



Ministry
of Justice



HM Prison &
Probation Service

Policy Name: Probation Professional Register Policy Framework

Reference: N/A

Re-issue Date: 30 September 2024

Implementation Date: 30 September 2024

Replaces the following documents (e.g. PSIs, PSOs, Custodial Service Specs) which are hereby cancelled from full implementation date: PI 31/2014 – Authorisation as “Officer of a Provider of Probation Services”

Action required by:

x	HMPPS HQ	x	Governors
x	Public Sector Prisons		Heads of Group
x	Contracted Prisons	x	The Probation Service
	Under 18 Young Offender Institutions	x	Other providers of Probation and Community Services
	HMPPS Rehabilitation Contract Services Team	x	Area Executive Directors

Mandatory Actions: All groups referenced above must adhere to the Requirements section of this Policy Framework, which contains all mandatory actions.

For Information: Regional Probation Directors and other senior managers must ensure that any local procedures that include PI 31/2014 are replaced by this framework.

Regional Probation Directors and other senior managers must ensure that any new local policies that they develop because of this Policy Framework are compliant with relevant legislation, including the Public-Sector Equality Duty (Equality Act, 2010).

Regional Probation Directors and other senior managers must ensure that the requirements of the Data Protection Act 2018 (legislation.gov.uk) are adhered to in the implementation of this policy in that it relates to individuals’ sensitive personal information. Regional Probation Directors and senior managers are responsible for ensuring that the data and information is handled and managed in line with the Ministry of Justice’s Data Protection, Information Security and management policy requirements.

Section 6 of the Policy Framework includes procedures to implement the mandatory requirements set out in Section 4 of this Policy Framework.

How will this Policy Framework be audited or monitored: Regional Probation Directors and other senior managers will be responsible for conducting regular reviews within their areas of business to ensure that the required outcomes of this framework are being achieved. This will include information relating to the protected characteristics under the Equality Act 2010. In addition, HMPPS will have a corporate audit programme that will audit against the requirements to an extent and at a frequency determined from time to time through the appropriate governance.

An independent oversight panel, with external members, will be established to provide oversight and challenge to the operation of the register, including quality assurance of its data through dip sampling to allow qualitative and quantitative analysis, ensure consistency in decision making on loss of authority and exclusion cases and to evaluate its impact. The panel will also support the implementation of this policy framework, through sharing best practice to embed mandatory registration.

Resource Impact: There is an ongoing resource impact within regions and directorates to ensure that the information held in the Single Operating Platform (SOP) is correct for their area. While responsibility rests with individuals to follow guidance to check and amend their own records where appropriate, there continues to be a role for regional corporate services, and equivalent staff in directorates, to make sure information held for the workforce is correct and to allow central collation of high-level metrics to provide organisational assurance. A dashboard has been created that combines datasets for regions and directorates to identify if eligible staff are missing from the register, and whether their mandatory and required learning has been completed. Registered staff will be responsible for renewing their registration in SOP on an annual basis, which will be submitted to line managers for approval.

Management Coordination Hubs (MCHs) and local teams in directorates, will be responsible for distributing staff ID cards and pin badges to registered staff. Regions and directorates will be responsible for reordering additional staff ID cards and pin badges once the initial order from the central Probation Professional Register team has been depleted.

Any additional work generated by this revised policy framework is likely to be minimal and the expectation is that it can be absorbed by existing staff. There is therefore no appreciable resource impact.

Contact: ProfessionalAgendaFeedback@justice.gov.uk

Deputy/Group Director sign-off: Jim Barton, Executive Director

Approved by OPS for publication: 18 September 2024

Revisions

Date	Changes
28/03/2024	While this remains an interim policy, changes have been made to bring into scope those in roles where there is an essential requirement to hold the probation officer qualification as part of their job description and for whom registration will be mandatory on full implementation
30/09/2024	All requirements in this policy framework are now mandatory. This update includes the addition of an oversight panel, to provide challenge and scrutiny to the register's operation and impact. The Probation Professional Standards have been renamed as 'Probation Professional Registration Standards'. We have reduced the seven standards to six to minimise repetition, shortened the headlines for each standard and updated the example behaviours for each so they are probation specific and align with existing frameworks. This update outlines the requirement of registered staff to demonstrate, on an annual basis, that they have adhered to the Probation Professional Registration Standards including the continuing professional development (CPD) requirement in SOP. Guidance is provided on the use of the Registered Probation Officer designation for registered staff.

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1. **Purpose**

- 1.1 This policy introduces the Probation Professional Register and Probation Professional Registration Standards for staff with a probation officer qualification. The purpose of the register is to recognise the competence and commitment of probation qualified staff to high standards of professionalism and provide assurance to HMPPS, government and our stakeholders and partners that those individuals authorised to assess and manage the risk of people on probation have the right qualifications, knowledge and skills to do so.
- 1.2 This policy framework is mandatory for roles in Statutory Guidance where there is a requirement to have a probation officer qualification and those roles where there is an essential requirement to have a probation qualification in their job description. The requirements of non-directly employed staff employed in one of these roles is outlined at 4.21 - 4.23. These staff will also be required to use the Registered Probation Officer designation and adhere to the Probation Professional Registration Standards, including the continuing professional development requirement. There will be an opportunity in the future for staff in other roles who hold a recognised probation officer qualification to join the register on a voluntary basis.
- 1.3 All directly and non-directly employed registered staff are expected to meet high standards of professional and personal conduct. All staff are personally responsible for their conduct and behaviour. This policy framework aims to ensure that the register provides confidence that the Probation Service has a workforce who have the required qualifications and capability for their role.
- 1.4 Professional registration supports the development of a strong and professional Probation Service and workforce to provide high quality support and outcomes for those who require probation support. Being part of the register means you can demonstrate with confidence and pride that you have the skills and knowledge to practise safely and effectively.
- 1.5 Staff in the central Professional Register team will continue to monitor the implementation of the register and Probation Professional Registration Standards, including evaluating the quality of data and determine any necessary revisions to this policy framework. These processes will feed into the work of the independent panel, referenced above.
- 1.6 This Policy Framework does not currently cover probation services officers due to ongoing work in relation to the requisite qualifications. We continue to consider inclusion of probation qualified staff not currently in roles where registration is mandatory.

2. **Evidence**

- 2.1 The Offender Management ACT 2007 gives authority for individuals to act as 'officers of a provider of probation services'. The Probation Service must ensure that staff are authorised as 'officers' and that they have the requisite skills, learning and qualifications to undertake their role. Section 10 of the OMA sets out that 'the Secretary of State may publish guidelines about any qualifications, experience or training required to perform the work of an officer of a provider of probation services.' These guidelines are set out in the Statutory Guidance.
- 2.2 This policy framework reflects the ambition set out in the Probation Workforce Strategy 2023-2025 to support and develop the people working in the Probation Service, with the ambition to reach a position and benefits longer term where recognition is acknowledged through [...] the probation register, with confidence in stakeholders evidently high.

2.3 This policy framework supports our commitment in the HMPPS Business Strategy in aiming to build 'an open, learning culture' through a focus on continuous professional development and providing existing staff with opportunities to improve skills, knowledge and experience.

2.4 Recent research into the professionalism of the Probation Service points to the development towards professional registration and supports its focus as 'rooted in a recognition of the need to re-professionalise staff through knowledge, education, and training, and to engage them in an evidence-base' and so help 'create a positive service identity into which new staff can be socialised'.¹

3. **Outcomes**

3.1 This policy seeks to ensure that:

- Staff are aware of the requirements of professional registration including the Probation Professional Registration Standards, what registration means for them, and actions needed to maintain and renew registration.
- Staff are vetted to the required level for their role.
- Probation officers hold an eligible qualification and adhere to the Probation Professional Registration Standards including the continuing professional development requirement of reflecting learning into practice.
- The Probation Professional Register correctly holds qualification and registration information of probation qualified staff captured by the requirements of this policy.
- Accurate reporting of the Probation Professional Register and adherence to Probation Professional Registration Standards, providing assurance to HMPPS and the Secretary of State that all appropriate checks have been undertaken on individuals engaged and authorised as 'officers or providers of probation services.'
- Where, via the correct policies; Performance Management Policy April 2022; PI 34/2014 Conduct and Discipline Policy; PI 38-2014 Outside activities policies; the Civil Service Code a decision has been reached to withdraw or temporarily suspend authorisation, including dismissal or exclusion from working for the Probation Service, that this is reflected on the Probation Professional Register.

4. **Requirements**

4.1 Probation Service Regional Probation Directors and other senior managers must ensure that all relevant staff are aware of and comply with, the mandatory requirements within this policy framework.

4.2 Line managers must assure themselves and the business that the professional behaviour and conduct of their staff meets the requirements set out in this policy framework and the expectations under the Probation Professional Registration Standards. This should be through the routine checks and balances already provided for throughout the rolling year of performance management and regular conversations between a manager and member of staff.

Criteria for professional registration

¹ Professionalism in Probation, Dr Matt Tidmarsh. HMI Probation, Academic Insights 2022/11

- 4.3 Staff set out at 1.2 must ensure that their information relating to their probation officer qualification and membership status is accurately recorded on SOP and that they adhere to the requirements as set out at 4.4.
- 4.4 To remain registered on the Probation Professional Register, staff must as a minimum meet the following requirements on an annual basis:
- a. Have the appropriate and relevant qualifications, training and experience pursuant to any statutory guidance issued by the Secretary of State under Section 10(2) of the OMA.
 - b. Maintain adherence to the Probation Professional Registration Standards and reflect their learning into practice.
 - c. Not be currently or recently engaged in conduct likely to call into question their integrity or to damage public confidence in the delivery of probation services in accordance with conduct and discipline and poor performance policies and social media guidance.
 - d. Not be excluded from working for HMPPS as set out in the Exclusions from Working in HMPPS Policy Framework.
 - e. Not had authorisation withdrawn if they have previously breached the organisation's staff code of conduct as set out at 4.17 - 4.18 of this policy framework.
 - f. Hold the required level of enhanced security vetting for the role as per the Security Vetting policy.
- 4.5 Registration will become 'inactive' if staff leave the employment of the Probation Service but will be reactivated on return to the service if returning to an eligible role and meet the minimum requirements set out at 4.4.
- 4.6 Registered staff who move to a role that is not required to register can remain professionally registered, but it will not be a mandatory requirement.

Probation Professional Registration Standards

- 4.7 It is mandatory for registered staff to adhere to the Probation Professional Registration Standards set out in Annex A.

Criteria for loss of authorisation

- 4.8 All staff must meet high standards of professional and personal conduct and adhere to the Civil Service Code. Failure to maintain the required standards can lead to disciplinary action, which may ultimately result in dismissal. However, not every breach of the required standards will necessarily lead to formal disciplinary action and each case will be dealt with on an individual basis and within the remit of the appropriate policy frameworks, for example conduct and discipline or managing poor performance. This policy framework **does not** seek to replace such action or policies.
- 4.9 Authorisation to practise as a probation officer and membership of the Professional Probation Register can be withdrawn or suspended if the individual's professional and/or personal conduct calls into question their suitability and/or fitness to carry out the relevant

statutory functions in accordance with the Offender Management Act 2007 requirements. Loss of authorisation may occur if an individual does not meet the requirements of professional registration as set out at 4.4 of this policy. The Commissioning Manager² of the investigation should consider whether to suspend authorisation temporarily pending investigation and any subsequent capability and or disciplinary process, or exclusion (4.17).

- 4.10 At the end of the relevant performance or disciplinary process, the Commissioning Manager will need to consider whether the finding and outcomes are such as to call into question the individual's suitability and/or fitness to carry out the relevant functions in accordance with the Offender Management Act 2007 requirements, and so as a consequence might lead to loss of authorisation. This will include the scope and duration of the withdrawal. Loss of authorisation must be detailed in the outcome letter to the individual following the hearing, examples of which are set out in the appropriate policy document.
- 4.11 Any outcomes will be dealt with through the policies under which action has been taken. This is likely to be either under the poor performance or conduct and discipline policy. If so, the Probation Service must withdraw (or confirm the withdrawal) of the individual's authorisation as an 'officer' by way of a consequence and this must be detailed in the outcome letter. In cases where individuals have been dismissed for gross misconduct the behaviour has been found to be so serious that it has fundamentally impacted on the employment relationship so that the employment relationship can no longer continue, consideration should be given as to whether withdrawal of the authorisation is mandatory and permanent, taking into account the individual circumstances of the case and specifically protected characteristics.
- 4.12 Where a disciplinary or capability hearing is to take place and the circumstances are sufficiently serious that there is a strong likelihood, if the hearing were to find against the member of staff, of permanent or temporary loss of authorisation the following will apply:
- The member of staff is entitled to ask that their trade union representative or work colleague be replaced by a legal representative at the individual's own expense.
 - If such a request is made the expectation is that it should normally be approved, provided that there is no unnecessary delay in dealing with the disciplinary matter.
 - The final decision as to whether the request for legal representation in such circumstances is approved will be for the disciplinary hearing panel.
- 4.13 There will be no separate right of appeal in relation to the decision in respect of legal representation nor can it form the basis of a separate grievance under the respective grievance policy of the employers. In accordance with the ACAS Code of Practice on Disciplinary and Grievance procedures it is important for disciplinary matters to be dealt with expeditiously and for there to be no unnecessary delay. For the avoidance of doubt this paragraph does not apply to decisions to suspend authorisation temporarily pending an investigation. Nor does it apply to any subsequent capability and/or disciplinary process where the authorisation is suspended temporarily, and the outcome of the hearing could not lead to permanent loss of authority to practise as a probation officer.

² [Conduct and discipline policy - Probation Service - 34-2014 .doc \(sharepoint.com\)](#)

- 4.14 The Commissioning Manager of a disciplinary panel must provide the names of the individual whose authorisation has been withdrawn to the Personnel Security Vetting (PSV) team using the Loss of Authorisation Report / Exclusion Form (Annex B), with a copy of the outcome letter. The Commissioning Manager must also inform the individual of the decision and of their rights to appeal of loss of authorisation which will be under the policy that they have been dismissed under.
- 4.15 Where appropriate, line managers will amend the individual's status on SOP from 'full' registration to 'Loss of Authorisation' status.
- 4.16 As part of the role of the independent oversight panel, the consistency of application of the loss of authority to practice by regions will be reviewed using data held in SOP, as well as dip sampling cases.

Corporate exclusion list

- 4.17 A decision to exclude can only follow a decision to dismiss or a resignation under the relevant circumstances set out in the Exclusion from Working in HMPPS Policy Framework. This must be taken as a separate decision from loss of authorisation to practise and must be clearly stated on the Loss of Authorisation / Exclusions form sent to Personnel Security Vetting (PSV), Operational Security Group.
- 4.18 Where such issues result in exclusion from working within HMPPS, in addition to the processes set out in the exclusions policy, managers must ensure that the professional membership status of that employee be changed on SOP to 'Loss of Authorisation'.

Reporting requirements

- 4.19 It is the responsibility of individuals to ensure that their records held in SOP are accurate. Heads of Corporate Services will work within their regions, and equivalent staff in their directorates, to introduce a process to ensure that the registration details and records are accurate for those staff in roles for which registration is mandatory. Mechanisms must be put in place to ensure the reporting of all staff is accurate and up to date. This work will be supported by the central Probation Professional Register team.
- 4.20 Registered staff will be responsible for adhering to the Probation Professional Registration Standards and their continuing professional development and renewing their registration in SOP on an annual basis, which will be submitted to their line managers for approval.

Non-directly employed staff

- 4.21 Non-directly employed (NDE) staff are employed by the agency that they work for, not HMPPS, and are therefore not required to adhere to the same policies and instructions as directly employed staff. That said, all non-directly employed staff must meet the requirements set out at 4.4.

- 4.22 All NDEs undertaking an assignment in a role mandated to register must have the required qualification and adhere to the Probation Professional Registration Standards set out in Annex A. This information must be held by the employment agency.
- 4.23 A Quality Assurance Framework is in place for NDE staff which outlines the structured processes for the recruitment, management and supervision of NDE staff and aims to ensure that poor performance is reported back to the agency worker and employment agency with a request for remedial action. This includes:
- Continuing professional registration requirements
 - Compliance to codes of conduct and discipline
 - Storing and updating learning records on MyLearning
 - Adherence to the Probation Professional Registration Standards

5. **Guidance**

Policy Framework Guidance Section

- 5.1 Guidance on the process in relation to professional registration is set out in EQuIP and outlines the dependencies with related documents and instructions as set out in this policy framework.

Returning members of staff into roles for which registration is mandatory

- 5.2 Staff who return into roles requiring a probation officer qualification, and where a record of evidencing their qualification is not already captured within SOP, must show such evidence to their new line manager and update SOP with the appropriate qualification and professional membership status. Staff must follow the processes set out in Equip and MyHub.

Probation Professional Registration Standards

- 5.3 The six standards (Annex A) are discrete to probation qualified staff and act to overarch those policies, codes, and frameworks across HMPPS and the Civil Service. The standards do not require an additional level of scrutiny or checks but should reflect those conversations already happening between an individual and their manager through performance management and supervision meetings. That said, the requirement to demonstrate continuing professional development is a new focus for staff and supports the open learning culture for the probation service in which individuals have time and space to reflect on and champion their own learning and develop their areas of expertise.

The mechanism to demonstrate Continuing Professional Development

- 5.4 The Continuing Professional Development (CPD) framework sets out expectations of types of development activity relevant to level of competence to ensure staff remain up to date in the knowledge and skills across the core curriculum areas which underpin their role. This incorporates both the mandatory and required learning for the current role as well as development for future roles and personal development.

- 5.5 The CPD framework recognises that staff learn in different ways and that there is a wide range of activities that can be undertaken to ensure individuals remain up to date with their skills in relation to core curriculum areas. Whilst individuals may undertake different learning and development activity to meet their individual needs, the focus should be on ensuring that there is ongoing development across the core curriculum areas and that it is applied to practice. The application of learning to practice is demonstrated through reflective practice.
- 5.6 The learning record for staff is held on myLearning. When staff undertake learning outside of myLearning, they should update their learning record to ensure a comprehensive record of their individual learning. As part of the Performance Management Policy learning and development should be discussed in the regular conversations, which are the spaces for the overarching conversation about individual learning needs for current and future roles. This draws on evidence from management oversight and reflective practice.

Reflective Practice

- 5.7 We want professional registration to support an open learning culture and place importance on how reflective practice is a fundamental part of ongoing professional development, enhancing practice. Reflection is the process of stepping back from an experience or activity and critically analysing events, actions, thoughts and feelings to enable learning. You should be provided with opportunities to reflect on how learning is applied to your role, as part of your regular conversations with your line manager. Staff subject to reflective practice supervision sessions must have completed SEEDS2 training for either practitioners or managers and we encourage staff to work with their line managers to ensure completion of the relevant section of SOP to record their sessions.

Registered Probation Officer designation

- 5.8 Professionally registered staff should use the designation 'Registered Probation Officer' to indicate they have undertaken the mandatory and required learning for role, adhere to the Probation Professional Registration Standards, including demonstrating a commitment to undertaking CPD, and have the ongoing capability and skills to protect the public.
- 5.9 Registered Probation Officers will receive a staff ID card that includes their designation, and any previous Probation Service ID card must be returned.
- 5.10 Registered Probation Officers will be provided with an email signature template that includes their designation, which they should use.
- 5.11 HMPPS employed Registered Probation Officers will also be provided with a pin badge that includes their designation.

Updating your record in the Single Operating Platform (SOP)

- 5.12 Further information on updating SOP can be found on [myHub](#) and on the [Probation Professional Register intranet page](#).

Renewing professional registration

- 5.13 Registered staff will work with their line managers to ensure that they include registration in their regular conversations and a mechanism will be available in SOP to be able to renew registration each year.
- 5.14 Staff unable to meet the registration requirements should discuss this with their line manager in their regular conversations.
- 5.15 Line managers should continue to follow the existing HR processes for staff unwilling to engage with the requirement or who fail to register and take appropriate action.

Probation Professional Registration Standards

The following sets out the six Probation Professional Registration Standards and covers the approach to our work, our values, beliefs and ethics that govern our approach to working as probation professionals. These standards set out what you as a probation professional must know, understand and be able to do when carrying out your role. These standards apply to all professionally registered staff, regardless of your grade or role.

Each standard outlines how you must approach your work, with **examples** of how you may achieve this in your everyday practice. You must meet these standards to maintain your professional registration.

Support public protection and changing lives

As a Registered Probation Officer, I will:

- Comply with our duties to share relevant information with colleagues, partner agencies, stakeholders, people on probation, and defendants to support public protection and changing lives; and to contribute to achieving shared goals.
- Understand the importance of partnership working and collaborate with colleagues and people in prison, prior to release, and in the community, and seek advice when managing complex cases.
- Influence decision making around public protection with a focus on rehabilitation and community integration.
- Support those eligible for probation support to address their rehabilitative needs and positive integration into the community.
- Apply professional curiosity in my duties to protect the public and ensure all information received is validated to secure high quality risk assessments.
- Understand that relationships are key to changing lives and that changing probation officers can be detrimental and should be avoided where possible.
- Ensure those eligible for probation support have access to services to support them develop law abiding lives and successful integration into the community, believing that people have the capacity to change and support their engagement in meaningful activity.

Act with honesty and professional integrity

As a Registered Probation Officer, I will:

- Uphold and maintain high standards of professional ethics and values of the Probation Service, being non-judgemental, working impartially and believing in the capacity of an individual to change.
- Apply principles of procedural justice in my responsibilities to deliver the sentence(s) of the courts and maintain judicial confidence.
- Ensure the rights of victims feature in my duties and responsibilities as set out in the Victims Code.
- Adhere to the Civil Service Code and HMPPS Statement of Professional Standards.

Promote and value each person as an individual

As a Registered Probation Officer, I will:

- Champion diverse voices and promote inclusivity throughout my engagements with others.
- Contribute to creating an environment where all are afforded appropriate opportunities and support to address their rehabilitative needs.
- Treat individuals eligible for probation support in a fair and respectful way responsive to their needs.
- Be polite, adaptable in my approach and contribute to an environment where my colleagues feel comfortable to work and are enabled to thrive to the best of their ability, prioritising wellbeing and sharing available support. Respect and listen to other's opinions and constructively challenge different viewpoints.
- Support the recruitment of people with lived experience to influence transformation of our services and culture through participation, engagement, and involvement in shaping policies, programmes and practices.

Responsible and accountable for my quality of practice and decision making

As a Registered Probation Officer, I will:

- Actively drive the effective delivery of high-quality services to protect the public.
- Ensure that the outcomes of digital assessment tools inform my practice.
- Be compassionate, transparent and clear; explain my decision making to those it will affect, aligning my actions and words.
- Be organised as I undertake my role; plan and prepare sessions/meetings in advance to be most effective in my practice and approach with others.
- Dedicate time to those who I am meeting with, do what I say I will, and explain why if not.

Establish and maintain professional relationships

As a Registered Probation Officer, I will:

- Respond to situations in an unbiased manner, demonstrating inclusivity, objectivity and fairness; be consistent and non-judgemental in my relationships.
- Where relevant, embed a relational approach, known as relational practice in my work.
- Ensure I do not misrepresent or exploit others.
- Practice as a 'friendly professional' rather than a 'professional friend', fostering positive attachments, healthy relationships within clear and overt boundaries.
- Build resilience, trust and be clear about the limitations of my role.
- Work in a pro-social way to model intended behaviours; be aware of the effect my behaviour has on others; praise and reward positive behaviours.
- Use a trauma-informed approach when working with survivors and strive to do no further harm.

- Increase my cultural knowledge to be competent and understanding with those I work with.
- Contribute to creating an inclusive environment where everyone aspires to demonstrate warmth and authenticity to enable everyone to speak up, challenge ideas, share insights, inspire others, and find fulfilment in their jobs and career.

Maintain my continuing professional development

As a Registered Probation Officer, I will:

- Be committed to maintaining and developing high standards of professional expertise and service delivery through continuing professional development.
- Be open to seeking new opportunities to enhance and improve my practice to ensure it is of high-quality, personalised, and responsive.
- Own and be responsible for my professional development and keep an up-to-date record of my learning and development activity in my learning record on MyLearning.
- Understand the relevant theories that inform my skills and ensure my practice is underpinned by theory and research.
- Ensure my practice incorporates learning from inspections, complaints, investigations, and from those with lived experience.
- Take an interest in colleagues learning and development activity and share opportunities for them to gain new skills to embed into their practice.
- Support colleagues to do their job to the best of their ability, so they have the tools and time needed to help those under our supervision to lead law abiding and positive lives.
- Undertake and engage with reflective practice to draw from my experience and reflect on challenging practice issues, gaining necessary support and guidance to support my development.
- As a line manager, have regular conversations with my team that focus on supporting development, career progression, future aspirations, wellbeing, and current performance.

Annex B: Exclusion and Loss of Authority Report Form – Probation Only

Form for Loss of Authorisation and/or Exclusion

This form must be completed in every case where a decision has been made to withdraw the authorisation of an officer as a provider of probation services (loss of authorisation) and /or excluded them from working from HMPPS.

Once completed this report must be:

- *Sent to Security Group, Personnel Security Vetting team (PSV), electronically via e-mail to the team's mailbox at Recruitment-decisions@justice.gov.uk marked: OFFICIAL - SENSITIVE - WITHDRAWAL*
- *A hard copy of the report form with signatures must be retained locally for audit purposes.*
- *A copy of the Outcome Letter must be sent with this form to PSV*

Personal Details of Individual (<i>this section must be completed in all cases</i>)	
Surname (enter in box)	
Forename (enter in box)	
Title (enter in box)	
National Insurance Number (AANNNNNNA) e.g. ZZ123456D	
Date of Birth (Enter DD MON YYYY) e.g. 23 Jun 1984	
Name of Main Contractor; Probation Service	
Job Role (enter in box)	
Location of Business Unit	
Audit Trail	
Will the Police be informed? Y/N	
Has a DBS referral been submitted? Y/N	
Has authorisation been withdrawn pending investigation?	
Has a formal investigation taken place? If so, what is the investigation number?	
Does the individual work in or have access to Authority systems/information? If so, please provide a list?	

Reason for Loss of Authorisation

Provide a (brief summary of events including policy under which action has been taken – e.g. poor performance/conduct/discipline)

Outcome

Does the member of staff remain employed by HMPPS?	
Is the member of staff being re-deployed?	
Is this member of staff losing their Authority to Practise?	
Is the member of staff being removed from the Professional Register? (Line manager must update SOP).	
Is this member of staff being excluded from working in HMPPS?	
Length of Loss of Authorisation period / Exclusion period?	
Duration of withdrawal proposed- temporarily (pending investigation), immediately (Dismissal), permanently, (Gross Misconduct) and End Date of this period.	

Signed by Line Manger and RPD

Full Name Line Manager (enter in box)	
Job Role	
Signature of Line Manager Contractor, Sub Contractor, Voluntary Organisation	
Date	
Authorised by (RPD for Probation Service)	

Date	
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What to do next

When you have completed, please send a copy via e-mail to the Approvals and Compliance mailbox, with a copy of the outcome letter:

Recruitment-decisions@justice.gov.uk

For correspondence, their address is:

Security Group, Approvals and Compliance Team
HMPS Shared Service Centre
PO Box 3037 Newport Gwent
NP20 9BB

When you have completed, please print and retain a copy locally.