



Ministry  
of Justice

# **Community Performance Quarterly release - Appendices**

**Ministry of Justice**  
Guidance Documentation

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## Annex A – background information

### ***Transforming Rehabilitation: background***

In May 2013 the Ministry of Justice announced “*Transforming Rehabilitation: A Strategy for Reform*”. Full details of the strategy<sup>1</sup> and target operating model<sup>2</sup> are provided as links, and this section outlines why the new operating model should be understood in order to correctly interpret the information contained within this publication.

### **The National Probation Service (NPS) and Community Rehabilitation Companies (CRCs) – the new probation organisations**

Transforming Rehabilitation is changing the way offenders are managed in the community. Since 1 June 2014, probation trusts have been replaced by the National Probation Service (NPS), which manages the most high-risk offenders across seven divisions; and 21 new Community Rehabilitation Companies (CRCs), who manage medium and low-risk offenders. This is a simplified description, but outlines a key message that should be considered at all times when reading this publication: the NPS and CRCs manage a fundamentally different mix of offenders.

### **Guidance on comparing performance levels**

This means that performance, expected performance and comparisons cannot generally be made between the two organisations – even where the delivery of services seems identical. Each caseload of offenders bring their own unique challenges, therefore direct comparisons should not be made. Equally comparison cannot generally be made with performance under the previous arrangements.

### **New performance frameworks to monitor delivery under the new arrangements**

Under the new arrangements, a new performance framework was put into place for each organisation. The frameworks consist of timeliness and quality measures covering mandatory services which must be delivered throughout the offender journey.

These new performance frameworks were introduced in February 2015 (for CRCs) and April 2015 (for NPS) to enable effective performance monitoring. The performance frameworks measure delivery throughout the offender journey, including:

- Court Work and Allocation (NPS only)
- Starting the Sentence
- Completion and Compliance with the sentence of the court
- Delivery of Programmes and Requirements
- Through the Gate
- Enforcement and Risk Escalation
- Assurance Metrics and Other Custodial Services

### **Service level performance**

For all metrics, performance is measured as a percentage. The percentage is the outcome of the equation:

$$\frac{a}{a + b}$$

where:

‘a’ is the number of events or instances recorded as ‘positive’ when reported in line with the definitions contained in the appropriate technical note; an excerpt of each technical notes is contained in Annexes A and B.

‘b’ is the number of events or instances recorded as ‘negative’ when reported in line with the definitions contained in the appropriate technical note; an excerpt of each technical notes is contained in Annexes A and B.

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<sup>1</sup> [www.gov.uk/government/publications/transforming-rehabilitation-a-strategy-for-reform](http://www.gov.uk/government/publications/transforming-rehabilitation-a-strategy-for-reform)

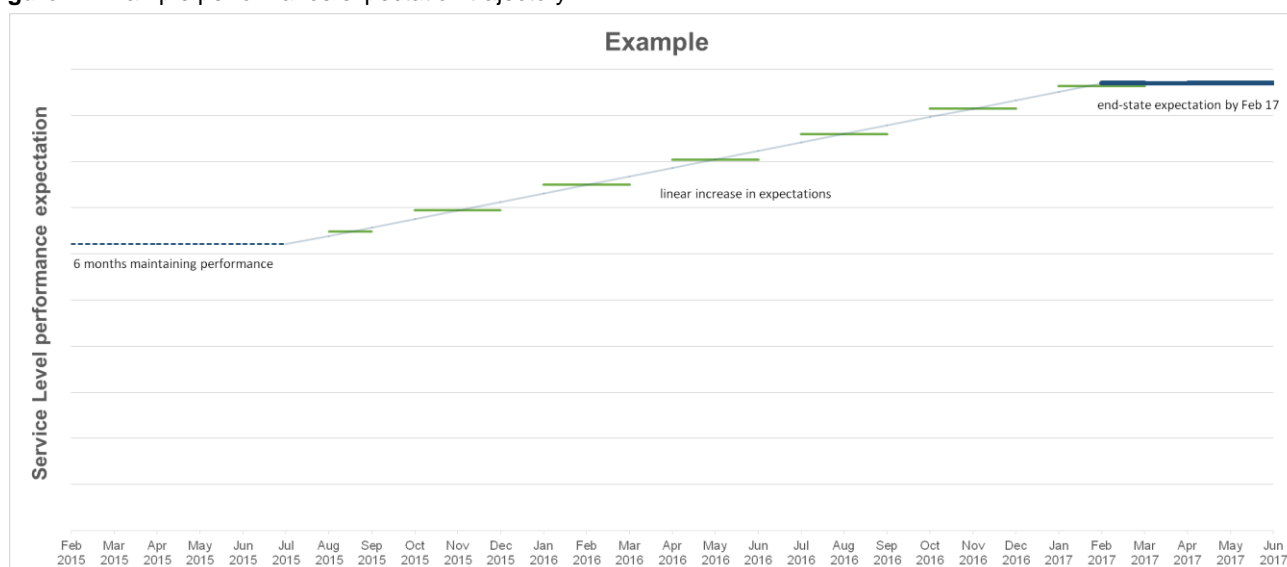
<sup>2</sup> [www.gov.uk/government/publications/rehabilitation-programme-target-operating-model](http://www.gov.uk/government/publications/rehabilitation-programme-target-operating-model)

Events or instances recorded as ‘neutral’ when reported in line with the definitions contained in the appropriate technical note are not included in the calculation.

## Performance expectations

The NPS and CRCs were both given a trajectory of expected performance which culminated in delivery being measured against the end-state targets by February 2017. That trajectory generally meant that providers had six months to maintain delivery, followed by an 18 month linear increase in performance expectations. Some service levels, including all service levels introduced after the start of the contract, were monitored against the end-state target from their introduction.

**Figure A:** Example performance expectation trajectory



In March 2016, EMS made a change to their IT system which allowed national performance monitoring for the first time. Following this, new national EMS targets have been agreed and they will be reviewed annually.

Table A shows how each measure is categorised in relation to performance expectations, this status is also reflected in the relevant section of the publication.

**Table A:** Categorisation of service levels in relation to performance expectations

Organisation	Performance expectation	Service Levels
CRC	6 months to maintain; 18 months ramp-up	SL010, SL013, SL015, SL016
	End-state target expected from outset	SL008, AM A, AM B, AM C, AM D, AM E
	Introduced after ramp-up	SL001r, SL002r, SL003r, SL004r, SL006r, SL011r, SL018, AM H, AM I, AM J
NPS	6 months to maintain; 18 months ramp-up	SL008, SL009, SL011, SL014, SL015
	End-state target expected from outset	SL001, SL002, SL007, SL010, SL012, SL013, SL016, SL017, SL018, SL019, SL021, SL022, SL023, SL025
	Introduced after ramp-up	SL003r, SL004r, SL005r, SL006r, SL024
	Not applicable	SL020
EMS	Interim target expected from outset	SL 4A, SL 4B, SL 4C, SL 5A, SL 5B, SL 5C, SL 7B, SL 8

Figures contained in this document do not necessarily provide the authority’s view in relation to service credits.

## Service Credits

Performance baselines form part of the contractual mechanism for CRCs which govern the application of service credits; a method of financial adjustment applied when performance during a whole quarter is lower than was expected. August and September 2015 were the first months for which service credit(s) were applied to CRCs in the instance of under-performance against expectation on some measures. Service credits are based on performance against service levels, but take a more holistic view of system performance, which considers the increasing trajectory of performance expectations as well as other factors, such as relief events. Figures contained in this document reflect the view of performance prior to consideration of other factors, where applicable, and therefore do not necessarily provide the authority's view in relation to other aspects of the probation system or related contracts, and cannot be used to calculate or even estimate whether service credits are due, or their financial value.

## End-state performance targets

Probation providers (NPS and CRCs) were never expected from the outset to deliver services to the level indicated by the end-state target. The performance baselines were used to set the expected level of performance for internal monitoring purposes until February 2017 - after which the end-state targets are the expected level of performance. Service Level Reviews have since been implemented for both CRC<sup>3</sup> and NPS<sup>4</sup>.

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<sup>3</sup> As a result of the CRC Service Level Review, some performance measures from July 2017 have undergone definitional changes respective to their corresponding measure for June 2017 and earlier. These measures are not considered to be comparable with their previous equivalent. These revised measures are denoted in the publication and supporting tables with 'R'. From July 2017, Service Level 5 – Arrangement of Unpaid Work, Service Level 7 - Completion of the sentence of the court, Service Level 9a - Completion of Licences and Post Sentence Supervision Periods (12 months and over), Service Level 12 - Contractor delivery of Rehabilitation Activity Requirement, Service Level 14 - Pre-release planning, Service Level 17 - Recall referral quality, and Assurance Metric G – Risk escalation Quality have been removed as Service Levels and Assurance Metrics. Assurance Metric F - Recall referral timeliness has been reclassified as a Service Level (018), Service Level 7 - Completion of the sentence of the court has been reclassified as an Assurance Metric (Assurance Metric I). Assurance Metric H (Recall review timeliness) and Assurance Metric J (Compliance of Licences and Post Sentence Supervision) have been added as new Assurance Metrics.

<sup>4</sup> As a result of the NPS Service Level Review, some performance measures for the year 17/18 have undergone definitional changes respective to their corresponding 16/17 measure. These measures are not considered to be comparable with their 16/17 equivalent. These revised measures are denoted in the publication and supporting tables with 'R'. From April 2017, Service Level 8 – RAR Completions and Service Level 13 – Recall Referral Quality have been removed as Service Levels. Service Level 24 – OASys Termination Timeliness has been replaced with NPS Service Level 24 – Recall Review Timeliness. NPS SL019a - Completions of Licences and Post Sentence Supervision Periods (12 months and over) has been merged with the previously unpublished NPS SL019b - Completions of Licences and Post Sentence Supervision Periods (12 months and over), and is now NPS SL019 - Completions of Licences and Post Sentence Supervision Periods.

## **Electronic Monitoring: background**

Electronic monitoring was introduced in 1999 to support the police, courts, prisons and wider justice system in England and Wales.

It is a way of remotely monitoring and recording information on an individual's whereabouts or movements, using an electronic tag which is normally fitted to a subject's ankle. The tag transmits this information, via a base unit installed in a subject's residence, to a monitoring centre where it is processed and recorded in case management systems. Staff in the monitoring centre review this information to see whether an individual is complying with the conditions of their curfew or other electronically monitored requirement. Where a subject is not complying, the electronic monitoring provider either act on this information themselves or provides it to the relevant authority to take the necessary enforcement action.

Electronic monitoring is used:

- As a condition of court bail;
- As a requirement of a court sentence, including community orders and suspended sentences;
- As a licence condition following release from custody, including Home Detention Curfew;
- As a condition of immigration bail, managed by the Home Office; and
- To monitor a small number of subjects on specialist orders including Multi-Agency Public Protection Arrangements (MAPPA), Special Immigration Appeals Commission (SIAC) bail, and Terrorism Prevention and Investigation Measures (TPIMs). Depending on the conditions imposed these may be monitored with a Global Positioning System (GPS) tag rather than a radio frequency (RF) tag.

This publication includes performance of the service delivery relating to radio frequency tags only. It does not include the delivery of the GPS service.

Since financial year 2014/15, EMS Capita has supplied the electronic monitoring service under contract to the Ministry of Justice. Prior to this, from 2005 to 2014 electronic monitoring services were supplied in two regional contracts by G4S and Serco.

On 1 February 2015 the MoJ entered into the Bridge Services contract with Capita. This contract forms part of the Capita New World documentation and is designed to continue the Interim Services operations while the New World contracts are mobilised. The Bridge Services will continue until the delayed New World contract Go-Live is completed.

## **Annex B - Technical Notes**

### **CRC Technical Notes**

The long descriptions and rationale taken from the technical notes for each CRC service level measure. This explains what the measure is, and why the measure is monitored.

#### CRC Service Level Measure 1/1R: Initial contact - Community Orders, Suspended Sentence Orders

##### **Long Description & Rationale**

The percentage of Allocated Persons of the Contractor under a Community Order or Suspended Sentence Order in a month that have a face to face appointment arranged (which shall be physical or by video conference) with the Contractor to take place no later than 5 Business Days after allocation to the Contractor by the Authority in accordance with Schedule 10.

*Rationale: Service Level Measure 1 ensures that initial contact is sufficiently timely to support offender engagement and compliance and to maintain the confidence of the courts.*

*This measure provides assurance that there is contact with the Allocated Person once they have been allocated to the provider.*

*The timeliness element of the measure is to incentivise good public protection practice and compliance with sentence delivery.*

CRC Service Level Measure 2/2R: Initial contact - Release from custody under Licence

**Long Description & Rationale**

The percentage of Allocated Persons of the Contractor released from custody on Licence in a month that have a face to face appointment arranged (which shall be physical or by video conference) with the Contractor to take place no later than 1 Business Day after release (including immediate release from court following a period of remand).

*Rationale: Service Level Measure 2 ensures that the Provider discharges the responsibility included in the Licence that the offender should ordinarily report on the day of release, thereby maximising offender engagement and compliance.*

*This measure provides assurance that there is contact with Allocated Person following release from prison.*

*The timeliness element of the measure is to incentivise good public protection practice and compliance with sentence delivery.*

CRC Service Level Measure 3/3R: Completing the Plan for Allocated Persons with Community Orders and Suspended Sentence Orders

**Long Description & Rationale**

The percentage of Allocated Persons for whom in the relevant month the Contractor has completed a Plan in accordance with Schedule 7 OM8 within 10/15 Business Days after the date that the Allocated Person attends his first appointment with the Contractor.

*Rationale: This measure provides assurance that the providers are undertaking appropriate public protection activity.*

*The plan is the cornerstone of high quality public protection and it is essential that this is conducted early in the sentence*

*Providers are mandated and therefore paid to prepare a plan at the start of a CO/SSO*

CRC Service Level Measure 4/4R: Completing the Plan for Allocated Persons released from custody

**Long Description & Rationale**

The percentage of Allocated Persons of the Contractor released from custody on Licence for whom the Contractor has reviewed any existing Plan and completed a Plan for in accordance with Schedule 7 OM8 within 10/15 Business Days after the date that the Allocated Person attends his first appointment with the Contractor.

*Rationale: This measure provides assurance that the providers are undertaking appropriate public protection activity.*

*The plan is the cornerstone of high quality public protection and it is essential that this is conducted regularly during the sentence*

*Providers are mandated and therefore paid to prepare a plan at the start of a Licence*

CRC Service Level Measure 6/6R: Priority of Arrangement of Unpaid Work

**Long Description & Rationale**

The percentage of Allocated Persons of the Contractor and Designated Retained Persons with an Unpaid Work Requirement in a month that have had Unpaid Work Arranged for that Applicable Person by the Contractor in accordance with Schedule 7

OSR 7 no later than 7 calendar/business days after the date of allocation or assignment of that Applicable Person to the Contractor.

*Rationale: Service Level Measure 6 ensures focus on the timely commencement of Unpaid Work Requirements.*

*This is in line with the mandated requirements for Unpaid Work and the existing contract for London Community Payback. It ensures there is immediacy to the prime sentence requirement for punishment.*

#### CRC Service Level Measure 8: Completion of Community Orders and Suspended Sentence Orders

##### **Long Description & Rationale**

The percentage of completions of Community Orders and Suspended Sentence Orders by Allocated Persons of the Contractor in a month where the reason for that completion of the Community Order or Suspended Sentence Order is positive.

*Rationale: To assess, of the cases that have terminated, the proportion of cases that result in a positive completion. This indicator gives an overview of Relevant Applicable Persons' compliance over the life of the order.*

*This measure provides assurance that the sentence is delivered in its entirety. In addition to ensuring that providers are delivering the services they are paid to do so this also provides assurance for sentencers and other stakeholders that the Authority will be holding providers to account that sentences are delivered. The measure definition will ensure the right balance is taken to ensure we do not disincentivise appropriate breach and recall decisions.*

#### CRC Service Level Measure 10: Contractor Delivery of Unpaid Work Requirement

##### **Long Description & Rationale**

The percentage of positive completions of Unpaid Work Requirements by Allocated Persons of the Contractor and Designated Retained Persons in a month where that Allocated Person or Designated Retained Person is subject to a Community Order, Supervision Default Order or Suspended Sentence Order that contains an Unpaid Work Requirement and where that Allocated Person has not been recorded as a Negative Completion for Service Level 8.

*Rationale: To ensure focus on the positive completion of Unpaid Work Requirements*

*This is in line with the FFS Pay Mech WAV and provides assurance that the sentence requirement is delivered. This also fulfils the Authority's commitments to the National Audit Office.*

#### CRC Service Level Measure 11/11R: Contractor Delivery of a Programme Requirement

##### **Long Description & Rationale**

The percentage of Positive Completions of a Programme Requirement by Allocated Persons of the Contractor and Designated Retained Persons in a month where that Allocated Person or Designated Retained Person is subject to a Community Order or Suspended Sentence Order that contains a Programme Requirement and that Allocated Person or Designated Retained Person has not been recorded as a Negative Completion for Service Level Measure 8.

*Rationale: This measure is to ensure programme integrity and improved programme outcomes.*

*This is in line with the FFS Payment Mechanism WAV and provides assurance that the sentence requirement is delivered. This also fulfils the Authority's commitments to the National Audit Office.*



CRC Service Level Measure 13: Completion of Resettlement Plans

**Long Description & Rationale**

The percentage of Resettlement Persons for whom the Contractor has completed a Resettlement Plan no later than 5 Business Days after the Authority has completed Basic Custody Screening Tool in accordance with Schedule 7 R 1

*Rationale: This is to ensure that the mandated resettlement plan is completed for all offenders regardless of the cohort they are in. This aligns with the Payment Mechanism as providers will be paid to deliver this.*

CRC Service Level Measure 15: Contribution to Assessments for Discharge

**Long Description & Rationale**

The percentage of Allocated Persons released on Home Detention Curfew or on Release on Temporary Licence where the Contractor has provided information for use in the decision making process.

*Rationale: To ensure that Home Detention Curfew (HDC) Assessments and Release on Temporary Licence (ROTL) assessments for Relevant Applicable Persons (Resettlement Persons) have a provider contribution for release on Home Detention Curfew and/or ROTL.*

*This will be undertaken by the Provider where the Relevant Applicable Person is being released to for ROTL/HDC. It will ensure prison Governors can take appropriate decisions and that the ROTL/HDC address is appropriate for release.*

CRC Service Level Measure 16: Quality of Breach referral

**Long Description & Rationale**

The percentage of Breach Information packs from the Contractor that the Authority is able to use for a Breach Presentation without the need for additional information (excluding information that only becomes available after the date that the original Breach Information Pack is completed) in accordance with Schedule 10 paragraph 4(c).

*Rationale: This is to provide assurance that appropriate decisions are taken with regard to the breaching of Allocated Persons and ensure that poor quality referrals do not increase costs to CJS - either NPS time dealing with them or court adjournments, etc.*

CRC Service Level Measure 18: Recall referral timeliness

**Long Description & Rationale**

The percentage of recommendations to Recall an Allocated Person made to the Authority by the Contractor within 24 hours of the Contractor making the decision to request Recall.

*Rationale: This metric provides assurance that risk is being managed and that sentences are being enforced in a timely manner, which is important for sentence delivery and public protection.*

CRC Assurance Metric A: Quality of engagement with Allocated Persons

**Long Description & Rationale**

The percentage of Offender Surveys conducted by the Contractor that demonstrate an Overall Positive Experience by the Allocated Person in each six month period.

*Rationale: To gain feedback from offenders and to evaluate and improve the quality and effectiveness of offender engagement.*

*This will provide assurance that the Provider delivers on their commitments to providing high quality offender management as outlined in their bids. Offender engagement is essential to public protection, reducing reoffending and successfully completing sentences.*

CRC Assurance Metric B: Serious Further Offences Reviews

**Long Description & Rationale**

The percentage of acceptable Serious Further Offence Action Plans conducted by the Contractor within 3 months of an Allocated Person of the Contractor being charged with a Serious Further Offence.

*Rationale: A Key element of public protection is learning from Serious Further Offences. Financially penalising CRCs for SFOs or for their response risks undermining their engagement in the review and therefore learning and improving from them. However we want to ensure that appropriate plans are in place to improve services and reduce the chances of future SFOs. This measure will enable us to ensure an appropriate response is in place to implement the learning from Reviews.*

*This measure will inform Ministers and senior officials of high profile SFO's committed by offenders who have been subject to supervision in the community, and to ensure any management or operational lessons learned are addressed and where necessary embedded in performance improvement initiatives.*

CRC Assurance Metric C: Allocated Person Resettlement Services - Accommodation

**Long Description & Rationale**

The percentage of Allocated Persons in the relevant month that on release from custody have Settled Accommodation

*Rationale: The purpose of this measure is to identify the number of people discharged from custody with accommodation secured for release. Collation of this data will indicate the effectiveness of the provider and its partners in supporting offenders into accommodation.*

*Measuring these at release from prison will provide assurance that quality resettlement services are being delivered in custody in line with mandated services. Whilst we will not reward Providers for these 'interim outcomes' we do want to be able to deal with any decrease in offenders leaving prison or ending their community supervision with homes, employment or on training/education. These are long standing measures and are key to successful rehabilitation so we want to maintain the evidence base in terms of offenders achieving these outcomes.*

CRC Assurance Metric D: Accredited Programme Quality

**Long Description & Rationale**

The percentage of Accredited Programs meeting required quality assurance to show adherence to accreditations standards which shall be calculated in accordance with the process set out in Appendix 4 of Schedule 9 of the CRC contract.

CRC Assurance Metric E: Breach referral timeliness

**Long Description & Rationale**

The percentage of alleged breaches of a Community Order, Suspended Sentence Order, Post Sentence Supervision Period or Supervision Default Order by an Allocated Person of the Contractor referred to the Authority in accordance with Schedule 7 OM27 or OM28 and Schedule 10 paragraph 4(c) for Breach Presentation within 8 Business Days after the Contractor becoming aware of the alleged breach occurring

*Rationale: This supports the quality service level measure and provides assurance that sentences are being enforced in a timely manner which is important for sentence delivery and public protection*

CRC Assurance Metric H: Recall Part B Timeliness

**Long Description & Rationale**

The percentage of Recall Part B (Risk Management Plan) documents (being the relevant part of the Plan) which are supplied to the Authority within 10 Business Days of an Allocated Person's Standard Recall to custody in the relevant month.

*Rationale: This measure is to provide assurance that decisions regarding release or ongoing detention following recall can be made in line with legislation, based on mandatory information, without any delay, which may otherwise delay the review of the detention of an offender, which in turn could lead to a claim and an adverse view of the Authority.*

CRC Assurance Metric I: Completion of the Sentence of the Court

**Long Description & Rationale**

The percentage of Allocated Persons whose completion of the sentence of the court has been recorded by the Contractor when completed in accordance with paragraphs 4(s) and 4(t) of Part 2 of Schedule 20 (Management Information).

*Rationale: This provides assurance that Providers are delivering services to all offenders and informing the Authority of the actions taken for all offenders they are allocated. Timely information of case termination is necessary for accurate calculation of performance, and to ensure that proper data protection arrangements are maintained.*

CRC Assurance Metric J: Compliance with Licences and Post Sentence Supervision Periods

**Long Description & Rationale**

The percentage of Positive Compliance Outcomes with Licences and, where applicable, Post Sentence Supervision Periods by Allocated Persons of the Contractor in a month.

*Rationale: This measure provides assurance that the sentence is delivered in its entirety. In addition to ensuring that providers are delivering the services they are paid to do so this also provides assurance for sentencers and other stakeholders that the Authority will be holding providers to account that sentences are delivered. The measure definition will ensure the right balance is taken to ensure we do not dis-incentivise appropriate breach and recall decisions.*

***NPS Technical Notes***

The long descriptions and rationale taken from the technical notes for each NPS service level. This explains what the measure is, and why the measure is monitored.

NPS SL001. Pre-Sentence Report Timeliness

**Long Description & Rationale**

The percentage of Pre-Sentence Reports completed by the National Probation Service within the timescales set by the court (including remands in custody).

*Rationale: To ensure the National Probation Service is providing a timely service to the courts with respect to the preparation of Pre-Sentence Reports.*

NPS SL002. Allocation Timeliness

**Long Description & Rationale** The proportion of cases in the relevant month where the NPS has allocated an offender by the end of the second full business day following the date of sentence.

*Rationale: To ensure offenders are being allocated in a timely manner.*

NPS SL003/NPS SL003R. Initial contact - Community Orders, Suspended Sentence Orders

**Long Description & Rationale** The percentage of Retained Persons (under a Community Order or Suspended Sentence Order) in the relevant month who have a face to face appointment with the NPS arranged (which shall be physical or by video conference) to take place no later than 5 business days after allocation to the NPS.

*Rationale: This ensures that initial contact is sufficiently timely to support offender engagement and compliance and to maintain the confidence of the courts.*

*The timeliness element of the measure is to incentivise good public protection practice and compliance with sentence delivery.*

NPS SL004/NPS SL004R. Initial contact - Release from custody under Licence

**Long Description & Rationale** The percentage of Retained Persons in the relevant month who have a face to face appointment with the NPS arranged (which shall be physical or by video conference) to take place no later than 1 business day after release (including immediate release from court following a period of remand).

*Rationale: This ensures that the NPS discharges the responsibility included in the Licence that the offender should ordinarily report on the day of release, thereby maximising offender engagement and compliance.*

*This measure provides assurance that there is contact with Retained Person following release from prison.*

*The timeliness element of the measure is to incentivise good public protection practice and compliance with sentence delivery.*

NPS SL005/NPS SL005R. Completing the Plan for Retained Persons with Community Orders and Suspended Sentence Orders

**Long Description & Rationale** The percentage of Retained Persons under Community Orders or Suspended Sentence Orders for whom in the relevant month the NPS has completed a Plan for within 10/15 business days after the date the Retained Person attends their first appointment with the NPS.

*Rationale: This measure provides assurance that the NPS is undertaking appropriate public protection activity.*

*The plan is the cornerstone of high quality public protection and it is essential that this is conducted early in the sentence*

NPS SL006/NPS SL006R. Completing the Plan for Retained Persons released from custody

**Long Description & Rationale** The percentage of Retained Persons released from custody on licence for whom in the relevant month the NPS has completed a Plan for within 10/15 business days after the date the Retained Person attends their first appointment with the NPS.

*Rationale: This measure provides assurance that the NPS is undertaking appropriate public protection activity.*

*The plan is the cornerstone of high quality public protection and it is essential that this is conducted early in the sentence*

#### NPS SL007. Allocation of UPW Requirements

**Long Description & Rationale** The percentage of UPW Requirements of Retained Persons transferred to CRCs within 5 business days after allocation to the NPS.

*Rationale: This ensures that UPW requirements of Retained Persons are notified to Providers in a timely manner and to facilitate timely commencement of UPW requirements.*

#### NPS SL009. Sex Offender Treatment Programmes (SOTP) Completions

**Long Description & Rationale** The percentage of positive completions of a SOTP Requirements delivered by the National Probation Service in a month.

*Rationale: To ensure focus on the positive completion of SOTP Requirements*

#### NPS SL010. Accredited Programme Quality

**Long Description & Rationale** The percentage rating calculated by NOMS Interventions Services following assessment of delivery meeting required quality assurance to show adherence to accreditation standards

#### NPS SL011. Response to Risk Escalation

**Long Description & Rationale** The proportion of cases where the response to a risk escalation referral has been communicated to the Community Rehabilitation Company within one business day following receipt of the referral.

*Rationale: To provide assurance that risk is being managed and that risk escalation referrals are being managed in a timely manner by the National Probation Service (NPS). This will assist with public protection, risk management and managing whole system costs by incentivising efficient processing of referrals and good working relationships with Providers.*

#### NPS SL012. Recall Timeliness

**Long Description & Rationale** The percentage of standard and fixed-term recall referrals made within 24 hours of the NPS becoming aware of the alleged breach occurring.

*Rationale: This metric provides assurance that risk is being managed and that licence conditions are being enforced in a timely manner, which is important for sentence delivery and public protection.*

#### NPS SL014. Breach Timeliness (NPS)

**Long Description & Rationale** The percentage of alleged breaches of a Community Order, Suspended Sentence Order, Post Sentence Supervision Period of Supervision Default Order by a Retained Person

presented to court by the NPS within 10 business days of the NPS becoming aware of the alleged breach occurring.

#### NPS SL015. Response to Breach Referral (CRCs)

##### **Long Description & Rationale**

The proportion of breach referral requests that are presented to court by the National Probation Service within 2 business days of receiving an acceptable referral request from a Community Rehabilitation Company.

*Rationale: This provides assurance that sentences are being enforced in a timely manner which is important for sentence delivery and public protection*

#### NPS SL016. MAPPA Attendance

##### **Long Description & Rationale**

To ensure the National Probation Service fulfils its responsibility by:

- Creating required records on VISOR
- Attendance at quarterly SMB meetings
- Attendance at each level 2 and level 3 MAPPA meeting

#### NPS SL017. Serious Further Offences Reviews

##### **Long Description & Rationale**

The percentage of acceptable Serious Further Offence Reviews conducted by the NPS for Retained Persons within 3 months of notification of the SFO being submitted to NOMS .

*Rationale: An element of public protection is learning from Serious Further Offences. NOMS want to ensure that appropriate plans are in place to improve services and reduce the chances of future SFOs. This measure will enable us to ensure an appropriate response is in place to implement the learning from Reviews. The metric definition will depend on the SFO Review process being finalised*

*This measure will inform Ministers and senior officials of high profile SFO's committed by offenders who have been subject to supervision in the community, and to ensure any management or operational lessons learned are addressed and where necessary embedded in performance improvement initiatives.*

#### NPS SL018. Completions of Community Orders and Suspended Sentence Orders

##### **Long Description & Rationale**

Percentage of completions of Community Orders and Suspended Sentence Orders by Retained Persons in a month which were positive

*Rationale: To assess, of the cases that have terminated, the proportion of cases that result in a positive completion. This indicator gives an overview of Retained Person's' compliance over the life of the order.*

*This measure provides assurance that the sentence is delivered in its entirety.*

#### NPS SL019. Positive Completions of Licences and Post Sentence Supervision Periods

##### **Long Description & Rationale**

Percentage of completions of Licences and, where applicable, Post Sentence Supervision Periods, by Retained Persons in a month which were positive.

*Rationale: To assess, of the cases that have terminated, the proportion of cases that result in a positive completion. This indicator gives an overview of Retained Person's' compliance over the life of the licence.*

*This measure provides assurance that the sentence is delivered in its entirety.*

NPS SL021. OASys Quality Assurance

**Long Description & Rationale**      The percentage of OASys assessments are assessed as either “Satisfactory” or “Good” on the OASys Quality Assurance

*Rationale: To support, evaluate the delivery of and help ensure consistently high quality completion of OASys Assessments.*

NPS SL022. Generic Parole Process - PAROM1 Return timeliness

**Long Description & Rationale**      The percentage of indeterminate and determinate parole assessment reports (PAROM1s) that are sent within the timescale specified by the NOMS Offender Management and Public Protection Group.

*Rationale: To ensure timely submission of parole reports by the NPS as part of the Generic Parole Process for indeterminate prisoners.*

NPS SL023. Quality of Engagement

**Long Description & Rationale**      Percentage of Retained Persons with an overall positive experience of engagement in each six month period.

*Rationale: To gain feedback from offenders and to evaluate and improve the quality and effectiveness of offender engagement.*

NPS SL024. Recall Review Report (Part B) Timeliness

**Long Description & Rationale**      The percentage of Recall Part B (Risk Management Plan) documents which are supplied to the OMPPG within 10 Business Days of a Retained Person’s Return to Custody, and for Allocated Persons those reports considered for endorsement within two business days of transfer to the NPS for endorsement. To inform about the level of risk and to enable a timely decision about release or ongoing detention to be made.

*Rationale: This measure is to provide assurance that decisions regarding release or ongoing detention following recall can be made in line with legislation, based on mandatory information, without any delay, which may otherwise delay the review of the detention of an offender, which in turn could lead to a claim and an adverse view of the Authority.*

NPS SL025. Victim Feedback

**Long Description & Rationale**      Percentage of victims surveyed who are satisfied or very satisfied with service they received.

*Rationale: To evaluate the quality of service delivered to the victims of crime.*

## **EMS Technical Notes**

The long descriptions and rationale for each EMS service level. Long descriptions are taken from the technical notes. This explains what the measure is, and why the measure is monitored.

### EM Service Level Measure 4A: Equipment Installation and Subject induction – First attempt within specified timescales

#### **Long Description & Rationale**

The Electronic Monitoring service provider will receive a notification of a new monitoring requirement. Where the information supplied in the request is complete there is a requirement that the EMS provider makes a first installation attempt within defined timescales of receipt, as follows:

- i) the first day of monitoring requirement where the notification is received before 15:00 of that day and the curfew start time is before 23:00 for adult subjects and 22:00 for juvenile subjects.
- ii) the second day of monitoring requirement where the notification is received after 15:00 on the first day of monitoring requirement or the curfew start time is after 23:00 for adult subjects and 22:00 for juvenile subjects
- iii) the deadline times for installation are 23:59:59 for adult subjects and 22:00 for juvenile subjects, except where the curfew start time is at or after 23:00 (or after 21:00 for juvenile subjects) in which case the deadline time is the earlier of two hours after the curfew start time or 01:00 the next day.

*Rationale: Service Level Measure 4a ensures that a visit has been made to install the equipment and induct the subject.*

*This measure provides assurance that the provider has made the necessary steps to initiate the electronic monitoring of the subject.*

*The timeliness element of the measure is to incentivise good public protection practice and compliance with sentence delivery*

### EM Service Level Measure 4B: Equipment Installation and Subject induction – Further attempt(s) within specified timescales

#### **Long Description & Rationale**

The Electronic Monitoring service provider will receive a notification of a new monitoring requirement. Where the information supplied in the request is complete there is a requirement that the EM provider makes a first installation attempt within defined timescales of receipt. Where a first attempt to install monitoring equipment is unsuccessful the provider should make a second (and for juvenile subjects, where required, a third) attempt to install monitoring equipment, each attempt being made within defined timescales, as follows:

- i) the second day of monitoring requirement for the second attempt (and the third day of monitoring requirement for the third attempt for juveniles only).
- ii) the deadline times for installation are 23:59:59 for adult subjects and 22:00 for juvenile subjects, except where the curfew start time is after 23:00 (or 21:00 for juvenile subjects) in which case the deadline time is the earlier of two hours after the curfew start time or 01:00 the next day.

*Rationale: Service Level Measure 4b ensures that a visit has been made to install the equipment and induct the subject.*

*This measure provides assurance that the provider has made the necessary steps to initiate the electronic monitoring of the subject.*

*The timeliness element of the measure is to incentivise good public protection practice and compliance with sentence delivery.*



EM Service Level Measure 4C: Equipment re-installation – attempt within specified timescales

**Long Description & Rationale**

The Electronic Monitoring service provider will receive a notification to re-install monitoring equipment following an address variation or authorised absence. Where the information supplied in the request is complete there is a requirement for the EM provider to make up to two attempts (3 for juveniles) to re-install the monitoring equipment, each attempt being made within defined timescales, as follows:

- i) on the first day of monitoring for first attempts (unless the notification is received after 15:00 on the first day of monitoring or the curfew start time is after 21:00 for juvenile subjects or 23:00 for adult subjects in which case the second day of monitoring is acceptable.
- ii) on the second day of monitoring requirement (third day if the curfew start time is after 23:00/21:00) if a second attempt is required.
- iii) for juveniles only, on the third day of monitoring requirement (fourth day if the curfew start time is after 21:00) if a third attempt is required.
- iv) the deadline times for installation are 23:59:59 for adult subjects and 22:00 for juvenile subjects, except where the curfew start time is after 23:00 (or 21:00 for juvenile subjects) in which case the deadline time is the earlier of two hours after the curfew start time or 01:00.

*Rationale: Service Level Measure 4c ensures that following a break in service, a visit has been made to reinstall the equipment.*

*This measure provides assurance that the provider has made the necessary steps to continue the electronic monitoring of the subject.*

*The timeliness element of the measure is to incentivise good public protection practice and compliance with sentence delivery.*

EM Service Level Measure 5A: Equipment removal – attempt within specified timescales

**Long Description & Rationale**

The EMS service provider should make a first attempt to remove monitoring equipment within defined timescales as follows:

- 1) By 23:59hrs on the day that the monitoring requirement ends for an adult subject
- 2) By 21:59hrs on the day that the monitoring requirement ends for a juvenile subject

*Rationale: Service Level Measure 5a ensures that monitoring is ceased at the correct time and that publicly-owned equipment is recovered.*

EM Service Level Measure 5B: Equipment removal (bail cases) – attempt within specified timescales

**Long Description & Rationale**

The EMS service provider should make a first attempt to remove monitoring equipment for bail cases within defined timescales on the day that the monitoring requirement ends.

The EMS service provider will receive a notification informing them of the end of the requirement to monitor a bail subject. Following receipt of the notification the provider should remove the monitoring equipment within defined timescales which depend on when the notification was received, whether the subject is a juvenile or adult and the time at which the curfew period is scheduled to start. Where the number of removal visits outside of the defined timescales exceeds an agreed proportion, then a per case service credit is applied for each case above the agreed proportion.

*Rationale: Service Level Measure 5b ensures that monitoring is ceased at the correct time and that publicly-owned equipment is recovered.*

EM Service Level Measure 5C: Equipment check following tamper violation – attempt within specified timescales

**Long Description & Rationale**

The Electronic Monitoring service provider will receive an alert when a subject has tampered with their equipment. On receipt of this alert the EMS service provider shall visit the subject's address within specified timescales, as listed below, to check the equipment. The timescales are:

- i) Within 4 hours if there are 4 or more hours remaining in the current curfew period from the time that the tamper occurs.
- ii) Within 1 hour of the start of the next curfew period if there are 3 or more but less than 4 hours remaining in the current curfew period from the time that the tamper occurs.
- iii) Within 4 hours, less the time remaining in the current curfew period, of the next curfew period if there are less than 3 hours remaining in the current curfew period from the time that the tamper occurs.
- iv) Within 4 hours of the next curfew period if the tamper occurs outside of a curfew period.

*Rationale: Service Level Measure 5c provides assurance that the provider collects evidence of tamper violations for the NPS to use in breach proceedings and ensures a Subject has working equipment which allows them to be electronically monitored. This measure provides assurance that all subjects have working equipment. The timeliness element is to incentivise good public protection practice and compliance with sentence delivery.*

EM Service Level Measure 7B: Request for information required to commence orders – within specified timescales

**Long Description & Rationale**

The Electronic Monitoring service provider will receive a notification of a new monitoring requirement or requirement to reinstall monitoring equipment. On receipt of a notification the Service Provider shall check the notification for incomplete information. Where information relating to one of fourteen specific categories is found to be incomplete, the Service Provider will request the missing data, within defined timescales, as follows:

- i) within two hours of the notification being received if it is received before 15:00 on a working day,
- ii) by 10:00 of the next working day where the notification is received on a non-working day or at or after 15:00 on a working day.

*Rationale: Service Level Measure 7B ensures that the provider has collected all the information needed to electronically monitor a subject. This measure provides assurance that the provider has made the necessary steps to initiate the electronic monitoring of the subject. The timeliness element of the measure is to incentivise good public protection practice and compliance with sentence delivery.*

EM Service Level Measure 8: Call to curfew location following possible violation – within specified timescales

**Long Description & Rationale**

The Electronic Monitoring service provider will receive an alert that a subject has violated their curfew requirement. On receipt of this alert the Service Provider shall call the curfew location within 30 minutes.

*Rationale: Service Level Measure 8 ensures that the provider collects information on the whereabouts of the subject and any information which may be used by the NPS as evidence in breach proceedings. Appropriate investigation of alerts can also indicate equipment faults. Such investigation can incentivise good public protection practice and compliance with sentence delivery.*

## Annex C: Glossary

### General terms

<b>Accredited/offending behaviour programmes</b>	A structured programme that is evidence-based. Programmes are designed to address specific offending related factors which are identified as leading to offending behaviour. The programmes vary in length and complexity and are targeted according to the risk and offending related needs of the offender. Examples include; domestic violence, thinking skills, sexual offending and substance misuse. Many programmes are nationally defined and accredited by the Correctional Services Advice and Accreditation Panel (CSAAP)
<b>Allocated Person</b>	An offender allocated to a Community Rehabilitation Company for management
<b>Basic Custody Screening Tool (BCST/BCS)</b>	An assessment tool used for the management of offenders at the point they begin a custodial sentence.
<b>Breach Information Pack</b>	A set of documents prepared by the Responsible Officer to support their decision to give notice to the Enforcement Officer to instigate breach proceedings against the offender.
<b>Community Rehabilitation Company (CRC)</b>	The organisations responsible for the delivery of offender management to medium and lower risk offenders. A single parent company may own several CRCs.
<b>Contract Package Area (CPA)</b>	The regions in which delivery of offender management to medium and lower risk offenders is organised. Generally, each CRC has responsibility for one delivery in one CPA.
<b>Electronic Monitoring</b>	A way of remotely monitoring and recording information on an individual's whereabouts or movements, using an electronic tag.
<b>Electronic Monitoring Services (EMS)</b>	The organisation responsible for the delivery of Electronic Monitoring.
<b>Home Detention Curfew</b>	Home Detention Curfew (HDC) is a statutory scheme that allows the Secretary of State to release certain prisoners earlier than would otherwise be the case. It applies to prisoners who are serving sentences of between three months and under four years. It is designed to assist prisoners to resettle into the community. Prisoners released on HDC are required to comply with an electronically monitored curfew by wearing a tag and remaining at a curfew address (normally for 12 hours per day).
<b>Licence</b>	The period in which a prisoner is released from prison to serve the remainder of their sentence in the community. Offenders subject to post-release licence are required to adhere to specific conditions as part of their licence. Conditions for offenders released from determinate sentences are set by the governor/controller (on behalf of the Secretary of State) from the releasing prison for determinate sentences. Where the sentence is indeterminate, licence conditions are set by the Parole Board.
<b>National Probation Service (NPS)</b>	The organisation responsible for the delivery of offender management to higher risk offenders. The NPS is divided into seven Divisions covering different regions.

<b>Offender Assessment System (OASys)</b>	A national system for recording a structured assessment of offending risk and needs and of risk of serious harm.
<b>Offender management and Offender Manager</b>	Offender management provides an end-to-end process of supervision by a named Offender Manager throughout a sentence. The Offender Manager is responsible for the overall management of the offender and discharges this by; determining and implementing the sentence plan and liaising with all agencies involved in delivering the requirements of the sentence to ensure it is delivered effectively and public protection is maximised. NOMS Offender Management Model 2005. Sometimes also referred to as the Responsible Officer.
<b>Offender Rehabilitation Act 2014</b>	The Act that introduced the current legislative framework the current system, including ensuring offenders released from custodial sentences of over 1 day are subject to spend a minimum of 12 months supervision in the community, and making available the 'Rehabilitation Activity Requirement' as part of a community order or suspended sentence order.
<b>Post-sentence supervision</b>	Provisions in the Offender Rehabilitation created a new supervision period to be served by offenders released from custodial sentences of more than 1 day but less than 2 years. The supervision period will follow the licence period, and tops up the licence so that the total period under supervision in the community is 12 months. For example, an offender subject to a licence period of 4 months would then be subject to a supervision period of 8 months. The purpose of the post-sentence supervision period is the rehabilitation of the offender. As with licence conditions, requirements under the supervision period are imposed by the Secretary of State.
<b>Rehabilitation Activity Requirement (RAR)</b>	A requirement that can be part of a community order or suspended sentence order introduced by the Offender Rehabilitation Act 2014 and replacing the existing Supervision Requirement and Activity Requirements. The intention is to create a requirement that will enable providers to work with offenders with sufficient flexibility to meet their needs and more effectively rehabilitate them.
<b>Recall</b>	The process of returning an offender to custody if he or she fails to comply with any licence condition.
<b>Recall Review/Recall Part B</b>	A Recall Review takes place after an offender has been returned to custody for a standard (as opposed to fixed) term. The resulting Recall Review document is referred to as a Recall Part B.
<b>Release on temporary licence (ROTL)</b>	A mechanism that enables prisoners to participate in necessary activities, outside of the prison establishment, that directly contribute to their resettlement into the community and their development of a purposeful, law-abiding life. There are four types of temporary release licence:  <b>Resettlement Day Release (RDR):</b> to allow prisoners to re-establish their links with family and the local community, for example by taking part in community projects, working, attending training and educational courses, or establishing housing.  <b>Resettlement Overnight Release (ROR):</b> similar to resettlement day release, but with a view to the prisoner spending time overnight at their release address or an approved temporary hostel address.  <b>Special Purpose Licence (SPL):</b> a short duration temporary release, often at short notice, that allows eligible prisoners to respond to

exceptional, personal circumstances and to wider criminal justice needs, for example visiting dying relatives, attending funerals, weddings, medical appointments, court, tribunals or other inquiries.

**Childcare Resettlement Licence (CRL):** for certain prisoners who are the sole carer of a child under 16 years, to enable them to maintain contact and prepare them for their parental duties on release.

**Retained Person** An offender allocated to the National Probation Service for management

**Serious Further Offences (SFOs)** The list of SFO offences is detailed in Annex C of PI 10/2011 and is based on Schedule 15a of Criminal Justice Act, 2003. The commission of such an offence by an offender subject to statutory supervision.

**Service Level Measure (SL)** Synonymous with “service level”, “performance measure” and “performance metric” and “assurance metric”. These are descriptions of the activities monitored for performance purposes.

**Subject** An individual on the EMS case management system.

**Technical Note** A technical note is a document owned by NOMS which provides the technical details of the service level measures, including how they are calculated.

**Through the Gate (TTG)** The means by which a greater number of offenders are given continuous support from custody into the community.

## Contract Package Areas

Abbreviations are used in tables throughout this publication to refer to the regions managed by CRCs. The full CPA names are listed below.

CPA full name	Abbreviation
Bedfordshire, Northamptonshire, Cambridgeshire & Hertfordshire CPA	BeNCH CPA
Bristol, Gloucestershire, Somerset & Wiltshire CPA	BGSW CPA
Cheshire & Greater Manchester CPA	CGM CPA
Cumbria & Lancashire CPA	C&L CPA
Derbyshire, Leicestershire, Nottinghamshire & Rutland CPA	DLNR CPA
Dorset, Devon & Cornwall CPA	DDC CPA
Durham Tees Valley CPA	DTV CPA
Essex CPA	Essex CPA
Hampshire & Isle of Wight CPA	HloW CPA
Humberside, Lincolnshire & North Yorkshire CPA	HLNY CPA
Kent, Surrey & Sussex CPA	KSS CPA
London CPA	London CPA
Merseyside CPA	Merseyside CPA
Norfolk & Suffolk CPA	N&S CPA
Northumbria CPA	Northumbria CPA
South Yorkshire CPA	S. Yorkshire CPA
Staffordshire & West Midlands CPA	SWM CPA
Thames Valley CPA	Thames Valley CPA
Wales CPA	Wales CPA
Warwickshire & West Mercia CPA	WWM CPA
West Yorkshire CPA	W. Yorkshire CPA

