



HM Prison &
Probation Service

Probation
Service 

National Standards 2021

Supporting transition to the Unified Model

June 2021



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1. Maintaining Accurate Records

1	Standard	Purpose and Rationale	Other Guidance
1.1	<p>Contacts with or with reference to the person on probation are recorded on the case management system within one working day.</p>	<p>Case notes should be a contemporaneous record of the contact between probation practitioner and person on probation. Timely completion of records reduces the risk of losing information that has been gathered, or decisions and professional judgements that may have been made.</p> <p>The requirement to record contact within one working day also aligns with the expectation from Commissioned Rehabilitative Services providers who are expected to complete records within one working day to ensure efficient information sharing.</p> <p>There should be an explicit record of what/when/where contact has or will take place. Records should distinguish between fact and opinion and contain sufficient information to support probation practitioner tasks. Additionally, where decisions such as recall are awaiting outcomes this should also be noted to inform others who may require this information.</p> <p>Records should be kept on all systems appropriate to the case. Where external systems such as ViSOR (the dangerous persons database managed by the Police) are used this must be in accordance with published requirements.</p> <p>This standard also applies to POMs – see Annex B for more detailed guidance</p>	<p>EQuIP Implement the Sentence</p> <p>EQuIP MAPPA</p> <p>Manage Offender Records</p> <p>PI 56/2014 Mandatory Use of Visor</p> <p>PI 02/18 Records, information management and retention policy</p> <p>Sensitive Information Guidance</p> <p>EQuIP – CRISS Recording</p>
1.2	<p>Records are kept up to date, stored securely, and are accessible to appropriate parties.</p>	<p>It is a legal requirement that records are maintained to ensure compliance with data protection legislation. Operationally, up to date records stored in the correct place are necessary to support management of cases.</p> <p>There may be situations where persons other than the practitioner require timely access to records. As such, records need to be maintained in the correct places and where necessary, marked in line with the Information Security Policy.</p>	<p>Sensitive Information Guidance</p> <p>Information Security Policy Framework</p> <p>Data Protection GDPR 2018</p> <p>MAPPA</p>

		<p>Where information is not disclosable to others it needs to be stored in the correct place, such as confidential sections of Offender Assessment System (OASys) or logged as sensitive on nDelius.</p> <p>Official sensitive records such as those for Multi-Agency Public Protection Arrangements (MAPPA) meetings will need to be stored in protected files in the secure file structure.</p>	<p>PI 03/2009 – Information Assurance PI 21/2010 – Information Sharing Agreement PI 20/2010 – Handling of Sensitive Information by Criminal Justice Agencies PI 59/2014 – Management of Offender Records</p>
1.3	<p>The Diversity and Inclusion Form (DIF) information is captured, recorded and placed in the individual’s records and implications considered in preparation of a report, initial sentence plan and during sentence plan reviews.</p>	<p>The Diversity and Inclusion Form (DIF) (<i>previously known as the EIF – equality information form</i>) provides the basis of our understanding of the demographic of those subject to supervision by the Probation Service. It captures diversity information so that it can be utilised to promote equality and to ensure that the Probation Service meets the Public Sector Equality Duty under the Equality Act 2010.</p> <p>To ensure effective engagement with different cohorts, analysis is required to understand where those with diversity needs and protected characteristics have adverse outcomes. Capturing this information allows for this analysis to be made, the impact of work to be understood and to inform future service design.</p> <p>Once information is captured it also needs to be considered and used to inform sentencing proposals and future work. For example, there may be some disposals which are not appropriate for someone with caring responsibilities or certain disabilities. And whilst we have a specific duty with regards to protected characteristics, there are also other diversity needs which may have implications on sentencing.</p> <p>Where completion has been refused by the individual this must be recorded within nDelius.</p>	<p>EQuIP Complete Pre-Sentence Report</p> <p>Equality Act 2010</p> <p>Public Sector Equality Duty under the Equality Act 2010</p> <p>The Care and Management of Individuals Who Are Transgender Policy Framework</p> <p>Women specific research and policy</p>

2. Advice to Court

2	Standard	Purpose and Rationale	Links/Further Reading
2.1	Courts are provided with information to support their decision making.	<p>A core role of the Probation Service in the Criminal Justice System is to deliver the sentence of the Court. Providing information to the Court enables decision making and sentencing that is both effective and workable. This information and advice must be sufficiently analytical and personalised to the individual.</p> <p>The Effective Proposal Framework should be used to support proposals to the Court to help ensure consistency of advice across the Probation Service. There are a range of interventions available which are complementary and address different needs including Accredited Programmes, Structured Interventions, CRS and Toolkits.</p>	<p>EQuIP PSR and Allocating Cases - Complete Pre-Sentence Report EQuIP Receive Pre-Sentence Report Request - Allocate Report Author EQuIP PSR QDT EQuIP - Effective Proposal Framework Bail Accommodation and Support Service (BASS) Policy Framework Generic Parole Process Policy Framework Recall, Review and Re-Release of Recalled Prisoners Policy Framework The Care and Management of Individuals Who Are Transgender Policy Framework Link to DIF once published</p> <p>PI 04/2016 - Determining Pre-Sentence Reports PI 15 /2014 - Notification and review procedures for serious further offences</p> <p>Linked Performance Measures: UM01SL001 - Sentencer Satisfaction UM01QM003 – PSR Quality)</p>
2.2	A report is prepared for decision making bodies within the required timescale.	Prompt preparation of reports enables the Court to make efficient sentencing decisions. It is important that reports are allocated to appropriate officers with the time for evidence collation, such as Domestic Abuse and Children’s Services/Safeguarding and/or Adult Safeguarding checks. The Court, under advisement, will often indicate the preferred report type and the adjournment	<p>EQuIP – PSR</p> <p>EQuIP - Procedural Justice</p>

		period for completion. If reports do not meet the required timescales this can cause delays to sentencing, significant wastage of public funds and distress to both victims and perpetrators of offences.	
2.3	Sentencing decisions and information from Court proceedings are communicated to all relevant parties within the required timescale.	<p>The timescale referred to in the standard will be dependent on the type of report and adjournment of the Court. Court decisions impact on a range of stakeholders and prompt information sharing ensures swift implementation of the sentence. This meets the expectations of the Court and the needs of stakeholders such as victims and the wider public. It may also be necessary to share information prior to sentence, such as whether bail has been granted to a defendant or if they have been remanded to Custody.</p> <p>Relevant parties will be those involved in the delivery of the sentence such as Probation Practitioners, Unpaid Work supervisors, or Drug Rehabilitation providers. It may also include agencies impacted by the sentence such as Children’s Services/Safeguarding and/or Adult Safeguarding.</p>	<p>EQuIP - PSR</p> <p>EQuIP – Information Sharing</p>

3. Allocation & Initial Contact			
3	Standards	Purpose and Rationale	Other Guidance
3.1	The person on probation is assigned to the appropriate tier of case.	<p>Allocation must be completed in a timely manner to ensure there is an allocated practitioner for the first appointment. This cross-references with standard 3.3 which sets the timescale for initial appointments and meets with desistance practice, ensuring that each case has oversight and input from the outset.</p> <p>Cases will be allocated by Senior Probation Officers (SPOs) in line with the new Tiering framework and associated guidance. There will be a range of considerations in the allocation of a case including: Risk of Serious Harm (ROSH) level, complexity; PP training and experience; current caseloads; Workload Management Tool (WMT).</p>	<p>Allocate to PP</p> <p>EQuIP Tiering (1 & 2)</p> <p>Touchpoints Model</p>
3.2	The identity of the allocated Probation Practitioner (PP) or	Desistance research indicates the importance of a positive relationship between the Probation Practitioner and the individual they are supervising as a vehicle for change. It	<p>EQuIP – OMIC</p> <p>POD Model – pending</p>

	<p>Prison Offender Manager (POM) is clear at all times.</p>	<p>is therefore important that each case has an identifiable and consistent allocated Probation Practitioner/Prison Offender Manager (POM) whether in Custody or the Community. This also ensures that case decisions and accountability are clear, and any enquiries are efficiently directed.</p> <p>Where practitioners work in a Probation Operational Delivery (POD) model, other practitioners will have knowledge of cases and undertake work as agreed with the allocated Probation Practitioner. This enables the person on probation to have access to other practitioners with skills to support desistance. Responsibility for the overall management of the case will, however, remain with the allocated Probation Practitioner.</p>	
3.3	<p>For individuals subject to a Community Order or Suspended Sentence Order, the first face-to-face appointment with them is arranged to occur within five working days of sentence.</p> <p>For those released subject to a Licence or Post Sentence Supervision this will occur within one working day of their release.</p> <p>At first appointment expectations, obligations, rights, the method of contact and</p>	<p>Induction will commence at the first appointment. The induction process will include signing of confidentiality waiver/informed consent to be Information Assurance (IA)/ data protection legislation (GDPR compliant).</p> <p>Community sentences and post-release supervision place a range of expectations on people serving them. To enable them to engage with these and make informed decisions it is essential that boundaries and expectations are clear and understood from the outset. This contracting and setting out mutually understood expectations provides transparency and demonstrates fairness. These principles are vital to ensuring effective engagement with the sentence and desistance from further offending.</p> <p>Potential barriers and needs should be identified, considered and, where possible, mitigated to enable engagement. This may include work with partner agencies and Commissioned Rehabilitative Services providers. Expectation of contact with these services should also form part of the induction.</p> <p>Methods of contact will differ from person to person and will take account of risk and need. Guidance will inform decision making about suitable contact methods. These may include face to face appointments, telephone and video contact, home visits etc. The planning of contacts will consider the specific needs of the individual, for example, whether the person has a safe space to receive a telephone call, whether they can access particular locations, or whether certain times of appointment are not possible due to caring or religious needs.</p>	<p>EQuIP Manage the Sentence (2)</p> <p>EQuIP - SEEDS2</p> <p>Blended Supervision – awaiting</p> <p>Women specific research and policy</p> <p>Equality Act 2010</p> <p>Induction pack EQuIP - OMIC</p> <p>Linked Performance Measure: UM02SL004 Initial Appointment within 5 business days (BD) of sentence for CO/SSO UM02SL005 Initial appt within 1 BD of release from custody on licence/PSS</p>

	consequences of failing to comply are clearly explained.	Where the individual is being released from custody, purposeful contact is established at the pre-release stage and maintained following release from custody. The release process can be difficult for many people on probation and pre-release contact and an early meeting on release can help to support resettlement. It is also an opportunity to identify any concerns or barriers to engaging with the licence conditions.	
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4. Assessment & Planning			
4		Purpose and Rationale	Other Guidance
4.1	An assessment and sentence plan will be completed in collaboration with the individual. This will address the risk and needs of the individual, the purpose of the sentence, and include consideration of suitability for different methods of contact based on the assessment.	<p>Performance measured for timeliness of assessment and sentence plan completion are referred to in standards 4.3.5 and 4.3.6.</p> <p>Research evidences that successful outcomes are most likely when the person on probation has been involved in developing plans. Planning should identify set goals relevant to both the individual and to the purpose of sentence where this has been explicitly stated by the Court. For example, rehabilitation through a requirement to address substance misuse. Plans should be clear, proportionate and relevant, drawing on the individual's strengths.</p> <p>The level, pattern and type of contact planned should be appropriate within the requirements of the sentence, proportionate to the case, and set at a level that meets assessed risk and needs of the individual. Further information can be found in the blended supervision model guidance. Tiering guidance will also inform these decisions. There should be an explicit record of what/when/where contact will take place. All Rehabilitation Activity Requirements will need to be referenced to demonstrate how they will be delivered.</p>	<p>EQuIP – Assessment Quality Assurance</p> <p>EQuIP – SEEDS2</p> <p>EQuIP Sentence Planning</p> <p>OSP Guidance for Practitioners OSP Policy Framework</p> <p>Blended Supervision – awaiting</p> <p>Tiering Framework</p> <p>Choices and Changes - A resource pack to support young adult men with low psychosocial maturity</p>

		<p>Intervention delivery will form a significant part of sentence planning and should be proportionate to the nature and length of the order/licence. Interventions will include work delivered individually in supervision, in a group and by Commissioned Rehabilitative Services. Referrals to the CRS should indicate the individual's complexity level and the outcomes sought as well as additional information which will assist the provider deliver interventions which are tailored to meet individual need. To support desistance practice social capital should be promoted through the use of external provision. Desistance research also recognises the importance of maturity and consideration should be given to level and rate of maturity, as increasing maturity often accompanies a reduction in reoffending.</p> <p>This standard also applies to POMs – see Annex B for more detailed guidance.</p>	
4.2	Transfers of people on probation between regions are arranged to maintain continuity and effective management of the offender and delivery of the sentence.	<p>Changes of area and supervising officer can impact on risk management. It is important that transfers are planned and managed to mitigate these risks as much as possible. Where appropriate the allocated Victim Liaison Officer (VLO) should be informed.</p> <p>A joint meeting between the individual, future and current Probation Practitioners should be facilitated. This ensures that contracting, boundaries and expectations can be clarified and progress, needs and strengths can be built upon. This is important for supporting desistance.</p>	<p>EQuIP – Case Transfer</p> <p>Please refer to Case Transfer PI for further information</p>
4.3	A plan includes:		
4.3.1	The identification of risk of serious harm, reoffending, and the needs of the individual.	<p>An accurate summary of the risks posed by the person on probation to themselves and others is critical to support effective and efficient case management. This should include an assessment of the nature of the risk, likelihood, immediacy and impact. Strengths and protective factors should be included to ensure that this is a holistic assessment. Practitioners should ensure that all appropriate risk assessment tools are used to inform their assessment such as ARMs Informed OASys, SARA etc</p>	<p>EQuIP Manage the Community Sentence 2</p> <p>Post Sentence Supervision Requirements Policy Framework</p> <p>EQuIP - ROSH Guidance</p> <p>EQuIP – ARMS Informed OASys</p>

		<p>Planning should cover all activity needed to protect identifiable victims or potential victims, should be clearly recorded to be accessible to others and proportionate to the level of risk of harm in the case.</p> <p>This standard also applies to POMs – see Annex B for more detailed guidance</p>	<p>EQuIP - SARA</p> <p>PI 13/2014 – Sentence Planning</p> <p>PI 1/2019 – Information Sharing and Effective Management of Electronic Monitoring Requirements</p> <p>PI 15/10 - Implementation of the Manage the Sentence for a Community Order and Suspended Sentence Order Specification</p>
4.3.2	Identification of protected characteristics / equality and diversity needs relevant to the individual.	<p>All people on probation should be treated with respect and dignity and without any disadvantage on the basis of protected characteristics. An individual’s diversity and personal circumstances should be identified and planned for considering both protected characteristic groups and vulnerable groups such as those with caring responsibilities, neurodiversity, veterans and care leavers. The practitioner should consider the ability of the individual to engage with requirements and seek to mitigate any barriers to ensure interventions are targeted and effective. This may include commissioning providers specifically to meet diversity needs.</p> <p>Culture should also be explored and taken into consideration. For example, the perception of aggression may be different within different cultures and this would need exploration within supervision, or where culture is used to support offences such as female genital mutilation.</p> <p>CRS will be delivered in a way which is responsive to the diverse needs and personal circumstances of the individual. Referrals should include all available information to assist Suppliers.</p> <p>Where protected characteristics and or diversity needs are identified the DIF should be updated.</p> <p>This standard also applies to POMs –see Annex B for more detailed guidance</p>	<p>Guidance on working remotely.</p> <p>Public Sector Equality Duty under the Equality Act 2010</p> <p>EQuIP - Maturity</p> <p>EQuIP - Remote Working</p> <p>EQuIP - Commissioned Rehabilitative Services (CRS)</p> <p>EQuIP - SEEDS2</p> <p>Cultural Competence Training</p> <p>Prison and Probation Evidence Resource (Needs and characteristics of people in prison and on probation)</p> <p>EQuIP – Risk Register</p> <p>Awaiting DIF link</p>

4.3.3	A completed risk management plan where the individual presents a medium /high or v high risk of serious harm.	<p>Where Risk of Serious Harm (ROSH) is identified as medium, high or very high management of risk needs to be considered in depth. Risk Management Plans (RMPs) need to cover the 4 pillars: Supervision; Monitoring and control; Interventions and treatment; and Victim safety.</p> <p>These assessments should be made considering a wide range of sources of information, including the person on probation, statutory and partner agencies, victims and any history of previous supervision and offending.</p> <p>This standard also applies to POMs – see Annex B for more detailed guidance</p>	<p>EQuIP - Assessment Quality Assurance (AQA)</p> <p>EQuIP – 7 Minute Briefings – Risk - 4 pillars guidance</p> <p>EQuIP - RMP</p> <p>EQuIP - Risk of Serious Harm (RoSH)</p>
4.3.4	Others involved in the delivery of the sentence are named and contact expectations made clear.	<p>The Probation Practitioner draws together all work being undertaken with the individual they are supervising. This includes work both delivered within the Probation Service and by external providers. To ensure that work is co-ordinated and meets the sentence plan objectives the practitioner should be aware of the content and rationale of other agencies' plans. Communication between services should ensure that plans are integrated and supportive of each other.</p> <p>Where a case is assessed as high/very high risk of harm, and significant multi-agency risk management is needed, it is essential that plans contained within Multi-Agency Public Protection Arrangement (MAPPA) notes, child safeguarding records, and Active Risk Management System (ARMS) Informed Offender Assessment System (AIOASys) are aligned.</p> <p>This standard also applies to POMs – see Annex B for more detailed guidance</p>	<p>Sensitive Information Guidance</p> <p>PI 03/2009 – Information Assurance</p> <p>PI 21/2010 – Information Sharing Agreement</p> <p>PI 20/2010 – Handling of Sensitive Information by Criminal Justice Agencies</p> <p>PI 59/2014 – Management of Offender Records</p> <p>Information Security Policy Framework Data Protection GDPR 2018</p> <p>MAPPA</p> <p>EQuIP - RAR</p> <p>EQuIP - ARMS Informed OASys</p>
4.3.5	For a Community Order (CO) or Suspended Sentence Order (SSO) a Plan is completed post	Plans are required to be completed within 15 working days of the date of the first appointment. Early engagement with planning the sentence supports effective relationship building and desistance. This also meets the expectations of the Court and victims that work to address risks and needs will commence without delay.	<p>EQuIP – Sentence Planning</p> <p>Linked Performance Measure: UM02SL006</p>

	sentence within 15 days of first appointment.	Unpaid Work (UPW) requirements are required to start within 15 days of sentence to support the legal requirement to complete UPW within 12 months (To facilitate this an UPW assessment must take place within 5 working days) Within this time an accurate risk and need assessment is completed to support appropriate activity placement including Education Training and Employment (ETE).	EQuIP -Unpaid Work UPW
4.3.6	For custodial sentences with 10 months or more left to serve at the point of sentence, a community Probation Practitioner (Community Offender Manager – COM) is allocated and must complete a pre-release sentence plan prepared within 3 months of allocation.	<p>In line with Offender Management in Custody (OMIC) the management of individuals with 10 months or more left to serve at point of sentence will transfer from POM to COM. For determinate sentenced prisoners, the handover and allocation to a COM will occur at 7.5 months pre-release and become responsible for case management at 4.5 months pre-release. The pre-release sentence plan should be completed within 3 months of allocation to the COM; this plan is to focus on risk management and interventions required for resettlement. Once released the individual is released the COM should complete an Initial Sentence Plan, within 15 days of the first appointment.</p> <p>Short custodial sentences (those with less than 10 less than 10 months left to serve at point of sentence and less) will currently be completed within 15 working days of the first appointment following release.</p> <p><i>N.B – This standard will not be applicable until the changes to OMiC, to be introduced by unification are introduced; the estimated date of this is April 2022.</i></p>	EQuIP - OMiC Linked Performance Measure: UM03SL023

5. Delivering sentence requirements / Implementing the Sentence

5		Purpose and Rationale	Other Guidance
5.1	The person on probation is prepared	Motivation to engage with the supervision is likely to be positive when the individual has been engaged in setting their goals. At this point	EQuIP Manage the Community Sentence

	<p>for and undertakes all activity set out in the Plan to meet the requirements of a Community Order, Suspended Sentence Order, Licence or Post Sentence Supervision period.</p>	<p>expectations and boundaries of supervision will have been explored and it is important that agreed actions are followed through. Prompt commencement of activity towards the plan helps to harness this motivation and meets the needs and expectations of the Court, victims and public.</p> <p>In preparing an individual for activity consideration needs to be given to the delivery method and support required to meet their needs. This may include, for example considerations in the Female Offender Strategy, maturity guidance and ensuring practice is trauma informed.</p> <p>Probation Practitioners are required to take reasonable steps to keep other people safe, including ensuring that constructive and restrictive interventions are delivered. Delivery should be proportionate to the level and nature of factors related to risk of harm in the case. Engagement with statutory and non-statutory partners supports desistance by promoting contacts which can remain once supervision has completed. This enables social capital and a sense of community to develop over the course of a sentence.</p> <p>CRS providers will offer an assessment appointment within 10 days of receipt of a referral and complete an action plan within 5 days of this appointment which will be shared with the Probation Practitioner. Probation Practitioners should engage proactively with CRS providers from the point of referral until completion of the intervention so that the individual receives holistic support.</p> <p>Unpaid Work (UPW) requirements are required to start within 15 days of sentence to support the legal requirement to complete UPW within 12 months. To facilitate this an UPW assessment must take place within 5 working days where an accurate risk and need assessment is completed to support appropriate activity placement including Education Training and Employment (ETE).</p>	<p>EQuIP - Community</p> <p>EQuIP - Custody</p> <p>EQuIP - Refer and Deliver Requirements</p> <p>Becoming Trauma Informed Toolkit</p> <p>EQuIP - Maturity</p> <p>EQuIP – Working with Gender</p> <p>Linked Performance Measure: UM02SL013 - Requirements completed by sentence expiry UM02SL012 Completion of targeted interventions for those convicted of sexual offences UM04SL029 Completion of targeted interventions for those convicted of sexual offences UM05SL033 Completions by eligible service users</p>
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5.2	<p>The delivery of the plan is sequenced to most effectively meet the risk and needs of the person on probation.</p>	<p>Sequencing enables individuals to get the most out of the supervision process by ensuring that they are prepared and ready for each intervention. When considering the order of interventions risk of serious harm must be prioritised: however, this is a balance and some activities enable effective engagement in other objectives. For example, to address risk it may be necessary to obtain mental health support prior to an offence focussed intervention.</p> <p>This standard also applies to POMs – please see Annex B for more detailed guidance</p>	<p>OASys Assessment and Sentence Planning</p> <p>Maslow’s Hierarchy of Needs</p> <p>EQuIP – ARMS Informed OASys</p> <p>Linked Performance Measure: UM04SL026 UPW assessment within 10 BDs UM04SL027 UPW starts within 15 days UM02SL006 Initial Sentence Plan within 15 BDs of initial appointment for CO/SSO/Licence release</p> <p>Seeds2 Interactive Learning - pending</p>
5.3	<p>Consideration of conducting a home visit should be made in all cases.</p> <p>Where a home visit is not undertaken, the reasons are recorded.</p>	<p>Home Visits form a critical part of risk assessment, support relationship building and encourage compliance. Being in and individuals home environment offers a different insight into their life. HMIP note the need for practitioners to be professionally curious and there will be information gathered in a home visit that may not otherwise be evident.</p> <p>Home visits should be considered in all cases and for some will be mandated. There are also circumstance where a home visit should be undertaken, such as where there are safeguarding concerns within the home. In such cases, joint home visits with other safeguarding professionals should be considered e.g. Children’s Services/Safeguarding and/or Adult Safeguarding, Police etc. Where visits are not mandated Practitioners can use professional judgement about their suitability. If a home visit is not possible this will need to be recorded in nDelius to evidence the decision-making process.</p> <p>The Blended Supervision Model offers insight into different types of contact with individuals and when these should be considered. Due to</p>	<p>EQuIP - Home Visits</p> <p>EQuIP – 7 Minute Briefing Professional Curiosity</p> <p>Blended Supervision – awaiting</p> <p>EQuIP Joint Home Visits</p> <p>Domestic Abuse Policy Framework</p> <p>Home visit policy framework - tbc</p>

		<p>diversity needs or Risk of Serious Harm (ROSH) there may be occasions where contacts are via home visits.</p> <p>Where home visits are undertaken a Home Visit risk assessment must be undertaken and uploaded to NDelius to ensure that the visit is recorded and safely managed.</p>	
5.4	<p>People serving a Community Order, Suspended Sentence order or released subject to Licence, will receive a minimum of one face-to-face appointment every calendar month with a Probation Practitioner.</p>	<p>This standard ensures that direct face to face contact (where a Probation Practitioner and the individual they are supervising are in the same physical space such as an interview room) remains central to the supervision process. Whilst this can be complemented by other types of contact, direct contact enables the gathering of information which may not be obvious via video call or telephone. The location of face to face contact will differ however, this can be in an office but also a hub, home visit or other place.</p> <p>Face to face contacts should be a minimum of every calendar month. An exception to this is where someone is subject to a Life Licence/IPP and a reduction in frequency has been agreed by the Parole Board/IPP Progression Panel in line with the Managing Parole Eligible Offenders on Licence Policy Framework.</p> <p>This standard does not include stand-alone Unpaid Work (UPW) requirements and standalone restrictive type requirements such as Prohibited Activity/Exclusion Zone, or the period where a service user is subject to Post Sentence Supervision.</p>	<p>Blended Supervision Model – awaiting</p> <p>Managing Parole Eligible Offenders on Licence Policy Framework</p> <p>Linked Performance Measure: UM02SL007 Monthly appointments attended</p>
5.5	<p>Engagement with community resources is facilitated as an integral part of implementing the Plan.</p>	<p>Probation Practitioners will be delivering sentences in collaboration with a range of stakeholders, both internally and externally. Building social capital forms a key part of stopping offending and utilising support and expertise within the community will facilitate this. Commissioned Rehabilitative Services will form a critical element of delivery promoting pro-social contacts, building skills and resilience and supporting sustained engagement with existing statutory and non-statutory services.</p>	<p>EQuIP - Commissioned Rehabilitative Services (CRS)</p>

6. Victims

6	Standards	Purpose and Rationale	Other Guidance
6.1	The statutory duties in respect of victims are undertaken.	<p>Working to protect victims is a core aim of the Probation Service. The Victim Contact Scheme ensures that that eligible victims are given the opportunity to engage, receive specific information and have their voice heard throughout the sentence.</p> <p>This standard also applies to POMs –see Annex B for more detailed guidance</p>	<p>EQuIP Victims Government Victim and Witness Information and Guidance Procedural Justice</p> <p>Linked Performance Measure: UM08SL039 – Measure of Victim Satisfaction</p>
6.2	The allocated Probation Practitioner will check if there is victim liaison engagement and take appropriate action in relation to all relevant custodial cases prior to release.	<p>To ensure that due consideration is given to the victim’s views it is important that the Probation Practitioner contacts the Victim Liaison Officer (VLO) during the sentence. This enables the VLO to work with the victim to provide them with a voice in decisions such as, parole reports, recall report and exclusion zones. Contact between the practitioner and VLO will also inform other support and future engagement with the victim.</p> <p>This standard also applies to POMs – see Annex B for more detailed guidance</p>	<p>EQuIP - Victim Liaison</p> <p>VLO Guidance - Victim Eligibility for the VCS Victim Code 2015</p>

7. Approved Premises

7	Standards	Purpose and Rationale	Other Guidance
7.1	Prospective residents are identified by the Probation Practitioner, and the expectations and participation in the	Approved Premises (AP) are allow enhanced management of people being supervised in the community. They facilitate reintegration into the community offering structure, support and heightened monitoring. The rules and requirements to engage with the AP regime should be communicated with the resident at the outset.	<p>EQuIP Approved Premises</p> <p>EQuIP - OMIC</p> <p>EQuIP – Purposeful Activity</p>

	approved premises regime is clearly explained prior to completion of the referral, which must be made in a timely manner.	<p>A place at an AP can be agreed as a core element of the Risk Management Plan by pre-release Multi-Agency Public Protection Arrangements (MAPPA) in line with Offender Management in Custody (OMIC). Residence at an AP can form a mandatory licence condition. Where a placement is required a referral should be made at the earliest opportunity. Where the proposed resident is in custody this should be a minimum of 6 months prior to release. All available risk information should be provided at the point of referral and refreshed prior to placement if more information becomes available.</p> <p>Approved Premises are not accommodation but a time-limited placement to facilitate public protection. As part of this placement they enable integration into the community with structured support which includes household responsibilities, skill-based activities and developing community networks.</p>	
7.2	A resident move on plan is prepared prior to residency.	<p>Residency at Approved Premises should be for a set period of time. To support a smooth transition into alternative community provision it is important that future moves are planned and facilitated. This will reduce anxiety and ensure that a focus on risk management is maintained. It also allows the individual to focus on desistance and embed support networks from the outset.</p> <p>Those individuals who have no accommodation identified to move on to at the end of their placement should be regarded as homeless and identified to local authorities as such via Duty to Refer processes.</p> <p>Where a move into an Approved Premises is made as an emergency or at short notice a plan may not be possible at the outset. A lack of move on plan will not prevent acceptance of the referral, however, will require completion at the earliest opportunity. and no longer than 10 working days following arrival.</p>	<p>EQuiP AP Exit</p> <p>PI 14/32 – Approved Premises</p>
7.3	Joint meetings with the Probation Practitioner, approved premises	An introductory joint meeting between the Probation Practitioner, AP Key Worker and resident should occur prior to, or shortly after residency commences. Continued contact between practitioners and the individual	AP Residency

	keyworker and the resident undertaken as appropriate.	supports engagement, desistance and move on planning. These meetings will be made based on the needs of the individual and can be face to face or via other means such as video call.	
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8. Risk Management

8		Purpose and Rationale	Other Guidance
8.1	Risk of causing serious harm is managed, using a multi-agency approach where appropriate.	<p>Probation Practitioners are expected to take reasonable steps to keep people safe, including ensuring that constructive and restrictive interventions are delivered. Delivery should be proportionate to the level and nature of factors related to risk of harm in the case.</p> <p>Multi-agency approaches to risk management allow for the sharing of information and for agencies to work together to manage risks. This brings together information, resource and expertise to ensure that the most effective risk management actions are taken to protect potential victims.</p> <p>A range of meetings such as Multi-Agency Public Protection Arrangements (MAPPAs), Multi-Agency Risk Assessment Conference (MARAC), Integrated Offender Management (IOM) and Safeguarding form part of the statutory duty to engage with services. These should be attended where possible to support the protection of victims, sharing of information and to inform risk assessments. Practitioners and Managers are required to have due regard to the MAPPAs statutory guidance and record any decision to depart from it</p>	<p>EQuIP MAPPAs EQuIP VISOR EQuIP Safeguarding Children EQuIP Safeguarding Adults EQuIP - MARAC</p> <p>ROSH Policy Framework 2020</p> <p>Linked Performance Measure: UM02QM009 Risk Managed Quality Plans to manage and mitigate the risk of serious harm are implemented, and any changes in risk identified and acted on appropriately</p>
8.2	Where the risk of serious harm in a case managed by a Probation Services Officer (PSO) increases to a high risk the case must	There are occasions where the assessed Risk of Serious Harm changes. This can be for many reasons and where this happens there will be necessary adjustments to the supervision. The tier of the case should inform the allocation process.	<p>EQuIP – Case Allocation Touchpoints Model Tiering Framework</p>

	be reallocated to a suitably trained Probation Officer.	It is acknowledged that during the transition period there will be a range of training needs for practitioners. The use of the phrase “suitably trained” acknowledges that some practitioners may not have had access to training to enable them to hold all cases. This will also apply to Probation Qualification in Practice (PQiP) learners, Newly Qualified Officers (NQO’s) and those subject to performance measures. It may also be that the change in Risk of Serious Harm is such that a case is reallocated to a specialist team.	
8.3	Where a person on probation poses an immediate risk of serious harm actions should be taken to mitigate this risk.	<p>Immediate risks occur when the imminence of an event which could cause significant harm increases. These events require prompt risk management actions to try and mitigate or prevent harm from occurring. Practitioners will take all reasonable steps to keep people safe which are proportionate to the level and nature of factors related to the risk of harm in the case.</p> <p>Contingency planning should identify actions required in potential scenarios to evidence thinking and support other staff in making decisions which will protect the public.</p> <p>Where actions are taken these need to be recorded on NDelius and communicated to partners to ensure that they are able to take appropriate steps in line with assessed changes. This may include ensuring that constructive and restrictive interventions are delivered.</p>	<p>EQuIP - ROSH</p> <p>Touchpoints Model</p> <p>EQuIP - Sentence Planning</p> <p>Linked Performance Measure: UM02QM009 - Quality measures on Enforcement, Risk Management and Sentence Delivery</p>

9. Enforcing the Sentence

9. Enforcing the Sentence			
9		Purpose and Rationale	Other Guidance
9.1	<u>Community Order Enforcement:</u> Where a person on probation fails to comply	To ensure that we have the confidence of the Court, victims and the public it is imperative that where an individual fails to comply with supervision this is effectively managed. Quality indicators suggest that at a minimum a letter should be sent to the individual within 2	<p>EQuIP Enforcement</p> <p>Touchpoints Model</p>

	with a requirement of a community order, suspended sentence order or post sentence supervision period and has not provided an acceptable explanation, a warning is issued, or appropriate action is taken within six-working days of the last failure to comply or immediately where there are public protection concerns.	<p>working days of any failure to attend. The individual has 5 days to provide evidence, after which time the Probation Practitioner must make the decision by day 6 and complete the breach by day 8. The case should have a summons issued by day 10.</p> <p>Each case will require careful consideration and, where appropriate, alternatives to enforcement considered. This will weigh up the risk and protective factors and assess if there is an imminent risk or risk of serious harm.</p> <p>When undertaking enforcement action, practitioners should be mindful of potential unconscious or conscious bias and guard against this through discussion and self-reflection.</p>	<p>What Works to 'Debias' Decision Making?</p> <p>Linked Performance Measure: UM02QM009 - Quality measures on Enforcement, Risk Management and Sentence Delivery</p>
9.2	Where professional judgement is used to make an absence acceptable, (or alternative to recall decided) the rationale behind that decision is clearly recorded.	Standards 9.1 and 9.2 are closely linked and where enforcement action is not taken it is important that the rationale and evidence for this are clear and defensible. This should be recorded on case records to demonstrate the thinking behind the decision and any additional information you may have considered. This enables others who may work on the case to understand what has happened and why.	EQuIP – Professional Judgement
9.3	<u>Licence enforcement:</u> Where a person on probation fails to comply with a condition of their licence and has not provided an acceptable explanation, either:		
9.3.1	A warning is issued.	Some breaches of the conditions of release do not necessitate a recall and therefore can be managed with warnings. Actions taken around such a failure to comply must be taken in a timely manner and be proportionate to the Risk of Serious Harm.	Licence Condition / practice guidance - EQuIP

9.3.2	<p>Where recall is a potential action, alternatives are considered or appropriate recall action is taken commensurate with the risks (within 2 hours for emergency cases and within 24 hours for non-emergency).</p>	<p>Where risk can no longer be managed in the community, due to changes in behaviour, such as where behaviour is offence paralleling, recall action should be taken in line with the assessment of Risk of Serious Harm (ROSH). This will take place in discussion with the Senior Probation Officer (SPO) and Probation Delivery Unit (PDU) Head or Deputy if given delegated authority and recorded as per touch points model guidance.</p> <p>Recall is a tool to support risk management but needs to be closely balanced with the impact of taking away a person's liberty. Therefore, it is important that the evidence base for the decision making is clear. This includes giving regard to potential bias.</p> <p>When considering recall the risk to the public needs to be balanced with protective factors. Where monitoring can be enhanced to manage the risk of serious harm then this should be explored. Any actions taken should be proportional to the risk of harm and reoffending.</p>	<p>EQuIP - Recall</p> <p>Touchpoints Model</p> <p>EQuIP - Procedural Justice</p> <p>EQuIP – Offender Management - 7 Minute briefing - procedural justice</p> <p>EQuIP – 7 Minute Briefings Parole/IPP/Lifer – Recall of Indeterminate Sentenced Prisoners</p>
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10. Reviewing Progress

10		Purpose and Rationale	Other Guidance
10.1	The assessment and plan is reviewed whenever there is information indicating a significant change that impacts on the risk of re-offending and/or serious harm posed by the person on probation	<p>Where there are significant changes to an individual’s key indicators of risk of reoffending and/or harm then assessments and supervision plans will need to be reviewed. Significant changes are those which have a material impact on the management of the case, actions required to meet risk and needs and protect victims. Both increase and decrease in risk are relevant in necessitating a review and both risk and protective factors should be considered. These factors include those related to risk of harm; including a repeat or escalation of previous risk-related behaviour, emergence of new risk-related behaviour, or allegations of a new (harmful) offence. These may also indicate reductions in risk where changes have been made that indicate further offending and/or harm is less likely.</p> <p>The process of reviewing assessments and plans supports effective practice. Understanding the needs of the person on probation allows resources to be directed where they are most needed. Reviews support targeting interventions at the time when they are needed, practitioners being able to balance caseload needs, make timely referrals to partner agencies and enable effective decision making.</p> <p>This standard also applies to POMs – see Annex B for more detailed guidance</p>	<p>EQuiP Assess and Review Offender</p> <p>EQuiP – 7-minute briefing – Offender Management - Procedural Justice/Positive Reinforcement</p> <p>Linked Performance Measure: UM02SL008 – OASys Review</p>
10.2	The assessment and plan is reviewed following notification that the person on probation has been recalled to custody or following committal to custody for breach of the post sentence supervision period.	Where an individual is recalled it is important that a review is undertaken. This ensures that the situation and behaviour leading to recall is fully explored and actions for custodial work/release plans are considered.	<p>EQuiP Recall</p> <p>Linked Performance Measure: UM02SL010 Risk management plans supplied within 10 BDs of standard recall</p>

11. Capturing Outcomes

11. Capturing Outcomes			
11		Purpose and Rationale	Other Guidance
11.1	An evaluation of the extent to which the objectives of the Sentence Plan have been achieved is undertaken.	<p>A review and evaluation can be a strong tool to maintain motivation. Reflection on progress, acknowledging success and looking forward to new or amended goals is an opportunity to support progress beyond probation intervention. Therefore, termination assessments and plans should be completed prior to the end of the supervision period as part of exit planning.</p> <p>Where there is an ongoing risk of harm to the public it is important that exit planning considers this and sets out ongoing expectations such as abiding by a Sexual Harm Prevention Order (SHPO) or ongoing work with other agencies.</p> <p>As a service evaluation enables us to understand and evidence the effectiveness of work, we are undertaking in supporting desistance and change. Good practice is to ensure that cases are terminated promptly on OASys following the end of work to enable this evaluation.</p>	<p>EQuIP Manage the Community Sentence</p> <p>EQuIP AQA</p> <p>Linked Performance Measure: UM02SL013 - Requirements completed by sentence expiry</p>
11.2	Where it is known that partnership agencies will continue contact with the individual after completion of probation supervision, their details are recorded in the termination plan.	<p>A core aim of supervision is to promote desistance, therefore enabling individuals to continue this following the completion of their Order or Licence is critical. A key component of this is the ongoing work being undertaken within the community.</p> <p>Should an individual come back under supervision it is helpful to understand the ongoing support and contact which had been in place. This can help determine additional factors which may have been present in the intervening period. This can help build future support and contingency plans.</p>	<p>EQuIP AQA</p>

Annex A – National Security Division cases

Recent terrorist attacks by offenders supervised by probation have highlighted the need for the Probation Service to reassess the organisation's capabilities to deliver against its objectives with the aim of agreeing a refined response to the management of individuals convicted of terrorist offences who present a threat to National Security. After the terror attacks commitments were made by HMPPS to Ministers to strengthen the management of individuals subject to probation supervision convicted of terrorist offences.

A new set of requirements for managing offenders on licence will strengthen the management of the supervision period, by intensifying the level of monitoring and increasing the frequency of formal supervision within the existing legal framework, having regard to the necessary and proportionate test.

The National Security Division was established to deliver the Probation Service's commitments under the Step-Up Programme. With the additional investment the NSD will have the capability to deliver offender management to an enhanced level of National Standards that will include:

- An extended period of a minimum of fortnightly reporting
- Increased home (resettlement) visits
- Extended stays in Approved Premises
- Extended periods subject to GPS electronic monitoring tags
- Polygraph examinations

Who will be subject to these standards?

The NSD intends to extend these enhanced requirements to all the cohorts that will be managed by in the specialist Units (CPPC, SOC and TACT). The term 'highest risk' is used to ensure that these standards are applied to those individuals who present the greatest risk who require a more onerous level of scrutiny and monitoring. The NSD will manage the entire TACT and TACT connected cohort and a majority of the Terrorism risk cases many of whom may not be assessed as high risk. We want to ensure that resources are invested in those that require them and not to jeopardise rehabilitative efforts and protective factors by imposing increased levels of scrutiny on those who may not require it. Offence type alone will not capture the individuals that require this level of scrutiny and monitoring assessments of risk are a more accurate means of identification.

Definition 'Highest Risk'

Assessed as High or Very High Risk of Harm.

Evidence of a demonstrative reduction in risk:

No longer assessed as High or Very High ROH.

Agreement through MAPPA that based on all the available information from all agencies that there has been a reduction in risk and meaningful progress made. Evidence of this could be but not limited to; compliance, a lengthy period of stability, completion of an intervention, evidence from polygraph

examinations and should be underpinned by an OASys review (for CT cases supported by an ERG review?). Should decisions need to be made outside of MAPPA to relax standards this would need to be agreed by the Lead for the NSD Region.

Conditions set the minimum expectations should risk and need require it more stringent standards can be applied

NSD requirement	Rationale	Guidance
<p>Individuals subject to National Security Division management identified as high or very high risk of serious harm, will receive a minimum of two contacts per week for the first twelve months of supervision; one of which will be a face-to-face appointment with a probation practitioner. This frequency of contact will remain in place until clear evidence of reduced risk can support a reduction in contact levels</p>	<p>The purpose of this enhanced level of supervision is to ensure that the individual is supported during critical points in their sentence and to facilitate rapport building with the professionals engaging with them. Regular contact will also enable those involved in managing the case to gain a greater insight into their lifestyle, interests, behaviours, wellbeing and movements and to quickly identify any concerns or changes in risk.</p> <p>This additional contact will support the individuals transition back into a less controlled environment and help to compensate for the reduction in professional contact that will have been available to them in Custody or an Approved Premise.</p> <p>This enhanced level of support maybe be particularly important for the young people being managed in the NSD and those with neurodivergent needs such as Autism who may struggle with the loss of routine and regime in custody.</p>	<p>Given the nature of the cases that will be subject to this level of contact and the complex needs they may present it is likely that they will be working with multiple professionals and will be required to have regular contact with them. Whilst one of the weekly contacts should be with the Offender Manager the other maybe with a mentor, theologian, psychologist or other professional involved with the case as approved by the Offender Manager.</p> <p>The Offender Manager holds overall responsibility for ensuring that appointments by other professionals take place and are recorded. A face to face contact could also be in the form of a resettlement visit therefore reducing the need for the resettlement visits to be an additional contact. Best practice would be for the contacts to occur on separate days in the week. In the circumstance that both contacts need to occur on the same day there should be a follow up phone call later in the week.</p> <p>The level of contact may need to be reviewed and increased at critical points in sentence such as leaving an Approved Premise to support resettlement or if there are concerns regarding an individual’s mental health or wellbeing.</p>

		There should be a focus on the quality of contact rather than just the frequency.
Individuals subject to National Security Division oversight will receive a 'resettlement visit' on a fortnightly basis for the first 3 months of supervision and the first three months after leaving Approved Premises. This may be a home visit or visit to another location of significance to the individual.	<p>The purpose of this visit is to observe the home or other environment for indications of how well the individual is coping with living independently and to gain greater insight into their lifestyle, interests and associates. This will be especially important during times of transition such as release from custody and resettlement from the Approved Premise.</p> <p>The visit will also provide an opportunity to identify any safeguarding issues and any items of concern in the home such as materials, electronic devices or other individuals of concern who may be present.</p>	<p>A resettlement visit could take place at an individual's home, the Approved Premises, a family member, partner or friends' home, a place of work or study or any other place of relevance that the individual visits on a regular basis. The Core Group can consider where these visits should take place informed by EMS which may tell us where the individual is spending their time.</p> <p>Resettlement visits can be conducted by the Offender Manager or other professionals involved with the case as agreed by the Offender Manager. The Offender Manager holds overall responsibility for ensuring that visits by other professionals are suitable and ensuring that they take place. Resettlement visits may be conducted jointly with police colleagues with consideration given to how this would impact upon the dynamics of the interaction and the purpose of the visit. Visits should not be carried out to places that may jeopardise the individual's protective factors such as employment or education or place the individual at risk by exposing their conviction or offender status to others. Visits to places of employment or study should only take place if disclosure has been agreed at MAPPAs and employers or educators are aware of their conviction or if the visit can be conducted in a way that would not be detrimental.</p>
Dependent upon sentence length, residency in Approved Premises will be provided for up to 12 months for individuals subject to National Security Division oversight	The purpose of residency in an Approved Premise (AP) is to enable greater supervision, monitoring and to provide the individual with the support they need to resettle back into the community. Residency	A 12-month residency should only be applied to cases for which there is sufficient length of Licence to also accommodate a 3-month period of resettlement upon leaving the AP. For example, should an individual have

<p>identified as high or very high risk of harm. The length of residency must allow for a monitored three-month resettlement period to be applied at the end of their residence in Approved Premises.</p>	<p>in Approved Premise provides a controlled environment and enables us to manage risk through the availability of greater security measures.</p> <p>The 3-month resettlement period post AP residency is important as it allows us to test how the individual copes and behaves in a less supervised environment. It also enables us to gain a greater insight into their lifestyle, interests and associates and identify any concerns prior to the Licence end date whilst we still have a statutory responsibility and can intervene and take the necessary actions to address the concerns.</p>	<p>9-month licence period 6 months should be spent residing in the AP and 3 months in alternative accommodation.</p> <p>Length of residency in an AP can be increased beyond 12 months or reduced to under 12 months determined by an assessment of whether it is required to manage risk and/or support need.</p> <p>12 months residency may not be necessary for all there may be some individuals who have stable home lives to return to and dependent upon the level of risk that they present, and level of monitoring required could be better managed and supported at home. In these cases, for those with a Licence length of 6-months or more there is an expectation that the individual resides in an AP for a minimum of over 3 months. In contrast individuals with complex needs may struggle to transition out of the AP or may continue to present a level of risk that cannot be managed in independent accommodation and may require an extended period of residency beyond 12 months. Should an individual leave the AP and struggle in independent accommodation or there be indicators that risk has or may increase a return to the AP should be considered.</p>
<p>Individuals subject to National Security Division oversight identified as high or very high risk of harm will be subject to electronic monitoring for a minimum of 12 months.</p>	<p>The purpose of electronic monitoring is to provide an additional means of monitoring an individual. It can provide insights into their lifestyle, movements, associates and interests. It provides valuable data about where they spend their time when not at an Approved Premise or in contact with professionals. EMS can provide both assurances for the Probation Service and partners and assurances for the</p>	<p>12 months is the minimum expectation it is recommended that electronic monitoring extends beyond resettlement from the Approved Premise as this is when it may have the greatest value in providing insights into the individuals movements when they are in a less restricted environment.</p>

	individual to be able to evidence their movements and compliance. EMS can alert us to potential breaches of licence such as a breach of curfew or an exclusion zones and to locate an individual should we have immediate concerns about their behaviour.	EMS can be amended to accommodate changes in circumstances and protective factors such as employment.
<i>For those individuals subject to Polygraph examinations the first Polygraph examination should take place at least 3 months post release or sooner in the case of any urgent risk concerns. Thereafter tests must take place at least every 6 months</i>	Polygraph examinations provide an additional means of monitoring an individual and the risk they may present and supporting effective supervision. Examinations can indicate when an individual is attempting to be deceptive, aid risk related disclosures and motivate honesty and compliance. Insights and information gathered from the polygraph examination can inform risk assessments and alert probation to concerns that need to be addressed or responded to with risk management and enforcement measures or by further investigation by partners. Examinations can also provide assurances to the individuals subject to them through being able to better evidence their compliance and honesty and potentially demonstrate reductions in risk.	In the case of a failed or inconclusive test or where there are risk concerns more frequent polygraph examinations should take place. Should a review of the risk of harm assessment suggest risk has demonstratively reduced polygraph examinations can be suspended, or the frequency reduced on a short-term basis. If the decision has been made to discontinue the licence condition should remain in place in case of further risk escalation.

Annex B – OMiC POM RESPONSIBLE CASES

OMiC has committed to ensuring prisoners receive planned, structured, one to one supervision to support a reduction of risk of serious harm and reoffending, which is distinct from generic case management contact tasks (e.g. Parole reports, completing OASys, ODP screening, MAPPA F reports) which underpins supervision. The POM will sequence supervision, interventions and case management tasks to align with the progression of an individual's sentence.

New OMiC POM Supervision Standards for responsible cases

Closed estate - A new set of standards and formal guidance for POM supervision during the custodial element of the sentence will strengthen the management of the supervision period in a custodial setting, by focusing the POM on important touchpoints throughout the management of the case. The standards also permit the POM to exercise professional judgement to determine the required frequency and length of supervision sessions, according to risk and need. The emphasis and focus around supervision should be about the quality and intended outcomes of the work being delivered.

Supervision sessions should be used to build a good working relationship between the individual and the POM. The aim should be to deliver structured work identified in the sentence plan to facilitate a change to behaviour and to respond to any risk and/or needs identified, which may impact on their behaviour in custody and on release.

POMs will also need to be responsive to certain points throughout the sentence of an individual, when planned supervision sessions may need to be more frequent, e.g. critical points such as the period leading up to parole, parole refusal, delivering bespoke interventions to address risk of harm and offending behaviour issues, if there are concerns regarding an individual's mental health or well-being and the time coinciding with the handover to the community and release planning. The POM is responsible for determining the frequency, structure and intensity of these supervision sessions.

Open estate - In the Open estate, individuals are planning for release into the community and therefore there is an increased focus on certain case management tasks during this period, specifically in relation to ROTL, which will assist in planning and assessing suitability for release, when required and what additional support and monitoring may be required. To support this, all individuals in the open estate are expected to receive supervision from their POM.

Female estate - In the Women's Estate, all prisoners will receive supervision, however those who are assessed as high complexity of need will receive additional sessions with their POM rather than key work.

Conditions set the minimum expectations should risk and need require it more stringent standards can be applied

Some standards outlined in the body of this document will also apply to custodial cases. They are highlighted within the sections of the main document, but more detail is provided below:

Supervision requirement	Rationale	Guidance
<p>1.1 Contacts with or with reference to the prisoner are recorded on the Digital Prison Systems within one working day.</p>	<p>Timely completion of records reduces the risk of losing information that has been gathered, or decisions and professional judgements that may have been made.</p> <p>There should be an explicit record of what/when/where contact will take place.</p> <p>Records should be kept on all systems appropriate to the case. Where external systems such as ViSOR (the dangerous persons database managed by the Police) are used this must be in accordance with published requirements.</p> <p>Records should distinguish between fact and opinion and contain sufficient information to support POM tasks.</p>	<p>EQuIP Implement the Sentence</p> <p>EQuIP MAPPA</p> <p>Manage Offender Records</p> <p>Professional Judgement</p> <p>PI 56/2014 Mandatory Use of Visor</p> <p>PI 02/18 Records, information management and retention policy</p> <p>Sensitive Information Guidance</p> <p>EQuIP – CRISS recording</p> <p>OMiC Document Access Guidance</p> <p>OMiC Case Note Guidance</p> <p>OMiC Supervision Guidance</p> <p>OMiC Supervision Checklist</p>
<p>1.2 Records are kept up to date, stored securely, and are accessible to appropriate parties.</p>	<p>It is a legal requirement that records are maintained to ensure compliance with data protection legislation. Operationally, up to date</p>	<p>Sensitive Information Guidance</p> <p>PI 03/2009 – Information Assurance</p>

	<p>records stored in the correct place are necessary to support management of cases.</p> <p>There may be situations where persons other than the practitioner require timely access to records. As such, records need to be maintained in the correct places and where necessary, marked in line with the Information Security Policy.</p> <p>Where information is not disclosable to others it needs to be stored in the correct place, such as confidential sections of Offender Assessment System (OASys). All information held about an individual is potentially liable to disclosure (regardless of where it is stored) if a subject access request (SAR) is made. You should ensure that any entries that are official sensitive are manually marked as such at the start of the entry within the case note and include a handling instruction, for example, by writing 'Official Sensitive - do not disclose to the prisoner'. The 'POM Guidance – Handling Sensitive Information' document provides more detail about how to record, store and share sensitive information. It is however important to note that there are two distinct categories of information that should be stored separately from the prisoner's records: MAPPAs minutes and information gained via the Victim Contact Scheme.</p> <p>Official sensitive records such as Interdepartmental Risk Management Teams (IRMT) meetings and documentation relation to MAPPA meetings and</p>	<p>PI 21/2010 – Information Sharing Agreement</p> <p>PI 20/2010 – Handling of Sensitive Information by Criminal Justice Agencies</p> <p>PI 59/2014 – Management of Offender Records</p> <p>Information Security Policy Framework</p> <p>Data Protection GDPR 2018</p> <p>MAPPAs</p> <p>OMiC Case Note Guidance</p> <p>OMiC Document Access Guidance</p> <p>OMiC POM Handling Sensitive Information</p>
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	<p>the MAPPA F document, will need to be stored in protected files in the secure file structure.</p>	
<p>3.2 The identity of the allocated community offender manager (COM) or Prison Offender Manager (POM) is always clear.</p>	<p>Desistance research indicates the importance of a positive relationship between the POM/COM and prisoner as a vehicle for change. It is therefore important that each case has an identifiable and consistent allocated COM and POM, whether in Custody or the Community. This also ensures that case decisions and accountability are clear, and any enquiries are efficiently directed.</p> <p>The OMiC model indicates that only one professional (POM or COM) can be responsible for the management of a prisoner at any time.</p> <p>POM/COMs can be in either in a responsible or supporting role. This will be dependent upon where the prisoner is in the custodial part of their sentence.</p>	<p>EQuIP – OMIC</p> <p>OMiC Handover</p> <p>OMiC POM Allocation</p> <p>OMiC Early Allocation</p>
<p>4.1 An assessment and sentence plan will be completed by the POM in collaboration with the prisoner. Suitable interventions and activities will be determined by the risk and need of the prisoner, in accordance with the sentence plan objectives.</p>	<p>Research provides evidence that successful outcomes are most likely when the prisoner has been involved in developing plans. Planning should identify set goals relevant the individual and should be sequenced according to their progression through the sentence. Plans should be clear, proportionate and relevant, drawing on the individual’s strengths.</p> <p>There should be an explicit record of what and when contact will take place.</p>	<p>EQuIP – Assessment Quality Assurance</p> <p>EQuIP – SEEDS2</p> <p>EQuIP Sentence Planning</p> <p>EQuIP - PP Toolkit</p> <p>OMiC Oasys and Sentence Planning</p> <p>OMiC OASys QA Tool</p> <p>OMiC Oasys responsibilities and timings</p>

	<p>Intervention delivery will form a significant part of sentence planning and should be proportionate to the nature and length of the sentence.</p> <p>Interventions will include work delivered on a one to one basis or through a prison accredited programme delivered in a group setting.</p>	OMiC Oasys countersigning checklist
4.3 A plan includes:		
4.3.1 The identification of risk of serious harm, reoffending and the needs of the prisoner	<p>An accurate assessment of the risks posed by the prisoner to themselves and others is critical to support effective and responsive case management. This should include an assessment of the nature of the risk, likelihood, immediacy and impact. Strengths and protective factors should be included to ensure that this is holistic. POMs should ensure that all appropriate risk assessment tools are used to inform their assessment such as ARMs Informed OASys, OSP, SARA etc</p> <p>Planning should cover all activity needed to protect identifiable victims or potential victims, should be clearly recorded and proportionate to the level of risk of harm in the case.</p>	EQuIP - ROSH Guidance EQuIP – ARMS Informed OASys EQuIP – RM2000 EQuIP - SARA OMiC Supervision Guidance OMiC Supervision Checklist OMiC Case Management Toolkit OMiC OASys QA Tool
4.3.2 Identification of protected characteristics / equality and diversity needs relevant to the Prisoner. The Equalities Monitoring Tool (EMT) is used in prisons to monitor equality.	<p>All prisoners should be treated with respect and dignity and without any disadvantage based on protected characteristics.</p> <p>An individual’s diversity needs and personal circumstances should be identified and planned for, ensuring the provisions for protected characteristic and vulnerable groups are targeted</p>	Public Sector Equality Duty under the Equality Act 2010 EQuIP - Maturity EQuIP - SEEDS2 Cultural Competence Training

	and effective. This may include commissioning providers specifically to meet diversity needs, such as for those with caring responsibilities, neurodiversity, veterans and care leavers. The practitioner should consider the ability of the prisoner to engage with requirements and seek to mitigate any barriers to ensure intervention is responsive to any identified needs.	Prison and Probation Evidence Resource (Needs and characteristics of people in prison and on probation) EQuIP – Risk Register
4.3.3 A completed risk management plan where the prisoner presents a medium /high or v high risk of serious harm.	Where Risk of Serious Harm (ROSH) is identified as medium, high or very high management of risk needs to be considered in depth. Risk Management Plans (RMPs) should be completed in accordance with the Quality Assurance Tool. These assessments should be made taking into account a wide range of sources of information, including the prisoner, public protection information, security department held intelligence, Prison Police Liaison Officer (PLO), Prison Transfer request form information, Dangerous Prisoner List, Challenge Support Intervention Panels (CSIP) victims and any history of previous supervision and offending.	EQuIP - Assessment Quality Assurance (AQA) EQuIP – 7 Minute Briefings – Risk - 4 pillars guidance EQuIP - RMP OMiC OASys QA Tool
4.3.4 Others involved in the delivery of the sentence are named and contact expectations made clear.	The POM draws together all work being undertaken with the prisoner. This includes work both delivered by Prison Officers undertaking Key Work, prison psychologists, prison healthcare and substance misuse services, interventions, education and resettlement COM teams to ensure that work is co-ordinated and meets the sentence	Sensitive Information Guidance PI 03/2009 – Information Assurance PI 21/2010 – Information Sharing Agreement PI 20/2010 – Handling of Sensitive Information by Criminal Justice Agencies

	<p>plan objectives the POM should be aware of the content and rationale of other department and agencies' plans. Communication between services should ensure that plans are integrated and supportive of each other.</p> <p>Where a case is assessed as high/very high risk of harm, and significant multi-agency risk management is needed, it is essential that plans contained within Multi-Agency Public Protection Arrangement (MAPPA) notes, IRMT notes, child safeguarding records, Active Risk Management System (ARMS) and Offender Assessment System (OASys) are aligned.</p>	<p>PI 59/2014 – Management of Offender Records</p> <p>Information Security Policy Framework</p> <p>Data Protection GDPR 2018</p> <p>MAPPA</p> <p>EQuIP - RAR</p> <p>OMiC OASys QA Tool</p> <p>OMiC POM Handling Sensitive Information</p> <p>OMiC Document Access Guidance</p>
<p>5.2 The delivery of the plan is sequenced to most effectively meet the prisoner's risk and needs.</p>	<p>Sequencing enables prisoners to get the most out of the supervision process by ensuring that they are prepared and ready for each intervention. When considering the order of interventions risk of serious harm must be prioritised, however, this is a balance and some activities enable effective engagement in other objectives. For example, to address risk it may be necessary to obtain mental health support prior to an offence focussed intervention.</p>	<p>EQuIP - Professional Judgement</p> <p>Maslow's Hierarchy of Needs</p> <p>Seeds2 Interactive Learning - awaiting</p> <p>EQuIP – ARMS Informed OASys</p> <p>OMiC OASys QA Tool</p>
<p>6.1 The statutory duties in respect of victims are undertaken.</p>	<p>Working to protect victims is a core aim of HMPPS. The Victim Contact Scheme ensures that that eligible victims are given the opportunity to engage, receive specific information and have their voice heard throughout the sentence.</p>	<p>OMiC Victims</p>

<p>6.2 The allocated POM will check if there is victim liaison engagement and take appropriate action in relation to all relevant custodial cases prior to release.</p>	<p>To ensure that due consideration is given to the victim's views it is important that the POM contacts the Victim Liaison Officer (VLO) during the sentence. This enables the VLO to work with the victim to ensure their views are appropriately presented and considered at relevant points throughout the prisoner's sentence.</p>	<p>OMiC Victims</p>
<p>10.1 The assessment and plan is reviewed whenever there is information indicating a significant change that impacts on the risk of re-offending and/or serious harm posed by the prisoner</p>	<p>Where there are significant changes to the prisoner's key indicators of risk of reoffending and/or harm then assessments and supervision plans will need to be reviewed. Significant changes are those which have a material impact on the management of the case, and the plan should address the actions required to meet risk and needs and protect victims.</p> <p>Both increase and decrease in risk are relevant in necessitating a review and both risk and protective factors should be considered. These factors include those related to risk of harm; including a repeat or escalation of previous risk-related behaviour, emergence of new risk-related behaviour, or allegations of a new (harmful) offence. These may also indicate reductions in risk where changes have been made that indicate further offending and/or harm is less likely.</p> <p>The process of reviewing assessments and plans supports effective practice. Understanding the needs of the prisoner allows resources to be directed where they are most needed. Reviews support targeting interventions at the time when</p>	<p>EQuIP Assess and Review Offender</p> <p>EQuIP - Professional Judgement</p> <p>EQuIP – 7-minute briefing – Offender Management - Procedural Justice/Positive Reinforcement</p> <p>OMiC Victims</p> <p>OMiC OASys QA Tool</p>

	they are needed, POMs being able to balance caseload needs, make timely referrals to partner agencies and enable effective decision making.	
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An additional set of OMiC specific requirements for managing prisoners will strengthen the sentence plan in custody, by setting the frequency of case management within the existing framework.

Supervision requirement	Rationale	Guidance
<p>Start custodial sentence</p> <p>All prisoners will receive a minimum of 3 in-person supervision appointments within 12 weeks at the point of allocation to a POM.</p> <p>This requirement applies to all cases irrespective of tiering levels.</p>	<p>This standard ensures that direct in person contact (where the POM and supervised prisoner are in the same physical space) remains central to the supervision process. Direct contact enables the gathering of information which may not be obvious via video call, In-cell telephony etc. It is also more conducive to developing supportive and positive working relationships.</p> <p>The first 12 weeks of the sentence is a crucial stage in the prisoner’s case management and for this reason prisoners should receive a minimum of 3 supervision sessions in the first 12 weeks at the point of POM allocation to support the building of a positive working relationship.</p> <p>The POM should use their professional judgement to determine how to sequence the sessions in this 12-week period and the frequency of supervision sessions should be based on their progress against the sentence plan and any issue relating to risk of harm to themselves or others. The decision</p>	<p>EQuIP - Professional Judgement</p> <p>OMiC Case Management Toolkit</p> <p>OMiC - EQuIP</p> <p>OMiC Supervision Guidance</p> <p>OMiC Case Note Guidance</p>

	making should be clearly recorded on the prisoner's OMiC case notes on DPS.	
<p>Pre-release – Handover to the COM (Standard Determinate sentenced prisoners)</p> <p>All supervised prisoners with more than 10 months to serve will receive a minimum of 1 in person supervision session in the last 3 months before handover to the COM</p> <p>This requirement applies to all cases irrespective of tiering levels.</p>	<p>Manage POM Cases Service (MPCs) will notify community teams via an automated email 45 days prior to the handover date. POMs will also be able to access information from MPCs to enable them to undertake preparatory work for handover activity.</p> <p>Prisoners who have more than 20 months left to serve from sentence are required to receive a minimum of 3 supervision sessions in the last 3 months of their handover date.</p> <p>Prisoners who have less than 20 months left to serve from sentence are required to receive a minimum of 1 supervision session in the last 3 months of their handover date.</p> <p>Prisoners who have less than 10 months left to serve will not be subject to a handover meeting as the responsibility sits with the COM.</p> <p>It is recognised that it would not be practically possible to hold more than one pre-handover supervision meeting in the last 3 months before handover to the COM, for those prisoners who have less than 20 months left to serve from sentence. This is due to the proximity of the 7.5 months pre-release handover date to the end of the 3 months start custody period.</p>	<p>OMiC Handover</p> <p>OMiC Case Note Guidance</p> <p>OMiC POM Allocation</p> <p>OMiC Early Allocation</p> <p>EQuIP - OMiC</p>

	<p>Pre-release planning is another critical phase in the sentence. The POM will need to ensure that any outstanding areas of work is identified and a pre handover OASys assessment is completed, which will assist the COM in considering resettlement activity.</p> <p>Whilst, Manage POM Cases Service (MPCs) will automatically trigger a notification period to the community for handover, consideration should be given by the POM to those cases that will require a referral under Early Allocation due to the complexities of managing the case.</p>	
<p>POM to POM Transfers through the prison establishments</p> <p>Individuals arriving at a new estate following a transfer will receive a face to face supervision session within 14 working days of their arrival.</p> <p>This requirement applies to all cases irrespective of tiering levels.</p>	<p>This is another critical phase of the sentence. The aim of this handover, as with other handovers, is to transfer information to the new POM, so that progress against the sentence plan can progress seamlessly. This transfer will also ensure the effective transition of critical information, such as any relevant issues relating to risk of harm to themselves or others.</p> <p>There may be challenges during the transition of a change in establishment. Therefore, the individual's first supervision session with their new POM on arrival is important, to continue building on the work to support reduction of risk of serious harm and reoffending. Establishing a good one to one working relationship as soon as possible is key to desistance. One to one supervision will also to</p>	<p>OMiC Handover</p> <p>EQuIP - OMiC</p> <p>OMiC Case Note Guidance</p>

	serve to reinforce the individual's sentence plan objectives.	
<p>Expected Case Management tasks</p> <p>Case management tasks will be undertaken by the POM at certain touchpoints throughout the individual's sentence.</p>	<p>Underpinning supervision, there will be an expectation that important case management tasks are undertaken at various touchpoints.</p> <p>These tasks will be dependent on the progression of an individual through their sentence and the function of the prison location e.g. a Reception, Trainer or Resettlement function.</p>	<p>OMiC Intranet Resource</p> <p>OMiC Open Estate</p> <p>OMiC Women's Estate</p> <p>EQuIP - OMiC</p>

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