SYNOPSIS (press F1 for guidance)

How was this developed?
This was commissioned by NOMS Offender Management Team as one of a series of development projects, producing tools and products developed by managers and practitioners across probation and prisons to improve practice in Offender Management.

The findings of the Offender Management Inspection of London Probation highlighted the need for improvement in the delivery of sentence planning to offenders in custody. This handbook was developed as part of London's development project as one way to meet this need.

Purpose
The handbook was developed to provide practitioners with a concise guide to the key tasks involved in Offender Management phases II and III, particularly in relation to sentence planning. The handbook is intended for use by both prison and probation staff and includes guidelines for:

- Offender Manager, Offender Supervisor and Case administrator roles pre and post release
- Co-ordination, roles and function of MARAP and Sentence Plan Panel Meetings.
- Chairing Sentence Plan Panels
- The use of video and telephone conferencing
- Model of information exchange for both prison and probation
- Escalation process for managing disputes
- Enhancement of diversity practice for Sentence Planning
- Reference to all relevant Probation Circulars and Prison Service Orders

Materials available
Sentence planning handbook is attached. For printed copies, please contact London Probation’s Marketing and Communications Department.

In addition, as part of this project, London probation also produced a workshop package: Sentence Planning: Making it Work (Knowledge Library Ref 200927), and a job description for a ‘resettlement champion’ (Knowledge Library Ref. 200929), to work across the custody/community interface. These are available separately in the Knowledge Library.
<table>
<thead>
<tr>
<th><strong>Main Category:</strong></th>
<th>KNOWLEDGE MATTERS</th>
</tr>
</thead>
<tbody>
<tr>
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<tr>
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<td><strong>Subject Sub-Group:</strong></td>
<td>TOOLKIT</td>
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<tr>
<td><strong>Key Words:</strong></td>
<td>Offender managers, offender supervisors, case administrators, offender management model, foreign national prisoners</td>
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<td><strong>Contact details:</strong></td>
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<tr>
<td></td>
<td><a href="mailto:llid.Davies@london.probation.gsi.gov.uk">llid.Davies@london.probation.gsi.gov.uk</a> – for background information</td>
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<tr>
<td></td>
<td>For printed copies, please contact London Probation’s Marketing and Communications Department</td>
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<tr>
<td></td>
<td><a href="mailto:Miranda.wilkinson@noms.gsi.gov.uk">Miranda.wilkinson@noms.gsi.gov.uk</a> – for information about all the projects commissioned by the OM Team</td>
</tr>
<tr>
<td><strong>Author of Entry:</strong></td>
<td>Miranda Wilkinson, OM Implementation Manager, NOMS</td>
</tr>
<tr>
<td><strong>Authorisation:</strong></td>
<td>Paul Hindson</td>
</tr>
<tr>
<td><strong>Validation Comments:</strong></td>
<td>A quality assurance panel reviewed this and found the handbook helpful and accessible, with a good use of top tips and good synopsis of key points in offender management phases II and III.</td>
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<td><strong>Validation Status</strong></td>
<td>Example</td>
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<td><strong>Future Review:</strong></td>
<td>June 2010</td>
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<tr>
<td><strong>Target Audience:</strong></td>
<td>Prison and probation staff involved in Offender Management and sentence planning.</td>
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<td><strong>Publication Arena</strong></td>
<td>Open External</td>
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Working Together
A Brief Guide to Phase II and Phase III Offender Management
**Introduction**

NOMS Offender Management model establishes a national case management system for prison and probation. At its heart is a team of people who need to work together with each offender to devise and implement an individual sentence plan which aims to reduce the risk of harm the offender poses to others and their likelihood of reoffending.

Knowing and understanding both your own and other team members roles and responsibilities is essential to effective team work and is particularly important within Offender Management where the team is spread between probation areas and prisons across England and Wales. This handbook has been produced as an aide memoire for probation and prison staff working with offenders in Phase II and Phase III offender management. It specifies key expectations of Phase II and Phase III offender management, outlines roles and responsibilities and offers practice tips to assist staff to reach an acceptable standard of sentence planning. It also references key guidance sources such as Probation Circulars and Prison Service Orders.

The practice tips have been drawn from focus groups and workshops attended by London probation and prison staff, as well as findings from reviews undertaken by NOMS Offender Assessment and Management Group, HM Prisons and HM Probation Inspectorates and London Probation Research and Information Department.

This handbook has been commissioned through NOMS development project fund and is one of several NOMS development projects nationally addressing offender management.

March 2009
## Index

<table>
<thead>
<tr>
<th>Facing Forwards</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eligibility and SP timescale</td>
<td>4</td>
</tr>
<tr>
<td>Key Roles and Responsibilities</td>
<td>5</td>
</tr>
<tr>
<td>Working together with the Offender</td>
<td>6</td>
</tr>
<tr>
<td>Source Planning Documents</td>
<td>7</td>
</tr>
<tr>
<td>Phase II</td>
<td>8</td>
</tr>
<tr>
<td>Phase III</td>
<td>9</td>
</tr>
<tr>
<td>Post Sentence Report</td>
<td>10</td>
</tr>
<tr>
<td>Sentence Planning Meetings</td>
<td>11</td>
</tr>
<tr>
<td>OM : Attendance at Meetings</td>
<td>12</td>
</tr>
<tr>
<td>Video/Telephone Conferencing</td>
<td>13</td>
</tr>
<tr>
<td>How OS can support OM attendance</td>
<td>14</td>
</tr>
<tr>
<td>MARAP</td>
<td>15</td>
</tr>
<tr>
<td>Preparing forISP Meeting</td>
<td>16</td>
</tr>
<tr>
<td>Agenda</td>
<td>17</td>
</tr>
<tr>
<td>Guidance on Chairing Meeting</td>
<td>18</td>
</tr>
<tr>
<td>Sentence Planning</td>
<td>19</td>
</tr>
<tr>
<td>Top Tips in Sentence Planning</td>
<td>20</td>
</tr>
<tr>
<td>Minutes for SP Meetings</td>
<td>21</td>
</tr>
<tr>
<td>Who Does What after the SP meeting</td>
<td>22</td>
</tr>
<tr>
<td>SP Reviews and Pre Parole Meeting</td>
<td>23</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Facing Backwards</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>DSPD Offenders</td>
<td>25</td>
</tr>
<tr>
<td>MAPPA</td>
<td>26</td>
</tr>
<tr>
<td>ViSOR</td>
<td>27</td>
</tr>
<tr>
<td>Foreign National Prisoners</td>
<td>28</td>
</tr>
<tr>
<td>FNPs : Top Tips</td>
<td>29</td>
</tr>
<tr>
<td>Women Offenders</td>
<td>30</td>
</tr>
<tr>
<td>Young Adult Offenders</td>
<td>31</td>
</tr>
<tr>
<td>Victim Focus</td>
<td>32</td>
</tr>
<tr>
<td>Integrating 3rd Party Information</td>
<td>33</td>
</tr>
<tr>
<td>Information sharing protocols</td>
<td>34</td>
</tr>
<tr>
<td>Flow Charts : OM</td>
<td>35</td>
</tr>
<tr>
<td>OS</td>
<td>36</td>
</tr>
<tr>
<td>Probation CA</td>
<td>37</td>
</tr>
<tr>
<td>Prison CA</td>
<td>38</td>
</tr>
<tr>
<td>Sentence Plan Review</td>
<td>39</td>
</tr>
<tr>
<td>Escalation Process</td>
<td>41</td>
</tr>
<tr>
<td>Probation Circulars</td>
<td>42, 43</td>
</tr>
<tr>
<td>Prison Service Orders</td>
<td>44</td>
</tr>
<tr>
<td>Key Abbreviations/Where to find…</td>
<td>45</td>
</tr>
</tbody>
</table>
Key Abbreviations used:

CA   Case Administrator
ISP  Initial Sentence Plan
IPP  Indeterminate Sentence for Public Protection
MARAP Multi Agency Risk Assessment Planning
OASys Assessment Tool used by both Prison and Probation
OM   Offender Manager (community based)
OS   Offender Supervisor (prison based)
ROH  Risk of Harm (to others)
SP   Sentence Plan
SPR  Sentence Plan Review

Where to find:
Probation Circulars: Londoni/Key Documents/Probation Circulars
Prison Service Orders: EPIC/service delivery/Offender Management/OM Prison Service Information/Link on Right hand side of page to HM Prison Service Website
Phase III Implementation Manual: Londoni/Offender Management
Phase III LP Templated Forms: Word/File/New/General Templates/Pre and Post Release
Phase III Guidance and Forms: Epic/service delivery/offender management
MAPPA Guidance 2009 version 3: EPIC/service delivery/public protection/MAPPA
Details of Programmes and Work Skill Courses in HMPS: EPIC/Offender Management/Prison Service Information – Downloads
Who is in Phase II and Phase III.

Phase II (introduced Nov 2006)
Offenders sentenced to over 12 months in custody who are
– High / Very High Risk of Harm (OASys)
– Priority and Prolific Offenders

Phase III (introduced Jan 2008)
Indeterminate Sentences for Public Protection

Sentence Plan timescale ie Meeting and completion of OASys sentence plan is:
Eight weeks where an offender has less than two years to serve post sentence
16 weeks where an offender has two or more years to serve post sentence

Post Sentence identification of Phase II status
Occasionally, an OASys assessment completed by prison staff may identify an offender for potential inclusion in Phase II.
- If Probation agree, the SP Timescale starts from the date of Prison OASys completion
- If Probation disagree, an OM must demonstrate medium ROH through a further OASys assessment and the offender is not then in Phase II

Top Tips:
- Once included in offender management, always included – even if ROH reduces
- Life sentence offenders are not included in Phase III, but are managed by a prison service designated staff member using the same recording system as for IPPs
Offender Manager Processes for Phase II/III From Allocation to ISP

1. Confirm whether eight or 16 week timescale for ISP
2. Receive LISP 1 (Phase III) and /or Protective Factors Form OMD from OS
3. Phase III only Complete post sentence report ................. POSTSR A or POSTSR B
4. Request date for MARAP and ISP ................. SP1
5. Read file and SPR report information prior to meeting
6. Share within two working days
7. Update OASys assessment and Sentence Plan
8. Chair ISP ................. Sign SPR meeting notes
9. Phase III Chair MARAP meeting (if there is one)
10. Speak with OS prior to MARAP /ISP and agree agenda for meeting
Working together with the Offender

Key Elements of Offender Management:

Consistency of method and message
Offenders need to receive consistent pro-social messages from the same person over time and different people at the same time.

Continuity of treatment and of relationship
There needs to be a continuity of approach (treatment integrity or continuity of care) and of relationship – a single plan – a single offender manager

Commitment (sometimes referred to as “genuineness” or “the human link”)
Most offenders have many experiences of exclusion; they are highly sensitive to staff “going through the motions”

Consolidation of learning into routine behaviour
New attitudes and cognitive or life skills need to be consolidated into routine behaviour if change is to be sustained’

Probation Circular 09/2006 and NOMS Phase Ill Implementation Handbook

Diversity and Difference:
Involves active recognition of diversity and difference in assessment, planning and contact, guarding against prejudice, stereotyping and bias
Offender Supervisor Processes for Phase II/III from Allocation to ISP

- Ensure offender receives OM and OS details
  - OM C

- Post sentence Interview
  - (seven working days)

- Phase III only
  - LISP 1 to OM and NOMS
  - Pre Release Section

- Protective factors interview
  - OMD
  - (10 working days)

- Liaise with OM

- Implement sentence plan

- Initial sentence planning meeting.
  - Ensure minutes are copied to NOMS
  - (Phase III)

- Phase III
  - MARAP
  - LISP 2 to NOMS
  - Pre Release Section

- Meet with prisoner to enhance motivation

- Oversee arrangements for MARAP and ISP

- Meet with offender to review sentence plan

- Liaise with key workers

- Ensure key information is recorded on file and copied to OM

- Oversee arrangements for sentence plan review
Key roles and responsibilities within sentence planning

Offender Manager
- OASys risk assessment and sentence planning in custody and community
- Post-sentence report: POST SR A or POST SR B (Phase III only)
- Chair of multi-agency risk assessment planning and sentence planning review panels
- Ensuring victim issues are addressed

Offender Supervisor
- Post-sentence interview – completion of LISP 1 (Phase III)
- Motivates and supports offender to engage with their sentence plan
- Implementation of the sentence plan whilst the offender is in custody
- Oversees arrangements for MARAP and sentence planning panels
- Ensures completion of MARAP and SP R meeting notes
- Communicating offender’s progress or otherwise to OM

Case Administrators
- Ensuring information exchange flows between prison, probation and NOMS Pre Release Section
- Recording key dates and ensuring data quality is maintained

Key Workers
- Responsible for the delivery of key parts of the sentence plan
Probation CA Processes for Phase II and III from Allocation to ISP

- Set up paper and electronic case records
- Contact prison CA to arrange MARAP and/or initial sentence plan meeting
- Check: Delius registration buttons highlighted OASys is signed and locked PNC Delius/OASys link
- Have relevant agencies been notified: eg Social Services YOT Victims Unit
- Send key source planning documents to prison OM E
- Send OM Details to prison (Within five days) OM A
- Confirm prisoner location
- Key dates in Delius
- Record OS details in Delius
**Source planning documents form basis of the parole dossier**

Probation CA sends to Prison OMU/Prison CA sends to NOMS Pre Release Section

<table>
<thead>
<tr>
<th>Source Planning Document</th>
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</thead>
<tbody>
<tr>
<td>Crown Prosecution Service case summary or opening</td>
</tr>
<tr>
<td>Police summary of evidence – case summary (form MG5)</td>
</tr>
<tr>
<td>A list of previous convictions MG16</td>
</tr>
<tr>
<td>Victim impact statements</td>
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<tr>
<td>Information about victim’s issues</td>
</tr>
<tr>
<td>PSR prepared for the court and/or post-sentence report</td>
</tr>
<tr>
<td>Any medical, psychiatric and/or psychological reports prepared for the court</td>
</tr>
<tr>
<td>OASys assessment – electronic format</td>
</tr>
<tr>
<td>Any self-harm alert notices/forms</td>
</tr>
<tr>
<td>Sentence notification</td>
</tr>
<tr>
<td>The trial judge’s sentencing remarks</td>
</tr>
<tr>
<td>The court warrant</td>
</tr>
<tr>
<td>Court form 5089 sentencing information (2003 CJA): Only if judge makes recommendation for licence conditions</td>
</tr>
<tr>
<td>Media coverage eg newspaper/news website</td>
</tr>
</tbody>
</table>
Prison CA: processes for Phase II and III from Allocation to ISP

1. Set up paper and electronic case records
2. Check if there is an OASys
3. Send OS details and key dates to probation
   Highlight if no OASys
   OM B (within 5 days)
4. Send OS/OM details to prisoner
   OM C
5. **Phase III**
   Send to NOMS pre-release section
   LISP 2 and SPR meeting notes
6. Co ordinate MARAP and ISP meetings
7. Liaise with probation to confirm date for MARAP and ISP
8. **Phase III**
   Send source planning documents to NOMS Pre Release Section
9. Obtain source planning documents
Phase II: PPOs and High/Very High Risk of Harm Offenders

- The OASys sentence plan should prioritise reduction in risk of harm upon release but also address likelihood of reoffending.

- Sentence planning should address both custodial and community supervision elements of the sentence.

- All offenders sentenced to determinate length sentences of over 12 months will be automatically released at halfway point in sentence. (CJ and Immigration Act 2008)

- However, some legacy High Risk of Harm and EPP offenders who have been sentenced for a sexual or violent offence specified in Schedule 15 of CJA 2003 will still have to apply to Parole Board for early release. See PC 12/2008 Changes to the Release Arrangements for DCR Prisoners.

Top Tips:

- Where attendance at an accredited programme is required post-release REFER EARLY to ensure programme availability soon after release.

- Establishing contact with an offender pre-release improves post-release compliance.
## MAPPA: Multi Agency Public Protection Arrangements (2009 Guidance)

<table>
<thead>
<tr>
<th>Categories</th>
<th>Levels</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Registered sexual offenders (RSOs)</td>
<td>1 Ordinary agency management</td>
</tr>
<tr>
<td>2 : Adult offenders: Violent offenders and other sexual offenders sentenced to 12 months plus imprisonment, including Hospital and Guardianship Orders and those sentenced to a Disqualification Order</td>
<td>2 Active multi-agency management (Regular monthly meeting)</td>
</tr>
<tr>
<td><strong>Young Offenders:</strong> All YO’s sentenced to Detention of 12 months plus or an indeterminate sentence (regardless of tariff)</td>
<td>3 Active Multi–agency management (Specially convened meetings and where additional resourcing may be required)</td>
</tr>
<tr>
<td>3 Other dangerous offenders who have committed an offence that indicates they can cause serious harm and need a multi-agency management plan</td>
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</tbody>
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### Top Tip:
- A MAPPA level needs to be assigned six months prior to release or tariff end date, check with your PPU when MAPPA referral should be made to achieve this.
Phase III: Indeterminate Sentence for Public Protection

- The sentencing court sets a tariff which is the minimum time the offender will spend in custody.

- For him/her to be released from custody, the Parole Board has to be convinced that an IPP offender can be safely managed in the community.

- The OASys Sentence plan should therefore prioritise interventions that reduce risk of serious harm, and thereby enable the IPP offender to demonstrate that s/he can be safely managed in the community by the end of tariff date.

- Preparation for parole starts on the day of sentence. Sentencer’s comments, the post- sentence report, MARAP meeting notes and initial sentence plan meeting notes form part of the parole dossier, providing the baseline assessment from which the Parole Board will make a judgement about when an offender is safe to release.

Top Tips:

- Where required, request further specialist assessments in initial sentence plan.

- Phase III offenders will be prioritised for access to interventions required to reduce risk of harm which are included in their sentence plan.
ViSOR: The Violent Offender and Sexual Offender Database

ViSOR is a national database set up to enable criminal justice partners immediate access to key information about offenders subject to MAPPA and hence facilitates risk management.

Who OMs should register: MAPPA Cat 2 and 3 Cases managed at Level 2 or 3. (MAPPA Cat 1 offenders are registered on ViSOR by the Police)

When to register: Within three working days of MAPPA level being decided ie at least six months before potential release.

How to register:
- Activate the ViSOR registration in Delius on the Registers Button
- Complete a ViSOR data migration form in Delius
  – Pathway : New contact/CVIS-ViSOR Data Migration Form/ViSOR Data Migration
- When you have completed this form click ‘Save’
- Tick the ‘Copy to ViSOR’ box at the bottom of the Delius contact entry to alert your ViSOR administrator to create a ViSOR record

Top Tips:
- Updating ViSOR information is easy! Just enter information in Delius and ‘tick’ the ViSOR button. This will send a copy of that Delius entry to your ViSOR administrator
- If there is no ViSOR box in the contact log, it means you need to activate the ViSOR registration in Delius (red button)!
Post Sentence Report (Phase III only)
OM should complete this before the Initial Sentence plan meeting

POST SR A: is to be used when a full PSR and pre sentence OASys have been prepared. It only requires information additional to or which updates the PSR to be included, such as:

- Information about media response to offence and sentence
- Diversity needs of offender which will need to be addressed in custody.

N.B. Rarely, an offender may be sentenced to IPP without a full PSR. In such instances there is an expectation that the OM will interview the offender and complete POST SR B which is a much fuller report

Pathway to find report templates: Start up menu/New Office Document/General Templates/More/Pre&Post Release/Phaselll_POST SR A or Phaselll_POST SR B

Top Tip:
- There is no need for the OM to interview the offender. POST SR A can usually be completed from the information on LISP 1 provided by the offender supervisor.
Managing High Risk of Serious Harm Offenders with Severe Personality Disorder

PC 21/2008 provides guidance and referral forms for the dangerous and severe personality disorder (DSPD) programme (in prison secure units) and democratic therapeutic communities (TC) in prisons.

The DSPD Programme is likely to take at least three years, so referral at ISP stage is essential.

- Admission criteria: high risk of serious harm to others, personality disorder (see PC21/2008 Annex D) and there being a functional link between the two.

- Full OASys should trigger need for a further assessment: if considering DSPS referral discuss first with your line manager.

- Whilst best practice is to involve the offender in the referral process, lack of consent should not be a barrier to referral if other admission criteria are met.

Democratic Therapeutic Communities in Prison. (Accredited OB Programme). Offer a holistic approach to complex needs and offending. Recommended treatment time required to reduce reoffending is at least 18 months for men and 12 months for women.

Top Tip:
- DSPD referral is best completed jointly by OM and OS, plan to do this after ISP
Sentence Planning Meetings

Purpose
- The initial sentence planning meeting outlines the objectives for the whole sentence
- Key decisions should be undertaken in this one meeting
- Reduction of risk of harm to others is the priority
- Strengthening protective factors is also key to successful rehabilitation
- Sentence plans need to take into account length of sentence/tariff and availability of resources
- The offender needs to be engaged in the process

Attendance:
The Offender, OM (Chair), OS (Minutes, unless CA present), Key workers and anyone who has a part to play in assessment or monitoring of the sentence plan e.g. Personal Officer.

Most Sentence Planning Panels meetings are only attended by offender, OS and OM

Top Quote:
- ‘The initial sentence plan meeting is a key meeting for the OM to chair as it is this meeting that outlines the objectives for the whole sentence’
Source: Phase Ill Implementation Manual
**Foreign National Prisoners (FNP)**

<table>
<thead>
<tr>
<th>Key References</th>
<th>Useful Contacts (Tel Nos staff use only)</th>
</tr>
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<tbody>
<tr>
<td><strong>Wall Chart ‘Guide to entitlements of offenders without UK citizenship’</strong></td>
<td><strong>UKBA Evidence and Enquiry Unit</strong>&lt;br&gt;Tel: 0845 601 2298. To check Immigration status and nationality at PSR Stage</td>
</tr>
<tr>
<td>Has been distributed to prisons/probation offices. An AT User compliant version is available on EPIC – Service Delivery/Foreign Nationals/Foreign Nationals Wall Chart</td>
<td><strong>UKBA Criminal Casework Directorate helpline: 0208 196 3443.</strong> To check if a FNP is being considered for deportation</td>
</tr>
</tbody>
</table>
| **If UKBA request a risk report from OM:**  
UKBA Criminal Casework Directorate may request a risk report from Offender Managers to assist in deportation decisions or prior to Immigration Bail hearings. If such a request is made of you please see:  
PC 11/2007 Deportation of EEA National Prisoners: Form EEA NOMS 1 which assists UKBA in decisions about deportation  
PC 32/2007 Management of Foreign National Prisoners: Form NOMS 1 (Appendix A) Risk Report | **FNP Unit at Uxbridge Probation Office**<br>Tel: 01895 231972. Unit staff have specialist knowledge re FN issues and can act as a resource for LP staff. |
| **London Probation FNP Single Point of Contact with UKBA CCD:**<br>Tel: 0207 960 1821 or email ForeignNationalPrisonersSPOC@london.probation.gsi.gov.uk | **Migrant Probation Advice Service (MPAS)**<br>Tel 0207 749 7608 Provides resettlement advice for FN Offenders and can act as a conduit for referral to other relevant agencies |
| Addresses communication problems between LP staff and UKBA. |                                                                                                       |
OM Attendance at Meetings

The Offender Manager is expected to chair:
- MARAP (Phase III)
- Initial sentence planning meeting
- Sentence plan review meetings including the pre-parole meeting

If as OM you cannot attend a meeting, one of the following options must be followed:
- Video conferencing
- Telephone conferencing
- Send in written SP report, set agenda and outline objectives you want included in SP
  – after conferring with offender supervisor
  – and your line manager is satisfied this will not compromise risk

Top Tips:
- Phase III MARAP and ISP are the top priority for OM participation. If OM opts to send in a written report rather than participate, this must be an agency decision agreed by SPO.
- Where OM initiates request for a meeting date well in advance of the deadline there is more opportunity for the prison to be flexible in setting mutually convenient dates/ times.
- The OM is always accountable for the sentence plan and OASys completion
Foreign National Prisoners (FNPs) Top Tips

- UK Borders Act 2007 means that all FNPs who meet certain criteria will be automatically considered for deportation. Where UKBA are not pursuing deportation, normal Offender Management arrangements apply.

- Where a FNP is in scope for deportation check if they meet the criteria for offender management by LP’s Foreign National Prisoner Unit.

- OM and CCD case owners should exchange contact details as soon as possible.

- OS and OMs should encourage those FN prisoners who will be deported to consider options for their early return to their country of origin that offer some support with resettlement i.e. early removal scheme and facilitated return scheme. The Prison FN coordinator will have details of eligibility.

- FNPs are eligible for inclusion in offending behaviour and other programmes that are necessary to reduce their risk of harm to others.

- FNPs share the same resettlement needs as non FNPs, and in addition may have particular needs in relation to language, lack of community ties and insecure residency.

- Suspension of licence supervision reporting requirements is possible for an FN offender not being deported who wishes to return to their country of origin upon release from prison. This requires ACO approval and is subject to an OASys risk assessment. Ref: PC 42/2003.

- FNPs detained post release date under immigration powers require flexible risk management plans which cover the potential for immediate release and therefore liaison between CCDs case owner and probation OM is crucial at this stage.
# Video and Telephone Conferencing

<table>
<thead>
<tr>
<th>When it is preferable to attend in person</th>
<th>When use of Video or Telephone conferencing will suffice</th>
</tr>
</thead>
<tbody>
<tr>
<td>You have not previously met the offender</td>
<td>Have met offender before</td>
</tr>
<tr>
<td>Initial sentence plan</td>
<td>Sentence plan review</td>
</tr>
<tr>
<td>Pre-parole meeting</td>
<td>Offender is doing well in relation to sentence plan</td>
</tr>
<tr>
<td>Phase III offender</td>
<td>Phase II Offender</td>
</tr>
<tr>
<td>Offender is not engaging</td>
<td>In distant prison</td>
</tr>
<tr>
<td>Security issues in prison</td>
<td>Regular flow of information between OS and OM is in place</td>
</tr>
<tr>
<td>Where there are communication difficulties such as offender has speech or hearing sensory difficulties or an interpreter is needed</td>
<td>When there are local or national restrictions upon travel to prisons</td>
</tr>
</tbody>
</table>

**Top Tip for getting the most out of Video and Telephone Conferencing:**
- OM and OS discuss how to manage the conference beforehand and agree the best strategy for ensuring the offender is central to the process
Women in the Criminal Justice System

The Corston Report 2007:
- Concluded that different approaches were needed in working with men and women to achieve equal outcomes.
- Identified the impact of domestic or sexual abuse and work in the sex trade on offending by women.

Key Guidance:
- The Offender Management Guide to Working with Women Offenders 2008
- Prison Service Order 4800 Women Prisoners, Annex A Guidance notes on gender specific standards

NOMS Risk of Harm Guidance and Training Resources states:
In addition to being offence focussed, risk management plans for women will often need to take account of:
- Abuse and trauma history of women as victims
- Inappropriate relationships (often involving abuse)
- Substance abuse
- The health and emotional needs of women in relation to self harm and suicide risk

Top Tips:
- Considering programmes during licence period? London Probation Women’s Centre can offer advice: Tel 0207 428 8430
- Look on council websites for details of provision for women locally
What Offender Supervisors can do to support OM attendance

Some OMs are regular visitors to their local prison offender management unit and feel confident operating within a prison environment. However for many OMs visits to prisons are few and far between and the prospect of attending a sentence planning meeting, let alone chairing the meeting, is daunting.

The offender supervisor has a key role in encouraging and enabling the OM to attend SP Panels. The following are some examples of how an OS can support OM attendance at SPP.

- Be flexible (within given timescale expectations) on date and timing of sentence planning panel
- Send out travel directions and details of any parking arrangements.
- Give out information about security measures in your prison such as what ID is required for entry and where to go to on arrival at the prison.
- Inform OM that mobile phones, cameras etc are not allowed inside prisons and must be handed in at the gate before entry.
- Let the gate know to expect the OM and have someone on hand to collect them quickly upon arrival.
- Be hospitable! Arrange to meet them in time to have a tea/coffee before the meeting whilst you explain arrangements.
- After the meeting invite back to the OMU for a short debrief

1 NOMS Offender Management and Assessment Group, Phase III Offender Management 2008
Integrating 3rd party information into sentence planning:
Ref: PC 26/2007 and Rule 6(2) PSO6000

- The expectation is of full disclosure. However exceptionally 3rd party information that may put others at risk of serious harm or jeopardise the apprehension or prosecution of offenders if disclosed may be kept separately and not disclosed.

- Such information should be recorded in the 'Information not to be disclosed to the offender' section of eOASys with sources attributed. Decisions to withhold information must be made on a case by case basis, and must be reviewed regularly.

- A MARAP should be held prior to an ISP to assess the impact of any 3rd party information upon risk assessment and agree how to manage it within the SPP.

- Where 3rd Party information impacts upon risk and needs to be disclosed to the Parole Board, the OM can request non disclosure through form Annex A to PC 26/2007 (General Templates/Pre and Post Release). The top of each page should be marked clearly in capitals in red ink ‘NOT FOR DISCLOSURE – AGREED BY OFFENDER MANAGER’

- A sanitised version or gist should be prepared for the offender.

- If the Parole Board does not uphold the non-disclosure application, the OM will be given opportunity to withdraw the information rather than proceed with disclosure.
MARAP: Multi Agency Risk Assessment Planning (Phase III)
NB. Good Practice for Phase II

Purpose
- Crucial part of risk assessment process
- Enables prison, probation and police to review and exchange information
- Incorporation of information from victim liaison officer
- Highlights areas of concerning behaviour at an early stage
- Helps shape sentence plan
- Lays foundations for pre and post-release risk management plans
- Provides a basis for the Parole Board to make judgement about whether risk is reduced

Attendance: OM (Chair), OS, Police. The offender should not know the MARAP is taking place.

MARAP Minutes (LISP 2)
- Signed by both OS and OM
- Copied to NOMS Pre Release Section by Prison OS/CA


Top Tips:
- Invite Psychology to MARAP
- Whilst MARAP notes are confidential, only include information pertinent to risk of harm
Victim Focus in Sentence Planning

- The victim impact and the offender’s understanding of their victim’s perspective should be fully explored and recorded in OASys.
- Any shortcomings in the offender’s victim awareness should be addressed in the SP.
- Where a victim of a violent or sexual offence has opted for contact, the OM needs to ensure timely information exchange with the VLO concerning any form of release.
- OS should ensure OM is aware of potential and actual changes to offender status such as consideration for a town visit/move to open conditions etc.
- When completing PAROM 1: Consult VLO about licence conditions requested and if there is a separate victim contact report. Copy, paste and e-mail comments entered under the victim section to the VLO.

Victim Representation at Parole Board Hearings PC27/2007

- A victim of a sexual or violent offence can also submit a victim personal statement to Parole Board paper hearings and can apply to attend oral hearings. A VPS will be disclosed unless an application for non disclosure is made using Annex A PC26/2007 (and that request is upheld.)

Top Tips:
- Where there is a victim interest, this is highlighted through a button on Delius.
- If there is no suitable programme, use LP’s victim empathy awareness pack for one-to-one work. Pathway: London i – Operations/victim empathy awareness pack.
Preparing for the Initial Sentence Plan Meeting

Best Practice for Offender Supervisors

- Engage with and motivate the offender to address their offending
- Consider how the Incentives and Earned Privileges Scheme might act as a motivator
- Prepare the offender for the sentence plan and review meetings
- Manage the offender’s expectations about the OM involvement – the offender’s primary professional relationship whilst they are in custody is with you not the OM
- Gather information from prison colleagues about the offender’s progress or otherwise
- Share critical information with OM before the meeting
- Identify potential appropriate interventions: don’t limit to your own establishment!

Best Practice for Offender Managers

- Read the file. Be familiar with the nature of the offender’s offending history, any patterns of offending, situations which exacerbate or reduce risk of harm
- Check with victim’s unit in case there is updated information
- Consider diversity needs of offender that impact upon their offending
- Speak to OS beforehand about the offender’s response to sentence
- Speak to OS in advance of meeting to set agenda, identify who will take minutes and discuss potential interventions

Top Tips:

- Details of what programmes and work skill courses are available in each prison are available on EPIC and London i. London i pathway – Operations/Offender Management/Directory of Interventions or Directory of Work skills
Young (Adult) Offender in the Criminal Justice System

Young (adult) offenders sentenced before their 18th Birthday to detention or an extended sentence for public protection are included in offender management arrangements.

The protocol for liaison and transfer of work between youth offending teams in London and London Probation states that:

- Preparation for transfer needs to start 3-6 months before the young person’s 18th birthday.

- Transfer should include a meeting between YOT, probation, the young person, their parent carer and any other key workers concerned, to ensure effective case management and a consistent approach to risk.

Top Tips:

- The OM Guide to transferring information from ASSET to OASys can be found on EPIC Pathway – Service Delivery/Offender Management/OASys and Assessment/Downloads

- When transfer from YOI to an adult prison is due, ensure that the sentence plan addresses the transition to minimise any risk of self harm due to feelings of vulnerability in the adult estate

- Where a young person has been in care they may be entitled to support with resettlement through Social Services Leaving Care Team. (If under 21 upon release)
Agenda for Sentence Planning/Review Meetings

The sentence plan and review meetings need to strike a balance between being sufficiently informal to put the offender at ease, but sufficiently formal to underline the importance of the meeting. Setting an agenda provides structure to the meeting.

<table>
<thead>
<tr>
<th>1</th>
<th>Introduction and Data Checks</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Current Situation</td>
</tr>
</tbody>
</table>
| 3 | OASys Sections 1-13  
Address only the areas highlighted as having an impact on Risk of Harm  
Include contributions from key workers |
| 4 | Objective Setting: Outcomes, Actions and Objectives |
| 5 | Summary and Next steps |

**Top Tip:**  
- Try putting a time allowance against each agenda item to ensure all the agenda is covered in the time available
Information-sharing protocols with 3rd party organisations

Information obtained about offenders, their families and victims during the course of prison and probation work is bound by rules of confidentiality. However the Crime and Disorder Act 1998 provides a legal basis for information sharing aimed to reduce crime and disorder and the Data Protection Act 1998 provides a legal framework for the handling of personal data.

To share information about an offender with a 3rd party organisation eg to access resources such as drug treatment or accommodation, there needs to be:

- A service level agreement (SLA) or formal contract in place which addresses the issues of disclosure and confidentiality.

- Informed consent in writing from the offender before information sharing takes place, unless information is being shared to protect the public or prevent offending. The offender can withdraw their consent at any time.

Informed consent requires that the offender should understand what information will be shared, with whom and how the information will be used. They also need to know that confidentiality can be breached if they are thought to pose a risk of serious harm to others eg children/partner/victims

Top Tip:
- Sharing information to prevent offending or for public protection does not require the offender's consent and often takes place without the offender's knowledge eg MAPPA or Multi Agency Risk Assessment Conferencing
Guidance on Chairing the ISP and Reviews:

- Be Prepared: Read offender’s file and any SPR reports in advance of meeting
- Plan agenda with OS in advance of meeting
- Discuss potential actions and objectives with OS in advance to check viability
- Facilitate discussion
- Include consideration of the offender’s self assessment
- Manage the process eg address power imbalance accentuated by virtue of race, ethnicity, gender or professional status
- Summarise key decisions/actions/objectives for minute taker
- Manage the time

Top Tip:
- Involve the offender in the meeting from the start by asking them to do the introductions
## Key Probation Circulars:

<table>
<thead>
<tr>
<th>Offender Management</th>
<th>PC 03/2009</th>
<th>Continuity in Offender Management</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>PC 15/2006</td>
<td>Guidance on the Implementation of Practice Recommendations arising from a SFO</td>
</tr>
<tr>
<td></td>
<td>PC 09/2006</td>
<td>Offender Management for Custodial Sentences</td>
</tr>
<tr>
<td>MAPPA</td>
<td>PC 21/2008</td>
<td>Managing High Risk of Serious Harm Offenders with Severe Personality Disorder</td>
</tr>
<tr>
<td></td>
<td>PC 02/2008</td>
<td>Dynamic Risk Assessment of Sex Offenders</td>
</tr>
<tr>
<td></td>
<td>PC 17/2007</td>
<td>Assessment and Management of Sex Offenders</td>
</tr>
<tr>
<td></td>
<td>PC 35/2007</td>
<td>Medical Treatment for Sex Offenders</td>
</tr>
<tr>
<td></td>
<td>PC 06/2007</td>
<td>Critical Public Protection Cases (CPPCs)</td>
</tr>
<tr>
<td>Parole</td>
<td>PC 04/2009</td>
<td>Performance of Parole Reports</td>
</tr>
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<td></td>
<td>PC 07/2008</td>
<td>Parole Processes</td>
</tr>
<tr>
<td></td>
<td>PC 04/2007</td>
<td>Parole Assessment Reports</td>
</tr>
<tr>
<td>FN Offenders</td>
<td>PC 32/2007</td>
<td>Management of Foreign National Prisoners: Licences, Bail Hearings, Releases from Immigration Detention and Deportation</td>
</tr>
<tr>
<td></td>
<td>PC 11/2007</td>
<td>Deportation of EEA National Prisoners</td>
</tr>
<tr>
<td>Tiering</td>
<td>PC 08/2008</td>
<td>National Rules for Tiering Cases and Associated Guidance</td>
</tr>
<tr>
<td>Disclosure</td>
<td>PC 26/2007</td>
<td>Disclosure and Information Sharing to inform Parole Board decisions on release and recall</td>
</tr>
<tr>
<td>YOT</td>
<td>PC 91/2005</td>
<td>Case Transfer Protocol: YOTS and Probation</td>
</tr>
</tbody>
</table>
Sentence Planning – Principles and Practice

NOMS Guidance Feb 2009 advises Sentence Plans to:

- Specify OUTCOMES: ie what the sentence plan is trying to achieve
- Identify ACTIONS eg interventions which are to be put in place to achieve the outcomes
- Set OBJECTIVES ie targets for the offender to aim at in support of an action or an outcome

The sentence plan should reflect the level of risk reduction required to achieve a favourable outcome at a Parole Board hearing.

Ideally the offender should agree the key outcomes, actions and objectives

Where an offender is not motivated to change it may only be possible to set limited outcomes and actions; in these instances the focus may be on monitoring and risk management

Actions and objectives should refer to the resources that are available within the existing custodial setting and where the offender may be transferred to in the near future

Actions should be sequenced logically, but also according to availability

**SMARTA Objectives:**
Specific, Measurable, Achievable, Realistic, Time-limited and Anti-discriminatory
<table>
<thead>
<tr>
<th>Victim Rep</th>
<th>PC 27/2007</th>
<th>Victim Representation at Parole Board Hearings</th>
</tr>
</thead>
<tbody>
<tr>
<td>DCR Release</td>
<td>PC 12/2008</td>
<td>Changes to the Release Arrangements for DCR prisoners</td>
</tr>
<tr>
<td></td>
<td>PC 15/2005</td>
<td>CJA 2003 Early Release and Recall</td>
</tr>
<tr>
<td></td>
<td>PC 05/2008</td>
<td>Determining Unacceptable Absences</td>
</tr>
<tr>
<td></td>
<td>PC 29/2007</td>
<td>Post Release Enforcement – Licence Conditions</td>
</tr>
<tr>
<td></td>
<td>PC 16/2005</td>
<td>Criminal Justice Act 2003 Early Release and Recall</td>
</tr>
<tr>
<td></td>
<td>PC 03/2005</td>
<td>Supervision, Revocation and Recall for Prisoners Released on Licence</td>
</tr>
<tr>
<td></td>
<td>PC 45B 2005</td>
<td>Parole Board: Oral Hearings of Offender’s Representations against Recall</td>
</tr>
<tr>
<td></td>
<td>PC 05/2007</td>
<td>Post Release Enforcement – Interagency working, unlawfully at large offenders and extradition</td>
</tr>
<tr>
<td>Temp Travel Abroad</td>
<td>PC 04/2006</td>
<td>Temporary Travel Abroad whilst on Licence</td>
</tr>
<tr>
<td>PPO</td>
<td>PC 79/2005</td>
<td>PPO’s: Summary of Actions and Monitoring Arrangements</td>
</tr>
<tr>
<td>Transfers</td>
<td>PC 17/2008</td>
<td>Introduction of Cross Border arrangements between England and Wales and Scotland</td>
</tr>
<tr>
<td></td>
<td>PC 25/2007</td>
<td>Case Transfers: Community orders, Suspended Sentence Licence</td>
</tr>
<tr>
<td>Diversity</td>
<td>PC 67/2005</td>
<td>Diversity and the One to One accredited programme</td>
</tr>
</tbody>
</table>
Top Tips in Sentence Planning

- **Reducing risk of harm is the priority**: The first Outcome in OASys must be the one that will have most impact upon reducing ROH – even where preliminary work needs to be done to prepare the offender for the main work.

- **Assess for accredited programmes** – in case the offender is found not suitable.

- **Sequence actions eg** Motivational work first where an offender is not sufficiently accepting of their own behaviour to be accepted for an accredited programme.

- **Be creative** in working with the offender supervisor to devise plans to meet the specific offending behaviour needs of the offender in question. Ask about content of non-accredited programmes to make a judgement as to suitability.

- **Plan ahead**: Refer early for accredited programmes that will take place in the community to ensure availability upon release.

- **Protective factors**: Identify protective factors such as accommodation needs early; allow time for planning and referrals.

- **Compliance with supervision**: Set a pre-release objective to encourage offender to draw up their own contingency plan for what they should do if they are at risk of breaching licence requirements.
## Key Prison Service Orders

<table>
<thead>
<tr>
<th>PSO 2205</th>
<th>Offender Assessment and Sentence Management OASys</th>
</tr>
</thead>
<tbody>
<tr>
<td>PSO 4800</td>
<td>Women Prisoners</td>
</tr>
<tr>
<td>PSO 4630</td>
<td>Immigration and Foreign Nationals in Prison</td>
</tr>
<tr>
<td>PSO 6000</td>
<td>Parole, Release and Recall Manual</td>
</tr>
<tr>
<td>PSO 6010</td>
<td>Generic Parole Processes</td>
</tr>
<tr>
<td>PSO 4745</td>
<td>Multi Agency Public Protection Arrangements</td>
</tr>
<tr>
<td>PSO 4700</td>
<td>Lifer Manual (includes Parole Board review processes for IPPs)</td>
</tr>
<tr>
<td>PSO 4615</td>
<td>Prolific and Other Priority Offenders Strategy</td>
</tr>
</tbody>
</table>
Sentence Plan and Sentence Plan Review Minutes

- Minute taking is a key role, usually completed by OS or Prison CA.
- SPR meeting notes for both Phase II and III are disclosable to the offender.
- Skill is needed to ensure accuracy and diplomacy in recording personal and sensitive information.

**Phase II**
- No set format
- Should record key information and decisions including sentence plan
- Attribute information to participants

**Phase III**
- Set format for notes, ‘Sentence Planning and Review Meeting Notes ‘
- Need to be signed by Offender Manager
- Copy sent by Prison CA to pre-release section for inclusion in parole dossier

**Top Tips:**
- OM should check accuracy of minutes before signing
- OM should check that SP in meeting notes and OASys concur
Escalation Process: What to do if SP/OASys timeframe looks as if it will be breached

- The Offender Manager has responsibility for completing sentence planning and OASys.
- The OS is expected to ensure the SP timescales are met.

Where either OS or OM is concerned that the other branch of NOMS is not responding appropriately in the interests of timely sentence planning, this needs to be addressed constructively and quickly. The aim is to get the SP process back on track at the earliest opportunity and to do so via the lowest level of agency hierarchy possible.

Process:
1. Check you have contacted the right person and allowed reasonable time for response
2. Attempt to deal with the issue by direct contact with the person(s) concerned

Where this is not possible or doesn’t reap the desired outcome for sentence planning:
3. Inform your line manager:
   - Summarise the issue and impact on sentence planning
   - Provide copies of any emails, dates of telephone calls etc
   - Specify outcome required

4. A line manager receiving information outlined in 3 above should contact the direct line manager of the person who is being complained about within two working days
5. Line managers should seek to agree a resolution to the issue within five working days
6. Where line managers fail to agree a resolution, the matter should be escalated to ACO Prisons
After the Sentence Planning Panel: Who does what

The Minute Taker:
- Type up minutes asap and send to OM for sign off
- On receipt of signed minutes a copy should be sent to NOMS Pre Release Section
- A copy should be retained on offender’s file in OMU

Offender Manager
- Update OASys and complete the OASys sentence plan
- Record on Delius that the meeting took place, who attended and key decisions taken
- Check, sign and return minutes to Prison CA/OS. Put copy on file
- Make referrals to community provision eg accredited programmes that will take place in the community

Offender Supervisor
- Make any referrals within prison estate
- Deliver one-to-one interventions
- Keep OM updated with the progress of the offender in prison
- Meet with offender to increase motivation
  – Regularly until they start an accredited programme,
  – Monthly whilst there are active interventions aimed at reducing risk
  – No less than every three months during periods where there is no rehabilitative work

NB OASys Sentence Plan needs to be completed before SP implementation can begin
The Sentence Plan is reviewed annually

Unless there is a significant event, including open condition or Parole Review.

OM/Probation CA
Contact Prison CA to request SP review
Approx 8 weeks before SPR is due
SP 1

Prison CA
arranges meeting
SP 2

Prison CA liaises with OS and requests reports
SPR A-J

Prison CA sends copies of SPR A-J to OM prior to SPR meeting

OM and OS liaise in advance of SPR meeting
Set agenda

OS continues to implement reviewed sentence plan

Phase III
OS sends SPR A-J and SPR meeting notes to Pre-release section NOMS

OM updates OASys

OM signs meeting notes and returns them to OS/prison CA

SPR Meeting
OM chairs and ensures SPR meeting notes are recorded
Sentence Planning Reviews and Pre Parole meetings

**Sentence plan reviews** take place annually unless triggered by
- Set objectives being completed
- New information which impacts upon sentence plan
- Re-allocation or re-categorisation being considered
- Parole Board assessment due

**Long Tariff IPP Sentences**
A full set of SPR B-J reports usually only need to be obtained every three years. In the intervening years the information from key workers is recorded in the SPR meeting notes.

**Consideration for Open Conditions**
Where the minimum term is over three years, the first Parole Board review may take place well in advance of tariff expiry date to consider suitability for open conditions.

**Pre Parole meeting:** Takes place six-eight months before end tariff date
The pre-parole meeting follows the same format as an SPR meeting, after which the OM completes PAROM 1

**Top Tip:**
- Remember to invite OS to attend/contribute to pre-release MAPPA meeting