



Ministry  
of Justice



HM Prison &  
Probation Service

**Policy Name:** Probation Professional Register

**Reference:** N/A

**Re-issue Date:** 14 April 2026

**Implementation Date:** 14 April 2026

**Replaces the current Probation Professional Register policy framework, which had replaced 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:** This policy framework sets out the staff affected within the **groups referenced above, and who must adhere to the Requirements section and mandatory actions of this Policy Framework.**

**For Information:** Regional Probation Directors and other senior managers must ensure that any local procedures that reference the previous policy framework are replaced by this.

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 \(legislation.gov.uk\)](https://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, the Professional Registration Team will carry out random 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, has been established to provide oversight and challenge to the operation of the register, as well as quality assurance of its data and processes. This includes analysis of the consistency in decision making on loss of authority and exclusion cases to evaluate its impact. The panel will also support the implementation and continued development of this policy, through sharing best practice, research and knowledge.

**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 for registrants, including qualifications held and renewals data. This includes information on meeting Professional Registration Standards, recording of Reflective Practice Supervision (RPS) and completion of mandatory and required learning. Registered staff will be responsible for renewing their registration in SOP on as required, which will be submitted to line managers for approval. Due to the register being in its infancy, line manager approval will support embedding the registration requirements through a regular conversation and updating the HR system SOP.

Management Coordination Hubs (MCHs) and local teams in directorates, are 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 Director sign-off:** Sonia Flynn

**Approved by OPS for publication:** 27 March 2026

#### 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.

14/04/2026

Some minor formatting amendments and points of accuracy to reflect current, more efficient processes.

Changes have been made to the policy to provide greater clarity to the loss of authority process, and to reference the access to appeal against any loss of authority decision, and the length for any loss of authority a registrant may incur.

Ensure clarity that loss of authority to practice applies to those Probation Services Officers referenced in the Statutory Guidance as requiring the qualification and authorised to carry out the function of an officer of the provider of probation services.

Reference to future policy development for registration for Probation Services Officers.

Changes have been made to reflect the introduction of access to voluntary registration for staff not in mandatory roles.

Greater information and further guidance on the renewals process has been added.

**CONTENTS**

<b>Section</b>	<b>Title</b>	<b>Page</b>
1	<u>Purpose</u>	5
2	<u>Evidence</u>	6
3	<u>Outcomes</u>	6
4	<u>Requirements</u>	7
5	<u>Guidance</u>	11
Annex A	<u>Probation Professional Registration Standards</u>	14
Annex B	<u>Form for Loss of Authorisation and/or Exclusion</u>	17
Annex C(i)	<u>Template letter to invite individual to meeting to decide on loss of authority to practice</u>	20
Annex C(ii)	<u>Template letter to notify individual of the outcome of loss of authority meeting</u>	21
Annex D(i)	<u>Template letter for outcome of appeal – upheld</u>	23
Annex D(ii)	<u>Template letter for outcome of appeal - rescinded</u>	24
Annex E	<u>Flowchart for loss of authority process</u>	25
Annex F	<u>Declaration of registration – voluntary members</u>	26



## 1. **Purpose**

- 1.1 This policy sets out the Probation Professional Register requirements and Probation Professional Registration Standards. 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 The Offender Management Act 2007 (OMA) provides that an individual may be authorised to carry out the functions of an 'officer of a provider of probation services', so the Probation Service can ensure itself that those individuals it authorises 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.' Guidelines in respect of these qualifications are set out in Statutory Guidance: Core probation roles and qualification requirements - GOV.UK, with the additional requirements – skills and learning - set out in this Policy Framework.
- 1.3 The requirements in this policy framework are mandatory for staff in roles where there is an essential requirement to have a probation qualification in their job description, and for non-directly employed staff employed in these roles as outlined at paragraphs 4.34 – 4.36.
- 1.4 Staff in other roles who hold a recognised probation officer qualification can choose to register on a voluntary basis. Those who register voluntarily must sign the Voluntary Registration Declaration for Probation Officer Qualified Staff at Annex F, and by doing so, they acknowledge that they understand and accept the requirements set out in this policy framework. Also, that they undertake to maintain and renew the registration in the same way as mandatory registrants. By signing the declaration, voluntary registrants are authorised to carry out the functions of an 'officer of a provider of probation services' as set out at paragraph 1.2 above.
- 1.5 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. Professional registration and this policy framework support 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 registration means you can demonstrate with confidence and pride that you have the skills and knowledge to practice safely and effectively.
- 1.6 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.
- 1.7 This Policy Framework does not currently cover probation services officers (PSOs) due to ongoing work in relation to the required qualifications for role. Qualifications for PSOs are set out in the Statutory Guidance, alongside provisions for authority to practice for this group. This states that PSOs are authorised to carry out the functions of an officer of the provider of probation services, by senior managers recruiting them into role. For PSOs 'officers' means staff in sentence management and court roles, and those working in approved premises. As such the processes relating to loss of authority to practice set out from paragraph 4.9 apply.

1.8 Work on implementing professional registration is ongoing. Once complete, this policy framework will be updated in consultation with Trade Unions.

## 2. **Evidence**

2.1 This policy framework reflects the ambition previously 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.

2.2 This 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. These benefits also support the Our Future Probation Service work, in that building a more secure professional identity and learning culture will support staff confidence and wellbeing, in the longer term a contributory factor to increasing retention.

2.3 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’<sup>1</sup> <sup>2</sup>, supports the ambition to build the professional identity of probation practitioners, through registration and supporting professional development activities.

## 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 and authorised to practice as officers of the providers of probation services.
- 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; HR performance and conduct policies; PI 38-2014 Outside activities policies, Civil Service Code, a decision has been reached to withdraw or temporarily suspend authorisation, including dismissal or exclusion from

---

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

<sup>2</sup> Special Issue: Professional Registration in Probation, Volume 72, Issue 2, June 2025

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 meet 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 their member of staff.
- 4.3 Line managers and senior managers should therefore ensure that staff are provided with time to attend and complete mandatory and required learning, including any learning that has been identified by the Chief Probation Officer as priority learning for registrants.

#### *Criteria for professional registration*

- 4.4 Staff set out at 1.3 and 1.4 must ensure that 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 4.5.
- 4.5 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.<sup>3</sup>
  - e. Not had authorisation withdrawn if they have previously breached the organisation's staff code of conduct as set out at 4.9 - 4.19 of this policy framework.
  - f. Hold the required level of security vetting for the role as per the Security Vetting policy.

---

<sup>3</sup> Exclusions from Working in HMPPS Policy Framework

- 4.6 Registration will become 'inactive' if staff leave the employment of the Probation Service and must be reactivated on return to the service if returning to a mandatory role and meet the minimum requirements set out at 4.5.
- 4.7 Registered staff who move to a role where it is not mandatory to register can choose to remain professionally registered by following the process set out at 1.4 and must then continue to meet the same registration requirements as set out at paragraph 4.5.

*Probation Professional Registration Standards*

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

*Criteria for loss of authorisation*

- 4.9 All staff are expected to maintain the required standards of conduct and performance at all times. Where concerns arise regarding conduct, formal action – up to and including dismissal – may be taken in accordance with the Discipline Policy. Where concerns relate to performance, and informal action and support have not led to the required improvement, formal action may be taken under the Managing Poor Performance Policy. All action, including any appeal against the outcome of formal processes, must be undertaken in line with the relevant policy.
- 4.10 Loss of authority to practice may occur as a consequence of disciplinary or formal poor performance proceedings, where appropriate. It is not itself a disciplinary penalty or poor performance sanction but may follow once a disciplinary or performance outcome has been determined. A separate meeting will be held to discuss authorisation to practice after the conclusion of the performance or disciplinary process. The decision to remove authority to practice is subject to its own appeal process, as set out at paragraph 4.23 below.
- 4.11 Authority to practice as a probation officer and membership of the Professional Probation Register may be withdrawn or suspended if the individual's professional and/or personal conduct or performance calls into question their suitability or fitness to carry out the relevant statutory functions in accordance with the Offender Management Act 2007 requirements. Loss of authority may also occur where an individual does not meet the requirements of professional registration as set out at 4.5 of this policy. Each case should be considered on an individual basis, and the decision should be based on the specific circumstances and evidence available.
- 4.12 Following the conclusion of disciplinary or poor performance proceedings, the Decision Manager should consider whether the findings and outcomes are such that they call into question the individual's ability to fulfil the professional registration requirements and obligations under the Offender Management Act 2007. If so, the individual should be invited to a separate meeting to consider loss of authority to practice, either on a permanent or temporary basis and provide an opportunity for the individual to present their evidence for consideration.

- 4.13 Every possible effort should be made to secure a time when the person can attend however, if a person declines, or is unable to attend the meeting and it concludes with a decision to remove authority to practice from the person based on the evidence available, the decision maker must write to them to notify them of the decision and of the person's option to appeal, set out at paragraph 4.23.
- 4.14 The member of staff has the right to be accompanied by a Trade Union representative or workplace colleague at the meeting to consider a permanent or temporary loss of authority to practice. While they do not have a statutory right to a legal representative, due to the potential to lose their professional status the individual may choose instead to be accompanied by a legal representative, at their own expense. The legal representative would act in the same capacity as a Trade Union representative. Such a request will normally be approved, provided that it does not cause undue delay to the proceedings. The final decision on whether to permit legal representation rests with the manager conducting the meeting. There is no separate right of appeal in relation to decisions regarding legal representation, and such decisions cannot form the basis of a separate grievance under the departmental grievance policy. For the avoidance of doubt, this paragraph does not apply to decisions relating to the temporary suspension of authorisation pending an investigation.
- 4.15 In preparation for, and during, any such meeting, the decision maker should take account of any reasonable adjustments required for the person attending. They should also take account of any disability, including reading, hearing and sight impairment or any other needs the person may have. It is the person's responsibility to ensure the decision maker is informed of any reasonable adjustments or needs required ahead of the meeting.
- 4.16 The person making the decision should also be sensitive to the person's needs in respect of the effect of the meeting and any decision made on the person's emotional and mental health and wellbeing, in line with existing local and national HR policies.
- 4.17 Following the meeting, the manager must confirm the decision **in writing**, setting out the outcome and the rationale. Where the decision results in a temporary or permanent loss of authority to practice, the notification must include full details of the **duration** and the **right of appeal** (Annex C(ii)).
- 4.18 The decision maker must provide the names of the individual whose authority to practice 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.
- 4.19 Where appropriate, line managers will amend the individual's status on SOP from 'full' registration to 'Loss of Authorisation' status.

*Corporate exclusion list*

- 4.20 Where a decision is made to remove authorisation to practice from a Probation Officer in accordance with the **Probation Professional Register Policy Framework**, consideration should also be given to whether it is appropriate to exclude the individual under the Exclusion from Working for HMPPS Policy Framework if their conduct or actions pose a risk

to the safety and security of HMPPS. The process set out in the Exclusion from Working for HMPPS Policy Framework should be utilised.

- 4.21 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 authority to practice and must be clearly stated on the Loss of Authorisation / Exclusions form sent to Personnel Security Vetting (PSV), Operational Security Group.

*Notification for HR records*

- 4.22 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'.

*Appealing Against a Loss of Authority to Practice Decision*

- 4.23 A person may submit a written request for the decision for them to lose authority to practice to be reconsidered once they have been notified of the decision and outcome. This may sit alongside an appeal against an exclusion. In Exclusions only cases, the appeal will be managed by Personnel Security Vetting (PSV) team.
- 4.24 Where the Appeal request relates only to loss of authority to practice, this will be managed by the Professional Registration Team, who will be responsible for allocating it to an independent decision maker who will follow the appeals process below.
- 4.25 Any such request must be made within 14 calendar days from the date of notification of the loss of authority decision and must include any evidence to be submitted with the request. Once the appeals process/time has lapsed, a case will not be reopened for consideration.
- 4.26 The person submitting the request must give one or more of the following reasons for the appeal to be considered:
- The evidence considered by the decision maker was incorrect or incomplete.
  - The decision to apply loss of authority was disproportionate to the alleged incident/breach.
  - The length of loss of authority was excessive.
  - Any other reason (which must be stated by the person requesting a reconsideration).
- 4.27 Any appeal will normally be considered in person/virtual meeting and will be considered by the Regional Probation Director, Deputy Director, or equivalent, within 21 calendar days of the receipt of the appeal letter.
- 4.28 Once the appeal request has been received it will be logged and prepared for submission to the person considering the appeal with any supporting evidence provided. The person considering the appeal will act in an independent capacity and will decide the outcome based on the reasons given by the person making the request and any evidence provided.

- 4.29 The decision will either be to (a) uphold the loss of authority or (b) withdraw the loss of authority or (c) vary the scope or duration of the loss of authority.
- 4.30 Once an appeal decision has been made it must be notified in writing to the individual within 7 calendar days of the date of the appeal decision using the letter in Annex D(i) or D(ii). Notification must include the reason for the appeal decision.
- 4.31 As part of its role, the independent Probation Professional Register Panel, will consider the consistency of application of the loss of authority to practice policy by regions by reviewing data held in SOP, as well as dip sampling of anonymised cases, including appeals.

#### *Reporting requirements*

- 4.32 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.
- 4.33 Registered staff are responsible for adhering to the Probation Professional Registration Standards, including maintaining their continuing professional development. Staff will renew their registration in SOP on as required, which will be submitted to their line managers for approval.

#### *Non-directly employed staff*

- 4.34 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 4.5.
- 4.35 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.
- 4.36 A Quality Assurance Framework is in place for NDE staff which outlines the structured processes for the recruitment, management and supervision of NDE staff. Poor performance must be reported back to the agency worker and employment agency with a request for remedial action. This includes concerns relating to:
- 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 and registration renewal 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 values, 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 regular conversations and reflective practice sessions. 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. Staff must be provided with opportunities to reflect on how learning is applied to their role, as part of regular conversations with their line manager. Staff subject to reflective practice supervision sessions must have completed SEEDS2 training for either practitioners or managers.
- 5.8 From October 2025, reflective practice is a requirement of registration for all registrants, including renewal of registration. Staff must therefore ensure that the RPS section in SOP is completed to record their sessions.

*Registered Probation Officer designation*

- 5.9 Professionally registered staff should use the designation 'Registered Probation Officer' to indicate they have met all the requirements for maintaining and renewing professional registration.
- 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 have been provided with an email signature template that includes their designation, which they must use.
- 5.11 HMPPS employed Registered Probation Officers will also be provided with a pin badge that includes their designation, as a point of recognition for their registration.

*Updating your record in the Single Operating Platform (SOP)*

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

*Renewing professional registration*

- 5.13 Registered staff will work with their line managers to ensure that they include discussions about registration, reflecting on the registration standards in their regular conversations and reflective practice sessions. Each year registrants must record renewal of registration in SOP as per the guidance set out in Equip and available on the intranet.
- 5.14 Staff unable to meet the registration requirements should discuss this with their line manager in their regular conversations. Where there are acceptable reasons that prevent renewal, registrants can pause renewal with agreement with their line manager – this may include circumstances where they have an extended period of leave, or unable to access learning due to reasons beyond their control.
- 5.15 Line managers should continue to follow the existing HR processes for staff unwilling to engage with the renewal requirements 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 [PSCVettingEnquiries@justice.gov.uk](mailto:PSCVettingEnquiries@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 Practice?	
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	
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:

[PSCVettingEnquiries@justice.gov.uk](mailto:PSCVettingEnquiries@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.

## Annex C(i): Notification of Meeting to Determine Loss of Authority to Practice

[Address Line 1]

[Address Line 2]

[Address Line 3]

[Address Line 4]

[Date]

Dear [Insert Name]

You were written to on [insert date of letter setting out the outcome at the conclusion of the conduct/performance hearing] informing you of the outcome of your conduct/performance hearing which has resulted in [insert outcome].

As a result, and under the requirements set out in the Probation Professional Registration Policy Framework, a further meeting will be held to determine whether you will also lose authority to practice. Your meeting will be held on [date] at [time] at [venue of meeting].

At the meeting the evidence will be presented and then you will have an opportunity to state your case. I will then think about what I've seen and heard, and I will decide on your authority to practice, and if so, how long this will last for.

As soon as you receive this letter, please contact [name] on [phone number] to let us know that you can attend the formal disciplinary meeting. You have the right to be accompanied at the meeting by a trade union representative, work colleague or legal representative. The legal representative will act in the same capacity as a trade union representative or colleague and would be at your own cost. Please let me know if anyone is coming with you and who it is. If there is any reason why you cannot attend this meeting, you must inform me straightaway.

Yours sincerely

[PRINT NAME]

## Annex C(ii): Notification of Loss of Authority to Practice to a person Directly Employed by HMPPS

[Name and address of HMPPS]

Name of Employee .....

National Insurance No. ....

Employee Number.....

HMPPS Business Location .....

Cc Personnel Security Vetting team

[Date]

Dear [Name of person losing authority to practice]

As set out in the decision letter following your meeting on xx, as a consequence of the finding of gross misconduct/unacceptable performance (delete as appropriate) you have also lost authority to practice as a probation officer, as set out in the Probation Professional Register Policy Framework. This is underpinned by the provisions around authorising officers to provide probation services set out in the Offender Management Act 2007 and associated Statutory <sup>4</sup>. This letter sets out your right to appeal against the removal of authority to practice only.

The loss of authority to practice applies for [specify in month/years or state “an indefinite period”] with immediate effect and includes all His Majesty’s Prison and Probation Service (HMPPS) work locations. This means that you will not be considered for employment in those roles identified as requiring authority to practice until this time period expires. These roles are set out in the Probation Professional Register Policy Framework.

[DELETE IF NOT REQUIRED - The decision for you to lose your authority to practice as a probation officer [and exclude from HMPPS sites] was made in your absence as you had resigned/resigned under investigation and/or chosen not to participate in the investigation process (delete all as appropriate). A result has been reached in your absence based on the evidence available.]

Supporting evidence for reasons for applying loss of authority as a consequence is detailed below:

[Give details of what the outcome decision was, and how this relates to consideration of the overall safety and security of continuing to have authority to practice – link to public protection/responsibility and accountability for continuing in role working with people on probation, or oversight and countersigning of decisions made relating to people on probation – only release information which can be disclosed]

You can appeal against the decision to remove authority to practice by replying to this letter. Any written statement and further evidence you may wish to submit must be collated and sent to the Probation Professional Register team, at [professionalagendafeedback@justice.gov.uk](mailto:professionalagendafeedback@justice.gov.uk) who will allocate to an independent Representation Authority. Individual representations sent directly to the business unit will not be considered.

<sup>4</sup> Statutory Guidance: Core probation roles and qualification requirements - GOV.UK

During the period any representation is being considered, you will not be allowed into any role requiring mandatory registration.

Before you decide how to respond to this letter, you are recommended to read the relevant policy framework: HMPPS Probation Professional Register Policy Framework.

A Representation Authority will consider the evidence of the case and advise their decision by correspondence.

Exceptionally, oral representations will be considered if there is deemed to be evidence so compelling that it can only be presented at a meeting and will materially affect the decision. An agreement to consider oral representation can only be accepted or refused at the discretion of the respective Deputy Director or equivalent whose decision will be final.

Please indicate which option you have chosen and advise us by email: [professionalagendafeedback@justice.gov.uk](mailto:professionalagendafeedback@justice.gov.uk)

- No further action, or:
- I wish to make appeal against the decision.

If you wish to appeal, please provide the reason by selecting one of the following:

1. You have appealed the outcome of your investigative hearing, including loss of authority to practice consequence.
2. The decision to apply loss of authority to practice was disproportionate to the outcome
3. The length of exclusion was excessive
4. Any other reason - please give the reason here:  
.....  
.....

Please attach any supporting paperwork.

The Representation Authority will consider your comments and the other details of the case and send you the decision in writing after consideration of the evidence presented. All paperwork relating to a representation must be received by us within 15 working days of the date of this letter.

If we have not heard from you by [date] the case will be closed, and no further representations will be accepted.

[Name/s]

[Investigating Manager or equivalent]

[Note – once this letter has been completed, remove all brackets, all blue/red font and this box.]

## Annex D(i): Decision of the Representations Authority on Loss of Authority to Practice – Original decision upheld

OFFICIAL – SENSITIVE

[Name and address of main Employer organisation]

Name of Worker.....

National Insurance No. ....

HMPPS Business Location .....

Cc Personnel Security Vetting (PSV) team

[Date]

Dear [Sir/Madam]

We have now considered all the facts of the case and based on the body of evidence have decided the decision for you to lose your authority/[add exclusion if relevant] to practice stands. That is:

[Please specify duration of the sanction and the effective date it applies from]

You will therefore not be deployed in any role requiring authority to practice.

In making my decision, I have considered all the facts available including [list all documentary evidence]. I have also taken into account remarks in your appeal dated [day/month/year] and have considered your previous [good] conduct.

Based on the above body of evidence I am satisfied that you did [detail the information in the HR outcome decision, when and where it occurred and why loss of authority is agreed]. Therefore, the original decision remains.

This decision is final and is based on a balanced consideration of all the evidence. No further representations will be accepted.

This letter has been copied to your line manager.

[Name/s]

[Group / Deputy Director or their equivalent]

**Note – once this letter has been completed, remove all brackets and all blue font.**

## Annex D(ii): Template letter for use where the Representations Authority upholds appeal against Loss of Authority decision

OFFICIAL – SENSITIVE

[Name and address of Employer organisation]

[HMPPS Location]

cc Personnel Security Vetting (PSV) team

[Date]

Dear [Name]

I have now considered all the facts of your case and have decided that the decision for you to lose authority to practice should be rescinded. This is because [give reasons why].

The loss of authority to practice is therefore removed and you will be able to return to a role where authority to practice is required.

Your record will be adjusted to reflect this decision.

You should contact the business unit to make arrangements for a suitable date for [you] to restart work in an appropriate role.

[Name of manager] will also receive a copy of this letter – **DELETE AS APPROPRIATE**.

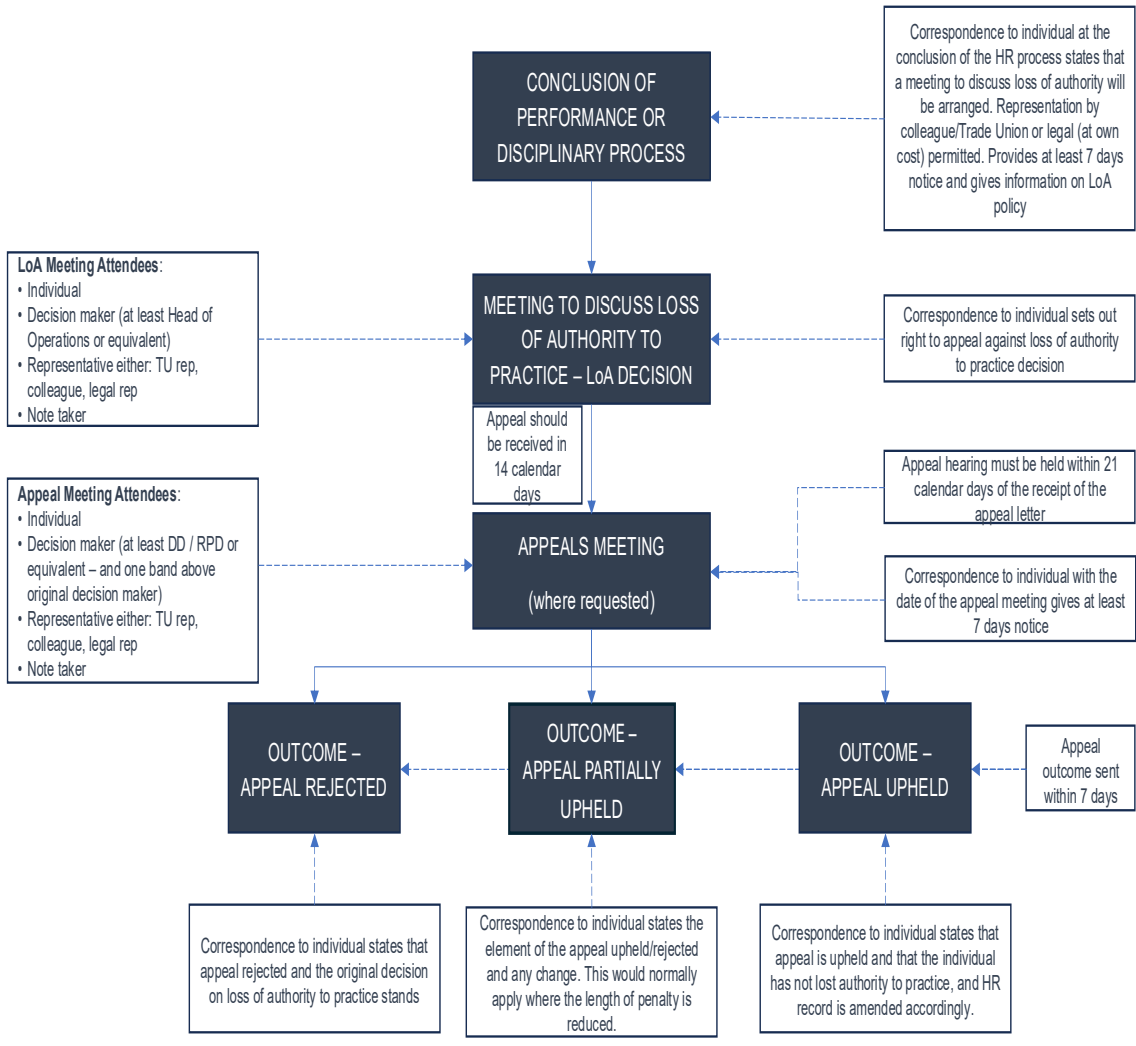
Thank you for your co-operation.

[Name]

[Group / Deputy Director or their equivalent]

Note – once this letter has been completed, remove all brackets, all blue font

# Annex E: Flowchart of loss of authority to practice process



## Annex F: Declaration of registration – voluntary members



### Voluntary Registration Declaration for Probation Officer Qualified Staff

#### Declaration

I confirm that:

- I hold a recognised Probation Officer qualification.
- I understand that by joining the Probation Professional Register, I am subject to the Probation Professional Register Framework which I have read and understood.
- I understand that I am subject to the professional registration requirements as outlined in the Requirements section of the Probation Professional Register Framework and agree to meet these requirements to maintain my registration.
- I understand that I must meet the Probation Professional Registration Standards, including completing learning relevant to my role and undertaking reflective practice.
- I am aware that as a voluntary registrant, I can opt out of registration by not renewing my annual registration.
- By signing this declaration, I understand that I am given authority to practice as an officer of a provider of probation services as set out in the Offender Management Act 2007 and in the Probation Professional Register Policy Framework.
- I understand that if I am investigated for conduct and discipline or am subject to a poor performance process, in the most serious of cases, this could lead to removal from the register.
- I confirm that I have not previously lost my authority to practice as a Probation Officer.
- I agree to notify the Professional Registration Team of any change in my employment status, or role, include a loss of authority that may affect my registration. [ProfessionalAgendaFeedback@justice.gov.uk](mailto:ProfessionalAgendaFeedback@justice.gov.uk)

**Name:**

**Employee Number:**

**Directorate/Region:**

**Current Role:**

**Signature:**

**Date:**