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| HMPPS Prison Regime Recovery Planning –  Exceptional Delivery Model (EDM) 5  Offender Management Units  Agreed Published Version 1.0 |
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| **3 July 2020** |

**Offender Management Unit**

**Introduction**

**Exceptional Delivery Models (EDMs)**

A suite of EDMs are being published as part of the guidance for prisons to guide them through construction of local RRMPs. This EDM is a brief guide on the high-level principles that must be incorporated into a local plan for each element of regime delivery. It is essential that the plan for reinstating an element of the regime does more than simply reintroduce the local procedures that pre-dated COVID measures. Each local plan must incorporate social distancing and cohorting measures, medical considerations, PPE and hygiene requirements (including regular hand-washing), as well as security and safety considerations. Each EDM will also guide establishments on the most procedurally just way to stand up each regime element under continuing COVID restrictions, and national UK Government and Welsh Government guidelines.

Each establishment must create a plan for every element of regime that is relevant to their category and function based on the guidance in its respective EDM. Mirroring the approach taken during the development of ERMPs, establishments have local autonomy to determine the formal and contents of each plan or procedure they produce from the EDMs but the RRP they complete summarising their local recovery proposal will be based on a template provided.

This EDM has been developed jointly by policy and operational colleagues in conjunction with specific stakeholders relevant to each area. Each EDM breaks each regime element into a series of processes or areas. Under each one there are a set of baseline requirements which must be met by each establishment. Every baseline requirement has an importance weighting from one (lowest) to three (highest) attributed to it, to assist prisons in planning and sequencing activity required. Baselines are split into those that are mandatory and those that are desirable. Each baseline also has a “level of autonomy” attached. This describes the level of freedom an establishment has over the design of the product/output required to satisfy each baseline.

This EDM outlines what activity will be permitted at level 3 (restrict) moving towards level 2 (reduce).

**Regime Recovery Management Plans- RRMP**

Prisons are required to develop local Regime Recovery Management Plans (RRMP) based on a suite of national guidance documents called Exceptional Delivery Models (EDM). Establishments are being provided with high level guidance outlining the parameters they must work within but have autonomy to build their own bespoke plans based on what works locally. Establishments will submit their RRMP together with a readiness assessment to their respective Prison Group Director (PGD). Further details are contained within the published National Framework on Regimes & Services.

**The EDM in relation to the delivery of Offender Management is provided overleaf. This advice will be updated as Government guidance evolves and any changes to HMPPS regimes are made over-all.**

**Exceptional Delivery Regime model: Offender Management Unit**

It is judged that certain tasks completed by the Offender Management Unit in prisons, as delivered prior to COVID-19, are not feasible at the current time. However, community staffing levels and prison staffing levels are better than predicted and so we will review the return of probation staff on an establishment by establishment basis to take account of the priorities at a local level both in the prison and in the community and be agreed by the Divisional Implementation Board. This Exceptional Delivery Model (EDM) provides a framework for how offender management in prisons can be delivered safely and in adherence with PHE guidance on social distancing. This EDM is part of our medium-term recovery plan.

This EDM sets a framework of principles within which establishments must operate. The appropriate extent of Offender Management that can safely be delivered is for local determination, adhering at all times to these principles. This should be facilitated via dialogue between the Governor and Heads of Offender Management Service and Delivery (HOMD and HOMS). Local resourcing plans should be submitted and agreed by the Divisional Implementation Boards. The establishments RRMP plan should be submitted and signed-off by the PGD and Prison Gold. The section appertaining to the OMU should also be submitted to probation Gold for sign-off via the DIB.

**Importance of Offender management and associated risks**

Everyone in prison should have the opportunity to transform their lives by using their time in custody constructively to reduce their risk of harm and reoffending; to plan their resettlement; and to improve their prospects of becoming safe, law-abiding and valuable member of society. Offender Management in Custody (OMiC) is at the heart of much of what we do, supporting the critical transition from custody to community.

We know relationships can make a huge difference and we want prisoners to have trusting relationships with staff to support them through their sentence and help them take responsibility for their own rehabilitation. This EDM will focus resources where they are needed most, by providing support and supervision for the highest priority individuals or at crucial points of an individual’s sentence. Prisons should enable POMs and key workers to work in a collaborative way to ensure that individuals are supported and that information is shared.

**The risks associated with not carrying out the tasks indented within this EDM and Annex A include:**

* **A weakening in the effective management of public protection arrangements leading to increased risk of harm in the community**
* **lack of or limited progression for prisoners through their sentence**
* **Impact on safety and unrest in prisons**
* **Reduced access to interventions such as accredited programmes or offender personality disorder pathway. This could negatively impact on an individual’s opportunity to rehabilitate and reduce their risk of reoffending and harm.**

**Delivery of tasks completed by the Offender Management Unit under stages 4, 3, 2 and 1.**

Under Red Regime (Stage 4) **Lockdown,** in addition to administration functions such as sentence calculation and the drawing up of the licence, the following tasks in Offender Management Units in prisons are currently being delivered:

**Public Protection**

* Allocation of Prison Offender Managers
* Categorisation
* Public Protection Requests
* Victim Liaison Officer and Community Offender Manager contact
* Interdepartmental Risk Management Team meetings
* Parole related reports and remote hearings
* Release on Temporary Licence and Home Detention Curfew
* Multi-Agency Public Protection Arrangements

**OASys**

* Pre-release assessments considered a priority with others based on risk of serious harm and stage of sentence.

**Progression**

* Recategorisation
* Handover to the community

It is expected that under **Stage 3, 2 and 1** there will be the following changes to increase delivery of offender management within prisons.

**Stage 3 (Restrict) - High Level Descriptor**

* Reintroduction of probation staff (staff in post pre-COVID) subject to availability in prison settings, overseen by Divisional Implementation Boards (DIBs).
* Prison Band 4 staff returned to POM roles from other parts of the prison, subject to local availability.
* Limited Key work sessions for high risk offenders (TACT and high risk of harm), whilst encouraging other groups to be considered through the key work EDM, take place on a 1-2-1 basis observing social distancing.
* Limited support provided by POMs to key workers.
* Reintroduction of limited one to one work with young adults.
* Increased access to prisoners for Parole Board activity (eg psychology assessments)

**Stage 2 (Reduce) – High Level Descriptor**

* All prison based probation staff (staff in post pre-COVID) have returned to work in prisons, overseen by Divisional Implementation Boards (DIBs)
* All prison POMs back in post.
* Greater numbers of face to face Parole Boards take place within the prison observing social distancing.
* Increased level of key work sessions outside of high risk cohorts take place on a 1-2-1 basis observing social distancing. Engagement with keyworkers will be critical to supporting the most vulnerable prisoners as well as those who are approaching a key milestone in their sentence.
* Increased support provided by POMs to key workers.

**Stage 1 (Prepare) – High Level Descriptor**

* At this stage compartmentalisation is no longer required but ongoing screening, testing and monitoring continues to rapidly detect new infections.
* Regimes operating without the requirement for social distancing or PPE use.
* Staffing levels near target and sufficient for normal regime delivery including full offender management processes.

**Priority supervision should be given to the following cohorts as we progress through stages 4 to 1:**

Newly sentenced indeterminate prisoners

Prisoners in the handover period

Prisoners approaching parole, Indeterminate and determinate

Prisoners identified as meeting the early allocation criteria (e.g. TACT offenders)

Prisoners who have experienced care

Young Adult Prisoners.

Following keyworker/POM consultation, priority prisoners identified in the key work EDM who require additional support.

Delivery of supervision sessions might include shorter sessions or reduced frequency dependent upon available staffing and the ability of establishments to maintain PHE/PHW guidelines on physical distancing. In cell telephony if available can be used however face to face supervision is the preferred option in wing-based interview rooms where physical distancing guidelines can be adhered to. Many Offender Management Units have open plan offices, consideration must be given to the requirements of social distancing within this environment which needs to be taken into account in Risk Assessments and SSOW. Risk assessments and SSOW must be carried out in consultation with the TUs and Staff Associations.

Where the movement of prisoners and staff around the prison has to happen in order to facilitate Offender Management work, social distancing guidelines must be adhered to and not compromised. An arrangement allocating POMS to specific parts of the prison should be considered during this period to minimise the risk of the spread of infection. Psychology Services are operating a pod system to limit the risk of further infection across establishments

It is recognised that there may be exceptional local circumstances such as a new, significant outbreak of COVID-19 cases or a high level of staff absence where even the minimum level cannot be delivered.

**Guide to weightings/prioritisation (mandatory tasks only)**

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| Value | Description |  |
| 3 | Highest– action required as a precursor to other tasks | |
| 2 | Medium – action required as part of wider work | |
| 1 | Lowest – action required once others have been completed | |

**Guide to autonomy levels (mandatory tasks only)**

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| Value | Description |  |
| Total | Establishment has total autonomy to determine the design of the product that satisfies the baseline | |
| Partial | Establishment has partial autonomy – the ability to choose from pre-determined delivery options (which are specified) | |
| Limited | Establishment has limited autonomy and must deliver the product as stipulated | |

**Exceptional Delivery Regime model: Offender Management in the closed male estate – tasks to be completed under stage 3**

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| **Area/Process** | **Baseline** | **Weighting (1,2,3)** | **Autonomy Level**  **(total, partial, limited)** | **Comments/Sources of information** |
| **Mandatory actions** | | | | |
| **1. Start of sentence** | **1.1** Screening for Cat A/Initial Categorisations/Re-Categorisations  Where it is not possible to interview a prisoner, POM’s to use alternative technology and/or utilise existing information in OASys assessments along with additional information from quantum systems to support recategorisation decisions. | **3** | **Limited** | [**Categorisation and Recategorisation**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=52714BF72DB54D5DB02FCA5F34CA623C) |
| **1.2** Allocation of all new cases to a named POM, which must comply with OMiC case allocation principles. Where the case management support model was in place pre-Covid, appropriate support and mentoring must be in place to support prison based POM’s. | **3** | **Limited** | OMIC POM Allocation Guidance v2  OMIC Case Management Support Model  [**Allocation**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=D73CB4F8B2194506A1095012B4CE6374) |
| **1.3 Bail** | **3** | **Limited** | [Bail](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=1C11A78F446D4F1C82FE253627D3F892) |
| **2. Throughout the sentence** | **2.1** Public Protection requests and actions progressed including child and adult safeguarding | **3** | **Limited** | OMIC Adult safeguarding Guidance (England and Wales)  OMIC Child Safeguarding Guidance and Referral Checklist.  [**Public Protection**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=1C1C7ABA94D34A2890D0810236E34B71) |
| **2.2** Inter-departmental Risk Management Team meetings | **3** | **Limited** | [**Public Protection**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=1C1C7ABA94D34A2890D0810236E34B71) |
| **2.3** Contact with Victim Liaison Officer at key stages of sentence | **3** | **Limited** | OMIC Managing cases registered with the Victim Contact Scheme  Handling Sensitive Information  OMIC Victim Contact Scheme Briefing  [**Victims**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=14DCD393F3764EF795D54CB496801944) |
| **2.4** OASys assessments and sentence planning, including the backlog but the following assessments should be prioritised: 1) Early Allocation, 2) Pre-handover assessments 3) Move to open, 4) COVID SPL release (all enable risk management in the community to commence and to undertake ROTL in the open estate) 5) Youth to Adult transitions  Other prioritisation decisions are to be based on the risk of serious harm presented by the prisoner and stage of imprisonment.  Restricted regimes can offer an opportunity to reduce the OASys backlog where other tasks/activities cannot be completed. | **3** | **Partial** | Case Management Toolkit on OMiC EQuiP has a range of OASys Guidance documents, including new ROSH Guidance, RMP and ARMS informed OASys changes due to take place in late June.  [**OASys**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=23D5334C62E9444B872174C61BE38FD0) |
| **2.5** Supervision should be reinstated where it is safe and appropriate to do so. Should social distancing and/or alternative technology to deliver be unavailable, a duty POM system should be set up to ensure support is offered to priority and other vulnerable groups. | **2** | **Partial** | OMiC Supervision Guidance and Supervision Checklist  [**Supervision**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=58705D66DA6748F68C1520896464DBA8) |
| **2.6** Re-Categorisation - Where it is not possible to interview a prisoner, POM’s to utilise existing information in OASys assessments along with additional information from quantum systems to support recategorisation decisions and/or use alternative technology. Decisions to be fed back to prisoners using method agreed locally by the SMT.  Any transfer to open conditions must be supported by a new OASys (completed by the closed estate and address: a) confirming the move has been supported b) the VLO has been contacted c) the sentence plan reflects the move to open conditions. | **3** | **Limited** | [**Categorisation and Recategorisation**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=52714BF72DB54D5DB02FCA5F34CA623C)  [Transfers](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=D72C09CF7A03494EA9BACFBEB78B7B5F) |
| **2.7** Offender Personality Disorder Pathway – prisoners should be screened for OPD at the start of their sentence, if this has not been completed pre-handover or parole, these cases should be prioritised for transition into the community. HMPPS Psychology to offer limited remote and face to face consultation to POM’s where possible. (HMPPS Psychology EDM currently enacted). | **2** | **Partial** | Case Management Tool on OMiC EQuIP contains a range of guidance documents on OPD.  [**OPD**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=E2104EE48F024A5E977A52C3FDCAE8AC) |
|  | **2.8** Psychological Assessment for Parole directed hearing to be facilitated in liaison with Psychology Team | **2** | **Partial** |  |
| **2.9** Youth to Adult transitions including sentence planning and review meetings and transition closure meetings, liaising with the Youth Offending Service and Youth Custody. | **2** | **Partial** | [Youth to Adult Transition](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=B1965CA201794DD9891221F0C962CA6D) |
| **3. Resettlement** | **3.1** Early Allocation to the community | **3** | **Limited** | OMiC Early Allocation Guidance for POM’s  Early Allocation Referral  [**Early Allocation**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=4F984B45CBC447B1A304B2FFECABB777) |
| **3.2** Handover meetings with the Community Offender Manager are to be completed via the agreed technology pathway. Communication with the prisoner regarding handover will be carried out by a method agreed locally by each prison SMT. | **3** | **Limited** | OMIC Handover Guidance V2  [**NPS and CRC Handover**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=F668C1E93BD744EA917EE836057A3ABE) |
| **3.3** Contribution to MAPPA to continue via completion of the MAPPA F and attendance at MAPPA meetings via the agreed technology pathway. | **3** | **Limited** | [**MAPPA**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=EDF6402399934EC9B5E04AE0C1A7BCE0) |
| **3.4** ROTL and HDC boards and if Emergency Release Procedures are enacted these should be conducted remotely. | **3** | **Limited** | [**HDC**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=F637D243FBAC4282A0ABC7BE534A02D6)  [**ROTL**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=19F0E3FCB746467390BA1D53CFF6ED28) |
| **3.5** Licence conditions to be discussed between POM and COM and POM to chase the community if the PD1 has not been received in a timely manner. Communication to the prisoner on the agreed licence conditions should carried out by a method agreed locally by each prison SMT | **2** | **Partial** | [**Discharge and Licence Conditions**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=C09C31EA7B5A4F37B5053CAF62AE8DFA) |
| **3.6** Sentence Planning Review Meeting (Indeterminate sentences for move to open estate) and SPRE and SPRL reports for parole. Where it is not possible to interview a prisoner, reports for Parole should be completed using existing assessments and any new information available on quantum systems and in conjunction with the Community Offender Manager. The COM should be able to utilise Video Conferencing Facilities to interview the prisoner for the Parole Report and make an informed recommendation. Psychology Services will require prisoner access to report provision. The mode of this may vary depending on the case/assessment required.  Parole Hearings should be progressed using available technology. | **3** | **Limited** | [**Parole**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=8724697ACB8C46D8B4AA6282434237CE) |
| **3.7** Recall discussion to take place between POM and COM via agreed technology pathway and communication with the prisoner regarding Part B report and any representations to be carried out by a method agreed locally by each prison SMT. | **2** | **Partial** | [**Recall**](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3A9A63E167DE4B400EA07F81A9271E1944&dgm=719C142C5137472792C9D5A63412D261) |
| **4. Tasks that support case management delivery** | **4.1** Tasks which support the OMU are completed and communicated to all relevant OMU staff and any actions followed up by the POM.   * Licence/discharge paperwork * HDC/ROTL * Sentence calculation * BCST 1 and 2 * Custody office functions * Bail and supported accommodation for HDC * PNC * Confiscations orders * ViSoR * ACCT * LISP1s –parole eligible determinates and extended sentences should be prioritised however, indeterminates should be actioned where possible. | **3** | **Limited** | OMiC EQuiP provides mapping for all listed processes. |
| **5. Exceptional OMU tasks** | **5.1** COVID – SPL ROTL Compassionate Grounds: To coordinate the ROTL Board dossier, contribute to all relevant forms, update the OASys, liaise with COM and VLO and undertake any enforcement action where necessary. | **3** | **Limited** | Exceptional Delivery Model for ECTR/ROTL and SPL ROTL |
| **5.2** COVID – End of Custody Temporary Release Scheme (ECTR): To support any release arrangements as defined in the EQuiP maps | **3** | **Limited** | Exceptional Delivery Model for ECTR/ROTL and SPL ROTL  [COVID19 ECTR](https://equip-portal.rocstac.com/CtrlWebIsapi.dll/?__id=webDiagram.show&map=0%3AFF2D8D3F16B44268B814F7F8177A16F7&dgm=C2A9945D59504DF99B2F3BC9CAD6F250) |