eligible for Accredited Programmes or Community Sentence Treatment Requirements, these are the intervention of choice.</p> <p>Commissioned Rehabilitative Services are a specialist provision which complement existing provision. They should be used where there is an identified criminogenic need which cannot be met through the interventions identified above or where addressing the need leads to stabilisation to enable other interventions to take place.</p>
Evidence-based design	<p>Better defining the services to ensure that interventions are available to address the primary factors linked to reoffending.</p> <p>Ensuring interventions are delivered in ways that:</p> <ul style="list-style-type: none"> • meet the specific risks, needs and responsivity of the individual, including both strengths-based, and trauma-responsive approaches where relevant • are tailored to meet any additional, diverse needs of particular cohorts
Consistent but flexible design	<p>Ensuring providers have flexibility in designing and delivering interventions that will meet clear outcomes in relation to each need area and allow individuals receiving those interventions to make appropriate progress.</p> <p>Whilst core needs are frequently occurring, regional variations in terms of existing service provision and barriers to needs being met will mean that the design and delivery of the interventions should vary to reflect this.</p>
Effective partnership working design	<p>A design which reflects the local landscape in terms of service user need and specific opportunities and challenge, builds upon multi-agency statutory and universal provision thus maximising usage and co-commissioning, and utilises the experience and expertise of VCSE organisations to improve access, engagement and to build skills.</p>



Overarching design principle	How it applies to Commissioned Rehabilitative Service design
Inclusive design	Improving over time the range of rehabilitative interventions, or the range of content and delivery styles within existing interventions, so that these can better address the needs of different cohorts. This should be done where the evidence shows that different approaches improve outcomes or where there are areas of unmet need.

Case for change and evidence base

We acknowledge that there is a lack of consistency in relation to the availability and quality of interventions currently being delivered. There is significant variation in the amount of purposeful activity being undertaken, and for the RAR in particular there is a lack of confidence from key stakeholders in both the amount and type of activity being delivered. This draws on findings from a range of sources, including HMIP inspections, HMPPS thematic reviews and best practice guidelines.

In addition to evidence gleaned from reports, in 2018 HMPPS conducted a project to look into the delivery of resettlement interventions and RARs (we focused on the use of RARs as some 80% of interventions are delivered via these court ordered requirements). Telephone interviews and field visits with staff and supervised individuals in CRCs and the NPS were conducted. Additionally, as part of market and staff engagement for the Dynamic Framework we have held a series of engagement sessions with staff in probation and prison delivery, policy teams, a range of potential providers including VCSE organisations (specialist, cohort specific), academic and umbrella/think-tank organisations, and other government departments (Health, Local Authority, DWP, PCC etc.).

Key findings from previous research and this additional activity are as follows:

- Tailored and responsive probation service delivery requires a range of high-quality universal, targeted and specialist interventions which support supervised individuals in desistance from offending and the safety of other people.
- Factors often overlap and therefore need to be addressed holistically.
- The importance of 'buy in' and motivational techniques utilised by Probation Practitioners were pivotal to desistance.
- High quality delivery is characterised by clear and effective liaison and communication between Probation Practitioners and contracted providers/partners.
- 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.

Anticipated Benefits

The implementation of a Dynamic Framework will enable us to more clearly specify our expectations for interventions and services delivered for RARs and for Resettlement. Supervised individuals will receive well-targeted, well-designed and well-delivered interventions which maximise their chances of leading non-offending lives. The new approach will result in an improved ability for the MoJ to influence stakeholders and levels of demand across the Criminal Justice System, as well as strengthening judicial and other stakeholder confidence in the interventions that will be available to those under probation supervision. Public protection and individual outcomes will be improved by the consistent availability of interventions which either address the areas of need strongly associated with reoffending or provide the stabilisation that individuals need. Support will also be tailored to recognise and meet the diverse backgrounds and needs of individuals in order to achieve positive outcomes.

Moreover, in order to improve individuals' access to the most appropriate and effective services, the new model will maximise opportunities for collaboration with local partners, including VCSE organisations, local authorities, and Police and Crime Commissioners.

The new approach to procuring interventions and services via the Dynamic Framework encompasses three of the intermediate benefits which we expect the target operating model to achieve as we phase-in reforms following Day 1:

- **Improved quality of interventions:** Measured through OSAG audits' quality ratings of Commissioned Rehabilitative Services.
- **More successful delivery of interventions:** We anticipate increased delivery of interventions through the Dynamic Framework which will be measured based on the proportion of individuals receiving Commissioned Rehabilitative Services.
- **Increased local and partnership-based delivery of probation services:** We anticipate that the Dynamic Framework will result in an increased number of VCSE organisations being involved in the delivery of interventions to be measured via the number of VCSEs delivering Commissioned Rehabilitative Services.



Equalities Considerations

We expect providers to ensure that the interventions they design and/or deliver are responsive to people's circumstances and protected characteristics. Attentive to our duties under the Equality Act 2010, we have set out clear expectations that Commissioned Rehabilitative Services providers must deliver services in a way which reflects each individual's protected characteristics and/or specific needs in accordance with, and reflected in, an individual's 'Service User Action Plan'. These specifically cover learning difficulties and/or learning disabilities, those who are characterised as an ethnic minority (including Gypsy, Roma and Travellers), young adults, veterans, foreign national offenders, women, gender identity and age/health.

The introduction of a Dynamic Framework will enable us to put in place more flexible arrangements at a regional and local level for accessing specialist rehabilitative and resettlement interventions, by running call-off competitions to meet additional needs that are evidentially linked to desistance, as well as for cohorts requiring a targeted or specialist response. The cohort specific categories recognise that whilst the actual activities and services may be similar, the approach has to be tailored in order to be sufficiently responsive to appropriately address the needs of users within these cohorts (including, women, people from ethnic minority backgrounds and young adults).

Providers will be expected to demonstrate, within their bids, how they are able to tailor to the specific needs of key cohorts the interventions and services they offer using best practice approaches that will achieve better engagement and outcomes for supervised individuals.

We acknowledge that individuals often present with multiple, complex and intersecting needs, and that to provide them with effective support, it is crucial that providers are able to offer sufficient flexibility in their delivery.

In line with the findings of the Lammy Review, we recognise that some smaller BAME specialist voluntary sector organisations may not have the capacity to be able to participate fully in new commissioning arrangements. To help remove potential barriers and build capacity, we have provided targeted funding to each region for 2020/21 to help support BAME organisations that have clear priorities around working with ethnic minorities and are specialists in this area. We hope that in this way we can strengthen services for BAME service users and enable BAME-specialist organisations to register successfully onto the Dynamic Framework.

What is the Dynamic Framework?

The Dynamic Framework is a hybrid of a Framework Agreement and a Dynamic Purchasing System. The Framework will provide a flexible mechanism to source suppliers who can deliver resettlement and rehabilitative interventions across England and Wales. The Dynamic Framework will allow the Regional Probation Director to procure interventions that can be tailored to local need and create or take advantage of emerging local opportunities, such as opportunities for co-commissioning.



Links to HMPPS Business Strategy

Transforming the delivery of rehabilitative and resettlement interventions by working in partnership with Commissioned Rehabilitative Services providers will allow us to meet the varied and complex needs of individuals in order to reduce reoffending.

The services from the Dynamic Framework will be used for individuals both on community orders and those supervised on licence in the community with an option for some pre-release activity. Resettlement services can be delivered to individuals while in custody to help them prepare for release as well as supporting resettlement 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 focused on the need to reduce reoffending for those on community orders, suspended sentences and licences and are intended to support individuals to re-integrate into the community by addressing a range of needs.

Qualification onto the Dynamic Framework

The Dynamic Framework will allow potential providers to qualify onto the Framework by need area, specifying in what geographical locations they can deliver. It will also be split into categories based on needs and cohorts. 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.

As the Framework is dynamic, organisations will be able to qualify at any point in time 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 this 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 Dynamic Framework will primarily be used to award contracts, however, there is flexibility built into the framework agreement to extend this to grants if required. Commissioners will determine the most appropriate approach for each call-off competition based on service needs. HMPPS has run centrally a series of call-off competitions, amongst those providers that have qualified, to procure priority services required from Day 1 of the new probation model in all regions other than Greater Manchester and for women's services in London (see below).

For Day 1, Regional Probation Directors will decide if they wish to commission support services for dependency and recovery (which are wrap-around services to existing dependency treatment services provided by health/local authorities) and for support to address finance, benefit and debt needs, or if there is sufficient provision in place.



In Greater Manchester, we are working with GMCA to look to co-commission all priority services (including finance, benefit and debt and dependency and recovery) for Day 1, using their procurement routes.

In London, we have worked with the Mayor's Office for Policing and Crime (MOPAC) to co-commission services for women. This will be based on an expansion of the existing MOPAC grant agreement to cover all London boroughs and meet probation's specified core service requirements. The new probation service and MOPAC will then seek to jointly commission new rehabilitative and resettlement services for women in London in 2022.

Priority Day 1 services are detailed in the 'Day 1 overview' table in Chapter 2. Post Day 1, it will be the responsibility of regions to utilise the Dynamic Framework to procure Commissioned Rehabilitative Services to fill gaps or extend service delivery informed by available intelligence. The full range of services available for procurement under the Dynamic Framework will be as follows:

Service or Cohort Category	High Level Outcomes
Accommodation	<ul style="list-style-type: none"> • Accommodation obtained/sustained. • Homelessness prevented.
Education, Training and Employment	<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.
Dependency and Recovery	<ul style="list-style-type: none"> • More able to manage high-risk situations. • Specialist support accessed.



Service or Cohort Category	High Level Outcomes
Personal Wellbeing: <ul style="list-style-type: none"> • Social Inclusion • Lifestyle and Associates • Family & Significant others • Emotional Well-Being 	<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. • Have pro-social support and interests. • Negative associates have less influence. • Safe and positive intimate relationships. • Improved family relationships/parenting capacity. • Improved coping skills and strategies. • More able to comply with treatments/medication.
Women's Services (Cohort)	<ul style="list-style-type: none"> • More effective services that are better tailored to the specific needs of this cohort.
Services for Young Adults (Cohort)	<ul style="list-style-type: none"> • More effective services that are better tailored to the specific needs of this cohort.
Cognitive and Behavioural Change	<ul style="list-style-type: none"> • Modify negative patterns of behaviour. • Promote self-awareness and emotional intelligence.
Restorative Justice ⁷ (i.e. victims' services)	<ul style="list-style-type: none"> • Increased victim satisfaction and reduced reconviction.
Services for BAME Groups (Cohort)	<ul style="list-style-type: none"> • More effective services that are better tailored to the specific needs of this cohort.
Service User Involvement	<ul style="list-style-type: none"> • Services improved through input and involvement from previous service users.

⁷ These are outside the scope of current probation service delivery, but are often commissioned by PCCs who may wish to commission these through the Dynamic Framework in future.



For future commissioning, either to replace the Day 1 contracts when they expire or to supplement those with additional services, Regional Probation Directors will be responsible for choosing what services to commission and how. To do this, we expect them to work with regional agencies (e.g. through reducing reoffending boards and other arrangements) to assess needs and services locally and agree commissioning priorities.

As well as being a mechanism for the new probation service, 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 probation. This will include HM Prisons, Regional Authorities for Probation, 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.

In addition to budgets to cover core sentence delivery services such as those being commissioned through the Dynamic Framework, Regional Probation Directors will also have access to other sources of funding including the Regional Outcomes and Innovation Fund (see below for further details).

Role of Probation Practitioner in supporting rehabilitative and resettlement interventions

Evidence shows that to maximise the chances of success, interventions should be part of a holistic approach underpinned by effective supervision. As outlined in the Sentence Management section above, Probation Practitioners therefore have a pivotal role in the effectiveness of the interventions through a variety of actions. This includes actively managing delivery of the sentence plan, overseeing the selection and sequencing of appropriate rehabilitative interventions and reinforcing progress and new ways of thinking and behaving to support behavioural change.

Probation Practitioners attempting to address practical needs such as housing, education and training or financial advice can detract from other crucial elements to manage the sentence, due to the time pressures and challenges in accessing support for individuals. Probation Practitioners need to strike the right balance in order to effectively manage those they supervise. Equally, interventions which build social capital are likely to be better delivered by specialist local providers. Our aim is to support Probation Practitioners to make timely referrals and to have confidence that they can access suitable interventions and services available through a range of pathways including the locally delivered and responsive, wrap-around, specialist service required of providers on the Dynamic Framework.



The Probation Practitioner will be required to integrate the interventions and services outlined in their sentence plan as they hold the management of the overall delivery of the sentence. Probation Practitioners will also record completion of the intervention(s) and the outcomes that have been achieved. It is crucial that there has been ongoing liaison with the Commissioned Rehabilitative Services provider regularly throughout delivery so that the progress can be closely reviewed; and where there are challenges, these are swiftly addressed so that progress towards successful achievement of the outcomes is maintained.

Requirements for future providers

At qualification

In evaluating Commissioned Rehabilitative Services for qualification on the Dynamic Framework, we will invite providers to:

- articulate the specific rehabilitation and resettlement interventions they will offer to meet the key criminogenic needs which are not met by either accredited programmes or treatment requirements
- describe how they will secure outcomes that are responsive and can meet varying levels of need
- describe how they will 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

- demonstrate within their bids how their service works closely with local providers and how it will be tailored to meet the variations in local needs. Services will be delivered in the key locations within each Probation Delivery Unit

Pre, Post sentence and Termination

Through collaboration with partners on the Framework, the intention is to support Probation Practitioners by ensuring that there are interventions available through a range of pathways. This includes the locally delivered and responsive, wrap around, specialist services required of providers on the Dynamic Framework, which meet the most frequently occurring rehabilitative and resettlement needs that will not be met by Accredited Programmes and Community Sentence Treatment Requirements.

The expectation is that providers will provide timely information which would be available on the Authority System to enable Probation Practitioners to have access to sufficient information to inform their proposals, either at the pre-sentence or pre-release stage.



After receiving a referral from a Probation Practitioner, Commissioned Rehabilitative Services providers will assess the individual in a face-to-face meeting where possible and prepare a 'Service User Action Plan' which will detail how the agreed outcomes will be met via the actions and activities that they undertake. This assessment session also ensures that providers are able to give due consideration to individual's needs and circumstances in order to appropriately tailor provision to the needs of the user. The Service User Action Plan will be specific, measurable, achievable, realistic and time bound and can be utilised by Probation Practitioners in sentence plans to ensure a comprehensive and user-focussed approach to Sentence Management.

Commissioned Rehabilitative Services providers will report on each contact with an individual digitally, via the Authority System. This will appear in probation systems as a contact. The frequency of this contact is stipulated in supplier specifications to ensure that there is an appropriate flow of communication between Commissioned Rehabilitative Services providers and the Probation Practitioner.

At any point in the service delivery, the Probation Practitioner may request a three-way meeting between the Commissioned Rehabilitative Services provider and the service user to discuss updates on service delivery and outcome progress, to review and amend as is necessary.

At the end of service delivery, the Commissioned Rehabilitative Services provider will complete an End of Service Report (ESR) which will outline progress made through the lifetime of the service delivery, outcomes achieved and a move-

on plan. The ESR will be utilised by the Probation Practitioner in termination assessments.

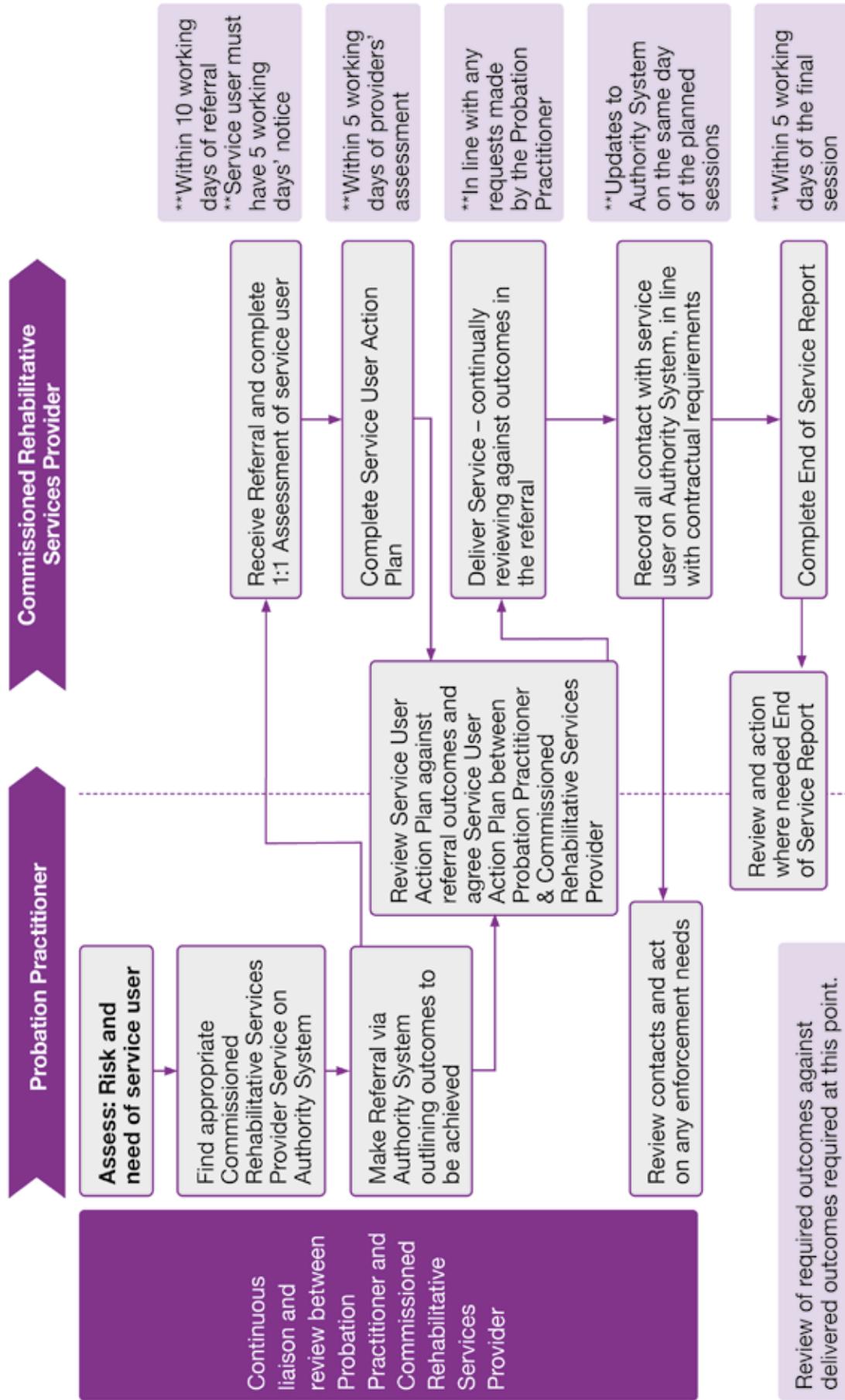
Flow of information between Probation Practitioners and Commissioned Rehabilitative Services providers

Commissioned Rehabilitative Services providers and Probation Practitioners will use the new digital services currently under development. These services will be used to manage effective delivery and provide the new probation service with information from providers on available Commissioned Rehabilitative Services. The new digital system also includes the processes of adding, finding and referring to an intervention, tracking progress and receiving feedback on and evaluating those services. Probation Practitioners will be able to find and refer service users on to an intervention through a single digital service as opposed to needing to switch between up to four systems currently.

In Wales, a Centralised Operational, Resettlement, Referral and Evaluation (CORRE) Hub model will be tested. This will assist Probation Practitioners by identifying suitable interventions, completing referrals, monitoring offender progress and keeping the sentence on track. This will include but will not be limited to Commissioned Rehabilitative Services. Digital solutions developed to manage interventions will be incorporated within the CORRE Hub's remit.

Figure 13, overleaf, outlines the interactions and high-level flow between the Probation Practitioner and the Commissioned Rehabilitative Services (Dynamic Framework) provider.

Figure 13. Interaction between Probation Practitioner & Commissioned Rehabilitative Services (Dynamic Framework) Provider





Regional Outcomes and Innovations Fund

The Regional Outcomes and Innovations Fund (ROIF) is a small pot of money available to regions, intended to help lever investment in wider services (for example by entering co-funding arrangements with PCCs or other commissioners) that may help reduce re-offending, but which are not directly delivering the order of the court. This will help Regional Probation Directors to:

- find new and innovative ways of working, and work with a wider range of service providers
- provide additional and ongoing support beyond sentence, or to those whose sentence provides limited opportunity for intervention but are at risk of reoffending
- find efficiencies that come from being able to invest in joint initiatives and shared funding arrangements and access additional investment
- make services available to offenders based on need rather than dependent on sentence requirement

The ROIF fund will ramp-up over a number of years. This will allow the regions to build the relationships and skills to make effective commissions and ensure that there are new investment opportunities in each of the ramp-up years.

Commissioning and Success Criteria

Each region will have discretion to decide how to invest their fund, using evidence and local intelligence to inform their decisions. They will be able to set the specifications for the services they wish to invest in and the performance indicators that will be applied. Commissioning teams will be supported by commercial and contracting teams through the co-design phase of the business planning cycle (see figure 18).

Each Regional Probation Director will be expected to demonstrate that have spent their money well and describe the commissioning decisions and the service delivery they have funded. The exact processes for the oversight are still being developed but the aim is to have success criteria that will be broad enough to allow for innovation and that take into account:

- a genuine service gap that the funding can address and will offer additionality to the services expected from sentence delivery arrangements or from statutory responsibilities held by other agencies
- a credible rationale to show how this service will address this gap and provide benefits to those at risk of reoffending
- a fair process to award the funding, and to oversee its use
- appropriate evaluation and performance measures to be able to assess the impact of the service
- how to maximise the value for money and efficiency of the investment, including consideration of the value of funding from co-commissioners/ funders and coordination with relevant custodial regions



- due diligence to ensure any potential dis-benefits and risks are identified
- an impact assessment for each funding decision and for the ROIF overall spending plan
- benefits to service users, which may directly enhance sentence delivery outcomes, but must not directly invest in enforceable sentence delivery content and must not cross-subsidise activity already funded or enforceable sentence requirement contracts
- a commitment to sustainable provision and to share best practice with partners and other regions
- alignment of ROIF investment with the overall national and regional probation priorities
- A suite of Accredited Programmes (accredited by CSAAP).
- A variety of Structured Interventions (approved by the National Effective Interventions Panel).
- A portfolio of approved toolkits (approved by the National Effective Interventions Panel).

We will have improved targeting through the Effective Proposal Framework, robust systems of recording, appropriately trained facilitators, and good evaluation methods; all of which will facilitate a good evidence-base about what works.

We will carefully consider how this could operate in the context of different funding arrangements in Wales for substance misuse and mental health, and we will make full use of the Wales CORRE Hub team to inform the use of this fund and the choices of services it gets.

In-house Delivery of Interventions

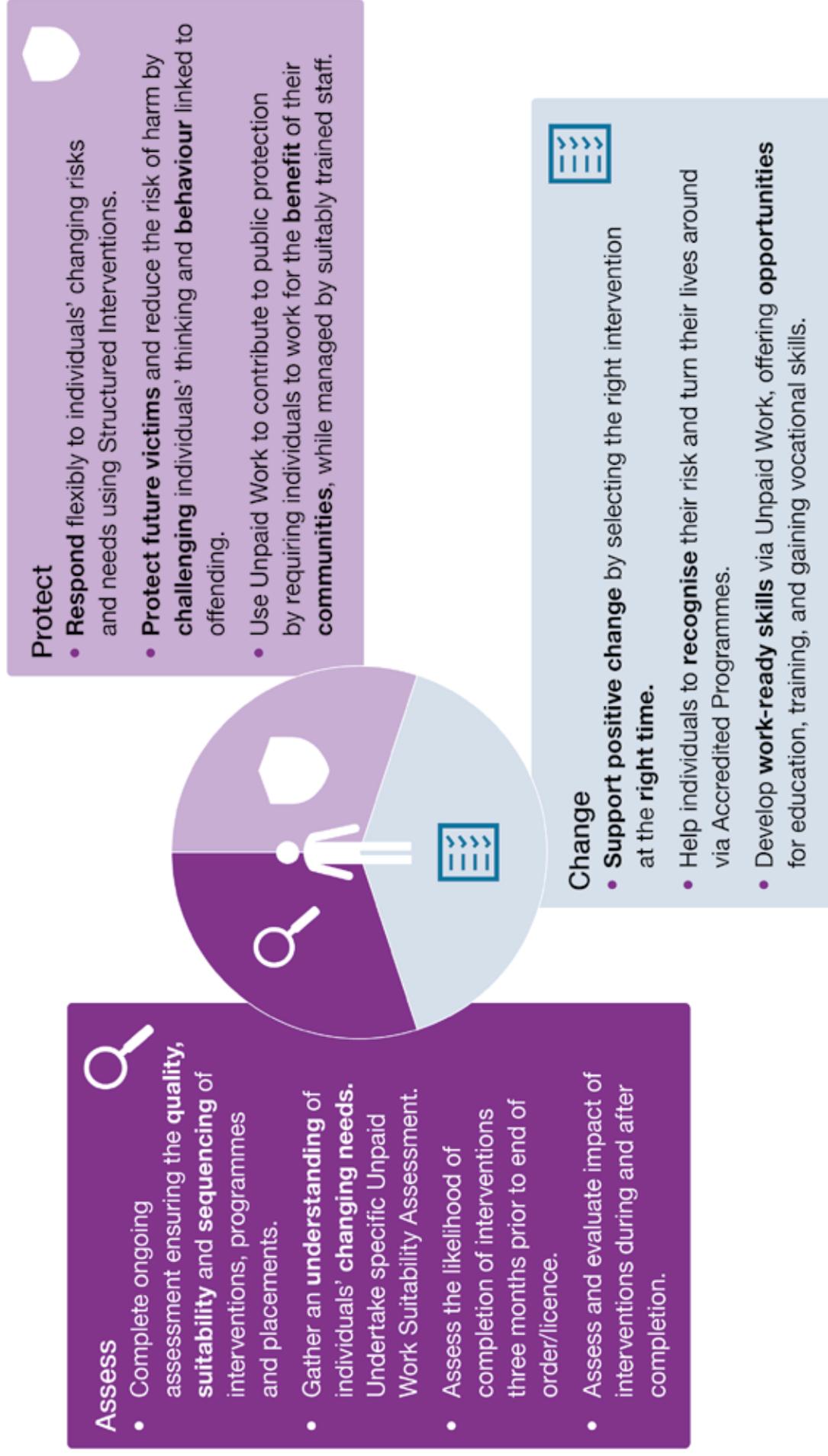
As announced in June 2020, in response to uncertainties created by the COVID-19 pandemic we will be bringing the delivery of definable interventions into the new probation service.

The aspiration of HMPPS is to have available a range of in-house interventions:

- Provision of sufficient local quality Unpaid Work placements.

Figure 14. What Assess, Protect, Change means for interventions delivery

Outlined below is a description of how Assess, Protect, Change applies in our delivery of interventions.



- **Respond** flexibly to individuals' changing risks and needs using Structured Interventions.
- **Protect future victims** and reduce the risk of harm by **challenging** individuals' thinking and **behaviour** linked to offending.
- Use Unpaid Work to contribute to public protection by requiring individuals to work for the **benefit** of their **communities**, while managed by suitably trained staff.



- Complete ongoing assessment ensuring the **quality, suitability and sequencing** of interventions, programmes and placements.
- Gather an **understanding** of individuals' **changing needs**. Undertake specific Unpaid Work Suitability Assessment.
- Assess the likelihood of completion of interventions three months prior to end of order/licence.
- Assess and evaluate impact of interventions during and after completion.



Change

- **Support positive change** by selecting the right intervention at the **right time**.
- Help individuals to **recognise** their risk and turn their lives around via Accredited Programmes.
- Develop **work-ready skills** via Unpaid Work, offering **opportunities** for education, training, and gaining vocational skills.





Interventions Team

In each of the 12 regions, an Interventions Team will be responsible for the delivery of Unpaid Work, Accredited Programmes (including delivering Accredited Programmes in prisons in Wales), approved Structured Interventions (covering the three areas of emotional management, attitudes, thinking and behaviour and domestic abuse) and Senior Attendance Centres. To ensure a consistent approach sexual offending teams delivering the accredited Sexual Offending Programme will move in to the Interventions Team. Work to align the sexual offending teams structure to the regional Interventions Teams will take place post Day 1. Extremism Programmes will continue to be delivered by specialist teams.

The core principles for the relationship between the Probation Practitioner and the Interventions Teams 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
- a clear focus on evidence informed practice, innovation and continuous improvement in service delivery, consistent with the HMPPS strategic principle 'open learning culture'

- to improve sentencers' confidence by improving our eligibility and suitability assessment prior to, and post-sentence, to ensure the right people get the right intervention. The new operating models for Interventions Teams will also see additional timeliness checks at three and six months prior to end of sentence to ensure requirements are completed on time
- keeping delivery local – aspiring to keep travel time to interventions at 60 minutes each way as far as possible – to reduce the potential barrier of excessive travel and improve compliance

How the Interventions Team will work

HMPPS will place performance measures on the Interventions Teams with respect to how they deliver specific elements of delivery and will work with the Regional Probation Directors 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 delivery standards.

To ensure both the Interventions Team and Probation Practitioner have a strong working relationship, the dependencies which both will rely on are set out clearly in operating manuals. Additionally, the performance measures, revised National Standards 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 ambiguity.



An Interventions Team in each Region will reduce the complexity for Probation Practitioners in referring to intervention services and drive an increase in the use of suitable interventions. This will assist engagement with the right interventions at the right time, reducing the risk of reoffending.

To aid sentencing decisions, Interventions Teams will be required to maintain a directory of services, accessible to court and Sentence Management teams, which describes the range of placements available. The directory will be updated on a quarterly basis and will be used by Probation

Practitioners supplying advice to court for sentencing. 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.

Building on advancements made by CRCs, Interventions Teams will be supported in their roles through planned technological and digital improvements to reduce duplication and increase efficiency in arranging interventions as well as the provision of hand held and personal safety devices.

Unpaid Work

Unpaid Work Design Principles

Overarching design principle	How it applies to Unpaid Work design
User centred design	<p>Aiming for delivery of Unpaid Work within an individual's local area/ community in order to increase compliance and promote reparation to the community.</p> <p>Stronger emphasis on the opportunity to use 20% of a supervised individual's Unpaid Work hours on Education, Training, and Employment, in order to ensure that those eligible for it realise the rehabilitative potential of Unpaid Work through gaining work-related skills.</p> <p>Allowing sufficient time for a full Unpaid Work assessment, and completion of the appropriate level of risk and needs assessment, to make it possible to match supervised individuals to a placement that best meets their risk and needs and increases the likelihood of successful completion.</p> <p>Providing increased opportunities for those eligible to work intensively, attending for up to 28 hours per week, in order to respond to individual needs.</p>



Overarching design principle	How it applies to Unpaid Work design
Cost effective/ efficient design	<p>Ensuring that the right people are on the right placements in order to reduce the likelihood of further costly court appearances due to non-compliance.</p> <p>Reviewing the rate of completion for each case at the six-month and nine-month stage of the requirement in order to ensure timely completion and to reduce court appearances to extend the order.</p>
Whole system design	<p>Providing information on 'quality and locality' of placements (and any other relevant information) to the court to enhance sentencer confidence in probation services.</p> <p>Aiming to keep travel time to a minimum in order to ensure individuals are spending more of their hours working rather than travelling and also to ensure attendance at placements.</p>
Evidence-based design	<p>Collating and analysing information on outcomes to be able to share innovation and best practice across regions.</p> <p>Implementing training for staff directly supervising individuals on Unpaid Work, as evidence indicates better trained staff encourage better engagement.</p>
Consistent but flexible design	<p>Ensuring consistency by continuing Unpaid Work interventions currently being delivered by the CRCs where appropriate. New placements will be identified that provide a diverse range of high-quality placements that meet the risk and needs of service users.</p>
Effective partnership working design	<p>Liaison with local forums such as the PCC and Community Safety Partnerships to facilitate the statutory duty to consult local communities about Community Payback plans, as set out in the Government White Paper, 2020.</p> <p>Ensuring that placements are recognised by members of the public as credible and demanding, whilst providing tangible benefits to the local community with the ability for local communities to nominate work placements.</p>



Overarching design principle	How it applies to Unpaid Work design
Inclusive design	Ensuring that there is a greater focus on making available a wide range of placements that match the needs identified in the Unpaid Work assessment, including those with protected characteristics, child care and other caring responsibilities.

Case for change and evidence base

We want to build on best practice within CRC's to improve the quality and consistency of delivery of Unpaid Work whilst ensuring that requirements are completed within 12 months. There has been some good quality and innovative work undertaken by CRC's, however, this is inconsistent. The ambition for Unpaid Work will be to have a sufficient number of quality placements that improve the availability of educational and training opportunities as required. Evidence indicates that individuals who recognise the benefit of the work they are doing are more likely to gain rehabilitative insights from the sentence. We will also aim to increase the availability of placements within the local area to reduce travel time which currently is too long in some cases. Additionally, quality assurance activity focusing on placement quality, quality of supervision as well as monitoring of Health & Safety adherence will be undertaken.

Research on pro-social modelling and procedural justice reinforces the expectation that trained and supported staff further improve the rehabilitative outcomes of the sentence. To support this, and in line with the Probation Workforce Strategy, we want to place a greater onus on training for Unpaid Work staff.

Links to HMPPS Business Strategy

The new model will place greater emphasis on staff training and development as part of our commitment to enabling staff to be their best while supporting individuals carrying out Unpaid Work and local communities in getting the most out of these placements.





Anticipated benefits

Under the new model, Unpaid Work placements will be more responsive to individual needs and will help to secure better outcomes for both supervised individuals and communities. Improvements in the assessment and induction process will help ensure that work placements are more relevant to an individual's risks and needs. This will, in turn, enable better engagement and will help placements to begin promptly. A renewed focus on providing a sufficient quantity of good-quality local placements will enhance local payback in the community, as well as enabling placements to meet more diverse needs and increasing successful completions. Moreover, a new emphasis on utilising 20% of hours for Employment, Training and Education (where relevant) will provide individuals with inbuilt learning and rehabilitative opportunities, thereby supporting them in making meaningful and lasting changes to their lives. Additionally, the new model aims to increase sentencer confidence in the effectiveness of Unpaid Work, thereby encouraging the use of community orders as a robust alternative to custody.

Our approach to Unpaid Work will help achieve the following intermediate benefits of the programme as a whole:

- **Improved quality of interventions:** Specifically, improved quality of Unpaid Work which will be measured through the quality rating achieved via OSAG audits.

- **More successful delivery of interventions:** We anticipate increased completion of Unpaid Work within 12 months of sentence as well as an increased use of education, training and employment-related elements (ETE) as part of Unpaid Work, and the number of service users taking up to the maximum proportion (20%) of unpaid work as ETE.

Equalities considerations

There will be a greater emphasis on consideration of groups with protected characteristics and specific needs. This includes ensuring that women subject to probation services are offered the choice not to be placed in an all-male work environment and female only and individual placements will be sourced where required. A more robust initial assessment of supervised individuals will provide the Interventions Team with a clearer understanding of specific needs.

Partnerships, staff selection and placement arrangements will reflect diverse communities. The Unpaid Work Operational Manager will have a specific remit to work with the regional equalities lead to champion diversity in the delivery of Unpaid Work. They will work with partner agencies to identify placements within specialist agencies or organisations that support the integration and inclusion of specific cohorts of people with protected characteristics.



Delivery of Unpaid Work

The Unpaid Work Team will be notified of all new requirements post-sentence. The Probation Practitioner will undertake a dedicated Unpaid Work risk and needs assessment and complete the Unpaid Work assessment form within 10 working days of sentence and reflect this in the sentence plan. Probation Practitioners within single requirement teams will be suitably trained and supported to manage all risk levels. This assessment is used to ensure that the most appropriate placement is allocated that takes account of risks, needs and any restrictions.

This may include the use of the 20% allowance for ETE-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. Sentence Management and Unpaid Work single requirement teams will be held to account for the timely delivery of this assessment through performance measures and National Standards monitoring.

The Interventions Team will source a range of work placements, providing opportunities for group and single placements that benefit the community and that meet the risks and needs of those on them. Those on Unpaid Work will be required to attend a full induction prior to their first work session which should start within 15 working days of sentence. The induction will provide information and instruction on Unpaid Work rules and regulations, compliance, expectations of behaviour and health and safety.

Existing arrangements for Unpaid Work have achieved some success in utilising peer mentors both in the support and delivery of Unpaid Work. We want to retain access to peer mentor support where regions have identified the need. Where used, a peer mentor is expected to be present at the group induction. This can include a motivational presentation to the group and the offer of additional support during the placement for people with protected characteristics or those who are struggling to comply with the requirement. Peer mentors can also add value to the education or training aspects of an Unpaid Work placement.

The new operating model provides the opportunity to increase the level and scope of work placements available to meet the requirements of the court. This includes setting up national agreements with charities who can offer high quality placements and provide consistency across the regions. There is also a longer-term ambition to source workshop space in each region to enable effective management of risk and avoidance of stand-downs. These initiatives will bring sufficient high-quality group and individual placements that are available locally and meet individuals' risk and need, 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 female-only and individual placements will be sourced where required. Appropriate placements will be sought in the local community to meet a variety of diverse needs. Stand-downs will be avoided by ensuring that a sufficient range of work placements are available and that a degree of flexibility alongside other strategies can be deployed at short notice to avoid cancellation of work sessions, under any circumstances.

Regional Probation Directors will ensure that local people and community organisations can identify work projects for Unpaid Work through a variety of means, such as social media, online presence, and suggestion boxes at work sites. Website and other social media may be used to inform the wider community of the benefits and progress made through Community Payback project work.

The Interventions team will consult local people and organisations when setting out the plan for Community Payback activities over the coming year. Liaison arrangements with the Police and Crime Commissioner, Community Safety Partnerships Victim Groups 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 arrangements will help to direct the reinvestment of income generated through Community Payback into areas of targeted need that are not able to contribute to costs.

We are seeking to maximise the ETE opportunities available through Unpaid Work placements for eligible individuals. The main pathway to address ETE needs remains with the RAR 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 the availability of ETE activities that make best use of the 20% allowance within the order. While there is no expectation that separate or specific ETE 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 ETE within the requirement hours.

Good quality work placements will be available in the local community. We will aspire to limit travel times for individuals to attend the Unpaid Work induction to a maximum of 60 minutes and to a maximum of 90 minutes each way for Unpaid Work placements, 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. We will expect the maximum travel time to be limited to exceptional circumstances and recorded as such on the case recording system. Where women and other carers identify travel time impacts on caring responsibilities, appropriate placements and travel arrangements will be sought to minimise this impact.



Throughout the delivery of the sentence, all risk and enforcement decisions and appropriate action will remain with the Probation Practitioner, Unpaid Work staff will inform the Probation Practitioner within one business day of any indications of change to risk or failures to attend or other compliance issues so that risk enforcement decisions can be taken.

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. Unpaid Work Teams will 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.

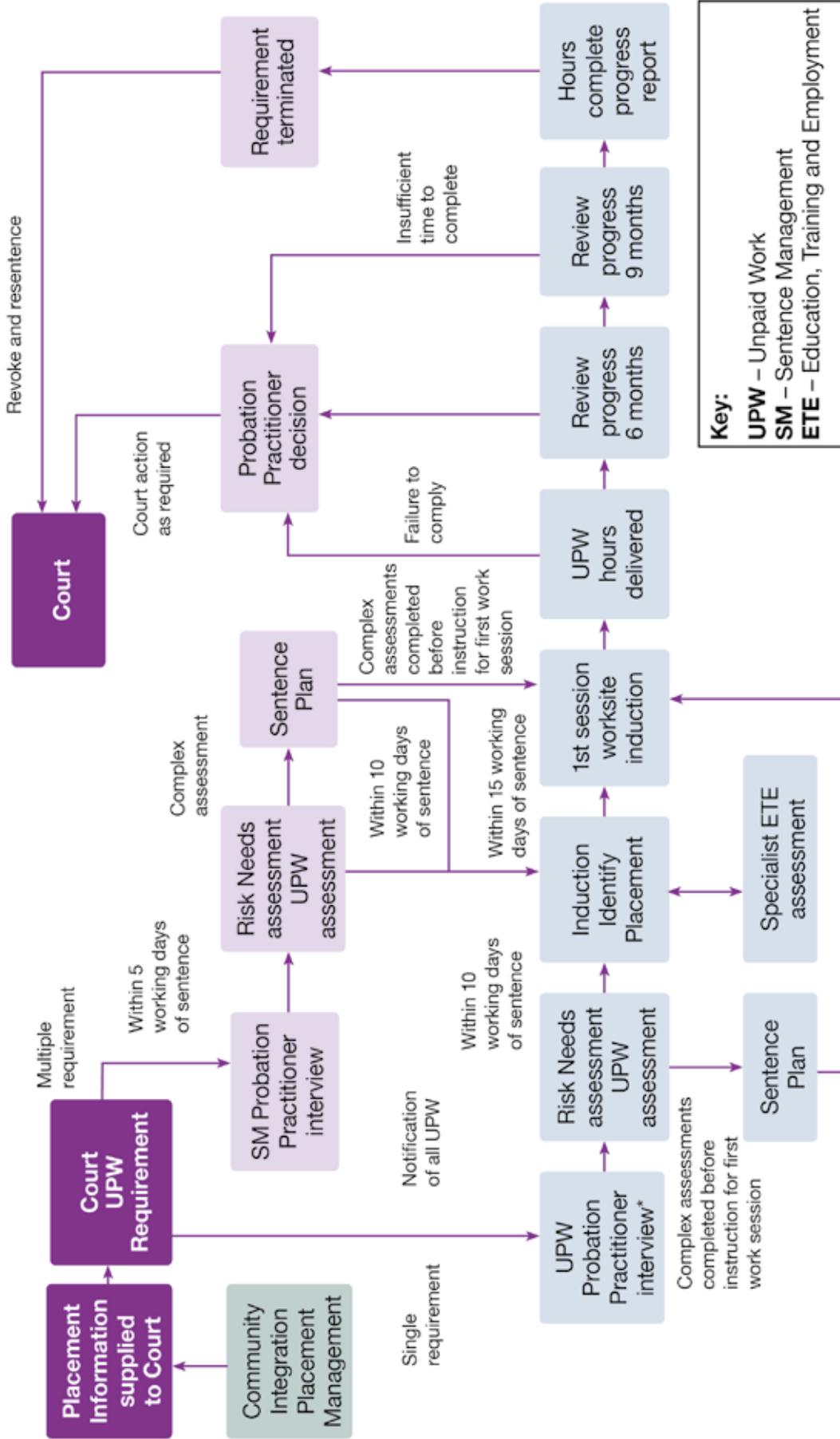
At the end of the requirement, the Unpaid Work Team will provide the Probation Practitioner with an overview of a supervised individual's compliance with the requirement including attitude and behaviour and any ETE activity undertaken and awards gained.

Research shows the importance of training for Unpaid Work staff. 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 and inclusion.

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.



Figure 15. Unpaid Work process map



* Where single requirement Unpaid Work cases are undertaken by Unpaid Work Team. Regional Probation Directors will have flexibility to assign Probation Practitioners to the Unpaid Work Team to undertake the Sentence Management of all single requirement Unpaid Work cases.



Accredited Programmes and Structured Interventions

Accredited Programmes Design Principles

Overarching design principle	How it applies to Accredited Programmes design
User centred design	<p>Improving the matching of the right people to the right programme through the introduction of additional suitability and eligibility checks pre- and post- sentence, to improve successful outcomes for individuals and help protect the public by reducing the risk of re-offending.</p> <p>Providing Accredited Programmes at suitable times to take account of personal circumstances, such as caring responsibilities, in order to meet individuals' needs and maximise successful outcomes.</p>
Cost effective/ efficient design	<p>Ensuring that Accredited Programmes are the intervention of choice for those who are eligible in order to ensure that the most suitable intervention is delivered.</p> <p>Improving existing suitability and eligibility checks to ensure the right people are on the right programmes in order to reduce the likelihood of further costly court appearances.</p> <p>Completing suitability and eligibility checks within set timeframes in order to reduce the cost, time and complexity of returning to court for further appearances.</p> <p>Introducing additional checks six and three months prior to end of sentence in order to ensure timely completion of the programme requirement and to reduce court appearances to extend the order or re-sentence individuals.</p>
Whole system design	<p>Aiming to keep travel time to a minimum in order to reduce barriers to attendance and increase individuals' engagement with the programme.</p> <p>Ensuring the quantity of supply of places on Accredited Programmes is sufficient and available in the right locations to meet supervised individuals' needs and also to ensure the sentence length received is commensurate with the offence.</p>



Overarching design principle	How it applies to Accredited Programmes design
Evidence-based design	<p>All Accredited Programmes undergo external scrutiny via the Correctional Services Advice and Accreditation Panel (CSAAP) to ensure they are based on the most up to date relevant research. These programmes have a design based on desistance theory, cognitive behaviour theory and follow the risk, need and responsivity principle to ensure the right people are on the right programme. We will continue assessing the quality of delivery and effectiveness of Accredited Programmes to inform the future offer.</p>
Consistent but flexible design	<p>Ensuring consistency through provision in all regions of the Thinking Skills Programme (TSP), Building Better Relationship and Sexual Offending programmes, as well as any other Accredited Programme being delivered by the current CRCs.</p> <p>Allowing Regional Probation Directors discretion on other programmes provided informed by local needs. The short-term focus is on getting the basics right rather than further investment in additional programmes, given the challenges presented by COVID-19 recovery.</p>
Effective partnership working design	<p>Exploring the potential to design, develop and test new programmes in partnership with the Correctional Service Accreditation and Advice Panel in order to adapt to emerging needs and regional demand.</p>
Inclusive design	<p>Ensuring protected characteristics are taken into account in the delivery of Accredited Programmes. Future design will ensure that more consideration is given to how specific needs are addressed and enable supervised individuals to access the programmes they need to address offending behaviour.</p>



Structured Interventions Design Principles

Overarching design principle	How it applies to Structured Interventions design
User centred design	<p>Allowing access to a wide range of interventions to meet supervised individuals' needs more effectively.</p> <p>Providing Structured Interventions at suitable times to take account of personal circumstances, such as caring responsibilities, in order to meet individual needs and maximise successful outcomes.</p> <p>Building in flexibility for the Probation Practitioner to respond to changes in a supervised individual's risks and needs in a responsive manner by referring to Structured Interventions to more effectively protect the public.</p>
Cost effective/ efficient design	<p>Introducing additional checks six and three months prior to the end of sentence, in order to ensure timely completion of the Intervention and to reduce court appearances to extend the order or re-sentence individuals.</p>
Whole system design	<p>Ensuring Structured Interventions align with the broader sentence objectives so that the Probation Practitioner is able to address any barriers to engagement prior to referral to a Structured Intervention. This will improve the likelihood of successful completion of the sentence.</p> <p>Aiming to keep travel time to a minimum in order to reduce barriers to attendance and increase engagement with the programme.</p>
Evidence-based design	<p>Structured Interventions will meet the Correctional Services Advice and Accreditation Panel principles for effective interventions and will continue to be evaluated to ensure they are effective.</p> <p>Providing a minimum standard of training for staff delivering Structured Interventions, including continuous professional development, as evidence indicates better trained staff encourage better engagement of individuals.</p>



Overarching design principle	How it applies to Structured Interventions design
Consistent but flexible design	Allowing Regional Probation Directors the flexibility to ascertain which Structured Interventions are required to meet the needs of the region.
Effective partnership working design	Developing suitability and eligibility criteria in conjunction with those developed for Accredited Programmes to ensure the right people are matched to the right interventions.
Inclusive design	Introduce National Effective Intervention Panels to ensure the quality of Structured Interventions meet a wide range of specific and diverse needs in order to support and address offending related risks and needs, including individuals who are vulnerable or have protected characteristics as defined by the Equality Act 2010.

Accredited Programmes and Structured Interventions: Case for change and evidence base

We want to improve quality of delivery and consistency in this area. Whilst CRCs have developed some good practice in delivery, we want to increase completion of court orders as this area is not performing as we would expect. We will seek to ensure that all eligible and suitable individuals attend the appropriate Accredited Programmes or, where an individual is not eligible or suitable, an evidence-informed Structured Intervention is delivered where appropriate.

The body of research on promoting desistance from offending informs our approach. Engaging supervised individuals with a meaningful pro-social approach improves the likelihood of successful completion and a reduction in reoffending. 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.

Links to HMPPS Business Strategy

Our open, learning culture will ensure that we make full use of up-to-date research on promoting desistance to inform our approach to providing Accredited Programmes and Structured Interventions which support individuals in making real, lasting changes to their lives.





The quality of the design and delivery of the programme also makes a significant difference to outcomes. If a programme design is based on techniques that have a strong evidence base, and it is shown to be implemented well, then this should improve the chances that the programme will deliver its intended outcomes.

Research on offending behaviour programmes, pro-social modelling and procedural justice reinforces the expectation that trained and supported staff further improve the rehabilitative outcomes. In line with the Probation Workforce Strategy, we want to place a greater onus on training for those staff delivering Accredited Programmes and Structured Interventions. Structured Interventions operating manuals will require suitable training for staff delivering interventions to help improve rehabilitative outcomes. Accredited Programmes have a set training programme for the delivery of each intervention, with all facilitator delivery quality assured on a regular basis.

Accredited Programmes and Structured Interventions: Anticipated benefits

Under the new model, supervised individuals will experience improved access to services that can support their rehabilitation and reduce reoffending. More timely starts and completions of additional eligibility checks will ensure individuals receive the right interventions for them, which will in turn help to improve outcomes and enhance sentencer confidence in the quality and effectiveness of interventions. Moreover, by introducing Structured Interventions, which are approved for delivery by an Effective Interventions Panel (EIP), the new model will provide greater assurance of the delivery of effective approaches and of the quality of RAR

delivery. The new design for Accredited Programmes and Structured Interventions also introduces additional reviews of all cases at six and three months prior to the end of sentence, which will ensure the timely completion of the intervention requirements and reduce the need for repeat court appearances to extend or enforce the order.

Our approach to Accredited Programmes and Structured Interventions will help achieve two of the overarching intermediate benefits for the reforms:

- **Improved quality of interventions:** We anticipate better targeting and improved quality of Accredited Programmes and improvements in the quality of interventions delivered as Structured Interventions, which we will measure through OSAG audits.
- **More successful delivery of interventions:** An increase in the completion of Accredited Programmes by eligible individuals and an increase in the completion of Structured Interventions.

Accredited Programmes and Structured Interventions: Equalities considerations

We will outline the need for this work to provide 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 supervised individuals will provide a clearer understanding of their specific needs.

The reforms present an opportunity to encourage the development of interventions aimed specifically at women, young-adults and BAME groups.



Materials and case studies used in programme sessions will aim to reflect the local diverse communities, including young adults aged 18 to 24 and those with learning disabilities and learning challenges. Programme Managers will identify venues that support the integration and inclusion of specific protected characteristics and provide enabling environments to support rehabilitation. If volumes allow, this may include delivery in a women's centre or at an organisation providing support and advice for those from a BAME background or with learning challenges, thus facilitating improved access to services.

Peer mentors will provide additional support to those with protected characteristics, at induction and three-way meetings, as appropriate. We will seek to facilitate women only group sessions if sufficient numbers are available. In all cases a woman will not be instructed to attend an induction or group sessions where she is a single female within a group of men.

The Alternative Delivery Formats (ADF) for Accredited Programmes that we have utilised in light of COVID-19 disruptions will be evaluated and where appropriate will be reflected in the future delivery model to meet diverse needs.

Delivery of Accredited Programmes

Accredited Programmes are the intervention of choice for HMPPS, as they are supported by a robust evidence base. Accredited Programmes are accredited by the Correctional Service Accreditation and Advice Panel (CSAAP) and delivered by trained facilitators in a group setting for up to 12 service users. 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.

The Interventions Team will deliver the Thinking Skills Programme (a general thinking skills programme) and Building Better Relationships Programme (domestic abuse) in all regions. Delivery of the Building Better Relationships Programme will include provision of a Partner Link Worker (managed within the Interventions Team) to support and engage with the victims of those undertaking the programme. In addition, we will look to bring delivery of Accredited Programmes into a single team so sexual offending teams delivering the accredited Sexual Offending Programme will sit in the Interventions Team. The Interventions Team in Wales will be expected to deliver Accredited Programmes in the custodial setting as well as the community.

Additional Accredited Programmes addressing other needs, such as Resolve (a violence programme), are currently being delivered in some areas. Where these programmes are currently being delivered, we will expect these to continue to be delivered to ensure continuity of service at the point of transition to the new probation model. These programmes will not need to be implemented in those parts of the new region where the programmes are not currently delivered. Post June 2021, Regional Probation Directors will have freedom to oversee the commissioning and decommissioning of programmes to respond to requirements within the region. Delivery of interventions such as the Healthy Identity Programme will remain with the Extremism Team.



Intervention facilitators will be trained to deliver both Accredited Programmes and Structured Interventions. This model of delivery will allow for greater resilience in meeting demand for interventions as well as offer development opportunities for staff and reduce the risk of programme burnout. All facilitators will need to complete minimum training requirements and, in line with the Probation Workforce Strategy, we will seek to provide additional training to support professional development and continuous improvement. This will include wider practice issues such as motivating and supporting compliance, trauma-responsive work and positive reinforcement and desistance.

The Drink Impaired Drivers Programme will be rolled down in line with the decision by HMPPS, and following advice from the Correctional Services Advice and Accreditation Panel, to no longer accredit this programme. There is the potential for Drink Impaired Drivers to be delivered as a Structured Intervention under the future delivery model.

Accredited Programmes must be delivered in accordance with the programme manual, including the recording of sessions for assurance purposes. This includes using suitable venues to ensure programmes are delivered in an enabling environment which is supportive of rehabilitation and in good order to meet the necessary health and safety requirements. Consideration will also need to be given to practical arrangements to enable individuals who require reasonable adjustments and/or those with learning and literacy needs to fully engage with the programme.

Interventions Teams will deliver Accredited Programmes in the locality where the supervised individual resides, wherever possible. We aspire to a maximum travel time of 60 minutes each way to attend a programme and a rationale for the length of travel time will be expected to be recorded for audit purposes.

To aid sentencing decisions, Interventions Teams will be required to provide a directory of Accredited Programmes, which describes the range of programmes available and their delivery location, updated on a quarterly basis for use by both probation staff in court supplying advice to inform sentencing and the Probation Practitioner managing the sentence.

Probation Practitioners 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 RAR, post-sentence supervision, licence or release on temporary licence. This aims to 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 suitable undertake Accredited Programmes.

The Interventions Teams will have a role in checking eligibility and suitability and referring cases which are considered ineligible or unsuitable back to the Probation Practitioner so that they can be referred to the court for re-sentence.



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 suggests that lower risk individuals are unlikely to benefit from intensive interventions and this will form a part of the decision as to whether an Accredited Programme or Structured Intervention is most appropriate.

When an individual is sentenced to an Accredited Programme requirement the Interventions Teams will be informed on the day of sentence. Where a 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 Interventions Team to enable them 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 to the Interventions Team, either through the Authority System, or via secure email.

Review and enforcement of Accredited Programmes

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

A review of each case will take place six and three-months 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 Probation Practitioner and the Interventions Team and aims to ensure that all programme requirements are completed as prescribed by the court.

At the end of the Accredited Programme, progress is shared with the Probation Practitioner in line with the specific programme manual.

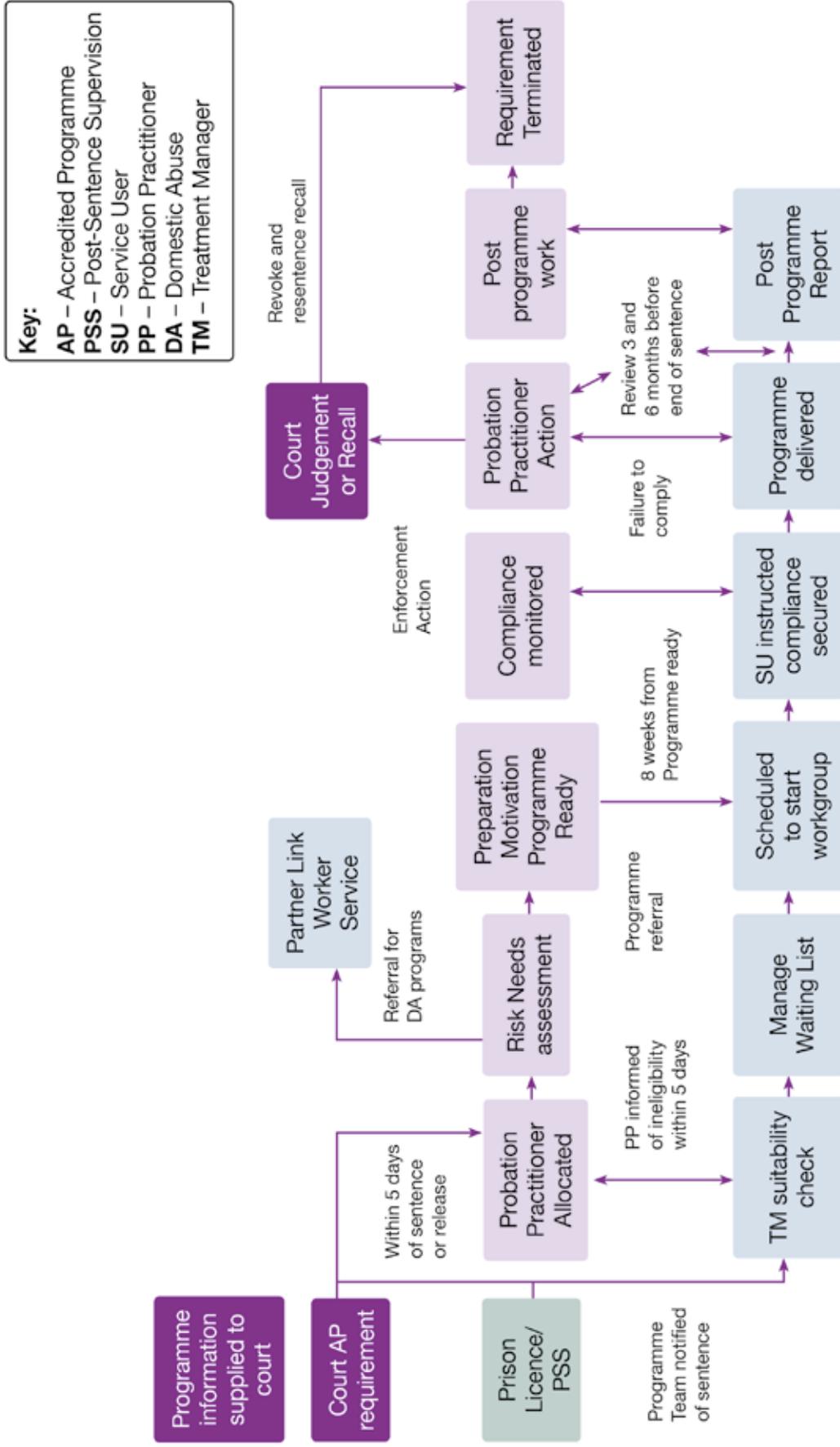


Figure 16. Accredited Programmes process map





Delivery of Structured Interventions

Interventions Teams will also deliver Structured Interventions, which are rehabilitative interventions with a consistent delivery model for lower risk individuals not suitable for an Accredited Programme. Structured Interventions are designed to fit with the broader sentence plan to maximise the opportunity to reduce the likelihood of reoffending. The three areas of need identified for Structured Intervention are:

- attitudes, thinking and behaviour
- domestic abuse
- emotional management

Structured Interventions will:

- 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
- be delivered in either a group setting or one-to-one
- not require liaison with local statutory services, e.g. housing – the planned sessions will be the primary activity to meet the need identified

To ensure structured interventions meet the above criteria, HMPPS will set up and maintain a National Effective Interventions Panel to assess potential Structured Interventions and ensure that the necessary conditions are met. Interventions Teams will be commissioned to design, develop and

evaluate additional Structured Interventions, where there is an identified need. Once an intervention is approved for delivery as a Structured Intervention, it will be placed on a national register where it can be used for delivery at the request of the Regional Probation Director.

Intervention facilitators will be trained to delivery both Accredited Programmes and Structured Interventions. This model of delivery will allow for greater resilience in meeting demand for interventions as well as offer development opportunities for staff and reduce the risk of programme burnout. All facilitators will need to complete minimum training requirements and, in line with the Probation Workforce Strategy, we will seek to provide additional training to support professional development and continuous improvement.

Links to HMPPS Business Strategy

We recognise that good-quality training is key to enabling our staff to deliver the best possible service, and we will ensure that interventions facilitators have access to the right training to support them in delivery and in their professional development.



Referral to a Structured Intervention 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 Interventions Team either through the Authority System or via secure email.

To aid sentencing decisions, the Interventions Teams will be required to maintain a directory of Structured Interventions, which describes the range of interventions available and their delivery location, updated on a quarterly basis for use by Probation Practitioners in court to inform advice on sentencing and for those undertaking Sentence Management activity.

When an individual is sentenced to a RAR 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 whether the need is focused in one of the three areas of criminogenic need identified for Structured Interventions. It is expected that the Interventions Teams will liaise closely with the Probation Practitioner to agree the right time to commence the intervention. This will assist in planning interventions delivery and anticipate volumes.

Structured Interventions will be delivered in the locality that the supervised individual resides in, wherever possible. We aspire to a maximum travel time of 60 minutes each way to attend a programme and a rationale for the length of travel time will be expected to be recorded for audit purposes.

Structured Interventions sessions will be delivered from suitable venues to ensure programmes are delivered in an enabling environment as well as meeting the necessary health and safety requirements. This includes consideration of practical arrangements required to fully engage users with the sessions, for example, making adjustments to address learning or literacy needs as well as ensuring accessibility for those with physical disabilities. Venues may include those that provide women only spaces and those that particularly cater to the needs of people from BAME backgrounds, including the Gypsy, Roma and Travellers community who may have specific learning requirements.

Review and enforcement of Structured Interventions

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

At the end of the Structured Intervention, the Interventions Team 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. Interventions Teams will have access to systems to record Structured Intervention delivery to reflect the number of days/sessions, the needs addressed, interventions selected, the activity undertaken and the outcomes secured.



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

Interventions Teams will have IT systems to support effective delivery by sufficient numbers of appropriately trained staff, in appropriate locations with enabling environments. Alternative delivery formats will allow for a more responsive approach to individual needs where this is required.



Senior Attendance Centres

Senior Attendance Centres are statutory interventions available as a sentence of the court under the Criminal Justice Act 2003. They are one of the 12 requirements that can be imposed as part of a community sentence or a suspended sentence and can be imposed as a consequence of non-payment of fines or breach of other community orders. They can also be delivered through a Rehabilitation Activity Requirement. Currently, they are delivered by Community Rehabilitation Companies.

The primary purpose of an Attendance Centre requirement is to support rehabilitative activities. They also carry a punitive element through the restriction of liberty due to the attendance requirement and they provide a disciplined learning environment structured to engage young people where maturity is an issue.

It is proposed that from Day 1 of the unified model, where Senior Attendance Centres are delivered currently, delivery will be transferred to the new probation service and will continue 'as is' although Regional Probation Directors will be able to review existing provisions. In all cases the 'Officer in Charge' assigned to the Senior Attendance Centre will be trained as a Probation Practitioner and will manage stand-alone, single requirement orders. Multiple requirement orders will be managed by a Probation Practitioner in the Sentence Management Team and be referred to the Officer in Charge following assessment. All new Senior Attendance Centre requirements will therefore be allocated to a Probation Practitioner, either the Officer in Charge or within a Sentence Management Team, so

that a risk and need assessment and sentence plan is completed and appropriate action is taken following any compliance failure.

The sentencing white paper 'A smarter Approach to Sentencing' published in September 2020 acknowledges that Attendance Centre Requirements have been declining since the introduction of RARs in 2014 and that these are not consistently used, partly due to their uneven distribution (for example, there are none in Wales or the North East). It therefore proposes that Attendance Centre Requirements and Attendance Centre Orders are removed to streamline the community sentence framework and promote simpler and more consistent sentencing. The new probation service will continue to operate Senior Attendance Centres in line with current arrangements unless and until legislation is passed to remove them.



Part Three: Victims' Services

Overarching design principle	How it applies to Victims' Services design
User centred design	<p>Incorporating the rights and needs of victims into all aspects of our design.</p> <p>Ensuring that victims have access to high quality, timely information.</p> <p>Providing victims with greater choice as to the method and frequency of communication with them.</p> <p>Enhancing provision for victims to re-engage with the Victim Contact Scheme at critical points in the sentence.</p>
Cost effective/ efficient design	<p>Exploring the most efficient methods of deploying staff and resources to maximise enhancements in capability of the Victim Contact Scheme.</p> <p>Extending the scope of victim contact services to ensure an enhanced provision through the opportunity to opt into the scheme at critical points in the sentence to improve the effectiveness of contact balanced with an individual victim's needs.</p>
Whole system design	<p>Ensuring alignment with the Government's Victims Strategy and the Victims' Code.</p> <p>Taking into account the operational experience of Victim Liaison Officers.</p> <p>Ensuring close alignment to all corresponding HMPPS developments to continually enhance the services provided to victims.</p>



Overarching design principle	How it applies to Victims' Services design
Evidence-based design	<p>Considering existing and emerging evidence that supports effective practice.</p> <p>This includes a clear commitment to consistently align victim services with the 'four pillars' approach to risk assessment and management through victim safety.</p> <p>Taking into account findings from HMIP inspections, victim surveys and other practice reviews of victim work.</p>
Consistent but flexible design	<p>Ensuring that victims have access to the rights they are entitled to through the Victim Contact Scheme.</p> <p>Working with Regional Probation Directors to deploy enhancements to the Victim Contact Scheme.</p> <p>Considering how to develop operational links to services provided to victims linked to the delivery of Accredited Programmes.</p>
Effective partnership working design	<p>Ensuring that programme ambitions for improving support for victims is allied to those of key stakeholders including the Victims' Commissioner, the Parole Board, Probation Workforce and all Criminal Justice agencies.</p>
Inclusive design	<p>Expanding and enhancing services to victims via a revised and clarified opt-in process.</p> <p>The Victim Contact Scheme will also provide Victim Liaison Officer contact for victims of those detained as unrestricted patients.</p> <p>Victims will benefit from more efficient and digital communication according to need.</p>



Case for change and evidence base

There is a clear mandate and support from high-level representatives of victims, from the Victims' Minister, the Victims' Commissioner and the Parole Board's Chief Executive to enhance and expand the Victim Contact Scheme. The review following the Worboys' case identified a need to improve communication with victims about parole and release, and highlighted that victims are not always provided the opportunity to join the scheme.

Links to HMPPS Business Strategy

Our approach to victims' services is informed by our commitment to learning lessons from victims' experiences and harnessing insights from frontline staff and stakeholders in order to provide a service that instils confidence and delivers the right support.

To inform how we improve the Victim Contact Scheme, we have liaised with operational colleagues to understand which victim cohorts are most in need of extra support from Victim Liaison Units and contact with more experienced Victim Liaison Officers. This has led us to focusing on how the new probation service can better support the criminal justice process through keeping victims informed of key developments in their perpetrator's case, such as parole and release decisions, and preventing further victimisation.

Anticipated benefits

In our renewed focus on victims' services we want to achieve a better experience for those who have become victims of crime, give them assurance that they will be adequately protected and confidence in the criminal justice system.

We will use feedback surveys to measure whether our changes result in a better experience for victims. This will also include questions around equality and diversity in order to provide assurance on the impact of our reforms on those victims with protected characteristics.

Equalities considerations

The Crime Survey for England and Wales showed that the likelihood of being a victim of crime varied by demographic factors (ONS: Crime in England and Wales: year ending March 2020). When compared to the general population the following groups were found to be over-represented among victims:

- Young people.
- People of mixed or multiple ethnic backgrounds and people of Asian ethnic backgrounds.
- People whose gender identity is different from their sex registered at birth.
- People who identified as gay or lesbian or bisexual.
- People with a disability.
- Muslim people.



A Victim Contact Scheme that more adequately meets the needs of victims will have a positive impact on all victims. This will also mean that for those victims with protected characteristics (who are over-represented), there will be a positive impact. In cases where victims are given the opportunity to re-engage with the Victim Contact Scheme, this will help to prevent further victimization and give victims with protected characteristics a constant voice throughout the criminal justice process. This would include up to and including the Parole Board process.

Noting the close links between domestic abuse and stalking and harassment, and that the majority of victims of this crime are women, the commitment to expand the Victim Contact Scheme to support victims of offences characterised by stalking and harassment where individuals are sentenced to a custodial sentence of under 12 months will benefit female victims in particular. This will also be the case with revising the 'opt-in' process for the Victim Contact Scheme. By including victims of rape in this group, we will be taking proactive steps to ensure that (largely) female victims can re-engage with the Victim Contact Scheme and understand their expanded rights.

Victim Liaison Officers are also required to recognise specific needs and complete training that takes into account equality and diversity considerations, including de-bias training and how to communicate with victims in a manner and at a level and pace appropriate to them.

Our Approach to Victims' Services

We are focusing on the following areas of change:

- Expanding the Victim Contact Scheme to support victims of offences characterised by stalking and harassment where individuals are sentenced to a custodial sentence of under 12 months.
- Establishing a revised and enhanced 'opt in' process to enable victim contact for cases approaching a review by the Parole Board that provides an additional opportunity for contact including where victims have previously opted out of the scheme.
- Expanding the Victim Contact Scheme to recognise changes in the Victims' Code for Victim Liaison Officers to be responsible for contact with victims of unrestricted patients.
- Enhancing the type of information provided to victims to include the prison security category via the annual contact letter.
- Enhancing the capability of the Victim Contact Scheme to support complex and Terrorism Act cases.
- We are considering offering contact to victims who do not meet the statutory criteria in line with policy guidance on discretionary victims.



Enhancing the Victim Contact Scheme to support victims of stalking and harassment cases where prisoners are serving short sentences

The former Victims' Minister, Edward Agar, highlighted that victims of these crimes, even where the sentence is less than 12 months, need the support of Victim Liaison Officers. This proposal strikes the balance between meeting the needs of each individual victim and providing them with as full a service as possible. It is important to note that, sometimes, the time spent in custody is very short – for example, before individuals are moved to home detention curfews. This means that whilst we aim to extend the scheme as fully as possible to victims of these offences, the kind of contact each victim will require will be different and will have to be dictated by an assessment of victim needs based on individual sentence length. Given the nature of the crimes and the offender cohort, we would expect the 'no contact' condition to be applied to all licences. We would expect Victim Liaison Officers to use their professional judgement on a case by case basis whether it would be appropriate to add on supplementary licence condition requests.

The core interface between the Victim Liaison Officer and victim would be to signpost victims to key services; this would include those that could assist them in seeking amended or new civil provisions upon release such as restraining orders as required.

A revised and enhanced 'opt in' process

A revised and enhanced 'opt in' process would enable victim contact for cases approaching a review by the Parole Board and provide an additional opportunity for contact. This would include where victims have previously opted out of the scheme. This new proposal will mean that we can focus re-contact resources on two elements:

- Contacting victims of cases where first release is down to the Parole Board, but where first release has not yet taken place and they are coming before the Parole Board.
- Victim Liaison Officers contacting qualifying victims twice to ask them if they want to opt into the Victims Contact Scheme.

This will mean that we are able to focus on victims of particularly serious crimes, such as those which receive imprisonment for public protection sentences, life sentences, extended determinate sentences and restricted hospital orders. We also intend to include victims of other serious offences such as kidnapping, rape, attempted murder and manslaughter cases. The approximate number of current cases that fall into these categories is 16,500.



Alongside this, it will remain at the discretion of the Victims' Team to contact victims whose cases are coming up for release, where either they have opted out of contact or the case falls outside this remit. For example, this may be in cases where the team predicts that release will generate high press interest and the victim will need to be forewarned, even if it is a legacy case. This allows for more targeted contact by more skilled Victim Liaison Officers. Considering that these are victims of particularly traumatic crimes, this will be important so that they can explain to victims their rights under the Victims' Code, and what they can expect from engagement in the process. This will be key in cases where there may be press interest and in traumatic crimes where victims have the right to be referred onto support services.

Extending the Victim Contact Scheme to victims of unrestricted patients

Those with mental disorders that have been convicted can be treated as either restricted or unrestricted patients. Restricted patients are those who are detained in hospital for treatment and who are subject to special controls by HMPPS. Unrestricted patients are those whose progress or release is not subject to HMPPS overview.

The Victims' Commissioner's June 2018 report⁸ made specific reference to the disparity in the rights of victims of those with mental disorders when compared to victims of those in the prison system. The Victims' Commissioner's specific recommendation was to *"Extend the remit of the Victim Contact Scheme to provide the*

ongoing support of a victim liaison officer to victims of unrestricted patients, so that they receive a comparable level of support as that afforded to any other victims of serious sexual and violent offences."

We have incorporated this recommendation into our approach, which will mean that victims of unrestricted patients will no longer find that they must liaise with either hospital managers (as the 2004 Domestic Violence, Crime and Victims Act states) or hospital staff (as happens in practice) to find out information about their case. Instead, HMPPS will hold the overview for these patients. They will receive the full suite of services under the Victim Contact Scheme, as victims of restricted patients do. Taking on this caseload will require Victim Liaison Units to work with health trusts to gather information about new patients and build closer links to enable information sharing.

Changes to the annual contact letter to include the prisoner's categorisation status

To increase transparency with victims and to give them as much information as possible, we will change the annual contact letter received by victims who have opted into the Victim Contact Scheme. This request came from the Victims' Commissioner as part of a drive to stop victims being unprepared when they are informed that a perpetrator is eligible for release. We are proposing an amendment to the annual letter to include the prisoner's categorisation status. It has been confirmed by the Government Legal Department that this is compliant with data protection.

⁸ Entitlements and Experiences of Victims of Mentally Disordered offender.



Enhancing the capability of Victim Liaison to work with complex and Terrorism Act cases

It has to be recognised that some victims' cases are more complex; this may be due to, amongst other reasons, either the nature of the crime, the level of press attention the victim themselves may command because of their previous standing in the community, or because the crime receives political attention and scrutiny. In some cases, this may include the relatives of victims of terrorism. We are, therefore, proposing an enhanced job role to support these victims.

The enhanced remit of this role would recognise the experience and specialism of Victim Liaison Officers and empower them to work with these more complex cases. We would look to the discretion of specialists within the Public Protection Team to identify where victims require a Victim Liaison Officer with greater experience to help them cope with the case and any pressures that may come with it. We also expect this group of Victims Liaison Officers to use their expertise to be able to complement the work being done by the National Security Division and work across regions as appropriate. Staff, trade unions and stakeholders will continue to be engaged in further development of this role.



Part Four: Supporting Delivery of the New Model

This section outlines how we plan to support delivery of reformed probation services and covers the performance framework, user involvement, the business planning and commissioning process, regional structures, our people, estates and technology, and digital and data services.

Performance Framework

Design Principles

Overarching design principle	How it applies to Performance Framework
User centred	<ul style="list-style-type: none"> • Focuses on quality rather than processes, introducing new quality measures. • Requires service user feedback on delivery of services, to inform improvement work.
Cost effective/ efficient	<ul style="list-style-type: none"> • Enables cost effectiveness to be assessed by capturing the quality of service delivery and whether outputs and outcomes have been achieved.
Whole system	<ul style="list-style-type: none"> • Takes a whole system approach to drive improved performance across public and contracted probation providers.
Evidence-Based	<ul style="list-style-type: none"> • Increases provider accountability by improving Management Information composed of outputs and outcomes with proven links to reducing reoffending and under provider control. • Uses established audit methodology to assess quality of delivery.
Consistent but flexible design	<ul style="list-style-type: none"> • Applies a coherent integrated framework with central oversight to uphold consistent service quality whilst ensuring individual measures and targets can be analysed at a regional level.



Overarching design principle	How it applies to Performance Framework
Effective partnership working	<ul style="list-style-type: none"> • Holds the new probation service and contracted providers to account on their respective responsibilities and effective joint working.
Inclusive	<ul style="list-style-type: none"> • Applies a comprehensive set of metrics and quality indicators that will enable analysis of the impact of service delivery on different groups of individuals. A probation Equalities Monitoring Tool will assess key metrics to identify disparities in treatment and outcomes.

To ensure the probation system commands confidence, delivers and enforces court-ordered requirements, protects the public and gives individuals receiving probation services the support they need to lead law-abiding lives, the performance framework for the unified model is focused on three key objectives:

- Assuring quality – by rebalancing the focus from processes to quality delivery; by introducing new quality measures and strengthening the role of service user feedback.
- 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 fundamentals right – by holding the probation service to account on sentence delivery, enforcement and protecting the public, thereby promoting judicial confidence in probation delivery.

Links to HMPPS Business Strategy

Performance measures will play a key role in our open, learning culture by allowing us to hold our service to account and to recognise and build on our successes.



Equalities reporting

Responsibility for reporting on how probation delivery is meeting our Public Sector Equality Duty will lie with Regional Probation Directors. Understanding regional need and ensuring that the correct services are in place to meet those needs is fundamental to supporting rehabilitation and reducing re-offending. This means meeting the needs of individuals with different protected characteristics and other cohorts identified as requiring tailored services, such as ex-armed service personnel and care leavers.



The comprehensive set of metrics and quality indicators under the future performance framework will provide evidence on how services are being delivered for individuals with different protected characteristics. An Equalities Monitoring Tool for probation will be applied to key metrics to identify whether there are disparities in service delivery and outcomes. This will be underpinned by a new performance target for Probation Practitioners to record protected characteristics to feed into sentence planning and delivery. Our understanding of diversity and inclusion issues and how to address these will be enhanced by operational assurance audits on the quality of service delivery. These audits will capture extensive data on the experience of service users with different protected characteristics.

An intrinsic element of the approach to performance is to understand the customer view. HMPPS has developed standards of excellence for service user involvement, with the expectation that these are applied across the probation system (see Annex A, Part Four for further detail). Providers will be required to seek service users' views on the services they receive, and to use this insight to develop and improve service delivery. For probation, victims are an important group, and feedback surveys, both for those that have committed crimes and victims, include questions on their protected characteristics so different perspectives and experiences can be understood and addressed.

Implementing performance measures to support specific aspects of our design

In addition to performance measures supporting unified sentence management, measures previously developed for Probation Delivery Partner delivery have been adjusted for delivery by the new probation service whilst maintaining consistency with the overarching design principles set out above. Some existing measures will be adapted, and specific parts of the new performance framework will be switched on, to support the unified model from June 2021. Subject to COVID-19 recovery, Day 1 performance measures will be baselined from October 2020, so that targets, including ramp up arrangements, can be agreed for implementation from June 2021.

Advice to court

Performance measures will support changes in court advice arrangements and ensure intended benefits are realised. This includes a target on sentencer confidence based on a judicial survey, which already takes place on an annual basis. This will be continued, taking the opportunity to improve aspects of the survey in the light of stakeholder engagement, with a view to introducing a new metric on sentencer confidence from Day 1. Measures on the quality and use of pre-sentence reports in appropriate cases will be introduced following Day 1 to accompany improved arrangements for pre-sentence advice. We will retain the existing metric on timely pre-sentence reports whilst these measures are developed.



Sentence Management

Performance measures will continue to cover key stages of Sentence Management from June 2021, with some additional measures to support a quality service for all service users as outlined below:

- **Starting the sentence:** on initial appointment within one week of sentence/24 hours of release for custodial sentences; and on preparation of the initial sentence plan within 15 working days to enable timely referrals supported by a more streamlined and flexible assessment system starting at court.
- **Monthly appointments attended:** a new measure will support engagement and the development of an effective working relationship between an individual and his/her supervising Probation Practitioner.
- **A new requirements completed target** will ensure Unpaid Work and Accredited Programme requirements are delivered before the sentence expires.
- **New quality measures on key aspects of Sentence Management** will be based on OSAG quality audits (see section on Assessing Quality below).
- We are considering a measure on **OASys reviews** to support expectations set out in updated National Standards.

Resettlement

Performance measures on resettlement will be aligned with those on Sentence Management so far as possible to promote an integrated approach, and with equivalent ones on OMiC.

For determinate sentences with more than 10 months to serve, one metric will ensure a timely handover meeting between the Probation Practitioner (COM) and the Prison Offender Manager to be attended by the individual approaching release and other agencies involved in his/her resettlement. This measure will be in place from June 2021. Another metric will ensure a pre-release sentence plan is prepared prior to release from custody to plan the interventions required pre- and post-custody to meet resettlement needs. These measures will support resettlement activity by Probation Practitioners.

Arrangements for short custodial sentences (with less than 10 months to serve) are currently being piloted, and measures to support these will be implemented as staff recruitment and training requirements are met. We will also look at how resettlement work can be included in the quality measure on sentence delivery.

Parole arrangements are covered by the existing metric on timely parole reports.

Intervention Delivery

For **Unpaid Work**, targets will ensure an assessment takes place within 10 working days, and Unpaid Work starts within a further five working days, i.e. within three weeks of sentence. These will be supported by a target to minimise the use of stand downs or sessions cancelled on the day. The target on completion within 12 months will be measured at the 12 month point, supported by management information on progress at six and nine months. These measures will be implemented for Day 1.



New measures on **Accredited Programmes** will focus on whether eligible individuals start and complete Accredited Programmes to promote their use as the intervention of choice where appropriate. Implementation is planned for Day 1 subject to suitable arrangements for recording eligibility so it can be included in performance reporting.

A new measure on completion of a **Structured Intervention** will be developed alongside the roll-out of Structured Interventions from June 2021 onwards.

Quality measures will be extended to cover **Unpaid Work** delivery including ETE provision, and whether **Accredited Programmes and Structured Interventions** support service users in addressing the needs related to their offending. The Accredited Programmes measure will incorporate audit findings on adherence to accreditation criteria. These will be tested out following Day 1 with a view to reporting against these measures from April 2022.

Supporting Rehabilitative Goals

New measures will be applied from Day 1 on housing and employment outcomes following release from custody and at key points under supervision.

To ensure that provision of accommodation is kept as an imperative, we will include a target on the number of individuals being housed on release from custody (90%), aligned with current prisons metrics, to promote joint working between prisons and probation in supporting prisoners leaving custody.

There will also be a metric concerning settled accommodation for all supervised individuals (those released from prison and those on community sentences) three months after commencement of their supervision (80%), which will support referrals to accommodation services provided under the Dynamic Framework.

Management information relating to the accommodation status of individuals at the end of their period of supervision will be reviewed within two years of the first full year's operation of the new unified probation model and a decision will be made as to whether an additional performance measure relating to settled accommodation at the end of supervision will be introduced, and, if so, by when.

We are also considering how we can measure whether referrals to rehabilitative interventions address an individual's needs, and whether needs improve following those interventions. These developmental approaches are intended to complement performance measures on Commissioned Rehabilitative Services delivery (see below), building on more dynamic and flexible assessment systems.



Assessing Quality

Our annual quality measures utilise the audit methodology developed through operational assurance of service delivery over the last five years. Quality measures apply a rating scale reflecting the extent to which service delivery is assessed to meet acceptable quality standards, as shown below.

Audit Score	Percentage Score
GREEN: quality standards fully met or exceeded	87% or more
AMBER/GREEN: quality standards sufficiently met	73%–86%
AMBER/RED: quality standards are not met in some regards	60%–72%
RED: quality standards failed in significant areas	Below 60%

The quality audits assess whether performance is consistent with the requirements set out in probation instructions and guidance. Auditors review the electronic records for a randomly selected sample of cases, supplemented with staff interviews. Consistency is a high priority as audit assessments are judgement based. This is achieved by recruiting staff with operational and audit experience, who go through an extensive training programme. Audit criteria are robust, clear and transparent. Peer, across-team and

senior review of audit scores ensure that they are consistently applied.

Commissioned Rehabilitative Services (via the Dynamic Framework)

The performance framework for the Commissioned Rehabilitative Services will maintain the focus on quality and outcomes, incentivised by graduated reductions in payment where performance falls below target levels. Service levels will apply to all contracts to provide assurance that rehabilitative interventions are delivered. For larger contracts, quality measures will assess whether interventions enable individuals to make progress in meeting their offending related needs, and the sufficiency of liaison with the supervising Probation Practitioner.

User Involvement

There is widespread recognition and evidence that involving people with experience of services can help providers improve what they deliver. CRCs have been particularly effective in involving service users in the delivery of probation services and this is a commitment we want to retain and build on as part of the new operating model.

HMPPS has developed national service user involvement standards of excellence in consultation with over 200 individuals (see Annex A, Part Four). The standards set consistent, national, expectations across prisons and probation, to drive improvements and assist with sharing good practice. They also establish a commitment to engaging and consulting with supervised individuals to help inform a rehabilitative culture.



A national tool kit to support and enhance how we involve service users in our work has also been developed, which includes examples of good practice, check lists and “how to” guides.

We are developing a national ‘Service User Involvement Plan’ which will set out our commitments and ambitions in this space at a national level. The plan will use the service user involvement standards of excellence as a framework against which progress is tracked, both nationally and regionally.

As outlined in our plans for Sentence Management, where appropriate, we are seeking to enhance user involvement in the development of their sentence plan to secure more engagement in the probation process. Effective and meaningful service user involvement in the new unified model will also cover a range of consultation and engagement opportunities at national, regional and local levels. These will include, as a minimum:

- regular and timely service user forums and meetings
- engagement in a range of other settings (e.g. one to one conversations and drop-in sessions)
- consultation and engagement via mobile phones (for specific consultations and ongoing suggestions)
- regular service user representation at management and review meetings (including senior leadership meetings).
- additional celebratory and engagement events
- an annual national survey and use of the complaints process to inform lessons learned

In addition to consultation and engagement opportunities, we are seeking to increase employment opportunities for former service users—both as Probation Practitioners and in peer support roles (for further details, see the section on [Attracting and retaining talented people: Recruitment](#))

Regional accountabilities, business planning and commissioning

Overview

To support delivery of this new model, we are implementing new regions that are accountable for the delivery of probation services in that community (see the section below on Regional Structures). We recognise that effective decision-making is best at a regional level to enhance service delivery, informed by the best interests of communities and enabling an integrated and collaborative approach with strategic partners. There will be a greater focus on regional leadership, headed by Regional Probation Directors, to plan and direct their resources to reflect local circumstances and make evidence-based decisions to commission new services and form new partnerships.



Links to HMPPS Business Strategy

We will ensure that people can be their best by empowering regional leaders to make decisions about what works in their communities and to make effective plans for future delivery.



We have considered the business planning model required to enable Regional Probation Directors to oversee and plan services in their regions. There will be a particular focus on enabling them to make informed decisions about the future direction and development of their services and set an expectation that they:

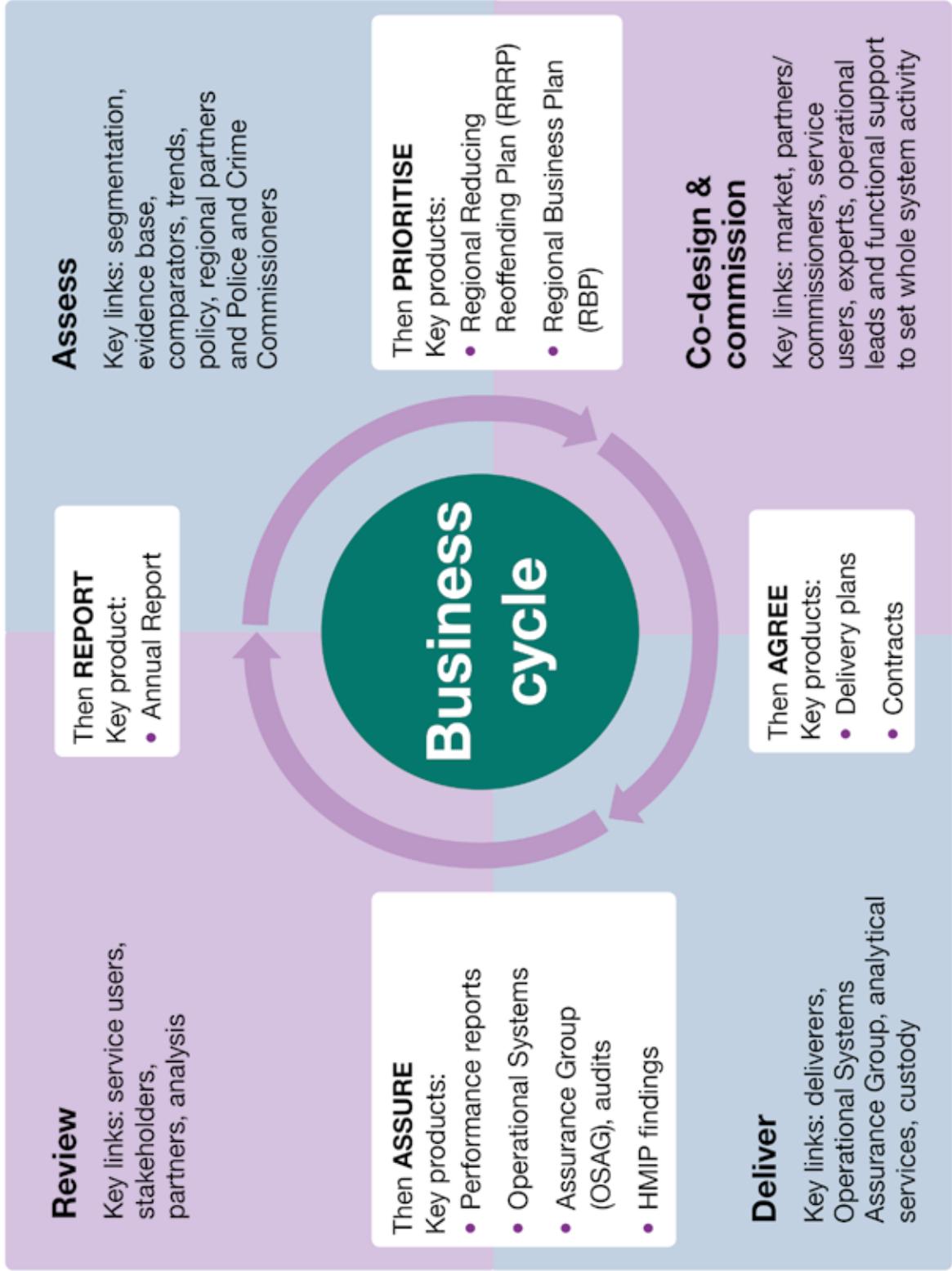
- plan and prioritise with explicit reference and alignment to the wider strategic aims of the HMPPS and Ministry of Justice
- set out in specific and measurable ways their delivery intentions and their evidence-based prioritisation of service
- demonstrate proactive adherence to the Public Sector Equality Duty, with clear consideration of each protected characteristic, informed by data and analysis produced by the Equalities Monitoring Tool
- have a process to agree and source services
- support delivery
- assess and review the outcomes

Our aim is to provide a simple model that sets out key milestones and products for regions and, in line with the HMPPS Strategy principles, supports an evidence-based approach.

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 18. 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 analysis and intelligence, including on equalities, but should also include qualitative assessment, including intelligence on providers and on supervised individuals. 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 Strategy, Planning and 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. 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 below for further detail).

Phase two: co-design

We describe the next phase as co-design to reflect the fact that reaching an agreed set of services requires a collaborative approach. While the Regional Probation Director and their team will lead on setting out the requirements of both in-house and outsourced delivery, this will be most successful if the process is done in partnership, using the knowledge and experience of other delivery organisations, stakeholders and service users to design the future service. We anticipate that there will be a formal agreement with all third-party providers about information sharing and what will be delivered and clear expectations of what the operational teams will deliver.



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 against the business 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. This phase reflects the need to not only judge compliance to a contract and achievement of performance, but to consider more broadly whether the services were delivered as expected and whether we were using the right set of expectations. It will take into account additional information gained from service users, partners, HMIP and other forms of inspection.

As with each of the other phases, there will be contributions from 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 demonstrate that each region is successfully engaging in each stage of the business cycle process and to 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

Links to HMPPS Business Strategy

Regional leaders will have the opportunity to transform the services they provide to their communities by working in partnership across a range of providers to implement their Regional Reducing Reoffending Plan.



We intend 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 it will, in the wider context of HMPPS, set out our priorities and longer-term goals.

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 to enable them to describe their service. This will allow for effective oversight. It will ensure a common framework so that each Region can describe:

- **what it believes:**

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.

- **what it knows:**

To set out the evidence-base for an effective approach which, along with financial, workforce, and caseload information, and the need and risk profiles of the caseload, will be used to inform its plan and set out its aims for the forthcoming years.

- **what it will do:**

To set out the regional priorities and plan for the next three years, in the wider HMPPS strategic context. It will have detailed milestones for the coming year. It will include local priorities and initiatives that will be put in place to support the aims for probation services locally. We expect that there will also be national or cross-regional priorities that will be included within the regional plans, such as how service user involvement will be led and delivered at all levels, along with support of cross-government objectives.



Delivery Agreements

After the processes of co-design, which may include procurement, we will require written agreements (in the form of delivery plans, 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 meeting with the Chief Executive.

We will explore how to develop delivery plans and the use of the European Excellence Model, recognised by the Inspectorate as a useful design, to create a plan that covers the overall probation service in each region including contracted and co-commissioned services.

We expect a service agreement or business plan to be produced that confirms delivery expectations and targets. It should also include workstream and delivery plans, along with a clear commissioning plan for establishing services to deliver sentences and outlining the intended use of the Regional Outcomes and Innovations Fund (ROIF).

We also expect the Regional Probation Director to have a set of agreements in place with those providing services through the Dynamic Framework.

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.

Governance and assurance

Both public sector provision and contracted provision will be subject to governance and monitoring procedures. The regions' business plans will be subject to a national approval process and, in addition to a live monitoring system, each region will carry out internal governance of its service to support a process of in-year oversight by HMPPS, 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, data on equalities, 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 supervised individuals 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.

Equalities

As outlined in the performance framework section, Regional Probation Directors and their planning teams must ensure that there is fair and equitable service provision across their regions and we are implementing a new Equalities Monitoring Tool to support this. This will aid Regional Probation Directors in identifying disparities in service delivery and adapt their approach and investment in services accordingly. Robust impact assessments will form an integral part of the business planning process and annual reports will include reporting on how probation delivery in regions is meeting the Public Sector Equality Duty.

Regional Structures

Prior to June 2021, probation services across England and Wales are being provided by a combination of the NPS, consisting of seven geographical divisions, and 21 Community Rehabilitation Companies (CRCs), owned by seven privately owned parent companies, that provide services under contract. The NPS advises courts on sentencing for all offender cohorts and manages those with a high risk of serious harm or who are managed under Multi-Agency Public Protection Arrangements (MAPPA). CRCs supervise low and medium risk service users and deliver rehabilitative and resettlement interventions for all supervised individuals.

This split in responsibilities and geographical structure has not supported clarity around strategic leadership and accountabilities. 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. In future, the management and delivery of probation services will be streamlined to:

- strengthen strategic leadership
- create clearer accountabilities
- simplify delivery
- improve system and local integration
- increase efficiency

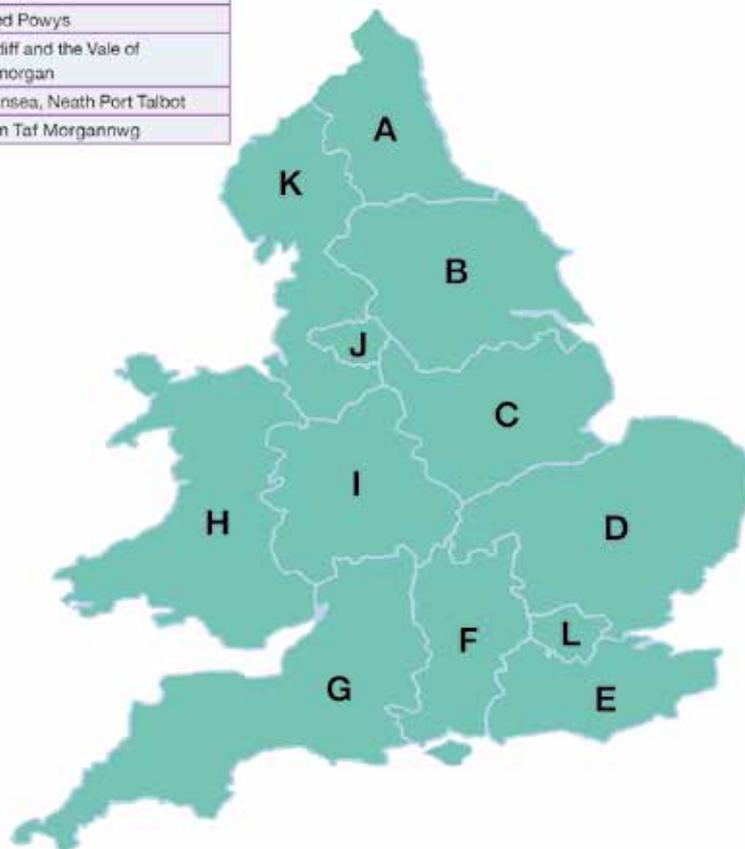
The new probation service will be organised into 12 geographical regions, with boundaries aligned to police force and local authority area boundaries, and undertake all Sentence Management, advice to court, victim support and delivery of definable interventions (Unpaid Work, Accredited Programmes and Structured Interventions).



Figure 19. The 12 probation regions in England and Wales and their Probation Delivery Units

In Annex C, maps showing the Probation Delivery Units in each region are presented with clarification, where necessary, of which local authorities each Probation Delivery Unit is comprised of.

A – North East	F – South Central	I – West Midlands	K – North West
County Durham and Darlington	Hampshire North and East	Birmingham North, East and Solihull	West Cheshire
Gateshead and South Tyneside	Hampshire South West	Birmingham Central and South	East Cheshire
Stockton and Hartlepool	Hampshire South and Isle of Wight	Dudley and Sandwell	Warrington and Halton
Sunderland	Oxfordshire	Walsall and Wolverhampton	Knowsley and St Helens
Redcar, Cleveland and Middlesbrough	Buckinghamshire and Milton Keynes	Coventry	Sefton
Newcastle Upon Tyne	East Berkshire	Warwickshire	Liverpool North
North Tyneside and Northumberland	West Berkshire	Staffordshire and Stoke	Liverpool South
		Worcestershire	Cumbria
		Herefordshire, Shropshire and Telford	Wirral
B – Yorkshire & the Humber	G – South West	J – Greater Manchester	North West Lancashire
Barnsley and Rotherham	Gloucestershire	Salford	Blackburn
Sheffield	Swindon and Wiltshire	Manchester North	East Lancashire
Doncaster	Dorset	Manchester South	Central Lancashire
Leeds	Bristol and South Gloucestershire	Bolton	L – London
Wakefield	Plymouth	Wigan	See Annex-C for details of the Probation Delivery Units in the London Region.
Kirklees	Cornwall and Isles of Scilly	Bury and Rochdale	
Bradford and Calderdale	Devon and Torbay	Stockport and Trafford	
York	Somerset	Tameside	
North Yorkshire	Bath and North Somerset	Oldham	
Hull and East Riding	H – Wales		
North and North East Lincolnshire	North Wales		
C – East Midlands	Gwent		
Nottingham City	Dyfed Powys		
Nottinghamshire	Cardiff and the Vale of Glamorgan		
Derby City	Swansea, Neath Port Talbot		
Derbyshire	Cwm Taf Morgannwg		
Leicester, Leicestershire and Rutland			
East and West Lincolnshire			
D – East of England			
Essex North			
Essex South			
Suffolk			
Norfolk			
Hertfordshire			
Northamptonshire			
Bedfordshire			
Cambridgeshire			
E – Kent, Surrey & Sussex			
East Kent			
West Kent			
Surrey			
East Sussex			
West Sussex			





Leadership

Each region is overseen by a HMPPS Regional Probation Director who provides strategic leadership consistent with the overarching HMPPS strategic direction and is responsible for the overall delivery and commissioning of probation services. In England, they will report into the wider HMPPS structure and be line managed by the Chief Probation Officer. In Wales, the Regional Probation Director will report into the Executive Director for HMPPS in Wales who has responsibility for all probation services and prisons in Wales. Leadership in both England and Wales will be ultimately brought together under the Director General for Probation.

The Regional Probation Director's 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 operational leaders, ensuring that business plan expectations are met and that consistent and effective professional standards are maintained
- managing Dynamic Framework contract(s) to deliver service outcomes and value for money
- promoting effective partnership-working 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
- 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
- set the priorities to commission services that address offender needs as well as ensure delivery of sentence

Managing the region

Each Regional Probation Director in England and Wales will be supported by a senior leadership team that brings together responsibility for operational and intervention delivery, commissioning and contract management of specialist rehabilitative and resettlement support and operational support services that support front-line delivery.

To ensure that staff are properly line managed and achieve the required growth in development, as well as to ensure the programmes are delivered to the required standard, we have sought to ensure there are appropriate numbers of senior and middle managers to provide equitable spans of control in the regions.



- **Head of Operations** is a new role to oversee and provide strategic direction to operational probation delivery on behalf of the Regional Probation Director. They will have line management responsibility for Heads of Probation Delivery Unit (PDU) and the Head of Public Protection (Community).
- **The Heads of PDU** are responsible for local operational delivery of case management and court teams across a given geographic area and lead local strategic engagement with relevant criminal justice partners.
- **The Head of Public Protection (Community)** leads and manages public protection activity for the whole region. This includes managing key regional functions, such as the victims' team, and acting as function lead and coordinating cross-cutting areas, such as MAPPA.
- **Head of Interventions** is a new role (subject to job evaluation) to oversee and provide strategic direction to the operational delivery of Unpaid Work, Accredited Programmes and Structured Interventions. They will have line management responsibility for Heads of Unpaid Work and Heads of Programmes.
- **The Head of Unpaid Work** is a new role (subject to job evaluation) responsible for day to-day management of Unpaid Work and Senior Attendance Centre delivery.
- **The Head of Programmes** is a new role (subject to job evaluation) responsible for day-to-day management of Accredited Programmes and Structured Interventions delivery.
- **Head of Community Integration** is a new role (subject to job evaluation) to oversee the commissioning and operational contract management of outsourced services and provide a dedicated focus on ensuring that the right intervention services are in place to meet the needs of supervised individuals and that probation is influencing locally so that the benefits of partnership-working and co-commissioning are realised. Within their line will be regional Commissioning & Partnerships and operational Contract Management teams.
- **Head of Performance and Quality** is an existing role acting as the region's strategic lead for performance and quality, providing advice, data and action plans to improve quality and supporting commissioning of services. To deliver this, within their line are Performance, Quality and Serious Further Offences teams.
- **Head of Corporate Services** is a new role to provide dedicated leadership and management to back office and corporate functions. They will bring together the management of the regional Information Assurance, Staff Engagement, Equalities, Corporate Administration and Complaints, as well as being the contact for functional leadership/business partner services.



The new regional senior leadership team will champion and enable a whole-system response to supporting desistance. Working collaboratively with colleagues within HMPPS and with local strategic partners and commissioners, the senior leadership team will seek to establish good community links that are responsive to what works and help reduce the risk of reoffending. These changes will ensure there is clear strategic leadership and accountability for probation as a whole service and enable the management and buying of outsourced services in a way that is responsive to local needs and flexible to emerging priorities.

Wales structures

In Wales, there will be a different leadership structure to reflect the distinct partnership arrangements arising from devolution and some business functions combining prison and probation services within HMPPS in Wales. Areas of difference include:

- The Head of Interventions will be called Head of CORRE (Centralised, Operational, Resettlement, Referral and Evaluation) and Effective Practice, but will have the same staff reporting underneath it as in England.
- Head of Blueprints – This devolution post outlines the commitment that the UK and Welsh Governments have made in relation to women and youth justice via blueprints. It is envisaged that many more blueprints will be developed to enhance the user journey through the criminal justice system and related sectors in Wales, and this post is integral to that work.

- Wales will not recruit to a Head of Performance and Quality as this function is currently provided in a shared resource with Public Sector Prisons and HMPPS HQ via the Strategic Support, Administration and Assurance function of HMPPS in Wales.

Key changes

Operational delivery and management structure

Within the regions, operational delivery will be reorganised into 108 Probation Delivery Units (PDU), each managed by a Head of PDU with the most complex PDUs supported by a Deputy Head. The boundaries of the PDUs have been developed to align with upper tier and unitary local authority boundaries. 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 of the new probation service, reflecting the unification of all case management responsibilities, and to provide a clear local voice for probation and, in some contexts, HMPPS.



Public Protection

As part of the review of the probation structure, it was decided to bring strategic and operational accommodation services together as a national function within the Community Interventions Directorate, including Approved Premises, BASS and Accommodation.

Following the London Bridge and Streatham terrorist attacks, the NPS committed to enhancing the management of those who present the most significant national security risk. Work is now underway to design and develop a central National Security Division to manage those critical cases that are of national security interest to provide an enhanced level of management of the most high-risk, complex and high-profile cases.

Currently the management of sexual offending units, who deliver accredited sexual offending programmes, sits within the line of the Head of Public Protection (Community). However, the in-housing of other Accredited Programmes has created an opportunity to, in the longer-term, bring this team together with teams delivering other Accredited Programmes under a Head of Interventions in each region. This will ensure expertise, consistency and efficiency in programme delivery across the suite of programmes.

In future, there will remain a Head of Public Protection role (and two in London due to their complexity) to act as the regional strategic lead for public protection. They will manage key regional functions such as victims, coordinate cross-cutting areas such as MAPPA and be responsible for implementing any national policy changes at a local and regional level. They will act

as the regional link to the National Security Division and Approved Premises functions and engage with key regional and national stakeholders within local authorities, police, counter terrorism and organised crime units, and colleagues in HMPPS Security Order and Counter Terrorism Directorate.

Community Integration

Regions will need the capability and capacity to support their new responsibilities to commission and contract manage outsourced services. This will include being able to identify additional services needed to meet service user needs, commissioning and managing those services and reporting on their effectiveness.

Currently, the NPS are not resourced to develop their own services and are reliant on the CRC offer. In future, there will be specialist Commissioning and Partnership teams in each region to work closely with: operational and contract managers within the region; commercial colleagues; policy leads; external partners/commissioners; providers and service users to review and develop services. They will have responsibility for delivering quality and value for money services that meet identified needs and monitoring the effectiveness of these in helping to reduce reoffending.



Currently, HMPPS contract management oversees CRC contacts and is split into two functions: a strategy function that works at a national level, and an operational function that consists of multiple local teams responsible for the day-to-day management of contracts. The structure, roles and responsibilities within this have developed and bedded in over time, with the strategy function influencing the local operational teams and the development of a distinct professional identity. In future we will retain the existing structure, roles and responsibilities in the first instance but will adapt where required into the new regional structure. This means embedding the operational contract management teams into the regions to manage Commissioned Rehabilitative Services provider contracts and the central team providing more enhanced support to ensure there is consistent relationship management for cross-regional suppliers.

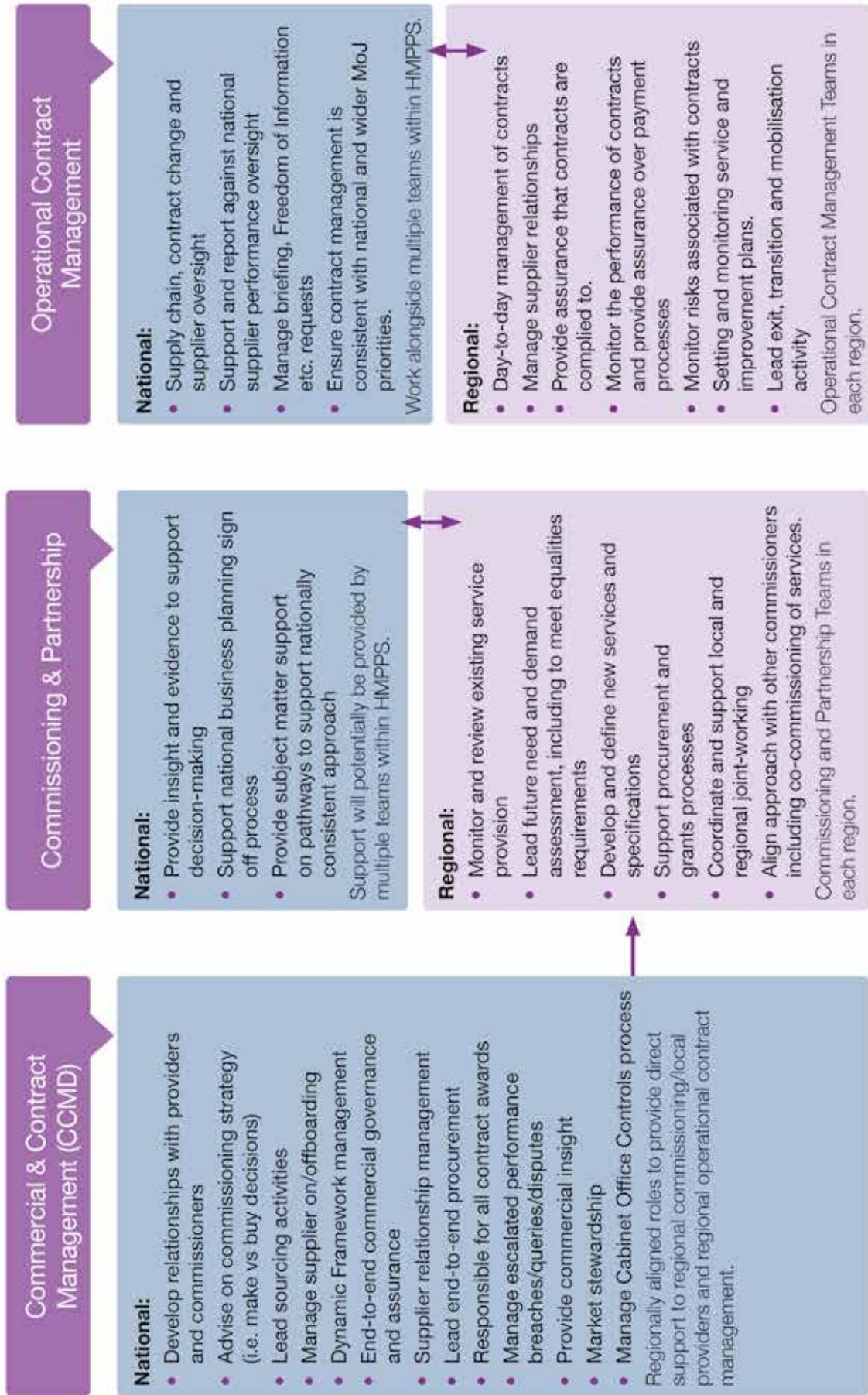
As part of our COVID-19 response, we set up Homelessness Prevention Taskforces to work with local authorities and other partners to help find accommodation for individuals released from prison and for those moving on from Approved Premises and Bail Accommodation and Support Services. While we are currently reviewing the operation of these taskforces, the operational benefits are such that we are considering how to continue them in the long-term and reflect in regional structures. Set out at Figure 22 is an outline of current accommodation structures.

Links to HMPPS Business Strategy

The new model recognises the importance of empowering the probation service to work in partnership with a range of providers and will provide expert teams to support each region in commissioning and contracting the right services to transform and enhance delivery.



Figure 20. National and regional commercial, commissioning and contract management roles



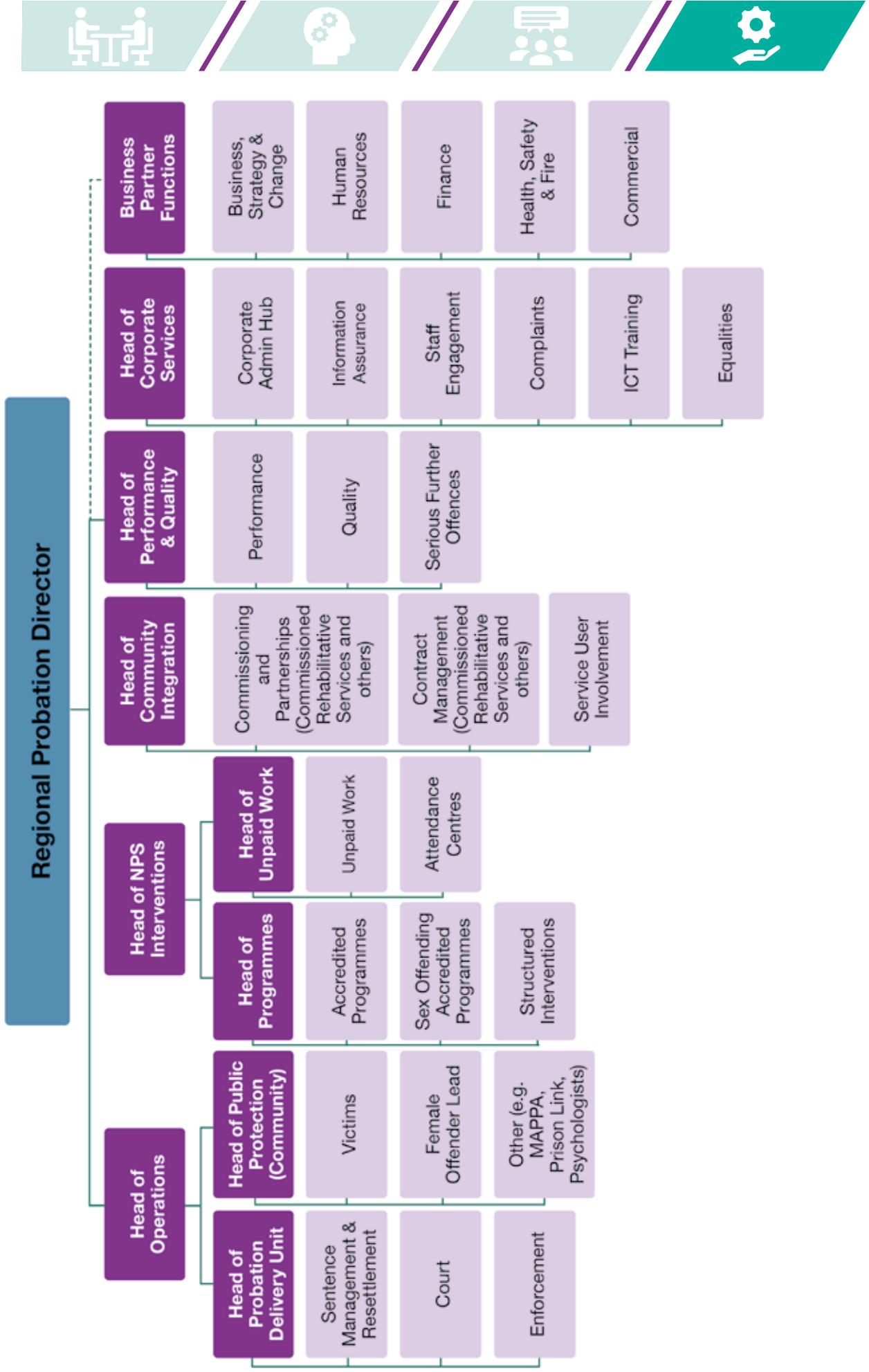
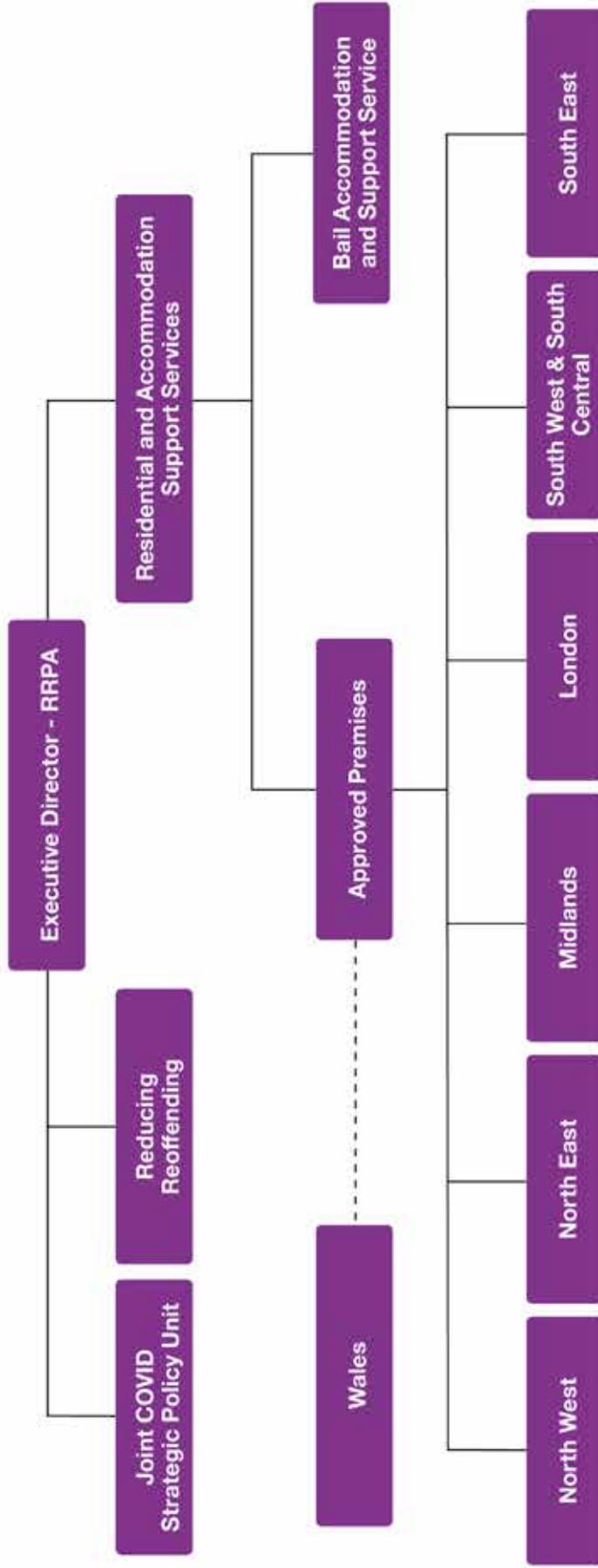


Figure 21. Target end-state regional organogram for England

Figure 22: Reducing Reoffending and Partnership Directorate - Accommodation Structures





Performance and Quality

We intend to maintain performance, quality and Serious Further Offence teams within regions. Performance teams will provide management information and analysis and engage with business units to understand and improve performance and data quality. Quality teams will provide quality assurance and improvement activities to promote effective practice and support court and Sentence Management staff. Serious Further Offence teams undertake reviews of these to improve future practice. Serious Further Offence teams will also be responsible for reviews of practice ('early looks') in line with national guidelines to highlight any issues requiring an immediate management response. Resources in these areas will be expanded to reflect the increased caseloads.

Corporate Services

We intend to maintain corporate administration teams and complaints teams in each region. Corporate administration teams will carry out corporate transactional tasks, where those tasks are non-operational and are not supported by partner organisations. The complaints teams will undertake investigations in relation to formal complaints, and include individual roles that support staff engagement, information assurance and equalities.

Resources in these areas will be expanded to reflect the increases in demand related to the expansion of responsibilities. In particular, there will be a greater focus on equalities-related activities in each region to reflect greater expectations around equality reporting, ensuring we deliver on the Public-Sector Equality Duty under the Equality Act 2010. This will mean a more strategic

and comprehensive approach under regional leadership that integrates equalities reporting in both the new probation service and by contracted providers.

Transition

To support the smooth transition to these arrangements and provide a stable base for the unification of probation services in 2021, the NPS has begun to reorganise from seven Divisions to 12 regions. All 12 Regional Probation Directors have been appointed and took up post in April 2020, assuming management responsibility for the operational delivery for their geographical area. In addition, the recruitment of a number of roles has been brought forward where there is a clear business critical need to support the delivery of the new regional structure. This has focused on the senior management team that reports into the Regional Probation Director.

HQ

The NPS has always drawn on wider HMPPS and MOJ HQ support to enable its operational delivery through providing expertise, oversight and business partner support. The benefits gained from a national resource to support multiple delivery units are many but include the avoidance of duplication, improved efficiency and coordination and the ability to build specialist knowledge and share best practice.

With more regions holding more cases and with greater responsibilities the need for support from HQ will be greater than that previously required by the NPS Divisions.



Within our national Business Strategy and Change Division in England, regional teams have been created to ensure they can continue to support the local implementation of national change projects and programmes, as well as representing the regions within national change activities.

In future, regions will continue to draw on HQ support, including HR, Finance and Health, Safety and Fire. This will provide a revised support offer to account for the increased number of regions and expanded responsibilities for Sentence Management, intervention delivery and commissioning and contract management of specialist local support services.

Enabling People to be their best: Supporting our people

We understand that our staff are critical in the delivery of this new model and our focus is both on ensuring a smooth transition so that staff feel supported, included and engaged with these reforms and implementing longer-term improvements that support staff's professional development and creates a healthier, more diverse and motivated workforce.

Transition of people

We recognise that transition to the new model represents further, significant change for probation staff within the NPS and CRCs. The programme has invested in a dedicated change management function which will ensure that the transition and mobilisation process is well managed. 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. Our focus for Day 1 will be on a smooth transition, focussing on seamless continuity of public protection and rehabilitation in the community with further changes to follow.

It is important for us to balance current operational demands against preparing for the future. We are considering the employee experience of all staff as they move through the transition to the unified model and we are taking account of this in our work with stakeholders; in processes we develop; or in our messaging and materials.

The change management function has been established to explicitly span across all three probation programmes (Reform, Workforce and Recovery). The framework to effective delivery of change focuses on raising awareness through engagement, in order to achieve adoption of the changes leading up to and post June 2021 across the probation system.

We have developed change management principles which define how we have and continue to approach change across the probation system.

- We will explicitly address culture and create a new/merged culture.
- We will assess the cultural landscape by using cultural diagnostics to better understand organisational readiness for change.
- We will prepare for the unexpected as no change ever goes completely according to plan.



- We will speak to individuals as well as the organisation by meeting uncertainty with certainty, being as honest and explicit as possible.
- We will address the human side of change by ensuring this is integrated into our programmes, design and decision making.
- We will ensure the change is led/ role-modelled by leaders at all levels who are aligned and committed to the direction of change.
- We will enable real change to happen on the front line, with dedicated and equipped change leaders across the programme and regions.
- We will confront reality, demonstrate faith and craft a vision which can be customised for different audiences at different points in time.
- We will create ownership not just buy in through distributed leadership with broad influence to support the changes.
- We will ensure that communications is targeted to reinforce core messages through regular, timely advice that is inspirational and actionable.

Part of the role of the function is to ensure we can articulate a clear vision for the future and bring people along with us as we make the changes to deliver a new unified model for probation. A series of engagement tools, including a change narrative, have been developed to support the changes and to support embedding long term culture change. These engagement tools are critical to increase success in achieving adoption of the change, intended benefits and new ways of working. They aim to simplify the complexity of programmes, telling a simple story of what will and won't change, aiding engagement events, promoting feedback

and supporting discussions with leaders and colleagues on what those changes will look and feel like, ensuring they have role in informing and influencing the future. People must feel that change is happening with them to ensure a successful transition and positive culture, not being done to them. We will continue to communicate through the change narrative which will be updated in the lead up to Day 1 and beyond as transition activities become clearer.

We continue to engage on people transition with key stakeholders, including Regional Probation Directors, current employers, staff networks and recognised trade unions. We are also working closely with parent organisations and CRCs to ensure we provide them with the information they need to effectively manage their workforce and supply chain during this period of organisational change and reduce the risk of increased staff attrition during the transition period.

We have defined the scope of transferring services to be either to the HMPPS (NPS) or to the Commissioned Rehabilitative Services provider. Current employers are using these 'service definitions' to determine whether and where their staff are assigned and will be engaging with their staff accordingly. Staff that are assigned will transfer to either HMPPS (NPS) or to Commissioned Rehabilitative Services providers on 26th June 2021.



Transfers of employment to HMPPS (NPS) will be undertaken by way of statutory Staff Transfer Scheme(s), in accordance with the provisions of the Offender Management Act 2007 and supported by the Cabinet Office Statement of Practice on Staff Transfers in the Public Sector, rather than by transfers under the Transfer of Undertakings Protection of Employment Regulations (TUPE). The provisions of the staff transfer scheme(s) will though broadly follow the approach of TUPE.

Transfers of employment to Commissioned Rehabilitative Services providers will be undertaken by way of TUPE, which will protect employee's contractual terms and conditions of employment upon transfer.

Transfer to HMPPS (NPS)

Following the announcement in June 2020 that the probation service would deliver definable interventions under the new model, more staff will be assigned to transfer to HMPPS (NPS) at the end of the CRC contract in June 2021. The number of current employers we need to work with to facilitate this has also increased and now includes CRC parent organisations, CRCs and subcontractor/supply chain. We are working with current employers to discuss the detailed work that will need to be done during mobilisation and up to the point of transfer to enable the smooth transition of staff.

We are preparing business change activity to support transferring staff with appropriate induction and orientation material to help them operate in a new organisation and Civil Service department as well as supporting the creation of a new and unified probation workforce. We are working with subject

matter experts to identify the learning and development requirements needed to support the transition. The requirements will be prioritised, starting with any elements essential in order to operate on Day 1. The priorities for learning to support Day 1 include:

- receiving a warm welcome and corporate induction to the Civil Service, HMPPS and the new probation service
- ensuring staff can access and use the systems (including Corporate IT and relevant corporate system training)
- providing staff with the information they need to support them perform their role from Day 1 and for operational staff at key points thereafter
- enabling staff to continue any professional qualification/apprenticeship schemes they are mid-way through

Post Day 1, further training for all staff will be required and will also need to be prioritised and phased to mitigate the impact on operational delivery. In accordance with the HMPPS Strategy we support an open, learning culture and improving our learning and development offer is a key commitment of the Workforce Strategy (see below). Details of the bespoke alignment training for those who are in roles that within the NPS require a probation qualification will be shared with current employers when they are confirmed. We have and continue to make clear that not having a probation qualification would not prevent a member of staff transferring to the new probation service if they are assessed as in-scope to do so.



Our approach is for as little change as possible on Day 1, other than that which is necessary e.g. implementing the National Agreement. Therefore, on Day 1, changes would only be made where staff would not otherwise be able to work effectively upon transfer. We are working to assess where changes are required to inform our wider workforce planning and preparation. Following transfer, we will work with regions to move from the Day 1 position to the end state model. The time it takes to reach the end state will vary across regions and functions.

A key focus of the Workforce Strategy is attracting and retaining talented people. Retaining skilled staff is, therefore, a key priority and we will continue to work closely with employers and trade unions to support the transition to the future model and minimise disruption.

Transfer to Commissioned Rehabilitative Services providers

Through the assignment activity that current employers are undertaking, they will identify whether their staff are assigned to the Dynamic Framework elements of the future model. The outcome of the Dynamic Framework competitions will then determine which future employer in-scope staff would transfer to.

Once identified, future employers will work with current employers to agree the mobilisation activity and timings required to ensure the smooth transition of staff.

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 a former service user 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 any risk.

Developing our Workforce

Challenges presented by COVID-19 have reinforced that our workforce is critical in successful delivery of probation services and that changes we make to the future system must go hand in hand with supporting our probation staff by investing in the skills, capabilities and ways of working they need to do their jobs to the highest standard. For example, the way in which the probation service innovatively adapted and responded to the pandemic demonstrated how we can work in smarter ways.

[Links to HMPPS Business Strategy](#)

We will enable our workforce to be their best and perform to the highest standard by attracting and retaining talented people, promoting their wellbeing, and providing the skills and resources to equip them for the future.





In July 2020, publication of the Probation Workforce Strategy outlined our ambition for a positive, inclusive and diverse workforce, focusing on the following objectives:

- Promoting wellbeing for everyone.
- Attracting and retaining talented people.
- Supporting and developing our people.
- Creating a more diverse workforce where everyone feels included.
- Fostering confident leaders who inspire and empower others.

Whilst all of the objectives will be crucial to facilitating effective delivery of probation services in the future, delivery of the target operating model is predicated on having the right number of staff in post to manage caseloads (attracting and retaining talented people) with the necessary skills to manage risk, protect the public and help make positive change to people's lives (supporting and developing our people).

Supporting and developing our people: A new model for learning and development

The new model will provide a sustainable, modernised approach to learning and development - allowing us to meet increasing learning and development demand and deliver the professional agenda. This will provide easy access to high quality, practical learning resources that address staff concerns and support day-to-day tasks. Our new model will encourage greater personal responsibility for learning with leaders and managers proactively coaching and mentoring staff to achieve professional standards and personal career ambitions.

It will provide a clear approach for procuring, sourcing, (re-)designing, delivering and evaluating learning products which better understand and address the needs of staff, informed by both learner experience and evidence-based practice.

We are transitioning towards a more flexible and agile approach that leverages modern technology. This will provide our staff with easy access to learning resources and experience, including digital learning resources, that can be accessed at point of need. The digital learning resources will look and feel very different to traditional eLearning. It will include such resources as videos, case studies, templates, how to guides, discussion forums, and checklists. The resources will be informed by learner needs and evidence-based practice and supported by on-going reflective discussions between individuals and their line manager.

Supporting and developing our people: Advisory Panel for Probation Learning⁹

We have established an Advisory Panel for Probation Learning to support the development of a quality, evidence-based curriculum, informed by experts. Embedding external perspectives in both probation practice and learning effectiveness in the model will create a proactive, open and collaborative approach to the design and development of learning for probation.

⁹This was formerly called the Curriculum Authority.



Supporting and developing our people: Practice standards & register

We have started consultation on Professional Standards for probation staff that are strategic, align with the vision for the probation workforce, are useful and demonstrate the professionalism and behaviours we expect from staff. They will be accessible to staff and will sit as umbrella standards above the specific occupational, inspectorate, competency-based and quality standards that already exist. Staff will be clear on how they are expected to use the Professional Standards and how they fit into the wider expectations of them during their work.

We are committed to developing a professional register framework for probation qualified practitioners. The professional register will safeguard standards of practice and increase public confidence in probation services.

Attracting and retaining talented people: Recruitment

We are focussing on recruiting and training increased numbers of probation officers to support the service and caseloads. By June 2021, we will have significantly increased the number of trainee probation officers we recruit each year to support delivery of the target operating model. Indeed, in 2020/21 alone we have committed to recruiting 1,000 new trainee probation staff. In the following financial year (2021/22), we will increase our recruitment even further to 1,500 trainee probation staff.

We are developing a three to five year Recruitment and Retention Strategy, which will help us to support recruitment needs in the coming years. This strategy will enable us to better plan who we recruit and when, and how we support our staff to thrive. By Day 1, we will have reviewed our approach to recruitment of PQiPs and implemented a more streamlined and agile system, which enables us to onboard new recruits into the service quicker. This will help us to grow our staffing levels significantly, creating a varied talent pool and a flexible and innovative recruitment model.

We will have considered a range of different incentives for recruiting in “hard to fill” sites, in both the short- and long-term. This includes running targeted marketing campaigns in those areas to attract more trainee probation officers, which we have done for the most recent campaign. We are also expanding routes into probation, including considering how we might target former service users to provide employment opportunities and build a workforce that better reflects the diversity of our society and those we supervise.



In recognition of the key role employment plays in rehabilitation, the new probation service will work with the New Futures Network, who support prison leavers into employment, to maximise opportunities for current and former service users to secure roles with us. Peer led work, including peer mentoring schemes, are a critical strand of this work. Colleagues who have taken this pathway into employment often have high levels of motivation, and are some of our most engaged and committed staff. Peer support roles provide one to one support to service users in custody and the community; facilitate peer support groups (including for specific cohorts); undertake peer mentoring training and provide co-ordination/line management of front-line peer workers. A national role will be identified to drive development of peer led work across HMPPS, and deliver an evidence based and quality assured approach to peer led activities.

Attracting and retaining talented people: Career pathways

We are piloting an accelerated progression pathway from Probation Service Officer to Probation Officer in four regions and want to diversify our entry pathways, including improving our ability to recognise what prior experience sets people up well for a career in probation.

Development opportunities and career pathways exist which create supportive and resilient leaders at all levels. We will make it easier for people to move internally and provide career pathways that enable us to both retain staff and encourage those who move across the justice system to return to the service with broader experience. This

also includes introducing clear opportunities for career moves and shared learning and development opportunities across partners in government, the voluntary and private sectors, and HMPPS by 2022/23.

Attracting and retaining talented people: Pay

We are continuing to work with staff and trade unions to progress our collaborative work on pay modernisation in 2020/21 and onwards. We are developing proposals focused on improving the overall reward offer available to staff.

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 estate platform for probation services which meets our overall public protection and rehabilitation duties, whilst ensuring good value for money.

The combined estates strategy which will onboard the estates required to run the future probation system will ensure that we have the estate required to meet the future aspirations of the probation service.



Links to HMPPS Business Strategy

We are committed to ensuring our estate is fit for the future delivery environment and provides good value for money for the public.



We will also modernise the estate with £127m of capital funding which will see the creation of 55 new sites which will be developed using the new probation service 'Design Guide', thereby creating modern environments and "Contact centres for the Future" for our staff and service users. We will also deliver £20m of funding to update the existing estate.

We recognise that the estate is made up of a wide variety of buildings (in terms of age, condition, structure and layout) and that is it not in all cases suitably respondent to the needs of our staff or service users. In accordance with our duties under the Equality Act 2010, we have developed an accessibility framework and checklist and assessed our estate against this to help local NPS and CRC leaders determine the best site options for Day 1. Moving forward, we know that there is further work to be done and accordingly, will undertake further assessment of our estate to inform future planned maintenance programmes and how we utilise our buildings.

We will ensure the estate can react and act as a catalyst to the roll-out of smarter working, which will seek to optimise the use of our workplaces and technology to improve productivity and promote a better work life balance for staff. We will be spending £12m over the next three years on

specific activities as part of this, which in practical terms will mean that our staff can benefit from touch down desks and more dynamic workspaces to support improved collaboration.

The estates strategy will oversee four years of transition and transformation of the estate to:

- improve the quality of existing properties and where 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 whilst drawing on the effective working practices arising from new delivery models adopted as a result of COVID-19
- deliver an estate that provides the opportunity to enhance the quality of relationships between supervised individuals and Probation Practitioners
- where possible, encourage (through the design of our estate) collaboration with devolved authorities, including Police and Crime Commissioners, and delivery partners

Our estates strategy has been informed by consultation with operational staff and the aims are for an estate that:

- where possible, supports better integration and partnerships between the new probation service and other local justice partners



- is geographically located to provide reasonable travel time for supervised individuals to access services and to encourage compliance
- enables the maintenance of a clean and hygienic space
- provides for appropriate confidential space for interactions with supervised individuals, and adequate group space or training rooms for the delivery of interventions
- is safe and accessible for all staff and supervised individuals but risk appropriate
- provides value for money and efficiency
- supports Commissioned Rehabilitative Services providers to maximise investment in delivering services by applying a peppercorn rent where there is shared space available for partnership working within the probation estate
- is environmentally sustainable as specified under the Greening Government Commitments Policy
- provides access for the diverse needs of supervised individuals and staff in accordance with the Equality Act 2010 and the nine protected characteristics

Base level requirements for future estate

Bringing the delivery of Unpaid Work, Accredited Programmes and Structured Interventions into the new probation service, alongside Sentence Management, will mean that we transfer most of the estate from existing CRCs. Plans are in place to ensure that we manage this new estate effectively and efficiently in accordance with the principles of the HMPPS Strategy.

Requirements for the future

To support operations in the future, we will be establishing a dedicated Probation Estates Facilities Management Team with increased resource to support ongoing maintenance of our buildings. The programme has also identified a set of base-level requirements and ideal operating characteristics that should form part of the estate solution and modernisation agenda. This will be achieved by four years of extra funding for backlog maintenance to redress a previous lack of funding, targeted estates projects and works to enable the roll out of smarter working. Delivery will be by regional multi-disciplinary estates teams which will, in part, move to business-as-usual to ensure continuity. The base-level requirements and ideal operating characteristics are as follows:

- **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; enhancing the ability to maintain clean and hygienic environments.
- **Health, Safety and Well-Being**
The physical structure enables the maintenance and use of the site in response to infection-related instances (e.g. effective ventilation). Ensure heating and ventilation systems are capable of ensuring an adequate supply of fresh air.



- **Digitally and technologically enabled**

To ensure that the building is provided with the appropriate ICT infrastructure to maximise current and future developments. Facilitate the installation of modern AV peripherals to reduce the need for face-to-face presence in meetings.

- **Secure**

Properties equipped with all necessary security installations for the protection of staff, visitors and supervised individuals.

- **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 Design Guide will establish a number of characteristics that demand a robust and modern estates platform which is COVID compliant and which will provide a blueprint for future Probation Contact Centres by:

- keeping staff and supervised individuals 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 supervised individuals: modern fit-out, and facilities (e.g. soft seating, and kitchenette provision) supported by an effective facilities management provision
- provide the required estate to enable staff to work in a more flexible way and enable the environments which support the health and well-being of staff via appropriate, well-organised and responsive cleaning regimes

- 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 updated 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

Modernising our technology, digital and data services

Probation staff need simpler, clearer, faster digital services to support delivery of the new model. We recognise that this is an area where the NPS has sometimes lagged behind CRCs and that current applications do not meet the needs of users. Instead, front-line staff may have been required to spend a large proportion of their time on basic administrative tasks, rather than being able to add real value as probation professionals.



Links to HMPPS Business Strategy

We will ensure that staff have the right digital tools to support delivery of the new model, thereby enabling them to provide the most efficient and effective service possible and to use data to inform and enhance their professional judgement.



A new digital approach will deliver services for the new probation service, and for Commissioned Rehabilitative Services providers that:

- support more efficient business processes, relieving Probation Practitioners of arduous and unnecessary administrative tasks
- better utilise data to inform professional judgement
- allow more focussed work with individuals to achieve our common business outcomes

- provides a mechanism for supervised individuals to better engage in their sentence and help improve rehabilitative outcomes
- improve support for commissioning as well as the management and performance of the new probation service and suppliers under the Dynamic Framework¹⁰

At the heart of the digital and data strategy for probation (and as part of wider HMPPS plans) is a seamless view of the individual starting in court and continuing through their sentence and rehabilitative journey. This seamless view is enabled by more effectively joining up data on needs and risks with users' rehabilitative outcomes.

How we're delivering these changes

We have adopted an agile approach to delivery. This enables us to test assumptions and prove value early in a product life-cycle, reducing the risk of building the wrong thing that does not meet the needs of users.

A probation service user's journey often involves prison (as part of a custodial sentence). Delivery of new digital services for probation will be aligned with new prison digital services to provide a joined-up approach and in accordance with the HMPPS Business Strategy's aim to act as 'one HMPPS'.

¹⁰ Suppliers under the Dynamic Framework will use new digital services in the delivery of probation services in England and Wales. 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 be available over the internet, removing the need to maintain a secure link via a Public Services Network connection. The vast majority of suppliers under the Dynamic Framework will only require a modern browser to access the new digital services.



Though digital services will be released early and often, they will always meet the needs of their users, requirements of the programme, and government standards. These will continuously be improved to drive efficiencies and improvements across probation. We will adhere to design principles to ensure consistency of delivery, including:

- collecting data only when it is needed and only once
- always testing products and services with users regularly to improve usability and accessibility
- design to support user needs (to achieve their goals)
- services will support behaviours that can be measured and monitored against desired outcomes

These principles will be evident in services that:

- are consistent in look and feel
- have a clear purpose, articulated in an end-to-end transaction
- provide ways for internal and external partners to integrate and share data easily (as appropriate)
- will be iterated on, updated and extended, relatively quickly and efficiently
- can evidence whether they are effective in meeting the objectives and desired outcomes of probation

Data strategy

We recognise the value of treating data as a strategic asset, and the need to establish a strong evidence base that helps us improve service user outcomes, reduce reoffending, protect the public and support our front-line staff. Data can and will give us a better understanding of the needs of individuals, allowing us to better support and manage their rehabilitation by targeting interventions appropriately. Improving the quality of available data will help ensure the right interventions are provided at the right time to the right cohort, resulting in a cost-effective probation service and better outcomes.

[Links to HMPPS Business Strategy](#)

Our open, learning culture recognises the importance of data as a strategic asset which will allow Probation Practitioners to provide personalised and innovative services which promote better outcomes and more efficient use of resources.





Currently, there are some significant evidence gaps that hamper HMPPS and the MoJ in making progress against their core aims. The evidence base has also 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. Additionally, our data model is highly fragmented, slowing down evidence generation and duplicating effort between teams. This impedes data-driven policy and operational decision-making. As a result, over the coming years we want to invest in our data infrastructure to deliver the data we need to answer these questions. We want to radically simplify data access, in part through developing and promoting an analytical platform, so less time is spent finding, joining and cleaning data.

We will simplify data access via digital transformation. We will design our digital services and architecture to collect the right data, make it less onerous to collect, stop bad data getting in, and make it easier to collect together and analyse. We will smooth the transition between our current systems and new services by alerting data specialists within the Data and Analytical Services Directorate to upcoming changes in data flows and data fields so that impacts on ongoing reporting can be identified and communicated.

We can then start to use the latest cutting-edge, ethical data science and artificial intelligence/machine learning techniques to generate insights in real time (across our system) and share these with front-line staff 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, NPS 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 the future, we can continuously develop our evidence base with a combination of qualitative and quantitative methods, and have recommendations made to staff within workflows. This will save Probation Practitioners valuable time which they can spend on higher value activities that contribute to more effective supervision.

By embedding data science in intervention booking systems, we can proactively flag which interventions an individual is eligible for, and provide the evidence underpinning that rationale. This will drive more effective assessment and referrals that are impactful and support changes in behaviour to reduce reoffending.



Data for Policy

Data science can play a critical role to support evidence-based centralised strategic decision making. By speeding up evidence generation, we will enable data-driven policy making cycles. First, we will collect the data necessary to conduct impact analysis. Then, we can model the expected outcomes of key decisions. After an informed decision is made, we can monitor the true impact. If this reveals undesirable or unintended outcomes, we can alter policy or procurement decisions. Where there is insufficient data to make a judgement, we will invest in modifying our digital services to collect it. Therefore, data can be leveraged at every step in the decision-making process to ensure we operate efficiently and effectively.

Digital transformation

Whilst the focus is on designing and delivering new, modern digital services, we will still be reliant on existing systems and infrastructure until 2024, so we will be running existing systems alongside and integrated with, new services.

How we transition from these existing systems which are relied on for ongoing tasks, to new digital services, is key. We plan to build core functionality to replace key tasks as well as hold relevant data and, in the process, erode the functionality of existing systems and their use as a data store. An example of this approach to transformation is interventions. We will build a new digital service to support delivery of services via the Dynamic Framework. Whilst initially this new service will support the Commissioned Rehabilitative Services, we will expand it over the coming years to support other interventions such as Accredited Programmes so that Probation

Practitioners have one digital service to support all their referrals.

The three main systems currently in use by the NPS are:

- OASys: The risk and needs assessment tool used across prison and probation services.
- National Delius (nDelius): Sentence management system and repository of the case record for individuals managed by probation.
- Interventions Manager: a tool used for tracking the delivery and monitoring of Accredited Programmes.

Some changes to these systems will need to be made to support the new organisational structures, payment mechanisms and performance frameworks and reporting, such as new regional models, and some referrals of interventions for Day 1. However, we do not plan to actively develop these systems, and any changes will be made on a needs basis.

A second challenge for digital is to transform the way probation is delivered whilst also supporting a smooth transition for June 2021. To prepare for transition we will learn how CRCs have used systems and applications to support their services and we will utilise this knowledge, as well as the experience of practitioners, in designing new services. We envisage that for some CRC staff coming into the new probation service some workflows may initially not be as simple or as easy to complete whilst we transition to new digital services.



The services we build will be characterised by being usable and accessible for those utilising them; secure; scalable; resilient and responsive. We want to be able to observe and record every aspect of our services to allow us to proactively monitor and correct issues with any future systems. We will also introduce a single view of each service user that connects data across all new and legacy systems and enables standardised recording of what has happened to an individual across the entire justice system.

Digital Delivery: Interventions

We are committed to completely transform the way we refer and manage interventions (Unpaid Work, Accredited Programmes, Structured Interventions and Commissioned Rehabilitative Services). This includes the processes of adding, finding and referring to an intervention, tracking progress and receiving feedback on and evaluating an intervention.

Probation Practitioners will be able to find and refer individuals on to an intervention through a single digital service, as opposed to needing to switch between up to four systems currently. Overall, we will develop one or more digital services that will enable these processes and create a comprehensive, linked and high-quality set of intervention data to be analysed and evaluated continuously on our analytical platform. The results will inform modern data science tools, such as recommendation engines, that will enable Probation Practitioners to send supervised individuals onto the right intervention at the right time.

Digital Delivery: Case recording

We will create a clearer, simpler and faster way for Probation Practitioners to record information, enabling them to focus on priority activities. New digital services will facilitate improved sharing of information between courts, probation and prisons, as well as improved 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 individuals, and transfer cases to the correct providers, whether it be custodial or community.



In early development is a new service that will help staff to prepare a case for sentence. It will automatically populate relevant information about a known defendant into probation systems, ensuring staff have access to all information immediately in one place, rather than needing to search multiple systems. The service will identify and prioritise cases that are likely to require a pre-sentence report and make use of risk, policy and criminogenic need data to provide a sentence recommendation to the court. The overall outcome is to reduce the number of adjournments requested by probation and develop an accurate representation of risks and needs to support a sentence recommendation that protects the public and aids rehabilitation.

Ensuring that individuals are allocated to the correct Probation Practitioner will be a key feature of the new model. To support this, we will build business rules into our digital services to ensure risks and needs of an individual are matched to a Probation Practitioner with the most appropriate skills and experience. We will ensure relevant data is available to all 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.

Digital Delivery: Assessing risks and needs

There are currently many risk assessments undertaken for different types of individuals at different stages of the sentence, resulting in a lot of duplication. Moreover, many risk assessments cannot be updated easily.

We will create a more dynamic, fluid way to assess risks and needs that uses data from case recording and interventions services to automatically update risk profiles and/or to trigger further questions for the Probation Practitioner. This will ensure risk and needs assessment are more accurate at any given time.

As we transform from the existing 'model' of risk and needs assessment in OASys to the newer dynamic model, we will streamline and rationalise the content of assessments by removing duplicative questions and collecting the right data at the right time. This will allow us to build a sentence plan that is appropriate and responsive to an individual's needs.

Digital Delivery: Service user engagement

A key area for transforming probation is the engagement of individuals in their sentence and rehabilitation. Digital has a significant part to play here, as the interface between probation and the service user is increasingly expected to be web-based. Supplementing letters and phone calls, we will aim to provide a service that provides greater clarity to those subject to probation services about where they need to be, when, and why.



The second aim is to provide transparency in the process, so those subject to probation services are able to see what has been decided by whom and why.

Digital services will also prompt Probation Practitioner to engage with those they supervise when necessary. Pre-emptive prompts and flags will be embedded into digital services to empower proactive, rather than reactive, engagement. For example, at its simplest, we could notify staff when key fields change to prompt follow up. At its more complicated, it can be a predictive model that calculates likelihood of not completing an intervention that monitors several factors and produces a flag once a threshold is reached.

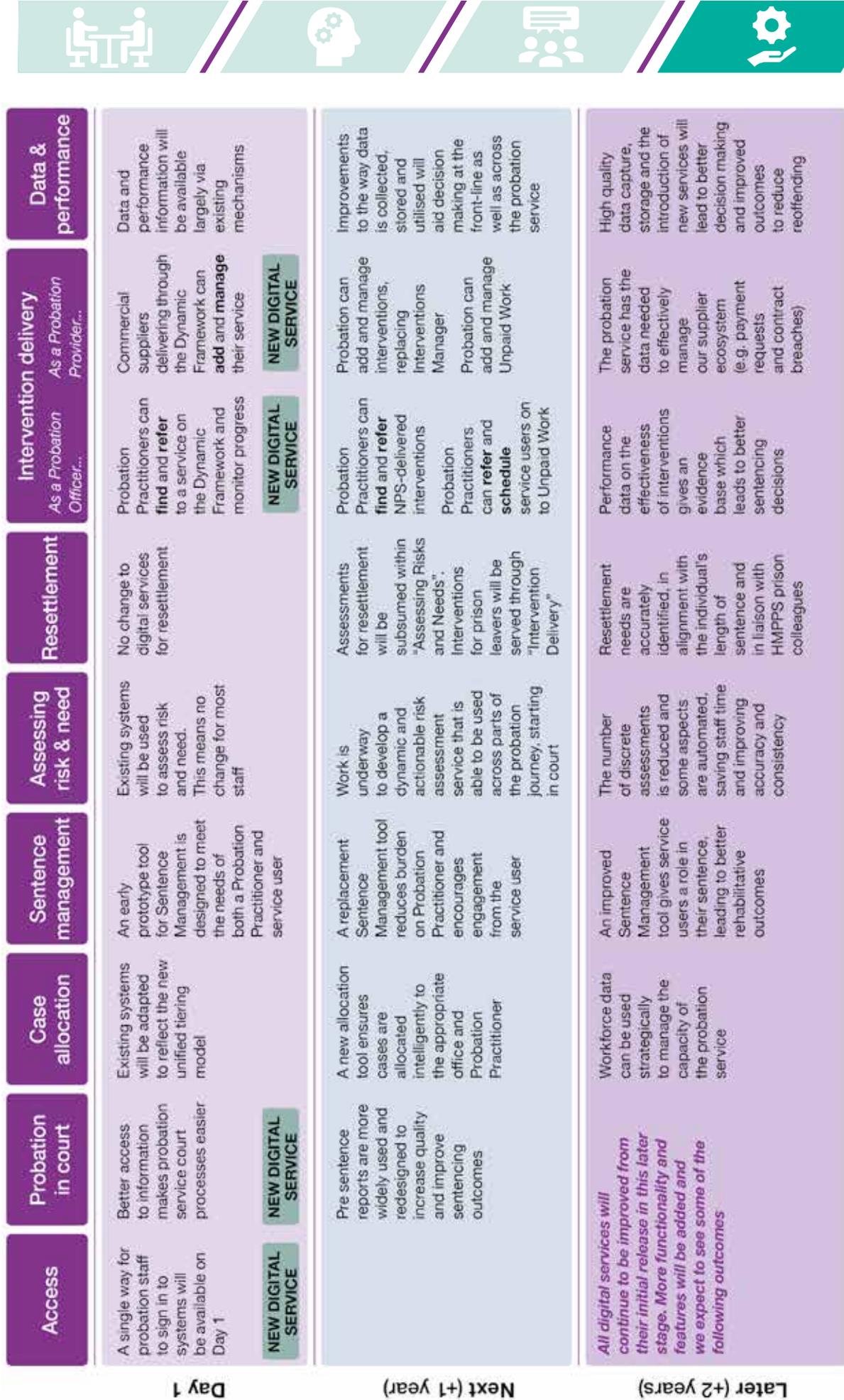
Lastly, we help deliver a sentence plan that supervised individuals can refer to, discuss and agree to follow. We foresee this being used to allow individuals to provide evidence in support of non-compliance, and to feedback on the objectives they have agreed to. This will enable them to better engage and feel as if they are included in the sentence plan process rather than it being something that is done to them.

Improving data quality to support 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 one organisation, creating a central function that will allow for data to be recorded more efficiently and in a standardised format.

This will enable data science products to be developed fairly, and the data collected that relates to protected characteristics will be used to ensure that data science products are developed fairly without reflecting any underlying biases.

Figure 23. An overview of digital functionality on Day 1 and beyond





Improved technology

There has been considerable development of the technology infrastructure on which the NPS relies, to ensure our workforce has access to appropriate, modern and flexible tools to support the delivery of an effective probation practice, including laptops, desktops and tablets; telephony; Wi-Fi; and scanning and printing. In a time when working arrangements have shifted from office to home and remote working, we have been able to shift smoothly between these, and this technology investment has provided organisational resilience which incoming staff will benefit from. We recognise that by bringing CRC staff onto the MoJ Platform we will be enhancing the IT provision for most of these users and adding them to a single Justice platform will allow full collaboration with the prison services and HMCTS.

Commissioned Rehabilitative Services provider access to Authority System

Commissioned Rehabilitative Services providers will use the new digital services currently under development. These services, known as the Authority System, will be used to manage delivery, and provide the probation service with information from providers on available interventions.

During the implementation period successful bidders will be expected to ensure that their own infrastructure, hardware and any additional software is ready and meets applicable security requirements. User devices connecting to new digital services through modern browsers will support core business processes in delivering the services. Access to these digital services, and data needed

for suppliers to provide Commissioned Rehabilitative Services, will be managed by the Ministry of Justice.

By requesting complete, timely and standardised data from Commissioned Rehabilitative Services providers, the Ministry of Justice will be able to undertake fully informed commissioning. Continual evaluation of suppliers, used to inform commercial decision making, will incentivise positive provider behaviours and identify successful innovations that we can learn from. Developing a rich evidence base will allow commissioners to understand which providers and programmes best address the needs of specific service user cohorts. In this way, we can use the marketplace to drive up quality and service user outcomes.

The Ministry of Justice will provide support for users of the new digital services and will continue to engage with providers on the ongoing improvement and future development of these.

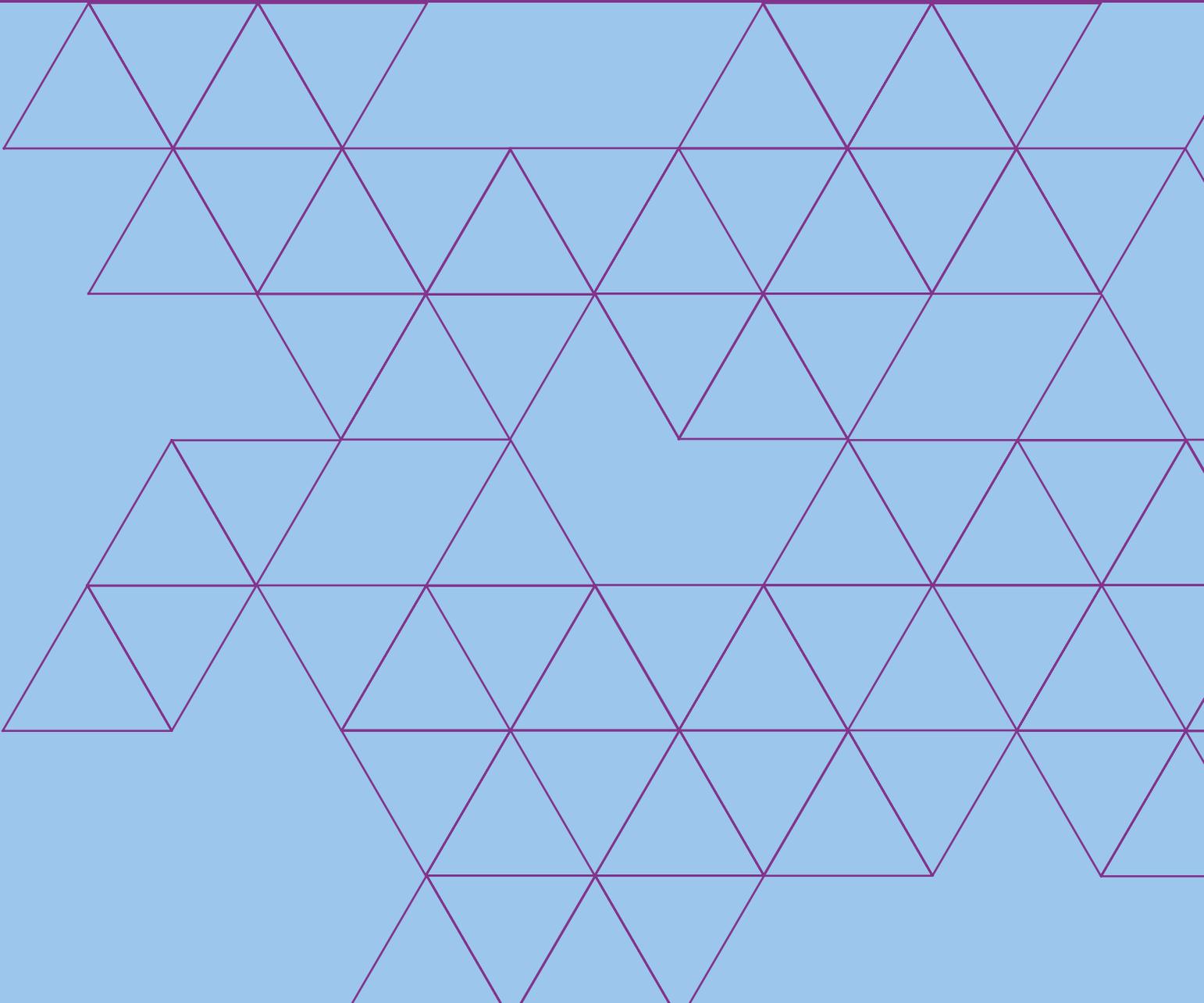
Information security

We will ensure compliance with relevant data protection legislation. Where suppliers' systems and infrastructure are processing, storing or transmitting Authority data, the Authority will require assurance that providers are following National Cyber Security Centre, Authority and cyber security commercial best practice. Suppliers using the Authority's Systems 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.



Annex A

Evidence and effective
probation Practice



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

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 service users
- staff engagement
- performance data
- audit and assurance information
- information and evidence from scrutiny bodies (e.g. [HMI Probation Academic Insights](#))

Evidence for effective probation delivery

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

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.
- Diverse 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 only 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 and/or fear) 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 techniques, 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.

Supervision skills then focus on helping the person to change. That is, a person won't necessarily change just because they have a relationship with a supervisor. They may need to learn new ways of thinking, new behaviours and problem-solving techniques.

Studies of the way practitioners engage with individuals indicate that certain skills, such as motivational interviewing and cognitive restructuring, can enhance behaviour change. Such practice requires staff training and an organisational culture that puts the learning needs of practitioners and supervised individuals 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 licences¹¹.

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:

- Focus on change and criminogenic factors rather than relying solely on monitoring and addressing problems raised by the individual.
- Informed by principles of [risk, need and responsivity](#).
- Accompanied by participation in structured treatment programmes.
- Involves strong, purposeful relationships between supervisor and supervised.
- Staff skilled in techniques such as motivational interviewing and cognitive behaviour therapy.

¹¹ In response to this, the Irish Probation Service decided to introduce the Irish Offender Supervision Framework – further detail can be found here: <https://www.pbni.org.uk/wp-content/uploads/2020/11/IPJ-Vol-17-full-pdf-compressed-002...pdf#page=26>

- 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 24. 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, [w](#) 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.

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. Responsivity is also about adapting approaches to respond to people's individual circumstances, abilities and strengths.

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, reduce reoffending and promote the 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 currently 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 A, Part Two.

Effective Interventions Panel

A national Effective Interventions Panel will be established to provide assurance that Structured Interventions are being designed and delivered in line with evidence-based principles for effective interventions.

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.

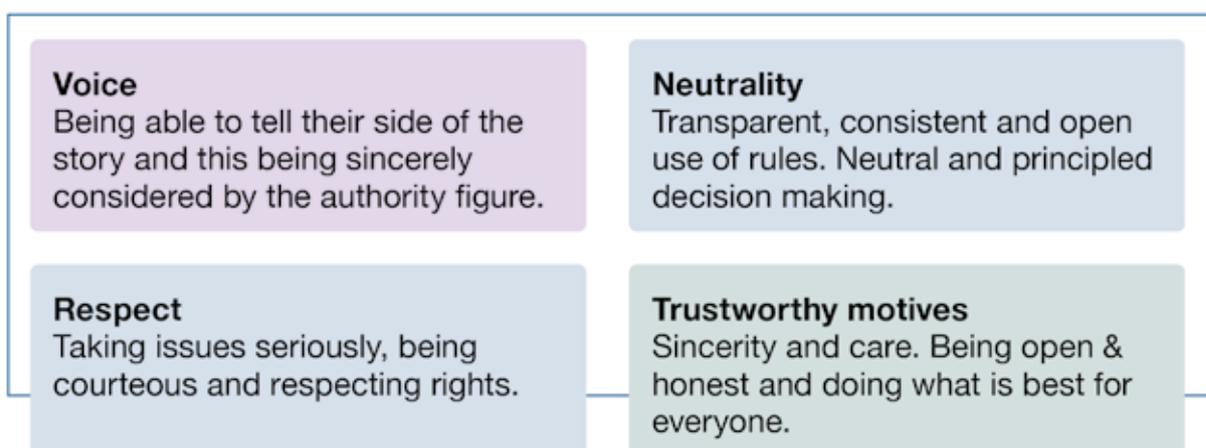
Procedural justice starts from the first contact between probation and the

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 25: 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.

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.

Duwe (2017) set out that to maximise the chance of success, interventions should be part of a holistic approach which includes good supervision and help with practical issues like housing or employment (Raynor and Maguire, 2016). Supervision by a skilled practitioner will help the person to practice, embed and maintain the skills they have gained from the intervention. Likewise, research shows that people are more likely to make the most of new “resettlement” opportunities such as finding a job or keeping a tenancy if they have first addressed their offending behaviour, thinking, and attitudes.

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 the quality of both the design and the delivery of programmes makes a significant difference to outcomes. They are most effective when they are properly targeted and provided within a prison or probation culture that supports rehabilitation and staff development and are delivered by staff who are properly trained. The activity should also be quality assured. Programmes are also more likely to work if they are offered as part of a package of rehabilitative activity and support, which includes supervision by a skilled practitioner and help with practical issues such as finding a job or accommodation.

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

- The intended outcome of the activity aligns with the evidence on what works to reduce reoffending, promote desistance and protect the public.
- There is a credible rationale for how, why, and for whom, the activity will work.
- The activity should have a structure that allows it to be replicated.
- There is a selection process so that the activity is targeted at appropriate individuals.
- The activity should be designed to equip individuals with useful skills while aiming to ensure that no-one will be disadvantaged or harmed.
- The activity is quality assured to ensure it is delivered as designed.
- 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.

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:

- are evidence based and/or have a credible rationale for reducing reoffending or promoting desistance
- address factors relevant to reoffending and desistance
- are targeted at appropriate participants
- develop new skills (as opposed to only awareness raising)
- motivate, engage and retain participants.
- are delivered as intended by staff with appropriate skills and quality assured
- are evaluated

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.

Involves strong, meaningful relationships between supervisor and supervisee

Supervision is not a process done to a supervised individual. It is more complex, and the nature of the relationship between practitioner and supervised individual 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.

- 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.

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.

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.

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 A, Part Three, 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.

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 service users to develop 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 probation 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 one training for managers.
This supports the supervisory and line management meetings framework.
- SEEDs2 Part Two training for practitioners.
This builds on SEED components with additional content such as procedural justice and emotional labour.

Engagement of supervised individuals

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 service users) 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 A, Part Four). 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 A – Part Two: information about equalities, proportionality and parity of access to services

Annex A, Part Two provides information on evidence-based approaches for working with individuals with protected characteristics and vulnerable groups. People convicted of crime may have multiple protected characteristics and/or vulnerabilities. In addition to planning services around the multiple needs and challenges faced by the individual, probation staff should also be mindful of the interacting effects that these needs and protected characteristics may have on a person's experience and access to support. That is, people will not all experience inequalities and challenges in the same way, and what works well for one person may not feel relevant for another.

1. Black and Asian people and people of other minority ethnic groups

Black, Asian and Minority Ethnic (BAME) people are overrepresented in the criminal justice system. They make up a greater proportion of the criminal justice population than of the general population in England and Wales.

Research is limited, however, there are available studies that indicate some promising approaches to making services more responsive to the needs of BAME individuals.

Barriers to effective treatment for BAME people may interfere with them starting, completing or engaging with services. Barriers could include:

- experiences or fear of racism or discrimination
- the perception (and possible reality) that the intervention will not be culturally relevant

Research suggests the idea that therapy, or 'treatment', is a predominantly white construct, in some cases with no cultural equivalent. This suggests that some BAME people may feel treatment is not accessible or relevant to them. They may fear they will be misunderstood or judged by others' standards and expectations.

Whilst correctional interventions that are not culturally adjusted or BAME-specific can benefit BAME people in prison and on probation, BAME people can feel isolated and misunderstood in these interventions. Some studies suggest that this may be overcome by treatment that is:

- culturally aware, sensitive and inclusive
- delivered by culturally aware and sensitive staff
- delivered by staff from similar ethnic backgrounds to service users

There is early evidence that a strong sense of cultural identity and pride is associated with greater reductions in substance misuse among young people. Explicitly recognising and encouraging cultural identity could be a promising approach to making rehabilitative services more responsive to BAME people.

[More information is available at: www.gov.uk/guidance/black-and-minority-ethnic-service-users-effectiveness-of-rehabilitative-services](http://www.gov.uk/guidance/black-and-minority-ethnic-service-users-effectiveness-of-rehabilitative-services).

2. Young adult males

Young adult men are at higher risk of any proven reoffending and of violent proven reoffending than older adults. They also respond differently to services, systems and interventions. The paper 'Better outcomes for young adult men' synthesises the evidence to identify the priority needs for young adult men and guidance on the most effective or promising ways of addressing each of these.

While current legislation defines young adults as those aged 18 to 20, young people continue to mature both psychologically and socially up until their mid-twenties. The same approaches are therefore likely to apply to many adults over 20 and particularly those aged under 25. 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.

Evidence suggests the following approaches work well with young men:

- Structured programmes to enhance thinking skills and regulate emotions – these include, cognitive skills and anger management interventions.
- Services that provide extra support and structure for the transition from prison to community.

- Interventions designed to strengthen family bonds.
- Stress management interventions such as relaxation or mindfulness training.
- Education.
- Employment training and help in finding employment.
- Activities that encourage people to take responsibility and build a positive identity. These include taking on peer support roles.
- Restorative Justice via victim-offender conferencing (for property-based crimes) In addition, we would expect that psychosocial maturity training could help staff develop and apply effective skills to relate, respond to and coach young men.

Women mature at a different rate and manifest maturity in different ways to men.

See www.gov.uk/guidance/young-adult-male-offenders

3. Women convicted of crime

The best available evidence suggests gender and trauma informed interventions that address risk factors for reoffending are most effective in reducing women's reoffending.

A study of the risks that are associated with reoffending found that while the same risk factors exist for both women and men, for some issues, the link with offending will be a little stronger for women or for men. Class-A drug use and binge drinking are more strongly linked to reoffending for women than for men. Furthermore, binge drinking, lack of closeness with family, and poor temper control were all more influential in predicting violent reoffending for women than for men.

The most prevalent needs for women and men (which are not always associated with reoffending) are the same. These are poor problem solving, impulsivity and unemployment. There is, however, evidence that gender-responsive interventions (particularly cognitive-behavioural programmes) show more promise than gender neutral approaches. A gender-responsive approach may include creating programme content and material that reflects the realities of women's lives and addresses the issues of the participants.

In 2018, the Ministry of Justice published a [female offender strategy](#) which launched a new programme of work to improve outcomes for women convicted of crime . 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.

Guidance on priority areas for interventions are outlined in the [Better Outcomes for Women Offenders](#) guidance. They are:

- Stabilise and address substance misuse, in particular class A drug use and binge and chronic drinking.
- Address mental health problems, particularly through access to services. In particular anxiety and depression, personality disorder, post-traumatic stress disorder, and trauma.
- Help women to build healthy and supportive family relationships, especially with their children, including a focus on attachment and affection.
- Build skills in emotion management to control impulsive behaviour and destructive emotions.
- Help women to find somewhere safe to live, to learn how to manage their money, access education, and improve their employability.
- Help women to develop a positive, non-criminal identity, encouraging them to do good for their community or for others, and using this to change the way they describe themselves.
- Help women to believe in their ability to control their lives and have goals.

For more information see <https://www.gov.uk/guidance/women-convicted-of-crime>

4. Learning disabilities, difficulties and challenges

A learning disability is a reduced intellectual ability (an IQ of less than 70) and difficulty with everyday activities (for example household tasks or socialising) which affects someone for their whole life. A learning **disability** is different from a learning **difficulty** as a learning difficulty does not affect general intellect. There are many different types of learning difficulty, some of the more well-known are dyslexia, attention deficit-hyperactivity disorder (ADHD), dyspraxia and dyscalculia. It is not uncommon for people to have both learning disabilities and difficulties.

There is no shared definition of LDD across government agencies which makes calculating the number of people with LDD in the criminal justice system difficult. In 2018, the Ministry of Justice estimated 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. The term ‘learning challenge’ is used when a person has an IQ of between 70 and 80 and so would not meet the diagnostic criteria for a learning difficulty, but who nonetheless may still have challenges with learning and managing day to day. This estimate does not include those with learning difficulties.

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.

Making reasonable adjustments and providing support to people with a learning disability, difficulty or learning challenges can help them to engage in their sentence and cope better with day to day life. Examples of how to do this include:

- providing opportunities for staff to develop an understanding of what LDD is, how they might identify it, and what to do to support individuals
- providing written information in easy-to-read formats, using plain English and simple sentences. For instance, using three simple sentences rather than one complex one
- communicating verbally in a clear way using straightforward language and asking people to reflect back their understanding of what has been communicated to them. Explain things one step at a time rather than expecting people to remember a sequence of steps
- recognising that some individuals, particularly those with Autism, may find noise, heat, light, the feeling of clothing etc. difficult to tolerate. This may be an underlying factor in what might seem like disruptive behaviour
- reducing anxiety about new situations and change, which some individuals with Autism and other LDDs experience, by using tools like visual diaries and storyboards which explain what will happen
- recognising that some people may struggle with basic day to day activities including being in the right place at the right time, cleaning and self-care. Don't punish them for this but find ways to help

There is a [toolkit available](#) for probation and prison staff to help them make services work for people with learning disabilities and challenges.

5. Lesbian, Gay, Bi-sexual, Trans, Intersex and other sexuality, sex and gender diverse people (LGBTI+)

It is difficult to accurately establish the number of LGBTI+ people currently under supervision in probation. Evidence suggests that many people may be reluctant to disclose their sexual orientation or gender identity due to fear of victimisation or discriminatory attitudes from others, including staff. There are also difficulties in establishing clear and agreed definitions, as sexual orientation, unlike race or gender, is not a category that is frequently or consistently used in official surveys. However, evidence indicates that the number of LGBTI+ people in the criminal justice setting is at least similar to their proportion of the total population. International research is far more uniform in finding that transgender individuals are typically over-represented in the criminal justice system.

Much of the research that exists on the experiences and needs of LGBTI+ people in the criminal justice system is small scale and exploratory in nature. Better monitoring and more research is needed. However, this must be done carefully and respectfully. Staff should be trained about the purpose of collecting monitoring and research data and how to ask the question; and be clear about how this information will be stored and used.

The available research points to some promising approaches for making rehabilitative services more responsive to the needs of LGBTI+ people.

Key to this is providing information, training and/or guidance to staff so that they feel confident in working effectively with LGBTI+ people, and particularly in raising issues of gender identity and sexual orientation where this is relevant to providing necessary support. For example, considering the needs of a trans person if advising on a custodial sentence at the Pre-Sentence Report stage.

Other approaches include:

- referring to the individual using their preferred gender pronouns and name
- considering the additional barriers LGBTI+ people may face during supervision and resettlement, will enable more responsive interventions. Barriers may include; rejection, social isolation, discrimination and harassment, which can present obstacles relating to social contact with family/friends, employment, education, accommodation, healthcare and other services
- making interventions relevant to LGBTI+ people, for example by making changes to course materials so that sexual orientation and/or gender identity is recognised and included
- in some cases, providing access to specific services that can understand the person's LGBTI+ identity

- considering the sequencing of interventions if an individual is going through a gender reassignment process, recognising that this is a complex, stressful and life changing event which could impact on the person's psychological capacity to engage in an intervention
- making LGBTI+ culture more visible within probation services
- encouraging staff to be reflective of their own beliefs and biases and take responsibility in educating and learning about this population

6. Information on vulnerable groups

6.1. Traumatic brain injury

A Traumatic Brain Injury describes a disruption to the normal functioning of the brain, which is usually caused by some external force – most commonly falls, road traffic accidents, being struck by/against objects, and assaults. Most are mild, with minor symptoms which usually go away after a few weeks. More severe injuries can lead to cognitive and developmental difficulties. Often there are changes in personality, typically with impulsiveness, poorer temper control & social skills. Experiencing several, more minor, TBIs can have a similar impact as having one severe injury.

There is a relationship between TBI and criminal, violent behaviours, imprisonment and recidivism. TBI raises the likelihood of committing crime for both men and women. People with more than one TBI have higher rates of criminality. TBI also often occurs alongside other problems, like drug-use, and mental health issues.

TBI should be referred to in pre-sentence reports so it is considered in decision-making about individuals. Where TBI is indicated by an initial screening it should be referred for further assessment by Healthcare professionals.

Talking about a person's TBI and its effects can help people understand their own behaviour. Seeking guidance from G.P.'s, Clinical and/or Forensic Psychologists can help with this.

People with TBI often have problems with memory, planning and managing emotion and so can be hard to manage. Sanctions and punishments will not work. People with TBI need help and coaching to manage their feelings and experiences. The Disabilities Trust Foundation [provides tips](#) for working with adults after a brain injury. These include:

- giving simple written guidance as well as verbal
- focusing on short term goals and breaking down objectives into steps
- providing extra time for decision-making, using memory aides like diaries or pictograms
- providing regular 'brain breaks' in between longer sessions to distract people

For more information see <https://www.gov.uk/guidance/traumatic-brain-injury-in-the-prison-population>

6.2 Personality disorder

Personality disorder is a complex bio-psycho-social disorder. Personality disorders develop as a result of interactions between biologically based vulnerabilities, early experiences with significant others, and the role of social factors in buffering or intensifying problematic personality traits.

People with personality disorder often display unusual or extreme behaviour traits. 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, but affects between 60 to 70% of people in prison and about 30-50% of those accessing probation services (although by far the majority of cases are undiagnosed).

It is important that criminal justice staff understand personality disorders and how to support people. [A Practitioner Guide](#) for working with people in the criminal justice system showing personality difficulties provides pragmatic approaches and advice. Tips include:

- To understand personality disorder you have to take a history. Consider the interaction between biological features and genetic inheritance, early experiences with significant others, and wider social factors.
- Avoid confronting core characteristics (things that were apparent from an early age and are difficult to change) head-on, and focus efforts on secondary characteristics (behavioural traits) first.

- Focus on building a strong relationship with clear boundaries: try to maintain a tolerant and patient longer term relationship with the individual, with creative options for communication and rapport-building.
- Using psychological ideas to inform management can be highly effective. E.g., consider how early experiences may play out in current behaviour and relationships.
- Rule breakers should be given few rules to break. Pick your conditions carefully. Focus on those characteristics or problems most likely to lead to failure, and those which most worry the individual.
- Look after yourself. Seek psychologically informed supervision and support, take time out to reflect, be realistic about change, and celebrate real success.

The [joint NHS and HMPPS Offender Personality Disorder \(OPD\) strategy](#) was launched in 2011. Now eight years into implementation, the OPD programme has identified over 30,000 people who might satisfy a diagnosis of 'personality disorder'. The programme has improved the identification and assessment of people who are likely to have personal difficulties and, since 2011, has tripled the number of treatment and progression places in prisons, approved premises and in the community. Treatment and management is psychologically-informed and led by psychologically trained staff in HMPPS and the NHS.

For more information see:

<https://www.gov.uk/government/publications/working-with-offenders-with-personality-disorder-a-practitioners-guide>

<https://www.england.nhs.uk/commissioning/wp-content/uploads/sites/12/2016/02/opd-strategy-nov-15.pdf>

6.3 Care experienced people in prison and probation

We use the term care experienced people to describe anyone who has spent time in care (including foster care, adoption, legal guardianship and children's home) regardless of age, duration and whether they meet the legal definition of a 'care leaver'. A 'care leaver' is a legal definition for someone who has spent time in the care of the local authority for 13 weeks or more which includes their 16th birthday.

Whilst the majority of people who have experienced care do not commit criminal offences, those who have been in care are more likely to have a criminal conviction, and may have experienced unnecessary criminalisation (where the criminal justice system is used for resolving issues that would ordinarily fit under the umbrella of parenting).

When compared to the generic offender population, the needs of care leavers emerge as more pronounced, particularly in relation to accommodation, education, training and employment, relationships and emotional needs. Unlike many young people, care leavers often do not have the emotional, financial and personal support of parents and other family members.

There are ways that probation services can improve outcomes for people who have experienced care.

For those aged under 25, identify whether the individual is entitled to services as a care leaver and ensure responsible Local Authorities engage in planning processes. Complex legislation can make identification difficult. Sentence plans should include actions to help young care leavers obtain and benefit fully from any additional support that is available from Leaving Care services. A local authority also might be able to provide details of other organisations that can provide support.

Individuals should also be helped to address some of the potential disadvantages of their care experience. Potential disadvantages include: a lack of support networks (family/friends); becoming institutionalised; low educational attainment; poor practical skills required for living independently; absence of positive role models; low self-esteem; and a sense of abandonment and loneliness. Care leavers can also have a lack of trust for others, often due to a lack of affectionate bonds with adults in childhood.

Showing optimism that the individual can turn their life around and offering hope for the future are also important.

For more information see: <https://www.gov.uk/guidance/care-leavers-in-prison-and-probation>

6.4 Experience of domestic abuse of people in prison and on probation

Domestic violence and abuse is a major concern in England and Wales. Two million adults reported being a victim of abuse in 2017/18. Of these, 1.3 million were female and 695,000 were male. Similar rates of abuse are recorded internationally.

The cross-government definition of domestic violence and abuse is any incident or pattern of incidents of controlling, coercive, threatening behaviour, violence or abuse between those aged 16 or over who are, or have been, intimate partners or family members regardless of gender or sexuality. The abuse can be, but is not limited to: psychological, physical, sexual, financial and/or emotional.

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:

- Provide the opportunity to disclose abuse.
- Provide the opportunity to ask for and receive help and support.
- Ensure they receive a sensitive and safe response.
- Recognise and meet the safeguarding needs of children affected by domestic abuse.

- Referral and support to access appropriate services to meet needs.

Appropriate services that may further support this cohort include:

- advocacy services which help explore and access services in the community and identity and achieve personal goals. These can improve well-being and reduce chances of physical re-abuse of those who have suffered domestic violence
- short-term trauma-focussed counselling or cognitive-behavioural approaches to treating trauma, which can improve the health of survivors of domestic abuse

More information is available here: <https://www.gov.uk/guidance/experience-of-domestic-abuse-in-people-in-prison-and-on-probation>

6.5 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.

The majority of research is about women sex workers. A smaller number of studies look at health outcomes of male sex workers. It is recommended that similar advice applies to the provision of services for men.

Integrated, person centred, and holistic services are effective when working with this cohort. These are highly valued by those at risk and help promote and sustain their engagement. Holistic approaches address individual, varied and complex needs.

These services include:

- housing
- parenting
- relationships
- trauma recovery
- financial management
- independent living
- legal advice
- physical and mental health issues
- drug and alcohol counselling
- reintegration into the community

Integrated approaches to managing substance abuse and trauma appear to be effective. Compared with sequential or parallel treatment, integrated approaches may be more effective in:

- reducing trauma symptoms
- retaining women in treatment
- reducing risky sexual behaviours
- improving mental and physical health

We know that it is important to treat trauma-related symptoms for sex workers recovering from substance misuse problems. It is also important to provide services that help individuals ready themselves for and access relevant services, rather than just signposting to other services.

[More information is available here: https://www.gov.uk/guidance/sex-workers-convicted-of-crime](https://www.gov.uk/guidance/sex-workers-convicted-of-crime)

6.6 Former armed service personnel in prison and on probation

Government statistics estimate approximately 3.5% to 4% in custody and on community orders are ex-armed service personnel (ex-ASP). But external estimates have reported that the proportion of ex-ASP in the prison population range from 3.5% and 17%.

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.

Ex-ASP who come into contact with the criminal justice system differ from those who have not served in the armed forces. They have different health and wellbeing needs and offending behaviour patterns. Ex-ASP can experience stigmatising beliefs from learned military conduct and mutual reliance. These can hinder help-seeking behaviours.

A small study of ex-ASP in prison found social isolation was frequently experienced after leaving the armed services. Extreme social exclusion experienced by some veterans' on leaving service has also been found. This was often due to the reduced support network available.

- 71% of ex-ASP on community sentences reported problems adjusting to life outside the military.
- 53% of ex-ASP with problems adjusting, felt part of the military but not civilian community.
- 42% did not feel part of either community.

It is becoming increasingly accepted that ex-ASP respond to and are motivated to engage with armed service specific services and activities and/or staff who are ex-ASP themselves or show an understanding of military service.

The following can also improve outcomes for ex-ASP in custody and under community supervision:

- A mental health assessment.
- Access to education and resettlement services.
- Access to alcohol misuse services.
- Mentoring services provided by ex-ASP charities.

More information is available here: <https://www.gov.uk/guidance/ex-armed-service-personnel-in-prison-and-on-probation>.

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Annex A – Part Three: Organisational approaches to supervision skills – examples from international practice

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%).

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).

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 A: – Part Four: HMPPS Service User involvement and engagement: Standards of excellence and evidence

HMPPS Service User Involvement and Engagement Standards of Excellence and Evidence		
	Standard	Evidence (to include evidence from Operational Assurance, HM Inspectorate of Probation etc.)
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 panning and review.	<p>Staff training, development, and supervision methods explicitly include skills and experienced needed to successfully involve service users in their sentence planning and review.</p> <p>Evidence of opportunities for service users to be directly involved in staff recruitment, training and development are actively explored, and realised.</p>
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. Ensuring service users contribution to their sentence planning and review

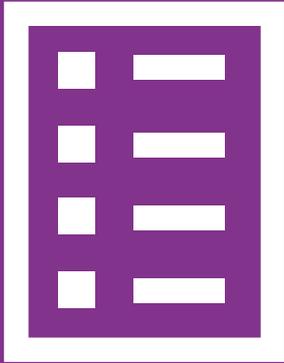
2.1	Robust methods for securing good insight into the needs of service users are in place and used regularly.	Evidence of regular use of meaningful opportunities to gain service user insight, such as use of focus groups, one-to-one interviews, surveys, observation, service user journey mapping and other 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.

3. Involving service users in key stages of service design, development and delivery

3.1	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>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>
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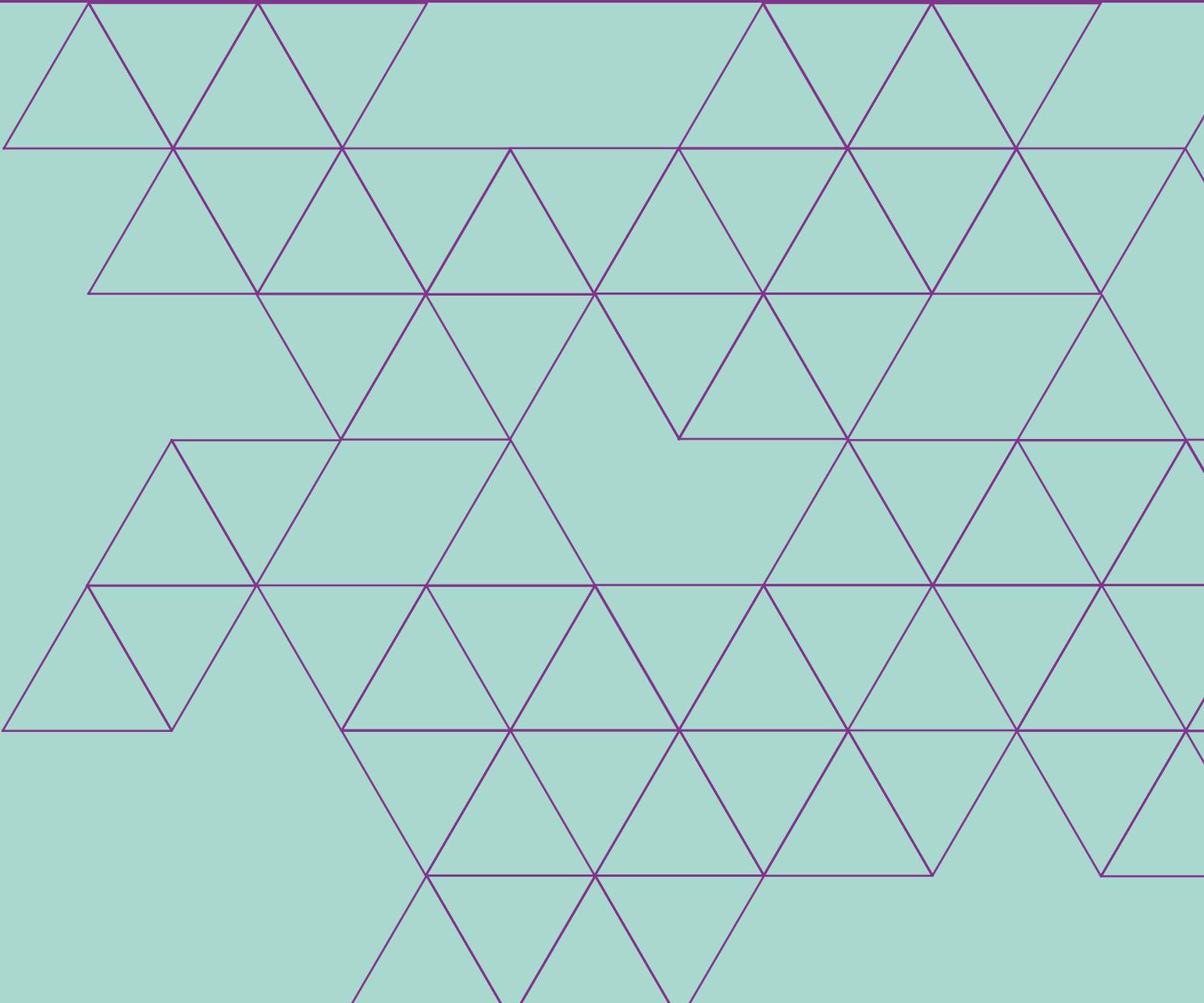
3.2	<p>Opportunities for service users to assist with service reviews and development as well as opportunities to co-deliver services are actively sought and realised where possible.</p>	<p>Service users are demonstrably encouraged and supported to participate in service review and development work.</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>

B



Annex B

Glossary



Annex B – Glossary

Accredited Programmes	Evidence-based interventions which are normally delivered in a groupwork setting and comprise a specified number of sessions to be delivered in a prescribed manner. They are used as part of a community order, or in prisons or as licence requirements, and each Accredited Programme is targeted against a specific type of offending behaviour (such as violence or domestic abuse) or a specific need (such as alcohol misuse or drug abuse).
Approved Premises	Residential units (formerly bail and probation hostels) run by the NPS, primarily used in the management of service users who present the highest risk of harm.
Authority	The Ministry of Justice on behalf of the Secretary of State for Justice.
Authority System	New digital services developed to support recording and delivery of probation services.
BASS	Bail Accommodation and Support Service – provides suitable accommodation in a variety of locations in England and Wales for those who would otherwise be held in prison (for example, those who might only be remanded in custody or not released due to a lack of suitable accommodation).
Clinks	An infrastructure organisation which supports, promotes and represents the voluntary sector working with people in the criminal justice system and their families.
Commissioned Rehabilitative Services	Rehabilitative and resettlement interventions delivered by specialist providers and largely procured via the Dynamic Framework.
Community Offender Manager/COM	A Probation Practitioner delivering under the OMiC model who is based in the community – as distinct from a Prison Offender Manager (also known as a POM).

Community Sentence Treatment Requirement/CSTRs	Community sentences issued by courts where the offender has consented to complete treatment for mental health problems, drug and/or alcohol misuse problems. Treatment will have been arranged as part of the sentence and can last for a maximum of three years as part of a Community Order, and for a maximum of two years as part of a Suspended Sentence Order.
Community Rehabilitation Companies/CRCs	19 (originally 21) companies who successfully competed to deliver probation services to low and medium risk of harm offenders in specific geographical areas.
Concentrators	Probation Practitioners who champion specific considerations in dealing with particular cohorts (e.g Women or young people).
Correctional Services Accreditation and Advice Panel/CSAAP	A panel of independent, international experts who assess programmes against the principles of effective interventions – where programmes meet these principles, they become Accredited Programmes.
Day 1	26th June 2021, the day of the transfer to the new unified model following the end of CRC contracts.
Design Guide	A guide which details characteristics expected of the new probation estate.
Desistance	A term to describe the process by which people with a previous pattern of offending come to abstain from crime. Desistance research focuses on individual lives over time to understand all the different factors (including but not limited to programmes) and common patterns experienced by people in their desistance journeys.
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 supervised individuals. Call-off competitions will be run to source specific Commissioned Rehabilitative Services.
Effective Interventions Panel/EIP	A panel set up at national level which will agree which RARs meet the criteria for being delivered as Structured Interventions and can be made available to RPDs for consideration of delivery in their regions.

Electronic Monitoring/EM	Also known as ‘tagging’, this is an approach used in England and Wales to monitor curfews and conditions of a court or prison order. A person subject to Electronic Monitoring will be given a tag, and if they breach their conditions they may be taken to court. A court may then change a person’s condition, including by taking them back into custody.
End of Service Report/ESR	A report completed by the Commissioned Rehabilitative Services provider at the end of service delivery which outlines the progress an individual has made, outcomes achieved and a move-on plan.
Enhanced Through the Gate/ETTG	An improved version of the ‘Through the Gate’ policy launched in 2015, which was intended to bring about a step change in rehabilitation by rolling out new services in prisons to prepare prisoners for release and resettlement. Successful approaches from ETTG will be retained in the new approach to resettlement.
Equalities Monitoring Tool	A tool developed to analyse key metrics and identify any disparities in probation service delivery and outcomes for those with protected characteristics.
EQuiP	A system that provides processes, advice and guidance to probation staff to support them in carrying out their work.
GMCA	The Greater Manchester Combined Authority – the 10 Greater Manchester councils and Mayor, including the Deputy Mayor for Policing and Crime (equivalent to a Police and Crime Commissioner).
HMCTS	Her Majesty’s Courts and Tribunals Service – an executive agency of the MoJ responsible for the administration of criminal, civil and family courts and tribunals in England and Wales.
HMIP	Her Majesty’s Inspectorate of Probation – an independent body tasked with inspecting the work of probation providers and Young Offender Teams.
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 the Prison Service and the Youth Custody Service).

Individual/Supervised Individual	Means a person currently subject to a community order, suspended sentence order, licence on release from prison and post-sentence supervision.
Integrated Offender Management	An approach which brings a cross-agency response to the crime and reoffending threats faced by local communities. The most persistent and problematic offenders are identified and managed jointly by partner agencies working together, with the aim of improving the quality of life in communities by reducing the negative impact of crime and reoffending, reducing the number of people who become victims of crime, and helping to improve the public's confidence in the criminal justice system.
Interventions Team	Each of the 12 regions will have an Interventions Team which will be responsible for the delivery of Unpaid Work, Accredited Programmes, approved Structured Interventions, and Senior Attendance Centres.
Management Oversight Touchpoint model	A Sentence Management tool that utilises consistent mechanisms for recording of management oversight and decision-making.
Multi-Agency Public Protection Arrangements/ MAPPA	A partnership arrangement which requires statutory justice agencies to cooperate in the management of offenders posing the highest risks of harm.
NPS National Security Division	A specialist Division of the NPS which will provide an enhanced level of management and intervention for the most high-risk, complex and high-profile offenders in the community, including those convicted of terrorist offences.
National Standards	Provide a set of minimum standards and training guidelines for Probation Practitioners and managers. 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, and 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.
NPS	A statutory criminal justice service that currently supervises high-risk offenders released into the community – following the end of CRC contracts and the launch of the unified model on Day 1, a single, integrated probation services will manage low, medium, and high-risk offenders.
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.
Offender Management in Custody/OMiC	A model which provides the framework to co-ordinate and sequence an individual's journey through custody and post release, with an emphasis on the development of rehabilitation cultures in prisons. OMiC supports the reduction of re-offending in custody and the community and supports individuals' re-integration into the community.
OSAG	Operational System Assurance Group – internal quality and audit function of HMPPS across both community and custodial settings.
Parole Board	An independent body that carries out risk assessments on prisoners to determine whether they can be safely released into the community.
PCCs	Police and Crime Commissioners – elected officials in England and Wales charged with securing efficient and effective policing of a police area and to ensure that local police meet the needs of a community.

PQiP	Professional Qualification in Probation – formal Probation Officer qualification, attained through a combination of academic study and operational placements.
Pre-Sentence Report	A report prepared by probation staff to help courts decide on the most appropriate approach to sentencing someone who has been convicted of an offence.
Prison Estate Reconfiguration	A project which 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. The closed adult male estate will be gradually reorganised into three clear functions – reception, training and resettlement – and men will progress to the training and/or resettlement estate earlier in their sentence.
Prison Offender Manager/POM	Practitioner within custody responsible for individuals with 10 months or more left to serve through Offender Management in Custody.
Probation Business Recovery Programme	A programme established to respond to the impact of COVID-19 on the Probation Service and to progress a programme for resuming probation services during the continuing pandemic.
Probation Delivery Unit/PDU	Within the regions, probation operational delivery will be reorganised from the 69 Local Delivery Unit Clusters to 108 Probation Delivery Units (PDU), each managed by a Head of PDU.
Probation Operational Delivery structures (PODs)	A small cross grade grouping of Probation Practitioners and a case administrator that draws on the skills and experiences within that team to support each other's probation work and enables service users to benefit from a familiar relationship with a small team to help improve continuity and engagement.
Probation Practitioner	The name ascribed to those staff at both probation officer and probation service officer grades delivering court advice and Sentence Management.

Probation Workforce Strategy	A strategy which sets out the ambition for a more positive, inclusive, and diverse probation workforce, and the steps necessary for achieving this.
Professional Judgement	Describes the knowledge, training and experience Probation Practitioners are permitted to use (under the 2015 National Standards) to inform the decisions they make in managing their work with service users according to the risk they present.
Protected Characteristics	Characteristics – including age, disability, gender reassignment, race, religion or belief, sex, sexual orientation, marriage and civil partnership and pregnancy and maternity – which are protected from discrimination under the Equality Act 2010.
Public Sector Equality Duty	A duty on public authorities to consider or think about how their policies or decisions affect people who are protected under the Equality Act (see also ‘Protected Characteristics’).
Public Services Network	The government’s high-performance network used by organisations working with the public sector.
Rehabilitation Activity Requirement/RAR	Has the meaning given to it in section 200A of the 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, whose main purpose is to secure someone’s rehabilitation, thereby 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 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.

Resettlement	The part of probation services which focuses on preparing individuals for release from custody, including by ensuring that the right services, practical support, and approaches to monitoring are in place in advance of release (see also the definitions for OMiC and Enhanced Through the Gate).
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.
Regional Outcomes and Innovation Fund/ROIF	A small pot of money available to regions, intended to help lever investment in wider services (for example by entering co-funding arrangements with PCCs or other commissioners) which may help to reduce re-offending but which are not directly delivering the order of the court.
Senior Attendance Centres/SACs	Statutory interventions which are available as a sentence of the court under the Criminal Justice Act 2003. They are one of the 12 requirements that can be imposed as part of a community sentence or a suspended sentence and can be imposed as a consequence of non-payment of fines or breach of other community orders. Their primary purpose is to support rehabilitative activities, but they also carry a punitive element through the restriction of liberty due to the attendance requirement. They provide a disciplined learning environment structured to engage young people where maturity is an issue. Currently, they are delivered by Community Rehabilitation Companies.
Sentencer	A generic term used to describe a Judge or Magistrate who passes sentence on a person who has been convicted of an offence.
Sentence Management	The probation function responsible for management of the community element of an individual's sentence formerly known as offender management.

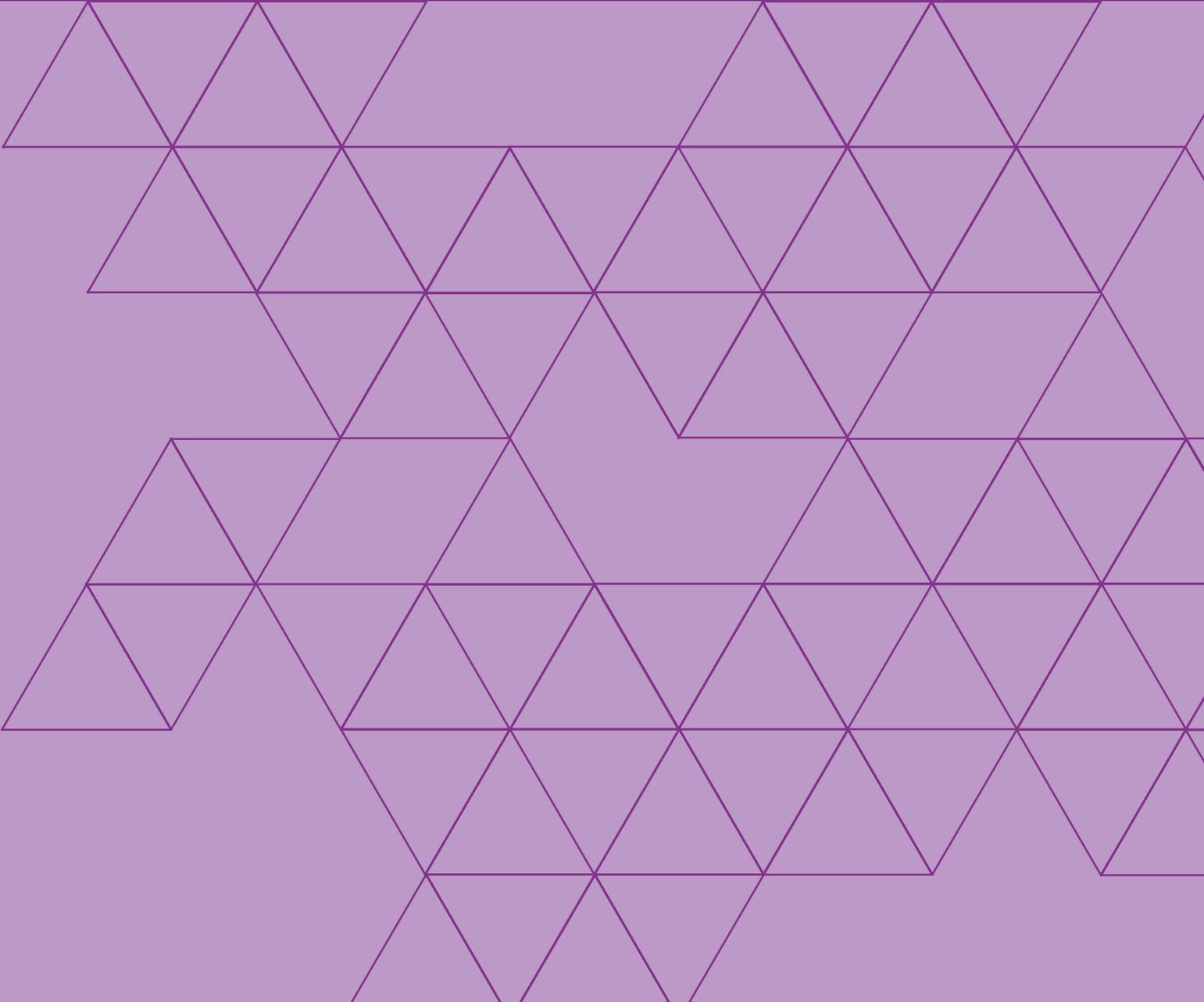
Sentence Plan	<p>With respect to an individual subject to a community order, a suspended sentence order, a licence on release from prison or a post-sentence supervision period, a sentence plan is a document that sets out sentence objectives and comprises:</p> <ul style="list-style-type: none"> (i) The 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.
Service User Action Plan	A plan prepared by a Commissioned Rehabilitative Services provider which details how the interventions they are delivering will meet agreed outcomes.
Short Sentences	Used with reference to sentences of less than 10 months left to serve at point of sentence.
Short Sentence Function	A function which will be created within each of the 12 probation regions whose role and focus will be to work with those on shorter sentences to ensure services are sustained and provided, relationships are built, and transitions are supported as effectively as possible, with the aim of improving outcomes for this cohort.
Structured Intervention	Rehabilitative interventions with a consistent delivery model for lower risk individuals not suitable for an Accredited Programme that have 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.

Tiering Framework	A framework which underpins the case allocation process and ensures that cases are allocated to a Probation Practitioner with the right skills and training according to the complexity of an individual's needs and the level of risk of harm they present.
Transforming Rehabilitation	Central Government initiative which restructured approximately 42 Probation Trusts (each delivering the full range of probation services) into the National Probation Service and 21 Community Rehabilitation Companies via a process of market testing.
Unconvicted	Describes a prisoner who is being held in prison on remand who has been charged with an offence but has not yet been tried.
Unified model	The new operating model for probation services in England and Wales which will launch on 26th June 2021 (Day 1) and brings responsibility for the management of all supervised individuals into the new probation service (integrating CRC and NPS delivery).
Victim Contact Scheme	A statutory Scheme offered to victims of violent and sexual offences, currently only offered in cases where the offender receives a sentence of 12 months or more. The Scheme provides eligible victims with information and advice about the criminal justice process via a designated Victim Liaison Officer (VLO).
Victims' Commissioner	A role whose purpose is to promote the views, needs and interests of victims and witnesses in England and Wales. The Victims' Commissioner's team carries out detailed research into victim services and produces comprehensive reviews that focus on specific areas, highlight what is and is not working, and recommend positive changes to improve the support offered to victims. The Commissioner also monitors how victims' support agencies are complying with the Victims' Code and Witness Charter and encourages good practice.
Victim Liaison Officer/VLO	A probation professional whose work focuses solely on victims of crime. The VLO will provide information to victims on the length of an offender's sentence and when they'll be released, when an offender is up for parole and how to make a victim statement at the parole hearing, how to apply for a 'licence condition' (to stop the offender doing certain things when they're released, such as contacting the victim), and how to challenge a parole decision if the Parole Board decides the offender is safe to release.



Annex C

Probation Delivery Units

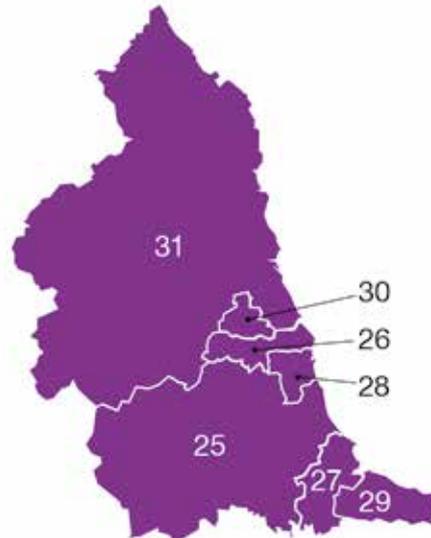


Annex C - Probation Delivery Units

Figure 26. The 108 Probation Delivery Units (PDUs), split by region

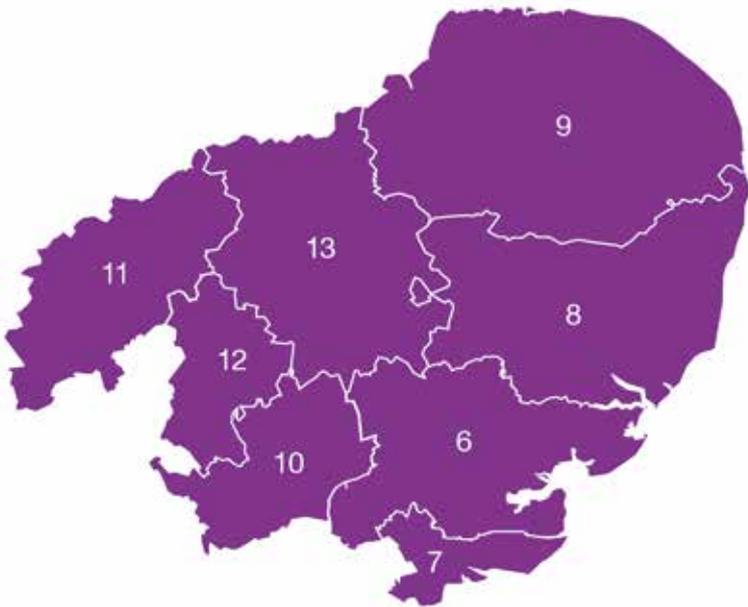
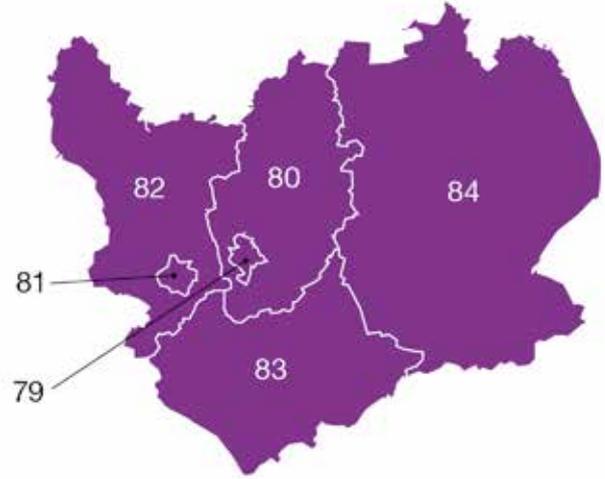
The name of each PDU denotes which counties and/or local authorities the PDU is comprised of. Where necessary, further clarification is provided in the tables.

A – North East	
25.	County Durham and Darlington
26.	Gateshead and South Tyneside
27.	Stockton and Hartlepool
28.	Sunderland
29.	Redcar, Cleveland and Middlesbrough
30.	Newcastle Upon Tyne
31.	North Tyneside and Northumberland



B – Yorkshire & the Humber	
14.	Barnsley and Rotherham
15.	Sheffield
16.	Doncaster
17.	Leeds
18.	Wakefield
19.	Kirklees
20.	Bradford and Calderdale
21.	York
22.	North Yorkshire
23.	Hull and East Riding
24.	North and North East Lincolnshire

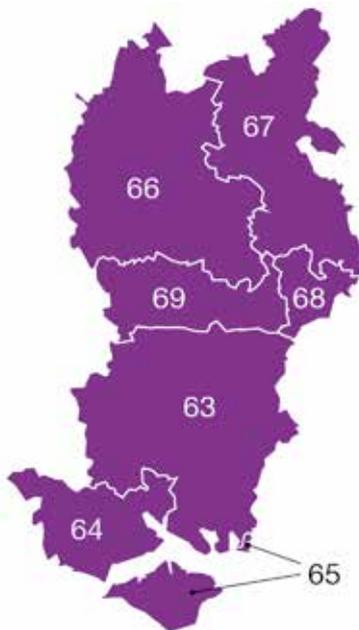
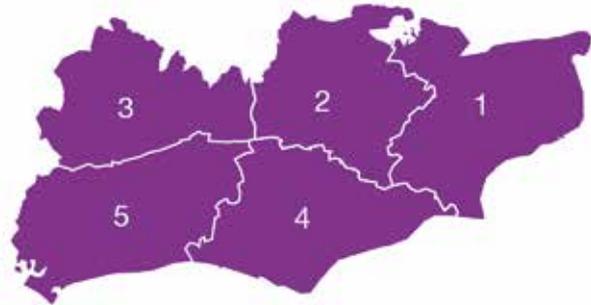
C – East Midlands	
79.	Nottingham City
80.	Nottinghamshire
81.	Derby City
82.	Derbyshire
83.	Leicester, Leicestershire and Rutland
84.	East and West Lincolnshire



D – East of England	
6.	Essex North (Braintree, Chelmsford, Maldon, Colchester, Tendring, Harlow, Uttlesford and Epping Forest)
7.	Essex South (Basildon, Brentwood, Rochford and Castlepoint, Southend-on-Sea)
8.	Suffolk
9.	Norfolk
10.	Hertfordshire
11.	Northamptonshire
12.	Bedfordshire (includes Bedford, Central Bedfordshire and Luton)
13.	Cambridgeshire (includes Peterborough)

E – Kent, Surrey & Sussex

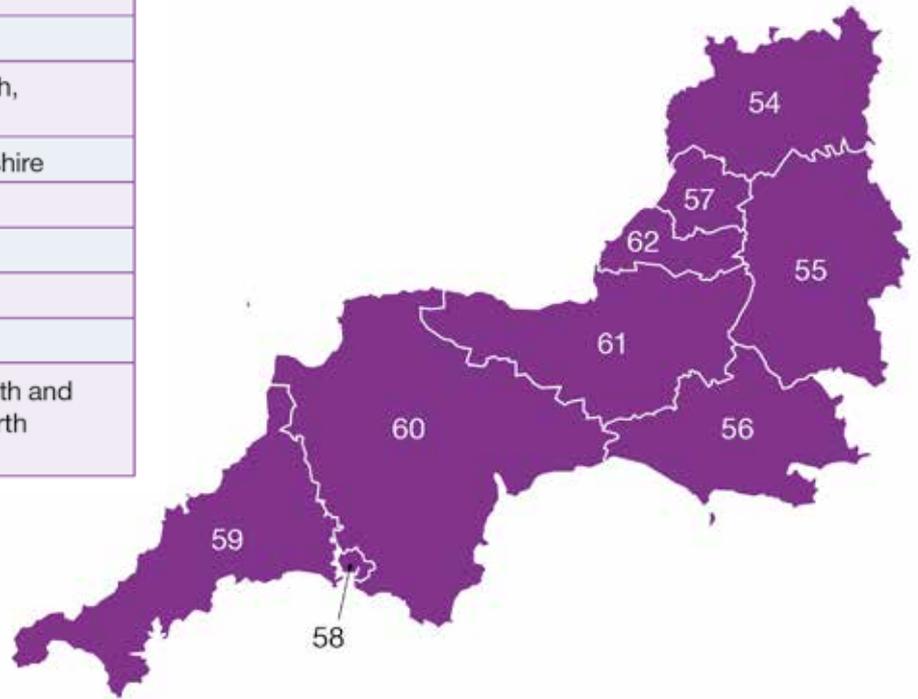
- | |
|---|
| 1. East Kent (Swale, Ashford, Canterbury, Folkstone and Hythe, Thanet and Dover) |
| 2. West Kent (Sevonoaks, Dartford, Gravesend, Tonbridge and Malling, Maidstone and Tunbridge Wells) |
| 3. Surrey |
| 4. East Sussex (includes Brighton and Hove) |
| 5. West Sussex |



F – South Central

- | |
|--|
| 63. Hampshire North and East (Hampshire but excluding Eastleigh and New Forest) |
| 64. Hampshire South West (Southampton and includes lower tier LAs in Hampshire – Eastleigh and New Forest) |
| 65. Hampshire South and Isle of Wight (Portsmouth and Isle of Wight) |
| 66. Oxfordshire |
| 67. Buckinghamshire and Milton Keynes |
| 68. East Berkshire (Bracknell Forest, Windsor & Maidenhead and Slough) |
| 69. West Berkshire (Reading, Wokingham & West Berkshire) |

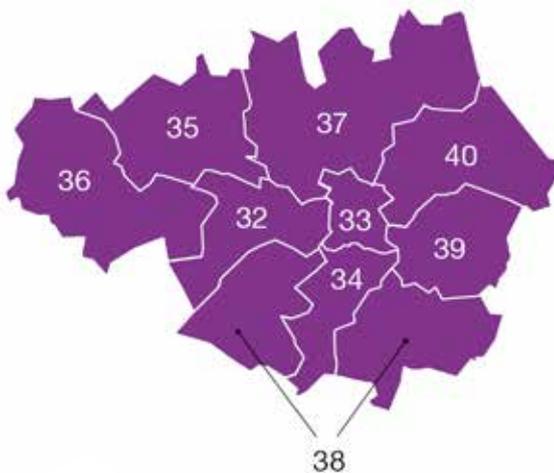
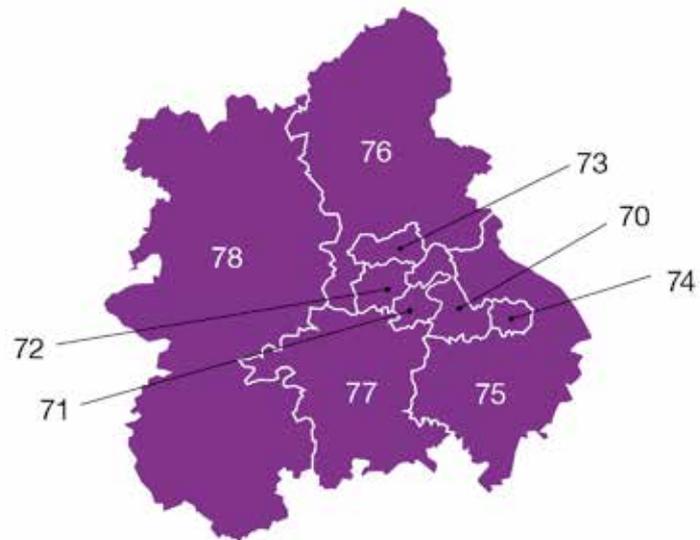
G – South West
54. Gloucestershire
55. Swindon and Wiltshire
56. Dorset (includes Bournemouth, Christchurch and Poole)
57. Bristol and South Gloucestershire
58. Plymouth
59. Cornwall and Isles of Scilly
60. Devon and Torbay
61. Somerset
62. Bath and North Somerset (Bath and North East Somerset and North Somerset)



H – Wales
103. North Wales (Isle of Anglesey, Gwynedd, Conway, Flintshire, Denbighshire)
104. Gwent (Blaenau Gwent, Caerphilly, Monmouthshire, Newport, Torfaen)
105. Dyfed Powys (Carmarthenshire, Ceredigion, Pembrokeshire, Powys)
106. Cardiff and the Vale of Glamorgan
107. Swansea, Neath Port Talbot
108. Cwm Taf Morgannwg (Bridgend, Merthyr Tydfil and Rhondda Cynon Taf)

I – West Midlands

70. Birmingham North, East and Solihull ¹
71. Birmingham Central and South ²
72. Dudley and Sandwell
73. Walsall and Wolverhampton
74. Coventry
75. Warwickshire
76. Staffordshire and Stoke
77. Worcestershire
78. Herefordshire, Shropshire and Telford

**J – Greater Manchester**

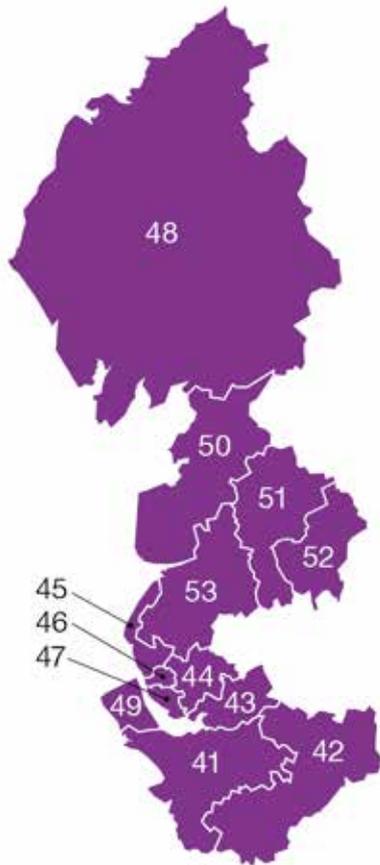
32. Salford
33. Manchester North ³
34. Manchester South ⁴
35. Bolton
36. Wigan
37. Bury and Rochdale
38. Stockport and Trafford
39. Tameside
40. Oldham

¹ Birmingham North, East and Solihull (comprised of postcodes B6, B8, B9, B10, B20, B21, B23, B25, B26, B33, B34, B36, B37, B42, B43, B44, B72, B73, B74, B75, B76, B90, B91, B92, B93, B94, CV7 in the Birmingham City Council and Solihull Borough Council areas).

² Birmingham Central and South (comprised of postcodes B1, B2, B3, B4, B5, B7, B11, B12, B13, B14, B15, B16, B17, B18, B19, B24, B27, B28, B29, B30, B31, B32, B38, B45 in the Birmingham City Council area).

³ Manchester North (comprised of the wards of Deansgate, Piccadilly, Ancoats and Beswick, and Clayton and Openshaw, and all wards North of these in the Manchester City Council area).

⁴ Manchester South (comprised of the wards of Hulme, Ardwick, and Gorton and Abbey Hey and all wards south of these in Greater Manchester in the Manchester City Council area).

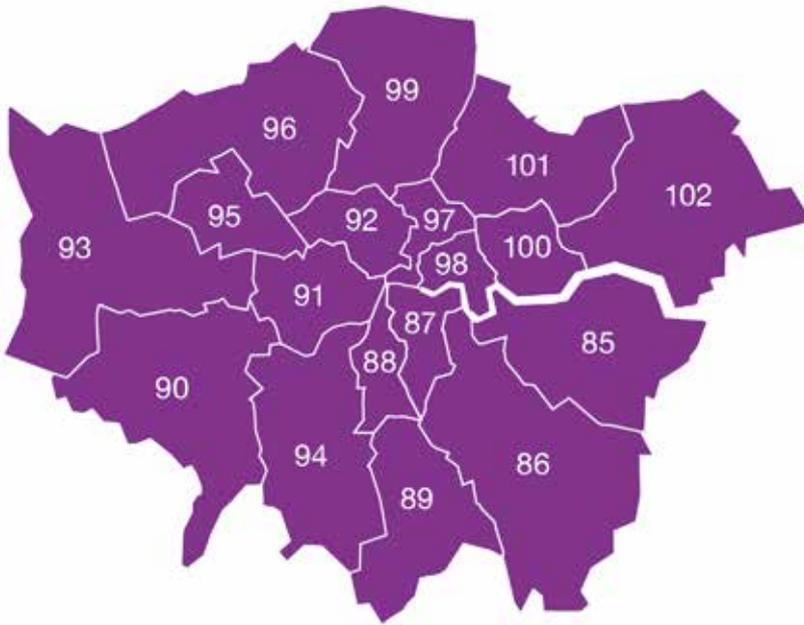


K – North West

41. West Cheshire
42. East Cheshire
43. Warrington and Halton
44. Knowsley and St Helens
45. Sefton
46. Liverpool North ⁵
47. Liverpool South ⁶
48. Cumbria
49. Wirral
50. North West Lancashire (Blackpool and lower tier LAs in Lancashire – Fylde, Wyre and Lancaster)
51. Blackburn (Blackburn with Darwen and lower tier LAs in Lancashire – parts of Ribble Valley)
52. East Lancashire (Burnley, Pendle, Hyndburn, Rossendale and parts of Ribble Valley)
53. Central Lancashire

⁵ Liverpool North (comprised of postcodes L3, L13, L14 and L16 and all postcodes north of these in the Liverpool City Council area).

⁶ Liverpool South (Postcodes L1, L2, L7, L15 and L16 and all postcodes south of these in the Liverpool City Council area).



London
85. Greenwich and Bexley
86. Lewisham and Bromley
87. Southwark
88. Lambeth
89. Croydon
90. Kingston, Richmond and Hounslow
91. Hammersmith, Fulham, Kensington, Chelsea and Westminster
92. Camden and Islington
93. Ealing and Hillingdon
94. Wandsworth, Merton and Sutton
95. Brent
96. Harrow and Barnet
97. Hackney and City
98. Tower Hamlets
99. Enfield and Haringey
100. Newham
101. Redbridge and Waltham Forest
102. Barking, Dagenham and Havering



HM Prison &
Probation Service

