

NPS OPERATING MODEL

Version 1.0

Effective. Efficient. Excellent.

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Foreword

This document represents an important milestone in the National Probation Service (NPS) journey to create an organisation we can all be proud of for the future.

In November 2015 we launched the E3 Blue Print with our proposals to introduce a common way of working which received both positive responses and constructive feedback. In April 2016 having taken into account the feedback, we issued the first version of the NPS Operating model for formal consultation with our Trade Unions and to receive feedback from our staff. Since then we have taken account of your comments and suggestions which have informed the operating model now presented in this document.

During a period of considerable upheaval and change, NPS staff have consistently delivered effective services to the courts, offenders and victims. Your commitment and dedication to 'preventing victims by changing lives' is a credit to the Service.

When the NPS was created we inherited a wide variation in how we do our job, how many people do it at what level, and at what cost. The operating model represents a consistent way of working that is fair, sustainable, and will deliver better outcomes.

Much of the operating model is not new. It has been developed with input from probation professionals throughout England and Wales and draws on best practice examples. We know that they work and they will make best use of staff time and resources.

For some of you, the new operating model will require changes to the way you currently work. For a few of you, there may be more fundamental changes. However I want to stress that where there are changes, staff will be fully supported through the transition.

These changes will ensure that we continue to prioritise public protection while ensuring consistency, quality and value for money in everything we do. It provides a standard operating model and an equitable division of resources. But while there will be consistency, I also recognise that local flexibility is required to ensure we are responsive to local needs and priorities. For example, Local Delivery Unit (LDU) clusters will be able to work with local commissioners to develop arrangements to support service users.

In summary, these changes will help us achieve the principles of E3 – Effectiveness, Efficiency and Excellence.

Our commitment

I want to reassure you about the implementation of our new ways of working. Our commitment to you is we will implement change fairly and at a pace that the organisation can manage. Where there is little change we will move to new ways of working swiftly, but in some areas of work we expect implementation will take longer.

I appreciate that any change to how you work can be disruptive and unsettling. Where there are new or changed roles our selection process will be fair, transparent and will aim to be resolved as quickly as possible while maintaining the integrity of the process.

Where training and development is required this will be provided to ensure staff are equipped to take on new ways of working. I also want to stress that this is not a staff reduction exercise and we intend to implement these changes without redundancies.

I'd like to thank all of you who have contributed your ideas and suggestions to the E3 Programme and therefore helped to shape this operating model. I'd also like to express my gratitude for your professionalism and resilience throughout this period of change.

I am confident that the operating model puts the NPS in a strong position for the future.

COLIN ALLARS, Director of Probation

CHAPTER 1

Summary of the Model



Chapter 1 Summary of the Model

Business area	Key components of the model
Courts	<p>Dedicated court teams completing all court reports to deliver improved quality and efficiency of report writing as well as providing consistent advice to sentencers</p>
	<p>Maximise the use of short format reports to contribute to the delivery of more efficient and effective sentencing through court programmes such as Transforming Summary Justice (TSJ) and Better Case Management (BCM)</p>
	<p>Probation Officers to prepare 35% of reports and Probation Services Officers 65%. This will enable more reports to be completed on the day, with the most complex reports reserved for Probation Officers, making best use of the skills of our staff</p>
	<p>Court Administrative Hubs will be planned once the digital court work is complete and will provide dedicated administrative support for the NPS court delivery teams</p>
	<p>A streamlined process for completion of the Risk of Serious Recidivism tool and Case Allocation System will improve processes and reduce duplication of work</p>
	<p>Specialist enforcement administration hubs will provide a more effective and efficient way of administering breach work and the initial NPS decision to proceed.</p>
	<p>An effective proposal framework to inform sentencing proposals so that our proposals reflect best practice and use our resources most effectively</p>
Community supervision	<p>A seven category tiering framework which better reflects the NPS caseload and supports the effective allocation of work</p>
	<p>Individual case management with a single Offender Manager for each case which is supported by evidence of best practice.</p>
	<p>All high risk of serious harm cases managed by qualified Probation Officers</p>
	<p>Low and some medium risk cases managed by appropriately trained Probation Services Officers</p>
	<p>Case management support to assist the Offender Manager with specific tasks</p>
	<p>Group supervision in appropriate cases to support the aims of the sentence</p>



Business area	Key components of the model
Custody	A Quality Assurance Framework (QAF) for Parole Reports which promotes reflective discussion, advance planning and systematic review
	Extend the use of the Parole case management system (currently PPUD) to a wider group of staff so that parole reports incorporate information from other agencies
	Guidelines for enforcement of licences including alternatives to recall and working with recalled prisoners to enhance staff confidence and consistency
	Increased use of teleconferences for oral hearings to reduce unnecessary travel time
Victims	Standard operating model for Victim Contact Service (VCS) to provide consistent service based on the specification for victims services
	Roll out of a new victim case management system to provide improved case recording and management information
	Victim case complexity weighting model and management framework to support equity in caseloads
	Victim administrative hubs to provide specialist support to Victim Liaison Officers
Approved Premises (AP)	Standard staffing model with clear roles and responsibilities
	Standard operating model, prioritising key work and purposeful activities
	Enabling Environments for all Approved Premises to enhance staff skills and improve residents' experience
	Electronic referrals through divisional hubs to reduce duplication and maximise occupancy
Youth Offending Service (YOS)	National framework for secondments, providing clarity for YOS and NPS
	National resourcing model for secondments based on YOS caseload, to ensure consistency
	Standard secondment arrangements for staff, supporting development of skills and support for seconded staff
	Standard workload model for seconded staff, using their skills in risk assessment and risk management

Business area	Key components of the model
Management Structures	Complex and standard LDU cluster model.
	LDU cluster support roles for all clusters with additional resource for complex clusters providing appropriate support to Heads
	Quality Development Officer (QDO) role promoting effective practice and supporting staff
	National framework for involvement in statutory partnerships to provide consistent service to local partners
	Senior Administrative Officers (SAOs) to line manage Case Administrators ensuring appropriate support and skills development

CHAPTER 2

Court



Chapter 2 Court

This section describes the operating model for the provision of reports and other services to courts including enforcement.

NPS responsibilities

The legal authority for the provision of Pre Sentence Reports (PSRs) and of advice and information to courts by the National Probation Service (NPS) is contained within section 4 of the Offender Management Act 2007, which states that “the giving of assistance to any court in determining the appropriate sentence to pass, or making any other decision, in respect of a person charged with or convicted of an offence “is reserved to “a probation trust or other public body”.

The NPS delivers services under a service level agreement (SLA) with NOMS that sets out what is required. The SLA lists the relevant specifications for the NPS and also stipulates what the NPS must provide for CRCs.

The following NOMS service specifications show the outcomes required of NPS delivery in courts:

- bail services
- bail accommodation and support service (BASS)
- court work other than assessments and reports
- assessments and reports pre-sentence

The NPS currently staffs 371 courts with a total of 1,776 employees, providing advice and information to sentencers and offenders. The NPS produces approximately 150,000 pre-sentence reports a year and our staff in court enforce approximately 50,000 cases a year.

The operating model

Court services teams

Dedicated court services teams will prepare all the PSRs requested in the courts they service and will conduct all the enforcement work of their court. Teams will comprise both Probation Officers (POs) and Probation Services Officers (PSOs). POs will support PSOs and prepare specific categories of reports.

Court teams will prepare all reports, relying on information from Offender Managers (OMs) when preparing reports on offenders known to the NPS and the Community Rehabilitation Companies (CRCs). Where a report is requested on a case currently known to the NPS, the relevant OM will provide court staff with a verbal or written update, or will complete a progress report when there is time, i.e. when cases are adjourned for Fast Delivery Reports (FDRs) or Standard Delivery Reports (SDRs). This information will be used by the court team to inform their advice to the court.

Court report delivery

The ambition is for 90% of all court reports to be short format reports which will comprise:

- 60% oral and completed on the day, this work will primarily be generated from Transforming Summary Justice and Better Case Management courts.
- 30% written FDRs

The remaining 10% of Court reports will be SDRs

It is envisaged that PSOs who have completed the required training will complete the majority of reports, with PSRs reserved to POs only in certain specified circumstances. The guidance for the allocation of reports to POs and PSOs is set out below. Manager discretion will apply in implementing this guidance.

The intention is that 65% of reports will be completed by PSOs with the remaining 35% to be completed by POs.

All court reports will, where appropriate, be completed as short format reports by trained and competent PSOs. The exceptions to this, where reports should be completed by a qualified PO, are as follows:

1. cases where a dangerousness assessment is required
2. cases that relate to terrorist offences
3. cases involving serious diagnosed mental health issues where information from a mental health Practitioner or a Psychiatric report is not available on the day
4. cases where behaviour or other available information indicates that there may be serious mental health and/or vulnerability issues despite there being no formal diagnosis
5. cases involving high risk and very high risk domestic violence (as determined by indicative RoSH, offence seriousness and complexity)
6. cases involving medium, high risk and very high risk sexual offending (as determined by indicative RoSH, offence seriousness and complexity)
7. cases involving complex and/or serious child safeguarding issues
8. Serious Organised Crime cases

9. where, in exceptional circumstances, additional information is required to complete a risk of serious harm assessment (e.g. further third party information indicated in relation to a vulnerable victim)

Where reports are completed on the day, they should be delivered orally where feasible. The guidance from PI 04/2016 states “4.2 A PSR delivered orally would focus on specific queries from the Court and providing the court with a proposal either in line with the Court indication or with advice to indicate why the PSR indication cannot be followed”. Oral reports are not suitable for cases requiring the presentation of complex or sensitive information.

Where courts have not indicated consideration of a specific sentence, or there is a clear need for a more detailed assessment than a report delivered on the day can provide, an adjournment may need to be requested. Professional judgement regarding the level of complexity and nature of risk and needs along with what information is available on the day should determine whether the written report is completed on the day or within a longer timescale determined by the court.

SDRs must be completed on cases where a dangerousness assessment or detailed risk analysis is required or those that relate to terrorist offences (1 and 2 above). SDRs may also be considered for the following:

- complex cases that require additional assessments, lengthy professional discussion with colleagues or managers and/ or multiple enquiries to be made to complete a risk analysis
- cases involving serious diagnosed mental health and/or vulnerability requiring a longer interview period or detailed liaison with other agencies where information from a mental health practitioner or a psychiatric report is not available on the day

- cases involving serious sexual or violent offending (including high risk domestic abuse cases where there is a current assessed risk to others). As a minimum, information on the extent of previous incidents needs to be obtained from the police in order to assess risk of harm and suitability for sentencing options in all offences involving domestic violence. In addition a Risk Matrix 2000 or Spousal Assault Risk Assessment (SARA) should be completed for all qualifying index offences
- complex and serious child safeguarding issues where the outcome of enquiries will affect the outcome of sentencing and or risk assessment, for example child neglect cases where the planned intervention of children's services could impact upon the sentence

Streamlining Risk of Serious Recidivism (RSR) tool and Case Allocation System (CAS)

The case allocation process will be streamlined in nDelius using a consolidated case allocation screen and NPS staff will complete risk assessments on all appropriate cases in either OASys or nDelius before they are allocated.

It is intended that this will be consolidated into OASys where there will be a single risk screening process, supported by a full analysis (where required). The case allocation decision will be recorded in nDelius, with clear evidence of what informed the risk assessment, and where issues need to be followed up post sentence by CRCs. For those NPS cases that can be allocated automatically, the full risk of serious harm analysis will be completed, where appropriate, once the case has been allocated to an OM.

Effective proposal framework

An effective proposal framework has been commissioned by NPS. This work is being developed by the Commissioning Strategy Group and the Court Strategy Group and will focus on effectiveness, build upon existing proposal frameworks, support demand management strategies and take account of implications for other providers. This will be available following further development work.

Information exchange arrangements

To achieve the report targets, it will be essential that local systems provide information in a timely manner. NPS senior managers will work at local and divisional level to make sure that staff are able to obtain the information they require from the police and social services promptly, in order to make accurate risk assessments in preparing court reports and for other purposes.

Enforcement administration hubs

A divisional approach to the creation of centralised virtual or actual hubs will be adopted in all divisions. The hubs will be staffed by case administrators who are managed by senior administrative officers. They will, in part, rely on the advice of enforcement officers who can make the decision to accept or reject a breach.

Court administrative hubs

A similar approach will be adopted to the centralisation of court administration work. Divisional hubs will be created and will take the form of either physical or virtual hubs. The details of how these operate will be designed to align with the digital courts programme.

CHAPTER 3

Community Supervision



Chapter 3 Community Supervision

NPS responsibilities

The NPS is required by the commissioning authority, as outlined in the service level agreement to deliver the outcomes and outputs in the applicable NOMS service specifications for community supervision. The minimum Service Delivery Requirements that the NPS is required to meet in community supervision work reflect the key outcomes for the NPS to deliver the sentences of the court, protect the public and reduce re-offending. To support these outcomes, the NPS is required to support victims of crime, manage risk, manage offenders and maintain effective partnerships with CRCs, courts, police, prisons and other partners.

The NPS is also expected to operate within the MAPPA guidance and meet the minimum requirements set out for ViSOR usage set out in PI 56 2014.

The NPS directly manages offenders who pose the highest risk of harm to the public and those who have committed the most serious offences. As at the 31st December 2015 approximately 45% of the caseload (i.e. 43,000 offenders) were managed in the community. Community supervision represented 40% of NPS costs in 2015.

The operating model

Probation Officers (POs) and Probation Services Officers (PSOs) will be managed by an SPO.

A tiering framework will be applied to NPS-managed cases both in custody and in the community. Cases will be tiered according to an updated tiering model (diagram 1), which incorporates static risk factors alongside Risk of Serious Harm (RoSH) which allows the best predictors of future offending to be included in determining resource allocation. Cases will be allocated based on tiering combined with clinical and professional judgement to determine the grade of OM most appropriate for the case. The principles of case allocation are outlined below;

- operational managers will make the final decision about who is managed by whom based on their knowledge of the skills and experience of their team members and local context
- each offender will have a single clearly identified offender manager who is ultimately responsible for the delivery of the risk management and sentence plans through an individualised casework approach
- continuity of offender manager should be maintained wherever it is possible and safe to do so
- offenders under lengthy periods of supervision should be managed and allocated on the basis of their RoSH, considering the other principles above including continuity, i.e. re-allocation of cases may not automatically follow a reduction in risk
- risk of serious harm should be the guiding factor as to whether a case is allocated to a PO or PSO as opposed to case type [e.g. sex offenders, Integrated Offender Management (IOM) cases and Lifers]. Professional judgement needs to be exercised in dealing with complex cases

- lifers and indeterminate sentenced offenders will be managed and allocated on the basis of their RoSH but considering the other principles above including continuity
- low risk sex offenders may be managed by PSOs who are suitably trained and with the appropriate level of managerial oversight
- PSOs training to be POs through the Community Justice Learning (CJL) qualification can manage low and medium risk sex offenders at an appropriate point in their training
- there should be regular management oversight of cases, which will be proportionate to the training and expertise of the designated offender manager

The additional factors within the tiering framework will be applied to both custody and community cases following sentence and reviewed if there is a relevant change of circumstances.

- POs will manage all high and very high RoSH cases in tiers A and B
- PSOs can manage medium RoSH cases in tier C2
- PSOs may manage cases in tier C1 where they have demonstrated competency. PSOs training to be POs through the Community Justice Learning (CJL) qualification can manage tier C1 medium risk sex offenders at an appropriate point in their training
- PSOs will manage low risk cases in tier D2
- PSOs can manage low risk sex offenders in tier D1 once they have undertaken the appropriate training and with management oversight
- PSOs may also manage cases previously managed by Probation Officers in the NPS where risk has reduced. Cases previously transferred to the NPS from a CRC on the basis of increased risk should in the first instance be managed by a PO in order to undertake a full risk assessment and to formulate a risk management plan. Following a period of stability and active risk management which evidences a reduction in risk, the case may be considered suitable to be allocated to a PSO
- all allocation decisions will be subject to management judgement

Diagram 1 – Community Supervision Tiering Model

Risk of Serious Harm				
Indicative tier calculated after sentence and updated if there are any changes in circumstances/new information	D1 D2 + Additional Factors*	C1 C2 + Additional Factors*	B1 B2 + Additional Factors*	A MAPPA Level 2s and Level 3s
	D2 RSR 0-2.9% or OGRS 0-74% or Low (or no) RoSH	C2 RSR 3-6.8% or OGRS 75-89% or Medium RoSH	B2 RSR 6.9%+ or OGRS 90-100% or High/Very High RoSH	

* Additional factors MAPPA Cat 1 level 1, Child protection plan, IOM, vulnerability (defined by 'yes' on OASys section 8, present risk of suicide, self-harm or vulnerability)

Supervision in the community will be based upon an individual casework approach. This model requires that one to one supervision is primarily delivered by the individual with management responsibility for the case. This promotes the concept of continuity and draws upon current desistance theory that the quality of the relationship between the worker and the service user is a major contributor to change. This also means there will be a single line of accountability between the OM and the SPO.

As a result, the separate Offender Supervisor role previously in place in some areas will no longer exist in the new community supervision model.

Other agencies and individuals will continue to provide specific interventions to any offender where they are best placed to do so. Cases may also be transferred between OMs, for example when the risk reduces. In these circumstances, judgement will be key and factors such as the length of time on supervision remaining, and how well reintegrated a case is into the local community, will need to be considered.

Case management support

The model will include 'case management support' for OMs with a range of specific tasks undertaken by other relevant grades to enhance offender supervision. In addition to taking responsibility for the direct offender management of cases, PSOs will undertake tasks which support cases held by POs, including delivering specific pieces of work identified in the sentence plan and non-offender facing activities such as more complex referrals, information gathering and liaison with other agencies. It is anticipated that the case management support role of the PSO will vary in intensity on a case by case basis in accordance with the risk factors and needs that each case presents. There will be clarity at all times about the activity being undertaken, and the timescale involved. Tasks may include:

- deliver specific interventions as identified in the sentence plan e.g. pre-programme work, money management
- complete referrals to accredited programmes, other CRC interventions, AP or partner agencies
- undertake housing referrals, completion of forms, application for grants
- attend partnership meetings as and when required (however child protection conferences will be attended by the allocated PO)
- assist with referrals and case preparation for case conferencing arrangements e.g. MARAC (multi-agency risk assessment conference), MASH (multi-agency safeguarding hub) and IOM (integrated offender management) tasking meetings
- assist offender manager and other partner agencies in gathering case intelligence as and when required
- attend home visits with probation officer grade offender manager in complex cases
- complete HDC (home detention curfew) assessments in liaison with the offender manager
- gather relevant information which will assist the offender manager, for example when preparing for oral hearings / preparing parole reports/recall
- resettlement support including liaison with family members
- referrals to community provision through the community directory
- liaison with VLOs and other victim services

- provide information to court in respect of applications to vary/amend sentence and provide advice about progress of the order

Administrator case management support

Case administrators will provide a full range of administrative support to the Offender Management teams within each LDU cluster. In addition to standard administrative support, they will also provide case management support through undertaking tasks such as:

- sending enquiry/response letters to partner organisations e.g. social care agencies and police
- communicating with internal and external stakeholders/partners to support effective information sharing
- gathering information for relevant multi-agency meetings

The case administrator role will be vital in supporting the process of risk management, including sharing relevant information, however they will not be required to make decisions or apply professional judgement with regard to risk.

Group supervision

Targeted delivery of supervision in groups in certain circumstances will be introduced. Activity will focus on the delivery of material that would routinely be provided in one to one supervision but can be adapted for delivery within a group. This will include

- material to support induction
- rights and responsibilities and general lifestyle factors linked to desistance which will inform sentence planning by the OM

- community integration, designed for those on longer orders/licences that will focus on building social capital, life skills and signposting to other services that can provide ongoing support
- Maps for Change for low risk sex offenders.

Sessions will run on a workshop basis and attendees may be expected to complete exercises either during or outside of the session and be prepared to discuss their work within the group.

CHAPTER 4

Custody



Chapter 4 Custody

Changes in custody work are limited due to the ongoing Offender Management in Custody review

NPS responsibilities

The 2015-16 joint working agreement between NPS and the public sector prisons states that they are jointly responsible for:

- ensuring that there is a Joint Quality Assurance System in place for assessing the output, the timeliness, accuracy and quality of the work produced by NPS Staff and Prison staff in offender management within Prisons
- working in collaboration to ensure any changes in policy are responded to and reflected in the agreement
- working in collaboration to reduce reoffending, protect the public to reduce the number of victims through effective rehabilitation and multi-agency working

The NPS has delivery targets relating to custody cases, specifically

- successful completions of licences
- recall timescales
- PAROM (Parole Assessment Report Offender Manager) timeliness for indeterminate sentenced prisoners.

There are also expectations in relation to pre- release work with MAPPA cases, as set out in the statutory MAPPA guidance

Requirements relating to the interface with the CRC include

- access to interventions in custody through the rate card
- risk escalation
- breach proceedings for post-release notice of supervision cases.

In December 2015 the NPS held a caseload of 51,000 custody cases. During 2015, 10,800 NPS cases were recalled, of which 1950 were subject to a fixed term recall. During 2015 the NPS prepared 3,750 PAROM reports.

The Operating Model

Work with prisoners will continue to be delivered by community OMs in the prisoner's home area working closely with colleagues in prison. This will be subject to review as part of the development of the new public sector prisons operating model.

A new model for offender management in custody is currently being developed which will affect the work of NPS. In particular it will have an impact on how NPS manage pre-release cases as one of the principles of the new model will be that the majority of the work currently carried out by the OM in the community for pre-release cases will be undertaken in custody. Once the design for the new model for offender management in custody is agreed this chapter will be revised and re-issued.

Improving the quality and timeliness of parole processes

SPO oversight of parole work will begin from the early stages of the parole process and will be guided by a new quality assurance framework (QAF). Guidance and training about this approach will be in place for OMs and SPOs. The QAF will ensure a systematic approach to planning, undertaking and reviewing work with prisoners approaching a parole review. OMs and SPOs will discuss cases using a reflective supervision approach to ensure that the OM has considered the case in full. There will be a specific contact in nDelius to record this discussion. OMs will have access to the case management system used in the parole process enabling them to more readily incorporate information from other agencies (e.g. psychological reports) to inform their assessments.

In writing the PAROM, OMs will be expected to use the PAROM checklist and the Best Practice Guide, they should also be making use of peer review by discussing their reports with colleagues. In countersigning PAROMs, SPOs will use the OM check-off tool and related guidance to assess the quality of the report. When an OM has demonstrated consistent quality in writing PAROMs by completing three successive reports assessed as Good, the QAF gives scope for lifting the requirement for routine SPO countersignature of each report. SPOs will continue to audit and endorse a sample of PAROMs each year for every OM as a quality assurance measure. A parallel quality assurance process will enable SPOs to lift the requirement to countersign all OASys assessments on high and very high risk cases where the PO has demonstrated consistently good quality work.

OMs will receive clear direction from the Parole Board about cases in which they should attend oral hearings in person, or take part via telephone conference. Telephone conferencing equipment will be available to OMs, and a directory of equipment will enable staff to maximise its use. Where the prisoner (or OM) has particular needs which mean telephone conferencing would not be effective, the OM will attend in person.

OMs will receive consistent training to support them in participating in oral hearings. SPO training in undertaking reflective discussion will form part of the re-launched SEEDS (Skills for Effective Engagement and Development and Supervision) programme.

There will be regular communication with the Parole Board to align NPS quality standards with Parole Board expectations. Regional forums of board members and NPS will meet to discuss local practice. Parole Board members will also contribute to parole and oral hearing training, and to PAROM quality assurance activity.

Recall work

Recall will continue to be used whenever risk requires this. Training and guidance will be launched which covers enforcement and recall work. This will provide extra confidence to our staff in using alternatives to recall to manage risk effectively and to reduce re-offending where it is appropriate to do so.

The guidance will address the circumstances in which alternatives can be considered, and the range of options available. These may include the Head of LDU cluster imposing additional licence conditions. Guidance for OMs will also draw upon the outcome of the recent pilots in Cardiff and Sussex about good practice with recalled prisoners. This will enable OMs to ensure a re-focus on rehabilitation after recall and to be confident in proposing executive release when sufficiently robust re-release arrangements are in place.

Functional mailboxes will be established in local offices to ensure that communications from the Public Protection Casework section (PPCS) about recalled prisoners are accessed promptly if the OM is not at work.



CHAPTER 5

Victims



Chapter 5 Victims

NPS responsibilities

The NOMS service specification about victim contact shows the outcomes required of the NPS: information is provided to victims of violent and sexual offences under the Victim Contact Service (VCS) and victims feel they have been treated with sensitivity, dignity and respect.

The NPS VCS has a statutory duty under the Code of Practice for Victims of Crime which was created in line with Section 35 of the Domestic Violence Crime and Victims Act (2004), to:

- contact victims of specified sexual and violent offences when the offender is sentenced to 12 months imprisonment or more
- provide information about key stages of an offender's sentence in a way that manages victims' expectations about the criminal justice system
- ascertain whether they want to be informed of any conditions to which the offender may be subject on release which affect them or their family. These are usually non-contact or geographical exclusion conditions
- ascertain whether they want to make any representations regarding victim related conditions to the body considering release
- ascertain whether they want to submit a victim personal statement to the Parole Board and to apply to attend oral hearings

Contact is offered to statutory victims or next of kin and consideration is given to offering contact to victims who do not meet the statutory threshold.

In addition to VCS responsibilities NPS is responsible for ensuring victim safety plans are in place where offenders pose a risk to identified victims or potential victims.

The operating model

There will be a standard operating model for the VCS based on the specification for victim services, producing a harmonised and consistent VCS across England and Wales.

A new Victim Case Management System (VCMS) will be in place from May 2016. This combined with refreshed victim contact service processes (detailed on EQuIP), will clarify staff roles (i.e. what tasks administrators are responsible for and what tasks Victim Liaison Officers (VLOs) must do).

There will be an equitable distribution of staff across divisions, based on workload and geographical spread. VCS teams will consist of VLOs, administrators, and SPOs. VLOs will carry out the tasks in the specification which focus on victim contact and which are assigned to them in EQuIP. Administrators will undertake the supporting activity including referrals, liaising with other agencies for information and maintaining records. The victim contact service and offender management will continue to develop their exchange of information.

Staff working as VLOs will do victim contact work only and will not also work as OMs at the same time.

EQuIP processes will incorporate a range of advice and guidance documents currently included within the national VCS Manual, which forms part of PI 48/2014. All VCS staff will be trained to use the Victim Case Management System and to operate the processes as they are designed and designated.

As part of the development of the VCMS a workload measurement system will be created that will allow managers to support better workload management. This will draw on the data recorded in the VCMS and will be based on activities (e.g. home visit, phone call) weighted to the type of case. The result will be a score which will be used to support management decisions on case allocation.

Each division will have a lead VCS head who will have the strategic responsibility for victim contact services within their division, among other responsibilities. SPOs will manage teams of VLOs, usually among other managerial responsibilities.

There will be dedicated VCS administration undertaken by case administrators. The senior administrative officers managing the victims CAs may also manage CAs in other areas of operational delivery.



CHAPTER 6

Approved Premises



Chapter 6 Approved Premises

NPS responsibilities

The NPS is responsible for the management of 89 Approved Premises (AP), with a total of almost 2,000 bed spaces. In 2014-15 these AP employed just over 800 staff and provided places over the course of the year for more than 11,000 residents.

Operations in AP are currently set out in PI 32/2014 and defined further in the AP Manual.

Each AP should have arrangements in place to contribute to their local MAPPA.

The NPS also holds the responsibility for managing the contracts for the 12 Independent Approved Premises (IAP), and is accountable for the referral and liaison arrangements with the IAP.

Whilst most AP residents are NPS cases, the NPS service level agreement states that if a case allocated to the CRC is referred to an NPS or IAP, the NPS is responsible for assessing their suitability and if the case is admitted, liaising with the CRC about the supervision of the case.

The operating model

AP will have a common framework for their focus and activities and they will all have a standard operating model. This will be reflected in an updated AP Manual.

Each AP will continue to provide the three inter-related but distinct functions of public protection, rehabilitation and residential services. Key AP processes associated with these tasks will be mapped in EQuIP to ensure consistency. This will include a flow chart which shows the process for a resident from pre-release through their residence period and exit.

Each AP will deliver an enhanced regime. This focuses on purposeful activities, linked to resettlement and based on an understanding of desistance research, which are underpinned by the key worker relationship. The activities will be based on the nine resettlement pathways, each AP will provide interventions which address all the pathways. Residents will undertake a minimum of six hours of purposeful activities each week. This will seek to improve outcomes for residents and reduce the levels of recalls. The range of arrangements currently in place for procurement of aspects of the enhanced regime (including linking to local community resources and purchasing from the CRC) will continue. Where an AP has developed an intervention locally, this will be available to other AP through a virtual “library” of AP resources.

Standard AP staffing model

A standard model for staffing will apply to all AP. Larger AP will have additional PSO resource to reflect the additional key work needed with their greater numbers of residents.

Double cover at all times

There will be a minimum of two waking staff on site at all times. A standard rota will be in place across all locations. This will ensure security and appropriate oversight, as well as compliance with health and safety expectations. We will deploy a rota/resource management system to support us to rota staff and allocate tasks.

Approved Premises manager for each premises

There will be a dedicated AP operational manager for each AP, who will be responsible for the smooth running of the premises, the line management of staff, and risk management decisions. Cover arrangements will be in place for when managers are absent.

Area manager role

An Area Manager, with devolved budgetary responsibility, will manage clusters of AP. Clusters will be determined by the size of AP, number of Independent AP, and geography. The Area Manager will report to the divisional Head of Public Protection.

Day and night staffing

Key work with residents will be prioritised through having key worker PSOs for whom this is a core responsibility. Key worker PSOs will work primarily during the day, including some weekend and evening hours to enable them to meet with residents who are in employment. They will focus on individual work with residents, liaise with colleagues in probation and other agencies (e.g. health, police), and deliver purposeful activities.

AP residential workers will undertake tasks focused on residential services, and will work both day and night shifts, including weekends. They will support the delivery of some purposeful activities.

The second staff member on night shifts will undertake security and monitoring work and will be provided through a national contract. This contract will be carefully managed to ensure that the service provided is appropriate.

There will be a senior and a middle manager on the 'out of hours' rota to provide support where necessary and to authorise recalls.

Administrative support

Each AP will have a part-time (0.5) CA who will be line managed by the AP manager. A full time financial administrator will support the work of each of the AP area managers and be line managed by them.

Staff cover

Cover for annual leave and sickness will be provided through staff employed for a certain minimum number of hours who are available to undertake additional hours as needed. They will be paid at a standard rate, with additional payments for those working in London.

Approved Premises for women

Operational staff (Residential Workers, PSO Key workers and contracted staff) in AP for women will be female. This will ensure a safe and supportive environment for residents, and also mean that all operational staff are in a position to undertake tasks such as room checks and searches, or providing first aid to women who self-harm. These tasks can be particularly difficult for male staff.

Enabling Environments and Psychologically Informed Planned Environments (PIPEs)

All AP will be accredited by the Royal College of Psychiatrists as 'Enabling Environments'. Staff will be skilled in interacting with residents and able to work with offenders who present a more challenging range of issues. This will have a benefit for residents in terms of desistance from offending and rehabilitation, with the aim that rates of recall to prison will be reduced.

In addition to training related to the Enabling Environments standard, there will be improved training for staff about new psychoactive substances and managing residents with medication. The use of drug testing kits will be reviewed.

Some AP are already PIPES. These are specifically designed, contained facilities where staff have had additional training to develop an enhanced psychological understanding of their work. AP that are PIPES will have a PO to support this work – this role will be in place of a key worker PSO role.

Standard Electronic Referral Process

A standard electronic referral process, accessed through nDelius will be used for all referrals. This will be informed by a bed vacancy system. It will be a streamlined process, minimising duplication, which ensures that the most challenging cases are prioritised and that all AP take an equitable proportion of those who most need AP placement. The information included in referrals will include information about the offender’s behaviour in prison. There will be agreement at the referral stage between the referring OM and the AP about the length of the offender’s placement in the AP.

Referrals will be processed by divisional referral hubs staffed by administrators, with the risk aspects of the referral addressed in risk conferences held by telephone between the referring OM and an AP Manager. The risk conference will be a formal process undertaken once for each referral. Responsibility for risk conferences will be shared among the divisional AP Managers, who will undertake this task on behalf of the divisional AP Management team. There will be a single risk conference for each referral, with an AP Manager who will assess the case and make decisions about suitability, priority level and the most appropriate placement. Offenders will be placed where possible in their home divisions, but where placement across divisions is necessary this will be arranged through the referral hubs. Placement outside the division will only occur in exceptional circumstances, for example when a resident has particular disability needs, or is under threat from a victim’s family or hostile media attention in their home area.

We will establish a model for sharing health and wellbeing information (including details of medication and substance misuse) between prisons and AP. This will complement separate work within the NHS to enable GPs to access the health database used in prisons. Arrangements for monitoring self-harm and suicidal behaviour will be reviewed.

There will be a standard induction process to ensure that all residents experience a consistent service on arrival at an AP.



CHAPTER 7

Youth Offending Services



Chapter 7 Youth Offending Services

NPS responsibilities

Section 39 (1) of the Crime and Disorder Act 1998 requires the co-operation of the named statutory partner to form a Youth Offending Service (YOS). Within the act probation services are identified as one of the statutory partners alongside the local authority, police and health. Under Transforming Rehabilitation arrangements, the NPS assumed the probation funding responsibility for YOS.

The primary responsibility for Local Authorities is to ensure that a range of youth justice services are delivered through YOS. This currently involves 154 local authorities.

Under the service level agreement relating to the interface with the CRC, the NPS is required to ensure the smooth transfer of young adult offenders who transfer from the YOS and who are allocated to the CRC, and to provide the CRC with all pre-transfer and case allocation information as required.

Both NPS and CRCs have signed up to the national protocol Youth to Adult (Y2A) for transfer of cases from YOS to adult probation services.

The Operating model

Resource model

The NPS contribution to each YOS will be through the provision of seconded staff, who will be qualified POs. The resource contribution for each YOS will equate to approximately 10% of the YOS caseload. Based on the model the PO resource in each YOS will vary depending on the YOS caseload.

Staff will be seconded for a period of three years, this will ensure that YOS benefit from having POs with current skills and knowledge of probation practice. This will also benefit NPS with seconded staff returning and providing expertise in working with 18-25 year old offenders. Secondments will therefore be open on a regular basis to Offender Managers.

National framework agreement

YOS secondments will be made in accordance with an NPS framework which confirms the NPS responsibility for YOS work. The framework will provide clear expectations of secondment arrangements for both YOS and NPS. This framework provides a national consistent approach to working with YOS which meets statutory requirements and good practice.

Standard workload

The workload for a seconded PO will be determined by the YOS. Seconded officers will work with cases who are assessed as high risk of reoffending or harm, MAPPA cases, and those in transition to adult probation services, and will also undertake court work.

CHAPTER 8

Management Structures



Chapter 8 Management Structures

Management Structures are illustrated in the Structure Charts in Appendix 2.

The core management structure for staff will be through either an LDU cluster based on geography, or a function based on specialist tasks.

LDU cluster management

LDU clusters are and will remain aligned with local authorities. The line management structure will be that Heads of LDU clusters directly line manage SPOs who are managing operational teams within the local geographical area.

Heads of LDU clusters will have both operational and strategic responsibility for their LDU clusters. All Heads of cluster will be supported by a Business Manager (BM) and a Diary Manager (DM).

Case Administrators and reception staff (where applicable) will be line managed by Senior Administrative Officers (SAOs), who will themselves be line managed by the BM. The BM and SAOs will assume responsibility for building management tasks.

Senior probation officers will line manage probation officers and probation services officers.

Complex LDU clusters

The variation between LDU clusters will be managed by designating some as complex, based on measuring caseload volume and complexity, local partnerships, geography, courts and offices. Clusters have been ranked in order of complexity. The top 25% will have a Senior Operational Support Manager (SOSM) in addition to the standard management resource to support performance and quality as well as partnership working. In complex clusters the SOSM will have line management responsibility for the BM.

Victim contact service

Each division will have a lead victim contact service head who will have the strategic responsibility for victim contact services within their division among other responsibilities.

SPOs will manage teams of VLOs, usually among other managerial responsibilities. There will be dedicated case administrators for VCS administration and the SAOs who manage them will also manage other administrators.

Approved Premises

An Area Manager, with devolved budgetary responsibility, will manage clusters of AP. Clusters will be determined by the size of AP, number of IAP, and geography. The Area Manager will report to the divisional Head of Public Protection.

There will be a dedicated AP operational manager for each AP, who will be responsible for the smooth running of the premises, the line management of staff, and risk management decisions. Cover arrangements will be in place for when managers are absent.

Each AP will have a part-time (0.5) CA who will be line managed by the AP manager. A full time financial administrator will support the work of each of the AP area managers and be line managed by them.

Out of hours cover

Out of hours cover is necessary to ensure a timely response to incidents in AP and to effect emergency recall of cases where risk levels mean that the decision cannot wait until the next working day. Out of hours decisions for the CRC may be made, where the risk has escalated to high, and may lead to recall of a CRC offender. It also provides a first point of contact for any emergency affecting the NPS and for enquiries from the police or Courts sitting at weekends or bank holidays.

In each division there will be senior and middle managers on the 'out of hours' rota overnight and at weekends and bank holidays. Out of hours calls will be routed via designated AP. Where recalls are necessary, those on cases subject to indeterminate sentences, MAPPA Level 3 or high profile cases will be authorised by the duty senior manager, the duty middle manager will have delegated authority (as per PI 27/2014) to authorise recalls for other cases.

Youth Offending Service (YOS)

A link SPO will have responsibility within each LDU cluster for maintaining contact with NPS staff seconded to the local youth offending service.

These structures are also represented in the structure charts in Appendix 2.

Partnership responsibilities

The national partnership framework specifies which grade of staff is required to attend meetings of key partnership bodies. There are three levels of engagement: full membership, delegated authority and ad hoc attendance.

There are a number of partnerships to which the NPS has a statutory duty, which require attendance at Boards and resources to be made available. The NPS will continue to comply with these statutory responsibilities. Decisions about the level of attendance at other key partnership meetings will be made locally taking local priorities and resources into account.

Partnership responsibilities are set out in Appendix 1. The MAPPA guidance sets out the role of NPS as a responsible authority.

Quality Development Officers (QDOs)

Quality Development Officer roles will be introduced in each division. These roles will be held by Probation Officers and will form a specific team managed through the divisional Performance and Quality team. They will focus on promoting effective practice, undertaking observations of practice and other quality assurance activity, staff mentoring, identifying learning and development needs, embedding learning and general practitioner development. In particular they will be able to provide coaching and support to groups of staff whose roles are changing. QDOs will also support the re-launch and deployment of SEEDS. They will complement the support provided by Practice Tutor Assessors to Probation Qualification Framework and Community Justice Learners. QDOs will be line managed by a quality development SPO who will in addition support the quality and effectiveness of middle managers in the division.

Appendix 1 Partnership Responsibilities

Meeting	Attendance - Statutory / Non Statutory	Substantive Membership (membership and regular attendance)	Delegated Membership (regular attendance in the place of substantive member)	Ad Hoc Membership (to cover short term absences)
MAPPA Strategic Management Board	Statutory	Head of LDU cluster/function	-	Alternate Head of LDU cluster/function or SOSM
Strategic Criminal Justice Board	Statutory	Deputy Director/Head of LDU cluster/function	Head of LDU cluster/function	Alternate Head of LDU cluster/function
Local Criminal Justice Board	Statutory	Head of LDU cluster/function	SOSM or SPO	Alternate Head of LDU cluster/function, SOSM or SPO
Local Safeguarding Children Board (LSCB)	Statutory	Head of LDU cluster/function	SOSM or appropriately experienced and briefed SPO with delegated authority	Alternate Head of LDU cluster/function or SOSM or appropriately experienced and briefed SPO
Local Safeguarding Children Board sub groups	Statutory to comply with Section 11	SOSM or SPO	-	Alternate SOSM or SPO
Safeguarding Adults Board (SAB)	Statutory for health, Police and LA, the NPS is an invited partner	Head of LDU cluster/function/ SOSM	SOSM or appropriately experienced and briefed SPO with delegated authority	Alternate Head of LDU cluster/function or SOSM or appropriately experienced and briefed SPO
SAB subgroups		SOSM or SPO		Alternate SOSM or SPO
Community Safety Partnership (CSP)	Statutory	Head of LDU cluster/function	SOSM or appropriately experienced and briefed SPO with delegated authority	Alternate Head of LDU cluster/function or SOSM or appropriately experienced and briefed SPO

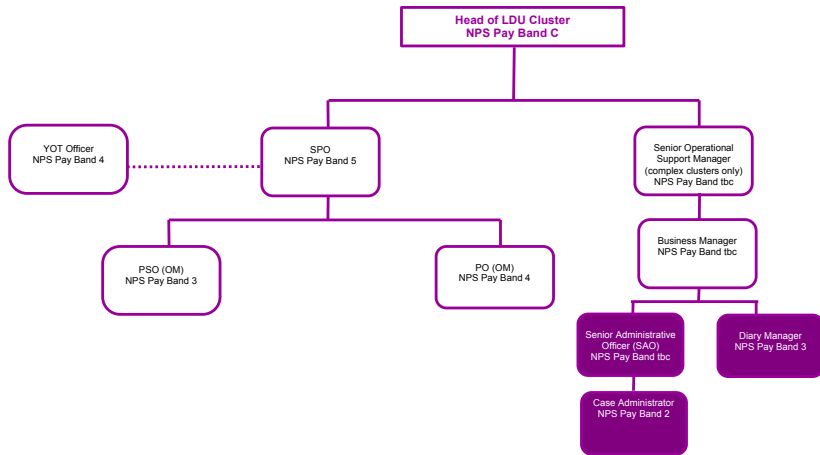
Meeting	Attendance - Statutory / Non Statutory	Substantive Membership (membership and regular attendance)	Delegated Membership (regular attendance in the place of substantive member)	Ad Hoc Membership (to cover short term absences)
Community Safety Partnership Unitary and Upper Tier	Statutory	Head of LDU cluster/function	SOSM	Alternate Head of LDU cluster/function, SOSM or appropriately experienced and briefed SPO
Community Safety Partnership Lower Tier	Attendance level dependent on local priorities	SOSM or SPO	-	Alternate SOSM or SPO
Community Safety Partnership sub groups	Attendance level dependent on local priorities	SOSM or SPO	-	Alternate SOSM or SPO
Domestic Homicide Review Panels	Statutory	Head of LDU cluster/function	SOSM	Alternate Head of LDU cluster/function or SOSM or appropriately experienced and briefed SPO
Serious Case Review Panels (Safeguarding Children)	Statutory	Head of LDU cluster/function	SOSM	Alternate Head of LDU cluster/function, SOSM or appropriately experienced and briefed SPO
Serious Case Review Adults (Safeguarding Adults Review)	Statutory	Head of LDU cluster/Function	SOSM	Alternate Head of LDU cluster/Function or SOSM
Integrated Offender Management Board	Non statutory but NPS plays a key role in reducing reoffending	SOSM or SPO	-	Alternate SOSM or SPO
Sentencer Liaison Committee	Non statutory, but important for NPS to engage with Courts as key stakeholders	SOSM or SPO	-	Alternate SOSM or SPO

Meeting	Attendance - Statutory / Non Statutory	Substantive Membership (membership and regular attendance)	Delegated Membership (regular attendance in the place of substantive member)	Ad Hoc Membership (to cover short term absences)
Local Authority/ health commissioning arrangements	Non statutory but strategically important to enable NPS to influence priorities and access resources.	SOSM or SPO	-	Alternate SOSM or SPO
YOS Boards	Statutory	Head of LDU cluster/function	SOSM or SPO	Alternate Head of Function/ LDU cluster, SOSM or SPO
Reducing Re-offending Board (see LCJB and Strategic Criminal Justice Board above) these boards can be regional and strategic high level or can be alternatively a subgroup of CSP	Non statutory but strategically important to enable NPS to influence priorities and access resources.	If regional and strategic then Head of LDU cluster/function (If a subgroup of the CSP then See CSP subgroups above)	SOSM	Alternate Head of LDU cluster/function, SOSM or SPO
Health and Wellbeing Board	Statutory for Health, Police and LA, NPS is invited partner	Head of LDU cluster/function or SOSM	SOSM	Alternate Head of LDU cluster/function, SOSM or SPO
Multi-Agency Risk Assessment Conference (MARAC)	Non statutory but important for NPS to engage to support risk management	Probation Officer	-	Alternate Probation Officer
Contest Board	Statutory	Head of LDU cluster/function	SOSM or SPO	Alternate Head of LDU cluster/function , SOSM or SPO
Prevent Boards	Statutory	Head of LDU cluster/function	SOSM or SPO	Alternate Head of LDU cluster/function , SOSM or SPO
Channel Panels	Non Statutory but NPS involvement important for risk management and public	SPO	PO	Alternate SPO or PO

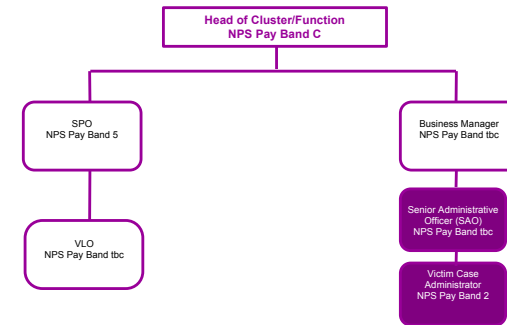
Appendix 2 Structure Charts

These illustrate staffing structures as described in the operating model and do not cover all NPS roles

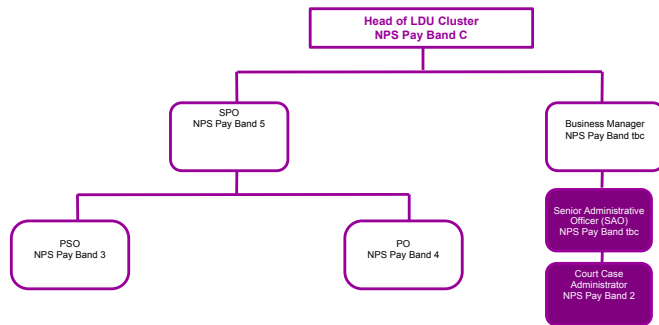
LDU CLUSTER



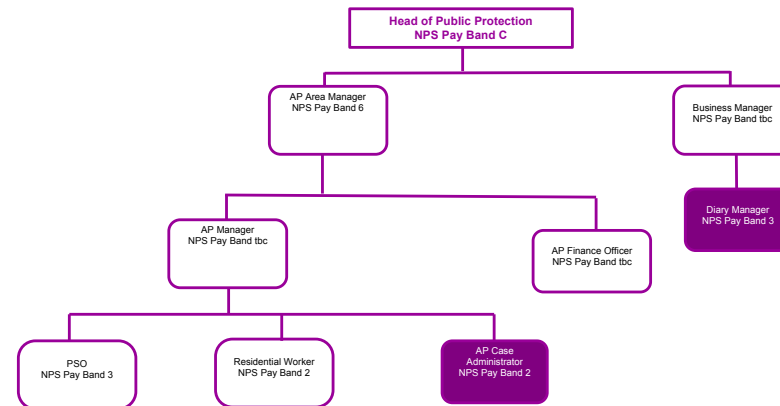
VICTIM CONTACT SERVICE



COURT TEAM



APPROVED PREMISES



Appendix 3 Linked Documents

Courts

Court reports PI 04/2016

<https://intranet.noms.gsi.gov.uk/policies-and-subjects/probation/probation-instructions/pi-2016-04>

Custody

MAPPA guidance

<http://www.justice.gov.uk/downloads/offenders/mappa/mappa-guidance-2012-part1.pdf>

Recall and countersigning arrangements PI 27/2014

<https://intranet.noms.gsi.gov.uk/policies-and-subjects/probation/probation-instructions/probation-ins-2014/pi-2014-27>

Victims

Victims PI 48/2014

<https://intranet.noms.gsi.gov.uk/policies-and-subjects/probation/probation-instructions/probation-ins-2014/pi-2014-48>

Victims Service specification- published in PI 03/2010

Implementation of the Victim Liaison Service Specification.

Accessed at <http://www.justice.gov.uk/about/noms/noms-directory-of-services-and-specifications>

Code of practice for victims of crime

<https://www.gov.uk/government/publications/the-code-of-practice-for-victims-of-crime>

Approved Premises

Approved Premises PI 32/2014

<https://intranet.noms.gsi.gov.uk/policies-and-subjects/probation/probation-instructions/probation-ins-2014/pi-2014-32>

EQuIP user guide -

<https://intranet.noms.gsi.gov.uk/groups/nps-equip/nps-equip-user-guide>